

UNDP-CICETE

Energy Conservation Promotion Project

2014.04.23

NingBo • China



United Nations Development Programme
Country: **China**
Project Document

Project Title:	UNDP-CICETE Energy Conservation Promotion Project
UNDAF Outcome(s):	Government and other stakeholders ensure environmental sustainability, address climate change, and promote a green, low carbon economy.
Expected CP Outcome(s):	Low carbon and other environmentally sustainable strategies and technologies are adapted widely to meet China's commitments and compliance with Multilateral Environmental Agreement
Expected Output(s):	Energy Conservation per unit GDP decreased
Executing Entity:	China International Centre for Economic & Technical Exchanges (CICETE)
Implementing Agencies:	China International Centre for Economic & Technical Exchanges (CICETE)

Brief Description

Energy, environment and low carbon have been recognized essential for the development of Chinese economy and society. In recent years, with the rapid economic growth, energy consumption grew rapidly, and the sharing of coal in energy consumption kept high, which have put heavy burden on the realization of environmental and low carbon goals. In China, energy conservation could be an important instrument to achieve the energy utilization target, since the energy utilization efficiency in China is significantly lower than those in developed countries. There are a number of measures could achieve significant energy conservation effects, such as the promotion of the use of energy conservation products, the development of high efficiency electric vehicle, etc. Government, enterprises and industrial associations could play very important roles in the promotion of energy conservation technologies and management in these areas. Partnership among them could be created to speed up the process.

Considering the badly needs of policy incentives, as well as the deficiencies in technology innovation, enterprise management, market promotion, training and others, in this project, a number of activities in policy study, training and product promotion were designed, to overcome the deficiencies, and promote the development of Energy Conservation technology, industry and products. This project, which will be implemented in China, is a joint cooperation between the China International Centre for Economic and Technical Exchanges of Ministry of Commerce (CICETE), UNDP.

Programme Period: 2014 to 2016

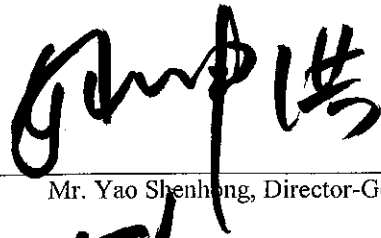
Key Result Area (Strategic Plan):
Energy, Environment and Climate Change
Project ID: 00089499
Atlas Award ID: 00079526

Start date: April 1, 2014
End Date: December 31, 2016

Management Arrangements: NEX

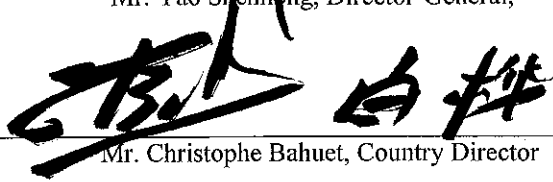
Total resources required: USD 1,670,000
Total allocated resources: USD 1,670,000

Agreed by CICETE



Mr. Yao Shenhong, Director-General,

Agreed by UNDP



Mr. Christophe Bahuet, Country Director

I. Situation Analysis

Energy, environment and low carbon have been recognized essential for the development of Chinese economy and society. In recent years, with the rapid economic growth, energy consumption grew rapidly, and the sharing of coal in energy consumption kept high, which have put heavy burden on the realization of environmental and low carbon goals. In China, energy conservation could be an important instrument to achieve the energy utilization target, since the energy utilization efficiency in China is significantly lower than those in developed countries. There are a number of measures could achieve significant energy conservation effects, such as the promotion of the use of energy conservation products, the development of high efficiency electric vehicle, etc. Government, enterprises and industrial associations could play very important roles in the promotion of energy conservation technologies and management in these areas. Partnership among them could be created to speed up the process.

Although efforts have been made, the development of energy conservation industry in China is still facing barriers. The policies initiated by governments focused mainly short term development. The support for long-term development is not sufficient. Especially, the support for technology R&D needs to be strengthened.

Considering the badly needs of policy incentives, as well as the deficiencies in technology renovation, enterprise management, market promotion, training and others, in this project, a number of activities in policy study, training and product promotion were designed, to overcome the deficiencies, and promote the development of energy conservation technology, industry and products.

The executing and implementing agencies appreciate greatly for the donation of 10,000,000 RMB (\$1,670,000) by Ningbo Klite Electric Manufacture Co., Ltd for this project. The donation will be used in the implementation of the project activities and project management.

II. Strategy

In the design of this project, we considered the current situation, including successful stories and failures, and tried to solve the existing problems through detailed design of the activities of the project.

In the process of the implementation of the project, the project team will keep close contact with the key stakeholders of the project. For all activities, comments from them will be received, in order to achieve better outputs.

In promotion and information dissemination area, detailed design will be made for attending major international lighting exhibition, as well as for activities which will be carried out during the exhibition, such as publicity showcasing, experience exchanges between domestic and international experts. Technology innovation competition is an effective way of promoting exchange and dissemination of relevant techniques. In this project, detailed discussion and design for the technology competition with all parties will be made.

The Chinese government is re-examining its energy development strategies together with long-term economic strategies. Besides the national reduction targets set in China's 12th Five Year Plan (FYP), China's State Council further announced the "12th Five-Year Plan for Energy Development" in January 2013. The plan summarizes China's major achievements in energy development in the 11th FYP, and clarifies national energy policy priorities through an

ambitious set of infrastructure and market targets in the 12th FYP. One of the important mechanisms for China's energy development is through energy efficiency improvement and energy conservation, which are identified as the most effective ways to manage and restrain the growth in energy consumption and reduce emissions globally

In the area of technology capability improvement and demonstration project, a number of activities will be implemented, in order to solve the problems such as poor technical ability, low resource and energy efficiency, serious pollution, as well as low market share. Overseas study tours will be arranged, and experts from developed countries will be invited to give technical training courses. Joint researches with universities in China on energy conservation technologies will be made. Feasibility study for demonstration base construction will be made. Besides, a technology innovation competition for domestic energy conservation enterprises will be arranged. All these activities could help improve the technology ability of energy conservation enterprises in China.

