Empowered lives.
Resilient nations.

ASSESSMENT OF DEVELOPMENT RESULTS
EVALUATION OF UNDP CONTRIBUTION
INDIA

HUMAN DEVELOPMENT effectiveness COORDINAT
efficiency COORDINATION AND PARTNERSHIP sus
NATIONAL OWNERSHIP relevance MANAGING FO
sustainability MANAGING FOR RESULTS responsiven
AN DEVELOPMENT responsiveness NATIONAL OW
NATIONAL OWNERSHIP effectiveness COORDINAT
efficiency COORDINATION AND PARTNERSHIP sus
NATIONAL OWNERSHIP relevance MANAGING FO
sustainability MANAGING FOR RESULTS responsiven
HUMAN DEVELOPMENT effectiveness COORDINAT

Empowered lives.
Resilient nations.

ASSESSMENT OF DEVELOPMENT RESULTS
EVALUATION OF UNDP CONTRIBUTION INDIA

Evaluation Office, April 2012
United Nations Development Programme

REPORTS PUBLISHED UNDER THE ADR SERIES

Afghanistan
Argentina
Bangladesh
Barbados and OECS
Benin
Bhutan
Bosnia and Herzegovina
Botswana
Brazil
Bulgaria
Burkina Faso
Cambodia
Chile
China
Colombia
Republic of the Congo
Djibouti
Ecuador
Egypt
El Salvador
Ethiopia
Georgia
Ghana
Guatemala
Guyana
Honduras
India
Indonesia
Jamaica
Jordan
Lao PDR
Libya
Malawi
Maldives
Moldova
Mongolia
Montenegro
Mozambique
Nepal
Nicaragua
Nigeria
Pacific Islands
Papua New Guinea
Peru
The Philippines
Rwanda
Senegal
Serbia
Seychelles
Somalia
Sudan
Syrian Arab Republic
Tajikistan
Thailand
Tunisia
Turkey
Uganda
Ukraine
Uzbekistan
Viet Nam
Yemen
Zambia

ASSESSMENT OF DEVELOPMENT RESULTS: INDIA

Copyright © UNDP 2012, all rights reserved.
Manufactured in the United States of America. Printed on recycled paper.

The analysis and recommendations of this report do not necessarily reflect the views of the United Nations Development Programme, its Executive Board or the United Nations Member States. This is an independent publication by UNDP Evaluation Office.

Graphic design**:** Laurie Douglas Graphic Design (lauriedouglas.com)

Cover photos provided by Juha I. Uitto and Vishaish Uppal

ACKNOWLEDGEMENTS

This evaluation was conducted by the Evaluation Office of UNDP, with Juha I. Uitto as task manager. The office drew on the following persons to conduct the evaluation: Team leader Jayati Ghosh, senior adviser Gus Edgren, and team members Anand Akundy and Suman Sahai who took specific responsibilities for the governance and environment and energy areas, respectively. At the Evaluation Office, Elizabeth de León Jones provided research support. This ADR was conducted in parallel with and benefited from three outcome evaluations commissioned by the UNDP India country office. We would like to acknowledge the mutual benefits of this coordination and to recognize the contributions made by the outcome evaluation consultants, Premila Nazareth Satyanand, Vishaish Uppal and Anita Rego.

Our thanks are extended to stakeholders and partners of UNDP India, including members of the Government, civil society, international development community, the United Nations family and members of the communities that the ADR team consulted during the course of the evaluation.

The cooperation of Patrice Coeur-Bizot, the UN Resident Coordinator and UNDP Resident Representative, and Caitlin Wiesen, UNDP Country Director, is acknowledged with thanks. We also appreciate the cooperation received from Alexandra Solovieva, Deputy Country Director, and the other staff of UNDP India, including those in the field. Mona Mishra, Executive Officer, acted as the focal point for the ADR and her support was crucial for the success of the evaluation. We would also like to thank the UNDP Regional Bureau for Asia and the Pacific, in particular Ajay Chhibber, Director, Nicholas Rosellini, Deputy Director, Fadzai Gwaradzimba, Chief, and Sergelen Dambadarjaa, Programme Specialist, for their valuable support and contributions to the process.

The quality enhancement and administrative support provided by Evaluation Office colleagues is critical to the successful conduct of all evaluations. As part of the process, Michael Reynolds provided important advice and internal reviews of the draft evaluation report. The management and administrative support of Concepcion Cole and Thuy Hang To is acknowledged. Anish Pradhan assisted in the editing and publication process with help of an external editor, Sanjay Upadhya.

It is our hope that this evaluation will help UNDP further leverage its strategic partnership with the Government of India, as UNDP advances with its transformation process to become an ever more relevant and valuable partner to the country.

FOREWORD

The Assessment of Development Results (ADR) as a core area of the work of the Evaluation Office seeks to independently and systematically assess progress around key United Nations Development Programme (UNDP) interventions in countries which receive UNDP support. This ADR is the 66th assessment, and the 17th conducted within the Regional Bureau of Asia and the Pacific. It builds upon the first ADR conducted in India in 2002, and focuses on the impact of the following UNDP interventions between 2004-2011: namely the programme areas of poverty reduction and MDG achievement, democratic governance, environment and sustainable development, HIV/AIDS, and crisis prevention and recovery. It is a critical reflection of how well UNDP has worked in this country context, and makes findings and presents recommendations to enhance the alignment between UNDP global focal priority areas and actual benefits at the country level.

The evaluation found that UNDP's work has overall been well aligned with India's development strategies and the working relationship with central Government departments has been generally good. UNDP is recognized as empathetic and being pro-poor and gender sensitive. In this regard, UNDP has been able to identify and champion some important policy areas in India. It has also played a useful coordinating role. The ADR also identified a lack of strategic focus and overextension, with too many small pilot projects and a lack of synergies and learning across programmes and projects, as major challenges for UNDP in India. There is equally a clear need for more constructive engagement and coordination with state and local governments and officials, especially in the poor states identified as focus areas in the United Nations Development Assistance Framework.

The conclusions and recommendations from this evaluation help UNDP to reflect on its effectiveness and strengthen its strategic position in India. It notes that the recent initiatives aimed at reinstating human development as an organizational principle of UNDP's work in the country will be beneficial and the strategic location of India within the region also allows for great potential to enhance South-South cooperation and calls for UNDP India to strengthen its role as a development think-tank and policy advocate, given its strength. The Evaluation Office sincerely hopes that this evaluation will support ongoing and future efforts by UNDP to enhance its support to the Government of India and other national partners towards the achievement of ever increasing levels of human development for the people of India. We also hope that the evaluation will inform UNDP's strategy more widely.

Indran A. Naidoo
Director, Evaluation Office

CONTENTS

Acronyms and Abbreviations ix

Executive Summary xi

Chapter 1 Introduction and Methodology 1
- 1.1 Objectives of the evaluation 1
- 1.2 Scope of work 1
- 1.3 Methodology 1
- 1.4 Programme of work 4
- 1.5 Evaluability, risks and potential shortcomings 5

Chapter 2 Country Context and Development Challenges 7
- 2.1 The development situation in India 7
- 2.2 Attaining the MDGs 9
- 2.3 The Government's approach 10

Chapter 3 UNDP in India in the Past Decade 13
- 3.1 Background 13
- 3.2 Development of UNDP programme since 2003 13
- 3.3 Lessons from past evaluations 16
- 3.4 Programme finance and delivery 18

Chapter 4 UNDP's Contribution to India's Development: Programmatic Analysis 21
- 4.1 Democratic Governance 21
- 4.2 Poverty Reduction and MDG Achievement 29
- 4.3 Energy and Environment 34
- 4.4 HIV/AIDS 38
- 4.5 Crisis Prevention and Recovery 40

Chapter 5 UNDP's Strategic Positioning and Other Aspects of Functioning 45
- 5.1 UNDP's strategic positioning 45
- 5.2 Management, monitoring and evaluation 45
- 5.3 Partnerships 48
- 5.4 Promoting South-South cooperation 50
- 5.5 Promoting UN values 50

Chapter 6 Conclusions And Recommendations 53
- 6.1 Conclusions 53
- 6.2 Recommendations 55

Annexes

Annex 1. Terms of Reference 59
Annex 2. Key Documents Consulted 69
Annex 3. Persons Interviewed 77
Annex 4. Sample of Projects for Review 91
Annex 5. Evaluation Criteria and Key Questions 95

Tables

Table 1. Overview of Data Collection Methods and Sources 4
Table 2. Some Relevant Indicators 8
Table 3. Government of India's Flagship Development Programmes 11
Table 4. Linkages Between UNDP Focus Areas, UNDAF Outcomes and UNDP Country Programme Outcomes in India 15
Table 5. UNDP India Country Office Spending, 2004-2012 18

Figures

Figure 1. Number of Ongoing Projects, 2004-2011 19
Figure 2. Changes in Project Numbers 20

Boxes

Box 1. Solution Exchange: A small project with potentially large impact 22
Box 2. Human Development Reports: The specific success of UNDP in India 24
Box 3. Resettlement and Rehabilitation Policy: UNDP's positive role in Orissa 30
Box 4. Tsunami Recovery: UNDP as coordinator 43

ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
ATI	Administrative Training Institute
BERI	Biomass Energy for Rural India
CBD	Convention on Biological Diversity
CCF	Country Cooperation Framework
CDLG	Capacity Development for Local Governance
CFC	Common Facility Centre
CPAP	Country Programme Action Plan
CSO	Civil Society Organization
DEX	Direct Execution
DfID	Department For International Development
DHDR	District Human Development Report
EO	Evaluation Office
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Greenhouse Gas
HDR	Human Development Report
ICT	Information and Communication Technology
JNNURM	Jawaharlal Nehru National Urban Renewal Mission
KBK	Koraput-Bijapur-Kalahandi
MDM	Mid Day Meal
MMR	Maternal Mortality Ratio
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MSM	Men who have sex with men
MTR	Mid Term Review
NACO	National AIDS Control Organisation
NEX	National Execution
NGO	Non-Government Organization
NRDWP	Rajiv Gandhi Drinking Water Mission
PRIs	Panchayati Raj Institutions
RBAP	Regional Bureau for Asia and the Pacific
RGGVY	Rajiv Gandhi Gramin Vidyutikaran Yojana
R&R	Rehabilitation & Resettlement Policy
RTI	Right to Information
SC	Scheduled Castes

SEZ	Special Economic Zone
SIRD	State Institute for Rural Development
SSA	Sarva Shiksha Abhiyan
ST	Scheduled Tribes
TG	Transgender people
TSC	Total Sanitation Campaign
U5MR	Under five mortality rate
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UN Women	United Nations Entity for Gender Equality and the Empowerme
WHO	World Health Organization

EXECUTIVE SUMMARY

Assessments of Development Results (ADRs) are an independent evaluation of the United Nations Development Programme (UNDP)'s contribution to the development results in countries where the organization operates. This ADR was launched by the Evaluation Office (EO) of UNDP in 2011. UNDP's contribution to national development efforts was assessed against the following criteria: thematic relevance; effectiveness; efficiency; and sustainability. UNDP's strategic position was assessed against the following criteria: strategic relevance and responsiveness, making the most of UNDP's comparative strength, and promotion of UN values from a human development perspective.

This is the second ADR conducted in India, and it focuses on UNDP contributions to development results in India from 2004 to early 2011. The objectives of this ADR are: (i) to identify progress made towards the anticipated development results of the documents of the past two UNDP programming cycles; (ii) to analyse how UNDP in India has been positioned to add value to the country's efforts to promote its development; (iii) to present conclusions and lessons learned with a view to the organization's future positioning in India. The findings and recommendations of the ADR will inform the new India Country Programme Document (2012-2016).

The evaluation team used a multiple method approach, including document reviews, group and individual interviews and project/field visits. More than 200 people were interviewed at various locations in India over an extended period starting February 2011 and ending October 2011. Since the data collected are largely qualitative, the problems of subjectivity and bias, on the part of both respondents and interviewers, cannot be entirely eliminated. Of course, these were sought to be reduced as far as possible, through collection of as much supportive information as possible from a variety of sources and from a large number of different categories of stakeholders. The method of triangulation was used to make the results as objective as possible within this context.

THE COUNTRY CONTEXT

While there are some clear achievements of the Indian economy in the past decade, particularly a relatively high rate of GDP growth, there are also areas of concern, especially with respect to human development. There is a relative absence of structural change in terms of employment shifts out of primary activities, and more than 90 percent of the workforce is still in insecure and low-paid informal employment. Other concerns include the persistence of widespread poverty; the absence of basic food security for a significant proportion of the population; the continuing need to provide basic needs of housing, sanitation, adequate health care to the population as a whole; the sluggish enlargement of access to education and employment across different social groups and for women in particular. In addition, recent economic growth has been associated with aggravated regional imbalances, greater inequalities in the control over assets and in access to incomes and concerns about displacement.

Because relatively poor human development indicators are combined with what is a remarkably vibrant democracy, there are also social and political pressures for policy changes towards greater economic justice. The Government is aware of these many challenges, and of the multidimensional challenges of ensuring inclusive growth. This creates a challenging and rapidly changing context within which UNDP must function, since development challenges are still immense, but foreign aid in the traditional sense has become substantially less relevant given recent GDP growth and the increase in the Government's own revenues.

UNDP IN INDIA

The budget of the India Country Office is relatively large within UNDP, but it is quite small relative to some of the other development partners, such as the World Health Organization (WHO), UNICEF, the World Bank and the UK Department for International Development (DfID). The Government of India plays an important role in determining the specific nature of work allocation of the different UN agencies and the extent of collaboration between them on specific projects. UNDP develops and implements multi-year country programmes and cooperation frameworks in close collaboration with its government partner, the Department of Economic Affairs under the Ministry of Finance.

During the two latest programme cycles, UNDP has engaged in 290 projects in India, of which more than 100 are ongoing, 60 of which are development projects. These projects extend to a variety of fields, and include the following broad areas: promoting inclusive growth, gender equality and Millennium Development Goals (MDG) achievement; mitigating the impact of AIDS on human development; strengthening responsive governing institutions; enhancing conflict and disaster risk management capabilities; and, mainstreaming environment and energy. The previous country programme (2003-2007) focused on four areas: promoting human development and gender equality; capacity development for decentralization; poverty eradication and sustainable livelihoods; and vulnerability reduction and environmental sustainability.

The current UNDP country programme (2008-2012) contributes to UNDAF outcomes in areas of capacity development for effective, accountable and participatory decentralization and a rights-based approach to achieving the MDGs, with a focus on disadvantaged groups (especially women and girls). UNDP's activities can be categorized into five broad programme streams: democratic governance; poverty reduction; energy and environment; HIV/AIDS; and crisis prevention and recovery. In addition, there were some specific projects (post-tsunami recovery and education/disabilities-related projects) that did not come explicitly under any of these programmes.

Earlier evaluations, including the Mid Term Review, have noted the need to move towards fewer activities with greater strategic focus. As a result, since 2007, UNDP has made serious and systematic efforts to reduce the number of projects, so that the number of projects has more than halved between 2007 and 2011. Recently, there has been a renewed focus on human development, consolidated gender work and stepping up cross-practice work.

MAJOR FINDINGS

THEMATIC RELEVANCE

UNDP's strengths emerge from what are recognized to be its empathy, flexibility and efforts to align its activities closely with national and governmental priorities with respect to poverty reduction and economic and social inclusion. However, these strengths also generate some weaknesses, particularly in terms of overstretch and lack of focus. While UNDP has made efforts to achieve greater focus and reduce proliferation of activities in the recent past, this still remains a concern.

In the early phase covered under this ADR, human development featured as a key organizing principle of UNDP's work in India. UNDP promoted the human development approach in planning and implementation at the state level and pioneered the subnational human development reports that were highly innovative and successful. In the next country programme (2008-2012), this focus dissipated and UNDP did not adequately follow up on its successes in the area. There are signs that the human development focus is again being emphasized in the latest reiterations of the programme, which is highly welcome.

Such a crosscutting organizational principle across the organization can also help UNDP break the current silos that exist between the various programme areas and move towards a better

integrated cross-thematic work with stronger impact. While individual projects usually fit into national priorities, the overall programme is still fragmented, despite some laudable recent efforts to move towards greater focus in programming. There is relatively little collaboration or synergies between projects and programmes. The need for UNDP to establish its own clear and specific mandate in relation to other development agencies is important.

EFFECTIVENESS

The effectiveness of the programme has been variable. There are examples of highly effective programmes and projects, such as work on the subnational Human Development Reports, as well as capacity development activities in a wide range of areas covering governance, poverty reduction and energy and environment. There are also activities that are less immediately effective.

The lack of strategic focus associated with a proliferation of relatively small projects, lack of synergies between projects and programmatic approaches, short implementation periods and sudden stops without careful assessment of the requirements for the 'last mile' have reduced the potential effectiveness. For example, in the areas of poverty reduction and of energy and environment, given the large number of national and international players interested in similar activities, UNDP needs to highlight the specific value added that it can bring, particularly in relation to its comparative advantage, capacity and expertise.

EFFICIENCY

In terms of programme management, there are concerns about delays in starting projects and excessively rigid project cycles. The office structure is too centralized, which prevents the acquisition of locally relevant knowledge in projects located in different parts of the country. The current organization of the country office does not allow for adequate supervision and monitoring of field projects, hand holding when and where required and other forms of assistance. Little investment in research in the project design has affected both effectiveness and sustainability.

While the country office has programme management expertise, the fragmented nature of the programme puts a heavy pressure on programme management. The technical skills of the staff are sometimes seen as inadequate for the specific thematic activities that they are required to provide expertise in. This has affected the choice of activities and partners, as well as the capacity to supervise and monitor particular projects, and hampers effectiveness, innovation and learning. In general, there is not enough external networking to ensure that UNDP staff is aware of and responsive to wider social capacities and demands, and insufficient attention given by management to the development of staff capacity. Internally, the over-extension of programme staff because of involvement in many dispersed projects has led to insufficient time and energy for supervision and monitoring at the field level and consequent lack of local knowledge.

Reporting requirements are detailed and extensive but also very time-consuming and not always very useful. Monitoring and evaluation systems are not put into place or implemented effectively. This affects not just individual projects but also the capacity to learn from particular achievements and mistakes. The current results framework, which is largely based on a listing of numerical indicators without an attempt at comparative or counterfactual analysis, does not allow for measuring and demonstrating results in a way that can be useful for future activities.

SUSTAINABILITY

A major factor affecting both visibility and sustainability of projects has been the lack of engagement with local and state-level administrations, and the lack of efforts in finding 'champions' for continuing the initiative. This is critical for the eventual success and sustainability of any activity. In some cases, lack of sustainability has been inbuilt in the design of the projects, which have tended to lack exit

strategies. In particular, for the projects working at the field level in the UNDAF states, the full engagement of state and local governments and other actors is essential, but has been inadequate. There have been many pilot projects that have not led to replication or upscaling, and many also go relatively unnoticed and, therefore, have little impact. For UNDP to undertake pilot projects, it is important that these inform and influence policy.

PARTNERSHIPS

Partnerships have not been fully utilized, and there is untapped potential in developing and strengthening broader partnerships. UNDP relies mostly on the Government as partner and so misses some opportunities to cooperate with civil society, academics, development research centres and others. It does not work sufficiently with state governments and local governments in a systematic and sustained way.

UNDP's partnerships with other UN agencies could also be much more effective than they have been with more coordination and a clearer division of labour between the various agencies.

There is much more potential for developing activities that promote South-South cooperation in a more systematic way. While UNDP has engaged in a number of activities to promote South-South cooperation, these have tended to be isolated events rather than a concerted effort. South-South cooperation has great potential to both bring lessons from successful experiences elsewhere to India, as well as to disseminate the Indian experiences to other developing countries. UNDP has a potential role as an important knowledge broker helping the Government of India in its ambitions to provide useful lessons to other countries in the region and beyond.

CONCLUSIONS

Conclusion 1: The past and ongoing programme cycles have displayed a general lack of strategic focus and internal programme logic, which has affected relevance, effectiveness, efficiency and sustainability. However, in the recent past there have been some welcome moves towards greater focus.

Conclusion 2: Human development as an organizational principle of UNDP work in India dissipated during the period under evaluation and is now making a welcome comeback.

Conclusion 3: The sustainability of different elements of the programme has varied, depending on how well they are strategically integrated into government policies, institutions and programmes at central and state level.

Conclusion 4: The capacity of the country office needs to be strengthened, in terms of technical expertise as well as wider social linkages. While the country office has programme management expertise, a better focused programme would help to alleviate problems of over-stretch and lack of attention.

Conclusion 5: Partnerships have not been fully utilized. UNDP does not work sufficiently with state and local governments. Collaboration with local development research centres could help support programmatic work and contribute to knowledge and learning within UNDP and facilitate the process of learning from experience for the benefit of the government partners.

Conclusion 6: The potential for South-South cooperation has not been fully materialized. It has great potential to both bring lessons from successful experiences elsewhere to India, as well as to disseminate the Indian experiences to other developing countries.

RECOMMENDATIONS

Recommendation 1: Shift the main focus of UNDP activities away from small projects upstream to become more of a development think-tank, a locus for learning and unlearning about development issues and engaging in policy advocacy.

Recommendation 2: Look for overarching focal issues around which to organize work and shed extraneous or small activities that are not part of the central focus. Human development should once again become the organizing principle for UNDP work in India.

Recommendation 3: Strengthen the capacity of the country office, while setting up strong and viable offices in each of the UNDAF states. Shift all field project activity to the relevant states.

Recommendation 4: Improve and strengthen monitoring and evaluation systems.

Chapter 1

INTRODUCTION AND METHODOLOGY

1.1 OBJECTIVES OF THE EVALUATION

This Assessment of Development Results (ADR) in India was launched by the United Nations Development Programme (UNDP) Evaluation Office (EO) in 2011. An ADR is an independent country-level programmatic evaluation aimed at capturing and providing demonstrated evaluative evidence of UNDP's contribution to development results and UNDP's strategic positioning in India. The overall goals of an ADR are to support greater UNDP accountability for development results to national stakeholders and partners in the programme country, to the UNDP Executive Board and to the public. The ADR is also expected to contribute to learning at the corporate, regional and country levels.

The objectives of this ADR are: (i) to identify progress made towards the anticipated development results of the documents of the past two UNDP programming cycles; (ii) to analyse how UNDP in India has been positioned to add value to the country's efforts to promote its development; (iii) to present conclusions and lessons learned with a view to the organization's future positioning in India. The results and recommendations of the ADR are expected to feed into the new India Country Programme Document (CPD) 2013-2017 to be prepared by the UNDP country office in close consultation with the national government and the Regional Bureau for Asia and the Pacific (RBAP). The ADR report will be made available to the UNDP Executive Board in June 2012 when the draft CPD will be tabled for discussion.

1.2 SCOPE OF WORK

The first ADR in India was conducted in 2002. As this is the second such assessment conducted in the country, the period covered was restricted to the time after the previous evaluation, which covered the first Country Cooperation Framework (CCF-1) for 1997-2002 (extended to 2003). As a result, this ADR focuses on UNDP contributions to development results in India from 2004 to 2010. Inevitably there were projects within this period that started earlier and so some analysis takes a longer term perspective where appropriate. Similarly, as the primary data collection occurred during June-October 2011, events and developments until then are also reflected in the evaluation.

This ADR assesses UNDP's contribution to the national effort in addressing India's development challenges, encompassing social, economic and political spheres (Annex 1). It assesses key results, specifically outcomes – anticipated and unanticipated, positive and negative – and covers UNDP assistance funded from both core and non-core resources. It covers all UNDP activities in the country including non-project activities and engagement through regional and global initiatives. The evaluation is also concerned with how recommendations from the first ADR of 2002 have been taken forward in the subsequent programming.

1.3 METHODOLOGY

At the *programmatic level* the evaluation addressed the criteria of thematic relevance, effectiveness, efficiency and sustainability. At the *strategic level* the evaluation addressed the criteria of strategic relevance and responsiveness, making the most of UNDP's comparative strengths and promotion of United Nations (UN) values from a human development perspective. The ADR in general followed guidance

provided by the EO[1], but the approach and methods were developed to reflect the specificities of UNDP in India.

The evaluation team used a multiple-method approach, including document reviews, group and individual interviews and project/field visits.

- Document review: The ADR team thoroughly reviewed all relevant strategic and programmatic documents pertaining to the India country programme (Annex 2). Existing outcome, programme and project evaluations provided an important source of information to the ADR. A comprehensive midterm review of the Country Programme Action Plan (CPAP) was commissioned by the country office and completed in 2010.[2] In addition, an outcome evaluation of disaster risk management[3] was completed in 2009 and 13 project evaluations were carried out in 2008-2011. The UN country team also commissioned and completed a midterm review of the United Nations Development Assistance Framework (UNDAF).
- The country office also commissioned three outcome evaluations in order to comply with its agreed evaluation plan. At the design stage, it was agreed between the EO and the country office to conduct these three outcome evaluations in coordination in order for them to feed directly into the ADR in 2011. The outcome evaluations were in the areas of democratic governance; energy & environment and poverty; and HIV/AIDS. While the outcome evaluations were commissioned by the country office, the consultants also reported substantively to the ADR team leader. This process both benefited the ADR through access to detailed field research, and the outcome evaluations through quality enhancement by being conducted in close collaboration with the EO.
- Stakeholder interviews were used to fill information gaps identified in the evaluation matrix (Annex 3). The approach involved a broad range of stakeholders including those beyond UNDP's direct partners. These stakeholders included government representatives of various ministries and agencies, civil society organizations, private-sector representatives, UN agencies, multilateral organizations, bilateral donors, former UNDP staff and, importantly, the intended beneficiaries of the programme in the states, districts and localities where UNDP works. Furthermore, in order to identify key development challenges of the country, the evaluation team also conducted interviews and consultations with 'third party' observers not involved directly or indirectly in UNDP country programme, including elected representatives, media persons and citizens.
- A number of visits were undertaken to geographical regions where UNDP has a concentration of field projects. These included a selection of so-called UNDAF priority states, which have been selected jointly by the Government of India and the UN system as the priority areas for UN's programming in the country. The most comprehensive of these field visits included Rajasthan, which was covered by the entire ADR team as well as the three outcome evaluation consultants. Other field visits covered select activities in Andhra Pradesh, Orissa and Madhya Pradesh.

The ADR team used a variety of methods to ensure the validity of data, including triangulation of data gathered through different sources

1 UNDP Evaluation Office, 'ADR Method Manual', New York, January 2011.

2 Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010.

3 Asian Disaster Preparedness Centre, 'Evaluation and Lessons Learning Review – Government of India and UNDP Disaster Risk Management Programme (2002-2008)', Bangkok, 2009.

and methods. It worked in constant collaboration with the independent consultants hired to undertake the outcome evaluations. Their information, analyses and insights contributed greatly to this assessment.

1.3.1 DATA COLLECTION AT THE THEMATIC LEVEL – PROJECT- AND NON-PROJECT-RELATED INFORMATION

Primary data was gathered through individual interviews, field visits and focus groups. The ADR team mapped 235 projects supported by UNDP India during the period 2004-2010. Considering availability of time and resources, a sample of projects was extracted after a portfolio review, discussion with UNDP country office staff, and review of available documents. A total of 34 projects supported by UNDP were sampled and were subjected to a desk review of the available documentation, including existing evaluation studies.

Selection of projects was based on the following criteria:

i. coverage of outcomes regarding UNDP programming documents;

ii. keeping a balance between projects that relate to upstream support to policy dialogue and projects that are implemented at the grassroots (community and village) level;

iii. coverage of national implementation and direct implementation projects;[4] and

iv. degree of representativeness of the main stakeholders of UNDP.

The list of sampled projects is presented in Annex 4. The sample covers projects that operate predominantly from the capital, working with the central government, as well as projects located in the states and working with state governments. There is also a mix of projects in terms of resources invested (small, medium and large projects) as well as a mix of direct execution (DEX) and national execution (NEX) projects. Four broad focus areas were covered: poverty reduction and MDG achievement; democratic governance; environment and sustainable development; and HIV/AIDS. Crisis prevention and recovery was not covered directly in the sample because of the existence of recent evaluations in this focus area; however, the results of those evaluations were considered in the ADR, and a number of stakeholder interviews also contributed directly to an understanding of UNDP's work in this area.

All these projects were studied through a combination of desk review of the available documents as well as in-depth interviews and focus group discussions. There were also field visits over the months of June to September to observe particular projects as well as to solicit opinions and reactions in different regions. The primary purpose of the field visits was to validate the information from the desk review and interviews with national government officials. Consideration was given to projects that:

i. had not been subjected to extensive or recent and quality evaluations;

ii. had sites in sufficiently varied locations;

iii. represented a mixture of recent projects as well as projects that have been in operation for a number of years; and

iv. covered adequately the four result areas of UNDP India country programme.

As far as possible, the projects listed above were covered by field visits, either by members of the ADR team or by outcome evaluation consultants. The consultants generally travelled separately in order to maximize the spread and area covered, and care was taken not to replicate interviews,

[4] As per the standard UNDP programming arrangements, under the UNDP CPAP the entire UNDP programme in the country is nationally executed in that the Government has the overall ownership of the programme and its results. Under the nationally executed programme, there are four key implementation modalities available, including national implementation (NIM) and direct implementation (DIM).

except in a very small number of cases where it was deemed advantageous for more than one consultant to cover visits and interviews pertaining to key projects and areas.

Apart from the specific projects, the ADR collected information to assess the relevance, effectiveness, efficiency and sustainability of non-project activities. These included work carried out by UNDP related to advocacy, policy dialogue, and national and subnational-level consultations.

Together, these analyses provided a basis for the assessment of UNDP's strategic positioning in the overall context of national development challenges and its own organizational priorities and capacities. Annex 5 contains the evaluation matrix that sets out in detail the data sources and data collection methods for each of the evaluation criteria of the ADR. An overview of the data collection methods and sources is provided in Table 1.

1.4 PROGRAMME OF WORK

The evaluation phases and products are described below.

i. **Preparatory phase:** A preparatory mission was conducted by the EO task manager in January 2011. The purpose of the mission was to identify the scope and to plan for the conduct of the ADR. During the mission, preliminary contact was made with national authorities in the Planning Commission and discussions were held with the UNDP country office concerning the evaluation plan, including the relationship of the ADR with the planned outcome evaluations. Initial analyses of UNDP programme and portfolio in India by the EO were validated with the country office. The mission also identified the modality and potential consultants to conduct the evaluation. Based on the mission, the terms of reference were developed for the ADR.

ii. **Inception phase (defining the scope and focus):** The aim of this phase was to fine-tune the terms of reference and plan the details of the data collection and fieldwork. An inception report was prepared by the ADR team and confirmed as the final plan for the evaluation.

Table 1. Overview of Data Collection Methods and Sources

Level	Method of data collection	Sources
Strategic level	Interviews	UNDP, selected United Nations organizations, government institutions (particularly at central level), bilateral and multilateral donors, civil society and sectoral specialists conversant with India's history and country context.
Thematic/ Programmatic level: *Project activities*	Desk review	A sample of 24 projects (out of a total of 235 projects between 2004 and 2010) has been selected for in-depth desk review. The sample is representative of the main UNDP thematic areas and sub-areas in which UNDP is involved.
	Interviews	Interviews were conducted for the sampled projects with project funding agencies, executing agencies and project users. The objective of the interviews was to follow up to the desk review, collect further information and elicit perceptions from stakeholders engaged at different stages and with different roles in UNDP interventions.
	Field visits	Field visits were used as a further step to validate preliminary analysis and add information and content to the triangulation processes.
Programmatic level: *Non-project activities*	Interviews	Primary data were collected mainly through interviews. Many of the stakeholders to be interviewed coincided with those involved at the programmatic and project level that were interviewed by outcome evaluators and were, therefore, interviewed only once.

iii. **Fieldwork (data collection):** This was the data collection phase of the evaluation, although a significant proportion of the secondary data was collected prior to commencement of this phase. The focus of this phase was on collecting primary data through interviews, field visits and group discussions. There was a briefing to the country office after the fieldwork was nearly completed, to share some preliminary observations.

iv. **Data analysis:** Desk review of documents had already begun in the earlier phase, and this was supplemented by more in-depth data analysis during and following the phase of fieldwork, involving the core team of ADR consultants, the senior adviser and the EO task manager jointly with the outcome evaluation consultants.

v. **First draft report:** The team prepared a first draft of the main report, which was subjected to the EO review for quality assurance. This report was then submitted to the country office and the Regional Bureau for Asia and Pacific for comments on factual errors and errors of interpretation. The draft report was also forwarded to the Government of India for comments. The ADR team revised the report taking into account the comments received from the country office, the regional bureau and the Government.

vi. **Stakeholder workshop***:* The final draft report was presented at a stakeholder workshop in India, attended by government counterparts, the country office and other members of the UN country team in India, and other stakeholders, including donors and civil society. The main purpose of the stakeholder workshop was to reflect upon the evaluation conclusions and to discuss the recommendations to ensure that they are realistic and implementable. Comments from the stakeholder workshop were incorporated before the report was finalized.

