United Nations Development Programme
Evaluation Office

COUNTRY EVALUATION: **INDIA**

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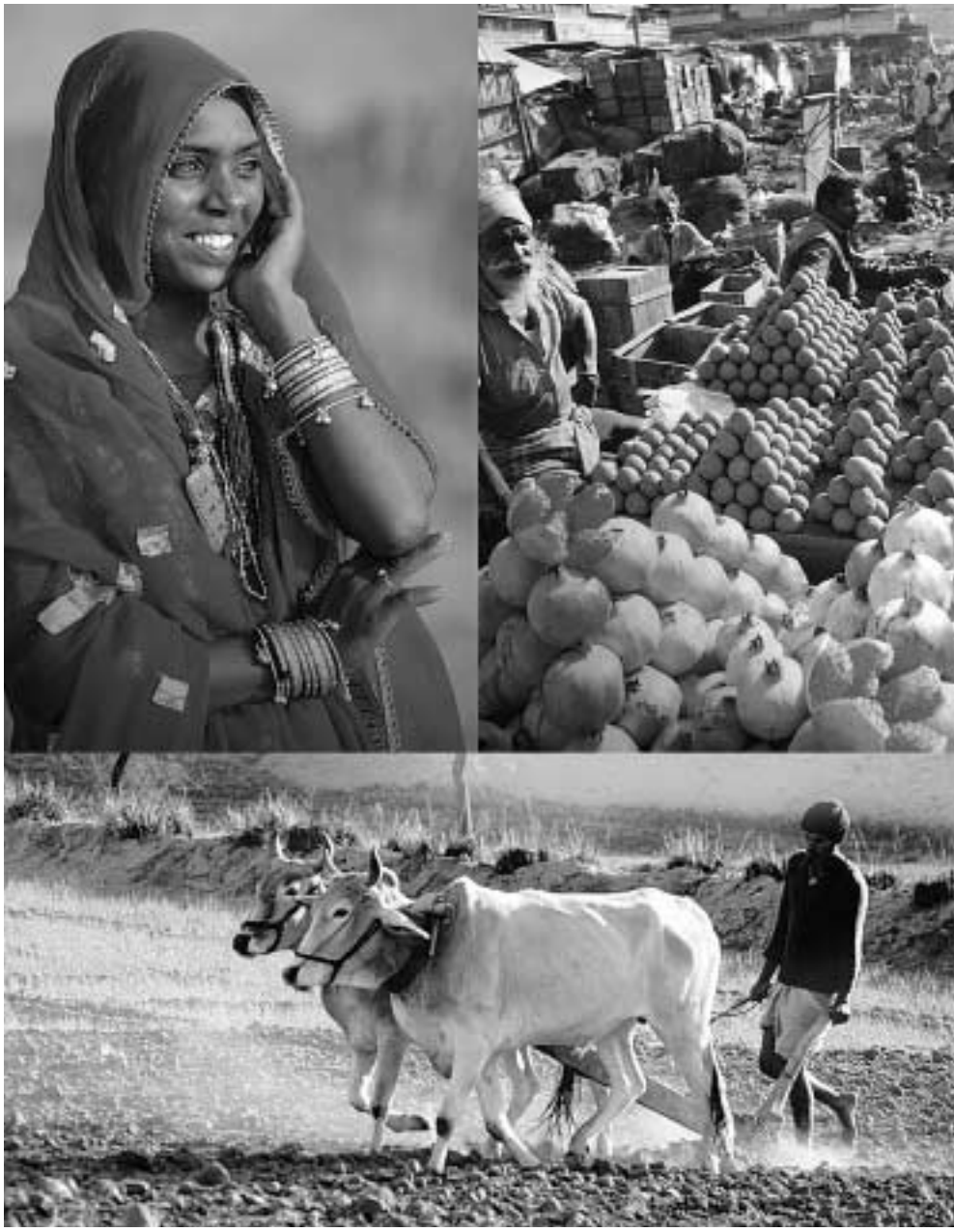

United Nations Development Programme
Evaluation Office

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Foreword

The India Country Review is the first in a series of country reviews that was conducted under the concept of Assessment of Development Results (ADR)*. The ADR assesses the country programmes from a strategic perspective and focuses on results and impact. In that light the India review focused on intended results as articulated in its Strategic Results Framework (SRF) and Results Oriented Annual Report (ROAR), examined the achievements and constraints and culled lessons for the future. The review raised some macro issues: questions on the net effect of UNDP efforts in poverty eradication and the value added by UNDP interventions. It assessed whether the UNDP was optimally placed for maximum results, specifically if macro-micro linkages were attended to a priori so that project successes indeed led to (or had the potential for) macro level results.

The review is forward-looking and its objective is to incorporate the lessons learned into the dialogue process for the next Country Programme (CP). The review's recommendations for the subsequent programme draw upon the comparative strengths of the UN and UNDP, and address the issue of UNDP's advocacy and partnership supporting India's development efforts. The latter is especially important given the country's impressive progress in poverty reduction over the past decade.

The review was designed in a way that generated substantial synergy and support for the process and its outcome. The main building block of the review was the country level evaluation work (six cluster evaluations and three thematic studies), which was planned as part of the process and carried out by Indian evaluators. This provided invaluable ground truth to

* The cover page titles the report on 'Country Evaluation'. Here the generic term "Evaluation" refers to both the Country Reviews (done under the new outcome based ADR approach) and to future ADRs.

the exercise. A two-day special stakeholder meeting was organised to discuss, back-to-back, the review findings and the proposed thrusts of the future programme. This greatly facilitated the integration of the review recommendations into the discussion of the future programme.

A number of people contributed to make this review a reality. Rafeeuddin Ahmed provided invaluable leadership to the review process. Narendra Singh Sisodia made a vital intellectual contribution to the exercise and kept the review process tied to Indian developmental reality. He is also the main author of the report. Giles Whitcomb deserves mention for his untiring efforts and hard work. Nurul Alam, Deputy Director of the Evaluation Office, managed the process throughout and provided substantive inputs, methodological supervision and brought organisational perspective to the exercise. We are grateful to Department of Economic Affairs (DEA) for the excellent cooperation and assistance it provided throughout the process. In particular we are indebted to Dr. Adarsh Kishore for his personal commitment and valued input to the exercise. We would also record our appreciation for Mr. Behura and his team for their support and contribution.

We would like to acknowledge the enormous support received from our colleagues at the Regional Bureau for Asia and the Pacific (RBAP). Our sincere thanks and appreciation to Hafiz Pasha, the Regional Director, for his deep interest, support and intellectual contribution to the process.

Finally the exercise owes a great deal to Ms. Brenda McSweeney, Resident Coordinator/ Resident Representative, and the country office team for their untiring efforts and the time they took to provide substantive inputs to the work of the review.

Khalid Malik
Director
UNDP Evaluation Office

Executive Summary

BACKGROUND

The Evaluation Office of the United Nations Development Program (UNDP) undertook the India Country Review (CR) in consultation with the Government of India (GOI) and the UNDP Country Office. This is the first in a series of CRs to be conducted under the Assessment of Development Results (ADR) concept. This concept is expected to provide UNDP's senior management, host countries and other stakeholders an evaluation of the development effectiveness of UNDP's interventions in a given country. The objective of the India Country Review is to provide an independent assessment of the first Country Cooperative Framework (CCF-I) for India (1997-2002). This review assesses outcomes, indicates the lessons that can be learnt from the experience of CCF-I, makes recommendations in the light of these lessons and finally suggests a range of options for the upcoming country programme. The review is based on the initial desk research done in the Evaluation Office, information gathered from the team's field visits, discussions with key actors and stakeholders, review of evaluation reports and the three consultants' reports.

THE NATIONAL CONTEXT

The Indian economy has performed impressively over the past two decades. During the 1980s, India's average rate of economic growth was the highest amongst large countries outside East Asia. A major fiscal and balance of payment crisis led to a package of radical economic reforms in 1991, although some steps towards liberalisation had been initiated in the 1980s. The reform measures included a greater private sector role in India's development by

improving the investment and tax regimes, dismantling industrial licensing, opening infrastructure to private investment, reforming public enterprises and the financial sector, and reducing price controls. The package also initiated the liberalisation of foreign trade and exchange regimes.

The Indian economy responded well to these measures and during the financial years 1994-95, 1995-96 and 1996-97, the economy grew at 7.2%, 7.5% and 8.2%, respectively, becoming one of the ten fastest growing economies in the world. Given this background, a growth target of 6.5% was set for the Ninth Plan (1997-2002). The actual performance for the years 1997-98, 1998-99, 1999-00 and 2000-01 has been 4.8%, 6.6% (provisional), 6.4%(quick) and 6.0% (advance estimates) respectively. India's GDP per capita in 1999 (PPP) was US $ 2248.0.

Despite the priority accorded to poverty alleviation in India's Five Year Plans, its magnitude remained high until the late 1970s (51.3% in 1977-78). However, since the early 1980s, with the high economic growth the proportion of people below the poverty line has been declining. According to a survey conducted for the period July 1999 to June 2000 there was a significant decline in poverty to 26% based on a 30-day recall methodology. Significant gains have also been recorded in the sphere of human development as is evident from the data relating to life expectancy, infant mortality, literacy, higher education, availability of safe drinking water, agricultural productivity, food reserves, total fertility rate, and decentralisation. Despite improvements in its human development indicators, the UNDP's Human Development Index (HDI) ranks India 115th out of 162 countries and places it in the group of countries with Medium Human Development, with an HDI of 0.571 in 2001 moving up from 0.439 in 1992.

India today is the world's largest democracy with a vibrant electorate, active Judiciary and civil society groups, and a fiercely independent media. Despite its many noteworthy achievements, the country faces several challenges. Economic growth is decelerating, the incidence of unemployment on current daily basis is high, there is widespread undernourishment, the infant mortality rate has been stagnating, electricity is not available to 60% of rural and 20% of urban households, the environment has been deteriorating and gender inequality persists. A key problem faced by the Indian economy is the high fiscal deficit at both the central and state levels.

India today is the world's largest democracy with a vibrant electorate, active Judiciary and civil society groups, and a fiercely independent media.

In order to address these problems, the Government has been trying to accelerate the process of economic reforms. The Approach Paper to the Tenth Plan takes the current weaknesses into account and suggests a reform instead of merely a resource plan. The Plan has an indicative target of 8% GDP growth. The Approach Paper also takes a more comprehensive view of human development. Some important areas of focus of the Tenth Plan are employment creation, institutional reform to facilitate a greater private sector role in industrial and infrastructure development, greater emphasis by the Government on social sector development, overhaul of the existing healthcare system, increase in gross domestic savings and investment ratio, fiscal health, civil service reform, improved capacity and funding for major institutions of decentralisation, and measures to ensure equitable gains from globalisation.

TRANSITION FROM COUNTRY PROGRAMME IV

Important shifts in the strategy of Country Programme IV (CP IV) were made in order to encourage national capacity building and sustainability. CP IV included a change from a project approach to a programme approach, a focus on long-term capacity building and institution building at the community level rather than purely technical inputs, greater involvement of national expertise instead of reliance on international consultants, a shift to national execution and ownership by the GOI, and stronger partnerships with Non Governmental Organisation (NGOs).

DETERMINANTS AND STRATEGY CCF-I

CCF-I – a collaborative endeavour between the GOI and the UNDP – focused on growth with equity, with poverty alleviation and human development as its central concerns. The objectives and contents of CCF-I were influenced by some important policy announcements, including the emerging priorities of the Ninth Five Year Plan, the 73rd and 74th Constitutional amendments and India's commitments in global conferences. The framework was finalised at a

time when the Indian economy was witnessing strong growth. The national policies sought to consolidate economic gains and achieve a 7% growth rate, which was considered essential for poverty eradication and promotion of human development.

THEMATIC AREAS OF CCF-I

For CCF-I, "ten inter-related and mutually reinforcing" programmes were developed under four broad thematic areas as follows:

I. Employment and Sustainable Livelihoods
- (i) Small Industry Development Programme
- (ii) Food Security Programme

II. Access to Basic Services
- (iii) Primary Education Programme
- (iv) Health Support Programme

III. Management of Development
- (v) Economic Reforms Programme
- (vi) Capacity Building Programme
- (vii) Community-Based Pro-Poor Initiatives
- (viii) Technology Programme

IV. Sustainable Development
- (ix) Capacity building in environmental management
- (x) Energy and Environment Programme

Crosscutting themes such as gender equality, employment, environment, technology management, population, HIV/AIDS, and development were to be appropriately addressed in all programmes.

The total resources estimated for CCF-I, along with the carry over resources of the previous cycle were US $ 125.7 million. This includes an outlay of Rs 88.40 million for CCF-I.

STRATEGIC POSITIONING AND PROGRAMME RELEVANCE

The themes and programmes constituting CCF-I are closely aligned with India's national priorities. This harmony, however, needs to be viewed in the context of the multiple objectives of UNDP programmes and the comprehensive nature of India's Plans. The stronger the link between the CCF-I programme and a national policy/goal, the greater the probability of programme outcome serving as an input to the policy discourse.

Since CCF-I was initiated, a number of changes have taken place in India's socio-economic scenario. Economic growth has slowed down and the fiscal deficit has become worrisome. The GOI proposes to address these problems through a number of remedial measures and a package of second generation economic reforms. However, the long-term human development concerns like poverty, gender disparities, inter-state disparities, unemployment, inadequate access to basic minimum services and their poor quality for the underprivileged, deteriorating environment, burgeoning slum population, and gender inequality persist. With the Government's emphasis on economic reforms, control of fiscal deficit and stepping up the pace of social development, the programmes included in CCF-I continue to be relevant in the context of long-term priorities.

COMMON COUNTRY ASSESSMENT (CCA) AND THE UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK (UNDAF)

The CCA carried out in 1999 by the UN system in India is a well-researched, collaborative exercise, designed to draw attention to India's many achievements and the challenges it faces. UNDAF was designed to "increase the effectiveness and efficiency of UN operations by bringing about a greater synergy in action." It is based on rigorous analysis and a dialogue with the Government and other development partners in India to sharpen the focus of the UN system's endeavours. This process of analysis and dialogue led to the identification of gender equality and decentralisation as two critical areas of importance to India's future development. Both these UNDAF themes are closely linked to CCF-I programmes, and will therefore strengthen the implementation process of CCF-I.

PROGRAMME PERFORMANCE

The CCF-I comprises four principal themes, ten programmes and 93 sub-programmes. It took a considerable amount of time finalising the sub-programme documents, and the last lot was signed only in 2000. The National Execution (NEX) guidelines were also issued in July 1998, over a year after CCF-I began. Due to procedural problems there were delays in the release of funds. The Country Review (CR) team faced difficulty in assessing the outcomes as many sub-programmes are in the early stages of implementation and it is premature to expect visible outcomes. The

programme is designed to pilot holistic strategies and participatory approaches for food security and poverty alleviation at the national, community and household levels, focusing specially on the role of women. The team was able to review a few sub-programmes in some detail. An overview of the CR team's assessment is given below:

Food Security Programme

This comprises five sub-programmes three of which relate to women's empowerment and one each to rice and maize production. According to the available information, women's groups and NGOs in Andhra Pradesh are campaigning to support the registration of land ownership in the name of men and women jointly. Under the maize sub-programme, higher yields have been recorded.

The Food Security Programme has two distinct streams – one seeks to facilitate women's access to resources, and as yet, it is early to assess its impacts; the other focuses on spreading technology at the grassroot level. The UNDP however needs to consider whether given the variety of programmes being implemented by the Ministry of Agriculture and state governments, it can add substantial value in this area.

Leather Development Programme

This programme aims at assisting artisans in the leather sector. It's primary focus is on poverty alleviation, sustained livelihood, and building linkages between the organised and the unorganised sector. The programmes have resulted in higher incomes, higher wages, and availability of work throughout the year. The actual composition of beneficiaries suggests that the poorest in the industry (the job workers) have not been directly targeted. Except for the Athani project (Karnataka), and in a small measure in the Mojari Project, the sub-programmes have not specifically targeted interventions among women. Technology, design and marketing interventions have been helpful. The experience with foreign consultants/ experts has been mixed. Self-sustenance of the programme is likely only in centres that are actively engaged in selling designs, lasts, patterns, CFC machine usage time, and consultancy. NGOs have generally achieved better results than government departments.

The programme offers quality service that is highly subsidised. Most state governments may not be able to bear the financial burden of running these successful interventions. Therefore, exit strategies will require exploring ways of making the interventions financially sustainable. It appears that both artisans and industry are developing a dependency syndrome. The implementing agencies' direct interface with the leather workers' community appears to be causing apprehension to the local panchayat leaders, creating potential tension between them and the disadvantaged community of leather workers. However, despite its deficiencies and problems, the review team found the programme to be successful, with the beneficial impacts of its interventions being clearly visible. The evaluation report notes that "the new business model propagated through National Leather Development Programme had worked very well and could hold the key for transforming the Indian Leather Industry…".

Fibres and Handicrafts

This programme proposes to demonstrate sustainable livelihood approaches through integrated interventions in sectors such as jute, non-mulberry silk, cane and bamboo, and carpets. The sub-programmes focus on niche sectors, which are generally neglected in mainstream efforts, and they target the disadvantaged artisan groups (predominantly women) with traditional skills living in underdeveloped regions. These sub-programmes are hence sound in design. They hold out the promise of poverty alleviation through technological and skill upgradation and marketing support in a sustainable manner. The cane and bamboo and the non-mulberry silk sub-programmes are well conceived and are showing encouraging results. The Cane and Bamboo Technology Centre (CBTC) has done noteworthy work and has been received well in the North Eastern states. The sub-programme intervention has shown encouraging results and with the launching of the National Bamboo Mission, can also be said to have influenced policy. The jute programme is focused more on small entrepreneurs, and one needs to examine whether it has achieved its objectives.

Small Scale Industry

The basic thrust of this sub-programme is on strengthening the Khadi and Village Industries Commission (KVIC) and developing three rural, non-farm sectors, mainly beekeeping, clay pottery and handmade paper. The sub-programme

was initiated recently and disbursement has been low. The line ministry has pointed out that there is a time lag in understanding and internalising the concept and modalities of the sub-programme, including UNDP terminologies, systems and project procedures. The sub-programme has considerable potential in the future, provided the capacity of KVIC can be strengthened and the sector made market oriented and commercially viable.

Concentrated in four southern states, the coir sub-programme has been quite successful. Nearly 80% of coir workers are women. The available information indicates that satisfactory progress has been made in the areas of capacity building, community mobilisation, and introduction of innovations.

Community Based Primary Education

This programme aims to demonstrate models of effective community participation in school management and protection of children's rights. Better known as the Janshala Programme, in this intervention UNDP, UNICEF, UNFPA, UNESCO, and ILO have come together with nine state governments and two GOI departments to support the ongoing efforts in the country towards the universalisation of primary education in India. With active involvement of the community, enrolment of children has increased and the dropout rate has declined. The schools have become a place of attraction for children and with the introduction of innovative concepts, learning has become a joyous experience. Teachers' attendance has also become regular.

Health Support Programme

This programme seeks to pilot effective models of public-private-community partnerships for improved healthcare for the poor. At US $4.5 million, the outlay of this programme is relatively modest. With a utilisation of US $0.69 million till December 2001, it is premature to assess the impact of this programme.

Both the education and health programmes, while worthwhile in themselves, are relatively small interventions compared to much larger programmes being implemented through other sources. In both sectors the UNDP can make a limited impact in terms of its direct intervention. It needs to be examined whether its pilot interventions on a limited scale will be able to make a distinctive contribution to new thinking in these sectors.

Economic Reforms Programme

This programme essentially envisages a number of action-research studies in a variety of areas relating to economic reforms. The issues range from pricing of municipal services to preparing operational strategies for financing and improving access to health. Funds available under the programme will also be utilised for capacity building of officers involved in the privatisation programme. The programme has yet to show concrete results, although the utility of the proposed studies and training is unquestionable. In pursuing these activities in the future, UNDP needs to carve out its own niche, avoid any possible overlap and keep in view its own strengths and constraints vis-à-vis other, bigger players in the field.

Capacity Building Programme

This programme supports a core activity of the decentralisation theme, with the potential to sensitise key grassroot players to gender concerns. Under the sub-programme, six regional resource centres are being developed. These will assist in the capacity building of 3.4 million elected representatives of local self-government institutions, of which one third are women. Full ownership by the concerned ministry and the six regional resource centres, and putting effective implementation arrangements in place are crucial to the success of this sub-programme.

This sub-programme also includes strengthening administrative training institutes at the state level and developing a Centre for Public Policy at the Indian Institute of Management, Bangalore. Other interventions relate to urban governance and citizen's access to information.

The capacity building programmes, if implemented well, can make a significant contribution to developing the effectiveness of elected representatives at the local level. This is crucial to strengthening decentralisation and improving governance.

Community Based Pro-Poor Initiatives

This programme seeks to support people-oriented development planning, social mobilisation and community participation, particularly among women, tribals and backward communities.

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The Community Based Pro-Poor Initiatives (CBPPI) programme has 17 sub-programmes, of which 12 are being implemented through NGOs.

Overall, the sub-programmes are well designed and take into account the needs, strengths and limitations of local communities. Special efforts are being made to mobilise women. Self-help groups are being promoted. For poverty alleviation in tribal communities, an attempt is being made to revive the traditional knowledge system.

The sub-programmes have demonstrated many new and innovative approaches. They have made several impressive achievements. The available evidence suggests that the interventions have been accompanied by intense managerial and technical inputs, a great deal of commitment, and external supervision for relatively small operations. It may not, therefore, be easy to replicate the sub-programmes. Given the fact that there are other, bigger players in the arena of poverty alleviation, a better strategy may be to widely share the experiences of UNDP-supported programmes so as to influence the perspectives and approaches of these other players, who, with their substantially larger funds, can be expected to exercise greater influence in ensuring replication and mainstreaming of the successful approaches demonstrated. Some beginnings have been made in CCF-I. For instance, under the District Poverty Initiative Programme, the World Bank has adopted the model of the UNDP South Asian Poverty Alleviation Programme (SAPAP) and has provided an additional resource support of about US $2 million for each district.

The UNDP's annual Human Development Reports (HDRs) are its flagship product and over the years they have emerged as the principal advocacy platform for sustainable human development.

Technology Management Programme

According to information furnished by UNDP-India, two technology development and application centres with ten rural technology resource centres under them have been established. In addition, four centres for providing vocational training in need-based technical skills to rural and semi-urban youth have been set up. If they are successful, the initiatives could spread technology at the grassroots. The UNDP's involvement has also focused on the linkages between technology and poverty alleviation. However, it is not clear what value has been added by the UNDP since its partner is the Department of Science and Technology, which has the requisite resources and access to national and international experts.

State Human Development Project/Human Development Resource Centre

This project seeks to support Planning Commission and state government efforts in the formulation of state-level human development reports so as to promote human development oriented policies at the state level. The UNDP's annual Human Development Reports (HDRs) are its flagship product and over the years they have emerged as the principal advocacy platform for sustainable human development. They have demonstrated that income alone does not capture all dimensions of development and have made a significant contribution to promoting human development oriented policies world-wide. The Planning Commission's recently published India HDR and its additional resource support for sub-national HDRs can be seen as a signal achievement of UNDP advocacy. Although the outlay for this project is only US $0.5 million, it can be expected to make a significant difference in ensuring higher priority to issues of human development in public policies and development plans, particularly in the states. The State Human Development Reports (SHDR) for Sikkim and Rajasthan have already been published, and HDRs for five more states are being finalised.

HDRs need to be followed up by studies in priority areas, evaluation studies of specific programme interventions, etc. In the future, more downstream work is needed by offering strong support to states. This programme has considerable potential, particularly in terms of advocacy, as it addresses key UNDP concerns of gender and decentralisation, and strengthens partnerships to fight poverty across the country.

The achievements of SHDR/HDRC interventions are encouraging, but their potential to make a significant impact on India's development endeavour is even greater. Given its capacity to impact public discourse and policies in favour of the poor as well as issues requiring special focus in the context of globalisation,this programme merits added emphasis in the future.

Environment Programme

This programme's principal objectives are to facilitate natural resource management, strengthen the existing capacity for public policy, and disseminate information/knowledge

on environmental management/conservation. Its main advantage is its linkage and access to the Global Environment Facility (GEF) and Montreal Protocol (MP) resources where UNDP plays a major role. The rationale to pursue sustainable development initiatives is unexceptionable. However, a large number of scattered sub-programmes are not amenable to proper monitoring and evaluation. Hence, it is advisable to focus on a few key sub-programmes.

Disaster Mitigation and Management

In the wake of the Orissa super-cyclone and the Gujarat earthquake, the UNDP country office has demonstrated its ability to address emergent needs. Under the United Nations Disaster Management Team (UNDMT) convened by UNDP, a coordinated UN system support to the Government has been put in place. Its objective is to promote enhanced community participation and preparedness for disaster mitigation and management. The Country Office is involved with 19 projects involving an amount of about US $10 million. The UNDP pursued a strategy focusing on vulnerability reduction and sustainable recovery in the post-emergency relief phase. With this entry point it also pursued pro-poor initiatives, empowerment of women, village and district level planning, and skill and capacity building.

MANAGEMENT ISSUES

Programme Formulation

The process of programme formulation is elaborate. While programmes/sub-programmes are well designed and comprehensive, their preparation and approval tends to get delayed. It took three years to get all the programmes cleared under the CCF-I. There is a need to review the two-tier programming approach afresh.

