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United Nations Development Programme

Project title: Building climate resilience in India by initiating the national adaptation plan process and scaling up adaptation finance		
Implementing Partner (GCF Executing Entity): UNDP India		**Execution Modality:** Direct Implementation Modality (DIM)
UNSDCF Outcome*:* Outcome 5: By 2027, Government of India, state governments, communities, private sector and other actors take informed actions to address climate change, pollution, biodiversity loss and restore ecological integrity through improved knowledge, capacity and mainstreaming of relevant actions across sectoral programmes, policies and plans.		
UNDP Strategic Plan Output: Output 3.1. Institutional systems to manage multi-dimensional risks and shocks strengthened at regional, national and sub-national levels.		
UNDP Social and Environmental Screening Category: Moderate		**UNDP Gender Marker:** 2
Quantum Project ID: 01003524		**Quantum Award ID: 1327192**
UNDP- PIMS ID number: 9646		**GCF ID number:** IND-RS-005
Planned start date: 10 October 2024 ***Implementation start date****: February 2025*		**Planned end date:** 10 January 2029 (includes an additional grace period of three months)
PAC meeting date: *23.12.2024*		

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Brief project description

India is among the most vulnerable countries to climate change with increase in duration of heat waves, rising sea-levels and changing monsoon patterns in the past few decades. The country has an ambitious and targeted climate action plan which aims to contribute to the global efforts while at the same time meeting its development needs. The main framework outlining the country's strategies and actions to address climate issues is the National Action Plan on Climate Change (NAPCC) which was developed in 2008. At the sub-national level, each State Government and Union Territory has to prepare State Action Plans on Climate Change (SAPCC) to identify the adaptation and mitigation measures necessary to reduce the vulnerability of the State/UT in the short term, medium term and long term. As of now, India has not formulated a National Adaptation Plan (NAP), and considering the NAPCC, has a dual focus on mitigation and adaptation, there is currently no comprehensive adaptation policy document at the national level that provides guidance for multi-sectoral adaptation initiatives. Additionally, there is also a need to develop sector-specific adaptation plans.

The "Building climate resilience in India by initiating the national adaptation plan process and scaling up adaptation finance" project will help formulate a NAP for India by following a country-driven, culturally appropriate, gender sensitive, participatory approach taking into consideration the needs and sensitivities of diverse vulnerable groups, communities, and ecosystems. The NAP will aim to mainstream climate adaptation into the country's development policies and plans and ensure adaptation considerations are integrated in key priority sectors and regions. These include agriculture, water resources, the Himalayan region, coastal regions, health, and disaster management. The NAP will include an implementation plan which will lay out the actions that need to be taken to implement the adaptation measures identified in the plan. A NAP financing strategy will also be developed to identify opportunities and financing modalities for enhancing investment in adaptation. The proposed project also aims to scale up adaptation finance in the country by catalyzing private sector engagement.

FINANCING PLAN	
GCF grant	USD 2,764,977
Total Budget administered by UNDP	USD 2,764,977

SIGNATURES		
Signature: **Angela Lusigi,PhD** UNDP Resident Representative, India	**Agreed by UNDP** DocuSigned by: Angela Lusigi 44F84A6E2B524A4...	**Date/Month/Year:** 29-Jan-2025

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Disbursement: The UNDP CO is aware of the conditions of disbursement ascribed to the first and subsequent tranches of the GCF funding as specified in the FWA (and in particular Clause 4 of the FWA). To the extent that these obligations reflect actions of UNDP, UNDP must ensure that the conditions are met and there is continuing compliance, as well as understanding that availability of GCF funding is contingent on meeting all conditions listed in the FA.

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II. DEVELOPMENT CHALLENGE

India is the 7th largest and the most populous country in the world, with a population of more than 1.4 billion people. The Indian landscape is extremely diverse with forest, wetlands, snow-capped mountains, coastal and marine ecosystems, deserts, and grasslands which sustains incredible biodiversity. It has the 10th largest forest cover in the world and is home to around 7-8% of all recorded species. Four of the 35 globally identified biodiversity hotspots are in India – the Himalayas, Western Ghats, Indo-Burma Region, and the Nicobar Islands ([1].[2]) According to the International Monetary Fund (IMF), India is the fifth largest economy in the world by nominal GDP. While India's GDP per capita has consistently increased and according to the World Bank stands at USD 2,410 in 2022, inequality persists where the poorest 20 per cent of households only earn 4.1 per cent of total income. However, in the last decade extreme poverty has come down by 12.3 per cent. The Human Development Index, which measures a nation's health, education and standard of living puts India in the medium human development category with a value of 0.633 which exceeds the South Asian regional average[3]. The Global Climate Risk Index 2021 listed India as the 7th most vulnerable country in the world to the impacts of climate change[4]. More than 50 per cent of its population depends on climate-sensitive sectors of agriculture, fisheries, natural ecosystems, and forestry for their livelihoods[5]. A trend of unprecedented change in the climate has occurred in the past few decades and future climate projections show that the alarming trend will continue. The section below summarizes the historical trend and future projections related to climate hazards in India and the current and likely future impacts of such changes.

As one of the largest and fastest developing economies in the world, India faces a unique developmental challenge. India's greenhouse gas emissions have increased four-fold between 1970 and 2021.[6]Recognizing the need for decoupling economic growth from greenhouse gas emissions, the government has been introducing mitigation efforts in key sectors of the economy and adopting a low-carbon, sustainable development pathway. At the same time, India is also the highest-ranked G-20 country as per the Climate Change Performance Index 2023. The high climate vulnerability as well as lead performance in mitigation efforts poses a challenge in balancing between its economic and environmental goals.
Adaptation needs for India are contextual to the ecosystem and economic activities and are defined by the climate hazards and vulnerabilities. From the point of view of climate change impacts and relevance to the social and economic development of the country, sectors such as agriculture, water, forestry and ecosystems, human settlements and infrastructure, electricity,

[1] MoEFCC. (2021). India: Third Biennial Update Report to the United Nations Framework Convention on Climate Change. Ministry of Environment, Forest and Climate Change, Government of India.
[2] Biodiversity Hotspots in India - 19.03.2015 (bsienvis.nic.in)
[3] United Nations Development Programme. "Human Development Report 2021/2022: Uncertain Times, Unsettled Lives: Shaping our Future in a Transforming World"
[4] Eckstein, David, Vera Künzel, and Laura Schäfer. "Global climate risk index 2021." *Who Suffers Most from Extreme Weather Events*, 2021
[5] India's Adaptation Communication to the United Nations Framework Convention on Climate Change
[6] RBI 2023 https://rbi.org.in/Scripts/PublicationsView.aspx?id=21769

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tourism, and health are critical and require efforts to build resilience. A mapping of the generic adaptation needs derived from analysis of existing vulnerabilities, development priorities and policy goals is presented below:

Table 1: Adaptation needs for key sectors in India

Sector	Impacts and vulnerabilities	Existing policies and plans	Adaptation Needs for Sector
Agriculture & food security	• Loss of livelihoods - 54.6 per cent of India's total workforce is engaged in agricultural and allied sector activities including marginal, small and medium farmers.[7] • Studies have estimated total agricultural net revenue losses to the tune of 8 – 12 per cent for India, for a 2 °C rise in temperature and 7 per cent increase in precipitation.[8]	• National Agricultural Policy (2004) • National Mission for Sustainable Agriculture (part of NAPCC) • SAPCCs	• Early Warning or agrometeorological advisory system for farmers to adjust farming practices (such as delay in sowing of seeds or protective irrigation).[9] • Diversification of cropping pattern or intercropping to increase resilience against variable climate patterns.[10] • Improve soil management practices and make water use more efficient. • Access to cold storage facilities for production storage and to increase food security
Water	• The demand for water is expected to rise	• National Water Policy (2012)	• Enhancement of water storage surface/groundwater

[7] Ministry of Agriculture and Famers Welfare, Annual Report – 2022-23.
[8] India's Adaptation Communication to the United Nations Framework Convention on Climate Change
[9] Ministry of Agriculture and Farmers Welfare, National Crisis Management Plan for Drought, 2023.
[10] Ministry of Agriculture and Farmers Welfare, 2022. *Measures to Promote Crop Diversification*, Press Information Bureau, 29 March 2022.

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	by over 70% by 2025 and the country is projected to expect significant water stress by 2050 if the necessary measures are not undertaken.[11] • Streamflow is projected to decline only in the Indus River basin in the future under both RCP 2.6 and 8.5 scenarios.[12] • Substantially altered water flow in the Himalayan rivers	• National Water Mission (part of NAPCC) • SAPCCs	reservoirs) for water conservation in cases of variable rainfall.[13] • Enhancing ground observation and data gathering networks for various hydro-meteorological phenomena for improvements in data collection and data quality.[14] • Adoption of advanced irrigation techniques such as sprinkler and drip irrigation to eliminate flood irrigation and reduce the irrigation water usage per crop [15] • Promotion of grey water recycling and reuse
Forestry/Biodiversity	• 18-28 % forests grids are expected to be impacted by projected climate change under different emission scenarios in the short (2030s) and long (2080s) term.[16]	• National Forest Policy (1988) • National Mission for Sustaining the Himalayan Eco-system (as part of the NAPCC)	• Enhancement of quality of forest cover • Monitoring and surveillance of forest areas and terrestrial, coastal and marine ecosystems.[17] • Diversification of livelihood options,

[11] GoI 1999 Integrated Water Resources Development: A Plan for Action. Report of the National Commission on Integrated Water Resources Development, Ministry of Water Resources, Government of India, New Delhi, India.
[12] Climate change and water resources in India (pp.39-52) Edition: 24th Conference of the Parties (COP24) to the United Nations Framework Convention on Climate Change (UNFCCC)Chapter: 3Publisher: Ministry of Environment, Forest and Climate Change (MOEFCC)
[13] Ministry of Jal Shakti, 2021. Press Information Bureau, 26 July 2021.
[14] India's Adaptation Communication to the United Nations Framework Convention on Climate Change
[15] Ibid
[16] MoEFCC 2023, India's third NATCOM unfccc.int/sites/default/files/resource/India-TNC-IAC.pdf
[17] State of Forest Report 2021, Forest Survey of India, Ministry of Environment, Forest and Climate Change, Government of India.

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	• Coastal and marine ecosystems, such as mangrove forests, coral reefs, seagrass meadows, and tidal marshes, are expected to be adversely impacted by rising sea surface temperatures, marine heatwaves, ocean acidification, and salt-water intrusion due to rising sea levels.	• SAPCCs	especially for fisheries-dependent communities. • Establishment of protected areas and other effective area-based conservation measures. • Ecosystem-based approaches such as sustainable watershed management, coastal area protection, mangroves and seagrass restoration and strengthening, coastal area protection, coral reef conservation and restoration, which require concerted action at a larger spatial scale
Coasts and Islands	• High risk of inundation of low-lying coastal and island regions due to sea level rise and coastal flooding. Increased vulnerability to intensifying cyclonic storms and storm surges.	• National Environment Policy (2016) • National Disaster Management Plan • SAPCCs	• Investing in disaster risk reduction – structural & non-structural measures.[18] • Capacity development for climate risk management • Improve awareness on preparedness, precautions and safeguards during a

[18] Prime Minister's 10 Point Agenda for Disaster Risk Reduction, National Disaster Management Authority, Government of India.

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			disaster and post disaster scenarios.[19]
Himalayan ecosystem	• Rise in surface temperature over the Hindu-Kush Himalaya (HKH) region by 2.2 – 3.4 degrees Celsius by the end of the century.[20]	• National Disaster Management Plan • National Mission for Sustaining the Himalayan Ecosystem • National Mission on Strategic Knowledge for Climate Change	• Time-bound action programmes to sustain ecological resilience
Human settlements &infrastructure	• Increase in vulnerability of coastal cities to sea-level rise and cyclones, and flooding leading to infrastructural damage. • Migration of people from disaster-affected or degraded areas to other regions.	• National Mission on Sustainable Habitat • National Disaster Management Plan	• Identification and climate proofing of settlements in areas with high climate sensitivity. • Integrated land use planning for resource optimization • Climate proofing of public infrastructure (new and existing)
Energy	• Increase in variability and decrease in river flow could adversely affect hydropower	• Energy sector in SAPCCs	• Promotion of clean energy forms with adaptation co-benefits to diversify India's energy sources.

[19] Ibid
20 Krishnan et al Unravelling Climate Change in the Hindu Kush Himalaya: Rapid Warming in the Mountains and Increasing Extremes

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	stations. • Shortage of water availability coupled with increase in temperature could put thermal power generation at risk and cause an overall increase in energy demand		• Climate risks to be taken into account while planning energy projects. • Sustainable cooling solutions to meet increasing energy demands
Health	• Rise in malaria and other vector-borne diseases, along with diarrheal infection • Increase in malnutrition and related health disorders.[53]	• National Action Plan for Climate Change and Human Health	• Monitoring and surveillance for climate-related diseases and development of warning systems • Improvement of health infrastructure and access to health facilities, especially in rural and remote areas • Livelihood diversification and inclusion of marginalized communities to increase overall adaptive capacity and enhance income and food security

Further to the above listed sector adaptation needs, India's recently submitted initial Adcom to UNFCCC, notes that the fundamental pre-requisite of development in India is adaptation, especially reducing vulnerability and exposure. It further states that India faces the challenge of

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balancing conservation and sustainable use of biological diversity with economic growth and overall human wellbeing. This is further exacerbated by climate change as India is already experiencing the ecological, economic, and social consequences of global warming.

Adaptation finance

The cumulative expenditure needed for adaptation in a Business as Usual (BAU) scenario, without any additionality, is estimated to be INR 56.68 trillion (approximately USD 678 billion) between now and 2030, assuming 2023-24 as the base year of analysis.[21] Currently, the maximum share of the country's climate finance comes from budgetary sources, as most of the resources for mitigation and adaptation are embedded in the various sectoral programmes and schemes being implemented at the national and sub-national levels. As per an analysis by a sub-committee of India's Ministry of Finance, the cumulative total expenditure for adapting to climate change in India is estimated to reach INR 85.6 trillion (USD 1 trillion) (at 2011-12 prices) by 2030.[22] As the impacts of climate change are increasing every year, the relationship between climate change and economic growth is increasingly recognized. However, a more in-depth country specific analysis is the need of the hour to understand the full spectrum of climate change impacts on economic growth and the cost creating enabling policy environment, implementing hard measures and creating long term institutional and human capacities. A significant amount of focus of existing climate adaptation finance is on implementing physical adaptation measures. However, the costs involved in implementing soft measures such as capacity building and vulnerability studies are not funded from either external sources or the domestic public budgets.

As the impacts of climate change are expected to exacerbate with time, the need for adaptation finance flows will be significantly higher in the future to implement physical adaptation and other supporting and enabling activities. Relying only on public sector funds will not be sufficient to fulfill adaptation needs of the country. The private sector potential is yet to be harnessed fully. At present, private sector investments are mostly seen in infrastructure projects through public- private partnerships (PPP). Therefore, there is a need to learn from this example to scale up the use of public finance to catalyze private finance. Climate finance flows remain mostly concentrated in sectors that have more market blending public and private finance as a solution for de-risking such sectors for investments by the private sector.

Other than the budgetary allocations, until 2020, the National Adaptation Fund for Climate Change (NAFCC) has been the primary government fund specially geared towards climate adaptation and to support state governments with their state action plans on climate change (SAPCC) implementation. Additional funding sources include financial support from bilateral

[21] MoEFCC. (2023). India: Third National Communication and Initial Adaptation Communication to the United Nations Framework Convention on Climate Change. New Delhi: Ministry of Environment, Forest and Climate Change, Government of India.
[22] MoEFCC. (2022). India's long-term low-carbon development strategy. Ministry of Environment, Forest and Climate Change, Government of India.

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and multilateral agencies, NGOs, philanthropic institutions, and corporate private sector engagement.
In addition to access to the NAFCC funds and regulatory budget sources, states can also seek additional funding for the implementation of their SAPCCs from the following sources:[23]

1. Allocation by Finance Commission
2. Compensatory Afforestation Management and Planning Authority
3. Unallocated pool of resources for Northeastern states
4. Carbon offsetting and trading schemes (domestic and international)

In terms of international climate finance: Multilateral finance for adaptation in India has been provided by the Global Environment Facility (GEF), Green Climate Fund (GCF), Adaptation Fund (AF) and Special Climate Change Fund (SCCF).

Besides, multilateral funds India also receives financial support for climate projects from bilateral aid organizations and multilateral development banks in the form of grants, loans and technical assistance. Other sources of international climate finance in the country include climate finance initiatives and partnerships, philanthropic foundations, as well as south-south cooperation.
For India to accelerate its transition to low carbon economy public funds alone are insufficient to fulfil adaptation needs of the country. Climate finance flows from the private sector would be instrumental in narrowing this gap. Hence, the role of the private sector is important to bridge the finance gap. Traditionally, the role of the private sector in India's climate adaptation has been limited to addressing of climate risks to operations and value chain as well as activities under the Corporate Social Responsibility (CSR) mandate. The limited engagement of private sector in adaptation stems from a general perception that adaptation projects are risky with low financial returns, methodologies on adaptation benefits and absence of clear revenue streams. However, in the recent past private sector engagement in climate action has gradually been increasing in the country. There is growing recognition within the sector of the need to address climate risks by building the resilience of internal operations and supply chains to ensure business continuity and profitability. Blended finance instruments such as concessional loans, guarantees, performance-based incentives, in combination with public financial resources can help de-risk adaptation projects and attract private sector investments in sectors perceived to be "high risk-low gain".

India's adaptation strategy includes the National Action Plan on Climate Change (NAPCC) with the overarching national climate goals, sector-based missions, sector policies and State Action Plans on Climate Change (SAPCCs) with sub-national levels goals and priorities. However, there is no overarching adaptation policy and governance framework to drive public and private adaptation action in a coordinated and cohesive manner. Hence, the NAP process is an opportunity to pull existing efforts together into a cohesive whole, address existing gaps and build on them in a coordinated approach. It is providing an opportunity to reorient development schemes within the framework of a climate adaptation/ risk strategy by

[23] Guidelines for Funding State Action Plan on Climate Change (SAPCC) under Climate Change Action Programme (CCAP)." n.d. Ministry of Environment, Forests & Climate Change, GoI. https://dste.py.gov.in/sites/default/files/guidelinesforfundingsapcc.pdf.

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strengthening capacities at all levels of government as well as strengthening institutional mechanism for climate information services, mainstreaming, stakeholder engagement, climate technology adoption, monitoring & evaluation and private sector engagement.

