



Department
for International
Development

Operational Plan 2011-2016

DFID India

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Introduction

In 2013 the UK became the first G7 country to meet the United Nations target of spending 0.7% of gross national income on international development. The Department for International Development (DFID) uses that investment to help countries to lift themselves out of poverty and leave poverty behind. Operational plans set out to the public how we plan to deliver results across policy areas and for every country we work in. These plans clearly explain why, and how, DFID is targeting its resources and what we expect to achieve; covering the period up until March 2016.

DFID is focused on spending in the right ways, on the right things, in the right places. The portfolio of our projects is already shifting to deliver a more coherent, focused and ambitious approach to economic development. We are helping to build strong and investable business environments in developing countries and improving access to finance for entrepreneurs.

Improving the prospects for girls and women in developing countries is a priority. Investing in girls and women is the smart thing to do, as well as the right thing to do. By unleashing their potential, we see returns for girls and women themselves, their families and communities, and for their economies and countries. No country can successfully develop if it leaves half its population behind.

Life-saving humanitarian assistance remains one of DFID's most fundamental responsibilities. When disaster strikes or conflict erupts we are first on the ground to support the most vulnerable people. We are also increasing our efforts to help those countries that are at higher risk of natural disasters to become more resilient in the first place.

DFID continues to drive value for money in everything we do on behalf of the British taxpayer. We have improved our procurement and programme management, increased our internal audit oversight and we are ensuring that staff have the skills to deliver the Department's priorities.

On the international stage we are working hard to agree a new set of global development goals to replace the Millennium Development Goals when they expire next year. We are determined to secure a clear and inspiring set of goals for the post 2015 development framework that leave no one behind.

Increasingly we will take new and innovative approaches and we will work with new partners. This will include businesses who are increasingly major development players. During the Secretary of State's time as co-chair of the Global Partnership for Effective Development Cooperation, DFID played a key role in encouraging different development actors to work together and use internationally agreed principles for aid and development effectiveness.

As our operational plans set out, our approach to international development is ambitious and innovative. We are determined to ensure that every pound DFID spends has the biggest possible impact on the ground. Ultimately by investing in developing countries, we can end aid dependency for good and build a better, more prosperous world for us all.

Context

India is a growing global power and a key partner for the UK. India and the UK have agreed to renew and deepen the partnership between the two countries. India has the world's 10th largest economy, with 4.7% growth in 2013-14¹. It has the second largest population in the world, with a mean age of 26. It is a leading voice in the Commonwealth and its influence in the UN and G20 is increasing year by year. A stable and prosperous India brings many benefits to the UK. India is the world's largest democracy. It is a growing market for UK goods and services. Indian businesses that invest in the UK bring jobs and prosperity to both countries.

Inclusive growth and development is a top priority of the government of India (GoI). Prime Minister Modi has emphasized that 'development' is his government's top priority. His Independence Day speech to the nation on 15 August 2014² was his first major statement on development priorities. He made specific mention of India's social challenges: the need to focus on boys as much as girls as part of preventing violence, the need to 'clean up India', including improving sanitation (toilets for all), and called for a moratorium on communal violence. In terms of India's economic development, he made pledges around financial inclusion (banks for all), skill development, and made a big push on making India a manufacturing hub (Made in India). He has been clear that he wants welfare for people of all religions and groups.

Poverty is falling in India. India became a middle income country in 2008 and its poverty headcount (400 million in 2010³) is falling fast. However, today, India is still home to one third of the world's people living below \$1.25 more than all the poor in sub-Saharan Africa. Average income is still one third of China. 600 million people have no access to sanitation and 400 million⁴ have no access to modern energy⁵. India increasingly has the financial resources to invest in poverty reduction programmes itself. The GoI has a number of 'centrally-sponsored schemes' that finance development; its spend through these schemes has grown rapidly. Absolute public spending on education has more than doubled since 2008 (from £16 billion in 2008 to £37 billion in 2013-14), as has absolute spending on health since 2008 (from £7 billion in 2008 to around £15.5 billion in 2013-14)⁶. The rate of growth in India remains key to pace of poverty reduction in the country. What India looks for from international donors is now mainly technical assistance to improve the impact its own programmes have on poverty.

