



Empowered lives.  
Resilient nations.

# United Nations Development Programme

## United Nations Development Programme

### Terminal Evaluation of UNDP/GEF Project: Sustainable Urban Transport Project (Component 1A)

(GEF Project ID: 3241; UNDP PIMS ID: 3214)

## Terminal Evaluation Report

***Mission Members:***

Mr. Roland Wong, International Consultant

Dr. Sudhakar Yedla, National Consultant

**June 2017**

---

## TABLE OF CONTENTS

	Page
<b>SYNOPSIS</b> .....	<b>III</b>
<b>EXECUTIVE SUMMARY</b> .....	<b>IV</b>
<b>ABBREVIATIONS</b> .....	<b>IX</b>
<b>1. INTRODUCTION</b> .....	<b>1</b>
1.1 PURPOSE OF THE EVALUATION .....	1
1.2 SCOPE AND METHODOLOGY .....	2
1.3 STRUCTURE OF THE EVALUATION .....	3
<b>2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT</b> .....	<b>4</b>
2.1 PROJECT START AND DURATION .....	4
2.2 PROBLEMS THAT COMPONENT 1A OF SUTP SOUGHT TO ADDRESS .....	4
2.3 IMMEDIATE AND DEVELOPMENT OBJECTIVE OF COMPONENT 1A OF SUTP .....	5
2.4 BASELINE INDICATORS ESTABLISHED .....	5
2.5 MAIN STAKEHOLDERS .....	6
2.6 EXPECTED RESULTS .....	6
<b>3. FINDINGS</b> .....	<b>7</b>
3.1 PROJECT DESIGN AND FORMULATION .....	7
3.1.1 <i>Analysis of Project Planning Matrix</i> .....	7
3.1.2 <i>Risks and Assumptions</i> .....	8
3.1.3 <i>Lessons from Other Relevant Projects Incorporated into Component 1A Design</i> .....	9
3.1.4 <i>Planned Stakeholder Participation</i> .....	9
3.1.5 <i>Replication Approach</i> .....	9
3.1.6 <i>UNDP Comparative Advantage</i> .....	10
3.1.7 <i>Linkages between Component 1A of SUTP and Other Interventions within the Sector</i> .....	10
3.1.8 <i>Management Arrangements</i> .....	10
3.2 PROJECT IMPLEMENTATION .....	11
3.2.1 <i>Adaptive Management</i> .....	12
3.2.2 <i>Partnership Arrangements</i> .....	13
3.2.3 <i>Feedback from M&amp;E Activities Used for Adaptive Management</i> .....	13
3.2.4 <i>Project Finance</i> .....	14
3.2.5 <i>M&amp;E Design at Entry and Implementation</i> .....	14
3.2.6 <i>Performance of Implementing and Executing Entities</i> .....	18
3.3 PROJECT RESULTS .....	19
3.3.1 <i>Overall Results</i> .....	19
3.3.2 <i>Component 1: Institutional Capacity Development focusing on Strengthening the Institute of Urban Transport</i> .....	20
3.3.3 <i>Component 2: Individual Capacity Development through Training of Trainers and Professionals involved in Urban Transport</i> .....	25
3.3.4 <i>Component 3: Preparation of Manual, Toolkits and Standards on various aspects of Urban Transport</i> .....	28
3.3.5 <i>Component 4: Promotion, awareness raising and dissemination of information to expand and enhance the impacts of GEF SUTP</i> .....	29
3.3.6 <i>Relevance</i> .....	30
3.3.7 <i>Effectiveness and Efficiency</i> .....	30
3.3.8 <i>Country Ownership and Drivenness</i> .....	31
3.3.9 <i>Mainstreaming</i> .....	31
3.3.10 <i>Sustainability of Project Outcomes</i> .....	32

3.3.11 <i>Impacts</i> .....	32
<b>4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS .....</b>	<b>35</b>
4.1 CORRECTIVE ACTIONS FOR THE DESIGN, IMPLEMENTATION, MONITORING AND EVALUATION OF THE PROJECT.....	36
4.2 ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT .....	37
4.3 PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES .....	38
4.4 BEST AND WORST PRACTICES IN ADDRESSING ISSUES RELATING TO RELEVANCE, PERFORMANCE AND SUCCESS.....	38
<b>APPENDIX A – MISSION TERMS OF REFERENCE FOR THE FINAL EVALUATION OF COMPONENT 1A OF THE SUTP PROJECT.....</b>	<b>40</b>
<b>APPENDIX B – MISSION ITINERARY (FOR JANUARY 2017) .....</b>	<b>46</b>
<b>APPENDIX C – LIST OF PERSONS INTERVIEWED.....</b>	<b>47</b>
<b>APPENDIX D – LIST OF DOCUMENTS REVIEWED.....</b>	<b>48</b>
<b>APPENDIX E – PROJECT PLANNING MATRIX (PPM) FOR COMPONENT 1A OF SUTP (FROM JULY 2013) .....</b>	<b>49</b>
<b>APPENDIX F - TRACKING TOOL.....</b>	<b>54</b>
<b>APPENDIX G - SUTP EVALUATION QUESTIONS .....</b>	<b>56</b>
<b>APPENDIX H - EVALUATION CONSULTANT AGREEMENT FORM.....</b>	<b>61</b>

## SYNOPSIS

**Title of UNDP supported GEF financed project:** India: Sustainable Urban Transport Project (SUTP)

**UNDP Project ID:** PIMS 3214

**GEF Project ID:** 3241

**Evaluation time frame:** April 2010 to January 2017

**CEO endorsement date:** April 15, 2010

**Project implementation start date:** April 15, 2010

**Project end date:** March 31, 2018

**Date of evaluation report:** March 31, 2017

**Region and Countries included in the project:** India

**GEF Focal Area Objective:** SP-5 (for GEF-4): Promoting sustainable innovative systems for urban transport

**Implementing partner and other strategic partners:** Implementing partner: Ministry of Urban Development (MoUD)

**Evaluation team members:** Mr Roland Wong, International Consultant  
Dr. Sudhakar Yedla, National Consultant

### **Acknowledgements:**

The Evaluators wish to acknowledge with gratitude the time and effort expended by all project participants and stakeholders during the course of the Sustainable Urban Transport Project Terminal Evaluation. In particular, we wish to thank the UNDP India, the Ministry of Urban Development, the Institute of Urban Transport as well as other former Project managers and former Project personnel for making the efforts to recall details of their time while on the project. Thank you again to all those we met during the mission for your hospitality and insights, and most importantly, your passion for sustainable urban transport and your visions of improved urban mobility in India. We sincerely hope that this report contributes towards a lower carbon future for urban transport throughout India.

## EXECUTIVE SUMMARY

This report summarizes the findings of the Terminal Evaluation Mission conducted during the January 26-February 3, 2017 period for the Component 1A of the GEF project: “Sustainable Urban Transport Project” (hereby referred to as SUTP or the Project), where UNDP received a US\$4.05 million grant from the Global Environmental Facility (GEF) in April 2010 as part of a larger GEF grant managed under the World Bank for Components 1B and 2.

### Project Summary Table

Project Title:	<i>Sustainable Urban Transport Project (for Component 1A only)</i>			
GEF Project ID:	3241		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	3214	GEF financing:	4.050	3.541
Country:	India	IA/EA own:		0.
Region:	Asia and the Pacific	Government:	1.444 <sup>1</sup>	1.175
Focal Area:	Climate Change	Other:	0	0.
FA Objectives, (OP/SP):	SP5 for GEF 4: Promoting sustainable innovative systems for urban transport	Total co-financing:	0	1.175
Executing Agency:	Ministry of Urban Development (MoUD)	Total Project Cost:	5.494	4.716
Other Partners involved:		ProDoc Signature (date project began):		September 2011
		(Operational) Closing Date:	Proposed: 31 December 2014	Actual: 31 March 2018

### Project Description

The objective of the overall GEF-supported SUTP is the reduction of 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, and increasing the modal share of environmental friendly transport modes in project cities. The overall SUTP has 2 components, one for capacity development initiatives that is jointly managed by UNDP and the World Bank, and another component comprising of support for 4 demonstration projects in certain selected cities and managed by the World Bank. This Terminal Evaluation (TE) covers the capacity development initiatives managed by UNDP under Component 1A that were designed to enable national capacity through the Government of India’s Ministry of Urban Development (MoUD) to support wide-scale development of sustainable urban transport (SUT) through large urban centers of India in Component 2.

During the period when the SUTP Project was being prepared in 2009, India was experiencing surging economic growth and increased urbanization leading to a rise in the ownership and use of motorized

<sup>1</sup> As per the revised allocation of the GoI as approved by Standing Committee. This is not contained in the SUTP ProDoc.

vehicles in its cities. The increased number of motorized vehicles for travel within India's cities has been exacerbated by the availability of lower priced cars, increasing the share of motorized trips within urban areas where previously travel modes such as walking, cycling and the use of buses had been more dominant. This shift in travel modes has had an adverse impact on the urban quality of life through widespread congestion, increased air pollution from traffic, and increased GHG emissions from India's urban transport sector.

The response by the Government of India to these issues of urban congestion has been the adoption of a National Urban Transport Policy (NUTP) in April 2006. The NUTP placed an emphasis on improving the livability of India's cities for sustainable urban growth focusing on improved urban mobility rather than on transport infrastructure. At the commencement stages of Component 1A of SUTP, full adoption and implementation of NUTP would not have been possible without participation of local stakeholders. To support local implementation (through World Bank implemented components of SUTP) for developing pilot sustainable urban transport projects, Component 1A of SUTP sought to address the following issues:

- highly fragmented institutional arrangements for urban transport in India in 2010;
- weak coordination between national, state and municipal sectors where systematic procedures on public consultation and technical guidelines for planning, preparing, appraising and monitoring and evaluating urban transport investments are largely ineffective;
- inadequate capacities in several state and municipal institutions to address urban transport issues in a comprehensive and collaborative environment;
- absence of local capacity to effectively collect knowledge on local transport issues that can be used within a framework of best practices by transport practitioners to plan, design, operate and manage urban transport investments;
- lack of formal feedback mechanisms between the public and providers of public transport; and
- the absence of high-quality urban transport projects that could demonstrate best practices and the benefits of sustainable urban transport, as well as cultivating changes in the way urban transport is planned, operated and maintained.

## Project Results

Overall results of Component 1A of the SUTP Project can be summarized through actual outcomes of Component 1A activities.

