

UNDP India

Mid Term Review of the Country Programme Action Plan
2008-2012

FINAL REPORT

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1. Introduction to CPAP 2008-2012

Background

UNDP's on-going Country Programme Action Plan 2008-2012 (CPAP) is positioned within the overarching objective of the India-United Nations Development Assistance Framework (UNDAF) 2008-2012, which is focused on "promoting social, economic and political inclusion for the most disadvantaged, especially women and girls." The formulation of the UNDAF in turn has been guided by the Millennium Development Goals (MDGs) and the vision of the Eleventh Five Year Plan that places a high priority on inclusive growth.

Consistent with UNDAF priorities, the CPAP supports a policy framework that empowers marginalised groups, as a prerequisite to achieve the MDGs and objectives of India's XI Five Year Plan. The CPAP contributes to seven outcomes in five mutually reinforcing areas of cooperation¹:

Areas of Cooperation	Outcomes
I. Poverty reduction	1. Improved effectiveness of poverty reduction and livelihood promotion policies and programmes in disadvantaged regions and for the inclusion of poor women and men from SC and ST groups, minorities and the displaced
II. Democratic governance	2. Capacities of elected representatives and State and district officials in UNDAF focus States and districts enhanced to perform their roles effectively in local governance 3. Systems and mechanisms in place to provide identified poor women and men from excluded groups access to justice at local level in selected UNDAF States
III. Energy and Environment	4. Progress towards meeting national commitments under multilateral agreements
IV. HIV and AIDS	5. Policies and programmes informed and implemented through multi-stakeholder approaches for protecting the human rights of people affected by AIDS, reducing HIV related vulnerability of groups such as sexual minorities, migrants and addressing the impact of AIDS on women and girls.
V. Crisis Prevention and Recovery	6. Communities and institutions have established preparedness mechanisms and partnerships to effectively respond to and recover from the impact of disasters. 7. Communities are aware of their vulnerabilities and adequately prepared to manage and reduce disasters and environment-related risks

¹ Appendix 1 presents a summary of the CPAP outcomes and programme thrusts in the five practice areas.

The CPAP concentrates in seven focus states - Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh - identified based on their low ranking on human development and gender disparity indices as well as the high proportion in the population of people from the Scheduled Caste and Scheduled Tribe groups. These are also the poorest States in India, with poverty levels considerably higher than the national average. The UNDP programme seeks to strengthen inclusion of women, Dalits, Adivasis and other excluded groups in these States through addressing the barriers they face in social, economic and political domains.

What is the MTR?

The Mid-Term Review (MTR), a mandatory element of the UNDP country programme cycle, aims to assess the state of implementation of the ongoing Country Programme Action Plan (CPAP 2008–2012). The exercise is intended as a mid-course 'reality check' to assess whether UNDP interventions are appropriately aligned with changes in the social, economic and political environment in the country and whether key and emerging issues and development challenges are being appropriately and effectively addressed through the CPAP².

Overall, the MTR is expected to address the following three broad questions:

- What has been UNDP India's progress towards achieving the expected results from its programmes and projects in the context of the UNDAF framework and national development goals?
- Are programme focus areas, planned outcomes and strategies optimally aligned and operationalised to maximise their contribution to priority development challenges in the country?
- How can UNDP better align its programmes and resources to continue to provide strategic support to the Government of India?

It is expected that the UNDP Country Office will use the recommendations of the MTR to revisit and fine-tune programmes, build on and optimise its comparative advantages and align itself more accurately with national development strategies.

The MTR review was conducted through an intensive and consultative process involving reviews of each of the programmes and projects against the expected results, and consultations with a wide range of stakeholders.³ The independent reviewers consulted with and obtained feedback from partners, stakeholders and others who have been associated with UNDP's work and have contributed to the formulation of this CPAP.

² See Appendix 2 for the Terms of reference for the MTR exercise.

³ See Appendix 3 for a complete list of persons involved in consultations on the MTR.

2. The Development Context

The CPAP 2008-2012 was finalized against the backdrop of economic optimism generated by the remarkably high GDP growth rates of the preceding years. The period 2005-2007 saw a renewed national commitment to inclusive growth, with several progressive measures to address human deprivations including the Right to Information Act, the Mahatma Gandhi National Rural Employment Guarantee Act, the National Rural Health Mission, the revitalised Sarva Siksha Abhiyan, the Total Sanitation Campaign and Bharat Nirman. The commitment to women's empowerment across sectors was reaffirmed in the Government's National Common Minimum Programme. Climate change, an issue that is claiming increasing space in the global development agenda, has also been recognised as a national priority and a National Action Plan on Climate Change was announced in 2008.

2.1 Human Development Indices

India's HDI rank as recorded in UNDP's Global Human Development Report, 2009, was 134 out of 182 countries for which the HDI was calculated. Despite steady improvement in the value of the Human Development Index (HDI) from 0.596 in 2005 to 0.612 in 2007, the country is considerably behind the average for the middle income countries (0.698) as well as the average for East Asia and Pacific (0.771). The HDI value is lower than that of some of the smaller countries like Bhutan (0.619) as well as larger countries like China (0.772) indicating the gap that remains to be covered.

The Government of India, Ministry of Women and Child Development (GOI-MWCD, 2009) had calculated a HDI for 1996 and 2006 for 35 States and Union Territories. The computation indicated a rise in the HDI value of India from 0.530 in 1996 to 0.605 in 2006 indicating a 14.15 percent increase over a decade. The top three States/Union Territories with HDI values above 0.701 were Chandigarh, Goa and Kerala while the bottom three States with values between 0.501 and 0.600 were Bihar, Madhya Pradesh and Uttar Pradesh.

India's value on the Gender Related Development Index (GDI) value computed by the UNDP's Global HDR, 2009 for the year 2007 was 0.594 with a rank of 114 among 155 countries. The Ministry of Women and Child Development, Government of India in 2009 adapted the GDI indicators to the Indian situation and calculated the index for All-India and Indian States. The GDI value for the year 2006 at the All-India level was estimated to be 0.590 as against 0.514 in 1996 (GOI, MWCD, 2009) indicating a rise of 14.78 percent over a decade. The highest GDI value among 35 States and Union territories was recorded in Chandigarh (0.763) followed by Goa (0.747) and Kerala (0.745). The bottom three States in terms of GDI value were Bihar (0.479) computed by the UNDP, Madhya Pradesh (0.516) and Orissa (0.524).

India's Human Poverty Index computed by the Global HDR (2009) for the year 2007 was estimated to be 28 percent with a rank of 88 out of 134 countries. The average situation on the human development front hides many disparities across social groups and regions.

In the last decade or so, India has witnessed expansion and acceleration in the pace and scope of liberalisation and policy reforms designed to bring the country into a closer alignment with the global economy. While it is clear that the country has experienced sustained and unprecedented rates of GDP growth in the post-reform period, large sections of the poor have experienced a steady fall in real incomes, living standards and levels of well-being during this period. Dalits, tribal communities, Backward Castes and Muslims still constitute a majority among the poor. As many as nine States (Orissa, Madhya Pradesh, Chhattisgarh, Uttarakhand, Uttar Pradesh, Maharashtra, Rajasthan, Karnataka, and Andhra Pradesh) have poverty levels above the national average⁴.

In recognition of the weak linkages between economic growth and equitable human development, the XI Five Year Plan accorded top priority to 'inclusive growth'. The Eleventh Plan document concedes that 'a major weakness in the economy is that growth is not perceived as being sufficiently inclusive for many groups, especially Scheduled Castes, Scheduled Tribes and minorities. Gender inequality remains a pervasive problem and some of the structural changes taking place have an adverse effect on women.'

The 2009 MDG Report for India shows encouraging progress on some indicators and near-stagnation on others. While actions on poverty reduction and education are on track, progress has been slow on tackling hunger, maternal mortality, under-5 mortality, provision of basic services such as safe water and sanitation, and improvements in the situation of the urban poor.

Target	Target Description	Progress Signs
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4 Eleventh Five Year Plan document. Volume III. Agriculture, Rural Development, Industry, Services and Physical Infrastructure. Planning Commission of India. New Delhi. 2007.

No.		
1.	Halve, between 1990 and 2015, proportion of population below national poverty line	Δ
2.	Halve, between 1990 and 2015, proportion of people who suffer from hunger	Θ
3.	Ensure that by 2015 children everywhere, boys and girls alike, will be able to complete a full course of primary education	ΔΔ
4.	Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015	Δ
5.	Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	ΘΔ
6.	Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio	ΘΔ
7.	Have halted by 2015 and begun to reverse the spread of HIV/AIDS	Δ
8.	Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	ΘΔ
9.	Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	ΔΔ
10.	Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation	ΔΘ
11.	By 2020, to have achieved, a significant improvement in the lives of at least 100 million slum dwellers	ϕ
12.	In cooperation with the private sector, make available the benefits of new technologies, especially information and communication	ΔΔ

Δ : Moderately/almost nearly on track considering all indicators Θ : Slow/almost off-track considering all indicators ΔΔ : On-track or fast considering all indicators

3. Programme review: Progress, challenges, way forward

This section addresses the question: “What has been UNDP India’s progress towards achieving the expected results from its programmes and projects in the context of the UNDAF framework and national development goals?”

The extent to which planned results have been achieved and their alignment with national development plans and goals are the key indicators for assessing the effectiveness of the CPAP. The main findings of programme/project reviews, conducted separately for each programme with participation from key stakeholders, are summarised below.

Specific recommendations to capitalise on the possibilities and strengthen the results of UNDP programmes are included in this section.

3.1 Poverty reduction

The Poverty Reduction Programme aims to improve the effectiveness of national poverty reduction and livelihood promotion programmes in partnership with Central and State governments in disadvantaged areas. It promotes the design and use of strategies that involve the poor, people belonging to Scheduled Castes and Scheduled Tribes, migrants, minorities and displaced. UNDP fosters partnerships to enable disadvantaged households to improve their skills, diversify to non-farm activities and increase access to credit and markets. It assists organisations of the poor to develop livelihood plans in areas such as agriculture, forestry, fisheries, land resource development, rural tourism and handicrafts. UNDP also works on the ground to empower disadvantaged communities. UNDP seeks to expand financial inclusion beyond access to financial products and services to providing new opportunities to diversify their livelihoods.

The project also aims to support innovation in product design and delivery of the entire range of financial services including remittance transfers, credit, insurance and market-based social security services such as micro-pensions.

3.1.1 Progress dashboard

The projects on livelihood promotion/poverty reduction (Jharkhand, Rajasthan, Delhi and Uttar Pradesh) are on track for completion by the end of the CPAP period. The Rajasthan and Jharkhand Livelihood Missions are likely to get linked to National Rural Livelihood Mission (NRLM) before the end of this year. The Financial Inclusion project and the national component of the Livelihood Project (anchored in the National Planning Commission) are behind schedule. Urgent action is required to bring the Financial Inclusion project back on track.

3.1.2 Highlights of achievements

- More than 300,000 livelihoods have been generated in partnership with the Rajasthan Mission on Skill and Livelihoods (RMoL) through employment fairs, skill trainings, migrant services, and the development of dairy cluster and innovative public private partnerships and community initiatives.
- More than 2,000 self help groups (SHGs) have benefited 13,000 poor through the newly established Jharkhand Livelihood Promotion Society. The initiative promotes holistic livelihood interventions in five districts of the state through developing village-level micro plans, generating awareness and mobilising disadvantaged groups.
- 6,500 poor households have been identified in the most backward districts of Orissa as part of efforts to improve access to government schemes and to provide self-employment opportunities through capacity development and better linkages with the market.
- A workforce of 200 banking facilitators and correspondents has been built to promote financial inclusion in Rajasthan. A customised financial literacy package was delivered to more than 2,000 women in Uttar Pradesh who are being linked to formal financial institutions.
- In partnership with the IKEA Social Initiative, an integrated project on women's social, economic and political empowerment reaches out to 50,000 women in 500 villages of eastern Uttar Pradesh.
- 36 locations across 20 states have been developed as pilots for rural tourism. Additional income generated has benefitted 14,000 people, 70 percent of whom are women.
- ICT pilots have improved delivery of public services in nine states, by connecting local communities with experts in health, education and livelihoods. Three state governments (West Bengal, Himachal Pradesh and Kerala) have replicated the pilot in larger geographical areas.
- Technical support has been provided to the Government of Orissa to develop a resettlement and rehabilitation policy to address the displacement of local communities from industrial, mining and irrigation projects.
- A national strategy on urban poverty reduction has been developed, along with urban poverty reduction strategies for 11 cities. The India National Urban Poverty Report and the Mumbai Human Development Report are recognised as important inputs in the design of urban poverty reduction strategies.

- Support is being provided to the Conditional Cash Transfer (CCT) pilot launched by the Government of the National Capital Territory of Delhi (GNCTD) aimed at addressing poverty and vulnerability as part of 'Mission Convergence'.
- A National Advisory Board under the leadership of Planning Commission has been set up and supported to assess national policy implications of conditional and direct cash transfer programmes.
- 270,000 people in the Marwar region of Rajasthan have access to water through 294 community-owned and managed water harvesting structures, reducing vulnerability especially of women.
- The India Business Alliance on Water, a partnership of donors and the private sector, promotes six projects in Rajasthan under the Public Private Community Partnership model. Eighteen private sector organisations have been recognised through awards for best practices in water management.

Some projects from the previous programme cycle were completed in the current cycle, including the National Strategy for Urban Poverty, Endogenous Tourism and ICT for Development. These projects were aligned to flagship government programmes of JNNURM, Rural Tourism Scheme and e-governance, and involved multi-level policy engagement and incorporation of measures to strengthen programme implementation.

Knowledge products under the urban poverty project especially the National Strategy for Urban Poverty Reduction (which is awaiting cabinet approval) have long-term implications for urban poor. The ICT project and Endogenous Tourism projects have been mainstreamed by the concerned Ministries at the Centre and in some States. Possibilities for South-South cooperation on the issue of ICT for development are being explored.

The programme has succeeded in creating interest at the policy level in an outcome-based approach to poverty programming. The strategy of placing technical teams at state and district level has been successful in building credibility and enhancing engagement with stakeholders.

The financial inclusion project has engaged with a wide range of stakeholders and has expanded NABARD's engagement with CBOs.

3.1.3 Challenges

The approach adopted by the UNDP Poverty Reduction Programme requires convergence and collaboration between multiple actors – for instance, in the case of the Rajasthan Livelihood Mission, government and non-government institutions and functionaries concerned with rural development, labour, industry, social welfare, animal husbandry, land, forests, education, credit and marketing (to name just a few). However, in a situation where government departments are vertically segmented and have little interaction with each other, implementation of a livelihoods approach presents numerous challenges. The large-scale replication of such a holistic approach would require a transformation of systems of governance, particularly at the local level, to enable a matrixed system of planning, implementation and monitoring for development.

3.1.4 Way Forward

In our view, the UNDP Poverty Programme is now well-placed to expand the institutional space for innovation created by the State Livelihood Missions in Rajasthan and Jharkhand. In these two States, the experiences and lessons of the programme can be consolidated into an integrated poverty reduction strategy that recognises the need to combine livelihood promotion with complementary social interventions.

The lessons from the UNDP programme would be useful inputs into the implementation of flagship national programmes such as the National Rural Livelihoods Mission and the National Skills Mission. The collaboration with these two flagship programmes can be piloted in at least one focus State. UNDP could support standardisation of tools and methodologies for gap analysis and participatory livelihood assessments, and provide technical assistance for ensuring coverage of highly marginalised groups. An advisory group with senior academics and experts as well as civil society practitioners could be constituted to support this initiative.

Similarly, the partnership with the Government of Delhi for testing innovations in social protection including the Conditional Cash Transfer scheme is an opportunity to study and understand (albeit in a purely urban context) the institutional requirements for synergising economic and social interventions and goals to reach the most vulnerable.

Governance issues such as amendments to State laws to bring them into conformity with the provisions of PESA (the Panchayati Raj Extension to Scheduled Areas Act, 1996) should arguably be placed at a higher priority by UNDP than micro-level interventions for livelihood security within an economic policy regime that treats Adivasi communities on par with other landless agricultural and artisanal communities.

In order to make effective contributions at the policy level, the UNDP programme needs to carefully document and analyse the process and outcomes of ongoing initiatives. Impact assessment studies with a focus on qualitative indicators should supplement the proposed public perception studies, and should be integrated into the workplan without delay. It should also organise thematic round table discussions and support research to strengthen policy design and implementation.

Capacity development of government machineries for poverty alleviation is a central strategy under the programme. Monitoring and process documentation are essential for tracking and measuring the impacts of this strategy. The impact of interventions for skill-enhancement for informal sector livelihoods needs to be tracked and assessed in terms of actual employment and rise in income levels of trainees.

At the same time, the UNDP programme needs to revisit its strategies and action plan to respond to the changing context and macro-policy trends. For instance, the issue of hunger is now acute in several of the

UNDAF focus States and has come to the centre of public debate in the last few years. Recognising that hunger is a direct and sensitive marker of poverty, the UNDP programme should assess ongoing interventions in terms of their impact on household food availability and nutritional levels of women and children. Collaboration with other UN agencies, particularly WFP and UNICEF, could be initiated in this regard.

The recent UN declaration on the Right to Water as a basic human right has serious implications for UNDP, not least in terms of foregrounding the need for corporate entities to change the ways in which they themselves access and use water. This is an aspect that is not addressed by the India Business Alliance on Water, which has thus far focused on mobilising corporate funds for rural water projects. UNDP could use this platform to promote the adoption of a code of ethics and practice for water use by corporates in their direct operations. This is an area for potential joint intervention with the Environment Programme.

Similarly, the livelihood options being promoted under the programme should be screened on the basis of their long term impacts on the environment, gender and caste relations and on the local economy. This is particularly important in the case of livelihoods that depend on positive partnerships with the private sector. The long-term implications of making small informal producers dependent on contract arrangements and corporate supply chains should be analysed before upscaling these experiments. In particular, the possible long-term impact on the informal sector of increased foreign direct investment in retailing needs to be factored into programme strategies.

The possible impacts of climate change on the livelihood options being promoted under this programme should also be taken into account.

The financial literacy package delivered to rural women as part of the IKEA-supported women's empowerment programme is to be welcomed. However, the economic impacts of this programme should be assessed against a broader set of criteria than at present ("50 percent of trained women linked with formal financial institutions"). Increased gender responsiveness of financial institutions and banks involved in this programme would be a significant success indicator for this initiative.

The project with NABARD has been proceeding at a very slow pace and needs to be reviewed immediately. Given NABARD's core mandate to promote financial inclusion, it could continue to remain a partner for strategic and policy level work coupled with introducing a few more implementing partners that can all work towards contributing to the project's outcome and strategy. With this broad-basing of implementing partners, UNDP could take full responsibility for project management and coordination role. Financial inclusion has a lot of potential and urgently needs to establish linkages with other UNDP supported programmes or proposed partnerships such as NREGS, state livelihood missions and NRLM, IKEA supported women's empowerment project, HIV programme and condition cash transfers in Delhi. The implementation arrangements may be revisited in the light of this recommendation.

With respect to the project with Planning Commission, there is a need to review the reasons for the slow pace of implementation and it may be useful to focus on a few strategic and policy level interventions that are relevant for the & UN focus states as well as nationally.

Both the livelihood and financial inclusion projects have established an operational linkage with the UN Solution Exchange Communities – Microfinance and Work and Employment which is reflected in the AWP. This linkage needs to be retained to strengthen the knowledge management and policy work of the programme.

3.2 Democratic governance

The UNDP Democratic Governance Programme partners with the Planning Commission of India, Ministry of Panchayati Raj, Ministry of Rural Development, Department of Justice and Department of Personnel & Training among others. The Programme is aimed at promoting social, economic and political inclusion for the most disadvantaged citizens, especially women and girls. Putting in place accountable and responsive local government systems in selected districts and cities, is a priority under the programme, thus contributing to promoting equitable and sustainable development and achieving the Millennium Development Goals.

UNDP's work at the district level complements the work of other United Nations agencies and focuses on supporting government and elected representatives to achieve development goals through results-based planning, resource convergence, change management, analysis of bottlenecks in implementation, and improved monitoring of programmes including community monitoring and participation in planning. The human development frameworks and goals are integrated into government plans and policies through support to the preparation of State and district Human Development Reports.

UNDP supports the National Rural Employment Guarantee Scheme and contributes to expanding the democratic space at the grassroots through community mobilisation and strategies to strengthen citizens' voice and ability to monitor and demand accountability, through the use of public disclosure tools such as social audits, governance 'report cards', the Right to Information Act and ICT-based systems.

UNDP works with the judicial system to strengthen delivery mechanisms of justice and empower communities and disadvantaged groups to claim their right to get redressal for violations of their rights.

Capacity development is a central strategy under the Democratic Governance Programme. UNDP supports training for government functionaries and elected representatives to make public administration more responsive to the needs of women and disadvantaged groups. In addition, UNDP is contributing to strengthening the institutional capacities of key training institutions such as the State Institutes of Rural Development and Administrative Training Institutes for local governance.