1.5 EVALUABILITY, RISKS AND POTENTIAL SHORTCOMINGS

Data with the country office on projects and programmes are available only from 2004 onwards, when the ATLAS system was put into place. Therefore, this ADR in general covers only the activities from 2004 onwards. Since the previous ADR conducted in 2001-2002 was taken as baseline, this implies a gap of some years in between. There are also significant data gaps even for the period since 2004, which constrained the desk research to some extent.

The availability of evaluations at the outcome, programme and project levels commissioned by the country office posed certain limitations on the evidence base for the ADR, but some were mitigated by the conduct of the outcome evaluations in parallel with the ADR. A midterm review of the CPAP was completed in 2010. While the review was quite comprehensive, it suffered from the same lack of evaluative evidence. The ADR team also referred to 40 project and programme evaluations from the UNDP Evaluation Resource Centre maintained by the EO. A recent programme outcome evaluation — of the crisis prevention and recovery focus area — was completed prior to the ADR (the same focus area was also covered as a case study in the EO Evaluation of UNDP Contribution to Disaster Prevention and Recovery[5]). Three other outcome evaluations — on democratic governance, livelihoods, environment and energy, and HIV/AIDS — were commissioned by the country office in parallel with the ADR and their conduct was closely coordinated with the ADR, so as to ensure effective feeding of the results into the ADR.

In discussing the impact of any projects and programmes, there are always concerns and disputes with respect to attribution and the extent to which any outcomes can be represented as the results of particular activities. This is particularly

[5] UNDP Evaluation Office, 'Evaluation of UNDP Contributions to Disaster Preparedness and Recovery', New York, 2010.

true in the case of UNDP programmes, which are intended to contribute to national development results. In India, this issue is further complicated by the size and diversity of the country and the budgets of central and state governments, which make the extent of UNDP's involvement appear relatively minor in comparison. Consequently, the nature of this evaluation is more qualitative and perception-based rather than rigidly quantitative. The ADR was designed to analyse links between UNDP work and national-level development outcomes, so as to establish credible contributions of UNDP to such outcomes.

Since the data collected are largely qualitative, the problems of subjectivity and bias, on the part of both respondents and interviewers, cannot be entirely eliminated. Of course, these were sought to be reduced as far as possible, through collection of as much supportive information as possible from a variety of sources and from a large number of different categories of stakeholders. The method of triangulation was used to make the results as objective as possible within this context. The insights afforded through interviews and capturing thereof are valid and reflect how UNDP has been experienced by the range of respondents. They thus represent a credible body of evidence and the fact that the respondents spoke openly to the evaluation team on condition of anonymity shows their confidence in the independent evaluation.

Chapter 2

COUNTRY CONTEXT AND DEVELOPMENT CHALLENGES

2.1 THE DEVELOPMENT SITUATION IN INDIA

India is a country of continental dimensions, of a size and complexity that are hard to appreciate or even fully comprehend even for those used to dealing with it. In terms of the sheer geographical spread and range, natural flora and fauna, the richness and diversity of cultural and linguistic forms, the buoyancy of its chaotic democratic politics and the complexity of social relations, the country probably has no equal. It accounts for nearly one-fifth of the global population, and a growing (but still relatively small) share of the global economy.

The Indian economy has experienced a relatively prolonged phase of rapid growth, which has led to even more rapid increases in per capita income and global perceptions of a country about to move to middle-income status. India is increasingly regarded (along with China) as one of the 'success stories' of globalization, likely to emerge into a giant economy in the 21st century. This perception has been bolstered by the apparent ability of the Indian economic growth process to withstand the worst effects of the global financial crisis, and to experience only a minor slowdown of output growth rather than any actual decline in national income. The subsequent post-recession resurgence has further reinforced the idea that the Indian economy is now capable of rapid expansion on its own steam.

However, economic growth has not been accompanied by equivalent improvement in basic social and human development indicators.[6] A major feature of the growth process is the inadequate spread of its benefits. There are, therefore, two simultaneous and apparently contradictory prominent trends: impressive economic growth and rapid wealth creation especially in the corporate sector; and stagnation or very halting improvement in key social indicators, including employment, health, nutrition and sanitation[7].

Dichotomy in conditions of living has been a well-known though unfortunate feature of the Indian development process for a very long time, but it has reached newer and sharper levels in terms of inequality in the past decade.

Taking a long view, there are some clear achievements of the Indian economy since Independence in 1947 – most crucially the emergence of a reasonably diversified economy with an industrial base. The past twenty-five years have also witnessed rates of aggregate Gross Domestic Product (GDP) growth that are high compared to the past and also compared with several other parts of the developing world. Significantly, this higher aggregate growth has thus far been accompanied by macroeconomic stability, with the absence of extreme volatility in the form of financial crises such as have been evident in several other emerging markets. There has also been some reduction in officially measured income poverty.

However, there are also some clear failures of this growth process even from a long-run perspective. Despite more than six decades of independence, the development project is still not near completion in India. Some elements of that project

6 Government of India, Planning Commission, 'India Human Development Report 2011: Toward Social Inclusion', Oxford University Press, India, 2011.

7 Ibid.

seem even less likely to be achieved than in the past, despite relatively rapid economic growth. An important failure is the worrying absence of structural change, in terms of the ability to shift the labour force out of low-productivity activities, especially in agriculture, to higher-productivity and better-remunerated activities. Agriculture continues to account for well above half of the total work force and more than two-thirds of the rural work force (NSSO 2010) even though its share of GDP is now less than 15 percent (Central Statistics Organisation (CSO) National Accounts Statistics 2010). Yet the generation of more productive employment outside this sector remains woefully inadequate. As a result, more than 90 percent of the workforce continues to languish in insecure and low-paid informal employment. There is a genuine dilemma created by the apparent inability of even high rates of aggregate income growth to generate sufficient opportunities for 'decent work' to meet the needs of the growing labour force.

Other major failures, which are directly reflective of the still poor status of human development in most parts of the country, are in many ways related to this fundamental lack of structural transformation. These include: the persistence of widespread poverty; the absence of basic food security for a significant proportion of the population and indeed evidence of growing food insecurity in terms of nutritional outcomes; the inability to ensure basic needs of housing, sanitation, adequate health care to the population as a whole; the sluggish enlargement of access to education and employment across different social groups and for women in particular. In addition, there are problems caused by the very pattern of economic growth: aggravated regional imbalances; greater inequalities in the control over assets and in access to incomes; dispossession and displacement without adequate compensation and rehabilitation.

Recent official estimates of poverty suggest that around two-fifths of the population is income-poor according to a definition that would qualify as extreme destitution in most other countries (Table 2). Among the poor, there is disproportionately higher representation of women, scheduled castes and scheduled tribes. More than 60 percent of women are chronically poor. More than 296 million people are illiterate. Nutrition indicators are even worse, with 233 million undernourished, half of all babies with low birth weight and around 60 percent of women and children suffering from anaemia.

Because these poor human development indicators are combined with what is a remarkably vibrant

Table 2. Some Relevant Indicators[8]

Indicator	2000/2001	2010/2011
Human Development Index	0.440	0.519
Life expectancy at birth	61.6 years	64.4 years
Annual rate of population increase (over previous decade)	1.97 %	1.64 %
Population (billions)	1.03	1.21
Population below poverty line*	26.1 %	22 %** (32 %)
Population below poverty line, rural*	27.09 %	21.8 %**
Population below poverty line, urban*	23.62 %	21.7 %**
Female adult literacy rate	53.67 %	n.a.
Male adult literacy rate	75.26 %	n.a.

* Figures on poverty are not comparable across years because of different methods of estimation.
** 2004-2005

[8] Government of India, Ministry of Statistics and Programme Implementation, Central Statistics Office, 'Selected Socio-Economic Statistics', New Delhi, October 2011.

democracy, there are also social and political pressures for policy changes towards greater economic justice. The Government of India officially made 'inclusive growth' its slogan for the Eleventh Five Year Plan (2007-2012) and recognized that the fruits of growth must be more equitably shared for the growth process to be sustainable. There have been moves towards a more rights-based discourse in public policy, expressed in two important pieces of legislation that have already been passed – the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) expressing the right to work and the Right to Education Act – and another law that is still on the anvil (Right to Food). There is increasing public concern around issues of displacement, resettlement, compensation and rehabilitation, as well as with regard to improving systems for public service delivery. Recently concerns about corruption at different levels have erupted in vociferous demands for better systems of public accountability. The combination of greater corporatization of public life and greater demands for socio-economic rights from the citizenry have created a complex but dynamic situation in the country.

2.2 ATTAINING THE MDGS

India's current position with reference to the various Millennium Development Goals is as follows[9]:

1. To achieve Goal 1 of eradicating extreme poverty and hunger, India must reduce by 2015 the proportion of people below the income poverty line from nearly 37.5 percent in 1990 to about 18.75 percent, and halve the number of hungry people. The poverty headcount ratio was officially estimated by the Government of India to be 32 percent in 2009-2010, but this is based on a different method of estimating poverty from the earlier years, so is not strictly comparable. It is still possible that the country may achieve the goal of halving income poverty, but it is by no means certain.

   In terms of hunger, the situation has actually deteriorated. According to estimates of average calorie consumption based on national sample surveys, the proportion of the population accessing less than the minimum calorie requirement as officially defined (2200 calories per person per day in rural areas and 2100 calories per person per day in urban areas) in 2004-2005 were 69 percent and 64.5 percent respectively, and these increased to 76 percent and 68 percent respectively in 2009-2010. The prevalence of underweight children (0-3 years) is around 47 percent.

   Goal 1 also contains the target of improving employment, in terms of levels and conditions of work and reducing vulnerable employment. Here, too, the performance is less than satisfactory, as aggregate employment growth has been slow despite rapid income growth and the percentage of vulnerable employment remains very high. More than 90 percent of India's workers are in informal employment and the proportion is even higher for women.

2. To achieve universal primary education under Goal 2, India should increase the primary school enrolment rate to 100 percent and wipe out the drop-outs by 2015 against 41.96 percent in 1991-1992. Here the performance has been positive and India is on track to meet this goal. The latest NSS figures reveal that the gross enrolment ratio in primary education is now in excess of 90 percent, having shown a dramatic improvement for girls in particular.

3. To ensure gender parity in education levels in Goal 3, India will have to promote female participation at all levels to reach a female-male proportion of equal level by 2015. The female-male proportion in respect of primary education was 78:100 in 1999-2000 and increased to 94:100 in 2006-2007. During the same period, the proportion increased

[9] Government of India, Ministry of Statistics and Programme Implementation, Central Statistics Organization, 'Millennium Development Goals - India Country Report 2009, Mid-Term Statistical Appraisal', India, 2009; other national sources.

from 63:100 to 82:100 in 2006-2007 for secondary education.

4. Goal 4 aims at reducing under five mortality rate (U5MR) from 125 deaths per thousand live births in 1988-1992 to 42 in 2015. The U5MR has decreased during the period 1998-2002 to 74.6 per thousand live births in 2005-2006. The infant mortality rate (IMR) has also come down from 80 per thousand live births in 1990 to 53 per thousand in 2008 and the proportion of 1 year old children immunized against measles has increased from 42.2 percent in 1992-1993 to 58.8 percent in 2005-2006.

5. To achieve Goal 5, India should reduce maternal mortality ratio (MMR) from 437 deaths per 100,000 live births in 1991 to 109 by 2015. The value of MMR for 2004-2006 was 254. The proportion of births attended by skilled health personnel has been continuously increasing (from 25.5 percent in 1992-1993 to 52 percent in 2007-2008), thereby reducing the chances of occurrence of maternal deaths.

6. In so far as Goal 6 is concerned, India has a low prevalence of HIV among pregnant women as compared to other developing countries. The prevalence rate has decreased from 0.86 percent of pregnant women (aged 15-24) in 2004 to 0.49 percent in 2007.[10] The prevalence and death rates associated with malaria are consistently coming down. The death rate associated with TB has come down from 67 deaths per 100,000 population in 1990 to 26 per 100,000 population in 2007. The proportion of TB patients successfully treated has also risen from 81 percent in 1996 to 86 percent in 2003 and remained steady until 2008.

7. Goal 7 aims at ensuring environmental sustainability. In 2003 the total land area covered under different forests was 20.64 percent due to the Government's persistent efforts to preserve the natural resources. The reserved and protected forests together account for 19 percent of the total land area to maintain biological diversity. Energy use has declined consistently from about 36 kilogram oil equivalent in 1991-1992 to about 32 kilogram oil equivalent in 2003-2004, to produce GDP worth Rs. 1000 per capita. The proportion of the population without sustainable access to safe drinking water and sanitation is to be halved by 2015 and India is on track to achieve this target.

8. Goal 8 is regarding developing global partnership for development. One of the targets of Goal 8 relates to cooperation with the private sector to make available the benefits of new technologies, especially information and communications. In this, India has made substantial progress in recent years. The overall tele-density has remarkably increased from 0.67 percent in 1991 to 9.4 percent in June 2005 to 37 percent in 2009. Use of personal computers has also increased from 5.4 million PCs in 2001 to 14.5 million in 2005 and there were 5.3 million Internet subscribers in March 2005 (2.3 Internet users per 100 population and 0.5 per 100 Internet subscribers).

2.3 THE GOVERNMENT'S APPROACH

The Government of India is aware of these many challenges, and of the multidimensional challenges of ensuring inclusive growth. As has been noted in the Approach to the Twelfth Plan: "[I]nclusiveness is a multi-dimensional concept. Inclusive growth should result in lower incidence of poverty, broad-based and significant improvement in health outcomes, universal access for children to school, increased access to higher education and improved standards of education, including skill development. It should also be reflected in better opportunities for both wage employment and livelihoods and in improvement

[10] GOI, CSO, MDG Report, 2009.

in provision of basic amenities like water, electricity, roads, sanitation and housing. Particular attention needs to be paid to the needs of the Scheduled Castes/Scheduled Tribes (SC/ST) and OBC [Other Backward Class] population, women and children as also minorities and other excluded groups. To achieve inclusiveness in all these dimensions requires multiple interventions, and success depends not only on introducing new policies and government programmes, but on institutional and attitudinal changes, which take time."[11] (See Table 3)

This is an exciting but also challenging context within which any external agency must function. On the one hand, the development challenges are still immense, despite two decades of rapid aggregate income growth. On the other hand, foreign aid in the traditional sense has become substantially less relevant given increase in the Government's own revenues. All foreign agencies are necessarily forced to redefine their roles in the new context. UNDP has a special relationship of trust and goodwill with the Government of India, but it, too, must deal with this rapidly changing context.

Table 3. Government of India's Flagship Development Programmes

Programme	Ministry/ Department	Projected expenditure over 11th Plan, 2007-2012 (Rs millions)
Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA)	Rural Development	1,563,010 (22.4%)
Indira Awas Yojana	Rural Development	414,860 (6.0%)
National Social Assistance Programme (NSAP)	Rural Development	235,360 (3.4%)
Pradhan Mantri Gram Sadak Yojana (PMGSY)	Rural Development	650,020 (9.3%)
National Rural Health Mission (NHRM)	Health and Family Welfare	692,140 (9.9%)
Integrated Child Development Scheme	Women and Child Development	389,800 (5.6%)
Mid Day Meal (MDM)	School Education and Literacy	386,020 (5.5%)
Sarva Shiksha Abhiyan (SSA)	School Education and Literacy	775,760 (11.1%)
Jawaharlal Nehru National Urban Renewal Mission (JNNURM)	Urban Development	484,850 (7.0%)
Accelerated Irrigation Benefit Programme (IABP) and other water programmes	Water Resources	466,220 (6.7%)
Rajiv Gandhi Gramin Vidyutikaran Yojana (RGGVY)	Power	259,130 (3.7%)
Rajiv Gandhi Drinking Water Mission (NRDWP) and Total Sanitation Campaign (TSC)	Drinking Water Supply	467,220 (6.7%)
Rashtriya Krishi Vikas Yojana	Agriculture and Cooperation	185,500 (2.7%)

[11] Government of India, Planning Commission, 'Faster, Sustainable and More Inclusive Growth: Approach to the Twelfth Five Year Plan', New Delhi, October 2011, p.4.

Chapter 3

UNDP IN INDIA IN THE PAST DECADE

3.1 BACKGROUND

UNDP operations in India started with the signing in 1952 of the Special Agreement (Standard Basic Framework Agreement) between the Government of India and the United Nations and participating organizations for the appointment of a Resident Technical Assistance Representative, and the 1960 signing of the Agreement between the United Nations Special Fund and the Government of India concerning assistance from the Special Fund.

UNDP works within the United Nations Country Team (UNCT) in India, chaired by the UN Resident Coordinator and consisting of Heads of UN Agencies, which steers the work of the United Nations within India. It is currently focused on the implementation of the India UNDAF 2008-2012. To this end, the Resident Coordinator System facilitates the work of 10 thematic clusters working on poverty & livelihoods, hunger & malnutrition, education, health, HIV/AIDS, gender-based violence, governance, water, vulnerability reduction and convergence. UNDP works with the various other members of the UNCT on specific issues, particularly with United Nations Children's Fund (UNICEF), United Nations Population Fund (UNFPA), UNIFEM (now United Nations Development Fund for Women, or UN Women), UNAIDS and the UN Millennium Campaign.

While the budget of the India country office is relatively large within UNDP, it is quite small relative to some of the other development partners, such as World Health Organization (WHO), UNICEF, the World Bank and the UK Department for International Development (DfID). UNDP's work is coordinated within the UN system by the UN Resident Coordinator, but the overarching coordination is through the UNDAF arrangement led by the Government of India, for which the nodal ministry is the Planning Commission, as well as by the Ministry of Finance which is the nodal ministry specifically for UNDP. Therefore, the Government of India plays an important role in determining the specific nature of work allocation of the different UN agencies and the extent of collaboration between them on specific projects.

Beginning in 1997, UNDP developed and implemented in India multi-year country programmes and cooperation frameworks with specific thematic and result foci. Since then, UNDP has completed two such frameworks in close collaboration with its government partner, the Department of Economic Affairs under the Ministry of Finance.[12] There has been a shift in more recent years in planning between UNDP and the Government of India from merely resources in the early years to policy, procedural and institutional changes[13] towards inclusive growth and community-based interventions directed, in particular, at women and marginalized groups.[14]

3.2 DEVELOPMENT OF UNDP PROGRAMME SINCE 2003

During the two latest programme cycles, UNDP has engaged in 290 projects in India, of which more than 100 are ongoing, 60 of which are

[12] Sources: ADR 2002; CCF-1, 1997-2001; UNDP India Website, 5 January, 2011.

[13] UNDP, 'Country Programme for India 2003-2007', October 2002.

[14] Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010.

development projects. These projects extend to a variety of fields, and include the following broad areas: promoting inclusive growth, gender equality and MDG achievement; mitigating the impact of AIDS on human development; strengthening responsive governing institutions; enhancing conflict and disaster risk management capabilities; and mainstreaming environment and energy. In addition, there are some non-project activities of possible significance in terms of impact.

The previous country programme (2003-2007) focused on four areas: promoting human development and gender equality; capacity development for decentralization; poverty eradication and sustainable livelihoods; and vulnerability reduction and environmental sustainability. UNDP promoted a human development perspective in planning and implementation at the state level and, with the UN Women, the incorporation of gender concerns into the Government of India's Eleventh Five Year Plan and support for gender auditing of budgets. The governance focus was on capacity development of local institutions and promotion of accountability. This included activities such as supporting the design of poverty reduction strategies, effective implementation of employment schemes, and various items of progressive rights-based legislation, such as the National Rural Employment Guarantee Scheme and the Rights of Forest Dwellers Act 2006. In HIV/AIDS programmes, the emphasis has been on formulating a strategy for greater involvement of people living with AIDS and a social and economic impact assessment of HIV, the first such study in India. In addition, the larger emphasis of HIV work has been on rights, including for social protection and reducing/avoiding stigmatization of the vulnerable and the marginalized. There has been a special focus on North East Region as a UN joint programme. Work in energy and the environment was designed to support commitments under international agreements and conventions. The disaster risk management programme focused on enhancing capacity for preparedness of communities and government at national, state and local levels. The post-tsunami recovery programme was undertaken as a joint United Nations initiative.

The UNDAF is a strategic programme framework between a government and a UN Country Team that describes the collective actions and strategies of the various elements of the UN system in that country to the achievement of national development. The UNDAF includes outcomes, activities and UN agency responsibilities that are agreed by the Government. The India-UNDAF 2008-2012 articulated the vision, strategy and collective action of the UN system, and was harmonized substantively and in terms of its time-frame, with India's Eleventh Five Year Plan (2007-2012). This is the second UNDAF for India – the first was launched in 2000.

The over-arching objective of the India-UNDAF 2008-2012 is: "Promoting social, economic and political inclusion for the most disadvantaged, especially women and girls." The essence of the UN's work in India during the five-year cycle 2008-2012 is meant to be captured in the four UNDAF outcomes that aim to contribute to effective implementation of national flagship programmes, strengthened capacities of all governance actors for an equitable last mile delivery of public services, effective utilization of available funds in select districts, and safeguarding development gains from natural disasters and the effects of climate change. Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh have been identified as the UNDAF priority states. The intention of the priority states is to focus the majority of the UN's work in those areas where the challenges to meeting the MDGs are the greatest. The Planning Commission is the Government of India's focal agency for the UNDAF, with the Government, civil society and other development partners as key allies for the realization of the UNDAF objective of accelerating India's progress towards its development goals.

As per UNDP's programming arrangements, the CPD developed in consultation with the Government and key stakeholders and approved by the Executive Board precedes the CPAP and forms the backbone of UNDP's programme for

the five-year cycle.[15] The CPAP 2008-2012 was finalized against the backdrop of economic optimism generated by the remarkably high GDP growth rates of the preceding years. The period 2005-2007 saw a renewed national commitment to inclusive growth, with several progressive measures to address human deprivations including the Right to Information Act, the Mahatma Gandhi National Rural Employment Guarantee Act, the National Rural Health Mission, the revitalized *Sarva Siksha Abhiyan*, the Total Sanitation Campaign and *Bharat Nirman*. The commitment to women's empowerment across sectors was reaffirmed in the Government's National Common Minimum Programme. Climate change, an issue that is claiming increasing space in the global development agenda, has also been recognized as a national priority and a National Action Plan on Climate Change was announced in 2008.[16]

The current UNDP country programme (2008-2012) contributes to UNDAF outcomes in areas of capacity development for effective, accountable and participatory decentralization and a rights-based approach to achieving the MDGs, with a focus on disadvantaged groups (especially women and girls) (Table 4). The programme is designed to address gender inequalities and strengthen partnerships with the private sector. Evidence-based advocacy, best practices and disaggregated profiles will help to inform decisions and policies.

Table 4. Linkages Between UNDP Focus Areas, UNDAF Outcomes and UNDP Country Programme Outcomes in India

UNDP Programme	UNDAF Outcomes	UNDP Country Programme Outcomes
Poverty: Achieving MDGs and reducing human poverty	1.1 Strengthened design and implementation of national programmes and policies on poverty reduction for disadvantaged regions and groups, especially women and girls. 3.1 Obstacles to effective and efficient implementation of development programmes at the district level addressed to synergies between various efforts created.	Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and the displaced.
Democratic Governance: Fostering democratic governance	2.1 Elected representatives effectively represent the needs of marginalized groups and women. 2.2 Public administration at district, block and village levels made more effective to plan, manage and deliver public services, and be accountable to marginalized groups and women. 3.1 Obstacles to effective and efficient implementation of development programmes at the district level addressed to synergies between various efforts created. 2.2 Systems and mechanisms in place to provide poor women and men and excluded groups access to justice at local level.	Capacities of elected representatives and state and district officials in the UNDAF focus states/districts enhanced to perform their roles effectively in local governance. Systems and mechanisms in place to provide poor women and men and excluded groups access to justice at local level in five project states.

(continues)

[15] <www.undp.org.in/sites/default/files/inside_pages/CP_IND_2008-2012.pdf>

[16] Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010.

(continued)

Table 4. Linkages Between UNDP Focus Areas, UNDAF Outcomes and UNDP Country Programme Outcomes in India

UNDP Programme	UNDAF Outcomes	UNDP Country Programme Outcomes
Energy and Environment: Environment and sustainable development	4.2 Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks.	Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks. Progress towards meeting national commitments under multilateral environment agreements.
HIV/AIDS: Responding to HIV/AIDS	1.5 Reduction in HIV/AIDS prevalence rate amongst vulnerable groups and improved quality of life for positive people.	Policies and programmes informed and implemented through multi-stakeholder approaches for protecting the human rights of people affected by AIDS, reducing HIV-related vulnerability of groups such as sexual minorities, migrants and addressing the impact of AIDS on women and girls.[17]
Crisis Prevention and Recovery: Disaster response and recovery	4.1 Communities and institutions have established mechanisms and partnerships to effectively respond to disasters and environmental changes and recover from their impact. 4.2 Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks.	Communities and institutions have established preparedness mechanisms and partnerships to effectively respond to and recover from the impact of disasters. Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks.

The period under review was governed sequentially by (1) CCF from 2003-2007 with 4 thematic areas and 5 outcomes (2) CPD from 2008 to 2012 with 5 thematic areas and 7 outcomes. Programme initiatives are concentrated in the seven focus states – Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh – with low rates of human development, gender disparity indices and high proportions of scheduled castes and tribes. Some initiatives (such as the subnational Human Development Reports (HDRs)) cover the entire country. Within the focus states, the United Nations identified districts for joint and convergent activities, with importance given to state and district-level linkages. The CPD 2008-2012 proposed to create a funding facility with other development partners to replicate successful initiatives.

UNDP aligns all of its activities with the Government of India's own plans and processes, seeking to bring additional inputs, ideas and interventions within larger programmes with the aim of making these more effective.

3.3 LESSONS FROM PAST EVALUATIONS

The CPAP 2008-2012 summarized the lessons learned from past cooperation and recommendations emerging from the different programme evaluations as follows[18]:

- Identify the 'poor' more carefully and focus more sharply on gender dimensions. Support involvement of excluded groups in decision-making for enhancing social inclusion.

[17] The HIV outcome statement was formulated afresh with National AIDS Control Organisation (NACO) and DEA approval in writing in 2009. The same was conveyed to RBAP and agreed upon.

[18] UNDP and Government of India, 'Country Programme Action Plan Between the Government of India and the United Nations Development Programme 2008-2012', India, 2008, p.11.

- Develop a cohesive approach towards capacity development at state and district levels with a focus on strengthening capacities of public administration and elected representatives at all levels.
- Promote integrated approaches in planning and assessments such as risk and vulnerability assessments, planning processes at state, district and local levels, design of community-based disaster risk reduction approaches and adaptation strategies to cope with climate-induced changes.
- Support mainstreaming of environmental concerns in national, state and district level planning and poverty reduction policies.
- Move towards fewer and strategic focus areas with a longer-term time-frame.
- While the partnership building and convening ability of UNDP is well recognized, it should go beyond non-government organizations (NGOs) and community-based organizations and also foster partnerships with public sector, private sector, communities and the Panchayati Raj Institutions (PRIs). Linkages with legislators forum already established in some states need to be used more effectively for advocacy and dissemination of good practices.
- Mechanisms to institutionalize the successful lessons and gains should be supported within the project cycle itself.

It is worth noting that many of these lessons are still relevant and can be applied with equal validity to the current programme cycle. In particular, the last three points (the need to move towards fewer and strategic focus areas with a longer time-frame, the need to develop partnerships beyond the existing ones and to institutionalize gains within the programme cycle) are also concerns that are highlighted in the present ADR. However, there are some other areas – particularly focusing the country programme around fewer activities – that have already moved to a positive direction in the past four years.

In September 2010, the Mid Term Review (MTR) of the CPAP 2008-2012 was completed.[19] The MTR concluded that, overall, the strategic focus of the CPAP is skewed towards the 'supply side' of the development equation. Although community-based interventions are included under every programme (in some more than others), the majority of interventions are directed to strengthening government initiatives, and bringing women, Dalits and other marginalized groups into their ambit. This approach could be read as a strategic one, given that a strong demand for inclusive development has already been created, thanks to the efforts of a range of actors in the political, social, civil society and developmental domains.

The central strategy for addressing the issue of social exclusion – improving the targeting, outreach and management of government programmes – appears to be based on the assumption that equality of opportunity will automatically translate into equality of outcome for marginalized groups. The MTR found that this strategy does not take into account the deep-rooted institutional and systemic biases that are embedded in institutions of development (both formal and informal), and that constrain the ability of marginalized groups to take advantage of opportunities. 'Inclusive growth' is a long-term vision that is contingent on a process of change and transformation in the goals, institutions and processes of development. The MTR noted (p.48) that in order to maximize the contribution of UNDP's country programme to the process of positive change in India, it would need to articulate clearly its 'theory of change', strengthen synergies across programmes to address exclusion and promote inclusion, and put in place organization-wide strategies for monitoring, process documentation and integration of gender and

[19] Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010.

other cross-cutting issues across programmes. These recommendations are still valid.

In the relatively short time since the MTR was accepted in late 2010, UNDP has attempted some changes in this direction. Recently, there has been a renewed focus on human development, consolidated gender work and stepping up cross-practice work. The MTR has influenced the development of the next CPD, which aims to ensure greater strategic focus by reducing seven country programme outcomes to four and has a strengthened system for results-based management and monitoring & evaluation (M&E).

3.4 PROGRAMME FINANCE AND DELIVERY

UNDP manages financial resources from various sources in support of its development efforts in India. These resources include UNDP core funding, resources from global trust funds such as the Global Environment Facility (GEF) and the Multilateral Fund for the Montreal Protocol, funds from the private sector and resources mobilized from the Government of India and other contributors to India.

UNDP's activities can be categorized into five broad programme streams: democratic governance; poverty reduction; energy and environment; HIV/AIDS; and crisis prevention and recovery. In addition, there were some specific projects (post-tsunami recovery and education/disabilities-related projects) that did not come explicitly under any of these programmes. Table 5 provides information on the total spending in the period 2004-2012.

One issue with UNDP's programmatic focus that was mentioned in the earlier CPAP, as well as in the MTR, relates to the number of projects. In the earlier programme cycle, there were many projects in often unrelated activities even within a single programme. This was perceived to indicate a lack of focus that also hampered UNDP's relevance and effectiveness. It was recognized that a large number of small projects makes it administratively difficult to manage the programme

Table 5. UNDP India Country Office Spending, 2004-2012

Programme Expenditure 2004-2010					
Programme	**No. of projects**	**Total expenditure (US $) as per ADR list**	**Core**	**Non-core**	**Actual expenditure**
Democratic Governance	43	49,354,000	42,550,072	6,873,381	49,423,453
Poverty Reduction	58	44,063,000	33,895,357	10,218,047	44,113,404
Energy & Environment	98	61,830,000	11,493,426	50,483,591	61,977,017
HIV/AIDS	20	21,755,000	7,281,652	14,757,582	22,039,234
Crisis Prevention and Recovery	32	51,186,000	19,224,357	31,111,471	50,335,828
Post-Tsunami Recovery*	12	13,214,000	2,232,449	10,650,058	12,882,507
Education, Disabilities and Health as HD/MDGs or Basic Services**	14	1,546,000	1,180,044	370,198	1,550,242
Others: Agency, Regional, UNRC, Management, and Cross-sectoral (in CCF)	38	10,799,000	1,683,406	9,622,953	11,306,359
TOTAL	315	253,747,000	119,540,763	134,087,281	253,628,044

* Carried forward from CCF-2.

