

United Nations Development Programme INDIA

2014 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)

Project Title: Improving Energy Efficiency in the Indian Railways System

Implementing Partner: Indian Railways

UNDP Strategic Plan Outcome: Inclusive & sustainable growth & 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.

The proposed project aims at improving energy efficiency in the Indian Railways system (and thereby reducing GHG emissions) by removing some of the key barriers that prevent the wide adoption of energy efficiency technologies and measures in the IR system. This year's AWP focuses on (1) institutional capacity development and technical training on Energy Efficiency, (2) implementation of proven Energy Efficiency technologies and measures to build capacity and confidence on Energy Efficiency; (3) pilot demonstration of Energy Efficiency technologies and measures to prove their applicability in the Indian environment; and (4) Information and knowledge sharing.

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.

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 for developing an institutional framework in IR will be strengthened by establishing an EE 'Centre of Excellence' as a resource and service centre for IR's zonal and other units, to institutionalize EE, create awareness among the IR staff and sensitize them on EE and propose appropriate EE technologies, and establish EE benchmarks.
- Address 'institutional' and 'capacity' barriers by supporting institutional capacity development and technical training of the Railway personnel's.
- Facilitate the adoption on a large scale of already proven energy efficiency technologies and measures by facilitating the dissemination of relevant information on existing technologies and measures, and implementing an appropriate incentive system.
- Address 'technology' barriers by piloting and testing energy efficiency technologies and measures (i.e. technologies and measures that have proven to be successful abroad), but have not yet been tested in India, to check their applicability in India.
- Facilitate the acquisition and dissemination of knowledge and lessons learnt.

D. List the gender issues in this AWP and specific ways in which they will be addressed. Not applicable.

E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed: Not applicable

Atlas Project ID:	00060440
Output ID:	00076108
Start date:	Sep 2011
PAC Meeting Date	Nov 27, 2013
End Date	June, 2015
Management Arrangements	NIM

2014 AWP Budget:	\$ 2,420,279
GEF:	\$ 2,420,279
Regular:	NIL

Project Expenditure

Total Project Budget	Exp 2012	Exp 2013	Budget 2014	Budget 2015
5,200,000	492,071	44,199*	2,420,279	2,243,451

* Provisional Figure

Agreed by (Implementing Partner):



DIRECTOR ELECT ENCC (P.S.), RAILWAY BOARD

निदेशक विद्युत इंज (प.स)
 Director Elec. Engr. (PS)
 रेल मंत्रालय/Min. of Railways
 रेल बोर्ड/Railway Board
 नई दिल्ली/New Delhi

Agreed by UNDP:

Alexandra Solovieva 28/03/2014

Alexandra Solovieva
 UNDP Deputy Country Director

I. ANNUAL WORK PLAN

Year: 2014

Annual OUTPUTS	PLANNED ACTIVITIES	Month of completion	RESPONSIBLE PARTY	PLANNED BUDGET			
				Funding Source	Budget Description	Amount (USD)	
Project Outcome 1: Strengthened institutional capacities and technical training							
1.1 Documenting Energy Efficiency Best practices (Measures and Technology) and define Benchmarks	1.1.1 Review of available information and collection of technical data on energy efficiency technologies in railway operation in India.	JUN-14	IR	GEF	72100 71300	470 1,954	
	1.1.2 Gap analysis to define focus areas for the implementation of EE technologies and measure	SEP-14	IR	GEF	71300 71600 72100 74500	700 350 7,700 234	
	1.1.3 Interaction with industrialized countries (such as Japan, Germany, France, UK), including visits to their 'units of excellence', to assess the efficacy of their EE technologies and measures and define benchmarks	DEC-14	IR	GEF	71200 71600 71400 74500	2459 11475 820	
	1.1.4 Based on activities 1.1.1 and 1.1.2, identification and documentation of 'best practices', and efficiency benchmarks and assessment of their applicability in the context of Indian Railways.	DEC-14	IR	GEF	71300 71600 72100 74500	1639 700 350 7,700 234	
	1.1.5 Definition and establishment of specific EE benchmarks for the Indian Railways System (IRS)	DEC-14	IR	GEF	71300 71600 72100 74500	700 350 7,700 234	
	1.2: Improved EE management by creating Centre of	1.2.1 Development of a business plan for the COE	OCT-14	IR	GEF	72100 74500	28,700 466
		1.2.2 Establishment of the COE	MAR-14	IR	GEF	72100	28,700