3.2.1 Progress dashboard

The various components of the programme are not all moving at the same pace. The component of support to implementation of the Rural Employment Guarantee Scheme is moving ahead of schedule and has already achieved most of the targets set in the CPAP. The initiative for Capacity Development of Local Government is on track for completion by the end of the CPAP. The component on Access to Justice is somewhat behind schedule but is likely to pick up pace. The component on Capacity Development for District Planning is however moving slower than anticipated and targets are unlikely to be completed by the end of the CPAP period.

3.2.2 Highlights of achievements

- Human Development Reports (HDRs) have been prepared for 21 states and are used as inputs in state plans and policy statements; in addition, HDRs are being prepared in 80 districts and will be used for district planning. Further, the Government of India has advised all states to prepare gazetteers for each district based on the UNDP template for preparation of district HDRs.
- Micro-plans, focusing on the needs of the poor, have been prepared in 100 Gram Panchayats with significant participation and discussion of development challenges.
- The capacity of elected women representatives has been enhanced in 10 districts across 10 states at village, block and district levels to represent interests of the disadvantaged and to execute schemes.
- Governance reforms have been initiated in select urban local bodies in four states and capacities of staff strengthened through training on accounting and property tax reforms.
- UNDP advises the government on the implementation of two key legislations which uphold the rights of citizens – the NREGA and the Right to Information Act.
- Technical support is provided to the Ministry of Rural Development for planning, implementing and monitoring NREGA by increasing awareness amongst the rural poor of entitlements under the Act and for addressing the bottlenecks in its implementation.
- Nearly 50,000 people including representatives from public authorities, citizens, NGOs and the media have been trained on the provisions of the Right to Information Act.
- An online Certificate Course on the Right to Information has commenced under the Central Department of Personnel and Training.
- Gender budgeting has been initiated at the central and state levels.
- Challenges facing formal and informal justice institutions have been identified in 34 districts through action research projects and studies. In addition, a network of experts, policy-makers and civil-society organisations has been established, and an e-database for justice institutions developed.
- State Legal Services Authorities are being supported to carry out needs assessments in three States.

- A 'Justice Innovation Fund' has been launched to demonstrate innovative interventions and strategies to provide vulnerable and excluded groups access to justice locally in seven states.
- Partnership with the *Sakshar Bharat* scheme of the Department of School Education and Literacy to incorporate legal literacy content into ongoing adult literacy programmes.
- In 2009, UNDP also facilitated international sharing of experiences on access to information and employment-oriented poverty reduction programmes.

3.2.3 Challenges

The process of district planning in the 35 districts selected for the convergent planning initiative, as in the country as a whole, is constrained by the fact that planning is a State subject and central guidelines and directives are not binding on the States. Even in States committed to decentralised planning, any effort at integrated planning is hampered by the sectorally segmented and top-down planning and implementation of schemes by individual Ministries. UNDP-supported initiatives are not immune to these constraints. Implementation of this component is hampered by the fact that the Planning Commission scheme on support to district planning, which formed the basis for the design of this programme, has not been approved after over a year. Reducing the number of programme districts while retaining the same approach which has an over emphasis on planning aspect is not likely to break this deadlock. Hence, there is a need to deepen the support at the district and block level through intensive support and stronger engagement in one district per state. Further, community monitoring tools like PAHELI are highly recommended for tracking the achievement of MDGs at the district level.

The District Planning component is faced with several operational challenges. This component is part of a Joint UN Programme on Convergence. Since there is little or no coherence between the implementation modalities being followed by the various UN agencies, start-up activities led by different agencies were not synchronised. Though the annual workplans and the monitoring framework have been jointly prepared, all the actors were not equally involved in the design and development of the overall programme. There are overlaps between projects being implemented by UNDP, UNIFEM and UNICEF (both individually and as part of the Joint Programme on Convergence) which have implications for each agency. For instance, the overlap of UNDP's District Planning component with UNICEF's Integrated District Approach (which provides the model for UNICEF's approach under the Convergence programme) is responsible for slow spending of UNDP funds in the Convergence Districts.

The partnership with the National Legal Services Authority and the Judicial Academies under the Access to Justice component is taking longer than expected to stabilise, primarily because there is as yet no agreement on the scope of capacity development under this component. The standard approach of conducting "gap analyses" of these institutions has not taken off.

3.2.4 Way Forward

The overall focus of the Programme - strengthening institutions of decentralised governance and the justice system – reflects a national priority and responds to the needs emerging from the last CPAP. The initiative on improving the functioning of the Rural Employment Guarantee scheme is a good example of strategic support for institutional strengthening and capacity development, the impacts of which are immediately visible and measurable in terms of a sharper set of monitoring indicators for the programme. However, these monitoring systems are geared to tracking and measuring basic performance and delivery parameters rather than social impacts and long-term outcomes. For instance, there is no official data that can be used to assess the scheme in relation to issues directly related to UNDAF and CPAP goals, such as its impacts on class/caste/gender hierarchies, or the impact of assets such as water-harvesting and drought-proofing structures on water availability or agricultural productivity. In such a situation, UNDP support could focus on tracking of social impacts of the scheme, not only in terms of increase in work-days for marginalised groups as beneficiaries, but also in terms of the long term impacts on the community and the environment.

Lessons learnt from monitoring of the Rural Employment Guarantee scheme would have a much wider applicability, since the problem of poor monitoring has been identified as a generic one and has been identified as one of the major causes of poor social outcomes of government interventions in India. All flagship programmes have monitoring mechanisms built into the design, but the data generated by routine monitoring is not suitable for monitoring results or outcomes. Apart from the gaps and weaknesses in performance data, disaggregated data on coverage and social impacts is rarely collected, except through occasional profiling of some outstanding stories. UNDP could capitalise on its relationships with civil society networks (such as the *Wada Na Todo Abhiyan*, which is already a partner under the Poverty Programme) to document, analyse and disseminate initiatives to expose and counter exclusionary processes in implementation of various schemes, including the NREGS.

Convergent and human development focused district planning is certainly the logical next step to building on the foundation created through district-level human development reporting in the last CPAP. However, the experience of the CPAP thus far clearly points to the need for further perspective-building and environment-creation for decentralised and outcome-based planning at the State level, leading to clear and binding guidelines for the districts.

UNDP should move to re-strategise its district planning project to bring it into closer alignment with its ongoing support to human development reporting and achievement of MDGs. This would require enhanced capacities at the State level, and could be furthered through convergence between this project and the project on Capacity Development for Local Governance, with a pooling of resources and a common workplan and results matrix.

UNDP and the Planning Commission should consider revisiting the results framework for this outcome, and reorienting it towards working more closely with State governments in one or two focus States to develop an enabling policy framework and guidelines for district planning. A certain degree of credibility and rapport has already been created by the staff currently posted in the focus States – these could be the

starting point for initiating a dialogue for this purpose with key actors. Bottleneck analysis and quick studies on the impacts of schemes at the district level (using tried and tested tools for beneficiary analysis and benefit incidence analysis) could be undertaken within the next six months – the findings from these studies are likely to establish a compelling argument for decentralised and human-development oriented planning. UNDP's own past experience, and experiences from other countries (such as the Philippines) that have implemented community-based monitoring systems at the local government level, could provide useful leads for operationalising the process.

UNDP support to strengthening institutional mechanisms for human development oriented local planning (Capacity Development for Local Governance) is being operationalised through State Training Institutes. The indicators for tracking the results of this intervention (number of institutions that incorporate a module on human development into their syllabus, and number of institutions with mechanisms in place to track the impacts of training) are not likely to provide information on outcomes and results of capacity development.

The UNDP programme supports capacity development for elected representatives and State/district officials. Although the progress indicators for this component are designed to capture results rather than inputs, the scope and scale of this component have been very broadly articulated and baselines and targets have not yet been defined. Innovative methods can be used to assess capacities while simultaneously strengthening them. For instance, women panchayat members who have been trained under the UNDP programme could be mobilised and supported to monitor and facilitate women's access to justice in their constituencies.

Along with furthering Constitutional goals such as gender equality and social inclusion, panchayati raj institutions have a critical role in ending gender-based violence, facilitating the implementation of the Forest Rights Act and PESA, MDG-based planning and environmental protection and regeneration. UNDP could strengthen the integration of these elements into the curricula of training institutions.

Although it is true that capacity development is a slow process that may not show results in the short term, UNDP needs to revisit and reorient strategies under this component. There is a need to revisit and re-evaluate the choice of partners and the positioning within the Planning Commission. Alternative options, such as partnerships with the Ministry of Panchayati Raj should be explored for strengthening the outcomes of the initiative for strengthening of State Training Institutions.

Given the limited powers and capacities of *panchayati raj* institutions, and the key role of District Collectors in creating a supportive environment for district planning, building partnerships with higher level administrative institutions may be a more effective way to promote decentralised planning. UNDP could consider renewing its partnership with the Department of Personnel and Training as well as with other national institutions concerned with governance and administrative reforms. Modules on human development and gender equality are already included in the curricula at the National Academy of

Administration, and could well be curtain-raisers for orienting young bureaucrats to the concept and practice of district planning for human development.

UNDP could build on the successful pilots in the previous CPAP on the use of information technology for decentralised governance. Possibilities include setting up of information kiosks for accessing information and making queries under the Right to Information Act; e-platforms for legal education and advice; digitisation of district land records and setting up of electronic databases to track and monitor the performance of flagship programmes.

In contrast to the focus on duty-bearers in the majority of projects, the Access to Justice component is working with women's SHGs and women elected representatives in Uttar Pradesh to empower them with legal literacy and create a demand for justice at the grassroots. Demand-side innovations in access to justice by NGOs and communities are being tested and documented with support from an Innovation Fund set up under this programme. The partnership with the department of School Education and Literacy in order to integrate legal literacy elements into the *Sakshar Bharat* adult literacy programme is to be commended. The possibility could also be explored of integrating legal literacy content into training and capacity development interventions for marginalised groups across programmes.

Although baselines have yet to be established, the results indicators for this component are appropriate to capture the impacts of these interventions in terms of changed practices of duty-bearers (for instance, satisfaction levels of individuals who seek justice from formal institutions).

However, given the multiple exclusionary biases operating within the justice system (reflected for instance in the feudal and patriarchal perspectives articulated in many judgements, particularly in the lower courts), the UNDP programme could focus in a much sharper way on the mechanisms and processes of exclusion operating at all stages within the justice system from filing of complaints and recording of statements to investigation, court proceedings, delivery of judgements and implementation of court orders. Documenting these processes can be a first step to advocacy for perspective-building and sensitisation of personnel at all levels of the justice system. Studies could be undertaken on the impact on women and marginalised groups of the Gram Nyayalayas, alternative dispute resolution mechanisms, and traditional community bodies.

There are strong precedents for such an approach – for instance, a survey of judges' attitudes to violence against women carried out by women legal activists in 1996 led to the development and roll-out of a national strategy for perspective building of the higher judiciary⁵. The training materials and modules being developed by the State Judicial Academies could incorporate sensitisation and perspective-building on the exclusionary biases embedded in the justice system and their consequences for democracy and the rule of law.

5 Kapoor, Naina and Jasjit Purewal (1996) "Gender and judges: A judicial point of view". Sakshi, New Delhi.

3.3 Energy and Environment

The UNDP Energy and Environment Programme supports the 11th Five-Year Plan in its endeavour to build the capacities of the most vulnerable people, including women and girls, and government at all levels, to prepare, respond and adapt to sudden and slow-onset disasters and environmental changes.

UNDP works in partnerships to protect the environment and meet the challenges posed by climate change. UNDP is addressing global warming by supporting the reduction of GHG emissions in energy-intensive industries, promoting the use of renewable energy sources and helping the government to phase out ozone depleting substances. It works with the government to strengthen policy, legislative and regulatory mechanisms for carbon reduction, developing standards and codes for energy conservation and encouraging more efficient use of natural resources.

UNDP helps implement various national policy initiatives to increase forest cover and arrest land degradation. Biodiversity conservation efforts are being strengthened by involving communities in sharing traditional knowledge on natural resources, and improving market access for their products.

3.3.1 Progress dashboard

The programme as a whole is moving ahead of schedule. Targets under the Biodiversity component have been achieved or exceeded. The Chemical Management component is on track for completion by the end of the CPAP period. The planned activities under the Climate Change component are all on track for completion by the end of the CPAP period. However, several activities have been undertaken that are not reflected in the original CPAP. If these are taken into account, the Climate Change component is moving ahead of schedule.

3.3.2 Highlights of achievements

- To remove barriers to energy efficiency in steel re-rolling mills (SRM) in India, eco-technologies are being introduced in 32 model units. The interventions in 15 units helped reduce electricity consumption by 1.4million units and furnace oil by 104 tonnes in 2009. This is equivalent to a 20 percent reduction in energy consumption and an equal quantum of carbon dioxide reduction.
- Awareness and capacity building activities are ongoing in another 1200 SRRM units in the country to adopt these measures. The Ministry of Steel is closely examining the scope to facilitate guidelines for adoption of these measures.
- In the Tumkur district of Karnataka, 3000 hectares of plantation has been raised to meet the biomass requirements of a one megawatt biomass gasifier based power plant. Further, about one million seedlings grown in 24 nurseries by 81 women self-help groups (SHGs), has earned them

about Rs.1 million over a six month period. The income generated has been used to initiate other livelihood activities.

- To encourage energy efficiency in tea processing units, an energy audit conducted in about 55 of the 300 tea units in Coonoor district of Tamil Nadu, suggests that it is possible to save 20 percent of both electric and thermal energy. High calorific value agricultural residue briquettes have been introduced in two tea factories which reduced energy costs by about Rs.2 per kilogram of tea.
- Commercial viability and feasibility of methane from coal mines in power generation has been successfully demonstrated for the first time in India. Electricity generated from methane extracted from two wells in Dhanbad, Jharkhand is being supplied to 400 households in the mine workers' colony.
- The consumption of Chlorofluorocarbons (CFCs) in the country has been reduced by 85 percent since the implementation of the Montreal Protocol in 1992 through phasing-out of ozone depleting substances. Under a new initiative, CFCs in Metered Dose Inhalers (MDI) will be phased out by December 2012.
- In the Gulf of Mannar Biosphere Reserve, coral cover has increased by 6.5 percent from 2006 to 2009 as a result of greater awareness among the coastal communities and effective protection measures.
- For the first time in India, 26 government-run allopathic-based Primary Health Centres in Karnataka are now working with traditional healers, mostly women, to administer scientifically validated traditional herbal medicine for general ailments such as cough, cold and fever. This initiative will revitalise and mainstream traditional healing practices. In addition, this exemplifies the local communities' capacity to generate income through sustainable use of natural resources.
- A new initiative was started in early 2010 to support the capacity development of national and State governments in responding to and addressing climate change, and to support state governments in developing state plans of actions for climate change. UNDP is facilitating the design of a common approach along with other donors, such as DFID, GTZ and the World Bank.
- A proposal has been developed for supporting the development of climate risk reduction strategies and demonstration of adaptation measures at local level in six pilot sites, and the integration of climate risk concerns into policy and planning processes at national and state level. The proposal is being considered for funding under the Special Climate Change Fund. Another new proposal to integrate climate risks and opportunities into the NREGA is being developed for funding under the Adaptation Fund.
- The GEF-UNDP Small Grants Programme (SGP) which directly supports small NGOs for innovations on environmental issues has disbursed 307 grants since 1998. The total grant amount for 2008-09 is USD 2.4m.
- The Rural Energy for Rural Livelihoods project has demonstrated that local communities with access to improved energy service can have improved livelihoods and can make more informed choices. Support to small and medium enterprises for energy efficient technology upgradation has led to economic benefits for entrepreneurs operating with very small margins.

- An integrated strategy is being developed for reducing pressure on climate sensitive natural resources and landscapes and support communities to assert their rights and claim their entitlements over natural resources while building climate resilience.

The programme has supported the national Government in the preparation of the “Second National Communication to the UNFCCC”, ‘Fourth National Report to CBD’ and ‘National Biodiversity Action Plan’. Technical support has been provided for the Phase-out of CFCs. It is noteworthy that the target for phase out of CFCs has been achieved one year before schedule. UNDP is the lead agency for accelerated phase out of HCFC’s by 2030 (instead of 2040). Activities will start in October 2010 with Investment Funds.

Mention must be made of the “Partners’ Forum” initiated under this Programme. This mechanism serves to ensure cross-learning, lateral thinking and collaboration among partners under a very diverse portfolio that includes governmental, non-governmental and private sector organisations working in different sectors, and has proved to be a good forum for trouble-shooting and information-sharing.

3.3.3 Challenges

The UNDP Energy and Environment Programme has grown and expanded significantly over the last few years. The main challenge in the coming years will be to keep up this momentum and meet the expectations of counterparts and partners while maintaining the larger focus on sustainable human development, ensuring technical quality and long-term sustainability.

Although it has implemented several successful pilots with clear policy implications, UNDP’s engagement in upstream policy dialogue has been “sub-optimal” according to the internal review. Process documentation and dissemination of knowledge products has also been identified as an area that needs strengthening.

Developing effective “exit strategies” that integrate actions for upscaling and sustainability for pilots has been identified as a challenge. Similarly, functional linkages with other UNDP-supported interventions on poverty, governance and disaster risk reduction have been recognised as essential, but have not yet been operationalised.

While acknowledging the need to link up UNDP work on energy efficiency and renewable energy with poverty, the continued importance of UNDP’s work on the Montreal Protocol and Stockholm Convention should be recognised.

If required, the UNDP CPAP Outcome may be modified to “Progress towards meeting national commitment under multilateral environment agreements and the national goal of inclusive growth”.

The Environment Programme portfolio comprises of some purely “technical” components (such as emission reduction and phasing out of CFCs) and some “people-centred” components (such as sustainable

management of natural resources). It is a challenge to build linkages between these components, which tend to operate in isolation from each other.

3.3.4 Way Forward

Apart from strong technology pilots (where the guarantee of mainstreaming is built in at the start), this programme has developed and tested innovative approaches to community-based natural resource management that build climate change resilient livelihoods as well as enhance gender equality.

Projects on biodiversity and land degradation which are to be developed under the GEF-5 umbrella offer good entry points to integrate adaptation to climate change into the project at the design stage. This links up well with the growing emphasis on 'mainstreaming' within the Convention on Biological Diversity (CBD). CBD wants to link biodiversity with production sectors (including agriculture, livestock rearing, fisheries, forest resources and extraction sectors). With India hosting the CoP of CBD in 2012, GoI is keen to establish global leadership in biodiversity. The National Action Plan on Climate Change and its constituent Missions on Green India, Sustaining the Himalayan Ecosystem and Sustainable agriculture offer many opportunities to work on biodiversity and poverty reduction. UNDP's work on linking biodiversity with poverty reduction addresses these major national concerns.

The lessons from these have an important bearing for policies across the spectrum. While the programme has made commendable efforts to document and disseminate some of these experiences and perspectives, a coordinated effort needs to be made to ensure that they are brought into policy discussions at the national level. A convergent monitoring and communication strategy needs to be put in place, including the possibility of revisiting the design of some of these community pilots to make them action-learning laboratories and sites for process documentation.

The UNDP Energy and Environment programme now plans to position its work within a new paradigm of "low-carbon and climate-resilient growth". While 'low-carbon, climate resilient growth' is an important outcome, we cannot understate the relevance of helping GoI meet its commitment under multilateral environment agreements particularly on emission of ozone depleting substances (the Montreal protocol) and persistent organic pollutants (the Stockholm Convention). In the long run, these have significant impact on the sustainability of development, in India and for the world.

In moving towards this new approach, it is essential for the Programme to benchmark its activities against the larger goals of social inclusion and achievement of the MDGs and resist the tendency to treat climate change as a technical problem that demands technological solutions. From UNDP's standpoint, the necessary focus on issues such as renewable energy, reduction of emissions, increased efficiency in use of fossil fuels and development of carbon-sequestering technologies cannot become a substitute for addressing the root causes of the ecological crisis: destructive patterns of production, extraction and

consumption. The new approach should therefore be one of “low-carbon, climate resilient, socially just and inclusive growth”.

Given the weak functional linkages between different UNDP Programmes and Programme Teams, and between the “technical” and “people-focused” components within the Environment Programme, much more needs to be done to build conceptual and operational clarity on integrating principles of social justice and equality into the so-called “low carbon climate-resilient” growth model. UNDP needs to build a rigorous analysis of the politics of climate change, particularly in relation to marginalised communities who are the target of “behavioural change”. UNDP could focus on groups that are currently at the focus of policy and public attention (for instance, small manufacturers in the urban informal sector and forest-dependent communities) to unpack the ways in which these communities are made vulnerable both by climate change and by climate change mitigation policies. This analysis should go beyond the domain of environmental policies and bring policies for poverty alleviation, decentralised governance, urban development, agriculture, trade and social welfare under scrutiny through the lenses of climate change, inclusive growth and social justice/equality.

Demonstrating the linkages between natural resources, poverty and climate change has been identified as a challenge by the team. UNDP should consider the possibility of experimenting with at least one matrixed project focusing on climate-resilient and sustainable livelihoods during this cycle, to be jointly designed and implemented as a cross-programme initiative by the Poverty, Environment, Governance and Disaster Management teams. This experiment will need to be carefully documented and analysed in terms of its lessons for UNDP and for policies on poverty and sustainable livelihoods. Such an initiative could be creatively packaged to use existing resources under the livelihood project of the Poverty Programme or slow-moving resources under the District Planning component of the Governance Programme.