III. STRATEGY

India is highly vulnerable to climate change impacts but lacks a comprehensive national adaptation plan, hindering effective response, resource mobilization, and mainstreaming of climate resilience into development planning.
Thus, developing a comprehensive national plan which is solely dedicated to strengthening climate adaptation has is an urgent strategic priority to overcome the following barriers:

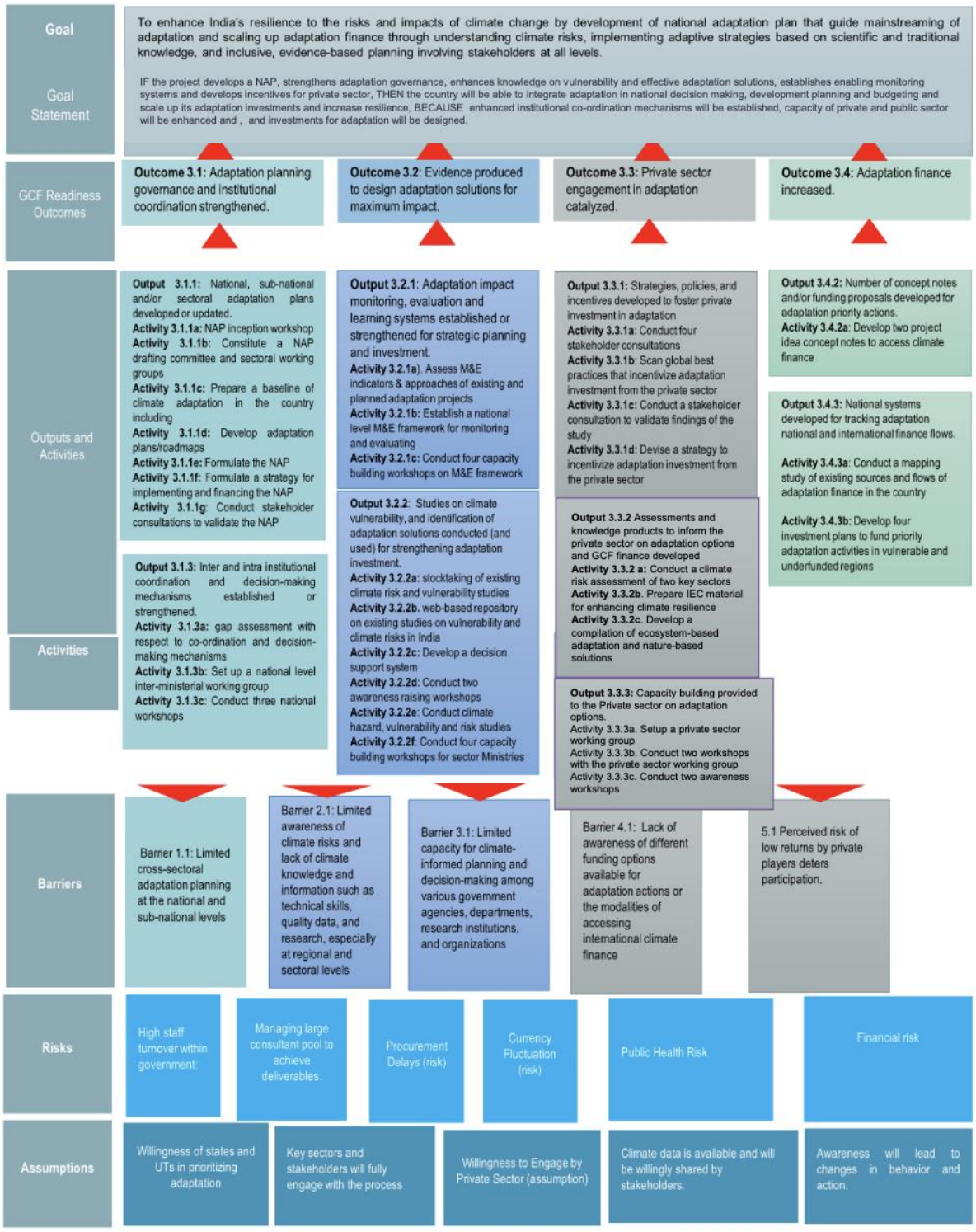
- Lack of a comprehensive adaptation framework: No existing national-level policy specifically dedicated to adaptation.
- Data and information gap: Limited use of climate risk data for cross-sectoral planning.
- Low awareness and capacity: Insufficient understanding of adaptation at various levels.
- Adaptation finance challenge: Perceived as high-risk, low-return investment by the private sector.

Through the successful implementation of this project, an overarching framework and plan to coordinate and steer a national adaptation response will be enabled, a strengthened information and evidence-base on adaptation will be accessible, and an increase in flow of adaptation finance will be enabled in the country through catalyzing private sector investments in climate resilience and adaptation. Finally, the proposed support to NAP articulated in this proposal has been prepared in direct alignment with the GCF Country Programme document, which is currently in draft form.

The overall goal of the project is to enhance India's resilience to the risks and impacts of climate change by development of a NAP that guides mainstreaming of adaptation and scaling up adaptation finance through understanding climate risks, implementing adaptive strategies based on scientific and traditional knowledge, and inclusive, evidence-based planning involving stakeholders at all levels. This will be achieved by setting in place the systems and capacities required for mainstreaming climate adaptation efficiently in the national decision-making, development planning and budgeting of the country.

The diagram of the Theory of Change for the project is shown in **Figure 2**. There are nine outputs distributed across four outcomes for the proposed readiness project, The diagram illustrates how the four outcomes of the project through its outputs and activities will contribute to strengthening India's adaptation actions.

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The process of formulation of NAP is being initiated by the NDA soon after the development of India's initial Adaptation Communication (Adcom). The initial Adcom clearly states that it will expedite the support for the formulation of NAP and the implementation of programmes, projects and policies. The Adcom not only describes the national adaptation strategies, policies and programmes being implemented in the country but also highlights the implementation and

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support needs for adaptation actions in India. It identifies adaptation priorities for the following three categories: (i) Knowledge systems on climate risks and adaptation (ii) Reduction of exposure to climate risk and (iii) Building resilience and adaptive capacity. The process of developing the Adcom involved several rounds of stakeholder consultations with line ministries, government agencies including state governments, research institutes, think tanks, and subject matter experts.

Readiness support is required to:

Address technical and institutional capacity gaps and direct resources towards **developing a gender-responsive NAP** that supports horizontal integration of adaptation in priority sectors, and to synergize policy and adaptation action at grassroots and sectoral level as well as at the national and sub-national levels. This will further help to integrate adaptation into new and existing national and sub- national policies, schemes and programmes in the country. This support will also contribute to greater inclusion through conducting multistakeholder consultations across the country. This will address **Barrier 1.1**: Limited cross-sectoral adaptation planning at the national and sub-national levels. Support is further needed to design an adaptation impact monitoring, evaluation and learning system at the national level that will be linked to the overall goals and targets of the NAP learning, planning and investment.

To **build capacities for undertaking and using vulnerability and climate risk assessments** and **harmonized approaches** for key adaptation sectors. Readiness support is required to develop guidance on how to develop standardized approaches to downscale future climate projections and support data interpretations across sectors and levels of government. Currently, all district-level studies make use of different modelling exercises, therefore all studies have their own levels of confidence and uncertainty. Climate projections can be more easily extrapolated or scaled-up if there is a standard in modelling and climate parameters. Support is further needed to provide guidance on comprehensive localized risk profiling of the country through a bottom-up approach capturing the intricacies of the local ecosystem, and community groups to inform adaptation planning. This will address **Barrier 2.1:** Limited awareness of climate risks and lack of climate knowledge and information such as technical skills, high quality data and research, especially at regional and sectoral levels, **Barrier 3.1:** Limited capacity for climate-informed planning and decision-making among various government agencies, departments, research institutions, and other organizations and **Barrier 4.1**: Lack of awareness of different funding options available for adaptation actions or the modalities of accessing international climate finance.

To assess and track financing needs and develop adaptation financing investment plans for priority sectors: The readiness project will support in assessing finance needs for adaptation which is aligned with the goals and targets developed as part of the overall NAP process. Support shall also be provided for developing selected investment plans for priority adaptation actions. Guidance on designing and identifying resourcing needs for adaptation will be developed and shared with stakeholders. This will address Barrier 4.1: Lack of awareness of

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different funding options available for adaptation actions or the modalities of accessing international finance.

To enable private sector engagement in adaptation: Readiness support is required to enhance the capacities of stakeholders on mechanisms to engage the private sector in adaptation financing, to foster greater dialogues and understanding and scanning of opportunities for public – private collaboration. Further the project will demonstrate key business cases for adaptation through public private partnership models. This will address **Barrier 5.1**: Perceived risk of low returns by private sector actors deters their participation and engagement in adaptation

In line with the project goal, the proposed project incorporates Strategic Environmental and Social Assessment (SESA) as an approach to ensuring that the project does not reproduce or exacerbate other risks as part of the National Adaptation Planning process. Incorporating SESA recognizes that there is the potential, however small, that adaptation planning, and the actions that stem from it could lead to other forms of environmental and social risk, and that the best way to address this is to adopt an approach that seeks to minimize risk from the outset.
All the relevant line ministries will be engaged for the relevant sectors/themes.

The table below links to Section 2.4 and summarizes how the proposed activities will alleviate the identified barriers:

Barrier	Primary output to alleviate barrier
Barrier 1.1: Limited adaptation planning at the national and sub- national levels.	**Output 3.1.1**: National, sub-national and/or sectoral adaptation plans developed or updated. **Output 3.1.2**: Inter and intra institutional coordination and decision-making
Barrier 2.1: Limited awareness and lack of knowledge resources such as technical skills, quality data, research study, especially at regional and sectoral levels.	**Output 3.2.1:** Adaptation impact monitoring, evaluation and learning systems established or strengthened for strategic planning and investment. **Output 3.2.2**: Studies on climate vulnerability, and identification of adaptation solutions conducted (and used) for strengthening adaptation investment.
Barrier 3.1: Limited capacity for climate-informed planning and decision-making among various government agencies,	**Output 3.2.2:** Studieson climate vulnerability, and identification of adaptation solutions

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departments, research institutions, and organizations	conducted (and used) for strengthening adaptation investment
Barrier 4.1: Lack of awareness of different funding options available for adaptation actions or the modalities of accessing international climate finance.	**Output 3.3.2:** Assessments and knowledge products to inform the private sector on adaptation options and GCF finance developed. **Output 3.3.3**: Capacity building provided to the Private sector on adaptation options **Output 3.4.2:** Number of concept notes and/or funding proposals developed for adaptation priority actions. **Output 3.4.3:** National systems developed for tracking adaptation national and international finance flows
Barrier 5.1: Perceived risk of low returns by private players deters participation.	**Output 3.3.1:** Strategies, policies, and incentives developed to foster private investment in adaptation solutions

The project activities, outputs and outcomes will support the NDA, state governments & administrations of union territories, AEs/DAEs, as well as private sector entities to work together to develop a strategic and comprehensive adaptation plan that outline specific measures to address identified vulnerabilities. The project will facilitate the mobilization of resources to support implementation of adaptation measures by enhancing the efficacy of the country's ability to programme, channelize and deploy adaptation finance for projects that enhance resilience across various sectors. A participatory approach will be adopted and stakeholders will be engaged at different levels.

IV. RESULTS AND PARTNERSHIPS

In line with the project goal, the proposed project incorporates Strategic Environmental and Social Assessment (SESA) as an approach to ensuring that the project does not reproduce or exacerbate other risks as part of the National Adaptation Planning process. Incorporating SESA recognizes that there is the potential, however small, that adaptation planning, and the actions that stem from it could lead to other forms of environmental and social risk, and that the best way to address this is to adopt an approach that seeks to minimize risk from the outset.

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All the relevant line ministries will be engaged for the relevant sectors/themes. These outcomes, outputs, activities and deliverables are described here:

The proposed project will achieve its goal through four outcomes and nine outputs, as described below:

Outcome 3.1 Adaptation planning governance and institutional coordination strengthened. Under this outcome, project outputs and activities will focus on initiating the adaptation planning process in the country and finalizing a NAP for India. It will help strengthen capacities of policymakers, build institutional memory, and help strengthen cross-sectoral co- ordination and communication flows among different departments of the line ministries and key entities of the central government. The SESA will be integrated into the NAP process and the broader planning processes but reported and documented independently. Under outcome 3.1, two outputs will be achieved through a series of associated activities:

Output 3.1.1 National and/or sectoral adaptation plans developed or updated.
Activities under this output will provide a blueprint for adaptation planning and climate-resilient governance at the national and sub-national levels. It will further support sectoral and cross-sectoral integration for a stronger alignment between frameworks, the definition of clear adaptation directions with a participatory formulation of first a NAP roadmap and then a NAP. Further, the NAP will also create linkages between national and sub-national adaptation planning by supporting vertical integration of adaptation. The NAP will also provide the necessary policy framework to mainstream adaptation into development plans, programmes, financial planning, budget and schemes. It will also help identify available sectoral funds which could be channelized into adaptation projects.

Activity 3.1.1a: **Conduct a NAP inception workshop**
The project will organize a NAP inception workshop to offer a platform for all key stakeholder groups to be informed about the impending NAP process, their role and need for participation in the process and also to obtain their adaptation needs, perspective on current adaptation measures, scope for improvement in adaptation efforts, challenges faced, and further opportunities.

Deliverable 3.1.1a(i): The output of the inception workshop and initial assessment will be a clear roadmap for developing India's NAP with information on the roles and responsibilities of different stakeholder groups, a milestone-based timeline and a broad outline of the NAP. The key stakeholder groups will include policymakers of national and state governments, researchers, international development partners, CSOs, NGOs, local communities and private sector entities. The Inception Workshop will also be used to sensitize stakeholders to Social and environmental risk identification and identify activities throughout the NAP project to identify Social and Environmental risks that will be addressed through a SESA process to be defined under the overall NAP process and activities.

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Activity 3.1.1b: Constitute a NAP drafting committee and sectoral working groups for the development of the NAP and its related documents for submission to UNFCCC

A NAP drafting committee including sectoral working groups comprising line ministries, state government officials, research institutes, and think tanks would be constituted. The sectoral working groups will develop sectoral adaptation plans/roadmaps for priority sectors, including: 1. Water, 2. Agriculture and Allied Sectors, 3. Health, 4. Forests, 5. Ecosystems and Biodiversity, 6. Disaster Management and Infrastructure Resilience, 7. Poverty Alleviation and Livelihoods, 8. Traditional Knowledge and Heritage, and 9. Adaptation Resourcing. Additionally, a SESA Working Group will be formed, in collaboration with the other groups but with an independent mandate and reporting obligations.

Deliverable 3.1.1b(i): A notification and guidance document for committees and working groups with defined roles, responsibilities and timeline.

Activity 3.1.1c: Prepare a baseline of climate adaptation in the country including an assessment of policy measures and climate vulnerability, risk and impact assessments at the national and sub-national level

A comprehensive stocktaking will be done of the current adaptation scenario in the country and current vulnerability, risk and impact assessment studies that have been carried out at the national and regional levels. The implementation status of existing adaptation initiatives at the national level will be assessed, successful practices will be identified and their scope for replication would be determined, and gaps in resource utilization would be analyzed. Further, the need for new vulnerability and risk assessment studies will be established for key sectors. The SESA process will in this phase analyze the relevant trends in the key SES issues to be addressed and will outline their likely evolution.

Deliverable 3.1.1c(i): Baseline report on climate adaptation

Activity 3.1.1d: Develop adaptation plans/roadmaps for the 9 sectors

Sectoral adaptation plans/roadmaps will be developed for each priority mentioned sector under **Activity 3.1.1b** and will include impact and vulnerability analysis (both reviewing and analyzing existing studies & conducting new ones). Note that this activity is closely linked to output 3.2.2, risk identification, and adaptation measures with clear overarching goals and targets for each of the sectors mentioned in Activity 3.1.1b. The plans will include measures for cross-sectoral issues and linkages identified under output 3.2.2. This will also be linked to the indicators for the Global Goal on Adaptation. The project will work closely with the NDA and National Steering Committee for NAP. All plans will be approved at the steering committee. The final endorsement will be at the cabinet level and the project will provide requisite support to NDA for getting timely approval and endorsement. Moreover, this activity will also analyze the strategic impacts and baseline trends in key Social and environmental safeguards (SES) issues and identify the key specific associated risks.

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Deliverable 3.1.1d(i): Adaptation plans/roadmaps for 9 sectors: 1. Water, 2. Agriculture and Allied Sectors, 3. Health, 4. Forests, 5. Ecosystems and Biodiversity, 6. Disaster Management and Infrastructure Resilience, 7. Poverty Alleviation and Livelihoods, 8. Traditional Knowledge and Heritage, and 9. Adaptation Resourcing.

Activity 3.1.1e: Formulate the NAP for India

Based on activities 3.1.1a, 3.1.1b and 3.1.1c, 3.1.1d an overarching NAP will be developed which will highlight the country's strategic priorities, goals and clear guidance on interventions for climate adaptation and building resilience (linked to output 3.1.3). The NAP will outline India's medium – and long – term needs, map various sources of adaptation finance, and enhance capacity for integrating climate change considerations into India' planning and budgeting. The sectoral adaptation/roadmaps developed in activity 3.1.1d will constitute an important section in the NAP document. The NAP will be a gender responsive document which will recognize the gender differentiated nature of climate risks and therefore the gender-differentiated adaptation needs and capacities for all stakeholders within the country. It will further ensure a gender sensitive stakeholder engagement process to ensure the views of all groups are equally considered and accounted for during the whole process. It will provide guidance on environmental and social optimization of recommended measures in the NAP and on any follow-up environmental and social assessments and management plans that should be set up or done before their implementation or during the implementation process.

Deliverable 3.1.1e(i): Draft NAP document

Activity 3.1.1f: Formulate a strategy for implementing and financing the NAP in the country

A NAP implementation strategy will be developed based on the strategic priorities and interventions identified during the NAP process as well as in the ADCOM and a financial estimate for the implementation will be made (The plan will outline strategies for mainstreaming adaptation into existing and upcoming policies and programmes across various sectors. The NAP document will include an assessment of climate financing options both international and domestic including private sector finance for funding the NAP based on which a financing strategy will be developed. A financing strategy for NAP will be developed to ensure adequate and sustainable funding for the identified adaptation actions. This will involve identifying the financial resources required, evaluating the effectiveness of the current financial mechanisms, addressing the gaps in financing adaptation in the country, identifying ways of domestic resource mobilization, determining opportunities for accessing international climate finance including GCF, and exploring avenues for engaging the private sector. The strategy will include a monitoring and evaluation mechanism for tracking the impact of adaptation investments over time in alignment with Activity 3.4.3a. While all relevant line ministries will be engaged in the process of formulating a financing and implementation strategy for the NAP, the Ministry of Finance will be the key stakeholders.

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Moreover, the SESA will provide recommendations for the key priority measures and sequencing in order to maximize environmental and social co-benefits of the NAP strategy and minimize its social and environmental risks.

Deliverable 3.11.f(i): Strategy document for implementing and financing the NAP

Activity 3.1.1g: Conduct stakeholder consultations to validate the NAP and sectoral adaptation plans/roadmaps

After finalization, the NAP will be validated through three stakeholder consultations – one at the national and two at the sub-national level for various stakeholder groups ensuring fair representation and inclusivity. The stakeholders will include key government and non-government actors at national and sub-national level like states, city governments and panchayats. The objective of the consultations will be to orient stakeholders on NAP and collate inputs from diverse groups for sectoral plans. The number of participants for each consultation would be between 50-100, with a target of 1/3rd female participants. Further, these stakeholder consultations should include the presentation of impacts on the key stakeholder groups, including the disadvantaged and marginalized.

Deliverable 3.1.1g(i): Stakeholder consultation reports and updated sectoral plans

Output 3.1.3 Inter and intra institutional coordination and decision-making mechanisms established or strengthened.

For effective adaptation policy making, it is imperative that plans and policies be designed to foster synergy and that agencies do not work in silos. Through the activities under this output the project will help establish seamless coordination among government institutions and agencies.

Activity 3.1.3a: Conduct a gap assessment with respect to co-ordination and decision-making mechanisms among government institutions and agencies.

To enhance intra-institutional coordination, an assessment of existing gaps will be undertaken regarding the co-ordination and decision-making mechanisms among government institutions and agencies. This assessment will serve as a foundation for proposing recommendations aimed at bridging the identified coordination gaps.

Deliverable 3.1.3a(i): Report on gap assessment

Activity 3.1.3b: **Set up a national level inter-ministerial working group/steering committee to strengthen adaptation governance and planning in India**

A national level inter-ministerial working group/steering committee will be established with the responsibility of ensuring co-ordination for adaptation governance and planning in India to improve policy co-ordination among line ministries. This will be aligned to and steering the overall functioning of the drafting committee and working groups under Activity 3.1.1b. The ministries will include all national ministries that have been identified as part of the institutional structure. Central government: Ministries of Environment, Forest & Climate Change (NDA);

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Agriculture & Farmers' Welfare; Fisheries, Animal Husbandry & Dairying; Jal Shakti; Earth Sciences; Housing and Urban Affairs Health & Family Welfare; Women and Child Development; Development of Northeastern Region; Rural Development; Department of Science and Technology (DST); National Disaster Management Authority (Ministry of Home Affairs); Road Transport & Highways; New & Renewable Energy; Power; Tribal Affairs.

