



Country/Region/Global: India CO

Initiation Plan

Project Title: A Decentralized community led approach for Plastic Waste Recycling in India (PWR India)

Expected UNDAF/CP Outcome(s): By 2022, environmental and natural resource management is strengthened, and communities have increased access to clean energy and are more resilient to climate change and disaster risks.

Expected CPD Output(s): Output 3.2. Effective solutions developed at national and subnational levels for sustainable management of natural resources and ecosystems, ozone depleting substances, chemicals and wastes

Initiation Plan Start/End Dates: 01.01.18 – 30.06 19

Implementing Partner: UNDP

Brief Description

This initiative is designed to minimize negative impacts and risks to environment in India, by enhancing sustainable Plastic Waste Management practices, through a socio-technical model (segregation/collection/ recycling) while ensuring compliance with regulations, to improve use of resources and in line with Swachh Bharat Mission in India, in this project the waste pickers (Safai Mitras) are to be institutionalized with respective governance mechanisms and attain improved social conditions. Project's targets at the end of period, to better manage an amount to around 90600 MT of plastic waste and to improve socio-economic conditions of 38,500 Safai Mitras. Other brand owners may further invest to scale operations. To achieve the project objective and outcomes, the project is structured in 4 components: Base Line Assessment, Development of Swacchta Kendra (Material Recovery Facility Centre), Safai Mitra Institutionalization and Knowledge Management.

Programme Period: January, 2018 to June, 2019

- Atlas Project Number: 00096923
- Atlas Output ID: 00100826

Gender Marker: GEN 2

Total resources required	USD 1,833,690
Total allocated resources	USD 1,833,690
- TRAC FUND	USD 75,000
- HCCBPL	USD 1,371,793
- HUL	USD 286,897
- UNDP PROG RESOURCES	USD 100,000

Agreed by UNDP:

I. PURPOSE AND EXPECTED OUTPUT

The proposed project demonstrates through a sustainable model improvement in plastic waste management in the country. *Involvement and the financial assistance from HCCBPL, HUL and other brand owners will be very important in achieving this more rapidly over the coming years*. It is also seen as an opportunity to ensure that the country has the desired technical, institutional and regulatory elements available to manage plastic waste management in a manner consistent with economic development, country practices and fully aligned with national programs and plans, and India's Swachh Barat Mission (SBM).

The strategy is well defined within the waste value chain and create a sustainable model by selecting an implementing partner in every city, who will be responsible for managing and implementing the project in every city. The IP will be involving various stakeholders in the waste value chain like municipalities, municipal corporations, state pollution control boards (SPCB) and other government organizations, the waste pickers, waste aggregators (kabadiwalas), recyclers, bulk generators, implementing partners, NGOs and Citizens. The project strategy is implemented with financial support from HCCBPL, HUL and other brand owners for the project. There is also support funding from the state and central government funds. This is leading to establishing an Economically Sustainable Business Models (ESBMs) for improved plastic waste management, piloted and implemented in every city. The project is structured into 4 components.

To achieve the project objective and outcomes, the project is structured into 4 components.

Component 1: Base Line Assessment- Ascertain a base line assessment on the use of plastics with the different and diverse users, present scenario, present regulatory mechanisms and practices followed, and implement an economically sustainable model (ESM) for plastic waste management.

Component 2: Development of Swacchta Kendra- Design and implement decentralized small collection points leading to establishment of the material recovery center as Swacchta Kendra (SK) for improved plastic waste management, under a community led integrated approach

