



सत्यमेव जयते

Government of India

**IMPLEMENTATION GUIDELINES
FOR
NATIONAL ADAPTATION FUND
FOR
CLIMATE CHANGE (NAFCC)**



**Ministry of Environment, Forest and Climate Change
New Delhi – 110003**

Contact Us:

DR. B G MUKHOPADHYAY

Chief General Manager
NIE & Climate Change Vertical
National Bank for Agriculture and Rural Development
BKC, Bandra (E)
Mumbai – 400 051
Tel.: +91 22 26530035, Fax: +91 22 2653 0022
E-mail: dpd.fs@nabard.org

SHRI V.MASHAR

Dy Gen Manager
NIE & Climate Change Vertical
National Bank for Agriculture and Rural Development
BKC, Bandra (E)
Mumbai – 400 051
Tel.: +91 22 26530035, Fax: +91 22 2653 0022
E-mail: dpd.fs@nabard.org

RAVI S PRASAD, IAS

Joint Secretary
Climate Change Division
Ministry of Environment, Forest & Climate Change,
Indira Paryavaran Bhawan,
3rd Floor, Prithvi Wing, Jorbagh
New Delhi -110003
Tel: 24695309 / 24695308 (Fax)
E-mail: ravis.prasad@nic.in

DR S. SATAPATHY

Director
Climate Change Division
Ministry of Environment, Forest & Climate Change,
Indira Paryavaran Bhawan,
3rd Floor, Prithvi Wing, Jorbagh
New Delhi -110003
Tel: 24695309 / 24695308 (Fax)
E-mail: ssatapathy-mef@nic.in

Implementation Guidelines for National Adaptation Fund for Climate Change (NAFCC)

1. Background:

1.1 Climate change has become real and tangible, affecting people's lives worldwide. It is a major challenge for agriculture, food security and rural livelihoods. As indicated in Intergovernmental Panel on Climate Change (IPCC) in its Fifth Assessment Report released in March 2014, poor, marginalized, and rural communities are likely to be hit hardest by climate impacts. For these vulnerable groups, climate change acts as a "risk multiplier" worsening existing social, economic, political, and environmental stresses.

1.2 The impacts of climate change are global, but countries like India are more vulnerable in view of the high population depending on agriculture and high dependence on climatic parameters. As per recorded observations, India has seen an increase of 0.4 degree Centigrade, in the mean surface air temperature over the past century (1901–2000). It has been estimated that a 2.0 to 3.5 degree Centigrade increase in temperature, and the associated increase in precipitation, can lower agricultural GDP by 9 to 28 per cent (*Source: 12th Five Year Plan*). Significant negative impacts have been implied with medium-term climate change (2010-2039), predicted to reduce crop yields by 4.5 to 9 percent, depending on the magnitude and distribution of warming (*Source: NICRA – National Initiative on Climate Resilient Agriculture*).

1.3 In this context there is a need to promote a paradigm shift towards low-emission and climate-resilient development pathways by providing support to agriculture and rural development sectors to adapt to the impacts of climate change, taking into account the needs of vulnerable communities to the adverse impacts of climate change. These measures need to be taken up on a large enough scale over extensive regions in order to have meaningful impact in a time bound manner.

1.4 India has already shown its commitment to help address the global climate challenge and is signatory to United Nations Framework Convention on Climate Change (UNFCCC) and Kyoto Protocol. The Government has formulated the National Action Plan on Climate Change (NAPCC) in 2008 that provides for eight missions in specific areas of Solar Energy, Enhanced Energy Efficiency, Sustainable Habitat, Water, Sustaining the Himalayan Ecosystem, Green India, Sustainable Agriculture and Strategic knowledge for Climate Change to help the country adapt to the impacts of climate variability and change. The State Governments have also

prepared State Action on Climate Change (SAPCC) in line with the objectives of NAPCC. The SAPCCs focus on various sectors, such as agriculture, water, health, biodiversity, infrastructure, coastal areas, etc. In order to provide financial support for undertaking adaptation activities at state level.

National Adaptation Fund for Climate Change (NAFCC) has been established with an initial budget of Rs 350 crores for F.Y. 2015-16 to help in scaling-up climate change adaptation interventions in accordance with the NAPCC and SAPCCs.

1.5 The operational guideline presented below aims at providing modalities for accessing fund from National Adaptation Fund for Climate Change (NAFCC) by various Executing Entities through NABARD, which will act as National Implementing Entity.