Deliverable 3.1.3b(i): Notification on Inter-ministerial working group

A**ctivity 3.1.3c: Conduct three national workshops for the inter-ministerial working group**

Three national workshops will be conducted across the country with key stakeholders which will include state governments, state actors, NGOs, CSOs, private sector entities, local communities and financial institutions to seek input for the NAP. These stakeholder consultations will aim to seek input for the NAP from the various stakeholders and identify the concerns of the most affected. These workshops should present the SESA findings and recommendations for consideration. The number of participants for each workshop would be up to 50, with a target of 1/3rd female participants.

Deliverable 3.1.3c(i): 3 workshop reports and briefs for NAP

Achieving Outcome 3.1 will help address the major **barrier** of a lack of an overarching institutional framework to steer climate change adaptation and ensure cross sectoral integration and coordination (i.e. Barrier 1.1). The NAP process initiated through Outputs 3.1.1 and 3.1.3 will set in place a common direction/framework for adaptation action in India and establish a robust institutional structure with presence of multisectoral stakeholders for effective and coordinated implementation of adaptation strategies.

To achieve Outcome 3.1, it is **assumed** that developing the NAP is of high priority to the Government of India and that state governments and UTs prioritize climate adaptation. This assumption is valid because the Government has mentioned that it intends to develop a robust adaptation planning framework by developing a NAP for India in its Initial Adcom that was submitted to UNFCCC in December 2023. Moreover, initial awareness and understanding was created with state governments and UTs during the first three readiness projects.

The possible **risks** in achieving this outcome include loss of institutional memory due to sudden/consecutive transfers of government staff particularly at the national level. Sudden transfers could cause abrupt delays in project activities. This risk will be mitigated by the documentation of project activities, learnings, key outcomes as well as achievements which will serve as guiding principles. Another possible risk is unexpected delays in engaging consultants/firms or in submission of deliverables by the consultants/firms for some of the activities. To address this risk, regular meetings will be held by the project management unit with the procurement unit of UNDP to ensure smooth and timely engagement of consultants.

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The main **beneficiaries** of this outcome include the NDA, policymakers, government agencies, regulators, line ministries & departments, state governments, and administrations of union territories.

Outcome 3.2 Evidence produced to design adaptation solutions for maximum impact
This outcome will focus on developing guidance on conducting vulnerability assessments and national and sectoral M&E frameworks for climate adaptation. Through this outcome the necessary support in developing the much-needed capacities for evidence-based policy and governance in the country will be established through establishing a monitoring and evaluation framework for adaptation. This will also contribute directly to developing a scientifically robust NAP for India. This need will be addressed through activities under Outputs 3.2.1 and 3.2.2.

Output 3.2.1 Adaptation impact monitoring, evaluation and learning systems established or strengthened
The activities under this output will establish a robust monitoring, evaluation and learning systems to track the impact of adaptation measures and enhance the effectiveness of adaptation efforts.

Activity 3.2.1a. **Conduct a study to assess M&E indicators & approaches of existing and planned adaptation projects at the national and sub-national level.**
A study will be conducted to assess approaches of existing and planned adaptation measures at the state and national levels, the M&E frameworks and indicators used to account for impacts and global benchmarks.

Deliverable 3.2.1a(i): Benchmarking report on M&E

Activity 3.2.1b: **Establish a national level M&E framework for monitoring and evaluating adaptation projects**
Based on the study results, a national common framework with sectoral indicators will be developed. This will also support the M&E of NAP and sub-national climate action. The national and sectoral M&E frameworks will be closely linked to the goals and targets under the NAP and sectoral adaptation roadmap respectively (Activities 3.1.1a and 3.1.1c). The M&E frameworks will help measure and monitor the impacts of activities, investments, and schemes from not only adaptation and climate resilience point of view but also from a gender and social inclusion perspective. It will guide the tracking and monitoring of individual sectoral objectives, targets and indicators. Lastly, it will ensure transparency in the adaptation process and data collection and will support evidence-based adaptation planning. The M&E will integrate the SESA recommendations for monitoring social and environmental impacts during the implementation of the NAP.

Deliverable 3.2.1b(i): M&E framework for NAP

Activity 3.2.1c: **Conduct four capacity building workshops on M&E framework at the national level**

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Once the M&E framework is finalized, four capacity building workshops will be conducted at both the national and regional levels to inform government agencies and departments on its utilization. Objective; orientation on NAP and M&E framework. targeted training beneficiaries: up to 20 participants from state government and national ministries for each workshop, with a target of 1/3rd female participants

Deliverable 3.2.1c(i): Four trainings conducted with around 80 participants, targeting 1/3rd female.

Output 3.2.2: Studies on climate vulnerability, and identification of adaptation solutions conducted (and used) for strengthening adaptation investment

Under this output, the project will provide guidance on vulnerability assessment to strengthen overall adaptation plan. Further studies on climate vulnerability, to identify context specific adaptation solutions and for strengthening adaptation investment will be undertaken. Moreover, these vulnerability studies will include a baseline assessment that will help to help to identify where capacity limitations or other un-foreseen risks exist in relation to social and environmental risks relating to the NAP.

Activity 3.2.2a: Conduct a stocktaking of existing climate risk and vulnerability studies at the national, state and sectoral levels

A stocktaking will be done of existing climate risk and vulnerability studies available for the sectors identified under Activity 3.1.1b at the national, state and sectoral levels. Based on the stocktaking, a report will be developed which will identify the data gaps and up to 2 sectors that require participatory and gender sensitive assessment and studies of climate risk and vulnerability studies to be conducted.

Deliverable 3.2.2a(i): Repost on existing climate risk and vulnerability studies at the national, state and sectoral levels

Activity 3.2.2b. Develop a web-based repository on existing studies on vulnerability and climate risks in India

To improve collation of data/information on climate risk, vulnerability, and adaptation and to make it more easily available a repository of information in one accessible database will be developed. The database will be made available for the use of all types of stakeholders including ministries, departments, civil society organizations, research, and academic institutions, as well as the public. The database will serve as a one stop shop particularly for decision-makers for adaptation related data, information, guidance, and tools to analyze adaptation efforts in the country. The database will be a hosted by MoEFCC as part of the existing India Climate Change Knowledge Portal of the Ministry of Environment, Forest and Climate Change.

Deliverable 3.2.2b(i): Repository on climate risk and vulnerability assessment study.

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Activity 3.2.2c Develop a decision support system that will support sectoral ministries in identifying climate risks and assess vulnerabilities for important sectors and potential adaptation measures

A decision support system will be developed for supporting line ministries to identify climate risks to key sectors and developing sectoral adaptation measures. This system will help further the data harmonization process for different ministries by bringing together data from different sources, methodologies and aligning to common approach to ensure they are comparable and usable in analysis. The system will include the following tools that facilitate decision-making for climate adaptation: (a) Tools for assessing biophysical impacts, vulnerability or risk; (b) Tools for costing adaptation options such as cost-benefit analysis and multi-criteria analysis; (c) Tools for data visualization, such as GIS-based tools.

Deliverable 3.2.2c(i): Decision support system

Activity 3.2.2d: **Conduct two awareness raising workshops on the adaptation database and online decision support system**

To create more awareness on the guidance framework as well as the online adaptation database, two awareness raising workshops will be conducted at the national and regional levels for central and state government officials on the use of these platforms.

Objective; orientation on database and decision support system. targeted training beneficiaries: up to 20 participants from state government and national ministries for each workshop, with a target of 1/3rd female participants.

Deliverable 3.2.2d(i): Two workshops conducted, targeting around 40 participants, 1/3rd female and workshop reports prepared

Activity 3.2.2e: **Conduct climate hazard, vulnerability and risk studies for four key adaptation sectors in India**

Further, climate hazard, vulnerability and risk assessments will be conducted for four adaptation sectors identified through Activity 3.2.2a. These studies will include a baseline assessment of capacity limitations in relation to social and environmental risks relating to the NAP. Further, the assessment and studies will identify both sectoral and cross-sectoral drivers of vulnerability and risks.

Deliverable 3.2.2e(i): Four reports on climate hazard, vulnerability and risk

Activity 3.2.2f: **Conduct four capacity building workshops for sector ministries to mainstream adaptation in respective sector policies**

Four capacity building workshops will be conducted for state governments on undertaking vulnerability and climate risk assessments for key adaptation sectors.

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Objective; training on conducting and using information from vulnerability and climate risk assessments for adaptation planning. targeted training beneficiaries: up to 20 participants from state government and national ministries for each workshop, with a target of 1/3rd female participants. Modules: existing modules will be enhanced based on the study reports.

Deliverable 3.2.2f(i): Four trainings conducted, approximately 80 participants, including 1/3rd female, and reports prepared

Achieving Outcome 3.2 will help build on existing institutional capacities and knowledge base in the country to strengthen adaptation planning. India has established an extensive knowledge network of existing and new institutions engaged in research and development in climate adaptation. The country has also collaborated with international institutes and networks on research and technology development to adapt and mitigate the impacts of climate change. Through these initiatives, the government promotes data and technology sharing to support policymaking in climate change adaptation. However, one of the biggest **barriers** lies in transferring skills and knowledge to communities and grassroots organizations where measures have been implemented. As a result, policy makers, implementation agencies and funding agencies have limited evidence for adaptation planning. In order to further implement effective climate adaptation measures and facilitate informed decision-making, it is essential to acquire a thorough and scientifically grounded understanding of the primary risks and vulnerabilities that the country is facing as a result of climate change. Future adaptation related policies need to incorporate emerging climate science and evidence and develop robust planning for implementation of climate actions. Through Outcome 3.2 the project will create a new evidence base, compile, and synthesize existing studies, and make data available for different types of users. Thus, it will help in addressing Barrier 2.1 (limited risk awareness and climate information and interpretation capacity) and Barrier 3.1 (lack of data harmonization) by providing a database for decision-makers for adaptation related data, information, guidance, and tools to analyze adaptation.

To achieve this outcome, it is **assumed** that there will be a robust coordination between the NDA and state governments/UT administrations as well as effective cross-sectoral co-ordination among government departments, institutions and agencies to contribute the project activities successfully. The assumption is highly likely to be met as India has developed a Long-Term Low- Carbon Development Strategy as well as its Third National Communication and Adcom to the UNFCCC, both of which required extensive cross-sectoral coordination among various government entities. Further, it is assumed that the M&E outputs will be used to mainstream adaptation priorities into programmes at the national and sub-national levels. This assumption is realistic because the government has recognized the need for M&E arrangements to measure adaptation impacts and to promote accountability. Lastly, another assumption is that the government institutions have the necessary capacities and capabilities to incorporate the M&E framework developed under the project into their respective sectors and focus areas. This assumption is credible as the project has several capacity building components which should be able to successfully address the gaps in capabilities of government institutions.

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One possible **risk** in achieving this outcome could be limited involvement of state government and stakeholders in prioritizing climate change adaptation and low efficiency and effectiveness of government institutions hindering the pace and quality of activities. This risk has been mitigated through the earlier readiness support through which the NDA has engaged with state governments and other stakeholders highlighting the importance of mainstreaming adaptation.

The main **beneficiaries** of this outcome include the NDA, policymakers, government agencies, regulators, line ministries & departments, state governments, and administrations of union territories.

Outcome 3.3: Private sector engagement in adaptation catalyzed.

For the adaptation planning and policy strengthening work implemented under Outcomes 3.1 and 3.2 to be effective in the longer term, large amounts of adaptation finance would need to be effectively programmed and mobilized in key sectors at the national and sub-national levels. The NAP process — in its planning, implementation, and M&E phases — presents a critical opportunity for governments to align private sector interests with national adaptation priorities. This readiness proposal aims to engage with the private sector, address misconceptions about adaptation investments, identify challenges for private finance, and enhance private sector engagement in adaptation activities in the country.

Output 3.3.1 Strategies, policies, and incentives developed to foster private investment in adaptation solutions.

Activity 3.3.1a: Conduct four stakeholder consultations with the private sector to identify barriers to adaptation investment

To achieve Output 3.3.1, four stakeholder consultations will be conducted with the private sector across the country (North, South, East and West) to identify barriers to adaptation investment. Participants will include representatives from the following categories: (i) Micro, small and medium enterprises (MSMEs) and small-scale entrepreneurs (ii) Large corporates (iii) Public and private sector banks and investors (iv) non-banking financial institutions (v) Insurance companies (vi) Climate tech start-ups, and (vii) NGOs/CSOs working in the climate finance sector. The consultations will provide an opportunity to gain an in-depth understanding of the perspective of private sector actors and will provide a platform to discuss opportunities for enhancing private sector engagement in adaptation and climate resilient projects.

Deliverable 3.3.1a(i): Need and barrier assessment consultation reports

Activity 3.3.1b: **Conduct a study to scan global best practices that address barriers and incentivize adaptation investment from the private sector**

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To enrich the understanding a comprehensive study will be conducted on global best practices that address barriers and incentivize adaptation investment from the private sector in emerging economies similar to Indian conditions.

Deliverable 3.3.1b(i): Study report on best practices

Activity 3.3.1c: Conduct a stakeholder consultation to validate findings of the study and incorporate India specific inputs

To validate the findings of the study and to incorporate inputs specific from an Indian perspective a stakeholder consultation will be conducted with representatives from line ministries, state governments, and private sector entities.

Deliverable 3.3.1c(i): Consultation report

Activity 3.3.1d: Institutionalize a strategy to incentivize adaptation investment from the private sector in India

Based on the other three activities under this output – i.e. inputs received from the private sector consultations, identification of successful global best practices for incentivizing private finance in adaptation, as well as post-study stakeholder consultation, a private sector investment strategy focusing on the key sub-sectors of agriculture, health, textiles and water will be developed to promote and incentivize private engagement in adaptation in the country. This strategy will identify opportunities to promote de-risk adaptation investments for the private sector and define ways of leveraging blended finance from both the public and private sector in closing the adaptation finance gap in the country. The strategy will be further institutionalized with existing private sector confederations and industry associations like Confederation of Indian Industry (CII) or Federation of Indian Chambers of Commerce & Industry (FICCI).

Deliverable 3.3.1d(i): Strategy document for private sector engagement in adaptation finance

Output 3.3.2 Assessments and knowledge products to inform the private sector on adaptation options and GCF finance developed

Through Output 3.3.2, the project will aim to enhance awareness of individual businesses and supply chains of key sectors such as agriculture, health, textiles and water on mitigating climate risks.

Activity 3.3.2 a: **Conduct a climate risk assessment of two key manufacturing sectors with a focus on supply chains and develop resilience strategies**

To further build the climate resilience of private sector entities, a climate risk assessment for two key manufacturing sectors with a focus on supply chains will be conducted which will identify, analyze and prioritize potential climate-related risks and vulnerabilities. The sectors

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will be prioritized in consultations and with criteria decided with the Steering Committee and other public and private stakeholders. Those manufacturing sectors that are generally considered important due to their wide-reaching impacts, high economic value, and potential vulnerabilities to climate risks will be selected. Potential sectors could be (i) Agricultural processing and food manufacturing (ii) Textiles (iii) Automobile (iv) Electrical and electronic industry. Based on the assessment, resilience and adaptation strategies would be developed to mitigate and adapt to the identified risks in each of the sectors.

Deliverable 3.3.2a(i): Two reports on climate risk assessment of two key manufacturing sectors

Activity 3.3.2b: Prepare Information, Education and Communication (IEC) material for enhancing climate resilience of selected industrial sectors of priority and individual businesses and supply chains

A digital toolkit will be developed for selected priority industries which will provide information on potential impacts of climate change on industries pertaining to the identified sectors, provide guidance on conducting climate risk assessments, explain how to identify vulnerabilities and potential disruptions cause by climate related events, and present a range of adaptation strategies suitable for different businesses and supply chains. The toolkit will also offer examples of successful case studies from various industries, increase awareness, and provide a comprehensive understanding of climate change and its impacts on small businesses and supply chains. It will also provide a selection of best-case practices on business models for adaptation with suggestions for Indian industries to invest in adaptation and avoid maladaptive practices. It will provide an insight into specific risks and vulnerabilities and help businesses in making well-informed decisions about developing climate resilient strategies. The case studies will provide valuable lessons from different experiences and allow businesses to understand what has worked for others and how those approaches could be adapted to their own situations. Most importantly, it will empower small businesses to build resilience and navigate uncertain climate-related challenges.

Deliverable 3.2.2b(i): Information, Education and Communication (IEC) documents

Activity 3.3.2c: Develop a compilation of ecosystem-based adaptation and nature-based solutions accessible for private sector entities

The project will help private sector entities gain valuable insights and guidance on the practical applications of ecosystem-based adaptation by incorporating sustainable practices, investing in green infrastructure, as well as engaging in projects that enhance biodiversity and ecosystem resilience. This will be done by developing a compendium of ecosystem-based adaptation accessible for private sector entities. The compendium will include detailed case studies that showcase the successful implementation of ecosystem-based adaptation across diverse sectors such as agriculture, water management, urban planning and forestry by the private sector. It will include a compilation of best practices derived from successful projects where businesses incorporated nature-based solutions into their operations. The compendium will also address common challenges associated with implementing these approaches and propose suitable

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solutions or strategies to overcome them. It will discuss emerging trends and innovations, identify areas for future exploration, and provide a list of resources. Both the compendiums will be disseminated in the workshops conducted for private sector entities under Output 3.3.3.

Deliverable 3.2.2c(i): Compilation report on ecosystem-based adaptation and nature-based solutions accessible for private sector entities

Output 3.3.3 Capacity building provided to the private sector on adaptation options.
Activities under this output will support businesses to be better equipped to manage and mitigate climate risk and enhance their awareness of potential vulnerabilities. India's adaptation finance needs are large and significantly higher than the current adaptation finance flows. They will be able to reduce adverse financial implications caused by resource scarcity, infrastructure damage, supply chain disruptions, and other associated impacts.

Activity 3.3.3a: Set up a private sector working group on adaptation planning
To bring together businesses, industries, and stakeholders to collectively address the challenges of climate adaptation and building resilience, a private sector working group on adaptation planning will be established. The terms of reference will be developed to define the scope of the working group and clearly outline its objectives and goals and will also be linked to the NAP. The private sector working group will comprise of industry associations, business heads and private sector leaders. The overall steering of the working group will be coordinated by the inter-ministerial working group/steering committee that will be established under Activity 3.1.3b.

Deliverable 3.3.2a(i): Terms of reference for the Private sector working group developed

Activity 3.3.3b: Conduct two workshops with the private sector working group at the national and regional level
Two workshops will be conducted with the private sector working group at the national/and regional levels to facilitate exchange of knowledge, information, and best practices related to climate adaptation. Discussions in the workshop will also revolve around latest research, technologies, strategies on development of adaptation roadmaps tailored to industry needs including risk assessment tools, mitigation strategies, and emergency response plans.

Deliverable 3.3.3b(i): Two workshop reports

Activity 3.3.3c: Develop training modules and **conduct two awareness workshops on enhancing climate resilience of individual businesses and supply chains**

In addition, training modules will be developed based on the deliverables of **Activity 3.3.1d, and Activity 3.3.3c.** Two awareness workshops will be conducted for individual businesses and supply chains from the chosen sectors to enhance climate resilience based on the developed training modules. Through the workshops, businesses will be better equipped to manage and mitigate climate risk and be more aware of potential vulnerabilities. They will be able to reduce

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adverse financial implications caused by resource scarcity, infrastructure damage, supply chain disruptions, etc. The training modules will be integrated in existing business groups/industry associations and federations and business schools for long term sustainability.