**Table A: Comparison of Intended Project Outcomes from the Inception Report to Actual Outcomes**

Intended Outcomes in April 2010 ProDoc	Actual Outcomes as of March 2017
<p><b>Overall Project Goal (Impact):</b> Government capacity strengthened to plan, finance, implement, operate and manage climate-friendly and sustainable urban transport interventions at national, state and city levels</p>	<p><b>Actual Overall Project Impact:</b> Government capacity has been strengthened through a strengthened Institute of Urban Transport (IUT) as a focal and quasi-independent organization that represents the Government on SUT issues including the appraisal of SUT investments. This in turn has led to the scale up and development of SUT projects in pilot cities under the SUTP Project in India, and an IUT that represents the Gol to provide handholding of city and state governments in the design of SUT systems in a number of cities to an advanced design or investment stage.</p>

Intended Outcomes in April 2010 ProDoc	Actual Outcomes as of March 2017
<b>Project's Goal (Outcome):</b> IUT is recognized by states and cities as a national urban transport knowledge centre	<b>Actual Project Outcome:</b> IUT is developing into a national urban transport knowledge center through the provision of technical assistance to 6 states in implementing various provisions of the NUTP, and training and advisory services to 14 states/cities in implementing various provisions of the NUTP.
<b>Outcome 1:</b> Institute of Urban Transport strengthened so as to provide substantial support to local governments in implementing the National Urban Transport Policy	<b>Actual Outcome 1:</b> IUT has been strengthened, and provides substantial support to local governments in implementing the NUTP. This has included following the recommendations of an IUT business plan that included a methodical process to expand its operations, functions and services to meet a demand for "handholding" technical assistance to local governments
<b>Outcome 2:</b> Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport.	<b>Actual Outcome 2:</b> Government officials, urban planners, and urban transport professionals received training on various aspects of sustainable urban transport through 10 training programs and 10 annual workshops held throughout India.
<b>Outcome 3:</b> Manuals, Toolkits and Standard prepared to serve as reference documents, guides to develop and implement of sustainable urban transport.	<b>Actual Outcome 3:</b> Manuals and toolkits were prepared to serve as reference documents, and guides to develop and implement SUTP projects throughout India, and serve as a basis for setting national SUT standards. The PMO, however, was not in a state of readiness to prepare such standards due to the lack of successful and operational SUTP projects in India during the implementation of Component 1A between 2010 and 2016.
<b>Outcome 4:</b> Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals.	<b>Actual Outcome 4:</b> There is increased awareness of sustainable urban transport mentions amongst city and state government officials as well as urban transport sector professionals. A strong indicator of this outcome is the involvement of more than 60 cities in India on planning SUTP initiatives.

## Summary of Conclusions, Recommendations and Lessons

As a consequence of implementing Component 1A of the SUTP, the capacity in India to promote sustainable urban transport as well as design and implement SUT projects has significantly improved in the 5 participating cities of SUTP. While this is a satisfactory achievement, the level of capacity built in India is not at a level where the number of transport professionals can fully satisfy the demand for planning and design of SUT projects in India, nor is there a critical mass of urban transport practitioners to grow the profession to meet this demand.

IUT's relationship with other active urban transport institutions in India and its strategy for interaction with these institutions is not clear. Interaction with these other institutes (such as NIUA, CEPT, IIT Delhi, TERI, IGIDR, CIRT and IUA) may be beneficial to the acceleration of IUT's development as the Gol's premier agency on appraising SUTP proposals and developments. Current issues to the sustainability of IUT are mainly related to the pending approval of a financial corpus that will sustain IUT's operations after the EOP. Without financing support, IUT will experience understaffing to sustain current levels of research and KMC management; uncertainty in its long-term sustainability; and low morale resulting from this uncertainty.

Another important achievement of Component 1A has been the establishment of a Knowledge Management Database Centre (KMC) to manage transport-related data from local governments and

NGOs that is required for effective design of SUT projects. However, actual collection of transport-related data focused on more than 40 cities, diluting pilot efforts to collect comprehensive transfer related data from the 5 pilot cities. In many of these cities, the quality of data was poor that required extensive analysis and efforts to integrate with the KMC's new SUT database, and there were missing data sets due to the lack of capacity or knowledge at the local government levels for this data such as energy-related data of urban transport.

Finally, the insertion of UNDP on a World Bank-GEF project for capacity building has worked well, and served as a good foundation to enable IUT to improve the capacity of local government level personnel to design and implement SUT projects. This has subsequently improved the capacities of local governments to design and implement demonstration projects under Component 2.

#### Corrective actions for the design, implementation, monitoring and evaluation of the project:

*Action 1 (to UNDP): For projects that involve two implementing agencies, assurances should be made that each implementing agency has its own project planning matrix for the monitoring and evaluation of its own activities.*

*Action 2 (to UNDP and MoUD): A more detailed plan and vision of IUT should have been prepared as a target for implementers of Component 1A.*

*Action 3 (to UNDP and MoUD): Improving the strengthening and increasing the growth of the KMC could have been realized if strategically planned with the collection of transport-related data (including energy-related data) that focused on fewer cities, such as the 5 pilot SUT cities. This would have included a process to formulate a business plan for the KMC with a renewed focus on a fewer cities where an effective urban transport data collection system could be piloted.*

#### Actions to follow up or reinforce initial benefits from the project:

*Action 4 (to MoUD and UNDP): IUT needs to prepare a strong and updated business plan that proposes collaborative mechanisms with and complements the work of other existing institutions involved with urban transport in India.*

*Action 5 (to MoUD and UNDP): Training materials for government personnel as well as to urban transport professionals needs to become more comprehensive and broad-based. This would include topics for training such as energy savings and GHG emission reductions from SUT projects, construction techniques, construction management, and the maintenance of SUT-related infrastructure.*

*Action 6 (to MoUD and UNDP): Closely monitor the progress of the approval of the MoUD financial proposal to Cabinet for a financial corpus of USD 1.5 million (INR 10 crore) to be used for post-UNDP operation and administration of IUT and its management of the KMC.*

#### Proposals for future directions underlining main objectives of Component 1A of SUTP:

*Action 7 (to UNDP and the World Bank): Act on the request of MoUD for a continuation of donor supported capacity building of SUT professionals throughout India. This would include the updating all training modules; expanding topics in training modules such as construction contracting, construction management, construction techniques and use of special building materials in SUT projects; energy*



savings and GHG reduction benefits of SUT projects including new topics such as bus operator training on eco-driving habits; more emphasis on SUT case studies from different regions of India as well as other countries; specialized training programs; and a continuation of training Master Trainers through IUT

#### Best and worst practices in addressing issues relating to relevance, performance and success:

*Poor practice: Implementation of Component 1A contained activities related to national research such as municipal level data collection for sustainable urban transport purposes, an activity which expanded from 5 cities to more than 40 cities, diffusing efforts to effectively manage data for the KMC.*

*Poor practice: With a mandate to build the capacity of IUT as the main entity to advise MoUD on all issues related to SUT development in India, the PMO could have accelerated this process through networking with relevant national institutes on urban transport in addition to international institutes.*

*Best practice: To ensure constant improvement of training programs, aggressive follow-up on feedback surveys of training programs is necessary.*

*Best practice: An energetic and efficient project management unit is required to manage a large capacity building project where there are numerous consultations and approvals required to select attendees of various training programs, especially within the Indian Government system.*

## Evaluation Ratings<sup>2</sup>

1. Monitoring and Evaluation	Rating	2. IA & EA Execution	Rating
M&E design at entry	3	Quality of Implementation Agency - UNDP	5
M&E Plan Implementation	4	Quality of Execution - Executing Entity (MoUD)	5
Overall quality of M&E	4	Overall quality of Implementation / Execution	5
3. Assessment of Outcomes	Rating	4. Sustainability <sup>3</sup>	Rating
Relevance <sup>4</sup>	2	Financial resources	4
Effectiveness	5	Socio-political	4
Efficiency	5	Institutional framework and governance	4
Overall Project Outcome Rating	5	Environmental	4
		Overall likelihood of sustainability	4

<sup>2</sup> Evaluation rating indices (except sustainability – see Footnote 2, and relevance – see Footnote 3): 6=Highly Satisfactory (HS): The project has no shortcomings in the achievement of its objectives; 5=Satisfactory (S): The project has minor shortcomings in the achievement of its objectives; 4=Moderately Satisfactory (MS): The project has moderate shortcomings in the achievement of its objectives; 3=Moderately Unsatisfactory (MU): The project has significant shortcomings in the achievement of its objectives; 2=Unsatisfactory (U) The project has major shortcomings in the achievement of its objectives; 1=Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

<sup>3</sup> Sustainability Dimension Indices: 4 = Likely (L): negligible risks to sustainability; 3 = Moderately Likely (ML): moderate risks to sustainability; 2 = Moderately Unlikely (MU): significant risks to sustainability; and 1 = Unlikely (U): severe risks to sustainability. Overall rating is equivalent to the lowest sustainability ranking score of the 4 dimensions.

<sup>4</sup> Relevance is evaluated as follows: 2 = Relevant (R); 1 = Not relevant (NR)

## ABBREVIATIONS

Acronym	Meaning
APR-PIR	Annual Project Report - Project Implementation Review
CEPT	Center for Environmental Planning and Technology University
CIRT	Central Institute of Road Transport
CMP	Comprehensive Mobility Plan
CO	UNDP Country Office
CO <sub>2</sub>	Carbon Dioxide
COE	Centre of Excellence
CP	Country Programme
CPAP	Country Programme Action Plan
CPWD	Central Public Works Department
DDA	Delhi Development Authority
DMRC	Delhi Metro Rail Corporation
DTC	Delhi Transit Corporation
EE	Energy Efficiency
EOP	End-of-Project
FY	Fiscal Year
FYP	Five-Year Plan
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Greenhouse gas
GIZ	German International Technical Assistance
GoI	Government of India
IGIDR	Indira Gandhi Institute of Development Research
IIT	Indian Institute of Technology
INR	Indian Rupee
ITDP	Institute for Transportation and Development Policy (USA)
IUT	Institute of Urban Transport
JnNURM	Jawaharlal Nehru National Urban Renewal Mission
JTPA	Japan Transport Planning Association
KMC	Knowledge Management Center
kWh	kilowatt hour
LFA	Logical Framework Matrix
LTA	Land Transport Authority (Singapore)
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MoUD	Ministry of Urban Development
Mtoe	Million tonnes of oil equivalent
MTR	Mid-Term Review
NAPCC	National Action Plan on Climate Change
NGO	Non-governmental organization
NIUA	National Institute of Urban Affairs
NPD	National Project Director
NPM	National Project Manager
NTDPC	National Transport Policy Development Committee
NUTP	National Urban Transport Policy
PAD	Project Appraisal Document (World Bank)
PIMS	UNDP/GEF Project Information Management System

<b>Acronym</b>	<b>Meaning</b>
PIR	Project Implementation Review
PMO	Project Management Office (within SUTP)
PPG	Project Preparatory Grant (GEF)
PPM	Project Planning Matrix
PRF	Project Results Framework
ProDoc	UNDP Project Document
PSC	Project Steering Committee
SLB	Service Level Benchmark
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
SUT	Sustainable urban transport
SUTP	Sustainable Urban Transport Project
tCO2	Tonne of Carbon Dioxide
TE	Terminal Evaluation
TERI	The Energy and Resources Institute
ToR	Terms of Reference
ToT	Training of trainers
UITP	Union Internationale des Transports Public
UMTC	Urban Mass Transit Company Limited (Gurgaon, Haryana)
UNDAF	UN Development Assistance Framework
UNFCCC	UN Framework Convention on Climate Change
UNDP	UN Development Programme
USD	United States dollar (= 64 Indian Rupee)

## 1. INTRODUCTION

1. This report summarizes the findings of the Terminal Evaluation Mission conducted during the January 26 to February 2, 2017 period for the GEF-financed Project entitled: “**Sustainable Urban Transport Project**” (SUTP) where UNDP received a USD 4.05 million grant from the Global Environmental Facility (GEF) to manage Component 1A. In this Terminal Evaluation (TE) report, the UNDP-managed portion of SUTP is referred to as “Component 1A” or the “Component 1A of SUTP”.
2. The objective of the overall GEF-supported SUTP is the reduction of 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, and increasing the modal share of environmental friendly transport modes in project cities. The overall SUTP has 2 components, one for capacity development initiatives that is jointly managed by UNDP and the World Bank, and another component comprising of support for 4 demonstration projects in certain selected cities and managed by the World Bank. This TE covers the capacity development initiatives managed by UNDP under Component 1A that were designed to enable national capacity through the Government of India’s Ministry of Urban Development (MoUD) to support wide-scale development of sustainable urban transport (SUT) through large urban centers of India in Component 2.

