



24 JUN 2016

United Nations Development Programme – INDIA

CPAP 2013-17

Annual Work Plan 2016

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Project Title: Energy Efficiency Improvements in Indian Brick Industry

Implementing Partner: Ministry of Environment, Forests & Climate change (MoEFCC)

UNDPSP Outcome(s): Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded and development are inclusive and sustainable, incorporating productive capacities

UNDP SP Output (s): Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy)

UNDP SP Indicators: Extent of change in: a) energy efficiency, and/or b) modern energy coverage by users and specific sectors

UNDAF Outcome(s): Government, industry and other relevant stakeholders actively promote environmental sustainability and enhanced resilience of communities in the face of challenges of climate change, disaster risk and natural resource depletion

Brief Description

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

The project aims to reduce energy consumption in production and promote use of resource efficient bricks, which will have several co benefits including reduced Greenhouse gas emissions. The major components of work include, (i) public sector awareness on resource-efficient products, (ii) access to finance for brick kiln entrepreneurs, (iii) knowledge on technology and marketing, (iv) availability of resource efficient technology models through Local Resource Centres, and (v) capacities of brick kiln entrepreneurs. This AWP is to consolidate inclusion of REB in BIS and including REBs in procurement guidelines by PSUs, preparation of 'Investment guide on REBs', supporting Brick kilns to become REB manufacturers and initiating terminal evaluation.

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, brokering, convening
- ✓ Changes in policies, plans, budgets and legislation through support to national assessment, planning, budgeting, policy making
- ✓ 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.

Brick kiln owners are main beneficiary who will have knowledge on REBs. Government officials will be another

Programme Period:	Oct 2013-Dec 2017
Key Result Area (Strategic Plan):	
Award ID:	00047625
Project ID:	00057405
Project Start date:	October 2009
Project End Date:	Dec 2016
PSC Meeting Date:	
Management Arrangements:	NIM

2016 AWP budget [GEF]:	136,057USD
Total funding:	1,999,000 USD
- GEF:	696,448 USD
- TERI [In kind]:	145,000 USD
- Brick Kiln units:	1,854,000 USD

Project Expenditure (USD)

Total Project Budget	Exp 2009	Exp 2010	Exp 2011	Exp 2012	Exp 2013	Budget 2014	Expenditure 2015	Budget 2016
696448	118,605	195,361	124,625	39,954	0	0	81,846	136,057

Agreed by (Implementing Partner):

Agreed by UNDP

(रवि शंकर प्रसाद)  
(RAVI SHANKAR PRASAD)  
संयुक्त सचिव/Joint Secretary  
पर्यावरण, वन एवं जलवायु परिवर्तन मंत्रालय  
Min. of Environment, Forests & Climate Change  
भारत सरकार, नई दिल्ली  
Govt. of India, New Delhi

Jaco Cilliers  
Country Director

## I. ANNUAL WORK PLAN

Year: 2016

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				PLANNED BUDGET			RESPONSIBLE PARTY
		Q1	Q2	Q3	Q4	Funding Source	Budget Description	Amount [USD]	
<b>AWP output 1: Providing inputs to revise REB standards in BIS guidelines, including REBs in public procurement guidelines.</b>  [Project Output 1. Enhancing public sector awareness]  <i>Indicator: Revision of REB in BIS</i> <i>Baseline: 0</i> <i>Target: 1</i>  <i>Indicators: Number of Public sector units including REB in procurement guidelines</i> <i>Baseline: 0</i> <i>Target: 1</i>	1.1 Prepared and submitted REB specifications to Include in BIS standards (IS: 2222-1991) (all activities to include REB specs in BIS are completed and BIS issues notification including REBs).	X	X	X		GEF	71300 Local consultants	7,500	TERI
	1.2 Procurement guidelines prepared for inclusion of REBs as part of procurement by Public departments			X			GEF	71300 Local consultants	7,500
<b>AWP output 2: Prepare Investment guide on REBs and sensitising Financing Institutions to lend for REB manufacturing</b>  [Project Output 2. Access to finance for brick kiln entrepreneurs] <i>Indicators: Investment guide on REB</i> <i>Baseline: 0</i> <i>Target: 1</i>  <i>Indicator: No. of workshops</i> <i>Baseline: 0 in project</i> <i>Target: 1</i>	2.1 Finalise "Investment guide on REBs" describing (i) composition, characteristics, specifications, construction aspects of REBs, benefits of REB vs normal bricks (ii) system configuration for three most common capacity of REB manufacturing units, (iii) Investments in REB production, and (iv) vendors. Printed 1000 copies for distribution.	✓	✓	✓		GEF	71300 Local consultants	10,000	TERI
	2.2 Identify national and regional financial institutions and conduct one workshop for FIs	✓	✓	✓	✓	GEF	71300 Local consultant	6,000	TERI