UNDP should commission independent impact evaluations of successful pilots on livelihoods through sustainable natural resource management (such as the support to women traditional healers), focusing on changes in key socio-economic indicators of equality. Such studies are essential before advocating for upscaling and replication of these models, or using them as the basis for developing market-based ecosystem services as proposed. This is particularly relevant since such efforts tend to be assessed primarily, if not solely, on the basis of their contribution to environmental goals, while criteria for assessing social and economic benefits are pegged at minimal levels.

In promoting models for forest-based livelihoods (such as the lac enterprises being supported in Jharkhand), UNDP should ensure that the intervention neither contravenes or falls short of the provisions of the Panchayati Raj Extension to Scheduled Areas Act (PESA), 1996. This legislation gives *gram sabhas* in Fifth Schedule areas wide-ranging powers including outright ownership of minor forest produce. There are serious gaps in the implementation of PESA and several studies have documented widespread violations of

its provisions with State functionaries claiming to be unaware of such a legislation⁶. The Access to Justice initiative under the UNDP Governance Programme recognises PESA as a key legislation for enabling access to justice for Adivasi communities. The Governance Programme and the Environment Programme could collaborate to design and implement joint pilots that can make visible the link between self-governance and environmental sustainability in Fifth Schedule areas.

There is a strong case to be made for the UNDP programme to engage with issues of drought and sustainable water management, since this is arguably the most critical environmental concern for a majority of the population. Since Rajasthan has just announced its water policy, the possibility should be explored of supporting the Rajasthan Livelihood Mission with technical inputs for developing livelihood options that both optimise water use and regenerate water resources.

3.4 Disaster Risk Reduction

UNDP supports the vision of India's 11th Five-Year Plan to work towards ensuring that 'the most vulnerable people, including women and girls, and government at all levels have enhanced abilities to prepare, respond, adapt to and recover from sudden and slow-onset disasters and environmental changes'. This is in keeping with Millennium Development Goal 7, which seeks to ensure environmental sustainability.

UNDP supports capability enhancement for disaster risk reduction, integration of approaches such as community-based disaster preparedness, early recovery and response, and advocates for 'build back better' institutional strategies following any disaster. It works closely with the Ministry of Home Affairs and the National Disaster Management Authority (established in 2005) and uses the experience of disaster to help strengthen recovery capacities. At the same time, disaster risk reduction initiatives are being integrated into environmental planning and strategies to cope with climate change.

3.4.1 Progress dashboard

The Disaster Management practice area is linked to CPAP outputs 4.1 and 4.2 and is on target to achieve them fully, through interventions under the recently completed programme on Disaster Risk Management and the ongoing programme on Disaster Risk Reduction.

As the institutional structures mandated under the Disaster Management Act were being put in place during the period of implementation of the previous programme on Disaster Risk Management, institutionalisation of programme efforts in the State and District Disaster Management Authorities was not addressed. However, the targets for district and sub-district level plans were achieved, which created large

⁶ See for instance IRMA study on status of implementation of PESA, commissioned by the Ministry of Panchayati Raj, Government of India. <<http://www.hindu.com/2010/07/26/stories/2010072656760300.htm>>

scale community level awareness and support for piloting mainstreaming in the school education department. The programme addressed the output related to safe built environment through a project for urban earthquake vulnerability reduction in 38 cities.

The present programme has been approved by the Government of India and the implementing partner, the National Disaster Management Authority, has already approved work plans with 19 States. Funds for implementation of activities have been transferred to most of the States and a smooth transition achieved from the recently concluded programme to the new programme. Activities under the Urban Risk Reduction project have been taken up in 40 cities by the other implementing partner, the Ministry of Home Affairs. The targeted outlay in the CPAP cycle has been fully programmed.

3.4.2 Highlights of achievements

- Disaster management and mitigation plans have been developed for 17 states, 176 districts, 1,622 blocks, 32,000 local governance bodies and 157,000 villages.
- Awareness campaigns on disaster management have been undertaken at all levels by local volunteers and elected representatives.
- Textbooks on disaster management have been introduced nationally in schools for students aged 12 to 15 years; disaster management introduced in school curriculum by 14 state education boards, and nearly 55,000 teachers were trained in disaster preparedness.
- UNDP has played a leading role in the joint United Nations recovery effort, following the 2004 Indian Ocean tsunami. It has coordinated the UN response and implemented projects in affected areas for shelter and habitat development, healthy environment, restoration of livelihoods, HIV and AIDS, and disaster risk management.
- Capacities of over 1,640 architects, 9,926 engineers and more than 38,000 masons have been developed in seismically-safe construction practices. Master trainers from hospitals in 38 cities were trained in hospital preparedness, and over 225,800 volunteers were trained to undertake community based disaster management activities.
- An integrated 'control room' has been set up in the Ministry of Home Affairs, with state-of-the-art information to broadcast early warning messages. A web enabled Disaster Resource Network, with over 126,000 records from 576 districts in 35 States/Union Territories of India helps decision makers access information to respond in emergency situations.
- Twelve Emergency Operations Centres (EOCs) at the state level and 89 EOCs at the district level have been set up using disaster resistant technology and act as coordinating hubs to manage emergency activities.
- The preparedness of coastal communities and government has been improved through last mile connectivity in 444 vulnerable villages in the states of Tamil Nadu, Kerala and Andhra Pradesh through a capacity development and replication plan. Fisheries co-management models have been

evolved in 55 villages in Nagapattinam and Quilon districts to facilitate long term livelihood opportunities.

- Under the Disaster Risk Management Programme, UNDP plans to develop and test risk transfer options, such as insurance schemes, aimed at enabling the poorest people to anticipate risks and recover more quickly.
- Following a successful women-led pilot on owner-driven housing reconstruction with 130 households supported by UNDP, the Government of Bihar has taken a policy decision to fund 150,000 families to build their own houses, and may incorporate some of the features of this project into its Rural Housing scheme.

UNDP's interventions in the field of disaster management and risk reduction in India have been recognised both nationally and internationally for their effectiveness, impact and contribution to policy development. Various external evaluators have noted that the impact of the capacity development activities under the UNDP programme have been tested and validated in some recent disasters where communities have acted immediately and effectively to reduce the loss of lives and property, without waiting for external help.

3.4.3 Challenges

There are delays in putting in place a techno-legal framework for implementing the policy, such as amended planning and building codes. Effective implementation of the policy is constrained, particularly at the State and district level, by the lack of appropriate and user-friendly tools for risk evaluation and damage assessment.

While there is cause for satisfaction at the successful initiatives on risk management and preparedness as both the policy and the community levels, the UNDP programme has not addressed the issue of recovery. The programme has not been able to capitalise on the obvious links with many of the interventions being implemented under the Poverty, Governance and Environment programmes.

The UNDP programme has been designed to reflect a “multi-hazard” approach. However, the tools and analytical frameworks derived from this framework were found inadequate to the diversity of contexts, risks and hazards in a country like India.

3.4.4 Way Forward

UNDP has played a key role in bringing the issue of disaster management onto the policy agenda and in supporting the development and roll-out of the national mechanism. The focus in the current programme is on risk reduction and vulnerability reduction, and is in line with national priorities.

It is difficult to find standardised tools and methodologies for disaster risk analysis and mapping that are appropriate to a country like India, where social diversity and multiple hazards interact to create unique and

localised patterns of vulnerability. Existing technical tools are largely unresponsive to issues of gender and social inclusion. In this situation, UNDP could take the lead in developing basic modular tools that can be easily adapted at the local level and can capture differential vulnerabilities and needs related to gender/caste/class and other social identities and hierarchies.

While the number of local-level disaster management plans prepared with support from UNDP is impressive indeed, there is little information on the content of these plans and the extent to which they are responsive to issues of inclusion/exclusion. This aspect does not appear to be a criterion for results assessment for either UNDP or the national machinery. It would be useful to review a representative sample of local plans from this perspective, and use the findings as a basis to develop a clear and simple set of guidelines for community disaster management committees. This review could even be carried out by communities themselves using participatory rapid assessment tools, as has been done by some NGOs working in this field⁷.

Initiatives for capacity development under the UNDP programme are concentrated in and around areas that have recently experienced disasters or are at high risk. Despite numerous disasters in recent years, communities that have not experienced disasters tend to be unwilling to accept that they are at risk and often hold back from investing in vulnerability reduction⁸. Successful community initiatives for vulnerability reduction, whether supported by the UNDP programme or by other actors) need to be documented and used for motivating others.

There are numerous opportunities within the framework of the present CPAP, for convergent analysis and programming by the Crisis Prevention and Recovery Unit and other programmes. Such a collaboration would contribute to the understanding of the linkages between vulnerability to natural disasters, economic status and social identities, as well as to the effort to mainstream disaster responsiveness into relevant line Ministries.

Gender mainstreaming and social inclusion have been identified by the team as areas for strengthening. There is a considerable body of experience and expertise on this issue in India, to which UNDP has contributed in the past (for instance, through its support to grassroots women's groups for drought-proofing). The Bureau of Crisis Prevention and Recovery at UNDP headquarters has adopted an action plan and developed practical guidelines for mainstreaming gender equality concerns in risk reduction and recovery⁹. UNDP could draw on these, as well as link with ongoing civil society efforts on these issues (such

7 See for instance the "social inclusion assessment index" developed by Christian Aid partners in Tamilnadu in the aftermath of the tsunami.

8 The behaviour of affluent Delhi householders who strenuously try to evade the mandatory requirement for investing in water harvesting structures is an illustration of this tendency.

9 "Making Disaster Risk Reduction Gender-Sensitive: Policy and Practical Guidelines". UNISDR, UNDP and IUCN. Geneva, Switzerland, June 2009.

as the initiative to integrate gender equality and social inclusion into SPHERE standards). Likewise, a better understanding of the impacts of increasing climate variability would strengthen the integration of climate change risks into the work on disaster risk reduction.

Apart from its significant contributions to addressing sudden and catastrophic disasters, UNDP could focus on chronic disasters such as drought, which is arguably the most serious of the issues facing the country today. Apart from providing an opportunity for working collectively with other UNDP Programme teams, drought has gender-differentiated effects and can potentially reverse the social and economic gains for women across all development programmes and sectors. The present national framework for drought management (as set out in the Drought Manual prepared by the Department of Agriculture) recommends the involvement of women's SHGs and community organisations in drought mitigation, but does not incorporate a capacity-building strategy. With its successful record of large-scale training for communities, the UNDP programme could support capacity development for local groups to enable them to design and implement gender-aware and socially just water management and conservation strategies at the local level.

The weak functional integration of disaster awareness and responsiveness into urban development and urban planning policies and guidelines is a matter of serious concern. There is a strong case to be made for UNDP to undertake a few urban pilots for integrated disaster risk management and vulnerability reduction, with a particular focus on at-risk communities such as people living in unauthorised housing, construction workers and people living in or around industrial estates.

The DRM Programme could consider engaging with the ongoing policy debate on the National Water Policy, which has been critiqued by civil society on the grounds of perpetuating government control over a community resource, and monetising a basic right. This debate assumes added significance in view of the recent adoption of the UN resolution affirming the right to water and sanitation as basic human rights¹⁰. UNDP could play a leading role in developing a rights-based policy framework for prevention, risk reduction, management and mitigation of drought, and mainstreaming this perspective into national disaster policies. Issues of social inclusion/exclusion are critical to such a policy framework. It is noteworthy that while other disasters tend to bring people together and increase community solidarity, drought divides communities along the lines of systemic hierarchies of power to compete for a dwindling resource.

3.5 HIV/AIDS

UNDP supports the government's efforts to reduce HIV and AIDS amongst vulnerable groups and to promote the rights of the marginalised including sexual minorities and people living with HIV. As part of the UN response, UNDP works to address structural inequalities, social biases and power imbalances that

10 UN General Assembly Resolution GA/10/967

increase vulnerability.

UNDP supports the National AIDS Control Organisation (NACO) in working with most-at-risk populations like migrants, men who have sex with men and transgender people as a key strategy to prevent the spread of HIV. It supports the government's strategy of mainstreaming of HIV in development responses as a means to address the underlying causes of HIV prevalence in India and to ensure social protection to people, especially women, living with HIV and AIDS.

UNDP works with men who have sex with men, transgenders and people living with HIV to strengthen their capacities to demand services, with non-health ministries to integrate HIV prevention in their work and with nine state governments and a host of civil-society organisations to build their capacities to provide information and services on HIV to the most vulnerable and at-risk.

UNDP works with critical stakeholders to help create an enabling environment for marginalised groups, reduce stigma and promote human rights. It works with the government to strengthen legal aid services available to communities and sexual minorities living with HIV. UNDP assists NACO and State AIDS Control Societies in addressing unsafe mobility and preventing HIV amongst migrants.

3.5.1 Progress dashboard

The progress on the CPAP outputs have met expectations and are on track. The programme has been able to deliver more than the targets in spite of the constraints it has worked under. The work on sexual minorities has exceeded expectations with regard to the preparatory assistance project for men who have sex with men and transgenders. Work has to be initiated to take forward the results achieved in the preparatory assistance phase.

3.5.2 Highlights of achievements

- Policy support was provided to NACO to develop national policies for gender and HIV, for greater involvement of people living with HIV, development of a programme framework for reducing HIV vulnerabilities of migrants and the formulation of the third phase of the National AIDS Control Programme.
- UNDP conducted the first-ever study on the socioeconomic impact of HIV on households. The study is widely quoted by the media, the government, and the United Nations. Four countries in Asia have initiated similar studies.
- The capacity of communities to protect themselves from HIV, and of service providers has been strengthened by providing information and training to 15.6 million people, including NGOs, marginalised groups, trafficked survivors, judiciary, youth, women, faith-based leaders, government officials and police personnel. Greater involvement of people living with HIV and AIDS (GIPA) has been supported by organising the first management course for 93 people living with HIV in India,

supporting 29 district level networks of people living with HIV, and setting up pilot legal aid clinics in two states for people (especially women) living with HIV.

- 35 government schemes have been amended to include people living with HIV and thus strengthened social protection. For example, more than 650 widows of HIV/AIDs are accessing pension through the amended widow pension scheme of the government of Rajasthan.

In a sector that is densely populated with interventions and actors, UNDP's HIV programme has been able to identify, and effectively occupy a unique niche where its contributions are recognised, valued and acted on. The fact that the programme focuses, on two highly stigmatised communities with very specific needs (transgenders and men who have sex with men) and the virtual invisibility of these two groups to policy makers in non-health sectors, has certainly contributed to making UNDP's limited resources go a long way in terms of visibility, attribution and policy impact.

It is an unfortunate fact that individuals and organisations who work with sexual minorities (like transgenders and men who have sex with men) are themselves marginalised on the development map, and face a considerable degree of stigmatisation by development actors who do not see sexuality as a development issue and who oppose the integration of sexual minorities into the national policy framework. Advocates for the rights of sexual minorities have frequently been the target of physical attacks from right-wing groups, even more so if they are themselves members of a sexual minority. In such a situation, it is easy to understand why UNDP's principled support, small as it is in financial terms, is so highly valued by partners in this programme. UNDP is to be commended for having been able to build this positive relationship with its counterparts and partners under this programme.

3.5.3 Challenges

The programme functions within a complex network of collaborations and has to align itself with the goals of national programme, the CPAP, UNDAF and the joint UN workplan on HIV/AIDS. This sometimes results in delays in decision making that slow down the pace of work on the ground.

The UNDP programme has had to respond to the constantly evolving global debate around the efficacy of mainstreaming as a strategy (particularly in a situation of low incidence as in India), and the changing contours of the epidemic in India. Balancing the needs and expectations of the community, development partners and governments, against dwindling resources has been a challenge.

3.5.4 Way Forward

The wide coverage and dispersed nature of interventions under the HIV/AIDS Programme are difficult to assess in terms of their strategic outcomes. While influencing policies and structures certainly demands a package of strategies, it seems over-ambitious for UNDP with its limited resources to attempt to implement

the entire package, from awareness-building to organising, from environment-creation to legal reform, and from campaigns to policy consultations.

In our view, the UNDP HIV/AIDS programme would benefit from a sharper focus and more strategic positioning within the larger canvas of intervention on this issue, particularly in view of the possibility of even greater resource constraints. A discussion along these lines needs to be initiated without delay, since it has implications for both counterparts and partners. The possibility may be considered of focusing on a few selected non-health issues for taking up research and data collection followed by evidence-based advocacy. Another option could be to focus on mapping and documenting the entire range of HIV-related, social and economic vulnerabilities of one particular vulnerable group, for instance transgenders.

The UNDP HIV programme could capitalise on its network of organisations of, and for, people living with HIV, transgenders and men who have sex with men, to focus on documenting and collecting evidence of the multiple marginalisations and injustices faced by these groups. The possibility of undertaking a participatory action research study on a collectively identified issue of exclusion (for instance, the issue of exclusion of people living with HIV and transgenders from poverty and employment programmes; or the exclusion of men who have sex with men from reproductive health programmes and programmes against gender-based violence) should be considered. Apart from generating evidence on an invisible and silent issue, such an initiative would build the capacity of the concerned organisations to design and carry out advocacy campaigns on their own.

Building on its work on stigma and social inclusion, UNDP needs to work with the relevant stakeholders to repeal laws, processes and practices and facilitate an enabling environment maximizing access of HIV related prevention and treatment services for all with an assessment of the impact on the quality of services and the level of satisfaction of users. The idea of getting users to certify service-points as stigma free is an innovative one and worth piloting. The process needs to be well documented and appropriately disseminated. A range of non-health services should be included under this initiative. In the context of being relevant to the national programme, it is essential that UNDP builds on its Mainstreaming work and move from impact mitigation to the continuum between prevention and mitigation. For instance it needs to strengthen the convergence of NACP and National Rural Health Mission for health and community system strengthening to reach the marginalized.

As pointed out for other programmes, the HIV programme needs to build more systematic cross-programme linkages with other UNDP programmes. In particular, the HIV programme may have useful insights to contribute on developing and using multi-dimensional social analysis and vulnerability-mapping tools and methodologies. Linkages could be built with the work on access to justice under the Governance Programme and the HIV-related work of non-UN development agencies.

It should be possible to collaborate with the Poverty Programme to develop social security and financial inclusion strategies and products appropriate to the needs and situations of transgender communities and people (especially women) living with HIV.

It would be strategic for UNDP to strengthen the networks of marginalised groups created in the earlier phase of the programme, so as to fully capitalise on the opportunities created by the new policy on Greater Participation of People Living with HIV/AIDS (GIPA).

3.6 Integration of cross-cutting concerns

3.6.1 Gender and social inclusion

The identification of women as a marginalised/vulnerable group is reflected across all programmes in the CPAP documentation and inclusion of vulnerable and disadvantaged women and girls appears to be a priority during implementation. Also, some projects under the present CPAP are aimed more specifically at reducing gender inequalities and exclusion through focused initiatives for particular excluded groups (such as Dalits, Scheduled Tribes, transgender people, migrants and internally displaced people).

Strategies for integrating gender equality and social inclusion across programmes include policy analysis and screening of social policies through a gender/inclusion lens to identify exclusionary biases, (for instance, under the HIV and AIDS programme); demonstrating the value-addition of a convergent approach to address issues of gender inequality and exclusion (as in the Livelihood Missions); empowering vulnerable women and men, especially those belonging to excluded groups, to demand accountability (for instance, under the NREGA initiative of the Democratic Governance programme); supporting women's empowerment (as in the recently initiated partnership with IKEA); empowerment of tribal communities (as in most if not all initiatives on natural resource management and the medicinal plants initiative under the GEF Small Grants Programme) and generating strong evidence for constructive policy advocacy and engagement on issues of gender equality and social inclusion (through knowledge products such the recent compendium of expert papers on the impact of the global financial crisis on marginalised groups such as women workers in the informal sector¹¹).

UNDP has provided support for setting up a Gender Budget Cell at the Ministry of Women and Child Development. The Gender Budget Cell has facilitated gender budgeting in 34 central Ministries/departments. Similarly, the Ministry of Housing and Urban Poverty Alleviation was supported to place gender specialists within the Urban Poverty and Livelihood Cells in 12 urban local bodies. These gender experts have been addressing issues of inequality in UNDP supported capacity development programmes with the Planning Commission and State Governments.

11 Kumar, Rajiv et al. (2009). *Impact of the Financial Crisis on India's Poor. Some Initial Perspectives*. UNDP India 2009. <<http://data.undp.org.in/FinancialCrisis/FinalFCP.pdf>>

Except in cases where the project is specifically designed to focus on a particular aspect of gender inequality (as in the examples mentioned above), the focus on gender has been translated almost exclusively in terms of inclusion, with women identified as one among several excluded groups. The fact that gender equality is a prerequisite for sustainable human development and the MDGs does not seem to be integrated as a basic premise of project design.