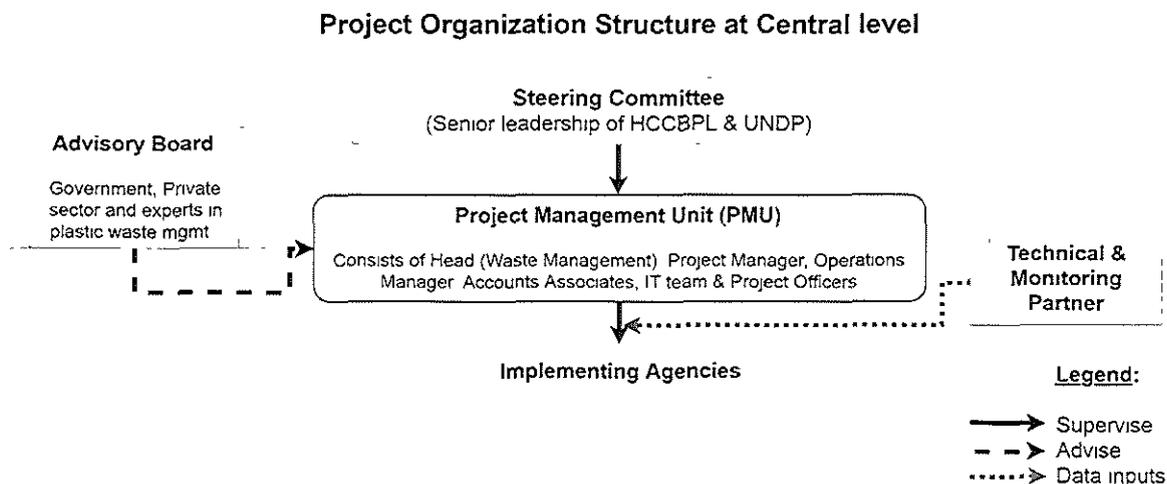
Component 3: Safai Mitra Institutionalization- Create an inclusive growth model to obtain improved socio-economic conditions for Swachh Sathis (SS) and is directed mainly to design, sustain and provide elements to institutionalize SK in governance implementation plans. Systems will ensure mainstreaming the Swachh Sathis (SS) as recognition - service to society, and by forming SHGs of Swachh Sathii' contributing to their better way of life.

Component 4: Digital governance- Establish a more hands on knowledge management, digital monitoring and communication mechanisms. Cloud-based Digital Governance - considers technology covering traceability, accountability and digital governance. Apps would be used across stakeholders such as waste pickers, recyclers, ULBs and Citizens so as to integrate everyone into one digital cloud. This would enable access of real-time data from field for tracking the integrated plastic waste supply chain right from point of collection to the end recycler and a digital marketplace.

II. MANAGEMENT ARRANGEMENTS -

Project will be implemented by UNDP along with close collaborations with the local governance bodies like municipalities (urban local bodies), civil society (non-government organizations) or NGOs, private companies and Resident Welfare Associations or (RWAs) in cities across India.

The overall proposed project governance and implementation structure is as follows below.



This initiation plan will culminate into a full pledged project of long duration to cover activities at a larger scale.

UNDP may identify Responsible Parties to carry out activities within a DIM project. A Responsible Party is defined as an entity that has been selected to act on behalf of the UNDP on the basis of a written agreement or contract to purchase goods or provide services using the project budget. All Responsible Parties are directly accountable to UNDP in accordance with the terms of their agreement or contract with UNDP. The Responsible Party may follow its own procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of the responsible party, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition that of UNDP shall apply.

Audit: The audit will be governed as per UNDP Rules and Regulations

Project Closure: The project would be closed as per UNDP Rule and Regulations

III. MONITORING

The project coordinator in the state will be responsible for monthly reporting on the outputs to the UNDP CO.

- The database prepared will also support the monitoring of the project
- Regular financial statements will be prepared and analysed by the CO to ensure that the deliverables are maintained in a time bound manner
- As the interventions will be anchored with the Local Government, frequent meetings between the UNDP CO and the State Governments and ULBs will be held
- Quarterly and Annual Progress Reports will be prepared
- The UNDP CO will also visit the field every month to track the progress first hand.