2. Objectives of the NAFCC:

- I. Funding concrete adaptation projects/programmes aligned with the relevant Missions under NAPCC and the SAPCCs in agriculture, horticulture, agro-forestry, environment, allied activities, water, forestry, urban, coastal and low-lying system, disaster management, human health, marine system, tourism, habitat sector and other rural livelihood sectors to address climate change related issues.
- II. Preparing and updating climate scenario, assessing vulnerability and climate impact assessment
- III. Capacity building of various stakeholders on climate change adaptation and project cycle management and developing knowledge network
- IV. Mainstreaming the approaches/ learnings from project/programme implementation through knowledge Management

The project objectives should align with the fund outcomes described in the item II.

3. Project Definition:

3.1 The projects to be funded out of NAFCC will aim at implementation of adaptation measures/interventions in the given sector/sub-sector exclusively designed to reduce vulnerability. An adaptation project/programme is a set of activities aimed at addressing the adverse impacts of and risks posed by climate change. The activities shall aim at producing visible and tangible results on the ground by reducing vulnerability and increasing the adaptive capacity of human and natural systems to respond to the impacts of climate change, including climate variability. Projects/programmes to be supported under NAFCC should have

specific objective(s) and concrete outcome(s) and output(s) that are measurable, monitorable, and verifiable.

4. National Implementing Entity (NIE) and Executing Entities (EEs):

NABARD as NIE will be responsible for overall implementation of the project through its regional offices located in the states/UTs. Ministries/ Departments of Government of India and State Government Departments are the executing entities eligible to submit proposals for accessing fund from NAFCC.

5. FINANCING PRIORITIES UNDER NAFCC:

- i. The overall aim of the fund will be to support concrete adaptation activities which are not covered under on-going activities through the schemes of State and National Government that reduce the adverse affects of climate change facing community, sector and states.
- ii. The Adaptation Fund will assist States that are particularly vulnerable to the adverse effects of climate change in meeting the costs of adaptation through various projects. It will finance concrete adaptation projects and programs that are State driven and are based on needs and priorities identified under the SAPCCs and the relevant Missions under the NAPCC.
- iii. Adaptation projects can be implemented at the community, national, and trans-boundary level. Projects concern discrete activities with a collective objective(s) and concrete outcomes and outputs that are more narrowly defined in scope, space, and time.
- iv. The overall goal of all adaptation projects and programmes assisted under the Fund will be to support concrete adaptation activities that reduce the adverse effects of Climate Change facing communities and sectors. Provision of funding under the Fund will be based on, and in accordance with, the strategic priorities on Climate Change and as per allocation of the Scheme.
- v. As per the availability of budget, the funding will be provided on adaptation cost basis of projects and programmes to address the adverse effects of Climate Change. The cost of adaptation means the costs associated with implementing concrete adaptation activities that address the adverse effects of climate change. The Fund will finance projects and programmes whose principal and explicit aim is to adapt and increase climate resilience.

- vi. Upscaling / mainstreaming of technological innovations demonstrated under National Initiatives on Climate Resilient Agriculture (NICRA) can be funded under NAFCC
- vii. Size of the project with an indicative Cap of up to 25 crores

6. ELIGIBLE COMPONENTS / ACTIVITIES:

6.1 Projects with following components will be broadly eligible for support under NAFCC:

- i. Concrete adaptation measures / interventions, climate resilient technology transfer
- ii. Preparing and updating climate scenario, assessing vulnerability and climate impact assessment
- iii. Capacity building of various stakeholders including village communities on climate change adaptation and project cycle management and developing knowledge network
- iv. Stakeholder mobilization and organization
- v. Baseline survey through Participatory Rural Appraisal (PRA)/ Focused Group Discussions (FGD) etc.
- vi. Integration of Knowledge Management with the knowledge management cell created in the State with the financial support from Department of Science and Technology under National Mission on Strategic Knowledge
- vii. Inventorisation and adoption of traditional knowledge on adaptation

6.2 Apart from above project components, following programme management and execution components will be eligible for funding under NAFCC:

- i. Project formulation cost [to the extent of 1% of the outlay subject to a maximum of Rs.10 lakh per project] will form part of the project preparation cost as decided by the Steering Committee
- ii. Execution cost for Executing Entity as per the rules of Government of India
- iii. State Govts may constitute a multi-disciplinary Project Specific Team at the project location for effective implementation and monitoring

- iv. Project Cycle Management fee (@3%) for projects funded under NAFCC to National Implementing Entity (NIE) i.e. NABARD
- v. Cost of capacity building of stakeholders/workshops/seminars/meetings outside the project.

