

United Nations Development Programme INDIA

2015 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, Forest and Climate Change (MoEF&CC), 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 2015

Atlas Project ID:	00035901	2015 AWP budget:	USD 190,000
Atlas Output ID:	00052931	- Regular:	USD NIL
Local PAC meeting date:		- Donor: (MLF)	USD 190,000
Start date:	Jan 1996	o Government:	USD NIL
End Date:	Dec 2016	o In-kind Contributions (GEF):	NIL
Implementation modality:	National Implementation		

Project Expenditure in US\$

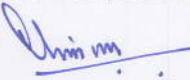
Total Project Budget	Exptill 2011	Exp 2012	Exp 2013	Exp 2014	Budget 2015
2,236,461	1,296,930	156,662	169,487	232,875*	190,000

*provisional figures

Agreed by (Implementing Partner), MoEF&CC:

Agreed by UNDP:


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 Country Director


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meetings in 2015. - Participation in Conferences/Workshops related to the Montreal Protocol	(OEWG) and other related Montreal Protocol meetings in 2015. - Participate in Joint Network meeting of South Asia and South East Asia of National Ozone officers and other related workshops in 2015.						
- 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 2015, 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. 2015	MOEF&CC	10009	72100	44,285	
Project Management (M&E)\Miscellaneous							
TOTAL IN USD						1,89,285	
	Project staff salaries and project management expenses including DPC				60000 70000	500 215	
	Annual audit, evaluations, micro assessment costs						
							1,90,000
							1,90,000

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 ODS phase out projects and activities.

Awareness and capacity building

- Awareness programs (Seminars, workshops, print and electronic media and publication on ozone layer protection and alternative technologies) specifically targeted towards implementation of sustainability of phase-out of ODSs, including phase out of HCFCs 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 2014.
- 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 sectoral investment projects.
- Inputs and other support for preparation of Project Completion report for pending 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, , Open Ended Working Group Meeting, Meeting of the Parties and other related Montreal Protocol meetings..

Plan for 2015

The Institutional Strengthening project during 2015 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 2014 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&CC, UNDP will directly release funds to the bank account opened by the Ozone Cell, MoEF&CC for the implementation of this project, the details of which are given at the end of this section. The Ozone Cell, MoEF&CC will account for funds received from UNDP. The request for funds from the Ozone Cell, MoEF&CC will come through the Standard Fund Authorization and Certificate of Expenditures (FACE) Report duly signed by the Director, Ozone Cell, MoEF&CC. 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&CC 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&CC

Funds can also be transferred as: **a)** direct payment to vendors or third parties for obligations incurred by the MoEF&CC (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&CC after endorsement by the MoEF&CC. 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&CC over and above the authorized amounts. Also MoEF&CC needs to report interest earned, if any immediately to UNDP through next submitted FACE Form.

The MoEF&CC 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&CC.

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&CC 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&CC 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&CC.
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&CC. 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.

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

II. **ANNEXES**

Annex 1 – Monthly progress report format

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

1																				
2																				
3																				
TOTAL IN USD																				

Annex 2 – Annual progress report format

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

Follow-up actions

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

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

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.