Resource Flow

The flow of resources to sub-programmes and their utilisation has been slow (45.22% up to December 2001). Delays in release of funds suggest procedural or simply processing delays.

National Execution (NEX) Guidelines

The NEX guidelines were finalised in July 1998. They strengthen responsibility and ownership within the Government and facilitate linkages and coordination. On the whole, the NEX guidelines of July 1998 are a welcome reform. However, due to a variety of reasons, they have not been conducive to prompt release of funds. The CR team noted numerous instances of procedural delays that adversely affected programme performance. There is need for the Department of Economic Affairs (DEA), National Programme Directors (NPDs), and the UNDP to further discuss this issue, and resolve practical impediments to fund release.

Management Structures

Programme Management Boards (PMBs) headed by secretaries to the GOI should continue, but look at only macro policy and coordination issues rather than at administrative approvals and financial sanctions. The Programme Standing Committees headed by NPDs must be empowered, with the necessary administrative and financial functions delegated to them. The programme design may be modified to meet the requirements of both the Expenditure Finance Committees (EFC) and Standing Finance Committees (SFC), so that clearance of the EFC/SFC is not required afresh.

State Level Steering Committees

State Level Steering Committees should be set up under Chief Secretaries of states to facilitate higher level attention, ownership, dissemination of lessons, best practices, replication, state level coordination and interaction with civil society partners. Programme Management Units (PMUs) may be approved where the size and nature of the programme justify them. The PMU may be carved out of ministry staff and paid at Government scales. In exceptional situations, when an official brings to bear upon the programme some special expertise that is distinct from his/her normal managerial functions, emoluments at higher scales could be considered.

Panchayati Raj Institutions (PRIs) should be encouraged to actively participate in UNDP programmes. Alternatively, they should be taken in confidence and a collaborative relationship between NGOs and PRIs should be established. Similarly, the district administration should be taken on board.

A corps of community animators/volunteers

should be developed. They can then disseminate the programme 'message', do extension work, motivate the beneficiaries, liaise with programme managers, promote self-help groups and help carry on the work when the programme managers are no longer there.

UN System Coordination

The concrete steps taken to bring about greater coordination and synergy among UN agencies include the CCA exercise completed in 1999, followed by the finalisation of the UNDAF document, the full harmonisation of programme cycles among UN system organisations by 2003, learning about ongoing efforts to bring about cost savings through Inter Agency Working Groups (IAWG), joint learning and training for UN staff, development of a common intranet etc. As UN organisations proceed with the harmonisation process, and UNDAF priorities get reflected in the new Country Programmes (CP), new opportunities for collaboration will emerge and will need to be seized. Five UN organisations participated in the Joint UN system Education Programme (Janshala) and the UN system adopted a coordinated approach to support the disaster affected states of Orissa and Gujarat.

LESSONS LEARNT AND RECOMMENDATIONS

Preserving UNDP's Image

UNDP's consistent support to people-centred development processes, and its effective advocacy of the concept of sustainable human development through the global HDRs, has established for it an image of impartiality and neutrality which should be preserved in order to protect its unique position. This will require a keener understanding of each country's strengths, constraints and sensitivities. The India Country Office has so far sensitively calibrated UNDP's global agenda to suit the local circumstances. This effort needs to be strengthened and encouraged in the future. The GOI also needs to appreciate that while the UNDP's financial inputs may be modest, it has other unique strengths which should be taken advantage of.

Avoiding Multiplicity of Objectives, Programmes and Sub-Programmes

Multiplicity of objectives and a large number of programmes and sub-programmes diffuse focus, strain managerial resources, render monitoring and evaluation difficult, and lead to sub-optimal utilisation of resources. There is, therefore, a need to ensure that sub-programmes converge both thematically, focusing on a few clearly identifiable themes and objectives, as well as geographically.

Partnerships for Synergy and Long-Term Sustainability

In order to bring about synergies in collaborative efforts and long-term sustainability of programmes, partnerships and alliances need to be built at several levels. Special attention needs to be given to building partnerships with the state governments, district administrations and PRIs, which will ultimately carry forward the programme.

Approaching Development Holistically

A uni-dimensional intervention will not ensure results in the long-term and thus it is essential to take a holistic approach. While the entry point may be a key priority or a felt need, other related elements will have to be addressed incrementally. The impact of a programme can be maximised and its sustainability ensured when a more holistic approach to development is adopted.

Inter-Sectoral Linkages Among Programmes

A greater emphasis must be laid on building inter-sectoral linkages in developing conceptual frameworks, design, and management to maximise impact. Often programmes and sub-programmes are designed independently and function more or less in isolation from each other, despite cordial interpersonal relationships. Hence, intersectoral linkages need to be consciously built up to improve the quality of design and implementation and to enhance impact.

Active Involvement of Zila Parishads, Blocks and Panchayats (PRIs)

PRIs are now consciously mandated and a large number of development programmes are to be planned and implemented by them. In this context, a conscious and vigorous initiative in the upcoming CP to ensure active participation of PRIs in appropriate

programmes is essential. Where the implementing agencies are NGOs, efforts will be needed to promote a collaborative relationship with PRIs.

Maximising Impact through 'Indirect' Interventions

The UNDP's efforts will be better rewarded if it focuses on indirect interventions like demonstration programmes to validate innovative approaches, sharing lessons learnt and their dissemination, human development initiatives like the HDR, capacity building etc. However, in order to lend credibility to its indirect interventions, the UNDP will need to continue with some direct interventions for hands-on experience. Advocacy by itself, without a demonstration of the ability to implement, will have only a limited impact.

Exit and Replication Strategies

Exit strategies should be specifically built in at the time of programme design. These strategies should be adequately explained to the stakeholders. Milestones for each stage of the project need to be specified in the programme/sub-programme document so that the stakeholders know at which stage external assistance will no longer be available. At present, most programmes or sub-programmes do not seem to incorporate, or in practice implement, such exit strategies. There are many instances of beneficiaries developing a dependency syndrome. At the state government level, there is an impression that UNDP intervention is another source of additional resources or it is treated as such. The precise objective of the intervention needs to be explained upfront to the stakeholders at the ground level.

Disseminating Lessons

The global HDR has been a vehicle for disseminating development lessons from India. More systematic and intensive action is needed to bring international experience to India, share experiences and best practices within India, develop best practices documentation and take follow up action to widely communicate its messages. Some of this is underway and should be expanded.

Gender Mainstreaming

At present, despite a rights-based approach to gender equality in programme and sub-programme documents, the focus on gender is still strongest in community-based programmes implemented through NGOs. Progress in the field often seems to depend on the perspectives and skills of the implementing NGOs. In some programmes, there is a risk of interventions reinforcing traditional gender inequalities and biases. Monitoring and evaluation frameworks need to be consciously gendered. The Country Office has taken several steps to strengthen integration of gender into CCF-I programmes, including capacity-building for programme teams and partners, and participatory exercises for gender impact assessment. These efforts need to be strengthened in the lead-up to the next CP. Representatives of women's groups and gender experts should be consulted in programme formulation, as was done in a few programmes under CCF-I. The Department of Women and Child Development (DWCD) and the National Commission for Women (NCW) should be actively involved. The UNDP should contribute to the process of gender perspective building for NGOs. Men need to be fully involved in pursuing programmes for ensuring gender equality at the community level. The UNDP should also undertake some focused action-research projects to explore the linkages between macroeconomic policy and women's lives. The work on gender budget analysis initiated in partnership with the DWCD is an important initiative in this direction.

NGOs-PRIs Interface

In the larger Indian scenario, the relationship between NGOs and PRIs is not always positive. Greater attention must be given to ensure that UNDP interventions contribute to strengthening the links between NGOs and Panchayats, which, as the constitutionally mandated institutions of local governance, will play a critical role in sustaining and taking forward the interventions.

Encouraging Transparency among PRIs and NGOs

Transparency among PRIs and NGOs, which can contribute to enhancing their credibility and effectiveness, can be ensured by disseminating information on their financial transactions, accounts, and audit reports. UNDP-India should consider encouraging NGOs and PRIs to do so.

Despite a rights-based approach to gender equality in programme and sub-programme documents, the focus on gender is still strongest in community-based programmes implemented through NGOs.

Refining Programme Design and Implementation Strategies

This should be done by undertaking a rigorous analysis of the aspects of class, gender and replicability. Without such an analysis and inclusion of appropriate measures in the programme design, the poorest and the most vulnerable may be neglected, men may sabotage the process of women's empowerment, and replication may not happen. The programme design should also incorporate rights-based perspectives. The precise nature of the programme, whether a 'direct intervention,' a 'complimentary effort' or a 'pilot project' should be made explicit in their designs at the very outset.

Rethinking Strategies during Implementation

The programme design should cater for mid-course evaluation and corrections.

Dealing with Vested Interests

NGOs should be encouraged to be proactive and to find solutions when problems arise in consultation with local administration, take preventive measures against threats from vested interests, establish networks with like-minded organisation, and take the district administration into confidence. At the same time, the need for NGOs to adhere to rules and procedures, and demonstrate transparency in their own functioning cannot be ignored.

Developing Effective NGOs as Resource Centers

The UNDP and the Government need to promote more effective networking among NGOs with proven expertise, field presence and competence in addressing critical issues. Focused efforts are also needed to develop these NGOs as resource centres and 'mother NGOs'.

Developing a Cadre of Paraprofessionals/Community Animators/Volunteers

The experience of some CCF-I sub-programmes shows that literacy is not a necessary pre-condition for training paraprofessionals like livestock and health assistants. It is essential to develop paraprofessionals so that they can offer services locally to the community without depending on bureaucratic structures.

Time Perspective for Social Mobilisation

The fact the social mobilisation is a complex process and requires time should be kept in view while designing programmes and working out the time schedule for their implementation.

Future Directions

Programmes for the ensuing CP should be developed around the objectives of India's Tenth Five Year Plan, the overarching goals of UN system in India, and UNDAF themes. The CR team proposes the following set of possible options for the upcoming CP:

1. Strengthening decentralisation
2. Accelerated development of 20-30 backward districts on pilot basis
3. Human development
4. Technology for poverty reduction
5. Vulnerability reduction at community level, including disaster risk reduction
6. Civil services renewal
7. Renewable energy
8. Water conservation and harvesting
9. Information Technology for development
10. Partnering the private sector

Crosscutting themes like gender equality, sustainable human development, HIV/AIDS, and environmental sustainability should be appropriately incorporated. Communications and advocacy strategies should be strongly built into all programmes as a means of sharing best practice and ensuring replicability.

The above ten alternatives are being suggested as a set of options to enable the UNDP and the GOI along with their partners to examine the relevance, pros and cons and costs and benefits of each. The CR team would like to reiterate emphatically that the UNDP needs to sharpen its focus and choose only five or six of the most appropriate programmes. Only a concentrated effort can lead to a distinctive contribution and value addition. The temptation to undertake a large number of scattered programmes, all very worthwhile in themselves, may lead to dissipation of resources.

Overview

1. This is the first attempt in a series of Country Reviews (CRs) to be carried out under the UNDP's Assessment of Development Results (ADR) concept. The ADR approach focuses on outcomes as expressed in the Strategic Results Framework (SRF) and their impacts. It distinguishes outcomes from outputs. The exercise aims to explore linkages between programmes and the overarching objective of reducing poverty and attaining the Millennium goals. It looks at the range and quality of development partnerships forged and their contribution to outcomes. Its emphasis is more on learning lessons from successes and equally from failures, rather than on auditing performance.

2. Perhaps it is appropriate that this new process of assessing the development effectiveness of the UNDP's interventions begins with India – a country that can justly pride itself on being the world's largest democracy. It is also the largest recipient of the UNDP's core resources, and the largest non-DAC contributor to UNDP. During the 1980s India's rate of economic growth was the highest among large countries outside East Asia. With the spurt in the rate of its economic growth during 1994-97, it became one of the ten fastest growing economics in the world. It has also made some impressive progress in the area of human development. And yet, it is home to nearly 260 million of the world's poorest. Despite improvements in its human development indicators, it ranks 115th out of 162 countries on the UNDP's Human Development Index (HDI). India thus offers a fascinating opportunity to learn what has worked, what has not, and why.

3. For the CR team, this exercise has been interesting and instructive at the same time. The team began with exploring the answers to some

questions. As the process got underway, many new ones came up. It would be pretentious to assume that this Report answers them all. Hopefully, it will help in understanding and defining them better.

4. Some limiting factors of this exercise should be mentioned at the outset. Firstly, while the programme formally commenced in 1997, most of the CCF-I components have been in actual operation for just around two years—a period all too brief for process changes to occur. Secondly, following the switch to the Results Based Management (RBM) system with SRF and Result Oriented Annual Reports (ROAR) as its key management tools, measuring impacts has become a challenge. It is easy to verify whether a building has been constructed or equipment bought. It is not as easy to assess if a community has been mobilised or women have been empowered. Thirdly, there is the problem of attribution. Changes in development policies can be influenced from diverse sources. The impulse for change can come from the conviction of policy makers themselves, successes and failures of other countries, experiences of other aid agencies, academic literature, public opinion or pressures exerted by interest groups. Sometimes an aid agency may justifiably advocate an approach which already enjoys a measure of acceptance or it may be just one of the contributing influences. In democracies, policy formulation is a multilayered and participatory exercise. In such a setting, for instance, to whom should the growth of self-help groups in Andhra Pradesh, now reported to be nearly 400,000 in number, be attributed? To the Grameen Bank of Bangladesh, to the South Asia Poverty Alleviation Programme (SAPAP), to a progressive political leadership, to the Annual Reports of some multilateral aid agency or to UNDP's CCF-I which began in 1997? Fourthly, there is the problem of measurement. How does the review process measure, for instance, the precise contribution of the Country Office to India's Tenth Plan Formulation? Or how does one measure the influence of the UNDP supported programmes on the design of a mainstream anti-poverty programme? The CR team has faced many dilemmas in the process of attribution of outcomes, their validation and measurement. The fact that in UNDP-India, RBM is so far a work-in-progress and the quality of reporting will be refined as the process matures, does not help matters.

5. The CR seeks to answer the question whether UNDP's interventions in India have been relevant. During the 1990s, India witnessed impressive economic growth. The poverty ratio has also declined significantly even though it is still at a high level. In the context of India's development agenda, were the CCF-I interventions strategic? The team's answer is in the affirmative. The ten programmes under CCF-I cover small industry development, food security, access to primary education, health support, support for economic reforms, capacity building, community based pro-poor initiatives, technology management, rural energy and environment. All of these address the problems of poverty or human development either directly or indirectly. Most interventions target the rural areas. In their areas of operation, the interventions seek to promote an enabling environment for development. They aim at mobilising communities, reducing barriers to the market, providing access to credit, technological support, health and education, promoting non-farm employment and food security. Gender and decentralisation are cross-cutting themes. There is thus no question that the choices exercised in terms of programme interventions are strategically relevant to the UNDP's mandate and India's development goals.

6. The review also points out that given the multifarious challenges faced by India and the comprehensive nature of its plans, choosing an intervention that is relevant is not a problem. The challenge is in selecting areas in which the UNDP can make unique contributions, which are distinct from those of others, and where it can add real value. An important lesson that emerges from the review is the need to focus and converge, both thematically and geographically, so that impacts are demonstrable.

The CR seeks to answer the question whether UNDP's interventions in India have been relevant.

7. Will these micro interventions – mere drops in the vast ocean of India's development efforts – cause any ripples? The answer to this question, at least so far, can be in the affirmative, but only partially. In some cases, the design itself is explicitly for demonstrating an innovative approach. In many other cases, there is a growing realisation of the limits of 'direct' interventions with meager resources. Hopefully, this will lead to much more vigorous efforts for 'upstream' work, in terms of effective communication of 'the purpose' of the interventions, dissemination of 'lessons', and building partnerships at levels which have so far remained neglected. Some other enterprises, like the Sub-National HDRs, by their very nature, should impact macro policy options and resource allocations. They could act as the torchbearers of the human development philosophy. Much will depend on the follow-up work and the manner in which 'messages' and 'lessons' are disseminated and learnt. The CR shows that in states where SHDRs enjoy strong 'ownership', their impact on development policies and programmes is significant.

8. In the development endeavour, can 'one-size-fit-all'? Can policy prescriptions be uniformly applicable? Can there be 'best practices' which apply in all situations? The review suggests that while the UNDP's global agenda is indispensable for achieving focus and synergy, it needs to be appropriately nuanced to suit local circumstances. The process of adaptation should take into account local strengths and weaknesses, and indeed local sensitivities. The agenda should not be seen as externally driven. Ownership is critical in this context. 'One-size- fits-all' cannot be a practical solution to addressing the complex challenge of development.

9. The CR team found that while UNDP-India has developed many valuable partnerships, there are many other actors who need to be brought into 'the alliance'. Some state governments appear to treat the UNDP merely as a source of additional funds. The same applies to some district administrations and many Panchayati Raj Institutions (PRIs). Since the action is in the states, it is crucial to forge partnerships with local actors.

10. Will CCF-I programmes survive their termination? In some communities there are signs of a dependency syndrome developing. There is a demand for continuing UNDP supported programmes indefinitely. There is not enough assurance that the programmes will continue after the external actors and assistance have withdrawn. These point to the need for greater attention to exit and replication strategies, greater effort for ensuring ownership, and greater emphasis on building partnerships.

11. With some exceptions, Non Government Organisations (NGOs) have been the UNDP's most reliable partners. Some of them have worked in the field for several years and have acquired a great deal of credibility. But their coverage is very limited. Some of them do not look at PRIs favourably and perceive them to be hotbeds of vested interests. And yet, PRIs are constitutionally mandated bodies of local governance. It is not possible to ignore them or risk their hostile reaction in the process of development. Building collaborative relationships with PRIs and encouraging a constructive engagement between NGOs and PRIs are important challenges that must be addressed in the future.

12. In the pages that follow, there is a fuller discussion of the strategic positioning and relevance of CCF-I, its performance, management issues, lessons learnt from CCF-I so far, recommendations, and some suggestions for future directions. The Report concludes with a brief reference to some questions to which the CR team found no answers. These hint at the complex tasks that practitioners face. Hopefully, these will provoke some reflection and debate for the future.

1 Introduction

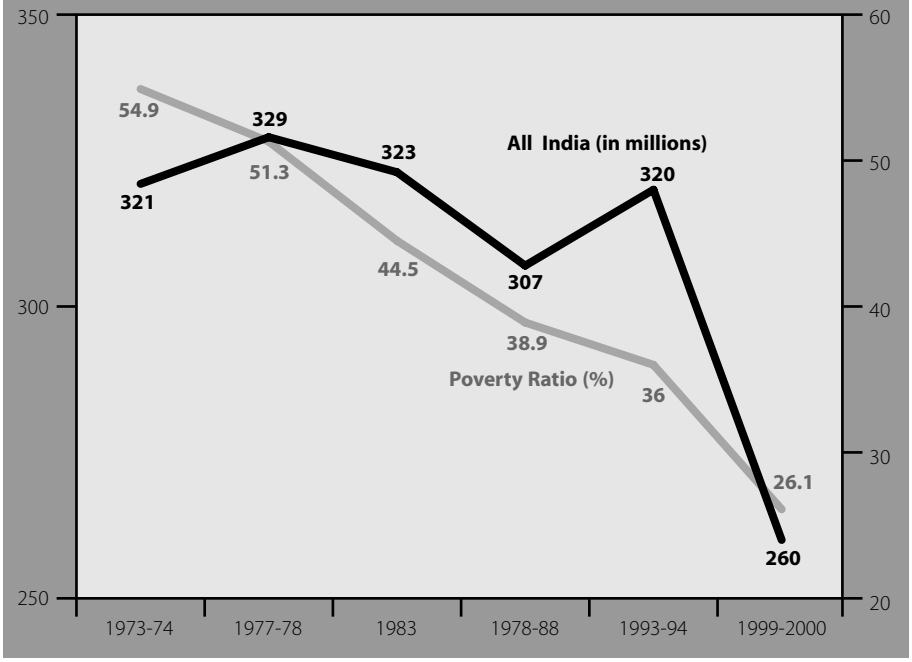
BACKGROUND AND PURPOSE OF THE COUNTRY REVIEW

The Evaluation Office has undertaken the Country Review (CR) together with the UNDP Country Office in New Delhi and the Government of India (GOI). This is the first in a series of CRs to be conducted under the Assessment of Development Results (ADR) concept that is to provide the senior management of UNDP, host countries and other stakeholders a measure of the development effectiveness of the UNDP's interventions in a given country.

The purpose of the India CR is to carry out an independent, in-depth assessment and validation of the results achieved during the first Country Cooperation Framework (CCF-I) for India (1997-2002). The CR focuses on outcomes – notably as articulated in the Strategic Results Framework (SRF) and Results Oriented Annual Reports (ROAR) – examines achievements and constraints, and draws out the lessons learned. The CR makes recommendations for enhancing performance and positioning future interventions in the upcoming Country Programme (CP) in the backdrop of India's development priorities.

Under the ADR concept, the CR is essentially concerned with the relevance of the CP to the national development context, UNDP's SRF and the UN Development Assistance Framework (UNDAF). The exercise aims to explore the linkages between the programmes and the overarching objective of reducing poverty and other Millennium goals. The focus is on assessing outcomes and impacts as distinct from outputs. It looks at the range and quality of development partnerships forged and their role in contributing to outcomes. The process lays special emphasis on learning lessons both from successes as well as failures.

FIGURE 1: **ESTIMATES OF POVERTY IN INDIA**



A brief note on the methodology adopted by the CR team and its composition is available in Attachment 1.

THE NATIONAL CONTEXT

The Indian economy has performed impressively over the past two decades. India's average rate of economic growth during the 1980s was the highest among large countries outside East Asia. However, the development strategy of that period, based on a highly regulated and protected domestic market, proved unsustainable. A spurt in oil prices and a sharp decline in remittances during the Gulf war precipitated a major fiscal and balance of payment crisis. Although some steps towards liberalisation had been initiated in the 1980s, consequent to this macroeconomic crisis, the GOI introduced a radical reform package. It included a greater private sector role in India's development by improving the investment and tax regimes, dismantling industrial licensing (except for 18 industries), opening infrastructure to private investment, reforming public enterprises and the financial sector, and reducing price controls. The package also initiated the liberalisation of foreign trade and exchange regimes.

The new market friendly approach was an important underpinning of the Eighth Five Year Plan (1992-97), which also laid greater stress on human development. The Indian economy responded well to the new measures introduced in nearly all its sectors. During the financial years 1994-95, 1995-96, and 1996-97, the economy grew at 7.2%, 7.5%, and 8.2%, respectively, becoming one of the ten fastest growing economies in the world[1]. It showed resilience despite adversities, such as the East Asian financial crisis of 1997-98 and the abnormal increase in oil prices. Encouraged by this unprecedented boom, the Ninth Plan set an annual growth rate target of 6.5%. The actual performance for the years 1997-98, 1998-99, 1999-00 and 2000-01 has been 4.8%, 6.6% (provisional), 6.4% (quick) and 6.0 (advance estimates) respectively[2]. India's GDP per capita in 1999 (PPP) was US $ 2248.0.

Poverty alleviation has been a major goal in all of India's Five Year Plans. Yet, the estimated magnitude of poverty remained high until the late 1970s (51.3% in 1977-78). How has India progressed towards its goal of poverty reduction in the period of relatively faster economic growth? Estimates of poverty show that since the early 1980s, with high economic growth, the proportion of people below the poverty line has been declining. The 55th round of the Household Consumer Expenditure Survey of India's National Sample Survey Organisation, covering the period July 1999-June 2000, shows a significant decline in poverty to 26 % based on 30-day recall and 23.3% on a seven-day recall methodology[3]. These estimates are not strictly comparable to the earlier estimates, but there is a broad consensus on the decline in India's overall poverty ratio in the 1990s. The latest estimate shows a significantly reduced number of poor at around 260 million out of a total population of 997 million in 1999-2000 (Table 1, following page). The trends in poverty reduction from 1973-74 to 1999-2000 are exhibited in Figure 1.

The decline in poverty over the 1990s is faster compared to the 1980s if the seven-day recall estimates are used. Since the comparability of the relevant sets of data has been questioned,

1. Economic Survey, 2000-2001
2. Economic Survey, 2001-02
3. Economic Survey 2000-2001, Page-13

some experts have made estimates of poverty with adjustments for differences. These show the estimates of poverty to be even lower. Even if the latter estimates showing a more rapid decline in poverty are rejected, it can be safely assumed that the economic reforms of the 1990s have not "adversely affected the trend of decline in poverty."[4].

TABLE 1: **ESTIMATES OF POVERTY**

Year	All India Number (Million)	Poverty Ratio (Percent)	Rural Number (Million)	Poverty Ratio (Percent)	Urban Number (Million)	Poverty Ratio (Percent)
1973-74	321	54.9	261	56.4	60	49.0
1977-78	329	51.3	264	53.1	65	45.2
1983	323	44.5	252	45.7	71	40.8
1987-88	307	38.9	232	39.1	75	38.2
1993-94	320	36.0	244	37.3	76	32.4
1999-00	260	26.1	193	27.1	67	23.6

Source: Economic Survey, 2001-2002.

