

United Nations Development Programme INDIA

2017 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.

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

- 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 second Biennial Update Report of India. Plan is also to initiate the process for third BUR preparation.
- 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, 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
- 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.
- 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.
- E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.**
No specific way to achieve under this AWP.

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: NIM

2017 AWP budget: USD 1,478,641
GEF USD 1,478,641

Project Expenditure

Total Project Budget	Exp 2013	Exp 2014	Expenditure 2015	Expenditure 2016	Budget 2017	Budget 2018
USD 9,010,604	USD 165,326	USD 711,220	USD 209,866	USD 1,005,220	USD 14,78,641	USD 5,440,331

Agreed by (Implementing Partner):

Jaivardhan R. Bhatt
19/09/2017

Agreed by UNDP:

Marcus Wette
Deputy Country Director

(डॉ. जे. आर. भट्ट)
(Dr. J. R. BHATT)
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Min. of Environment, Forest & Climate Change
भारत सरकार, नई दिल्ली
Govt. of India, New Delhi

I. ANNUAL WORK PLAN - YEAR: 2017

ANNUAL OUTPUTS 2017	PLANNED ACTIVITIES	MONTH OF COMPLETION	RESPONSIBLE PARTY	Funding Source	Budget Description	Amount
Outcome 1: India's National Circumstances						
1.1 Updated report on India's National Circumstances	Launch of study on National Circumstances of India	June	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	15,000
	Technical cell at the national level	December			71300, 72100, 71600, 72200, 72800, 74200, 74500	159,500
	Publication of books/ documents:	March	MoEFCC	GEF		15,000
	1- Samanvay				74500	
	2- Sustainable Living				74500	
	Workshop on Sustainable lifestyles	September	MoEFCC	GEF	72100, 71600, 74200, 74500	15,000
Outcome 2: National GHG Inventory						
2.1 Information on GHG inventory	Studies to prepare sectoral studies for preparing BUR-2, 3 and TNC (Energy, IPPU, Waste, Agriculture and LULUCF)	March	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	400,000
	Draft and Final report for BUR-2				71300, 72100, 71600, 72200, 72800, 74200, 74500	
	Consultative meetings /workshops	June	MoEFCC	GEF	72100, 71600, 74200, 74500	

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	September	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	
2.3: Strengthened and streamlined National institutional structure for long term National GHG inventory and the estimation of GHG emissions	Study to prepare sustainable institutional structure for National Inventory Management System	December	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	
Outcome 3: Impacts and Vulnerability Assessment and Adaptation Measures						
3.1: Improved climate change projections with the use of advanced and updated models	Draft Reports on:	June	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	500,000
	Development of regional Climate Change models;					
	Studies on projections of future climatic scenarios;					
3.2: Availability and clearer understanding of climate and socioeconomic scenarios for India	Studies on projections of future socioeconomic scenarios	June	MoEFCC	GEF		
3.3: Improved understanding of projected climate change impacts for all relevant sectors and regions	Draft Reports on:	September	MoEFCC	GEF		
	Studies on Impacts and Vulnerability Assessment and Adaptation Measures					
	Studies on development of Vulnerability profiles at different levels			GEF		
3.4: Improved understanding of, and appropriate actions planned for addressing, vulnerability to climate change at different sectors and regions			MoEFCC	GEF		
3.5 Increased understanding of Adaptation framework, measures and possible projects	Studies on Economics of Impacts and adaptation		MoEFCC	GEF		
	Consultative meetings /workshops	December	MoEFCC	GEF		