6.3 While formulating the project, the following aspects need to be taken into account:

- i. Level of vulnerability (supported by assessment reports)
- ii. Level of urgency and risks arising from delay (to be supported by evidence of people, resources affected)
- iii. Ensuring access to the fund in a balanced and equitable manner by involving stakeholders and appropriate allocations
- iv. Lessons learned in the project and programme design and implementation to be captured from similar project experience, if any
- v. Securing regional co-benefits to the extent possible, where applicable
- vi. Maximization of multi-sectoral and cross-sectoral coverage and benefits through integrated planning
- vii. Adaptive capacity to the adverse impact of climate change/variability to be supported by impact assessment methods/tools

7. MODALITIES FOR ACCESSING RESOURCES UNDER NAFCC:

7.1 PROJECT/ PROGRAMME PROPOSAL OUTLINE AND CONTENTS:

The Project Proposal will invariably contain information on the following parameters:

- i. Project/Programme Information
 - a) State
 - b) Sector/(s)
 - c) Title of the project/programme
 - d) Executing Entity
 - e) Total outlay of the Project (Rs. Lakh)
- ii. Project/Programme Background and Context (situation analysis)
 - a) Problem statement or challenge, the project intended to address
 - b) Relevant Climate change scenario (current and future climate) for the project area and sector covering all related sub-sector activities
 - c) Economic, social and environmental context

- iii. Project/programme objectives in detail,
- iv. Project/programme components,
- v. Costing of the Project (Component-wise),
- vi. Project/Programme Rational/Justification:
 - a) Justification of project components as concrete adaptation measures:
 - i. What is the business-as-usual development for the targeted sector?
 - ii. What are the projected climate change impacts?
 - iii. What are the specific adaptation activities to be implemented to reduce the climate change vulnerability compared to the business-as-usual situation?
 - b) Urgency and prioritization:

How and why was this particular project idea identified among the many alternatives that could have been addressed with the same funding?
 - c) Social, economic and environmental benefits of each component:
 - d) Sustainability of intervention:

How will the project assure that the benefits achieved through its investments are sustained beyond the lifetime of the project?
 - e) Weighting of project activities:

How much funding will be allocated to 'investment activities', 'capacity building activities' and 'project management activities' respectively?
 - f) Cost effectiveness:

A qualitative discussion of how the principle of cost effectiveness has been applied in the selection of the specific project activities among alternative options to achieve the same objective(s).
 - g) Alignment with national and state priorities
 - h) Technical Standards
 - i) Social and Environmental Risk Assessment
 - j) Details on stakeholder involvement and consultation
 - k) Sustainability and mainstreaming
- vii. Implementation Arrangement:
 - a. Who will implement the project and what are their comparative advantages and capacity compared to other potential implementing institutions?

- b. How will the project be coordinated with (and/or mainstreamed into) related development activities of the targeted sector?
- viii. Project risk management – financial, social and environmental,
- ix. Monitoring and evaluation plan (responsibilities, MIS, reporting, etc.)
- x. Result Framework:
 - Presenting the project in a way that is consistent with principles of results-based management, which implies a strong focus on directly linking all project activities to clear ‘measurable’ adaptation ‘outputs’, ‘outcomes’, and ‘impacts’.
- xi. Budget details and calculations, and
- xii. Implementation Schedule and disbursement schedule.

7.2 PROPOSAL FORMULATION & SUBMISSION:

- i. State Governments/Executing Entities will prepare Concept Notes in consultation with the NIE (NABARD) and submit with the endorsement of State Steering Committee on Climate Change to MoEF&CC, as per the template at Annexure-I
- ii. All the Concept Notes will be considered by the Technical Scrutiny Committee (TSC) at the MoEF&CC and recommendations will be provided by the TSC, MOEF&CC. The compilation of the TSC can be seen at Annexure-II.
- iii. On the basis of the recommendations of TSC, State Government Department (EE)/ NABARD, will prepare Detailed Project Report (DPR) of Adaptation Projects, and submit along with the appraisal report, before State Level Steering Committee (SLSC).
- iv. The SLSC will have to be set up, if not already exist, under the chairmanship of Chief Secretary and representatives of the relevant stakeholder department and NABARD. Provision for inviting subject specialist from Civil Society, NGO, and scientific/ technical institution depending of the requirement. Nodal officers for Climate Change Action Programme could be the convener.
- v. Projects with recommendation of SLSC will be forwarded by NABARD to MoEF&CC.
- vi. The National Steering Committee on Climate Change (NSCCC) chaired by Secretary (E,F&CC) will consider the project for approval and sanctioning of the funds for implementation of the project. The composition of NSCC can be seen at Annexure III.