Over the past five decades a variety of poverty alleviation programmes have been tried out in India. What has been the experience of these so far? Transfers through poverty-alleviation programmes are often inefficient. The experience of the Public Distribution System (PDS), which does not necessarily confine subsidies to the poor, has been similar. Employment-based poverty alleviation programmes have been relatively more effective because they are self-targeting and self-liquidating. There is empirical evidence to support the view that such programmes have proved more efficient at targeting the poor than those offering productive assets such as the Integrated Rural Development Programme (IRDP). Non Government Organisations (NGOs) have been found to be more successful in managing anti-poverty programmes, particularly in terms of using credit, empowering women and repayment. However, their coverage is small. Nutrition based programmes have been found to be more useful for poor women and children.

Past experience, both global and Indian, shows that in the long-term, the most effective poverty alleviation strategy is accelerating economic growth – a process that offers increasing and diverse opportunities for gainful employment to the poor. Economic growth should yield higher revenues by broadening the tax-base and thus provide resources for anti-poverty programmes. These efforts however, need to be complemented with measures for human development, particularly education and health. Decentralisation and women's empowerment are crucial for both poverty alleviation and human development. This is where the UNDP has played an important role. As this report suggests later, this role needs to be strengthened in future. In the short run, direct anti-poverty programmes can be helpful and sometimes even necessary.

India's achievements in the sphere of human development have also been noteworthy. Life expectancy at birth has doubled to 62.9 years between 1950-99. Infant mortality has been halved between 1960-99 to 72 deaths per 1000 live births. The Total Fertility Rate has gone down from 5.4 in 1970-75 to 3.3 in 1995-2000[5]. Literacy rates have gone up from 18% to 56% between 1951-99. India has acquired an enviable reputation in higher education, particularly in medicine, management, science, and technology. Foodgrain productivity has increased from 710 kg/ha in 1960-61 to 1697 kg/ha in 1999-2000. Per capita food availability has gone up from 395 grams per day in 1951 to 484 grams per day in 1990. India had built up a sizable reserve stock of 20 million tons of food grains by January 2002[6]. The singulate mean age at marriage for women has gone up from 18.4 years in 1981 to 20 years in 1992-93. India registered improvement on the Gender Development Index, from 0.401 in 1992 to 0.533 in 2001, and marginally on the Gender Empowerment Measure, from 0.226 in 1992 to 0.240 in 2001. One third of all seats in local bodies have been reserved for women through a constitutional amendment. UNDP's Human Development Index (HDI), ranks India 115th out of 162 countries and places it in the group of countries with Medium Human Development, with an HDI of 0.571 in 2001 moving up from 0.439 in 1992. (India's comparative position on HD indicators is shown in Table 2, following page).

Today, India is the world's largest democracy with a vibrant electorate, active judiciary and civil society groups, and a fiercely independent

Past experience, both global and Indian, shows that in the long-term, the most effective poverty alleviation strategy is accelerating economic growth.

4. Human Development Report, 2001.

5. Human Development Report 2001.
6. Department of Food & Public Distribution, Government of India

TABLE 2: **COMPARATIVE POSITION OF INDIA ON HUMAN DEVELOPMENT INDICATORS**

HDI Rank & Country	Life Expectancy At Birth (Years) 1999	Adult Literacy rate (% age 15 & above) 1999	Combined Primary, Secondary and Tertiary gross enrollment ratio (%) 1999	GDP per capita (PPP US$) 1999	Life Expectancy Index 1999	Education Index 1999	GDP Index 1999	Human Development Index (HDI) value 1999	GDP per capita (PPP US$) rank minus HDI rank
Medium Human Development									
81. Sri Lanka	71.9	91.4	70	3,279	0.78	0.84	0.58	0.735	19
87. China	70.2	83.5	73	3,617	0.75	0.80	0.60	0.718	7
115. India	**62.9**	**56.5**	**56**	**2,248**	**0.63**	**0.56**	**0.52**	**0.571**	**0**
118. Myanmar	56.0	84.4	55	1,027	0.52	0.75	0.39	0.551	22
Low Human Development									
127. Pakistan	59.6	45.0	40	1,834	0.58	0.43	0.49	0.498	-5
129. Nepal	58.1	40.4	60	1,237	0.55	0.47	0.42	0.480	7
130. Bhutan	61.5	42.0	33	1,341	0.61	0.39	0.43	0.477	5
133. Bangladesh	58.9	40.8	37	1,483	0.57	0.39	0.45	0.470	-4

Source: Human Development Report, 2001.

media. Political participation and democracy have been strengthened by the 73rd and 74th Constitutional Amendments of 1992, providing a constitutional mandate to institutions of local governance.

PROBLEMS, CHALLENGES & ISSUES

While India's achievements are noteworthy in many spheres, it faces several daunting challenges. These have been highlighted in the Approach Paper to the Tenth Five Year Plan (2002-2007). The economy is currently in a decelerating phase. Restoring its momentum, particularly in the context of the global slowdown, is one of the key tasks[7]. The incidence of unemployment on Current Daily Status basis is relatively high at over 7%. More than half the children in the 1-5 age group in rural areas are undernourished, with the girl children suffering even more severe malnutrition. For the last several years the infant mortality rate has stagnated at 72 per 1000. About 60% of rural and 20% of urban households do not have electricity. The urban environment has deteriorated and the number of slum dwellers has been increasing. Air, river, and water pollution have adversely affected quality of life of the urban poor. Land and forest degradation in rural areas and over-exploitation of ground water have reached disturbing levels. Today, India has 18% of the world's population and 15% of its livestock, but only 2% of the world's geographical area, 1% of the world's forest area, 0.5% of the world's pasture lands, and 0.08 ha per capita availability of forest as opposed to the world average of 0.8 ha per capita. Gender inequality persists and women fare much worse than men on practically all indicators of human development. One of the principal challenges faced by India is the persistence of disparities among states, within states, between rural and urban areas, and across communities[8].

The government recognises high fiscal deficit, at both the central and state levels, as a key problem of the Indian economy[9]. This is reflected in an increasing share of debt service in the expenditure budget of both the central and state governments. As a result, the Government's capacity to undertake any significant public investment has been eroded. This has led to a decline in the demand for industrial goods, slowed down private investment in infrastructure, and kept the real interest rates high. In turn, the climate for private investment, both foreign and domestic, has been dampened. The possible solutions to the problem have been identified and placed on the Government's reform agenda. These include privatisation of the competitive segment of the public sector, expenditure control, review of subsidies,

7. The IMF's World Economic Outlook projects 2.4% growth in world 0utput during 2001, compared to 4.7% during 2000.
8. The Common Country Assessment (CCA) prepared by UN System in 1999.
9. According to Economic Survey 2001-02, gross fiscal deficit, as a proportion of GDP at current market prices for 2000-01 is now estimated to be 5.5%.

deregulation of the coal and petroleum sectors, power sector reforms, comprehensive measures to enhance profitability of farming, downsizing government, tax reform, inclusion of modern bankruptcy provisions in the Companies Act, reforms in labour laws and procedures, repeal of urban land ceiling laws by states, dereservation of small scale industry, and social sector reforms, particularly those relating to education and urban infrastructure services.

TENTH PLAN PRIORITIES

The Approach Paper to India's Tenth Plan points out that at the beginning of the new millennium there is an opportunity "to build upon the gains of the past but also address the weaknesses that have emerged." It stresses the need to modify policies and institutions based on past experience, and the changes that have taken place in the Indian and the global economy. In this context, the Tenth Plan is envisaged as "a reform plan instead of merely a resource plan."[10]. It proposes that the Tenth plan should aim at an indicative target of an annual 8% GDP growth. Given the demonstrated medium-term growth potential of around 6.5%, this target constitutes a significant increase. The Approach Paper views the goals of national planning not only in terms of GDP growth but in the comprehensive sense of human development. This would include adequate level of food consumption, consumer goods, access to social services like education, health, availability of drinking water, and basic sanitation. It would also cover expansion of economic and social opportunities for all individuals and groups, reduction in disparities, and greater participation in decision making. The Approach paper has proposed specific monitorable targets for a few key indicators of human development for the Tenth Plan and beyond (See Table 3).

Other important areas of focus proposed for the Tenth Plan include: fiscal health, employment creation, institutional reform to facilitate a greater private sector role in industrial and infrastructure development, greater emphasis by government on social sector development, overhaul of the existing health care system, increase in gross domestic savings and investment ratio, civil service reform, improved capacity and funding for major institutions of decentralisation, and measures to ensure equitable gains from globalisation.

10. Approach Paper to the Tenth Five-Year Plan

TABLE 3: **MONITORABLE TARGETS FOR THE TENTH PLAN AND BEYOND**

- Reduction of poverty ratio by five percentage points by 2007 and by 15 percentage points by 2012
- Providing gainful high-quality employment to the addition to the labour force over the Tenth Plan period
- All children in school by 2003; all children to complete five years of schooling by 2007
- Reduction in gender gaps in literacy and wage rates by atleast 50% by 2007
- Reduction in the decadal rate of population growth between 2001 and 2011 to 16.2%
- Increase in literacy rate to 75% within the Plan period
- Reduction in Infact Mortalilty Rate (IMR) to 45 per 1000 live births by 2007 and to 28 by 2012
- Reduction of Maternal Mortality Ratio (MMR) to 2 per 100 live births by 2007 and 1 by 2012
- Increase in forest and and tree cover to 25% by 2007 and 33% by 2012
- All villages to have sustained access to potable drinking water within the Plan period
- Cleaning of major polluted rivers by 2007 and other notified stretches by 2012

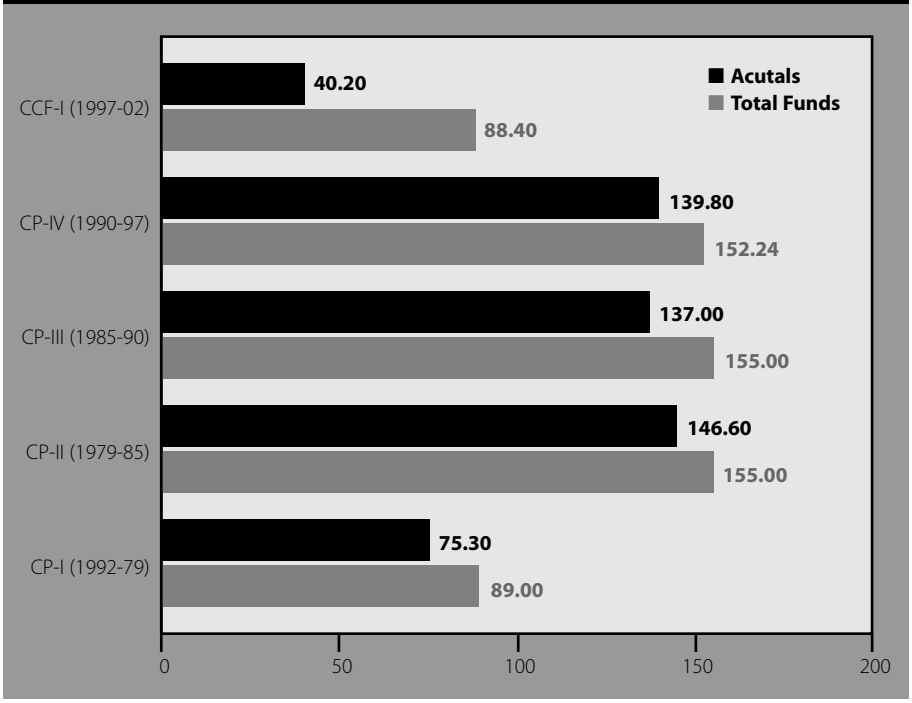
TRANSITION FROM UNDP SUPPORTED COUNTRY PROGRAMME IV

Initially, Country Programme IV (CP IV) was to cover the period from April 1990 - March 1995. This was later extended up to March 1997, to enable CCF-I to coincide with India's Ninth Plan. The extended CP IV was viewed as "largely a programme in transition", to facilitate a gradual shift in orientation, consistent with emerging national and UNDP priorities.

Pursuant to a midterm review, UNDP assistance focused on the following four areas: a) enhancement of industrial and agricultural productivity and competitiveness for exports; b) promotion of energy efficiency, mining and environmental management; c) development of transport and telecommunications; and d) development of social infrastructure. Significant new initiatives included support for human development, social and economic reform, and capacity development in the environment sector through assistance for formulation of the Environment Action Plan and the National Forestry Action Plan. To encourage national capacity building and sustainability, important shifts were made in the strategy of CP IV. These included a change to programme approach, reduction in equipment and long-term international experts, increased recourse to national execution and experts and greater involvement of the NGOs.

The experience of CP IV highlighted the need for placing projects in the context of

FIGURE 2: **OUTLAYS AND UTILIZATOR (IN US$ MILLIONS)**



national priorities and programmes; encouraging national ownership and management; counterpart commitment through adequate staffing, resources and institutional support; an in-depth assessment of sustainability issues at the project/programme design stage; flexibility to suit local conditions; internalising the gender dimension; and involving stakeholders, end-users, beneficiaries and civil society for maximizing impact and ensuring sustainability[11].

CCF-I – DETERMINANTS AND STRATEGY

CCF-I formulation was a collaborative exercise between the GOI and the UNDP. Consistent with India's Plan priorities, CCF-I focused on growth with equity, with poverty alleviation and human development as its central concerns. A midterm review of CP IV (1990-1997) and the policy and programme review meetings between the Ministry of Finance and the UNDP during 1994-1996 led to a further shift in alignment. This shift took into account the new focus in national development policies on improved economic performance, coupled with the UNDP's mandate of sustainable human development. The objectives and contents of CCF-I were also influenced by some important policy announcements (such as universalisation of basic social services announced at the Chief Ministers' conference in July 1996), the July 1996 budget document, emerging priorities of the Ninth Five Year Plan (April 1997-March 2002), and India's commitments undertaken in global conferences.

CCF-I was prepared at a time when the Indian economy was witnessing strong growth. The national policies sought to consolidate economic gains and achieve a 7% GDP growth rate, considered essential for poverty eradication and human development. Democratic decentralisation was a significant goal. The CCF-I strategy was to provide further impetus to the GOI/UNDP policy thrust of growth with equity, through an emphasis on technology upgradation, poverty eradication, rapid expansion of employment opportunities, provision of basic social services, consolidation of economic reforms, and environmental preservation by harnessing UNDP's comparative advantages. The effort under CCF-I was to introduce a few holistic and focused programmes in place of a large number of small ongoing projects. Deepening of national execution, beneficiary orientation, stakeholders' participation, and streamlining of the monitoring, review and evaluation systems were envisaged as crucial aspects of the strategy, which was to be further reviewed and refined in the light of the Ninth plan.

THEMATIC AREAS OF CCF I

The following ten "interrelated and mutually reinforcing" programmes were developed under four broad thematic areas:

I. Employment and Sustainable Livelihoods
- (i) Small Industry Development Programme
- (ii) Food Security Programme

II. Access to Basic Services
- (iii) Primary Education Programme
- (iv) Health Support Programme

III. Management of Development
- (v) Economic Reforms Programme
- (vi) Capacity Building Programme
- (vii) Community-Based Pro-Poor Initiatives

11. UNDP: Country Cooperation Frameworks and Related Matters: First Country Cooperation Framework for India, 1997-2001.

(viii)Technology Programme

IV. Sustainable Development

(ix) Capacity building in environmental management

(x) Energy and Environment Programme

Crosscutting themes such as gender equality, employment, environment, technology management, population, HIV/AIDS, and development were to be appropriately addressed in all programmes.

FUNDING SUPPORT

The CCF-I document was approved by UNDP's Executive Board in March 1997. Although initially valid for the period 1997-2001, the programme was subsequently extended up to 2002.

At their peak in 1992, UNDP's core resources amounted to US $1 billion. Over the years, its core resources have been declining and were a modest US $670 million in 2001. On the other hand, the non-core, tied funding was much larger at US $2.515 billion in 2000. India is presently the largest recipient of UNDP core funds and also the largest non-DAC contributor with an annual contribution of US $4.5 million. The funds committed for various programme cycles and their actual utilisation in India is exhibited in Figure 2 (previous page). For the 1997-2002 period, Figure 2 shows the committed outlay and actual utilisation for CCF-I programmes only.

2 Strategic Positioning and Programme Relevance

This section seeks to answer three basic questions:

i) Was CCF-I relevant to national development priorities and the goal of reducing poverty ?

ii) Did UNDP-India anticipate and respond to significant changes in the national development context affecting the specific thematic/strategic areas it supports?

iii) How do CCF-I programmes relate to UNDP's Strategic Results Framework (SRF) and United Nations Development Assistance Framework (UNDAF)?

The national priorities, which were determined in the context of the conditions obtaining in the mid-nineties, are perhaps best documented in the Ninth Five Year Plan. The Plan emphasised the need to strengthen the process of economic reforms and a major reorientation of the states' role with primacy to the private sector in economic activities. The strategy envisaged a more vigorous role for the state in social development. This included provision of basic services such as healthcare, education, and safe drinking water to the majority of India's population, especially in rural areas. Similarly, the provision of economic infrastructure such as power, roads, ports, railways, telecommunications, and municipal services was seen

as another area where the state needed to play a continuing role, even while encouraging the private sector to actively participate in this effort.

TABLE 4

UNDP Themes and Programmes	India's 9th Five Year Plan
I. Employment & Sustainable Livelihood	
(i) Small Industries Development and Employment	Full employment by 2007. This objective is accorded high priority to village and small industries sector.
(ii) Food Security Programme	Ninth Plan's agricultural development strategy is essentially based on the policy of food security, and aims to make India hunger-free by 2007.
II. Access to Basic Services	
(iii) Primary Education Programme	Ninth Plan treats education as the most crucial investment in human development. The plan has made the commitment of achieving full literacy by 2005.
(iv) Health Support Programme	The Ninth Plan approach was based on 14 elements including improvement in access and quality of primary healthcare, improving efficiency of healthcare infrastructure, promoting human resources for health, remedial measures against nutritional deficiencies, preventive healthcare, safe work environment, increasing involvement of voluntary, private organisations and self-help groups in healthcare and involving the Panchayati Raj Institutions in planning and monitoring of health programmes at the local level.
III. Management of Development	
(v) Economic Reform Programme	The Ninth Plan defined a new role for the state, stressing greater involvement in social development, especially in rural areas and in provision of economic infrastructure. It also emphasized a reduced role of the state in industry and trade.
(vi) Capacity Building Programme	The Ninth Plan emphasised creation of an enabling environment for private-public sector partnership through capacity building in public administration and institutional reforms to bring in transparency and effectiveness in implementation.
(vii) Community Based Pro-Poor Initiative Programme	The Ninth Plan highlighted the need for people-centered pro-poor policies and people's participation in planning and implementation of programmes.
(viii) Technology Management Programme	The Ninth Plan did not state general goals for science and technology but highlighted some important elements like policy initiatives to ensure that benefits emerging from technologies reach the community including the weaker sections, nurturing of scientists with exceptional capabilities, clean and eco-friendly technologies, greater interaction among R&D institutions and the users, and greater awareness among scientists regarding patents and intellectual property rights.
IV. Sustainable Development	
(ix) Rural Energy	The Ninth Plan incorporated a broader energy programme that covered power generation, oil and natural gas and other energy resources.
(x) Environment	One of the main objectives of the Ninth Plan was to ensure environmental sustainability of the development process through social mobilisation and participation of people at all levels.

The four themes and ten basic programmes of the UNDP's CCF-I, and India's Ninth Five Year Plan objectives show a high degree of congruence. They are juxtaposed in Table 4 at left.

Of the ten programmes taken up under CCF-I, five relate directly or indirectly to the overarching national and UNDP goal of poverty alleviation, two contribute to human development priorities – a critical area of work for both UNDP and India; two others are targeted at supporting India's efforts to accelerate economic reforms and enhance capacities of local bodies and public administration; and the one relating to environment is directed at sustainability of the development process. In this sense, the choices exercised for intervention in CCF-I were strategic in nature.

Since the CCF-I was initiated, a number of changes have taken place in India's socio-economic scenario. Economic growth has slowed down and the fiscal deficit has assumed worrisome proportions. The GOI hopes to address these problems through a number of remedial measures and a package of second-generation economic reforms. However, the long-term human development concerns like poverty, disparities, unemployment, inadequate access to basic minimum services and their poor quality for the underprivileged, deteriorating environment, burgeoning slum population, and gender inequality persist. With the Government's added emphasis on accelerating the process of economic reforms, controlling fiscal deficit and stepping up the pace of social development (e.g. Expenditure Reforms Commission, Fiscal Responsibility Bill, Consti-

tutional Amendment to make education a fundamental right, accent on decentralisation and efficiency of public expenditure), the programmes included in CCF-I continue to be relevant to long-term national priorities.

Under the UNDMT convened by the UNDP, a coordinated UN system support to the Government has been put in place. Its objective is to promote enhanced community participation and preparedness for disaster mitigation and management. The Country Office responses to the Orissa cyclone and the Gujarat earthquake are examples of quick and appropriate responses to emerging needs.

STRATEGIC RESULTS FRAMEWORK (SRF)

SRF was introduced in 1999, well after CCF-I was finalised. It is designed to capture the UNDP's major areas of intervention and the broad development outcomes to which the organisation is contributing at the country level. The SRF is meant to be used for strategic planning and performance assessment through annual reporting. From a management perspective, it provides a basis for a results-oriented dialogue between the UNDP, the Government and other partners. It is expected to focus programmes and sub-programmes on key strategic results. SRF offers a frame of reference for outcomes in the following six areas that are critical to the UNDP:

- The enabling environment for sustainable human development
- Poverty reduction
- Environment
- Gender
- Special development situations
- UNDP support to UN

It was anticipated that during the first year or two, for many countries where CCF was ongoing, SRF preparation would involve reworking the outcome indicators and outputs. It would therefore be unrealistic to expect a perfect fit between SRF strategic areas and the CCF interventions. Although CCF-I preceded the SRF, it turns out that goals are broadly in harmony with UNDP's global themes. The upcoming CP exercise by the GOI (Department of Economic Affairs) and the UNDP Country Office should conform even more closely to the SRF and UNDP's practice areas.

THE UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK (UNDAF)

The Common Country Assessment (CCA) carried out in 1999 by the UN system in India set the context for the formulation of the India UNDAF in July 2000. It was designed to "increase the effectiveness and efficiency of UN operations by bringing about greater synergy in action." It sharpened the focus of "Collective UN Action." The process of dialogue with the Government and broad based consultations with development partners resulted in the identification of two themes: (i) promoting gender equality and (ii) strengthening decentralisation – two areas of critical importance for India's future development. These were seen as crosscutting themes and are also closely interrelated. As the UNDAF document points out, "Promoting gender equality is an important way of making decentralisation more effective."

Persistent gender inequality is a serious form of social injustice. Promoting gender equality implies effectively empowering one half of India's people and in the process optimising their contribution to various aspects of national development. The Constitution of India calls for equality of women and men. This commitment has been reiterated in national policy documents and international fora. The empowerment of women is accorded a high priority in India's Ninth Five Year Plan. Decentralisation is an equally important theme in the Indian context. For a country as large and diverse as India, local solutions are key to addressing various problems concerning people, particularly human poverty. Active participation of people in elected local bodies is necessary to "get priorities right, expand coverage and improve quality of basic social services, reduce wastage and improve efficiency." (UNDAF, July 2000). The 73rd and 74th amendments to the Constitution of India provide a special position to elected bodies in both rural and urban areas. Both the UNDAF themes have thus been appropriately identified as crucial to India's development.

How does UNDAF relate to CCF-I? Although UNDAF was also formulated well after the start of CCF-I implementation, both its themes are closely linked to CCF-I programmes, and can enrich and strengthen their imple-

TABLE 5: **MATRIX OF OBJECTIVES**

CCF-I (1997-2002)	UNDAF 2000	SRF (2000-2003)
Central Concerns Growth with Equity Human Development Poverty Alleviation	**Focus Areas** Gender Equality Decentralisation	**Goals** Governance/Enabling Environment for Sustainable Human Development Reduction of Poverty Environment Gender Disaster Management Effective UN System
Crosscutting Issues Employment Environment Technology Management Population HIV/AIDS Development Information Gender	**UN India: Overarching Goals** Elimination of Poverty and Inequalities Sustainable Human Development	
National Policy Goal Democratic Decentralisation	**UNDP Mandate** "Partnerships to fight Poverty"	

Source: Preparatory Study by Rajan Katoch.

mentation process. As in the case of SRF, given its timing, UNDAF too will be of much greater value for the upcoming country programme in charting out the roadmap for the future.

The CCF-I period was marked by some complexities that need to be briefly mentioned. Firstly, the National Execution (NEX) guidelines were issued by the GOI after CCF-I had formally begun. The SRF for 2000-2003 was formulated by the UNDP head office as a corporate management tool for Results Based Management (RBM) and got operationalised in the latter part of CCF-I. UNDAF was finalised in 2000. Thus an already broad canvas of themes and objectives for CCF-I got still broader with the superimposition of new frameworks. Secondly, the multiplicity of goals and objectives arising from a diverse set of frameworks has not facilitated the UNDP's task of evolving a clear identity or vision. Thirdly, the multiple themes, goals and objectives of various frameworks, expressed in broad and general terms, provide enough flexibility to accommodate almost any programme. In his incisive analysis, one of the national consultants engaged by the UNDP Country Office observes "virtually any programme taken up under CCF-I can be justified in terms of one or the other framework and many in terms of all the frameworks[12]" (See the Matrix of CCF-I, UNDAF, and SRF Objectives, in Table 5).