<b>AWP output 3: Prepare reports on (i) Resource audit of REBs Vs solid bricks and (ii) Market assessment of REBs production and demand in India</b>  [Project Output 3. Improved knowledge on technology including marketing]  <i>Indicators: No. publications</i> <i>Baseline: 0</i> <i>Targets: 2</i>	1.1 Develop a report based on actual results of Resource audit of REB producing units [primarily soil and energy] Vis-à-vis normal bricks <sup>2</sup> (at least 6 project units) Contract value: 17,000 USD [8900 USD already paid]	✓	✓	✓	✓	GEF	71300 Local consultants	8941	TERI/UNDP
	1.2 Assess annual production of REBs (including the ones TERI provided technical assistance under the project) and prepare a synthesis report on "Market assessment of REBs production and demand in India" <sup>3</sup> (based on market assessment including strategies for market development) Contract value: USD 14,000 [USD 4150 already released]	✓	✓	✓	✓	GEF	71300 Local consultants	9,692	Greentech/UNDP
<b>AWP output 4: At least 3 REB manufacturing units get established</b>  [Project Output 4. Availability of resource efficient technology models in 5 regions through Local Resource Centres]  Indicator: No. of new REB units established under the project Baseline: 0 Target: 3	4.1 Support establishing 3 REB units <sup>4</sup> (Identify brick kiln units ready to implement REBs, prepare baseline of production and resource uses, facilitate sourcing of plants and machinery for these units, facilitate commissioning, monitor and prepare post commissioning measurements)	✓	✓	✓	✓		71300 Local consultants	47,854	PSCST/UNDP
	<b>AWP output 5: At least 25 REB Investment Plans prepared</b>  [Output 5. Improved capacity of brick kiln entrepreneurs] Indicator: No. of investment plans prepared for REBs Baseline: 0 Target: 25	5.1 Prepare investment plans for 25 REB unit (conduct 4 to 5 awareness seminars, one to one meetings, organise 2 training programs, conduct 2 exposure visits within India) Contract value of 4.1 & 5.1 about 95,000 USD, released 48,000 USD	✓	✓	✓	✓			72300 Material & Goods

<sup>2</sup> Activity includes, resource audit for 4 REB and 2 normal bricks. The audit should cover both during firing and production. Duration of audit should be one complete cycle of production per unit. Both energy and soil should be covered.

<sup>3</sup> The activity includes survey of sample REBs that are not included in the project as well, may be 1 to 2 in each cluster. Five original project clusters and five other clusters may be covered. To get a larger picture of overall production of REBs, meeting with association can be one of the tool. The survey can be done through questionnaire, primary and secondary surveys. Based on the information, analysis, a roadmap for popularizing REBs can be prepared.

<sup>4</sup> The activity includes providing support to existing 9 manufacturers so that they produce significant portion of their production is

	5.2 Develop promotional material and documentation of the project and conducting a National level workshop on resource efficient bricks (150 participants, Public sector, architects, builders, bankers and other stakeholders) to create awareness Contract value: USD 25,000, released USD 4,000	✓	✓	✓	✓		71400 contractual services	20,565	ADCS/ UNDP
Output 6. Monitoring, Learning and evaluation	6.1 Terminal evaluation	✓	✓	✓	✓		71300 Local & International consultants	2,082	UNDP
	<b>Sub-total: Project Management Cost</b>						<b>Sub total</b>		UNDP
Annual Audit, Micro assessment costs <sup>5</sup>								136,057	UNDP
<b>TOTAL</b>									
							<b>Communication (only in case of non-core) (up to 1%)</b>		
							<b>Other cost (Security, etc)</b>		
							<b>DPC/DE</b>		
							<b>GMS (as applicable)</b>		
							<b>AWP Grand Total in USD</b>	136,057	

**Account code details**

71200 International consultants	72200 Equipment and Furniture	73000 Overhead expenses
71300 Local consultants	72300 Material & Goods	74000 Miscellaneous and operating expense (audit, legal, professional services, etc.).
	72400 Communication & Audio visual equipment	74500 – Misc.
71400 contractual services	72700 Hospitality	75000 Facilities and Administration
71600 Travel	72800 Information technology equipment	
72100 Contractual services-companies	72500 Supplies; 72600 Grants	



## B. Monitoring and Evaluation Plan

### Monitoring Plan

Monitoring Visit	Time Frame				By whom	Place	Purpose	Expected Outcome	Resources
	Q 1	Q2	Q3	Q4					
Field Visit 1									
Field Visit 2									
Field Visit 3									
Field Visit 4									
Field Visit 5									

### Evaluation Plan

Evaluations/Assessments/ Reviews Planned for this year	Time Frame				By whom (External or Internal)	Purpose and how the evaluation/assessment/reviews results & Recommendation will be utilized	Resources
	Q1	Q2	Q3	Q4			
Evaluation/Assessment 1							
Evaluation/Assessment 2							
Evaluation/Assessment 3							
Evaluation/Assessment 4							
Evaluation/Assessment 5							

### III. Recruitment Plan 2016

*(Include all the recruitments envisaged by the project in AWP 2016 - including national and international staff positions that are vacant or newly created)*

Project ID: \_\_\_\_\_ Project Title: \_\_\_\_\_

To be provided by HR



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

### Fund Flow Arrangements and Financial Management:

Under the National Implementation (NIM), as per the existing programme management arrangements, funds will be channelled through the accounts of the Government of India i.e. UNDP would transfer funds to CAAA as per the approved Annual Work Plan. IP shall make suitable provisions in its annual budget to receive UNDP funds.