** Carried forward from CCF-1.

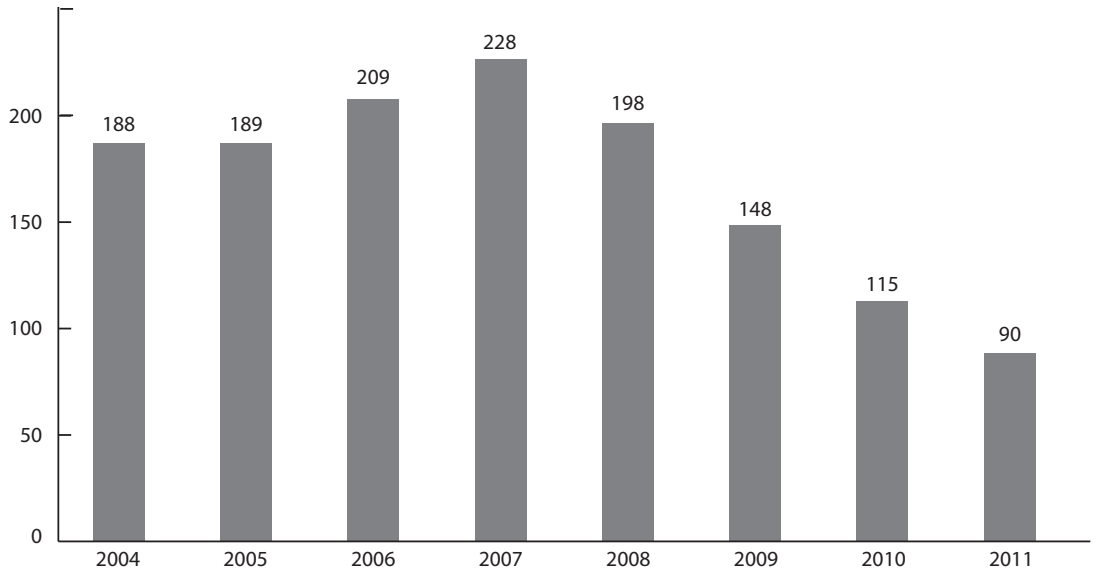
and reduces the capacity of the country office to provide meaningful technical assistance, capacity development or monitoring of activities.

In light of this realization, and recommended in the MTR, in recent years and particularly since 2007, UNDP has made serious and systematic efforts to reduce the number of projects. Between 2007 and 2011 the number of projects has more than halved, as Figure 1 indicates.

This was achieved not just by closing a number of projects, as shown in Figure 2, but also by ensuring that the number of new projects was significantly less than the number of closed projects.[20]

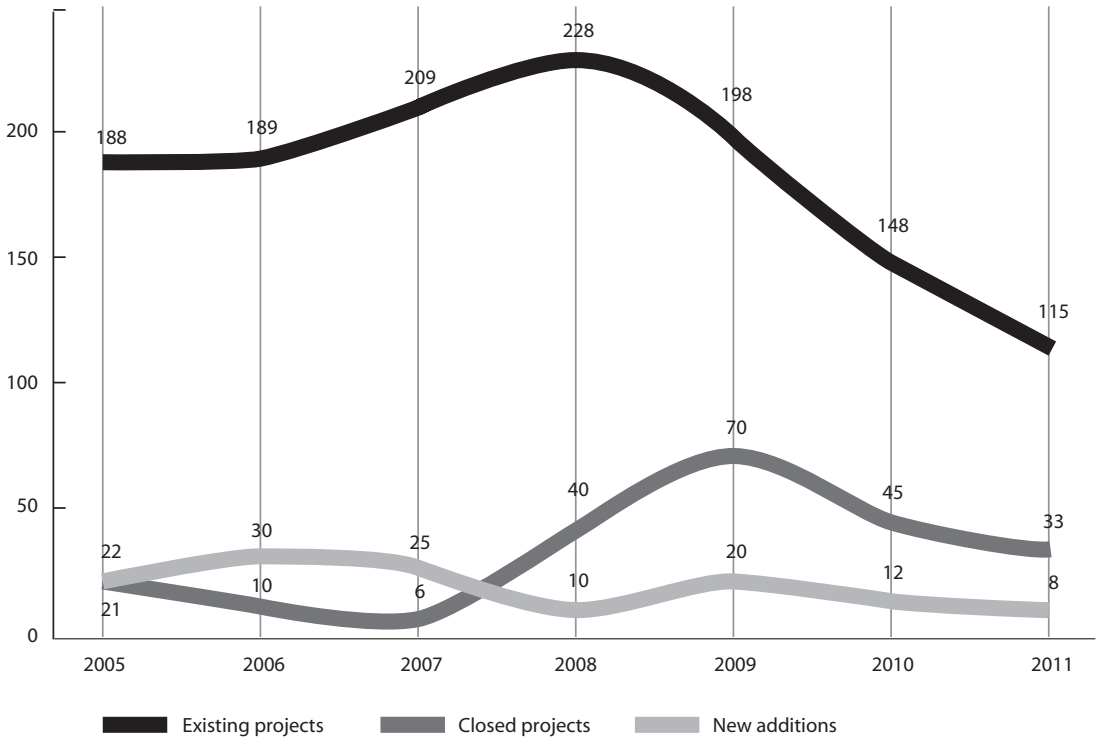
This reduction in the number of projects is likely to make a substantial difference in the functioning of programme staff, allowing them to monitor projects more carefully and usefully as well as to take a broader view of the outcomes and results. Of course, small projects with relatively little resources can also be effective: as the success of Solution Exchange, for example, shows, a relatively small amount of money can have a positive impact in terms of assisting and influencing policy makers if the idea is good and it is creatively implemented. This may be borne in mind when addressing future attempts to move upstream in terms of engaging in policy analysis and advocacy.

Figure 1. Number of Ongoing Projects, 2004-2011



[20] It is important to note that as per UNDP's programming guidelines, projects continue to have 'ongoing' status in Atlas until the financial closure process is complete and could take 12 months to change the status to 'closed'. In 2011, out of 90, there were only 60 ongoing development projects, while the rest pertain to management, UN coordination, security, etc.

Figure 2. Changes in Project Numbers



Chapter 4

UNDP'S CONTRIBUTION TO INDIA'S DEVELOPMENT: PROGRAMMATIC ANALYSIS

This chapter assesses UNDP's contribution in terms of the main programmatic areas. This approach is necessary because, despite UNDP's attempts to look at its entire set of activities in India in a holistic manner defined in relation to proposed overall outcomes, the actual operations are largely within different programmes areas that still do not relate much to one another. While this may be a concern, it does mean that the different activities of UNDP in India are best analysed within the framework of particular programmes.

4.1 DEMOCRATIC GOVERNANCE

4.1.1 THE NATURE OF THE PROGRAMME

UNDP's democratic governance programme works to "bring governments closer to people, and to enhance people's access to public administration and justice … by partnering with the Government of India to strengthen systems, institutions and mechanisms that enable local elected representatives, officials and communities to perform their functions effectively." The specific outcomes mentioned in the CPAP 2008-2012 are:

1. Capacities of elected representatives and state and district officials in the UNDAF focus states/districts enhanced to perform their roles effectively in local governance.
2. Systems and mechanisms in place to provide poor women and men and excluded groups access to justice at local level in five project states.

The programme consists of five major interventions:

- **Human development as central to planning:** This programme seeks to make human development an integral component of the Indian Government's plans and policies. Initially, UNDP support focused on building capacity to prepare state-level HDRs. Since 2004 it has concentrated on preparing District Human Development Reports (DHDRs). Twenty-one states have prepared State HDRs and 80 DHDRs are underway in 15 states.
- **District planning to achieve the MDGs:** UNDP has been working to strengthen district capacities to plan in a decentralized manner, providing support to a range of stakeholders, including government officials and elected representatives, to engage in outcome-based planning, ensure effective convergence of resources and promote good practices.
- **Capacity development for local governance:** UNDP supports the Government's efforts to strengthen grassroots democracy, by assisting in capacity development strategies for state training institutes that reach out to elected representatives, and enabling partnerships with NGOs to enhance outreach and quality.
- **Improving access to justice:** In partnership with the Department of Justice since 2006, UNDP supports initiatives to strengthen access to justice for the poor, marginalized castes and tribal communities and religious minorities. The objectives are to enable key justice sector institutions to effectively serve the poor and to empower the disadvantaged to access justice services.
- **Upholding citizens' rights: support to key legislations:** UNDP has provided support to capacity development for implementation of centrally-sponsored schemes

and key legislation, particularly the Right to Information (RTI) Act and the MGNREGA. Technical support for both implementation and monitoring and evaluation to the Ministry of Rural Development aimed to improve transparency and accountability in the world's largest employment guarantee scheme.

In addition, there is a Solution Exchange community of practice on decentralization, along with three other such communities managed by UNDP for the UN system in India. The aim is to allow practitioners to share experiences, documents, and tools towards furthering action on the particular issues, as elaborated in Box 1.

Most of these programmes operate at the national level or in the seven UNDAF states: Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh. Most of these programmes involve a mix of UNDP national-, state- and district-level activity and partnership, with the exception of the RTI and MGNREGA interventions, which have operated primarily at the national level. Work on HDRs is spread across the country in 15 states and 80 districts.

This is one of the more successful programmes of UNDP India, with its visibility and strategic effectiveness heavily concentrated in this area. In most parts of the country, UNDP is known largely because of its flagship HDRs and the efforts of the country office in developing state and district HDRs have been widely appreciated and contributed in several ways to policy discussion at different levels. In addition, UNDP's contributions to the Government's capacity development efforts for PRIs are also widely acknowledged.

Box 1. Solution Exchange: A small project with potentially large impact

Solution Exchange (SE) was launched at the beginning of 2005 as a unique initiative of the United Nations system in India, to provide an impartial platform for the exchange of knowledge and ideas among development practitioners. Solution Exchange enables a moderated exchange of queries and responses. At the end of the exchange, the resource team publishes a consolidated reply that summarizes and collates responses and resources, and also highlights additional research on the topic. Resource teams also facilitate community building, learning and networking. Several communities have started action groups to allow more in-depth analysis and several have produced publications based on consolidated replies.

Through its 'Communities of Practice' (COPs), Solution Exchange has allowed its members to pose questions and exchange policy solutions, experiences, knowledge and solve development problems collectively in 13 thematic areas. These areas are handled by different UN agencies. UNDP supports four Solution Exchange communities of practice, more than any other UN agency, in the broad areas of decentralization, microfinance, disaster management and climate change. Therefore, this project cuts across different programme areas of UNDP.

A recent evaluation[21] noted that "SE occupies a unique niche in India's development scene bringing together large numbers of development practitioners, researchers, policy makers and private sector organizations. There are several other portals but none matches the coverage and level of discussion. Through its COPs SE has allowed its members to exchange experiences and knowledge and to solve development problems collectively. It has paved the way for new collaborative ventures, created spaces for discussions that have fed into policy formulation while also providing feedback on implementation (voices from the field). Despite the fact that the primary function of SE was not policy impact, it has in fact had an impact on the policy process in several important development sectors especially at the pre-policy formulation stage. It has also allowed development practitioners to exchange experiences on implementing policies. These exchanges are followed keenly by government officials."

(continues)

[21] Deshingkar, P. Hearn, S., Rao, L., and Sharma, P., 'Formative Evaluation of Solution Exchange', ODI August 2010.

(continued)

Box 1. Solution Exchange: A small project with potentially large impact

Many respondents, in both official and non-official circles, noted that they have benefited from participating in the Solutions Exchange COPs. For example, queries were posted on SE soliciting comments and responses to the Approach to the Eleventh Plan, which then proved useful in the formulation of some chapters of the actual Plan

For example, a query on how to purify drinking water in flood-affected areas in Bihar during the 2008 Kosi floods elicited responses on 35 water purification technologies within just six days. In addition, a list of 100 organizations and service providers that were able to work in the region was compiled. This proved very useful to relief operations. These Solution Exchange responses have become reference material for those working in flood-affected areas in other parts of India. Similarly, ideas and opportunities which emerged from the climate change COP led to the conceptualization of Madhya Pradesh's Integrated Urban Sanitation Programme in 2009.

The notion of a community of practice is itself an interesting way of utilizing the possibilities of ICT to bring people together in various ways. These are based on a combination of self-selection, moderation and active mobilization of participants. Moderation and filtering are key functions of SE, and several practitioners expressed the view that these features, as well as the 'consolidated reply' that brings together and summarizes various responses and, therefore, becomes useful source material on particular topics, are important in attracting them. In this regard, the legitimacy and reliability of responses are key issues that cannot be easily resolved in a once-for-all manner, but must be confronted on a quotidian basis. Obviously, these functions require significant skill and knowledge, and, therefore, it is important not only to attract well-qualified professionals for this task, but also to preserve their morale. Currently this is adversely affected by understaffing, uncertain budgets, insecure contracts and lack of opportunities for career development.

Another important defined function of SE is community building. COPs are certainly varied and reflect different perspectives, interests, skills and location. However, limited computer literacy is obviously a constraint in this regard as is good working knowledge of English, which is the medium of activity. One issue of significance here is language – in order to reach grassroots organizations and a more varied range of stakeholders, translating material is very important. While some resource persons do valiantly attempt to translate some interventions themselves, this is clearly an area that would benefit from greater provision of funds to allow SE to become even more inclusive and to reach potential participants who could contribute to and gain from such COPs. More resources directed towards translation are, therefore, necessary as well.

Clearly, the knowledge and networking developed through these COPs need to be taken to the next level. In fact, in 2011, UNDP has used several of the SE COPs to organize face-to-face events convening practitioners, for example, in providing inputs to the Twelfth Plan (on the National Rural Livelihoods Mission and the National Rural Health Mission). UNDP also provided funds for policy consultations on Sexual Harassment and on Gender issues in the Microfinance Bill, which were organized together with the gender and microfinance community of Solution Exchange.

Now that Solutions Exchange has gone global, there are clearly opportunities for positioning it as a vehicle for South-South cooperation and channelling of ideas not only within India but also between India and the rest of the world. It could become an important element in the enhanced work on South-South cooperation that is being proposed for the future.

In the start-up phase, SE was relatively generously funded, but thereafter funding has dwindled and low levels of funding as well as insecurity of the staff associated with the project have both become bottlenecks. Staff morale is clearly an important issue, which was also noted in the outcome evaluation. There is a perception among the concerned staff that this is not a priority area and that there are insufficient resources to enable taking such activity to the next level (finding more local grassroots participants, translating into local languages, enabling other forms of interaction, etc.)

Given their achievements and potential, the uncertain and low levels of funding that have thus far been the lot of the Solution Exchange initiatives need to be drastically revised. The recent positive moves in this direction by UNDP are, therefore, to be welcomed.

4.1.2 RELEVANCE

UNDP work in this area is seen to be highly relevant, closely aligned with government priorities and worked out in consultation with the Government. What is important is that it has not only been led by official priorities: in several cases (such as the HDRs at state and district level), UNDP has led government policy or at least generated policy debate around the issue.

Through this programme, UNDP has also been involved in some of the policy issues that have become central in public debate and development practice in the past decade: empowerment of elected representatives, especially women; rights-based legislation around the right to work, the right to food, and associated implementation; accountability in the delivery of public services; and so on. It has also ventured into relatively new areas that are likely to become increasingly important in the future, such as enhancing people's awareness of their rights and their access to legal justice.

Box 2. Human Development Reports: The specific success of UNDP in India

Globally, UNDP is known for its flagship HDRs, which (especially in the first decade of their publication) were critical in generating and transforming policy discussion on development globally as well as in India. This impact was somewhat less marked in the second decade of the global HDRs, possibly because the novelty had worn off. But it was in that decade that regional and subnational HDRs came to the fore in India, and the role of the country office in facilitating and creating enthusiasm for subnational HDRs has been crucial. The work of the HDR unit within the country office provides a good example of many positive features of UNDP involvement: innovative approaches and creative thinking, flexibility, ability to work with governments and elected authorities at different levels and getting these agents to 'own' the process, building of local capacities, and pushing policy agendas beyond those explicitly recognized by national and state governments.

These features were most marked in the previous programme cycle (2002-2007). It was noted by development partners both within and outside government that UNDP has since allowed this focus on human development to flag. It is important for UNDP India to build on and extend its work on human development not just through the generation of HDRs but also by taking the agenda forward to feed into policy more directly. This is particularly important in India since, as is now widely accepted even in official circles, most human development indicators in the country remain abysmal despite a fairly prolonged period of rapid GDP growth. So it is encouraging to note that UNDP has recently renewed its focus on HDRs.

The shift in India towards encouraging subnational and even local HDRs was both creative and also very appropriate given the size, complexity and huge variation within India. The first state-level HDR in India was not actually a result of UNDP's intervention: it was independently generated by the Government of Madhya Pradesh. However, the country office moved very quickly to assist the process and to encourage other state governments to take up similar exercises.

Further, the next shift to encouraging district-level HDRs was bold and had a lot of promise. Many districts in India are the size of small countries, both in terms of geography and population. And given the focus on decentralized planning, such exercises are extremely valuable in providing the baseline data for planning exercises. Once again, there are two sides to this intervention. On the one hand, the inadequacy of district-level data for many crucial indicators made such exercises both difficult and potentially misleading. On the other hand, the very search of such information, as well as the drive to generate locally relevant analyses, often provided a wealth of information and analysis that could be extremely useful, while the process of data collection and analysis brought together local expertise and talent often in unprecedented ways. District-level HDRs have generated in-depth knowledge about a district that was often unknown even to the local administrators and elected representatives, and have highlighted areas of concern. In some cases, they brought together local expertise and administration in a forum that led to further cooperative activity (such as in the districts of Bankura in West Bengal and Wayanad in Kerala, among others). Certainly, the local enthusiasm generated by the process of preparation of these reports was palpable in several districts.

(continues)

(continued)

Box 2. Human Development Reports: The specific success of UNDP in India

In general, state HDRs were probably more successful than district HDRs because the latter did not have the same level of strong state-level oversight, and had to be based on (often unrealistic) detailed data estimations at the very local taluk level.

Two features of this facilitation of subnational HDRs have been particularly noteworthy: the insistence on government 'ownership'; and the flexibility of approach that allowed particular governments and local bodies to approach the production of these reports in their own ways. Both of these features had positive and negative aspects. Government ownership meant that the quality and degree of objectivity of state-level HDRs varied dramatically according to which the state government sought to exercise control and influence the outcomes and analysis.

In some cases, the state governments allowed for autonomy and arm-length relationship that ensure greater objectivity, while in other cases, state governments exercised editorial control that that made the HDRs appear just like any other 'official' government reports. Nevertheless, government ownership did certainly mean that the results and analyses in the HDRs were more likely to influence government policies.

Even here, however, the experience has been varied. It could be that more effort and intervention on the part of UNDP is required to ensure that the HDRs get more widely disseminated and influence policy debates. Further, it is clear that those HDRs that have provided clear and feasible recommendations for policy changes are more likely to be effective in terms of translating into efforts to improve outcomes. In some cases (Madhya Pradesh, West Bengal), specific government interventions have resulted directly from the state HDRs.[22] In other cases, the process of creating the HDR (Chhattisgarh) has generated awareness and discussions from the village level upwards.

Flexibility in approach has also led to varied results. In some cases, it has led to innovative partnerships between local government (both elected and official) and civil society, with positive implications for future development approaches. In other cases, it has meant that reports of very uneven and sometime even poor quality have been produced. Since this is a learning process, and only a minority of districts have produced HDRs, these are concerns that can be dealt with over time. Indeed, UNDP recognizes the need for development of local capacity even to create good quality HDRs and has prepared a guidance note on the process to ensure that minimum standards are met.

Overall, there is a perception among stakeholders that, while this has generally been a successful exercise, the various levels of HDRs could have been even more effective. Two limitations of an otherwise very fruitful exercise have been evident. First, many HDRs have been descriptive rather than analytical and prescriptive. Second, and possibly more significant, the strategy to take it forward has been missing, until the recent initiatives in late 2011. There is a general perception that the country office should utilize the lead that they achieved in preparing the reports in developing policy guidelines and push for certain issues to get more prominence on the policy agenda. The lack of advocacy and follow through has, therefore, limited the effectiveness to some extent, especially given the high potential. These could be kept in mind in moving forward with the new work on HDRs.

4.1.3 EFFECTIVENESS

The Human Development Reports have generally been very effective (see Box 2) and have created awareness about many issues that were earlier ignored, and brought them into the policy discussion.

Capacity Development for Local Governance (CDLG), which involves the generation of content for training materials, training of trainers and related activities, has generally been effective. The training is generally seen to be useful, especially in some cases where particular trainers

[22] It should be pointed out that one member of the ADR team was associated with the West Bengal HDR 2004 as lead writer.

of trainers (external consultants) were very successful. While the project does not have any direct training interventions, it supports strengthening of institutional mechanisms for improving the coverage and quality of training programmes. In this regard, a guidebook for monitoring and evaluating training programmes for elected panchayat leaders is under preparation. This initiative is expected to strengthen the State Institute for Rural Development (SIRD) capacity to monitor training programmes more effectively. An interactive training module for CDLG was developed by UNDP. An interactive e-learning module for Decentralized Planning (based on Planning Commission Guidelines and Manual) was developed by UNDP. While the monetary contribution was small, the technical support was appreciated. UNDP has supported the development of an online repository of training resources in the area of local governance. Films on gram sabhas (assembly of all citizens in a village) are innovative and since they are put on the website and also have a FAQ section which is very useful, they can become training aids for a wider group and are generally well appreciated.

This has been recognized in the outcome evaluation report[23] as an area of UNDP's greatest effectiveness, and was also recognized as such by many respondents interviewed for the ADR. Nevertheless, the outcome evaluation highlighted also criticisms by the informants that the training standards are not always being met (timing, frequency, and nature of training), that the programmes are not adequately assessed, and that they are not as hands-on and, therefore, useful as they could be. These quality issues are technical and can be addressed in future activities in the programme especially given the generally positive perception about the capacity development functions of UNDP.

Exchange of visits of practitioners to encourage cross-fertilization of ideas and experiences have been limited but generally appreciated where they have occurred. For example, some pradhans and pramukhs (elected village heads) were taken to Kerala where the decentralization process is generally more advanced than in most other parts of the country, and best practices were studied. The immediate impact was pressure built in the places of origin of the visitors by the enthused Panchayati Raj leaders, which was associated with some revival of standing committees, increased number of meetings of gram sabhas and an increase in the funds devolved to local bodies. Such exchange visits have been relatively few and many more should be undertaken, but more local knowledge may be required to ensure appropriate choices in terms of participants in the programme and areas of study.

Facilitation of civil society engagement with the policy and planning process, for example, through initiatives of dialogue of policy makers with citizens and groups organized by Wada Na Todo Abhiyan (a civil society umbrella organization), have been reasonably effective. For the first time, there was official interaction with citizens in the planning process (Mid Term Review of Tenth Plan, Approach to Eleventh Plan, Mid Term Review of Eleventh Plan, Approach to Twelfth Plan, etc.).

Work relating to the implementation of the MGNREGA has been quite effective, despite the small scale of funds provided, because it provided much-needed flexibility to the central government, and enabled quick independent audits of the early functioning of the programme in several states, which in turn informed policy by allowing the Government to revise the implementation procedures and institute other safeguards to ensure better functioning. (Budget flexibility especially for small amounts allowed getting good people rather than the lowest tender.)

[23] Satyanand, P.N., 'Outcome Evaluation of UNDP India's Democratic Governance Programmes, 2008-11', UNDP India, 2011.

In the second phase, the interventions have focused on pilots, and these have had more limited positive effects, and have sometimes gone unnoticed by state and local governments, even when UNDP itself and the Ministry of Rural Development have seen them as successes.[24] Sometimes this is because of design flaws in some of the pilots. Some pilots have not been seen through to their logical conclusion, and, therefore, have not provided enough incentive to others to take it up. In general, there has been almost no attempt to work systematically with state government and local authorities, which is essential if any activity is to be recognized, appreciated and then scaled up.

Decentralized Planning: This project, which seeks to develop capacities for planning at the local district level, has the potential to be extremely relevant, especially as the central government and the Planning Commission seek to revive efforts for district-level planning. As decentralized planning comes back into government focus, these pilots will be useful in providing experiences and lessons, as well as for more upstream advocacy. This is particularly likely because MGNREGA, the Backward Region Grants Fund and similar schemes that necessitate micro-level planning are making it imperative for village- and district-level policy makers to understand how and for what to plan. The Planning Commission also intends to shift control over more Centrally Sponsored Scheme resources to district level. So, while there has recently been a tapering off of political interest in decentralized planning, the ground reality is that it is now becoming even more necessary. Indeed, the perception at the grassroots is that decentralized planning should continue to be a focus area for UNDP.

A limitation of the project so far has been its divorce from the planning process at the state or even panchayat level – in most cases thus far, district plans have been prepared that are not related to the actual efforts of the district authorities or elected representatives. Under such circumstances, the activity cannot be effective. In the latest phase, this is being sought to be remedied, and the process is now integrated with the district planning activity with three District Support Officers located in the local planning unit.

Access to Justice has the mandate of increasing legal literacy among the population, especially more vulnerable groups, and training judges and lawyers. There is great potential in this area, not only for practitioners but also for ensuring greater legal literacy among the citizenry, including awareness of their basic rights. However, the effectiveness thus far has been limited because of issues related to the design of the project. In particular, the project design did not take into account the need for long lead times, especially for building linkages with state and central government legal authorities. As a result, the very short gestation periods with a need to show results quickly, as well as the lack of recognition of the groundwork required to ensure effective spending of the limited funds provided, have adversely impacted the project. The meeting of the Country Programme Management Board in April 2011 suggested scaling back allocation on the project, with similar interventions to be continued on a smaller budget. This is unfortunate, because there is huge potential in this area, and the project could be reworked with longer time-frames recognizing the need for longer incubation periods, greater flexibility and more funding, if it is really to be effective. There should be greater focus on building mass legal awareness and understanding of legal rights, as change will only really come from teaching citizens how to harness various Acts efficiently and to keep pressuring for information.

[24] For example, the country office sent the ADR team to visit Bhilwara, Rajasthan as the state location in which it has the largest and most successful activities. However, the relevant officials dealing with MGNREGA and other partners in Rajasthan felt that UNDP contribution has added little value substantively.

4.1.4 EFFICIENCY

Two contradictory messages were received about UNDP's procedures from different areas within this programme. In the case of MGNREGA, it was felt that UNDP's response is quicker and more flexible than that of the Government or other donors, with lower degrees of bureaucratic hurdles and greater possibilities of adaptation depending on changing requirements and assessments of how the project is evolving. On the other hand, with respect to decentralized planning and access to justice projects, there were complaints of excessively rigid rules and too many bureaucratic requirements, as well as tortuous procurement procedures, including for hiring consultants. It was alleged that the difficulties and delays in UNDP's fund transfer have affected functioning of the projects.

Sometimes the rigid financial rules have adverse results. For example, in the Decentralized Planning project, UNDP took a conscious decision to keep multiple states within one project in order to ensure synergies and strategic coherence, and to reduce the number of small projects. Therefore, money for each state is dependent upon all states reaching 80 percent utilization for the previous period.[25] Advances to some states have been delayed on account of slow implementation by others – this is as a result of the states being linked under one project, and slow implementation on the part of some states affecting the rate of expenditure of the overall advance. So even states where the project has achieved 85 percent spending have not received any money this year. It must be noted that this issue is beyond the control of the country office and based on UNDP corporate rules and regulations.

It appears that these differing responses with respect to rigidity/flexibility relate to the size of the amounts involved in particular cases of procurement: UNDP financial and accounting rules provide for relatively easy and quick transfer for relatively small amounts, but once the amount crosses a certain threshold the rules become rigid and complicated. There is a case for reconsidering this threshold level, especially as other donors and the Government of India have recently relaxed their rules for relatively small amounts. Also, the replacement of annual payment with quarterly payment and the need for quarterly Utilization Certificates has created difficulties, especially for small projects with limited funds.[26]

There are concerns that with respect to various activities in this portfolio (such as the MGNREGA and Access to Justice projects) quality vetting of the output of external consultants is not being handled adequately by UNDP staff. It is important to recognize the need to strengthen country office capacity to be able to better manage such technical reviews.

4.1.5 SUSTAINABILITY

Since the governance portfolio has been developed very much in line with the Government of India's priorities, the approach and outcomes of this programme are clearly sustainable. With respect to individual projects, CDLG is very sustainable, has already been taken up by several state governments, and is likely to continue. The HDRs are potentially sustainable and therefore need to be taken forward systematically, with clear ideas on how to incorporate them into the policy-making process. Decentralized planning is likely to become much more sustainable, as the central government seeks to put more resources to local governments in future. Access to Justice project is currently not leading to sustainable outcomes because of its design and inadequate recognition of the long lead times required, which both could be rectified.

---

[25] The UNDP rule is that at least 80 percent of the previous advance given and 100 percent of all earlier advances have been liquidated before approval of the subsequent advance.

[26] While this is a financial matter not strictly under the purview of the ADR, this concern was expressed by many involved in specific projects and, therefore, deserves to be noted at a corporate level.

One problem in relation to all projects is that UNDP's exit plans tend to be vague and ill-defined. This is notable considering that many projects are of very short duration – one, two or at most three years – which is too little to expect any substantial development results.

4.2 POVERTY REDUCTION AND MDG ACHIEVEMENT

4.2.1 NATURE OF THE PROGRAMME

The poverty reduction programme seeks to improve the effectiveness of national poverty reduction and livelihood programmes, in partnership with central and state governments and with a special focus on disadvantaged areas. The outcome is described in the CPAP as "Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and the displaced."

It promotes the design and use of strategies that involve the poor and marginalized groups (such as SCs, STs, migrants, minorities and displaced persons). The programme is intended to foster partnerships to enable disadvantaged households to improve their skills, diversify their economic activities and increase access to credit and markets. It promotes and assists organizations of the poor to develop livelihood plans and to empower disadvantaged communities. The programme also has an explicit focus on financial inclusion and innovation in product design and delivery of the entire range of financial services.

The programme deals mostly either at national or local levels, with local NGO partners for specific livelihood-related projects. It is difficult to categorize the very wide range of projects in this programme, but they cover a wide geographical area, spreading well beyond the UNDAF states, and are typically relatively small projects. The projects relate to livelihood promotion in rural and urban areas, poverty reduction of specified target groups, promoting endogenous tourism, watershed management programmes, as well as resettlement and rehabilitation policies.

UNDP's main global mandate is the reduction of human poverty, and India has the largest number of the world's poor people. Further, South Asia (particularly India) is one of the regions of the world where the progress towards meeting the MDGs has been lagging and it will require major policy effort if they are to be achieved at all. In this context, the performance of this programme area has been less than satisfactory, and the programme may well benefit from substantial reorganization and overhaul.

4.2.2 RELEVANCE

Overall, seen over the entire period covered by the ADR, there is relatively little evidence of strategic thinking in the poverty portfolio. The projects all fall within a broadly relevant category, but the reasons for choice of particular projects and the amounts allocated are not always clear. In the previous cycle, work on poverty was spread across units – the Sustainable Livelihoods Division, Energy and Environment Division and the Human Development Resource Centre. The poverty unit was carved out at the start of the current programme cycle in 2007. The use of HDRs for planning was moved to the governance programme and application of human development principles was integrated across all programme areas including the poverty programme. While other programmes are more focused on the UNDAF states, over the period covered by this ADR, this programme covered 20 states. While there has been a significant attempt to reduce the number of projects and bring more strategic focus over the past four years, the perception of lack of focus persists. This is particularly so because UNDP is just one (relatively small) player in the broad area of poverty reduction interventions, where there are local, national and international initiatives. Adding value in this crowded space is more likely to result from active involvement in upstream policy work rather than in scattered little projects that seek to promote particular livelihoods in small areas. In response to UNDP Agenda for Organizational Change, the country office has made recent efforts to move upstream.

Clearly the most successful element of the UNDP's poverty programme, from the point of view of relevance and effectiveness, is the Resettlement & Rehabilitation (R&R) Policy in Orissa, which was directly led and implemented by the Orissa state office of UNDP with minimal intervention of the country office (see Box 3).

Box 3. Resettlement and Rehabilitation Policy: UNDP's positive role in Orissa

The role of UNDP in the Resettlement and Rehabilitation (R&R) Policy in Orissa is a fine example of relevance to problem context and effectiveness in driving outcomes. The Orissa R&R policy has acted as a precursor to the first-ever national R&R policy and became a model and trendsetter for the rest of the country. The Orissa state office of UNDP conceived the policy, initiated debates and discussion around the policy, and championed the necessary mobilization for it. In the process, UNDP became the leader in the sector in the state and thus created a niche for itself. This then catalysed a national response that led to a debate among academics, researchers, civil society, development specialists and the government agencies before a national policy was tabled in the Parliament.

Chronology of programme adoption

Relief efforts in the aftermath of the super cyclone of 1999 in Orissa ran into chaos and confusion. UNDP brought order and structure amid the chaos as a result of large-scale influx of funding agencies into Orissa. A senior civil servant headed UNDP's state office at the time and shaped the intervention through a livelihoods programme in the drought-prone region of Koraput-Bijapur-Kalahandi, by bringing UN Volunteers into action. UNDP built coordination between several agencies including UNFPA and UNICEF. These formative years for UNDP were invaluable from the point of view of building an organization.