Finally, in a country like India where development plans are comprehensive in nature and needs are many, nearly any intervention arising out of these frameworks will be found to be in conformity with national priorities. What will determine their relevance is the extent to which such interventions add real value or make a difference by being effective. The challenge is to identify areas within these broad frameworks for UNDP intervention, where it can contribute distinctively, with much greater precision. It should be able to carve out a niche for its own special services or products.

12. Supporting Enabling Environment for Human Development: A Preparatory Study for India Country Review by Rajan Katoch.

3 Programme Performance

The CCF-I comprises four principal themes, ten programmes, 94 sub-programmes, and one project for preparatory assistance. The 94 sub-programmes of CCF-I are spread in different states of India, from Himachal Pradesh in the north to Kerala in the south, and from Assam in the east to Rajasthan in the west. (A classification of Programmes and Resources Profile is available in Table 6, following page).

The actual implementation of most CCF-I sub-programmes started late. There were delays in the finalisation of sub-programme documents, in the issue of NEX guidelines, and in many cases, in the release of funds. Where the implementing agencies were well established NGOs operating in the field for several years, the sub-programmes had a head-start; but many sub-programmes are just about gaining momentum. In this scenario, it was difficult for the CR team to make an assessment of impacts and outcomes, which in many cases will materialise later. Consequently, in such cases findings may appear to be in the nature of an *ex-ante* rather than a *post-facto* evaluation.

While assessing the programme outcomes, the CR team has used a number of criteria. These include the UNDP's strengths; linkage of the programme to the identified UNDP-India priorities; its potential for influencing policy dialogue; effectiveness in terms of multiplier effects and forging partnerships; and sustainability. The CR team was not able to give equal attention to all programmes/sub-programmes and stand-alone projects. Some have been looked at in relatively greater detail. These illustrate several of the team's findings with respect to CCF-I.

TABLE 6: **CLASSIFICATION OF PROGRAMMES AND RESOURCES PROFILE**

S. No.	Programme	Direct / Indirect	Total Resources of CCF-I (US $ million)	Total Budget (US $ million)	Total Resources of CCF-I (US $ million)
1.	Small Industries Development				
	■ Leather	Direct		7.16	2.97
	■ Fibres & Handicrafts	Direct	6.94	6.59	1.96
	■ Small Scale Industries	Direct	3.376	3.42	0.67
2.	Food Security	Direct	10.166	10.49	2.08
3.	Primary Education	Direct	8.7	8.70	1.00
4.	Health Sector	Direct	4.5	4.50	0.08
5.	Capacity Building	Indirect	9.25	9.16	0.13
6.	Economic Reforms	Indirect	1.84	1.84	0.36
7.	Community Based Pro-poor Initiatives	Direct	11.107	10.90	1.72
8.	Technology Management	Direct	8.725	8.66	1.55
9.	Energy	Direct	3.2	2.81	0.62
10.	Environment	Direct	8.004	8.31	2.04
11.	Stand Alone:				
	■ SHDRs	Indirect		0.50	0.07
	■ Spices	Direct		1.12	0.40
	■ Preparation of Sub-programmes	—		0.50	0.08
	Totals		**75.808**	**84.66**	**15.73**

Source: Preparatory Study by Rajan Katoch.

EMPLOYMENT AND SUSTAINABLE LIVELIHOODS

The main thrust under this theme is to demonstrate new approaches to promoting sustainable livelihood opportunities in artisan/craft sectors that have been stagnating due to technological obsolescence and lack of appropriate institutional support. Demonstration of models for empowering women as agents of change for rural employment and poverty reduction in Indian agriculture is another important objective. The theme is sought to be pursued through four distinct programmes, which are discussed in the following section.

Food Security Programme

With a total budget of US $10.166 million, the programme has been designed to pilot holistic strategies and participatory approaches for food security and poverty alleviation at the national, community, and household levels, focusing specially on the role of women. The programme comprises five major sub-programmes, three of which relate to empowerment of women and are being implemented in Orissa, Andhra Pradesh and Uttar Pradesh; the fourth relates to hybrid rice production and the fifth to maize production. There is no independent evaluation of this programme. However, according to the inputs furnished by the UNDP Country Office in Andhra Pradesh, women's groups and NGOs are campaigning to support the registration of land ownership in the name of men and women jointly. In Orissa, women's groups are managing an alternative community distribution system through the purchase and storage of buffer stocks of food grains, thus breaking the cycle of indebtedness in which the population finds itself trapped.

Regarding the maize based cropping system, a report from the Ministry of Agriculture states that the first year was spent in finding solutions for "procedural constraints like funds flow arrangements". Among the achievements under the sub-programme, the report lists convergence with other national programmes (one of these is the Accelerated Maize Development Programme), promotion of intercropping practices and organic/bio fertilizers, demonstration of a complete package of practices, introduction of implements, installation of solar pump sets, increase in yields (e.g. during Kharif 2000, in Lalitpur district, against an average of 0.9-1.00 tonnes per ha, a yield of 3.00-4.00 per ha was achieved) etc.

This sub-programme appears to be in the nature of a demonstration or pilot project of the older type. If it succeeds, it could lead to the spread of technology at the grassroots. However, given the large variety of programmes being implemented by the Ministry of Agriculture and state governments, it is not evident what distinctive contribution the UNDP can make in this sphere.

Leather Development Programme

Since the Leather Development Programme has been in operation for some years and targets the downtrodden segment of society, it is being discussed in some detail.

Building upon the success of the earlier phase (1992-1998), the CCF-I aims at assisting artisans in the leather sector by focusing on poverty alleviation, ensuring sustained livelihood, and building linkages between the organised and unorganised sector. The present UNDP allocation for the programme is US $7.15 million. From a beneficiary perspective, the impact of this programme has been generally positive. Price realisation for the products is now higher, with additional margins ranging from Rs. 5 to Rs. 20 per pair of open footwear in Andhra Pradesh, between Rs. 30 to Rs. 40 per pair of Mojaris (an ethnic footwear), and Rs 45 to Rs 60 for ladies' sandals in the Delhi footwear project. The wages for those working in micro/small enterprises have risen from Rs. 200 to Rs. 500 per week. Mechanisation has saved time and investment on labour intensive processes like cutting/clicking of insoles and soles. An indirect benefit is assurance of work all year round.

The actual composition of beneficiaries suggests that the poorest in the industry (the job workers) have not been directly targeted and the intervention is essentially at the entrepreneur level. Among the small-scale units, mostly well-established manufacturers have been selected. Efforts at working with NGOs involved with the poor have been very successful. Across sub-programmes it was acknowledged that technical intervention at the level of the poorest is somewhat difficult, as they cannot sacrifice even a single day's earning for training. Except in Athani (Karnataka) and in a small way in the Mojari project, the sub-programmes have not specifically targeted interventions among women.

Provision of the polymer last has proved to be the single most significant technology intervention; this has enabled footwear makers to manufacture products of standardised sizes. This example shows how simple, inexpensive but appropriate technology can energise the artisan sector. The availability of machines has impacted quality, but they are unaffordable to most artisans. Focus on leather treatment, finishing and tanning technology is lacking, even though foreign buyers frequently complain about the quality of leather. Design intervention has made a significant impact on product quality and has enhanced incomes. This has been particularly useful for the ethnic footwear.

The Mojari (an ethnic footwear) is being popularised abroad by regular representation in international trade fairs. ASCENT (an NGO in Karnataka) has arranged the participation of rural women in international fairs. The experience of marketing intervention in the sub-programme demonstrates that artisans benefit more when they are able to market directly in metro markets, or to export houses and large businesses.

The experience with foreign consultants/ experts has been mixed. The footwear designs suggested by them are often too exclusive to be useful. On the other hand, their association with institutions for the purpose of imparting training appears to have been more beneficial. In terms of direct benefit to artisans, the provision of Common Facility Centres (CFCs) was found to be successful. However, the machines recommended by experts familiar with foreign designs and manufacturing processes remained underutilised.

The evaluation report on the programme points out that self-sustenance is likely only in centres that are actively engaged in selling designs, lasts, and patterns as well as CFC machine usage time and consultancy. Among all such centres, only Delhi and Agra and to some extent Hyderabad, appear anywhere near the breakeven point, others can hope to recover only 40-60% of the recurring costs of the sub-programmes.

The experience of the programme so far has shown that NGOs have generally achieved better results than governments. The success of ASCENT in achieving both the social and economic objectives of the programme has been most impressive. The relatively less effective interventions of the government could perhaps be attributed to frequent changes in personnel, resulting in lack of ownership, commitment, and continuity.

The programme is offering quality service at "practically throw-away prices, and cost recovery according to market prices was unacceptable to small artisans/entrepreneurs; and even the big businesses were reluctant to bear the cost.[13]" Most governments may not be able to bear the financial burden of running these successful interventions. Therefore, exit strategies will require exploring ways of making

The experience of the Leather Development Programme programme so far has shown that NGOs have generally achieved better results than governments.

13. Impact Assessment, Mid-Course Review and Evaluation of the SIDE-NLDP Programme by ORG Centre for Social Research, November, 2001.

the interventions financially sustainable. As most sub-programmes do not have measurable milestones built into their design, the implementing agencies have no clear idea at present as to where they are in terms of achievement and how they will exit.

The CR team's visit to a cluster in Rajasthan brought to light a growing dependency syndrome among artisans and the industry, although the artisans testified to the benefits of the programme. Even though women contributed substantially to the process of footwear making, they have not been explicitly targeted and it is not clear how much benefit they derive from higher incomes to the household. The success of the programme has aroused the aspirations of the community, which is now articulating demands like provision of roads, health services, sanitation etc. The implementing agency's direct interface with the leather workers' community appeared to be causing apprehension amongst the local Panchayat leaders, creating a potential tension between them and the disadvantaged community of leather workers. Some of the sub-programmes focusing specifically on artisan groups e.g. the Mojari sub-programme, have helped leather workers from a poorer region.

In sum, despite its deficiencies and problems, the CR team found the programme to be successful, with the beneficial impacts of its interventions being clearly visible. The evaluation report notes that "the new business model propagated through the National Leather Development Programme interventions has worked very well and could hold the key for transforming the Indian Leather Industry…" It has significant employment potential both in the organised and unorganised sector. The intervention proves that quality products from even the unorganised sector can find export markets.

Fibres and Handicrafts

With a budget of US $6.94 million the programme proposes to demonstrate sustainable livelihood approaches through integrated interventions in sectors such as jute, silk, angora, cane and bamboo, and carpets. Approximately US $2 million were spent on this programme in 2000. On the whole, the interventions appear to be cost effective and desirable from the UNDP's viewpoint. They focus on niche sectors, generally neglected in mainstream efforts, and target the disadvantaged artisan groups (predominantly women) with traditional skills, living in underdeveloped regions. The sub-programmes are hence sound in design. The activities undertaken in the programme hold out a promise of poverty alleviation through technological and skill upgradation and marketing support in a sustainable manner. The intervention is also likely to bring about a certain measure of women's empowerment. The work done under UNDP sub-programmes in this sector has made a distinctive contribution and has therefore been welcomed both by beneficiaries and the concerned official agencies. The programme responds well to the concerns of poverty alleviation, gender, decentralisation, and environmental sustainability. A brief overview of the sub-programmes is given below:

Cane and Bamboo: The sub-programme addresses gender, environment, and regional disparities with its focus on the North Eastern states. The Cane and Bamboo Technology Centre (CBTC) has done noteworthy work. It has been well received by state governments and also by the North East Development Finance Institution, with whom it has a close relationship. Well-known national institutions and international experts have been consulted in order to tackle the problems of this sector. These efforts have brought about encouraging results and with the setting up of the National Bamboo Mission, can also be said to have influenced policy.

Non-Mulberry Silk, Angora Wool and Hand-knotted Carpets: This is also a well-targeted intervention with its focus on the North East and the poorer Eastern states. The beneficiary groups belong to tribal communities and it is the women who largely carry out activities. Likewise, the Angora Wool sub-programme targeting artisans in the Himalyan states, and the Hand-knotted Carpets sub-programme which has been undertaken in Uttar Pradesh, Rajasthan, and Jammu and Kashmir also appear to address the central concerns of the UNDP.

Jute: The present programme is a follow-up to the US $20 million programme implemented under CP IV. The main thrust of this sub-programme is to upgrade machinery, provide training to jute mill workers and support to small NGOs and entrepreneurs. Substantial UNDP resources have been committed for

the sub-programme, and it should be showing results by now. Whether the programme has achieved its objectives needs to be examined, and if not, does it require additional resource support, which the UNDP may not be in a position to provide.

Small Scale Industry

Khadi and Village Industries Commission (KVIC): In the past, KVIC has been a major source of support for cottage and village industries. Beset with a variety of problems, this sector has been languishing. It is necessary to strengthen its institutional capacity to ensure that it can operate efficiently and viably in a competitive and increasingly globalising environment.

The basic thrust of this sub-programme is on strengthening the KVIC, and developing three rural non-farm sectors, mainly beekeeping, clay pottery, and handmade paper. This sub-programme was initiated recently and disbursement has been low. At this initial stage of implementation, it is premature to evaluate its impact. In the three sub-sectors that have been taken up for development, the target groups are mostly the rural poor. The nodal ministry feels that the geographical spread of the sub-programme is extensive and it should be more focused. It has also pointed out that there is a time lag in understanding and internalising the concept and modalities of the sub-programmes, including UNDP terminologies, systems, and project procedures.

The Khadi and Village Industries sector has been a source of livelihood support in the rural non-farm sector, particularly among the underprivileged communities and women. The sector has also been providing supplementary incomes in single cropped, rain fed areas. Given the skills and creativity of underemployed artisans in the rural areas, the sub-programme has considerable potential, provided the professional capacity of KVIC can be upgraded and the programme made market oriented and commercially viable. This is truly a challenging task for the line ministry and the UNDP Country Office.

Coir: The sub-programme is concentrated in four southern states. It has a clear benefit for women as most (nearly 80%) coir workers are women. It envisages assistance for the Coir Board in its developmental efforts. The sub-programme is the first of its kind in the coir sector and required substantial preparatory work.

In physical terms, the base line survey in the profiling of six clusters has been completed, nearly thirteen hundred women artisans have been trained, twenty-four women workers have been given trainer's training, and equipment is being procured for mechanisation. Apart from this, initiatives have been taken to develop new equipment and pollution abatement technologies, and to organise design workshops. So far about 30% expenditure against the funds received has been incurred.

The impact of activities undertaken has been encouraging. The women workers who were trained in operating modern equipment were able to secure gainful employment. The design interventions arranged through the National Institute of Design have helped develop innovative new products, which could improve prospects of the coir industry in the near future. The available information indicates that satisfactory progress has been achieved in the area of capacity building, community mobilisation, and introducing innovations. It would however be desirable to examine whether the UNDP can provide the type of technical and resource support that the Coir Board cannot.

The sub-programmes being implemented under the Small Industries and Employment Development Programme are diverse in nature and geographically dispersed. They are designed as catalytic interventions to help generate productive employment through khadi, village and small industries in labour intensive sectors in regions of high poverty and unemployment. As direct interventions, their impact is bound to be limited. Hence, they need to be pursued with the objective of replication or influencing policy/programme design in the future. The precise mechanism for ensuring this needs to be addressed. Greater effort is also needed to achieve the goal of gender equality in sub-programmes like leather development.

ACCESS TO BASIC SERVICES

The objective of programmes under this theme is to improve the availability and quality of two basic social services, primary education and health, to those who presently lack access to them through appropriate strategies in community management. The total outlay for this theme comprising two programmes is US $13.2 million.

The objective of programmes under the theme of Access to Basic Services is to improve the availability and quality of two basic social services, primary education and health, to those who presently lack access to them.

Community Based Primary Education

The programme initially aimed to "complement the Work Bank assisted District Primary Education Programme"[14]. Better known as the Janshala Programme, in this intervention the UNDP, UNICEF, UNFPA, UNESCO and ILO have come together with nine state governments and two GOI departments to support the ongoing efforts in the country towards universalisation of primary education. It demonstrates models of effective community participation in school management and protection of children's rights. Its cost of US $20 million is being met by contributions of US $8.7 million from UNDP, US $9 million from UNICEF, and US $2 million from UNFPA.

The CR team had an opportunity to visit Janshala Schools in the Holenarsinghpura block of Karnataka, where ten development blocks have been covered under the programme. With community involvement, baseline surveys, micro-planning and village-mapping (showing households whose children were not attending schools), the enrolment of children has increased and the dropout rate has declined, and the schools have become a place of attraction for children. The School Development and Management Committees' (SDMCs) involvement has ensured regular attendance of teachers, which has been a problem in rural schools. With the introduction of some innovative concepts, learning has become a joyous experience for children. The brief interaction with the children in the schools visited showed that they are highly motivated, confident, and keen to display their accomplishments. According to the line ministry, the impact of the Janshala sub-programme has been particularly impressive in urban centres.

Irrespective of the merits of this programme, given the huge investments being made in this sector by the central and state governments as well as external donors, its objectives and rationale at a macro level need to be more clearly defined. Innovative approaches involving communities have been tried out before under programmes like Lok Jumbish and Shiksha Karmi. The benefits of community involvement are no longer in question. The GOI is now taking up Sarva Shiksha Abhiyan (SSA-Campaign for Universalisation of Education), which includes many innovative lessons learnt from past programmes, including community involvement. Certain problems have also been reported in the operation of this multi partner programme. The Commissioner of Public Instruction, Karnataka, feels that this progamme will have to merge with SSA, which will provide Rs. 0.5 million for innovations and new ideas. Given this background, the UNDP needs to carefully assess whether such interventions, even of a pilot nature, would add distinctive value in the future. In case the target groups in urban centres remain neglected under the mainstream efforts, this could be an opportunity for useful contribution.

An important objective of the Health Support Programme is to mainstream HIV/AIDS concerns and demonstrate creation of an enabling environment for marginal communities by targeting policy, legislation and attitudes.

14. First Country Cooperation Framework for India, 1997-2001. There is some ambiguity regarding the nature of the programme as to whether it is a pilot or a direct intervention.

Health Support Programme

This programme seeks to pilot effective models of public-private-community partnerships for improved healthcare for the poor. Apart from this, an important objective is to mainstream HIV/AIDS concerns and demonstrate the creation of an enabling environment for marginal communities by targeting policy, legislation and attitudes. The outlay for this programme at US $4.5 million is relatively modest. With a utilisation of US $0.69 million till December 2001, it is premature to assess the impact of this programme.

MANAGEMENT OF DEVELOPMENT

The programmes under this theme seek to focus on models of community participation in development and on broader issues of public institutional support for decentralised governance, particularly their capacity building needs. The theme also deals with two other related issues – reform measures in areas such as health, energy and urban infrastructure and new approaches to management of science and technology for rural transformation and employment generation. The total outlay for programmes under this theme is US $31.422 million.

Economic Reforms Programme

The purpose of this programme is to support economic reforms for the creation of an enabling environment and a legal and institutional framework in order to take advantage of globalisation and for enhancing public investment in basic services and poverty reduction. The programme envisages action-research studies on issues

ranging from pricing of municipal services to preparing operational strategies for financing and improving access to health. Funds available under the programme will also be utilised for capacity building of officials involved in disinvestment of Public Sector Enterprises. Concrete outcomes under the programme are yet to materialise. However, there is little doubt about its relevance and utility. Economic reforms are a priority for the GOI and the findings of action-research studies will help clarify issues. This in turn should throw up policy options and help implementation of the reform agenda. More importantly, they should enable the state to effectively address social sector issues. While there are other, bigger players in the field like the World Bank and the Asian Development Bank, the focus of the UNDP is mainly on human development and social sector areas. In pursuing these activities, the UNDP needs to carve out its own niche, avoid any possible overlap and keep its own strengths and constraints in view vis-à-vis other players in the field.

CAPACITY BUILDING PROGRAMME

Its main objective is enhancing the capacity of institutions of decentralised governance and planning and management of development activities, including provision of public services. It aims at capacity building of key grassroot opinion makers, i.e., the representatives of the PRIs. There are now an estimated 3.4 million elected representatives of local self-government institutions. Of these, one third are women. This programme supports a core activity of the decentralisation theme, with the potential to sensitise key grassroot players to gender concerns. So far, the training needs assessment has been completed. The sub-programme has faced some difficulties in channelising funds. Full ownership by the concerned ministry and six regional resource centres along with effective implementation arrangements would be crucial to the success of the programme.

The capacity building sub-programmes relating to Administrative Training Institutes (ATIs) at the state level, and networking among them will help upgrade professional skills. The sub-programme for ATIs comprises many useful activities like developing training materials and training of trainers. However, this sub-programme document was signed only in January 2001 and its implementation was initiated in April 2001. Hence, it is premature to evaluate its outcomes at this stage.

The report[15] on SRF/ROAR outcomes and outputs for 2000 mentions that a "Centre for Public Policy was set up at the Indian Institute of Management, Bangalore". However, the Centre is yet to become operational. Such a Centre, when fully developed, would offer a good opportunity to harness the intellectual strengths of the country in its efforts towards capacity building in the area of public policy analysis and implementation. The Citizens' Access to Information sub-programme seeks to disseminate best practices through pilot projects. Under the Urban Governance sub-programme, at present, the selected centre's faculty are internalising their role as change agents. They have undergone IT training. The process of "Municipality – Civil Society" dialogue has been initiated, which is expected to change the way city agenda is set. The faculty, along with local urban officials of selected cities, have undergone the first module of training in the so called 'Citizen's Report Card' – a mechanism for citizens to evaluate the services provided by municipalities. The sub-programme started recently and it is not yet possible to assess its results. It is confined to only one state and unlikely to have a significant impact unless extended to other states.

The capacity building programmes, if properly implemented, can make a significant contribution to developing the effectiveness of elected representatives at the local level, and of public servants concerned with policy making and its implementation. No other aid agency is taking up a similar capacity building effort. This is an activity where 'investments' can yield rich dividends and deserves to be strengthened in future.

COMMUNITY BASED PRO-POOR INITIATIVES (CBPPI)

This programme has the largest outlay of US $11.107 million. It seeks to support people-oriented development planning, social mobilisation and community participation, particularly among tribals and backward communities. Under the CBPPI programme, 17 sub-programmes are being implemented with a total annual disbursement of just below

15. SRF/ROAR outcomes and outputs for India, UNDP-India (16.01.2002)

US $2 million in 2000. Selected NGOs are implementing 12 of these 17 sub-programmes. Their scope is generally small, e.g. in the Desertification sub-programme (SEWA, Gujarat), the total outlay is US $750,000 with a coverage of about 75 villages. The Social Mobilisation sub-programme being implemented by District Rural Development Agencies in Andhra Pradesh has an outlay of US $1.8 million and is expected to cover 1025 self-help groups in three districts. Given the significance of CBPPI programme, its substantial outlay and geographical spread, it is being analysed in some detail. The observations are based primarily on the evaluation reports made available to the CR team, discussions with key players, the inputs furnished by them and a field visit.

Social Mobilisation and Community Empowerment for Poverty Alleviation

This sub-programme is being implemented by the Ministry of Rural Development in collaboration with the UNDP in the districts of Anantapur, Kurnool, and Mahbubnagar of Andhra Pradesh. Its goal is 'comprehensive socio-economic transformation through a holistic and integrated set of activities and peoples' grassroot institutions'. The sub-programme forms part of a vital framework of UNDP assistance to the South Asian Association for Regional Cooperation (SAARC) countries under the South Asia Poverty Alleviation Programme (SAPAP), which emanated from the Dacca declaration on Eradication of Poverty in 1993. Its emphasis was on an empowerment approach where the poor are seen as partners in development. The strategy envisages social mobilisation, skill development, enlarging choices for the poor and capital formation for improved quality of life. It is noteworthy that SAPAP was initiated in Andhra Pradesh in 1995 – before the CCF-I was initiated. According to an evaluation of this sub-programme, till May 1997, 2,395 self-help groups had been formed with 42,848 members in 695 habitations with 18 partner organisations. The sub-programme aimed at scaling up the level of operations in the same area by developing 1,600 more self-help groups. By end of March 2001 the number of self-help groups had increased to 5,201 groups in 953 habitations with 74,777 members, of which 90% are women. Some highlights of its progress are summarised below:

The self-help groups are federated into village organisations. These in turn are federated into Mandal Mahila Samakhya—a registered organisation, which provides services by way of advocacy, linkages and delivery. Some noteworthy achievements of the sub-programme include development by village organisations from among their own community, a cadre of village activists in the areas of health, livestock, networking, gender etc.,who are paid a fixed amount by the organisation; formation of groups of men, occupational groups and adolescent groups emulating the example of successful women's groups; production of high quality training materials and modules specially for group level training.

The sub-programme's present focus is largely on lending activities. It needs to follow-up with greater vigour issues such as violence, rights and legal literacy, income generation, farm and non-farm activities, and linkages for marketing etc.[16]. Transfer of appropriate low cost technologies to the poor and conscious measures to promote convergence, particularly with government schemes and tie up with Aanganwadi centres, ANMs, Agriculture and other line departments, are all aspects that need to be pursued. The sub-programme design, training, and capacity building need greater focus on gender issues. Special efforts are needed to generate awareness about rights in land, PRIs, and issues such as unequal wages. Effective community involvement in issues around rights and violence against women also needs to be consciously encouraged.