IV. WORK PLAN -

Period¹:

CPD Outcome/ Output/ Indicator/ Baseline and Target	EXPECTED PROJECT OUTPUTS <i>And baseline, indicators including annual targets</i>	Project Activity	TIME FRAME						RESPON- SIBLE PARTY	PLANNED BUDGET 2018			PLANNED BUDGET 2019 till 30.06.20198			
			Q1	Q2	Q3	Q4	Q5	Q6		Funding Source	Budget Descr- ption	Amount USD	Funding Source	Budget Descr- ption	Amount USD	
Output 3.2. Effective solutions developed at national and subnational levels for sustainable management of natural resources and ecosystems, ozone depleting substances, chemicals and wastes	Component 1: Socio-technic model for plastic waste recycling and management developed, supported and implemented	1 1 Design and development of baselines methodology	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	75100	6,150	HUL	75100	344 35	
		1 2 Baseline Study	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HUL	72100 72100	63,774 3,393	HCCBPL HCCBPL HCCBPL HUL HUL	72100 64300 74500 72100 64300	20,166 92 2,473 437 3,030 30 392.36	
		1 3 Identification and Allocation of municipal wards for collection	-				-	-								
		1 4 Surveys, meetings, selection process, risk assessment and local legal agreements with NGOs	-				-							HUL HUL	72100 74500	1377 41 69 24
		1 5 Formation of 2 to 3 Resident Welfare Associations (RWAs)												HCCBPL HCCBPL HUL	72100 71600 72100	1,249 35 1,249.35 330.58
		1 6 Meetings, small workshops with Technical organizations	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HCCBPL HCCBPL	72100 64300 74500	7,234 4,990 880	HCCBPL HUL	72100 72100	1,881.99 1,394 63	
		1 7 Safety measures, dress, gloves, face masks etc. for Safar Mitras												HUL	72100	2,754.82
		1 8 Project proposal development cost and Social media	-				-	-								

¹ Maximum 18 months

Component 2 Pilots Projects Cities Units (Swachta Kendras) for improved plastic waste management implemented	2.1 Organizing drives, meetings, exposure visits and rallies	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	71600	3,494	HUL	71600	2,479 34
	2.2 Rentals and related expenses for the SK	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	71400	13,978	HUL	71400	4,132.23
	2.3 Procurement and installation of equipment and machinery	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HCCBPL HCCBPL HUL	72100 64300 74500 72100	409,020 8,315 1,467 71,240	HCCBPL HCCBPL HCCBPL HUL HUL HUL	72100 64300 74500 72100 64300 74500	41,452 28 4,123 728 41,322 31 4,329 61 764 05
	2.4 Setting up of office space		--		--		--					HUL	72100	1,377.41
	2.5 Monthly Utilities expenses	--		-		-						HUL	72100	1,652 89
	2.7 Setting up of an arrangement for the Sale of raw material		--		--		--					HUL	72100	1,033.06
	2.8 Setting up of Revenue generation model		--		--		--					HUL	72100	1,652.89
	2.9 Audit of SK and the NGO		--									HUL	72100	344 35
	2.10 Experience sharing workshops with different stakeholders		--									HUL	72100	2,754.82
	2.11 NGO Costs		-		-							HCCBPL HUL	72100 72100	30,769 23 16,115 70
	2.12 Costs for recycling centre (SK)											HUL	72100	13,719.01
	2.13 Ensuring the social security systems for NGOs	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	75100	34,902	HCCBPL HUL	72100 72100	15,384 62 688.71
	2.14 Setting up of small enterprises	--		-		-						HUL	72100	5,509.64
	2.15 Local Travel costs		--		--		-					HUL	72100	826 45
	2.16 Engagement with Social fellows for facilitating projects	--		--		-						HUL	72100	3,305 79
	2.17 Award, Competition certificate function		-		-		--					HUL	72100	688.71
	2.18 IEC Materials for the NGO	--		--		--						HUL	72100	2,754 82