### 1.1 Purpose of the Evaluation

3. In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a Terminal Evaluation (TE) upon completion of implementation of a project to provide a comprehensive and systematic account of the performance of the completed project by evaluating its design, process of implementation and achievements vis-à-vis GEF project objectives and any agreed changes during project implementation. As such, the TE for Component 1A of the SUTP Project serves to:
  - promote accountability and transparency, and to assess and disclose levels of Project accomplishments;
  - synthesize lessons that may help improve the selection, design and implementation of future GEF activities;
  - provide feedback on recurrent issues across the portfolio, attention needed, and on improvements regarding previously identified issues;
  - contribute to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.
4. This TE was prepared to:
  - be undertaken independent of management of Component 1A of SUTP to ensure independent quality assurance;
  - apply UNDP-GEF norms and standards for evaluations;
  - assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if Component 1A of SUTP met the minimum M&E requirements;

- report basic data of the evaluation of Component 1A, as well as provide lessons from Component 1A on broader applicability. This would include an outlook and guidance in charting future directions on sustaining current efforts by UNDP, the Government of India, and their donor partners to building capacity to plan and implement sustainable urban transport.

## 1.2 Scope and Methodology

5. The scope of the TE for Component 1A of SUTP was to include all activities funded by GEF and activities from parallel-financing. The Terms of Reference (ToRs) for the TE are contained in Appendix A. Key issues addressed on this TE include:
  - Design of Component 1A and its effectiveness in achieving the stated aims of promoting environmentally sustainable urban transport in India and to improve the usage of environmentally friendly transport modes in project cities;
  - Assessment of key financial aspects of Component 1A, including the extent of co-financing planned and realized;
  - The effectiveness of Component 1A in building the capacities of target urban transport institutions and of sustainable urban transport personnel;
  - Strengths and weaknesses of Component 1A implementation, monitoring and adaptive management and sustainability of Component 1A outcomes including the exit strategy of Component 1A;
  - Results and impacts of the implemented activities including views from Component 1A focal points (and other relevant stakeholders) on the impacts of capacity building activities implemented under Component 1A and their recommendations on the future initiatives; and
  - Recommendations, lessons learned, best practices from implementing Component 1A of SUTP that could be used on other similar GEF projects.
6. Outputs from this TE will provide an outlook and guidance in charting future directions on sustaining current efforts by UNDP, and the Government of India, to sustaining capacity building efforts for personnel developing, maintaining and operating sustainable urban transport systems.
7. The methodology adopted for this evaluation includes:
  - Review of Component 1A documentation (i.e. APR/PIRs, mid-term review (MTR), meeting minutes of Project Steering Committee or multipartite meetings) and pertinent background information;
  - Interviews with key personnel of Component 1A including the current and former Project Managers, technical advisors (domestic and international), and SUTP Project developers; and
  - Interviews with relevant stakeholders including other government agencies, beneficiaries and training participants from various cities throughout India.

A detailed itinerary of the Mission is shown in Appendix B. A full list of people interviewed and documents reviewed are given in Appendix C and Appendix D respectively. The Evaluation Mission for the UNDP-GEF supported Component 1A was comprised of one international expert and one national expert.

8. Component 1A of SUTP was evaluated for overall results in the context of:
  - *Relevance* – the extent to which the outcome is suited to local and national development priorities and organizational policies, including changes over time;
  - *Effectiveness* – the extent to which an objective was achieved or how likely it is to be achieved;
  - *Efficiency* – the extent to which results were delivered with the least costly resources possible; and
  - *Sustainability* - The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.
9. All possible efforts have been made to minimize the limitations of this independent evaluation. Notwithstanding that 5 days were spent in New Delhi during the period of January 26<sup>th</sup> to February 2<sup>nd</sup>, 2017 by the evaluation team to collect and triangulated as much information as possible, follow-up interviews and Skype conversations by the evaluation team were also made after the New Delhi mission.

### 1.3 Structure of the Evaluation

10. This evaluation report is presented as follows:
  - An overview of Component 1A design;
  - A review and critique of the Project Planning Matrix (PPM) for Component 1A;
  - A review of the design of Component 1A;
  - A review of Component 1A implementation from commencement of operations in April 2011 to the present including monitoring and evaluation systems;
  - An assessment of Component 1A results based on Component 1A objectives and outcomes through relevance, effectiveness and efficiency criteria;
  - Assessment of sustainability of Component 1A outcomes; and
  - A presentation of conclusions, recommendations, and best and worst practices that can be used as lessons learned.
11. This evaluation report is designed to meet GEF’s “Guidelines for GEF Agencies in Conducting Terminal Evaluations, Evaluation Document No. 3” of 2008:  
<http://www.thegef.org/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf>
12. The Evaluation also meets conditions set by:
  - the 2012 UNDP Document entitled “UNDP GEF – Terminal Evaluation Guideline”:  
<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>;
  - the UNDP Document entitled “Handbook on Planning, Monitoring and Evaluating for Development Results”, 2009:  
<http://www.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>; and
  - the “Addendum June 2011 Evaluation”:  
<http://www.undp.org/evaluation/documents/HandBook/addendum/Evaluation-Addendum-June-2011.pdf>

## 2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

### 2.1 Project Start and Duration

13. Component 1A of the Sustainable Urban Transport Project officially commenced implementation on April 15, 2010, the date when the Indian government signature for the Component 1A project document (ProDoc) was obtained. The duration of Component 1A was originally planned for 4 years ending in October 2014. In June 2013, the Mid-Term Review recommended that an extension for the Project for another 2 years, 2 months ending in December 2016. This request for project extension was approved in December 2015.

### 2.2 Problems that Component 1A of SUTP Sought to Address

14. The ProDoc for the UNDP-implemented portion of the Sustainable Urban Transport Project Document (or Component 1A ProDoc) provides details on the need to address the institutional challenges and address gaps in competent individual transport planning skills through a number of national level capacity building initiatives. During the period when the Project was being prepared in 2009, India was experiencing surging economic growth and increased urbanization leading to a rise in the ownership and use of motorized vehicles in its cities. The increased number of motorized vehicles for travel within India's cities has been exacerbated by the availability of lower priced cars, increasing the share of motorized trips within urban areas where previously travel modes such as walking, cycling and the use of buses had been more dominant. This shift in travel modes has had an adverse impact on the urban quality of life through widespread congestion, increased air pollution from traffic, and increased GHG emissions from India's urban transport sector.
15. The response by the Government of India to these issues of urban congestion has been the adoption of a National Urban Transport Policy (NUTP) in April 2006. The NUTP placed an emphasis on improving the livability of India's cities for sustainable urban growth focusing on improved urban mobility rather than on transport infrastructure. At the commencement stages of Component 1A of SUTP, full adoption and implementation of NUTP would not have been possible without participation of local stakeholders.
16. In the context of capacity building to support local implementation (through World Bank implemented components of SUTP) for developing pilot sustainable urban transport projects, Component 1A of SUTP sought to address the following issues:
  - highly fragmented institutional arrangements for urban transport in India in 2010;
  - weak coordination between national, state and municipal sectors where systematic procedures on public consultation and technical guidelines for planning, preparing, appraising and monitoring and evaluating urban transport investments are largely ineffective;
  - inadequate capacities in several state and municipal institutions to address urban transport issues in a comprehensive and collaborative environment;
  - absence of local capacity to effectively collect knowledge on local transport issues that can be used within a framework of best practices by transport practitioners to plan, design, operate and manage urban transport investments;
  - lack of formal feedback mechanisms between the public and providers of public transport; and

- the absence of high-quality urban transport projects that could demonstrate best practices and the benefits of sustainable urban transport, as well as cultivating changes in the way urban transport is planned, operated and maintained.

### 2.3 Immediate and Development Objective of Component 1A of SUTP

17. The objective of Component 1A of SUTP was to “strengthen Government capacity to plan, finance, implement, operate and manage climate-friendly and sustainable urban transport interventions at national, state and city levels”. This was to be achieved mainly through the strengthening of the institute of Urban Transport (IUT), an entity under the management of MoUD. The Project Planning Matrix (PPM) for Component 1A of SUTP was formulated in July 2013 as a recommendation from the MTR and is contained in Appendix E.

### 2.4 Baseline Indicators Established

18. Objective-level baseline indicators of Component 1A includes:

- Number of cities that have MoUD-approved Comprehensive Mobility Plans (CMPs), which have been appraised by IUT for making investment in sustainable urban transport services (EOP target: 65);
- Number of states that IUT provides technical assistance in implementing various provisions of national urban transport policy (EOP target: 7);
- Number of cities for which IUT provides training and advisory services in implementing various provisions of national urban transport policy (EOP target: 10).

The baseline value for all these indicators at the start of the Component 1A was zero. It is noteworthy that there were no GHG emission reduction targets for Component 1A of SUTP. With Component 1A focused solely on capacity building, the strengthened institutions including IUT and municipal level stakeholders were to be better equipped to implement Component 2 or pilot SUT projects at the local level, thereby generating GHG emissions. As such, GHG emission reduction benefits from the overall SUTP are to be monitored and reported in the evaluation of the World Bank-implemented portion of SUTP.

19. Outcome-level baseline indicators for Component 1A of SUTP includes:

- For Outcome 1, “IUT follows a methodical process to expand its operations, functions and services based on a sound rationale” with an EOP target of “Business Plan prepared and recommendation implemented by IUT with financial support of MoUD”;
- For Outcome 2, “IUT conducts 10 training programs and 10 workshops annually across India that provides training to at least 500 urban transport planners and practitioners” with an EOP target of “at least 25 manuals, toolkits and standards are developed under the project”;
- For Outcome 3, “Manuals, Toolkits and Standards developed and disseminated to central, state and urban government departments and agencies” with an EOP target of “at least 25 manuals, toolkits and standards are developed under the project”;
- For Outcome 4, “increasing number of cities demand services to plan, implement and operate environment friendly and sustainable urban transport interventions” with an EOP target of “compilation of experience, knowledge and insights shared with government officials”.



There are also output level baseline indicators as well as outcome and objective level indicators of Component 1A which can be found in the July 2013 PPM in Appendix E.

## 2.5 Main Stakeholders

20. The primary stakeholders of Component 1A are the Ministry of Urban Development (MoUD), the Institute of Urban Transport (IUT), and selected municipal governments, especially those who are planning and implementing pilot SUT investment projects. Details of Component 1A stakeholders are provided in Section 3.2.2 (Paras 42-43).

## 2.6 Expected Results

21. To achieve the specific Component 1A goals of “Government capacity strengthened to plan, finance, implement, operate and manage climate-friendly and sustainable urban transport interventions at national, state and city levels” and “IUT is recognized by states and cities as a national urban transport knowledge centre”, Component 1A was designed with the following expected **Project outcomes** (from the 2013 LFA):
  - Outcome 1: Institute of Urban Transport strengthened to provide substantial support to local governments in implementing the National Urban Transport Policy;
  - Outcome 2: Government officials, urban planners, practitioners received training on various aspects of sustainable urban transport;
  - Outcome 3: Manuals, toolkits and standards prepared to serve as a reference documents, guide to develop and implement of sustainable urban transport;
  - Outcome 4: Increased awareness of sustainable urban transport interventions amongst city government officials and transport sector professionals.