Capacity Building of Women for Effective Governance

The sub-programme is being implemented by the Society for Promotion of Area Resource Centres—Swayam Shikshan Prayog (SPARC-SSP) in nine talukas of Latur and Osmanabad districts of Maharashtra state. The SPARC-SSP has been working in the area since the Latur earthquake in 1993 and has involved community groups on a large scale from disaster management to development. This has given the organisation enormous credibility in the Latur and Osmanabad districts. The SPARC-SSP's strategy seeks to build and

16. Review of sub-programme on "Social Mobilisation and Community Empowerment for Poverty Alleciation".

strengthen women-led community institutions that will sustain the social, economic, and political empowerment processes. It has set up savings and credit groups, which are a source of information, learning, and linkages for poor women. It has established other groups, which are used for networking, reconstruction etc.

An evaluation of the sub-programme notes some significant achievements like making women self-confident, active, and articulate; breaking of caste barriers by self-help groups in Mahila Mandals; training of women as masons; willingness of commercial banks to support self-help groups; declining dropout rate of school children; launching of a campaign against liquor consumption by several groups; action to stop early marriages; and encouraging girls to attend schools.

The evaluation of the sub-programme has also highlighted the fact that since it focuses on women's access to resources, men, who traditionally control the resources, are uneasy with the changes[17]. Other problems and difficulties faced include irregular Gram Sabha meetings, women not being allowed to function either independently or fearlessly by the village community and the Gram Panchayat, hostility of Gram Panchayats led by men to women's initiative and threats and even violence being faced by the women's campaign against liquor consumption. The absence of whole-hearted cooperation of central and state government departments, district, bloc and village administration and local self-government institutions has been highlighted by the evaluation report. It also observes that "the sub-programme being carried out by SPARC-SSP, cannot be effective and sustained without people's involvement through local self-government institutions".

Lokdrushti (LDK)

LDK is an NGO that has its origin in the Kalahandi (Orissa) drought of 1985. It has worked for a long time in the field and has acquired considerable credibility in the community.

The evaluation report on LDK notes a sense of enthusiasm amongst staff and a feeling of achievement among the villagers in areas where LDK has worked for a certain number of years[18]. The report generally testifies to the positive impact of the programme. LDK's main area of work is around people's organisation for livelihood protection and regeneration, with a focus on water, land and forests, negotiating better prices for their produce, reviving local biodiversity, preventing migration, and encouraging children to study.

While the intervention of LDK has led to many important achievements, the evaluation study draws attention to certain issues and problems. As much of LDK's work is land and water related, its interventions are unlikely to help the landless. As the focus of gender issues is exclusively on women, men face an identity crisis. The material benefits achieved through the sub-programme may not be enough to encourage replication, and it would be necessary for people to internalise the rationale and vision behind LDK's work. Despite rigorous analysis before programme formulation, some deficiencies relating to child labour, displacement etc. have also been observed. These underscore the need for rethinking certain issues during the implementation process. LDK has helped in building 27 earthen dams and plans to construct many more. However, the organisation has not secured approvals for the construction from the competent authorities. This could lead to problems in the future and points to a need on the part of NGOs to respect rules and adhere to regulatory requirements. Other issues highlighted by the evaluation report concern likely adverse reactions from vested interests, temptation of many villagers to join the sub-programme midstream without internalising the rationale and LDK's lack of effort to network with other similar organisations. Such a tendency, noticed among some other NGOs as well, could limit their learning perspectives and capacity for organised action against vested interests.

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Traditional Knowledge System for Poverty Alleviation

This sub-programme is being implemented through the Academy of Development Sciences (ADS). Its objective is to address issues pertaining to hunger and health among tribal communities in the Raigad and Thane

17. Capacity Building of Women for Effective Governance under the GOI-UNDP Community Based Pro-Poor Initiatives; Society for Promotion of Area Resource Centres (SPARC) – Swayam Shiksha Prayog (SSP) – A review, by Institute of Social Sciences.
18. An Evaluation of Lokdrushti, Orissa by North Eastern Social Research Centre.

districts (Maharashtra), and also to make a wider impact through training and networking of NGOs in Maharashtra state. The ADS has been working since 1981 in about 180 tribal hamlets of Maharashtra. The ADS experience shows the possibilities of creating and strengthening community level institutions that could provide long-term, sustainable solutions to the problems facing tribal communities. Before UNDP assistance was sanctioned, the ADS had already undertaken work for promoting grain banks, fruit orchards, crop improvement, small savings and credit, strengthening of traditional health systems, watershed management, and networking among NGOs in Maharashtra.

Implementation of this sub-programme through ADS has shown several positive impacts which include a significant increase in the participation of both men and women in Panchayat Sabhas; self-confidence in the community to articulate demands for access to basic facilities like drinking water, approach roads, health services etc; encouragement of women by local men to take up causes like provision of water; and successful grain banks. On the other hand, however, the effectiveness of this intervention has been hampered due to lack of support from the Government and research institutions. For instance, the Forest Department has turned down the request of recognizing IA-initiated Forest Conservation Committees as Joint Forest Management Committees.

The evaluation report[19] on this sub-programme highlights the need to more actively pursue the rights based approach as the beneficiaries did not have any awareness of their rights to forest resources, healthcare, water etc. A conscious effort needs to be made to forge backward and forward linkages with Panchayats. Issues pertaining to gender or caste discrimination need to be taken up more vigorously in areas where women's groups have been formed recently. The self-help groups organised in the area seem to reflect a rather narrow vision restricted to thrift and credit.

The life span of this sub-programme is only 28 months and it is felt that the expected outcomes like reduction in chronic hunger, tripling of cash income per family, enhancing agricultural productivity of rice by nearly 50% etc. are rather ambitious.

One impediment to the smooth implementation of the sub-programme pointed out by the evaluation report is the delay in release of funds that are required well before the monsoons. This is a major obstacle, particularly as the sub-programme is being operated in an area which has a single, rain-fed crop. The report observes that given the limitations of NGOs to take on an activity without funding support "an alternate strategy will have to be adopted to influence government policy on food security and conservation issues". Another important aspect highlighted is the need for step-wise documentation of the implementation process, which could become a source of learning lessons for the future.

Women's Empowerment for Sustainable Natural Resource Management

The focus of this sub-programme is "to develop the capacity of the economically and socially disadvantaged groups to build their capacities to identify and address issues of sustainable resource management, including water, forest and land resources in one hundred villages of Alwar and Jaipur district. The strategy has a particular emphasis on building of water harvesting structures and conservation of biodiversity and rights of the community over these natural resources. Also as part of the strategy, the links between child labour, poverty and development would be strengthened. The process would include building an enabling environment of education for children employed in the carpet and mining sectors from the sub-programme area.[20]"

The Tarun Bharat Sangh (TBS) sub-programme was approved in September 1997, signed in September 1999 and was due to end in December 2001. Its total budget was US $476,230. The Ministry of Rural Development (MORD) has been the executing agency, and TBS, an NGO, the implementing agency. The main findings of the CR team, based on its review of the relevant documentation, discussions with a wide range of stakeholders, and a visit to the sub-programme site, are summarised below:

- The sub-programme was well conceived in consonance with UNDP corporate

19. Midterm Review of Academy For Development Sciences by Dr. Manju Ahal.
20. Summary from the sub-programme document.

goals and the GOI's priorities.

- UNDP successfully provided significant additionality in an area strategically important to both the GOI and to UNDP – empowerment of women. UNDP's funding supported watershed management and community mobilisation techniques, which already had a well-known, successful track record. TBS has been involved with community-driven water resource management and, using this as an entry point, with community mobilisation over various concerns for some 20 years with considerable success; this was recognised in a Magsaysay Award made to TBS in 2001. In that sense, the UNDP only provided material and financial assistance which, given its reputation, TBS could be expected to have found elsewhere. The UNDP's merit lies in having helped define, develop, and support a gender dimension, which had not been previously recognised[21].
- The sub-programme took advantage of the neutral, partnership building capacity that the UNDP values and for which it is recognised, in order to develop communication and mutual understanding between TBS and its constituency, and key officials of the two districts concerned. The district administration had taken exception to what it felt to be TBS's usurpation of authority in developing the Alwar water harvesting structures without official administrative or technical approval; there was a threat of breaching some structures. TBS, however, felt that it could stand on its record of achievement.
- The Evaluation Report comments that "[t]he lack of communication, misreading of signals and perhaps the vested interest has led to the present unfortunate situation where the government seems to be considering the breaching of some structures". In the first of a series of seemingly well-balanced recommendations, the Report proposes that the UNDP organise a two-day workshop under the Secretary of the Planning Commission, to which the district administration should be invited to resolve their differences.
- A multiplier effect of appropriate aspects of the sub-programme's achievements, notably with respect to women's empowerment in a comparable but larger scale initiative seems unlikely. When the CR team met with senior officials from different sectors of the state government, there seemed to be no awareness, and certainly no recognition of the sub-programme's achievements. This reaction was especially noteworthy given the major state-supported watershed project – with comparable community mobilisation goals – that was envisaged and which the team was briefed on.
- The sustainability of these achievements beyond the end of the sub-programme is questionable. The sub-programme does not address the issue of sustainability explicitly, and with its end in December 2001 – that is, just over two years after it started – the several changes brought about could well be significantly diminished. The Evaluation Report comments, "components like formation of self-help groups, gender sensitization, women's health care, child labour, capacity building of stakeholders, coordinating with the PRIs and government structures etc. are process driven activities, which require time and patience".
- Monitoring and evaluation of the sub-programme was not sufficiently effective in highlighting problem areas early enough, and especially in leading the parties concerned – the executing and implementing agencies and UNDP – to address and correct the problems.

Some General Observations on CBPPI

The hope of CBPPI is to make a distinctive contribution, even though its resources are modest and interventions limited. Most

UNDP successfully provided significant additionality in an area strategically important to both the GOI and to UNDP—empowerment of women.

21. The founder and head of TBS acknowledged to the team, that on first learning of the project proposal, he had not believed there to be a need for attention to this dimension. Women's concerns and strengths were being addressed along with those of the rest of the communities' through the mobilisation process. The experience of the sub-programme had surprised and convinced him otherwise. In the words of the independent review, "TBS has greatly benefited from the women related intervention under the programme as it has added a new dimension to issues like water, education, health, struggle against the mine lobby, child labor etc. Everyone in the organisation now feels that there is constant and fruitful interaction through the women's self help groups which has created synergy in other areas leading to greater participation by the people thereby adding to the sustainability of the Project." In its meeting in a village with one such group, the CR team was impressed by the group's assertiveness in speaking of its accomplishments. The group took credit for having closed down a liquor store, curtailed child marriages and secured the village's first water took credit for having closed down a liquor store, curtailed child marriages and secured the village's first water pump – to which the village had been entitled, but which was spotted being diverted elsewhere. One spokeswoman gave an account of her unprecedented travel out of Rajasthan to participate in a meeting in New Delhi and speak on watershed management and women's empowerment.

interventions are being undertaken directly by NGOs. Many of them have considerable experience and credibility. It is expected that as a result of these interventions, it will be possible to effectively demonstrate innovative approaches to poverty alleviation and women's empowerment, based on decentralisation and community participation. Some of these approaches, like the UNDP approach to group formation/community empowerment have already been successfully demonstrated under the SAPAP in many countries of the region and adopted by other agencies like the World Bank in its District Poverty Initiative Programme.

The available evidence suggests that these interventions have been accompanied by intense managerial and technical inputs, a great deal of commitment and external supervision for relatively small operations. It may not, therefore, be easy to replicate these sub-programmes.

Another factor that needs to be kept in view is that there are other, bigger players in the arena of poverty alleviation. For instance, The World Bank assisted District Poverty Initiative Programme provides an additional resource support of about US $2 million for each district. With their substantially larger funds, these players are expected to exercise greater influence in ensuring replication and mainstreaming of successful approaches.

HDRs have demonstrated that income alone does not capture all dimensions of development and have made a significant contribution in promoting human development oriented policies world-wide.

TECHNOLOGY MANAGEMENT PROGRAMME

This seeks to support innovative mechanisms for application of technology for development in rural areas and other backward areas. According to UNDP-India, two Technology Development and Application Centres with ten Rural Technology Resource Centres under them have been established. In addition, four centres for providing vocational training in need based technical skills to rural and semi-urban youth have been set up. A sub-programme on IT for sustainable agriculture in Punjab is also operational. This has brought together institutions such as the Indian Agriculture Research Institute, Punjab Agriculture University, Punjab Remote Sensing Centre, Indian Institute of Technology, Mumbai, and some other institutions in a collaborative relationship. Bringing about this cooperative arrangement has been the UNDP's distinctive contribution. However, concrete information on the actual outcomes or impact of these initiatives, particularly on the farming community, is not yet available.

The programme documents for this STEPS/TBIS, vocational training and TDCs/RDCs sub-programmes show that these are more in the nature of demonstration/pilot projects. There is no explicit gender, decentralisation or poverty thrust, though some initiatives could spread technology at the grassroots, if they are successful. Under the technology management programme, disbursements by UNDP in 2000 amounted to US $1.55 million. While taking a view on the future of these sub-programmes, it will be desirable to assess the impact of these interventions and the UNDP's strengths in the area, especially as its partner is the Department of Science and Technology, which does not lack capabilities, resources or access to national or international expertise.

STATE HUMAN DEVELOPMENT PROJECT/HUMAN DEVELOPMENT RESOURCE CENTRE

The programme supports the Planning Commission and the state governments in their efforts to formulate State-level Human Development Reports (SHDRs). It supports them through the establishment of a Human Development Resource Centre (HDRC) in the Country Office. UNDP's annual Human Development Reports (HDRs) are its flagship product and over the years they have emerged as the principal advocacy platform for sustainable human development. They have demonstrated that income alone does not capture all dimensions of development and have made a significant contribution in promoting human development oriented policies world-wide. In India, SHDRs preceded HDRC and the world's first ever sub-national report was published by the Government of Madhya Pradesh in 1995. Since 1998-99, the Planning Commission has been allocating additional central assistance to state governments for preparation of SHDRs (Table 7, following page). This can in itself be seen as a signal achievement of UNDP advocacy. As of April 2002, the state governments of Madhya Pradesh, Karnataka, Sikkim, and Rajasthan have released their SHDRs. India's first National Human Development Report (NHDR) prepared under the aegis of the Planning Commission was released in April

2002. It is expected that six more SHDRs would be released during 2002.

The impact of SHDRs has differed depending on the state, commitment of its political leadership and the dynamics of the SHDR preparation process. The impact of the SHDR has been the most visible in the case of Madhya Pradesh. Social sector allocations in the state have been enhanced from 19% in the Eighth Plan (1992-97) to 42% in the Ninth Plan (1997-2002). Special programmes for education, health and livelihood security have been launched under a mission mode approach, transcending departmental boundaries, and there is an increased focus on decentralisation and participation of women in decision-making. In Karnataka, the SHDR recommendations are being implemented by the state government even though the report was prepared under a previous political regime – a remarkable example of bi-partisan ownership of the SHDRs. The World Bank aided State Reforms Package has extensively used the Karnataka SHDR and a special cell has been set up within the state government to sustain the momentum of human development. Karnataka is a noteworthy example of a UNDP inspired report promoting public debate, action and follow-up work by agencies like the World Bank.

HDRC has so far organised workshops on SHDRs, the estimation of district income and poverty, national health security, and decentralisation. It has initiated preparation of a 'best practices' manual, which is documenting the successful government sector programmes promoting human development. The UNDP's regional HIV/AIDS project has assigned HDRC the task of preparing the South Asia HDR on HIV/AIDS. As a part of its publication series, HDRC has commissioned research on a number of issues. HDRC has also been asked by the Regional Bureau for Asia and Pacific at UNDP, New York, to implement three Regional HDR initiatives.

The achievements of the SHDR intervention are encouraging, but the potential of this intervention to make a significant impact on India's development is even greater. Given its capacity to impact public policies in favour of the poor, and issues requiring special focus in the context of economic reforms, this programme merits added emphasis in future.

TABLE 7: **ALLOCATION OF ADDITIONAL CENTRAL ASSISTANCE BY PLANNING COMMISSION TO STATE GOVERNMENTS REQUESTING ASSISTANCE FOR PREPARATION OF SHDRS**

S. No.	Name of State Requesting Assistance	ACA Released (Rs. Lakhs)	Year
1.	Assam	20	1998-1999
2.	Andhra Pradesh	25	1998-1999
3.	Arunachal Pradesh	20	1998-1999
4.	Uttar Pradesh	25	1998-1999
5.	Tamil Nadu	25	1998-1999
6.	Himachal Pradesh	17	1999-2000
7.	Punjab	20	1999-2000
8.	Sikkim	6	1999-2000
9.	Goa	8	2000-2001
10.	Orissa	25	2000-2001
11.	Haryana	20	2000-2001
12.	Maharashtra	28	2001-2002
13.	Madhya Pradesh	0	
14.	Jammu & Kashmir	0	
15.	Meghalaya	0	
16.	Uttaranchal	0	

Source: Preparatory Study by Rajan Katoch.

One major reason for the relatively slow progress of follow-up work on SHDRs could be the low level of commitment by states, which may often find it difficult to look at their own performance critically and suffer politically[22]. This concern can be addressed by emphasising that the thrust of SHDRs is on long-term perspectives and not on the performance of individual governments. SHDRs need not be looked at as the only instruments for promoting human development. Supporting states on specific aspects of human development and sponsoring studies on specific issues or areas can be alternative 'entry' points. SHDRs are not an end in themselves and would need to be followed up by:

a) Downstream works on priority areas
b) Translation of HDRs into local languages and into policy decisions and actions
c) Evaluation studies on specific programme interventions

In a scenario of shrinking budget allocations, there is a need in the future to emphasise multi-sectoral approaches, as distinct from compartmentalised investments in education, health etc. One strategy of achieving this

22. Human Development Resource Centre: An Over view and Perspective for the Future, Indira Hirway, Centre for Development Alternatives, Ahmedabad.

objective is through the mission mode approach as demonstrated in Karnataka. It is also desirable to support specific studies as these will lead to consolidation of programmes and facilitate demonstration of examples, which can be emulated by other states. Greater attention to states and districts low in HDI would pay rich dividends.

SUSTAINABLE DEVELOPMENT

The theme seeks to support efforts towards a comprehensive approach to national planning, sectoral policies, and institutional mechanisms for environmentally sustainable development incorporating livelihood concerns. In addition to core resources, substantial non-core resources are being mobilised through funding windows like the Global Environment Facility (GEF) and the Montreal Protocol (MP) to support initiatives like biodiversity conservation, sustainable natural resource management, reduction in activities that lead to climate change, elimination of ozone depleting substances, and demonstration of clean technologies to promote national programmes in these areas.

Environment Programme

Its principal objectives are to facilitate natural resource management, strengthen the existing capacity for public policy and for dissemination of information/knowledge on environmental management/conservation. The outlay for this programme is US $8.004 million. The capacity building sub-programme mainly aims at preparation of proposals/projects for the GEF. The main advantage of this sub-programme is its linkage and access to resources of the GEF and MP, where the UNDP plays a major role.

The problem with this programme is that although it addresses all key environment concerns, it does so in a somewhat superficial manner. (Classification of environment sector sub-programmes by purpose and function is available in Table 8.) With meager resources and limited scope, it depends heavily on a large number of direct interventions, which are geographically dispersed and unlikely to have a significant impact. The sub-programmes do not appear to address gender concerns explicitly.

The projects, which aim at providing linkages to possible GEF financing, e.g. biodiversity, greenhouse gases etc., have a clear rationale. The main advantage enjoyed by the environment programme, which is not available to other programmes, is that its modest technical assistance can help mobilise larger GEF resources for the UNDP to use and therefore, its emphasis should be on such activities.

The rationale to pursue sustainable development initiatives is unexceptionable. However, a large number of scattered sub-programmes do not lend themselves to effective monitoring and evaluation. It is therefore desirable to focus on only a few key sub-programmes. Those with commercial potential can be left to industry; those that can bring in additional resources should be pursued. Awareness building exercises can hardly be effective if they are too small in size. To be effective, they must be upscaled. Capacity building of key actors in the area of environment is a worthwhile activity where UNDP resources can have a substantial impact.

TABLE 8: **CLASSIFICATION OF ENVIRONMENT SECTOR SUBPROGRAMMES BY PURPOSE/FUNCTION**

Pilot/ Demonstration Projects	**Dealing with Commercial Sector**
Environmental Quality, Delhi	Natural Dyes, Mumbai
Biodiversity, Kumaon	Circuit Board Industry, Delhi
Neem Production, 24 Parganas/Nagpur	Methane Recovery, Jharkhand
Agro Forestry, Coimbatore	**Niche Environmental Subjects**
Medicinal Plants, Andhra & Maharashtra	Ridley Sea Turtles
Wildlife Protection, West Bengal	Wetland Mapping
Biodiversity (10 villages), Manipur	**Awareness Building**
Rural Industrialization, Ranchi	CAMPS, New Delhi schools
Decentralised Energy, Orissa	Water Sector
Solar Energy Demonstration	Centre for Conservation, Goa

Source: Preparatory Study by Rajan Katoch.

Rural Energy Programme

The Rural Energy Programme (REP) of the UNDP has three major components being implemented in three different parts of the country by three separate implementing partners. In Orissa, the Orissa Renewable Energy Development Agency (OREDA) is working with poor communities in the Komna Block of Nuapada District. The major interventions include awareness building in communities through workshops, demonstration of community-level systems such as biomass gassifiers, solar PV power plants, and community biogas plants on a pilot basis and institutionalising operation and maintenance networks within the communities. This sub-programme is expected to result in a community-based sustainable energy model for replication by future

programmes of OREDA and other agencies.

The Social Work and Research Centre (SWRC) in Tilonia is demonstrating a community-based solar energy project for sustainable development in seven remote, unelectrified village clusters in six states. By training barefoot solar engineers they are creating capacity at the village level to install and maintain solar PV systems. The project is developing a network of seven Rural Electrification Workshops (REWs), installing solar PV systems including lanterns and fixed systems, demonstrating productive uses, and creating participatory decision-making structures at the village level. Seven community-managed revolving funds are being created to contribute to sustainability of the installed systems as well as the REWs over a ten-year period.

The Society for Rural Industrialisation (SRI), Ranchi, is demonstrating a Rural Industrial Area (RIA) in Angara Block, Ranchi District, Jharkhand. Catering to 15 core villages in this block, the sub-programme seeks to provide energy services such as lighting, irrigation, agro-processing facilities etc. for these villages. The core of the RIA is a 100 KW biomass gassifier-based power generating station and a Common Facility Centre (CFC).

The bureaucracy-driven non-conventional energy programmes have in the past had a somewhat mixed record. Maintenance in remote locations has been a problem and community involvement very minimal. The new approach adopted in the programme has better prospects of success, particularly in terms of sustainability. The intervention is crucial, given the fact that in many remote habitations, electrification through the grid is neither efficient nor cost-effective.

DISASTER MITIGATION & MANAGEMENT

In the wake of the Orissa cyclone and the Gujarat earthquake, the UNDP Country Office has demonstrated its ability to be opportunity driven. Under the UNDMT of which UNDP is the convenor, a coordinated UN system support to the Government has been put in place. Its objective is to promote enhanced community participation and preparedness for disaster mitigation and management. This has now emerged as an important item on UNDP's agenda for work.

The Country Office is involved with 19 projects related to disaster management with an outlay of close to US $10 million. Of these, one project (US $565,000) carried over from CP IV aims to enhance national disaster management capabilities; nine projects (outlay US $7,396,698) funded by external donors concern recovery from the Gujarat earthquake of January 2001; nine projects (outlay US $1,704,414) funded by external donors and by UN and UNDP funds relate to recovery from the super cyclone in Orissa in 1999.

As these disaster management activities did not fall under the CCF-I programmes, they were outside the CR team's main focus. However, disaster management is important to India, given its vulnerability to natural hazards, and it is an area of concern for the UNDP. Therefore the team did look at these activities through a review of relevant documentation and discussion with concerned Country Office Staff. On this basis, and without the benefit of interaction with other stakeholders, the team makes the following observations – essentially in support of its view that disaster management can be a strategic area of UNDP assistance. UNDP's activities in the Gujarat earthquake recovery in particular provide illustrations and insights that can be useful programme-wide.

- The UNDP pursued a strategy of focusing its main efforts on the recovery-post emergency relief phase. This was judicious both in terms of the needs of the affected communities and the best use of the expertise that the UNDP could bring to bear or leverage.
- The UNDP used the recovery from the disaster as an entry point to engage and converge in a number of areas that are priority concerns of both the GOI and the UNDP. These included pro-poor initiatives, empowerment of women, village and district level planning, skill and capacity building, etc. Advantage was taken of the characteristic post-disaster receptivity to address vulnerability reduction and disaster preparedness.
- Use was made of relevant disaster management expertise, concepts and experience from elsewhere in India.
- The UNDP supported and encouraged bottom-up, community based approaches, notably with respect to information

The Country Office is involved with 19 projects related to disaster management with an outlay of close to US $10 million.

collection and dissemination, which included practical use of PC-based technology (database management, GIS, website etc.)

- Partnerships were established and sustained with government officials at the key levels of village, district, and state.
- Recovery efforts and plans were given considerable support from national and international authorities and experts at a conference organised jointly between the Gujarat State Disaster Management Agency (GSDMA) and the UN system. (International Conference on Sustainable Recovery and Vulnerability Reduction, Ahmedabad, 12 May 2001).
- The UNDP built on existing relationships developed in the context of the CBPPI.