The implementation of this project will promote the development of energy conservation industry in China significantly, and strengthen the competition ability of them in the whole world. At the same time, it will generate significant energy conservation, low carbon and environmental effects, and promote the realization of eco-civilization and sustainable development goals. In addition, this project will also contribute to the employment and other relevant areas in China.

Outcome 1: Improving information dissemination among manufacturers and customers

Information dissemination is one of the important incentives for the development of LED industry. It could help promote the spreading of advanced technologies and products, and help government and the public to know the importance of the LED industry in energy conservation and pollution reduction. In this project, LED enterprises will be organized to participate in large scale international lighting exhibition, such as those in Germany, the US and Hong Kong. During the exhibition period, besides the renting of exhibition stands, other information dissemination activities will be organized. Experts will be invited to introduce the progress of Chinese LED enterprises in LED technology innovation and development. Experiences in China and other countries will be exchanged among the participants of the exhibition. Besides, a special sector on Technology Competitions on Innovation will be held. Technology innovation winner will be selected through certain appraisal. Press conferences and other information dissemination activities will be held. All these activities could provide sound information and technology dissemination opportunities, and will promote the development of LED industry in China. The cooperation between CICETE and UNDP communication team will be explored.

Outcome 1 will have the following outputs:

- Output 1:** Increasing the understanding of domestic and abroad users on the LED enterprises in China, through the participating of large scale international lighting exhibition and the information dissemination and experience exchange activities.

- Output 2:** Disseminate the best practices of technology innovations for over 20,000 LED enterprises in China, through the holding of a special sector on Technology Innovation Competition and relevant public promotion campaign

Outcome 2: Research and Practice of Capability Development for personnel in government agencies on energy conservation management

Energy conservation for government agencies has led the whole society to the direction of energy-saving, high energy-efficiency and a conservation-oriented society construction. This project is aimed at promoting the levels on energy conservation of government agencies, regulating the behavior of energy using and speeding the capacity improvement for energy conservation on the current bases up to the realization of the goals set in the 12th Five year plan needs. To improve the related personnel capability, this project is designed involving the activities of policy study, the close cooperation with government agencies at different levels, research of present policies and regulations on energy conservation, research of the technology for energy-saving and the implementation effects. The research will be conducted through the investigation, conference, workshop and use of the practice achievements and experiences of the advanced government agencies aboard on energy conservation policies.

Outcome 2 will be implemented by National Government Offices Administration (NGOA), and executed by China Quality Certification Center (CQC).

Outcome 2 will have the following outputs:

Output 3: Develop the requirements of capability improvement for personnel in government agencies on energy conservation management through conferences and workshops together with the international study tours for learning the policies on energy conservation, practice achievements and experiences of the advanced government agencies aboard.

Output 4: Carry out the training activities for capability improvement to personnel of the education and health government agencies at different levels.

Outcome 3: Providing assistances in technology capacity building and demonstration project development

Building technology capacity and initiating demonstration projects are always important tools for China to promote the development of certain sectors. In recent years, with the policy supports from the government and the efforts from the enterprises, progresses have been made in technology capacity building. However, they are still insufficient, especially considering that many problems still exist in LED industry. For example, small scale and large quantity of enterprises are always big problems in this industry. Technology levels are poor. The qualities of their products are not high. Environmental pollution and low resource utilization efficiency are also problems. Therefore, in this project, a number of activities will be organized, in order to promote the building of technology capability, and the initiating of the demonstration projects. The activities are: Selected management and technical personnel in LED enterprises will be involved in study tours in major LED production countries, to learn the experiences in these countries. The study tours will be led by sector associations in LED industry. Study reports will be prepared and will be submitted to the government agencies at different levels; International experts in LED area will be invited to give training courses in China; Joint researches between LED enterprises and universities on technology innovation will be organized; Feasibility study of demonstration sites construction will be made; Technology Innovation Competition will be organized for over 20,000 LED enterprises. The above mentioned activities

could help improve the technology capability of LED enterprises in China, and promote the construction of demonstration projects.

Outcome 3 will have the following outputs:

- Output 5: Introducing international R&D best practices through study tours abroad and trainings inside China given by international experts
- Output 6: Development of R&D capabilities through partnership and joint research between industry and academic society.
- Output 7: Improvement of future demonstration project implementation capabilities through training, feasibility studies and plans for new energy conservation and low carbon plants.

III Results and Resource Framework

Intended Outcome as stated in the Country Programme Results and Resource Framework:

Low carbon and other environmentally sustainable strategies and technologies are adapted widely to meet China's commitments and compliance with Multilateral Environmental Agreements

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

Indicators: *Cumulative CO2 emissions reductions from 2011-2015; Baseline: 2011 Zero; Target: 2015 under UNDP supported project, a 70 million tones CO2 reduction*

Applicable Key Result Area (from 01/01/2014 to 31/12/2015 Strategic Plan): Energy, Environment and Climate Change

Project title and ID (ATLAS Award ID): 00089499 UNDP-CICETE Energy Conservation Promotion Project