Orissa had a state R&R policy for water resources in 1994. However, in spite of having abundant natural resources like bauxite and manganese, power remained unused due to lack of industrialization. A new industrial policy was formulated at a time when land was relatively cheap and surplus power was available; however, little thought was given to issues of displacement. In 2004, the UNDP state office (then headed by a senior bureaucrat on leave from the Government of Orissa) wanted to have a comprehensive policy with a set of recommendations for the R&R affected. With the help of external consultants working in different areas (water resources, industry, mining, national highways, tribal communities and areas, and gender) a draft R&R policy was developed by 2005.

The draft was circulated widely among NGOs, civil society, social activists, academics, industrialists and policy makers, and there were consultations with people who were ousted from land and displaced, with video documentation of these focus group discussions. Nevertheless, there was substantial resistance to the policy especially within the bureaucracy, and there had to be active lobbying with legislators and political leaders as well. At this point there were protests in the Kalinganagar area inhabited by tribals, which led to firing incidents. The public outcry prompted the government to make a hurried announcement of the R&R policy on 14 May 2006. The UNDP state office was instrumental in this entire process.

Significantly, UNDP had translated the policy into Oriya and had it widely propagated among different groups, including the vulnerable sections, through the efforts of the district administrative machinery. As a result of this propagation and dissemination, many groups and communities became aware of the policy, so that the outreach of the 2006 policy empowered beneficiaries.

Translating policy into action

UNDP conducted capacity development activities towards translating policy into action, among government officials, industrialists, NGOs and social activists. Two institutions were identified for this purpose (XIMB or Xavier Institute of Management, Bhubaneshwar and SCST Research and Training Institute, Bhubaneshwar) with training in English as well as in Oriya in identified districts. A newsletter was also brought out.

A review of R&R policy with a view to including some recommendations, as conceived and formulated originally, in the policy document did not fructify, due to the violent protests and eruptions against displacement in some areas in Orissa. These developments in turn point to some issues with respect to the practical implementation of the R&R policy.

(continues)

(continued)

Box 3. Resettlement & Rehabilitation Policy: UNDP's positive role in Orissa

A results perspective

Despite UNDP's efforts and the relatively favourable policy environment for R&R in the state government, there were significant shortcomings in delivery, which suggest that a stronger design is needed for translating policy into practice. Capacity constraints are quite obvious, and this in turn points to a need for a stronger M&E system within UNDP.

Some of the observed lacunae include:

- Implementation strategies were not followed, and it was not recognized that those displaced need to be resettled for good so the project cycle in R&R cannot come to a closure as in other projects.
- Constraints such as low levels of literacy and absence of required skills in the target population were not adequately recognized.
- More frequent visits by the project staff and the government officials to explain the importance of the project and its benefits were required to instil confidence among beneficiaries.
- Some features of the socio-economic context of displacement, such impoverishment, joblessness, school dropouts, child labour, deforestation, land degradation, biodiversity loss, health hazards, gender issues, psychological trauma, social disarticulation and other forms of vulnerability, were not addressed systematically.
- Land acquisition in R&R was a major blind spot. The most significant gap was the lack of recognition that land acquisition is crucial to the implementation of R&R schemes. The functions of land acquisition are quite cumbersome and the problems could jeopardize lives and livelihood of the displaced permanently. For example, a long gap between initial acquisition and date of payment of compensation prevents people from doing any productive work on the land.
- It is not clear whether UNDP has the technical capacity and training to monitor the various studies it commissions in the area of R&R. UNDP has to invest more in research and building its own capacities in this area.
- Displacement brings multiple vulnerabilities and people need guidance on the proper use of their compensation money, where compensation is paid in cash. Without assistance in this regard, it was found that in many cases compensation money was simply consumed without reinvesting in assets or improvement of productive capacities.
- The exit plan of UNDP is not clear and consistent. Greater community involvement in the entire process could facilitate UNDP's eventual exit.

Despite some limitations, there have been clear areas of achievement with respect to R&R policy. As a brand, UNDP can now establish itself in other UNDAF states in the R&R sector. This would give it a strategic advantage in view of the large industrial, mining and irrigation projects that are contemplated in these fast-developing states. As UNDP is perceived as an ideologically neutral international agency, it is perfectly pitched to be the best candidate for promoting R&R projects in the states and in the country. What otherwise would have been controversial in the wake of the anti-SEZ (Special Economic Zone) movements across the country, is more feasible for UNDP while taking the agenda of R&R forward. It has the advantage of being an international brand ambassador in this sector. There is widespread trust that UNDP has no vested interests. UNDP can draw upon this image as well as its Orissa experience to carve out a longer and a larger programme for prescribing a roadmap for R&R projects and interventions in the country.

4.2.3 EFFECTIVENESS

As noted above, the most effective intervention within this programme has been the work on the R&R policy in Orissa, which was originally

undertaken by the Orissa UNDP office. The activities of the country office within this programme have had more mixed and often less satisfactory results. Some watershed programmes have been seen as effective, especially in certain areas (western Orissa, Rajasthan). The National Strategy for the Urban Poor has produced some reports and research, and the evaluation report for this project[27] assessed it as a relevant and timely programme, bringing the issue of urban poor and urban poverty to the forefront of policy-making. However, the lack of visibility of these outputs has meant that it has been somewhat less effective than it could have been.

The project Strengthening Women's Social, Economic and Political Empowerment in Jaunpur, Mirzapur and Sant Ravidass Nagar of Uttar Pradesh, funded by the IKEA Foundation, is a result of a cross-practice design involving poverty and governance programmes, with a holistic approach to women's empowerment covering social, economic and political dimensions. This has been effective in generating greater women's empowerment in terms of indicators like greater political engagement and activity. While UNDP has monitored its activities and outputs, for livelihoods the implications are less clear cut.

It has been noted that UNDP's real contribution in the area of poverty reduction would be greater in the policy space, rather than in micro-level projects that are anyway being carried out across the country by different players.[28] There is a need for sufficient consideration of the full implications or the value added that UNDP can bring before joining in policy initiatives. For example, UNDP decided to support the conditional cash transfer pilot in Delhi, a controversial programme involving the replacement of food provision with cash transfers to a targeted group, which the Government of Delhi was planning to do on its own without the support of the UN. Compared to this, UNDP's effort to bring in international experiences through workshops involving other more successful international experiments with cash transfer schemes that did not involve the reduction of public provision but rather the expansion of public services, was more relevant and effective, and more could be done along such lines.

In all the livelihood projects (including the Rajasthan Mission on Livelihoods) a significant limitation is that the monitoring and evaluation processes have been flawed, making it difficult to draw conclusions on the actual results. Despite the declared existence of a baseline against which to assess the outcomes, there has typically been no attempt to assess performance of projects in relation to similar (control) groups or areas which the projects did not cover. In many projects, evaluating outcomes is impossible in the absence of clear outcome statements defining the strategy and goals. Therefore, the tendency has been to monitor activities rather than goals and actual outcomes. In cases where goals are defined, they tend to be crudely quantitative without acknowledging the possibility of counterfactuals or 'control group' outcomes. The question of attribution, therefore, becomes even more complex in such cases.

Lack of constructive coordination and problems of competition with other international organizations (both at the top and at the ground level) have affected the timing and effectiveness of some projects. This problem was noted by both government and NGO partners involved in projects.

The effectiveness of some projects has been adversely affected by the fact that the projects had to be terminated before they have had a chance to make a difference. In some cases, this reflected partly the rigidity of the country office programming, which did not allow for continuation beyond the original relatively short time-frame.

---

[27] UNDP and Government of India, Ministry of Housing and Urban Poverty Alleviation, 'Terminal Evaluation of National Strategy for the Urban Poor Project', Raman Development Consultants Private Limited, India, 2010.

[28] This also emerges from the Outcome Evaluation (Nazareth 2011).

It can also be linked to insufficient knowledge of local conditions. For example, a project State Level Support to Livelihood Promotion Strategies that linked MGNREGA awareness with livelihood development possibilities, and required very little money, was being pursued in Ganjam and Kandhamal districts of Orissa, and had been enthusiastically taken up by the relevant district administrations and PRIs. It was just beginning and had already created much excitement. However, it was not communicated to the local administration that the project was of very short duration and would terminate in a year. When the money was stopped by the country office (despite repeated requests from the Orissa state UNDP office), it was too early for the benefits to become sufficiently apparent to the state administration for a state-wide upscaling, which resulted in dissatisfaction on behalf of the administrators regarding collaboration with UNDP.

The poverty programme engages with a wide variety of livelihood projects in both rural and urban areas, and it would be expected that the experience in one project would inform both the design and the experience of other similar projects. However, there appear to have been no systematic attempts to draw out such lessons or even facilitate the sharing of experiences across various projects of the country office. This lacuna was noted by development partners in government and in civil society.

4.2.4 EFFICIENCY

There are flaws in the design of some projects (e.g., social mobilization for natural resource management), which tend to make them inherently unsuccessful. Typically there is little or no research component in the design of projects, and so projects are prepared and finalized without careful analysis and necessary groundwork. There were also issues raised regarding inadequate technical assistance and supervision of projects.

Late starts of many projects combined with the short implementation periods have resulted in unrealistic demands for quick results. The late starts can be attributed partly to the complex procedures around procurement, which delay appointments of necessary staff and other essential spending. But at times the delays could also be attributed to the relatively slow functioning of the country office, even with respect to straightforward matters, which was an issue raised by several stakeholders. This in turn relates to the fact that the poverty programme officers and other staff are burdened with excessive administrative work caused by too many disparate projects.

These problems were not found at the UNDP office in Orissa, where it was observed that the staff were more locally grounded and affiliated more closely with state government as well as other development partners. However, it was noted that within this programme there were relatively weak linkages of the country office with the office in Bhubaneshwar, Orissa, since the lack of autonomy, even for relatively small amounts of money, made the latter less effective than it could otherwise have been.

4.2.5 SUSTAINABILITY

The most sustainable elements of UNDP's work within this portfolio relate to the work on R&R policy in Orissa, and to some extent the livelihood programmes that have informed the subsequent National Rural Livelihoods Mission. Many of the other projects face challenges in terms of sustainability, and this may stem not only from (occasional) deficient design but also from a broader orientation that is not explicitly concerned with the long term. There was a widely expressed perception that UNDP does not seem to be involved in activities for the long haul and see projects through to their conclusion.

The focus of the country office within this portfolio has largely been on pilots. However, the evidence suggests that there is often not enough thought given to how to scale these up, how to exit, or how to persuade others to take them up. In some cases, even entry plans have been lacking, in that certain projects seem to have been taken up on an ad hoc basis. In the case of pilots,

there is also a tendency to showcase prematurely something that is seen as a success or solution, without careful and continuous monitoring of all the effects and implications. This is particularly true of the livelihood projects, where some quantitative process indicators are seized upon as signs of success for a brief period, and then, after an initial round of publicity, the medium- and long-term impacts are not monitored, and the next pilot project is taken up. All these issues relate to a broader concern with the focus on pilots as the major expression of UNDP's activities in India. It can be argued that pilot projects may not be the most useful form of UNDP's intervention, especially if the country office does not have the capacity, resources and local involvement that will enable it to stay involved through to the end of a particular process. This is especially true if the pilots are diverse, small-scale and undertaken in a manner that is not integrated with local practice in a way as to ensure other champions (whether in government or in civil society) to take the process forward.

Lack of strong interaction with state and district governments is a critical gap that has adversely affected sustainability. Other than in Orissa, there is a lack of a relationship of the UNDP office with state and local administrations.

One area of potential collaboration that could also ensure greater sustainability is that of UNDP with local centres of development research, which could then ensure more continuous appraisal and monitoring of particular projects as well as the local supervision that could be required. While such collaboration was indeed planned, it has not yet proceeded in a significant way.

4.3 ENERGY AND ENVIRONMENT

4.3.1 NATURE OF THE PROGRAMME

The purpose of this programme is to support building the capacities of governments as well as the most vulnerable people, to prepare for, respond and adapt to sudden and slow disasters and environmental changes. It also works in partnerships to protect the environment, and to meet the challenges posed by climate change. The outcomes as noted in the CPAP are:

1. Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks.
2. Progress towards meeting national commitments under multilateral environment agreements.

The goal of the energy and environment programme of UNDP India was to support the Eleventh Five Year Plan to build the capacities of the most vulnerable people and government at various levels, to prepare, respond and adapt to disasters and environmental changes. UNDP works in partnerships to protect the environment and meet the challenges posed by climate change. It is trying to address global warming by supporting the reduction of Greenhouse Gas (GHG) emissions in energy-intensive industries, promoting the use of renewable energy sources and helping the Government to phase out ozone-depleting substances. It works with the Government to strengthen policy frameworks for carbon reduction, developing standards for energy conservation and encouraging more efficient use of natural resources. UNDP helps implement various national policy initiatives to increase forest cover and arrest land degradation. Biodiversity conservation efforts are sought to be strengthened by community-based programmes.

The environment programme has contributed to the preparation of the Second National Communication to the United Nations Framework Convention on Climate Change (UNFCCC), Fourth National Report to the Convention on Biological Diversity (CBD) and National Biodiversity Action Plan. Technical support has been provided for the phase-out of CFCs. The environment programme portfolio comprises some purely 'technical' components such as emission reduction and phasing out of CFCs, and some 'people-centred' components such as sustainable management of natural resources. The energy and

environment programme is carrying out pilots to reduce erosion of biodiversity and positioning India on a low-carbon trajectory. Broadly, the portfolio covers biodiversity conservation, climate change, access to energy and energy efficiency, as well as multilateral agreements and capacity development.

These projects can be clustered under two broad thematic groups: biodiversity conservation and climate change. The climate change theme can be further subdivided into climate change mitigation, climate change adaptation and capacity development. The programme includes projects to reduce GHG emissions in energy-intensive industries, promote the use of renewable energy resources and help the Government to phase out ozone-depleting substances. It works with the Government to strengthen policies, laws and regulatory mechanisms for carbon reduction, energy conservation and encouraging more efficient use of natural resources. It is also designed to help in the implementation of various national policy initiatives to increase forest cover and arrest land degradation, and in biodiversity conservation efforts (where the focus is on involving communities in sharing traditional knowledge on natural resources and improving market access for their products).

The GEF has become the most significant funder of the UNDP country office activities in this area. Out of the 56 GEF projects in India, UNDP has been the implementing agency for 28 projects.[29]

4.3.2 RELEVANCE

This is potentially an area of immense relevance because it relates directly to some of India's most pressing development concerns. All of UNDP's projects in this programme area have been aligned to the UNDAF outcome "By 2012, the most vulnerable people, including women and girls, and government at all levels have enhanced abilities to prepare, respond, and adapt/recover from sudden and slow onset disasters and environmental changes." There were also projects taken up to assist the Government of India in making progress towards meeting national commitments under multilateral environmental agreements. The emphasis on pursuing low carbon energy options is essential and in keeping with India's goals of keeping carbon emissions in check. Though per capita emissions in India are low, they could rise in the future if India pursues its development goals using high carbon emission energy options. At the same time, a low carbon development and energy pathway is also necessary to protect the poor, who will be the most vulnerable to impacts of precipitous climate change. A crucial initiative in this context is the work with state governments to build capacities to develop state Climate Change Action Plans, work that has been appreciated by state governments. UNDP supported the preparation of the Common Framework for the Preparation of the State Level Strategy and Action Plan (SAPCC) for the Ministry of Environment & Forests (MoEF) in consultation with state governments and other stakeholders.

Like the poverty programme, the energy and environment portfolio over the period of the ADR has been large and diverse, with many relatively small projects scattered about the country. There have been recent attempts to reduce the number and provide more focus to the programme. Most of the projects are definitely relevant in their various ways, but there are some indications of opportunistic choice of projects. This is partly due to the fact that GEF funds are accessed through individual projects.

In some cases, this approach has also meant that the country office has taken on projects that may be less relevant and possibly even problematic in the Indian context. For example, in its work on promoting People's Biodiversity Registers (which is a government-supported programme), UNDP

[29] <www.thegef.org/gef/gef_country_prg/IN>, accessed on 28 October 2011.

did not give sufficient importance to concerns about making available such data on biodiversity and its associated knowledge in the public domain.[30] In the absence of legal protection for such databases or for indigenous knowledge, in India, such unprotected data could end up facilitating bio-piracy.

4.3.3 EFFECTIVENESS

Positive examples of effectiveness and relevance can be seen in the energy efficiency introduced into small-sector tea processing units in South India, as well as in energy efficiency improvement in the steel re-rolling mill sector.

In order to improve access to energy and its efficient use, pilots have been developed which seek to enhance access of rural households to energy through low carbon options such as using biomass for electricity generation. However, some (like BERI, or Biomass Energy for Rural India) seem to have lost significance for the rural poor because of delays and inability to build community ownership. Nevertheless, some lessons learned from the pilot, particularly on technology aspects have helped the Ministry of New and Renewable Energy (MNRE) to develop other biomass-based projects. The projects to introduce energy efficiency in small-sector tea processing units in South India were effective, as was the programme to remove barriers to energy efficiency in steel re-rolling. Both were relevant to meeting India's development objectives by reducing emissions and making available more efficient processes and technologies in energy intensive units in the unorganized sector. The developmental significance of this is to be seen in the fact that this sector provides more employment than the organized sector.

The effectiveness of the programme is constrained by a lack of coherence, which leads to fragmented efforts and has to some extent reduced the effectiveness of individual projects. This relates to a larger problem of insufficient cross-fertilization across different projects, even those within the same programme. Several projects potentially could have crosscutting benefits, ranging from health (medicinal plants), to augmenting incomes (Community Based Natural Resources Management (CBNRM)) to providing water for irrigation and diversifying livelihoods (BERI), while protecting the environment and natural resources. There is an institutionalized mechanism called the Partners' Meet that is specifically designed for cross learning and increasing synergies: a two-day intensive workshop where partners share updates from their projects and find areas of synergy to deepen the impact of their work. It is to be hoped that this mechanism will in future generate greater evidence of synergies.

Lack of sufficient technical capacity among the country office staff was cited as a major problem by almost all stakeholders. Technical capacity in the energy and environment area is mostly delivered by the Regional Centre in Bangkok (RCB), which plays a key role in developing GEF-funded projects for the country office, as well as in their monitoring and evaluation. While the expertise in the RCB is considerable, it serves a large number of countries.

The comparatively small size of most projects also affects functioning in several other ways, including the attitude of government partners. Since the financial resources that UNDP contributes are small, central and state government officials are increasingly veering to the view that the administrative burden of taking the UNDP projects is not worth the effort. The Ministry of Environment and Forests itself invests substantially in the environment sector and increasingly sees the financial contribution that UNDP makes as less consequential. Second, the small size and lack of integration with local government or other networks means relatively low visibility of

[30] UNDP has recognized the risks in this through the results of a study it has commissioned on 'Protection of IPR-related traditional health care knowledge and resources in India' by S. Krishnaswamy (unpublished), 2009.

UNDP's projects, even in UNDAF states. This failure to build a constituency denies UNDP potential well-wishers and reduces its ability to build on past achievements. Many people, even those working directly in this area, are often not aware of UNDP's activities.

The distance to the field has in many cases hampered the delivery of practical solutions based on ground realities of the constraints and needs of the communities. The large number of projects also makes it physically impossible for the programme staff to visit projects with the regularity and seriousness that ought to be considered essential.

One major area of strength is in training programmes. UNDP is widely acknowledged to be good at capacity development at various levels, from local communities to tea factories to relevant ministries, to training of trainers. The advantage of UNDP is that it can access good-quality training materials developed internationally and nationally, and assist in generation of more such material. Since it works in many different countries, UNDP can draw upon skilled and competent people from its network across the world. Related to this, UNDP provides the opportunity of an international platform which could be used by governments and agencies to showcase their work and share it with other countries, and also benefit from the experiences of other countries. This potential for South-South cooperation should be exploited more than is currently the case.

4.3.4 EFFICIENCY

The energy and environment programme is characterized by significant implementation delays. These result from the strict conditions that accompany GEF grants and the fact that all implementation plans have to take into account the interaction of actors from the three main players – the Government of India, UNDP and GEF – each with its own substantial bureaucracy. The different financial cycles followed by the three tend to create confusion and add significantly to reporting and accounting work. UNDP has a January to December cycle; the Government of India has an April to March cycle; and GEF has a July to June cycle. By the time all this has been juggled, reports have been written several times and much work is duplicated and time wasted. The process of grant making, disbursement of funds and implementation needs to be streamlined to reduce the huge delays caused by redundancies and overlaps in the system.

The heavy dependence on GEF funds within this programme affects efficiency in other ways, beyond the choice of projects. GEF jargon is complex and the reporting requirements are so tortuous that most project partners cannot work out what information is being asked for. This results in complex and delayed project preparation processes, relying on the intermittent expertise available only in RCB. Because of GEF focus on global environmental benefits, important aspects that could come out of projects are sometimes under reported or not reported at all and valuable insights may be lost. The fund release pattern often does not take into account the demands of the field. In the case of biodiversity, fund flows may not be synchronized with the planting season, so either funds lie idle or do not reach in time.

As a result of too many and diverse projects, monitoring tends to be inadequate. Important lessons are not learned from the field and the opportunity of learning from experiences, especially mistakes, is lost. In this case, however, GEF monitoring and evaluation procedures – including the annual project implementation review and the requirement for project midterm and final evaluations – are more rigorous than those of the rest of UNDP.

4.3.5 SUSTAINABILITY

UNDP has long-term cooperative relationships with the Ministry of Environment and Forests and the Ministry of New and Renewable Energy Sources, both of which lay the basic groundwork for longer term sustainability of its activities.

However, in the case of individual projects, sustainability is not always evident, as in several cases lack of sustainability appears to be inbuilt into the very design of the projects. There is little in the form of anticipatory research to assess what is needed in future and projects are stopped once the predefined time for the pilot or specific activity is over. Although exit strategies are a requirement of both GEF and non-GEF projects, there are few cases of clean exits from projects. This is partly because insufficient planning is done at the stage of project design. Further, because UNDP does not build grassroots presence and local contacts at the project sites, it is not able to develop a successful exit strategy that builds consensus and takes all participants on board.

Sustainability is further affected by the lack of institutional memory in the country office, which hampers continuity in the work and does not allow for linkages between UNDP's various projects. This may be related to frequent changes of personnel and deficient organizational systems that do not record or document things sufficiently to pass on to the next incumbent.

4.4 HIV/AIDS

4.4.1 NATURE OF THE PROGRAMME

UNDP supports the Government's efforts to reduce HIV and AIDS among vulnerable groups and to promote the rights of marginalized groups such as sexual minorities and people living with HIV. The outcome for this programme is "scaled up multi-sectoral responses by ministries to achieve NACP-III goals with particular reference to vulnerable groups."

The programme works to address structural inequalities, social biases and power imbalances that increase vulnerability. It supports the National AIDS Control Organisation (NACO) in working with vulnerable populations like migrants, men who have sex with men (MSM) and transgender people (TG), to strengthen their capacities to demand services. In its role as the lead UN agency on sexual minorities, UNDP has supported rolling out of prototypes of the GFATM round 9 (Sashakt) project at the request of NACO. It also works with non-health ministries to integrate HIV prevention and impact mitigation in their work; with nine state governments and various CSOs to build their capacities to provide information and services on HIV to the most vulnerable; and with critical stakeholders to create an enabling environment to reduce stigma, strengthen legal aid and other services and promote human rights among marginalized groups. It assists NACO and state organizations to address unsafe mobility and preventing HIV among migrants.

4.4.2 RELEVANCE

UNDP's work in this area, along with that of other external agencies, is mediated through and organized by NACO. It is, therefore, naturally aligned with official priorities and closely follows government direction in this regard. As mandated by NACO, UNDP works with the most-at-risk populations such as migrants, MSM and TG, and people living with HIV and AIDS, with a strategic thrust towards prevention of the spread of HIV and mitigating its impact. The operations are mainly in low-prevalence states[31], with the primary goal of reducing the HIV/AIDS prevalence rate among vulnerable groups and improving the quality of life for people affected by HIV/AIDS, by supporting initiatives to reduce HIV-related stigma, enhanced community participation and improving access to livelihood and social protection for vulnerable groups.

4.4.3 EFFECTIVENESS

In this programme area, UNDP has been actively involved in the development of several policy and strategy documents. Policy support was provided to NACO to develop national policies for gender

[31] Five out of the 7 UNDAF states namely: Rajasthan, Bihar, Uttar Pradesh, Orissa and Chhattisgarh.

and HIV; for greater participation of people living with HIV; and development of a programme framework for reducing HIV vulnerabilities of migrants. Their work with the invisible groups such as TG and hijras (transsexuals) resulted in the national programme developing an exclusive approach to the transgenders. Similarly, UNDP's support and engagement provided the background towards decriminalization of same-sex behaviour and the withdrawal of Section 377 (the section of the Indian Penal Code that criminalized same-sex behaviour) in partnership with UNAIDS, all built a facilitative environment for interventions. UNDP worked with the National Authority for Legal Services Authority to place stigma and discrimination issues of transgenders on a legal and development platform within a constitutional rights framework.

There are several smaller projects in which UNDP is seen to have been effective in improving the rights and livelihood conditions of people living with HIV. However, the work in this programme area is in pockets and not widely discussed, and so tends to be relatively invisible. As a result, it is not known as clearly to other larger development partners. Further, despite its work, UNDP is not widely known as a major player in policy advocacy in this area.

UNDP is recognized for picking up important concepts in which to promote research, and encourage good scholars and research organizations to enter into such research. However, these partners often feel that when the commitment from NACO is not forthcoming, UNDP does not take the results of the research forward sufficiently in terms of policy advocacy and tends to abandon the project. Examples cited include the mainstreaming strategy, the health insurance work, and work on access to treatment, where it was felt that UNDP did not push aggressively for particular agendas developed through such research.

Addressing stigma and discrimination is a cross-cutting theme in almost all activities of UNDP's work with communities. The mainstreaming unit was able to engage and influence several government departments in rolling out government orders and including a section on HIV in their training programmes for their functionaries and partners.

The CHARCA (Community-based HIV/AIDS/STD Response through Capacity-building and Awareness, working with young women) and Link Worker (designed to bring rural women and youth into the gamut of HIV interventions) schemes have struggled to translate their goals into concrete action plans. The TAHA project (which mapped trafficking routes in one state to facilitate planning of interventions by the government and non-government organizations to combat trafficking) also had relatively limited effects. This project was not a core area of UNDP and was taken only because DfID had granted funds. Since United Nations Office on Drugs and Crime (UNODC) was primarily responsible, UNDP's internal funds were not provided for continuation.

UNDP's work has probably been more effective for being deeply embedded within the NACO framework. Government partners have noted that UNDP has a strong agenda for making HIV AIDS a multisectoral issue through the strategy of mainstreaming, and was also very successful in building the confidence and capacity of people living with HIV/AIDS. However, this strong association with NACO has also given rise to criticisms from others working in this area that UNDP does not adequately assert itself and use this close relationship to push for and promote strategies and interventions that the Government gives up on or does not have interest in.

4.4.4 EFFICIENCY

In this programme area as well as in others, UNDP's work has been adversely affected by low staff strength relative to the number of projects that it seeks to implement and the short cycles of operations for its activities. Most projects have two-year cycles, with an effective field implementation period of about 15 months. Yet most such interventions require a minimum time-frame of

about five years for effective implementation. The outcome evaluation[32] in this area noted that when the thread of work has been longer, UNDP has been able to demonstrate greater results and respect among partners.

UNDP programme officers in this area are acknowledged to be efficient and sensitive, but they are forced to work on too many areas and are, therefore, spread too thin. The mechanisms for field-level monitoring are weak and, therefore, the disconnect noted in some of the other programmes, between country office staff and workers at the field projects, also exists in this case. Field visits tend to be few and far between.

4.4.5 SUSTAINABILITY

There are cases of delayed handover in some of the projects, which are made more severe by the short duration of the projects. This makes even the more successful projects unsustainable except when (as has occurred in some cases) they are mainstreamed into policies and laws. For example, the Link Worker programme is in a challenging position as UNDP attempts to transition it to the Government. This emphasizes the need for UNDP to focus on those interventions in which it can ensure clear changes in government policy and to move from piloting projects for the Government to take over to policy advocacy as a general strategy.

4.5 CRISIS PREVENTION AND RECOVERY

4.5.1 NATURE OF THE PROGRAMME

This programme is aimed at reducing vulnerability to natural and manmade disasters through community-based disaster preparedness, early recovery and response and 'build back better' institutional strategies following any disaster.

The outcomes for this programme are:

1. Communities and institutions have established mechanisms and partnerships to effectively respond to and recover from the impact of disasters.
2. Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks.

In this programme, UNDP works closely with the Ministry of Home Affairs and the National Disaster Management Authority. It has operated in 176 districts in 17 states since August 2002. It was initiated at a time when there was little appreciation and understanding on disaster reduction issues. In 2002, the country was recovering from a string of catastrophic disasters. UNDP's positive experience in Orissa, where it had played a crucial role in coordinating relief efforts after the super-cyclone in 1999 and helped the Government of Orissa to generate systems and structures in disaster management, provided an impetus to move forward. It also ensured that policy moved beyond sporadic, unscientific relief operations to a longer term focus on preparedness and systems of management of responses.

It is the largest programme implemented by any country in Asia and has set a benchmark for community-based disaster reduction. "A dynamic and continuing partnership between the Government of India, state government and the UNDP ensured strong leadership for the program. Training and capacity development at all levels including recruitment and placement of trained professionals at district levels made a qualitative difference to the programme activities. In spite of numerous 'implementation dilemmas' that are typical to any large scale first-of-its kind initiative, the programme has clearly demonstrated that life loss and vulnerabilities can be significantly reduced through appropriate community based preparedness measures."[33] In addition to the all-India and

[32] Rego, A., 'India Outcome Evaluation Report: HIV, 2007-12', UNDP India, 2011.

[33] Asian Disaster Preparedness Centre, 'Evaluation and Lessons Learning Review – Government of India and UNDP Disaser Risk Management Programme (2002-08)', Bangkok, 2009.

state-related efforts, UNDP's specific involvement in coordination of relief efforts of other external agencies after the 2004 tsunami was also a significant intervention (see Box 4).

4.5.2 RELEVANCE

This programme is extremely relevant to the past, current and future needs of the country, especially as it covers the most vulnerable regions and focuses on more disadvantaged groups. The need to approach disaster management in a holistic manner and cover vulnerable areas of the country was not something that was recognized so clearly in policy circles before UNDP's active intervention, and now UNDP involvement is very closely aligned to current national and state government priorities.

The programme is likely to continue to be extremely relevant because disaster preparedness is an area that is unfortunately likely to become even more significant, given the context of climate change-induced disasters and other events. Further, the lessons in coordinated management and close cooperation between different government departments and civil society partners is one that can be usefully learned for other areas of UNDP programmatic activity.

4.5.3 EFFECTIVENESS

The outcome evaluation[34] of the programme found that the strong partnership between UNDP and Ministry of Home Affairs ensured that it was efficiently introduced in the selected states and monitored regularly. At the level of state governments, the strength and nature of the partnership at state level has strongly affected the impact of the programme. In some states, the programme was successfully able to reduce losses to lives and property in certain cases of natural disasters, as was evidenced in Orissa and Assam as well as some villages in Tamil Nadu, where disasters successfully tested the level of preparedness of state authorities and local communities.

In some cases, the programme activities had little or no impact even where the effect of disasters is widespread. This may be because of the 'cookie cutter' approach that assumed similar requirements in a multi-hazard environment, which was noted in the outcome evaluation report. Instead, diverse and locally specific strategies were probably required to address the varying nature of vulnerabilities and capacities of communities and other key stakeholders across the country. For example, the specific characteristics of the North Eastern region (high seismic risk, law and order problems, difficulties of physical access) were not taken into account in the design of the strategy.

A key strength of the programme was the number of levels at which implementation action was taken up. This was not a national programme working with the National Disaster Management Office, complemented by a set of pilots in districts or communities. Rather, it was a serious effort at simultaneously working in a large number of communities, and all the way up to the national level, through PRIs; block, district and state bureaucracies; and concerned ministries of the national Government. However, there was inadequate integration with *other* national ministries and government departments that were not seen as directly concerned with disaster management. The results improved significantly in qualitative terms in states where programme activities were integrated with existing government development programmes carried out by various line departments. There have been attempts to incorporate this learning into the current DRR programme. Even so, in general, this is still perceived as a stand-alone programme in almost all states, building the capacity only of the revenue departments. It has not been linked to development plans.

[34] Ibid.

Formal mechanisms of involving civil society organizations and the private corporate sector were not provided for in the programme design. As a result, this was seen largely as a government-led and government-managed programme. These issues were sought to be addressed in the formulation of the new DRR programme (2009-2012), where specific support is being given to set up interagency groups. Although the attempt at outreach was widespread, the extent of community empowerment was in general found to be rather limited.

Women's participation was found to be good where the programme could make use of existing opportunities such as active Self Help Groups, Anganwadi Workers, ASHA workers, or where traditionally women have active roles in the community, such as in the North Eastern states.