The UNDP set up a website (www.undpquakerehab.org) to inform on the many facets of the earthquake's effects, the recovery efforts, the participants, reconstruction policies and concepts etc. While there was no opportunity to assess its usefulness to stakeholders, the website is a well-conceived initiative as it's primary purpose is clearly to be a practical tool for management and dissemination of substantive information, and access to knowledge centres. As has been pointed out elsewhere, there is great potential for developing such websites for each programme area addressed in the next CP. These programme (or when justified, sub-programme) websites if developed and maintained jointly with the principals concerned would be an added dimension to partnering.

Programme (or when justified, sub-programme) websites if developed and maintained jointly with the principals concerned would be an added dimension to partnering.

In its consultations on the ensuing CP, the UNDP should examine with the GOI the potential benefit of identifying disaster management (preparedness, risk and vulnerability reduction) as a strategic programme area for UNDP support. The basis for this proposal is:

- Many populated areas of India are subject to natural hazards.
- The GOI is in the process of reviewing its disaster management structure, policies and procedures.
- Disaster management, notably at the district level, is pro-poor in reducing vulnerability, and is an effective entry point for addressing a number of priority concerns and themes of both the Indian Government, and of the UNDP, and can be made fully consonant with UNDAF themes.
- With respect to the principle of inter-agency focus and synergy behind the UNDAF concept, disaster management is an area in which all UN agencies have expertise related to their respective sectors, and which is already reflected in the UNDMT.
- The UNDP in India has worked on various aspects of disaster management at different levels with different partners. In particular, its experience is 'grounded' in the experience of several severe disasters. Disaster management lends itself well to 'micro-macro' linkages.
- The UNDP has shown its ability to leverage external funding for disaster management.
- Disaster management is a strong 'knowledge area' in which the UNDP can facilitate access to international experience and expertise, and vice versa, help project Indian experience and expertise internationally.

GENERAL ASSESSMENT

In the preceding performance review, a number of outstanding achievements have been highlighted. It is significant that CCF-I's focus is mainly on the poor, the underprivileged, and on rural areas. In a relatively brief period, UNDP-India, along with its development partners within the government and the voluntary sector, has brought about a profound change in the character of its interventions, from building institutions to developing community-based, people-centred programmes. In the process, it has actively sought and achieved people's participation. It has succeeded in developing strong partnerships with the more relevant development actors and stakeholders, like a variety of civil society groups and women's groups. Given its resource constraints, it has successfully initiated some 'soft', low-cost interventions. The emphasis of RBM during implementation of CCF-I has helped UNDP-India to focus on strategic goals and bring about a significant measure of qualitative improvement in the managing and monitoring of programmes. Its partnerships and advocacy have provided important inputs in the policy discourse particularly in the areas of rural development, gender, poverty alleviation, education, and the community's role in the process of development.

Thus CCF-I comprises many useful and

worthwhile initiatives, and many of its achievements have been noteworthy. It is desirable, however, to consider what factors may impede many of these initiatives in having a significant effect beyond the scope of the sub-programmes or programmes concerned. It is important for the UNDP to have a significant long-term effect, as the usefulness of UNDP to India's developmental effort lies in 'currency of ideas', and not in financial contribution, which is very modest. Three important limitations of CCF-I, noted by the CR team are referred to below:

First, the number of programmes, sub-programmes, and projects tends to be too numerous and diffuse. This seems to be partly due to an overly ambitious initial 'positioning' of CCF-I, with respect to the Ninth Five Year Plan, in terms of the resources and capacities which the UNDP Country Office has been able to draw upon or leverage. The several projects continued or adapted from CP IV extended the portfolio still further. The introduction of SRF and ROAR considerations when CCF-I was well underway added further complexity of thrusts and objectives, if not of actual initiatives. The overall effect could lead to a mismatch in goals sought to be achieved and the available financial resources.

Second, other than with direct partners, relationships with other important partners and stakeholders could not be established or developed sufficiently. Relationships between the UNDP and its executing (mainly national ministries/departments) and implementing (mainly institutions or NGOs) partners seem to be supportive and productive. Such relationships are needed to ensure that programmes, sub-programmes and projects are carried out. However, they are not sufficient to build understanding, ownership and, eventually, adoption/replication by the authorities and institutions concerned at the critical state and district levels.

Third, replication and sustainability strategies are not developed sufficiently and agreed to with partners and stakeholders early enough in the design and implementation. Programmes, sub-programmes and projects are generally implemented with an intent to 'demonstrate by doing' the validity of a concept or method. Such demonstration, even if the subject of promotion be workshops, publications, media attention etc., is not sufficient in itself to lead to replication of, or support for, the concept or method.

4 Management Issues

This section discusses different aspects of programme management considered relevant by the CR team, including the process of programme formulation, as it has important implications for programme performance and management.

PROGRAMME FORMULATION

1.0 The programme-based approach in place of the earlier project-based approach, along with national execution, was adopted as a policy by the UNDP Executive Board in 1994. The new policy also involved a two-tier programming approach. The broad programme objectives were articulated in the Programme Support Document (PSD). This incorporated the overall approach and strategies of the programme, its outcomes, execution modalities, accounting and audit arrangements, and the monitoring and evaluation system, apart from identifying the implementing partners. The second step of the programming process involved prioritising of proposals or sub-programmes by the concerned line ministry, the Department of Economic Affairs (DEA), and the UNDP, within the programme framework contained in the PSD. The Sub-Programme Document (SPD) included the sub-set of activities and locations under the broad programme framework, detailing the ground level implementation arrangements.

1.1 The PSDs and SPDs are obviously a result of an intensive, rigorous and high quality programming exercise. The documents incorporate a variety of issues that need to be taken into consideration, ranging from the national programme framework to risks, work-plans, monitoring

and evaluation arrangements etc. Their designs are comprehensive and can serve as models worthy of emulation, with some improvements suggested later.

1.2 The CCF-I document had envisaged that a small number of holistic programmes linked to national priorities will replace the large number of ongoing small projects. Unfortunately, this goal does not seem to have been achieved. CCF-I comprises ten programmes, three stand alone programmes and a total of 94 sub-programmes. It is not quite evident if the actual outcome of the programming approach is substantially different from the earlier project approach. The large number of programmes and sub-programmes seem to militate against CCF-I's strategy to sharpen the focus of UNDP's cooperation with India.

1.3 This also resulted in a thin spread of resources, diluting the impact of the programmes and increasing the managerial clutter[23]. The two-tier approach increased the lag in programme finalisation. The actual process of programme development was initiated late and could only be completed in 2001. The GOI's requirement of clearances by Standing Finance Committees (SFCs) and Expenditure Finance Committees (EFCs) further compounded the matter. Only two sub-programmes were approved in 1997, followed by 40 each in 1998 and 1999, ten in 2000 and the remaining two in 2001. In this context, there appears to be a case for looking at the two-tier programming model afresh. The programme document itself could be comprehensive and may include broad details of sub-programmes and implementation modalities. The problem can also be addressed if the number of programmes and sub-programmes is limited to a reasonable number. The Country Office has however given the following reasons for the large number of programmes:

a) Most programmes involved pilot initiatives with community participation, carried out in collaboration with NGOs in different socio-economic settings

b) It was considered desirable to start innovative initiatives in a small way, which resulted in a larger scattering than originally envisaged in the CCF-I document

c) The number and range of sub-programmes has contributed to a pool of experience and expertise, and has created a base for a more comprehensive approach for the ensuing CP

Although it is possible to offer some rationale for the large number of scattered interventions in the country, if a lasting and demonstrable impact is to be made, the temptation to attempt too many sub-programmes at too many places will have to be avoided.

23. Of the 94, sub-programmes, 53 have an outlay of less than US $0.5 million. Source: UNDP Country Office.

RESOURCE FLOW

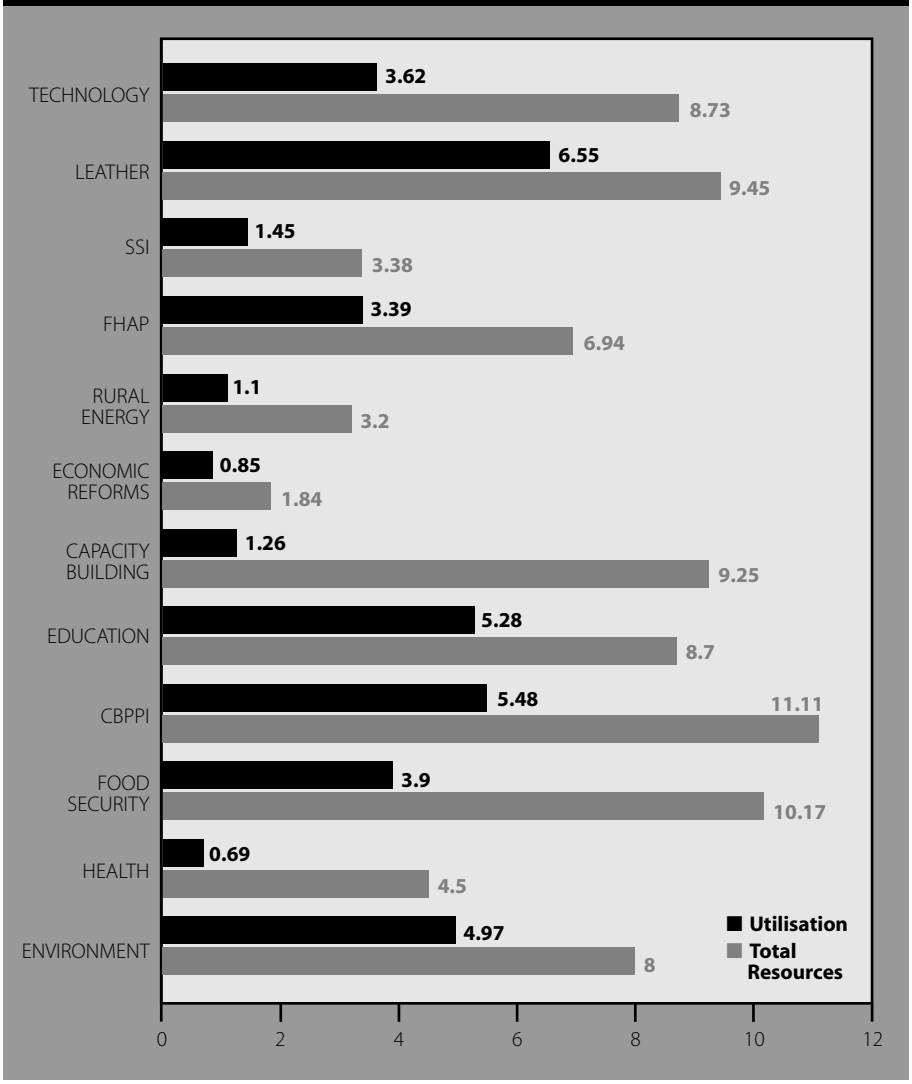
2.0 The flow of resources to sub-programmes and their utilisation has been slow. Even up till December 2001 (the original closing date of CCF-I), utilisation was 45.42%. Cumulative Resource delivery from 1 July, 1997 to 31 December, 2001 was less than 20% under Capacity Building and Health programmes, and less than 50% under Technology Management, Small Scale Industries, Rural Energy, Economic Reforms, Food Security, and Community Based Pro-Poor Initiatives programmes. Only under Leather, Community Based Primary Education and Environment Programmes did resource utilisation exceed 60% of the outlays by 31 December, 2001. The chart in Figure 3 (following page) shows the availability and utilisation of funds programme-wise under CCF-I (Source: UNDP). Delays in release of funds suggest procedural complexities, inadequate appreciation of the prescribed procedures or simply processing delays.

NATIONAL EXECUTION GUIDELINES (NEX)

3.0 NEX is defined as "a cooperative operational arrangement entailing among other things, assumption of overall responsibility and accountability for coordination of UNDP supported programmes and/or sub-programmes/projects by the programme country". The NEX guidelines were finalised only in July 1998 and this delayed the start of CCF-I. The guidelines were an outcome of an agreed approach

between the GOI and the UNDP. They were prompted by a desire to decentralise the decision-making process, while ensuring overall uniformity in procedures. However, since their very inception, the guidelines have been subject to diverse interpretations, particularly with respect to Project Monitoring Units (PMUs), fund flow mechanisms, hiring of consultants and project personnel, and the applicability of the procedures prescribed by the Ministry of Finance through EFCs and SFCs.

FIGURE 3: **PROGRAMME FUNDS UTILISATION (UP TO DECEMBER 2001; IN US$ MILLIONS)**



3.1 The distinct advantage of the NEX guidelines of July 1998 is that they ensure responsibility and ownership within the Government and facilitate linkages and coordination, essential for effective management and maximising impact. A few case studies of sub-programmes that have not performed satisfactorily, however, highlight the problem areas. There is a need to ensure that the procedures prescribed by NEX for programme management and release of funds are very clearly understood and internalised by all concerned. The line ministries/executing agencies, particularly those saddled with heavy responsibilities, also need to fully own UNDP supported programmes and provide the necessary back-stopping. The occasional problem of indifferent management is compounded by midstream changes in the Government's key programme personnel, which needs to be avoided.

3.2 Although UNDP supported programmes involve modest outlays, they are innovative and often in the nature of pilot interventions. Given the limited amount of programme provisions and the fact that many of them are being implemented through the voluntary sector, it is imperative that funds are released through a fast-track procedure. The section on programme performance has cited instances of sub-programmes that have been adversely affected due to delays in the release of funds. The DEA may find it useful to analyse some specific cases of delays and to implement measures needed for ensuring the timely release of funds.

3.3 NEX guidelines provide considerable flexibility to meet different eventualities. Section six of the guidelines (paragraph 6.1) permits direct release of funds. Such a procedure is necessary for effective participation of the voluntary sector and enabling innovative or experimental programmes/projects, which cannot be easily accommodated in government budgets. The provision for direct release needs to be interpreted in its proper spirit to facilitate release of funds to executing agencies. The ambiguity created by the

phrase "...the funds *may* be allowed..." could perhaps be removed by replacing the word 'may' by 'should' or 'will'. The CR team recommends a review by the DEA of the extant procedures in consultation with the National Programme Directors (NPDs), implementing agencies and UNDP to remove operational bottlenecks in the release of funds.

3.4 The provisions relating to audit under the NEX guidelines appear adequate from the point of view of the GOI. Paragraph 7.4 of these guidelines also provides flexibility in regard to audit procedures for private bodies or NGOs. The CR team, however, suggests that the audit procedures and time schedules should also take into account the mandatory reporting requirements of UNDP.

MANAGEMENT STRUCTURES

Programme Management Boards (PMBs)

4.0 The PMBs lay down broad policies for the programme and review its performance. It is argued that taking into account the UNDP's relatively limited funding and the fact that secretaries to the GOI, with their multifarious preoccupations, are unable to spare any time for PMB meetings, the mechanism of PMBs may be dispensed with. Such a step would be inadvisable as the involvement of the department's executive head provides the necessary mandate and prestige to the UNDP assisted programme, in turn facilitating its implementation. The PMB also offers an effective forum of inter and intra-ministerial coordination and consultation with stakeholders. It can be a useful mechanism for micro-macro linkages and for drawing lessons from the implementation process.

Programme Standing Committees

5.0 The Programme Standing Committees (PSCs) under the executing ministry's NPD (a Joint Secretary to the GOI) however, should be reconstituted as Empowered Committees, with representation of all relevant officials so as to bring about greater efficiency and speed in programme implementation This will also leave the PMBs free to focus on macro policy issues rather than on routine managerial tasks. Two or even one meeting annually of the PMB should be adequate for this purpose. The UNDP programmes are designed with rigour and after extensive consultations. The programme design can be further modified to meet the requirements of EFCs and SFCs. With this improvement, it should be possible to dispense with further processing at the level of the EFC, especially when the Ministry of Finance and Planning Commission are represented on the empowered body.

Programme Management Units (PMUs)

6.0 Clause 4.5 of the GOI-NEX guidelines provides that when a programme/sub-programme component involves several implementing agencies and is spread over a large geographical area, a management and coordination mechanism called 'Programme Management Unit' (PMU) headed by a National Programme Manager (NPM) who together with support staff, is on contract with the UNDP, may be put in place. However, with downsizing of bureaucracy being a high priority for the GOI, establishment of temporary posts under a PMU is sometimes perceived as a surreptitious way of circumventing the ban on creation of posts. The CR team feels that when a PMU is justified because of the nature of the programme, it should be permitted. It should provide dedicated support to the concerned Joint Secretary, who serves as the NPD and unburden him of programme-related routine chores. PMU staff may be paid at Government and not at UNDP pay scales as special remuneration creates its own aberrations and tends to isolate both NPM and PMU. In exceptional situations, when an official brings to bear upon the programme work his special expertise, distinct from the normal managerial functions, emoluments at a higher scale can be considered.

State-Level Steering Committee

7.0 The CR team's visit to two states and interaction with state government officials

highlighted the need to strengthen the sense of ownership of UNDP supported interventions at that level. This impression was reinforced by observations in some evaluation reports and the feedback from some line ministries. In the CR team's view the lack of awareness or commitment to some noteworthy UNDP-assisted programmes at the state government level should be a cause for serious concern. In the final analysis, programmes are implemented in the states and that is where the real action is. Their involvement in the programmes is therefore crucial, particularly because the UNDP's resources are limited and its objective is to make a wider impact. In this context, it would be desirable to consider setting up apex level Steering Committees under Chief Secretaries of states. Such Committees will facilitate higher-level attention, ownership, dissemination of lessons and 'best practices', replication, state level coordination, and interaction with civil society partners. The Committees could be serviced by the State Planning Secretaries, and assisted by National UN Volunteers. The opportunity for regular interaction at this level will help develop partnerships crucial for the success and sustainability of UNDP-supported programmes.

The Results Based Management Approach

8.0 The UNDP RBM approach comprising SRF and ROAR for the organisation as a whole and for each operating unit was introduced on a pilot basis towards the end of 1999. The approach has been refined in the years 2000 and 2001. This section comments briefly on the extent to which the new planning and monitoring tools have been internalised by the Country Office.

8.1 The RBM approach was introduced after CCF-I implementation had commenced. Thus, the CCF-I objectives had to be aligned to the new framework. In this process, the various programme and non-programme activities of CCF-I were analysed and 11 key outcomes identified. For each outcome, four to five outputs were defined. Most outputs involve a number of sub-programmes and also include non-programme activities such as advocacy. An important aspect of the SRF exercise was the identification of key partnerships and the role of each in relation to the development outcome. ROARs are being prepared to indicate the progress in relation to the output targets for the respective years and also with respect to the outcome targets for the SRF period as a whole.

8.2 There is no doubt that the SRF approach has been of enormous value to the Country Office in sharpening its focus on outcomes. It has brought about greater clarity in the goal of development cooperation. The process has helped in placing greater emphasis on both the human development initiative and on decentralisation. Although disaster mitigation was not a thrust area under CCF-I, it was mainstreamed through the SRF in the Country Office priorities. A schedule of outputs has been developed for each of the outcomes. The analysis needed for the SRF exercise has led to the addition of new need-based outputs and activities to the ongoing programmes. A case in point is the addition of advocacy-oriented outputs to supplement the ongoing efforts of the SHDR project. The shift to an outcome-based approach has helped develop greater sensitivity towards the importance of broad-based coalitions and partnerships. Some non-traditional partnerships such as with the media have been identified. There is growing emphasis on stake-holder consultation and on a greater focus on programme resources vis-à-vis the outcome matrix.

8.3 The exercise for preparing the ROAR has helped in the adoption of a more strategic approach towards monitoring and reporting of programme results. It has encouraged a better appreciation of strategic issues.

8.4 An analysis of ROAR reports, however, shows that outcomes and outputs have sometimes been expressed in terms that make measurement difficult. For instance, one of the output achievements for the year 2001 indicates "...centre for Public Policy was set up at the Indian Institute of Management, Bangalore". This statement does not throw much light on the quality of output. The Centre

The exercise for preparing the ROAR has helped in the adoption of a more strategic approach towards monitoring and reporting of programme results. It has encouraged a better appreciation of strategic issues.

is yet to become operational and therefore, it is questionable whether the progress reported can lead to a meaningful assessment. There are other examples of this kind. There is thus a need to evolve outcome and output indicators that are amenable to some measurement or to a meaningful assessment.

8.5 The RBM system has only recently been introduced and therefore it should be considered to be a work-in-progress. It is expected that the approach will become fully operational and start paying rich dividends in the next programme cycle.

Monitoring & Evaluation Strategy

9.0 The monitoring and evaluation strategy adopted by the Country Office indicates a shift towards a participatory approach. The emphasis is on learning from experience and fine-tuning strategies and approaches through the analysis of outcomes. Importance is also being given to ensuring efficiency and accountability in the use of resources and in programme management. The focus is now on RBM and the need to demonstrate development outcomes across selected strategic areas, rather than on outputs against individual projects.

9.1 The Monitoring and Evaluation strategy is attempting to stress learning, results, participation, and partnerships. Presently, it is in a pilot phase in which tools and methodologies are being tested. It is expected to become fully functional in the next programme cycle.

9.2 The Country Office commissioned a number of evaluation reports for an objective assessment of programme performance and learning lessons. These reports provide very useful insights and are an evidence of the Country Office's commitment to objectivity and to becoming a 'learning organisation'. They can be utilised profitably in introducing midcourse corrections. Active involvement of the stakeholders, particularly the concerned officials in the the GOI and state governments, in sharing the lessons of these evaluations will help in the learning process, in improving programme performance, and in the mainstreaming of effective approaches.

Each of the UN organisations with a base in India and many non-resident agencies work in close partnership with the GOI to mutually agree upon areas of co-operation on human development issues.

UN System Coordination

10.0 Each of the UN organisations with a base in India and many non-resident agencies work in close partnership with the GOI to mutually agree upon areas of co-operation on human development issues. Experiences gained and lessons learned are shared regularly to improve the quality of programming, to become more efficient, and to enhance outcomes through several inter agency mechanisms. Under the UNDAF, two priority themes – promoting gender equality and strengthening decentralisation – were identified to enhance collaboration with the GOI in these strategic areas and within the UN system. To achieve these goals, steps have been taken in the following priority areas, gender sensitising the planning process, census and budgets, collaboration on HIV/AIDS with a focus on gender, and support to the Government on progress along international development targets and millennium development goals.

10.1 Procedurally, several steps have reportedly already been taken by the UN agencies to bring about greater efficiency through collaboration. These are

(i) Full harmonisation of programme cycles among UN system organisations by the year 2003. The UN country programmes (anchored in the UNDAF) would in turn be harmonised with the GOI's five-year planning cycle.

(ii) New initiatives for sharing successful learning include the Inter Agency Working Group (IAWG) and the thematic group mechanism in 11 crosscutting areas. UN agencies, government, and civil society partners regularly share information and experience and explore opportunities for greater synergy to complement ongoing agency initiatives in these areas.

(iii) There are ongoing efforts to bring about cost savings by collectively dealing with administrative matters such as security, travel, courier services and cafeteria facilities.

(iv) Procedures relating to procurement, quality control, after sales service, custom clearance, and tax issues are being standardised on an ongoing basis.

(v) New initiatives have been undertaken

to organise joint learning and training for UN staff. Joint UN system training sessions are being held annually.

(vi) In the area of informatics, a common UN intranet is being further enhanced.

11.0 The concrete steps taken to bring about greater coordination and synergy include the CCA exercise completed in 1999. This culminated in the finalisation of the UNDAF document. In coordinating UN system activities for disaster mitigation in the wake of the Orissa cyclone and the Gujarat earthquake, the UNDMT did commendable work. The Janshala Programme is another example of partnership among the concerned UN agencies. Some concrete steps taken to strengthen the capacity of the UN system include a common UN database with a set of common social development indicators for monitoring and evaluation; setting up of a UN-India Intranet, with subsets of key data/information on the UN system-India website (www.un.org.in). These could be further strengthened by compiling a UN system catalogue of annual learning and training events. This may include all the training available, from each of the UN organisations, to staff and partner organisations and mapping of best practices to improve programming and operations. Common training modules and learning materials could be developed and staff exchanged for capacity building so as to strengthen this system.

12.0 As the UN organisations proceed with the harmonisation process, and UNDAF priorities get reflected in the new CPs, new opportunities for collaborative action will emerge. Seizing these opportunities will be critical for demonstrating the impact of UN system coordination.

5 Lessons Learnt and Recommendations

Preserving the UNDP's Unique Image

The UNDP enjoys a unique image of neutrality and impartiality. It is perceived as a truly multilateral organisation. The degree of influence it exercises goes beyond the financial resources it provides. It has relatively easy access to policy makers who are willing to share a platform with the UNDP. It gathers rich experience from its presence in well over a hundred countries. It has access to global networks, partnerships within the UN system, and with other development agencies. Its capacity to develop collaborative relationships and synergies with other actors is commendable. It plays a useful role in coordinating aid. Its rigour and professionalism in programme planning and implementation, monitoring and evaluation, and its willingness to be flexible and adopt innovative approaches are its distinctive strengths. However, what the UNDP provides to India in terms of total quantum of funds is meager. The total external assistance, as a percentage of India's plan outlay is 8.4% (See Table 9, following page). Of this, the total disbursements of other international institutions (which include UNDP) as a percentage of total external assistance were 0.21% in 1998-99 and 0.23% in 1999-2000. UNDP funding for the next CP is likely to be even less. Thus, in purely financial terms, the UNDP's contribution is modest. It is its other strengths, highlighted above and the 'currency of ideas' that it brings to bear on India's developmental effort that are of greater importance.