There is a significant disparity between India's states. States to the south and west are increasingly prosperous. Eight states are home to 65% of India's poor - Bihar, Madhya Pradesh, Orissa, Uttar Pradesh, Rajasthan, Jharkhand, Chhattisgarh and West Bengal⁷. Poverty reduction in these states remains critical to global success in meeting the Millennium Development Goals (MDGs). A central priority is inclusive growth - these states face a shortage of infrastructure and their economies have yet to generate sufficient employment opportunities to lift millions out of poverty; they have received only a small proportion of the inflow of private capital into India⁸. Improved access to basic services is also vital - particularly for women & girls. The poorest are caught in a cycle of truncated education; early marriage (half marry before 18⁹) and early and unspaced pregnancy; poor nutrition and poor access to water and sanitation. This cycle passes easily from grandmothers to mothers to daughters, yet can be broken. Discrimination on the basis of gender, caste, ethnicity and religion remains a concern; however while the gap between Scheduled Castes (SCs)/Scheduled Tribes (STs) and the general population is large, poverty among ST's has fallen over the last two decades¹⁰. The government of India through its constitution has put in place 'Reservation' system which is a form of affirmative action, for example, reserving jobs for people of scheduled caste or tribe.

India is an increasingly central player on global development issues. India is crucial to global progress on issues such as climate change, resource scarcity, food security, multilateral trade reform, disease control and peace and security. It is influential on the development prospects of its own region, and is developing an increasing presence in Africa. Many countries benefit from India's role in international peacekeeping; its market leadership in the provision of low cost generic medicines; and its trade and investment. India is a development policy innovator and there is increasing interest from developing countries to learn from India's development experience.

Vision

Overview

As India's economy grows, poverty reduces, and India has ever greater prominence in world affairs, our development partnership with India is evolving. In a statement to Parliament on 9th November 2012 the Secretary of State for International Development announced that we have agreed with India to move to a new development relationship. From now on, DFID will approve no new financial grant aid to India. Nevertheless, we will responsibly complete by 2015 all our commitments to ongoing projects. All new programmes will be either technical assistance or private sector initiatives financed using returnable capital; and working together on global development issues. After 2015 our technical assistance and returnable capital programme will focus in three thematic areas, on urbanisation, economic development and empowering women and girls which reflect the Government of India's priorities.

Alignment to DFID and wider UK Government priorities

Over the next 2 years our four Strategic Objectives are:

1. Focus on India's low income states – UK aid will continue to target India's poorer states, where growth has not yet made enough of a dent on poverty. UK assistance will build on the deep and productive partnerships we have built in low incomes states over the last decade.

2. Improve the lives of over 10 million poor women and girls. The UK will invest in: girls' education; access to finance, skills and low carbon energy; safe birth, children by choice and reducing violence against women; children's health and nutrition; and sanitation.

3. Catalyse the private sector's potential to combat poverty. To support faster and more inclusive growth in the poorer states, the UK will develop a new programme of support for pro-poor private investment in such sectors as small and medium-sized enterprises, agri-business, energy, infrastructure, financial services that directly benefit a wide cross-section of poor people in low income states.

4. Deepen our engagement with India on global issues where there may be benefits for poor people elsewhere: such as growth and trade, climate change, resource scarcity, health and disease control and development effectiveness. The UK's global and regional programmes complement our bilateral programme and work in partnership with India to strengthen our collective impact on global development, including by sharing learning, technology and best practice from India with third countries.

Our theory of change is that (a) bringing assets, opportunities and basic services directly to women and girls can break the cycle of poverty passed between generations; (b) investment support to low income states, combined with help to improve the climate for business will create economic opportunities for poor people. We believe that private sector investment can achieve a commercial as well as a developmental bottom line – and that if DFID works alongside other capital investors it can help catalyse new flows of private investment that will boost employment, develop markets and unblock infrastructure constraints; c) that the UK can have the most impact by working with Indian partners to reinforce the impact of India's own programmes, including by piloting innovations and establishing credible evidence on new approaches.

After the end of our traditional grant programme in 2015, we will maintain a hub of development expertise in India. We will work together with Indian partners to share skills and expertise in our thematic priority areas of economic development, urbanization and women and girls. Under economic development we will promote growth that creates jobs and opportunities for poor people; catalysing private investment in the poorest states and priority **sectors**; promoting an improved policy environment for shared prosperity; ensuring that excluded groups (women and girls, scheduled castes, scheduled tribes, minorities) benefit via new skills, better jobs, higher incomes..