Judicious use of technical resources and investments on training would have significantly improved programme performance. In most states, the opportunity to use the DRM programme to provide a fresh infusion of resources in order to develop their capacity as providers of training and technical support services to the state government was not sufficiently utilized.

The identification process for project activity has excluded some high-risk regions. In some cases, it was felt that the programme design was not sensitive to specific geo-climatic conditions, remoteness of project districts and poor infrastructure. This tended to result in additional pressure on resources and delays in implementation in these more difficult areas, which are usually also those at greater risk of being impacted by disasters. For example, certain high-risk districts are remotely located particularly in the North East, and carrying out activities in such areas requires extra efforts. The programme design for planning as well as monitoring needs to recognize such challenges.

There has been a recent emphasis on climate-related disasters, which is justifiable given the climate vulnerability of many parts of the country and many poor communities. It is still also important to recognize the need to be prepared for a wide range of potential disasters and UNDP's work should incorporate disaster preparedness in wider areas to deal with disasters of different kinds.

4.5.4 EFFICIENCY

Overall, this has been one of the more efficiently functioning programmes of UNDP India. National United Nations Volunteers appointed for programme management have helped in the rapid start-up of the programme as well as its continued implementation. District Project Officers played an important role in the accomplishment of objectives by assisting the district administration in executing the programme activities.

It was generally noted that post-tsunami, UNDP did an excellent job of coordination of smaller UN organizations and supporting technical assistance (see Box 4).

Nevertheless, the programme design and strategy was somewhat over-ambitious in relation to the constraints of time and resources, with a large number of activities to be taken up and large geographical spread. The independent evaluation of the programme conducted for the country office[35] noted that the programme was characterized by "too many activities; lower resource allocation per unit, no prioritization between activities". While this has been seen as a general problem across UNDP's various programmes, in fact, it was somewhat less in this case than in other programmes. Further, despite the highly ambitious nature of the programme, there is a general perception that in several vulnerable areas, in overall terms the community's perception and response to disaster risk management issues have markedly improved as a result of UNDP's engagement.

[35] Asian Disaster Preparedness Centre, 'Evaluation and Lessons Learning Review - Government of India and UNDP Disaster Risk Management Programme (2002-2008),' Bangkok, 2009, p. 33.

Box 4. Tsunami Recovery: UNDP as coordinator

The Indian Ocean tsunami in 2004 caused major devastation in India. Nearly 3 million people were affected, with over 12,000 dead and hundreds of thousands left homeless. A very significant proportion of the affected people were poor and from socially disadvantaged groups. The scale of the calamity led to a massive increase in aid flows and reconstruction efforts by a wide range of official and non-governmental agencies. The Resident Coordinator and UNDP worked with national officials, international humanitarian agencies and non-governmental organizations to help coordinate this effort. While the Government was leading the recovery efforts, UNDP was the executing agency of the UN Recovery Framework and coordinated the efforts of seven UN agencies (UNICEF, WHO, ILO, FAO, UNFPA, UNV and UNESCO).

In addition to the overall coordination effort, UNDP took the lead in several critical areas of the Joint UN Rehabilitation Programme, such as NGO-government coordination; shelter and livelihood recovery; trafficking and HIV/AIDS; restoring livelihoods and healthy environment for long-term security and sustainability; and ICT.

The NGO-government coordination became the first formal mechanism of its kind in post-disaster recovery scenario in India. It channelled large-scale NGO support to addressing shelter and livelihood needs of the tsunami-affected population, to ensure that the activities of the many organizations involved in providing assistance complemented each other and focused particularly on challenges facing the most vulnerable communities.

There were some evident successes in the specific activities of UNDP, such as the 'build back better' approach to shelter and habitat development including creating guidelines, model houses and designs, and building the capacity of engineers. An assessment of disaster-resilient technologies that were socially acceptable was undertaken for shelter reconstruction in coordination with the Government, NGOs, and the UN. After identifying appropriate technologies, engineers and masons (including women) were trained on these technologies and disaster-resistant construction practices. Model buildings were constructed in various districts to demonstrate a range of environment-friendly, energy-efficient and cost-effective building materials.

Similarly, UNDP support to improve the early warning mechanisms in coastal areas enabled greater preparedness of coastal communities and the Government through last mile connectivity in over 400 vulnerable villages in Andhra Pradesh, Kerala and Tamil Nadu to ensure that they receive early warning messages on time. To address the vulnerabilities of coastal communities and improve their coping capacities, UNDP supported fisheries cooperative models in 55 villages in Nagapattinam and Quilon districts to encourage sustainable livelihood opportunities.

However, UNDP's most significant achievement is generally recognized to be its coordinating role in this area. This has been particularly appreciated by some smaller UN agencies and NGOs which note that they benefited from UNDP's global expertise, the technical consultants that they hired and the ability to bring together different agencies to work in a cohesive way in fairly difficult conditions. This coordination role has continued in the post-tsunami phase. The Tamil Nadu Tsunami Resource Centre (www.tntrc.org) is a joint initiative of UNDP, international NGOs such as Oxfam, Save the Children, Caritas, Christian Aid, Catholic Relief Services, World Vision, Action Aid and Plan International, aimed at complementing the efforts of the Government of Tamil Nadu in the post-tsunami recovery process, supporting policy formulation and coordination, knowledge networking, and collecting and disseminating information.

This model may be usefully considered for other activities of UNDP, since it provides a good example of effective cooperation and coordinated practice that is not so evident in other activities.

A further issue, which has been noted with respect to the other programmes as well, is inadequate supervision and monitoring by the country office. Monitoring was essentially in the form of monthly self-reporting. With lack of sufficient field monitoring and involvement of the programme unit in Ministry of Home Affairs/UNDP country office, quality suffered to some extent. In many states, the State Disaster Management Plan has either not yet been finalized or has not been revised since 2004, and it has been noted that this is related to the absence of clear guidance and subsequent review by the UNDP programme team. Similarly, the District

Management Plans that were reviewed by the independent evaluation were found to be qualitatively below average except in a few cases. They did not deal with horizontal or vertical linkages, and also did not include vulnerability analysis and risk assessment, training and capacity development, identification of prevention and mitigation measures, updated resource inventory and roles and responsibilities of different stakeholders. All this suggests that the Programme Unit had not adequately concerned itself with technical assistance and monitoring to ensure good quality and up-to-date plans. It should be noted that these lessons learned and the evaluation of the earlier Disaster Risk Management (DRM) programme provided critical inputs in the design and formulation of the new Disaster Risk Reduction (DRR) programme, in which two national project officers and several state project officers have been put in place.

4.5.5 SUSTAINABILITY

The programme has yielded qualitatively better results and has been more sustainable where there has been strong and continuous leadership at state level and the process of taking local community leaders into confidence has been well developed. The experience of Orissa is particularly noteworthy in this regard, where UNDP's signal contributions to enhancing and coordinating relief efforts after the super-cyclone and putting in place a systematic framework for disaster management are still recognized and appreciated. It was noted that UNDP's activities played a critical role in making the state government aware of the need for disaster preparedness. As a result, now many more systems are in place – right from village to state administration in Orissa, people now know what is required to be done before, during and after disasters. So UNDP is no longer really required to the same extent in this area, precisely because its interventions proved to be so sustainable.

The programme will be more sustainable to the extent that it addresses recurring local hazards and the immediate needs of the communities. This means that the programme design must factor in particular ecological and topographical considerations and well as socio-economic conditions, including the nature of property distribution and other inequalities in access to resources. The proposed change in approach in the forthcoming CPD, with climate change and disaster management to be addressed in a single outcome is, therefore, welcome.

Chapter 5

UNDP'S STRATEGIC POSITIONING AND OTHER ASPECTS OF FUNCTIONING

5.1 UNDP'S STRATEGIC POSITIONING

The widely dispersed programming over the period considered by the ADR reflects an overall absence of a strategic approach, which has been noticed and commented upon by almost all stakeholders. It is reassuring to note that UNDP is also aware of this problem and has moved in the past few years to reduce the number of projects and focus them more strategically and in a more consistent way.

In the first part of the decade under consideration, the focus on human development, which had driven the country office's work, provided a central overriding concern that allowed the various activities to be placed within a context. This was also UNDP's particular niche and unique contribution to the development discourse and agenda. However, subsequently this focus was dissipated, and it was no longer really treated as an umbrella for UNDP activities in general, or even for strategic entry into a particular focus area. This meant that the country office engaged in a wide variety of activities without a clear perspective on the relative significance of each and the way in which it fit into an overall strategy. Many projects were generated or engaged in an ad hoc manner, and several were inadequately thought through and did not appear to be part of a cohesive plan.

Overstretch and lack of focus are also reflected in the way that the country office activities appear to be more oriented around specific projects within individual programmes, rather than on outcomes. This was evident in the working methods and work culture of the country office, despite the declared focus on outcomes rather than programmes. This reduces the possibility of synergies developing across projects or between programmes. Despite frequent internal meetings at the country office, there appears to be relatively little genuine collaboration across the different programmatic activities. Only a handful of officers in the country office have a holistic sense of the various activities and how they could combine to generate the desired outcomes, and this knowledge does not seem to feed into the approach of programme officers.

As a result, development partners at all levels of the Government as well as other UN and international agencies, and even grantees, found it hard to identify a clear mandate for UNDP. This may be part of a larger corporate concern for UNDP, as it seeks to define and elaborate a role that clearly differentiates it from other UN agencies, which all tend to have relatively specific mandates.

There are indications that the country office has taken recent steps to address several of these issues in response to the CPAP midterm review recommendations, as well as the UNDP corporate Agenda for Organizational Change that calls for a move upstream to influence transformational change. It is too early for the ADR to assess the results of this repositioning.

5.2 MANAGEMENT, MONITORING AND EVALUATION

5.2.1 PROGRAMME MANAGEMENT

A common concern related to the long delays in getting projects off the ground, with anything between six months to two years passing from the supposed inception of the project to the actual start of work. It can be argued that the time line of a project should take this into account, so that the project would officially start when it actually

went into operation in the field, with three years allowed after that. This would also improve the problems of premature demands for results and early closure. It was noted that earlier UNDP would continue with and try to mainstream projects for six to seven years before exiting.

There is a sense that UNDP does not stay in for the long haul, and does not work to bring particular ideas, initiatives or processes to their desired conclusion. The ADR found many cases of excessively short project duration, especially given the long lead time before a project gets off the ground. Potentially successful projects have been abandoned before they could deliver. Others are simply closed once the report is published, and then forgotten about. Many respondents spoke of the need for the 'last mile' effort by UNDP to ensure that projects do actually meet the more important goals. Lessons from the performance of projects need to be much more systematically analysed and disseminated.

5.2.2 OFFICE STRUCTURE AND PROJECT SILOS

The UNDP office structure in India is much too centralized, with the country office attempting to monitor projects spread across the country. The country office is located in the capital city New Delhi, which is also the seat of the national government. The office in Bhubaneshwar, Orissa handles a number of state-level projects, and is seen to be extremely effective despite its relatively small size. Learning from this success, UNDP opened offices in 2008 to enable increased presence in Bihar and Madhya Pradesh. In the other UNDAF states, projects are organized and implemented by local partners and temporary hired staff. UNDP also places officers to assist in particular activities (such as decentralized planning) at the district level or in line departments in the states where the projects are located – these report to the relevant programme officers in the country office.

Insofar as local knowledge is considered more relevant to provide technical assistance for any project, it cannot be acquired in Delhi. So where there is a sufficient concentration of projects, there is a strong case for downsizing the central country office and building up local project offices, certainly in each of the UNDAF states. These local offices should be given more autonomy and larger budgets: the project office in Orissa, for example, is doing good work and is well appreciated locally, but it is constrained by the need to consult the country office on every issue and the lack of sufficient budget to allow it to engage in work more creatively and flexibly at the local level.

At the same time, within the country office, staff in different programmes tend to work in their own silos and rarely attempt to find synergy across their programmes. What is striking is the absence of synergy across projects even within the same programme. Recently, some efforts have been made to integrate cross learning in project design. For example, two new programmes are being designed on sustainable livelihoods based on access to clean energy. In addition, the Country Programme Management Board is a senior-level management body (between UNDP and the Ministry of Finance) that is intended to provide overall guidance and direction to ensure programmatic and strategic focus and allow for mid-course correction. However, this does not really address the problem of lack of interaction, learning and synergy across projects and programmes that is more of an issue for programme officers and projects operating on the ground.

5.2.3 MONITORING AND EVALUATION SYSTEMS

The current organization of the country office does not allow for adequate monitoring of projects, hand holding when and where required and other forms of assistance. The number of projects is so large that it is difficult for programme staff to be able to supervise them adequately even from a distance. Each programme officer has to deal with a large number of projects and field visits are, therefore, rare. Assessment by UNDP is,

therefore, typically based on the internal assessment of the project partner rather than regular monitoring by its own staff. There are projects which no one from the country office has visited for several years at a stretch, except when accompanying a visitor or an external evaluator. When these visits do occur, they are often too fleeting (and, therefore, superficial) to be of much use. Further, there is almost no attempt to examine the impact of a project once it has closed or the attention has moved away from it, so even apparently 'successful' pilots (such as in Bhilwara, Rajasthan) are not attended to.

It should be noted that the staff in the country office are very conscious of this problem themselves, and felt that even though they were completely occupied with project management (to the detriment of their own capacity development in professional expertise) they were unable to do full justice to the projects under their supervision.

This also relates to another issue: that of complicated procedural requirements based on UNDP corporate rules and regulations, often for relatively small amounts of money, which take up excessive time and effort of the staff as well as partners involved in particular projects. This problem is compounded in joint projects involving different organizations, with often varying requirements.

The CPAP Mid-Term Review made a point that is still valid: "The M&E framework leans heavily towards quantifying inputs (for instance, 'number of knowledge products produced' and 'number of Human Development Reports prepared') as compared to assessing the quality of outputs (e.g., 'use of knowledge products by key actors' and 'gender responsiveness of new HDRs')"[36]. The review also notes the continuing tendency simply to put some numbers down as indicators of success (x women 'financially included', y livestock provided for families, z PRI representatives trained) – all with no follow-up of the actual effects of the activity or even whether it proved to be sustainable. Internal evaluation systems are weak: despite the declaration of a baseline approach, baselines for many projects are not clearly specified and almost never updated in the light of changing circumstances. There is little use of either counterfactuals or control group analysis. The pilot approach encourages this because once the pilot is completed UNDP tends to move on, without monitoring subsequent development.

It may be necessary to reconsider the current use of the Results-Based Management approach to move away from quantitative indicators that may provide only relatively simplistic and possibly misleading indicators and also not adequately capture impact. This is especially important if UNDP plans to move into more upstream policy analysis and related activity. Since these have effects over the medium or long term, requiring programme officers to submit quantitative indicators of processes and outputs may trivialize the issue.

Rather, many activities – and particularly upstream policy work – require different and more creative methods of monitoring. For example, in the successful case of UNDP intervention with respect to the R&R Policy in Orissa, quantitative indicators on the number of stakeholders consulted or the number of legislators lobbied are not the relevant indicators. Rather, the ability to get essential features of the desired policy into policy and legislation was the chief success. Similarly, in Solution Exchange, the number of people involved in any particular online community is not the most useful indicator – if the activity managed to get across more information or policy proposal to even one policy maker or one practitioner on the ground, this should also be seen as a success. An emphasis on numbers alone is, therefore, often distracting from the real goals.

[36] Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010, p. 47.

5.2.4 TECHNICAL CAPACITY OF STAFF

The evaluation evidenced a frequent mismatch between the technical requirements of programmatic work and country office staff profiles. It is recognized that the tension (in hiring practices) between choosing technical specialists or generalist programme managers is clearly a complicated issue especially in an organization that is devoted to covering a very wide range of different areas. Since many programme managers are not specialists in the specific fields they are concerned with, the lack of technical or local knowledge can sometimes be a constraint in dealing with partners who expect such expertise from UNDP. The evaluation reveals that this lacuna has several implications. First, it affects project design, which in turn determines how effective and sustainable the project can be. Second, it affects the choice of and ability to monitor and assess the work of external consultants hired to fill these very technical gaps. Third, it affects the credibility of UNDP in professional platforms where technical knowledge is expected. The lack of specialized knowledge is increasingly a handicap in a country like India where UNDP needs to bring that extra knowledge to the table. Since many partners look to UNDP precisely for technical inputs, it is a concern when these are not available at the country office level, even if such expertise especially in some areas exists in RCB.

When UNDP has been involved in brainstorming activities, such as in recent discussions on the concept of inclusive growth, it has generally been widely appreciated. There is significant potential to increase UNDP's engagement and presence in national policy debates and discussions. This suggests that there is a need to emphasize professional knowledge (in addition to other attributes) in staff development, and to incentivize greater engagement with relevant researchers and civil society players along with government at different levels. New hires should enhance the organization's credibility as an international think tank on development issues.

5.3 PARTNERSHIPS

UNDP works dominantly with the Government, at central, state and district levels. Much of its work is currently focused around line ministries and the Planning Commission in the central government, and the associated department in the UNDAF states. It also has partnerships with NGOs and civil society organizations for specific activities. UNDP collaborates with other agencies in the UN system for a range of its activities. Bilateral aid agencies typically act as donors for UNDP projects, although there are also some cases of partnership in specific activities. Academia and other experts are involved in consultations and are also used as experts in programmatic work.

5.3.1 PARTNERSHIPS WITH GOVERNMENTS AT DIFFERENT LEVELS

UNDP's relations with the central government and various line ministries and the Planning Commission are generally good. UNDP is among the more widely accepted of international agencies, with a reputation for being more sensitive to local conditions, flexible and responsive than other organizations, including certain development banks. In general, official partners all said they feel more comfortable working with UNDP than with these other international organizations.

However, there is a disconnect between the country office and projects on the ground, and particularly with state governments. The focus is largely on maintaining contacts with senior officials at the central government level, even when the projects and pilots are to be implemented in specific states and districts, while there is a lack of good and effective working relationships with state governments and local administration. This has created a disconnect reflected in a lack of adequate knowledge on the part of the country office staff – of partners, of local conditions, of relevant procedures at different levels of the bureaucracy, and even of their own impact on those they are dealing with.

Often country office staff has inadequate knowledge of the functioning of the projects on the ground, a perception that was voiced by both government officials and local citizens in Rajasthan and Orissa. Given the significant resources spent on specific field-based projects, there is little in terms of genuine work in the field. Visits by country office staff and national consultants are mostly to state capitals or major towns, with short stops (ranging from a few hours to a maximum of two days) in the relevant project area resulting in little knowledge gained. In several cases there were perceptions of a distant and somewhat hierarchical relationship of country office staff with those handling projects on the ground. Since it is unreasonable to expect genuine field engagement from country office staff, which is expected to manage many projects spread across the country, this raises the question of whether UNDP provides real value added in such activities.

Other than in Orissa, where there is a well-functioning project office, there is little engagement of the country office with the state governments. The tendency has been to operate with specific pilots in particular districts, and then deal directly with the relevant ministry at the central level, often bypassing the state government. In some cases, UNDP does interact with the Principal Secretary concerned, but when that person is transferred, the links are lost. This has negative implications for both effectiveness and sustainability, especially when most of these areas are directly the responsibility of the state governments and projects will never be upscaled without their support and active involvement. Also, given the diversity of the country, it is clearly essential for UNDP to have strong, well-functioning offices in as many of the UNDAF states as possible. This could be associated with deployment of staff currently based in Delhi.

At the district level, which is where local project staff and UN Volunteers are based, relations with district authorities and PRI representatives obviously vary according to situation. However, it was noted that there is a tendency on the part of the local authorities to treat the (relatively junior) UNDP local staff as 'extra hands' for general additional tasks of the local bureaucracy, rather than technical experts providing added value.

5.3.2 PARTNERSHIPS AND INTERACTION WITH CIVIL SOCIETY

An inherent limitation of UNDP (and indeed of the UN system as a whole) is the obligation to work only through the Government. This creates a tendency to operate in a closed circle with the bureaucracy as the only partner of significance, and to view people as 'objects' of the particular intervention rather than subjects with their own agency and opinions. UNDP engagement with development activities needs to become more rigorous, transparent and accountable so that it becomes a multi-stakeholder process, including local experts and other citizens. Some engagement with NGOs and other actors (such as academics, training centres, activists, etc.) is essential. It is noteworthy that many respondents – including some from within government – argued that UNDP needs to establish greater legitimacy and develop more networks outside government.

At present, there is inadequate incentive within UNDP for programme staff to develop and nurture networks outside UNDP in terms of expertise, policy advocacy, etc. Therefore, programme officers are sometimes not aware of the important experts or those with particular experience in a field relevant to their work, and rely only on official government contacts. This is a critical area in which UNDP could potentially play a very constructive and useful role, as a repository of information about and means of access to professional, technical and civil society expertise about different development issues.

5.3.3 PARTNERSHIPS WITH OTHER UN AND INTERNATIONAL AGENCIES AND COORDINATION OF UN AND OTHER DEVELOPMENT ASSISTANCE

Among international organizations in India, UNDP is widely perceived as having no clearly defined mandate. The undefined mandates and

proliferation of activities lead to replication within the UN system. Despite its role as manager of the UN resident coordinator system, several other UN organizations felt UNDP had a tendency to be guarded and opaque about its activities. There have been some successful cases of collaboration with other agencies such as UNICEF in particular projects. However, partners felt that in some cases UNDP has been 'unpredictable' in its involvement, making it more difficult to work together.

Lack of coordination within the UN system persists despite UNDAF, and was noted also by government partners, some of whom complained that it adversely affects the functioning of particular projects. The inherent difficulty of the UN system in India must be recognized in this regard, since the Government of India does not encourage coordination between UN agencies outside its own umbrella.

UNDP's coordination role has been successful in some key areas, notably disaster management for which UNDP activities in Orissa and after the tsunami are still well appreciated. The elements that made for successful coordination in that field should be considered in deciding the future manner of performing this function and which activities UNDP is well placed to take up in future.

5.4 PROMOTING SOUTH-SOUTH COOPERATION

In the CPAP, a number of initiatives for South-South cooperation were identified, including international conferences, workshops and learning exchanges on conditional cash transfers, ICT for development, employment guarantee, right to information, decentralized governance, databases for human development, as well as modes of experience-sharing on phase-out of Common Facility Centres (CFCs) through networks established under the Montreal Protocol, and on conservation of medicinal plants. Many of these were successfully held, albeit one-off events without further follow-up and facilitating of prolonged interaction between experts and relevant stakeholders.

Some relatively recent initiatives suggest more engagement of UNDP in South-South cooperation. A new Strategic Partnership Agreement between the Government of India and UNDP has just been approved to strengthen the cooperation between the parties to South-South cooperation (including triangular partnership) by leveraging India's development experience and technologies to further the cause of sustainable development in other developing countries. Similarly, there is a proposal for an International Centre for Human Development to be set up in partnership with the Ministry of Human Resources Development.

There is scope for much greater engagement and UNDP activity on this front, especially in terms of facilitating South-South exchange of scholars, activists, officials and experience generally. Given the enormous scope for such interaction and learning, given not only India's characteristics, knowledge, expertise and so on, but also the possibility of benefiting from expertise and experience in other countries, this is a huge potential area of future involvement of UNDP. Many stakeholders felt that this is an area in which UNDP could make an extremely useful and necessary contribution given the changing nature of development processes, since it can facilitate such South-South cooperation through its networks and country offices. It is important not to be oriented to single events but to have a framework for medium-term interaction in mind while developing such activities, which would be greatly enhanced by a more outward-looking approach.

5.5 PROMOTING UN VALUES

Overall, UNDP's work shows that it generally follows the core values of the UN. Much of its work contains an explicit focus on marginalized groups, and gender concerns are a cross-cutting aspect of its activities. Certainly making human development the explicit guiding principle of

the overall programme and each of its elements would be an important way to ensure that its activities actively promote the core human values. UNDP sees the core value of participation as one of the defining features of its work. This has been reflected in its involvement in the process whereby marginalized groups and their representatives are given opportunities to participate in policy dialogue, including with respect to planning. It is reflected in a number of its activities spread across programme and outcome areas.

Nevertheless, two concerns were raised by other UN partners. It was noted that several of UNDP's livelihood projects were not sufficiently conscious of the need to maintain core labour standards. It was also pointed out that some of UNDP's projects had gone through an internal gender vetting, but that was sometimes not sufficient because they dealt with partners whose gender sensitivity was not fully developed, and the structure of 'national execution' allowed the projects to be implemented in gender-insensitive ways.

Chapter 6

CONCLUSIONS AND RECOMMENDATIONS

6.1 CONCLUSIONS

Overall, this ADR has revealed the mixed performance of UNDP India over the period covered (2004-mid-2011). There are some areas of clear success and others where there are problems. It is definitely the case that UNDP has made several important contributions to India's development in the past decade, but it is also clear that UNDP must now reposition itself, restructure the country office, and change patterns and methods of work substantially, in order to meet the changing context within the country and globally.

Conclusion 1: The past and ongoing programme cycles have displayed a general lack of strategic focus and internal programme logic, which has affected relevance, effectiveness, efficiency and sustainability. However, in the recent past there have been some welcome moves towards greater focus.

UNDP has been mostly responsive to national priorities and its programmatic and non-programmatic activities have been relevant. This is especially true in areas where its programme has been well aligned with national development plans and strategies, notably democratic governance and crisis prevention and recovery. The focus on the seven UNDAF states has allowed UNDP to target the poorest areas with most pronounced development challenges. UNDP has also aligned its work with UN values with an explicit focus on marginalized groups and gender. However, while individual projects usually fit into national priorities, the overall programme is still fragmented, despite some laudable recent efforts to move towards greater focus in programming. Little internal logic or strategy is obvious in many cases, even in several projects that are still ongoing. This has in turn affected both the effectiveness of the programme and the efficiency of UNDP's activities.

The effectiveness of the programme has been variable. There are examples of highly effective programmes and projects, as well as some that are less so. The lack of strategic focus associated with a proliferation of relatively small projects, lack of synergies between projects and programmatic approaches, short implementation periods and sudden stops without careful assessment of the requirements for the 'last mile' have reduced the potential effectiveness. Notably, in energy and environment, an area where there are a large number of players, both at the national and international level, and several multilateral agencies are interested in participating in this process, UNDP needs to highlight the specific value added that it can bring, particularly in relation to its comparative advantage, capacity and expertise. UNDP needs to focus on and emphasize its ability to bring in a wide range of stakeholders to participate in processes of policy design and implementation in this regard.

Overall, monitoring and evaluation systems are not put into place or implemented effectively, and this affects not just individual projects but also the capacity to learn from particular achievements and mistakes. The current results framework, which is largely based on a listing of numerical indicators without an attempt at comparative or counterfactual analysis does not allow for measuring and demonstrating results in a way that can be useful for future activities.

Conclusion 2: Human development as an organizational principle of UNDP work in India dissipated during the period under evaluation and is now making a welcome comeback.

In the early phase covered under this ADR, human development featured as a key organizing principle of UNDP's work in India. Promoting human development was a key focus area in the 2003-2007 country programme and UNDP promoted the human development approach in planning and implementation at the state level. UNDP pioneered the subnational human development reports that were highly innovative and successful. In the next country programme (2008-2012), this focus dissipated and UNDP did not adequately follow up on its successes in the area. There are signs that the human development focus is again being emphasized in the latest reiterations of the programme, which is highly welcome. Given the continued challenges with human development indicators in India, this is an important niche in which UNDP can make a difference. Having such a crosscutting organizational principle across the organization can also help UNDP break the current silos that exist between the various programme areas and move towards a better integrated cross-thematic work with stronger impact.

Conclusion 3: The sustainability of different elements of the programme has varied, depending on how well they are strategically integrated into government policies, institutions and programmes at central and state level.

A major factor affecting both visibility and sustainability of projects has been the lack of engagement with local and state-level administrations, and the lack of efforts in finding 'champions' for continuing the initiative. This is critical for the eventual success and sustainability of any activity. In some cases, lack of sustainability has been inbuilt in the design of the projects, which have tended to lack exit strategies. In particular, for the projects working at the field level in the UNDAF states, the full engagement of state and local governments and other actors is essential, but has been inadequate. There have been many pilot projects that have not led to replication or upscaling. For UNDP to undertake pilot projects, it is important that these inform and influence policy.

Conclusion 4: The capacity of the country office affects UNDP performance in India and needs to be addressed.

While the country office has programme management expertise, the fragmented nature of the programme puts a heavy pressure on programme management. The technical skills of the staff are generally seen as inadequate to the specific thematic activities that they are required to provide expertise in. This has affected the choice of activities and partners, as well as the capacity to supervise and monitor particular projects, and hampers effectiveness, innovation and learning. In general, there is not enough external networking to ensure that UNDP staff is aware of and responsive to wider social capacities and demands, and insufficient attention given by management to the development of staff capacity. Little investment in research in the project design has affected both effectiveness and sustainability.

Internally, the over-extension of programme staff because of involvement in many dispersed projects has led to insufficient time and energy for supervision and monitoring at the field level and consequent lack of local knowledge. The rigid reporting and accounting systems that are based on UNDP rules and regulations and, thus, beyond the control of the country office have compounded these problems. There is a tension between maintaining expert knowledge and general programme management competence in the country office that UNDP should address. A better focused programme will help to alleviate problems of over-stretch and lack of attention.

Conclusion 5: Partnerships have not been fully utilized.

There is untapped potential in developing and strengthening broader partnerships. UNDP relies mostly on the Government as partner and so misses some opportunities to cooperate with civil society, academics and others. More collaboration with local development research centres could be useful on many fronts. It could

help support UNDP programmatic work and, especially, contribute to knowledge and learning within UNDP and facilitate the process of learning from experience for the benefit of the government partners.

Other than the office in Orissa, UNDP does not work sufficiently with state governments and local governments in a systematic and sustained way. There is a disconnect between the country office working mainly with national-level partners and the field. UNDP's partnerships with other UN agencies could also be much more effective, with more coordination and a clearer division of labour between the various agencies.

Conclusion 6: The potential for South-South cooperation has not been fully materialized.

While UNDP has engaged in a number of activities to promote South-South cooperation, these have tended to be isolated events rather than a concerted effort. South-South cooperation has great potential to both bring lessons from successful experiences elsewhere to India, as well as to disseminate the Indian experiences to other developing countries. UNDP has a potential role as an important knowledge broker helping the Government of India in its ambitions to provide useful lessons to other countries in the region and beyond.

6.2 RECOMMENDATIONS

6.2.1 STRATEGIC

Recommendation 1: Shift the main focus of UNDP activities away from small projects upstream to become more of a development think tank, a locus for learning and unlearning about development issues and engaging in policy advocacy.

UNDP should be reinvented to become a knowledge innovation partner rather than a programme partner. This means moving further away from direct involvement in implementing projects or attempting to supervise them, to conceptualizing, analysing and assessing development processes and possibilities and devoting more time, effort and resources to ideating and advocacy. Projects at the field level should be designed and used so that they provide lessons and inform policy at the central and/or state levels or can be upscaled.

It is important to note that this does not involve moving away from pilots entirely; rather pilots should be relatively few in number, be designed strategically to inform policy, and fit directly with upstream work and discussions. To be useful, they should also be implemented in diverse situations and regional contexts. Upscaling such activities should not become the job of UNDP. Instead, when they are successful the effort should be to disseminate knowledge about such practices, find local, state-level and national champions for the approach, and provide technical assistance for upscaling.

In all areas of work, the move upstream towards policy advice and advocacy requires a focus mainly on development of ideas, cross-fertilization of knowledge and experience, and capacity development using the best possible international, national and local expertise. Build links with civil society, including research institutes and academia, and become a repository of information about experts in particular areas as well as those with relevant experience.

Recommendation 2: Look for overarching focal issues around which to organize work and shed extraneous or small activities that are not part of the central focus. Human development should once again become the organizing principle for UNDP work in India.

This requires reducing and/or shedding a range of small activities to concentrate on specific areas that will allow UNDP to leverage its unique strengths, such as general goodwill based on perceived political neutrality, access to international expertise, pro-people progressive orientation, etc. This also means reducing or abandoning the pilot project approach, except in a few very select cases where the justification for a pilot is clear, well thought-out

and the pilot itself is carefully designed with the active participation of stakeholders who are likely to take it forward at different levels. The human development approach still remains valid in India simply because India's growth process has been so lacking in this dimension, and can still be a useful organizing principle for UNDP's work in emerging areas.

Some potentially fruitful areas for future work in this regard include enhanced South-South cooperation, emphasizing sharing of expertise, knowledge and experiences and creative brainstorming, for example, in areas like green national accounting and access to justice; and more state-level and local-level work designed to encourage capacity development for local communities and citizens to enable the entire range of rights-based programmes to work effectively.

