

## United Nations Development Programme INDIA

### 2014 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)

**Project Title:** 52931 Institutional Strengthening Project (ISP)  
**Implementing Partner:** Ozone Cell, Ministry of Environment and Forests (MoEF), Government of India  
**UNDP Strategic Plan Outcome:** Environmental and Sustainable Development  
**UNDP Strategic Plan Output(s):** Phase out of Ozone Depleting Substances (ODSs)  
**UNDP Strategic Plan Indicators:** Reduction of consumption of Hydrochlorofluorocarbons (HCFCs) in line with the accelerated phase out schedule of the Montreal Protocol on substances that deplete the Ozone Layer  
**UNDAF / CPAP Outcome:** Protection of the Ozone Layer depletion through phase out of ODSs associating all concerned stakeholders resulting in Environmental and Sustainable Development

**PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)**

**A. State the specific development challenge or gap that this AWP is addressing.**

The Montreal Protocol on substances that deplete the Ozone Layer, under its financial mechanism, the Multilateral Fund (MLF), through its Executive Committee (Ex-Com), provides financial support to countries operating under paragraph 1 of Article 5 of the Protocol for building capacity at national level towards the implementation of the Montreal Protocol and its ODS phase out activities. There is sufficient evidence that achievement of success including of compliance targets relating to ODS phase out schedules could not have been attained without the institutional strengthening (IS) projects. Although it is not possible to quantify the share of the IS projects in achieving the Montreal Protocol targets since such results are determined by several factors, activities, projects and stakeholders and their complex interrelationships, the IS projects in most countries provided the extra leverage needed by strengthening the national ozone units (NOUs) as focal points for mobilizing local stakeholders, initiating and following-up on legislation and ratifications, and coordinating the preparation and implementation of phase-out projects and plans with implementing agencies (IAs) and bilateral agencies.

**B. Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:**

- ✓ Changes in attitudes and access to decision making through awareness raising
- ✓ Changes in policies, and legislation through support to national assessment, policy making
- ✓ Changes in the lives of individuals and communities through implementation for inclusive development

**C. List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP.**

Through this IS project, an effective institutional framework including appropriate monitoring mechanism has been established through which concerned stakeholders are associated in the ODS phase out process at both the planning and implementing stage. Formulating appropriate regulations and policies in consultation with the stakeholders, supplemented by their capacity building through awareness and training activities result in successful implementation of the ODS phase out projects and activities in line with the Montreal Protocol Schedule.

**D. List the gender issues in this AWP and specific ways in which they will be addressed.**

Since the IS Project is aimed at building capacity at national level towards the implementation of the Montreal Protocol and its ODS phase out activities, gender issues need not be specifically addressed.

**E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.**

Through its well developed implementation framework and monitoring mechanism for successful implementation of the Montreal Protocol, India facilitates several South Asia and South East Asia Pacific Regions on ODS Trade Related Issues, equipment and training support in setting up units for Recovery/Recycling of ODSs and other related issues concerning implementation of the Montreal Protocol. Such initiatives will be continued during the year 2014.

Atlas Project ID:	00035901
Atlas Output ID:	00052931
Local PAC meeting date:	
Start date:	Jan 2014
End Date:	Dec 2014
Implementation modality:	National Implementation

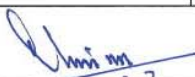
2014 AWP budget:	USD 190,000
- Regular:	USD NIL
- Donor: (MLF)	USD 190,000
o Government:	USD NIL
o In-kind Contributions (GEF):	NIL

**Project Expenditure**

Total Project Budget	Exptill 2011	Exp 2012	Exp 2013	Budget 2014	
1863231	12,96,930	1,67,488	169488*	1,90,000	

\*provisional figures

Agreed by (Implementing Partner), MoEF:



(डा० ए० दुरईसामी)  
(Dr. A. DURAISAMY)

निदेशक / Director

पर्यावरण एवं वन मंत्रालय

Ministry of Environment & Forests

भारत सरकार / Govt. of India

नई दिल्ली / New Delhi

Agreed by UNDP:



Alexandra Solovieva  
UNDP Deputy Country Director

28/02/2014

I. ANNUAL WORK PLAN - YEAR: 2014

ANNUAL OUTPUTS 2014	PLANNED ACTIVITIES	MONTH OF COMPLETION	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description	Amount
HCFC phaseoutManagement Plan implementation to meet Stage-I targets.	UNDP and Ozone Cell in close cooperation to manage implementation of activities related to HCFC phase-out projects relating to Stage-I.	Dec. 2014	MOEF	10009	73400	30,000
- HPMP Stage-I compliance targets to be met as per the Accelerated HCFC phase-out schedule. - Systematic implementation of HCFC takes on board stakeholders and phase-out activities in line with HPMP.	- Ozone Cell to register producers and consumers of ODSs, especially HCFCs. - Ozone Cell to examine requests from enterprises and make recommendations for issue of licenses for export and import of ODS based equipment/appliances - Ozone Cell to facilitate enforcement of other provisions of the ODS (Regulation and Control) Rules	Dec. 2014 Dec. 2014 Dec. 2014	MOEF	10009	74500	20,000
Policy and regulation related to control of consumption and supply of ODSs	- Ozone Cell to support implementation of fiscal incentives to all ODS phase-out projects including for HCFCs. - Ozone Cell to support provision of licenses to all producers of HCFCs. - Ozone Cell to consider requests for import of HCFC-141b, HCFC 142b, HCFC 123, HCFC-124 and other substitutes for ODS and recommend eligible cases for issuance of license. - Ozone Cell to support implementation of other trade provisions in line with Montreal Protocol requirements.	Dec. 2014	MOEF			15,000
Compliance with Article 7 and CP progress data reporting for 2013 in 2014.	- Collection, analysis and processing of data on production import, export of ODS for submitting to the Ozone Secretariat under Article 7 of the Protocol for 2013. - Submission of sectoral consumption data of ODS to the MLF Secretariat along with the progress report of the implementation of the CP for 2013.	Sep. 2014	MOEF	10009	74500	20,000
- Participation in Ex-Com meetings, OEWG meetings and MOP in 2014.	- Participate in Meetings of the Ex-Com of the MLF during the year 2014. - Participate in the Meeting of the Parties		MOEF			45,000

- Participation in Network meetings in 2014. - Participation in Conferences/Workshops related to the Montreal Protocol	(MOP) and Open Ended Working Group (OEWG) and other related Montreal Protocol meetings in 2014. - Participate in Joint Network meeting of South Asia and South East Asia of National Ozone officers and other related workshops related to illegal ODS trade in 2014.	Dec. 2014		10009	74500	
- Increased Awareness among industry, consumers, students, policy makers and NGO's on the national compliance of a strategy to phase out ODS	- Publication of six issues of newsletter - International Ozone Day celebrations - Publication of "India's Success Story" for the year 2014, posters, stickers etc., Print and electronic media campaign - Stakeholders workshops for implementation of HCFC phase-out projects - Assistance to network countries in the region in training new National Ozone officers on implementation of Montreal Protocol activities, as found necessary.	Dec. 2014	MOEF	10009	72100	60,000
Project Management (M&E)\Miscellaneous			UNDP			
<b>TOTAL IN USD</b>						<b>1,90,000</b>
	<b>Project staff salaries and project management expenses</b>					
	<b>Annual audit, evaluations, micro assessment costs</b>					
			<b>AWP TOTAL IN USD</b>			<b>190000</b>
			<b>8% General management support (GMS)<sup>1</sup></b>			
			<b>AWP GRAND TOTAL IN USD</b>			<b>190000</b>

<sup>1</sup>The GMS is to be budgeted at 8% for all cost-sharing agreements signed after January 2014. For cost-sharing agreements signed before January 2014, GMS is to be budgeted at 7%.

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## II. MANAGEMENT ARRANGEMENTS – AS PER PRODOC READ WITH FOLLOWING.

### Phase-out project activities

- Implementation of Country Programme (CP) update including implementation of HCFC phase-out projects.
- Monitoring and management of implementation of remaining activities of National Strategy for Transition to Non-CFC MDIs and Plan for Phase-out of CFCs in the Manufacturing of Pharmaceutical MDIs in India.
- Monitoring and management of implementation of remaining activities pertaining to CFC production sector gradual phase out plan and CTC production and consumption phase out plan and technical assistance components under these projects.

### Awareness and capacity building

- Awareness programs (Seminar, workshop, print and Electronic media and publication on ozone layer protection and alternative technologies) specifically targeted towards implementation of sustainability of phase-out of CFCs used in manufacturing of Metered Dose Inhalers (MDIs) and phase out of HCFCs to meet the Stage-I targets as per the Montreal Protocol Schedule.