INTENDED OUTPUTS	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Outcome 1: Improving information dissemination among manufacturers and customers				
<p>Output 1:</p> <p>Increasing the understanding of domestic and abroad users on the LED enterprises in China, through the participating of large scale international lighting exhibition and the information dissemination and experience exchange activities.</p> <p>Baseline: The understanding of domestic and abroad users on LED enterprises in China is weak, especially on the energy efficiency situation, quality of the products, and technological levels, etc..</p> <p>Indicators: 1. Development of action plan of comprehensive public campaign to promote LED products and manufacturers 2. Completion of an international exhibition of LED technologies and industries.</p>	<p>(1) Action plan of comprehensive public campaign to promote LED products and manufacturers.</p> <p>(1) International exhibition is put on-show with at least 50 attendants internationally.</p>	<p>Activity 1: Development of action plan of comprehensive public campaign to promote LED products and manufacturers</p> <p>(1) Invite experts to conduct the technical research of current industry, administration, customer interaction, study the best practices abroad, develop the strategy and action plan to further strengthen the partnership among the above stakeholders and the public awareness of the industry..</p> <p>(2) Organize 1-2 expert workshops to review and finalize the action plan.</p> <p>(3) Continually improve the action plan according to implementation feedback, and coordinate the issue of updates.</p> <p>Activity 2: Development and opening of international exhibition: (1) Organization panel and advisory panel are put in place with the involvement from members of the industry, academic society, administration, and customers . (2) Develop the work plan of the exhibition . (3) Call press conference to announce the event to draw public and industrial involvement.. (4) Advisory panel review the shortlist of candidate participants and finalize the participants..</p>	<p>CICETE UNDP</p> <p>CICETE UNDP</p>	<p>100,000</p> <p>260,000</p>

3. Conduct a series of workshops and forums to develop the dialogues and partnership among industry, administration and customers (association, distributors, end users) and media.		(5) Open and run the exhibition.		
	(1) At least 2 workshops were held with totally 100 attendants from industry, administration and customers (association, distributors, end users) and media.	Activity 3: Organization of information dissemination workshops and forums (1) Organize 2-3 workshops/forums to develop the dialogues and partnership among industry, administration and customers (association, distributors, end users) and media.	CICETE UNDP	160,000
	Subtotal			520,000
Output 2: Disseminate the best practices of technology innovations for over 20,000 LED enterprises in China, through the holding of Technology Innovation Competition and relevant public promotion campaign. Baseline: There is lack of good channels in disseminating the best practices of technology innovations for Chinese LED enterprises. In the existing Technology Innovation Competition and relevant public promotion campaigns, LED has never been involved as an independent sector. Indicators: 1. Development of implementation plan to organize the national technology innovation competition. 2. Public awareness of the event and follow-ups 3. The competition is put in operation.	(1) Implementation plan to organize the national technology innovation competition. (2) Press conference with at least 5 members of media (newspapers and TV channels) will be invited to attend the conference..	Activity 1: Development and public promotion of implementation plan to organize the national technology innovation competition (1) Organizational panel and steering panel are put in place. (2) Develop the implementation plan to organize the competition. (3) Call the press conference to announce the guidelines and rules of the competition and draw public and industry involvement..	CICETE UNDP	40,000
	(1) The competition is held with at least 200 nationwide candidates.	Activity 2: The opening and running of Competition: (1) Collect the proposals from candidates. (2) Review and screening of proposals by the Steering panel. (3) Finalize the winners and Grant awards. (4) Call press conference to publically announce the results..	CICETE UNDP	60,000
	Subtotal			100,000
	Outcome 2: Research and Practice of Capacity Development for personnel in government agencies on energy conservation management			
Output 3: Completing the personnel capability requirements analysis through the investigation on current status of energy management in government agencies at national and local levels, conference, workshop together with the international study tours for learning the policies on energy conservation, practice achievements and experiences of the advanced government agencies aboard. Baseline: Energy management of government	(1) Learning the national and foreign policies and regulations, the personnel capability requirement and the current status through the investigation	Activity 1: (1) The formation of the project team (2) Carry out sampling survey and research activities within the relative areas in government agencies at national and local levels of different industries Collecting the national and foreign policies and regulations on energy conservation and learning the personnel capability requirement and the current status	NGOA/CQC	30,000
	(2) Research report of personnel capability gap analysis	Activity 2: (1) Collecting and processing the data Organizing at least 1 workshop (2) Completing at least 1 research report on personnel capability gap analysis	NGOA/CQC	20,000

<p>agencies has been listed in the important items on energy conservation of China. Obviously the problem that lacking of the competent personnel on energy conservation in government agencies has caused concern.</p> <p>Indicators: 1. Learning the national and foreign policies and regulations, the personnel capability requirement and the current status through the investigation 2. Research report of personnel capability gap analysis 3. Developing the project proposal on personnel capability improvement according to the research report</p>	(3) Developing the project proposal on personnel capability improvement according to the research report.	Activity 3: (1) Organize the experts to discuss and develop the proposal on personnel capability development (2) Establishing the training system of personnel capability development at different industries and levels	NGOA/CQC	70,000
	Subtotal			120,000
<p>Output 4: Carrying out the training activities for capability development to personnel of the education and health government agencies at different levels.</p> <p>Baseline: Although a part of the personnel of government agencies have taken the training of the knowledge on energy conservation, the systematic training of policies and regulations interpretation and practice capability are badly needed at present.</p> <p>Indicators: 1. Development of training courses on energy conservation management for government agencies 2. Implementation of training session 3. Project Acceptance</p>	(1) Developing the training courses for energy conservation of the education and health government agencies	Activity 1: (1) The formation of the experts team and conduction to training courses development (2) Holding meetings to assess the training courses (3) The competency evaluation to trainers and the formation of trainers team	NGOA/CQC	20,000
	(2) Organizing the training session for colleges / universities and hospitals respectively At least 100 trainees of related industries	Activity 2: (1) Implementation of the training sessions (2) Establishment of the trainees' information files (3) Evaluation of the training effects and improvement of training courses when necessary	NGOA/CQC	20,000
	(3) Completing acceptance and submission of the project acceptance report	Activity 3: (1) The competency evaluation to trainees from government agencies conducted by related experts (2) The project evaluation report of capability development for personnel in government agencies (3) Project improvement on capability development for personnel in government agencies according to the project evaluation report	NGOA/CQC	10,000
	Subtotal			50,000
<p>Outcome 3: Providing assistances in technology capacity building and demonstration project development</p>				
<p>Output 5: Introducing international R&D best practices through study tours abroad and trainings inside China given by international experts.</p> <p>Baseline: The understanding about the development of LED technologies in other countries is weak. Especially, the study of advanced LED technologies through study tours</p>	(1) At least 1 study tour with at least 10 members from related enterprises. (2) 1 Study report and 1 training material.	Activity 1: Organize study tour abroad on LED R&D and manufacturing technologies, (1) Invite expert to develop work plan, based upon the survey of gaps between China and international best practices on R&D and manufacturing technologies, identify the issues to be addressed by the mission and candidate countries to visit. (2) Conduct study tour: The study tours will be leaded by sector associations, selected management and technical personnel in LED enterprises will be involved in the study tours to learn the experiences in these countries.	CICETE UNDP	80,000