We will also strengthen our partnership with India on global development issues like food security, and climate change. This new approach offers a more up-to-date way of working with India to tackle poverty as it continues to grow and develop. DFID will continue to work with other UK government departments through joint units on trade, energy, growth & climate change, and joint networks on research and education. DFID's co-location with the British High Commission in July 2014 has facilitated further collaboration.

Results 2011/12-2015/16

Headline results (those with a * directly attributable to DFID. In all other cases, DFID is contributing to the results)

Pillar/Strategic	Indicator	Baseline	Progress towards results (including year)	Expected Results (end year included)
1. Wealth creation	Number of additional individuals reached with savings, credit, insurance; and number of firms reached with equity and loan guarantees as a result of DFID support (across 8 low income states)	0 individuals (2011)	The Poorest States Inclusive Growth Programme is in its first quarter of implementation. Around 1.08 million women already reached by the third quarter of 2013/14.	3 million women between 2011/12 - 2014/15 (4.8 million women between 2011/12 – 2015/16)
2. Wealth creation	Number of new Public-Private-Partnership deals in infrastructure (across 8 low income states)	0 (2011)	Twenty six contracts awarded (2011-12 and 2012-14). Rate of progress likely to increase in 2014-15.	35 deals between 2011/12 - 2014/15 (40 deals between 2011/12-2015/16)
3. Climate change	Number of additional people with access to low carbon energy (e.g. fuel efficient cook-stoves, solar lanterns) (across 8 low income states)	0 (2012)	Over 600,000 (2011-12 and 2013-14) Target revised following cuts to DFID India allocations.	0.8 million people between 2011/12 - 2014/15
4. Health	Number of births delivered with the help of nurses, midwives or doctors	2.5 million (2011)	Over 310,000 (2011-12 and 2013-14)	Around 380,000 births between 2011/12-2014/15. (This is the share attributable to DFID support of an overall result of 3.1 million births in 2014/15, and 13.9 million births between 2011-2015.)

Pillar/Strategic	Indicator	Baseline	Progress towards results (including year)	Expected Results (end year included)
5. Nutrition	Number of pregnant women and children under 5 reached by nutrition programmes (in 8 low income states)	8.6 million (2011)	Over 3.5 million (2011-12 and 2013-14)	3.6 million people by 2014/15 of which 2.7 are women. (This is the share attributable to DFID support of a total result of 17.3 million children and pregnant women by 2014/15)
6. Water and Sanitation	Number of people with sustainable access to an improved sanitation facility (in Bihar, Madhya Pradesh and Orissa)	26 million (2009)	Over 1.3 million (2011-12 and 2013-14)	2 million people by 2014/15. (2.7 million people by 2015/16)
7. School Education (Ages 15-16)	Number of girls and boys supported by DFID to enrol in basic education (ages 6-14) Number of additional girls and boys enrolled in junior secondary school (ages 15-16).	185 million in 2010 28.2 million (2008) of which 12.3 million girls	843,000 of which 408,000 girls (2011-12 and 2013-14) 735,000 of which 360,000	843,000 children , of which 408,000 (peak year) girls between 2012/13-2014/15. 786,000 students , of which 393,000 girls by 2014/15.
8. Governance	Number of women and men supported to have choice and control over their development and to hold decision makers to account (in 8 low income states)	0 million (2011)	Over 5 million of which 3 million are women (2011-12 and 2013-14)	12.1 million additional people, of which 7.3 million women between 2011/12 - 2014/15

Headline Results

With the end of financial grant aid for service delivery in 2015, we will shift our focus to using technical assistance and returnable capital across three thematic areas: urbanisation, economic development and women and girls. Our overarching goal is to help India use its own resources, both public and private, for the greatest impact on the poor.

Evidence supporting results

This Plan uses both locally derived evidence and wider research literature extensively. Below we assess the relative strength of the evidence (interventions proven to have impact in South Asia), as well as our DFID India's familiarity in implementing this intervention, across key areas. Where the evidence on what works is more limited – e.g. nutrition behaviour change, violence against women, poor people's direct and indirect benefits from public private partnerships (PPP) in infrastructure – we will emphasise research and impact assessment. By generating and testing evidence at scale – particularly in delivering basic services and improving women and girls' status - this plan will contribute significantly to innovation in India as well as international lesson learning. Evidence in implementing our investment approach will be gathered to benefit other DFID country programmes.