	2.19 Computer, Printer and other equipment's	-	-	-	-	-	-					HUL	72100	688.71	
	2.20 Administrative expenditure	-	-	-	-	-	-					HUL	72100	826.45	
	2.21 Links of all types of plastic recycling materials with back end recyclers	-	-	-	-	-	-								
Component 3: Institutionalization of Swacchta Kendras in governance bodies and improved socio-economic conditions of waste pickers obtained	3.1 Assigning photo identity cards	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HUL	72100 72100	42,807 1,764	HCCBPL HUL	72100 72100	2,884.62 688.71	
	3.2 Build in payments	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	71600	11,139	HUL	72100	826.45	
	3.3 Insurance of plant and machinery for un interrupted work	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	71400	26,209	HUL	72100	137.74	
	3.4 Insurance of the staff											HUL	72100	206.61	
	3.5 Three meetings for 250 waste-pickers												HCCBPL	72100	14,754.63
													HUL	72100	619.83
													HUL	64300	105.37
													HUKL	74500	18.60
	3.6 Setting up of the systems approach/ meetings with MC/state pollution Boards and other stakeholders														
	3.7 Creation of three Sub-centres	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL	75100	6,412				
3.8 Facilitating and implementation of SK												HCCBPL	72100	15,384.62	
3.9 Monitoring for documentation and MIS systems at SK												HCCBPL	72100	7,692.31	
3.10 Monitoring visits and administrative exp. For SK												HCCBPL	72100	15,384.62	
Component 4 Knowledge Management, monitoring and communication system developed	4.1 Films, hoardings, boards, publicity materials, radio jingles, plastic waste toolkits								HCCBPL	72100	37,683	HCCBPL	72100	2,541.21	
									HCCBPL	64300	21,065	HCCBPL	71600	2,541.21	
									HCCBPL	74500	3,716	HCCBPL	71300	2,541.21	
		✓	✓	✓	✓	✓	✓	UNDP	UNDP 30084	72100	85,000	HCCBPL	64300	6,597	
													HCCBPL	74500	1,164
													HUL	72100	2,754.82
													HUL	64300	712.72
												HUL	74500	125.78	

	4 2 Documentation and knowledge management	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HUL	71400 72700	1,310 1,018	HCCBPL HCCBPL HCCBPL HCCBPL HUL	72100 71600 71300 64300 74500 72100	1,700.54 1,700 54 1,700 54 3,848 679 1,377 41
	4 4 Competition, fests and social media links to all the knowledge exchange	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HUL	71600 71600	10,775 1,018	HUL	72100	1,377.41
	4.5 Monitoring Agency required externally, creating dash board, website management and mobile app	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL HCCBPL	75100 72100	6,197 2,912	HCCBPL HUL	72100 72100	30,769 23 6,887 05
	4 7 Project Technical Advisory Meetings		-			-						HCCBPL HUL	72100 72100	512 82 1,549 59
			-			-						HCCBPL	71600	512 82
			-			-						HCCBPL	71300	512 82
	4.8 Project Advisory meetings			-		-						HCCBPL HUL	72100 72100	512 82 1,033.06
		-				-						HCCBPL	71600	512.82
		-		-		-						HCCBPL	71300	512 82
	4 10 Project and NGO staff trainings on the project implementation, systems and approaches											HUL	72100	1,377 41
	4 11 Project Audit/ Spot checks and assurance activities											HCCBPL HUL	72100 72100	512 82 413 22
												HCCBPL	71600	512 82
												HCCBPL	71300	512.82
Component 5: Project Management Cost	5 1-5.10 PMC personnel	✓	✓	✓	✓	✓	✓	UNDP	HCCBPL UNDP TRAC 04000 HUL	71400 71400 71400	1,500 4,000 6,447	HCCBPL HUL	71400 71400	138,461 54 25,206.61
	5 11 PMU EXPENDITURE	✓	✓	✓	✓	✓	✓	UNDP	UNDP TRAC 04000	72100	46,904			