<p>abroad and trainings inside China is very weak.</p> <p>Indicators: 1. Study tour abroad. 2. Training of national manufacturers and research institutions on R&D technologies and manufacturing/management techniques.</p>		(3) Develop and submit mission report to PMO and circulate among key stakeholders..		
	(1) At least 1 training sessions with international/national trainers to 20 trainees of related manufacturers and R&D institutions. (2) 1 Study report and 1 training material.	Activity 2: Conducting training of national manufacturers and research institutions on R&D technologies and manufacturing/management techniques, (1) Invite international/national experts to develop the training materials'; (2) Conduct trainings to selected LED manufacturers and R&D institutions	CICETE UNDP	100,000
	Subtotal			180,000
<p>Output 6: Development of R&D capabilities through partnership and joint research between industry and academic society</p> <p>Baseline: Currently, the partnership in LED area between industry and academic circles is very weak, and joint researches between them are also weak.</p> <p>Indicators: 1. Survey and evaluation of current relationship and liaison between industry and academic society 2. Development of action plan to further strengthen the partnership of LED industry and related academic society. 3. Joint actions to improve the cooperation of LED manufacturers and research institutions</p>	(1) Survey and evaluation report (2) action plan	Activity 1: Development of action plan to further strengthen the partnership of LED industry and related academic society (1) Invite experts to conduct survey and evaluation of current relationship and liaison between industry and academic society. (2) Call the dialogue between the R&D institutions and industries and other key stakeholders to review and refine the findings of the research (3) Based upon the research, develop the action plan to further improve industry/academic society partnership and cooperation	CICETE UNDP/	50,000
	(1) At least 1 joint research feasibility study report; (2) At least 1 joint research proposal (3) At least 1 joint research progress report	Activity 2: Conducting joint research: (1) PSC will guide the screening of candidate manufacturers and R&D institutions for further joint activities; (2) The selected candidates will develop their feasibility study report and joint research proposals; (3) PSC will evaluate the reports and proposals, and identify the joint research that will be financially supported by the project; (4) The joint research will be kick-off, and annual progress report according to the original work plan will be submitted to the PMO.	CICETE UNDP	300,000
	Subtotal			350,000
<p>Output 7: Improvement of future demonstration project implementation capabilities through training and feasibility studies.</p> <p>Baseline: There is no existing demonstration project for energy conservation and low carbon plant in LED industry.</p> <p>Indicators: 1. Development of action plan to improve future demonstration project implementation capabilities. 2. Development of feasibility study report 3. Conduct training on management and supervision techniques of implementing demonstration projects</p>	(1) Action plan	Activity 1: Development of action plan to Improve future demonstration project implementation capabilities (1) Invite experts to conduct survey and evaluation of current technologies and demonstration practices conducted in China. (2) Develop the action plan to improve future demonstration project implementation capabilities	CICETE UNDP	50,000
	(1) At least 1 feasibility study report	Activity 2: Conduct Feasibility study: (1) Based upon the above activity, the future demonstration candidates will be identified by PSC and experts; (2) Under the guidance and assistance by PSC and experts, the selected candidates will develop their feasibility study report and submitted to the PMO	CICETE UNDP	30,000
	(1) At least 1 training session for at least 10 trainees; (2) 1 training material	Activity 3: Conduct training on management and supervision techniques of implementing demonstration projects (1) Experts will be invited to develop the training material; (2) The training will be given by the experts to the candidate demonstration project implementation team ;	CICETE UNDP	44,000
	Subtotal			124,000

Total direct				
Outcome 4: Project management		Activity 1: UNDP China office should carry out on-site monitoring of the implementation twice a year.	UNDP	<i>1,444,000</i> <i>10,000</i>
		Activity 2: UNDP China Office will conduct final evaluation of the project	UNDP	<i>30,000</i>
		Activity 3: Conduct Audit based on the real expenditures and the request of UNDP China office	CICETE	<i>10,000</i>
		Activity 4: PSC meeting need to be organized each year with the participants from main stakeholders.	CICETE	<i>9,000</i>
		Activity 5: Recruit Project Office staff (Working facility and UNV Salary)	UNDP	<i>70,000</i>
		Subtotal		
GMS (6%)				<i>97,000</i>
Total				<i>1,670,000</i>