In translating this plan into business cases for new programmes, we will provide a critical evaluation of the evidence, distinguishing between primary studies, synthetic evidence and reports published by other agencies. We will highlight where evidence is limited or uncertain, and programming therefore more risky. We will develop a strategy for using India's rich evidence and data sources for progress monitoring, to ensure international comparability and rigour. In particular, we will seek to learn from DFID India's vast experience of implementing technical assistance programmes to improve our understanding of how to measure the impact of such programmes. We will seek to use evidence generated from our private sector programmes to measure impact from returnable capital investments.

DFID India has already commissioned a number of research and evaluation studies to bridge some of the gaps listed above

Delivery and Resources

Our aid instruments are evolving to keep pace with India's changing circumstances, and to ensure UK funds continue to have as catalytic a role as possible. In November 2012 the Secretary of State for International Development announced that the UK has agreed with the government of India (GoI) the end of the UK's traditional grant programme in India. Existing projects will be finished responsibly, with final payments expected in 2015. Until 2015, we will use traditional funding instruments that have proved versatile and effective in the past (project funding reimbursing agreed activities, sector-wide budgetary support linked to performance targets, contracts for technical assistance operation services). From now on, all new development cooperation programmes will be either technical assistance programmes focused on sharing skills and expertise, or investments in private sector projects focussed on helping the poor.

To ensure the smooth transition of our bilateral programme we are implementing a three-year structured change programme from 2013 to 2016. This will help to ensure we maintain a rigorous focus on portfolio quality of closing programmes and will drive sustainability by ensuring we take a structured approach to exit planning as we close financial aid programmes. We have had specific discussions with Government of India and other civil society partners on exit of financial aid.

We are in a process of putting together a strategic workforce plan setting out the structure and composition of staffing and skills we will need by April 2016. This plan will help to respond to our future technical assistance, returnable capital, regional and global strategies, as well as the one HMG agenda of consolidation and harmonisation.

Our programme of support to pro poor private investment is providing both grants and returnable capital to: prime investment flows; test and scale up commercially viable concepts; and foster social entrepreneurship. In addition to providing finance in poverty-reducing sectors (e.g. infrastructure, agri-business, skills, energy), our programmes offer expertise to help our state partners plan for inclusive economic growth and build a strong enabling environment for business. We have scaled up our support to microfinance, and are helping promote financial inclusion, especially for women. We work with a mix of partners, including the National Housing Bank on affordable housing, Small Industries Development Bank of India and other organisations promoted by the Government of India.

Our global programme will continue to work with a range of partners. We will aim to deepen our policy dialogue with Government, whilst also partnering with civil society and private sector actors to share Indian expertise and experience with low income countries. DFID India will maximise our impact by exploiting the links between our state, national and global programmes and by utilising DFID's large network of country offices, e.g. to share evidence and innovations from our state partnerships with low income partner countries.

The 2013/14 refresh of the Strategic Programme Review identified prioritise on climate and environment for teams across the office to take forward. Progress will be reported to the Head of Office on a six monthly basis to ensure that while delivering growth for poor people, we also take into account the increasing challenges posed by a more variable climate and increasing resource scarcity. The UK's policy dialogue and operational partnerships span government, private, non-government and donor organisations; and we aim to capitalise on this depth and diversity. Our partnership strategy is to leverage and catalyse India's own growing finance and innovation capability to accelerate development. We will develop the following 5 key relationships during the lifetime of this Plan:

- supporting state governments to deliver their development plans, especially in strengthening basic services and the investment climate for business;
- sustaining strong policy dialogue with the GoI on health, education, climate change and development effectiveness, while deepening discussion in areas where India's global development influence is expanding – e.g. trade, access to medicine and development dialogue on third countries;
- forging new partnerships with the private sector to stimulate investment, business activity and economic opportunity, working with institutional investors and intermediaries, infrastructure and enterprise development bodies, business associations, small and medium size enterprises and micro-entrepreneurs;
- learning from and building on the strengths of other multilateral, bilateral and private donors who can complement the UK's approach or deliver significant programmes with us;
- working with civil society and think tanks, to deliver services, generate and disseminate evidence-based research, enrich the development debate, pilot new approaches and reach the very poorest.

