

United Nations Development Programme

Country: INDIA

2013 Annual Work Plan

Project Title: Sustainable Industrialisation - Building Stakeholder Capacity and Involvement
Implementing Partner: Ministry of Environment and Forests (MoEF)

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

The AWP aims to work with two of the most important players from an environmental point of view – industry and communities. Under its industrial rating component, the project will look at thermal power plants this year with an aim to rate the sector on environmental performance and then push for changes. This is a voluntary disclosure project. This component essentially plans to bring in changes in attitudes and access to decision making through awareness raising, brokering, convening. The rating helps identify the gaps in the sector and then pushes for the required changes. As seen in the previous ratings carried out under the project, since the ratings affect the share market position of a company and also its reputation, they are taken seriously and companies try and incorporate as many changes as possible. Essentially the rating helps in building capacities of industries for better environmental performance.

Under its community support component, the project aims to build capacities of communities to fight pollution. The main idea is to help them understand what an Environmental Impact Assessment (EIA) report is and how it should be read and inferred. Also, to help and facilitate the public hearings. Under this component, a web portal has also been launched which tracks environmental clearances granted by MoEF and puts this in public domain. The idea is to make the process more transparent than before and make communities aware of what is happening. The idea is to bring changes in the lives of individuals and communities through implementation for inclusive development. Community support builds capacities of communities and tries to put a system in place to enhance transparency and accountability in the environmental clearance regime of the country.

Programme Period:	2007-2013
Key Result Area (Strategic Plan):	Environment
Atlas Project ID:	00048262
Atlas Output ID	00058309
Start date:	October 2007
End Date	31 December 2013
PAC Meeting Date	September 2008
Implementation modality:	NIM

2013 AWP budget:	USD 42,000
MULTI YEAR INDICATIVE Budget _____ (Subject to the availability of the necessary funds to the UNDP)	
• Regular	USD 750,000
• Other:	
○ Donor	_____
○ Donor	_____
○ Donor	_____
○ Government	_____
○ In-kind Contributions (GEF)	_____

Project Name	Total Budget	Exp2007	Exp2008	Exp2009	Exp2010	Exp 2011	Exp 2012	Budget 2013
00058309 – Sustainable Industrialisation	750,000	53,200	97,691.59	88,143.79	96,850.59	127,074.17	158,904.15	42,000

Agreed by UNDP: Alexandra Solovieva 21/12/2013

Alexandra Solovieva
 UNDP Deputy Country Director

Agreed by Implementing Agent _____

(S. P. S. PARIHAR)
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 संयुक्त सचिव/Joint Secretary
 पर्यावरण एवं वन मंत्रालय
 Min. of Environment & Forests
 भारत सरकार, नई दिल्ली
 Govt. of India, New Delhi

I. ANNUAL WORK PLAN - YEAR: 2013

Key area of UNDP strategic Plan						
UNDAF / CPAP OUTCOME: Progress towards meeting national commitments under multilateral environmental agreements						
CPAP OUTCOME Indicators						
CONTRIBUTING TO CPAP OUTPUT: Supporting national development objectives with co-benefits of mitigating climate change						
CONTRIBUTING TO CPAP 5 year target						
Annual OUTPUTS	PLANNED ACTIVITIES	Month of completion	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description	Amount ¹
Output 1: Increased voluntary environmental improvements by the industry Target 1.1 Annual green rating of companies* (20 companies) <i>* The power sector</i>	Questionnaire preparation	April	Centre for Science and Environment (CSE)	UNDP	71300 – Local consultant	6500
	TAP institutionalisation	January			71600 – Travel	2000
	Preparation of issues paper	March			72100 – Contractual services companies	2000
	Data collection	October			74200 - AV print & production	1000
	Factory visits	Ongoing			74500 – Miscellaneous	3000
	TAP meetings	Ongoing				
Target 1.2: Capacity building for project staff of CSE* <i>* The project staffs need to be oriented towards the chosen sector in terms of technology, environmental</i>	Training programmes	Ongoing	CSE	UNDP	71300 - Local consultant	5000
	Industry visits	Ongoing			72100 – Contractual services companies	1500

¹ Budget amounts including Direct Project Costs. An internal working sheet should be shared with RMU. RMU will assist on this.