TABLE 9: **EXTERNAL AID DISBURSEMENTS IN INDIA 1998-99 & 1999-2000 (RS. CRORES)**

Item	1999-2000
Total Plan Outlay (Centre+States+Uts)	170856.8
Total External Assistance	14404.5
External Assistance as a percentage of Plan Outlay	8.4%
Disbursements of "Other International Institutions" (Including UNDP)	33.5
OII disbursements as a percentage of Total External Assistance	0.23

Source: Preparatory Study by Rajan Katoch.

India is a developing country with a variety of problems. However, it has its own strengths and potential. In this context both partners – UNDP and India – need to keep in view each other's strengths and constraints and attempt to build on mutual strengths to maximise the contribution of the collaborative partnership to India's developmental effort.

The UNDP as a multilateral agency is required to have a global agenda. All nations who constitute the UN system need to contribute to this endeavour. One of the key lessons learned by the UNDP in its global experience is that developmental efforts have to take into account the specific circumstances of the local communities. At the global level, it has advocated the imperative of people centred development. The logic of this approach dictates that the UNDP should take into consideration the specific circumstances, strengths, and sensitivities of each country. Such an approach will call for a strategy that tailors its programmes to suit the local circumstances of each country. It is prudent to ensure that in pursuit of its global agenda, the UNDP does not tarnish its image of impartiality and neutrality. The trust it enjoys among nations is one of its great assets and it should not be put at risk by following a uniform approach across all countries. The India Country Office has a perceptive understanding of the local context. The CR team's assessment is that it has so far sensitively calibrated UNDP's global agenda to suit the local circumstances and requirements. The UNDP needs to encourage the Country Office to adhere to this approach in the future also.

On the other hand, the GOI should realise that while UNDP's financial inputs may be modest, it has other unique strengths which it can and should take advantage of. The value of the UNDP's contribution cannot be seen in narrow monetary terms alone. A keener understanding of these issues on either side will be conducive to enhancing the UNDP's impact on India's developmental effort.

Avoiding Multiplicity of Objectives, Programmes and Sub-Programmes

Multiplicity of objectives tends to diffuse the focus of a programme. The situation is compounded when goals or themes are superimposed midstream. It is necessary to ensure that in the future, themes and objectives are of a manageable number and are clear to the planners at the very outset of the programme cycle.

Similarly, a large number of programmes and sub-programmes (ten and 94 respectively) under CCF-I needs to be avoided. Of the 94 sub-programmes under CCF-I, 53 have a resource commitment of less than US $0.5 million, 12 of US $0.5-1.00 million, 17 of US $1.00-2.00 million and only 12 of over US $2 million[24]. Small programmes, scattered across states in a large country like India, can cause considerable strain to managerial resources both within the government and the UNDP, render monitoring and evaluation difficult, and lead to sub-optimal utilisation of funds. What is worse, such small, diverse and scattered interventions fail to create a visible impact. It is therefore necessary to ensure that sub-programmes converge both thematically, around a few clearly identifiable themes and objectives, as well as geographically.

Partnerships For Synergy and Long-Term Sustainability

In order to bring about synergies in collaborative efforts and long-term sustainability of programmes, there is a need to build partnerships and alliances at several levels – with key actors in the central government, national institutions, research institutes, media, elected representatives, the private sector, multilaterals and bilaterals, state governments, district administration, elected representatives of PRIs, NGO's and others. A strong understanding with the DEA on the principal goals and strategy should form the foundation of the CP. Special attention needs to be paid to building partnerships with the state governments, district administrations, and PRIs, which have so far not received adequate attention and appear to be in the margins. When the UNDP has withdrawn, it is the

24. Source: UNDP Country Office.

community and the local administration that will carry forward the initiative. The action is in the states. In this sense, they are among the key stakeholders. There could be a Steering Committee headed by the Chief Secretary at the level of state governments for periodic review, coordination, resolution of problems, preparation of a ground for replication, and policy impact. The central government needs to pay special attention to this aspect and devise an appropriate mechanism for securing active involvement of the state governments.

District administration is a crucial part of the administrative setup in India. A strong partnership with it can greatly enhance prospects of success; its hostility can do irreparable damage. So far, the issue of building alliances with district administration has not been considered critical. This aspect needs to be addressed in the upcoming CP.

Approaching Development Holistically

A uni-dimensional intervention does not ensure results in the long-term; it is essential to take a holistic approach to tackling a problem. For instance, a programme of water conservation or watershed development cannot succeed in isolation; it must be accompanied by initiatives for community mobilisation, community ownership, gender sensitisation, afforestation, education, health, non-farm and off-farm development activities. While the focus should be on the key area, these other aspects will also need to be addressed. A narrow sectoral, compartmentalised approach must be avoided. There is a potential dichotomy in being holistic and focused at the same time. This will need to be avoided in the process of programme formulation. While the entry point may be a key priority or a felt need, other elements will have to be addressed incrementally. For instance, it may not be possible to effectively tackle the problem of poverty eradication by thrift and credit alone. Aspects like community mobilisation, empowerment, health, capacity building, and basic education will also have to be attended to. This approach is now fully appreciated by the Country Office. Nevertheless, this is an aspect that needs to be emphasised in the context of the forthcoming CP.

Inter-Sectoral Linkages among Programmes

The CCF-I document lays great emphasis on inter-programme linkages and integration of crosscutting issues such as gender equality, environmental sustainability, HIV/AIDS, and technology management. The increasing emphasis on efficient management to maximise impact and optimise resource use also demands a 'matrix approach' to programme management. This area needs to be strengthened.

Discussions with programme teams indicate that programmes and sub-programmes are designed independently and function more or less in isolation from each other, despite the visibly positive relationships among concerned Programme Managers in the Country Office. This is evident in the field as well, where sub-programmes being implemented in the same state or district appear to have little or no contact with one another. Discussions with programme teams brought to light the fact that this is also an area of concern for the Country Office.

The gaps in the integration of gender issues into 'hard' programmes are mirrored by gaps in the integration of technology management or environmental issues into community based programmes. The resources and strengths of each division of the Country Office in terms of both in-house capacities and professional networks do not seem to have been tapped to any significant extent. For instance, technology programmes could have been implemented through women's groups initiated under the CBPPI Programme. Similarly, women's empowerment programmes could have been implemented in the same areas, and through the same partners, as programmes for community management of natural resources or for development of rural technology.

The CCF-I document makes it clear that UNDP supported initiatives are designed not so much to deliver development objectives in themselves, as to contribute to the achievement of overarching development goals at the local and national levels. However, the impression formed through discussions with programme teams is that individual sub-programmes are seen as stand-alone models. The review team was unable to obtain any clarity as to how each sub-programme actually contributes to the goals outlined in the national or state plans, or, in

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some cases, even how different sub-programmes under the same programme contribute to the achievement of programme goals.

In view of the above, the CR team suggests the following corrective measures:

- The design process for the next phase of work should focus on identifying a limited and manageable number of thematic areas. Time and effort should be invested in the initial stages on building a clear conceptual framework that makes visible the linkages between the selected areas and the UNDAF themes of promoting gender equality and strengthening decentralisation. This framework should be shared with and validated by the concerned line ministries, and with as wide a range as possible of civil society groups, before it is used as a basis for developing individual programmes in the selected sectors.
- The SRF, which was introduced in early 2000 as part of the shift to RBM, tracks achievements against corporate goals rather than in terms of the performance of individual programmes. It is thus a useful tool for matrix management. Since the SRF was introduced well after CCF-I programmes were developed, it has not been optimally used. In the next programme cycle however, the SRF goals should form the basis for identification of specific areas for intervention, in order to ensure a balance between goals and resource allocations in different areas. The SRF should also supersede other organisational monitoring tools and should be used for regular tracking of progress on outcomes.

Active Involvement of Zila Parishads, Blocks and Panchayats (PRIs)

PRIs are now constitutionally mandated and a large number of programmes, specifically those relating to poverty alleviation and the social sector, are to be planned and implemented by them. And yet so far, PRIs' involvement in UNDP programmes is minimal. With the UNDP's considerable reliance on NGOs and with the PRIs remaining in the margins, a potential for distrust and even conflict is created. With the progressive empowerment of PRIs, securing their cooperation in UNDP assisted programmes will be a major challenge in the next CP. The CCF-I programme for capacity building is a good beginning, but it is not enough. A conscious and vigorous initiative in the upcoming CP, to ensure active participation of PRIs in appropriate programmes, will be necessary. Where the implementation agencies are NGOs, efforts will be needed to promote a collaborative relationship with PRIs. Similarly, links will need to be established with Zila Parishads and Blocks.

Maximising Impact through 'Indirect' Interventions

With its limited resources (only a part of one quarter of a percent in India's development outlay), the UNDP cannot hope to make a significant direct contribution in programmes requiring huge resources like poverty alleviation, universalisation of education, access to health for all etc. Its efforts will be better rewarded if it focuses on indirect interventions in areas where it has strengths and can make a distinctive contribution. Such areas should be selected jointly by the GOI and the UNDP, and could be identified on the basis of UNDAF and SRF. In case the UNDP chooses to operate in a sector in which bigger players are already operating, it would be prudent to see how value addition can be ensured. This can be done by concentrating on a specific innovative approach or a geographical area; sharing lessons learnt and their dissemination; human development initiatives like the SHDR; introducing appropriate technologies; capacity building and leveraging global funds like GEF and MP.

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In order to lend credibility to its 'indirect' interventions, the UNDP will need to undertake direct interventions for hands-on experience. Advocacy by itself, without the preceding demonstration of the ability to implement, will have limited credibility. This should not be taken as a justification for continuing with a large number of direct interventions (e.g. the Kutch Mahila Vikas Sangathan). Here, success would be best assured by exercising the right choice regarding the entry point. The entry should be an issue/problem that is of critical importance to the community and a 'felt need', like water in the case of the Tarun Bharat Sangh villages (Alwar, Rajasthan) or technology intervention for leather footwear (Mojari) in the case of the cobbler dominated Udaipuria village in Jaipur. Other interventions would need to be built around such a thrust

area, and should be demand driven.

It is also necessary to ensure that the UNDP does not enter an area that is crowded by other players with significantly larger resources. Intervention in a highly worthwhile area may be desirable, but must always be tested on the criterion of the UNDP's ability to add value. The UNDP needs to carve out a specific niche for its distinctive and demonstrable contribution.

Exit and Replication Strategies

For a variety of reasons explained in the section on programme performance, exit for UNDP supported programmes may not be smooth. Abrupt withdrawal is likely to adversely impact the credibility of such interventions. Exit strategies should be specifically built into programme/sub-programme designs, and should be adequately explained to the stakeholders. Milestones for each stage of the project need to be specified in the programme/sub-programme document so that stakeholders know at which stage external assistance will no longer be available. At present, most programmes/sub-programmes do not seem to incorporate or in practice implement such a strategy, and there are instances of beneficiaries developing a dependency syndrome.

Similarly, the rationale for taking up a programme needs to be explained upfront to the concerned actors and stakeholders. Especially at the state government level, there is an impression that UNDP intervention is another source of additional resources. The precise objective of the intervention, i.e. its character as a pilot, a demonstration or an innovative project with a view to learning lessons or initiating a larger programme, needs to be explained to key actors at the ground level. Actors in the field need to understand that if certain approaches prove effective, they should be replicated elsewhere, with appropriate modifications to suit the local conditions.

Disseminating Lessons

Keeping in view the UNDP's goal of maximising the outcomes of its efforts, more systematic and intensive action is needed to bring international experience to India; share experiences and best practices within India; develop best practices documentation; and take follow-up action to widely communicate its messages. In the past, the Indian best practices have been successfully disseminated to other countries. This process should be continued and further strengthened. This will help both India and the UNDP in developing partnerships, linkages, and visibility globally.

Gender Mainstreaming

Gender equality has been identified in successive Plan documents as a priority goal of development in India. At the global level, gender equality and the advancement of women are prominent goals in the UNDP's SRF. This is reflected in the CCF-I document, which recognises mainstreaming of gender equality concerns across programmes as a critical element of the strategy for sustainable human development. Promotion of gender equality is also one of the twin themes of UNDAF in India, and should therefore be the principal crosscutting theme for the forthcoming CP. Programmes under CCF-I have generated a rich experience of working in partnership with diverse actors to implement approaches to women's empowerment and gender equality. It is important to analyse these experiences so as to draw out the lessons learnt and build on them in the next CP.

- Despite the centrality of gender equality to the SHD framework, the CR team's discussions with programme teams and NPMs suggest that gender is still seen as being primarily relevant to community-based programmes implemented through NGOs. Evaluation reports of some key programmes in 'hard' areas like technology and industry indicate that, even though programme and sub-programme documents sometimes contain some references to gender, there is very little attention to gender issues or even women's issues at the field level.
- Where programme documents are largely silent on gender issues, and work in the field is being undertaken in partnership with communities, there is a very real risk of interventions replicating or even reinforcing traditional gender inequalities and biases.
- Similarly, monitoring frameworks tend to ignore gender issues unless they are clearly reflected in the sub-programme document in terms of objectives and activities. The extent to which evaluations and reviews address gender issues also depends on the

perspectives and skills of the evaluator.

- Evaluation reports of sub-programmes under the CPBBI, which has a strong gender focus, reveal that the outcomes of gender interventions depend largely on the perspectives and skills of the implementing NGOs. In sub-programmes implemented by strong women's groups or NGOs with clear gender perspectives, the outcomes in terms of women's empowerment and gender equality are clearly visible. One evaluation report mentions the need for the internal practice of the implementing organisation to conform to certain minimum standards of gender equality.

The Country Office recognises the above issues and has attempted to address them through capacity building of in-house teams, workshops on gender for implementing partners, participatory exercises for gender impact assessment, and a gender perspective building workshop for NGO partners.

These efforts need to be pursued and strengthened further in the preparatory phase to the next CP. The following steps could be taken in this regard:

- Involvement of a representative selection of women's groups and gender experts in the consultations and programme formulation processes is necessary to ensure that the next CP addresses emerging priorities and issues. Consultations should also involve the Department of Women and Child Development and the National Commission for Women, with whom the UNDP did not have a formal partnership during CCF-I.
- The Approach Paper to the Tenth Plan places a strong emphasis on speeding up the process of economic reform and economic growth. At the same time, there is increasing evidence that women have so far not been able to claim an adequate share of the benefits of economic growth. Given its access to credible women's groups, and the institutional base provided by the HDRC, the UNDP should undertake some focused action-research projects to explore the linkages between macro-economic policy and women's lives, including ongoing and gender differentiated monitoring of social sector spending at the grassroots level. Such an initiative could be dovetailed with the preparation of SHDRs, so as to build on their credibility and sharpen their effectiveness as tools for planning and programming at the state level.
- Given its high credibility in the NGO sector and the strong linkages that have been established with a range of NGOs during CCF-I, the UNDP could contribute to the process of gender perspective building for NGOs. This could be done by facilitating networking between women's groups and NGOs in the states/areas where UNDP interventions are concentrated, and through issue-based workshops to share perspectives on critical issues related to gender equality. It also needs to be ensured that in the process of gender sensitisation, men are taken on board. In many cases, they seem to be going along with these initiatives merely because the sub-programmes are bringing in material benefits. The Evaluation Report on Lok Drushti, Orissa, observes that "At present men accept these inputs because of the benefits that accrue to them". Their acceptance is more an exercise in tokenism. Efforts to bring about gender equality have a profound impact on interpersonal relationships. It is about sharing and giving up power. Therefore, men need to fully internalise the value and the rationale of the effort. Otherwise, they are likely to react when the programme managers are no longer on the scene.

NGO'S – PRI'S INTERFACE

A common feature of almost all the evaluation reports is the concern expressed about weak linkages between sub-programme activities and processes, and other structures involved at the village level, whether PRIs, the district administration or community groups and government departments. To some extent, this seems to be a reflection of the attitudes and approaches of implementing NGOs, which are limited in their networking and sometimes tend to follow exclusionary approaches.

The relationship between NGOs and PRIs is not always positive. Elected members of panchayats accuse NGOs of being unaccountable to the community, while NGOs are wary of the domination of panchayats by political power brokers and local elite whom they have

confronted in the course of their work with marginalised groups. The existence of this tension was confirmed to the CR team in discussions with senior government officials as well as in the meetings with NGO partners. However, there was a consensus that, in the long run, the sustainability of development processes depended on their being strongly rooted within democratic institutions at the village level. The UNDP should promote approaches to inculcate synergy between the PRIs and NGOs.

There is a wide variation in the perspectives, skills and resources of NGO partners. These play a major role in shaping the outcomes of interventions.

Encouraging Transparency among PRIs and NGOs

Transparency in PRIs' and NGOs' financial transactions and accounts can greatly improve their credibility and interface with government agencies and the community in general. This can be ensured by the PRIs/NGOs freely disseminating information on their financial transactions, accounts, and audit reports. Some NGOs have been able to enhance their credibility by holding public hearings on their audit reports and accounts. The UNDP country office could encourage both PRIs and NGOs that it works with to adopt this approach.

Refining Programme Design and Implementation Strategies

The experience of some CCF-I sub-programmes is that even where well-intentioned NGOs are the implementing agencies, benefits go largely to the well-off land owners or to marginal farmers, and the landless are likely to remain deprived. For example, the Evaluation Study of Lok Drushti observes, "However, all their benefits will reach persons with some land. In many cases, they are small and marginal farmers who may end up as landless and Below Poverty Line (BPL) families without this support". Also, programmes for empowering women tend to neglect the role of men in the process, which may prove counter-productive. For sustainability and replication, special measures are needed, including steps for ensuring that the community internalises the vision, the values, and the rationale of the programme. In brief, while designing programmes it is necessary to undertake a rigorous analysis of the aspects of class, gender, and replicability. Without such an analysis and inclusion of appropriate steps in the programme design, the poorest and the most vulnerable may be neglected, men may sabotage the process of women's empowerment, and replication may not happen. The programme design should also incorporate rights-based perspectives.

The CR team sensed that in some sub-programmes there was a degree of ambiguity about their precise nature. It was not quite clear whether they were 'direct' interventions, 'complimentary' programmes or just 'pilot' projects. This ambiguity can also impact the process of monitoring and evaluating outcomes. The precise nature of sub-programmes should be made explicit at the very outset in their designs.

Rethinking Strategies during Implementation

The programme design should cater for mid-course corrections. There are several examples where the initial design has failed to achieve the intended objective. Hence, the initial analysis may not be sufficient. Intervention outcomes should be analysed during the implementation process in order to address deficiencies or failures. Annual ROAR exercises under the RBM system can be used as an effective tool for analysis. Midterm or concurrent evaluations with stakeholder participation can strengthen this process.

Dealing with Vested Interests

Some NGOs tend to ignore rules and well-established procedures and thus expose themselves to a possible adverse reaction from bureaucracies, which may act along with vested interests to sabotage the programme. The problem can be compounded when NGOs harbour a prejudice against the administration in general and tend to treat even well intentioned policies or government regulations with disdain. The voluntary sector must understand the rules and adhere to them. There is also a need to be proactive and where problems arise, solutions must be found in consultation with the local administration. Threats, even in the form of physical violence, may arise from vested interests. In this context, it is desirable to take preventive measures, establish contacts with other likeminded organisations and also

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take the district administration in confidence. The tendency among vested interests to circumvent 'the process' for the benefit of the end product must be effectively discouraged.

Developing Good NGOs as Resource Centres

Many NGOs tend to work in isolation and prefer to go it alone. However, the UNDP and the Government need to promote effective networking among good NGOs. Such networks would create ongoing relationships of trust and solidarity. They will involve sharing resources and experience. Conscious efforts are also needed to develop good NGOs as resource centres. These can assist other NGOs in training, capacity building, sharing lessons, and extending support in case of need. A challenge for the UNDP could be to facilitate mainstreaming of best practices and evolution of 'mother NGO's' to spawn new NGOs, as the potential role they can play far exceeds their present capacity.

Developing Paraprofessionals/ Community Animators/Volunteers

The experience of some CCF-I sub-programmes shows that literacy is not a necessary pre-condition for training paraprofessonals like livestock and health activists. It is desirable to develop paraprofessionals and/or community volunteers/animators. They can motivate, undertake extension work, promote self-help groups and ensure sustainability. They can offer services that the bureaucracy may fail to provide.

Beneficiaries of a number of sub-programmes that have achieved significant success desire programme assistance to continue indefinitely and show no confidence in their ability to manage on their own. With occasional and limited presence of programme managers from headquarters, only a few members of the target group internalise the basic concept of the intervention, relying essentially on 'hard' inputs. This underscores the need to develop voluntary extension workers from within the community. These workers can disseminate 'the message', liaise with programme managers and help carry on the work when the programme managers have finally gone. In the upcoming CP, an element needs to be built in consciously to introduce a system of community animators/volunteers who can be assigned the work of motivation, extension, promoting self-help groups and ensuring sustainability.

Time Perspective for Social Mobilisation

Social mobilisation is a complex and time-consuming process. Success cannot be achieved or expected from a one-time effort. Lasting results can be achieved only through intensive and sustained work. This aspect must be kept in view while designing programmes and working out their time schedule for implementation. An abrupt withdrawal can derail the process and damage credibility. When process oriented interventions are undertaken the issue of time frame should be properly thought through and incorporated in the programme design.

6 Future Directions

The themes and programmes for the next CP need to be developed around the objectives of India's Tenth Five Year Plan; the overarching goals of the UN system in India i.e. elimination of human poverty and inequalities and sustainable human development; and the UNDAF themes of promoting gender equality and strengthening decentralisation. These overarching goals and UNDAF themes are duly reflected in the Tenth Plan priorities and perhaps it is not necessary to have any separate objectives for the next CP beyond Plan priorities, the UN's global mandate, and the UNDAF. Given the UNDP's resource profile, greater emphasis on indirect interventions in areas mutually agreed upon by the GOI and the UNDP will be desirable. Direct interventions for programmes like eradication of poverty, universalisation of education, health for all etc., although highly desirable, may not be feasible. For fighting poverty – one of the overarching goals of the UN system in India – the UNDP will have to focus on forging partnerships. It should consider achieving multiplier effects through some targeted direct interventions involving innovative projects in consultation with the line ministries and with a clear understanding regarding replicability by other development partners/the GOI/state governments.

India is a large country with many problems and enormous potential for development. Its development plans are comprehensive in nature and cover almost every important aspect of the country's socio-economic status. In this background, there are many worthwhile programmes that the UNDP can take up. In order to maximise the impact of its efforts, however, the UNDP will need to resist the temptation of having its fingers in too

many pies, and should instead focus its efforts on a few carefully selected themes and programmes in consultation with the GOI. The CR team wishes to propose a menu of options for the upcoming CP for the consideration of the GOI and the UNDP. The list of these options is not exhaustive and other options can be considered. Nor is it necessary to take up all of these themes/programmes. As the CR team has repeatedly emphasised the UNDP will have to resist the temptation of doing everything worthwhile and will have to focus on a few well-considered priority areas. The suggested options are briefly discussed below:

STRENGTHENING DECENTRALISATION

The importance of this goal cannot be overemphasised. For both the GOI and the UNDP, decentralisation is a priority. It is expected to ensure efficiency, improved design of programmes, greater accountability, and transparency and people's participation in programme formulation, implementation and evaluation. The decentralisation programme should, *inter alia,* include efforts for strengthening the existing institutions for training of elected Panchayat representatives as well as officials at the local level. Capacity building for local level planning and execution is also required. It would be desirable to initially take up pilot projects for decentralised delivery of social services and for community involvement in planning, implementation, and monitoring.

Special emphasis must be laid on applying Information and Communication Technologies (ICT) for effective decentralisation. The decentralisation programme could also include a distinct component of capacity building for district planning with a focus on improving quality of data, particularly for purposes of planning and monitoring and convergence among schemes and geographical areas. In order to ensure that programmes/sub-programmes and projects are rooted in ground realities, plans need to be prepared in consultation with beneficiary communities and require their active involvement. Such a process will also call for strengthening the capacity of local officials for project preparation, effective implementation, management, monitoring, and evaluation.

ACCELERATED DEVELOPMENT OF 20-30 BACKWARD DISTRICTS ON A PILOT BASIS

Currently, the UNDP's interventions are scattered and many of them fail to make a visible impact, sometimes even as pilot projects. The CR team believes that the UNDP should take up accelerated development of 20-30 backward districts on a pilot basis in the next CP. Such districts may be selected on the basis of backwardness (like tribal/SC dominated, drought prone districts, and those with low social indicators and poor existing partnerships). The intervention should focus on community mobilisation, involvement of PRIs, gender mainstreaming and convergence among both schemes and development actors. The programme design should focus on refining data, micro planning and gender equality. By converging the UNDP's financial and managerial resources, these districts could become good models of micro planning and people centred development. They should serve as examples for learning lessons and administering best practices. The intervention should also provide for replication and exit strategies in agreement with the state governments and the GOI.