### 3. FINDINGS

#### 3.1 Project Design and Formulation

22. Design of the overall SUTP Project was conducted during the period of 2008-2009. The overall objective of the SUTP Project was to “reduce the growth trajectory of GHG emissions from the transport sector 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, and increasing the moral share of environmentally friendly transport modes in selected cities”. The SUTP Project was to be implemented within 2 components: a component on national capacity development initiatives jointly managed by UNDP (Component 1A) and the World Bank (Component 1B), and the World Bank-managed Component 2 on demonstration SUT projects in selected cities.
23. The UNDP SUTP ProDoc provides details on Component 1A activities to develop national capacity for planning, implementing and managing SUT projects in India. The ProDoc also identifies a number of problems (in Para 16 of the ProDoc) that serve as barriers that prevent the resolution of urban congestion issues that currently plagues Indian cities. The strategy of the Component 1A of SUTP to overcome these barriers includes:
- Initiating, building and consolidating strong functional long-term partnerships between the federal Government of India (GoI) and local state and municipal level governments on SUTP development;
  - enhancing the capacity of relevant stakeholders in urban transport to plan, implement, operate and manage SUT systems. This would include policymakers, planners, researchers, service providers, managers amongst other professionals involved in urban transport in India; and
  - the creation of a national resource centre for urban transport to facilitate knowledge and information exchanges.
24. A Project Results Framework (PRF) for the Component 1A of SUTP was subsumed within the overall SUTP project PRF that was contained in the World Bank’s Project Appraisal Document (PAD) of 2009. For UNDP management of Component 1A, this PRF could not be used as a basis for managing the UNDP Component 1A for a number of reasons<sup>5</sup> with the outcome that UNDP managed this component during the 2010-2013 period without a clear set of definable impacts and outcomes. As a follow-up to the MTR recommendation of June 2013, a separate Project Planning Matrix (PPM) for Component 1A of SUTP was formulated in July 2013.

##### 3.1.1 Analysis of Project Planning Matrix

25. As mentioned in Para 24, a PPM for Component 1A was prepared in July 2013. As shown in Appendix E, the PPM for Component 1A of SUTP provides 7 outcome level indicators and targets (3 goal/objective level and 4 outcome level) and 19 output level indicators and targets to guide implementation of Component 1A towards its objective of “Government capacity strengthened to plan, finance, implement, operate and manage climate-friendly and sustainable urban transport interventions at national, state and city levels”. While the intent of the PPM and its description of

---

<sup>5</sup> No overview of UNDP-implemented activities, preliminary sets of outcomes that required more discussion, indicators that only focused on day-to-day activities, and a lack of integration between the UNDP and World Bank components.

indicators is reasonably clear in terms of its targets, wording of *most of the indicators and targets do not meet SMART criteria*<sup>6</sup> and *best practices for preparing PPMs*. While a large number of comments can be made on the language of the PPM, some specific comments includes:

- The description of the Project outcomes are more oriented to Component 1A outputs rather than intended Component 1A outcomes. For example, Outcome 2 could have been described as “government officials, urban planners, practitioners are enabled to prepare investment-level sustainable urban transport plans”. Similarly, Outcome 3 could have been described as “sustainable urban transport plans being prepared on the basis of available and updated manuals, toolkits and reference guides that were based on best international practices”.
- The “description of indicators” are actually “sub-outcomes” and not “indicators” that describe a quantified output. For example, on the overall project goal (impact), the indicator could have been “number of cities with MoUD approved Comprehensive Mobility Plan (CMP)”. This would be clearer in terms of what is being monitored for progress;
- The evaluators believe there is no necessity to provide outcome level indicators and targets, since the outcome itself should describe the target. Moreover, the outputs under a particular outcome should contribute towards the achievement of the outcome;
- All output descriptions should be described as outputs, not outcomes. For example, Output 1.2 can be described as “IUT accreditation for Sustainable Urban Transport”, or Output 1.3 described as “a functional knowledge management data centre at IUT”. The targets for each of these indicators would remain as “1”;

26. One important comment on the PPM involves the desired outcomes for IUT at the conclusion of Component 1A. These are not provided and as such, there are issues emerging at the conclusion of UNDP’s involvement on Component 1A on the sustainability and viability of IUT that have not been addressed. For example, there could have been outputs and indicators on IUT revenue or staffing levels which would also provide good indicators of the health and strength of IUT at the EOP.

### 3.1.2 Risks and Assumptions

27. The July 2013 PPM for Component 1A provides assumptions under which the proposed outcomes and outputs could be achieved. These assumptions also infer risks to the achievement of outcomes and outputs. Many of these assumptions are related to SUTP’s implementing partner, MoUD, providing strong support and direction towards the use of the Institute of Urban Transport (IUT) as a national resource for developing SUT projects in large urban centres throughout India. Examples of the assumptions in the July 2013 PPM includes:

- “MoUD provides one time financial corpus to IUT to maintain the required human and financial resources to function as Technical expert on Urban Transport for national, state and city governments”;
- “MoUD appoints IUT as main agency to conduct policy research on urban transport”;
- “IUT has adequate trained manpower to appraise Comprehensive Mobility Plans” which is dependent on MoUD providing the one time financial corpus;
- “MoUD directs state government to seek technical assistance and advisory service of IUT on various aspects of National Urban Transport Policy”; and

<sup>6</sup> Specific, Measurable, Attainable, Relevant and Time-bound

- “Competent task-specific expertise is locally available for preparation of manuals, toolkits and MoUD accords approval to IUT to develop new standards”.
28. The ProDoc, however, does contain an Off-line Risk Log for Component 1A in Annex 2 for which Component 1A management staff can manage risks against the goals of Component 1A and its intended outcomes. Examples of some of these risks includes:
- Institutional and capacity development under the project will not be sustained;
  - Delays in project implementation and poor quality due to involvement of multiple cities and states whose capacity varies and whose commitments to the projects may change;
  - Late or delayed provision of the one-time financial corpus to IUT from MoUD; and
  - Demonstration projects will not be replicated in other cities and states without GEF grant support.

These risks should also be listed with the PPM against the various Component 1A outcomes as a link to the Off-line Risk Log.

### **3.1.3 Lessons from Other Relevant Projects Incorporated into Component 1A Design**

29. The ProDoc of Component 1A for SUTP does not list any other relevant projects into its design.

### **3.1.4 Planned Stakeholder Participation**

30. The ProDoc does not contain any stakeholder participation plan, nor has the evaluation team been provided with any evidence of any strategic plan for stakeholder participation for Component 1A. Since the primary purpose of Component 1A was to increase the knowledge and build the capacity of selected stakeholders at the federal, state and municipal levels to plan, design, implement and manage sustainable urban transport initiatives, the ProDoc should have identified the stakeholders, especially considering the numerous federal agencies, state governments in India, and municipalities who would have a stake in improving urban mobility within India’s busiest cities. This would have involved identification of priority federal agencies, and targeted selected cities in India for pilot SUTP initiatives. Moreover, there appears to be an absence of any analysis of stakeholders, which would assist in the prioritization of stakeholders for engagement<sup>7</sup>.

### **3.1.5 Replication Approach**

31. Component 1A did not have a specific replication approach to building capacity of all relevant stakeholders in India on sustainable urban transport. However, the need to transfer knowledge on sustainable urban transport in India to a wide spectrum of stakeholders implies the replication (or vertical scale-up) of knowledge transfer and training sessions to a large number of stakeholders. The UNDP ProDoc for Component 1A describes a focus on building the capacity of IUT to become a primary SUT resource centre in India that would serve the needs of urban transport professionals. This would include building the capacity of IUT to initiate capacity development programs. These IUT programs would provide training of trainer (ToT) programs for over 1,000 planners, policymakers, and urban transport professionals throughout all levels of government. The design of Component

---

<sup>7</sup> This would include a stakeholder’s interest in an SUT initiative, their sphere of influence on SUT, an assessment of impact if involved, and measures to mitigate obstacles to their involvement.

1A could have spread the focus onto additional institutions to assist IUT, many of whom could play a key role in replication (or a cascading effect) of the capacity building efforts. Excessive focus on IUT alone places higher risks of not achieving replication targets.

32. Furthermore, another replication aspect of Component 1A was the need to decentralize IUT functions through the development of regional IUT centres. Given the importance of local participation on any SUT initiative, activities of Component 1A were to include support from IUT to build the capacity of local institutions in selected urban centres throughout India (under Subcomponent 1.4). This aspect does not appear on the July 2013 PPM as a target.

### **3.1.6 UNDP Comparative Advantage**

33. UNDP's comparative advantage to other donor agencies is its focus on policy-based and cross-sectoral approaches as well as building local capacities through effective collaboration with a wide range of local stakeholders (in this case, federal, state and municipal levels of government and the general public). This would include public and private sectors as well as technical experts, civil society and grassroots level organizations. These approaches are strongly applicable on national capacity building initiatives for SUT projects under Component 1A of SUTP. Given UNDP's long track record on a wide variety of projects within the transport and energy sectors, UNDP has earned a reputation as a credible and trusted partner to the GoI in capacity building initiatives and is suited as an implementing agency for Component 1A. Particularly in issues that require high quality technical inputs, UNDP has a strategic advantage as a partner and the method of deploying technical experts with GoI's line ministries has increased the effectiveness of GoI-UNDP initiatives.

### **3.1.7 Linkages between Component 1A of SUTP and Other Interventions within the Sector**

34. Component 1A is a part of a larger SUTP project, the other components of which are being implemented through World Bank management. However, the UNDP ProDoc for Component 1A does not identify any linkages of capacity building initiatives with other transport-related interventions in India including the World Bank-managed Component 1B. This is unfortunate since the capacity building taking place on Component 1B is the dissemination of technical transport planning skills to cities and states and financing urban transport projects that contribute towards reducing emissions. As such, this linkage to Component 1B would provide an end point of an exit strategy to those implementing Component 1A.

