B2. Deliver Results

1. Implementing a project involves delivering outputs defined in the approved project document. A multi-year workplan articulates activities to achieve outputs in a specified time period. Fundamental responsibilities for this process lie with the project manager, who is appointed by and responsible to the implementing partner. UNDP's primary role in implementing a project is project assurance. UNDP has implementation responsibilities only when it serves as the implementing partner or when the national implementing partner requests UNDP for support services. See Select Responsible Parties and Grantees for further information.

Provision of Financial Resources and Monitoring Their Use

2. Based on the approved workplan, UNDP provides the required financial resources to the implementing partner to carry out project activities. Under the Harmonized Approach to Cash Transfers, four cash transfer modalities are available, based on operational agreements described in the project document:
   a. Direct cash transfers to implementing partners and responsible parties for obligations and expenditures to be made by them in support of activities;
   b. Direct payments to vendors and other third parties for obligations incurred by implementing partners and responsible parties;
   c. Reimbursement to implementing partners and responsible parties for obligations made and expenditure incurred by them in support of activities; and
   d. Direct agency implementation through which a UN agency makes obligations and incurs expenditure in support of activities.

   The choice of cash transfer modality for implementing partners and responsible parties is based on the partner's risk rating derived from the HACT micro-assessment. Further details can be found in Financial Management and Implementation Modalities.

3. In all cases, the implementing partner is accountable for:
   a. Managing UNDP resources to achieve the expected results specified in the project document, in accordance with the UNDP Financial Regulations and Rules;
   b. Maintaining up-to-date accounting to ensure the accuracy and reliability of financial reporting; and
   c. Preparing expenditure reports on a quarterly basis (or more frequently as appropriate) and signing the combined delivery report. See Report.

Management of Inputs

4. When management arrangements have been determined, the implementing partner arranges to initiate activities by mobilizing the appropriate inputs.

5. To facilitate monitoring of project expenditures and cash transfers, UNDP must enter project budgets in Atlas using the implementing agent code, which identifies the specific partner. If activities will be directly implemented by UNDP or under country office support services, UNDP Implementing Agent Code 001981 is used. If UNDP contracts responsible parties to implement project activities under direct implementation, the responsible party's implementing agent code must be used. Offices should not use generic implementing agent codes such as NEX implementation or NGO, which do not identify the specific entity implementing project activities. The office must use the budget

revision functionality in Atlas to keep the information on implementing partners and responsible parties up to date.

Definitions and Key Principles

6. Inputs are the personnel (including staff, service contract holders, UN Volunteers and consultants), goods, services, partnerships and low-value grants required to produce planned outputs. Inputs are obtained on the basis of the project workplan and the corresponding budget. Where the progress towards planned outputs is not advancing as expected, the project board should review the strategy of the project, including the workplan, budget and inputs.

7. As per UNDP's Financial Regulations and Rules (Reg. 21.02), the following general principles must be given due consideration:
    a. Best value for money;
    b. Fairness, integrity and transparency;
    c. Effective international competition; and
    d. The interest of UNDP.

8. See [Procurement Overview and Principles](#) for more details. The implementing partner may follow its own procedures provided they conform to the UNDP Financial Regulations and Rules principles as per Financial Regulation 16.05. The implementing partner may alternatively apply UNDP practices.

9. The UNDP country office may mobilize certain inputs on behalf of the implementing partner. In this case, UNDP establishes contracts or agreements following UNDP rules and procedures, as well as the policies for country office support services. UNDP is then a responsible party for the provision of support services. See [Select Responsible Parties and Grantees](#) for more information.

Personnel

Government staff

10. Since UNDP-supported projects form part of the development activities of the programme country, the government assigns its own personnel to participate in project activities as part of their work responsibilities. Such personnel are referred to as 'government staff'. This category is reflected in the government budget, not the project budget. Government in-kind contributions are reflected in the project document.

UNDP-supported personnel

11. The implementing partner is responsible for ensuring that job descriptions (terms of reference) are prepared for all UNDP-supported personnel. The partners concerned must agree on the terms, which must clearly identify responsibilities for delivering project outputs. Individual performance plans are also required for all staff.

