

United Nations Development Programme INDIA

2014 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)

Project Title: Phase out of Carbontetrachloride (CTC) in Small and Medium size Enterprises (SMEs) in the Metal Cleaning Sub-sector

Implementing Partner: Ozone Cell, Ministry of Environment and Forests (MoEF), Government of India

UNDP Strategic Plan Outcome: Environmental and Sustainable Development

UNDP Strategic Plan Output(s): Provide incremental operating costs assistance for phase out of CTC usage in SMEs for capacity installed prior to 25.7.95 in line with decision 17/7 of the Executive Committee (Ex-Com) of the Multilateral Fund (MLF) for the implementation of the Montreal Protocol

UNDP Strategic Plan Indicators: Sustainability of phase out of CTC among the SMEs in the metal cleaning sector

UNDAF / CPAP Outcome: Environmental and Sustainable Development

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

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

The Ex-Com of the MLF has approved the CTC Production and consumption phase out plan in India. The Governments of Japan under the bilateral cooperation has agreed to implement the CTC phase out activities in the metal cleaning sub-sector and associated UNDP for implementation of the project. The UNDP as per the direct execution modalities is implementing the project.

The proposed AWP is to identify enterprises in the SME sector who were using CTC against capacity installed prior to 25.7.1995, in line with the decision of the Ex-Com of the MLF and provide incremental operating costs assistance for phase out of CTC usage.

B. Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:

- √ Changes in attitudes and access to decision making through awareness raising
- √ Changes in the lives of individuals and communities through implementation for inclusive development

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

Through support of the incremental operating costs, the SME enterprises who were using CTC operating with capacity installed prior to 25.7.1995 can continue their operations using alternatives to CTC and sustain their operations.

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

Since the project is aimed at identification of enterprises in the SME sector who were using CTC against capacity installed prior to 25.7.1995, in line with the decision of the Ex-Com of the MLF and provide incremental operating costs assistance for phase out of CTC usage, gender issues need not be specifically addressed.

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

Through its well developed implementation framework and monitoring mechanism for successful implementation of the Montreal Protocol, India facilitates several South Asia and South East Asia Pacific Regions on ODS Trade Related Issues, equipment and training support in setting up units for Recovery/Recycling of ODSs and other related issues concerning implementation of the Montreal Protocol. Such initiatives will be continued during the year 2014.

Atlas Project ID: 00037869	2014 AWP budget: USD 200,000
Atlas Output ID: 00041505	- Regular: USD NIL
Local PAC meeting date:	- Donor: (MLF) USD 200,000
Start date: Jan 2014	o Government: USD NIL
End Date: Dec 2014	o In-kind Contributions (GEF): NIL
Implementation modality: Direct Implementation	

Total Project Budget	Exp 2011	Exp 2012	Exp 2013	Budget 2014
5,000,000	129,864	6500	5381*	200,000

*provisional figure

Agreed by UNDP:

Alexandra Solovieva
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 UNDP Deputy Country Director

28/02/2014

I. ANNUAL WORK PLAN - YEAR: 2014

ANNUAL OUTPUTS 2014	o PLANNED ACTIVITIES	MONTH OF COMPLETION	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description	Amount ¹
Complete verification of 7 Small and Medium Enterprises (SMEs) who were using CTC in the Metal Cleaning Sector	o Ozone Cell reviews report submitted by the Consultant with respect to the 7 enterprises.	March 2014	UNDP/MOEF	10009	72200	100000
	o UNDP reviews verification report forwarded by Ozone Cell	April 2014			74500	7000
Identification of additional eligible enterprises who were using CTC in the Metal Cleaning Sector in accordance with decision 17/7 of Ex-Com of the MLF	o UNDP to disburse technical and financial (incremental operating cost) assistance to the eligible enterprises based on endorsement of Ozone Cell	April 2014		10009	72200	90000
	o Audit of prospective enterprises who were using CTC in the Metal Cleaning Sector by Independent Consultant	April/May 2014	UNDP/MOEF			
	o Review of audit report submitted by the Independent Consultant by Ozone Cell	June 2014				
	o UNDP reviews verification report forwarded by Ozone Cell	July 2014				
	o UNDP to disburse technical and financial (incremental operating cost) assistance to the eligible enterprises based on endorsement of Ozone Cell	September 2014				

1 Budget amounts including Direct Project Costs. An internal working sheet should be shared with RMU. RMU will assist on this. The costs of UNDP staff that provide direct oversight and support to the project will also be included in the project budget.

TOTAL IN USD						197000
	Project staff salaries and project management expenses²					3000
	Annual audit, evaluations, micro assessment costs, communication and other cost³					
	AWP TOTAL IN USD					200000
	8% General management support (GMS)⁴					=
	AWP GRAND TOTAL IN USD					200,000

II. MANAGEMENT ARRANGEMENTS

The management arrangements will remain same as specified in approved project document except with the following changes: The Outcome Boards will meet twice a year. The review and recommendations of the Outcome Board will feed into the Country Programme Management Board (CPMB) annual strategic review meeting. Oversight of project level activities will be provided by the Project Steering Committee (PSC) which will be responsible for approving the budgeted Annual Work Plans and providing overall guidance and oversight. The PSC will meet at least once a year although efforts will be made to convene quarterly meetings to ensure regular follow-

² Costs for communication and state offices will not be charged to each core funded AWP separately. For non-core funded projects this will be charged upto 2%.

³ Once a project has incurred expenditure for micro-assessment, it should not be budgeted for in subsequent years.