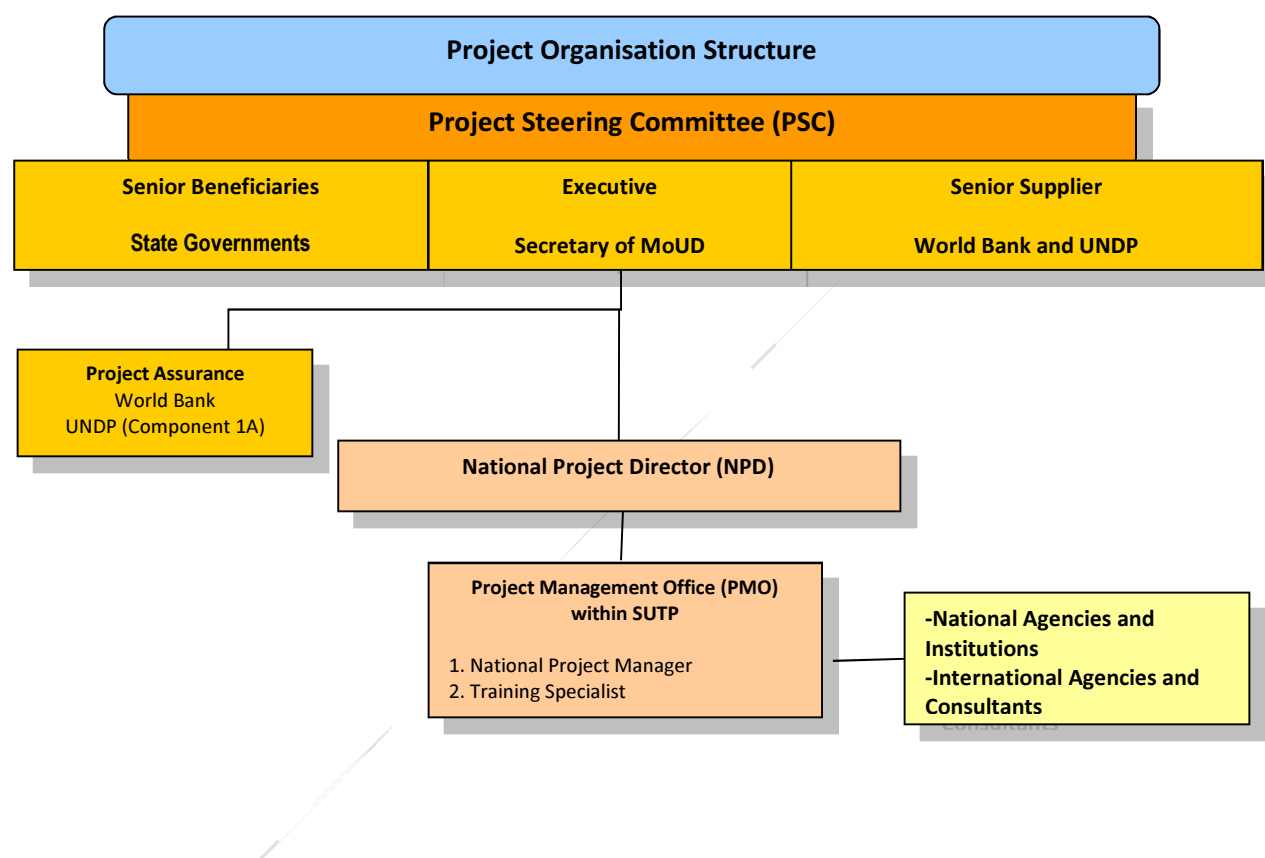
### **3.1.8 Management Arrangements**

35. The implementing partner of Component 1A is the Ministry of Urban Development in accordance with UNDP's National Implementation Modality (now referred to as National Execution or NEX modality). The NEX modality tasks MoUD with responsibility for certifying work plans and approved budgets, reporting on procurement, coordinating and tracking co-financing, terms of reference for contractors and tender documentation, and chairing the Project Steering Committee (PSC). The Chair of the PSC was to be the National Project Director (NPD) from MoUD.
36. The ProDoc also acknowledges that UNDP is a partner GEF agency for SUTP with the World Bank being the leading GEF agency, responsible for overall technical quality assurance for the entire SUTP Project. As such, UNDP's responsibilities to GoI were to ensure quality assurances in the implementation of national capacity building initiatives of Component 1A. These initiatives would

then feed into the implementation of selected pilot states and cities for sustainable urban transport managed by the World Bank, as well as tailored capacity development at the local level to enable local staff to implement demonstration SUT projects. PMO staff also managed implementation of the World Bank-implemented components of SUTP that provided seamless interaction between UNDP and World Bank supported activities.

37. An organogram of Component 1A implementation arrangements is provided on Figure 1.

**Figure 1: Current Management Arrangements for the UNDP-implemented Component 1A of the “Sustainable Urban Transport Project” (SUTP)**



### 3.2 Project Implementation

38. The following is a compilation of key events and issues of Component 1A of SUTP implementation in chronological order:

- Signing of the SUTP ProDoc by the Ministry of Urban Development and UNDP India was on April 15, 2010, marking the official start of Component 1A implementation;
- The IUT business plan was completed with Component 1A support in late 2011;
- Early activities of UNDP on Component 1A involved IUT organizing and drafting manuals and toolkits for training as well as dissemination activities at international and national conferences and the SUTP website;

- The Component 1A midterm review (MTR) was conducted in early 2013 with a report issued in June 2013 that observed the need for a Component 1A logical framework, and the need for an exit strategy prior to the withdrawal of UNDP from its implementation of Component 1A;
- Consultant for the setup of the KMC commenced work in November 2014. Due to difficulties in obtaining municipal-level data and integrating available data into user-friendly database structures, this contract was extended into late 2016;
- A formal request was made in July 2015 to extend the project for 27 months to March 2018. This request was granted in December 2015;
- On October 31, 2016, UNDP substantially completed its activities on Component 1A with the completion of the training of trainers and professionals, the launching of the Knowledge management centre by MoUD and the development of all training modules as outlined in the project document.

### 3.2.1 Adaptive Management

39. Adaptive management is discussed in GEF terminal evaluations to gauge the project performance in its ability to adapt to changing regulatory and environmental conditions, common occurrences that afflict the majority of GEF projects. Without adaptive management, GEF investments would not be effective in achieving their intended outcomes, outputs and targets. Unfortunately, the early stages of the implementation of Component 1A were marked by perceptions of slow progress when in fact, the PMO for Component 1A were operating without a Project Planning matrix (PPM) without specific outcomes and targets on which to plan annual activities and allocate GEF budgets.
40. Despite the absence of a PPM during its early years of implementation, the PMO of Component 1A did perform adaptive management initiatives, most notably after the MTR of early 2013 to the end of Component 1A activities in October 2016:
- In compliance with the recommendations of the MTR, the PMO formulated and adopted a Component 1A PPM to improve monitoring and evaluation for the purposes of improve project management;
  - With the adopted PPM, the PMO was able to sharpen the scope of Component 1A activities that included:
    - a target of IUT functioning as a knowledge management data centre (KMC);
    - the target of IUT becoming an accreditation body on sustainable urban transport; and
    - formulation of an exit strategy;
  - Aligning training programs with needs of a wide range of trainees (comprising of international experts, trainers and mid to upper levels of government officials) as well as available budgets and reducing 5-day workshops to 3 days on various SUT topics but also to maximize participation amongst local governments. Training needs were also tailored for senior officials on SUTP familiarization and institutional framework comprising 1-day workshops in various cities; and
  - Sustaining good working relationships with key national partners as well as state and city level personnel has been a key to all project partners accepting adaptive management decisions. This includes an agreement with a high level committee of MoUD officials to coordinate with other government departments and streamline arrangements to the hosting of the KMC within the premises of IUT.
41. In conclusion, the PMO and UNDP efforts to adaptively manage Component 1A were **satisfactory** in consideration of the successful outcomes of Component 1A.

### 3.2.2 Partnership Arrangements

42. The PMO for Component 1A facilitated numerous strong and effective partnerships between Gol, IUT and local governments at the state and municipal level for SUT development. Without strong partnerships, the PMO would not have been able to effectively assist cities and state governments in developing SUT service level benchmarks and SUT project investment plans. The strong partnership arrangements came from training sessions organized and provided by IUT personnel, giving officials from these city and state governments more confidence in IUT as a partner in developing SUT projects locally. This has resulted in IUT signing numerous long-term MoUs to provide SUT technical assistance and handholding to over 60 city and state governments throughout India.
43. The PMO for Component 1A also facilitated partnerships through its involvement in providing training sessions for key policy makers, planners, researchers and other professionals involved in SUT developments in India. In addition to the aforementioned state and city level officials, the PMO for Component 1A was able to engage other transport professionals for the purposes of identifying suitable candidates for Master trainers of SUT systems in India. All these partnerships provide assurances that efforts to develop SUT systems throughout India will be sustained well past the EOP. This broad spectrum of partnerships are key to successful capacity building of SUT professionals throughout India that will lead to successful development of SUT systems in all of India's major urban centres.

### 3.2.3 Feedback from M&E Activities Used for Adaptive Management

44. Feedback for M&E activities was provided primarily through *PIRs from 2013 to 2016* and a few PSC meeting minutes (only 2010 and 2014 PSC meeting minutes were available to the evaluation team) that provided details of activities for adaptively managing the Project. In evaluating the quality of feedback provided by these reports, the evaluators note the following:
  - PIRs were not available for 2011 and 2012, likely due to the lack of an available PPM that would have provided useful indicators on which to report progress;
  - Progress reporting from the 2013 to 2016 PIRs against indicators from the July 2013 PPM was satisfactory. However, as mentioned in Paras 24 to 26, the PPM should have contained indicators that would have reflected the desired outcome of the strengthening of IUT at the end of the Component 1A. An example of such an indicator could have included "number of financing commitments for the operation of IUT" or "% of staffing levels (as defined in business plan) reached at EOP".
45. A positive feature of M&E feedback has been feedback surveys of training participants on the quality of the various training workshops and seminars conducted by the Project. These feedback surveys were available as separate reports for which the SUTP PMO used as a resource for improving the quality of training provided by Component 1A. The feedback allowed the PMO and its consultants who designed the training programs to refine and tailor the presentations according to the needs of the trainee, ranging from a police officer to transport planners to senior government officers. This has resulted in continual improvements in the training programs and a high level of satisfaction amongst participants.



### 3.2.4 Project Finance

46. Component 1A of SUTP had a GEF budget of USD 4.05 million that was disbursed over a 6-year duration and managed by UNDP India. Table 1 reveals:
- lower rates of disbursements during the entire 6-year duration of the Project from its original design period of 4 years. This lower rate of fund disbursement is an indication of the absorption ceiling for capacity building activities which were limited by the pace on which training workshops and seminars for over 1,000 persons (ranging from senior and mid-level government officials to transport professions and police officers) could be organized. Some of the training organizers mentioned that considerable efforts were made to identify and approve suitable candidates for SUT training, and that difficulties were experienced by the PMO to identify suitable candidates to serve as Master SUT trainers;
  - deviations of original ProDoc Outcome expenditures including:
    - only 50% and 60% of Component 1 (IUT strengthening) and Component 2 (provision of training) respectively were expended;
    - expenditure of Component 3 (preparation of training materials and reference documents) were more than double the USD 250,000 originally planned;
    - these deviations were likely a result of project designers allocating Component 1A resources without the benefit of a PPM which would have helped in defining the extent of expenditures for a particular component;
  - roughly 6.5% of the USD 4.05 million GEF grant remains unspent with the intention of the SUTP PMO to re-allocate these funds to implementation of either Components 1B or 2 or the operation of the SUTP PMO in 2018.
47. The ProDoc for implementation of Component 1A does not contain any information of specific co-financing commitments from various partners for capacity building activities. The World Bank PAD for the SUTP Project does contain co-financing commitments which will be reported in the Terminal Evaluation of the World Bank components of SUTP. As such, this TE can only report on co-financing allocated by the Standing Committee for Component 1A and the actual co-financing estimated at EOP as USD 1.175 million, mainly from the Government of India, through MoUD for setting up of IUT offices at Anand Vihar. Co-financing details can be found on Table 2.
48. In conclusion, the cost effectiveness of Component 1A of the SUTP Project has been **satisfactory** in consideration of the outcomes that led to the strengthening of IUT, and the increased awareness and knowledge on SUT issues and systems gained by government officials and transport professionals throughout India. This is further detailed in Sections 3.3.8 and 3.3.9.

### 3.2.5 M&E Design at Entry and Implementation

49. The M&E design is covered on pages 17-20 in the ProDoc for Component 1A of SUTP. The design thoroughly covers all M&E activities including:
- the Project inception phase;
  - measurement of means for verification of project results, outputs and implementation;
  - annual project reviews and project implementation reports (APRs/PIRs);
  - independent evaluations that includes the Midterm Review as well as the Final Evaluation; and
  - audits and site visits.