IV. Overall Project Work Plan (Year 2014-2016)

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME												RESPO NSIBLE PARTY	PLANNED BUDGET			
		14 Q1	14 Q2	14 Q3	14 Q4	15 Q1	15 Q2	15 Q3	15 Q4	16 Q1	16 Q2	16 Q3	16 Q4		Fundin g Source	Budget Descripti on	Amount	
Outcome 1: Improving information dissemination among manufacturers and customers																		
Output 1 <i>Baseline:</i> The understanding of domestic and abroad users on LED enterprises in China is weak, especially on the energy efficiency situation, quality of the products, and technological levels, etc. <i>Indicators:</i> 1. Development of action plan of comprehensive public campaign to promote LED products and manufacturers 2. Completion of an international exhibition of LED technologies and industries. 3. Conduct a series of workshops and forums to	Activity 1: Development of action plan of comprehensive public campaign to promote LED products and manufacturers (1) Invite experts to conduct the technical research of current industry, administration, customer interaction, study the best practices abroad, develop the strategy and action plan to further strengthen the partnership among the above stakeholders and the public awareness of the industry..														CICETE /UNDP	30071	71200 Local Consultation	40,000
	(2) Organize 1-2 expert workshops to review and finalize the action plan.														CICETE /UNDP	30071	75700 Training and workshops	40,000
	(3) Continually improve the action plan according to implementation feedback, and coordinate the issue of updates.														CICETE /UNDP	30071	71300 Local Consultation	20,000

<p>develop the dialogues and partnership among industry, administration and customers (association, distributors, end users) and media.</p> <p>Targets</p> <p>(1) Action plan of comprehensive public campaign to promote LED products and manufacturers.</p> <p>(2) International exhibition is put on-show with at least 50 attendants internationally..</p> <p>(3) At least 2 workshops were held with totally 100 attendants from industry, administration and customers (association, distributors, end users) and media.</p>	<p>Activity 2: Development and opening of international exhibition:</p> <p>(1) Organization panel and advisory panel are put in place with the involvement from members of the industry, academic society, administration, and customers .</p>														CICETE /UNDP	30071	71300 Local Consultant	70,000	
	<p>(2) Develop the work plan of the exhibition .</p>															CICETE /UNDP	30071	71300 Local Consultant	10,000
	<p>(3) Call press conference to announce the event to draw public and industrial involvement..</p>															CICETE /UNDP	30071	75700 Training and workshops	30,000
	<p>(4) Advisory panel review the shortlist of candidate participants and finalize the participants..</p>															CICETE /UNDP	30071	71300 Local Consultant	30,000
	<p>(5) Open and run the exhibition.</p>															CICETE /UNDP	30071	75700 Training and workshops	120,000
	<p>Activity 3: Organization of information dissemination workshops and forums</p> <p>(1) Organize 2-3 workshops/forums to develop the dialogues and partnership</p>															CICETE /UNDP	30071	72100 Contractual service	120,000

	among industry, administration and customers (association, distributors, end users) and media..																	71300 Local Consulta nt	40,000			
subtotal																			520,000			
Output 2	Activity 1: Development and public promotion of implementation plan to organize the national technology innovation competition (1) Organizational panel and steering panel are put in place.																	CICETE /UNDP	30071	71300 Local Consulta nt	20,000	
<p><i>Baseline:</i> There is lack of good channels in disseminating the best practices of technology innovations for Chinese LED enterprises. In the existing Technology Innovation Competition and relevant public promotion campaigns, LED has never been involved as an independent sector.</p> <p><i>Indicators:</i></p> <p>1. Development of implementation plan to organize the national technology innovation competition.</p> <p>2. Public awareness of the event and follow-ups</p> <p>3. The competition is put in operation.</p> <p>Targets</p> <p>(1) Implementation plan to</p>	(2) Develop the implementation plan to organize the competition.																	CICETE /UNDP	30071	71300 Local Consulta nt	10,000	
	(3) Call the press conference to announce the guidelines and rules of the competition and draw public and industry involvement..																		CICETE /UNDP	30071	75700 Training and worksho ps	10,000
	Activity 2: The opening and running of Competition: (1) Collect the proposals from candidates.																		CICETE /UNDP	30071	72100 Contract ual service	20,000
	(2) Review and screening of proposals by the Steering panel.																		CICETE /UNDP	30071	71300 Local Consulta nt	5,000

organize the national technology innovation competition. (2) Press conference with at least 5 members of media (newspapers and TV channels) will be invited to attend the conference.. (3) The competition is held with at least 200 nation wide candidates.	(3) Finalize the winners and Grant awards.																	CICETE /UNDP	30071	71300 Local Consultant	5,000	
	(4) Call press conference to publically announce the results..																		CICETE /UNDP	30071	75700 Training and workshops	30,000
subtotal																						100,000

Outcome 2: Research and Practice of Capacity Development for personnel in government agencies on energy conservation management

Output 3 Completing the personnel capability requirements analysis through the investigation on current status of energy management in government agencies at national and local levels, conference, workshop together with the international study tours for learning the policies on energy conservation, practice achievements and experiences of the advanced government agencies abroad.	Activity 1: (1) The formation of the project team																		NGO A/C QC	30071	72100 Contractual service	10,000	
	(2) Carry out sampling survey and research activities within the relative areas in government agencies at national and local levels of different industries																			NGO A/C QC	30071	71200 international consultant	15,000
<u>Baseline:</u> Energy management of government agencies has been listed in the important items on energy conservation of China. Obviously the problem that lacking of the competent personnel on energy conservation in government agencies has caused concern.	Collecting the national and foreign policies and regulations on energy conservation and learning the personnel capability requirement and the current status																			NGO A/C QC	30071	71300 Local Consultant	5,000

<p>Indicators:</p> <p>1. Learning the national and foreign policies and regulations, the personnel capability requirement and the current status through the investigation</p> <p>2. Research report of personnel capability gap analysis</p> <p>3. Developing the project proposal on personnel capability improvement according to the research report</p> <p>Targets: (same as Indicators)</p>	<p>Activity 2:</p> <p>(1) Collecting and processing the data</p> <p>Organizing at least 1 workshop</p>														NGO A/C QC	30071	75700 Training and workshops	10,000
	(2) Completing at least 1 research report on personnel capability gap analysis														NGO A/C QC	30071	75700 Training and workshops	10,000
	<p>Activity 3:</p> <p>(1) Organizing the experts to discuss and develop the proposal on personnel capability development</p>														NGO A/C QC	30071	75700 Training and workshops	50,000
	(2) Establishing the training system of personnel capability development at different industries and levels														NGO A/C QC	30071	75700 Training and workshops	20,000
	subtotal																	

