

# United Nations Development Programme

Country: INDIA

## 2013 Annual Work Plan

**Project Title:** Enabling Activities for Preparation of India's Third National Communication and Other New Information to UNFCCC

**Implementing Partner:** Ministry of Environment and Forests, Government of India

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

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

The main focus will be on initiating the activities of Third National Communication to UNFCCC and other related information

**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 policies, plans, budgets and legislation through support to national assessment, planning, budgeting, policy making

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

New institutions will strengthen the network of NATCOM, to undertake the activities in multi-disciplinary of Climate Change

New activities will encourage to stakeholders to work in the key areas of climate change

Ministry of Environment and Forest will play a key role in implementing, monitoring and reporting the activities

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

This is the initiation phase of TNC project, thus the activities related to gender issues will be planned during consultation with the experts

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

NA

Programme Period:	2013-2017
Key Result Area (Strategic Plan):	Environment and sustainable development
Atlas Project ID:	84310
Atlas Output ID	70193
Start date:	1 <sup>st</sup> Nov, 2013
End Date	31 <sup>st</sup> Dec, 2013
PAC Meeting Date	27 <sup>th</sup> June 2013
Implementation modality	NIM

### 2013 AWP budget: USD 3,00,000

MULTI YEAR INDICATIVE Budget USD 35,100,604

- Regular NIL
  - Other:
    - GEF (UNDP) USD 9,010,604
    - Government Grant\* USD 10,302,200
    - Government (in Kind)\* USD 15,787,800
- \* In Kind Contributions (GEF) NIL  
Funds do not route through UNDP

In-kind Contributions (GEF)

Agreed by (Implementing Partner): Ministry of Environment & Forest, Govt. of India

Agreed by UNDP

Alexandra Solovieva  
UNDP Deputy Country Director

(Subodh Kumar Sharma)  
(SUBODH KUMAR SHARMA)  
सहायक/Advisor  
पर्यावरण एवं वन मंत्रालय  
Min. of Environment & Forests  
नई दिल्ली, नई दिल्ली  
Govt. of India, New Delhi

## I. ANNUAL WORK PLAN

Year: 2013

<b>Key area of UNDP strategic Plan:</b> Environment and sustainable development; crisis prevention and recovery					
<b>UNDAF / CPAP OUTCOME:</b> Government, industry and other relevant stakeholders actively promote environmental sustainability and enhanced resilience of communities in the face of challenges of climate change, disaster risk and natural resource depletion.					
<b>CPAP OUTCOME Indicators:</b> Number of government's schemes and missions which incorporate climate resilience measures.					
<b>CONTRIBUTING TO CPAP OUTPUT:</b> Supporting preparation of national communications and biennial update reports to UNFCCC					
<b>CONTRIBUTING TO CPAP 5 year target</b>					
Annual OUTPUTS	PLANNED ACTIVITIES	Month of completion	RESPONSIBLE PARTY	PLANNED BUDGET (USD)	
				Funding Source	Amount (1\$ = 60)
<b>Output 1:</b> India's National Circumstances.	Consultative meeting with experts	December	MoEF	GEF	3,000
<b>Output 2:</b> National GHG Inventory preparation for the years 2011, 2013 and 2014 initiated.	Sectoral consultative meetings for finalizing the plan for inventory preparation and initiation of the work (1)	December	MoEF	GEF	10,000
	Inception Workshop	December	MoEF	GEF	30,000



<b>Output 3:</b> Impacts and vulnerability assessments initiated.	Consultative meetings with experts of V & A group	December	MoEF	GEF	72100	16,000
<b>Output 4:</b> Measures to mitigate climate change.	Consultative meeting with experts	December	MoEF	GEF	74500	7,000
<b>Output 7:</b> Preparation of BUR and other new information required under the aegis of the Convention.	Preparation of TORs	December	MoEF	GEF	72100	200,000
	Award of sub-contracts to Institutions (Energy, Industrial Processes, Agriculture, LULUCF and Waste)	December	MoEF	GEF	72100	
	Initial Status reports	December	MoEF	GEF	72100	
	Sectoral consultative meetings (5)	December	MoEF	GEF	74500	5,000
	Miscellaneous	December	MoEF	GEF	71300	5,000
<b>Output 8:</b> Project Management Cost.	Recruitment of project staff	November	MoEF	GEF	72100	4,000
	Common service premises	December	MoEF	GEF	72100	13,000
	Implementation of activities	December	MoEF	GEF	72100	
	Miscellaneous	December	MoEF	GEF	71300	7,000
<b>TOTAL IN USD</b>						
	<b>Annual Audit, Evaluations, Micro assessment costs</b>					
	<b>AWP TOTAL IN USD</b>					<b>300,000</b>

## II. MULTI YEAR PROJECT STRATEGY DESCRIPTION (OPTIONAL FOR YEAR 1)

Situation Analysis:

Scope and Strategy:

Results framework:

Key area of UNDP strategic Plan:				
UNDAF / CPAP OUTCOME				
CPAP OUTCOME Indicators				
CONTRIBUTING TO CPAP OUTPUT				
CONTRIBUTING TO CPAP 5 year target				
INTENDED PROJECT OUTPUTS over 5 years	OUTPUT TARGETS FOR each year	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	BUDGET

## III. MANAGEMENT ARRANGEMENTS

As agreed in the project document.

Fund flow arrangements:

- 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.
- Bank account for this project is yet to be opened.

**AUDIT:** In support of fiduciary good practice and to facilitate scheduled and special audits, 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.

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#### IV. 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 at **Annex1**. 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. Mid-term and final evaluation of the project will be carried out as per GEF Guidelines.
- 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 at **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.
- G. **Audit:** Implementing Partners will be asked to cooperate with UNDP to monitor all activities supported by UNDP funding and will provide access to relevant financial records and personnel responsible for the administration of funds provided by the UNDP. To that effect, Implementing Partners will be asked to (a) cooperate with UNDP to monitor all activities supported by UNDP funding and will provide access to relevant financial records and personnel responsible for the administration of cash provided by the UNDP; b) programmatic monitoring of activities following UNDP's standards and guidance for site visits and field monitoring; c) special or scheduled audits. UNDP will elaborate an annual audit plan in collaboration with DEA giving priority to Implementing Partners with large UNDP funding support or which require fiduciary strengthening. To facilitate assurance activities, Implementing Partners and UNDP may agree to use a programme monitoring and financial control tool allowing data sharing and analysis.

## V. LEGAL CONTEXT

"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/faq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/faq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

## VI. ANNEXES

### Annex1 – Monthly progress report format

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



## Annex 2 – Annual progress report format

Key area of UNDP strategic Plan:			
UNDAF / CPAP OUTCOME			
CPAP OUTCOME Indicators			
CONTRIBUTING TO CPAP OUTPUT			
CONTRIBUTING TO CPAP 5 year target			
Project title			
Implementing partner			
Year			
Annual Outputs	Allocated budget	Total Expenditure	Progress on planned outputs and key successes
1			
2			
3			
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<sup>1</sup> (where the NGO is designated as the "executing entity") should be attached.

## Annex 4

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

<sup>1</sup>For GEF projects, the agreement with any NGO pre-selected to be the main contractor should include the rationale for having pre-selected that NGO.