Objective; Awareness raising workshops on enhancing climate resilience of individual businesses and supply chains. targeted training beneficiaries: 10-15 participants from business entities, with a target of 1/3rd female participants. Modules: existing IEC material developed under 3.3.2a and strategy report from Activity 3.3.1d

Deliverable 3.3.3c(i): Training modules developed, 2 workshops conducted targeting up to 30 people (1/3rd female), and reports prepared.

The outputs under Outcome 3.3 will directly address the **barrier** of perceived risk of low returns by private sector entities which has been a major deterrent for their active participation and involvement in adaptation measures (i.e. Barrier 5.1). Through the activities under this outcome, the private sector is expected to become more aware of the various opportunities and scope for its involvement in adaptation planning as well as financing. Enhancing private sector engagement in adaptation is critical for the NAP to be implemented successfully as well as to close the gap in adaptation financing which is heavily dependent on public funding. The private sector can not only contribute to significant amounts of financial resources, but also develop innovative solutions and expertise that can be harnessed to fund, implement and scale-up adaptation projects. The private sector also has the potential to generate new job opportunities and stimulate economic growth, particularly in sectors related to renewable energy, sustainable infrastructure, and technology development.

To achieve this outcome, it is **assumed** that the private sector can dedicate the required time and effort to engage effectively with the project and that other stakeholders will actively participate in the consultations and provide their inputs. These assumptions are realistic because an initial awareness and understanding has been created with state governments and private sector entities during the first three readiness projects. There is interest in the sector about becoming more aware of its role in adaptation planning.

One major **risk** foreseen in achieving this outcome is that the involvement of the private sector is slow due to limited awareness of the economic advantages associated with engaging in adaptation activities. This risk is largely being mitigated under the GCF Readiness Phase III project in which awareness workshops are being conducted for private sector entities about opportunities for investment in adaptation projects and engaging support from GCF. Another possible risk in achieving this outcome is challenges caused by managing a large pool of consultants and ensuring timely delivery of their deliverables. This risk will be addressed through regular monitoring of the work of the consultants and maintenance of strict timelines for submission of deliverables.

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The main **beneficiaries** of this outcome are private sector entities such as MSMEs, industry associations, financial institutions – banks & investment firms, agribusinesses, technology and innovation firms, and insurance companies.

Outcome 3.4 Adaptation finance increased

The funding available to meet adaptation needs for everyone is insufficient to cover the adaptation needs of the country. Increasing adaptation finance flows to India is a crucial requirement for the country to be able to meet its long-term sustainable development and economic growth objectives. This will be even more important once the goals and targets under NAP are finalized and NAP is rolled out for implementation. International climate finance could be harnessed for effective implementation of NAP in India, enhance India's capacity to scale up adaptation efforts and implement larger more impactful projects to build climate resilience. To address these issues, the project aims to achieve **Outcome 3.4 Adaptation finance increased** through two outputs and several associated activities.

Output 3.4.2 Concept notes developed for adaptation priority actions

Activity 3.4.2a: Develop two project idea concept notes to access climate finance for key adaptation sectors
To strengthen the national pipeline of projects and programmes for the GCF in consultation with national stakeholders, the proposed readiness project will develop two project idea concept notes to access climate finance to address adaptation challenges in key adaptation sectors. The concept notes will be developed in close association with state governments and sectoral working groups. The two-concept notes that will be developed under Readiness 3 and other readiness grants will be assessed, further elaborated and developed further as per the requirement and needs. The project will ensure that the concept notes developed will be aligned and avoid overlaps with those developed under other readiness grants.

Deliverable 3.4.2a(i): Two project idea concept notes to access climate finance

Output 3.4.3 National systems developed for tracking adaptation national and international finance flows.

Activity 3.4.3a: **Conduct a mapping study of existing sources and flows of adaptation finance in the country**
To better plan, programme and mobilize climate finance a mapping study of existing public and private sources and flows of adaptation finance in the country will be conducted. Mapping adaptation finance flows will provide a clear overview of where funds are coming from, how they are allocated, and where they are directed and what are the potential gaps. It allows for the identification of regions or areas that are underfunded or lack sufficient resources for adaptation. With this information, targeted efforts would be made to address vulnerabilities and ensure equitable distribution of funds. This information would also be crucial for policymakers to obtain a comprehensive understanding of the funding available. It will enable

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them to prioritize sectors and projects that require urgent attention and align them with the NAP.

Deliverable 3.4.3a(i): Study report on existing sources and flows of adaptation finance in the country

Activity 3.4.3b: Develop four investment plans to fund priority adaptation activities in vulnerable and underfunded regions

Based on the mapping study, four investment plans/financing strategies to fund priority adaptation activities in vulnerable and underfunded regions, which are aligned to the NAP implementation plan, shall be developed. The regions/sectors will be identified based on the vulnerability assessments conducted under Activities 3.2.2e and 3.4.3b. The investment plans will be aligned with the implementation plan, goals/targets of the regions/sectors and financing strategies outlined in the NAP. The investment plans/financing strategies will develop innovative models for adaptation finance to support private investment for accelerating adaptation action. The investment plan will establish public-private partnership to support planning and adaptation actions at sectoral, regional and local level with the overall aim of supporting the achievement of the broader goals and targets outlined in the NAP. Finally, the investment plans will also take into consideration any emerging social and environmental risks and associated capacity gaps identified under assessments conducted under activity 3.2.2e.

Deliverable 3.4.3b(i): Four investment plans

The outputs under Outcome 3.4 will help directly address the **barrier** of limited domestic funds and the requirement of additional financing sources for adaptation action in India (i.e. Barrier 4.1). The activities will result in prioritization and costing of adaptation measures, development of an adaptation project pipeline, and improve the efficacy of climate finance programming through improved financing strategies.

To achieve this outcome, it is **assumed** that there will be robust coordination between the national and state governments/UT administrations and key stakeholders. It is also assumed that stakeholders will be interested in participating in the concept validation and providing their input. This assumption is realistic because the resources India has leveraged through GCF funding with a 4 to 1 leverage ratio has piqued interest among many stakeholders in the country. Further, it is also assumed that increasing adaptation finance is a priority at the national and sub-national levels. This assumption is valid as India has mentioned in its NDCs about its aim to better adapt to climate change by enhancing investments in development programmes in sectors vulnerable to climate change, particularly agriculture, water resources, Himalayan region, coastal regions, health and disaster management.

The potential **risks** in achieving this outcome include delays in engaging consultants/firms or submission of deliverables by the consultants/firms for some of the activities. Other risks such as currency fluctuation are general risks that have the potential to affect any outcome

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discussed above, however mitigation measures have been identified in sub-section 5.3 to ensure that these risks are minimized.

The main **beneficiaries** of this outcome are the NDA, state governments, DAEs/AEs, private sector entities, NGOs, and CSOs.

The design and sequence of the project activities described above have been made in a manner to create efficiencies and be effective. By improving institutional, planning and programming environments for adaptation at the national and sectoral level, the country will be able to identify climate-induced risks and vulnerabilities and use that information to inform adaptation planning processes and design appropriate adaptation responses.

Partnerships:

This GCF Readiness project has been designed based on the outcome of the Adcom process. The NAP process that will be developed with the support of the readiness grant will establish a robust national adaptation framework for meeting priorities identified in the Adcom and will spell out in greater detail the steps required to be taken to implement and regularly monitor effective adaptation measures. The NAP document will outline India's strategy for adapting to the impacts of climate change over a medium to long term period. The NAP process will have a multi-stakeholder approach which will have an active involvement and collaboration of various stakeholders from different levels of government, civil society, the private sector, and vulnerable groups. Diverse perspectives will be gathered for the NAP process to ensure a more comprehensive understanding of climate vulnerabilities and adaptation needs. This will also ensure the practicality and feasibility of proposed adaptation actions. Efforts will be made to ensure that valuable traditional knowledge of local communities including tribal groups is utilized while developing adaptation measures for the NAP. A stakeholder engagement plan has been developed during project design.

Multilateral finance for adaptation in India has been provided by the Global Environment Facility (GEF), Green Climate Fund (GCF), Adaptation Fund (AF) and Special Climate Change Fund (SCCF). India has leveraged USD 566.8 million through a total of ten projects from the Green Climate Fund (GCF). These projects are focused mainly in the areas of building resilience of coastal communities, lines of credit for rooftop solar, ensuring food security through water management, waste management and support to the climate start-ups. India also has sought funds worth USD 2.6 million through four projects under the GCF Readiness and Preparatory Support Programme. With respect to adaptation related projects, India has received around USD 80 million from the GCF since 2017. India is currently developing the GCF Country Programme Document which will support in identifying and prioritizing projects that have the potential to attract GCF funding by aligning national priorities with GCF's funding criteria. A zero draft has been prepared and stakeholder consultations with government agencies is being planned.

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Details of Readiness grants in the country (date of approval and implementation status/period, DP)	Objectives and key results expected / delivered	Synergies and Complementarities	Key implementation challenges and learnings
Grant reference: IND-RS-001 **Title: NDA Strengthening, including country programming (Phase I)** **Approved budget: USD 300,000** **Duration: 18 months (Start date/ End date) (01 November 2016/30 April 2018)** **DP: UNDP**	The objectives and key achievements of the project are as follows: **(i) Institutional capacities of the NDA strengthened to fulfil its mandate** The project supported the development and implementation of a nationally appropriate 'no-objection' procedure according to the GCF guidelines and outlined clear screening procedures for GCF project pipelines. Capacities of stakeholders were built at the national and sub- national levels to identify priority projects/programme ideas aligned with national priorities, NAPCC and SAPCCs, GCF Country Programme as well as GCF investment criteria. An initial country programme document was developed that identifies strategic priorities for engagement with GCF and are in alignment with the Fund's results management and investment framework. (ii) **Multi-stakeholder engagements at the national and sub-national level supported**	The first phase of the project focused on the NDA and its role in providing strategic oversight of GCF- funded activities in the country. The project established and strengthened coordination mechanisms to engage all relevant stakeholders including national and sub-national government bodies, private sector including financial institutions, civil society, and academia on GCF related roles. Lessons from these mechanisms will contribute to designing stakeholder engagement strategies for NAP.	During the first phase, the capacity of the key stakeholders was built through regional level workshops and consultations. However, it was observed that state governments and sub national actors required further hand holding to align state priorities with the priorities identified in the country programme as well as augmentation of their capacity to translate project proposal ideas into full-fledged funding proposals for GCF. During the first phase, the project received good response from the private sector but due to paucity of

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	The project established and strengthened coordination mechanisms to engage all relevant stakeholders including national and sub-national government bodies, private sector including financial institutions, civil society, and academia on GCF related roles. National and sub- national consultations, including initial engagement with the private sector were undertaken on potential project/programme ideas for consideration by the GCF. Regional capacity building workshops were conducted across the country including for the private sector. **(iii) GCF technical cell established at MoEFCC.** A GCF technical cell was established in the MoEFCC that continues to provide support on all operational and strategic matters pertaining to GCF. The cell supports states and Direct Access Entities (DAEs) on formulating GCF proposals in line with GCF funding priorities.		resources, there were limitations in private sector engagement.
Grant reference: IND-RS-002 Title: India- Green Clima te Fund Readiness and Preparatory Support- Second Phase	Some of the key interventions made are as follows: **(i) Capacities of DAEs and State Governments enhanced to plan and implement GCF projects**	The second phase - of the project was instrumental in introducing the GCF and its mandate to key stakeholders of	The second phase of the project faced considerable challenges due to the COVID-19 pandemic and related

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Approved budget: USD 300,000 Duration: 18 months (January 2020/June 2022) **DP: UNDP**	In the second phase of the project, accreditation support was provided to DAEs and capacities of the DAEs and State Governments/UTs were built to develop fundable proposals based on the priorities identified in the country programme document. Meetings among DAEs were also organized for understanding their experiences with respect to the accreditation process and obtaining inputs on immediate priorities. **(ii) Capacities strengthened of the private sector particularly financial institutions on opportunities for investment in climate actions:** Blended financing mechanisms and structures were developed that could be readily used by projects being developed or to be developed in the future for GCF funding. **(iii) Support provided for development of project concept notes:** Support was provided for development of project concept notes based on the priorities identified by the country programme document and building on existing country priorities including NDCs. These concepts are being validated	climatefinance mobilization and made them more aware of the various financial instruments that the GCF provides as well as development of projects in alignment with the GCF investment criteria. Lessons on private sector engagement and blended finance mechanisms for adaptation will contribute to Outcome 3.3 of the current proposal.	restrictions on movement. One of the major activities was conducting a series of workshops and consultative sessions across India with key stakeholders such as DAEs, State Governments/UTs, and the private sector, which was severely hampered due to pandemic restrictions. Therefore, there is still a need to create awareness among key stakeholders for accessing climate finance from the Green Climate Fund (GCF) and developing their capacities to do so.

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	by state governments and/or have been submitted to the empowered committee at MOEFCC. **(iv) Awareness built among private sector on GCF processes & procedures** Awareness of the private sector on risk mitigation instruments and financing opportunities offered by GCF particularly the Private Sector Facility was developed through workshops. **(v) The GCF technical cell provided support to NDA on all operational and strategic matters related to GCF:** The cell continues to support the NDA in strengthening of project pipelines by reviewing project proposals submitted for GCF funding and ensuring they are in alignment with GCF criteria as well as national priorities. It supports the NDA for consultations with key stakeholders such as DAEs, State Governments/UTs and private sector entities by helping in organizing meetings and workshops under the readiness project. The cell also provides technical and operational support to the Indian delegation for negotiations at the sessions of the UNFCCC COP and multilateral climate change conferences on matters pertaining to climate finance.		

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Grant reference: IND-RS-003 **Title: India- Green Climate Fund Readiness and Preparatory Support- Third Phase** **Approved budget: USD 1,000,000** **Duration: 24 months (3 April 2023/02 March 2025)l**	The third phase of the project is currently being implemented. The main objective is to institutionalize climate finance in the country by enabling DAEs, State Governments/UTs and private sector entities to programme, channel and deploy climate finance effectively in alignment with national priorities at the national and sub- national levels. This is being done through the following: i. Deploy a sustainable capacity building programme to support for DAEs, State Governments/UTs, civil society organizations, and private sector entities to enable them to access climate finance for investments that are in alignment with national priorities. ii. Develop a community of practice at the national and state levels among the NDA's key partners to create awareness among stakeholders for leveraging funds from GCF as well as to seek inputs to strengthen Climate finance programming in India.	The third phase of the project aims to engage the private sector in climate finance mobilization. Private sector stakeholders within the project will play a significant role in stakeholder consultations held during the NAP process and in initiatives aimed at facilitating private sector participation in adaptation efforts. The current proposal will rely heavily on partnerships built with private sector entities under the GCF Readiness III project. The needs articulated in the GCF Country Programme Document as well as the readiness needs assessment will feed into the NAP implementation plan as well as the financing strategy which will be	The project is currently under implementation. However, it has become clear that India needs to build a pipeline of strong adaptation projects. There is a lack of non-grant, private sector-led adaptation projects in the country. Adaptation projects are generally perceived as non-revenue generating and therefore there is a need to develop projects which make use of different business models and leverage GCF's non-grant financial instruments and modalities.

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	iii. Design and deploy needed frameworks (Country Programme-update, Readiness Needs Assessment, Green Credits Framework etc.) at the national and state levels that will guide future climate investment in alignment with India's ambitious climate agenda. iv. Scale up engagement with the private sector and design innovative new mechanisms/ facilities for private climate finance mobilization. v. Design new concept notes that are in alignment with India's policy agenda and the frameworks/mechanisms facilities rolled out under this readiness proposal.	developed under the project.	
Grant reference: IND-RS-004 **Title: Agriculture Sector Readiness for enhanced climate finance in India** **Approved budget: USD 1,000,000** **Duration: 24 months (July 2023 to June 2025)**	The project aims to enhance India's capacity to develop sub-national climate finance investment programs and projects linked to adaptation and resilience priorities for the agriculture sector. It will help address the following three barriers: i. Fragmentation in planning and	The outcomes of the project would provide key lessons for the NAP process particularly while developing sectoral adaptation plan for the agriculture sector. Agriculture is a key sector of priority for India	No lessons have been generated yet

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	monitoring climate action in agriculture sector. ii. Limited experience in accessing climate finance. Limited private sector engagement for climate action in the agriculture sector	in terms of adaptation action.	
GCF projects			
Grant reference FP241 (Financing Mitigation and Adaptation Projects (FMAP) in Indian MSMEs by SIDBI Budget USD 3,792,600,000	The project aims to provide blended finance to MSMEs to mainstream climate finance,	The project will carry out baseline studies assessing the financing needs and capacity building of stakeholders. This Readiness Proposal can complement, leverage and align with the FMAP project including private sector consultations, assessments and studies at state/sector level and capacity building workshops.	

As of March 2023, India has received a total financing commitment (including co-financing) of USD 500.49 million from GEF Trust Fund (GET) spread over 51 national projects with a co-financing ratio of 11.55. India has also received a commitment of USD 17.36 million spread over 3 regional projects from GEF with a co-financing ratio of 4.17. India has also received support from the Special Climate Change Fund (SCCF) through a commitment of USD 10.8 million spread over 2 projects, with a co-financing ratio of 10.85. Since 2017, India has received USD 69.8 million from GEF on adaptation related projects.

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In addition, six small-scale projects have been undertaken under the Adaptation Fund. The projects have benefitted a total of 74,461 direct beneficiaries and 100,194 indirect beneficiaries. Since 2014, India has received USD 9.86 million from the Adaptation Fund.

Risks*:*

A comprehensive overview of risk management has been detailed in Annex F.

The project has been screened (i) to identify and reflect the significance of potential impacts or risks that project activities might present, and (ii) to identify opportunities to enhance benefits and to support stakeholders. The Social and Environmental Screening Procedure (SESP) has been used to identify potential social and environmental risks and opportunities associated with the project. The SESP risk is considered moderate. Concept notes developed under the project for submission to GCF will be scrutinized as to its type, location, scale, sensitivity and the magnitude of its potential social and environmental impacts. Potential adverse gender impacts related to project activities will also be identified and differentiated measures will be adopted to prevent gender-based discrimination. Potential risks of gender-based violence and/or sexual exploitation and abuse of men, women, girls and boys that may occur in connection with any of the designed activities will be considered.

As per standard UNDP protocols, the Project Manager will perform quarterly risk monitoring and provide status updates to the UNDP Country Office. Progress will be recorded in the UNDP Quantum risk log. Risks will be classified as critical when both their impact and probability are assessed as high. Management responses to these critical risks will be included in the Annual Project Reports. The project's overall risk level is considered moderate, as it focuses solely on providing technical assistance to build stakeholder capacities, without any field activities involved.

Gender equality and Women's Empowerment:

For India's NAP to be comprehensive and efficient, it is necessary for it to incorporate gender considerations. The project will support the development of an adaptation plan that addresses gender inequalities and gender-differentiated impacts of climate change and proposes solutions that are sensitive to the different roles women and men play in society. The project will adopt a gender responsive approach that work to understand the differentiated climate change vulnerability of women and men and will strive to actively advance gender equality and achieve gender co-benefits.

The activities of the project will analyze climate change from a gender perspective and will aim to identify the differentiated experiences of men and women with respect to adaptation, impacts, vulnerabilities, and opportunities for development. It will also determine priorities, constraints, and requirements for mainstreaming gender in climate adaptation. Gender considerations will be addressed at all stages of the NAP process from planning, implementation to monitoring and evaluation. Gender - related concerns across overarching

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aspects, such as institutional frameworks, muti-stakeholder consultations, capacity building and adaptation funding will be identified and addressed. The RPs, and all consultants/agencies will be oriented early on specific risks and opportunities related to gender and how the data and strategies can be designed meaningfully to achieved gender related outcomes. The project will conduct gender analysis and ensure that gender differentiated data forms the basis of all baselines, sectoral and regional vulnerability and risk assessment studies that further form the basis for adaptation planning. Further, continuous efforts will be made to ensure that representatives of women's groups and vulnerable communities are equally involved in the stakeholder consultations and workshops conducted under the project. In addition, care will be taken to ensure that women are effectively involved and equally represented throughout the process. Sex-disaggregated data of the participants will be collected at the end of every consultation/workshop. The concept notes on adaptation finance that will be developed under the project will be gender responsive and with a focus on gender differentiated needs and capacities. The project will comply with the GCF's Indigenous Peoples Policy and the GCF's Updated Gender Policy. It will be further be in alignment with the UNDP Gender Equality Strategy 2022-2025 as well as UNDP Social and Environment Standards.