6.2.2 ORGANIZATIONAL

Recommendation 3: Strengthen the capacity of the country office, while setting up strong and viable offices in each of the UNDAF states. Shift all field project activity to the relevant states.

The country office should be transformed into a knowledge hub with expertise to mobilize high-level policy advice to the benefit of the Government of India and other national partners. UNDP country office should build upon its neutrality and expertise to increasingly become a space for participatory policy dialogue involving both governmental and non-governmental actors. Encourage staff members to build links and networks that ensure that activities are socially embedded in groups in India and beyond that are working at the frontiers of their field. This will also require a gradual shift in the profile of country office staff from generalist programme managers to expert advisers.

Replicating the successful experiences with the UNDP office in Orissa, UNDP should gradually deploy more capacity to the state level, setting up offices in each UNDAF state. All project work that remains should be implemented and monitored at the state-level offices, with only broad inputs from the country office with regard to overall policy and strategic direction. Provide some more autonomy to the state offices, including in terms of resources, to enable them to respond flexibly to local requirements.

The re-orientation of the country office and decentralization of capacity to state-level offices, combined with a significantly added focus and reduction in the number of projects would lead to improved effectiveness, efficiency and sustainability of UNDP work, and address most of the issues currently hampering project implementation.

Recommendation 4: Improve and strengthen monitoring and evaluation systems.

Reporting and management systems need to be designed and put in place with sound results frameworks. These systems should be able to measure programme performance, including indicators that are meaningful, and be aligned with the governance structure of the programmes and projects. They should provide scope for retrieving quality data about programmes and projects even as they move away from quantitative targets that do not necessarily capture outcomes. Baselines need to be defined clearly and goals (proposed outcomes) need to take into account counterfactuals, i.e., whether similar results could have occurred in the absence of UNDP intervention. Monitoring should be systematic and periodic, with possibilities for flexible adjustment of goals when required. As far as possible, projects need to be assessed even after they have been officially closed to enable learning about actual and longer term impacts.

It may be necessary to reconsider the current use of the Results Based Management approach to move away from quantitative indicators that may provide only relatively simplistic and possibly misleading indicators and also not adequately capture impact. This is especially important if UNDP moves into more upstream policy analysis and related activity. Since these have effects

over the medium or long term, requiring programme officers to submit quantitative indicators of success may trivialize the issue. Rather, such activities require different and more creative methods of monitoring. This is a corporate issue for UNDP, because the internal systems and processes (such as the CPD, CPAP, ROAR, IWP, BSC, etc.) demand quantitative indicators and the country office is, therefore, forced to generate them. There is clearly need for UNDP to move towards more creative and relevant indicators for evaluation.

Annex 1

TERMS OF REFERENCE

1. INTRODUCTION

The Evaluation Office (EO) of UNDP conducts evaluations called ADR to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level, as well as the effectiveness of UNDP's strategy in facilitating and leveraging national efforts for achieving development results. ADRs are independent evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy.[37] The purpose of an ADR is to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board;
- Support greater UNDP accountability to national stakeholders and partners in the programme country;
- Serve as a means of quality assurance for UNDP interventions at the country level; and
- Contribute to learning at corporate, regional and country levels.

The ADR in India will be conducted in 2011 towards the end of the current programme cycle of 2008-2012 with a view to contributing to the preparation of the new UNDP country programme starting from 2013 as well as the forthcoming United National Development Assistance Framework scheduled to start in the same year.

2. BACKGROUND

UNDP operations in India stem back to the 1952 signing of the Special Agreement (Standard Basic Framework Agreement) between the Government of India and the United Nations and participating organizations for the appointment of a Resident Technical Assistance Representative, and the 1960 signing of the Agreement between the United Nations Special Fund and the Government of India concerning assistance from the Special Fund.

During the two latest programme cycles, UNDP has engaged in more than 300 projects in India, over 200 of which are now closed and over 100 are ongoing.[38] These projects extend to a variety of fields, and include the following broad areas: promoting inclusive growth, gender equality and MDG achievement; mitigating the impact of AIDS on human development; strengthening responsive governing institutions; enhancing conflict and disaster risk management capabilities, and; mainstreaming environment and energy.

Beginning in 1997, UNDP developed and implemented in India multi-year country programmes and cooperation frameworks with specific thematic and result foci. Since then, UNDP has completed two such frameworks in close collaboration with its government partner, the Department of Economic Affairs under the Ministry of Finance.[39] There has been a shift in more recent years in planning between UNDP and the Government of India from merely resources in the early years

---

[37] <www.undp.org/eo/documents/Evaluation-Policy.pdf>. The ADR will also be conducted in adherence to the Norms and the Standards and the ethical Code of Conduct established by the United Nations Evaluation Group (www.uneval.org).

[38] Balanced Scorecard data from 2003 and 2010.

[39] Sources: ADR 2002; CCF-1, 1997-2001; UNDP India Website, 5 January 2011.

to policy, procedural and institutional changes[40] towards inclusive growth and community-based interventions directed, in particular, at women and marginalized groups.[41]

The previous country programme (2003-2007) focused on four areas: promoting human development and gender equality; capacity development for decentralization; poverty eradication and sustainable livelihoods; and vulnerability reduction and environmental sustainability. UNDP promoted a human development perspective in planning and implementation at the state level and, with the United Nations Development Fund for Women (UN Women, previously known as UNIFEM), the incorporation of gender concerns into the Government of India's Eleventh Five Year Plan. The governance focus was on capacity development of local institutions and promotion of accountability. UNDP supported the design of urban poverty reduction strategies, effective implementation of the National Rural Employment Guarantee Scheme and design of the National Rural Tourism Scheme. UNDP took the lead in piloting public-private-community partnerships in several districts.[42]

In HIV/AIDS programmes, the emphasis was on formulating a strategy for greater involvement of people living with AIDS and a social and economic impact assessment of HIV, the first such study in India. Work in energy and the environment was designed to support commitments under international agreements and conventions. The disaster risk management programme focused on enhancing capacity for preparedness of communities and government at national, state and local levels. The post-tsunami recovery programme was undertaken as a joint United Nations initiative.

The CPAP 2008-2012 was finalized against the backdrop of economic optimism generated by the remarkably high GDP growth rates of the preceding years. The period 2005-2007 saw a renewed national commitment to inclusive growth, with several progressive measures to address human deprivations including the Right to Information Act, the Mahatma Gandhi National Rural Employment Guarantee Act, the National Rural Health Mission, the revitalized Sarva Siksha Abhiyan, the Total Sanitation Campaign and Bharat Nirman. The commitment to women's empowerment across sectors was reaffirmed in the Government's National Common Minimum Programme. Climate change, an issue that is claiming increasing space in the global development agenda, has also been recognized as a national priority and a National Action Plan on Climate Change was announced in 2008.[43]

The current country programme (2008-2012) contributes to UNDAF outcomes in areas of capacity development for effective, accountable and participatory decentralization and a rights-based approach to achieving the MDGs, with a focus on disadvantaged groups (especially women and girls). The programme is designed to address gender inequalities and strengthen partnerships with the private sector. Evidence-based advocacy, best practices and disaggregated profiles will help inform decisions and policies.

The programme is limited to about ten areas, with outcomes consistent with UNDP service lines and the UNDP strategic plan, 2008-2013. Programme initiatives are concentrated in the seven focus states – Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh – with low rates of human development, gender disparity indices and high proportions of

---

40 Source: UNDP Country Programme for India 2003-2007, October 2002.

41 Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 – Final Report', UNDP India, 2010.

42 UNDP Country Programme for India 2008-2012, 12 July 2007. (Unless otherwise indicated, the following paragraphs are based on this source.)

43 Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010.

scheduled castes and tribes. Within the focus states, the United Nations identified districts for joint and convergent activities with importance given to state and district-level linkages. A funding facility with other development partners will be created to replicate successful initiatives.

In September 2010, the Mid Term Review of the CPAP 2008-2012 was completed. The MTR concluded that overall, the strategic focus of the CPAP is skewed towards the 'supply side' of the development equation. Although community-based interventions are included under every programme (in some more than others), the majority of interventions are directed to strengthening government initiatives, and bringing women, Dalits and other marginalized groups into their ambit. This approach could be read as a strategic one, given that a strong demand for inclusive development has already been created, thanks to the efforts of a range of actors in the political, social, civil society and developmental domains.

The central strategy for addressing the issue of social exclusion – improving the targeting, outreach and management of government programmes – appears to be based on the assumption that equality of opportunity will automatically translate into equality of outcome for marginalized groups. The MTR found that this strategy does not take into account the deep-rooted institutional and systemic biases that are embedded in institutions of development (both formal and informal), and that constrain the ability of marginalized groups to take advantage of opportunities. 'Inclusive growth' is a long-term vision that is contingent on a process of change and transformation in the goals, institutions and processes of development. The MTR exercise came at the mid-point of the CPAP cycle.[44] Following the MTR, UNDP still has two years to complete its interventions to achieve and secure the results envisaged in this CPAP.

UNDP manages financial resources from various sources in support of its development efforts in India. These resources include UNDP core funding, resources mobilized from the Government of India and other contributors to India, resources from global trust funds such as the Global Environment Facility and the Montreal Protocol, and funds from the private sector. In the programme cycles between 2003 to 2012, UNDP mobilized more than USD 380 million for its programme budget in India.[45]

3. SCOPE OF THE EVALUATION

Since this is the second ADR conducted in India, the period covered by the evaluation will be restricted to the time after the previous evaluation, which covered the first CCF-1 for 1997-2002 (extended to 2003). As a result this ADR will focus on UNDP contribution to development results in India from 2004 to 2010. Inevitably there will be projects within this period that started earlier and some analysis may take a longer term perspective where appropriate.

The ADR will assess its contribution to the national effort in addressing its development challenges, encompassing social, economic and political spheres. It will assess key results, specifically outcomes – anticipated and unanticipated, positive and negative – and will cover UNDP assistance funded from both core and non-core resources. It covers all UNDP activities in the country including non-project activities and engagement through regional and global initiatives.

4. METHODOLOGY

The evaluation has two main components; (a) the analysis of UNDP's contribution to development results through its programme outcomes, and (b) the strategy it has taken. For each component, the ADR will present its findings and assessment according to the set criteria provided

[44] Ibid.

[45] Balanced Scorecard data, see 'India Project-Stakeholder List.'

below. Further elaboration of the criteria will be found in ADR Method Manual 2010.

a. UNDP contribution by thematic/programmatic areas

Analysis will be made on the contribution of UNDP to development results of India through its programme activities. The analysis will be presented by thematic/programme areas and according to the following criteria:

- Relevance of UNDP projects, outputs and outcomes
- Effectiveness of UNDP interventions in terms of achieving stated goals
- Efficiency of UNDP's interventions in terms of use of human and financial resources
- Sustainability of the results to which UNDP contributes

b. UNDP contribution through its positioning and strategies

The positioning and strategies of UNDP are analysed both from the perspective of the organization's mandate[46] and the development needs and priorities in the country as agreed and as they emerged. This will entail systematic analyses of UNDP's place and niche within the development and policy space in the country, as well as strategies used by UNDP to maximize its contribution through adopting relevant strategies and approaches. The following criteria will be applied:

- Relevance and responsiveness of the county programme as a whole
- Exploiting comparative strengths
- Promoting UN values from Human Development perspective

Although a judgement is made using the criteria above, the ADR process will also identify how various factors have influenced UNDP's performance. The following list highlights specific factors the evaluation will assess but is not exhaustive. It is also provided to ensure that significant factors important to UNDP are addressed in all ADRs.

- Focus on capacity development
- Incorporation of gender issues
- Promotion of South-South cooperation
- Use of partnerships for development
- Support for coordination of UN and other development assistance
- Degree of national ownership
- Promotion of the development effectiveness agenda

The evaluation criteria form the basis of the ADR methodological process. Evaluators generate findings within the scope of the evaluation and use the criteria to make assessments. In turn, the findings and assessment are used to identify the conclusions from the evaluation and to draw recommendations. The process is illustrated in Figure A1.

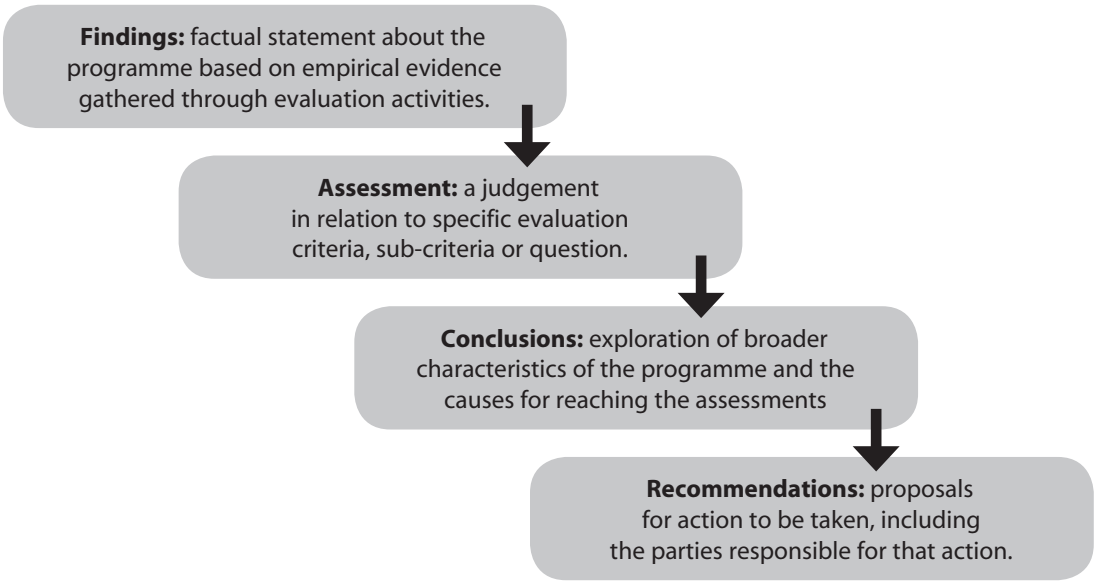
5. DATA COLLECTION

At the core of the data-collection process will be the evaluation matrix which links each of the criteria and related evaluation questions to data sources and data-collection methods. In so doing it ensures a logical approach to using the evaluation criteria.

The evaluation team will use a multiple-method approach that could include document reviews, workshops, group and individual interviews, project/field visits and surveys. The set of methods for each evaluation criteria and questions should be defined in the inception report to be prepared by the evaluation team after preliminary research. Nonetheless, the following two data-collection methods will be used as a minimum:

[46] For UNDP's Strategic Plan, see <www.undp.org/execbrd/pdf/dp07-43Rev1.pdf>.

Figure A1. From Findings to Recommendations



- Document review is at the core of the data-collection methods. The country office has successfully implemented part of its agreed evaluation plan. A comprehensive midterm review of the CPAP has been completed in 2010. In addition, an outcome evaluation of Disaster Risk Management was completed in 2009 and 13 project evaluations have been carried out in 2008-2011. The UN country team also commissioned and completed a midterm review of the UNDAF. The country office plans to commission two outcome evaluations to feed directly into the ADR in 2011.
- Stakeholder interviews will be used to fill gaps identified in the evaluation matrix. A strong participatory approach will be taken involving a broad range of stakeholders including those beyond UNDP's direct partners. These stakeholders would include Government representatives of ministries/agencies, civil-society organizations, private-sector representatives, UN agencies, multilateral organizations, bilateral donors, and, importantly, the beneficiaries of the programme. Furthermore, in order to identify key development challenges of the country, the evaluation team may conduct interviews and consultations beyond those involved directly or indirectly in UNDP country programme.

The evaluation team will use a variety of methods to ensure that the data is valid, including triangulation. All the findings must be supported by evidence and validated through consulting multiple sources of information. The evaluation team is required to use an appropriate tool (e.g., an evaluation matrix to present findings from multiple sources) to show that all the findings are validated. The data-collection process will utilize data codification methods to facilitate analysis.

The evaluation team may undertake field trips for interviews, group discussions, surveys and/or project site observations. For ADR India, it is expected that two such field trips will be undertaken to geographical regions where UNDP has a concentration of field projects. Details of evaluation methods will be included in the inception report (see section 8).

6. THE EVALUATION TEAM

The EO will establish an evaluation team to undertake the ADR. The following members will constitute the team:

- Team leader, with overall responsibility for providing guidance and leadership for conducting the ADR, and for preparing and revising draft and final reports. The team leader will be an Indian national with significant experience across a broad range of development issues.
- Senior adviser, who will advise the EO and the team leader regarding the strategic direction and conduct of the ADR, as well as review and provide inputs at critical junctures of the evaluation, including scoping mission, inception report, data analysis, and draft report. The senior adviser will be recruited internationally and will have knowledge about the UN development system and ADRs.
- Team specialists, who will support the team leader and provide the expertise in specific subject areas of the evaluation, and may be responsible for drafting relevant parts of the report. Two team specialists will be contracted to cover suitable combinations of the following areas: environment, energy and climate change, poverty reduction, democratic governance, disaster risk management, and HIV/AIDS.
- The EO task manager will act as a member of the team and provide support to the design of the evaluation, the process of data analysis and report writing.

7. EVALUATION MANAGEMENT ARRANGEMENTS

UNDP EVALUATION OFFICE

The ADR will be conducted as part of the EO programme of work. The EO task manager will provide overall management of and technical backstopping to the evaluation. The task manager will set the terms of reference (ToR) for the evaluation, select the evaluation team, receive the inception report, provide guidance to the conduct of evaluation, organize feedback sessions and a stakeholder meeting, receive the first draft of the report and decide on its acceptability, and manage the review and follow-up processes. The task manager will also support the evaluation team in understanding the scope, the process, the approach and the methodology of ADR, provide ongoing advice and feedback to the team for quality assurance, and assist the team leader in finalizing the report. The EO will also organize external and internal reviews of the draft inception and final reports of the ADR for quality-assurance purposes.

UNDP COUNTRY OFFICE IN INDIA

The country office will support the evaluation team in liaison with key partners and other stakeholders, make available to the team all necessary information regarding UNDP programmes, projects and activities in the country, and provide factual verifications of the draft report. The country office will provide the evaluation team support in kind (e.g., arranging meetings with project staff and beneficiaries; or assistance for the project site visits). To ensure the independence of the views expressed in interviews and meetings with stakeholders held for data-collection purposes, however, the country office will not participate in them.

The country office will also commission outcome evaluations that will be conducted in close synergy with the ADR. The outcome evaluation teams will report to the country office and the ADR team to the EO. In addition, there will be substantive reporting lines from the outcome evaluation teams to the ADR team leader to ensure that they feed the ADR on an ongoing basis. The ToR for both the ADR and the outcome evaluations are developed in close consultation between the country office and the EO to ensure compatibility and complementarity between them, as well as the adequacy and quality of the outcome evaluations. The country office will ensure the independence of the consultants carrying out the outcome evaluations.

THE EVALUATION TEAM

The evaluation team will be responsible for conducting the evaluation as described in section 8 below on the process, in particular Phases 2, 3 and 4. This will entail, inter alia, preparing the inception report, conducting data collection, structured data documentation and analysis, presenting preliminary findings, conclusions and recommendations at debriefings and the stakeholder workshop, and preparing the first, second and final drafts of the ADR report as well as a draft Evaluation Brief.

8. EVALUATION PROCESS

PHASE 1: PREPARATION

The EO will undertake preliminary research to prepare for the evaluation and upload relevant document to a special website for the evaluation team. The task manager will undertake a preparatory mission and following discussion with stakeholders will prepare the terms of reference for the evaluation. The senior adviser will support the task manager in this process. At this stage, the evaluation team leader will also be identified and the evaluation team established.

PHASE 2: PRELIMINARY RESEARCH AND EVALUATION DESIGN

- **Scoping mission** – The EO task manager and senior adviser will conduct a one-week scoping mission to work together with the team leader to refine ADR methodology and approaches as well as to discuss various evaluation and qualitative data analysis tools that can be used in the evaluation process. The scoping mission will help to provide inputs for the inception report.
- **Preliminary research** – Desk review and briefings – Based on the preparatory work by the EO and other information and materials obtained from the Government, UNDP country office and other sources, the evaluation team will analyse, inter alia, national documents and documents related to UNDP programmes and projects over the period being examined. The evaluation team may also request and hold briefing sessions with country office programme staff to deepen the understanding of their work portfolio and activities. With the preliminary research, the evaluation team is expected to develop a good understanding of the challenges that the country has been facing, and the responses and the achievements of UNDP through its country programme and other activities.
- **Inception report** – Based on the scoping mission and preliminary research above, the evaluation team will develop an inception report, which should include:
  - Brief overview of key development challenges, national strategies and UN/UNDP response to contextualize evaluation questions
  - Evaluation questions for each evaluation criteria (as defined in the ADR Manual 2010)
  - Methods to be used and sources of information to be consulted in addressing each set of evaluation questions
  - Selection of projects/activities to be examined in-depth
  - Possible visits to project/field activity sites
  - Outline of the evaluation's approach to qualitative data analysis, specifying specific tools to be used

The task manager will provide guidance and a detailed outline to be followed in preparing the report. The UNDP India country office evaluation focal point will be fully involved in this process both as resource person and participant.

PHASE 3: DATA COLLECTION AND ANALYSIS

- **Data collection** – Based on the inception report, the team will carry out the evaluation by collecting data:

- The evaluation team should establish a tentative schedule of its activities in consultation with UNDP country office and EO task manager. The field visits and observations should normally be arranged through the country office. The schedule may need to be further adjusted during the data collection.
- The evaluation team will collect data according to the principles set out in Section 6 of this terms of reference and as further defined in the inception report.
- All interviews will be conducted based on indicative interview protocols, and (electronic) summaries of each interview will be prepared based on an agreed structure to be defined in the inception report's qualitative data analysis approach. Interviews with central stakeholders should be, to the extent possible, conducted jointly with the outcome evaluation teams to minimize the burden to the interviewees.
- While the ADR will carry out some site visits, the detailed field work will be done through the outcome evaluations. The outcome evaluations may be encouraged to use stratified random sampling to select a representative selection of projects for evaluation. The ADR, might select purposively two geographical areas with a suitable mix of activities for visits.

- **Data analysis** – The evaluation team will analyse the data collected to reach preliminary assessments, conclusions and recommendations:
  - Once the data is collected, the evaluation team should dedicate some time (up to one week) to its analysis. The task manager and senior adviser will join the team during this phase to assist in the analysis and validation.
  - Where possible, the evaluation team should develop data displays to illustrate key findings.
  - The outcome of the data analysis will be preliminary assessments for each evaluation criterion/question, general conclusions, and strategic and operational recommendations.
  - Once the preliminary assessments, conclusions and recommendations are thus formulated, the evaluation team will debrief the country office to obtain feedback so as to avoid factual inaccuracies and gross misinterpretation.
- **Feedback workshop** – A validation workshop will be organized at the end of the data collection and analysis phase to present preliminary findings, assessments, conclusions and, possibly, emerging recommendations to key stakeholders, and to obtain their feedback to be incorporated in the early drafts of the report.

PHASE 4: DRAFTING AND REVIEWS

- **First draft and the quality assurance** – The team leader will submit a complete draft of the report to the EO within three weeks after the feedback workshop. The EO will accept the report as a first draft when it is in compliance with the terms of reference, the ADR Manual 2010 and other established guidelines, and satisfies basic quality standards. The draft is also subject to a quality-assurance process through an external review.
- **Second draft and the verification and stakeholder comments** – The first draft will be revised by the team leader to incorporate the feedback from the review process. Once satisfactory revisions to the draft are made, it becomes the second draft. The second draft will be forwarded by the EO to (a) UNDP country office and the RBAP, and (b) the Government of India for factual verification and identification of any errors of omission and/or interpretation. The team leader will revise the second draft accordingly, preparing an audit trail that indicates changes that are made to the draft, and submit it as the final

draft. The EO may request further revisions if it considers it necessary.

- **Stakeholder workshop** – A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in India. The main purpose of the meeting is to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at country level. It may be necessary to incorporate some significant comments into the final evaluation report.

PHASE 5: FOLLOW-UP

- **Management response** – UNDP India will prepare a management response to the ADR under the oversight of RBAP. RBAP will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.[47]
- **Communication** – The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new Country Programme Document. The report will be widely distributed by the EO at UNDP headquarters, to evaluation outfits of other international organizations, and to evaluation societies and research institutions in the region. The India country office will disseminate to stakeholders in the country. The report and the management response will be published on the UNDP website[48] as well as in the Evaluation Resource Centre.

9. TIME-FRAME

The time-frame and responsibilities for the evaluation process are tentatively as follows:

The time-frame above is indicative of the process and deadlines, and does not imply full-time engagement of the evaluation team during the period.

Activity	Responsibility	Estimated time-frame
ADR initiation and preparatory mission	EO	January 2011
Identification and selection of the evaluation team leader and team specialists	EO in consultation with CO	January 2011
Scoping mission	EO/Sr. Adviser/TL	April 2011
Data collection	ET	April-June 2011
Data analysis	ET/EO	July-August 2011
Validation workshop	EO/ET	August 2011
Submission of the first draft	TL/ET	September 2011
External review	EO	September 2011
Submission of the second draft	TL/ET	October 2011
Review by CO, RBAP and Government of India	EO	October 2011
Submission of the final draft	TL/ET	November 2011
Stakeholder workshop	EO	November 2011
Editing and formatting	EO	December 2011
Issuance of the final report and Evaluation Brief	EO	January 2012
Dissemination of the final report and Evaluation Brief	EO/CO	January 2012

[47] <erc.undp.org/>

[48] <www.undp.org/eo/>

10. EXPECTED OUTPUTS

The expected outputs from the evaluation team in particular are:

- An inception report, providing the evaluation matrix as specified in section 8 of this document (maximum 10 pages without annexes)
- The first, second and final drafts of the report Assessment of Development Results – India (approximately 50 pages for the main text)
- Draft for the Evaluation Brief (2 pages)
- Presentations at the feedback and stakeholder meetings

The final report of the ADR will follow the standard structure outlined in the *ADR Method Manual 2010*, and all drafts will be provided in English.

Annex 2

KEY DOCUMENTS CONSULTED

Action Aid, 'Action Aid-UNDEF: Final Narrative Report', India, undated.

Action for Food Production (AFPRO), 'Terminal Evaluation for the Project – Vulnerability Reduction through Community Empowerment and Control of Water in the Marwar, Rajasthan', India, 2010.

Ashoka Trust for Research in Ecology and the Environment (ATREE), 'Annual Report 2010-2011', ATREE, India, 2011.

Asian Disaster Preparedness Centre, 'Evaluation and Lessons Learning Review - Government of India and UNDP Disaster Risk Management Programme (2002-2008)', Bangkok, 2009.

Banerjee, U.D., 'Lessons Learned From Rights-Based Approaches in the Asia-Pacific Region - Documentation of Case Studies', OHCHR Regional Office for Asia-Pacific, Thailand, 2005.

Bhattacharya, B.K., 'Evaluation Report, Government of India-UNDP Project on Strengthening State Plans for Human Development', India, 2008.

Catalyst Management Services, 'Terminal Evaluation of Ministry of Urban Development-UNDP Project: Capacity Building for Decentralized Urban Governance', India, 2009.

Centre for Advocacy and Research, 'Power beyond Measure, an Interim Report on the Leadership Training Programme for Women Living with HIV', India, 2011.

Centre for Social Research, 'Centre for Social Research-UNDEF: Final Narrative Report', India, undated.

Chanchani, A., Pati, A., Viswanath, R., Mullick, S.B., and Gaur, S., 'Sustainability in Tourism: A Rural Tourism Model – A Review Report', Government of India, Ministry of Tourism and UNDP India, 2008.

Chaudhuri, S., Park, C., and Gopakumar, K.M., 'Five Years into the Product Patent Regime: India's Response', Poverty Reduction and HIV/AIDS, UNDP, New York, 2010.

CTRAN Consulting, 'Project Completion Report: Study to Strengthen State Institute of Rural Development for the Institutionalisation and Training of Capacity Building of the PRIs in Odisha', India, 2009.

Deloitte, 'Terminal Evaluation: ICT for Development', India, undated.

Deoki, N., and Bhattacharya M., 'Annual HIV Sentinel Surveillance Country Report,' National AIDS Control Organization, Government of India, National Institute of Health and Family Welfare (NIHFW), and National AIDS Control Organization (NACO), India, 2007.

Deshingkar P., Hearn, S., Rao L. and Sharma, P., 'Formative Evaluation of Solution Exchange: Technology Evaluation of Solution Exchange, Final Report', Overseas Development Institute, United Kingdom, 2010.

Dewan, R. 'Gender Budget Perspective on Macro and Meso Policies in Small Urban Manufactures in Greater Mumbai', UNDP India, 2005.

Dhaliwal, M., Fuleihan, N., and Harrison, B., 'Analysis of Key Human Rights Programmes in Global Fund-Supported HIV Programmes,' UNDP, Global Fund, and UNAIDS, United States, 2010.

Ernst and Young, 'Terminal Evaluation: Sustainable Local Energy Services in Tiruchengodu Town', India, undated.

FAITH Healthcare Private Limited, 'HIV/AIDS in News – Journalists as Catalysts, Toolkit for Trainers', UNDP India, 2005.

Frans, D., Matin, N., Reddy, R., and Uitto, J., 'India Hilly Hydel Local Benefits Case Study Report, 2004', Stockholm Environment Institute and GEF Evaluation Office, Washington, DC, 2004.

Gawande, P, 'Evaluation of National Programme on Promoting Conservation of Medicinal Plants and Traditional Knowledge for Enhancing Health and Livelihood Security', UNDP India, 2009.

Government of India, 'India Country Progress Report', United Nations General Assembly Special Session (UNGASS), India, 2010.

Government of India, Ministry of New and Renewable Energy, 'Annual Report 2010-2011', India, undated.

Government of India, Ministry of New and Renewable Energy, 'Solar Energy Centre', India, 2010.

Government of India, Ministry of Rural Development, Department of Land Resources, 'National Policy on Resettlement and Rehabilitation for Project Affected Families', Gazette of India, India, 2004.

Government of India, Ministry of Statistics and Programme Implementation, Central Statistics Organization, 'Millennium Development Goals - India Country Report 2009, Mid-Term Statistical Appraisal,' India, 2009.

Government of India, Ministry of Statistics and Programme Implementation, Central Statistics Office, 'Selected Socio-Economic Statistics', New Delhi, October 2011.

Government of India, Planning Commission, 'Eleventh Five Year Plan 2007-12 Volume II Social Sector', Oxford University Press, India, 2008.

Government of India, Planning Commission, 'Faster, Sustainable and More Inclusive Growth: Approach to the Twelfth Five Year Plan', New Delhi, October 2011.

Government of India, Planning Commission, 'India Human Development Report 2011: Toward Social Inclusion', Oxford University Press, India, 2011.

Government of India, Planning Commission, 'Mid–term Assessment (MTA) of the Eleventh Five Year Plan', Oxford University Press, India, 2011.

Government of Orissa, Management Department, 'The Orissa Gazette - Published by Authority, No. 651 Cuttack - Orissa Resettlement and Rehabilitation Policy', India, 2006.

Government of Orissa, Revenue and Disaster Management Department, 'Order: Constitution of High Level Committee to make recommendations on amendments to the Policy for Land Acquisition and the R&R Policy of the State', India, 2011.

Government of Orissa, Revenue and Disaster Management Department, 'Orissa Resettlement and Rehabilitation Policy 2006 - biennial revision of the rehabilitation grants in monetary terms', Gazette of India, India, 2008.

Government of Orissa, Revenue and Disaster Management Department, 'Clarification on Displaced/Affected Families with Reference to Orissa R&R Policy 2006, Gazette of India, India, 2010.

Government of Orissa, Revenue and Disaster Management Department, 'Clarification on Issue of RoR in Respect of Resettlement and Rehabilitation Colonies', Gazette of India, India, 2011.

Government of Orissa, Revenue and Disaster Management Department, 'Resolution - Orissa Resettlement and Rehabilitation Policy 2006 - biennial revision of the rehabilitation grants in monetary terms', Gazette of India, India, 2010.

Gujarat State AIDS Control Society (GSACS), Gujarat State Network of People Living with HIV/AIDS (GSNP+), and UNDP, 'People Living with HIV/AIDS in Gujarat: A Needs Assessment Study, Unpublished Report', India, 2007.

Gupta, I., Trivedi, M., Skill, C., Rau, A., Narang, A., Mohan, H., 'Covering Treatment for HIV and AIDS in India: A Feasibility Study', UNDP India, 2006.

