

United Nations Development Programme INDIA

2016 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)

Project Title: Preparation of Third National Communication (TNC) and Other New information to the UNFCCC

Implementing Partner: Ministry of Environment Forests and Climate Change

UNDP Strategic Plan Outcome: Strengthened national capacities to mainstream environment and energy concerns in to national development plans

UNDP Strategic Plan Output(s): Management and preparation for climate change and disasters.

UNDP Strategic Plan Indicators: Government, industry and other relevant stakeholders actively promote more environmentally sustainable development and resilience of communities is enhanced in the face of challenges of climate change, disaster risk and natural resource depletion

UNDAF / CPAP Outcome Government, industry and other relevant stakeholders actively promote more environmentally sustainable development and resilience of communities is enhanced in the face of challenges of climate change, disaster risk and natural resource depletion.

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| <p>PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)</p> <p>A. State the specific development challenge or gap that this AWP is addressing. This AWP intends to enable activities that initiate the process of preparing India's third national communication to the UNFCCC. Further, this AWP is intended to complete and deliver the first Biennial Update Report of India. Plan is also to initiate the process for second BUR preparation.</p> <p>B. Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:</p> <ul style="list-style-type: none"> ✓ Changes in attitudes and access to decision making through awareness raising, brokering, convening ✓ Changes in policies, plans, budgets and legislation through support to national assessment, planning, budgeting, policy making ✓ Changes in the lives of individuals and communities through implementation for inclusive development <p>C. List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP. This AWP will enhance the capacity of participating institutions for carrying out activities pertaining to climate change studies. Network of scientists and experts including a number of young researchers will be benefited from having opportunities to work on cross cutting issues. Overall system of decision making is also expected to improve as the capacities of national and state governments will improve in terms of availability of updated information on GHG emissions and status of mitigation actions.</p> <p>D. List the gender issues in this AWP and specific ways in which they will be addressed. No specific way to achieve under this AWP.</p> <p>E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.</p> |
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| Atlas Project ID: | 84310 |
| Atlas Output ID: | 70193 |
| Local PAC meeting date: | 27 June 2013 |
| Start date: | 1 February 2013 |
| End Date | 31 January 2018 |
| Implementation modality: | 27 June 2013 |

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| 2016 AWP budget: | USD 16,47,700 |
| Total Resource required | USD 16,47,700 |

Project Expenditure

| Total Project Budget | Exp 2010 | Exp 2011 | Exp 2012 | Exp 2013 | Exp 2014 | Expenditure 2015 | Budget 2016 |
|----------------------|----------|----------|----------|-------------|-------------|------------------|---------------|
| USD 9,010,604 | Nil | Nil | Nil | USD 165,326 | USD 711,220 | USD 209,866 | USD 16,47,700 |

Agreed by (Implementing Partner):

Dr. J.R. Bhatt; National Project Director
Ministry of Environment, Forests and Climate Change,
Government of India

Jaiwadhwan R. Bhatt
22/9/16

Agreed by UNDP:

Jaco Cilliers

Jaco Cilliers
Country Director

I. ANNUAL WORK PLAN - YEAR: 2016

| ANNUAL OUTPUTS 2016 | PLANNED ACTIVITIES | MONTH OF COMPLETION | RESPONSIBLE PARTY | PLANNED BUDGET | | |
|---|---|--|-------------------|----------------|---------------------|---------|
| | | | | Funding Source | Budget Description | Amount |
| Outcome 1: India's National Circumstances | | | | | | |
| 1.1 Updated report on India's National Circumstances | Launch of activities to study National Circumstances of India | | MoEFCC | GEF | 72100, 71600, 74500 | 25,000 |
| | Parampara report and travel | | MoEFCC | GEF | 72100, 71600, 74500 | 25,000 |
| Outcome 2: National GHG Inventory | | | | | | |
| 2.1 Information on GHG inventory Initialising National GHG inventory for TNC and establishing national activity data and improved emission factor | For inventory preparation in the sectors: Energy, IPPU, Agriculture, LULUCF and Waste: Sectoral meetings Preparation of TOR Request for proposals Signing of Contracts Release of first and second instalments (60%) | Contracts for GHG inventory for TNC: March 2016 | MoEFCC | GEF | 72100, 71600, 74500 | 650,000 |
| | 2.2: Increased accuracy of GHG inventory through the use of tier-III methodologies for most sectors. Data compilation including sampling and other procedures for national activity data and improved emission factors: Consultation workshop Preparation of TOR Request for proposals Signing of Contracts Release of first instalment | Contracts for improving emission factors: March 2016 | MoEFCC | GEF | 72100, 71300 | |
| | 2.3: Strengthened and streamlined National institutional structure for long term National GHG inventory and the Consultative meeting / Workshop on developing operational document for NIMS | | MoEFCC | GEF | | |