<p>Output 4 Carrying out the training activities for capability development to personnel of the education and health government agencies at different levels.</p> <p>Baseline: Although a part of the personnel of government agencies have taken the training of the knowledge on energy conservation, the systematic training of policies and regulations interpretation and practice capability are badly needed at present.</p> <p>Indicators: 1. Development of training courses on energy conservation management for government agencies 2. Implementation of training session 3. Project Acceptance</p> <p>Targets: (1) Developing the training courses for energy conservation of the education and health government agencies (2) Organizing the training session for colleges / universities and hospitals respectively At least 100 trainees of related industries (3) Completing acceptance and submission of the project acceptance report</p>	<p>Activity 1: (1) The formation of the experts team and conduction to training courses development</p>														NGO A/C QC	30071	75700 Training and workshops	10,000	
	<p>(2) Holding meetings to assess the training courses</p>															NGO A/C QC	30071	75700 Training and workshops	5,000
	<p>(3) The competency evaluation to trainers and the formation of trainers team</p>															NGO A/C QC	30071	71300 Local Consultant	10,000
	<p>Activity 2: (1) Implementation of the training sessions</p>															NGO A/C QC	30071	75700 Training and workshops	10,000
	<p>(2) Establishment of the trainees' information files</p>															NGO A/C QC	30071	75700 Training and workshops	4,000

	(3) Evaluation of the training effects and improvement of training courses when necessary							x								NGO A/C QC	30071	71300 Local Consultant	5,000	
	Activity 3: (1) The competency evaluation to trainees from government agencies conducted by related experts							x									NGO A/C QC	30071	71300 Local Consultant	2,000
	(2) The project evaluation report of capability development for personnel in government agencies							x									NGO A/C QC	30071	71300 Local Consultant	2,000
	(3) Project improvement on capability development for personnel in government agencies according to the project evaluation report							x									NGO A/C QC	30071	71300 Local Consultant	2,000

Subtotal																			50,000
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Outcome 3: Providing assistances in technology capacity building and demonstration project development

Output 5 <i>Baseline:</i> The understanding about the development of LED technologies in other countries is weak. Especially, the study of advanced LED technologies through study tours abroad and trainings inside China is very weak. <i>Indicators:</i> 1. Study tour abroad. 2. Training of national manufacturers	Activity 1: Organize study tour abroad on LED R&D and manufacturing technologies, (1) Invite expert to develop work plan, based upon the survey of gaps between China and international best practices on R&D and manufacturing technologies, identify the issues to be addressed by the mission and candidate countries to visit.							x	x	x							CIC ETE/ UNDP	30071	72100 Contractual Service	40,000
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<p>and research institutions on R&D technologies and manufacturing/management techniques.</p> <p>Targets</p> <p>(1) At least 1 study tour with at least 10 members from related enterprises.</p> <p>(2) At least 1 training sessions with international/national trainers to 20 trainees of related manufacturers and R&D institutions.</p> <p>(3) 1 Study report and 1 training material.</p>	<p>(2) Conduct study tour: The study tours will be led by sector associations, selected management and technical personnel in LED enterprises will be involved in the study tours to learn the experiences in these countries.</p>																	CIC ETE/UND P	30071	72100 Contractual Service	30,000	
	<p>(3) Develop and submit mission report to PMO and circulate among key stakeholders..</p>																		CIC ETE/UND P	30071	71300 Local Consultant	10,000
	<p>Activity 2: Development of proposal to further improve action plans in typical province:</p> <p>(1) Invite experts to conduct research to review the current typical provincial action plans and enforcement capabilities, identify the gaps that hinder the further energy conservation R&D, market development, and customer acceptance and applications.</p>																		CIC ETE/UND P	30071	71300 Local consultant	60,000
	<p>(2) Call the dialogue between the administration and industries and other key stakeholders to review and refine the findings of the research</p>																		CIC ETE/UND P	30071	75700 Training and workshops	20,000

