

**United Nations Development Programme INDIA**

**2015 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)**

**Project Title:** Energy Efficiency Improvements in Indian Brick Industry

**Implementing Partner:** Ministry of Environment, Forests & Climate change (MoEFCC) through The Energy and Resources Institute (TERI)

**UNDP Strategic Plan Outcome:** Inclusive and sustainable growth and development

**UNDP Strategic Plan Output(s):** Energy efficiency

**UNDP Strategic Plan Indicators:** 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

**UNDAF / CPAP Outcome:**

**PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)**

**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 four 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', developing 'Roadmap for REB use in India', 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.**

Awareness generation and capacity development of various stakeholders on production and use of resource efficient bricks

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

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

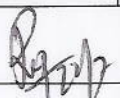
Programme Period: 2015 - 18  
 Atlas Project ID: 00057405  
 Atlas Output ID: 00047625  
 Local PAC meeting date: 08 Nov 2008  
 Start date: June 2009  
 Revised End Date: December 2015  
 Implementation modality: NIM

2015 AWP budget: USD 217,903  
 - GEF : USD 217,903  
 - Other Donor: 0  
 - Government: Nil  
 - Contributions from TERI: Nil

**Project Expenditure [All figures in USD]**

Total Project Budget	Exp 2009	Exp 2010	Exp 2011	Exp 2012	Exp 2013	Budget 2014	Budget 2015	Budget 2016
696448	118,605	195,361	124,625	39,954	0	0	217,903 <sup>1</sup>	0

Agreed by (Implementing Partner):



Agreed by UNDP:

(प्रवीण शंकर प्रसाद)  
**PRAVEEN SHANKAR PRASAD**  
 Joint Secretary  
 Min. of Environment, Forests & Climate Change  
 Govt. of India, New Delhi



Jaco Cilliers  
 Country Director

<sup>1</sup> Activity commitment will be made in year 2015. USD 79,000 will be spent in year 2015 and the rest of USD 138,903 will be spent in 2016.

12 August 2015

I. ANNUAL WORK PLAN - YEAR: 2015

ANNUAL OUTPUTS 2014	PLANNED ACTIVITIES <sup>2</sup>	MONTH OF COMPLETION	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description	Amount <sup>3</sup> (USD)
Output 1. Enhancing public sector awareness	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). (NOTE: This is the total budgeted amount for the activity where some of this amount will be spent in year 2016 based on the deliverable schedule).	Dec 2015	TERI	UNDP	71300 Local consultants	7,500
	1.2 Procurement guidelines prepared for inclusion of REBs as part of procurement by Public departments (NOTE: This is the total budgeted amount for the activity where some of this amount will be spent in year 2016 based on the deliverable schedule)	Dec 2015	TERI	UNDP	71300 Local consultants	7,500
Output 2. Access to finance for brick kiln entrepreneurs	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.	July 2015	TERI	UNDP	71300 Local consultants	10,000
	2.2 Identify national and regional financial institutions and conduct one workshop for FIs	August 2015	TERI	UNDP	71300 Local consultants	6,000
Output 3. Improved knowledge on technology including marketing	3.1 Develop a report based on actual results of Resource audit of REB producing units [primarily soil and energy] Vis-à-vis normal bricks <sup>4</sup> (at least 9 project units and 9 non-project units)	Oct 2015	UNDP	UNDP	71300 Local consultants	20,000
	3.2 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>5</sup> (based on market assessment including strategies for market development)	Oct 2015	UNDP	UNDP	71300 Local consultants	15,000

<sup>2</sup> The details of the activities with clearly defined deliverables are attached as Annexure-1

<sup>3</sup> 1 USD = INR 61.85

<sup>4</sup> Activity includes, resource audit for 5 REB and 5 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>5</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

	(NOTE: This is the total budgeted amount for the activity where some of this amount will be spent in year 2016 based on the deliverable schedule)					
Output 4. Availability of resource efficient technology models in 5 regions through Local Resource Centres	4.1 Support establishing 3 REB units <sup>6</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) (NOTE: In year 2015 activity commitment, USD 9,000 will be spent and the rest amount USD 36,000 will be spent in year 2016)	Nov 2015	PSCST	UNDP	71300 Local consultants	45,000
Output 5. Improved capacity of brick kiln entrepreneurs	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) (NOTE: In year 2015 activity commitment, USD 16,000 will be spent and the rest USD 24,000 amount will be spent in year 2016)	Aug 2015	PSCST	UNDP	72300 Material & Goods	40,000
	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 (NOTE: In year 2015 activity commitment, USD 5,000 will be spent and the rest amount USD 20,000 will be spent in year 2016)	Dec 2015	UNDP	UNDP	71400 contractual services	25,000
Output 6. Monitoring, Learning and evaluation	6.1 Terminal evaluation (NOTE: In year 2015 activity commitment, USD 6,000 will be spent and the rest amount USD 24,000 will be spent in year 2016)	Jun 2015	UNDP	UNDP	71300 Local consultants	30,000
<b>TOTAL IN USD</b>						<b>206,000</b>
	<b>Project staff salaries and project management expenses</b>					
	<b>Annual audit, evaluations, micro assessment costs, communication, UNDP<sup>7</sup></b>					<b>11,903</b>
				<b>AWP TOTAL IN USD</b>		<b>217,903</b>
				<b>8% General management support (GMS)</b>		<b>-</b>
				<b>AWP GRAND TOTAL IN USD</b>		<b>217,903</b>

