

**United Nations Development Programme – INDIA**  
**CPAP 2013-17**  
**Annual Work Plan 2016**

**Project Title :** Sustainable Urban Transport Project

**Implementing Partner:** Ministry of Urban Development

**UNDP SP Outcome(s) :** Inclusive & sustainable growth & development

**UNDP SP Output (s):** Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

**UNDP SP Indicators:** Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy)

**UNDAF Outcome(s):** 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

**Brief Description**

**Development challenge this AWP is addressing:**

The objective of this project is to reduce the growth trajectory of GHG emissions from the transport sector in India through the promotion of environmentally sustainable urban transport, strengthening government capacity to plan, finance, implement, operate and manage climate friendly and sustainable urban transport interventions at national, state and city levels. This year's AWP focuses on a) launch of Knowledge Management centre which was started last year b) enhancing the capacity of policymakers through trainings c) Dissemination of best practices.

The focus is mainly to operationalise one of the most critical component of the project i.e the Knowledge management centre. The launch is expected this year which will act as a repository of data information, technologies such as Intelligent Transport Systems (ITS), methodologies, standards and best practices used in the urban transport domain.

This year the terminal evaluation of the project will also be undertaken to document lessons which can be utilised in the next project approved under GEF 5 and will be implemented by World Bank.

Programme Period:	2013-2017	2016 AWP budget:	\$ 576,813
Key Result Area (Strategic Plan):		- Core : \$	-----
Award ID:	00048794	- **Non-core (GEF):	\$ 576,813
Project ID:	00059078	<b>**Please specify donors and contribution.</b>	
Project Start date:	1st Nov 2009		
Project End Date:	31st Dec 2017		
PAC Meeting Date:	Nov 7, 2008		
Management Arrangements:	NIM		

**Project Expenditure**

Total Project Budget	Exp 2010-2012	Exp 2013 (Actual)	Exp 2014 (Actual)	Exp 2015	Budget 2016	Budget 2017	Budget 2018
4,050,000	1,192,027	732,461	550,943	638,232	576,813	232,549	126,975
Others							

Agreed by (Implementing Partner):

*Mukund Kumar Sinha*  
13/2/16

Agreed by UNDP

*Jaco Cilliers*

मुकुन्द कुमार सिन्हा/MUKUND KUMAR SINHA  
 विशेष कार्य अधिकारी (सू.टी.)/O.S.D. (U.T.)  
 एवं/and  
 पदेन संयुक्त सचिव/ex-officio Joint Secy.  
 शहरी विकास मंत्रालय, भारत सरकार  
 M/o Urban Development, Govt. of India

Jaco Cilliers  
Country Director

# I. ANNUAL WORK PLAN

Year: 2016

Annual OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				PLANNED BUDGET			RESPONSIBLE PARTY
		Q1	Q2	Q3	Q4	Funding Source	Budget Description	Amount USD	
<b>Project Outcome 1:</b> Institutional capacity Development, focusing on strengthening the institute of Urban Transport (IUT), New Delhi under MoUD									
<b>1.1</b> Establishment Knowledge Management Centre (KMC) with an interactive web portal  <b>Baseline: 0</b> <b>Indicators:</b> Establishment of Knowledge database at IUT <b>Target: 1</b>	<b>1.1.1</b> Initial web portal setup & cloud hosting , Online portal hosting & Go-Live (Basic Portal), Portal customization (SAP) ,Data storage and Portal Go-Live & Handing over the IT based platform cum database to IUT								
	<b>1.1.2</b> Public consultation via a national level workshop	√	√			GEF	71200	1,12,625	UNDP
	<b>1.1.3</b> Online portal hosting and going live with data for more than 40 cities.								
	<b>1.1.4</b> Initiation of training of IUT staff for handing over of KMC								
	<b>1.1.5</b> Hiring of software engineer and other KMC staffs								



	<b>1.1.6</b> Completion of IUT staff training and handing over of KMC portal								
<b>1.2</b> Commission Policy research to assist MoUD in understanding the impact of specific policy changes or introducing new sustainable urban transport policies.	<b>1.2.1</b> Submission of draft report on the 2 initiated research projects: E-rickshaw study & Child friendly mobility								
<b>Baseline: 6</b> <b>Indicators: 4 policy research commissioned</b> <b>Targets: 4 policy research</b>	<b>1.2.2</b> Public consultation on the initiated study and finalization of the report.								
	<b>1.2.3</b> Initiation of the study on impact of DTC and metro on the environment (in principal approved by MoUD)	√	√	√		GEF	71300	1,20,596	<b>MoUD/IUT</b>
	<b>1.2.4</b> Submission of interim report on study on impact of DTC and metro on the environment								
	<b>1.2.5</b> Initiating parking policy guidelines								
	<b>1.2.6</b> Submission of draft and final report on study on impact of DTC and metro on the environment								
	<b>1.2.7</b> Submission of draft and final report on parking policy guidelines								
<b>1.3</b> Evaluate detail project reports DPRs on urban transport investments from the perspective of sustainability.	<b>1.3.1</b> Evaluation of DPRs as requested by MoUD	√	√	√		GEF	72200	7,031	<b>MoUD/IUT</b>