While there is widespread awareness that institutionalised structures and processes of exploitation are responsible for the exclusion of groups such as Dalits, tribal communities, women, and people living in remote areas, there is little consensus on the actions to be taken to change this situation. There is no organisation-wide strategy to address the systemic and institutional barriers to gender equality that UNDP programmes are confronted with in the field. As a consequence, there is no emphasis on overall tracking or assessment of the gender impacts of individual programmes or of the CPAP as a whole.

3.6.2 Capacity development

The UNDP Strategic Plan 2008-2011 positions capacity development as the organisation's core contribution to development. UNDP's work in India strives to respond to the growing demand for capacity development support by helping government, civil society and other partners to build the skills, knowledge and experience they need to improve peoples' lives.

UNDP conceptualises capacity development as a five-step process that begins by consensus-building on the need, conducting assessments to establish the capacity baseline, suggesting responses based on the assessment outcomes, providing implementation support to the responses and helping with measuring change in capacity.

Capacity development is a central strategy in the present CPAP. Across programmes, capacity development support is provided to national governments, sub-national governments, sector agencies, single ministries or line departments, civil society institutions as well as directly to members of disadvantaged and marginalised groups. The overall mix of capacity development interventions in the CPAP seems to lean towards the "supply side", with the focus on improving delivery through technical and management-focused interventions. While coverage under training programmes is impressive, tracking of outcomes is not built into project design in a consistent manner.

As in the case of gender, the implementation of capacity development activities is not guided by an organisational strategy. UNDP understands capacity development as a process that can operate at the individual, institutional and societal levels. The lack of a strategy, baselines and reporting tools makes it difficult to judge whether the mix and balance of interventions at various levels is appropriate to the context, and whether opportunities for synergies are being capitalised.

3.6.3 Adaptation to climate change

Climate change is likely to have a negative impact on UNDP's work on the environment, poverty, and disaster risk reduction, and can undermine the quality and sustainability of the results achieved thus far. The CPAP acknowledges the importance of mainstreaming adaptation to climate change concerns in the development and planning process. However a specific output on climate change adaptation was added in the CPAP Result and Resources Framework only in 2009.

Apart from the Environment Programme where climate change is a substantive area of focus, climate change poses risks in the areas of poverty/livelihoods and natural disasters. A broad strategic framework has been proposed for integration of adaptation issues, with the goal of making all UNDP interventions climate-resilient and climate change responsive. Ongoing efforts to better integrate climate risk concerns into UNDP practice areas (which has been recognised as needing to be strengthened) have produced some initial promising results, such as the integration of a few adaptation activities into the Annual Workplan for 2010 of a few projects, and some in-house awareness-raising/capacity building activities on adaptation. However, since this is a relatively new area of work, these efforts are still in the initial phase and need to be more systematic.

The proposed strategy envisages an increased role for UNDP as a source of technical and policy support on this issue at the national level. Dialogue has been initiated with government counterparts and efforts are being made to access resources for developing and implementing the adaptation strategy. Funds from the Global Environment Facility (GEF) and the Adaptation Fund are being sought to launch a National Climate Resilience Development Project.

The main challenges in integrating adaptation to climate change across programmes are limited awareness of the impacts of climate change on the activities and outcomes of the project at the design stage and a focus on short-term outcome/outputs; limited capacities on integration of climate risks and concerns and limited resources available for this purpose and the lack of an adequate incentive and accountability system. The full and successful integration of climate risk concerns will require systematic efforts to increase the awareness, understanding, and capacity of programme staff. Catalytic resources for this purpose have to be secured at least in the initial stages. More importantly, the right set of incentives can ensure that mainstreaming of climate change adaptation becomes a bottom-up rather than a top-down process.

The remaining period of the CPAP offers an opportunity to move ahead on implementation of the proposed strategy. New projects to be funded under the recently replenished Global Environment Facility (GEF-5) offer a good entry point for integrating climate change responsiveness into project design. Similarly, the roll-out of the Adaptation Fund offers a funding opportunity to support the Government in scaling-up adaptation interventions in rural areas.

3.6.4 Knowledge sharing and south-south cooperation

UNDP has identified South-South cooperation (defined as a process of cooperative exchange of knowledge, resources, skills and technical know-how between developing countries) as a priority approach for capacity development. In India, UNDP has been a consistent and active advocate for South-South cooperation and has supported numerous platforms for exchange of experiences, sharing of best practices and building learning communities.

UNDP India supported the Confederation of Indian Industries (CII) financially and administratively from 2001 to 2003. This collaboration facilitated business deals and economic linkages between the Indian business community and other countries in the South.

Numerous initiatives for sharing and disseminating the Indian development experience have been attempted under each of the programmes in the present CPAP cycle. Apart from conventional learning events such as international workshops and exposure/exchange visits, UNDP has supported the development of innovative learning platforms like the “South-South Citizenry-Based Development Academy”, which was launched in India with a workshop on disaster risk reduction and reconstruction in January 2010.

Some of the key initiatives for South-South cooperation in this CPAP are

- International conferences on conditional cash transfers, the National Rural Employment Guarantee Programme and the Right to Information Act.
- Learning exchanges with Brazil and Chile on ICT for development.
- Exchanges and workshops on decentralised governance with Thailand, the Philippines and Vietnam and on sub-national HDRs with Indonesia; regional workshops on human development reporting and databases for human development and an online course on human development.
- Experience-sharing on phase-out of CFCs through networks established under the Montreal Protocol.
- Learning exchanges on conservation of medicinal plants with Brazil, Kenya and South Africa.
- Workshop with UNDP country offices to share and discuss the socio-economic impact study undertaken by the HIV/AIDS Programme, leading to the initiation of similar studies in other countries.
- Multiple rounds of exchanges, capacity-building and hands-on technical support on disaster risk management with UNDP offices, governments and NGOs in Afghanistan, Iran, the Maldives, tsunami-affected countries in South and South-East Asia.

As one of the government counterparts interviewed in the course of the MTR pointed out, the notion of South-South cooperation has a national relevance within a country like India, where there are wide disparities in development indices between States and regions, and where physical distances and differences such as language create barriers to exchange of information and the dissemination of new ideas

and best practices. The UN Inter-Agency Solution Exchange initiative is an innovative approach to this problem, and is recognised as an international best practice in building learning communities. The initiative connects people who share similar concerns and interests, and builds solidarity and collaboration towards meeting India's MDG targets and the 11th Plan goals of inclusive, equitable, just and sustainable development.

There are at present 13 thematic “Communities of Practice” (on education, AIDS, climate change, decentralisation, disaster management, environment, food and nutrition security, gender equality, maternal and child health, ICT for development, microfinance, water, work and employment) with a combined membership of over 30,000. UNDP supports four such communities and hosts the secretariat for the overall coordination of the initiative.

The Solution Exchange initiative brings together large numbers of development practitioners, researchers, policy makers and private sector organisations and has a much higher coverage and quality of discussion than other similar portals. The idea has now been picked up by UN country teams in other countries like Thailand, Bhutan and Indonesia.

UNDP needs to strengthen its internal capacities and institutional systems for knowledge management. Documentation of lessons from ongoing initiatives given that harnessing information and knowledge for effective evidence-based advocacy remains a central strategy for UNDP at both the global and India levels, building internal capacities and ensuring professional standards of rigour in monitoring, documenting and analysing the knowledge generated through field interventions merits a higher priority and a greater investment of time and resources.¹²

3.7 Financial and operational issues

Table 3.3.1 below shows the year-wise allocation of resources, and expenditure pattern to date, under this CPAP. Despite improvement in the pace of implementation in 2009 (with 100 percent delivery on both physical and financial targets) only around half of the USD153 million allocated for the period 2008-2010 has been spent so far. This reflects the long start-up time of projects across the portfolio – although the official start date of the CPAP is 2008, the process of developing project briefs and getting them approved took much longer than anticipated. The CPAP planning cycle has been fragmented and the process spread out over almost three years, with project briefs being signed and approved well after the CPAP was signed. As a result, actual work in the field began in mid- to late 2009 in most cases.

Table 3.3.1 CPAP allocations by year and actual expenditures till date

12 Specific recommendations on strategic knowledge management are given in Section 5.5.4 (“Synthesising and sharing knowledge and lessons”).

(figures in million USD)

	Allocations			Core	Expenditure	
	Core	Non-core	Total		Non-core	Total
2008	13.5	36	49.5	15	21.2	36.2
2009	15.2	36	51.2	20.3	12.3	32.6
2010	16.4	36	52.4	5.9	2.5	8.4
2011	12.7	36	48.7			
2012	12.2	36	48.2			
Total	70	180	250	41.2	36	77.2

Table 3.3.2 shows the programme-wise break up of spending. The varied rates of spending under different programmes reflect delays in finalising and signing annual workplans, as well as operational issues such as time-consuming procedures, changes in programme staff and government counterparts, and gaps in information flow. Moreover, UNDP programmes represent only a small part of the overall portfolio in most counterpart Ministries and are therefore placed low on the list of priorities, especially in situations where utilisation of Plan funds needs to be stepped up.

Table 3.3.2 - CPAP allocations and cumulative expenditures by Unit till date (figures in Million USD)

Programme Unit	CPAP Allocation (2008-10)									Expenditure (2008-10)								
	2008		2009		2010		Total Allocation			2008		2009		2010		Total Expenditure		
	Core	Non-Core	Core	Non-Core	Core	Non-Core	Core	Non-Core	Total	Core	Non-Core	Core	Non-Core	Core	Non-Core	Core	Non-Core	Total
Poverty Reduction	2.50	6.00	4.20	6.00	5.90	6.00	12.60	18.00	30.60	2.64	2.50	4.27	1.60	1.31	0.42	8.22	4.52	12.74
HIV and Development	2.00	2.00	2.00	2.00	2.00	2.00	6.00	6.00	12.00	1.16	1.70	3.82	0.46	0.86	0.07	5.84	2.23	8.07
Democratic Governance	4.50	6.00	4.50	6.00	5.00	6.00	14.00	18.00	32.00	4.97	1.20	6.79	0.44	2.10	0.20	13.86	1.84	15.70
Disaster Risk Reduction	2.00	2.00	2.00	2.00	2.50	2.00	6.50	6.00	12.50	3.45	7.00	3.91	0.99	0.86	0.23	8.22	8.22	16.44
Energy & Environment	2.50	20.00	2.50	20.00	1.00	20.00	6.00	60.00	66.00	2.02	8.32	1.47	8.10	0.80	1.00	4.29	17.42	21.71
Total	13.50	36.00	15.20	36.00	16.40	36.00	45.10	108.00	153.10	14.24	20.72	20.26	11.59	5.93	1.92	40.43	34.23	74.66
Total (Core+ Non-core)	49.50		51.20		52.40		153.10			34.96		31.85		7.85		74.66		

CDSS and Pol. Advocacy expenditure included in Governance and Poverty units respectively
 2008 expenditure: \$1.3m [= (Core- PIP - \$0.6) ; (Non-Core - KM - \$0.70)] not reflected above
 2009 expenditure: \$ 0.9m (= KM -\$0.58m; DAS-\$0.32m) not reflected above
 2010 expenditure as of 5 July 2010: \$0.56m =(KM \$0.25m; DAS \$0.3m) not included above

Table 3.3.3 shows the performance in terms of mobilisation of non-core resources. Core resources constitute less than a third of the overall resource envelope of USD250 million for this CPAP. The bulk of non-core resources come from the Global Environment Facility and the Montreal Protocol funding envelope.

Table 3.3.3 - CPAP Non – core allocations and resources mobilised till date (figures in Million USD)

	2008	2009	2010	2011	2012	Total
CPAP Allocation	36	36	36	36	36	180
Resources Mobilized	21.2	12.3	22.4	31.1	24.86	111.86

2008 - Actual delivery inclusive of KM

2009 - Actual delivery inclusive of KM & DAS

2010 - inclusive of DAS and KM

Note: Total non-core \$111.8m inclusive of carry forward \$26m (GEF/MP), \$11.9m Non GEF, and &.7m DAS. New RM as of date therefore is \$73.96m**

** (Total Resources \$111.8m - carry forward resources of \$37.9m (i.e. \$11.9m+\$26m) = new resources mobilised \$73.96m (includes \$53m GEF/MP and \$20.96m 'other' resources)

The improvements in delivery during 2009 are attributed to increased ownership and better understanding of internal business processes by implementing partners, more rigorous monitoring by UNDP staff, prompt problem-solving, and strengthened capacities of project staff in use of basic project management tools. UNDP would need to institutionalise these success factors through putting together a simple handbook (perhaps in a 'frequently asked questions' format) for orientation of partners and project staff; activating programme steering committees as a mechanism for prompt identification and resolution of operational problems; re-energising existing systems for quarterly reviews jointly by programme staff and the Resource Management Unit and streamlining internal processes as far as possible.

Project staff (including the management and technical support units set up within line Ministries) play a significant role in ensuring efficient implementation of UNDP interventions. About 10 percent of total expenditure per year (about USD2.5 million per year) is booked to salaries of project staff. A review of the roles, responsibilities and competencies of various categories of project staff is necessary for strengthening project management, avoiding duplication of roles among project staff and UNDP Programme staff and ensuring a more rational deployment of human and financial resources. The costs and benefits of different options – setting up a dedicated programme management unit within the line Ministry, placing experts within the bureaucratic hierarchy, tagging consultants with Programme Directors, placing UNVs in field areas

– need to be investigated.

The UNDP CO provides hands-on financial and management services for programme implementation, including procurement of materials and recruitment of personnel for some programmes. This arrangement has been requested by counterparts since it is felt that UNDP has more flexibility and a faster response time in such matters than the government machinery. However, provision of these services places a significant workload on the CO, slowing down the process of implementation and affecting the extent and quality of substantive inputs to the programme. The implication of this arrangement for the notion of national ownership may need to be considered.

The donor environment in India has changed in the last two years, with shifting donor priorities, significant constriction in traditional sources of non-core resources and limited resource mobilisation opportunities. As a result, UNDP India's reliance on resources from the Global Environment Facility and Montreal Protocol has increased sharply. However, spending from core resources has been more than from non-core resources, indicating the comparative inelasticity and long gestation time of the GEF projects that make up most of the non-core portfolio.

Despite the relatively healthy overall medium term picture, UNDP needs to immediately explore new sources and methods of resource mobilisation in order to meet its obligations under this CPAP. An effective resource mobilisation strategy incorporating a focus on non-traditional donors, should be put in place without delay in order to avoid the risk of having to scale back on ongoing programmes.

UNDP's credibility as a trusted partner of the Government of India is its greatest asset. This partnership owes its strength to the close alignment with national priorities of UNDP's work, national implementation and national ownership, flexibility and responsiveness in meeting jointly identified needs and ability to mobilise human and financial resources for experimentation and innovation. It is important for UNDP to retain these qualities, and ensure that administrative and procedural bottlenecks do not slow down the pace of programme implementation.

UNDP should take forward the exercise (initiated during the MTR process) and review various implementation modalities being used at present to build a clear understanding of the costs and benefits of each. Experiments in the current cycle (such as the joint implementation modality proposed for the Financial Inclusion project) should be assessed jointly by the Programme Division and the Resource Management Unit, with respect to flexibility, responsiveness and delivery.

4. CPAP impacts: some early trends

Although the CPAP clock began counting down in 2008, activities under most of the programmes and projects actually began in mid-2009. It is therefore too early to assess their outcomes and impacts.

However, the detailed scan of projects undertaken during the MTR process reveals some early positive trends, indicating that CPAP programmes have moved fast and shown quick impacts when they operate in spaces where UNDP already has credibility and expertise, and build on earlier successes. The highlights are summarised below.

4.1 Using pilot projects to leverage change in mega programmes

Owner-built housing under the Kosi River Rehabilitation programme is a pilot where the commitment to upscaling if the experiment was successful was secured in advance. The UNDP Disaster Risk Reduction Programme supported the work of the Owner Driven Reconstruction Collaborative, a group of civil society organisations involved in community-led disaster reconstruction. UNDP resources (with some private sector support) funded a small pilot for construction of 130 houses in Orlaha and Puraini, where the beneficiaries – all women - were given cash and basic technical and social assistance to rebuild their homes. The project activities included mobilisation and awareness raising of the concerned communities, credit access for the families involved, technical assistance and training of masons in disaster resistant construction using locally available techniques and materials and cash transfers to the families for construction. The entire process was closely monitoring and documented. The houses the women have built for themselves are safe and comfortable, with an ecosan toilet, a storage room and a small veranda. The Government of Bihar has taken a policy decision to fund construction of houses through this process for 150,000 families, and will incorporate some of the features of this project into its Rural Housing scheme.

4.2 Mainstreaming transparency and accountability in national poverty reduction efforts

UNDP has been successful in building a strategic collaboration with the Mahatma Gandhi National Rural Employment Guarantee Scheme, the largest rural employment scheme in the world with a budget of US\$8.5 billion that reaches over 200 million of the poorest people in India, half of whom are women. Through a partnership with the Ministry of Rural Development, UNDP's small resources of less than US\$1.5 Million annually was used to improve the system of payments to workers, strengthening of management and monitoring systems, and development of social audit guidelines. UNDP resources supported the

technical team in the Ministry of Rural Development and were used for policy research and to set up a Professional Institutions Network for third-party monitoring. UNDP helped to set up an e-network of District Magistrates for knowledge sharing and mutual learning. UNDP has facilitated the sharing of lessons and best practices on this social protection programme through international conferences in Delhi (2009) and New York (2010).

4.3 Flexible support for experimenting with new approaches to social security

The International Conference on Conditional Cash Transfers organised in Delhi (2009) under the UNDP created interest in cash-based social protection programmes. As a follow up to the conference, UNDP helped set up a National Advisory Board under leadership of the National Planning Commission, to examine the issue and make policy recommendations. A UNDP supported pilot Conditional Cash Transfer project has been launched in Delhi and will generate essential evidence for the possible scaling up of such strategies in the country.

4.4 Expanding the application of Human Development Reports

The year 2009 marked a decade of collaboration between the UNDP and the National Planning Commission on human development. The collaboration has been actively and successfully advocating and supporting the adoption of human development approach to planning at the national, state and district levels. HDRs from Chhattisgarh and West Bengal have been recognised as global exemplars. UNDP's collaboration with the Planning Commission which continues under the present CPAP, has contributed to building a national pool of capacities to measure, track and monitor human development, and has influenced national and state planning exercises including the 11th Plan. Disaggregated Human Development Indices have been computed for Scheduled Castes and Scheduled Tribes, and a working group at the Planning Commission has designed a methodology for estimating district level poverty. Guidelines and model district HDRs are now enabling government to better localise MDGs. The Ministry of Home Affairs has directed that District HDRs should replace "District Gazetteers" (relics of a colonial mindset) as the official source of data at the district level.

4.5 Strategic positioning on climate change

The Government of India and UNDP are in agreement that climate change is a development issue and cannot be addressed in isolation from issues of growth, poverty reduction and achievement of the MDGs. UNDP has used this CPAP to position itself strategically in the climate change canvas by supporting access of the poor to renewable energy, linking biodiversity protection and land-degradation projects to sustainable livelihoods promotion, promoting energy efficiency for small and medium high energy enterprises, and

supporting capacity development of national and state policy makers in mitigation and adaptation to climate change. UNDP is advocating for formulating state climate change action plans and towards mainstreaming climate change in flagship poverty programmes. The UNDP programme has demonstrated models/pilots that enable market transformation towards environmentally friendly technologies and strategies especially in the area of energy efficiency and renewable energy technologies. The UNDP Programme provided critical support to the complete phase out of CFC's in India in 2009, two years ahead of time.

4.6 Strengthening capacities for local governance

Local governments are a critical link in the process of implementation of government initiatives and development programmes. UNDP has supported capacity development of government officials as well as elected representatives through development of State strategies and strengthening of State Training Institutes. An inter-ministerial coordination committee has been established and a capacity assessment tool is being rolled out. UNDP is working with seven State governments to develop a strategy for implementation of the National Capacity Building Framework, including identifying a pool of resource persons, developing learning material and developing partnerships with NGOs for effective delivery of training programmes.

4.7 Putting disaster management on the national agenda

UNDP has played a key role in putting disaster management on the policy agenda of the Government of India. Following a series of natural disasters in the last decade, UNDP initiated a massive community based disaster preparedness programme covering 176 multi-hazard prone districts, set up Emergency Operations Centres in 140 locations and put early warning systems in place in 444 villages. The programme made a direct contribution to the Disaster Management Act and the establishment of the National and State Disaster Management Authorities. The models developed by UNDP India have been recommended for upscaling in the 11th National Plan.

4.8 Mainstreaming the needs and concerns of marginalised groups into national policies

The work of the UNDP HIV/AIDS with transgenders and *hijras* has succeeded in bringing these hitherto invisible groups to the attention of policy makers including in non-health sectors. The programme is based on a mainstreaming approach that combines interventions to raise public awareness and address stigma; analysis of social sector policies through an HIV lens; setting up and/or strengthening networks of marginalised communities; and building the capacities of both duty-bearers and rights-holders. Advocacy backed by rigorous research and evidence collection (such as a study on the socio-economic impacts of HIV

at the household level and one on the impact of ART therapy on the work life of people living with HIV) has informed national policies and has established UNDP's credibility as a source of reliable and accurate technical information and support.