7.3 PROPOSAL SANCTIONING:

- i. MoEF&CC on approval of NSCCC, and with the concurrence to IFD, will sanction and release total approved fund under the project to NIE (NABARD) for implementation of adaptation project.

8. PROGRAMME IMPLEMENTATION:

- i. On receipt of the Sanction Order from MoEF&CC, NABARD will coordinate with the Executing Entity (EE) and initiate the process for execution of the project under the oversight of the NIE (NABARD).
- ii. The fund flow from NIE (NABARD) to Executive Agency will be governed by financial management and accounting procedure of NIE (NABARD). The NIE (NABARD) will be responsible for submission of Expenditure Statement (ES) and Utilisation Certificate to the MoEF&CC. as per GFR of Government of India.
- iii. At the field level, State Government/Executing Entity will hold project inception workshop involving all the stakeholders. Details on project sanctioned, roles and responsibility, implementation and reporting mechanism, grievance redressal mechanism, etc. will be discussed during the workshop.
- iv. The project implementation period will normally be three to four years.
- v. All the projects will have a dedicated Project Coordinator and adequate field level technical & other staff as per requirement. This Project Team will be responsible for field level execution and progress reporting
- vi. Project implementation at field level will involve all the stakeholders and consultative process will be adopted
- vii. State Governments/Executing entities will draw implementation plans (activity wise) for half yearly interval and submit the same to NABARD.

9. FUND UTILISATION PLAN (NAFCC):

- i. Projects will be taken up for sanction on first-come-first-served basis. As such no separate State-wise allocation of fund will be made
- ii. Funds will be released to the State Government / EEs in instalments. First installment release would be based on half yearly action plan submitted for the project, whereas releases of subsequent installments would be based on utilization of earlier installments and on production of Utilization Certificate. The claim for the subsequent installments may be made on utilization of 75% of previous installment in order to ensure uninterrupted flow of fund to the project. Number of installments will be linked to project implementation period and a maximum of two installments per year will be disbursed

10. REPORTING, MONITORING AND REVIEW MECHANISM

- i. A mechanism will be developed to see the outcomes regularly by forming a committee under the chairmanship of Joint Secretary (Climate Change), MoEF&CC with Director (Climate Change), MoEF&CC, Director (IFD), MoEF&CC, representatives of National Implementing Entity and representatives from relevant states as members, to regularly monitor and evaluate the progress of the scheme.
- ii. Periodic reporting in a specified format will be advised at the time of sanction depending on the type of projects
- iii. State Government/Executing entities will submit the prescribed progress report to NABARD. NABARD in turn will apprise the State/National Steering Committee on the progress based on the report
- iv. Field monitoring will be done by NABARD in such a way that monitoring visits are undertaken before every releases or for a minimum of four times during the period of implementation.
- v. Programme with more than three years of implementation period will involve third party mid-term evaluation.
- vi. All the projects will have third party final evaluation with detailed analysis of output and outcomes of the projects. The third party agencies will be drawn from an accredited panel of experts/agencies.
- vii. Project Completion Report (PCR) will have to be submitted after completion of project period as per the format prescribed by NABARD.
- viii. NABARD will maintain data of the progress of all the projects in digital format at least for a period of 10 years from the date of completion.
- ix. Management of Information System (MIS) will be developed by NABARD for the management of the project.

11. NAFCC OUTCOME FRAMEWORK

Fund level outcome parameters will consist of the following:

- i. Reduced key risks and adverse impacts of climate change in water and agriculture sectors
- ii. Maximised multi-sectoral, cross-sectoral benefits/co-benefits to meet the challenges of water and food security
- iii. Human development, poverty alleviation, livelihood security an enhanced awareness of community

- iv. Strengthened institutional & individual capacity to reduce risks associated with climate-induced socioeconomic and environmental losses
- v. Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level
- vi. Increased adaptive capacity within relevant development and natural resource sectors
- vii. Increased ecosystem resilience in response to climate change and variability-induced stress
- viii. Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas
- ix. Improved policies and regulations that promote and enforce resilience measures



**Template for Project Proposal/Concept Note for funding
under National Adaptation Fund Ffor Climate Change
Submission**

| |
|--|
| Title of Project/Programme: |
| Project/Programme Objective/s: |
| Project/ Programme Sector: |
| Name of Executing Entity/ies/Department: |
| Beneficiaries: |
| Project Duration: Years Start Date: End Date: |
| Amount of Financing Requested (Rs.): |
| Project Location: State: District: |
| Contact Details of Nodal Officer of the Executing Entity/ies/: |
| Email: |
| Mobile: |
| |