Some of the potential interventions to be considered within the proposed NAP could include:

- Enhance access to gender-differentiated information on climate change impacts and risks.
- Increase participation of women in the development of adaptation policies.
- Increase involvement of women in the implementation of the climate adaptation solutions.
- Create targeted adaptation solutions to address gender-specific vulnerabilities.
- Increase representation of women in decision-making bodies at the district-/state-/ national-level.
- Incorporate gender-specific indicators in the monitoring and evaluation systems for the NAP.
- Gender-responsive allocation of resources promoted in the financing strategies.

It is important to note however that the project will support an inclusive and extensive process to determine the priority actions that are to be included in the NAP.

South-South and Triangular Cooperation (SSTrC):

The project will facilitate interaction, communication, and the exchange of knowledge, experiences, and best practices with other climate change adaptation initiatives implemented by UNDP and other donors, both within the region and globally. It is anticipated that representatives from other countries will have opportunities to engage during the project's implementation, enabling them to share their insights, collaborate on activities, and adopt best practices. The project's approaches and lessons learned hold significant potential for replication across the region. Additionally, the project will seek ways to involve national partners in relevant regional and global forums. Furthermore, innovative knowledge products, including

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enhanced methodologies for climate risk and impact assessments and lessons derived from sub-national adaptation planning pilots, will be shared through global platforms.

Innovativeness, Sustainability and Potential for Scaling Up:

The activities beyond the project duration will be led by the Government of India through the NDA and line ministries. The sustainability of the project will be ensured by the Government as it has recognized the importance of mainstreaming adaptation in national decision making and development planning. All activities under the project will be supporting the priority of the Government. The project will ensure that adaptation efforts are effective and aligned with the long-term goals of climate resilience. The NAP will be a national document (Outcome 3.1) that will ensure that adaptation planning is done with a more strategic and programmatic approach in the country. The plan will guide the Government in the integration of adaptation in current and future policies, schemes, and programmes. The institutional co-ordination mechanisms set up under the project will ensure that adaptation becomes integrated in decision-making at various levels of governance.

Knowledge: The data and knowledge generated from the project will be documented in various forms and will be disseminated and shared using different platforms. The information generated and documented will be specifically curated and presented for different target groups and audiences.

- Policy briefs, peer-reviewed papers, white papers, etc. to inform policy makers.
- At the sub-national or regional level, the project will facilitate region-wise knowledge sharing among stakeholders and build the capacity of various stakeholders to scale up the best practices within the region. Specifically annual regional consultation/knowledge sharing event will be organized amongst stakeholders like civil society organizations, government departments, academia, etc.
- At the national level as well, the project will coordinate with development support organizations like BMGF, FCDO, GIZ, World Bank, ADB, KfW, USAID, SDC, etc. will be constituted to share project learning – with a view to streamline the adaptation planning being supported by these organisations.
- For the international audience and events, the knowledge products will be shared in events such as the COP that would showcase country's efforts towards estimating adaptation financing and informed policy maing on adaptation.

To avoid any possible conflicts of interest deriving from the DP's role as well as being an AE, the prioritization of investments and projects in the context of this readiness grant, will be made through a broad consultation process with relevant stakeholders, including other potential implementing entities. The final validation of these priorities will be carried out through the countries' own relevant coordination mechanism and institutional arrangements, with the participation of other government agencies as well as representatives from civil society and the private sector as the NDA deems relevant, to ensure chosen priorities are fully aligned with national plans and strategies and adequately includes inputs from consulted stakeholders.

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Digitilisation: All studies, reports, IEC material and knowledge products developed under the project will be uploaded on the web-based repository that will be developed through this grant (Outcome 3.2). The repository will be made accessible through the India Climate Change Knowledge portal of the NDA. The national level M&E framework (Outcome 3.2) developed will help track progress of the NAP process and the outputs will help update the NAP and meet the reporting requirements of the UNFCCC.The activities aimed at upscaling private sector engagement in adaptation (Outcome 3.3) will significantly augment the financial resources available for adaptation projects. The activities are expected to attract private capital for climate resilient initiatives such as infrastructure upgrades, technology adoption and community-based adaptation efforts.

It is pertinent to note that the project will play an integral role in supporting the implementation of Article 13 of the Paris Agreement in the country. It will help establish baseline data on climate impacts and vulnerabilities in the country. The NAP M&E framework will ensure continuous data collection and reporting will be used for meeting all the reporting obligations and requirements that India needs to meet as a Party to UNFCCC such as the national communications, biennial transparency reports and AdCOMs. All the institutional capacity building and arrangements set up through this project will ensure strict compliance with transparency requirements.

After the completion of the project duration, project responsibilities and knowledge products developed will be handed over to the NDA to enable it to independently manage and continue adaptation activities. UNDP will continue post the project to work closely with the NDA and other relevant stakeholders to support the follow-up initiatives.

Stakeholder Engagement: The process of formulation of NAP is being initiated by the NDA soon after the development of India's initial AdCOM. The initial AdCOM clearly states that it will expedite the support for the formulation of NAP and the implementation of programmes, projects and policies. The AdCOM not only describes the national adaptation strategies, policies and programmes being implemented in the country but also highlights the implementation and support needs for adaptation actions in India. It identifies adaptation priorities for the following three categories: (i) Knowledge systems on climate risks and adaptation (ii) Reduction of exposure to climate risk and (iii) Building resilience and adaptive capacity. The process of developing the AdCOM involved several rounds of stakeholder consultations with line ministries, government agencies including state governments, research institutes, think tanks, and subject matter experts. For drafting the AdCOM, the Ministry of Environment, Forest and Climate Change (MoEF&CC) constituted a National Steering Committee and Seven (07) Working Groups covering the following sectors: (i) Agriculture, (ii) Water, (iii) Coastal and Islands, (iv) Himalayan Ecosystem, (v) Disaster Management and Infrastructure Resilience, (vi) Adaptation Resourcing, (vii) Forestry and Biodiversity. Each sectoral working group was steered by a chairperson, supported by anchoring Institutes and members. Indian Institute of Technology (IIT) Delhi was made the overall technical anchoring Institute drafting the AdCOM. Several meetings and consultations were conducted among the Steering Committee and the Working Groups. This readiness proposal has been designed based on the outcome of the AdCOM

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process. The NAP process that will be developed with the support of the readiness grant will establish a robust national adaptation framework for meeting priorities identified in the AdCOM and will spell out in greater detail the steps required to be taken to implement and regularly monitor effective adaptation measures. The NAP document will outline India's strategy for adapting to the impacts of climate change over a medium to long term period. The NAP process will have a multi-stakeholder approach which will have an active involvement and collaboration of various stakeholders from different levels of government, civil society, the private sector, and vulnerable groups. Diverse perspectives will be gathered for the NAP process to ensure a more comprehensive understanding of climate vulnerabilities and adaptation needs. This will also ensure the practicality and feasibility of proposed adaptation actions. Efforts will be made to ensure that valuable traditional knowledge of local communities including tribal groups is utilized while developing adaptation measures for the NAP. A stakeholder engagement plan has been developed during project design.

Cost Efficiency and Effectiveness

The project is fully funded by GCF and will follow the costs/expenditure norms as agreed upon by GCF and UNDP.

Project Management

The project will be implemented by UNDP under the Direct Implementation Modality (DIM) and will be responsible for executing and implementing the project on a day-to-day basis and set up a Project Management Unit. The Project Management Unit (PMU) will ensure seamless communication, coordination, planning, and delivery of technical inputs. The PMU will be responsible for the overall coordination with the various national agencies for the delivery of project outputs in a timely and effective manner. It will facilitate project-related planning activities such as the preparation of annual work plans and while being responsible for overall project monitoring and reporting. The PMU will comprise of a Project Specialist, Monitoring & Evaluation Analyst and Finance and Operations Analyst and Gender Analyst (part time)

Project Audit

The DIM project will be audited as per UNDP rules and regulations. The programme will be directly implemented by UNDP in cooperation with the Ministry of Environment Forests and Climate Change. UNDP will be responsible for all financial management, reporting, procurement, and recruitment services which will follow UNDP's recruitment and procurement rules. The donor funds shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies and procedures of UNDP.

Project Closure: The project would be closed as per UNDP rules and regulations.

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V. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): SDG 1: No Poverty; SDG 2: Zero Hunger; SDG 3: Good Health and Well-being; SDG 6: Clean Water and Sanitation; SDG 7: Affordable and Clean Energy; SDG 9: Industry, Innovation, and Infrastructure; SDG 11: Sustainable Cities and Communities; SDG 13: Climate Action; SDG 14: Life Below Water; SDG 15: Life on Land; and SDG 17: Partnerships for the Goals

This project will contribute to the following country outcome included in the UNSDCF/Country Programme Document: Outcome 5: By 2027, Government of India, state governments, communities, private sector and other actors take informed actions to address climate change, pollution, biodiversity loss and restore ecological integrity through improved knowledge, capacity and mainstreaming of relevant actions across sectoral programmes, policies and plans.

This project will be linked to the following output of the UNDP Strategic Plan:
SP Output 3.1. Institutional systems to manage multi-dimensional risks and shocks strengthened at regional, national and sub-national levels.

Objective 3	Outcomes	Outputs	Indicators				Activities
			Indicator	Target	Mov	Notes	
National Adaptation Plans and Adaptation Planning Processes	Outcome 3.1: Adaptation planning governance and institutional coordination strengthened	Output 3.1.1: National, sub-national and/or sectoral adaptation plans developed or updated	Indicator 3.1.1.1 How many National Adaptation Plans have been developed or updated	Yes	(i) NAP Inception Workshop Report (ii) Orders of constitution & ToRs of the NAP drafting committee & sectoral working groups (iii)NAP document which will have the NAP implementation plan and funding strategy.	India will be developing the NAP for the first time.	Activity 3.1.1a. Conduct a NAP inception workshop Activity 3.1.1b. Constitute a NAP drafting committee and sectoral working groups for the development of the NAP and its related documents for submission to UNFCCC Activity 3.1.1c. Prepare a baseline of climate adaptation in the country including an assessment of policy measures and climate vulnerability, risk and impact assessments at the national and sub-national level

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					(iv) One post-launch workshops report and stakeholder validation report with a list of participants.		Activity 3.1.1d. Develop adaptation plans/roadmaps for key sectors of priority Activity 3.1.1e. Formulate the NAP for India Activity 3.1.1f: Formulate a strategy for implementing and financing the NAP Activity 3.1.1g. Conduct stakeholder consultations to validate the NAP and sectoral adaptation plans/roadmaps.
		Output 3.1.3: Inter and intra institutional coordination and decision-making mechanisms established or strengthened	Indicator 3.1.3.1: Have inter and intra institutional coordination and decision making mechanisms been established or strengthened ?	Yes	(i) Report on gaps and challenges in co-ordination and decision making in implementation of adaptation programmes in India as well as recommendations prepared.		Activity 3.1.3a. Conduct a gap assessment with respect to co-ordination and decision-making mechanisms among government institutions and agencies. Activity 3.1.3b. Setup a national level inter-ministerial working group to strengthen adaptation governance and planning in India. Activity 3.1.3c. Conduct three national workshops

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					(ii) workshop completion reports with a list of participants and pre- and post-workshop survey results to show capacity improvement. (iii) Terms of Reference of the inter-ministerial working group on climate adaptation		for the inter-ministerial working group
	Outcome 3.2: Evidence produced to design adaptation solutions for maximum impact	Output 3.2.1: Adaptation impact monitoring, evaluation and learning systems established or strengthened for strategic planning and investment	Indicator 3.2.1.1: Have adaptation impact monitoring, evaluation and learning systems been established or strengthened ?	Yes	(i) Report on compilation of M&E indicators (ii) National level M&E framework /M&E strategy document developed		Activity 3.2.1a. Conduct a study to assess M&E indicators & approaches of existing and planned adaptation projects at the national and sub-national level. Activity 3.2.1b. Establish a national level M&E framework for monitoring and evaluating adaptation projects.

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					(iii) Four post-workshop reports on M&E framework at the national level		Activity 3.2.1c. Conduct four capacity building workshops on M&E framework at the national level.
		Output 3.2.2: Studies on climate vulnerability, and identification of adaptation solutions conducted (and used) for strengthening adaptation investment	Indicator 3.2.2.1: Have climate vulnerability studies been conducted to strengthen adaptation planning?	Yes	(i) Report on climate risk and vulnerability studies for all key adaptation sectors (ii) Online database of existing studiies on vulnerability and climate risks in India (iii)Online decision support system for supporting line ministries on climate risk identfication	Adaptation policies lack scientific rigor. This output will help establish a robust evidence base for climate adaptation and will support development of policies which incorporate emerging climate science.	Activity 3.2.2a. Conduct a stocktaking of existing climate risk and vulnerability studies at the national, state, and sectoral levels. Activity 3.2.2b. Develop a web-based repository on existing studies on vulnerability and climate risks in India. Activity 3.2.2c. Develop an online decision support system that will support sectoral ministries in identifying climate risks and assess vulnerabilities for important sectors and potential adaptation measures Activity 3.2.2d. Conduct two awareness raising workshops on the

					(iv) Two post-awareness workshop reports on the adaptation database and decision support system (v) One report each on the risk and vulnerability studies undertaken for 4 key sectors. (vi) Four post-capacity building workshop reports for sectoral ministries to mainstream adaptation in respective sectoral policies.		adaptation database and decision support system

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			Indicator 3.2.2.2 Have Information sharing mechanisms [platforms or forums] been established to provide access to evidenced based information for adaptation planning?	Yes	(i) Web-based repository on existing studies on vulnerability and climate risk assessments for key adaptation sectors (ii) Decision support system for identifying climate risks and appropriate adaptation measures developed.	There is no single repository of information in one accessible database available for use by all central ministries, departments, and stakeholders for information on climate risk, vulnerability and adaptation.	
	Outcome 3.3: Private sector engagement in adaptation catalyzed	Output 3.3.1: Strategies, policies, and incentives developed to foster private investment in adaptation solutions	Indicator 3.3.1.1 Have strategies to foster private investment in adaptation solutions been developed?	Yes	(i)Four post-stakeholder consultation reports (ii) Report on global best practices and key learnings in the Indian context to address	The earlier GCF Readiness projects have worked on catalyzing private sector engagement in climate activities.	Activity 3.3.1a. Conduct four stakeholder consultations with the private sector to identify barriers to adaptation investment Activity 3.3.1b. Conduct a study to scan global best practices that address barriers and incentivize

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					barriers and incentivize adaptation investment (iii) One stakeholder consultation workshop to validate findings of the study conducted. (iv) A strategy document on attracting adaptation investments from the private sector		adaptation investment from the private sector. Activity 3.3.1c. Conduct a stakeholder consultation to validate findings of the study and incorporate India specific inputs Activity 3.3.1d. Devise a strategy to incentivize adaptation investment from the private sector in India
		Output 3.3.2 Assessments and knowledge products to inform the private sector on adaptation options and GCF finance developed	Indicator 3.3.2.1 Have knowledge products to inform the private sector on adaptation options and GCF finance been developed?	Yes	(i) IEC material for businesses and supply chains to enhance climate resilience. (ii) Compendium on ecosystem-based	As part of the ongoing India-GCF Readiness and Preparatory Supoprt - Phase III project a digital toolkit is being developed with a training	Activity 3.3.2 a: Conduct a climate risk assessment of two key manufacturing sectors with a focus on supply chains and develop resilience strategies. Activity 3.3.2b. Prepare IEC material for enhancing climate resilience of selected industrial sectors of priority and individual businesses and supply chains.

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					adaptation solutions accessible for private sector entities	module for private sector entities on leveraging GCF funds.	Activity 3.3.2c. Develop a compilation of ecosystem-based adaptation and nature-based solutions accessible for private sector entities.
		Output 3.3.3 Capacity building provided to the Private sector on adaptation options	Indicator 3.3.3.1 Have capacity building initiatives been provided to private sector in the area of climate change adaptation?	Yes	(i) Terms of Reference of the private sector working group (ii) Four post-event reports (iii) A report on climate risk assessment of key manufacturing sectors and resilience strategies (iv) Four post-awareness workshop reports	The previous GCF Readiness support have developed the capacities of the private sector in engaging with GCF and on priority areas of investment with respect to climate action.	Activity 3.3.3a. Setup a private sector working group on adaptation planning Activity 3.3.3b. Conduct two workshops with the private sector working group at the national and regional levels Activity 3.3.3c. Conduct two awareness workshops on enhancing climate resilience of individual businesses and supply chains

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	Outcome 3.4 Adaptation finance increased	Output 3.4.2 Concept notes developed for adaptation priority actions	Indicator 3.4.2.1: Number of concept notes developed for adaptation priority actions, disaggregated by public and private financing and sector	Yes	Two concept notes		Activity 3.4.2a. Develop two project idea concept notes to access climate finance for key adaptation sectors
		Output 3.4.3: National systems developed for tracking adaptation national and international finance flows	Indicator 3.4.3.2: Have strategies to foster public investments in adaptation solutions been developed?	Yes	(i) One report on mapping of adaptation finance (ii)Four investment plans to fund priority adaptation activities in vulnerable and underfunded regions		Activity 3.4.3a. Conduct a mapping study of existing sources and flows of adaptation finance in the country Activity 3.4.3b. Develop four investment plans to fund priority adaptation activities in vulnerable and underfunded regions

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VI. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported bi-annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project monitoring will be led by UNDP as the DP in close coordination with the NDA. The monitoring of the project activities aims at achieving projected results and quality control. Activity monitoring will take place as project interventions occur. Project outputs and risks will be monitored as part of the ongoing discussion and reporting to the GCF Empowered Committee formulated by the Ministry. Reporting will be submitted to GCF in alignment with the framework agreement.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements. Additional M&E requirements will be undertaken in accordance with the GCF initial approach to monitoring and evaluation policy and other relevant GCF policies.

All project activities will be monitored on a regular basis based against the expected outputs identified in the logical framework. This is the primary responsibility of the project manager. UNDP will be responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP Programme and Operations Policies and Procedures (POPP). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the Quantum risk log; and the updating of the UNDP gender marker on an annual basis. Any quality concerns flagged during these monitoring activities (e.g., Annual Project Report quality assessment ratings) will be addressed by the PMU. UNDP will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

At the end of awareness workshops conducted under the project, a post-workshop assessment will be conducted to obtain feedback from participants regarding their learnings Additionally, all stakeholder consultative meetings and workshops will maintain a list of participants with sex-disaggregated data. In addition to the GCF annual progress reports, biannual progress reports will also be prepared by UNDP. A project risk register will be prepared that will serve as a record of all risks identified at the project level including likelihood, impact, significance level, risk owner, and risk treatment action. The risk register will be regularly monitored and updated so that emerging issues can be addressed promptly. The Project Board Steering Committee will monitor project's performance against the indicators and will assess whether the project is meeting its objectives and milestones.

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In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

M&E oversight and monitoring responsibilities:

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-NCE Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Bi-Annual Project Report, and that the monitoring of risks occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response. Further, the Project Board will also serve as an effective project-level Grievance Redress Mechanism (GRM) to address grievances related to the social and environmental impacts of the project. In its accessibility to complainants and in its responses to complaints, the GRM will be gender-responsive, culturally sensitive, non-discriminatory, and inclusive.