Outcome 4: Measures to Mitigate Climate Change						
4.1: Increased understanding of GHG mitigation policies and measures at national and state level	Draft reports for BUR-2 on:	March	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	90,000
	Studies on Mitigation potential: Mitigation actions and their effects, including associated assumptions, methodologies and modelling				71300, 72100, 71600, 72200, 72800, 74200, 74500	
	Consultative meetings / workshop	June	MoEFCC	GEF	72100, 71600, 74200, 74500	20,000
4.2: Increased understanding of gaps and constraints pertaining to financial, technical and capacity needs to address climate change	Report on studies on Constrains and Gaps for BUR 2: Technology Need Assessment	June	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	90,000
Outcome 5: Other information for TNC						
5.1.: Comprehensive description of systematic observations and research on climate change	Launch of study on Research and Systemic Observations	June	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	30,000
5.2 Strategy for a sustainable national communication process	Consultative Meetings and workshops including launch workshop and training	December	MoEFCC	GEF	72100, 71600, 74200, 74500	20,000
5.3: Increased public awareness and understanding on Climate Change	Study on Education, Training and Awareness	September	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	25,000
	Printing of report / document:		MoEFCC			
	• Positive Climate Action	December		GEF	71300, 74200, 74500	25,000
	• Climate Change Terminologies					
	• Work programme on TNC					

Outcome 6: TNC report preparation						
6.1: GoI approved TNC report and submitted to UNFCCC, along with relevant technical document and policy briefs	Creation of NATCOM Website	December	MoEFCC	GEF	71300, 74200 74500	5,000
	Printing of report on issues related to India and climate change	June	MoEFCC	GEF	71300, 74200	10,000
Outcome 7: Other new information required under the aegis of the Convention (Biennial Update Reports)						
Output 7.1.7: Establishment of MRV system for reporting GHG mitigation and NAMAs	Draft report on study on domestic MRV arrangements	March	MoEFCC	GEF	71300, 72100, 71600, 72200, 72800, 74200, 74500	15,000
Output 7.1.6: Other information	Consultative meeting/ workshop	December	MoEFCC	GEF	72100, 71600, 74200, 74500	10,000
	Preparation of draft BUR-2 and its review/ consultation	June	MoEFCC	GEF	71300, 74200	20,000
	Designing and Printing of BUR-2	September	MoEFCC	GEF	71300, 74200	
	ICA of BUR-1	June	MoEFCC	GEF	71300, 71600	2,500
SUB TOTAL IN USD						1,467,000
Annual audit, Communications						11,641
Grand Total						1,478,641

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. The NIM expenditure would be reimbursed through CAAA.

Fund Flow Arrangements and Financial Management:

- 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. Advance fund transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously authorized expenditures will be requested and released quarterly or after completion of activities. The UNDP shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts. Also Partner needs to report interest earned immediately to UNDP through next submitted FACE Form.
- At the request of the Implementing Partner, Ministry of Environment and Forests, Government of India UNDP will directly release funds to the bank account created for the implementation of this project with the Facilitating Agency. The Facilitating Agency will be appointed by the Implementing Partner through open recruitment. The Implementing Partner will account for funds received from UNDP. The request from the Implementing Partner will come through the Standard Fund Authorization and Certificate of Expenditures (FACE) Report duly signed by the National Project Director or person assigned/delegated by the Implementing Partner. Only after 80% of last advance and 100% of all the previous advances are spent will the next advance be released.
- 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 Implementing partner and UNDP and project budgets will stand revised to this extent. If there is no scope for ploughing back the interest will be refunded to UNDP.

Audit: A Harmonized Approach to Cash Transfers (HACT) Framework, is a common operational (harmonized) structure for transferring cash to both government and non-government Implementing Partners (IPs). HACT changed the management of cash transfers from a system of rigid controls to a risk management approach aimed at reducing transaction costs, simplifying and harmonizing rules and procedures, while strengthening the capacity of implementing partners to effectively manage resources. Under the revised approach, the NIM audits are no longer required. The implementing partner (IP)

is micro-assessed for determining the cash transfer modality under the project. An assurance plan is developed for the IP which includes spot checks, internal control audits and financial audits. The frequency of these will depend on the risk rating of the IP determined in the micro-assessment. In the case of Country Office Support to NIM Micro Assessment is not required.

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. **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. 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 – 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						
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>