1. PROJECT BACKGROUND

1.1 Project / Programme Background and Context:

- a) Provide brief information on the problem the proposed project/programme is aiming to solve.*

- b) *Outline the economic social, development and climate change in line with the State Action plan on Climate Change and relevant Missions under National Action Plan on Climate Change*
- c) *Include climate analysis and vulnerability analysis.*
- d) *Project Location details – villages, block/ mandal, district.*
- e) *Demographic details of the population – total population (for area in operation), sex- disintegrated data, small and marginal, etc.*

1.2 Project / Programme Objectives:

List the main objectives of the project/programme. (please define three / four main objectives for the project

1.3 Details of Project/ Programme Executing Entity:

- a) Name, Registration No. & Date, Registered Address, Project Office Address (for the proposed project)
- b) Available technical manpower for the proposed project implementation:
- c) Three largest Climate Change Adaptation Projects handled (if already implemented)

| Project | Objectives & geo. coverage | Amount Sanctioned | Funding Agency | Geographical Coverage | Implementation Period & Outcome |
|---------|----------------------------|-------------------|----------------|-----------------------|---------------------------------|
| | | | | | |

- d) Three largest community based NRM based projects handled
- e) Three largest Climate Change Adaptation / NRM projects of State / Central Government
- f) Comment of availability of suitable infrastructure for implementation proposed projects (vehicles, computers, required software/ tools, etc.)
- g) Whether Executing Entity (EE) was blacklisted, barred from implementation of projects, faced any charges / legal cases related to mismanagement of project and funds. (please list any such incidences and reasons):

1.4 Project / Programme Components and Financing:

Fill in the table presenting the relationships among project components, activities, expected concrete outputs, and the corresponding budgets.

| Project/Programme Components | Expected Concrete Outputs | Expected Outcomes | Amount (Rs) |
|--|----------------------------------|--------------------------|--------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |
| 6. Project/Programme Execution cost | | | |
| 7. Total Project/Programme Cost | | | |
| 8. Project/Programme Cycle Management Fee charged by the Implementing Entity | | | |
| Amount of Financing Requested | | | |

1.5 Projected Calendar:

Indicate the dates of the following milestones for the proposed project/programme (projects which have four or more than four years of implementation period would require to have mid-term review after two years of implementation).

| Milestones | Expected Dates |
|---|----------------|
| Start of Project/Programme Implementation | |
| Mid-term Review (if planned) | |
| Project/Programme Closing | |
| Terminal Evaluation | |

2.0 PROJECT / PROGRAMME JUSTIFICATION

a) Component-wise details and justification of the project components

- i. What is the business-as-usual development for the targeted sector?*
- ii. What are the specific adaptation activities to be implemented to reduce the climate change vulnerability compared to the business-as-usual situation?*
- iii. Please justify with regards to components as on the concrete adaptation activities of the project, and how these activities contribute to climate resilience*

b) Details on Economic, social and environmental benefits project / programme

(Reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations)

EE may like to use following table to present the key benefits

| Components/Activities | Key Benefits (Direct) | | |
|-----------------------|-----------------------|----------|---------------|
| | Social | Economic | Environmental |
| | | | |

c) Sustainability of intervention

- i. How will the project assure that the benefits achieved through its investments are sustained beyond the lifetime of the project?*

d) Analysis of the cost-effectiveness of the proposed project / programme:

- i. Cost effectiveness will compare alternative options available and how the proposed components/ intervention are best for given climatic conditions . It will also how the community has preferred the selected interventions and their views / concerns are addressed while designing the project/ programme*

The proposal should compare to other possible interventions that could have taken place to help adapt and build resilience in the same sector, geographic region, and/or community.