Further details on the extent to which government resources have been leveraged through UNDP programmes are presented in Appendix 4.

5. Findings and recommendations

This section addresses the question “Are programme focus areas, planned outcomes and strategies optimally aligned and operationalised to maximise their contribution to priority development challenges in the country?”

This section also makes recommendations for UNDP to better align its programmes and resources to continue to provide strategic support to the Government of India.

5.1 Focus areas

The CPAP objectives continue to be relevant in terms of their congruence with the overall development context and their alignment with the UNDAF framework. The five mutually reinforcing areas in the CPAP – poverty reduction, democratic governance, disaster risk reduction, HIV and AIDS, disaster risk reduction and environmental sustainability – between them cover key arenas of action for achievement of MDGs 1-7.

The concentration of interventions in the seven UNDAF focus States is strategic, since these States rank low on human development indices, with a high percentage of poverty. Moreover, these are sites where the chances of effective convergence with other UN agencies is highest.

The identification of women, Dalits and Adivasis as key constituencies is appropriate since these groups continue to face systemic barriers in claiming their rights and accessing their due share of development benefits.

The programme review shows fairly satisfactory progress against results. It is noteworthy that, in many cases, it is difficult to draw a clear boundary between the results and outcomes of work under this CPAP and work done in the previous phase. Some positive trends, in terms of upscaling and mainstreaming of UNDP initiatives, are seen in sectors or geographical areas where UNDP already has a strong presence and where the current CPAP builds on and takes forward the groundwork done during the previous phase, rather than breaking entirely new ground.

5.2 Outcomes

While it has been possible to assess the progress of individual programmes against the planned results (as has been done in the previous sections), a rigorous assessment against planned outcomes is not a

straightforward or easy exercise. Partly, this is because of the slow start-up and the fact that many projects have not completed even one year of implementation on the ground. Now that the pace of implementation is picking up, an overall monitoring plan for the CPAP needs to be put in place without delay. One way to streamline the monitoring system is to establish taskforce on cross cutting issues by drawing staff members across units. Such taskforces, in addition to monitoring, can also help to explore synergies across focus areas

Gaps in the monitoring and evaluation framework for the CPAP need to be urgently addressed. In several cases, baselines are yet to be established or need to be updated. There is a lack of fit between CPAP outcomes and the indicators identified for tracking them. The M&E framework leans heavily towards quantifying inputs (for instance “number of knowledge products produced” and “number of HDRs prepared”) as compared to assessing the quality of outputs (eg “use of knowledge products by key actors” and “gender responsiveness of new HDRs”). While social inclusion is specified as one of the expected result under most programmes, indicators to track progress on this front are not always included.

5.3 Strategies

The CPAP is directed to providing support to national programmes and priorities of the Eleventh Plan. “Generic” strategies that operate across programmes include

- capacity development and institutional strengthening at multiple levels;
- developing and testing mechanisms for increasing the inclusiveness, efficiency and accountability of national initiatives in key sectors;
- investigating the needs and priorities of vulnerable groups, then testing and promoting ways to address them within the framework of national priorities and policies;
- building partnerships to maximise benefits to vulnerable and marginalised groups;
- building community and individual capacities to engage with development and claim entitlements under various programmes.

Overall, the strategic focus of the CPAP is skewed towards the “supply side” of the development equation. Although community-based interventions are included under every programme (in some more than others), the majority of interventions are directed to strengthening government initiatives, and bringing women, Dalits and other marginalised groups into their ambit. This approach could be read as a strategic one, given that a strong demand for inclusive development has already been created, thanks to the efforts of a range of actors in the political, social, civil society and developmental domains.

The central strategy for addressing the issue of social exclusion - improving the targeting, outreach and management of government programmes - appears to be based on the assumption that equality of opportunity will automatically translate into equality of outcome for marginalised groups. This strategy does not take into account the deep-rooted institutional and systemic biases that are embedded in institutions of development (both formal and informal), and that constrain the ability of marginalised groups to take

advantage of opportunities. The gap between policy and practice often leads to marginalization of disadvantaged groups. In order to address these gaps, institutions at various levels need to introspect on the social norms and values that lead to these gaps and the potential negative impact that they have particularly on women and Dalits.

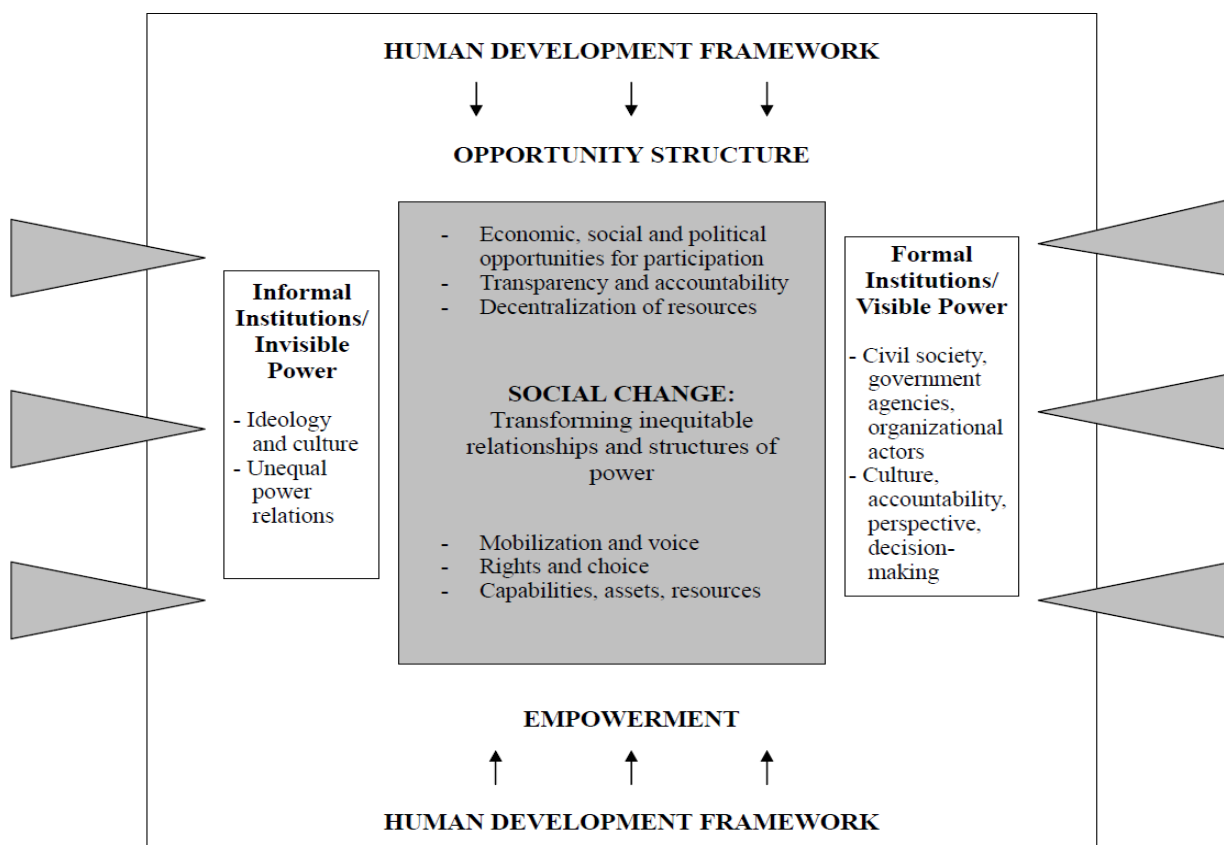
Some of the possibilities for UNDP to identify and address such institutional biases have been pointed out in relation to individual programmes.

5.4 Recommendations

“Inclusive growth” is a long-term vision that is contingent on a process of change and transformation in the goals, institutions and processes of development. In order to maximise the contribution of the CPAP towards this change process, UNDP would need to

- articulate the “theory of change” that underlies the CPAP
- strengthen synergies across programmes to address exclusion and promote inclusion
- put in place organisation-wide strategies for monitoring, process documentation and integration of gender and other cross-cutting issues across programmes.

5.4.1 Articulating a “theory of change”



The concept of human development is UNDP's unique contribution to the discourse and practice of development and provides a theory of change that can guide its work.

The power of this concept derives from its ability to place economic growth within the larger framework of human rights, demonstrating the integration of social and economic goals as equally critical to development. The Human Development framework thus broadens the focus of development theory beyond economic growth to include the processes by which growth is achieved, and beyond the manifestations of inequality to the processes by which inequalities are created.

The Human Development framework has an immediate resonance in a national context characterised by slow progress on MDGs, persistent inequalities and widening socio-economic disparities. Applying a Human

Development lens to the Indian situation makes visible the reasons for the so-called long standing “conundrum” of Indian development – a strong rights-based policy framework and opportunity structure which fails to deliver on social goals, and robust economic growth that reinforces rather than eliminates traditional patterns of inequality and exclusion. The “missing link” is an institutional analysis, which (although well recognised) remains largely unacknowledged and unarticulated at the policy level.

The concept of Human Development can therefore provide a unifying chapeau for the various programmes and interventions under this CPAP and explain how they contribute to the goal of “inclusive growth”. It can function as a lens through which to scrutinise and “read” the underlying logic of the CPAP, and to monitor its outcomes and impacts. For instance, by making visible the deep-rooted structural and institutional hierarchies that constitute insurmountable barriers for those on the margins, UNDP can move beyond the notion of “inclusion” as “coverage” through targeted projects (as is presently largely the case) to piloting interventions that, along with achieving their immediate objectives, can also facilitate changes in the structure and functioning of development institutions, including UNDP itself.

5.4.2 Building synergies across programmes

The chances of achieving the outcomes of individual projects in sustainable ways can be enhanced by building synergies between diverse interventions. Several opportunities for building such synergies have been highlighted under specific programmes. More such opportunities can be jointly identified by Programme Units.

Apart from securing programme-specific results and benefits, integrated and cross-programme interventions are opportunities to steer the CPAP in the direction of its larger goal of explaining how mechanisms of social exclusion operate, and demonstrating ways of dealing with and neutralising them.

The Human Development framework offers a practical platform for integrated and cross-programme interventions, starting with the identification of key domains of change. Given that the CPAP has so far focused on expanding and strengthening the opportunity structure for human development, UNDP could use the remaining period to sharpen its focus on strengthening the capacity of communities to take advantage of these opportunities, and to address the systemic exclusionary biases within selected formal and informal institutions of development. This shift in focus will not require any major re-engineering of CPAP commitments, as is clear from the possibilities within different programmes have been flagged in earlier sections of this report.

The exercise of developing an action plan monitoring framework for these integrated projects should be undertaken jointly with government counterparts and implementing partners. Since most if not all flagship programmes of concern to UNDP are positioned in relation to national MDG targets, the menu of expanded MDG indicators can be used as a starting point for developing the monitoring framework for integrated projects.

5.4.3 Strengthening monitoring of impacts and outcomes

Building synergies between programmes and initiatives under the CPAP will require ensuring that monitoring frameworks and indicators go beyond tracking inputs to capturing results and outcomes in both quantitative and qualitative terms. Equally, it would require strengthening of the monitoring system in the Country Office.

Field monitoring of UNDP interventions needs to be strengthened and systematised. A scan conducted as part of this review showed a very mixed picture of the proportion of time spent by programme staff in monitoring. Monitoring visits in the early stages of project implementation are likely to be focused on practical problem solving and sorting out of operational issues. However, once the project picks up pace, monitoring visits should be used as opportunities for process documentation, including identification of early trends and lessons.

UNDP needs to revisit its monitoring strategy and develop a focused and time – bound action plan and methodological guidelines for monitoring individual interventions as well as the overall outcomes of the CPAP. The Human Development framework can be used as a starting point to identify change parameters and indicators that can capture changes in patterns of inclusion/exclusion.

Monitoring of the capacity development component of various programmes, which absorb a major share of UNDP resources under this CPAP, is particularly critical. As mentioned earlier, it is difficult to judge whether the mix and balance of capacity development inputs at various levels is appropriate to the context, and whether opportunities for synergies are being capitalised. It should be possible to follow through at least some capacity development interventions (such as training for elected women) with an assessment of impacts and outcomes in this CPAP.

As pointed out earlier, the targets and indicators in the present results framework are skewed towards the quantitative and are not conducive to tracking or elucidating qualitative and process elements. The results framework needs to be revisited to remedy this gap. Innovative and participatory tools and methodologies for qualitative monitoring and impact assessment can be developed or adapted to the specific needs of each programme. Available tools and methodologies include the set of tools now being developed by the SPHERE network for mapping caste-based exclusions in disaster responses, or the social audit tools developed by networks of Dalit organisations working with the Right to Food campaign. These can be reviewed and adapted for application to CPAP interventions. This is an area where cross-learning between UNDP and other UN agencies, who are grappling with the same issues, would be mutually advantageous.

5.4.4 Synthesising and sharing knowledge and lessons

Knowledge creation and knowledge management are central to UNDPs overall strategy of contributing to national development. The dissemination and use of knowledge products by the intended audience is essential to the achievement of most CPAP outcomes.

Process documentation is key to upscaling and mainstreaming the innovations and approaches demonstrated through UNDP pilots. This requires a shift away from the “best practice” approach, which sees documentation as a way to showcase successes, to an “action learning” approach based on analysis and reflection at every step of implementation. Process documentation is not a one-off activity - it needs to be systematically integrated into the project cycle, and can even be piggybacked onto monitoring strategies, since it can generate rich qualitative data. Resources for process documentation would need to be built into programme budgets, and a package of tools and methodologies made available to counterparts and implementing partners.

The outputs and lessons of process documentation need to be packaged into “knowledge products” appropriate to the constituency. UNDP knowledge products are generally of high quality and creatively produced. The effort to translate materials into regional languages is commendable. Dissemination is done through e-networks, partner networks and counterparts. A quick scan of the frequency with which UNDP knowledge products are cited shows that the outreach and use of these materials in professional and policy circles has been less than is expected for materials of this quality.

Programme-specific strategies for knowledge-creation and dissemination, nested within a larger communication strategy for the country office, are needed to ensure that UNDP knowledge products flow into the public domain and contribute to the vibrant public debate and discussion on development issues in the country. Information-sharing gateways like the Solution Exchange should be used not only to connect development practitioners to each other for but also to tap into and contribute to the mainstream of public opinion.

5.4.5 Mainstreaming gender

Apart from the CPAP commitment to gender as an element of social inclusion, gender equality is a global mandate and goal for UNDP. Moreover, gender equality is critical to achievement of the CPAP goals of reducing poverty and mitigating hunger, expanding democratic governance, combating HIV/AIDS, reducing vulnerability to disasters, ensuring environmental sustainability while dealing with the impacts of climate change. Thus, implementing the CPAP without promoting gender equality will both raise the costs and decrease the likelihood of achieving programmatic results.

Commendable efforts have been made by all UNDP programmes to reach out to and include women in all their interventions. However, UNDP needs to move beyond the focus on women as an excluded group and begin incorporating actions for gender equality into the structure of projects in a systematic way.

At this point, the overall impact of UNDPs work on gender equality and women's rights in the country is not possible to assess, since there is no organisational gender mainstreaming strategy and no institutional mechanisms for tracking or building synergies between gender outcomes of different projects. The need for technical support to undertake programme-specific gender analysis has been expressed by more than one programme division.

An overall programmatic gender strategy (comprising of an analytical and action framework for addressing gender equality in, and through, programmes) needs to be developed and shared with partners. The operational note on translating gender equality goals into CO programming recently circulated by the Asia-Pacific Regional Centre would be a useful input into the India gender strategy.

There is a huge collection of programmatic gender tools and indicators available on the global gender resource website, which should be accessed and used by programme staff as well as partners. Opportunities for “learning by doing” on gender can easily be incorporated into the ongoing CPAP cycle. For instance, programme staff can be supported to carry out a gender audit of their portfolios, using simple checklists and toolkits developed through a workshop, and perhaps including a field assessment of at least one project using gendered rapid appraisal tools.

6. Thoughts on the way forward

The MTR exercise comes at the mid-point of the CPAP cycle. Over the next two years, UNDP will need to focus on completing its commitments and strengthening ongoing interventions to achieve and secure the results envisaged in this CPAP.

Simultaneously, UNDP needs to begin the visioning process for the next CPAP. This process must begin by analysing and building a consensus with government counterparts on the issues raised in this report. This should ideally be followed by tracking and building a deeper analysis and understanding of the recent changes in the national development context, which provides the canvas for the next CPAP.

6.1 Progress on Millennium Development Goals

The major barriers to meeting the MDG targets by 2015 are identified as the slow rate of decline in poverty, slow progress on child malnutrition and infant mortality in the most populous States (Madhya Pradesh, Chattisgarh, Uttar Pradesh, Bihar, Jharkhand and Maharashtra); extremely slow progress in women's employment and participation in decision-making and slow progress in sanitation coverage.

6.2 Poverty

Official figures suggest that economic reforms have not brought about much change in patterns of poverty. The latest estimation (using the methodology recommended by the Suresh Tendulkar Committee, which combines spending on education and health to the earlier criterion of "one square meal a day") from the Planning Commission, puts the number of poor in India at 32.7 percent of the population, up from 27.5 percent recorded in 2000. An estimated 410 million people in India are living on less than \$1.25 a day, 100 million more than previous estimates. Globally, India accounts for about one third of the people living on less than \$2 per day.

6.3 New vulnerabilities

The last few years have been a period of exceptional turmoil with unanticipated events in the economic, social and political domains that have exacerbated exclusionary trends and created new vulnerabilities with serious repercussions for the country and for the work of UNDP India.

- **The global financial crisis**, which has created a slow-down in the economy, closure of enterprises in the formal sector, reverse migration and decrease in family incomes of the poorest.
- **Hunger** has reached catastrophic levels. The Global Hunger Index 2010 ranks India at 67th place – well below South Asian neighbours Sri Lanka (39th place), Nepal (56th place) and Pakistan (52nd place) - in terms of child malnutrition, child mortality rates and the percentage of adults who are calorie-deficient. India is home to 42% of the world's underweight children.
- **Liberalisation and privatisation** which have led to informalisation of workforce, lower wages, job insecurities, increased cost of living due to phased privatisation, introduction of user charges for basic services and credit squeeze.
- **Crisis in agriculture** with falling public investment, lowered productivity, widespread drought, collapse of livelihoods, increased indebtedness and farmer suicides.
- **Natural resource policies**, with opening up of natural resources (including water, land and forests) to commercial exploitation, acquisition of agricultural land for special economic zones, entry of corporates into mineral-rich tribal areas and large-scale displacement of forest-dwelling communities.
- **Urbanisation of poverty**, with increased migration to cities and urban restructuring policies adversely impacting poor and marginal communities.
- An expanding **informal economy** dominated by women in home-based contract work and domestic work, with low and declining wages and poor conditions of labour.
- **Climate change** is adversely impacting natural resources and undermining rural livelihoods, pushing down agricultural productivity and increasing the frequency of natural disasters and extreme weather events.
- **Drought** has serious and long-lasting impacts on the economy and human development. If current trends continue, India is on the way to becoming a water-scarce country. More than a third of the country is classified as drought-prone and about 50 million people are exposed to drought every year.
- **Extremist activity** is posing a serious challenge to development in a belt of 115 Adivasi-dominated districts. A Planning Commission Expert Committee¹³ found clear linkages between low human development attainments and social unrest in these districts.

6.4 Possible directions for the future

6.4.1 Build on and strengthen the human development platform

13 Government of India. 2008. "Development Challenges in Extremist-Affected Areas: Report of an Expert Group to the Planning Commission" <http://planningcommission.nic.in/reports/publications/rep_dce.pdf>.

Human development is a clear niche for UNDP India. The emerging situation demands convergence between economic and social policies, and UNDP is well-positioned to bring its experience in human development planning and reporting to bear on policies in both 'hard' and 'soft' sectors. Articulating the notion of human development in terms of rights and freedoms for all – “freedom from want” (incorporating the economic and social rights) and “freedom from fear” (incorporating the civil and political rights) - will provide a stronger overall framework and 'storyline' for the next CPAP than the present rubric of “inclusion”.

Moreover, such an approach would facilitate a sharper focus on addressing the structural and institutional underpinnings of inclusion/exclusion, which is emerging as a major concern in discussions on the social policy in the country today. As pointed out in earlier sections of this report, weak synergy between various components of the UNDP programme portfolio limits the overall impact of UNDPs efforts to address inclusion/exclusion. A human development approach can provide the conceptual basis for UNDP to synergise “demand-side” and “supply-side” interventions while addressing systemic exclusionary biases in both formal and informal institutions that impact development.

UNDP should capitalise on every opportunity of consolidating its position as a credible and consistent advocate of human development – by bringing the human development perspective to bear on contested issues, by producing and showcasing human development reports based on rigorous research and analysis, and by being alert to the human development dimensions of emerging issues.

6.4.2 Strengthen MDG-based planning and monitoring

As highlighted earlier, slow progress on MDGs, persistent inequalities and widening socio-economic disparities are central concerns for planners and policy-makers in India. National programmes for addressing poverty, such as the Rural Employment Guarantee Programme, the Rural Livelihoods policy, the National Skills Mission and the upcoming legislation on the right to food are all explicitly pegged to MDG goals. However, experience (including under the present CPAP) shows that monitoring of these programmes usually focuses on delivery, expenditure and numerical targets rather than on outcomes and impacts on the MDGs.