associated impacts, etc.						
Target 1.3 Information disclosure + articles in Down to Earth	Down to Earth articles	Ongoing	CSE	UNDP	71600 – Travel	2000
					72100 – Contractual services companies	1500
					74200 - AV print & production	1000
SUB-TOTAL1						25,500
Output 2: Enhanced capacity of the local communities, NGOs, CBOs, Panchayats etc. to engage in the process of industrialization and economic development to protect the environment and the livelihoods of the poor and the marginalized including women.	EIA reviews (technical) (12)	Ongoing	CSE	UNDP	71300 - Local consultant	5000
					71600 – Travel	1000
					72100 – Contractual services companies	1000
					74200 - AV print & production	1000
					74500 – Miscellaneous	1500
Target 2.1: Technical support (facilitating public hearings, community support centre and technical analysis of EIAs in select locations)	Green Clearance Watch Portal: This website is a one-stop for all information on environmental and forest clearances. The factsheets done in September 2011 under this project serve as the comprehensive database on which the website is based. The website tracks all clearances granted/pending with MoEF from 2007 onwards. An important component of the website is to put in public domain the videos of various public hearings being conducted in the country. This is being done	Ongoing	CSE	UNDP	71300 - Local consultant	3000
					71600 – Travel	2000
					72100 – Contractual services companies	2000

	by associating with various civil society/activists/volunteers at the local level.					
SUB-TOTAL2						16,500
TOTAL IN USD						42,000
	Project staff salaries and project management expenses²					
	Annual Audit, Evaluations, Micro assessment costs³					
	AWP TOTAL IN USD					42,000
	7% General management services⁴					
	AWP GRAND TOTAL IN USD					

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

3 Once a project has incurred expenditure for micro-assessment, do not budget for it in subsequent years.

4 This is chargeable on third party cost sharing

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

Situation Analysis:

Scope and Strategy:

Results framework:

Key area of UNDP strategic Plan:				
UNDAF / CPAP OUTCOME				
CPAP OUTCOME Indicators				
CONTRIBUTING TO CPAP OUTPUT				
CONTRIBUTING TO CPAP 5 year target				
INTENDED PROJECT OUTPUTS over 5 years	OUTPUT TARGETS FOR each year	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	BUDGET
Output 1	Year 1 Target	Year 1 Activities		
	Year 2 Target	Year 2 Activities		
Output 2	Year 1 Target			
	Year 2 Target			

III. MANAGEMENT ARRANGEMENTS: FUND FLOW ARRANGEMENT AND FINANCIAL MANAGEMENT

Funds can also be transferred as: a) direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; and b) direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners. Direct cash transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously authorized expenditures will be requested and released quarterly or after completion of activities. The UNDP shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts.

Separate books of account shall also be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail. Any interest accrued on the project funds during the project will be ploughed back into the project in consultation with Implementing partner and UNDP and project budgets will stand revised to this extent. If there is no scope for ploughing back the interest will be refunded to UNDP.

IV. MONITORING FRAMEWORK AND EVALUATION

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

- A. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided at **Annex1**. These monthly reports will be consolidated, as required, by UNDP's quality assurance team for progress review meetings.
- B. **ONE TIME RISK LOG:** Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard [Risk Log template](#)
- C. **QUARTERLY FINANCIAL REPORT:** The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.
- D. In case a project **EVALUATION** is required, please indicate the justification and proposed timing for the evaluation. A project evaluation is required only when mandated by partnership protocols such as GEF. However, a project evaluation may be required due to the complexity or innovative aspects of the project.
- E. **ANNUAL REVIEW REPORT:** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format at **Annex 2** will be used to provide brief description of results achieved in the year against pre-defined annual targets.
- F. **ANNUAL PROJECT REVIEW.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

V. ANNEXES

Annex 1 – Monthly progress report format

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

Annex 2 – Annual progress report format

Key area of UNDP strategic Plan:			
UNDAF / CPAP OUTCOME			
CPAP OUTCOME Indicators			
CONTRIBUTING TO CPAP OUTPUT			
CONTRIBUTING TO CPAP 5 year target			
Project title			
Implementing partner			
Year			
Annual Outputs	Allocated budget	Total Expenditure	Progress on planned outputs and key successes
1			
2			
3			
Policy results and any additional results achieved			
Lessons learned, project shortcomings and solutions			
Follow-up Actions			

Annex 3

Agreements: as applicable, any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs⁵ (where the NGO is designated as the “executing entity”) should be attached.

Annex 4

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

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>

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