A comparison of the chosen option vis-a-vis alternative options may be provided as per the table given below:

| Activity | Proposed Alternatives | Benefits |
|----------|-----------------------|----------|
| | | |

| | | |
|--|--|--|
| | | |
|--|--|--|

ii. Weighting of project activities:

How much funding will be allocated to 'investment activities', 'capacity building activities' and 'project management activities' respectively?

| Type of Activity | List of Activities | Funding Requirement |
|-------------------------------|--------------------|---------------------|
| Investment activities | 1. 2. | |
| Capacity building activities | 1. 2. | |
| Project management activities | 1. 2. | |

e) Alignment with the National and State Action Plans and other Policies / Programmes:

(Describe how the project / programme is consistent with national or sub-national sustainable development strategies, including, where appropriate, national or sub-national development plans, poverty reduction strategies, national communications, or national adaptation programs of action, or other relevant instruments, where they exist)

f) Component wise technical standards:

(Describe how the project / programme meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, standards related to pollution control, etc. The details need to be provided for each of the interventions proposed)

| Activity | Applicable Standard | Application to project |
|----------|---------------------|------------------------|
| | | |

g) Duplication Check:

(Describe if there is duplication of project / programme with other funding sources, if any)

| Project | Objectives | Complementarity | Geographical Coverage/Agency |
|---------|------------|-----------------|------------------------------|
| | | | |

h) Details on Stake-holder consultation:

(Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to vulnerable groups, including gender considerations).

| Consultation | Date/ Place | Participation | Objective | Outcome |
|--------------|-------------|---------------|-----------|---------|
| | | | | |

i) Learning and knowledge management component to capture and disseminate lessons learned for the proposed project.

j) Sustainability of the project/programme outcomes has been taken into account when designing the project / programme.

| Expected outcomes | Expected concrete outputs | Sustainability mechanism | Responsible party/ies |
|-------------------|---------------------------|--------------------------|-----------------------|
| | | | |

k) Provide an overview of the environmental and social impacts and risks identified as being relevant to the project / programme.

| Checklist of environmental and social principles | No further assessment required for compliance | Potential impacts and risks – further assessment and management required for compliance |
|--|---|---|
| <i>Compliance with the Law</i> | | |
| <i>Access and Equity</i> | | |
| <i>Marginalized and Vulnerable Groups</i> | | |
| <i>Human Rights</i> | | |
| <i>Gender Equity and Women's Empowerment</i> | | |
| <i>Core Labour Rights</i> | | |
| <i>Indigenous Peoples</i> | | |
| <i>Involuntary Resettlement</i> | | |
| <i>Protection of Natural Habitats</i> | | |
| <i>Conservation of Biological Diversity</i> | | |

| | | |
|---|--|--|
| <i>Climate Change</i> | | |
| <i>Pollution Prevention and Resource Efficiency</i> | | |
| <i>Public Health</i> | | |
| <i>Physical and Cultural Heritage</i> | | |
| <i>Lands and Soil Conservation</i> | | |

3.0 IMPLEMENTATION ARRANGEMENTS

- a) Describe the arrangements for project / programme implementation.
- i. Who will implement the project and what are their comparative advantages and capacity compared to other potential implementing institutions?
 - ii. How will the project be coordinated with (and/or mainstreamed into) related development activities of the targeted sector?
- b) Describe the measures for financial and project / programme risk management (also include environmental and social risk, if any).

| Risk | Rating (High / Medium / Low, etc.) | Mitigation Measure |
|------|------------------------------------|--------------------|
| | | |

- c) Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan. (Monitoring and evaluation cost need to be included in executing entity management cost).

| Monitoring and evaluation plan Activity | Responsible person | Yr. I | Yr. II | Yr. III | Yr. IV | Total | Timeframe |
|---|--------------------|-------|--------|---------|--------|-------|-----------|
| | | | | | | | |

Also include notes supporting above proposed activities.
 Include notes on reporting mechanism for monitoring and evaluation.

- d) Include a results framework for the project proposal, including milestones, targets and indicators with gender disaggregated data (as per the format in annexure1).
- e) Include a detailed budget with budget notes, a budget on the Implementing Entity management fee use, and an explanation and a breakdown of the execution costs.

- f) Include a disbursement schedule with time-bound milestones at the component level

Annexure 1:

Table for Presenting the Result Framework:

| Outcome/Output | Indicator | Baseline | Target | Source of Verification | Risks and Assumptions |
|-----------------------|------------------|-----------------|---------------|-------------------------------|--------------------------------------|
| Component 1: | | | | | |
| Outcome 1: | | | | | <i>Assumptions:</i> <i>Risks:</i> |
| Output 1.1: | | | | | |
| Output 1.2: | | | | | |
| Output 1.3: | | | | | |
| Component 2: | | | | | |
| Outcome 2: | | | | | <i>Assumptions:</i> <i>Risks:</i> |
| Output 2.1: | | | | | |
| Output 2.2: | | | | | |

| Component 3: | | | | | |
|---------------------|--|--|--|--|--|
| Outcome 3: | | | | | <i>Assumptions:</i> <i>Risks:</i> |
| Output 3.1 | | | | | |
| Output 3.2 | | | | | |
| Output 3.3 | | | | | |
| Component 4: | | | | | |
| Outcome 4: | | | | | <i>Assumptions:</i> <i>Risks:</i> |
| Output 4.1: | | | | | |
| Output 4.2: | | | | | |
| Output 4.3: | | | | | |