- Funds would be reimbursed to CAAA based on the request from the IP. The request from IP will come on the standard Fund Authorization and Certificate of Expenditures (FACE) form duly signed by the National Project Director or person assigned/delegated by IP. No funds shall be released by UNDP without prior submission of a duly filled and signed FACE form. Unspent funds from the approved AWP's will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly.
- Separate books of account shall also be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail.
- Funds can also be transferred as: a) direct payment to vendors or third parties for obligations incurred by the Implementing Partners (MNRE) on the basis of requests signed by the designated official of the Implementing Partner; and b) direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners. Advance fund transfers shall be requested and released for programme implementation periods not exceeding three months. UNDP shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts. Also Partner needs to report interest earned immediately to UNDP through next submitted FACE Form.
- The Implementing Partner may request UNDP to provide support services for project implementation. These services may include procurement, recruitment, purchase of goods and services, and organisation of training activities and workshops. UNDP recruitment and procurement rules and regulations will apply for the services provided. All direct costs which are attributable to the provision of these services (direct project costs) will be charged to the project in accordance with in accordance with the policies decided by UNDP decided by UNDP's Executive Board.
- Books of account shall be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail. Any interest accrued on the project funds during the project cycle will be ploughed back into the project in consultation with Implementing partner and UNDP and project budgets will stand revised to this extent. If there is no scope for ploughing back the interest will be refunded to UNDP.

**Audit:** In support of fiduciary good practice and to facilitate scheduled and special audits, Implementing Partner receiving funds from UNDP will provide UNDP or its representative with timely access to: a) all financial records which establish the transactional record of the fund transfers provided by UNDP; and b) all relevant documentation and personnel associated with the functioning of the Implementing Partner's internal control structure through which the fund transfers have passed. The findings of each audit will be reported to the Implementing Partner, DEA and UNDP. As part of the process, each Implementing Partner will: a) receive and review the audit report issued by the auditors; b) provide timely statements of the acceptance or rejection of any audit recommendation to the UNDP that provided the funds; c) undertake timely actions to address the accepted audit recommendations; and d) report on the actions taken to implement accepted recommendations to the UNDP on a quarterly basis.



**Project Closure:** Project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities completed. Through the PSC, the implementing partner notifies the UNDP when this has been done. When a project is operationally complete, the parties must agree on the disposal of any equipment and complete the transfer of assets under the project. Projects will be financially completed when the Implementing Partner has reported all financial transactions to UNDP so that the project accounts can be closed. UNDP and the Implementing Partner will certify a final Combined Delivery Report. Projects will be financially completed not more than 12 months after being operationally completed. Between operational and financial closure, the Implementing Partner will be required to identify and settle all financial obligations and prepare a final expenditure report. No adjustments can be made to a financially completed project

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## II. 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. **QUARTERLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief quarterly updates on progress against planned activities and budgets. These reports will be provided in the format provided in section II, B of this document. 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. **A terminal evaluation** will be conducted to capture the progress, the results and the learning. It is aimed to commission the study at least 4 to 6 months prior to the project closure. It will be commissioned as per UNDP guidelines.
- E. **ANNUAL REVIEW REPORT:** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format in 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

## VI. Planning, Monitoring and Reporting

The project will follow the following planning, monitoring and reporting cycle during the year.

Timeline /Target Date	Activity	Primary Responsibility
15 January 2016	Submit final Annual Progress Report 2015 to UNDP	Project Director/ Project Manager
10 Jan 2016	Finalisation of audit plans	RPU in consultation with Program Units
1 Feb-15 Mar. 2016	Annual audit of the project	RPU-Program Unit
07 April 2016	Quarterly Progress Reports, including:	Project Manager
07 July 2016	a) Report on project progress and financial delivery (FACE	/Program Officer, M&E
07 October 2016	forms)	
07 January 2017		
31 July 2016	Organise Project Steering Committee as agreed in the Prodoc. (Mid-year review of project progress and, if needed, revision of the AWP)	Project Director/ Project Manager/
30 November 2016	IRRF, IWP and ROAR updates	M&E and Program Units
30 November 2016	Organise Project Steering Committee to:	Project Director/ Project Manager
	a) Review of project contribution to results and financial delivery 2016;	
	b) Review and endorsement of AWP 2017	

## ANNEXES

Annex 1: Cost sharing agreements signed with donors/government (if any)

Annex 2: Project cooperation agreement signed with NGOs (if any)

Nil

Annex 3: Agreements between the Implementing Partner and Responsible Parties (Government entities, NGOs, etc), if any  
**Prodoc signed for whole project duration.**