

## United Nations Development Programme INDIA

### 2016 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)

Project Title: **Removal of Barriers to Biomass Power Generation in India – Phase I**

Implementing Partner: Ministry of New and Renewable Energy (MNRE)

UNDP Strategic Plan Outcome: Inclusive and sustainable growth and development

UNDP Strategic Plan Output(s): Energy efficiency and access to modern energy

UNDAF / CPAP Outcome: 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.

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

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

This AWP aims at completing the already commissioned tasks namely, (i) A report on "Study on biomass-solar thermal hybrid for power generation in India and abroad", (ii) Report on "techno-economic report on biomass-solar thermal hybrid for power", (iii) publish 'BioPower India', (iv) Report on "Socio-economic and environment impact of biomass power plants in India", (v) completion and continuation of biomass portal, and (vi) completing commitments of 2 Model Investment Projects.

**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 Biomass Power Generation among various stakeholders**
- Availability of trained technicians for operations and maintenance of Biomass Power Plants
- Performance improvement of Biomass technologies in the field

**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.**

Transfer of knowledge through the 'BioPower India', web portal and reports.

Programme Period:	2013 - 2018
Atlas Project ID:	00051271
Atlas Output ID	00043810
Start date:	22 September 2006
End Date	31 December 2016
PAC Meeting Date	8 November 2008
Implementation Modality	NIM

2016 AWP budget [only GEF]:	USD 200,000
- Regular	
- Donor (GEF):	USD 200,000
- #Government:	USD 500,000
In-kind Contributions (GEF)	NA
# Not through UNDP budget	

#### Project Expenditure (USD)

Total Budget	Exp 2007	Exp 2008	Exp 2009	Exp 2010	Exp 2011	Exp 2012	Exp 2013	Exp 2014	Exp 2015	Budget 2016	Un programmed
5,650,000	594,870	1073,330	367,566	(372,029)	377,704	118,015	250,398	456,995	212,027	200,000	3,278,876

Agreed by MNRE: \_\_\_\_\_

Agreed by UNDP: \_\_\_\_\_

  
**Jaco Cilliers**  
 Country Director

I. ANNUAL WORK PLAN - YEAR: 2016

Key area of UNDP strategic Plan: Environment and sustainable development; crisis prevention and recovery						
UNDAF / CPAP OUTCOME: 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.						
CPAP OUTCOME Indicators: Number of government's schemes and missions, which incorporate climate resilience measures.						
CONTRIBUTING TO CPAP OUTPUT: Output 3.1: Access to Clean Energy is expanded for under-served communities and small-scale industry						
CONTRIBUTING TO CPAP 5 year target: Facilitating the Removal of barriers and increased adoption of Biomass Power technology						
Annual OUTPUTS	PLANNED ACTIVITIES	Month of completion	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description	Amount (In USD)
Annual output 1- Techno-economic feasibility of biomass-solar hybrid <i>(Pro Doc Component/Outcome statement 1: Technology package benchmarking &amp; validation, including plantation)</i>	1.1 PMC commissions and completes study on biomass-solar thermal hybrid for power generation in India and abroad and prepares a techno-economic feasibility report	December	PMC	GEF	71300	16,000*
Annual output 2 - Publish a report on 'Socio economic and Environment impact of biomass power plants in India', and quarterly newsletter 'BioPower India' <i>[Prodoc outcome statement 2: Enhanced capacities and confidence of project promoters, financial institutions, regulators, policy makers, SNAs, other stakeholders through effective information development &amp; dissemination program, along with capacity building initiatives]</i>	2.1: Publication of four issues of quarterly newsletter 'BioPower India'	December	PMC	GEF	71300 74500	12,000* 1,500*
	2.2: Preparation of report on Socio-Economic and Environment Impact of biomass based power plants in India	December	PMC	GEF	71300 71600	46,000* 4,000*
	2.3: Launch a 'Biomass Knowledge Portal'	December	PMC	GEF	71300	19,000*
Annual output 3: Knowledge sharing and management <i>[Prodoc outcome statement 4: Development of business, commercial and support services networks in focused states]</i>	2.4: Solution exchange and knowledge management	December	UNDP	GEF	71400	15,500
Annual output 4: Two Model Investment Projects established.	Activity 3.1: Completion of 2 MIP [Model Investment Project]	December	PMC	GEF	72600	52,000

[Project Prodoc outcome statement 6: Model Investment Projects (MIPs)]	Activity 3.2: Monitoring and evaluation of MIPs	December	PMC	GEF	71300	2,000
					71600	2,000
	Project staff salaries and project management expenses upto Dec. 2016					25,000
	Annual Audit, Evaluations, Micro assessment costs					5,000
<b>TOTAL IN USD</b>	<b>AWP GRAND TOTAL IN USD</b>					<b>200,000</b>

## 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 CPMB annual strategic review meeting. The Project Steering Committee (PSC) will provide oversight of project level activities, 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. The day-to-day management of the AWP and related decisions will be taken up in the Project Executive Committee (PEC) of the project.

### Fund Flow Arrangements and Financial Management:

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

Funds would be reimbursed to CAAA based on the request from the IP. The request from IP will come on the standard Fund Authorization and Certificate of Expenditures (FACE) form duly signed by the National Project Director or person assigned/delegated by IP. No funds shall be released by UNDP without prior submission of a duly filled and signed FACE form. Unspent funds from the approved AWP will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly.

Separate books of account shall also be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail.

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

The Implementing Partner may request UNDP to provide support services for project implementation. These services may include procurement, recruitment, purchase of goods and services, and organisation of training activities and workshops. UNDP recruitment and procurement rules and regulations will apply for the services provided. All direct costs which are attributable to the provision of these services (direct project costs) will be charged to the project in accordance with in accordance with the policies decided by UNDP decided by UNDP's Executive Board.

Books of account shall be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail. Any interest accrued on the project funds during the project cycle will be ploughed back into the project in consultation with Implementing partner and UNDP and project budgets will stand revised to this extent. If there is no scope for ploughing back the interest will be refunded to UNDP.

Audit: In support of fiduciary good practice and to facilitate scheduled and special audits, 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.

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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. **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 at **Annex1**. 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 report on expenditures and request for reimbursement to CAAA on a quarterly basis, or more frequently, if required.

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. **PROJECT EVALUATION** will be conducted as per the GEF procedure described (midterm review and terminal evaluation) in the project document. Evaluation is expected by March 2017.
- 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 at **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.

**ANNEXES**

**Annex 1 – Monthly progress report format**

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

**Annex 2 – Annual progress report format**

<b>Key area of UNDP strategic Plan:</b>			
<b>UNDAF / CPAP OUTCOME</b>			
<b>CPAP OUTCOME Indicators</b>			
<b>CONTRIBUTING TO CPAP OUTPUT</b>			
<b>CONTRIBUTING TO CPAP 5 year target</b>			
<b>Project title</b>			
<b>Implementing partner</b>			
<b>Year</b>			
<b>Annual Outputs</b>	<b>Allocated budget</b>	<b>Total Expenditure</b>	<b>Progress on planned outputs and key successes</b>
1			
2			
3			
<b>Policy results and any additional results achieved</b>			
<b>Lessons learned, project shortcomings and solutions</b>			
<b>Follow-up Actions</b>			