Excellence (COE)	1.2.3 Development of a web-portal for the dissemination of information on EE technologies and measures	MAR-14	IR	GEF	74500	466
					72100	470
					71300	1,954
	1.2.4 Setting up of TIRFAD	JUN-14	IR	GEF	74100	5303
	1.3.1 Detailed capacity need assessment of IR (IR staff skills and expertise in EE, and capacity of training and testing institutes to conduct EE tests and trainings)				72800	21,000
					71300	1750
					71600	350
				74500	233	
	1.3.2 Development of a training plan, program and training modules	SEP-14	IR	GEF	72100	22,750
					74500	583
					71300	3,500
	1.3.3 Conduct of training of trainers and awareness raising workshops.	Oct-14	IR	GEF	72800	11,900
					71600	7,000
					74500	933
				71300	3,500	
1.3.4 Conducting training courses at divisional level.	Oct-14	IR	GEF	72800	11,900	
				71600	7,000	
				745000	933	
			72100	21,933		
1.3.5 Capacity building for training and testing units to ensure effective implementation and monitoring of EE technologies and measures, and maintenance of EE assets.	Oct-14	IR	GEF	71600	1,400	
Total						228,493
Project Outcome 2 –Implementation of Proven energy efficiency technologies and measures						
2.1 Proven EE technologies and measures in traction and non-traction operations are implemented and energy savings realized.	2.1.1 Review and assessment of existing energy efficiency technologies and measures that have proven to be successful in India (either in IR or in other sectors) and definition of EE benchmarks				71300	700
					71600	350
					72100	7,700
	Aug-14	IR	GEF	74500	234	
	2.1.2 Cost-benefit analysis of identified	Dec-14	IR	GEF	71300	1,400
				71600	350	

2.2 Developed and implemented energy audit procedures	EE technologies					72100	7,000
	2.1.3 Prioritization of energy efficiency technologies and measures to be implemented.	Oct-14				74500	234
	2.1.4 Documentation of EE technologies (e.g. standards, code of practices, M&W specifications, test procedures, installations & testing check lists, etc.)	May-14	IR	GEF		71300	4,900
	2.2.1 Identification of energy intensive departments, segments, and units	Nov-14	IR	GEF		72100	115,500
	2.2.2 Development of energy audit guidelines, manuals, and procedures for each railway operation (e.g. production units, traction substations, workshops, production units, maintenance depots and buildings etc.)	Nov-14	IR	GEF		71600	700
	2.2.3 Conduct of energy audits and definition of benchmarks	Oct-14	IR	GEF		74100	3,500
	2.2.4 Development of contract procedures of energy audits, procurement and implementation	Oct-14				74500	1,049
	2.3.1 Preparation of standards (both technical and financial) for EE services while inviting tenders.	Dec-14	IR	GEF		71300	1,400
	2.3.2 Implementation of proven energy efficiency technologies and good	Dec-14	IR	GEF		71600	350
	2.3 Completed implementation of ready and proven technologies and measures					72100	7,000
					71300	1,400	
					71600	350	
					72100	7,000	
					71300	234	
					74100	5,303	
					71300	7,000	
					72100	138,980	
					71600	7,000	
					74100	35,000	
					74500	1,000	
					74100	5,303	
					74100	5,303	
					74100	14,000	