			✓	✓	✓	✓	✓	UNDP	UNDP TRAC 04000	64300	3,036			
			✓	✓	✓	✓	✓	UNDP	HCCBPL	72100	8,000			
			✓	✓	✓	✓	✓	UNDP	UNDP TRAC 04000	71300	9,000			
			✓	✓	✓	✓	✓	UNDP	HCCBPL HUL UNDP 30084	75100 75100 75100	14,271 7,409 7,407	HCCBPL HUL	75100 75100	33,682 13,842
			✓	✓	✓	✓	✓	UNDP	HCCBPL UNDP 30084 UNDP 30084 UNDP 30084	71400 71400 64300 74500	123,823 591 3,748 661	HUL HUL	64300 74500	1,463.50 258 26
			✓	✓	✓	✓	✓	UNDP	UNDP TRAC 04000 HCCBPL UNDP 30084 HUL	71600 71600 71600 71600	11,524 40,409 2,593 1,764	HCCBPL HUL	71600 71600	46,153 85 9,228 65
			✓	✓	✓	✓	✓	UNDP	UNDP TRAC 04000 HUL	74500 74500	536 662			
			✓	✓	✓	✓	✓	UNDP	HUL	75700	1,561			
			✓	✓	✓	✓	✓	UNDP	HUL	64300	3,749			
			✓	✓	✓	✓	✓	UNDP	HCCBPL	71300	4,650			
UNDP TRAC TOTAL											75,000		-	-
HCCBPL TOTAL											917,082			454,711
HUL TOTAL											100,025			186,872
UNDP PROG RESOURCES TOTAL											100,000			
GRAND TOTAL											1,192,107			641,583

7/12/2018



UN Development Programme

India - New Delhi

Project: 00096923
 Project Title: CC Phase I Resource Centre for plastic waste recycling
 Start Year: 2018
 End Year: 2024
 Implementing Partner: Direct Implementation

Budget (US\$) as of Last Revision on 07-December-2018		
Donor	Fund	Amount
UNDP	04000 TRAC (Lines 1.1.1 and 1.1.2)	75,000.00
COCA COLA	30000 Programme Cost Sharing	917,082.00
HUL	30000 Programme Cost Sharing	100,025.00
UNDP	30084 Prog Resources from 11888	100,000.00
Total Budget (2018 and Beyond)		1,192,107.00
Total Utilization (2017 and Prior)		0.00
Project Total		1,192,107.00
Unprogrammed/Unfunded		0.00

Responsible Parties: UNDP

Revision Type:

Project Description:

The budget revision is issued to allocate core funds of US\$ 100,000 Total budget for HUL and COCA COLA 2018 stands at US\$1,192,107 (break up:- Core=US\$175K; HCCBPL=US\$ 917,082, HUL=US\$100,025)

Agreed by: Nadia.Rasheed, DCD

Agreed by: Payal Suri, Head, Op.

Agreed by: Pankaj Mehta, RPU

Agreed by: Prabhjot Sodhi

from 11888

Payal Suri

Prabhjot Sodhi



Annual Work Plan

India - New Delhi

Project: 00096923
 Project Title: CC Phase I Resource Centre for plastic waste recycling