<b>Baseline:</b> 8 <b>Indicators:</b> DPRs approved by IUT are submitted to MoUD <b>Targets:</b> 12							74105	17,566	
<b>Sub-total (Outcome 1)</b>									
<b>Project Outcome 2 – Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport.</b>									
<b>2.1 Organize Training of Trainers</b>							71300	26,596	
<b>Baseline: 3</b> <b>Indicators:</b> Officials trained on various aspects of sustainable transport <b>Targets:</b> 5	<b>2.1.1 Training of balance 21 trainers</b>	√	√	√		GEF	74105	17,566	<b>MoUD/IUT</b>
<b>2.2 Conduct Trainings of city officials with the help of master trainers</b>	<b>2.2.1 Training program in Andaman &amp; Nicobar islands</b>								<b>Funded by MoUD. Implemented by IUT</b>
<b>Baseline:</b> 958 <b>Indicators:</b> City officials trained <b>Targets:</b> 1500	<b>2.2.2 Submission of proposal to the ministry for training of additional 500 participants as approved in the steering committee</b>	√	√	√		MoUD	-	-	
<b>Sub-total (Outcome 2)</b>									
<b>Project Outcome 4: Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals.</b>									



4.1: Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals.	4.1.1 Quarterly newsletter produced, SUTP Website updated regularly , various public communication activity and experience sharing workshops are conducted	√	√	√	√	GEF	74215	15,625	MoUD/PMU
<b>Baseline:</b> 15 <b>Indicators:</b> Published awarenes materials <b>Targets:</b> 20									
<b>Sub-total (Outcome 4)</b>								<b>15,625</b>	
<b>5. Project Management Unit</b>									
	1) Project Management Unit (PMU) salaries						71300	1,36,659	MoUD/PMU/UNDP
	2) PMU Operating expenses	√	√	√	√	GEF	74500	15,625	
	3) PMU Training cost						71300	4,688	
	4) Staff salary and Misc							35,000	UNDP
<b>Sub-total (Outcome 5)</b>								<b>1,91,972</b>	
<b>Total</b>								<b>5,09,577</b>	
<b>Annual Audit, Evaluations, Communication expenses</b>								<b>49,000</b>	UNDP
<b>Project staff salaries, Project management expenses</b>								<b>18,236</b>	UNDP
<b>Grand Total</b>								<b>5,76,813</b>	

## II. Monitoring and Evaluation

### A. Framework

(Include all monitoring and evaluation activities/events)

Project ID: 00048794 Project Title: Sustainable Urban Transport Project

Expected Results (Outcomes & Outputs)	Indicators	Baseline [RA1]	Targets [RA2]	Data Collection Plan				
				Source/Method of Collection	Schedule/Frequency	Responsible Staff	Resources (\$)	Risks and Assumptions
Obtained from the CPAP and project Results Frameworks)	Obtained from the CPAP and project Results Frameworks)	At the project start date	At the project end date	Specific publication, evaluation, survey, field observation, interviews, etc	Monthly, quarterly, annually, etc	Staff member responsible for collecting and reporting data	Estimated cost of collecting and reporting data	Any risks or assumptions concerning data collection / Means of Verification
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 Output:								
Project Output 1: Institutional capacity Development, focusing on strengthening the institute of Urban Transport (IUT), New Delhi under MoUD	1.1 Establishment Knowledge Management Centre (KMC) with an interactive web portal	0	1	Quarterly Progress reports & Annual Reports, updated on IUT website	Quarterly /Annually	PMU & IUT		
	1.2 Commission Policy research to assist MoUD in understanding the impact of specific policy changes or introducing new sustainable urban transport policies.	6	6	Quarterly Progress reports & Annual Reports, updated on IUT website	Quarterly /Annually	PMU & IUT		



	1.3 Evaluate detail project reports DPRs on urban transport investments from the perspective of sustainability.	65	10	Quarterly Progress reports & Annual Reports	Quarterly /Annually	PMU & IUT		
Project Output 2: Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport	Number of master trainers trained on various topics of sustainable urban transport	79	21	Quarterly Progress reports & Annual Reports, list of trainers updated on IUT and SUTP website	Monthly/Quarterly /Annually	PMU & IUT		
	Number of people trained by master trainers at the sub-national level through workshops	958	240	Quarterly Progress reports & Annual Reports, list of participants updated on IUT, UMI and SUTP website	Monthly/Quarterly /Annually	PMU & IUT		
Project Output 3: Manuals, Toolkits and Standard prepared to serve as reference documents, guides to develop and implement of sustainable urban transport.	Sustainable urban transport training manuals developed by IUT	10	0	Quarterly Progress reports & Annual Reports, updated on IUT and SUTP website	Monthly/Quarterly /Annually	PMU & IUT		
	Toolkits developed by IUT	15	0	Quarterly Progress reports & Annual Reports, updated on IUT and SUTP website	Monthly/Quarterly /Annually	PMU & IUT		
	Number of validation workshops conducted by IUT to test the developed training manuals and toolkits	15	0	BTORS		PMU & IUT		
Project Output 4: Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals.	Quarterly newsletters published and circulated by the PMU	15	4	Quarterly Progress reports and copy of the newsletters	Quarterly	PMU		
	Number of press releases and brochures about the project disseminated	1	2	Copy of the press releases		PMU		
	SUTP web portal developed, launched and periodically updated by PMU	1	0	Quarterly Progress reports and SUTP website	Quarterly	PMU		
	IUT organizes one annual international conference	4	1	Proceedings prepared by IUT	Annually	PMU & IUT		
	Experience and knowledge sharing workshop for cities and state governments organized by PMU	1	2	BTORS, Quarterly News letter	Quarterly	PMU		

