Project Title: Energy Efficiency Improvements in Commercial Buildings
Implementing Partner: Bureau of Energy Efficiency (BEE), Ministry of Power, Government of India
UNDP Strategic Plan Outcome: Inclusive & sustainable growth & development
UNDP Strategic Plan Output(s): Energy efficiency and access to modern energy
UNDP Strategic Plan Indicators:
UNDAF / CPAP Outcome: By 2012, the most vulnerable, including women and girls, and government at all levels have enhanced abilities to prepare, respond and adapt/recover from sudden and slow onset of disasters and environmental changes.

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

A. State the specific development challenge or gap that this AWP is addressing.
   The Gaps identified include the need to address the institutional and technical capacity development in the areas of policies and incentives; training; assessment of energy efficient building material market and specifications for testing laboratories. The gaps also include the need for a system for information dissemination. This AWP is addressing these gaps through several activities.

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.
   ✓ This AWP forms part of the multi-year project implementation plan towards developing an innovative, transforming and efficient GEF-UNDP's intervention aims to address the above barriers and assist the Government to implement and operationalize the ECBC, through a comprehensive and integrated approach that will focus on
   1. Strengthening of institutional capacities at various levels to implement ECBC and other energy efficiency programs for commercial buildings,
   2. Developing technical expertise and awareness raising of key partners
   3. Compliance with ECBC demonstrated in 8 model buildings (with a total floor area of 1.47 million m2) in five climatic zones,
   4. Formulating fiscal and regulatory incentives for investors and
   5. Monitoring, evaluation; knowledge sharing and learning.

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Atlas Project ID: 00060037
Atlas Output ID: 00075374
Local PAC meeting date: 27th August, 2013
Start date: October 2010
End Date: March 2015
Implementation modality: NIM

2014 AWP budget: 1,065,675 USD
- Regular: NIL
- Donor:
  - SDC: 1,787,234 USD
  - DLF: 11,063,830 USD
- Government: 2,976,596 USD
- In-kind Contributions (GEF):

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Project Expenditure

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<td>3,204 USD</td>
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Agreed by (Implementing Partner):

Agreed by UNDP:

Alexandra Sotolova
UND篷 Deputy Country Director

Bureau of Energy Efficiency
New Delhi-110066
28/02/2014
### Annual Work Plan - Year: 2014

<table>
<thead>
<tr>
<th>Annual Outputs 2014</th>
<th>Planned Activities</th>
<th>Month of Completion</th>
<th>Responsible Party</th>
<th>Planned Budget</th>
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</thead>
<tbody>
<tr>
<td>Annual Output 1: a) Rules for mandatory Energy Conservation Building Code implementation are formulated; b) Andhra Pradesh notifies mandatory ECBC relying on capacity development support provided by the project; c) Energy Performance benchmarks for the 5 categories of commercial buildings are established in 5 climatic zones (ProDoc Outcome Statement: Strengthened institutional capacities at various levels on the enactment and enforcement of ECBC for commercial buildings)</td>
<td>1.1.1 Formulation and approval of the policy for mandatory implementation of ECBC</td>
<td>September</td>
<td>BEE, GEF</td>
<td>71200, 71300, 71600, 72500, 73100, 73400, 74200, 74500</td>
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<tr>
<td>1.1 Authorities and personnel of building departments at national, state and municipal level capable of implementing and enforcing the ECBC</td>
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<td>1.1.2 Analysis of current regulatory mechanisms and capacities of institutions that support EE in commercial buildings and identify the gaps (Providing Technical Assistance to support ECBC implementation in the states through relevant state departments and SDAs (7 to 8 nos.))</td>
<td>May</td>
<td>BEE, GEF</td>
<td>71300, 71400, 71600, 72500, 74200, 74500</td>
<td>10,000, 20,000, 7,000, 100, 500, 300</td>
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<td>1.1.3 Formulation, approval and enforcement of the implementing rules and regulations for ECBC</td>
<td>September</td>
<td>BEE, GEF</td>
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<td>1.2 Strengthened mechanisms and structures for ECBC implementation and gathered energy performance</td>
<td>1.2.1 Establishment of a database and an online portal for communication with BEE for reporting of energy data and e-data filling by state agencies and BEE staff</td>
<td>October</td>
<td>BEE, GEF</td>
<td>71300, 71600, 72100, 72200</td>
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1. Budget amounts including Direct Project Costs. An internal working sheet should be shared with RMU. RMU will assist on this. The costs of UNDP staff that provide direct oversight and support to the project will also be included in the project budget.
<table>
<thead>
<tr>
<th>Task Description</th>
<th>Month</th>
<th>Agency</th>
<th>GEF</th>
<th>Amount</th>
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<tr>
<td>1.2.3 Establishment of benchmarks: commercial building category-wise and climatic zone-wise</td>
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<td>1.2.6 Conduct of an annual impact analysis of ECECC implementation and other buildings-relevant measures; as well as annual meetings of BEE with key stakeholders to discuss progress</td>
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<td>1.3 Strengthened system of information dissemination to stakeholders</td>
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<td>1.3.1 Design and implementation of a system of information dissemination through web portal of BEE on energy efficiency in commercial buildings</td>
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<td>1.3.2 Formulation of an information dissemination strategy (brochures, print ads, websites, TV documentary)</td>
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| Annual Output 2: a) Andhra Pradesh State plan for training and capacity building is implemented to support the notification of mandatory ECBC in the state  
b) 40 Master trainers on ECBC developed (ProDoc Outcome Statement: Enhanced technical capacity and expertise of local building practitioners and service providers) |
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<tr>
<td>2.1 Property managers, developers and owners who are aware of, and interested in, EE buildings</td>
<td>2.1.1 Preparation of training material/package targeted for different stakeholders</td>
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<td>2.1.2 Conduct awareness workshops (10 numbers) focusing administrators and building owners; developers, government and private sector decision-makers and financial institutions (total 300 participants) on energy efficiency measures, ECBC and building regulations</td>
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<td>2.2 Completed specific training programmes for key stakeholders and certified practitioners</td>
<td>2.2.1 Training of at least 15 trainers (TOT)</td>
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<td>2.2.2 Training of at least 1500 architects and October</td>
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<td>Design professionals, developers and contractors and building material suppliers</td>
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<td>2.2.3 Conduct of training courses for energy auditors and energy service companies (5 training courses with a total participation of 150 numbers)</td>
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<td>2.2.4 Design and implementation of a certification scheme for building energy auditors</td>
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<td>2.2.5 Preparation of a registry of accredited building energy auditors</td>
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<td>2.4 Tools in place for energy-efficient building design (guidelines, handbooks, software)</td>
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<td>2.5 Set of specifications for EE building materials</td>
<td>2.5.1 Assessment and study of market to identify building materials and sale of energy efficient materials</td>
<td>June</td>
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2.6 Technically capable and equipped building materials testing laboratories