Planned Programme Spend

Pillar/Strategic	2011/12		2012/13		2013/14		2014/15		2015/16 (provisional*)
	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource £'000	Capital £'000	Resource/Capital
Wealth Creation	17392	1,349	17,840	5,222	13,327	19,121	21,600	21,000	
Access to Low Carbon Energy	2127	0	2,129	0	2,197	0	3,000	0	
Governance and Security	30992	289	31,307	0	22,817	0	20,000	0	
Education	64482	15,200	46,205	18,659	25,497	10,000	24,000	10,000	
Reproductive, Maternal and New-born Health	58529	0	25,232	0	32,708	0	19,000	0	
Malaria	1735	0	1,407	0	1,447	0	1,000	0	
HIV/AIDS	25,755	0	274	0	0	0	0	0	
Other Health	39,089	0	37,933	0	32,308	0	22,500	0	
Water and Sanitation	7,156	289	8,547	0	7,505	800	8,536	1000	
Poverty, Hunger and Vulnerability	3,119	800	1,703	456	1,218	0	2,000	0	
Humanitarian	0	0	0	0	0	0	0	0	
Other MDGs	0	0	0	0	0	0	0	0	
Global Partnerships	91	0	141	0	203	0	0	0	
TOTAL	250,467	17,927	172,718	24,337	139,227	29,921	121,636	32,000	
TOTAL RESOURCE + CAPITAL		268,394		197,055		169,148		153,636	160,000

*Expenditure figures for 2015/16 are indicative. DFID works in a variety of challenging environments, including fragile and conflict affected areas. Humanitarian work is often reactive and can be scaled up or down. An element of flexibility within funding allocations is necessary to ensure that we can balance the need for long term planning alongside the ability to respond where necessary to changing requirements.

Planned Operating Costs

	2011/12	2012/13	2013/14	2014/15	2015/16 (provisional*)
	£'000	£'000	£'000	£'000	£'000
Frontline Delivery Costs – Pay	2,701	2,748	2,550	2,542	
Frontline Delivery Costs – Non Pay	2,404	2,211	1,815	1,708	
Administrative costs - Pay	490	358	219	194	
Administrative costs – Non Pay	211	90	67	112	
TOTAL	5,806	5,407	4,651	4,556	4,273

*Expenditure figures for 2015/16 are indicative. DFID works in a variety of challenging environments, including fragile and conflict affected areas. Humanitarian work is often reactive and can be scaled up or down. An element of flexibility within funding allocations is necessary to ensure that we can balance the need for long term planning alongside the ability to respond where necessary to changing requirements

2011/12 - 2013/14 figures are as per actual spend. Operating costs for 2014/15 are as per the approved allocation. Operating costs for 2015/16 are indicative allocations as staffing plans up to 2016 will be finalised as part of our on-going strategic work force plan.

Delivering Value for Money

Maximising the impact of every pound that we spend in DFID India on poor people's lives

DFID India has taken steps to integrate and improve value for money (VFM) across the programme, including developing a VFM strategy and action plan in November 2011, collating sectorial data on unit costs for large-spending programmes, putting VFM measures into log frames, holding office-wide discussions and reviewing experiences from other country offices (e.g. Nigeria). DFID India has undertaken all procurement under £5 million locally for several years. We will continue to use the shared DFID/FCO Procurement Unit as a key resource for obtaining VFM, particularly where we spend directly on contracted technical assistance services.

Key actions: There are three distinct VFM approaches adapted to different parts of our portfolio:

- **Development Partnerships:** We will continue to draw on the best available evidence when choosing and appraising new interventions and recommending policy choices to partners. We will also develop more rigorous ways of assessing the 'value added' of UK funds when combined with the resources of our state partner governments and the Government of India; and the distinct contribution of the local and international technical advisory services that the UK provides. Where possible, we will make comparisons about the VFM of our support across sectors. We will continue to support partners' financial management and procurement systems, and steps to increase accountability and transparency - which will encourage more efficient use of money.
- **Private sector:** We are working to develop an appropriate methodology for assessing the VFM of pro-poor investment, learning from promising good practice among Fund Managers and Foundations. In addition to ensuring that investments generate a commercial return, we will seek ways to assess the direct development benefits of the UK's investment choices in terms of outputs, better quantification of outcomes and more reliable approaches to attribution. We will develop a framework for assessing the costs and benefits of our investment approach overall, taking into account the wider catalytic returns and indirect effects on poverty over time. Examining private sector governance, efficiency and fiduciary risk will be part of this.
- **Global and policy.** We are allocating staff time and financial resources to innovative activity that also yields results and developing robust approaches to determining VFM in policy and influencing activities and programmes. For example, we have designed a hybrid input/output model for a recent technical assistance contract, reasserting our ability to scrutinise and audit fees.

Our forward VFM Strategy and Action Plan is helping to address:

- **VFM and operating costs** – including the scope for shared approaches to administration cost efficiencies with the FCO following the co-location in July 2014; workforce planning that maximises resources for frontline delivery; and continuing our ambitious year-on-year Green Office targets, including monitoring energy costs closely.
- **VFM at various stages of project cycle management:** Business Cases, log frames, annual reviews, project completion reports and evaluations, as well as more effective use of output-based contracting in our programmes and mechanisms to incentivise our agents/partners to assess and report on VFM.
- **Skills, systems and structures** to institutionalise and reward a VFM culture, e.g. through staff performance management

Monitoring and Evaluation

Monitoring:

DFID India's Senior Management Team will review progress against the Results Framework in this Plan annually (February), with support from the DFID India Results team and Senior Advisers. If milestone data are unavailable for certain results, alternate data sources and qualitative assessments of progress will be used. Remedial action to address slippages will be considered when updating this Plan. In designing new projects, we will emphasise baseline and milestone indicators and the use of quality data systems. Where possible, we will use standard project indicators: this will facilitate aggregate reporting, both within DFID India and corporately. Where standard indicators do not currently exist (e.g. private sector investment, innovative service delivery), we will develop and share appropriate indicators. We will institutionalise mechanisms to capture disparate lesson learning across the portfolio and use this to inform the design of new programmes. We will maintain DFID India's record of 100% timeliness for annual reviews over the last three years.

Evaluation:

We have developed an evaluation strategy reflecting DFID India's commitments and priorities set out in the Operational Plan. At present, around 25 evaluations are at various stages of implementation, including 7 impact evaluations. Overall, we plan to spend around 4% of our programme budget on evaluations, covering evaluation activity within projects as well as ex-post evaluations, commissioned evidence studies, joint evaluations and evaluation advisory services. We:

- Have strengthened evaluation governance to ensure integrity, ethical standards, and independence of evaluations;
- Have embedded evaluation early on in programme design and implementation for better evidence of attribution, value for money and impact;
- Are building the evidence base for innovative delivery strategies, and will communicate these to other parts of DFID;
- Are using a new Framework Agreement to source quality impact evaluation expertise, reduce transaction costs and improve VFM;
- Have continued our tradition of joint evaluation and co-financed studies with such partners as the World Bank;
- Have adopted peer review and quality assurance mechanisms for all evaluation products to ensure these meet quality standards and are publishable;
- Are seeking to evaluate the effectiveness of DFID's work on policy dialogue and technical assistance.

Working with Partners:

The government of India (GoI) and state governments are pressing for better data sources and stronger evidence to inform policy-making and strengthen public accountability. At the request of GoI, we will support expertise-building in independent evaluation and fund policy-relevant studies. We will also support robust and gender disaggregated statistical surveys. We will also work collaboratively with technical impact evaluation agencies and other donors to share best practice, and promote the uptake of robust evidence in policy-making and practice. Through the revised log frame format, we will continue to ensure a greater buy-in from partner agencies and civil society organisations. This will include helping them to strengthen their M&E frameworks.

Transparency

Transparency is critical in improving - and demonstrating - value for money to UK taxpayers at a time of increased pressure on public spending. To promote transparency, DFID India will meet all the commitments of the UK Aid Transparency Guarantee (ATG), including the International Aid Transparency Initiative (IATI) and DFID's Open Data Strategy. This includes: publishing more detailed, timely and comparable information on our projects; increasing accessibility and providing opportunities for people affected by our programmes to feed their experiences back to us; and pushing for full transparency from the partners we fund.