The need to strengthen monitoring systems and move towards outcome monitoring of social sector programmes has been repeatedly underlined by the Planning Commission and highlighted as a major concern. This can be a niche area for UNDP.

UNDP has built strong partnerships through supporting the design and implementation of flagship initiatives such as the State Poverty Missions and the Rural Employment Guarantee Programme. It can build on these, and on the lessons of this CPAP, to take the lead in MDG-based planning and monitoring of key national programmes and policies in sectors of its concern. A broad-based consultative process could be initiated during this CPAP to develop a framework and design a pilot for this intervention.

6.4.3 Advocate for a rights-based and socially just response to climate change

India is playing a key role in global climate change dialogue as the world moves towards developing international norms and standards for carbon reduction. At the same time, climate change adaptation and resilience are likely to become even more critical for India's development in the future. Some initiatives under the Poverty, Environment and Disaster management Programmes in the current CPAP have made a beginning in building an integrated holistic approach to the issue and in piloting some innovations in climate change resilient livelihoods. UNDP should build these into effective vehicles for integration of climate change concerns into the mainstream of poverty policy.

At the same time, UNDP should ensure that all its interventions on climate change reflect a clear and consistent commitment to human development that differentiates its voice on climate change from the general 'noise' on this issue. The near-panic around climate change and the race to find scientific and technological 'solutions' has obscured and shifted attention away from the questioning about development goals and practices that the climate crisis should inspire. As an advocate of human development, UNDP would be ideally placed to remind the public and policy-makers that the central question of climate change is about the goals of development – about “what we really want to achieve for humanity: affluence, justice or mere survival.”¹⁴

UNDP is ideally positioned to advocate for an approach to climate change that recognises its linkages with familiar issues of power, injustice and inequality that have distorted development. Policy decisions – for instance, choosing to invest in decarbonisation of energy technologies as opposed to taxing non-essential and energy-intensive consumption practices – are not, and should not, be guided by science but should be resolved through public debate and a democratic consensus around a normative framework of rights, equality and justice, such as the human development framework.

Such an approach will require UNDP to frame the issue of climate change in a much wider perspective than it does at present. For instance, climate change can no longer be considered the sole or primary responsibility of the Environment Programme – a basic understanding of the issues involved and UNDP's position on climate change will have to be developed across programmes. UNDP would need to develop a more analytical perspective and critique on international instruments and agreements - certainly those directly related to climate change and the environment, but also on issues such as economic growth, free trade, poverty reduction, population management, peace and conflict resolution.

¹⁴ Hulme, Mike (2007). “Climate change: from issue to magnifier”
http://www.opendemocracy.net/article/globalisation/politics_protest/climate_change

6.4.4 Addressing emerging vulnerabilities

UNDP programmes under the current CPAP have sought to reach and impact different groups of marginalised/vulnerable people including (but not limited to) women, Dalits, Adivasis, involuntarily displaced groups, the elderly, people with disabilities and people living with HIV. However, recent economic and climate trends are impacting these marginalised groups in different ways, creating new vulnerabilities and exacerbating existing patterns of exclusion. In order to identify and appropriately address these emerging vulnerabilities in the next CPAP if not in the present one, UNDP would need to develop a comprehensive analysis of economic and social processes and trends, based not only on official data but drawing on the debates within civil society and people's movements on overarching issues such as hunger, forest rights, urbanisation and economic policies.

UNDP needs to develop focused interventions to address the situation of some groups that are now being identified as being at the absolute bottom of the poverty and vulnerability ladder. These include (but are not limited to)

- ◆ Landless or marginal farmer families where the main wage earner has committed suicide.
- ◆ Landless and marginal farmer families and artisanal communities in drought-prone States and disaster-affected areas, particularly Dalits and minorities.
- ◆ Forest-dwelling and forest-dependent communities, particularly those who have been affected by development projects or extremism.
- ◆ Part-time domestic workers, migrant construction workers and self-employed informal sector workers (ragpickers, rickshaw-pullers, food vendors) in urban areas, particularly those belonging to socially oppressed castes and communities.
- ◆ Homeless families, especially seasonal distress migrants, in urban areas.
- ◆ Evicted/displaced households in both rural and urban areas.
- ◆ Families living in caste-specific or community-specific ghettos in both rural and urban areas.
- ◆ Women-headed and child-headed households in all the above categories.

The rapid increase in the pace of urbanisation, along with the exodus from rural areas due to drought or violence, implies that the overall achievement of the MDGs at the national level will increasingly depend on assuring equitable and sustainable development in cities. The urban poor are now a focus of special attention from the Planning Commission and line Ministries. UNDP already has some significant work in the urban sector, and could consider consolidating and building on this in the next CPAP.

As highlighted in earlier sections of this report, the effectiveness of UNDP's work depends on an analytical framework that can capture complex and interwoven issues. An intersectional analysis is a useful strategy for linking the grounds of discrimination (such as gender and caste) to the social, economic, political and legal environment that contributes to discrimination and shapes experiences of oppression and privilege.

UNDP's programme cycle must therefore begin with a detailed and disaggregated baseline analysis of the economic, social, political and cultural situation in the country that enables pin-pointing of groups that exist at the confluence of multiple vulnerabilities.

6.4.5 Gender equality and social protection

UNDP should continue the work initiated under this CPAP in the area of social protection, with a focus on the most marginalised and vulnerable groups that are outside the ambit of existing legislations and policies, such as urban migrants, forest-dependent communities, landless agricultural workers and members of socially marginalised groups. The recent umbrella legislation on social security in the informal has fallen short of addressing the specific needs of different disadvantaged groups (for instance, landless domestic workers, workers in brick kilns and home-based workers), and has been critiqued for creating new exclusions¹⁵. UNDP could develop and test models for providing social protection to such groups, identified on the basis of intersectional vulnerability mapping.

Social protection regimes have major implications for gender equality, through their impacts on the so-called 'care economy', comprising primarily of the unpaid work of women and girls. The global economic crisis is likely to place the care economy under severe strain in India as in other countries, with women's unpaid work filling the gaps created by reduced incomes, increased food prices, weak social protection systems and increased unemployment in the formal sector¹⁶. Women's unpaid care work has wide-ranging implications for the achievement of targets across MDGs 1-7.

UNDP is already focusing on this issue at the global level, and advocating for economic policies that can integrate the productive and care economies¹⁷. The India programme could collaborate with UNIFEM (now part of UN Women) and UNICEF, who are both working on this issue, to develop and test models of social security and combinations of social and economic policies that reduce, support and redistribute care work to enable inclusive growth and enhance gender equality.

UNDP could take the lead in mapping the opportunity structure for women's empowerment and gender equality (including legal frameworks, enabling policies, opportunities for participation in development processes, opportunities for building capabilities and support to facilitate claims for rights and entitlements). The outputs of such a mapping exercise would be a useful input into the UNDAF process, apart from being an advocacy and public education tool for women's rights advocates and a reference manual for policy-makers and administrators.

15 See for instance "A critique of India's Unorganised Workers' Social Security Act"
<http://www.sacw.net/article658.html>

16 Mohideen, Rehana (2009). "When women are badly bruised by the bubble". ISIS.
<http://www.isiswomen.org/index.php?option=com_content&task=view&id=1282&Itemid=200>

17 UNDP Corporate Gender Strategy <<http://www.undp.org/women/docs/Gender-Equality-Strategy-2008-2011.pdf>>

UNDAF's Outcome One: By 2012, disparities reduced and opportunities enhanced for disadvantaged groups, especially women and girls, for the achievement of MDG related 11th Plan Goals, through strengthened policy framework and implementation capacity of large-scale state and national programmes.

Appendix 1: summary of the CPAP outcomes and programme thrusts in the five practice areas.

- UNDP will contribute to this UNDAF priority area through several interventions. UNDP will work with governments in the UNDAF focus states to facilitate design and implementation of pro-poor and inclusive livelihood promotion strategies in support of MDG 1 which aims to eradicate extreme poverty and hunger. It will also engage with flagship national poverty reduction programmes to strengthen their focus on inclusion of marginalized groups. The focus across the programme will be to work with the population groups such as women and men living below poverty line, people belonging to Scheduled Caste and Scheduled Tribes, minority groups and involuntarily displaced people.
- UNDP will support state-level strategies for addressing livelihood challenges in at least four UNDAF states. The focus will be on improving the livelihood security and employability of the poor women and men and marginalized groups in both rural and urban areas and expanding employment opportunities in disadvantaged regions. The state-led strategies will formulate demand driven livelihood strategies derived from a broad-based consultative process with participation by hitherto excluded groups, policy research and review of government programmes and delivery systems. Application of human development principles, viz. equity, efficiency, participation and sustainability will seek to enhance benefits for poor women and men and marginalized groups. The livelihoods and employment generation activities would necessarily integrate concerns and requirements of environmental sustainability.
- Capacity development of public administration and elected representatives will focus on cross-sectoral planning for livelihood promotion and re-orientation of departmental schemes and programmes to address the needs of the marginalized groups and disadvantaged regions. District administration will be supported to foster public-private-community partnerships for livelihood promotion especially in sectors that expand opportunities for the excluded groups.

- Financial inclusion will be promoted through support to a set of interconnected interventions involving: setting up of an innovation fund that supports design and delivery of pro-poor financial products and services (e.g. remittance transfers, collateral free housing credit; market based social security instruments such as micro pension and micro insurance; risk transfer instruments); developing and operationalizing communication strategies to improve financial literacy, particularly among the excluded groups; and capacity development of the poor women and men to demand and access financial services that strengthen their livelihood activities and reduce their vulnerability to risks. Particular attention will be paid to improving access of women to these services.
- With respect to the various national level poverty reduction programmes, UNDP will provide technical support for strengthening their monitoring and evaluation systems to effectively track of participation of and accrual of benefits to the intended beneficiaries. Application of participatory and gender-sensitive monitoring tools in low HDI districts of UNDAF focus states will be used to elicit public feedback, especially from women and people belonging to Scheduled Caste and Scheduled Tribes, on the implementation and impact of these flagship programmes and other interventions. The programme will also disseminate relevant knowledge and national/international good practices for improved design and implementation of inclusive poverty reduction and livelihood promotion strategies.
- In support of MDG 6 combat HIV, malaria and other diseases, UNDAF's first outcome also seeks to support Government of India's efforts towards reduction in the HIV/AIDS prevalence rate amongst vulnerable groups and improved quality of life for positive people. The third phase of the National AIDS Control Programme of the Government of India has adopted mainstreaming of HIV in development responses as a strategy to address multiple facets and underlying causes of HIV prevalence in India. Given this context, UNDP's programme on HIV and Development will support national efforts to mainstream HIV in India's development responses. The Global Task Team's Division of Labour has also assigned UNDP to lead the response for mainstreaming HIV and for addressing issues with respect to migration and HIV.
- The programme will be operational in 25 districts across five low prevalence states (viz. Bihar, Chhattisgarh, Orissa, Rajasthan and Uttar Pradesh) with a focus on inclusion of People Living with HIV, poor households as well as vulnerable and high risk populations such as sexual minority groups, women, male and female migrants and trafficked persons.

Systems will be strengthened through technical support to National AIDS Control Organization and State AIDS Control Societies for mainstreaming HIV in programmes and policies in selected states and districts. Establishment of mainstreaming units in selected central ministries, state councils on AIDS and District Action Groups will be supported to design and roll out action plans, gender-sensitive advocacy and communication strategies and operational guidelines for mainstreaming HIV in programmes, with a special focus on addressing the needs of vulnerable groups. UNDP will also support the joint UN programme on HIV and AIDS in the North - East region.

- Mainstreaming efforts will be harmonized with other partners and experience sharing will be facilitated. Increased collaboration between public sector and civil society organizations is envisaged for addressing the needs of vulnerable groups in selected states and districts. The programme will also foster formation of alliances among diverse stakeholders such as civil society organizations, networks of People Living with HIV, nongovernment sector, multi-lateral agencies and governmental departments.

UNDAF Outcome Two: By 2012, accountable and responsive local government systems, in rural and urban areas, are in place in selected districts/cities (within priority states), which promote equitable and sustainable development to achieve MDGs/local development goals with special attention to the needs of disadvantaged groups, especially women and girls.

- Democratic Governance is central to the achievement of the MDGs, as it provides an “enabling environment” for the realization of MDGs. It is essential for successful delivery of national development and social protection schemes and hence is key addressing concerns regarding the achievement of the MDGs. Within this framework, UNDP’s programme on Democratic Governance will focus on capacity development of elected representatives, particularly women belonging to Scheduled Caste and Scheduled Tribes and government officials at state, district and local levels for gender sensitive and inclusive planning, implementation and monitoring in support of decentralisation. The programme will also focus on strengthening systems and mechanisms that enable poor women and men and excluded groups to access justice institutions at local levels.
- The programme will seek to strengthen the efficiency and responsiveness of elected officials and public administration at state and district levels to the development needs and priorities of disadvantaged groups and women. The institutional and management

capacity of key training institutions such as the State Institutes of Rural Development (SIRDs) and Administrative Training Institutes (ATIs) will be strengthened. These institutions will design and roll out a capacity development plan for elected representatives and public administration for human development analysis, inclusive planning and effective implementation and monitoring of public services, with a specific focus on the needs of poor women and men, dalits, adivasis and minorities.

- With increased government attention to strengthening accountability and transparency at all levels, the programme will support strengthening and institutionalizing of accountability frameworks in these districts. This will involve supporting processes and mechanisms that enable active participation of the poor women and men particularly from marginalised groups, elected representatives and civil society organizations in planning, decision-making and monitoring. More importantly, it will support effective use of public disclosure tools such as social audit, Right to Information Act including gender budgets through ICT-based systems.
- UNDP's ongoing engagement with the National Planning Commission and state planning departments for promoting a human development oriented approach in planning and implementation will be accessed to facilitate integration between state and district plans, including panchayat plans, in the UNDAF focus states. The district level work will also complement the work of all UN agencies under Outcome 3, which seeks to catalyze efforts at district level in support of MDGs, and 11th Plan targets.
- In support of the UNDAF focus on legal inclusion, the programme will build on its current pilot activities in this area and will support interventions to improve the access of poor women and men and excluded groups to formal and appropriate informal justice institutions, in conformity with national and international human rights principles and standards. UNDP will work closely with both the suppliers of justice (duty bearers) and those who need it (claim holders).
- The programme will give special attention to formal and customary laws and practices that hinder as well as enable access of marginalised groups, particularly women, to land and other natural resources that are critical for ensuring livelihoods security. Appropriate institutional and legal responses to identified barriers will be explored and supported. Where necessary, platforms or fora will be created to bring together diverse stakeholders

including representatives of the disadvantaged groups to debate issues, to undertake evidence-based advocacy and to design pragmatic strategies.

UNDAF Outcome Three: – 11th Plan targets related to MDGs are on track in selected districts in each of the 7 priority states.

- The third priority area of UNDAF focuses on convergence among the various departments and agencies at the district level to catalyze efforts to achieve the 11th Plan and MDG targets. The UN in collaboration with other partners, will make a concerted effort in selected identified districts in the 7 priority states for joint and convergent activities, to ensure effective and efficient implementation of development programmes at district level, particularly to create synergies between the resources and programmes of various state departments.
- An integral part of UNDP's strategy will be to support this joint UN initiative. The focus will be on strengthening capacity of District Planning Committees for integrated development planning and decision making that builds from village level and is integrated at block and district levels. Application of tools that ensure wider participation and articulation of local needs and priorities, particularly from women and people belonging to SC/ST and disadvantaged regions within a district, will be an integral part of the planning and monitoring processes. UNDP will support district-level HDRs and integration of Human Development concept in district and village plans. District Planning Committees will be strengthened to minimise duplication and pool resources.
- Mechanisms to ensure inclusion of target communities, especially the disadvantaged, in planning and implementation of district programmes will also be supported.

UNDAF Outcome Four: By 2012 the most vulnerable people, including women and girls, and government at all levels have enhanced abilities to prepare, respond, and adapt/recover from sudden and slow onset disasters and environmental changes.

- In support of the MDG 7, ensure environmental sustainability, UNDP's work will focus on (a) enhancing community and institutional capacities for inclusive and sustainable recovery; (b) enhancing the response capacity for natural disasters; (c) institutionalising disaster risk management systems to ensure their sustainability; (d) mainstreaming risk

reduction concerns in development and planning process including adaptation to climate change impacts; (e) promoting risk transfer mechanisms and (f) supporting the national commitments under the multilateral environmental agreements. In line with the UNDAF focus on promoting inclusion, the programme will address the unique needs of women and vulnerable population groups, especially elderly, children, socially excluded and persons with disabilities.

- The community-based disaster preparedness initiatives undertaken under the existing GOI-UNDP Disaster Risk management (DRM) Programme in 169 most multi-hazard prone districts across 17 states have created widespread awareness about risks from natural disasters and the need for enhanced preparedness at community and institutional levels to mitigate their impact. The new programme will focus on institutionalizing disaster risk management capacities and community based disaster preparedness approach. Coordinated early recovery/response strategies and the “buildback-better” approach will be incorporated into disaster management planning processes. In addition, UNDP will support wide application of social equity tools to ensure a gender-sensitive and an inclusive approach towards preparedness for response and recovery.
- With a view to promote equitable and inclusive response and recovery to disasters, the programme will strengthen capacities of local governments, elected representatives and government personnel at all levels, as well as establish damage, loss and needs assessments tools and uniform beneficiary tracking systems. Finally, the programme will address the mainstreaming of vulnerability reduction and disaster risk management approaches in sectoral departmental plans in existing 17 Disaster Risk Management programme states and other UNDAF states.
- It is recognised that both current development patterns and climate change may accentuate existing risks and result in frequent disaster occurrences. There is growing concern about climate induced environmental changes and their impact on livelihoods and vulnerabilities of disadvantaged groups, especially women. In response to these emerging needs, UNDP will support development/adaptation of cost-effective and gender sensitive hazard, vulnerability and risk assessments including adoption of Disaster and Environmental Impact Assessments and methodologies; capacity development of state and district disaster management authorities and others to integrate these guidelines and approaches. Equally important, adaptability strategies and suitable risk transfer instruments targeted especially at vulnerable groups will be supported as part of

the work on supporting design and delivery of pro-poor and women friendly financial services.

- The development of a techno-legal regime a safe built environment and urban risk reduction will be supported. Emphasis on promoting public-private partnerships will ensure an effective approach to disaster management. Finally UNDP will support knowledge networking for dissemination of best practices and innovative approaches, relying, for example, on the Solution Exchange network.
- UNDAF Outcome 4 also deals with supporting capacities of government and communities to effectively cope with and adapt to environmental changes. UNDP will continue to support government's efforts towards meeting commitments under multilateral environmental agreements through a two-pronged approach involving leveraging of additional environmental finance and supporting activities on the ground that seek to safeguard environmental resources.
- UNDP will provide institutional support to the Ministry of Environment and Forests for addressing global environmental issues and their integration into national environmental goals. This will involve capacity enhancement through creation/strengthening of technical cells within the Ministry and assistance in project development for accessing Global Environment Facility funds. Assistance will also be provided to the Ministry with respect to the multilateral agreements by convening multistakeholder working groups and forums for dialogue and development of position papers with a pro-poor emphasis.
- Strategic initiatives and partnerships with a pro-poor focus will be developed for global and national environmental benefits, building upon ongoing efforts. To that effect, a special focus will be placed on energy efficiency in order to contribute to reduction of Green House Gas emissions in energy intensive industries, transport and commercial sectors, where a burgeoning population and economic growth have resulted in a gap between energy demand and supply. The programme will identify and facilitate access to clean energy and will pilot renewable energy technologies to reduce Green House Gas emissions and local pollutants. Strategic chemical management options will be implemented for reduction of ozone depleting substances and persistent organic pollutants. Biodiversity conservation efforts will be supported through community based initiatives, access to benefit sharing and agri-businesses and market oriented ecosystem

services approaches. In addition to these, specific land degradation issues will also be addressed through plantations in degraded areas and integrated watershed programmes.

- National initiatives for leveraging additional finance, such as Global Environment Facility and Montreal Protocol, will complement the above sectoral interventions for addressing global environmental issues. New and innovative environmental financing mechanisms will also be explored and may include multi donor carbon financing (e.g. Clean Development Mechanism, Millennium Development Goals Carbon Facility, Carbon Fund), ecosystem services, women's access to environmental finance as well as efforts under private sector's corporate social responsibility. Further, effective use of environmental instruments will be promoted for implementation of the National Environmental Plan.
- Finally concerted efforts will be made to ensure that the entire Country Programme is "carbon neutral".