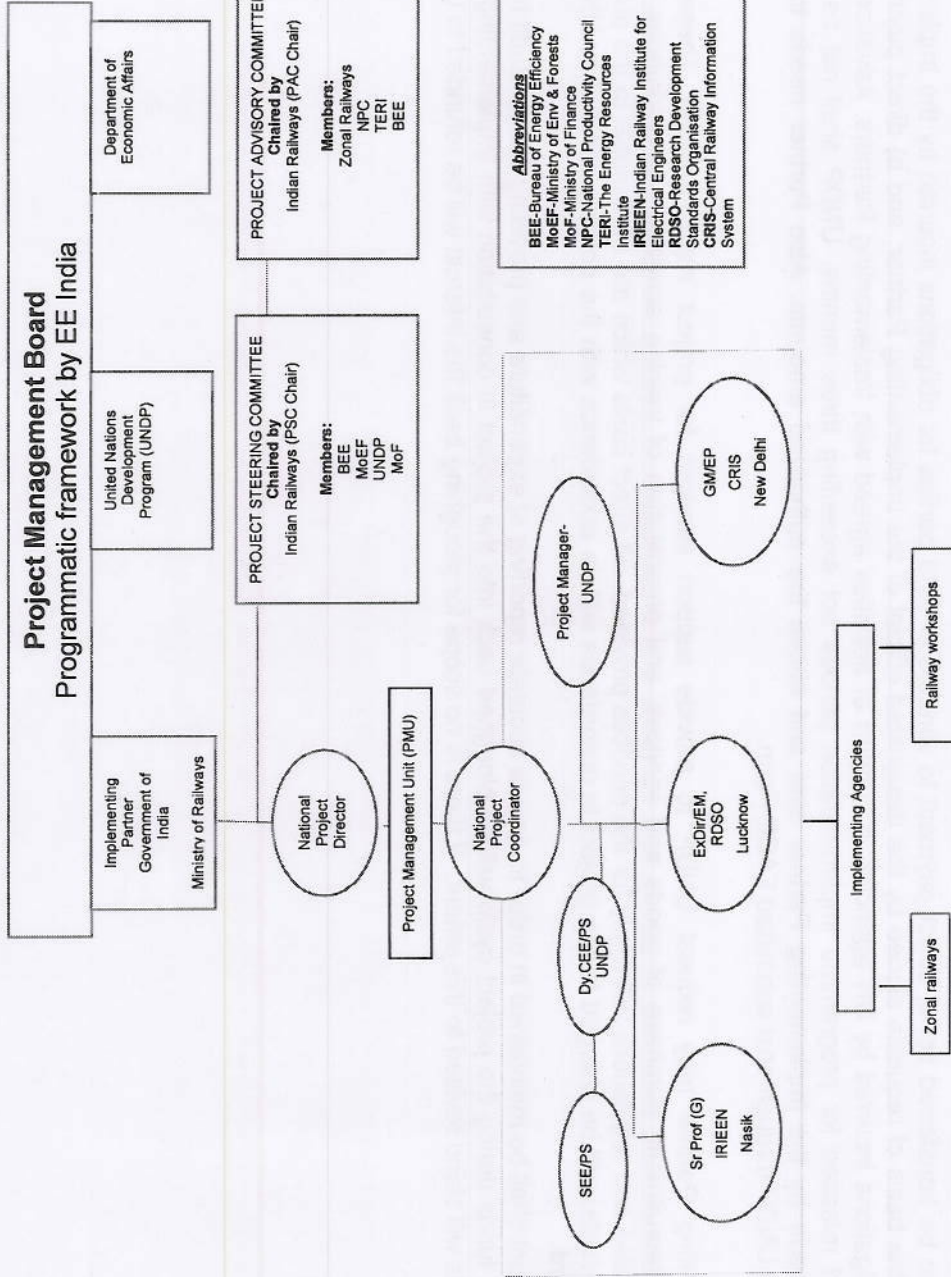
	housekeeping measures as identified during project preparation and under the audits to build confidence and promote EE					72100	175,000
						71600	7,000
						74100	35,000
						74500	2,333
						74100	5,303
	2.3.3 Development of energy audit guidelines, manuals, and procedures for each railway operation (e.g. production units, traction substations, workshops, production units, maintenance depots and buildings etc.)	IR	Oct-14	GEF			
	2.3.4 Capacity building for manufacturers of energy efficient equipment on the design, production and testing of energy efficient equipment.	IR	Oct-14	GEF	74100	5,303	
Total							610,413
Project Outcome 3: Pilot Demonstration of Energy Efficiency Technology and measures							
3: Increased confidence in the application of piloted EE technologies and practices in the IRS	3.1.1 Design of EE demonstration projects in relevant fields of Railways like rolling stock (RS), traction distribution (TRD) and building sector (BS), the post-project functioning of the COE the post-project functioning of the COE	IR	Oct-14	GEF	74100	5,250	
	3.1.2 Implementation of pilot demonstration projects in relevant fields of Railways i.e. EE rolling stock, TRD, BS and E&M for testing house, static installation, work shop and production facilities.	IR	Oct-14	GEF	71300	24,500	
	3.1.3 Technical evaluation and auditing of the pilot projects and documentation of lessons learned (linked with activity 4.1.3)	IR	Oct-14	GEF	72100	1350,000	
					71600	17,500	
					74100	35,000	
					74500	4,665	
					74100	5,303	