⁴The GMS is to be budgeted at 8% for all cost-sharing agreements signed after January 2014. For cost-sharing agreements signed before January 2014, GMS is to be budgeted at 7%.

up. The PSC will delegate day to day management of the AWP and related decisions to a working group comprising UNDP, Implementing Partner and other stakeholders, as appropriate

Fund flow arrangement-

The project follows DIM modality and UNDP takes on the role of implementing partner. The project will be directly implemented by UNDP in close cooperation and consultation with MOEF. In this case, UNDP has the technical and administrative capacity to assume the responsibility of mobilizing and applying effectively the required inputs in order to reach the expected outputs. UNDP assumes overall management responsibility and accountability of project implementation. Accordingly UNDP would follow all policies and procedures established for its own operations and will be responsible for all financial management, reporting, procurement and recruitment services. UNDP and MOEF will jointly prepare a budgeted Annual Work Plan on an Annual basis, as per UNDP rules and regulations.

- A. . **Audit:** : The audit of DEX projects is made through the regular external (UN Board of Auditors) or internal audits (audits managed by UNDP's Office of Audit and Performance Review). The UNDP CO may request OAPR to exceptionally undertake audits of DEX projects.

Monitoring Framework And Evaluation

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

- B. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided at **Annex1**. These monthly reports will be consolidated, as required, by UNDP's quality assurance team for progress review meetings. Monitoring is done in the following manner: Project Reports and Review Meetings a) Field Visits and Annual Programme/Project Report: The project manager would ensure the preparation of the Annual Programme/Project Report (APR), in consultation with the stakeholders. The UNDP CO would send a copy of the APR to UNDP headquarters as an input for the Administrator's Report on DEX projects to the Executive Board. The APR serves as an input to the project evaluations, the preparation of annual and country reviews, and the Results Oriented Annual Report (ROAR). The UNDP CO would ensure that, while serving the purposes of monitoring performance, progress reports on DEX projects cover lessons from experience to help in assessing this execution modality, including its implications in terms of capacity building and ownership. Interim reports. In addition, the project manager would also prepare interim reports for the Core Group, accompanied by the quarterly financial reports. The interim progress report might consist of a brief summary of progress in relation to the work plan and an update on the financial situation. A copy of this report would be shared with the Regional Bureau for information and for data collection on experience with DEX and for discharging their monitoring responsibility. The project manager follows up on the corrective actions recommended by UNDP CO, the Core Group Committee and other recipients of the reports. Review Meetings. Interim Progress Reports would be assessed in review meetings with the members of the Core Group. The project manager or programme officer is responsible for organizing these meetings and for following up on the recommendations and decisions taken in the meetings. The project manager would prepare a brief action-oriented report on the review meeting, in coordination with the programme officer, and send it to participants in the meetings for their approval or comments. The UNDP CO would submit these reports to the Regional Bureau for information and comments

- C. **ONE TIME RISK LOG:** Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner.
- D. **QUARTERLY FINANCIAL REPORT:** The project is DEX. Hence there is no need for Quarterly Financial Report. The Memorandum of Understandings (MOUs) are signed between the enterprise and the MOEF. MOEF, based on the performance management, request UNDP to release the funds to the enterprise.
- E. **Evaluation:** There is no Evaluation of the project as such. The Ozone Cell indicates the progress of the project to the Multilateral Fund of the Montreal Protocol from time to time. There are two or three meetings of the Executive Committee of the Montreal Protocol during one year.
- F. **ANNUAL REVIEW REPORT:** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format at Annex 2 will be used to provide brief description of results achieved in the year against pre-defined annual targets.
- G. **ANNUAL PROJECT REVIEW.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes

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

IV. ANNEXES

Annex 1 – Monthly progress report format

Project Title						
Implementing Partner						
Month/Year						
Annual Outputs	Planned activities	Month of completion	Responsible party	Budget	Monitoring framework	
				Amount	Cumulative expenditures	Progress towards meeting AWP annual outputs
1						
2						

3						
TOTAL IN USD						

Annex 2 – Annual progress report format

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

Annex 3 - Agreements: as applicable, any additional agreements, such as cost-sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the implementing partner) should be attached.

Annex 4 - Capacity Assessment: as applicable, results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

Annex 5 - Guidance Checklists

FREQUENTLY ASKED QUESTIONS ON PROGRAMME AND PROJECT MANAGEMENT (PPM) – includes gender and capacity development

https://intranet.undp.org/global/popp/ppm/Pages/FAQs-on-PPM.aspx?#_Toc316481178

CHECKLIST FOR REVIEW OF PROJECT DOCUMENTS – includes gender

<https://intranet.undp.org/global/documents/ppm/Checklist%20for%20Review%20of%20Project%20Documents.doc>

ENVIRONMENTAL AND SOCIAL SCREENING PROCEDURE FOR UNDP PROJECTS

https://intranet.undp.org/global/documents/ppm/ESSP_Guidance_19Mar12_English.docx

PROGRAMME DESIGN QUESTIONS FOR SCALING UP

[http://intra.undp.org.in/PIM1/NEW%20AWP%202013%20and%20PRODOC%20\(CPAP%20-%202013-17\)/Programme%20Design%20Questions%20for%20Scaling-Up.pdf](http://intra.undp.org.in/PIM1/NEW%20AWP%202013%20and%20PRODOC%20(CPAP%20-%202013-17)/Programme%20Design%20Questions%20for%20Scaling-Up.pdf)

PRINCIPLES UNDERLYING THE IDEA OF HUMAN DEVELOPMENT

<http://www.in.undp.org/content/dam/india/docs/principles-underlying-the-idea-of-human-development.pdf>