Hunnam, P. and Sankaran, R., 'Gulf of Mannar Biosphere Reserve Project Conservation and Sustainable Use of Coastal Biodiversity, Mid Term Evaluation,' UNDP/GEF, Government of Tamil Nadu, Government of India, India, 2008.

Infrastructure Professionals Enterprise, 'The Orissa Public Sector Reform Programme Final Review and Exit Plan', India, undated.

Institute of Social Sciences, 'Evaluation Report: UNDEF-supported Project in India', Centre for Social Research, India, 2010.

International Centre for Research on Women, 'Universal Access Now for Women and Girls: Female Sex Workers and Spouses of Male Migrants, Research Study Report, Draft, Not for Circulation,' India, 2011.

Jal Bhagirathi Foundation, 'Good Practices in Water Security: Ideas for Praxis', UNDP India, 2010.

Jolly, S., and Reeves, H., 'Gender and Migration from a Development Perspective, An Overview Report on Gender and Migration, BRIDGE Series,' Institute of Development Studies, 2005.

Kalyani Samagra Vikas Parishad, 'Consolidated Report, Project Period January 2005 to June 2007, Coordinated HIV/AIDS and STD Response Through Capacity Building and Awareness (CHARCA), Project on Reducing Women's Vulnerability to HIV/AIDS, Kotra Block Udaipur District', India, undated.

Karuna Trust, 'A Healthy Change, Community Health Insurance', UNDP India, 2005.

Menon-Sen, K. and Kumar, A.K.S. 'Mid Term Review of the Country Programme Action Plan 2008-12 - Final Report', UNDP India, 2010.

Nadkarni V., Goel S., Pongurlekar S., 'Study of the Utilisation of Social Protection Schemes Relevant to People Infected and Affected by HIV and AIDS, TISS-UNDP Collaboration,' Tata Institute of Social Sciences, India, 2011.

Narkar, K., 'Final Report - Independent Research Project - Comparative Analysis of Resettlement and Rehabilitation Policies in India', Xavier Institute of Management, India, undated.

National AIDS Control Organisation, 'Guidelines for Rolling Out NACP and NRHM Convergence Plan in States', Government of India, India, 2010.

National AIDS Control Organisation, 'Mainstreaming HIV and AIDS for Women's Empowerment', Government of India, India, 2008.

National AIDS Control Organisation, 'Missing Pieces: HIV Related Needs of Sexual Minorities in India, National Stakeholders Consultation Report', Government of India, India, 2008.

National AIDS Control Organisation, 'National AIDS Control Programme Phase III (2006-2011) Strategy and Implementation Plan', Government of India, India, 2006.

National AIDS Control Organisation, 'Policy, Strategy and Operational Plan: HIV Intervention for Migrants', Government of India, India, 2010.

National AIDS Control Organisation, 'State Level Consultation Workshop about Transgenders for Social Change: Report of the Consultation Workshop Held on 13th and 14th July 2009 at Chennai - Unpublished Report', Government of India, India, 2009.

National Council of Applied Economic Research (NCAER), 'The Macro-Economic and Sectoral Impact of HIV and AIDS in India', India, 2006.

National Rural Health Mission, Ministry of Women and Child Development, Ministry of Rural Development, and United Nations Fund for Women (UNIFEM), 'Shaping Our Lives: Learning to Live Safe and Healthy - A Booklet on Women and HIV/AIDS for ANM (Female Health Worker), ASHA, Anganwadi Worker (AWW), and Members of Self-help Groups,' National AIDS Control Organisation, India, undated.

Niranjan, S., Mahapatra B., Swain, S.N., and Battala, M., 'Migration and HIV in Districts with High Out-Migration in India - Draft Report', UNDP India, 2010.

Pastakia, A., 'UNDP Project - Vulnerability Reduction through Community Empowerment and Control of Water in the Drought Prone Areas of Marwar Region (Rajasthan), Mid-Term Evaluation Study Report', UNDP India and Indian Development Cooperation, 2008.

Peppin, S. and Tripathi, M.N., 'Lamp of Hope: Report on the Certificate Programme in Leadership and Management Proficiency', Xavier Institute of Management, India, 2006.

Population Foundation of India, 'HIV/AIDS in News – Journalists as Catalysts', UNDP India, 2005.

Pradhan, B.K., Sundar, R., and Singh, S.K., 'Socio-Economic Impact of HIV and AIDS in India', UNDP, India, 2006.

Ramani, K.V., and Rajshekar, S., 'Renewable Energy for Rural Livelihoods Project Terminal Evaluation Report', India, 2010.

Rangarajan, C., Yamamoto, T., Soon-Ruiz N.C., et al, 'Commission on AIDS in Asia Redefining AIDS in Asia: Crafting an Effective Response', Oxford University Press, India, 2008.

Rangasayee, R. and Gore, G., 'Including the Excluded: A study of HIV/AIDS and Persons with Disabilities', National Institute for the Hearing Handicapped (AYJNHH), 2006.

Rego, A., 'India Outcome Evaluation Report: HIV, 2007-12', UNDP India, 2012.

Rew, A., Fisher, E. and Pandey, B., 'Addressing Policy Constraints and Improving Outcomes in Development-Induced Displacement and Resettlement Projects - A review prepared for ESCOR and the Research Programme on Development-Induced Displacement and Resettlement organised by the Refugee Studies Centre, University of Oxford - Final Report', Centre for Development Studies, United Kingdom, 2000.

Saggurti N., Mahapatra B., Swain S.N., and Battala, M., 'HIV Transmission Among Married Men and Women in Districts with High Out-Migration in India', Population Council, India, 2011.

Samarthan, 'Public Private Community Partnerships – Mantra for Sustainable Development: Way Forward Document', undated.

Santek Consultants, 'Final Report for Interim Evaluation of Training done under the Capacity Building for Access to Information (A2I) Project', undated.

Satyanand, P.N., 'Outcome Evaluation of UNDP India's Democratic Governance Programmes, 2008-11', UNDP India, 2012.

Seam, M.M., Verma, R.P., 'Final Evaluation Report, Coalbed Methane Recovery and Commercial Utilization', India, 2009.

Sharma, C. and Sai, K.S.K., 'ICTD Mid-Term Evaluation, Summary Report', UNDP and the Government of India, 2008.

State Institute for Rural Development Rajasthan, 'Brief Report of Training Impact Assessment (TIA) of PRI – Training: 2010 and Training Needs Assessment (TNA) for Refresher Training of PRIs', A.R. Chaturvedi and R. Verma, India, undated.

State Institute for Rural Development Rajasthan, 'Progress Report on Strengthening State Plans for Human Development', India, 2009.

Sudarshan, R.M., Pillai, M., Bhasin, A., Majumdar, M., and Ahluwalia, M., 'Final evaluation study of UNDP – Planning Commission Partnership on Human Development 1999-2009', Institute of Social Studies Trust (ISST), India, 2011.

Sundararaman, S., Balasubramanium, G., Kumar, V.S., 'Midterm Review Report', Joint Northeast Initiative, AusAID and UNAIDS, 2008.

Swarankar, R.C., 'National Rehabilitation and Resettlement Policy (NRRP) 2007, Ministry of Rural Development', African Development Bank, India, 2007.

Thapar, S., 'UNDP-Supported Legal Aid Services for People Living with HIV in Tamil Nadu and Andhra Pradesh: A Documentation and Assessment Report', India, 2009.

The Hunger Project, 'A Report on Awareness Campaign on the Right to Information (RTI) Act in Bihar', India, 2010.

Tsunami Evaluation Coalition, 'Joint Evaluation of the International Response to the Indian Ocean Tsunami: Synthesis Report', Tsunami Evaluation Coalition, United Kingdom, 2006.

UNAIDS, International Organization for Migration, and UNDP, 'HIV and Mobility: Compendium of Migration and HIV and Aids Interventions', International Organization for Migration, Switzerland, 2009.

UNAIDS and UNDP, 'The 'AIDS and MDGs' Approach: What is It, Why Does It Matter, and How Do We Take It Forward?' UNDP, United States, 2011.

UNDP, 'Accelerating Global Progress on Human Development. UNDP Strategic Plan, 2008-2011.' Second Regular Session 2007, UNDP and UNFPA. Updated Pursuant to Decision 2007/32. Reissue date: 17 January 2008', New York, 2007.

UNDP, 'Action taken report for the mid-term review' (unpublished report), India, undated.

UNDP, 'Country Programme for India 2003-2007', October 2002.

UNDP, 'Drought Proofing in Rajasthan', India, 2004.

UNDP, 'Evaluation of Delivering Primary Health Care Through PHC: Karuna Model in Karnataka,' India, undated.

UNDP, 'From Reservation to Participation: Capacity Building of Elected Women Representatives and Functionaries of Panchayati Raj Institutions', India, 2009.

UNDP, 'Gender Analysis of Select Gram Village Panchayats Plan – Budgets in Trivandrum', India, 2005.

UNDP, 'Gender Budgeting Impact of Policies and Programmes on Women of Agricultural Households in Gujarat', India, 2007.

UNDP, 'Mid-term Review: Self-Assessment – Capacity Building of Elected Women Representatives and Other Functionaries of PRIs', India, 2010.

UNDP, 'Mid Term Review Report: UN Development Assistance Framework for the Period 2008-2012 for India', India, undated.

UNDP, 'Migration Gone Wrong – Linkages between Trafficking and HIV, UNDP-TAHA', India, 2007.

UNDP, 'Outcome Evaluation Final Report – Decentralized Governance and Livelihoods Programme', India, 2007.

UNDP, 'Outcome Evaluation Report: Decentralized Governance, Poverty Eradication and Sustainable Livelihoods', India, 2007.

UNDP, 'Partnering to Push Frontiers: Capacity Building of PRI Members', India, undated.

UNDP, 'People Living with HIV/AIDS in Himachal Pradesh: Issues and Perspectives, India, undated.

UNDP, 'People's Right to Information Movement: Lessons from Rajasthan', India, 2007.

UNDP, 'Prevention of Trafficking and HIV/AIDS in Women and Girls in India. Terminal Report. Unpublished Report', Department for International Development (DfID), India, 2007.

UNDP, 'Push to Open – An Appraisal of Sex Workers' Access to Basic Services,' India, 2007.

UNDP, 'Recommendations for Scaling up HIV responses for Transgenders and Hijras. Recommendations from Regional Consultations May 26, 2009 – July 16 2009. Unpublished Report', India, 2009.

UNDP, 'Settled to Move: The Decision to Migrate and Its Associated Risks', India, 2007.

UNDP, 'Soma, Courage to Face Reality, A Community Guide on HIV Response from Panchayat Raj Institutions', India, 2006.

UNDP, 'Terminal Evaluation of UNDP Supported Project for Operationalization of the Mahatma Gandhi National Rural Employment Guarantee Act', India, 2011.

UNDP, 'The Real Wealth of Nations: Pathways to Human Development, Human Development Report 2010, 20th Anniversary Edition', New York, 2010.

UNDP, 'UNDP in India – Results from 2010', India, 2010.

UNDP, 'Women's Empowerment, HIV and the MDGs: Hearing the Voices of HIV Positive Women. Assessment of India's Progress on MDG 3 and MDG 6,' India, 2010.

UNDP Evaluation Office, 'Assessment of Development Results Bangladesh – Evaluation of UNDP Contribution', New York, 2011.

UNDP Evaluation Office, 'Assessment of Development Results Brazil – Evaluation of UNDP Contribution', New York, 2011.

UNDP Evaluation Office, 'Assessment of Development Results China – Evaluation of UNDP Contribution', New York, 2010.

UNDP Evaluation Office, 'Assessment Development Results India: UNDP Country Evaluation', New York, 2002.

UNDP Evaluation Office, 'Assessment of Development Results Indonesia – Evaluation of UNDP Contribution', New York, 2010.

UNDP Evaluation Office, 'Assessment of Development Results Thailand – Evaluation of UNDP Contribution', New York, 2011.

UNDP Evaluation Office, 'Assessment of India SHDRs', New York, 2005.

UNDP Evaluation Office, 'Evaluation of the Role and Contribution of UNDP in Environment and Energy', New York, 2008.

UNDP Evaluation Office, 'Evaluation of UNDP Contribution to Disaster Prevention and Recovery New York, 2010.

UNDP Evaluation Office, 'Evaluation of UNDP Contribution to Environmental Management for Poverty Reduction: The Poverty-Environment Nexus', New York, 2010.

UNDP and Action Aid International India, 'Evaluation Report – UNDEF', Institute of Social Sciences, India, 2010.

UNDP and Department for International Development, 'Trust Fund Agreement Logistical Framework - Report on Progress for Quarter ending December 2007', undated.

UNDP and Government of India, 'Country Programme Action Plan Between the Government of India and the United Nations Development Programme 2008-2012', India, 2008.

UNDP and Government of India, 'Evaluation Report - Strengthening State Plans for Human Development', India, 2008.

UNDP and Government of India, Ministry of Environment and Forests, 'National Resource Conservation outside the Protected Areas, 2009-2012', New Delhi, India, 2009.

UNDP and Government of India, Ministry of Housing and Urban Poverty Alleviation, 'Terminal Evaluation of National Strategy for the Urban Poor Project', Raman Development Consultants Private Limited, India, 2010.

UNDP and Government of India, Ministry of Rural Development, 'Report on Convergence Initiatives in India - An Overview', India, 2010.

UNDP and Government of India, Planning Commission, 'Human Development in India: Analysis to Action', India, 2010.

UNDP and Government of India, Planning Commission, 'Strengthening State Plans for Human Development: Examples from the States', India, undated.

UNDP and UN Democracy Fund (UNDEF-CSR), 'Enhancing the Role of Women in Strengthening Democracy', undated.

UNDP and Wada Na Todo Abhiyan (WNTA), 'Approaching Equity, Civil Society Inputs for the Approach Paper—12th Five Year Plan', WNTA, New Delhi.

UNDP, Joint United Nations Programme for North East India, 'Social Protection in the Context of HIV & AIDS in North East India. Strategy Document 2010-2013. Unpublished document', UNDP, India, undated.

UNDP, UNAIDS, and State AIDS Control Society, 'Capacity of District Level PLHIV Networks in North East India. An Assessment Report from Nagaland, Manipur, Meghalaya and Mizoram, Unpublished Report,' India, 2010.

United Nations, 'India United Nations Development Assistance Framework 2008-2012', United Nations, India, 2007.

Uppal, V., 'Outcome Evaluation Energy and Environment and Poverty Programmes', UNDP India, 2011.

Vrutti Livelihoods Resource Centre, 'Developing Strategies for Promoting Livelihoods for PLHIV and Those Affected. National Level Study and Consultation. Draft Strategy,' NACO and UNDP, 2010.

World Health Organization, UNAIDS, and UNICEF, 'Towards Universal Access: Scaling Up Priority HIV/AIDS Interventions in the Health Sector, Progress Report', World Health Organization, Department of HIV/AIDS, Geneva, 2010.

In addition, the evaluation team reviewed the majority of available documents related to projects covered in the ADR, including project documents, annual project reports, mid-term review reports, final evaluation reports and other project related documents. Many related organizations' websites were also searched, including those of UN organizations, Indian governmental departments, project management offices and others.

Annex 3

PEOPLE INTERVIEWED

GOVERNMENT OF INDIA AT NEW DELHI

A.K. Singhal (Dr.), Director, Ministry of New and Renewable Energy

A.K. Srivastava, Inspector General Wildlife, Ministry of Environment and Forests

A.N.P. Sinha, Secretary, Ministry of Panchayati Raj

Abha Shukla, Secretary, Bureau of Energy Efficiency

Adesh Chaturvedi, Coordinator, Capacity Development for Local Governance (CDLG), Panchayati Raj

Ajay Mathur (Dr.) Director-General, Bureau of Energy Efficiency, Ministry of Power

Ajay Veer Singh, Professor, Indira Gandhi Panchayati Raj and Gramin Vikas Sansthan (IGPR&GVS)

Ajit K. Gupta, National Project Manager, UNDP/GEF Global Solar Water Heating Project & Former Adviser, Ministry of New and Renewable Energy

Alok Sheel, Joint Secretary, Ministry of Finance

Amita Sharma, Former Joint Secretary, Ministry of Rural Development and National Project Director, Support to National Rural Employment Guarantee Act (MGNREGA) Operationalization

Amitabh Kant, Chief Executive Officer, Delhi Mumbai Industrial Development Corporation (DMIDC)

Anuradha Chagti, Director Right to Information (RTI) Cell, Department of Personnel and Training, Ministry of Personnel

Aradhana Johri, IAS, Additional Secretary, National AIDS Control Organisation (NACO)

B. Bandyopadhyay, Adviser & Head, Solar Energy Centre, Ministry of New and Renewable Energy

Bibek Bandopadhyay (Dr.), Advisor, Ministry of New and Renewable Energy

Deepak Gupta, Secretary, Ministry of New and Renewable Energy

D.K. Jain, Joint Secretary, Ministry of Rural Development

D.S. Gaur, Under Secretary, Department of Economic Affairs, Ministry of Finance

Govinda Rao, Director, National Institute of Public Finance and Policy and Member, Economic Advisory Council to the Prime Minister

Hem Pande, Joint Secretary, Ministry of Environment and Forests

Indu Patnaik, Nodal Officer Decentralized Planning, Planning Commission

K.K. Tripathi, Joint Director, Ministry of Rural Development

M.F. Farooqui, Additional Secretary, Ministry of Environment and Forests

M. Subba Rao, Director, Ministry of Environment and Forests

Manjula Krishnan, Secretary, Women and Child Development

Mayank Aggarwal, Director Media and Communication, Press Information, Ministry of Information and Broadcasting

Mohan Lal, Deputy Secretary, Ministry of New and Renewable Energy

N.R. Dash, Director, Ministry of Steel

Nayanika Singh, Consultant, Ministry of Environment and Forests

Neela Gangadharan, Secretary, Ministry of Law and Justice

Nilay Ranjan, National Project Manager/ Convergence Expert, Ministry of Rural Development Technical Cell

P. Saxena, Director, Ministry of New and Renewable Energy

P.K. Mohanty, Joint Secretary and National Project Director, Ministry of Urban Affairs and National Strategy for Urban Poor

Pragati Srivastava (Dr.), Deputy Inspector General Wildlife, Ministry of Environment and Forests

Pronab Sen (Dr.), Principal Adviser, Planning Commission

Puneet Agarwal, Deputy Secretary, Department of Economic Affairs, Ministry of Finance

R. Chandrashekhar, Chairman Telecom Commission and Secretary, Department of Telecommunications, Ministry of Information Technology

R. Sridharan, Executive Director (Vigilance), Food Corporation of India, New Delhi

Ramesh Abhishek, Joint Secretary, Forward Market Commission, Mumbai, Maharashtra

S. Satpathy (Dr.), Director, Ministry of Environment and Forests

Sanchita Jindal (Dr.), Director, Ministry of Environment and Forests

Sandeep Dikshit, Member of Parliament, Parliament of India

Sanjay Agarwal, Director, Ministry of Home Affairs

Santosh Mehrotra, Director, Institute for Manpower Administration and former Advisor Planning Commission

Sat Paul Chauhan, Principal Secretary, Planning Commission

Sayeeda Hameed, Member, Planning Commission

Sharath Chandra, Member-Secretary, National Legal Services Authority

Shashi Shekhar, Joint Secretary, Ministry of New and Renewable Energy

Snehlata Srivastava, Joint Secretary, Ministry of Law and Justice

Subodh Sharma (Dr.), Advisor, Ministry of Environment and Forests

Sudeep Jain, Joint Secretary, Ministry of New and Renewable Energy

Sudha Pillai, Member Secretary, Planning Commission

Swati Mehta, Project Manager Access to Justice, Ministry of Law and Justice

T. Raghunathan, Consultant, former National Project Director, Capacity Development for Local Governance Project

Tuhin Kanta Pandey, Joint Secretary for State Plans, Planning Commission

Ujiwal Kumar, Department of Economic Affairs

V. K. Jain (Dr.), UNDP Link Person, Ministry of New and Renewable Energy

GOVERNMENT OF ASSAM

Rosenara Huidrom, Team Leader North East Regional Office, National AIDS Control Organisation

GOVERNMENT OF CHHATTISGARH

Amitabh Khandelwal, Joint Secretary, Directorate of Institutional Finance

Bhaskar Rao, Consultant, Directorate of Institutional Finance

J.S. Virdi, Deputy Secretary, State Planning Commission

Madhu Sahu, Chief District Planning and Statistical Officer, Korba District

P.C. Mishra, Secretary Planning, Member Secretary, State Planning Commission and Nodal Officer, Government of India - UN Joint Programme on Convergence

P.P. Soti (Dr.), Member, State Planning Commission

R.K. Singh, Director, State Institute for Rural Development

R.P.S. Tyagi, District Collector, Korba District

Sarwat Naqvi, Mainstreaming Officer, Chattisgarh State AIDS Control Society (CSACS)

GOVERNMENT OF KARNATAKA

G.S. Prabhu, Additional Principal Chief Conservator of Forests and Project Coordinator, Bimass Energy for Rural India

GOVERNMENT OF MADHYA PRADESH

A.K. Shukla, Sub Divisional Officer Dindori, Forest Department

Alok Sharma, Sub Divisional Officer Jabalpur, Forest Department

Alok Srivastava, Principal Secretary, Department of Public Health Engineering

Gopa Pandey (Dr.), Chief Conservator of Forests Bamboo Mission, Forest Department

H.S. Pabla (Dr.), Principal Chief Conservator of Forests, Wildlife Forest Department

Jitendra Agarwal, Additional Principal Chief Conservator of Forests, Bamboo Mission, Forest Department

M.S. Rana (Dr.) Additional Principal Chief Conservator of Forests and Project Director, Bamboo Mission, Forest Department

Manish Singh, Project Consultant, Environmental Planning and Coordination Organization

Manohar Dubey, Executive Director, Department of Housing and Environment

Sonal Khare, Project Consultant, Environmental Planning and Coordination Organization

Sudhir Kumar, Member Secretary, State Biodiversity Board

GOVERNMENT OF ORISSA

Aurobindo Behera, Principal Secretary, Environment and Forests

Bedabyasa Dhurua, Ward Member, Sundargarh

Bijay Rath, Member Secretary, State Legal Services Authority

Bima Manseth, Municipal Commissioner, Ganjam District

Bishnupada Sethi, Census Commissioner, Government of Orissa

C.S. Rajan, Principal Secretary, Panchayati Raj Department

Jagadananda, Chief Information Commissioner, Government of Orissa

Jatia Munda, Sarpanch, Village Headman, Sundargarh District

Karthikeyan Pandian, Secretary to Chief Minister, Government of Orissa

Krishan Kumar, District Collector, Ganjam District

N.K. Sundaray, Chairman, Industrial Development Corporation Orissa Limited

P.K. Naik, Director, District Rural Development Agency, Sundargarh District

P. Patnaik, District Social Welfare Officer Department, Sundargarh District

Pradeep Kumar Jena, Principal Secretary, Panchayati Raj

Pramod Kumar Panda, Inspector of Schools, Sundargarh District

Pramod Meherda (Dr.), Project Director, Orissa State AIDS Control Society

Priya Ranjan Rout, Former Executive Director, City Managers' Association of Orissa

R.N. Das, Former Principal Secretary, Panchayati Raj Department

R.V. Singh, Special Secretary, Planning and Coordination Department

S.K. Das (Dr.), Health Officer, Berhampur Municipal Corporation

S.K. Lohani, Commissioner, Special Projects, Panchayati Raj Department

S. Kumura, Assistant, District Social Welfare Officer Department, Sundargarh District

S.N. Tripathi, Principal Secretary, Department of Rural Development

S. Pujahari, Former Member Secretary, State Legal Services Authority

Santosh Sarangi, Secretary, Scheduled Caste/ Scheduled Tribe Affairs

Sarath Kumar Parida, Chief Planning Officer, Ganjam District

Saroj Kumar Dash, Deputy Director, State Institute for Rural Development

Shalini Pandit, Former District Collector, Sundargarh District

Shatrughana Pujahari, District and Sessions Judge, Cuttack

Shibanath Delki, Chairman, Tongspati Block, Sundargarh District

Shyam Sundar Sahoo, Block Development Officer, Sundargarh District

Umesh Panda, Deputy Director, District Planning and Monitoring Unit

Vidyadhar Sahu, Village Headman, Kutara Block, Sundargarh District

GOVERNMENT OF RAJASTHAN

Anita, Professor and Officer-in-Charge, Panchayati Raj and UN Projects, State Institute for Rural Development

Ashish Verma, Project Officer, State Mainstreaming Unit, Rajasthan State AIDS Control Society (RSACS)

Ashok Gupta, Officer-in-Charge, Construction Academy

Bhagwati Lal Paliwal, Faculty Member, Rajasthan Institute of Public Administration and Member, State Project Steering Committee

Brijendra Singh Verma, Industrial Training Institute (ITI) Principal, Construction Academy

C.S. Rajan, Principal Secretary, Department of Panchayat Raj, Jaipur

D.B. Gupta, Secretary, Ministry of Planning

D.P. Sharma, Vice Principal, Construction Academy

G.K. Pradhan, Officer-in-Charge, Family Welfare Programme, Indian Railways

Harising Barhat (Dr.), Vet, Department of Animal Husbandry

Hemant Gera, District Collector, Udaipur District

Ishteyaque Jafri, Senior Manager, Rajasthan Mission on Skill and Livelihoods

Jagdish Palsania, Junior Engineer, Bhilwara Municipal Corporation

M.L. Mehta, Former Chief Secretary, Government of Rajasthan

Madanlal, Assistant, Department of Animal Husbandry

Magn Mina, Pradhan, Village Headman, Udaipur District

Manohar Kant, Principal Secretary, Department of Labour and Employment

Manoj Foujdar, Veterinarian, Department of Animal Husbandry

Meethalal Meena, Former Chief Secretary, Government of Rajasthan

Mitha Lal Mehta, Former Chief Secretary, Government of Rajasthan

Mukesh Vijay, Executive Engineer, Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA)

Neetu Arva (Dr.), Veterinarian, Department of Animal Husbandry

Pavan Shetty, Technical Support Unit, Rajasthan State AIDS Control Society (RSACS)

Pawan Kumar Chabra, Superintendent, Industrial Training Institute

Pradeep Sarda, Project Director, Rajasthan State AIDS Control Society (RSACS)

Praveen Gupta, Secretary, Panchayati Raj Department

Raj Kumar Moondra, Block Development Officer, Bhilwara

Rupa Manglani, Faculty Member, Rajasthan Institute of Public Administration

S.K. Verma, Assistant Engineer, Bhilwara Municipal Corporation

Salaluddin Ahmed, Chief Secretary, Government of Rajasthan

Sarita Singh, Secretary and Commissioner Women's Development, Department of Women and Child Development

Shobhalal Mundra, Chief Executive Officer, Zilla, Parishad, Bhilwara

Sudarshan Sethi, Principal Secretary, Ministry of Women and Child Development

Sudhir Dave, Chief District Planning Officer, Udaipur District

Suman Nagpal (Dr.), Veterinarian, Department of Animal Husbandry

Suresh Kumar Kast, Junior Accountant, Bhilwara Municipal Corporation

T. Srinivasan, Chief Information Commissioner, Rajasthan Information Commission

Tanmay Kumar, Secretary, Rural Development, and Relief and Disaster Management

V.K. Gupta, Nodal Officer, Indian Railways, Rajasthan

Vijay Shankar Vyas (Prof.), Deputy Chairman, State Planning Board

Yaduvendra Mathur, Principal Secretary, Revenue Department

GOVERNMENT OF TAMIL NADU

Palani Venkatash, Mainstreaming Officer, Tamil Nadu State AIDS Control Society (TNSACS)

CIVIL SOCIETY, ACADEMIA, CITIZENS

A.K. Sacheti, Project Advisor, Rajasthan Mission on Livelihoods, Jaipur, Rajasthan State

A.K. Shiva Kumar, Independent Consultant, New Delhi, Delhi State

Abraham K.K., President, Indian Network for People Living With HIV/AIDS (INP+), Chennai, Tamil Nadu State

Ajay Mehta, Former Director, National Foundation for India, New Delhi, Delhi State

A.K. Shiva Kumar, Visiting Professor, Indian School of Business

Alka Avasthi, Senior Manager, Centre for Community Economics and Development Consultants Society (CECOEDECON), Jaipur, Rajasthan State

Amitabh Behar, National Convenor, Wada Na Todo Abhiyan, New Delhi, Delhi State

Amiya Kanta Naik, Chairperson, Self-Employed Workers' Association Kendra, Sundargarh, Orissa State

Ananya Dasgupta, Programme Trainee, Centre for Social Research, New Delhi, Delhi State

Anita Devi, Self Help Group Member, Village Piparadand, District Mirzapur, Uttar Pradesh State

Anju Talukdar, Executive Director, Marg NGO, New Delhi, Delhi State

Antony, Director, Roman Catholic Diocesan Social Services Society (RCDSSS) and State Civil Society Organization Forum, Ajmer, Rajasthan State

Anup Das, Director, Centre for Youth and Social Development, Bhubaneshwar, Orissa State

Arvind Ojha, Chief Executive and Secretary, Urmul Trust, Bikaner, Rajasthan State

Ash Pachuri, Founder Director, Centre for Human Progress (CHP), New Delhi, Delhi State

Asha Sharma, Programme Trainee, Centre for Social Research, New Delhi, Delhi State

Ashis Mondal, Director, Action for Social Advancement (ASA), Bhopal, Madhya Pradesh State

Ashok Rau, Executive Trustee and Chief Executive Officer, Freedom Foundation, Bangalore, Karnataka State

Ashok Singha, Managing Director, Basix – Complete Transformation (CTRAN), Bhubaneswar, Orissa State

Ashutosh Tamrekar, Programme Coordinator for UNDP-supported Programmes, Samarthan Centre for Development Support, Raipur, Chattisgarh State

Ashwani Paliwal, Programme Coordinator, Astha Sansthan, Udaipur, Rajasthan State

B.G. Pande, Assistant General Manager Jaunpur and Bhadohi, Nabard, Varanasi, Utter Pradesh State

B.L. Jalaan, Convenor, Rural Journalist Association of India, Rajasthan State

B.L. Parthasarathy, Managing Director, Basix, Bangalore, Karnataka State

B. Sekar, Director, Social Welfare Association for Men (SWAM), Chennai, Tamil Nadu State

Babu Lal Dahiya, Director, Srajana Samaj, Pithoravad Satna, Madhya Pradesh State

Batia Devi, Self Help Group Member, Village Barkachcha Khurd, Uttar Pradesh State

Bazo Kire, Medical Officer in charge of Mobile Integrated Counseling and Testing Centres, Kohima, Nagaland State

Bhanu, Social Light, Positive Women Network (PWN+), Chennai, Tamil Nadu State

Bhawar Singh, Village Sheep Rearer, Village Beethnokh, Bikaner, Rajasthan State

Bibhu Kalyan Mohanty (Dr.), Sambandh, Bhubaneswhar, Orissa State

Bibhu Prasad Sahu, Secretary and Senior Researcher, Youth for Social Development, Ganjam District, Orissa State

Bibodini Mishra, State Coordinator, Mainstreaming Resource Unit, Action Aid, Orissa State

Bipin Das, Director, Centre for Development Research and Training Xavier Institute of Management, Bhubaneswhar, Orissa State

Birnai, Self Help Group Member, Village, Jassowar, Uttar Pradesh State

Bishwadeep Ghose, Programme Officer, Hivos, Bangalore, Karnataka State

Bitra George, Country Director, Fhi 360 India, New Delhi, Delhi State

Brajesh Dubey, President, Rajasthan Network of Positive People (RNP+), Rajasthan State

Christy Abraham, Asia Regional Director, Action Aid, Bangalore, Karnataka State

Community Stakeholders, Link Worker and Supervisor, Link Worker Scheme (LWS) Srinagar Block, Ajmer, Rajasthan State

D.K. Changani, General Secretary, All India Trade Union Congress (AITUC), Rajasthan State

D.P. Rath (Dr.), Centre for Environment Education, Bhubaneswhar, Orissa State

Daxa Patel, General Secretary, Gujarat Network Positive People (GNP+), Gujarat State

Deepa G.B., Research Officer, Foundation for Revitalization of Local Health Traditions, Bangalore, Karnataka State

Devkali Devi, Self Help Group Member, Village Barkachcha Khurd, Uttar Pradesh State

Devki Jain, Independent Researcher, New Delhi, Delhi State

Dharmendra Burman, Village Member, Village Matamar, Madhya Pradesh State

Dharmishta Behen Rathod, Coordinator, Self Employed Women's Association (SEWA), Bhilwara, Rajasthan State

Dicson Masih, Director, Social Revival Group of Urban Rural & Tribal (SROUT), Korba, Chhattisgarh State