Appendix 2: Terms of Reference of the UNDP India – Mid Term Review of the Country Programme Action Plan 2008-2012

BACKGROUND AND PURPOSE OF THE MTR

The Country Programme Action Plan between GOI and UNDP (CPAP 2008-12) was signed on 27 February 2008 and has a total value of US\$ 250 Million. The CPAP has 7 outcomes across 5 programme areas of Poverty reduction, Democratic governance, Disaster Risk reduction, Energy and Environment, HIV and development. The focus areas of the UNDP India programme are closely aligned to the UNDP Strategic Plan and to the 11th 5 year plan of India. The CPAP is currently being implemented through 60+ projects in partnership with 15 central line ministries, 7 UNDAF state governments, and a number of NGOs and UN agencies. Since the start of the new CPAP approx \$65m have been delivered.

2010 is the year for a Mid Term Review (MTR) of UN's work (as outlined in the UNDAF) in India. The main purpose of the UNDP MTR is to assess whether UNDP is on the right track in India considering the changing country situation and the comparative advantages of UNDP; i.e. whether the key issues/development challenges are being addressed in the programme, whether the right mix of strategies are being applied, whether the right and most effective partners are being aligned with. The overall development environment in India is rapidly changing; requiring UNDP to adapt and ensure the support we provide remains relevant, effective, efficient and sustainable.

The Mid –Term Review will include a strategic review of UNDP's role in India; perceived, actual and future. In order to assess the strategic role ahead, the MTR will be applying a variety of processes, assessing past and current programme performance, analyzing the development situation in India, reviewing the comparative advantages of UNDP, and a strategic analysis. A mix of methods will be applied, including a comprehensive self-assessment of project and programme development results, desk reviews, participatory consultations with a wide range of stakeholders, interviews and focus group discussions. In order to be able to generate enough evidence the scope of the MTR will go beyond the current plan cycle, but includes where relevant the previous cycle of the Country Programme, extending the timeframe of the review from 2003-2010.

OVERALL AND SPECIFIC OBJECTIVES OF THE MTR

As explained above, the main purpose of the UNDP MTR is to ensure that UNDP is on the right track in India considering the changing country situation and the comparative advantages of UNDP. To answer this broad purpose, a number of more specific questions will be addressed.

The main questions to be answered in the MTR are:

- 1) Within the UNDAF framework, what has been UNDP India's progress on achievements from programmes and projects (2008-2010) contributing to India's development goals?
- 2) Are programme focus areas, planned outcomes (WHAT) and programme strategies (HOW) optimally aligned and operationalized to contribute effectively to priority development challenges and approaches in India?
- 3) What have UNDP's India's key contributions been to India's development goals and results over the period 2003-2010? How can UNDP better align its programme(s) and CO capacities to provide more strategic contributions to the Government of India?

In addition to these overall questions, the MTR aims to respond to the following more qualitative questions, which are based on the OECD -DAC Evaluation Criteria:

Relevance:

The extent to which UNDP's past (2003-now) has been and is well suited to the priorities and policies of the target group, recipient and donor.

Effectiveness:

How successful has UNDP support been in meeting the development results outlined in its various Programme and Project plans and in supporting the GOI development plans.

Efficiency:

How efficient has UNDP applied its resources (financial as well as human resources) to achieve the development results? Efficiency measures the outputs -- qualitative and quantitative -- in relation to the inputs. It is an economic term which signifies that the aid uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.

Impact:

What are the positive and negative changes produced by UNDP's development interventions, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from Programme, projects and activities on the local social, economic, environmental and other development indicators.

Sustainability:

How sustainable has UNDP's support been? Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after UNDP support has been withdrawn.

Based on the above key questions of the MTR, the country office will use the recommendations of the MTR to inform a strategic (re)positioning of the programme, which optimizes UNDP India's comparative advantages and the related critical gaps in the Govt of India's development strategies. In view of this clear need of the CO, the MTR will not commission any new external evaluations, but will make as much as possible make use of DESK REVIEWS of existing materials, such as completed programme/project evaluations, project reviews, studies, assessments.

While a large part of the project and programme review will be led by unit heads with inputs from external stakeholders and RCB advisors, the MTR will include strategic analysis by a SENIOR external MTR TEAM, who will assist the team in retaining the big picture of India's development challenges and guide the teams to consider the results of their self assessments through critical questioning and discussion.

One of the external review team members will be the Lead Author of the MTR report. The MTR will

be implemented from April 2010 to July 2010 and will feed into the UNDAF MTR.

The MTR process will be overseen and Chaired by UNDP RR and Dept of Economic Affairs, Ministry of Finance, GoI in keeping with the design and mandate of the CPMB (Country Programme Management Board)

THE OVERALL PROCESS, MILESTONES AND METHODOLOGIES

The overall process of the MTR is described through the following milestones:

Government of India **endorsement of terms of reference of the MTR** was received at the Country Programme Board meeting held on 22 March 2010, jointly chaired by UNDP RR and Joint Secretary, Dept of Economic Affairs, Ministry of Finance. The government indicated its keenness that this MTR process should lead to a clear thinking on the most optimal strategy for the UNDP country programme, given the changes in the development scenario and the changes in the resource base of UNDP.

Selection and recruitment of review team, setting up of internal review teams, oversight mechanisms and support structures for the MTR have been set up.

An all programme staff **Inception workshop** was held on April 13, 2010. UNDP RR and CD-designate were present at this workshop. The MTR process, the related accountabilities, the final structure of the report, the self assessment questionnaires were some of the elements of the MTR that were discussed and agreed upon through a participatory process.

The **situation analysis** is the next key milestone of the MTR process and is led by senior staff in the CO. The situation analysis will assess changes since the planning period for the current UNDAF and CPAP, taking the GOI 11th Plan Approach Paper as a baseline. The review will include and update on MDGs and targets, and will include a causal analysis and frame the current discussion around key development issues in India from the context of UNDP strategic areas of focus. The draft situation

analysis will be commented upon by the external review team, the internal experts and by APRC advisors. This will be completed by June 15, 2010.

Analysis of **project results and of programme outcomes** will be undertaken and completed by May 26, 2010. Detailed guidance notes have been provided and formats for presenting the analysis has also been devised and shared with the programme units. This will be a facilitated process which will involve all project teams and the UNDP programme team for the relevant practice area. While this process will be entirely internal, for select issues some external stakeholders will be invited for comments and for guidance. This milestone will involve the APRC experts and advisors, and this decision will be taken by the Unit heads in consultation with the review team. The analysis will be based on a set of questions which ask questions related to different aspects of program design, implementation, monitoring, emphasis on cross cutting issues and knowledge management. The final analysis of each of the 5 practice areas will be presented in a prescribed format. These will then be analyzed and further distilled by the external review team, culling out their observations and deductions from the information provided by each unit.

Workshop 1 to share, validate and improve upon the internal programme review results will be a participatory workshop, facilitated by the external facilitator. During this workshop the programme team will get a view of how the development context in India has changed (situation analysis), and of how all practice areas have fared in the past years and what the possible direction for the future within this CPAP cycle and for the next CPAP. The inputs from the workshop will feed into one of the main chapters of the MTR report, which will be written by one of the senior review team members.

Based on the deductions of the internal programme review, the senior review team will also undertake **in-depth interviews** with external stakeholders in the government and civil society.

On the basis of the above information, key lessons learnt and draft recommendations will be written and the first draft will be shared with staff and management, for their feedback and inputs. These recommendations will also form the basis of the **workshop 2**. This workshop will use participatory techniques to develop a strategic positioning for UNDP, its programme and structures, its direction in the coming years.

The outcome of this workshop will also be assimilated in the **final report for the MTR**, which will be ready by 30 July, 2010.

This process of milestones is highly participatory and largely self-driven, and therefore flexible and continuously improved upon.

MTR MANAGEMENT and TEAMS

This MTR is a highly participatory process, involving multiple methodologies and a wide range of stake holders. To effectively manage the MTR process, tasks have been delegated to various teams. Overall, guidance and oversight for the whole CPAP MTR is done by DEA and UNDP. Internally the process is led by the DCD-Programme and the Executive Officer-Programme. The various teams and their main roles and responsibilities are described below.

Programme and Cross- sectoral Assessment Teams

- 5 Programme Assessment Teams (one for each programme), led by the Unit Heads
- 1 Cross-sectoral team; looking at gender and inclusion, adaptation and capacity development, led by the Inclusion Specialist
- APCR colleagues are part of these teams

Tasks:

- Lead project and programme level RESULT AND STRATEGIES self assessment, using common format and set of questions (Includes a thorough DESK REVIEW and analysis of past evaluations, assessments, and reviews)
- Report on findings, strategic lessons learned and recommendations from internal project and programme analysis
- Facilitate discussions and give inputs into:
 - Situation analysis of human development in India
 - Strategies and strategic positioning review
 - Overall recommendations
 - Participate in 2 overall workshops to 'share, validate and improve'

The support from APRC advisors will be sought by individual programme units during the internal project, programme and strategic review being undertaken by each unit. The exact dates for this will be agreed upon between the respective team leader and the APRC thematic focal point. Support to the internal project and programme review will include both on site and off site support, for each of the programme areas.

- Review and feedback on updated situation analysis
- Review of select projects ; feedback on outcome level analysis
- Advise on emerging areas of development practice
- Advise on reviewing CPAP indicators, if required
- Suggest specific areas of synergy between programme areas
- Help with greater clarity about thrust on working towards 'upstream policy impact'
- Support on enhancing emphasis on cross cutting themes of gender, adaptation and capacity building.

Senior Review team (Kalyani Menon - Sen and A. K. Shiva Kumar)

- Lead Strategic positioning review and prepare relevant sections of the final MTR report
- Improve upon design and overall direction of the MTR
- Review and critique programme level self assessment reports
- Act as resource person in 2 'share, validate and improve' workshops
- Kalyani Menon - Sen and Shiva Kumar will be lead authors of the final MTR report

Situation Analysis team (Led by Sr. ACD/Economist)

- Lead the update of the situation analysis and author this section of the final MTR report
- Desk review and analysis of all relevant documentation, studies, assessments
- Interviews with KEY informants
- Highlight key development trends that are high on the governments development agenda
- Illustrate the causal analysis of some of the key development challenges that have been persistent and may impact the achievement of MDGs in India

Management and operational strategies review team (Led by ACD Operations)

- Led by ADC Operations with participation from MSU and RMU and closely guided and overseen by both DCDs
- Analyze the relevance, efficiency and effectiveness of operational strategies
- Analyze MTR findings and evaluate office capacities to support programmes, policies, and formulate recommendations

External process facilitator

- Support Units with the design of the programme self assessments
- Co-facilitate relevant meetings of the programme self-assessments
- Review and critique programme level self assessment reports
- Lead facilitator MTR Competencies Building and Preparatory workshops

Appendix 3: Complete List of Persons Involved in the MTR Consultations

S. no	Name	Designation	Organisation
1.	A. K. Singh	National Project Coordinator	Ministry of Power
2.	A. Sabeer	Under Secretary	DEA, Ministry of Finance
3.	Abdul Kareem	Joint Director	CCF II Medicinal Plants, FRLHT
4.	Abha Mishra	Project Officer	UNDP
5.	Agrima Bhasin	Intern	UNDP
6.	Ajay Saxena	Project coordinator	NR – COPA, MoEF
7.	Akhilesh Kekre	Programme Associate (MP)	UNDP
8.	Alka Narang	Assistant Country Director (HIV & Development)	UNDP
9.	Alok Kumar	Livelihoods Specialist	UNDP
10.	Amar Singh	Advisor (Development & Policy Division)	Planning Commission
11.	Ambika Prasad Nanda	Programme Analyst (Orissa)	UNDP
12.	Amit Anand	Programme Officer (MP)	UNDP
13.	Amit Jha	Joint Secretary / NPD–RR	NDMA
14.	Amrita	IT	
15.	Anil Arora	Programme Associate	UNDP
16.	Anil Joshi	Communications Clerk	UNDP
17.	Anjana Chellani	Programme Officer	ILO
18.	Anna Joy	Project Director i/c	Avert Society
19.	Anne Marchal	Head, Development Cooperation	Delegation of the European Union to India
20.	Annie Namala	Director	Centre for Social Equity and Inclusion
21.	Aradhana Johri	Joint Secretary	NACO
22.	Archana Bharadwaj	Programme Associate	UNDP
23.	Armoogum Parsuramen	Director and UNESCO Representative for Bhutan, India,	UNESCO

		Maldives and Sri Lanka	
24.	Arundhati Das	Assistant country Director (Operations)	UNDP
25.	Asa Anderson	Senior Programme Coordinator	UNAIDS
26.	Ashok Malhotra	Programme Officer	UNDP
27.	Atul Dev	Communications Expert	CDDP
28.	Avinash Chander	Consultant	Planning Commission
29.	B. D. Virdi	Advisor	Planning Commission
30.	Bengt Messing	Deputy Country Director (Operations)	UNDP
31.	Biswajit Sen	Senior Livelihood Advisor	World Bank
32.	Bitra George	Director	FHI
33.	Caitlin Wiesen	Country Director	UNDP
34.	Chaitanya Prasad	Director	DEA, Ministry of Finance
35.	Chandramouli K	Director General	NACO
36.	Charles Gilks	UCC	UNAIDS
37.	Charmaine Johannes	Project Associate	UNDP
38.	Chitra Narayanswamy	Programme Associate	UNDP
39.	D Saha	Project manager	GEF Medicinal Plants, FRLHT
40.	Debashis Banerjee	Operations Clerk	UNDP
41.	Deepti Handa	Travel Assistant	UNDP
42.	Dr. Alok sheel	Joint Secretary	DEA, Ministry of Finance
43.	Dr. Aruna Basu	Project director	TN, Forest Dept.
44.	Dr. Brijendra Singh	Consultant NACP - NRHM	Mainstreaming Cell, NACO
45.	Dr. Duraisamy	Director, Ozone cell	MoEF
46.	Dr. George Mathew	Director	Institute of Social Sciences
47.	Dr. Indu Patnaik	Deputy Advisor	Planning Commission
48.	Dr. J. Radhakrishnan	Assistant Country Director (Disaster Management)	UNDP
49.	Dr. Krishna s. Vatsa	Regional Disaster Reduction	Bureau for Crisis

		Advisor	Prevention & Recovery, UNDP
50.	Dr. Preeti Soni	Assistant Country Director (Energy & Environment)	UNDP
51.	Dr. Rajni Wadhawa	Advisor Gender	CMS
52.	Dr. Satapathy	Director	MoEF
53.	Dr. Seeta Prabhu	Senior Advisor	UNDP
54.	Dr. SN Srinivas	Programme Officer	UNDP
55.	Dr. Sumana Bhattacharya	Project Manager	Winrock (India) Intl.
56.	Dr. Yatendra Singh	Project manager	NBA
57.	Dr. Yogesh Kumar	Executive Director	Samarthan (Centre for Development Support)
58.	Ernest Noronha	Programme Officer	UNDP
59.	G. Padmanabhan	Emergency Analyst	UNDP
60.	Garima Sharma		UNDP
61.	Gireesh Madan	Project Manager	Ministry of Steel
62.	Girisk Kumar	Director	MNRE
63.	Gopi Menon	Country Manager	AUSAID
64.	Hari Mohan	Programme Associate	UNDP
65.	Harish Chotani	Consultant – Financial Inclusion and Micro Finance	
66.	Harshvardhan	Programme Associate (Bihar)	UNDP
67.	Hem Pande	Joint Secretary/ NPD	GEF OFP, MoEF
68.	Himanshu	IT	
69.	Irene	Project Associate	CBNRM, MoEF
70.	Jennifer Graetz	Acting Director, Office of Program Support	USAID
71.	Joy Elamon	Resource Person	Solutions Exchange, United Nations
72.	Kanupriya Harish	Project Director	Jal Bhagirathi Foundation
73.	Kapil Mohan	Director / NPD	MoP
74.	Kaushalya P	President	PWN+
75.	Kazuhiro Numasawa	Programme Officer (JPO)	UNDP
76.	Kevin St. Louis	Deputy Representative	UNICEF

77.	Kumar Anurag Pratap	Project Manager	Strengthening Women's Political and Economic Empowerment in Jaunpur, Mirzapur and Sant Ravidas Nagar of UP
78.	L Ramakrishnan	Director	SAATHII
79.	Lalit	IT	
80.	Laurent Le Danois	Attaché	European Commission
81.	Lianchawii	Programme Analyst	UNDP
82.	M. Asim Mirza		Social Transformation Division, TERI
83.	Manjeet Singh Saluja	State Project Director	UP Capacity development for District Planning and Livelihoods Promotion Project
84.	Manju Narang	Programme Assistant	UNDP
85.	Manohar Kant	Principal Secretary, Labour & Employment	Government of Rajasthan
86.	Manoj Pardesi	Member	INP+
87.	Marc Derveeuw	Representative, a.i.	UNFPA
88.	Marina Faetanini	Programme Specialist, Social and human Sciences	UNESCO
89.	Martin Krause	Regional Practice Leader – Environment and Sustainable Development, Regional Technical Advisor for Climate Change	UNDP - RCB
90.	Mathew Titus	Executive Director	Sa – Dhan
91.	Matteo Marchisio	Programme Specialist (Adaptation to Climate Change)	UNDP
92.	Meenakshi Kathel	Social Inclusion & Gender Analyst	UNDP
93.	Meenakshy Rana		UNDP
94.	Megha Rathi	Project coordinator	MoEF
95.	Momin Jaan	Programme Analyst	UNDP

96.	Mona Mishra	Executive Officer	UNDP
97.	Mr. Ajay Sawhney	Joint Secretary	DoPT
98.	Mr. Arndt Husar	Advisor Capacity Development	UNDP- Regional Office Bangkok
99.	Mr. Henrik Fredborg Larsen	Local Governance and Decentralization Advisor	UNDP-RCB
100.	Mr. Lars Bestle	Regional Policy Specialist – Access to Information, e – Governance and Media Development	UNDP-RCB
101.	Mr. Meenakshi Sundaram	External Expert (Retired senior Bureaucrat)	
102.	Mr. Raghunandhan	Senior Advisor –Governance	Consultant-UNDP
103.	Mr. Ramesh Abhishek	Joint Secretary	Department of Justice
104.	Mr. Shailendra Kumar	Deputy Secretary	DoPT
105.	Mr. Sudarshan	Policy Advisor – Legal Reform & Justice	UNDP-RCB
106.	Mr. Sudhir Krishna	Additional Secretary /NPD-CDLG	MoPR
107.	Mr. Vardhaman Vaidya	Knowledge/project manager	CGG
108.	Mr. Zulfikar Haider,	Project Manager, CDDP	UNDP-Planning Commission
109.	Mridula Singh	Additional Director	Planning Department, Government of UP
110.	Ms. Amita Sharma	Joint Secretary / NPD-NREGA	MoRD
111.	Ms. Indu Patnaik	Deputy Advisor	Planning Commission
112.	Ms. Neela Gangadharan	Secretary / NPD-A2J	Department of Justice
113.	Ms. Pauline Tamesis	Democratic Governance Practice Leader	UNDP-RCB
114.	Muna Haq	Communications Assistant	UNDP
115.	Munshi Singh Rana	Principal Chief Conservator of Forests	Government of MP
116.	N Vasudevan	Project manager	TERI
117.	N. Paul Divakar	Convener	National Campaign for Dalit Human Rights
118.	N. R. Dash,	National Project Coordinator	Ministry of Steel
119.	N.C. Saxena	Advisor	UNDP
120.	Nandita Surendran	Assistant Communications Officer	UNDP

121.	Nayanika Singh	Consultant	GEF cell, MoEF
122.	Neelakshi Mann	Project Manager	UNDP-MORD NREGA Technical Cell
123.	Nilay Ranjan	Knowledge Networking Officer	UNDP-MORD NREGA Technical Cell
124.	Nilratna	Joint Secretary	MoEF
125.	Niranjan Saggurti	Director	Population Council
126.	Nishu Nirula	Programme Assistant	UNDP
127.	Nitesh Kumar Vyas	Director Institutional finance & Addl. Secretary, finance	Government of MP
128.	Nupur Arora	Research Associate	Disaster Management Community, solutions Exchange, United Nations
129.	Olga Martin	Junior Programme Officer	UNDP
130.	P.K. Kesavan	Director	MoPR
131.	Pamela Philippose	Director	Womens Feature Service
132.	Patrice Coeur - Bizot	UN Resident Coordinator & UNDP Resident Representative	UNRC
133.	Pia Lindstrom	Intern	UNDP
134.	Pieter Bult	Deputy Country Director (Prog.)	UNDP
135.	Pooja Kotiyal	Project Associate	Winrock (India) Intl.
136.	Pradeep Kashyap	CEO	MART
137.	Pradeep Kumar		UNDP
138.	Pramod Krishnan	Programme Analyst	UNDP
139.	Prema Gera	Assistant Country Director (Poverty)	UNDP
140.	Prithvi Raj Singh	Managing Trustee	Jal Bhagirathi Foundation
141.	Pritom	Programme officer	CDI SGP, CSE
142.	Priyanka Khanna	Communication Officer	UNDP
143.	Pushkar Singh	Chief Conservator of Forests (wildlife)	Government of MP
144.	R. L. Sharma	GM & Vice Principal	College of Agricultural Banking