**Table 1: GEF Project Budget and Expenditures for Component 1A of SUTP (in USD as of December 31, 2016)**

IEEIRS Outcomes	Budget (from Inception Report)	2010 <sup>20</sup>	2011	2012	2013	2014	2015	2016 <sup>21</sup>	Total Disbursed	Total Remaining <sup>22</sup>
OUTCOME 1: Institute of Urban Transport strengthened so as to provide substantial support to local governments in implementing the National Urban Transport Policy	1,620,000	-	83,204	47,243	84,806	247,581	275,245	105,661	843,740	198,676
OUTCOME 2: Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport	1,440,000	-	250,145	205,877	279,877	47,217	74,512	23,814	881,443	
OUTCOME 3: Manuals, Toolkits and Standard prepared to serve as reference documents, guides to develop and implement of sustainable urban transport	250,000	31,383	121,611	88,655	179,554	108,164	39,967	470	569,804	
OUTCOME 4: Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals	200,000	4,810	25,660	15,065	39,956	36,056	36,207	1,568	159,321	38,927
Project Management	540,000	107,003	96,716	101,087	128,265	101,264	135,653	203,805	873,793	
Contingencies and other UNDP Costs		(1,176)	15,860	(1,116)	20,003	10,661	76,649	91,935	212,816	25,433
<b>Total (Actual)</b>	<b>4,050,000</b>	<b>142,020</b>	<b>593,196</b>	<b>456,810</b>	<b>732,461</b>	<b>550,943</b>	<b>638,232</b>	<b>427,254</b>	<b>3,540,916</b>	<b>263,036</b>
Total (Cumulative Actual)	4,050,000	142,020	735,216	1,192,027	1,924,488	2,475,431	3,113,663	3,540,916		
Annual Planned Disbursement (from ProDoc) <sup>23</sup>			348,050	1,225,283	1,233,333	1,243,334	0	0		
<b>% Expended of Planned Disbursement</b>			170%	37%	59%	44%				

<sup>20</sup> From April 2010<sup>21</sup> Up to December 31, 2016<sup>22</sup> To be expended in 2018 on World Bank Components 1B and 2<sup>23</sup> These are planned ProDoc disbursements

Table 2: Co-Financing for Component 1A of SUTP (as of December 31, 2016)

Co-financing (type/source)	UNDP own financing (million USD)		Government (million USD)		Partner Agency (million USD)		Private Sector (million USD)		Total (million USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants <sup>24</sup>			1.44 <sup>25</sup>	0.394					1.444	0.394
Loans/Concessions									0.000	0.000
• In-kind support				0.781 <sup>26</sup>					0.000	0.781
• Other									0.000	0.000
<b>Totals</b>	<b>0.000</b>	<b>0.000</b>	<b>1.444</b>	<b>1.175</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>1.444</b>	<b>1.175</b>

<sup>24</sup> Includes all cash contributions

<sup>25</sup> As per the revised allocation of the Gol as approved by Standing Committee.

<sup>26</sup> For the infrastructure development of the IUT office at Anand Vihar

However, the PMO for Component 1A did not manage UNDP activities with a PPM between 2010 and 2013, making it difficult for the PMO to envision the outcomes to be achieved by the conclusion of Component 1A activities, and to properly plan project activities and budgetary allocations. The absence of a PPM was rectified in July 2013, though there were shortcomings of this PPM as described in Paras 24-28. As such, *the M&E design is rated as **moderately unsatisfactory***.

50. Despite the shortcomings of the PPM that affected the M&E design, the M&E design was implemented as many of the indicators of the July 2013 PPM were output-based. There were some issues in the lack of monitoring of certain indicators as can be seen in Section 3.3 on Tables 3 to 7. Unless there were changes made on the PPM that were not reported to the evaluation team, there were a few inconsistencies in the PIR reporting including:

- The overall Project goal of “65 cities with MoUD approved Comprehensive Mobility Plan (CMP), which is appraised by IUT, for making investment in sustainable urban transport services”. In the PIRs, the actual target being reported on was “all project cities have an identifiable urban transport planning process in place” which is confusing in terms of what is being monitored: the number of cities or which project cities have CMPs;
- Output 1.4 whose target is either the “number of partnerships formed with other professional transport organizations and academia to carry out research activities” or “the number of policy research conducted by IUT for MoUD”. In the end, there is an appearance that the PIRs are reporting on the number of policy research projects is being completed; and
- Output 3.3 that has the indicators of “Topics/title for new standards approved by MoUD” and “Standards prepared and released by IUT after peer review”, both indicators with a target of 4. The PIRs do not report any progress on work of this output but appear to have replaced this output with this indicator: “Number of validation workshops conducted by IUT to test the developed training manuals and toolkits” for which there is a target of “15”. If this indicator was changed, there should have been some documentation on why this indicator and output have been changed.

As such, *M&E plan implementation is rated as **moderately satisfactory***. Ratings according to the GEF Monitoring and Evaluation system<sup>27</sup> are as follows:

- *M&E design at entry - 3;*
- *M&E plan implementation - 4;*
- *Overall quality of M&E - 4.*

---

<sup>27</sup> 6 = HS or Highly Satisfactory: There were no shortcomings;  
 5 = S or Satisfactory: There were minor shortcomings,  
 4 = MS or Moderately Satisfactory: There were moderate shortcomings;  
 3 = MU or Moderately Unsatisfactory: There were significant shortcomings;  
 2 = U or Unsatisfactory: There were major shortcomings;  
 1 = HU or Highly Unsatisfactory  
 U/A = Unable to assess  
 N/A = Not applicable.

### 3.2.6 Performance of Implementing and Executing Entities

51. The performance of the implementing partner (formerly known as an Executing Agency) of Component 1A of the SUTP Project, the Ministry of Urban Development (MoUD), can be characterized as follows:

- Early stages of Component 1A implementation were marked by a period of familiarization for both MoUD and IUT in terms of strategic approaches to strengthening of IUT and in the structure of the training approaches for a wide range of SUT stakeholders in both government (central and local), the private sector and academia;
- MoUD were helpful in the identification and initiation of contacts with various local and state government personnel for training as Master trainers and working level trainees, as well as for policy formulation; and
- Senior MoUD officers developed close and collaborative working relationships with the PMO and key SUTP project staff as resources to resolve any particular issues that would serve as bottlenecks to progress of any activities related to training or institutional strengthening of IUT and the KMC.

Overall performance of MoUD has been assessed as **satisfactory**.

52. The performance of UNDP (the Implementing Agency) can be characterized as follows:

- Early stages of Component 1A implementation were marked mainly by organization of tenders for the preparation of the IUT business plan and the KMC, and the PMO working on the management of Component 1A activities without a PPM;
- Early stages of Component 1A implementation that placed considerable efforts into the organization of numerous training workshops that involved lengthy discussions and adaptive management with several state and municipal-level governments on the selection of personnel to participate (see Para 40);
- Prompt responses to implementing the MTR recommendation to improve the management of Component 1A with the formulation of a PPM in July 2013 which was quickly adopted by the PMO;
- Struggles with management of data collection activities of the KMC which did not appear to have involved a strategic approach. This is evidenced by a move to increase collection of transport-related data from 5 cities to over 40 cities, collecting data without knowing how it may be used in future SUT project designs, and not collecting or not setting up data collection of more relevant information such as transport energy-related data, GHG emissions and meteorological data;
- UNDP maintaining a good collaborative working relationship with MoUD, especially at the senior level, and identifying adaptive management measures in concert with MoUD personnel to ensure good and effective progress to works under Component 1A.

Overall performance of UNDP on Component 1A of SUTP can be assessed as being **satisfactory**.

53. A summary of ratings of the implementing and executing entities of Component 1A of SUTP are as follows:

- *Implementing Partner (MoUD)* – 5;
- *Implementing Entity (UNDP)* – 5;
- *Overall quality of implementation/execution (UNDP/MoUD)* – 5.

### 3.3 Project Results

54. This section provides an overview of the overall results and assessment of the relevance, effectiveness and efficiency, country ownership, mainstreaming, sustainability, and impact of Component 1A of SUTP. In addition, evaluation ratings for overall results, effectiveness, efficiency and sustainability are also provided against the revised July 2013 Project PPM (as provided in Appendix F)<sup>28</sup>. For Tables 3 to 7, the “status of target achieved” is color-coded according to the following color coding scheme:

Green: Completed, indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure
---	--	---

#### 3.3.1 Overall Results

55. A summary of the achievements of Component 1A at the Project Objective level with evaluation ratings are provided on Table 3.

**Table 3: Project-level achievements against Component 1A targets**

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>29</sup>
<b>Overall Project Goal (Impact): Government capacity strengthened to plan, finance, implement, operate and manage climate-friendly and sustainable urban transport interventions at national, state and city levels</b>	Increasing number of cities have MoUD approved Comprehensive Mobility Plan (CMP), which is appraised by IUT, for making investment in sustainable urban transport services	0	65 or all project cities have an identifiable urban transport planning process in place	There are 5 project cities, all of which have an urban transport planning process in place	See Para 57	5
<b>Project Goal (Outcome): IUT is recognized by states and cities as a national urban transport knowledge centre</b>	IUT provides technical assistance to states in implementing various provisions of national urban transport policy	0	7	6 states	See Para 57	5
	IUT provides training and advisory services to 5 project cities and at least 5 non-project cities in implementing various provisions of national urban transport policy	0	10	14	See Para 57	5
<b>Overall Rating – Project-Level Targets</b>						<b>5</b>

<sup>28</sup> Evaluation ratings are on a scale of 1 to 6 as defined in Footnote 27.

<sup>29</sup> Ibid 27.

56. The overall project-level goals were linked to strengthening IUT as a Center of Excellence in Sustainable Urban Transport in India that would serve as a resource to local governments and transport professionals on information vital to successful SUT projects, and the increasing number of local governments who are enabled to plan, design, finance, implement, operate and manage SUT projects and systems. Through these indicators, Component 1A would be able to achieve goals of strengthened local capacity for SUT development in a number of urban centers throughout India. With this strengthened capacity, personnel from these local governments would be better prepared for the World Bank-managed Component 2 on technical transport planning skills for cities and states and financing urban transport projects that contribute towards reducing emissions, and be enabled to plan, design and implement pilot SUT interventions under the World Bank-managed Component 2 of the overall SUTP Project.
57. Component 1A of SUTP has built the capacity of IUT and raised the confidence of local state and municipal governments to rely on IUT for technical advice. This has resulted in IUT approving CMPs for 5 project cities including Indore (Madhya Pradesh), Mysore (Karnataka), Hubli-Dharwad, (Karnataka), Naya Raipur (Chhattisgarh, and Pimpri-Chinchwad (Maharashtra). IUT has also assisted 6 states in implementing provisions of NUTP: Uttar Pradesh, Chandigarh, Rajasthan, Sikkim, Madhya Pradesh and Delhi. IUT has also provided training and advisory services to 14 cities of which 6 were project cities (Indore, Pimpri, Mysore, Naya Raipur, Hubli-Dharwad) and 8 were non-project cities (Ghaziabad, Chandigarh, Jaipur, Delhi, Bulandsheher, Hapur, Moradabad and Bhopal). The success and momentum of these municipalities in the implementation of their CMPs and SUT investments has led to the extension of the World Bank-managed Component 2 to March 2018. The overall Project goal target seems unclear. However, the achievement of 5 cities with CMPs appears realistic and attainable under Component 1A considering the resources and time available for implementation.
58. These overall results reflect success in building local capacities to implement and sustain SUT system operations in India. For this reason, the evaluation of Component 1A Project-Level targets is rated as **satisfactory**.