Project Implementing Partner: The UNDP CO, as the Implementing Partner for the project, is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The UNDP CO will strive to ensure project-level M&E is undertaken effectively, and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be

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circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual Project Report, the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Bi-Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

UNDP – Climate Hub: Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-CH Regional Technical Advisor and the UNDP-VF Directorate as needed.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects. Upon request, project audit reports (s) will be shared with the GCF (the donor).

Additional GCF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within three months after the project document has been signed by all relevant parties with the objective of:

a. Sensitizing stakeholders on the overall readiness approach planned through the project.
b. Discussing the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms.
c. Reviewing the results framework and finalizing the indicators, means of verification and monitoring plan.

A project inception workshop will:

a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;

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b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log;
g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the periodic audit; and
h) Plan and schedule Project Board meetings and finalize the first-year annual work plan.

The inception report will be cleared up by the UNDP Country Office and the UNDP-NCE Regional Technical Adviser and approved by the Project Board.

GCF Annual Project Report (due no later than 60 days following respectively 31 December (in relation to the period from 1 January to 31 December) for each year of project implementation): The Project Manager, the UNDP Country Office, and the UNDP-Climate Hub Regional Technical Advisor will provide objective input to the bi-annual project reports covering the 6 months in the calendar year for each year of project implementation. The UNDP Country Office and the NDA will prepare the annual project report for submission to the GCF. The PMU will ensure that the indicators included in the project results framework are monitored bi-annually in advance so that progress can be included in the report. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report.

The Annual Project Report will also be shared with the Project Board. The UNDP Country Office will coordinate the inputs of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information-sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based, and/or any other networks, which may be of benefit to the project. The project will identify, analyze, and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region, and globally.

Project Completion Report: The Project's Completion Report along with the final budget and expenditure report and corresponding deliverables will serve as the final project report

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package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up.

Mandatory GCF M&E Requirements and M&E Budget:

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[24] (US$)		Time frame
		GCF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 5,000	None	Within three months from signing of prodoc
Inception Report and baseline assessments	Project Manager & M&E Analyst	None	None	Within one month from completion of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Annually
Risk management (including Atlas Risk logs)	Project Manager Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework *(including hiring of external experts, project surveys, data analysis etc…)*	Project Manager	Per year: USD 32,500	None	Annually
GCF Annual Project Report	Project Manager and UNDP Country Office and UNDP-NCE Unit	None	None	Annually as per FWA
Audit of Project as per UNDP audit policies	UNDP Country Office	Per year: USD 3,750	*None*	As per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	M&E Analyst	Per year: USD 10,000	None	Annually
Project Board meetings	Project Board	None	None	At minimum annually

[24] Excluding project team staff time and UNDP staff time and travel expenses.

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GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[24] (US$)		Time frame
		GCF grant	Co-financing	
	UNDP Country Office Project Manager			
Supervision missions	UNDP Country Office	None[25]	None	Two per year
Oversight missions	UNDP-NCE Unit	None[26]	None	Troubleshooting as needed
GCF learning missions/site visits	UNDP Country Office and Project Manager& and UNDP-NCE Unit	None	None	To be determined.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		*USD 210,000* *7% of Total GCF grant*	*None*	

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism:

The project will be implemented following UNDP's direct implementation modality, in accordance with the terms of conditions set forth in the Second Amended Readiness and Preparatory Support Grant Framework agreement between UNDP and the GCF. (**NOTE:** The implementation of the readiness activities under this proposal will be in accordance with, and subject to the execution and effectiveness of, the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement between UNDP and the GCF)

Implementing Partner: The Implementing Partner for this project is UNDP. UNDP, through the CO, is therefore responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

UNDP is responsible for:

[25] The costs of UNDP Country Office and UNDP-NCE Unit's participation and time are charged to the GCF Agency Fee.
[26] The costs of UNDP Country Office and UNDP-NCE Unit's participation and time are charged to the GCF Agency Fee.

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- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Responsible Parties (referred to as Implementing Partners under the FWA):

To enhance ownership of the project by the Government, and in line with the amended Framework Agreement between UNDP and GCF for NAP Readiness dated 22 July 2020 (clause 1.01 v and 5.05), following premier institutions for each sectors will act as Implementing Entities (Responsible Party under UNDP rules and regulation), who will be accountable and responsible for specific activities of the project. The activities are specified in a detailed sub-budget and list of activities in the Budget and Procurement Plan.

UNDP may enter into a written agreement with other organizations, known as Responsible Parties, to provide goods and/or services to the project, carry out project activities and/or produce outputs using the project budget. UNDP will use responsible parties to take advantage of their specialized skills, to mitigate risk and to relieve administrative burdens. Responsible parties are directly accountable to UNDP in accordance with the terms of their agreement or contract with the implementing partner.

UNDP and Responsible Parties (RPs) have clearly defined the roles and responsibilities for the execution of the project activities under the Letter of Agreement – LOA and Responsible Party Agreement - RPA; The terms and conditions of the LOA and RPA reflect and incorporate the relevant terms and conditions of the Framework Agreement and of this readiness proposal. Upon agreement by GCF, the draft LOAs will be shared with the GCF prior to their signing by both parties. Responsible Parties' capacities are assessed through the Partner Capacity Assessment Tool (PCAT), which assesses the partner management and other capacities. The PCAT is completed for any implementing partner other than UN agencies.

UNDP will ensure that all procurements by RPs of national consultants including, and organization of trainings and workshops and in country travel arrangements will be as per the requirements of the UNDP's POPP and the 2nd amended Framework Agreement.

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The following premier institutes for each of the sectors will be engaged as RPs for the development of the NAP document:

Sector	Institution	Type of institution
Agriculture	Central Research Institute of Dryland Agriculture (CRIDA)	Govt institute under Indian Council of Agricultural Research (ICAR)
Water	National Institute of Hydrology (NIH)	Govt institute under Ministry of Jal Shakti
Ecosystems and Biodiversity	Wildlife Institute of India (WII),	Autonomous Institution of the Ministry of Environment, Forest and Climate Change
Forestry	Centre for Study of Science, Technology and Policy (CSTEP)	Private, Not-for-profit research organisation
Health	National Centre for Disease Control (NCDC)	Govt institute under Ministry of Health and Family Welfare
Poverty Eradication & Livelihoods	Bharat Rural Livelihoods Foundation (BRLF)	Not-for-profit society established by the Ministry of Rural Development
Traditional Knowledge and Heritage	The Energy and Resources Institute (TERI)	Independent, Not-for-profit policy research organization
Disaster Management and Infrastructure Resilience	Integrated Centre for Adaptation, Disaster Resilience and Sustainability, IIT-Roorkee	Academic institute under the Ministry of Education
Adaptation Resourcing	Indian Council for Research on International Economic Relations (ICRIER)	Autonomous, Not-for-profit policy think tank

Although RPs will be implementing activities in close collaboration with UNDP, the ultimate responsibility for the successful implementation of the activities and to achieve the objectives of the readiness support sits with UNDP, as the Delivery Partner. UNDP will be responsible for the implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in accordance with UNDP's policies and procedures and with the Framework Agreement dated 22 July 2020.

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Thus, UNDP's overall role is to provide oversight and quality assurance through its Headquarters, Regional and Country Office units. This role includes: (i) project preparation oversight; (ii) project implementation oversight and supervision, including financial management; and (iii) project completion and evaluation oversight. It also includes oversight roles in relation to reporting and knowledge-management.

- The 'project assurance' function of UNDP is to support the Project Executive Board (PEB) by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed;
- The 'senior supplier' role of UNDP is to represent the interests of the parties that provide funding and/or technical expertise to the project. The senior supplier's primary function within the PEB is to provide guidance regarding the technical feasibility of the project.

The following key terms and conditions for project fund management from UNDP to RPs will be applied following existing UNDP policy and procedures:

a) Modalities and conditions for transferring funds, funds flow and disbursement arrangements from UNDP to RPs:

Upon GCF acceptance of the institutions other than Delivery Partner to execute assigned activities of the proposal as Implementing entities (Responsible Parties in UNDP Terminology, UNDP in accordance with its rules, policies and procedures will procure and sign a Letter of Agreement (LOA) with the RPs that are affiliated with the government, while Responsible Party Agreements (RPA) will be signed with the independent non-profit institutions in the UNDP standard template.

In accordance with the LOA and RPA, UNDP will transfer the fund to government RPs on a quarterly basis upon official request by RPs and accepted by UNDP.

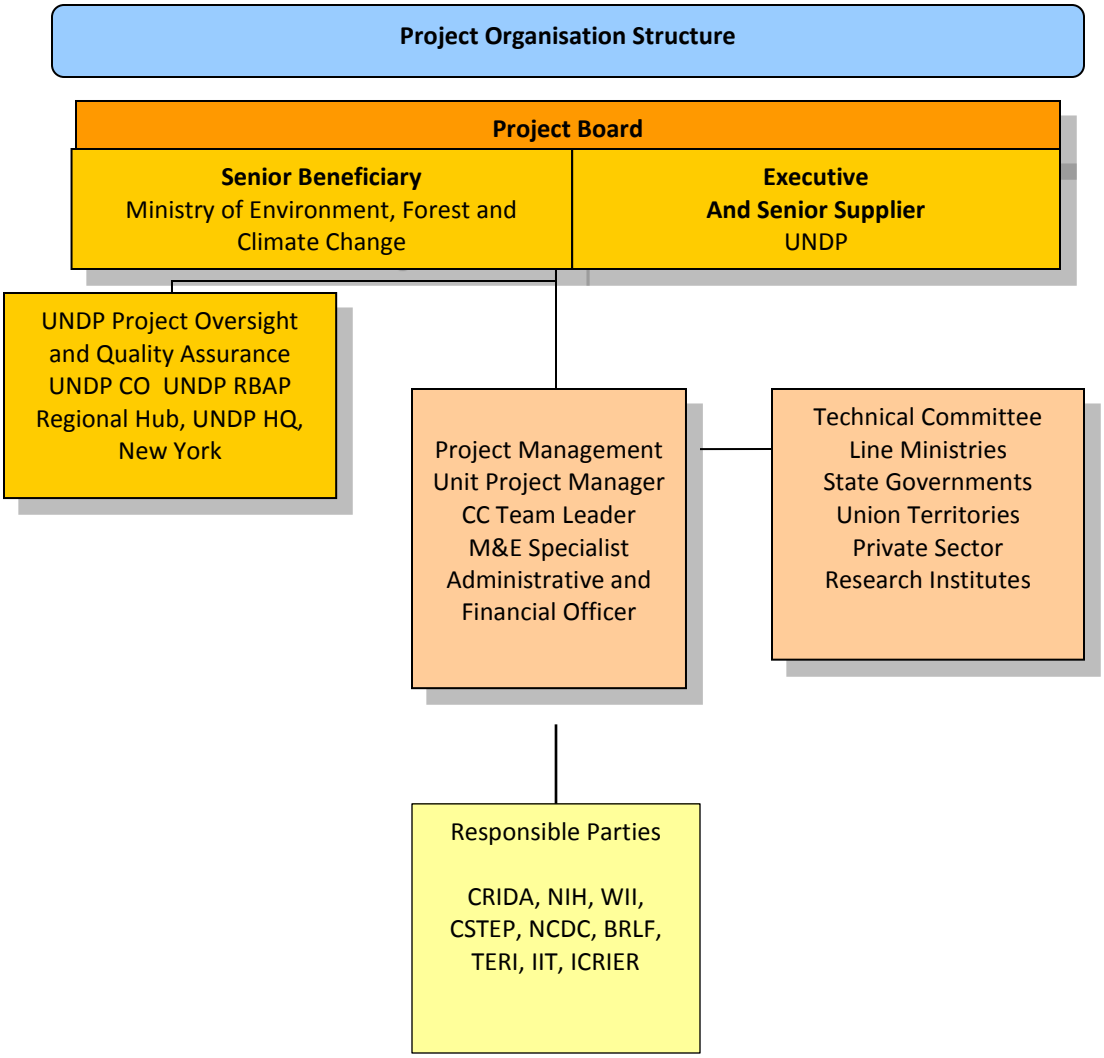
b) Reporting requirements:

In accordance with UNDP LOA and RPA, the RPs will submit quarterly and annual financial reports to UNDP. If RPs have disbursed 80% of the previous quarterly advance and submitted financial reports accepted by UNDP, as well as a request of advance for the following quarter, UNDP will transfer a new advance. RPs are responsible to ensure proper planning, management and cost-effective use of the fund received from UNDP.

A strict firewall will be maintained between project oversight costs and personnel and implementation of the project costs and personnel.

The project organisation structure is as follows:

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The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Project Board: The Project Board will provide overall guidance and quality assurance for the project, ensure adherence to the DIM guidelines and ensure compliance with GCF and UNDP policies and procedures. The Project Board is responsible for making, by consensus, management decisions when guidance is required by the Project Manager. Project Board decisions will be made in accordance with standards that shall ensure management for

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development results, best value for money, fairness, integrity, transparency and effective international competition. This accountability only extends to the execution of approved activities and budget resources under the project (as approved by the NDA). The Project Board will meet at least once a year. Representatives of local governments and independent third parties, such as international or national NGOs, can attend the augmented Project Board meetings as observers. Further, the Project Board will also serve as an effective project-level Grievance Redress Mechanism (GRM) to address grievances related to the social and environmental impacts of the project. In its accessibility to complainants and in its responses to complaints, the GRM will be gender-responsive, culturally sensitive, non-discriminatory, and inclusive.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board must include the following roles:

Executive: The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is UNDP which will be ultimately accountable for the project, supported by the Senior User and Senior Supplier. UNDP will ensure that the grant gives value for money by balancing the demands of the Senior Beneficiary and Senior Supplier.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and suppler.

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Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Suppler is: Deputy Resident Representative of UNDP India Country Office.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

Senior Beneficiary (Senior User): The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is: the Ministry of Environment, Forest and Climate Change which is also the NDA.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

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Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

Project Manager: The Project Specialist will be the Project Manager and has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if access is made available.

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- Prepare the Bi-Annual Project Report and submit the final report to the Project Board;
- Based on the Bi-Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the final evaluation process is undertaken as per the UNDP guidance, and submit the final evaluation report to the Project Board;

Project Assurance: UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the delivery partner fee provided by the GCF.

Project Extension

The UNDP-VF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GCF project budget cannot be increased. A single extension may be granted on an exceptional basis and only if the following conditions are met: one extension only for a project for a maximum of six months; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will need to be covered by non-GCF resources; the UNDP Country Office oversight costs during the extension period must be covered by non-GCF resources.

As a Delivery Partner to the GCF, UNDP is required to deliver the GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	**1. Project start-up:** • In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal • Prepare the Project Document with the government counterparts • Technical and financial clearance for the Project Document • Organize Local Project Appraisal Committee	70%

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Function	Detailed description of activity	Typical GCF fee breakdown
	• Project document signature • Ensure quick project start and first disbursement • Hire project management unit staff • Coordinate/prepare the project inception workshop • Oversee finalization of the project inception workshop report **2. Project implementation:** • Project Board: Coordinate/prepare/attend annual Project Board Meetings • Annual work plans: Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the approved readiness proposal • Prepare GCF/UNDP bi-annual project report: review input provided by Project Manager/team; provide specialized technical support and complete required sections • Portfolio Report (readiness): Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the FWA. • Procurement plan: Monitor the implementation of the project procurement plan • Supervision missions: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions • Risk management and troubleshooting: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects) • Project budget: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies • Performance management of staff: where UNDP supervises or co-supervises project staff • Corporate level policy functions: Overall fiduciary and financial policies, accountability and oversight; Treasury	

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Function	Detailed description of activity	Typical GCF fee breakdown
	Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism.	
Oversight of project completion	• Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response • Quality assurance of final evaluation report and management response • Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting • Quality assurance of final cumulative budget implementation and reporting to the GCF • Return of any un-spent GCF resources to the GCF	10%
Oversight of project reporting	• Technical review of project reports: quality assurance and technical inputs in relevant project reports • Quality assurance of the GCF bi-annual project interim progress reports and portfolio reports • Preparation and certification of UNDP annual financial statements and donor reports • Prepare and submit fund specific financial reports	20%
	TOTAL	**100%**

Governance role for project target groups:

Various entities of the private sector will be key project collaborators and beneficiaries in the project. The activities under Outcome 3.3 rely to a large extent on the active participation of micro-finance institutions, climate tech startups, banks, non-banking finance companies, climate entrepreneurs, venture capitalists, investors, insurance companies, philanthropies, etc. The sector is an important stakeholder group and will be regularly consulted for

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implementation of project activities. The private sector will play an essential role in mobilizing resources, leveraging expertise, and implementing effective adaptation measures.

As advocates for climate action, watchdogs to ensure transparency, and implementing partners for sustainable projects; CSOs will play a critical role in adaptation planning and implementation at the sub-national, regional, and most importantly at the local level. The organizations will represent interests of communities, particularly vulnerable and marginalized groups in the NAP process. CSOs and NGOs working in the field of rural development, women empowerment, self-help groups (SHGs), environment, youth, etc. will specifically be consulted to ensure that local knowledge, needs, and priorities are considered in adaptation planning.

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VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is (without fee) USD two million seven hundred and sixty-four thousand nine hundred and seventy-seven (USD 2,764,977). This is financed through a GCF grant. UNDP, as the GCF Delivery Partner, is responsible for the oversight and quality assurance of the execution of GCF resources.

GCF Disbursement schedule: GCF grant funds will be disbursed in accordance with the terms and conditions set out in the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement. The Country Office will submit an annual work plan to the UNDP-NCE Unit and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve 80% delivery annually.

Disbursement requests will be managed at portfolio level by UNDP-NCE MPSU in NY, as agreed in the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement" between GCF and UNDP. Under Clause 4 of said Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement, the Delivery Partner shall be required, when submitting Requests for Disbursement, to provide confirmation or evidence that at least 70% of the aggregate amounts previously disbursed by GCF have been committed and/or expended for Eligible Expenditures.

An Indicative Disbursement Schedule is provided below for reference.

Month	6 months	12 months	18 months	24 months	30 months	36 months	42 months	48 months
Amount in USD	**711.244**		**923.244**		**715.744**		**414.745**	
Total Project Outcomes in USD	**2.764.977**							
DP Fee in USD	**235.023**							
Total Project Budget in USD	**3.000.000**							

Budget Revision and Tolerance: 20% of the total overall projected costs can be reallocated among outcomes. No changes are allowed in the PMC. Any budget reallocation involving a major change in the project's scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

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As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-NCE Unit.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by the Country Office using non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-NCE Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.[27] On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Nature, Climate and Energy Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The UNDP CO through a Project Board decision will notify the UNDP NCE Unit when operational closure has been completed.

Transfer or disposal of assets: In consultation with the other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file[28].

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP CO has closed the accounts for the project; d) UNDP CO has certified a final Combined Delivery Report (which serves as final budget revision).