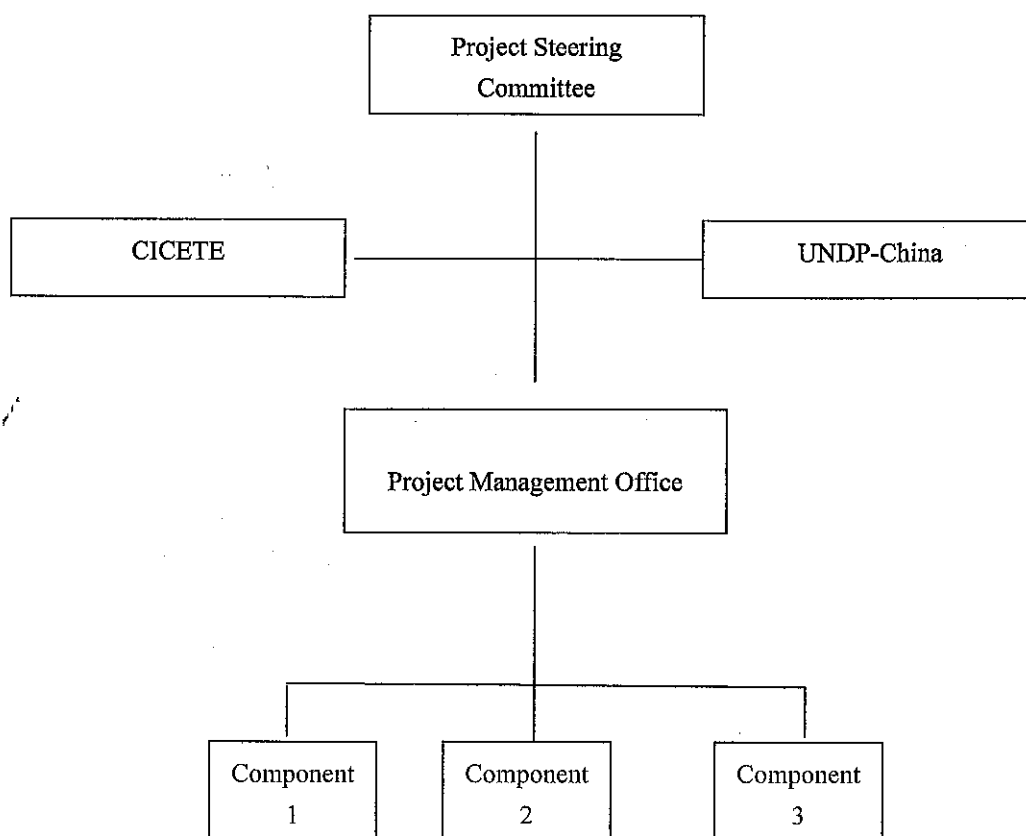
	(3) Based upon the research, develop the proposal to further improve provincial action plans and enforcement capabilities																	CIC ETE/UND P	30071	71300 Local Consultant	19,000		
	(4) Submit the proposal to the related provincial administrations.																		CIC ETE/UND P	30071	74200 Audio Visual&Print Prod Costs	1,000	
Subtotal																				180,000			
Output 6	Activity 1: Development of action plan to further strengthen the partnership of LED industry and related academic society																						
<i>Baseline:</i> Currently, the partnership in LED area between industry and academic circles is very weak, and joint researches between them are also weak.	(1) Invite experts to conduct survey and evaluation of current relationship and liaison between industry and academic society.																			CIC ETE/UND P	30071	71300 Local consultant	20,000
<i>Indicators:</i> 1. Survey and evaluation of current relationship and liaison between industry and academic society 2. Development of action plan to further strengthen the partnership of LED industry and related academic society. 3. Joint actions to improve the cooperation of LED manufacturers and research institutions	(2) Call the dialogue between the R&D institutions and industries and other key stakeholders to review and refine the findings of the research																			CIC ETE/UND P	30071	75700 Training and workshops	20,000
Targets (1) Survey and evaluation report																							

(2) action plan (3) At least 1 joint research feasibility study report; (4) At least 1 joint research proposal (5) At least 1 joint research progress report	(3) Based upon the research, develop the action plan to further improve industry/academic society partnership and cooperation		×	×										CIC ETE/UND P	30071	71300 Local consultant	10,000
	Activity 2: Conducting joint research: (1) PSC will guide the screening of candidate manufacturers and R&D institutions for further joint activities;													CIC ETE/UND P	30071	71300 Local consultant	50,000
	(2) The selected candidates will develop their feasibility study report and joint research proposals;													CIC ETE/UND P	30071	71300 Local consultant	150,000
	(3) PSC will evaluate the reports and proposals, and identify the joint research that will be financially supported by the project;													CIC ETE/UND P	30071	71300 Local consultant	50,000
	(4) The joint research will be kick-off, and annual progress report according to the original work plan will be submitted to the PMO.													CIC ETE/UND P	30071	71300 Local consultant	50,000
Subtotal																	350,000

<p>Output 7</p> <p><u>Baseline:</u> There is no existing demonstration project for energy conservation and low carbon plant in LED industry.</p> <p><u>Indicators:</u></p> <p>1. Development of action plan to improve future demonstration project implementation capabilities.</p> <p>2. Development of feasibility study report</p> <p>3. Conduct training on management and supervision techniques of implementing demonstration projects</p> <p>Targets</p> <p>(1) Action plan</p> <p>(2) At least 1 feasibility study report</p> <p>(3) At least 1 training session for at least 10 trainees;</p> <p>(4) 1 training material</p>	<p>Activity 1: Development of action plan to Improve future demonstration project implementation capabilities</p> <p>(1) Invite experts to conduct survey and evaluation of current technologies and demonstration practices conducted in China.</p>	×												CIC ETE/UND P	30071	71300 Local consultant	30,000
	<p>(2) Develop the action plan to improve future demonstration project implementation capabilities</p>	×												CIC ETE/UND P	30071	71300 Local consultant	20,000
	<p>Activity 2: Conduct Feasibility study:</p> <p>(1) Based upon the above activity, the future demonstration candidates will be identified by PSC and experts;</p>	×												CIC ETE/UND P	30071	71300 Local consultant	20,000
	<p>(2) Under the guidance and assistance by PSC and experts, the selected candidates will develop their feasibility study report and submitted to the PMO</p>	×												CIC ETE/UND P	30071	71300 Local consultant	10,000

	to be organized each year with the participants from main stakeholders.					×	×					×	×			×	CIC ETE	30071	75700 Meeting and workshops	9,000		
	Activity 5: Recruit PMO staff and UNV																					
	Subtotal																					
	GMS (6%)																			129,000		
	TOTAL																			97,000		
																					1,670,000	

V. Management Arrangements



The project is nationally executed (NEX), in line with the Standard Basic Assistance Agreement between UNDP and the Government of China, and the Country Programme Action Plan (CPAP) and in this regard the China International Centre for Economic & Technical Exchanges (CICETE) is the Implementing partner (IP).

Oversight of project activities will be the responsibility of the Project Steering Committee (PSC). Day-to-day operational oversight will be ensured by UNDP, through the UNDP Country Office in Beijing responsible for the project. This oversight will include ensuring that the project practices due diligence with regard to UNDP's Environmental and Social Screening Procedure.