Dileep Kumar Gupta, Representative, Basix, Bhilwara, Rajasthan State

Dilip Kumar Das, Antodaya, Bhubaneshwar, Orissa State

Dinesh Singh, Programme Coordinator for UNDP-supported programmes, Samarthan - Centre for Development Support, Raipur, Chhattisgarh State

G.G. Gangadharan, Medical Director, Institute of Ayurveda and Integrative Medicine, Bangalore, Karnataka State

George Cheriyan, Director and Head, Cuts Centre for Consumer Action Research and Training (CART), Jaipur, Rajasthan State

George Mathew, Director, Institute of Social Studies (ISS), New Delhi, Delhi State

Gita Devi, Self Help Group Member, Village Piparadand, District Mirzapur, Uttar Pradesh State

Gladwin Joseph, Director, Ashoka Trust for Research in Ecology and the Environment, Bangalore, Karnataka State

Gopal Authey, Chief Functionary, Dalit Sangh, Hoshangabad, Madhya Pradesh State

Hari Mohan, Independent Consultant, New Delhi, Delhi State

Hira Devi, Self Help Group Member, Semra Belauna Village Uttar Pradesh State

I.S. Rathore (Col.), Volunteer, Rajasthan Institute for Security Education, Jaipur (former Servicemen Welfare Cooperative Society Ltd., Jaipur), Rajasthan State

Indumathi Ravishankar, Programme Director, South India AIDS Action Programme, Chennai, Tamil Nadu State

Ishteyaque Jafri, Manager Livelihoods, Rajasthan Mission on Livelihoods, Jaipur, Rajasthan State

Jamna Lal Luhar, Beneficiary, The Mahatma Gandhi National Rural Employment Guarantee Act, One World South Asia, Bhilwara, Rajasthan State

Jawara Gowda, Villager, Village Kapigere, Karnataka State

Jyoti Mehta, Faculty, Tribal Research Institute, Udaipur, Rajasthan State

K. Haridasan (Dr.), Joint Director, Foundation for Revitalization of Local Health Traditions, Bangalore, Karnataka State

Kalyani Menon-Sen, Independent Consultant, New Delhi, Delhi State

Kamal Tak, Coordinator, Suchna Adhikar Manch, Jaipur, Rajasthan State

Kaushalya, President, Positive Women Network (PWN+), Chennai, Tamil Nadu State

Kaustuv Bandhopadhyay, Director, Global Partnership, Society for Participatory Research in Asia (PRIA), New Delhi, Delhi State

Kiran Sharma, Vice-President, Development Alternatives, New Delhi, Delhi State

Krishna Gautam, Senior Programme Manager, Mamata, Rajasthan State

Kusum Devi, Self Help Group Member, Village Piparadand, District Mirzapur, Uttar Pradesh State

L. Ramakrishnan, Country Director, Programmes and Research, Solidarity and Action Against The HIV Infection in India (SAATHII), Chennai, Tamil Nadu State

Lakshman Jat, The Mahatma Gandhi National Rural Employment Guarantee Act Kiosk User, OneWorld South Asia, Bhilwara, Rajasthan State

Lakshmi Devi, Self Help Group Member, Semra Belauna Village Uttar Pradesh State

Lata Rabvindran (Prof.), Xavier Institute of Management, Bhubaneshwar, Orissa State

Laxmi Narayan Tripathi, Founder and Chairperson of Astitva, Mumbai, Maharashtra State

M.P. Vasimalai Executive Director, Dhan Foundation, Madurai, Tamil Nadu State

Maja Daruwala, Director, Commonwealth Human Right Initiative, New Delhi, Delhi State

Manish Shrivastava, State Coordinator, Samarthan - Centre for Development Support, Raipur, Chattisgarh State

Manoj Aggarwal, Freelance Consultant, Uttar Pradesh State

Manoj Kumar Gujre, Coordinator, Pradeepan, Betul, Madhya Pradesh State

Mayank Pratap Singh, Secretary, Gramanchal Sewa Samiti, Varanasi, Uttar Pradesh State

Mission Sister of Ajmer, Asha Niketan, Ajmer, Rajasthan State

Mohammed Rafique, Deputy Director, Technical and Programme Support, Mamta, New Delhi, Delhi State

Mona Balani, President, Positive Mother's Association (PMA+), Rajasthan State

Muni Devi, Self Help Group Member, Village Jassowar, Uttar Pradesh State

Munna Mohammad, Secretary, One World South Asia, Bhilwara, Rajasthan State

Nagina Devi, Self Help Group Member, Village Barkachcha Khurd, Uttar Pradesh State

Nahid Mohammed, Training Officer, Saathii State Training and Resource Centre, Jaipur, Rajasthan State

Naimur Rahman, Director, One World South Asia and Managing Director, One World Foundation India, New Delhi, Delhi State

Neera Burra, Independent Consultant, New Delhi, Delhi State

Nidhi Prabha Tewari, Director, Democracy Connect, New Delhi, Delhi State

Nikhil Dey, Convenor, National Campaign for the People's Right to Information and Member, Central Employment Guarantee Council, New Delhi, Delhi State

Niranjan Saggurti, Associate, HIV and AIDS Programme, and Director, Knowledge Network Project, HIV and AIDS Programme, Population Council, New Delhi, Delhi State

Om Nivas Sharma, Representatives, Basix, Bhilwara, Rajasthan State

P. Sainath, Rural Affairs Editor, *The Hindu*, Mumbai, Maharashtra State

Padma, Member, People Women Network (PWN+), Hyderabad, Hyderabad State

Pallavi Singh, Manager Livelihoods, Rajasthan Mission on Livelihoods, Jaipur, Rajasthan State

Peer Educators and Community Members, Social Welfare Association for Men (SWAM), Chennai, Tamil Nadu State

Philomina Vincent, Director, Aikya, Somanhalli, Karnataka State

Pradip Ilamkar, Representative, Pratham, Bhilwara, Rajasthan State

Prafulla Kumar Sahoo, Chairman, Centre for Youth and Social Development, Bhubaneswar, Orissa State

Pramathesh Ambasta, National Coordinator, National Consortium on The Mahatma Gandhi National Rural Employment Guarantee Act and Co-Founder, Samaj Pragati Sahyog, Bagli, Madhya Pradesh State

Prashant Dubey, Associate Coordinator, Vikas Samvad, Bhopal, Madhya Pradesh State

Prithviraj Singh, Managing Trustee, Jal Bhagirathi Foundation, Jodhpur, Rajasthan State

Priyanka, State Training Officer, Link Worker Scheme (LWS), Aide et Action (AEA), Jaipur, Rajasthan State

Priyanka Singh, CEO, Self Employed Women's Association (SEWA), Udaipur, Rajasthan State

Putta Kummamma, Villager, Village Boragunte, Karnataka State

Rajak Sarpanch, Village Member, Village Matamar, Madhya Pradesh State

Rajnesh Kumar Sentu, Manager Livekihoods, Rajasthan Mission on Livelihoods, Jaipur, Rajasthan State

Rakesh Mahlotra, Vice President, Basix, New Delhi, Delhi State

Ram Dulare, Village Member, Village Matamar, Madhya Pradesh State

Ram Lotan Kushwaha, Member, Srajana Samaj, Pithoravad, Satna, Madhya Pradesh State

Rama Devi, Member, Positive Women Network (PWN+), Hyderabad, Andhra Pradesh State

Ramchandra Jat Mate, The Mahatma Gandhi National Rural Employment Guarantee Act Kiosk User, OneWorld South Asia, Bhilwara, Rajasthan State

Ramesh Paliwal, Counsellor, TABBAR, Jaipur, Rajasthan State

Ranjana Kumari, Director, Centre for Social Research, New Delhi, Delhi State

Ranjeeta Dadeech, Representative and The Mahatma Gandhi National Rural Employment Guarantee Act Kiosk Coordinator, One World South Asia, Bhilwara, Rajasthan State

Ranjita Kumari, The Mahatma Gandhi National Rural Employment Guarantee Act Beneficiary, OneWorld South Asia, Bhilwara, Rajasthan State

Ratan Umre, Secretary, Dalit Sangh, Hoshangabad, Madhya Pradesh State

Ravi Verma, Asia Regional Director, International Centre for Research on Women Asia Regional Office, New Delhi, Delhi State

Rehana Riyawala, Coordinator, Self Employed Women's Association (SEWA), Bhilwara, Rajasthan State

Renu Devi, Self Help Group Member, Village Jassowar, Uttar Pradesh State

Rex Mehta, Founder and Director, Jan Jagriti Kendra, Mahasamand, Chhattisgarh State

Rishi Raghvanshi, Representative, Pratham, Bhilwara, Rajasthan State

Rita Sarin, Vice President and Country Director,The Hunger Project, New Delhi, Delhi State

S.I. Ali, Director, Sarthak Society, Bhopal, Madhya Pradesh State

S. Peppin, Professor, Rural Management, Xavier Institute of Management, Bhuvaneswar, (XIMB), Orissa State

Sabari Begum, Self Help Group Member, Semra Belauna Village, Uttar Pradesh State

Sachin Chowdhry, Assistant Professor, Indian Institute for Public Administration, New Delhi, Delhi State

Sachin Jain, Secretary, Vikas Samvad, Bhopal, Madhya Pradesh State

Samarajit Jana, Independent Consultant, Kolkotta, West Bengal State

Sanjoy Patnaik (Dr.), Director, Rural Development Institute, Bhubaneshwar, Orissa State

Saroj Nayak, Consultant, Basix – Complete Transformation (CTRAN), Bhubaneswar, Orissa State

Saroja Devi, Self Help Group Member, Village Jassowar, Uttar Pradesh State

Satpaty Manas, Pradhan, Bhubaneswhar, Orissa State

Seema Nair, Programme Officer, Hivos, Bangalore, Karnataka State

Selvi, Member, Tamil Nadu Network of Positive People (TNP+), Legal aid cell, Tamil Nadu State

Shashikanta Malik, Project Manager, Action Aid, Orissa State

Shekhar Singh, Member, Working Committee, National Campaign for People's Right to Information

Shiv Narayan Gaur, Editor, Eklavya, Bhopal, Madhya Pradesh State

Shiv Narayana, Founder Director, Catalyst Management Services, Bangalore State

Shri Ambalavanan, Director, Tea Board, Conoor, Tamil Nadu State

Shri Arunachalam, Manager, Kaikati Tea Factory, Conoor, Tamil Nadu State

Shri Muthuvalayethan, Director Covenant Centre of Development, Madurai, Tamil Nadu State

Shri Ramamoorthy, Scientist, Krishi Vigyan Kendra, Conoor, Tamil Nadu State

Shri Swaminathan, Former Manager, Kaikati Tea Factory, Conoor, Tamil Nadu State

Siddaganga Ma, Villager, Village Chikarasanahalli, Karnataka State

Sita Devi, Self Help Group Member, Semra Belauna Village Uttar Pradesh State

Sita Devi Sharma, The Mahatma Gandhi National Rural Employment Guarantee Act Beneficiary, OneWorld South Asia, Bhilwara, Rajasthan State

Sonal Mehta, Programme Director, Alliance, New Delhi, Delhi State

Sowmya Krishna Kidambi, Director, Society of Social Audit, Accountability and Transparency, Hyderabad, Andhra Pradesh State

Suchitra Sharma, The Mahatma Gandhi National Rural Employment Guarantee Act Beneficiary, OneWorld South Asia, Bhilwara, Rajasthan State

Sudhir Chowbey, Village Member, Village Matamar, Madhya Pradesh State

Sultana Devi, Self Help Group Member, Village Piparadand, District Mirzapur, Uttar Pradesh State

Sumer Singh (Brig.), Volunteer, Rajasthan Institute for Security Education, Jaipur (former Servicemen Welfare Cooperative Society Ltd., Jaipur), Rajasthan State

Sumitra Devi, Programme Trainee, Centre for Social Research, New Delhi, Delhi State

Sunil Mehra, Executive Director, Mamta, Health Institute for Mother and Child, New Delhi, Delhi State

Sunita Sehrawat, Programme Trainee, Centre for Social Research, New Delhi, Delhi State

Supervisors, Link Worker Scheme, Aide et Action, Rajasthan State

Surjit Singh, Professor and Director, Institute of Development Studies, Jaipur, Rajasthan State

Svati Bhogale, Secretary, Technology Informatics Design Endeavour (TIDE), Bangalore, Karnataka State

T. Haque, Director, Council for Social Development, New Delhi, Delhi State

Uma Shankar Srivastava, Secretary, Swami Vivekanand Shiksha Samiti, District Mirzapur, Uttar Pradesh

Usha Raghupathi, Professor, National Institute of Urban Affairs

V.K. Madhavan, Executive Director, Central Himalayan Research and Action Group (CHIRAG), Sitla Village, Uttarakhand State

V. Selvam, Programme Director, Maankombu Sambasivan Swaminathan Research Foundation, Chennai, Tamil Nadu State

Vandana Verma, Programme Officer, Ikea Foundation, Gurgaon, Haryana State

Vidya Devi, Self Help Group Member, Village Piparadand, District Mirzapur, Uttar Pradesh State

Vigyan Vikram Singh, Project Director Rajasthan Mission on Livelihoods, Jaipur, Rajasthan State

Vijay Mahajan, Chairman, Basix, Hyderabad, Andhra Pradesh State

Vimla Darli, Coordinator, Self Employed Women's Association (SEWA), Bhilwara, Rajasthan State

Vimla Nadkarni, Professor, Centre for Health and Mental Health, Tata Institute of Social Sciences, Mumbai, Maharashtra State

Vivek Anand, Chief Executive Officer, Humsafar Trust, Mumbai, Maharashtra State

Yamini Aiyar, Director, Accountability Initiative and Senior Research Fellow, Centre for Policy Research, New Delhi, Delhi State

Yogesh Kumar Dwivedi, Theme Manager, Action for Social Advancement (ASA), Bhopal, Madhya Pradesh State

DEVELOPMENT PARTNERS

D. Dhanikachalam, Operation Director, Department for International Development (DfID) Technical Assistance Team, Futures Group, New Delhi, Delhi State

Eliode, Programme Officer, European Union Delegation to India, New Delhi, Delhi State

Elisabetta Tarczewski, First Secretary, Embassy of Italy, New Delhi, Delhi State

Gerolf Weigel, Counsellor (Climate Change & Development), Swiss Agency for Development and Cooperation

Gopi Menon, Country Head, The Australian Government's Oversees Aid Programme (AusAid), New Delhi, Delhi State

Hans van Vliet, Head, Development Cooperation, European Union Delegation to India, New Delhi, Delhi State

Ian Shapiro, Head of National and Global Programmes, Department for International Development, New Delhi, Delhi State

K. Sudhakar, Senior HIV/AIDS Adviser, Centre for Disease Control (CDC), New Delhi, Delhi State

K.R. Viswanathan, Senior Adviser, Swiss Agency for Development and Cooperation

Laurent Le Danois, Adviser, Public Health and Gender, European Union, New Delhi, Delhi State

Manish Mohandas, Research Associate, Swiss Agency for Development and Cooperation

Manisha, Programme Officer, European Union Delegation to India, New Delhi, Delhi State

Michael Alexander, Attaché, Development Cooperation, European Union Delegation to India, New Delhi, Delhi State

Sabina Bindra Barnes, Human Development Adviser, Department for International Development, New Delhi, Delhi State

Shouvik, Programme Officer, European Union Delegation to India, New Delhi, Delhi State

Vivek Misra, Governance Adviser, Department for International Development, New Delhi, Delhi State

INTERNATIONAL ORGANIZATIONS

Anita Anusaya, Health Officer, UNICEF, Orissa State

Aparajeet Sinha, District Facilitator, UNICEF, Ganjam District, Orissa State

Arvind Mathur, National Programme Coordinator, UNFPA, New Delhi, Delhi State

Asa Anderson, Senior Programme Officer, UNAIDS, New Delhi, Delhi State

Ashok Row Kavi, MSM Expert, UNAIDS and Chairperson, India Network for Sexual Minorities (INFOSEM), New Delhi, Delhi State

Charles Franklin Gilks, Country Coordinator, UNAIDS, New Delhi, Delhi State

Cristina Albertin, Representative for South Asia, United Nations Office on Drugs and Crime (UNODC), New Delhi, Delhi State

Debashis Mukherjee, Technical Officer, United Nations Office on Drugs and Crime (UNODC), New Delhi, Delhi State

Farooque Siddque, District Facilitator, UNICEF, Korba District, Chattisgarh State

Frederika Meijer, Representative, UNFPA India

Gavin Wall, Country Director, Food and Agriculture Organization (FAO), New Delhi, Delhi State

Ivvonne Cameroni, Chief of HIV Programme UNICEF, New Delhi, Delhi State

Joaquin Gonzales-Aleman, Chief, Social Policy, Planning, Monitoring and Evaluation, UNICEF India

Karin Hulshof, Country Director, UNICEF India

Lincoln Chowdhary, Programme Officer, UNAIDS

Madhubala Nath, Consultant, UN Women, New Delhi, Delhi State

Mandakini Kaul, Senior Country Manager for South Asia, World Bank, New Delhi, Delhi State

Mariam Claeson, Programme Officer, World Bank, New Delhi, Delhi State

Marc G.L. Derveeuw, Deputy Representative, UNFPA India

Meera Chatterjee, Senior Gender Manager, World Bank, New Delhi, Delhi State

Meera Misra, Country Coordinator, International Fund for Agriculture Development (IFAD), New Delhi, Delhi State

Nandini Kapur Dhingra, Senior Programme Coordinator, UNAIDS, New Delhi, Delhi State

Rajiv Chandran, Information Officer, United Nations Information Centre (UNIC), New Delhi, Delhi State

Santosh Kumar Patra, District Facilitator, UNICEF, Sundargarh District, Orissa State

Suraj Kumar, Programme Officer, UN Women, New Delhi, Delhi State

Sushma Kapoor, Deputy Regional Programme Director, UN Women, New Delhi, Delhi State

Tina Staermose, Country Director, International Labour Organization, New Delhi, Delhi State

Vishal Singh, UNICEF Consultant, Raipur, Chattisgarh State

JOURNALISTS

A. Jayjeet, Journalist, *Dainik Bhaskar*, Bhopal, Madhya Pradesh State

Anil Choudhary, Journalist, *Rajasthan Patrika*, Bhopal, Madhya Pradesh State

Chinmay Mishra, Journalist, *Sarvodaya Press*, Bhopal, Madhya Pradesh State

Jitendra Yadav, Journalist, *Rajasthan Patrika*, Bhopal, Madhya Pradesh State

Rakesh Diwan, Freelance Development Journalist, Bhopal, Madhya Pradesh State

UNDP INDIA

Abha Singhal Joshi, Consultant, New Delhi, Delhi State

Adesh Chaturvedi, State Project Coordinator, Capacity Development for Local Governance, Jaipur, Rajasthan State

Alexandra Solovieva, Deputy Country Director (Programme)

Alka Singh, State Project Coordinator, Capacity Development for District Planning, Jaipur, Rajasthan State

Amit Anand, State Programme Officer for Madhya Pradesh, New Delhi, Delhi State

Arndt Husar, Programme Specialist, Capacity Development, New Delhi, Delhi State

Ashok Kumar Sharma, Project Coordinator, Bhilwara District, Rajasthan State

Atul Dev Sarmah, Officer-in-Charge, Programme Management Unit, United Nations Joint Programme on Convergence, New Delhi, Delhi State

Babubhai Shriwas, United Nations Volunteer, District Planning Project, Korba District, Chhattisgarh State

Caitlin Wiesen, Country Director

Deepak Samuel, Project Support Associate, Ramnathpuram, Tamil Nadu State

Gautam Pattnaik, State Project Coordinator, Capacity Development for Local Governance, Bhubaneswar, Orissa State

Irenée Dabare, Deputy Country Director (Operations)

K. Marimuthu, Senior Secretary, Ramnathpuram, Tamil Nadu State

Kanta Singh, Programme Analyst, Access to Justice, New Delhi, Delhi State

Lianchawii, Programme Officer, Energy and Environment Unit, New Delhi, Delhi State

M. Dharani Devi, Sociologist, Ramnathpuram, Tamil Nadu State

Mainik Sarkar, State Project Coordinator, Capacity Development for District Planning, Bhubaneshwar, Orissa State

Mona Mishra, Executive Officer & Evaluation Focal Point

Nadeem Noor, Project Officer, Varanasi, Uttar Pradesh State

Naveen Kapoor, Project Officer, Varanasi, Uttar Pradesh

Nilesh Pandey, Project Officer, Varanasi, Uttar Pradesh

Nirmalendu Jyotishi, State Project Coordinator, Capacity Development for Local Governance, Raipur, Chhattisgarh State

Patrice Coeur-Bizot, UN Resident Coordinator & UNDP Resident Representative

Pieter Bult, Deputy Country Director (Programme) (former)

Pramod Krishnan, Programme Analyst, Energy and Environment Unit, New Delhi, Delhi State

Prema Gera, Assistant Country Director and Head, Poverty Reduction Unit, New Delhi, Delhi State

R. Rajagopal, Ramnathpuram, Tamil Nadu State

Ratnesh Ratnesh, Programme Analyst, Poverty Reduction Unit, New Delhi, Delhi State

Ritu Ghosh, State Project Coordinator, Capacity Development for District Planning, Raipur, Chattisgarh State

Ritu Mathur, Programme Analyst for Planning, New Delhi, Delhi State

Ruchi Pant, Programme Analyst, Energy and Environment Unit, New Delhi, Delhi State

S. N. Srinivas (Dr.), Programme Officer, Energy and Environment Unit, New Delhi, Delhi State

S. Santhanakrishnan, Monitoring and Evaluation Officer, Ramnathpuram, Tamil Nadu State

Sanjeev Sharma, National Project Manager, Capacity Development for Local Governance, New Delhi, Delhi State

Shefali Misra, Programme Analyst, Poverty Reduction Unit, New Delhi, Delhi State

Siddarth Banerjee, Project Manager, Climate Change Adaptation Project, Dindori, Madhya Pradesh State

Sivan Ambattu, Officer In Charge, Varanasi, Uttar Pradesh State

Sobhagyarani Satapathy, United Nations Volunteer, District Planning Project, Sundargarh District, Orissa State

Srinivasan Iyer, Assistant Country Director & Head, Energy and Environment Unit, New Delhi, Delhi State

Sumeeta Banerjee, Assistant Country Director for Governance, New Delhi, Delhi State

Sundar Mishra, District Planning Specialist, Programme Management Unit, UN Joint Programme on Convergence, New Delhi, Delhi State

Swati Mehta, National Project Manager, Access to Justice, New Delhi, Delhi State

T. Raghunandan, Consultant, Bangalore, Karnataka State

Tushi Ilimlong, Project Officer, Assam State

Vinisha Panwar, Project Manager, Climate Change Adaptation Project, Jabalpur, Madhya Pradesh State

Annex 4

SAMPLE OF PROJECTS FOR REVIEW

	Projects	Distribution/Reach	Budget allocated (USD)	Period covered by project	Type of execution
Focus Area: Poverty Reduction and MDG Achievement (86 projects)					
1	Endogenous Tourism	Andhra Pradesh, Assam, Bihar, Chhattisgarh, Gujarat, Haryana, Himachal Pradesh, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Orissa, Punjab, Rajasthan, Sikkim, Tamil Nadu, Tripura, Uttar Pradesh, Uttaranchal, West Bengal	4.1 million	2004-10	NEX
2	Urban Livelihoods	West Bengal, Maharashtra, Gujarat, Uttar Pradesh, Rajasthan, Madhya Pradesh, Punjab, Andhra Pradesh, Karnataka, Tamil Nadu	5 million	2004-10	NEX
3	ICT for Development	Kerala, Karnataka, Andhra Pradesh, Himachal Pradesh, West Bengal, Rajasthan, Gujarat, Tamil Nadu, Orissa	5.5 million	2004-10	NEX
4	National Livelihoods Mission, earlier Umbrella project	Rajasthan, Jharkhand	5.5 million		NEX
5	Poverty reduction (IKEA Foundation)	Uttar Pradesh	7.99 million	2008-10	DEX
6	Gulf of Mannar, MSSRF	Tamil Nadu	78,281	2004	NEX
7	Resource Centre for addressing child labour (MV Foundation)	Andhra Pradesh	1,235,638	2004-09	NGOIM
Focus Area: Democratic Governance (34 projects)					
8	Strengthening state plans for human development (includes focus on MGNREGA, RTI, Decentralized planning Women's empowerment Elected reps HDRs)	All states	(several projects) 7 million 3 million 259,996 3.7 million	2004-10 2006-12 2004-09 2007-10 2003-07	NEX

(continues)

	Projects	Distribution/Reach	Budget allocated (USD)	Period covered by project	Type of execution
Focus Area: Democratic Governance (34 projects) (continued)					
9	Capacities of elected representatives – urban ATLAS: 13044 (old) 50930 (new)	All states	(several projects) 4,896,415 2,804,800	2004-10 2004-09 2006-10	NEX
10	Capacities of elected representatives – rural	All states	(several projects) 3,827,179	2004-10	NEX
11	Increased access to justice	Assam; Arunachal Pradesh; Manipur; Mizoram; Nagaland; Tripura; West Bengal, Maharashtra, Madhya Pradesh, Haryana, Andhra Pradesh, Rajasthan, Chhattisgarh, Orissa	2 projects 2,791,500	2006-10	NEX
12	Citizens' Right to Information\Capacity building for access to information (Media, Citizens, Trust Fund) 13045 (old) 48393 (new)	Dept of Personnel, Government of India	5,210,659	2004-10	NEX
13	Service deliveries through Knowledge Centres (funded by NASSCOM)	Orissa	83,683	2005-09	DEX
14	Promoting gender equality	Ministry of Women, Govt of India	1,000,000	2004-09	NEX
15	Training for ATIs	DoPT	1,639,264	2004-08	NEX
Focus Area: Environment and Sustainable Development (87 projects)					
16	Coal bed methane capture and utilization	Dhanbad, Bihar	2 projects 6,204,345	2005-09	NEX
17	Biomass Energy for Rural India	Karnataka	6,992,876	2004-11	NEX
18	Gulf of Mannar Marine & Coastal BD	Tamil Nadu	8,655,797	2004-12	NEX
19	Conservation of medicinal plants	Karnataka	5,628,669	2004-10	NEX
20	Steel re-rolling plants	New Delhi, Rajasthan	7,843,394	2004-10	NEX
21	Energy conservation in small sector tea	Karnataka,Tamil Nadu	1,032,908	2008-12	NEX
22	Small hilly hydel resources	Himachal Pradesh	187,837	1995-07	NEX
24	Community conserved areas	Madhya Pradesh	2,959,100	2010-12	NEX

(continues)

	Projects	Distribution/Reach	Budget allocated (USD)	Period covered by project	Type of execution
Focus Area: Environment and Sustainable Development (87 projects) (continued)					
25	Bamboo	Madhya Pradesh	72,124	2004-08	NEX
26	People's Biodiversity Registers	Madhya Pradesh	750,000	2009-12	NEX
27	Institutional Strengthening/Project for the phase-out of Ozone-Depleting Substance under the Montreal Protocol Phase V and VI.		1,443,347	2004-12	NEX
28	Kosi River project		500,000	2009-11	NEX
29	Support for preparation for UNFCC		349,000	2009-12	
Focus Area: HIV/AIDS					
30	HIV/AIDS	Rajasthan, Maharashtra, Himachal Pradesh, Gujarat, Tamil Nadu	2 million	1999-07	NEX-NACO
31	Strengthening community response to HIV/AIDS and SACS	All states	96,710	2004-07	UNDP-DEX
32	CHARCA (Joint UN project)	Uttar Pradesh, Karnataka	1.3 million	2003-07	UNDP-DEX
33	HIV Mainstreaming	Bihar, Chhattisgarh, Rajasthan, Orissa, Uttar Pradesh	15.45 million	2007-12	NIM
34	Prevention of HIV and Trafficking of Women and Girls	Delhi, Uttar Pradesh, Orissa, Tamil Nadu, Kerala, Andhra Pradesh, Maharashtra, Gujarat, Madhya Pradesh, Bihar, West Bengal	5.6 million	2005-07	DIM

Annex 5

EVALUATION CRITERIA AND KEY QUESTIONS

A. Assessment by Thematic Area	
Criteria	**Key questions**
A.1 Thematic relevance	a. Relevance of objectives – Are UNDP activities aligned with national strategies? Are they consistent with human development needs and the specific development challenges in India? How has UNDP maintained relevance of objectives in the face of changing national strategies and priorities? b. Relevance of approaches – Are UNDP approaches, resources, models or conceptual frameworks realistic or relevant to achieve the planned outcomes? Do they adhere to recognized national and international standards or good practices? Are they sufficiently sensitive to the socio-political context in India? To what extent has UNDP adopted participatory approaches in planning and delivery of programmes and what has been feasible in the Indian context?
A.2 Effectiveness	a. Progress towards achievement of outcomes: To what extent has the project/interventions contributed to the expected outcomes? Has it begun a process of change that moves towards achieving the longer-term outcomes? How does UNDP measure its progress towards expected results/outcomes in a context of flux? b. Outreach: What is the reach of the outcomes – local community, district, region, national? Are UNDP's efforts concentrated in regions/districts of greatest need? c. Poverty and equity: Who are the main beneficiaries? To what extent do the poor, indigenous groups, women, Dalits, and other disadvantaged and marginalized groups benefit?
A.3 Efficiency	a. Managerial efficiency: Have programmes been implemented within deadlines and cost? What impact has the political instability in India had on delivery timelines? Has UNDP and its partners dealt expeditiously with implementation issues? b. Programmatic efficiency: Were UNDP resources focused on the set of activities that were expected to produce significant results? Was there any identified synergy between UNDP interventions that contributed to reducing costs while supporting results? What is the efficiency of programme delivery?
A.4 Sustainability	a. Design for sustainability: Were interventions designed to have sustainable results given the identifiable risks? Did they include an exit strategy? How does UNDP propose to graduate from projects that has run for several years? b. Implementation issues – capacity development and ownership: Has national capacity been developed to allow UNDP to realistically plan progressive disengagement? How has UNDP addressed the challenge of building national capacity in the face of high turnover of government officials especially at state government levels? c. Scaling up of pilot initiatives: How has UNDP approached the scaling up of successful pilot initiatives and catalytic projects? Has government taken on these initiatives? Have other partners stepped in to scale up initiatives?

B. Assessment of UNDP Strategic Position	
Criteria	**Key questions**
B.1 Strategic relevance and responsiveness	a. Relevance against national development challenges and priorities: Did the UN system as a whole, and UNDP in particular, address the development challenges and priorities and support the national strategies and priorities? b. Relevance of UNDP approaches: Is there a balance between upstream and downstream initiatives? Is the balance appropriate for the fast-changing context of India? Are project and programme designs sensitive to the conflict and post-conflict context of India? c. Responsiveness to changes in context: Was UNDP responsive to the evolution over time of development challenges and the priorities in national strategies? Did UNDP has adequate mechanisms to respond to changes in the country situation? d. Balance between short-term responsiveness and long-term development objectives: How has UNDP balanced the need for urgent intervention and support with the longer term systemic change needed in India? How does UNDP contribute to national capacity development and systemic change in a changing environment?
B.2 UNDP's use of networks and comparative strengths	a. Corporate networks and expertise: Was the UNDP strategy designed to maximize the use of its corporate and comparative strengths, expertise, networks and contacts? How well has the country office documented its lessons learned and shared these with others in UNDP, the UN system, government and other partners in India? b. Coordination and role-sharing within the UN system: Actual programmatic coordination with other UN agencies in the framework of the UNDAF, avoiding duplications? c. Assisting government to use external partnerships and South-South cooperation: Did UNDP use its network to bring about opportunities for South-South exchanges and cooperation in critical areas?
B.3 Promotion of UN values from a human development perspective	a. UNDP's role in supporting policy dialogue on human development issues: Is the UN system, and UNDP in particular effectively supporting the Government, in particular, the Planning Commission, in monitoring achievement of MDGs? b. Contribution to gender equality: The extent to which the UNDP programme is designed to appropriately incorporate in each outcome area contributions to attainment of gender equality? Extent to which UNDP supported positive changes in terms of gender equality and were there any unintended effects? c. Addressing equity issues: Did UNDP programme take into account the plight and needs of vulnerable and disadvantaged to promote social equity, for example, women, Dalits, youth, disabled persons? How has UNDP programmed social inclusion into its programmes and projects?

Empowered lives.
Resilient nations.

ISBN: 978-92-1-126332-9
e-ISBN: 978-92-1-055006-2

United Nations Development Programme
Evaluation Office
220 East 42nd Street, New York, NY 10017, USA
Tel. (646) 781 4200, Fax (646) 781 4213
Internet: www.undp.org/evaluation