HUMAN DEVELOPMENT

Given India's goals in the sphere of human development and the UNDP's acknowledged work in the area, this is an obvious candidate for strong support in the next CP. HDRs for states and subsequently for districts have the potential of catalysing rapid development in social sectors. Keeping in view India's past experience in this activity, quantitative targets for publication of HDRs need to be avoided. Excessive emphasis on such targets may result in glossy reports but no human development. SHDRs must be accompanied by both upstream and downstream work. The latter may involve, *inter alia,* preparation of HDR theme papers, their dissemination, follow up workshops, and promoting debates on issues of concern. District level data relating to human development indicators would also need to be compiled and analysed. The process should involve mainstreaming gender concerns in planning, gender budgeting, and analysis of gender issues in national and state budgets. This programme would lead to strengthening of databases, policy research, and analysis and dissemination of findings.

DEVELOPING THE ARTISAN SECTOR

Artisan sectors like leather, fibres and handicrafts with emphasis on gender equality and women's empowerment have considerable potential for providing non-farm employment opportunities and thus need to be promoted. The sector provides livelihood/supplemental incomes to millions of households in drought prone, tribal or other backward areas. Modern industry and globalisation threaten their very existence. Artisans and small industries cannot easily benefit from globalisation, as they do not have the resources to access the latest technologies and imported raw materials, nor can they easily make an entry into the export market. No other multilateral agency has taken up the challenge of developing this sector. This is an area of considerable promise for the next CP. It will provide an opportunity for introducing appropriate technologies for enhancing artisan's incomes, helping empower women in the sector, and also aiding in the process of poverty reduction.

VULNERABILITY REDUCTION AT COMMUNITY LEVEL INCLUDING DISASTER RISK REDUCTION

UNDP-India's contributions in mitigating the adverse impacts of the cyclone in Orissa in 1999 and the earthquake in Gujarat in 2001 are good examples of what it can do to effectively meet emergent requirements. The UNDP is now planning to set up disaster management and vulnerability reduction hubs in Orissa and Gujarat. The GOI is itself considering a proposal for setting up a national disaster management agency and state level disaster management agencies. Considering the vulnerability of many Indian states to disasters, this task has become a national priority. The UNDP, with its global network, can assist the GOI in building capacities at the central and state levels for disaster mitigation management and vulnerability reduction.

CIVIL SERVICES RENEWAL

While the Government's role has to undergo a change, civil servants' capacity building to implement the change is equally important. The focus of this effort has to be in the two areas of skill upgradation and attitudinal change. A UNDP supported initiative under CCF-I envisages development of a Centre for Public Policy in the Indian Institute of Management, Bangalore. This facility, which is being set up in collaboration with an international institute of repute, will start functioning in a few months time. It will impart training to midcareer civil servants and other policy makers. Given India's size and needs, as well as its intellectual and professional endowments, it would be desirable to develop similar centres of excellence in other Indian Institutes of Management, Administrative Training Institutes at the state level, and selected local institutes. These centres should develop teaching materials and case studies relevant to India's development context and draw upon the experience of other developing countries. The goal should be to create centres of excellence that match the quality of reputed international institutes. This programme can be a significant and distinctive contribution of the UNDP.

RENEWABLE ENERGY

Renewable energy is a priority on the agenda for sustainable human development. There are thousands of habitations in India where electrification from the existing power grid is not viable. These habitations can be provided energy through renewable sources. Community involvement would be a vital part of this programme. It would also greatly benefit women who suffer the most in the absence of electricity. The programme for covering such isolated habitations through renewable sources of energy can make a significant contribution towards sustainable development by providing livelihood, reducing poverty, and alleviating the heavy burden carried by women in search of domestic energy.

WATER CONSERVATION AND HARVESTING

Rapid depletion of water sources is assuming alarming proportions. Some analysts consider scarcity of water to be a potential source of future conflicts. In many parts of rural India, lack of water is a serious problem that profoundly affects the daily lives of people. This is one reason why programmes of watershed development, like that of Tarun Bharat Sangh in Rajasthan, have proved to be so popular and successful. In many Indian villages water is a felt need and an appropriate entry point for intervention. It provides an opportunity for

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mobilising the community, enhancing their incomes, and improving the quality of their lives, particularly those of women. In view of these considerations the CR team feels that programmes of watershed development, water conservation, and harvesting should be strong candidates for the next CP.

INFORMATION TECHNOLOGY FOR DEVELOPMENT

Information Technology (IT) is an area of strength for India. It can bring about efficiency, speed, and transparency in public service delivery, improve productivity, facilitate spread of education and improve the lives of people in a number of ways. The CR team saw a promising model for the introduction of IT in district planning to improve convergence, efficiency of expenditure, and greater public satisfaction. IT industry leaders can lend support to a well-conceived programme, which harnesses the potential of information and communication technologies for development. This is a promising area and merits consideration for inclusion in the ensuing CP.

PARTNERING THE PRIVATE SECTOR

So far, UNDP programmes have been heavily public sector oriented. Some initial steps have been taken to forge a partnership with the private sector. However, these focus on the area of corporate social responsibility. While this is a worthwhile goal in itself, the dynamism, energies, creativity, and resources of the private sector in India need to be systematically harnessed for achieving the goals that are jointly selected by the GOI and the UNDP. In the CR team's view, an appropriate area to be explored is the possible support of the artisianl sector by the formal private sector. A symbiotic relationship between the two covering technology, entrepreneurship, design, and marketing has the potential for transforming the artisanal sector. Another potential area is tourism development. The private sector also needs to be actively involved in crosscutting concerns like gender equality, HIV/AIDS, and environmental issues.

These possible areas of intervention are being suggested as a set of options to enable the UNDP and the GOI along with their partners to examine the relevance, pros and cons, and costs and benefits of each. The CR team would like to reiterate emphatically that the UNDP needs to sharpen its focus and choose only five or six of the most appropriate programmes. Only a concentrated effort can lead to a distinctive contribution and value addition. The temptation to undertake a large number of programmes, all very worthwhile in themselves, may lead to dissipation of resources and loss of impact.

Concluding Reflections

Convention dictates that such review reports should end with a conclusion that encapsulates the overall assessment. Here, we make a break with tradition. The CCF-I is yet to complete its term and therefore the stage to make any final judgment about impacts has not yet arrived. What can be concluded now is that the CCF-I programmes are wholly consistent with India's development priorities. Their designs reflect lessons learnt in the past, analytical rigor, imagination, and professionalism. The preceding sections offer but a snapshot of what the CR team saw of a work in progress. In the process, it may have answered some questions fully and some others only partially. The team feels that it would be worthwhile to conclude this report by referring to questions to which it found no conclusive answers.

1. The basic strategy of the UNDP, especially in a country of India's size, is to ensure that the impact of its interventions is maximised through replication and mainstreaming of its innovative approaches, and that its micro projects influence macro policies. There is much greater emphasis on 'upstream' work and on effectively using its 'currency of ideas'. In many cases, this does happen. A case in point is the human development initiative and the SHDRs. The experience of at least one state shows how profoundly such SHDRs can affect macro policies. There are instances in which a certain approach is found to be so impressive that the political leadership takes it upon itself to replicate it throughout the state. There is thus the case of a state where hundreds of thousands of self-help groups have been set up. Often, such 'mainstreaming' of an innovative approach would be motivated by a desire for public weal. But in many other cases, it may just be political expediency

or populism. In such instances of mainstreaming, there is a high probability of mortality when the regime changes. There are other perils of populism like excessive bureaucratisation, emphasis on mere physical targets rather than on the 'process', and overall dilution in the quality of implementation. Cynical elements may even exploit opportunities arising from replication or mainstreaming for personal ends. Thus the outstanding success of a programme and its replication on a mass scale may itself spell its doom, or at least result in significant dilution of intended outcomes. How does an aid agency guard against the perils of proliferation?

2. The review team found that the NGOs have in general been far more effective than government agencies. The CBPPIs have been implemented largely through well-established NGOs. When an aid agency selects NGOs, it must naturally choose the best. The agency must demonstrate the efficacy of its policies, approaches, and programme designs quickly, and use its resources efficiently. It therefore cannot run the risk of experimenting with unreliable NGOs. And yet, if the partner is a well-established NGO operating in the field for many years, enjoying a great deal of credibility, what assurance can the aid agency draw for sustainability or replication of the programme? Can other implementing agencies, mostly government agencies, with much less commitment, credibility, and managerial inputs achieve the same results? Can they replicate 'hot-house' experiments on a large scale? If the implementation has not taken place under ordinary circumstances, how can there be a reasonable assurance about the multiplier effect? And yet, can aid agencies afford to work with poorly managed and inexperienced NGOs?
3. One lesson that came through repeatedly in the review process was that a uni-dimentional approach to development might not be effective. In a cluster of leather workers, which had profited from the UNDP-assisted leather programme, beneficiaries pointed out that their incremental incomes were being consumed by medical expenses. It was obvious to the team that elementary education among the beneficiaries will also enhance their capacity to earn, and greater sensitivity towards gender in the programme will enable women to share the benefits. There are many other problems the programme managers encounter in the field, like lack of sanitation, absence of community involvement, poor housing, absence of electrification, and scarcity of water. Attention to all of them will undoubtedly enhance the effectiveness of the leather development programme and many other such interventions. This report itself argues that the UNDP should adopt a holistic and integrated as against a compartmentalised approach to development. There is, however, a potential conflict between being focused and holistic at the same time. Multiple objectives can lead to dissipation of energies and resources and dilute the programme focus. How should programme managers resolve such dichotomies?
4. A crucial question that remains unanswered relates to where UNDP resources should be invested – should they go to the states and districts that show promise of rapid development or to areas that are the poorest and in desperate need of assistance? The UNDP, like other aid agencies, is under obligation to show quick and visible results, and there will always be efficiency considerations. These would suggest resource allocation to areas where the climate for development is conducive and 'returns' in terms of outcomes can be quickly maximised. On the other hand, poverty alleviation is an overarching goal of the UNDP. Reducing regional disparities and addressing problems of the neglected regions/communities are implicit in this goal. However, the problems of such regions are often complex. Addressing them may be time consuming and outcomes relatively uncertain. In a setting of such competing demands, where should resources, especially when they are scarce, be allocated? Which districts, states or regions have a prior claim?

We conclude with the hope that these questions will provoke some reflection and debate and in a small way contribute to UNDP's continuing endeavour to refine its strategies and enhance its development effectiveness.

Attachments

ATTACHMENT I: COMPOSITION AND METHODOLOGY OF THE COUNTRY REVIEW TEAM

The Country Review (CR) team based its initial work on valuable desk research undertaken by the Evaluation Office. This research took note of the latest evaluative work done by other aid agencies, multilateral organisations, and academia both within and outside India. The Evaluation Office also provided comprehensive documentation on ADR methodology. The CR team discussed the initial country review draft with the Director, Evaluation Office, and greatly benefited from his incisive comments and suggestions. During the final stages of report preparation, the Evaluation Office provided full back-up support.

The Country Office provided a wide array of documentation on programmes, thematic topics, programme management aspects and development issues. These formed the backdrop for the review and proved to be of great value to the CR team.

A number of programme evaluations were commissioned by the Country Office in preparation for the review. The reports proved to be of great help in conducting the assessment. In addition, three thematic studies were commissioned in collaboration with the Evaluation Office. The Central Evaluation Database (CEDAB) provided documents on the evaluations carried out by the UNDP in the nineties, which proved to be a useful source of information.

The team viewed its task essentially as a participatory exercise with all the stakeholders, especially the Country Office, which was a key participant. Thus, apart from review of documentation, the exercise involved information gathering through meetings, interviews, and occasional brainstorming and briefing sessions. The team held extensive consultations with the resident

representative and the programme staff. Detailed discussions were held separately with key policy level officials from both central and state governments, and the National Project Directors (NPDs). The programme staff and NPDs provided detailed responses to the questionnaires sent by the team. Senior officials in the GOI's DEA, line ministries, and at the state level provided useful information on government policies, strategies and programmes. The CR team found its discussions with the Additional Secretary and Joint Secretary, DEA, highly stimulating and though-provoking. In general, the quality of interaction was of a high order and generated an informed discourse.

Discussions were also held with a variety of civil society partners, NGOs, Community Based Organisations (CBOs), and some research organisations. The team also interacted with other multilateral and bilateral agencies including UN system partners.

In its field visits, the team met officials and stakeholders at the state (sub-national), district, and village level. During field visits it held dialogues with a range of stakeholders including women's groups, marginal farmers, artisans, teachers, villagers, and children. On-site meetings with project managers and paraprofessionals also provided useful feedback on many issues.

The Director of the Regional Bureau for Asia and the Pacific of UNDP and his senior staff provided valuable insights from a corporate perspective to the team.

A conceptual framework for inquiry, analysis, aggregation, and reporting was established by the team at the outset following the essence of the Terms of Reference. The review process culminated in a stakeholder workshop in the country. The Country Office was invited to comment on the text of the review report and the final version has taken into account the observations of the Country Office.

The Country Review team comprised the following members:

1. Mr. Rafeeuddin Ahmed
2. Mr. Narendra Singh Sisodia
3. Mr. M. Nurul Alam
4. Mr. Giles McNair Whitcomb

ATTACHMENT II: ACRONYMS

ADB	Asian Development Bank
ADR	Assessment of Development Report
ADS	Academy of Development Sciences
ATI	Administrative Training Institute
BMS	Basic Minimum Services
CBO	Community Based Organisations
CBPPI	Community Based Pro-Poor Initiatives
CBTC	Cane and Bamboo Technology Centre
CCA	Common Country Assessment
CCF	Country Cooperation Framework
CEDAB	Central Evaluation Database
CFC	Common Facility Centre
CII	Confederation of Indian Industries
CP	Country Programme
CR	Country Review
CSO	Civil Society Organisation
DEA	Department of Economic Affairs
DFID	Department For International Development
DWCD	Department of Women and Child Development
EFC	Expenditure Finance Committee
GDP	Gross Domestic Product
GEF	Global Environment Facility
GOI	Government of India
GSDMA	Gujarat State Disaster Management Agency
HDR	Human Development Report
HDRC	Human Development Resource Centre
IAWG	Inter Agency Working Group
ICT	Information and Communication Technology
ILO	International Labour Organisation
IRDP	Integrated Rural Development Programme
LDK	Lok Drushti
MORD	Ministry of Rural Development
MP	Montreal Protocol
NCW	National Commission for Women
NEX	National Execution
NGO	Non Government Organisation
NHDR	National Human Development Report
NPD	National Programme Director
NPM	National Programme Manager
OREDA	Orissa Renewable Energy Development Agency

PDS	Public Distribution System
PMB	Programme Management Board
PMU	Programme Management Unit
PRIs	Panchayat Raj Institutions
PSC	Programme Standing Committee
PSD	Programme Support Document
RBM	Results Based Management
R&D	Research and Development
REP	Rural Energy Programme
REW	Rural Electrification Workshops
RIA	Rural Industrial Area
ROAR	Result Oriented Annual Reports
SAARC	South Asian Association for Regional Cooperation
SAPAP	South Asian Poverty Alleviation Programme
SC	Scheduled Castes
SDMC	School Development and Management Committee
SFC	Standing Finance Committee
SHDR	State Human Development Report
SPARC-SSP	Society for Promotion of Area Resource Centres-Swayam Shiksha Prayog
SPD	Sub Programme Document
SRF	Strategic Result Framework
SRI	Society for Rural Industrialisation
SSA	Sarva Shiksha Abhayan
ST	Scheduled Tribes
SWRC	Social Work and Research Centre
TBS	Tarun Bhagat Sangh
ULB	Urban Local Bodies
UNCTAD	United Nations Conference for Trade And Development
UNDAF	United Nations Development Assistance Framework
UNDMT	United Nations Disaster Management Team
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WB	World Bank
WFP	World Food Programme

Annexes

ANNEX 1. TERMS OF REFERENCE

Purpose of the Country Review (TOR)

1. Provide an independent in-depth assessment and validation of the results achieved during the CCF-I period as articulated in the Strategic Results Framework (SRF) and the Results Oriented Annual Reports (ROARs).
2. Draw lessons for the future.
3. Recommend a strategy for enhancing performance, repositioning and aligning the ongoing programme and future interventions with emerging national development priorities and UNDP corporate directions.

Objectives of the Country Review (TOR)

1. Provide an in-depth assessment and validation of the results, particularly the SRF and ROAR outcomes, achieved through UNDP support and in partnership with other key development actors during the CCF-I period.
2. Draw key lessons in order to make the necessary adjustments and corrections in the ongoing CCF, and align the next CCF-I with the emerging national development priorities, UNDP corporate directions as outlined in the Administrator's Business Plans 2000-2003 and the UNDAF-India.
3. Suggest a transition strategy consistent with the recommendations emerging from the above analysis.
4. Recommend strategic areas of focus for the next CCF-I.

ANNEX 2. LIST OF PERSONS MET

A. Government of India

Planning Commission
(UNDAF Focal Point and SHDRs)
Mr. K.C. Pant, Deputy Chairman
Ms. Rohini Nayyar, Adviser, State Human Development Report Project
Prof. Chiranjib Sen, Professor of Economics and Social Sciences

Department of Economic Affairs
(Government Focal Point for UNDP)
Dr. Adarsh Kishore, Additional Secretary
Mr. S. Behura, Joint Secretary
Mr. Dharmendra Sharma, Deputy Secretary

B. United Nations System

UNDP

Regional Bureau for Asia and Pacific
Dr. Hafiz Pasha, UN Assistant Secretary General and Director, Regional Bureau for Asia and Pacific, UNDP HQ, New York
Mr. Jean-Claude Rogivue, Chief, Asia-Pacific/South West Asia Division, UNDP HQ, New York

Evaluation Office
Mr. Khalid Malik, Director, Evaluation, UNDP HQ, New York
Mr. M.Nurul Alam, Deputy Director, Evaluation, UNDP, New York

Business Partnership Division
Ms. Sirkka Korpela, Director, UNDP HQ, New York

India Country Office
Dr. Brenda Gael McSweeny, Resident Representative
Ms. Dorothy Gordon, Deputy Resident Representative, Programme
Mr. Dennis Lazarus, Deputy Resident Representative, Operations
Dr. Neera Burra, Assistant Resident Representative, Programme
Ms. Surekha Subarwal, Manager, Programme, Communications and Advocacy and Inter-agency Coordination
Mr. Harsh Singh, Assistant Resident Representative, Programme and Resource Coordination
Dr. Pradeep Sharma, Head, Public Policy Division
Dr. Seeta Prabhu, Head, Human Development Resource Centre
Dr. Suraj Kumar, Programme Adviser
Mr. Kumar M. Tiku, National Information Officer

World Food Programme (WFP)
Mr. Wolfgang Herbinger, Deputy Country Director

United Nations Educational Scientific and Cultural Organisation (UNESCO)
Mr. Prithiviraj Perera, Chief Administration and Senior Programme Office for Culture

United Nations Conference for Trade and Development (UNCTAD)
Dr. Veena Jha, Project Coordinator

UNICEF
Mr. Erma W. Manoncourt, Deputy Director, Programmes

UNFPA
Mr. J. Diego Palacios, Deputy Representative

C. Other Government of India Ministries/Departments

Department of Education
(Janshala Programme)
Mr. B.K. Chaturvedi, Secretary

Department of Industrial Policy and Promotion (Leather Program)
Mr. M.S. Srinivasan, Joint Secretary
Mr. A.K. Sinha, Director

Ministry of Rural Development
(Panchayati Raj Program)
Ms. Shantini Kapoor, Director

Ministry of Urban Development and Poverty Alleviation (Urban Local Bodies Project/Capacity Building Programme)
Ms. S. Banerji, Joint Secretary
Mr. S. K. Singh, Director

Ministry of Social Justice and Empowerment (Disabilities Project)
Mr. Rakesh Arora, Director

Ministry of Environment and Forests (Environment and GEF Programmes)
Mr. P.V. Jayakrishnan, Secretary
Mr. S.K. Pande, Director General of Forests and Special Secretary
Mr. Y.S. Bhave, Joint Secretary and Financial Advisor
Mr. S.K. Joshi, Director Environment and GEF Program

Ministry of Non-Conventional Energy Sources (Rural Energy and GEF Programmes)
Mr. A. K. Mangotra, Joint Secretary

Ministry of SSI, Agro and Rural Industries (Small Industries Programme - KVIC)
Mr. Shankar Aggarwal, Joint Secretary

Department of Science and Technology (Technology Management Programme)
Mr. Aiyagari Rao, Joint Secretary

Ministry of Health (Health Support Programme)
Mr. G.R. Patwardhan, Joint Secretary

Ministry of Rural Development (Community Based Pro-Poor Initiatives and Panchayati Raj Programme)
Mr. Arun Bhatnagar, Secretary
Mr. Wilfred Lakra, Joint Secretary

Ministry of Agriculture (Food Security Programme)
Mr. S.K Biswas, Director
Ms. Sneh Wadhwa, Joint Director
Dr. B.L. Saraswat, Technical Officer

D. State Governments

Madhya Pradesh
Mr. Digvijay Singh, Chief Minister
Ms. Aruna Sharma, Commissioner (Family Welfare and Implementation of Population Policy, IT Convergence of services)
Mr. Ravi Limaye, Chief Project Coordinator, Trident Cellnet Technologies Pvt. Ltd.
Mr. Pritpal Khanuja, Consultant, Usha Martin Info Tech Ltd.

Karnataka (Janshala Programme)
Mr. T.M. Vijay Bhaskar, Commissioner Public Instruction
Mr. H. Raghurama Somayaji, State Program Director
Ms. Sukanya, Program Coordinator
Ms. Geetha S., Program Coordinator
Ms. Geetha V.S., Program Coordinator
Block Education Officer, Holenarisipura, Hassan District
Mr. Ashwath Narayana, Block Resource Coordinator
Mr. Partha, Block Resource Person
Mr. Venkatesh, Block Resource Person
Ms. Kalpana, Block Resource Person

The team also met representatives of the School Development Management Committee; teachers trained in Nalli Kali Methodology of teaching; teachers teaching non-Nalli Kali classes; and representatives of the Neighborhood Women Leaders.

Rajasthan (Janshala Programme, Udaipur)
Mr. Vikram Singh, RAS Executive Director, Rural Non-farm Development Agency
Mr. Rajeev Mathur, DGM and National Consultant, National Leather Development Programme, Rural Non Farm Development Agency (RUDA)
Dr. Kulwant Singh, National UN Volunteer (Water Specialist)

F. Multi-Bilaterals

Embassy of Japan
Mr. Kazuo Kodama, Minister, Economic Affairs
Mr. Hiroshi Yamane, Counselor
Mr. Takashi Kanai, First Secretary

Norwegian Embassy
Ms. Bente Bingen, Deputy Head of Mission, Minister Counselor
Ms. Agnete Eriksen, Counselor Development
Ms. Jannicke Bain, First Secretary, Development

United States Agency for International Development (USAID)
Mr. Walter E. North, Director
Mr. Carla Barbiero, First Secretary/Director, Office of Social Development

Ms. Madhumita Gupta, Senior Economist and Deputy Director, Office of Program Development and Economic Growth

Department for International Development (DFID)
Ms. Pauline Hayes, Senior Governance Adviser
Mr. Marshall Elliott, West Bengal Program Manager

F. Non-Government Organisations/ Civil Society Organisations

Mr. Deep Joshi, PRADAN
Prof. George Mathew, Institute of Social Studies
Dr. Sudarshan, Karuna Trust
Mr. Raman, Bharat Gyan Vigyan Samiti
Mr. George Verghese, Development Alternatives
Mr. Prashanta Rakshit, Paschim Banga Kheria Sabar Samiti
Ms. Sushma Iyengar, Kutch Mahila Vikas Sangathan
Ms. Prema Gopalan, Swayam Shikshan Prayog
Dr. Suman Berry, National Council for Applied Economic Research
Mr. K Raju, Society for Elimination of Rural Poverty
Mr. Dilip Surkar, Centre for Environment Education
Dr. Preeti Bhandari, Tata Energy Research Institute
Mr. C.S.Verma, Bharat Gyan Vigyan Samiti
Mr. Anil Bordia, Former Union Education Secretary, now heads an NGO
Mr. M.L. Mehta, Former Chief Secretary, Rajasthan, now heads an NGO
Dr. S.S. Acharya, Director Institute of Development Studies
Mr. Bunker Roy, Social Work and Research Centre, TILONIA, Rajasthan
Mr. Ajay Mehta, Former Chairman, Seva Mandir, Udaipur

G. Country Review Team/ Consultants

Country Review Team
Mr. Rafeeuddin Ahmed, Country Review Team Leader and Associate, Administrator and Assistant Secretary General (Retd)
Mr. N.S. Sisodia, Member Country Review Team and Additional Secretary, Cabinet Secretariat, GOI
Mr. Nurul Alam, Member Country Review Team and Deputy Director, Evaluation Office, RBAP, UNDP, New York
Mr. Giles McNair Whitcomb, International Consultant

Consultants
Mr. Sudhakar Rao, National Consultant – Programme Approach and Management Effectiveness and Principal Secretary and Resident Commissioner, Karnataka
Ms. Aditi Kapoor, National Consultant – Role of Communications and Advocacy in Development Programming and Freelance Journalist
Mr. Rajan Katoch, National Consultant – Programmes: Supporting Enabling Environment for Human Development and Joint Secretary, Planning Commission, GOI
Ms. Kalyani Menon-Sen, National Consultant

ANNEX 3. DOCUMENTS CONSULTED

UNDP Headquarters

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