145.	R. S. Jagdale	DGM	NABARD
146.	R. S. Mohan Krishnan	Management Assistant	UNDP
147.	R.S. Agarwal	Advisor, Ozone cell	MoEF
148.	Rakesh Malhotra	Project Director	Rajasthan Mission on Skill and Livelihoods
149.	Ramesh Abhishek	Joint Secretary	Department of Justice
150.	Ranjini Mukherjee	Project Officer	UNDP
151.	Ranu Bhogal	Content Analyst	Solutions Exchange, United Nations
152.	Rashmi Singh	Mission Director	Mission Convergence, Government of NCT of Delhi
153.	Ratnesh	Programme Analyst	UNDP
154.	Ravi Verma	Director	ICRW
155.	Rekha Nayar	Management Assistant	UNDP
156.	Rita Acharya	Director	Ministry of Power
157.	Ritu Mathur	Programme Associate	UNDP
158.	Ruchi Pant	Programme Analyst	UNDP
159.	S. N. Pandeya	Project Manager	GoJ – UNDP Project - State Level Support to Livelihood promotion strategies (Jharkhand)
160.	S.B. Biswas	Director	MHA
161.	S.K. Chowdhary	Development commissioner	Government of Jharkhand
162.	S.K. Kale	GM	NABARD
163.	S.S. Shukla	Director	MGSIRD
164.	Sangeeta Kaul	Senior HIV / Aids Advisor	USAID
165.	Sanjay	IT	
166.	Sanjeev Sharma	Project Manager	UNDP-MoPR CDLG project
167.	Saurabh Yadav	KM Specialist	Bureau of Energy Efficiency – World Bank Program
168.	Shailendra Kumar	Deputy Secretary	DoPT

169.	Shailesh Singh	Programme Officer (Bihar)	UNDP
170.	Shaleen Rakesh	Director technical services	India HIV/AIDS Alliance
171.	Shalini Bharat	Professor	TISS
172.	Shashi Ratnaker Singh	Research Associate	Rural Extension Activity Programme Division, TERI
173.	Shashi Sudhir	Programme Associate	UNDP
174.	Shefali Mishra	Project Officer	UNDP
175.	Shiv Kumar	Director	SWASTI
176.	Simmi Singh	Operations Associate	UNDP
177.	Sindhuja Khajuria	Project Associate	UNDP
178.	Soma Parthasarthy	Senior Gender & Livelihood Advisor	
179.	Somit Dev Burman	Project manager	Department of Forests, MP
180.	Sonal Mehta	Director	India HIV / Aids Alliance
181.	Srinivasan Iyer	Assistant Country Director (Energy & Environment)	UNDP
182.	Subba Rao	Director, Ozone cell	MoEF
183.	Subhangi Wankhede	Independent Consultant	
184.	Suchitra Goswami	Deputy Secretary	Disaster Management Department, MHA
185.	Sudha Pillai	Member Secretary	Planning Commission
186.	Sudhir Kumar	Member - Secretary	MP State Biodiversity Board
187.	Sugandh	Programme officer	CSE
188.	Suman Seth	Management Assistant	UNDP
189.	Sumeeta Banerji	Assistant Country Director (Governance)	UNDP
190.	Sumita Ghosh	Gender & Enterprise Development Expert	
191.	Sunder Sunderraman	Independent Expert	
192.	Suneeta Dhar	Coordinator	Jagori
193.	Sunil Arora	Programme Officer	UNDP
194.	Supriya Kumar	Consultant	

195.	Surekha Subarwal	Regional Communication Advisor	UNDP
196.	Swati Mehta	Project Manager	UNDP-DoJ A2J Project
197.	Sybille Suter	Country Director	Swiss Agency for Development and Cooperation
198.	Tanushree Bhowmik	National Project Manger	Ministry of Power
199.	Tapas Sen	Senior Fellow (Professor)	NIPFP
200.	Tarun Kathula - Godvari	Project associate	MoEF
201.	Teresa Kaushal	Management Assistant	UNDP
202.	Tina Mathur	Research Associate	Solutions Exchange, United Nations
203.	Tulsi Gaur	Principal Secretary	Government of UP
204.	Ujjwal Kumar	Section Officer	MoEF
205.	Umesh Chawla	Programme Manager: Care, Support and Treatment	India HIV / Aids Alliance
206.	Vandana Bhatia	National Programme Officer	UNFPA
207.	Vineet Mathur	Procurement Associate	UNDP
208.	Vinita Aggarwal	Website Associate	UNDP
209.	Vivek Anand	CEO	The Humsafar Trust
210.	Yamini Mishra	Executive Director	Centre for Budget and Governance Accountability
211.	Yaspal Singh	Project officer	CBNRM, MoEF
212.	Yogesh Kumar Jain	ICT Associate	UNDP

Appendix 4: Extent to which Government Resources have been Leveraged Through UNDP Programmes

Poverty Reduction				
UNDP supported Projects		Government Programme/framework		POTENTIAL IMPACT by leveraging govt funds
Name	Budget US \$	Name	Budget US \$	
Financial Inclusion	5 m	Financial Inclusion Fund Financial Inclusion Technology Fund	260 m	Currently financial inclusion only means having a no-frills bank account. Given UNDP's intervention, almost 55.77 million (estimates by Rangarajan committee) rural and urban poor will have door step access to a range of innovative and appropriate financial products & services through Commercial Banks, Regional Rural banks, Cooperative Banks, Micro Finance Institutions, NGOs.
Rajasthan Mission on Livelihoods	2.5m	SGSY MGNREGS; State govt. outlay on Tribal Development, Women and Child Development as well as Programme Support.	1.4 billion (2008-10: Cumulative figure)	Approx. 15 million rural and semi-urban poor in Rajasthan will be capacitated with better vocational skills and improve access to government schemes and programmes of Dept of Labor, Rural Development, Animal Husbandry, Tribal and Women and Child Development
Jharkhand (JSLPS)	2.5m	SGSY MGNREGS; watershed	750 m (2009-10)	Approx. 10 million rural and semi-Urban poor will be

		development, Backward Region Grant Fund	Annual state budget)	mobilized to form inclusive community development mechanisms and improve access to major government livelihood schemes and programme of Jharkhand State Dept of Rural Development, Animal Husbandry, Labor, Tribal and Women and Child Development.
Delhi Govt. Conditional Cash Transfer	1 m	Mission Convergence	17.5 m (annual outgo for the pilot phase)	Depending on the success of the programme the entire vulnerable population of Delhi estimated roughly at 0.7-0.8 million would be reached via the cash transfer modality. The advisory committee of the project chaired by Arun maira will work closely with govt on the roll out of CCTs for ather target groups.
BPL Survey				

Democratic Governance				
UNDP supported Projects		Government Programme/framework		POTENTIAL IMPACT by leveraging govt funds
Name	Budget	Name	Budget	
NREGA	\$ 1.5 M per year	Mahatma Gandhi National Rural Employment Guarantee Act	\$8.5 bn per year	Following UNDP supported innovations, knowledge partnerships and technical expertise, if Gol expands the scope of NREGA and there is effective convergence with key schemes, 46 million rural poor households currently working under NREGA will have better access to rights, information, transparency in

				payment of wages, skills to opt for alternate livelihoods, access to financial services and functional literacy. In addition, the Gol annual NREGA budget of \$8.5 M would be effectively spent through improved functioning of the programme.
Capacity Building of elected women representatives	Approx 1 M annually	Panchayat Mahila Evam Yuva Shakti Abhiyan	\$ 2.173 M	Through a demonstration of various models and approaches to build capacity of 100,000 elected women leaders in 10 districts across 10 states, the project has potential to impact the quality and content of capacity development of 1 Million elected women across the country.
Rural Decentralization	Approx \$1 M annually	Backward Region Grant Fund and Rastriya Sam Vikas Yojana	\$ 1,264.184 M	Multi level planning guidelines and models, if replicated and used across the country, has the potential to ensure that the development priorities of the most marginalized, get appropriate attention in the governance processes at all levels.
Capacity Development for Local Governance (CDLG)	\$1.25 M annually	Rashtriya Gram Swaraj Yojana	approx \$ 7.173 M annually	Interventions under this project will strengthen ability of seven State governments to effectively build capacities of elected representatives and officials for local governance utilizing government resources. The total number of elected representatives and officials that will be impacted leveraging government resources is 1.9 million in the 7 states and 1.6 million in rest of the country. This will be done through (a) provision of resource material and
		Backward Region Grant Fund	approx \$ 53 M annually of CD grant and \$ 745 M development grant	

				<p>technical assistance at the national level for improving capacity development activities and (b) providing resources (technical and financial) to the seven State governments and training institutions to prepare capacity development strategies, undertake training needs assessment, module preparation, develop a cadre of trainers, exposure visits and networking. The capacity development strategy thus developed under the project will be implemented using the government resources.</p> <p>The potential impact of the project is more effective local governance.</p>
Capacity Development for District Planning Project	\$ 1.5 M	Backward Region Grant Fund and Rastriya Sam Vikas Yojana	<p>approx \$ 7.173 M annually</p> <p>(approx \$ 53 M annually of CD grant and \$ 745 M development grant)</p>	<p>Multi level planning guidelines and models, if replicated and used across the country, has the potential to ensure that the development priorities of the most marginalized, get appropriate attention in the governance processes at all levels. The project will improve the capacities of 38171 elected representatives and 16863 officials involved in decentralized planning, implementation, monitoring and service delivery to achieve MDGs for disadvantaged groups, especially women and girls.</p> <p>Support to a national Centre of Excellence on District Planning will</p>

				<p>lead to the establishment of knowledge repository of innovations and good practices on district planning and strengthening of 14 identified training institutions in the 7 UNDAF states.</p> <p>The project will contribute to policy reform at national and state levels through dialogues with the Planning Commission, state Planning departments and legislators forum on decentralized planning.</p>
Promoting Gender Equality	\$ 220,000	Gender Budget Scheme	\$ 0.5 M annually	<p>UNDP built the capacity of the Ministry of Women and Child Development (MWCD) for assisting central government ministries and State governments in undertaking gender budgeting. A total of 54 ministries undertake gender budgeting and all the 28 State governments have initiated this process. A Gender Budget Cell was established in MWCD that assisted MWCD in initiating this activity. UNDP provided resources for developing training manuals on gender budgeting. A pool of trainers was developed that conducted gender budget training in ministries and at the State level. The potential impact of this project is to have gender responsive budgeting in various ministries and State governments.</p>
SSPHD	\$ 1.9m	NA	NA	Policies and plans at the national and

				<p>State level made HD sensitive. The project assistance was provided to 15 States but was able to influence planning for all the 28 Indian States. 21 States have prepared their HDRs, 80 district are preparing their HDRs. Identification of backward district and issues facilitated by preparation of State and district HDRs assisting governments in more effective utilisation of resources. Some States have increased allocation to social sectors as a result of HDR preparation. XI Five Year Plan recommends preparation of DHDRs for all districts and District Gazetteers being recommended to be called DHDRs. Gender resource centres established in Orissa, West Bengal. Potential impact – planning, budgeting and monitoring made more HD sensitive</p>
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Energy and Environment				
UNDP supported Projects		Government Programme/framework		POTENTIAL IMPACT by leveraging govt funds
Name	Budget	Name	Budget	
'Promoting Conservation of Medicinal Plants and Traditional Knowledge for Enhancing Health and	\$ 3 M	National Medicinal Plant Programme	\$ 130 M	Around 60-80 per cent of India's population rely on medicinal and aromatic plants for livelihood and healthcare support. The models developed under the project on integrating traditional health practices into regular healthcare systems have significantly reduced the healthcare expenses of poor rural

Livelihood Security'			<p>folk (upto 60 per cent in Orissa). This has also led to the consolidation of local health traditions through Community Health Registers and Home Herbal Gardens. Besides, the strategy of establishing Medicinal Plant Conservation Areas (MPCAs) has high potential for replication in 90 per cent of the forest areas in the country.</p> <p>Further, the models on sustainable trade practices developed for 15 species of medicinal plants has the potential for replication in another 3000 odd species of medicinal plants and thereby can impact the lives of more than 200 million people.</p>
Coal Bed Methane	\$ 10.4 M	<p>XI Five Year Plan of Government of India outlines development of 26 CBM sites. 200 more such sites are on the anvil in Assam, Arunachal Pradesh, Orissa, Jharkand, Madhya Pradesh, Gujarat and Tamil Nadu".</p>	<p>The National level testing facilities have been established at the Institute of Mine & Fuel Research, Dhanbad to replicate the technology which has been demonstrated for the first time in the country. Courses on CBM can be replicated in other institutes across the country. The project has influenced policy formulation related to CBM in the country. Ministry of Coal is bringing in a policy document on the ownership rights on the recovered methane and launching a coal bed methane recovery programme for the country.</p> <p>CBM potential in India is estimated of 7% of the total installed capacity of electricity in India.</p>

Access to energy – enhancing effectiveness in electricity distribution	\$ 1.5 M	Rajiv Gandhi Gramin Vidyutikaran Yojana (Ministry of Power)- to connect every village with electricity by 2012.	Approximate funding 5,800 Crore Rs (1300 M\$) for 11 th five year plan period.	The project is expected to result into replicable models of franchisee (outsourcing billing, metering and distribution of electricity) through entrepreneurship methods. The project also is expected to help demonstrate energy bill reduction to the gram panchayats which may come out as guidelines for implementation. The project is expected to help the ministry's flagship programme RGGVY in assessing and fine tuning its benefits from socio-economic perspective. The government programme (RGGVY) aims to connect approximately 20 million households with electricity by 2012.
Access to Clean Energy	\$ 2.0 M	Helps modifications in the present Village Energy Security Programme of Ministry of New and Renewable Energy	MNRE direct contribution \$ 2.0 M (expected)	The project will result into upscaling renewable based electricity in selected UNDAF regions in 50 villages (50,000 people approximately) directly and will help MNRE formulating guidelines for over 15,000 such villages in the country. The project also will help formulating 'Rural Energy Policy'. The project will help identifying successful cases of renewable based electricity and thermal energy products and models and replicate them in UNDAF states.
Global Solar Water Heating Market	\$ 2.0 M	Has an influence on National Programme on Solar Water Heating systems	\$ 11.3 M	The project results in strengthening the supply chain services for promotion of solar water heating systems in India. The project helps in identifying the gaps in regulatory

transformation and Strengthening initiative: India Country Programme		Has indirect influence on National Mission on Solar Energy.	90 M\$) for year 2010-11 for MNRE on solar mission	support, financial support and provide the same for accelerated use of solar water heaters in place of electricity based geysers and other fossil fuels usage. It is expected that the project helps to at least triple the present penetration rate of solar water heaters in India. The project will result into installation of 10 million m ² collector area of solar water heating systems from the existing level of 2 million m ² . This would help 5 million households adopt clean energy for heating water.
Strengthening Institutional Capacity for the Implementation of Biological Diversity Act	1.18m	Is crosscutting and linked to most of the environment and natural resource management related schemes of the MoEF such as 'Integrated Development of Wildlife Habitats'	\$ 174 M	Strengthening the capacity of national, state and local level biodiversity management institutions in the two project states has a strong potential for replication in all other states of India where the three levels of biodiversity management institutions exist, but with limited capacities. This initiative will lead to effective management of natural resources among resource managers across the country, which in turn will benefit the 27 million forest dwellers and other ecosystem dependent population across the country in better utilization of natural resource. Under the business as usual scenario, the National Biodiversity Authority has
		Biosphere Reserves	\$ 13 M	

				limited manpower and financial resources to strengthen institutional capacities across the country. UNDP's support will tremendously improve the efforts of NBA in biodiversity conservation and management.
Conservation and Sustainable use of Gulf of Mannar Biosphere Reserve's Coastal Biodiversity	7.5m	Biosphere Reserves	\$ 13 M	<ul style="list-style-type: none"> • Coral cover has increased by approx 7 per cent during 2007 and 2009 in the Gulf of Mannar region, brought about by a combination of factors such as increased public awareness about the significance of biodiversity, stronger protection measures, stricter enforcement of laws and better interdepartmental coordination. • Negative dependence/over exploitation of the vulnerable coastal resources has declined as a result of the alternative livelihood initiatives and vocational training courses introduced among the coastal communities and fisherfolks. • At the community level, this project has a strong potential for bringing about behavioural changes among the coastal communities living along India's 8000kms coastline to reduce over dependence on coastal
		The Coastal Regulation Zone Notification		

				<p>resources.</p> <ul style="list-style-type: none"> • Lessons drawn from the conservation efforts can be replicated in Gulf of Kutch in Gujarat, one of the 4 major coral reef areas of India, which has a high population of 6.6million. • The strength of this project lies in the interdepartmental coordination where line departments, such as fisheries, rural development, agriculture, etc., make collective decisions and pool together resources for integrated management of the coastal habitat. This aspect can be integrated into the management plans of the Coastal Zone Management Authorities of the 13 coastal states and UT in India.
Community Based Natural Resource Management	\$ 3 M	Integrated Development of Wildlife Habitats'	\$ 174 M	<p>Around 30 per cent of India's population depends on natural resources for livelihood support. At several places, unsustainable subsistence dependency has resulted in the depletion and degradation of natural resources. The project has successfully demonstrated the multiple benefits of improving rural livelihoods for ensuring effective conservation of natural resources. The lessons learnt from the project, especially the models on ecosystem</p>
		Biosphere Reserves'	\$ 13 M	

				based enterprises, offers high potential of mainstreaming into the national/ sub-national government programmes for subsequent replication in throughout the country in nearly 100,000 villages.
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Disaster Risk Reduction				
UNDP supported Projects		Government Programme/framework		POTENTIAL IMPACT by leveraging govt funds
Name	Budget	Name	Budget	
GOI-UNDP Disaster Risk Management Programme (2002-2009)	\$ 41 M	National Disaster Management Framework developed by Ministry of Home Affairs	NA	<ul style="list-style-type: none"> • Planning Commission has recommended upscaling of DRM in all multi-hazard prone districts in India to empower communities to manage disaster risk– estimated to cost about US\$ 127 million (not yet approved) • Govt of Maharashtra- allocated funds (\$8.9 million) and provided HR to upscale DRM in all 35 districts • Govt of Delhi has approved US\$ 8.5 million for 2010. 10 states have proposed allocation of funds under next financial year-amount not known. The above Govt programmes and allocation of funds are directly influenced by DRM
Kosi Flood Recovery and Reconstruction Project	\$ 1 M (2009-2011)	Govt of Bihar's Kosi reconstruction Programme	NA	<ul style="list-style-type: none"> • Bihar Govt has already released funds to the districts for reconstruction using the technical inputs (settlement planning and settlement of construction facilitation hubs to

				construct culturally sustainable and disaster resilient housing) provided under the UNDP funded project. Under this initially 30,000 houses will be built in the three flood affected districts of Saharsa, Supaul and Madhepura.
Tsunami Reconstruction Programme (2005-2008)		World Bank funded National Cyclone Risk Mitigation (NCRM) Programme	NA	<ul style="list-style-type: none"> NDMA and World Bank has acknowledged the system of Early warning for last mile connectivity (Communicating the risk to the village level) established under the Tsunami project as a model for replication (US\$ 15 million) under NCRM in all coastal villages. Initially the project will be taken up in the vulnerable states of Andhra Pradesh and Odissa Programme is in the final stages of approval. In the State of Tamil Nadu under the World Bank funded Vulnerability Reduction of Coastal Communities Project this is being upscaled from 174 villgae level locations to over 700 coastal locations to cover the 100 km long coast of the State.

HIV and Development				
UNDP supported Projects		Government Programme/framework		POTENTIAL IMPACT by leveraging govt funds
Name	Budget	Name	Budget	
		National AIDS Control programme - Phase 3	NACP total Budget \$	

			2,518.48 M	
Strengthening community systems for sexual minorities	\$3.04M	Targeted interventions (including MSM/TG)	\$ 378.87	<ul style="list-style-type: none"> • Decrease in HIV prevalence rates among sexual minorities through better access to quality HIV prevention and care & support services to an estimated 2.3 M most at risk MSM and TG. • Efficient and functioning community-based organizations of transgender and MSM that have capacity to leverage technical and financial resources for themselves. • A national level network of community based organizations will be the voice of the community needs and advocate for their rights (INFOSEM).
Support to national response for mainstreaming HIV	\$16.69M	GIPA, mainstreaming, stigma	\$254.11	<ul style="list-style-type: none"> • Social protection and legal aid available for estimated 2.31 M people living with HIV (including the estimated 1.0 M women) through amendment/ introduction of government programmes and schemes that are HIV inclusive (Various ministries/departments of central and state governments, NIRD, SIRDs, NGOs). • National, State and at least 54 district level networks of People living with HIV inform and implement context specific HIV interventions through capacity development (INP+, PWN+ and their subsidiaries). • 1.5 M people in rural areas across

				<p>25 districts avail HIV information and services through better linkages within government institutions (25 district administrations, 5 state AIDS control societies, NGOs)</p> <ul style="list-style-type: none"> • HIV-related stigma and discrimination reduced through government (NACO and SACS) interventions based on data and a menu of workable models.
Action framework for migration and HIV	\$0.27M		\$8.7M	<ul style="list-style-type: none"> • Vulnerabilities of 123 M most-at-risk migrants reduced through national programme based on robust data and through partnerships with the civil society and the private sector. (NACO)



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