12. As general principles, the following must always apply:
    a. All personnel are recruited by the implementing partner (or its contractors) unless otherwise specified (e.g., UNDP provides support services, see [UNDP Recruitment and Selection Framework](#));
    b. The salaries and other entitlements of locally recruited personnel must not exceed those within the UN system for comparable functions and types of contracts in the country concerned;

c. The entitlements for travel of personnel funded by the project must not exceed those for UNDP staff;

d. UNDP adheres to the policy of the Joint Consultative Group on Policy on contracting government personnel, which disallows direct payments to government staff for their additional work contributions on donor-supported development projects. Government officials cannot be funded by UNDP projects since this would undermine ownership and sustainability (see the UN policy on payment to government staff);

e. The UNDP Policy and Procedures for Engagement on National Salary Supplementation Schemes and National Salary Payment Schemes states that UNDP can engage in:

   i. National salary supplementation schemes: UNDP is asked to engage in salary supplements to civil service or other government-contracted posts covering direct state functions. The scheme cannot cover UNDP programme, operations or policy posts, which would be covered by standard UNDP project contracts and related procedures.

   ii. National salary payment schemes: In a limited number of crisis and post-conflict country situations, where the government is not yet able to provide the required administrative and management support to ensure the payment of salaries, it may request UNDP to make these payments directly to a recipient on a government contract.

   iii. An engagement in any of these two areas should be considered part of a larger wage or civil service reform process. A risk assessment should always be included, and any direct service support should be for an agreed limited duration only with an explicit and monitored exit strategy. The engagement requires the approval of the Office of the Administrator and Regional Bureau.

Recruitment by UNDP

13. As part of UNDP country office support services to national implementation, the UNDP country office may recruit personnel for projects according to UNDP rules. For UNDP recruitment, see Human Resources Management.

Contracting to Provide Goods and Services

14. Under a project, a contract is an agreement between the implementing partner and another institution, private firm, individual or NGO to carry out specific activities, or to provide specific goods or services. Contracting is used where the parties agree that it would be the most cost-effective way of achieving the desired results.

   a. When national contracting procedures are used, UNDP must ensure consistency with UNDP principles and procedures as described in Procurement Overview and Principles and in the Procurement chapter of the Programme and Operations Policies and Procedures (POPP).

   b. When UNDP provides procurement as a support service, it must ensure an exit strategy and apply its own procedures. See Procurement.

15. Pro-bono support: UNDP may issue contracts equivalent to those for individual consultants to professionals who are financially supported by a third-party for up to two years. If the financial support is provided by a private sector company, UNDP's rules for due diligence apply.

16. The implementing partner must ensure the oversight and monitoring of all contractors. For this, the contract should describe progress benchmarks and indicators for measuring the outputs of the contract.

Training and Fellowships

17. The project can fund training to contribute to expected results and the capacity development strategy. Key policies and principles are:
    a. Participants in training are project beneficiaries and government staff. Consultants are not eligible for training funded by project resources, since they are recruited to perform specific tasks for which they must already be qualified. This, however, does not apply to orientation training on UNDP approaches. All personnel may participate in local group training activities.
    b. UNDP programme resources may not be used for training UNDP staff alone.
    c. Sitting fees cannot be paid for training, although UNDP may finance travel and allowances for participants who live somewhere other than where the training event takes place.
    d. Only training necessary to produce the outputs and achieve results, as identified in the project document and workplans, should be funded from project resources.
    e. The implementing partner must establish procedures to ensure that the best-qualified candidates are selected for training.
    f. The employer, normally the government, is responsible for ensuring that the participant puts the training to good use to achieve results. The impacts of training must be regularly assessed as part of project monitoring.

Fellowships

18. A fellowship is a specific training activity for a qualified individual, referred to as a fellow. The individual is entitled to payment of a stipend. For more information, see UN-DESA Training and Fellowships.

Other training

19. Other types of training include short-term courses or workshops, study tours and conferences, mentoring programmes, etc.

Sector Budget Support

20. Any direct budget support or sector budget support must be in accordance with the guidelines on UNDP engagement in sector budget support and pooled funding.

Audit

21. Auditing is an integral part of sound financial and administrative management, and of the UNDP accountability system. UNDP projects are audited regularly; findings are reported to the UNDP Executive Board. Audit requirements may differ depending on the implementation modality (see the Office of Audit and Investigations). For project activities carried out by implementing partners and responsible parties using funds transferred by UNDP, audits are part of HACT assurance activities. They are governed by HACT guidelines and the Annual Audit Call Letter issued by the Office of Audit and Investigations.