### Compliance and Regulations implementation

- Implementation of the Ozone Depleting Substances (Regulation and Control) Rules, 2000, and its Amendment Rules 2001, 2003, 2004, 2005, 2007 and 2013.
- Implementation of the licensing system and fiscal incentive for ODS phase-out projects and plans.
- Fiscal incentive for the ODS phase out MLF funded projects including phase out of HCFCs and establishment of manufacturing capacities with non-ODS technology.
- Compliance with the provisions of the Copenhagen (1992), Montreal (1997), Beijing (1999) Amendments and Montreal Adjustment (2007) (accelerated phase-out of HCFCs) to the Montreal Protocol.

### Monitoring and reporting

- Reporting of Article 7 data to the Ozone Secretariat. Progress report on implementation of CP to the MLF Secretariat and other reports to implementing agencies and to the Government of India.
- Evaluation and Monitoring of completed investment projects in aerosol, foam, halon, refrigeration & air-conditioning (RAC) and solvent sectors.
- Inputs and other support for preparation of Project Completion report of sectoral projects.

### Others

- South-south cooperation support on project implementation matters for ODS phase-out, on a need basis.
- Attending international meetings relating to Montreal Protocol such as Executive Committee Meetings, Implementation Committee Meetings, Open Ended Working Group Meeting and Meeting of Parties.

### Plan for 2014

The Institutional Strengthening project during 2014 (Phase IX) will (a) continue the effective management, monitoring and enforcement on ODS phase-out activities to ensure sustainability of ODS phase-out. , (b) implementation of HCFC phase-out management plan including strengthen institutional networks for achieving targets specified under accelerated HCFC phase-out particularly 2015 phase-out targets. The ISP will continue to implement and enforce the Ozone Depleting Substances (Regulation and Control) Rules, 2000 including its 2013 amendments and initiatives for ODS production, trade and consumption control policy enforcement and phase-out of HCFCs as per the targets specified under decision XIX/6 of the 19th Meeting of the Parties to the Montreal Protocol.

### Fund Flow Arrangement

At the request of the Ozone Cell, MoEF, UNDP will directly release funds to the bank account opened by the Ozone Cell, MoEF for the implementation of this project, the details of which are given at the end of this section. The Ozone Cell, MoEF will account for funds received from UNDP. The request for funds from the Ozone Cell, MoEF will come through the Standard Fund Authorization and Certificate of Expenditures (FACE) Report duly signed by the Director, Ozone Cell, MoEF. Only after 80% of last advance and 100% of all the previous advances are spent, UNDP will release the next advance.

Books of account shall be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail. Any interest accrued on the project funds during the project cycle will be ploughed back into the project in consultation with Ozone Cell, MoEF and project budget will stand revised to this extent.

**Details of Bank account opened for implementing the project**

Bank Name : Syndicate Bank  
A/C No : 90431010006909  
Branch : Khan Market, LokNayakBhawan  
Branch Code : 9043  
IFSC code : SYNB0009043  
Account Name : Ozone Cell, MoEF

Funds can also be transferred as: a) direct payment to vendors or third parties for obligations incurred by the MoEF (Implementing Partner) on the basis of requests signed by the designated official of the Implementing Partner; and b) direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with MoEF after endorsement by the MoEF. Advance fund transfers shall be requested and released for programme implementation periods not exceeding three months. UNDP shall not be obligated to reimburse expenditure made by the MoEF over and above the authorized amounts. Also MoEF needs to report interest earned, if any immediately to UNDP through next submitted FACE Form.

The MoEF may request UNDP to provide support services for project implementation. These services may include procurement, recruitment, purchase of goods and services, and organisation of training activities and workshops. UNDP recruitment and procurement rules and regulations will apply for the services provided. All direct costs which are attributable to the provision of these services (direct project costs) will be charged to the project in accordance with the policies decided by UNDP's Executive Board, under intimation to MoEF.

### III. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

MOEF will be responsible for regularly monitoring progress relating to project implementation including the Project Monitoring Unit (PMU) established under the aegis of Ozone Cell to assist it in the implementation of Montreal Protocol and the ODS phase-out activities. Progress will be measured against the targets set out in the work plan and project logical framework. The Ozone Cell, MoEF through the UNDP will report relevant progress to the MLF, as required. Regular monitoring of the project will occur through these reporting mechanisms as well as through site visits, as required.

#### **Quarterly Basis:**

On a quarterly basis, a quality assessment shall record progress as per established quality criteria and methods towards the completion of key results

An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.

Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.

Based on the above information recorded in Atlas, a Project Progress Report (PPR) shall be submitted by the Project Manager to the PSC through Project Assurance, using the standard UNDP report format.