**No. 14/48/2015-CC
Ministry of Environment, Forests & Climate Change
Climate Change Division**

**329, Prithvi Wing
Indira Paryavaran Bhawan
Jor Bagh Road, Aliganj
New Delhi -110003
Dated: 14th May, 2015.**

OFFICE MEMORANDUM

Subject: Constitution of Technical Scrutiny Committee for National Adaptation Fund for Climate Change (NAFCC).

MoEF & CC is responsible for implementation of the NAFCC through various activities on adaptation to climate change in a project mode. In order to assist the Steering Committee for reviewing the adaptation projects, it has been decided to set up a TSC comprising Experts from line Ministries/Department.

2. The composition of the TSC is as follows:

- (i) Shri Ravi Shankar Prasad - Joint Secretary (CC) - Chairman
- (ii) Representative of M/o Agriculture – Member
- (iii) Representative of M/o Water Resources – Member
- (iv) Representative of M/o Health - Member
- (v) Representative of D/o Expenditure - Member
- (vi) Dr. S. Satapathy, Director (CC) - Member Secretary

4. The Committee will be responsible for review of the technical and financial aspects of the adaptation projects submitted by State Government through NABARD as National Implementing entity (NIE).

5. The Committee will meet as and when required to review the projects or through circulation depending on the number of projects available for reviewing. The Committee will recommend the projects for consideration of the National Steering Committee on Climate Change.

Sd/-
(Dr. S. Satapathy)
Director (CC)
(T/F) 24695331

To

- 1. Secretary, Department of Agriculture & Co-operation M/o Agriculture, Krishi Bhavan, Dr. Rajendra Prasad Road, New Delhi,,110001**

2. Secretary, M/o Water Resources, River Development and Ganga Rejuvenation, Shram Shakti Bhawan, Rafi Marg, New Delhi, 110001.
3. Secretary, M/o Health & Family Welfare, Nirman Bhawan, C-Wing, New Delhi, 110001
4. Secretary, D/o Expenditure, M/o Finance, North Block, New Delhi, 110001
5. PPS to JS (CC)
6. PPS to AS (SK)

**No.3/1/2010-CCC
Government of India
Ministry of Environment & Forests
Climate Change Division**

**Paryawaran Bhawan
CGO Complex, Lodi Road
New Delhi**

Dated: September 26, 2011

**Subject: Reconstitution of the National Steering Committee (NSC) on Climate Change
...regarding**

National Action Plan on Climate Change (NAPCC) was launched by Prime Minister on 30th June, 2008. Prime Minister also called upon the State Governments to prepare State Level Action Plans for implementation of the NAPCC. Accordingly, the Government has advised the State Governments to prepare State Level Action Plan in a time bound manner with the support of appropriate experts/agencies working in the field.

2. Several requests/proposals from State Govts. and bilateral/multilateral agencies for approval of climate change related projects/ plans at the state level have been received. Many of the proposals follow different approaches and objectives for implementing projects. Funding sources and methodologies proposed to be employed are also different.

3. Having regard to the need to facilitate preparation and implementation of climate change related plans/projects at the State level in accordance with the principles and objectives of the NAPCC and to help the State/UT governments in preparing the State Level Plans while maintaining uniformity and coherence in approaches or methodologies of such projects/ plans, a National Steering Committee, with the following constitution, is set up to oversee and approve preparation/ implementation of such plans/ projects and provide guidance and assistance:-

1. Secretary (E&F) - Chairperson
2. Secretary, D/o Economic Affairs, M/o Finance or his/her nominee
3. Secretary, D/o Agriculture & Cooperation, Ministry of Agriculture or his/her nominee
4. Secretary, D/o Agricultural Research & Extension, M/o Agriculture or his/her nominee
5. Secretary, Department of Animal Husbandry or his/her nominee
6. Secretary, Department of Science & Technology or his/her nominee
7. Secretary, M/o New & Renewable Energy or his/her nominee
8. Secretary, M/o Water Resources or his/her nominee
9. Secretary, M/o Power or his/her nominee
10. Secretary, M/o Earth Sciences or his/her nominee
11. Secretary, M/o Urban Development or his/her nominee
12. Secretary, M/o Rural Development or his/her nominee
13. Secretary, M/o Tribal Affairs or his/her nominee