Actions to ensure DFID meets its commitments in the UK Aid Transparency Guarantee

As part of IATI, we:

- We will ensure that all project documentation is published on the Development Tracker (<http://devtracker.dfid.gov.uk/countries/IN/>]
- Publish comprehensive details of all new projects and programmes in Plain English on our website, including agreements with partners, project summaries, log frames, annual review reports, project completion reports, evaluation reports, results, budgets and individual financial transactions over £500.
- Provide an opportunity for those affected by our projects to provide feedback through the public enquiry point, project websites and consultant websites.
- Have made information more accessible to Indian citizens by publishing the original 2010-15 OP in Hindi.
- Include messages on transparency in external communications.
- Support efforts to encourage DFID's multilateral partners to sign up to and meet the transparency standards set out in the IATI.
- Will map our programmes so that we can visualise where our support is targeted

Supporting transparency in our work

DFID has worked with Indian partners over the last decade to innovate and expand new approaches to transparency and accountability - from scaling up social audit (e.g. with government of Andhra Pradesh) and citizen report cards (e.g. West Bengal urban programmes) to helping millions of India's poorest people understand and claim their rights and entitlements (e.g. Poorest Areas Civil Society Programme). We will build on this work. In addition, we will:

- Expand innovative initiatives on accountability that promote a smarter use of IT (e.g. daily SMS reports of poverty schemes by the Government of Bihar). In particular, we will work to connect citizens groups and state governments through IT to enable 'real time' debate about government performance.
- Work with our partners from civil society, the private sector and consultant organisations, encouraging them to adopt transparency standards in line with the International Aid Transparency Initiative (IATI).
- Reach an agreement with partners on the transparency standards we would like them to adopt and information we expect them to make available publicly. This agreement will be recorded in a clause in all new funding agreements, starting from April 2011.
- Introduce independent governance arrangements for evaluation.
- We will help government and citizens use availability of rich data.

Annex A: Changes to Operational Plan

Page Number	Change made to operational Plan	Reason for change
4	Context	We have updated this to take into account the new government of India's priorities; and future priorities.
5	Vision	We have updated this based on future priorities.
6-8	<p>Headline results:</p> <p>4. Health: Number of births delivered with the help of nurses, midwives or doctors</p> <p>5. Nutrition: Number of pregnant women and under 5 children reached by nutrition programmes (in 8 low income states)</p> <p>6: Water and Sanitation: Number of people with sustainable access to an improved sanitation facility (in Bihar, Madhya Pradesh and Odisha)</p> <p>7: School Education: i) Number of girls and boys supported by DFID to enrol in basic education (ages 6-14); ii) Number of additional girls and boys enrolled in junior secondary school (ages 15-16)</p> <p>8: Governance: Number of women and men supported to have choice and control over their development and to hold decision-makers to account (in 8 low income states)</p>	<p>4. Using the latest available data on output and expenditure, we have slightly increased the final year target.</p> <p>5: In 2013/14, we increased the target from 3.45 million to 3.7 million. Using the latest data, we have marginally reduced the current target but this is well above the previous target of 3.45 million.</p> <p>6: We have done a thorough review of both sector output and expenditure, since 2011/12 and accordingly revised the expected result. The reduction is largely due to a significant drop in the number of toilets constructed in Bihar (contributing to more than 65% of our total sanitation results), owing to a frequent shift in the Government of India's central policy on sanitation.</p> <p>7: i) The programme that contributes to this indicator ended in 2012/13. The achieved result is slightly above the estimated result. ii) The current target has been marginally lowered (less than 10%) based on the improved data but it seems to be on track to achieve the current target by March 2015.</p> <p>8: Based on the latest available data, the expected results have slightly lowered. However the programme is on track to achieve the current target.</p>
9	Delivery and Resources	We have updated this based on future priorities; based on resource allocation for 2015/16
10	Planned programme spend	We have updated this based on resource allocation for 2015/16
11	Planned operating cost	We have updated this based on resource allocation for 2015/16 and future priorities.

Annex B: UK Human Rights Assessment

DFID recognises that the realisation of all human rights underpins sustainable development. Through its development programmes, DFID aims to support civil society and governments to build open economies and open societies in which citizens have freedom, dignity, choice and control over their lives, and institutions are inclusive, responsive, accountable and transparent.