The CICETE will take overall responsibility for the project execution, and the timely and verifiable attainment of project objectives and outcomes, but will report to the PSC. CICETE will provide support to, and inputs for, the implementation of all project activities, and recruitment of project staff and contracting of consultants and service providers with the advice from and involvement of UNDP. International procurement will be mainly handled by UNDP upon request of the CICETE. CICETE will set up Project Management Office (PMO), appoint a National Project Director (NPD) and a National Project Manager (NPM) to be responsible for the overall management of the project and PMO, an UNV will assigned to support the daily PMO work.

The UNDP Country Office (UNDP-CO) will be responsible for: (i) providing financial and audit services to the project; (ii) overseeing financial expenditures against project budgets approved by PSC; (iii) appointment of independent financial auditors and evaluators; and (iv) ensuring that all activities including procurement and financial services are carried out in strict compliance with UNDP procedures. A UNDP staff member will be assigned the responsibility for the day-to-day management and control of project finances.

The Project Steering Committee (PSC) will be convened by CICETE and will include representatives from UNDP, CICETE, CQC, State Administration Bureau and Lighting Association. The PSC will serve as the project's coordination and decision-making body. It will meet according to necessity, but not less than once a year, to review project progress, approve project work plans and approve major project deliverables. The PSC is responsible for ensuring that the project remains on course to deliver products of the required quality to meet the outcomes defined in the project document. The PSC's role will include: (i) overseeing project implementation; (ii) approving annual project work plans and budgets, at the proposal of the Project Manager (PM), for submission to UNDP; (iii) approving any major changes in project plans or programs; (iv) providing technical input and advice; (v) approving major project deliverables; (vi) ensuring commitment of resources to support project implementation; (vii) arbitrating any conflicts within the project and/or negotiating solutions between the project and any parties beyond the scope of the project; (viii) overall project evaluation and (ix) ensuring that UNDP Environmental and Social Screening Procedure safeguards are applied to project implementation.

The day-to-day administration of the project will be carried out by a Project Management Office (PMO) within the CICETE comprised of a National Project Director, Project Manager (PM), and additional support staff. The project staff will be recruited following UNDP recruitment procedures. The PM will, with the support of the Project Assistant, manage the implementation of all project activities, including: (i) preparation/updates of project work and budget plans, record keeping, accounting and quarterly and annual progress reporting; (ii) drafting of terms of reference, technical specifications and other documents as necessary; (iii) identification, proposal of project consultants to be approved by the PSC, coordination and supervision of consultants and suppliers; (iv) organization of duty travel, seminars, public outreach activities and other project events; and (v) maintaining working contacts with project partners at the central and local levels (vi) organize the exchange and cooperation activities between the PMO and key stakeholders;

The PM is accountable to the CICETE and the PSC for the quality, timeliness and effectiveness of the activities carried out, as well as for the use of funds. The PM will produce a Biennial Work Plan and Budget Plans to be approved by the PSC. These plans will provide the basis for allocating resources to planned activities. The PM will further produce quarterly operational reports and Annual Progress Reports (APR) for submission to the PSC. These reports will summarize the progress made by the

project versus the expected results, explain any significant variances, detail the necessary adjustments and be the main reporting mechanism for monitoring project activities. The PM will also be technically supported by contracted national and international service providers. Recruitment of specialist services for the project will be done by the PM in consultation with the UNDP and the CICETE.

VI. 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:

Within the annual cycle

- Quarterly reports.** On a quarterly basis, the project will provide to UNDP a quarterly narrative report as well as a financial report. In addition the project will be forwarding requests for advance payments (FACE) to UNDP on a quarterly basis.
- Issue Log.** An Issue Log shall be kept by the project to facilitate tracking and resolution of potential problems or requests for change.
- Risk analysis.** Based on the initial project risk analysis the project should as part of the quarterly narrative reporting be regularly updated by reviewing the external environment that may affect the project's implementation.
- Lesson-learned log.** A project Lesson-learned log will be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- Monitoring Schedule Plan.** A Monitoring Schedule Plan shall be part of the project work-plans and updated to track key management actions/events.
- Project visit.** The project needs to have project visit by UNDP at least twice a year during which on the ground progress is to be assessed accompanied by meetings to review general project progress as well as project management (including financial management)

Annually

- Annual Review Report.** An Annual Review Report following UNDP China's reporting format will be prepared by the Project Manager and shared with UNDP and presented to the Project Steering Committee.

- **Annual Project Review.** Based on the above report, an annual project review shall be conducted annually at a time specified during the project inception but preferably within the first quarter of a given year, to assess the performance of the project and appraise the Two Year Work Plan (TYWP) with specific focus on the following year. In the last year, this review will be a final assessment. This review is driven by the Project Steering Committee but 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.

Other

- **Inception Report.** Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed Two Year Work Plan. The Report will also include the detailed project budget for the first two years of implementation, prepared on the basis of the Two Year Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 24 months time-frame. The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation.
- **Project Terminal Report:** During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime.

Project Communication

The project will develop a communications strategy in the first year, which will be updated annually and have its implementation supported by a communications, education and awareness specialist. This will include capturing and disseminating lessons learned for review at PSC meetings in order to demonstrate the direction and management of the project, and shared with project stakeholders as appropriate. A full colour popular style project completion report will document the project's stories, achievements and lessons learned at the end of the project.

Results from the project, as well as the awareness raising materials, will also be disseminated within and beyond the project intervention zone through a number of

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 project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analyzing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months.

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

VII. Legal Context

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Agreement between the Government of the People's Republic of China and the United Nations Development Program, signed by the parties on June 29, 1979. All mentioned parties shall comply with the management procedure of UNDP project and national laws and regulations to implement the project, accept the supervision, inspection and evaluation of Ministry of Commerce /CICETE and UNDP, and accept the audit of UNDP or the external audit by the National Audit Office of the PRC.

Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) 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;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

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 Implementing Partner's obligations under this Project Document

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document 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/further to this Project Document”.