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| estimation of GHG emissions | | | | | | |
| Outcome 3: Impacts and Vulnerability Assessment and Adaptation Measures | | | | | | |
| 3.1: Improved climate change projections with the use of advanced and updated; | Regional Climate Change models- Launching studies on development of variability profiles at different level; Signing of contracts, release of first Instalment | April 2016 | MoEFCC | GEF | 71300, 72100, 71600,74500 | 30,000 |
| 3.2: Availability and clearer understanding of climate and socioeconomic scenarios for India | Launching studies on projections of impacts; Signing of contracts, release of first Instalment | April 2016 | MoEFCC | GEF | 71300, 72100, 71600,74500 | 20,000 |
| 3.3: Improved understanding of projected climate change impacts for all relevant sectors and regions | Launching of studies on Impacts and Vulnerability Assessment and Adaptation Measures in form of various stages. First Stage will be assessment and adoption of models for application into to profile climate variability at sub regional level. | April 2016 | MoEFCC | GEF | 71300, 72100, 71600,74500 | 225,000 |
| 3.4: Improved understanding of, and appropriate actions planned for addressing, vulnerability to climate change at different sectors and regions | Including related workshops. | April 2016 | MoEFCC | GEF | 71300, 72100, 71600,74500 | 225,000 |
| Outcome 4: Measures to mitigate climate change | | | | | | |
| 4.1: Increased understanding of GHG mitigation policies and measures at national and state level. | Launch of Study for Mitigation potential for 2020: Mitigation actions and their effects until 2020, including associated assumptions, methodologies and modelling | | MoEFCC | GEF | 71300, 72100, 71600 | 100,000 |
| 4.2: Increased understanding of gaps and constraints pertaining to financial, technical and capacity | Launch of studies on Constrains and Gaps Launch of TNA and TT study | | MoEFCC | GEF | 71300, 72100, 71600 | 50,000 |

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| needs to address climate change | | | | | | |
| Outcome 5: Other information relevant for the preparation of the TNC | | | | | | |
| 5.1.1: Documented the status of and need for research on systematic observations, and technical and financial limitations. | Launch of activities to study systematic research observations | | MoEFCC | GEF | 71300, 72100, 71600 | 50,000 |
| 5.3.2: Designed activities for enhancing participation of the relevant stakeholders in the preparation of the national communication | Inception workshop for launch of activities under TNC/ Printing of book/ Meetings | | MoEFCC | GEF | 71300, 72100, 71600 | 12,000 |
| Outcome 6: Third National Communication report preparation | | | | | | |
| Output 6.1.1: Published TNC of India to UNFCCC | Creation and maintenance of NATCOM website- launch of work | | MoEFCC | GEF | 74500 | 1,000 |
| | Publications | | MoEFCC | GEF | 74200 | 10,000 |
| Outcome 7: Other new information required under the aegis of the Convention | | | | | | |
| Output 7.1 Enhanced understanding of domestic mitigation actions, its need and the level/nature of support required, GHG emissions inventory and other related information | Publication of first BUR | | MoEF&CC | GEF | 74200 | 10,000 |
| Output 7.1.7: MRV mechanisms for domestic NAMAs | Launch of study on domestic MRV arrangements | September 2016 | MoEF&CC | GEF | 74200 71300 71600 74500 | 25,000 |