| 2.6.1 Development of the specifications for the laboratory | November | BEE | GEF | 71300 | 10,000 |
| | | | | 71600 | 10,000 |
| | | | | 72100 | 20,000 |
| | | | | 72800 | 1,000 |
| | | | | 74200 | 2,500 |
| | | | | 74500 | 200 |

**TOTAL** 385,300 USD

Annual Output 3: Technical Assistance provided to 8 demonstration projects (Prodoc Outcome Statement: Increased number of new commercial buildings that are ECBC compliant)

3.1 Completed ECBC demonstrations in 5 climatic zones

| 3.1.1 Preparation of eligibility criteria and selection of buildings for taking up ECBC pilot projects including the preparation of detailed technical specifications for the model pilot demonstration projects in compliance with ECBC in the five climatic zones. | July | BEE | GEF | 71200 | 20,000 |
| | | | | 71300 | 10,000 |
| | | | | 71600 | 10,000 |
| | | | | 72200 | 5,000 |
| | | | | 72500 | 750 |
| | | | | 73400 | 400 |
| | | | | 74200 | 500 |
| | | | | 74500 | 1,000 |

**TOTAL** 95,250 USD

Annual Output 4: New loan schemes for up scaling ECBC compliant buildings designed (Prodoc Outcome Statement: Enforced fiscal incentives and regulatory framework for investors and developers of energy efficient buildings.)
| 4.2 Financing schemes designed with banks for investors to comply with ECBC |
|---|---|---|---|
| 4.2.1 Compilation and dissemination of information on existing financing schemes | May | BEE | GEF |
| 4.2.2 Discussion on the design of new loan schemes with financial institutions and/or guarantee schemes with ESCOs | October | BEE | GEF |
| 4.2.3 Involving interested financial institutions in the design of financing schemes for EE building projects and inviting participation of financial institutions in the awareness raising workshops | October | BEE | GEF |
| 4.2.4 Assistance to building practitioners in preparing bankable energy efficient buildings proposals | November | BEE | GEF |
| 4.3 Award schemes for energy-efficient investments or improvements in | December | BEE | GEF |