### **3.3.2 Component 1: Institutional Capacity Development focusing on Strengthening the Institute of Urban Transport**

59. To achieve Outcome 1 which is the “Institute of Urban Transport strengthened so as to provide substantial support to local governments in implementing the NUTP”, GEF resources under Component 1A were intended to support the growth of IUT from a business plan and its implementation towards an institute that supports several municipalities in their formulation of SUT plans using best international practices. Specific activities to achieve Outcome 1 included:
- preparation of a business plan for IUT;
  - assisting IUT in receiving certification to serve as an accreditation body on SUT;
  - assisting IUT in the setup of an operational and commercially sustainable Knowledge Management Data Centre (KMC);
  - facilitating IUT policy research for MoUD;
  - facilitating collaboration of IUT with international institutions to build knowledge and expertise;

- building IUT capacity to appraise Comprehensive Mobility Plans (CMPs) that will serve as a basis for cities to seek support under JnNURM;
- providing IUT technical assistance and advisory support to states;
- preparing Service Level Benchmarks (SLBs) for cities; and
- appraising technical aspects of CMPs from cities on behalf of MoUD.

A summary of the actual achievements of the Outcome 1 with evaluation ratings are provided on Table 4.

60. A business plan to strengthen IUT's capacity and operations to advise Indian cities on implementing actions to meet the NUTP was completed in late 2011 through a consultancy awarded to Price Coopers Waterhouse. The business plan mentioned that IUT be divided into 4 distinct groupings: training services, information and knowledge management services, technical services and administration. In the context of its activities, the business plan also said that IUT should:
- be developed into an accreditation agency;
  - conduct arbitration activities;
  - strengthen the capacity for research;
  - be supported by a fund in the order of USD 1.5 million to provide as a long-term financial sustainability plan; and
  - increase its staffing levels starting with appointments of urban transport experts and transport planners being the most important positions to fill on its staff positions.
61. While most of these aspects of the business plan are being implemented by IUT, the certification of IUT as an accreditation agency for sustainable urban transport has not and will not be approved by MoUD. Since MoUD approves policy on sustainable transport, approval of IUT as an accreditation agency could not have been possible without a conflict with MoUD. This outcome would then limit IUT's role as an agency that serves as an elite consulting arm to MoUD on sustainable transport. To this end, IUT has conducted discrete and standalone policy research for MoUD including:
- Appraisal criteria for urban transport projects;
  - Citywide Multi-Modal Integrated Transport Plan;
  - Child Friendly Mobility; and
  - Status and Scope for Improvement Electric Rickshaws in Indian Cities.
62. Despite the preparation of these policy research topics by IUT as a side venture, IUT neither had plans to become a leading research entity for sustainable transport in India nor did they have the necessary human resource to be an independent policy research unit. As such, there is a need for IUT to establish a network with other well-known environmental and transport institutions within India such as NIUA, CEPT, Indian Institute of Technology (IIT) Delhi, The Energy and Resources Institute (TERI), Indira Gandhi Institute of Development Research (IGIDR) and Central Institute of Road Transport (CIRT) as well as international institutions who would accelerate the pace of urban transport related research that can be applied in an Indian context for its numerous cities. To date, however, Component 1A did not have a focus with IUT on expanding its network of national transport institutions. For international institutions, 6 MOUs have been signed with ITDP, GIZ, EMBARQ, LTA, UITP and JTPA for closer collaboration for sustainable urban transport.



**Table 4: Outcome 1 achievements against targets**

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>30</sup>
<b>Outcome 1:</b> Institute of Urban Transport strengthened so as to provide substantial support to local governments in implementing the National Urban Transport Policy.	IUT follows a methodical process to expand its operations, functions and services based on a sound rationale	0	Business Plan prepared and recommendation implemented by IUT with financial support of MoUD	<i>Business plan completed in 2011 with recommendations being implemented by IUT. MoUD has sent a funding proposal to Treasury of India for USD 1.5 million to financially support IUT.</i>	See Para 60	5
	Business Plan for IUT prepared by a professional firm and recommendations implemented by IUT with support of MoUD	0	1	1	See Para 60	5
	IUT receives certification to serve as accreditation body on Sustainable Urban Transport	0	1	0	See Para 61	3
	IUT's knowledge management database is operational and sustained commercially	0	1	1	See Paras 63-67	4
	Policy research conducted by IUT for MoUD or Partnerships formed with other professional transport organizations and academia to carry out research activities	0	6	0	See Para 62	3
	International partnerships developed build knowledge and expertise of IUT to sustain the capacity building activities after SUTP project ends.	0	3	6	See Para 62	6
	IUT appraised Comprehensive Mobility Plan (CMP) for cities are approved by MoUD	0	65	48	-	5
	IUT signs Memorandum of Understanding with at least 7 states to provide technical support and advisory services on urban transport.	0	7	5	See Para 68	4
	Comprehensive report on service level benchmark issued by IUT		65	12	See Para 68	5
<b>Overall Rating – Component 1</b>						<b>5</b>

<sup>30</sup> Ibid 27

63. Component 1A has supported the growth of a knowledge management data centre (KMC) under IUT that currently houses urban transport related databases. The purpose of the KMC was to serve as a repository for traffic and transport data collected from various SUT studies including CMPs of selected cities throughout India. Additional work, however, is still required to improve the user-friendliness of the information and data. In addition, the database will need financial support to be sustained, albeit not on a commercial basis<sup>31</sup>.
64. The tendering process to set up the KMC commenced in 2013 and was not completed until 2014. Delays were due to lack of agreement between MoUD, IUT and UNDP on the process to be followed for appointing the agency. By late-2014, work had commenced on the development of the KMC by a consulting consortium of companies, UMTC and VBSofT. While the original plan was to collect transport-related data from approximately 5 CMPs on a pilot basis, the scope of work was expanded to include the collection of data from 49 cities. The consultants experienced considerable difficulties in obtaining usable data from the 49 cities; the data was not properly formatted and had gaps making entry into KMC's databases difficult. Despite Component 1A achieving the delivery of this output, UMTC as well as VBSofT have been contracted through 2015 and 2016 to improve the quality of the databases and to enhance interaction of the data to develop different analytical scenarios for decision making.
65. While the establishment of the KMC has been an important outcome of Component 1A, the endpoint of the development of the database under the SUTP Project is not clear. While an obvious objective of the KMC would be to provide a comprehensive urban transport database, the data and its structure do not appear to be comprehensive and complete. The current database now contains information consisting of secondary data collected by different cities and agencies which possibly are subject to discrepancies in collection methodologies, has not been uniformly collected, and contains numerous gaps (likely related to the historical lack of sustained funding for urban transport-related data collection). Data in the current format limits the ability of the user to do urban transport related research. However, given the ambitious and globally-unique effort to establish the KMC, the current state of the KMC is a first step towards improved planning of urban transport projects in India notwithstanding that the KMC still requires significant strengthening before it can be referred to as a complete knowledge management center for urban transportation.
66. Though an advisory group for the development of KMC has been constituted with a couple of consultation meetings with UMTC, additional consultations with potential user groups of the urban transport database appear to have been warranted. Subsequent to the original data collection framework, UMTC had been requested to collect data from all possible secondary data sources (mostly in the form of stand-alone reports), possibly further jeopardising the usefulness of the data for research purposes. Noticeably absent from the collected urban transport data is information concerning transport energy consumption, transport-related fuel consumption and meteorological data. Past trends and present situation of this data is important while designing sustainable urban transport systems for any city. As such, future activities of KMC should focus on generating primary data collected with a common methodology and to continue data collection over time to formulate time series data sets on urban transportation.

---

<sup>31</sup> MoUD declared that urban transport databases were public domain and not for sale. As such, financial support for these databases will need to come from a source other than the user such as allocations from an IUT financial corpus.

67. Mobilization of resources to upgrade the current database will require a more strategic approach, especially considering the difficulties in collecting urban transport-related data from 49 cities, which will only diffuse efforts of the consulting consortium to provide a user-friendly database. Continuation of the building of the urban transport related database after the completion of Component 1A of SUTP should focus on a few cities first followed by a scale-up. It is also important that such continued and long term efforts be coordinated by IUT under the oversight and ownership of MoUD. For its long term usefulness, the KMC business plan should look closely at having a holistic framework of data collection (that would include identification of specific data sets of information to collect) and focusing on the quality of the database that should undergo consultations amongst a consultative group of urban transport practitioners in India. While suggestions have been made by various stakeholders to collect revenue from the sale of KMC data and information, MoUD has declared that this information should be in the public domain implying that it would be free of charge, and forcing KMC to seek other means of self-sustaining financing sources. A service provision model of database where the capacity building component is integrated in KMC has also been contemplated as a potential finance model for long term sustainability of KMC; however, KMC financing will come primarily from MoUD.
68. IUT's progress on improving its capacity to service other jurisdictions on SUT planning has been marked by signing MoUs with 5 states (Uttarakhand, Bihar, Chandigarh, Ghaziabad, Madhya Pradesh) towards a target of 7 states; these MoUs, however, are only comprehensive for some components of SUT. In addition, IUT has been active in developing "service level benchmarks" or SLBs which are used to determine how effectively and efficiently an urban transport system is performing in its existing condition. Examples of SLBs includes public transport facilities, pedestrian facilities, travel speeds along key corridors, and use of intelligent transportation systems. On the SUTP Project, IUT developed 6 SLBs in addition to 6 SLBs developed by CEPT with another 3 cities with SLBs to be developed. This is below the target of 65 SLBs; however, the evaluation team deemed this target to be unattainable considering the available resources of Component 1A.
69. In conclusion, the results of Outcome 1 can be rated as **satisfactory** due to the strengthening of IUT in India and its emergence as a focal point for local and state governments seeking technical assistance in developing SUT systems. IUT has:
- increased its profile with a number of state and municipal governments as a resource for start-up of SUT initiatives at a local level;
  - increased its effectiveness and efficiency through the deployment of an IUT expert at a city level administration to hand-hold the preparation of strategic plans for urban transport;
  - strengthened capacity, meeting the goal of Component 1A but still with a number of institutional issues related to:
    - its sustainability due to lack of confirmed and available funds for its salaries and administrative costs (see Para 94 and Table 8);
    - formation of partnerships with other Indian institutes with a stake in improving SUT systems for the purposes of accelerating policy research that can be applied to the numerous urban areas of India;
    - the need for further strengthening of the KMC before it can be sustainably managed under IUT; and

- further sharpening of the scope of data to be collected by municipalities for planners of sustainable transport projects in India (see Paras 66-67).

### 3.3.3 Component 2: Individual Capacity Development through Training of Trainers and Professionals involved in Urban Transport

70. Activities under Component 2 were intended to have “Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport”. Project resources would be utilized to:

- provide training for a minimum of 100 trainers on various topics of sustainable urban transport;
- evaluate absorption of capacity building activities by participants; and
- conduct feedback surveys from participants on the usefulness of capacity building activities.

A summary of the actual achievements of the Component 2 with evaluation ratings are provided on Table 5.