Account codes

71200 International consultants	72400 Communication & Audio visual equipment
71300 Local consultants	72500 Supplies
71400 contractual services	72700 Hospitality

for popularizing REBs can be prepared.

<sup>6</sup> The activity includes providing support to existing 9 manufacturers so that they produce significant portion of their production is REBs (may be 25% or as said in ProDoc. Also use the money to motivate three new manufacturers to start producing REBs in project period.)

<sup>7</sup> An amount of USD 4,000 will be spent in 2015, and the rest USD 7,903 will be spent in 2016

71600 Travel	72800 Information technology equipment
72100 Contractual services	73000 Overhead expenses
72200 Equipment and Furniture	74000 Miscellaneous and operating expense (audit, legal, professional services, etc.)
72300 Material & Goods	75000 Facilities and Administration
75700 Learning costs	74200 Advertisements
75700 Meeting expenses	

## II. MANAGEMENT ARRANGEMENTS

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

### Fund Flow Arrangements and Financial Management:

At the request of the Implementing Partner, Ministry of Environment and Forest (MoEF), UNDP will directly release funds to the bank account created for the implementation of this project with the Project Management Unit. The Implementing Partner will account for funds received from UNDP. The request from the Implementing Partner will come through the standard Fund Authorization and Certificate of Expenditures (FACE) Report duly signed by the National Project Director or person assigned/delegated by the Implementing Partner. Only after 80% of last advance and 100% of all the previous advances are spent will the next advance be released. 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.

Bank Name : STATE BANK OF HYDERABAD  
A/C No : 62107468819  
Branch : SCOPE COMPLEX, LODI ROAD, NEW DELHI – 110 003  
Branch Code : 20511  
IFSC code : SBHY0020511  
Account Name : TERI UNDP GEF INDIA BRICK

The current AWP will be implemented by TERI, however, some activities will be done through country office support.

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 (including D.E.) which are attributable to the provision of these services (direct project costs) will be charged to the project in accordance with the UNDP policies.

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 an 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 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, assets (if any) would be disposed or transferred to implementing partner in consultation with them during the life cycle or at end of 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. Assets (if any) would be disposed or transferred to IP in consultation with them during the life cycle or at end of the project.

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### III. 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 Annex 1 and 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.

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

**V. ANNEXES**

**Annex 1 – Quarterly progress report format**

Project Title						
Implementing Partner						
Month/Year						
Annual Outputs	Planned activities	Month of completion	Responsible party	Budget	Monitoring framework	
				Amount	Cumulative expenditures	Progress towards meeting AWP annual outputs
1						
2						
3						
<b>TOTAL IN USD</b>						

**Annex 2 – Annual progress report format**

Year			
Annual Outputs	Allocated budget	Total expenditure	Progress towards meeting AWP annual outputs
1			
2			
3			
<b>TOTAL IN USD</b>			

the implementing partner) should be attached.

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

**Annex 5 - Guidance Checklists**

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

[https://intranet.undp.org/global/popp/ppm/Pages/FAQs-on-PPM.aspx?#\\_Toc316481178](https://intranet.undp.org/global/popp/ppm/Pages/FAQs-on-PPM.aspx?#_Toc316481178)

CHECKLIST FOR REVIEW OF PROJECT DOCUMENTS – includes gender

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

ENVIRONMENTAL AND SOCIAL SCREENING PROCEDURE FOR UNDP PROJECTS

[https://intranet.undp.org/global/documents/ppm/ESSP\\_Guidance\\_19Mar12\\_English.docx](https://intranet.undp.org/global/documents/ppm/ESSP_Guidance_19Mar12_English.docx)

PROGRAMME DESIGN QUESTIONS FOR SCALING UP

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

PRINCIPLES UNDERLYING THE IDEA OF HUMAN DEVELOPMENT

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