| | | | |
|---|---|---|
| 71200 & 20,000 |
| 71300 & 5,000 |
| 71600 & 7,500 |
| 72200 & 2,500 |
| 72500 & 500 |
| 73400 & 300 |
| 74200 & 500 |
| 74500 & 1,000 |
| 71200 & 10,000 |
| 71300 & 5,000 |
| 71600 & 7,500 |
| 72200 & 2,500 |
| 72500 & 500 |
| 73400 & 350 |
| 74200 & 500 |
| 74500 & 500 |
| 71200 & 5,000 |
| 71300 & 5,000 |
| 71600 & 5,000 |
| 72100 & 10,000 |
| 72500 & 100 |
| 74500 & 100 |
| 71200 & 5,000 |
| 71300 & 5,000 |
| 71600 & 5,000 |
| 72100 & 100 |
| 72500 & 100 |
| 74500 & 100 |
| commercial buildings | rules and regulations and budget | 72100 | 10,000  
|                     |                                 | 72500 | 100    
|                     |                                 | 74500 | 100    
|                     | **TOTAL**                       |       | 132,250 USD |
| Project staff salaries and project management expenses$^2$ | 71400 | 97,500  
| Project staff salaries and project management expenses$^2$ | 71600 | 8,775   
| Project staff salaries and project management expenses$^2$ | 72200 | 20,000  
| Project staff salaries and project management expenses$^2$ | 72800 | 4,000   
| Project staff salaries and project management expenses$^2$ | 74200 | 3,000   
| Project staff salaries and project management expenses$^2$ | 74500 | 8,100   
| Annual audit, evaluations, micro assessment costs, communication and other costs$^3$ |       | 95,000  
| **AWP TOTAL IN USD** |       | 1,065,675 |

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

$^3$ Once a project has incurred expenditure for micro-assessment, it should not be budgeted for in subsequent years.

$^4$ The GMS is to be budgeted at 8% for all cost-sharing agreements signed after January 2014. For cost-sharing agreements signed before January 2014, GMS is to be budgeted at 7%.
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 AWPs and related decisions to a working group comprising UNDP, Implementing Partner and other stakeholders, as appropriate.

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

At the request of the Implementing Partner, Bureau of Energy Efficiency (BEE), UNDP will directly release funds to the bank account created for the implementation of this project with the Project Management Unit housed at BEE. 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.

UNDP will be releasing funds to BEE account (details are given below).

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**: Vijaya Bank
- **A/C No**: 602001011002930
- **Branch**: Bhikaj Cama Place
- **Branch Code**: 6020
- **IFSC code**: VJB00006020
- **Account Name**: PROJECT-BEE A/C

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 organization 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 the policies decided by UNDP decided by UNDP’s Executive Board.

**Audit:** In support of fiduciary good practice and to facilitate scheduled and special audits, each 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.
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. MONTHLY PROGRESS REPORT: The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided in Annex 1. These monthly reports will be consolidated, as required, by UNDP’s quality assurance team for progress review meetings.

B. ONE TIME RISK LOG: Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard Risk Log template.

C. QUARTERLY FINANCIAL REPORT: The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.

D. In case a project EVALUATION is required, please indicate the justification and proposed timing for the evaluation. A project evaluation is required only when mandated by partnership protocols such as GEF. However, a project evaluation may be required due to the complexity or innovative aspects of the project.

E. ANNUAL REVIEW REPORT: An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format in Annex 2 will 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 – Monthly progress report format:

<table>
<thead>
<tr>
<th>Project Title</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementing Partner</td>
<td>Planned activities</td>
<td>Month of completion</td>
<td>Responsible party</td>
<td>Budget</td>
<td>Monitoring framework</td>
</tr>
<tr>
<td>Month/Year</td>
<td></td>
<td></td>
<td></td>
<td>Amount</td>
<td>Cumulative expenditures</td>
</tr>
</tbody>
</table>
## Annex 2 – Annual progress report format

<table>
<thead>
<tr>
<th>Year</th>
<th>Annual Outputs</th>
<th>Allocated budget</th>
<th>Total expenditure</th>
<th>Progress towards meeting AWI annual outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>2</td>
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<tr>
<td>TOTAL IN USD</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Policy results and any additional results achieved

Lessons learned, project shortcomings and solutions
Annex 3 - Agreements: as applicable, any additional agreements, such as cost-sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as 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
CHECKLIST FOR REVIEW OF PROJECT DOCUMENTS – includes gender
ENVIRONMENTAL AND SOCIAL SCREENING PROCEDURE FOR UNDP PROJECTS

PROGRAMME DESIGN QUESTIONS FOR SCALING UP

PRINCIPLES UNDERLYING THE IDEA OF HUMAN DEVELOPMENT
http://www.in.undp.org/content/dam/ind/a/docs/principles-underlying-the-idea-of-human-development.pdf