[27] see https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx

[28] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

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The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-NCE Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Quantum Award ID:	1327192	Quantum Output Project ID:	01003524
Quantum Proposal or Award Title:	PIMS 9646 India GCF NAP Readiness		
Quantum Business Unit	IND10		
Quantum Primary Output Project Title:	Building climate resilience in India by initiating the national adaptation plan process and scaling up adaptation finance		
UNDP-GCF PIMS No.	9646		
Implementing Partner	UNDP		

Quantum Output (GCF Outcome)	Quantum Output (GCF Output)	Quantum Activity GCF Activity	Responsible Party/[1] Quantum Responsible Party	Quantum Fund ID	Quantum Donor ID	Quantum Budgetary Account Code	Quantum Budget Account Description	Amount Year 2025 (USD)	Amount Year 2026 (USD)	Amount Year 2027 (USD)	Amount Year 2028 (USD)	Total (USD)	See Budget Note:
Outcome 3.1 : Adaptation planning governance and institutional coordination strengthened	**Output 3.1.1 : National, subnational and/or sectoral adaptation plans developed or updated**	**Activity 3.1.1**	**(WII) 002067**	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*A*
						71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	
						75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
						71600	Travel	2,000	2,000	2,000	2,000	8,000	
						Total Responsible Party 1		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
			(IIT ROORKEE) 011726	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*B*
						71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	

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					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 2		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(CRIDA) 017386	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*C*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	
					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 3		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(NIH) 017385	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*D*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	
					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 4		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(BRLF) 017384	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*E*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	

					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 5		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(CSTEP) '017442-Forestry	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*F*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	
					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 6		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(UNDP) '001981-Health	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*G*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	
					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 7		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(TERI) '011502-Traditional Knowledg	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*H*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	

		e and Heritage			75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 8		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(ICRIER) '017443-Adaptation Resourcing	**66001**	**012526**	72100	Contractual Services-Companies	12,000	12,000	12,000	12,000	48,000	*I*
					71300	Local Consultants	4,000	4,000	4,000	4,000	16,000	
					75700	Training, Workshops and Confer	2,000	2,000	2,000	2,000	8,000	
					71600	Travel	2,000	2,000	2,000	2,000	8,000	
					Total Responsible Party 9		**20,000**	**20,000**	**20,000**	**20,000**	**80,000**	
		(UNDP) '001981	**66001**	**012526**	71400	Contractual Services - Individ	15,925	15,925	15,925	15,925	63,700	*J*
					71300	Local Consultants	54,000	54,000	54,000	54,000	216,000	*K*
					75700	Training, Workshops and Confer	25,000	-	-	-	25,000	*L*
					75700	Training, Workshops and Confer	15,000	15,000	15,000	-	45,000	*M*
					71600	Travel	2,000	2,000	2,000	2,000	8,000	*N*
					Total UNDP		**111,925**	**86,925**	**86,925**	**71,925**	**357,700**	
						TOTAL Output 3.1.1	**291,925**	**266,925**	**266,925**	**251,925**	**1,077,700**	

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	Output 3.1.3 Inter and intra institutional coordination and decision making mechanisms established or strengthened	**Activity 3.1.3**	**001981**	**66001**	**012526**	72100	Contractual Services-Companies	30,000	-	-	-	30,000	*O*
						75700	Training, Workshops and Confer	-	5,000	5,000	5,000	15,000	*P*
						71600	Travel	3,000	3,000	3,000	3,000	12,000	*Q*
						71400	Contractual Services - Individ	18,035	18,035	18,035	18,035	72,138	*R*
							TOTAL Output 3.1.3	**51,035**	**26,035**	**26,035**	**26,035**	**129,138**	
						TOTAL OUTPUT 3.1		**342,960**	**292,960**	**292,960**	**277,960**	**1,206,838**	
Outcome 3.2 : Evidence produced to design adaptation solutions for maximum impact	**Output 3.2.1 Adaptation impact monitoring, evaluation and learning systems established or strengthened for strategic planning and investment**	**Activitty 3.2.1**	**001981**	**66001**	**12526**	72100	Contractual Services-Companies	60,000	-	-	-	60,000	*S*
						71400	Contractual Services - Individ	9,555	9,555	9,555	9,555	38,220	*T*
						71400	Contractual Services - Individ	18,035	18,035	18,035	18,035	72,138	*U*
						71600	Travel	3,000	3,000	3,000	3,000	12,000	*V*
						75700	Training, Workshops and Confer	6,000	6,000	6,000	6,000	24,000	*W*
							TOTAL GCF Output 3.2.1	**96,590**	**36,590**	**36,590**	**36,590**	**206,358**	
	Output 3.2.2 Studies on climate vulnerability, and	**Activity 3.2.2**	**001981**	**66001**	**12526**	72100	Contractual Services-Companies	45,000	-	-	-	45,000	*X*
						72100	Contractual Services-Companies	-	60,000	-	-	60,000	*Y*

	identification of adaptation solutions conducted (and used) for strengthening adaptation investment					72100	Contractual Services-Companies	-	60,000	-	-	60,000	*Z*
						75700	Training, Workshops and Confer	5,000	5,000	-	-	10,000	*AA*
						72100	Contractual Services-Companies	-	80,000	-	-	80,000	*BB*
						72100	Contractual Services-Companies	-	80,000	-	-	80,000	*CC*
						75700	Training, Workshops and Confer	5,000	5,000	5,000	5,000	20,000	*DD*
						71600	Travel	-	2,000	2,000	-	4,000	*EE*
						71400	Contractual Services - Individ	7,200	7,200	7,200	7,200	28,800	*FF*
							TOTAL GCF Output 3.2.2	**62,200**	**299,200**	**14,200**	**12,200**	**387,800**	
						TOTAL OUTPUT 3.2		**158,790**	**335,790**	**50,790**	**48,790**	**594,158**	
Outcome 3.3 : Private sector engagement in adaptation catalyzed	**Output 3.3.1 : Strategies, policies, and incentives developed to foster private investment in adaptation solutions**	**Activity 3.3.1**	**001981**	**66001**	**12526**	75700	Training, Workshops and Confer	5,000	5,000	5,000	5,000	20,000	*GG*
						72100	Contractual Services-Companies	50,000	-	-	-	50,000	*HH*
						75700	Training, Workshops and Confer	5,000	-	-	-	5,000	*II*
						71600	Travel	1,000	1,000	1,000	1,000	4,000	*JJ*
						71400	Contractual Services - Individ	6,370	6,370	6,370	6,370	25,480	*KK*

						71300	Local Consultants	14,400	14,400	14,400	14,400	57,600	*LL*
						71300	Local Consultants	30,000	30,000	30,000	-	90,000	*MM*
						72100	Contractual Services-Companies	44,000	-	-	-	44,000	*NN*
							TOTAL GCF Output 3.3.1	**155,770**	**56,770**	**56,770**	**26,770**	**296,080**	
	Output 3.3.2 : Assessments and knowledge products to inform the private sector on adaptation options and GCF finance developed	**Activity 3.3.2**	**001981**	**66001**	**12526**	72100	Contractual Services-Companies	-	60,000	-	-	60,000	*OO*
						72100	Contractual Services-Companies	-	-	60,000	-	60,000	*PP*
						71600	Travel	-	2,000	2,000	-	4,000	*QQ*
							TOTAL GCF Output 3.3.2	**-**	**62,000**	**62,000**	**-**	**124,000**	
	Output 3.3.3 : Capacity building provided to the Private sector on adaptation options	**Activity 3.3.3**	**001981**	**66001**	**12526**	72100	Contractual Services-Companies	0	50000	0	0	50000	RR
						75700	Training, Workshops and Confer	0	5000	5000	0	10000	SS
						72100	Contractual Services-Companies	0	60000	60000	0	120000	TT
						75700	Training, Workshops and Confer	0	5000	5000	0	10000	UU
						71600	Travel	0	2,000.00	2,000.00	0	4000	VV
							TOTAL GCF Output 3.3.2	**0**	**122000**	**72000**	**0**	**194000**	

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						TOTAL OUTPUT 3.3		**155,770**	**240,770**	**190,770**	**26,770**	**614,080**	
Outcome 3.4 : Adaptation finance increased	**Output 3.4.2 Number of concept notes and/or funding proposals developed for adaptation priority actions**	**Activity 3.4.2**	**001981**	**66001**	**12526**	71300	Local Consultants	0	0	7,500.00	5000	12500	WW
						71300	Local Consultants	0	0	0	2,500.00	2500	*XX*
							TOTAL GCF Output 3.4.2	**-**	**-**	**7,500**	**7,500**	**15,000**	
	Output 3.4.3: National systems developed for tracking adaptation national and international finance flow	**Activity 3.4.3**	**001981**	**66001**	**12526**	72100	Contractual Services-Companies	**-**	**-**	**60,000**	**-**	**60,000**	*YY*
						72100	Contractual Services-Companies	**-**	**-**	**60,000**	**-**	**60,000**	*ZZ*
							TOTAL GCF Output 3.4.3	**-**	**-**	**120,000**	**-**	**120,000**	
						TOTAL OUTPUT 3.4		**-**	**-**	**127,500**	**7,500**	**135,000**	
						TOTAL OUTCOME BUDGET		**657,519**	**869,519**	**662,019**	**361,019**	**2,550,076**	
Project Management Cost (PMC)	**PMC**	**Activity PMC**	**001981**	**66001**	**12526**	74200	Audio visual & Printing	5,000.00	5,000.00	5,000.00	5,000.00	20,000.00	*AAA*
						72500	Office supplies	2,350.00	2,350.00	2,350.00	2,350.00	9,400.00	*BBB*
						72800	IT Equipment	5,000.00	5,000.00	5,000.00	5,000.00	20,000.00	*CCC*
						72440	Connectivity charges	1,250.00	1,250.00	1,250.00	1,250.00	5,000.00	*DDD*
						74100	Audit Fee	3,750.00	3,750.00	3,750.00	3,750.00	15,000.00	*EEE*

						71400	Contractual Service - Individuals	30,000.00	30,000.00	30,000.00	30,000.00	120,000.00	*FFF*
						TOTAL PROJECT MANAGEMENT		**47,350**	**47,350**	**47,350**	**47,350**	**189,400**	
Contingency	**Contingency**	**Contingency**	**001981**	**66001**	**12526**	74500	Miscellaneous Expenses	**6,376**	**6,376**	**6,376**	6373	25,501.00	*GGG*
							TOTAL COST	**711,245**	**923,245**	**715,745**	**414,742**	**2,764,977**	

Budget Notes:

Budget Note	Detailed Description
A	To engage a RP 1 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **ecosystems and biodiversity sector.** The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, research institutes, farmer & animal husbandry cooperatives, food and agriculture industries;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on agriculture; and** **4. USD 8,000 representing 10% for Local Travel.**

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B	To engage a RP 2 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **disaster management and infrastructure resilience sector**. The budget breakdown is as follows: **1. USD 60,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, research institutes, water boards at the state & local level;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on water; and** **4. USD 8,000 representing 10% for Local Travel.**
C	To engage a RP 3 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **agriculture sector**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on ecosystem and biodiversity; and** **4. USD 8,000 representing 10% for Local Travel.**
D	To engage a RP 4 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **water sector**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on forestry; and** **4. USD 8,000 representing 10% for Local Travel.**

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E	To engage a RP 5 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **poverty eradication and livelihoods sector**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, healthcare industry, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on health; and** **4. USD 8,000 representing 10% for Local Travel.**
F	To engage a RP 6 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **forestry sector**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, village panchayats, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on poverty eradication & livelihoods; and** **4. USD 8,000 representing 10% for Local Travel.**
G	To engage a RP 7 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **health sector**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, local communities, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on traditional knowledge and heritage; and** **4. USD 8,000 representing 10% for Local Travel.**

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H	To engage a RP 8 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **traditional knowledge and heritage**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators, NGOs, CSOs, local communities, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the sectoral adaptation plan on disaster management; and** **4. USD 8,000 representing 10% for Local Travel.**
I	To engage a RP 9 for USD 80,000 lumpsum for the project duration to implement Activities 3.1.1c, 3.1.1d, 3.1.1e, 3.1.1f, 3.1.1g and 3.1.1h to develop the NAP. The responsible party will lead the sectoral working group on **adaptation resourcing**. The budget breakdown is as follows: **1. USD 48,000 representing 60% of the amount is allocated for professional fees;** **2. USD 8,000 representing 10% for workshops - This will be utlised for conducting multi-stakeholder consultations with policymakers, regulators,public & private financial institutions - banks & NBFCs, NGOs, CSOs, research institutes;** **3. USD 16,000 representing 20% for Local Consultant Individual - Two local consultants will be engaged to support the RP to draft the staretgy for financing the implementation of the NAP financing strategy; and** **4. USD 8,000 representing 10% for Local Travel.**
J	One contractual service - indivdual (NPSA-10) as Project Specialist for the project duration at a total cost of USD 127,400, **(out of which USD 63,700 (50%) is allocated to Output 3.1.1)**. The individual will assist in the implementation of Output 3.1.1 (50% charged under this output). The individual will technically review all the deliverables submitted by the RPs.
K	To engage three consultants at a cost of USD 6000 per month for 36 months to provide technical and research support to the NDA on thematic areas for reviewing the activities under Output 3.1.1. **The consultants will also support organization of stakeholder consultations, and technically review the deliverables submitted by consultancies engaged under the project and provide feedback to the NDA.**
L	To conduct a NAP inception workshop @ USD 25,000 including venue and catering (Activity 3.1.1a) with about 50 - 70 participants
M	Three workshops will be conducted for a total of USD 45,000. The workshops comprise i) one national workshops (no. of participants 40) @ USD 15,000 and ii) two sub-national stakeholder consultations (no. of participants 40 each) for validating the NAP document @USD 15,000 per workshop (Activity 3.1.1h). The unit cost includes cost of venue and catering for each consultation. The unit was is

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	estimated as a lumpum of USD 15,000 because costing for the workshop will vary based on the location, venue and scale. These details will be decided at the time of implementation.
N	Travel at a unit cost of USD 400 for 20 trips for Activities 3.1.1a to 3.1.1h for project management unit, subject experts, as well as NDA and other government officials, **for a total of USD 8,000.**
O	To engage a firm for a lumpsum of USD 30,000 to conduct a gap assessment with respect to co-ordination and decision-making mechanisms in the government (Activity 3.1.3a). **The firm will deliver an inception report, a report on the review of policy frameworks and a report on the gaps and challenges as well as proposed recommendations to address the gaps**
P	**USD 15,000 is allocated to** organize three national workshops for the inter-ministerial working group on adaptation (Activity 3.1.3c) at USD 5,000 per workshop including venue and catering (Activity 3.1.3c). 30 participants per workshop
Q	Travel for 30 participants of the national workshop of the inter-ministerial working group including state government and UT officials at USD 400 per trip **for a total of USD 12,000.**
R	One contractual service - individual (NPSA-9) as M&E Analyst for the project duration at a total cost of USD 144,276 **(out of which USD 72,138 (50%) is allocated to Output 3.1.3)**. The individual will assist in the implementation of Output 3.1.3 (50% charged under this output). The individual will support in analysing data from various institutions involved in the NAP, liaison with line ministries and government departments, ensure the information provided by line ministries is up-to-date and relevant to the NAP objectives, and support the NDA in establishing national level inter-ministerial working group. The individual will provide technical support on all matters pertaining to GCF.
S	To engage a firm at a cost of USD 60,000 lumpsum to conduct a study to aggregate M&E indicators for existing and planned adaptation projects at the national level (Activity 3.2.1a) as well as to develop a national level M&E framework (Activity 3.2.1b)
T	One contractual service - individual (NPSA-10) as Project Specialist for the project duration at a total cost of USD 127,400 **(out of which USD (30%) is allocated to this Output 3.2.1).** The individual will assist in the implementation of Output 3.2.1 (30% charged under this output). The individual will provide technical support for the development of M&E framework for monitoring and evaluating adaptation projects..
U	One contractual service - indivdual (NPSA-9) as M&E Analyst for the project duration at a total cost of USD 144,276 **(out of which USD 72,138 (50%) is allocated to Output 3.2.1)**. The individual will assist in the implementation of Output 3.2.1 (50% charged under this output). The inividual will provide technical support in developing a national level M&E framework for monitoring and evaluating adaptation projects. The individual will provide technical support on all matters pertaining to GCF.
V	Travel for 30 participants for the four capacity building workshops on M&E framework at the national level including state government and UT officials at USD 400 per trip. Totalling USD 12,000 (Activity 3.2.1c)

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W	To conduct four capacity building workshops at both the national and regional levels on the M&E framework at USD 6,000 per workshop (Activity 3.2.1c) including venue and catering for 30 participants.
X	To engage an agency for a lumpsum of USD 45,000 to conduct stocktaking of existing climate risk and vulnerability studies (Activity 3.2.2a)
Y	To engage an agency for a lumpsum of USD 60,000 to develop an online database for climate risk and vulnerability studies (Activity 3.2.2b)
Z	To engage an agency for a lumpsum of USD 60,000 to develop an online decision support system (Activity 3.2.2c)
AA	To conduct two awareness workshops at the national and regional level on the online database and decision support system at a unit cost of USD 5,000 per workshop (Activity 3.2.2d). The cost includes catering and venue for 30 participants each, totalling USD 10,000.
BB	To engage a firm for a lumpsum USD 80,000 to conduct climate hazard, vulnerability and risk assessments for one adaptation sector of priority (output 3.2.2e).
CC	To engage a firm for a lumpsum USD 80,000 to conduct climate hazard, vulnerability and risk assessments for second adaptation sector of priority (output 3.2.2e).
DD	To conduct four capacity building workshops for state governments on undertaking vulnerabillity and climate risk assessments for key adaptation sectors for unit cost of USD 5,000 per workshop including venue and catering (Output 3.2.2f) totalling USD 20,000.
EE	Travel at a unit cost of USD 400 for 10 trips for activities under this output 3.2.2
FF	1 Local consultant engaged as Adaptation expert for 12 months at a total cost of USD 28,800. The individual will assist in the implementation of Output 3.2. and will provide technical support to review and provide feedback on each of the deliverables under this output.
GG	To conduct four stakeholder consultations with the private sector to identify barriers in adaptation investment for USD 5,000 per consultation (Activity 3.3.1a). The unit cost includes venue and catering, totalling USD 20,000.
HH	To engage a firm for conducting a study on global best practices for incentivizing adaptation investment from the private sector for a lumpsum of USD 50,000 (Activity 3.3.1b)
II	To conduct a stakeholder consultation to validate findings of the study on global best practices and incorporate India-specific inputs for USD 5,000 including venue and catering (Activity 3.3.1c)for 30-40 participants.
JJ	Travel at a unit cost of USD 400 for 10 trips for activities under this output 3.2.2 for project management unit, subject experts, as well as NDA and other government officials

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KK	One contractual service - individual (NPSA-10) as Project Specialist for the project duration at a total cost of USD 127,400 **(out of which , USD 25,480 (20%) is has been allocated to this Output 3.2.1).** The individual will assist in the implementation of Output 3.3.1 (20% charged under this output). The individual will provide technical support for the development of a strategy to incentivize adaptation investment from the private sector in the country .
LL	2 local consultants engaged as private sector and adaptation finance and for 9 months eash at a total cost USD 57,600 . The individuals will assist in the implementation of Output 3.3.1 and will provide technical support to review and provide feedback on each of the deliverables under this output.
MM	One Local consultant-Individual engaged at USD 2,500 per month for 3 years to build partnerships with private sector entities to facilitate their participation for activities under output 3.3.1 and also to provide technical support for their implementation.
NN	To engage a firm to develop a strategy to incentivize adaptation investment for the private sector in India @ a lumpsum of USD 44,000 (Activity 3.3.1d)
OO	To engage a firm to develop IEC material for enhancing climate resilience of individual businesses and supply chains for a lumpsum of USD 60,000 (Activity 3.3.2a)
PP	To engage a firm to develop a compendium on ecosystem based adaptation solutions accessible for private sector entities for a lumpsum of USD 60,000 (Activity 3.3.2b)
QQ	Travel at a unit cost of USD 400 for 10 trips for activities under this output 3.2.2
RR	To engage a firm to set up a private sector working group on adaptation planning for a lumpsum of USD 50,000 (Activity 3.3.3a)
SS	To conduct two workshops with the private sector working group at the national and sub-national levels @USD 5000 per workshop including venue and catering (Activity 3.3.3b)
TT	To engage two firms to conduct climate risk assessment in one manufacturing sector each at a lumpsum cost of USD 60,000 each (Activity 3.3.3c)
UU	To conduct two awareness workshops on enhancing climate resilience of individual busineses and supply chains @ USD 5,000 each including venue and catering (Activity 3.3.3d)
VV	Travel at a unit cost of USD 400 for 10 trips for activities under this output 3.3.3. for project management unit, subject experts, as well as NDA and other government officials
WW	To engage two local consultants @ USD 2500 per month for 2.5 months each to develop concept notes for adaptation priority actions for submission to GCF (Activity 3.4.2a)
XX	to engage one local consultant for 1 month as an SES/gender expert to undertake the social and environmental safeguards process (SESP).
YY	To engage a firm to conduct a mapping study of adaptation finance flows in India for a lumpsum of USD 60,000 (Activity 3.4.3a)
ZZ	To engage a firm to develop four investment plans to fund priority adaptation activities in vulnerable and underfunded regions @USD 60,000 (Activity 3.4.3b)
AAA	Audio visual and printing @ lumspum cost of USD 20,000

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BBB	Purchase of office supplies and stationery @lumpsum cost of USD 9,512
CCC	Purchase of IT equipment @lumpsum cost of USD 20,000 for purchasing four laptops for project staff
DDD	Connectivity charges @ USD 5,000 for 4 project staffs for 48 months. These relate to e-mail maintenance charges of the project staff.
EEE	Audit fee @ USD 15,000
FFF	One Contractual service - individual (NPSA-8) as Finance and Operations Analyst for the project duration at a total cost of USD 120,000 has been allocated.
GGG	Contingency

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X. LEGAL CONTEXT

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

XI. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][29] [UNDP funds received pursuant to the Project Document][30] 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 this Project Document.