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| Output 7.1.6: ICA of first BUR | International Consultation and Analysis | December 2016 | MoEF&CC | GEF | 74200 71300 71600 74500 | 10,000 |
| Output 7.1.6: Preparation of Second BUR | Review and consultations | December 2016 | MoEF&CC | GEF | 74200 71300 71600 | 10,000 |
| Outcome 8: Project Management | | | | | | |
| Project Management Unit | Facilitation Agency | December 2016 | MoEF&CC | GEF | 71300 | 80,000 |
| | Salaries to PMU staff | | | | 71300 | 70,000 |
| | Travel | | | | 71600 | 5,000 |
| | Audio-visual & Printing | | | | 74200 | 5,000 |
| | Miscellaneous | | | | 74500 | 2,000 |
| TOTAL IN USD | | | | | | 16,40,000 |
| | Annual audit, evaluations, micro assessment costs | | | | | 7,700 |
| | AWP TOTAL IN USD | | | | | 16,47,700 |

II. MANAGEMENT ARRANGEMENTS

- The management arrangement will remain same as specified in the approved project document. The Ministry of Environment, Forest and Climate Change will be responsible for the technical implementation of the project as a whole. Given the size and complexity of the project, MoEFCC coordinates the project activities through a project management unit. A National Project Director (NPD) supported by a Project Management Unit (PMU) is responsible for implementation of the work programme and coordination of the various activities.

Fund Flow Arrangements and Financial Management:

- Under the National Implementation (NIM), as per the existing programme management arrangements, funds will be channeled through the accounts of the Government of India i.e. UNDP would transfer funds to CAAA as per the approved Annual Work Plan. IP shall make suitable provisions in its annual budget to receive UNDP funds

- Funds would be reimbursed to CAAA based on the request from the IP. The request from IP will come on the standard Fund Authorization and Certificate of Expenditures (FACE) form duly signed by the National Project Director or person assigned/delegated by IP. No funds shall be released by UNDP without prior submission of a duly filled and signed FACE form. Unspent funds from the approved AWP's will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly. Only after 80% of last advance and 100% of all the previous advances are spent will the next advance be released. Also Partner needs to report interest earned immediately to UNDP through next submitted FACE Form.

- Funds can be transferred as: a) direct payment to vendors or third parties for obligations incurred by the Implementing Partners 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 Implementing Partners

- Separate books of account shall also be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail

- The Implementing Partner 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 in accordance with the policies decided by UNDP decided by UNDP's Executive Board.

Audit: In support of fiduciary good practice and to facilitate scheduled and special audits, each Implementing Partner receiving funds from UNDP will provide UNDP or its representative with timely access to: a) all financial records which establish the transactional record of the fund transfers provided by UNDP; and b) all relevant documentation and personnel associated with the functioning of the Implementing Partner's internal control structure through which the fund transfers have passed. The findings of each audit will be reported to the Implementing Partner, DEA and UNDP. As part of the process, each Implementing Partner will: a) receive and review the audit report issued by the auditors; b) provide timely statements of the acceptance or rejection of any audit recommendation to the UNDP that provided the funds; c) undertake timely actions to address the accepted audit recommendations; and d) report on the actions taken to implement accepted recommendations to the UNDP on a quarterly basis.

Project Closure: Project Closure: The project will be closed as per UNDP norms and assets (if any) will be disposed of or transferred to IP in consultation with them during the life cycle or at end of the project.

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:

- A. **QUARTERLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief quarterly updates on progress against planned activities and budgets. These reports will be provided in the format provided in Annex 1. These 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. Midterm evaluation is planned in 2016 and final evaluation in year 2018.
- 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 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.

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

"This document together with the CPAP signed by the Government and UNDP which is incorporated by reference, constitute together the instrument envisaged and defined in the [Supplemental Provisions](#) to the Project attached hereto and forming an integral part hereof, as "the Project Document"

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

V. ANNEXES

Annex 1 – Quarterly 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 | | | | | | |
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| 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>