## B. Monitoring and Evaluation Plan

### Monitoring Plan

Monitoring Visit	Time Frame				By whom	Place	Purpose	Expected Outcome	Resources
	Q 1	Q2	Q3	Q4					
Field Visit 1	√	√			PMU/ MoUD	Ahmedabad	Review progress of KMC	On time delivery of KMC	1000
Field Visit 2									
Field Visit 3									
Field Visit 4									
Field Visit 5									

### Evaluation Plan

Evaluations/Assessments/ Reviews Planned for this year	Time Frame				By whom (External or Internal)	Purpose and how the evaluation/assessment/reviews results & Recommendation will be utilized	Resources
	Q1	Q2	Q3	Q4			
Evaluation/Assessment 1							
Evaluation/Assessment 2							
Evaluation/Assessment 3							
Evaluation/Assessment 4					External Consultant	Will be used to highlight the impacts of the project as well as shared with relevant stakeholders as part of lessons learnt	USD 30,000
Evaluation/Assessment 5							



**III. Recruitment Plan 2016**

*(Include all the recruitments envisaged by the project in AWP 2016 - including national and international staff positions that are vacant or newly created)*

**Project ID:** \_\_\_\_\_ **Project Title:** \_\_\_\_\_

To be provided by HR

**IV. Procurement Plan 2016**

*(Include all local and international procurements valued at or above \$ 5000 envisaged in AWP 2016 – including goods, assets, services and works)*

**Project ID: 00048794 Project Title: Sustainable Urban Transport Project**

<b>Country Office</b>	<b>India</b>
<b>Submitted by:</b>	
<b>Date:</b>	

Instructions:  
 - Only include procurements to be done by UNDP for DIM, Management, support-to-NIM projects and UN Agencies  
 - If you need additional lines, right-click and "Insert" rows, do not copy-paste, to keep drop-down menus & format.

Requesting Unit	Project Name (acronym or brief name)	Type of Supply	Category	Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works	Procurement Process Status
[R3]												
<b>Total Estimated 2016 Procurement Plan (USD)</b>												



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## V. 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:**

Project following National Implementation. At the request of the Implementing Partner, Ministry of Urban Development, UNDP will directly release funds to the bank account created for the implementation of this project with the Institute Of urban Transport. 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.

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.

## Bank Details

**Bank Name** : Axis bank Ltd  
**A/C No** : 910010009828284  
**Branch** : New Delhi (DL)  
**Branch Code** : 007  
**IFSC code** : UTIB0000007  
**Account Name** : Institute of urban transport –SUTP-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.

**Project Closure:** Project Closure: The project will be closed as per UNDP norms and assets (if any) will be disposed of or transferred to IP in consultation with them during the life cycle or at end of the project.



## VI. Planning, Monitoring and Reporting

The project will follow the following planning, monitoring and reporting cycle during the year.

Timeline /Target Date	Activity	Primary Responsibility
15 January 2016	Submit final Annual Progress Report 2015 to UNDP	Project Director/ Project Manager
10 Jan 2016	Finalisation of audit plans	RPU in consultation with Program Units
1 Feb-15 Mar. 2016	Annual audit of the project	RPU-Program Unit
07 April 2016 07 July 2016 07 October 2016 07 January 2017	Quarterly Progress Reports, including: a) Report on project progress and financial delivery (FACE forms)	Project Manager /Program Officer, M&E
31 July 2016	Organise Project Steering Committee as agreed in the Prodoc. (Mid-year review of project progress and, if needed, revision of the AWP)	Project Director/ Project Manager/
30 November 2016	IRRF, IWP and ROAR updates	M&E and Program Units
30 November 2016	Organise Project Steering Committee to: a) Review of project contribution to results and financial delivery 2016; b) Review and endorsement of AWP 2017	Project Director/ Project Manager

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## ANNEXES

- Annex 1: Cost sharing agreements signed with donors/government (if any)
- Annex 2: Project cooperation agreement signed with NGOs (if any)
- Annex 3: Agreements between the Implementing Partner and Responsible Parties (Government entities, NGOs, etc), if an