Report Date: 7/12/2018

Year: 2018

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr	Amount US\$	
00100826 Plastic Waste Recycling	Comp 3:Instl SKendra&Imp	1/1/2018	15/6/2024	UNDP	30000	COCA COLA	72100	Contractual Services-Companie	42,807.00
				UNDP	30000	COCA COLA	71600	Travel	11,139.00
				UNDP	30000	COCA COLA	71400	Contractual Services - Individ	26,209.00
				UNDP	30000	COCA COLA	75100	Facilities & Administration	6,412.00
	Comp4:KM Monitoring&Com	1/1/2018	15/6/2024	UNDP	30000	COCA COLA	72100	Contractual Services-Companie	62,464.00
				UNDP	30000	COCA COLA	71400	Contractual Services - Individ	1,310.00
				UNDP	30000	COCA COLA	71600	Travel	10,775.00
				UNDP	30000	COCA COLA	75100	Facilities & Administration	6,197.00
				UNDP	30000	COCA COLA	74500	Miscellaneous Expenses	2,912.00
				UNDP	30084	UNDP	72100	Contractual Services-Companie	85,000.00
	Component1:Socio technic r	1/1/2018	15/6/2024	UNDP	30000	COCA COLA	75100	Facilities & Administration	6,150.00
				UNDP	30000	COCA COLA	72100	Contractual Services-Companie	63,774.00
				UNDP	30000	COCA COLA	74500	Miscellaneous Expenses	13,104.00
	Component2:PPCU SWACH	1/1/2018	15/6/2024	UNDP	30000	COCA COLA	71600	Travel	3,494.00
				UNDP	30000	COCA COLA	71400	Contractual Services - Individ	13,978.00
				UNDP	30000	COCA COLA	72100	Contractual Services-Companie	418,802.00
				UNDP	30000	COCA COLA	75100	Facilities & Administration	34,902.00
	Mum-Institu SwaccKend&Im	1/1/2018	15/6/2024	UNDP	30000	HUL	72100	Contractual Services-Companie	1,764.00
	Mum-KnwdMgtMonit&Comr	1/1/2018	15/6/2024	UNDP	30000	HUL	72700	Hospitality/Catering	1,018.00
				UNDP	30000	HUL	71600	Travel	1,018.00
	Mum-Pilot Prj -Swachta Ke	1/1/2018	15/6/2024	UNDP	30000	HUL	72100	Contractual Services-Companie	71,240.00
	Mum-Socio-technic model	1/1/2018	15/6/2024	UNDP	30000	HUL	72100	Contractual Services-Companie	3,393.00
	Project Management	1/1/2018	31/12/2020	UNDP	30000	COCA COLA	74500	Miscellaneous Expenses	1,500.00
				UNDP	30000	HUL	75100	Facilities & Administration	7,409.00
UNDP				30000	HUL	71600	Travel	1,764.00	
UNDP				30084	UNDP	71400	Contractual Services - Individ	5,000.00	
UNDP				04000	UNDP	72100	Contractual Services-Companie	47,140.00	

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Annual Work Plan

India - New Delhi

Project: 00096923

Report Date: 7/12/2018

Project Title: CC Phase I Resource Centre for plastic waste recycling

Year: 2018

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr	Amount US\$	
	Project Management	1/1/2018	31/12/2020	UNDP	04000	UNDP	64300	Staff Mgmt Costs - IP Staff	2,835.60
				UNDP	30000	COCA COLA	72100	Contractual Services-Companies	8,000.00
				UNDP	04000	UNDP	71300	Local Consultants	9,000.00
									0.00
				UNDP	30000	HUL	74300	Contributions	3,749.00
				UNDP	30000	COCA COLA	75100	Facilities & Administration	14,271.00
				UNDP	30000	HUL	75700	Training, Workshops and Confer	1,561.00
				UNDP	30000	COCA COLA	71400	Contractual Services - Individ	123,823.00
				UNDP	30000	HUL	71400	Contractual Services - Individ	6,447.00
				UNDP	04000	UNDP	71600	Travel	11,524.00
				UNDP	04000	UNDP	74500	Miscellaneous Expenses	500.40
				UNDP	30084	UNDP	71600	Travel	10,000.00
				UNDP	30000	COCA COLA	71600	Travel	40,409.00
				UNDP	30000	HUL	74500	Miscellaneous Expenses	662.00
				UNDP	04000	UNDP	71400	Contractual Services - Individ	4,000.00
				UNDP	30000	COCA COLA	71300	Local Consultants	4,650.00
				TOTAL					
GRAND TOTAL								1,192,107.00	