3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

29 To be used where UNDP is the Implementing Partner
30 To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

    a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
        i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
        ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

    b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

    c. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
        (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning

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"Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

(i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

(ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;

(iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;

(iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

(v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent

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that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.

g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

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j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

   Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

k. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

   Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

   Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

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m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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XII. MANDATORY ANNEXES

Annex A: GCF approved Readiness and Preparatory Support Proposal
Annex B: GCF notification of approval letter
Annex C: Procurement plan
Annex D: Terms of Reference for Project Board and Project Team
Annex E: Terms of Reference for Project Board, Project Management Unit and UNDP staff (as needed)
Annex F: UNDP Risk Log
Annex G: UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system, does not need to be attached as separate document)
Annex H: SESP Report

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Annex A: GCF approved Readiness and Preparatory Support Proposal

https://pims.undp.org/attachments/9646/220928/1787331/1862741/2024.10.09_IND-RS-005_Approved%20Proposal.pdf

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Annex B: GCF notification of approval letter

https://pims.undp.org/attachments/9646/220928/1787331/1862741/20241010_IND-RS-005_NOA.pdf

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Annex C: Procurement plan

https://pims.undp.org/attachments/9646/220928/1778211/1859549/4-PIMS%209646%20India%20-%20GCF%20Readiness%20NAP%20-%20budget%20_%20procurement%20plan_4.09.2024_for%20IDR.xlsx

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Annex D: Terms of Reference for Project Board, Project Team and UNDP Staff

Terms of Reference for Key Project Staff

Project Manager

Background

The Project Manager (PM) will be appointed by the project implementing partner. The PM will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors.

Duties and Responsibilities

- Manage the overall conduct of the project.
- Plan the activities of the project and monitor progress against the approved workplan.
- Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work.
- Monitor events as determined in the project monitoring plan, and update the plan as required.
- Provide support for completion of assessments required by UNDP, spot checks and audits.
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.
- Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.
- Ensure that changes are controlled, and problems addressed.
- Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.
- Prepare and submit financial reports to UNDP on a quarterly basis.
- Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation.
- Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.
- Prepare the inception report no later than one month after the inception workshop.
- Ensure that the indicators included in the project results framework are monitored annually in advance of the GCF bi-annual report submission deadline so that progress can be reported in the GCF Interim Progress Reports and portfolio reports.
- Prepare the GCF bi-annual report;
- Assess major and minor amendments to the project within the parameters set by UNDP-NCE;

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- Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;
- Support the Terminal Evaluation process.

Required skills and expertise

- A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.
- At least 5 years of demonstrable project/programme management experience.
- At least 5 years of experience working with ministries, national or provincial institutions that are concerned with natural resource and/or environmental management.

Competencies

- Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
- Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
- Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.
- Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.
- Strong drafting, presentation and reporting skills.
- Strong communication skills, especially in timely and accurate responses to emails.
- Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.
- Strong knowledge about the political and socio-economic context related to the Indonesian protected area system, biodiversity conservation and law enforcement at national and subnational levels.
- Excellent command of English and local languages.

Project Monitoring and Evaluation Officer

Under the overall supervision and guidance of the Project Manager, the M&E Officer will have the responsibility for project monitoring and evaluation. The M&E Officer will work closely with the Communications Officer on knowledge management aspects of the project. Specific responsibilities will include:

- Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;
- Ensure project's M&E meets the requirements of the Government, the UNDP Country Office, and UNDP-NCE; develop project-specific M&E tools as necessary;

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- Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;
- Oversee/develop/coordinate the implementation of the stakeholder engagement plan;
- Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;
- Facilitate mid-term and terminal evaluations of the project; including management responses;
- Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;
- Support project site M&E and learning missions;
- Visit project sites as and when required to appraise project progress on the ground and validate written progress reports.

The Project M& E Officer will be recruited based on the following qualifications

- Masters degree, preferably in the field of environmental or natural resources management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
- Significant experience in collating, analyzing and writing up results for reporting purposes;
- Very good knowledge of results-based management and project cycle management, particularly with regards to M&E approach and methods. Formal training in RBM/ PCM will be a definite asset;
- Knowledge and working experience of the application of gender mainstreaming in international projects;
- Understanding of biodiversity conservation, law enforcement, sustainable livelihoods and associated issues;
- Very good inter-personal skills;
- Proficiency in computer application and information technology.
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Gender Officer

Under the overall supervision and guidance of the Project Manager, the Gender Officer will have the responsibility for the implementation of the Gender Action Plan. The Gender Officer will work closely with the M&E Officer, Safeguards Officer and Communications Officers on related aspects of project implementation, reporting, monitoring, evaluation and communication. Specific responsibilities will include:

- Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met, and the reporting requirements are fulfilled;

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- Oversee/develop/coordinate implementation of all gender-related work;
- Review the Gender Action Plan annually, and update and revise corresponding management plans as necessary;
- Work with the M&E officer and Safeguards Officer to ensure reporting, monitoring and evaluation fully address the gender issues of the project;

The Project Gender Officer will be recruited based on the following qualifications:

- Master's degree in gender studies, gender and development, environment, sustainable development or closely related area.
- Demonstrated understanding of issues related to gender and sustainable development; at least 5 years of practical working experience in gender mainstreaming, women's empowerment and sustainable development in relevant Country/Region/Area of Work;
- Proven experience in gender issues in Country/Region/Area of Work
- Previous experience with UN projects will be a definite asset;
- Demonstrated understanding of the links between sustainable development, social and gender issues;
- Experience in gender responsive capacity building;
- Experience with project development and results-based management methodologies is highly desired/required;
- Excellent analytical, writing, advocacy, presentation, and communications skills.
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Assistant

Under the guidance and supervision of the Project Manager, the Project Assistant will carry out the following tasks:

- Assist the Project Manager in day-to-day management and oversight of project activities;
- Assist the M&E officer in matters related to M&E and knowledge resources management;
- Assist in the preparation of progress reports;
- Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;
- Provide PMU-related administrative and logistical assistance.

The Project Assistant will be recruited based on the following qualifications:

- A Bachelors degree or an equivalent qualification;
- At least three years of work experience preferably in a project involving biodiversity conservation, natural resource management and/or sustainable livelihoods. Previous experience with UN project will be a definite asset;

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- Very good inter-personal skills;
- Proficiency in the use of computer software applications especially MS Word and MS Excel.
- Excellent language skills in English (writing, speaking and reading) and in local languages

Project Accountant/Finance Assistant/Finance officer

Under the guidance and supervision of the Project Manager, the Project Accountant will have the following specific responsibilities:

- Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager;
- Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures;
- Validate and certify FACE forms before submission to UNDP;
- Provide necessary financial information as and when required for project management decisions;
- Provide necessary financial information during project audit(s);
- Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues;
- Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;
- Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.

The Project Accountant will be recruited based on the following qualifications:

- A Bachelors degree or an advanced diploma in accounting/ financial management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UNDP or UN project will be a definite asset;
- Proficiency in the use of computer software applications particularly MS Excel;
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Communications Officer

Under the overall supervision and guidance of the Project Manager, the Communications Officer will have the responsibility for leading knowledge management outputs in Component 4 and developing the project communications strategy at the project outset and coordinating its implementation across all project components. The Communications Officer will work closely with the M&E Officer on knowledge management aspects of the project. Specific responsibilities will include:

- Develop a project communications strategy / plan, incorporate it with the annual work plans and update it annually in consultation with project stakeholders; coordinate its implementation

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- Coordinate the implementation of knowledge management outputs of the project;
- Coordinate and oversee the implementation of public awareness activities across all project components;
- Facilitate the design and maintenance of the project website/webpages and ensure it is up-to-date and dynamic;
- Facilitate learning and sharing of knowledge and experiences relevant to the project;

The Project Communications Officer will be recruited based on the following qualifications:

- A Bachelor's degree, preferably in the field of community development or natural resource / environmental management;
- A communications qualification (diploma, Bachelor's degree)
- At least three years of relevant work experience of communications for project or programme implementation, ideally involving international donors. Previous experience with UN projects will be a definite asset;
- Previous experience in developing and implementing communications strategies for organizations or projects
- Strong professional working capacity to use information and communications technology, specifically including website design and desk top publishing software
- Understanding of illegal wildlife trade, biodiversity conservation, sustainable livelihoods and associated issues;
- Very good inter-personal skills
- Excellent language skills in English (writing, speaking and reading) and in local languages

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Annex E: Terms of References for UNDP Staff (as needed)

Project Specialist (NPSA 10)

The Project Specialist will be appointed by UNDP and will be responsible for the overall management of the project. The Project Specialist will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors.

Duties and responsibilities

- Ensure effective project management by maintaining the delivery of appropriate technical, operational, financial and administrative outputs
- Managing and coordinating the implementation of the respective activities based on the relevant project documents, including, as needed, supervision and guidance of other project staff, consultants and experts with a view to achieving project results
- Maintaining collaborative working relationships among key project partners and stakeholders through effective communication, consultation and reporting
- Managing and monitoring project risks initially identified, submitting information on the new risks and possible mitigating measures to the Project Board for consideration and updating the status of these risks by maintaining a Project Risk Log
- Support in monitoring and
- Reviewing the project implementation.
- Provide technical support in developing the national level M&E Framework for the NAP process.
- Co-ordinate the organization of stakeholder consultations for the NDA'skey stakeholders
- Responsible for monitoring the progress of national and state level project activities according to the results framework.
- Ensure that gender equality is pursued in all project activities and reflected in work plans, budgets, reports, research, analyses and, where specifically relevant, analyzed in detail.
- Responsible for monitoring the implementation of the Gender Action Plan developed for the project.

Minimum qualifications

- Master's degree in Environmental Management, Development Studies or any other closely related field
- At least 10 years of experience in project implementation
- Experience of working with government, bi/multi-lateral agency and/or UN Agencies
- Fluency in English

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Monitoring and Evaluation Analyst (NPSA 9)

The M&E Analyst will support the Project Specialist in monitoring and reviewing the project implementation.

Duties and responsibilities

- Support in monitoring and reviewing the project implementation.
- Provide technical support in developing the national level M&E Framework for the NAP process.
- Co-ordinate the organization of stakeholder consultations for the NDA's key stakeholders.
- Responsible for monitoring the progress of national and state level project activities according to the results framework.
- Ensure that gender equality is pursued in all project activities and reflected in work plans, budgets, reports, research, analyses and, where specifically relevant, analyzed in detail.
- Responsible for monitoring the implementation of the Gender Action Plan developed for the project.

Minimum qualifications

- B.Tech degree in Computer Science or Master's degree Computer Application or a related field
- At least 7 years of work experience in M&E roles within the development sector (3 years of dedicated experience in GCF projects)
- Experience of working with government, bi/multi-lateral agency and/or UN Agencies
- Fluency in English

Finance and Operations Analyst (NPSA 8)

Duties and responsibilities

- Responsible for programme financial resource management; review and monitor the project budget and expenditures to ensure activities are planned and carried out in a timely manner and in full compliance with UNDP's rules and/ procedure
- Prepare periodic or ad-hoc financial analysis reports relating to donor in optimizing use of programme funds; review and monitor the project budget, prepare requests and revisions as required.
- Prepare project operational plans for procuring personnel, technical, quipment/supplies and other needs related to the implementation of the project.

Minimum qualification

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- Postgraduate degree in Business Administration, Finance, and other related fields
- At least 7 years of experience in operations management.
- Experience of working with government, bi/multi-lateral agency and/or UN Agencies.
- Fluency in English

ANNEX F: UNDP Risk Log
Offline project risk register template

Project Title: Building climate resilience in India by initiating the national adaptation plan process and scaling up adaptation finance	**Project Number:** 01003524	**Date: 15-Jan-25**

#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (see Annex 3 Risk Matrix)	Risk Valid From/ To	Risk Owner (individual accountable for managing the risk)	Risk Treatment and Treatment Owner
1	**Currency Fluctuations:** There is a risk of increase in the cost of planned activities during implementation.	As a result of changes in the exchange rate value of the Indian Rupee against the USD at the time of implementation.	This will lead to the cost of activities exceeding the budgeted amount, potentially disrupting project execution.	**2. FINANCIAL (2.4. Fluctuation in credit rate, market, currency) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetit**	From: 15-Jan-25 To: 30-Apr-29	Team Leader, ACE Unit	Risk Treatment 1.1: To be mitigated through careful budgeting and financial management as well as the inclusion of contingency budget. Risk Treatment Owner: Project Manager

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					e of CAUTIOUS)			
2	**High staff turnover within government:** There is a risk of loss of project capacity and continuity.	As a result of shifting or transferring of government staff across agencies and departments.	Capacity built for the project is lost, requiring additional time and resources for retraining.	**3. OPERATIONAL (3.8. Capacities of the partners) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 15-Jan-25 To: 30-Apr-29	Team Leader, ACE Unit	Risk Treatment 2.1: Documentation of the project activities, learnings and outcomes will serve as guiding principles. Risk Treatment Owner: Project Manager Risk Treatment 2.2: Conduct regular capacity-building programs for new staff. Risk Treatment Owner: Project Manager
3	**Procurement delays:** There is a risk of delays in engaging or procuring consultants and firms.	As a result of procedural delays in finalizing contracts, or challenges in identifying qualified	Project timelines are extended, potentially affecting overall outcomes and milestones.	**4. ORGANIZATIONAL (4.9. Procurement) - UNDP Risk Appetite: EXPLORATORY**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive**	From: 15-Jan-25 To: 30-Apr-29	Team Leader, ACE Unit	Risk Treatment 3.1: Plan procurement timelines carefully and initiate the process early to avoid delays. Risk Treatment Owner: Project Manager

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		consultants and firms.		**TO OPEN**	Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**			Risk Treatment 3.2: Regular meetings with procurement unit to ensure smooth and timely engagement of consultants. Risk Treatment Owner: Project Manager
4	**Project management**: There is a risk of facing challenges in managing a large pool of consultants and ensuring timely delivery of their deliverables.	As a result of inefficiencies in project execution.	Which will lead to delays or compromised quality in deliverables, impacting project objectives.	**4. ORGANIZATIONAL (4.5. Monitoring and oversight) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 15-Jan-25 To: 30-Apr-29	Team Leader, ACE Unit	Risk Treatment 4.1: Regular monitoring of work of the consultants will be done and maintenance of strict timelines will be followed. Risk Treatment Owner: Project Manager Risk Treatment 4.2: Establish clear contracts with well-defined deliverables and clear timeline to ensure accountability. Risk Treatment Owner: Project Manager
5	**Fund management:** There is a	This is because the project	This may lead to potential legal,	**2. FINANCIAL (2.3. Corrupti**	Likelihood: **1 - Not likely**	From: 15-Jan-25	Team Leader, ACE Unit	Risk Treatment 5.1: The Anti-Money Laundering and

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	risk of exposure to money laundering, terrorist financing, or prohibited practices.	involves significant financial transactions, complex supply chains, and multiple stakeholders.	financial, and reputational damages, undermining project credibility.	**on and fraud) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Impact: **5 - Extreme** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	To: 30-Apr-29		Countering the Financing of Terrorism Policy (AML CFT) will be strictly followed. Risk Treatment Owner: Project Manager Risk Treatment 5.2: Conduct thorough due diligence on all stakeholders and third-party entities involved in the project. Risk Treatment Owner: Project Manager
6	There is a risk that the adaptation strategies developed as part of the National Adaptation Plan (NAP) may be implemented improperly or integrated insufficiently into	This could be due to capacity limitations among responsible entities and lack of awareness.	This could result in maladaptation.	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 15-Jan-25 To: 30-Apr-29	Team Leader, ACE Unit	Risk Treatment 6.1: Risk management is integrated into the project's activity design. Notably, capacity enhancement through workshops plays a significant role in Outputs 3.1.3, 3.2.1, and 3.2.2. These outputs aim to bolster capacities by establishing inter-institutional coordination and decision-making mechanisms. Project Manager

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	national policies and programs.							Risk Treatment 6.2: Workshops will also be conducted to introduce the monitoring and evaluation framework for the NAP process once it is developed, raise awareness about the decision support systems created under the project, and provide sectoral ministries with training on incorporating adaptation into sectoral policies. All these activities are envisioned to enhance the capabilities of stakeholders at all levels, enabling them to effectively implement and oversee the strategies outlined in the NAP. …… Risk Treatment Owner: Project Manager
7	There is	This	This	**1. SOCIAL**	Likelihood:	From: 01-	Team Leader,	Risk Treatment 7.1:A **Gender**

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	a risk of insufficient representation of women during stakeholder meetings, consultations, and awareness workshops.	could be due to cultural and societal norms, historical gender biases, institutional barriers and limited outreach.	could result in inadequate addressing of women's needs, missed opportunities, and perpetuation of gender inequality.	**AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS**	**3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	Feb-25 To: 31-Dec-28	ACE Unit	**Action Plan** has been developed during the project design stage. The Gender Action Plan will lay out specific measures for mainstreaming gender equality and empowerment throughout the outputs of the project. It includes specific measures and a set of precise indicators for mainstreaming gender equality and empowerment under each component of the project … Risk Treatment Owner:Project Manager …
								Risk Treatment 7.2: Gender dimensions will be integrated into the NAP to make it a gender responsive document.

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								Risk Treatment Owner: Project Manager
								Risk Treatment 7.3: The procurement of human resource inputs for the project implementation will be gender-balanced and conducted on an equal-opportunity basis Risk Treatment Owner: Project Manager
8	Certain stakeholder groups, such as vulnerable or marginalized communities, may be excluded or overlooked in the project.	This could be due to socio-economic barriers, lack of inclusive outreach, communications barrier, and institutional biases. .	This could lead to their views, knowledge, inputs, and information not being included in the NAP and other project activities .	**1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLO**	From: 01-Feb-25 To: 31-Dec-28	Team Leader, ACE Unit	Risk Treatment 81: The project has undertaken an initial **stakeholder analysis** and a list of stakeholders to be engaged during implementation has been prepared. The direct key stakeholders in this project are mainly institutional ones such as the Government – central and

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					RATORY)			states, Administrations of union territories, research organizations, think tanks, private sector, and NGOs/CSOs. Based on the stakeholder analysis, the **Stakeholder Engagement Plan** has been developed Risk Treatment Owner:Project Manager …

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Annex G: UNDP Project Quality Assurance Report

https://intranet-apps.undp.org/ProjectQA/

Annex H: Social and Environmental Screening Report:
https://pims.undp.org/attachments/9646/220928/1778213/1851759/SESP%20-%20GCF%20Readiness%20NAP_Clean_13%20June%202024.docx