Total						1,442,218	
Project Outcome 4: Information and knowledge Sharing							
4: Information and knowledge on EE technologies and measures are widely available and accessible for IRS divisions and their affiliates	4.1.1 Collection and documentation of information on EE technologies, measures, best practices, and lessons learnt	Oct-14	IR	GEF	74100 71300	3,500 1,803	
	4.1.2 Dissemination of collected information through the web portal and measures, best practices, and lessons learnt	Oct-14	IR	GEF	74100 71300	3,500 1,803	
	4.1.3 Production of documentation, publications; leaflets; reports, and of a regular (project) newsletter.	Oct-14	IR	GEF	74100 71300	3,500 1,803	
	4.1.4 Conduct of awareness campaigns at divisional level	Oct-14	IR	GEF	72800 72100 71300 71600 74500	7,000 17,500 700 3,500 466	
	Total					45,075	
	SUB-TOTAL IN USD						2,326,199
	Project staff salaries, Project management expenses						53,080
	Annual Audit, Evaluations, Communication expenses						41,000
	AWP GRAND TOTAL IN USD						2,420,279

II. MANAGEMENT ARRANGEMENTS

The management arrangements will remain same as specified in approved project document except the following changes:
At the programme level, coordination and oversight will be provided by Project Management Board established for Environmental Sustainability programme outcome area. The Project Management Board will meet twice a year.

Oversight of project level activities will be provided by the Project Steering Committee (PSC). National Project Director will be responsible for approving the 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 (PMU) and other stakeholders, as appropriate.



Fund Flow Arrangements and Financial Management:

At the request of the Implementing Partner (Indian Railways), UNDP will directly release funds to Indian Railways. 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. The Funding has since been included in the IR Budget.

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 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.

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. A midterm project evaluation is planned for 2014 and final project evaluation is planned in 2015.
- 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

"This document together with the CPAP signed by the Government and UNDP which is incorporated by reference, constitute together the instrument envisaged and defined in the Supplemental Provisions to the Project attached hereto and forming an integral part hereof, as "the 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/taq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

V. ANNEXES

Annex 1 – Monthly progress report format

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

Annex 2 – Annual progress report format

Year

Annual Outputs	Allocated budget	Total expenditure	Progress towards meeting AWP annual outputs
1			
2			
TOTAL IN USD			
Policy results and any additional results achieved			
Lessons learned, project shortcomings and solutions			
Follow-up actions			