14. Director General, Forest, Special Secretary, MoEF
 15. Secretary, National Disaster Management Authority or his/her nominee
 16. Director General, Indian Council of Forestry Research and Education (ICFRE), Dehradun
 17. Special Secretary/ Additional Secretary (CC), MoEF, New Delhi
 18. Chief Secretary of State Government or their nominee (from 4/5 selected States to be decided by the Chairman).
 19. Chairman, Expert Committee on State Action Plan on Climate Change
 20. Joint Secretary (CC), MoEF – Member Secretary
4. The Terms of Reference of the National Steering Committee shall be as follows:
- 4.1 The National Steering Committee (NSC) will consider and approve the State Action Plan on Climate Change (SAPCC) in the light of advice received from the Expert Committee on Climate Change constituted in this Ministry under the Chairmanship of Adviser (Climate Change).
 - 4.2 The Committee will advise revision/amendment of the SAPCC, in accordance with agreed priorities for national development and relevant implementation funding mechanisms.
 - 4.3 The National Steering Committee will provide guidance and recommendations on preparation and implementation of projects sponsored/funded by multilateral and bilateral agencies.
 - 4.4 The Committee will review, monitor and evaluate of the progress of the SAPCC based on annual implementation plan submitted by the respective project authorities.
 - 4.5 The Committee will provide guidance on project design and integration of project activities with parallel activities or other projects having complementarily or similarity with the plans/projects envisaged in the SAPCC.
5. NSC will make suitable recommendations in respect of implementation and funding of SAPCC to Planning Commission or other relevant bodies for appropriate consideration.
6. The Committee may invite Experts and the State Governments as relevant to assist the committee in its deliberations and seek their views/ opinion.
7. Secretary or Representative of State (for which SAPCC documents/ project is under consideration) will be invited as a Special Invitee.
8. Adviser (Impact Assessment) and Adviser (Climate Change) in MoEF will be permanent invitees for the meetings of the NSC.
9. Representative of UNDP/GIZ/ADB/WB/DFID may be invited as needed, as Special Invitee to the meetings of the NSC.

Sd/-
(Dr. S. Satapathy)
Director (CC)

To

1. Secretary, D/o Economic Affairs, M/o Finance, North Block, New Delhi.
2. Secretary, D/o Agriculture & Cooperation, Ministry of Agriculture, Krishi Bhawan, New Delhi.
3. Secretary, D/o Agricultural Research & Extension, M/o Agriculture, Krishi Bhawan, New Delhi.
4. Secretary, Department of Animal Husbandry, Krishi Bhawan, New Delhi
5. Secretary, Department of Science & Technology, Technology Bhawan, New Mehrauli Road, New Delhi.
6. Secretary, M/o New & Renewable Energy, Block No.14, CGO Complex, Lodi Road, New Delhi.
7. Secretary, M/o Water Resources, Shram Shakti Bhawan, Rafi Marg, New Delhi.
8. Secretary, M/o Power, Shram Shakti Bhawan, Rafi Marg, New Delhi.
9. Secretary, M/o Earth Sciences, Block No.12, CGO Complex, Lodi Road, New Delhi.
10. Secretary, M/o Urban Development, Nirman Bhawan, New Delhi.
11. Secretary, M/o Rural Development, Krishi Bhawan, New Delhi.
12. Secretary, Department of Economic Affairs, M/o Finance, North Block, New Delhi.
13. Secretary, M/o Tribal Affairs, Shastri Bhawan, New Delhi.
14. Secretary, National Disaster Management Authority, NDMA Bhawan, A-1, Safdarjung Enclave, M/o Home Affairs, New Delhi.
15. Director General - ICFRE, Dehradun
16. Director General (Forest)-Climate Change
17. Special Secretary/Additional Secretary (CC), MoEF, New Delhi.
18. Adviser (Impact Assessment), MoEF, New Delhi.
19. Adviser (Climate Change), MoEF, New Delhi.
20. Chairman, Expert Committee on State Action Plan on Climate Change
21. Joint Secretary (CC), MoEF, New Delhi.
22. State Governments
23. Country Director, GIZ
24. Country Director, UNDP
25. Country Director, ADB
26. Country Director, DFID
27. Country Director, WB

Copy to:

1. PPS to Secretary (E&F), MoEF.

(Dr. S. Satapathy)
Director (CC)