Evaluation

22. If mandated by partnership protocols, a project evaluation will take place; see UNDP Evaluation Guideline

Roles and Responsibilities in Project Implementation

Project Manager of the Implementing Partner
a. Manage the overall conduct of the project.
b. Plan the activities of the project and monitor progress against the approved workplan.
c. Implement activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work.
d. Monitor events as determined in the project monitoring plan, and update the plan as required.
e. Provide support for completion of assessments required by UNDP, spot checks and audits.
f. Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form.
g. Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.
h. Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.
i. Ensure that changes are controlled and problems addressed.
j. Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.
k. Prepare and submit financial reports to UNDP on a quarterly basis.
l. Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risk log.
m. Project manager is responsible for engaging relevant partners for the development of the evaluation plan and ensure evaluability of project evaluation. In order to ensure the independence and credibility of an evaluation, they will not manage the evaluation directly. However, they will provide documents and data as requested and support the overall evaluation, including the data-collection mission, and have a clear plan for using the results of the evaluation. Project manager is responsible for development and implementation of management responses and key actions. For more information, see [UNDP Evaluation Guidelines](#)
n. Capture lessons learned during project implementation; a lessons learned log can be used for this purpose (see [template](#)).
o. Prepare the annual review report, and submit the report to the project board and the outcome group.
p. Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.

Project Board
a. Provide overall guidance and direction to the project, ensuring it remains within any specified constraints.
b. Address project issues as raised by the project manager.
c. Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks.
d. Agree on project manager's tolerances as required.
e. Review project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
f. Review combined delivery reports prior to certification by the implementing partner.
g. Perform advisory role throughout the evaluation process. Support and provide input to the development of the management responses and key actions
h. Appraise the project annual review report, including the quality assessment rating report; make recommendations for the workplan; and inform the outcome group about the results of the review.

i. Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded.
j. Assess and decide to proceed on project changes through appropriate revisions.

UNDP Project Assurance
a. Ensure that funds are made available to the project.
b. Ensure national ownership, ongoing stakeholder engagement and sustainability.
c. Monitor the project's progress towards intended outputs.
d. Monitor the output contributions to intended country programme outcomes.
e. Assure the quality of the project in the required frequency using the project quality assurance rating tool.
f. Participate in the project management board.
g. Perform required monitoring activities, such as periodic monitoring visits, spot checks and scheduled audits.
h. Monitor the appropriate used of resources entrusted to UNDP.
i. Ensure that risks are properly managed and that the risk log is regularly updated.
j. When UNDP is identified as a responsible party, perform duties associated with this role including, when requested and agreed to, providing implementation support services.
k. Ensure that critical project information is monitored and updated in Atlas and the corporate planning system, including progress data in the results framework.
l. Ensure that financial reports are submitted to UNDP on time, and that combined delivery reports are prepared and submitted to the project board.
m. Report on progress to donors and to UNDP through corporate reporting mechanisms.
n. Perform additional oversight and quality assurance tasks as specified in vertical fund policies, fee arrangements and other agreements.

Project Support
a. Set up and maintain project files.
b. Collect project-related information data.
c. Assist the project manager in updating project plans.
d. Administer project board meetings.
e. Administer project revision control.
f. Establish document control procedures.
g. Compile, copy and distribute all project reports.
h. Assist in financial management tasks under the responsibility of the project manager.
i. Provide support in the use of Atlas and the corporate planning system for monitoring and reporting.
j. Review technical reports.
k. Monitor technical activities carried out by responsible parties.

UNDP Programme Manager (Resident Representative or delegated authority):
a. Ensure that resources entrusted to UNDP are utilized appropriately.
b. Ensure that the programme is making progress towards intended outcomes.
c. Ensure national ownership, ongoing stakeholder engagement and sustainability.
d. Ensure that the project's outputs contribute to intended country programme outcomes.
e. Ensure that key results and issues pertaining to project performance are fed into outcome and programme level monitoring.

f.   Responsible for the timely implementation of the evaluation plan and Safeguard the independence of the evaluation exercise and ensure quality of evaluations

g.   Approve the multi-year budget in Atlas.

h.   Approve quality assurance ratings for projects under the programme.

Implementing Partner (authorized personnel with delegated authority):

a.   Sign the multi-year workplan.

b.   Sign the combined delivery report at the end of the year.

c.   Sign the FACE form.