A project Lessons-learned log will be activated and regularly updated to ensure on-going learning and adaptation within the Implementing Partner, and to facilitate the preparation of the Lessons-learned Report at the end of the project.

A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.

#### **Annual Basis:**

1. Annual Review Report: As per UNDP requirement, an Annual Review Report will be prepared by the MOEF.
2. Audit: The project shall be subject to audit in accordance with UNDP procedures and as per the annual audit plan drawn up in consultation with MoEF. The project shall be informed of the audit requirements by January of the following year. The audit covering annual calendar year expenditure will focus on the following parameters – (a) financial accounting, documenting and reporting; (b) monitoring, evaluation and reporting; (c) use and control of non-extendable reporting; (d) UNDP Country Office support. In line with the UN Audit Board requirements for submitting the final audit reports by 30 April, the auditors will carry out field visits during February/March. Detailed instructions on audit will be circulated by UNDP separately.

- A. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided in Annex 1. These monthly reports will be consolidated, as required, by UNDP's quality assurance team for progress review meetings.
- B. **ONE TIME RISK LOG:**Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard Risk Log template
- C. **QUARTERLY FINANCIAL REPORT:**The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.
- D. In case a project **EVALUATION** is required, please indicate the justification and proposed timing for the evaluation. A project evaluation is required only when mandated by partnership protocols such as GEF. However, a project evaluation may be required due to the complexity or innovative aspects of the project.
- E. **ANNUAL REVIEW REPORT:** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format in Annex 2 will be used to provide brief description of results achieved in the year against pre-defined annual targets.
- F. **ANNUAL PROJECT REVIEW.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

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I. **LEGAL CONTEXT -- [CLICK HERE FOR THE STANDARD TEXT.](#)**

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II. **ANNEXES**

**Annex 1 – Monthly progress report format**

Project Title						
Implementing Partner						
Month/Year						
Annual Outputs	Planned activities	Month of completion	Responsible party	Budget	Monitoring framework	
				Amount	Cumulative expenditures	Progress towards meeting AWP annual outputs

1						
2						
3						
<b>TOTAL IN USD</b>						

**Annex 2 – Annual progress report format**

Year			
Annual Outputs	Allocated budget	Total expenditure	Progress towards meeting AWP annual outputs
1			
2			
3			
<b>TOTAL IN USD</b>			
<b>Policy results and any additional results achieved</b>			
<b>Lessons learned, project shortcomings and solutions</b>			



<b>Follow-up actions</b>	
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**Annex 3 - Agreements:** as applicable, any additional agreements, such as cost-sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the implementing partner) should be attached.

**Annex 4 - Capacity Assessment:** as applicable, results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

**Annex 5 - Guidance Checklists**

FREQUENTLY ASKED QUESTIONS ON PROGRAMME AND PROJECT MANAGEMENT (PPM) – includes gender and capacity development

[https://intranet.undp.org/global/popp/ppm/Pages/FAQs-on-PPM.aspx?#\\_Toc316481178](https://intranet.undp.org/global/popp/ppm/Pages/FAQs-on-PPM.aspx?#_Toc316481178)

CHECKLIST FOR REVIEW OF PROJECT DOCUMENTS – includes gender

<https://intranet.undp.org/global/documents/ppm/Checklist%20for%20Review%20of%20Project%20Documents.doc>

ENVIRONMENTAL AND SOCIAL SCREENING PROCEDURE FOR UNDP PROJECTS

[https://intranet.undp.org/global/documents/ppm/ESSP\\_Guidance\\_19Mar12\\_English.docx](https://intranet.undp.org/global/documents/ppm/ESSP_Guidance_19Mar12_English.docx)

PROGRAMME DESIGN QUESTIONS FOR SCALING UP

[http://intra.undp.org.in/PIM1/NEW%20AWP%202013%20and%20PRODOC%20\(CPAP%20-%202013-17\)/Programme%20Design%20Questions%20for%20Scaling-Up.pdf](http://intra.undp.org.in/PIM1/NEW%20AWP%202013%20and%20PRODOC%20(CPAP%20-%202013-17)/Programme%20Design%20Questions%20for%20Scaling-Up.pdf)

PRINCIPLES UNDERLYING THE IDEA OF HUMAN DEVELOPMENT

<http://www.in.undp.org/content/dam/india/docs/principles-underlying-the-idea-of-human-development.pdf>

Project monitoring and evaluation will be conducted in accordance with established UNDP and MLF procedures. The details of Monitoring and Evaluation Plan have been enumerated, in detail.