Human rights context

Economic and social rights: India is ranked 135th of 187 countries in the Human Development Index (2014). India has made progress on the right to an adequate standard of living and will meet the first MDG, by halving the proportion of people in poverty to under 30%. There is mixed progress on rights to education and health. India has achieved the MDGs for universal primary enrolment, and eliminating gender disparity in primary education; but drop-out rates are high, and access to secondary education remains poor. The indicators for access to safe drinking water are on track: but under-five, infant, and maternal mortality are all off track, as is access to sanitation. On this last issue, PM Modi has made this an especial focus of action, in particular for women and girls, including at school. India acceded to the Convention on the Rights of the Child (CRC) in 1992, but expressed reservations to articles 32 and 33 which explicitly prohibit child labour. It is yet to ratify ILO conventions 138 (minimum age for admission to employment) and 182 (worst forms of child labour). India does, however, have domestic child labour legislation.

Non-discrimination: India's rank on the Gender Inequality Index is 135th of 187 countries. Maternal mortality has reduced from 570/100,000 in 1990 to 230 in 2010. India's sex ratio at birth was 940 in 2011 (Census) - an improvement over 2001 (933) but still of concern. Overall, gender inequality, discrimination and domestic violence are still pervasive, particularly in India's poorest states. In the last year there have been a number rape cases which have received international media attention, and there remains significant work to do to prevent rape and promote equality in general. PM Modi stressed the importance of addressing this issue in his Independence Day Speech. India's Constitution recognises 'weaker sections' (specific caste and indigenous groups) and allows for affirmative action. For example, India uses reservations (in government colleges, jobs, electoral politics) for scheduled castes and tribes. Although improving, their development indicators continue to lag behind other groups. On 11 December 2013 the Supreme Court of India upheld Section 377 of the Penal Code, which criminalises homosexual acts between consenting adults. The decision overturned a 2009 ruling by the Delhi High Court which held section 377 unconstitutional on the grounds of discrimination. A further appeal, challenging the 2013 ruling is still before the Supreme Court.

Civil and political rights: India is a federal, multi party democracy. Regular elections are held at national, state, and local government level under the supervision of the Election Commission. The 2014 national elections were free and fair. In 2014, Freedom House assessed India as 'Free', but with press and internet 'partly free'. Freedom House observes that India's score declined by a point, to 39 (from its 2013 score), reflecting increased interference in content by media owners in the run up to the 2014 election. In spite of this Freedom House recognises that "India's vibrant media scene is the freest in South Asia." India's Right to Information Act (2005) has increased transparency in government. Recent debates on civil society freedom have focussed on the tightening of the Foreign Contribution Regulation Act (FCRA) which limits the scope for local NGOs to receive foreign funding

The Universal Periodic Review (UPR) reported in May 2012 and in September 2012 the Government of India accepted 67 of the 169 recommendations put forward. As part of this process, the UK recommended that India expedite ratification of the UN Convention Against Torture. Implementation of recommendations will be reviewed at the next UPR process in 2016.

Direction of travel

- Overall India has a strong democratic framework, which guarantees human rights within the constitution.
- Civil and political rights are generally stable.
- Social and economic rights are on a positive trend overall, but the country faces numerous challenges, in part reflecting the diversity across regions and social groups. Inequalities persist. India's gender gaps is closing, but slowly.

UK approach and focus

The British government is committed to working with the new government of India and international partners to build capacity and to share experience in human rights promotion and protection.

The UK strongly supports positive trends on social and economic rights through programmes executed with government and civil society.

We will continue efforts to address inequalities through on-going programmes in support of the most vulnerable groups; through a strong emphasis on women and girls; and a geographic focus on India's largest, poorest states and within these the poorest Districts. Between 2011 and 2013 DFID India has helped 210,000 more tribal girls into secondary education; 340,000 mothers to deliver their babies more safely with the help of nurses, midwives or doctors; and has ensured 3 million poor and marginalised women understand their entitlements and legal rights.

The UK raises concerns about civil and political rights with Government at all levels, both bilaterally and as part of the European Union.

We will continue to work with the Indian Government and civil society to strengthen accountability institutions and mechanisms, building greater confidence amongst citizens to express opinions, and strengthen voice and accountability in service delivery, empowering Indian citizens to engage effectively with the state in pursuit of their rights.

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