71. Training activities are covered under the SUTP website<sup>32</sup> including the names of officers who have participated in the numerous SUTP training workshops since 2011:

- A total of 10 training workshops on various SUT topics have been held since 2011. This includes topics such as metro rail systems (2 workshops), intelligent transport systems or ITS (3 workshops), comprehensive mobility plans or CMPs (1 workshop), urban transport planning (1 workshop) and city bus services (3 workshops);
- Four thematic training programmes for training of master trainers (ToT) was conducted for 79 master trainers, short of the target of 100 master trainers by the EOP. According to the SUTP PMO, they experienced problems finding suitable candidates to be master trainers;
- 23 training workshops were conducted by master trainers at the sub-national level, 17 short of the target of 40. Details of the reasons for shortfall are provided in Para 75;
- The number of transport professionals trained at sub-national levels was 1,021 up to March 2016. Another 500 will be trained upon approval from the Steering Committee and funds from MoUD.

72. A training needs assessment document was prepared by TERI in 2009<sup>33</sup>, clearly indicating a need for different levels of training such as a short 1-day session for top level decision makers, 3-day training sessions for second-tier decision makers, one week training for senior working officers, and detailed training for working officers. This was viewed as a most effective manner in providing training to the various levels of management within an institution. However, the evaluation team observes that the manner in which the training scheme was implemented was not followed leading to more training participants and consequent inefficiencies in training efforts<sup>34</sup>. Scheduling of future training events needs to address a need for compartmentalization of training. Training sessions should be tailored

<sup>32</sup> [http://www.sutpindia.com/TopMenuDescription.aspx?status=1&menu\\_id=4&mmenuid=4#comp1a](http://www.sutpindia.com/TopMenuDescription.aspx?status=1&menu_id=4&mmenuid=4#comp1a)

<sup>33</sup> TERI document on “Training Needs Assessment” in the area of urban transport planning, 2009 (as mentioned on Pg 5 of the ProDoc)

<sup>34</sup> There was likely a lot of pressure applied to the training organizers to maximize participation which the organizer has responded to by reducing training intensities (reducing some training sessions from 5 days to 3 days)

**Table 5: Outcome 2 achievements against targets**

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>35</sup>
<b>Outcome 2:</b> Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport	IUT conducts 10 training programs and 10 workshops annually across India that provides training to at least 500 urban transport planners and practitioners	0	5 thematic trainings 2 topical trainings	<i>4 thematic trainings</i> <i>10 topical trainings</i>	See Para 71	5
	Training of at least 100 trainers on various topics of sustainable urban transport completed.	0	100	79	See Para 71	5
	Number of trainings by master trainers at the sub-national level through workshops	0	40	23	See Paras 71 and 75	4
	Number of trainings provided by IUT on thematic areas for transport sector professionals	0	5	4	See Para 71	5
	Number of people trained by master trainers at the sub-national level through workshops	0	1,000	>1,000	See Para 71	5
<b>Overall Rating – Component 2</b>						<b>5</b>

<sup>35</sup> Ibid 27

for specific outcomes for each group that is trained; for example, training for *transport planners* should augment their research abilities for research towards sustainable urban transport measures or technologies.

73. In the preparation of training material, IUT has reportedly used the assistance of international agencies with national institutions involved only for the process of review. While this approach is understandable at the nascent stages of a national sustainable urban transport programme, *this process should reverse itself in future; with the completion of more Indian-based urban transport projects to learn from, national and local institutions will be able to prepare training material with the process of review being undertaken by international experts and institutions.*
74. A review of training materials also revealed that there was a lack of material on technological aspects of construction and management. This is especially important since implementation of sustainable transport projects will likely challenge local officers and project managers in how to construct infrastructure (unique to their jurisdictions) in compliance with local codes, with the likelihood that its development may need unique construction protocols and building materials (such as barriers to separate pedestrians from cycle pathways, signaling along a BRT corridors or elevated BRT platforms).
75. With regards to the trainings by master trainers at the sub-national level through workshops, only 23 trainings were conducted, short of the target of 40 trainings. As previously mentioned in Para 31 on replication approaches, if the PMO of Component 1A had extended their training network to research and teaching institutions, instead of limiting only to IUT and government officials, replication of capacity building would have been scaled-up with a cascading effect on the ToT trainings.
76. Several government officers, many of the position of undersecretary, have gone on foreign trips to view urban transport systems abroad. In addition to the costs, the impact of these trips on enhancing the sustainability of city transport systems is debateable. However, increasing the awareness of officers who process the dossiers of city SUT plans of sustainability principles could be of some value that can be achieved by showing video documentaries of these transport systems abroad. This would also serve in achieving awareness amongst a much larger group.
77. Feedback from a small sample of SUTP training participants<sup>36</sup> included:
  - the need for focused group training. Some of the respondents felt that the content of some training sessions may be customized in consideration of the participant's knowledge base;
  - tool kits could be revised to ensure all content is used;
  - many trainees expressing the need for refresher courses which gives a hint that the quality of training could be akin to classroom training on theory, and not technique-based or practical training;
  - one trainee of the level of Chief Engineer expressing that training was insufficient and too generic for technical staff whose group needed to engineer solutions;

---

<sup>36</sup> Feedback from invited SUTP trainees at the SUTP office on February 1, 2017. Some of the persons interviewed are listed on Appendix B and C.

- as they become available, more case studies from India should be included in SUT training workshops, especially those developed by earlier SUT trainees, and included within modules upgraded with best practices.

78. Despite these issues, the activities of Component 2 has can be rated as **satisfactory** due to:

- Delivery of most of the targets set in the July 2013 PPM including over 1,000 SUT professionals throughout India;
- Imparting of knowledge across a wide variety of SUT topics starting with thematic “training-of-trainer” (ToT) workshops for 79 master trainers;
- Some shortcomings on some of the training due to some inefficiencies resulting from a higher number of training participants, with a certain number of trainees likely requiring additional and detailed training.

### 3.3.4 Component 3: Preparation of Manual, Toolkits and Standards on various aspects of Urban Transport

79. Activities to achieve Outcome 3 were intended for “manuals, toolkits and standards to be prepared to serve as reference documents, guides to develop and implement of sustainable urban transport”. Project resources would be utilized to:

- Assist IUT In the preparation of 10 Manuals on Sustainable Urban Transport;
- Assist IUT In the preparation and validation of 11 toolkits on Sustainable Urban Transport;
- Assist IUT In the preparation of 4 peer-reviewed standards for MoUD approval on Sustainable Urban Transport.

A summary of the actual achievements of the Component 3 with evaluation ratings are provided on Table 6.

**Table 6: Outcome 3 achievements against targets**

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>37</sup>
<b>Outcome 3:</b> Manuals, Toolkits and Standard prepared to serve as reference documents, guides to develop and implement of sustainable urban transport	Number of manuals, toolkits and standards developed and disseminated to central, state and urban government departments and agencies	0	25	25 manuals and toolkits developed and disseminated to central, state and urban government departments and agencies. However, no SUT standards were developed	-	5
	Number of manuals on Sustainable Urban Transport prepared.	0	10	10	-	5
	Number of tool kits on Sustainable Urban Transport prepared	0	11	15	-	6
	Number of new standards prepared on Sustainable Urban Transport	0	4	No SUT standards prepared	See Para 80	3
<b>Overall Rating – Component 3</b>						<b>5</b>

<sup>37</sup> Ibid 27

80. As noted on Para 25, Outcome 3 is primarily output-based and is closely related to Outcome 2 in that outputs from Outcome 3 were used in training activities in Outcome 2. While most of the outputs have been delivered, the PMO of Component 1A has not reported and was likely not in a position to prepare any new SUT standards. The evaluation team has not observed any particular reasons how national standards could be prepared and disseminated for use by local governments; this could be attributed to the lack of successful examples of the SUT systems in India during the implementation period of Component 1A of the SUTP Project (2010 to 2016), on which standards could be based.
81. The activities of Component 3 has can be rated as **satisfactory** due to the delivery of all intended outputs with the exception of the delivery of 4 SUTP standards, which may not have been realistic or attainable given the lack of examples of operational SUT systems in India during the implementation period of Component 1A.

### 3.3.5 Component 4: Promotion, awareness raising and dissemination of information to expand and enhance the impacts of GEF SUTP

82. Activities to achieve Outcome 4 were intended to “increase awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals”. Project resources would be utilized to:
- Publish 20 newsletters on Sustainable Urban Transport;
  - Develop and operate an SUTP interactive web portal;
  - Organize 4 annual events to promote sustainable urban transport for the purposes of sharing of experience and knowledge.

A summary of the actual achievements of the Component 4 with evaluation ratings are provided on Table 7.

83. Similar to Component 3, the outcomes of Component 4 are primarily output-based. As such, the targets for the intended outputs have been delivered or partially delivered. This includes:
- Delivery of 14 newsletters including the 14<sup>th</sup> Edition of the newsletter published in mid-2016 for distribution to transport professionals, government officials from various ministries and state governments, academicians and students. To meet the target of 20 newsletters, another 6 newsletters will have been published before March 2018;
  - The SUTP website (<http://www.sutpindia.com/>) is operational and regularly updated. Cumulative hits to 2016 for the website is 31,982;
  - The target of 4 annual international conferences has been achieved. Details of these conferences can be found on:  
[http://www.sutpindia.com/TopMenuDescription.aspx?status=1&menu\\_id=7&mmenuid=7](http://www.sutpindia.com/TopMenuDescription.aspx?status=1&menu_id=7&mmenuid=7)
84. The activities of Component 4 has can be rated as **satisfactory** due to the delivery of all intended outputs with the exception of the delivery of 20 newsletters, which should be completed before March 2018.



**Table 7: Outcome 4 achievements against targets**

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>38</sup>
<b>Outcome 4:</b> Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals	Increasing number of cities demand services to plan, implement and operate environment friendly and sustainable urban transport interventions	Cities are unaware of sustainable urban transport interventions	Compilation of experience, knowledge and insights shared with government officials	<i>4 city workshops, to disseminate projects, in Indore, Naya Raipur, Pimpri Chinchwad &amp; Mysore each and 3 SUTP Annual meetings have so far been organised</i>	See Para 83	5
	Number of newsletter publications of newsletter on SUT	0	20	14	See Para 83	5
	Number of user-interactive web portals on SUTP project that have been developed and are operational	0	1	1	See Para 83	5
	Number of annual events to promote sustainable urban transport for the purposes of sharing of experience and knowledge	0	4	4	See Para 83	5
<b>Overall Rating – Component 4</b>						<b>5</b>

### 3.3.6 Relevance

85. Component 1A of SUTP is **relevant** to the National Urban Transport Policy that has been adopted by the Government of India. More importantly, the NUTP also mentions the necessity of a strong Institute of Urban Transport implement this policy.

### 3.3.7 Effectiveness and Efficiency

86. The effectiveness of Component 1A of SUTP in improving the capacity of IUT to initiate and develop SUT projects in project cities in India has been **satisfactory**. However, the effectiveness of Component 1A could have been improved had it not only focused on IUT to be the agent for change in building local SUT capacities, but focusing on other transport-related institutions to increase the impact and replication of training activities. Furthermore, IUT has not yet been developed into an independent body, but only as a smaller organization under MoUD which is supposed to provide SUT guidance on behalf of MoUD to all of India's cities.
87. Efficiency of Component 1A in delivering its goals for under USD 4.05 million has been **satisfactory**. Cost effectiveness is discussed in further detail in Paras 46 to 48.

<sup>38</sup> Ibid 27

### 3.3.8 Country Ownership and Drivenness

88. Strong indicators of the drivenness of the Government of India to undertaking programs to develop sustainable urban transport initiatives within its cities are provided in 12<sup>th</sup> Five Year Plan that identifies the “integration” of transport governance, policy development and implementation. The Plan advocates that transport systems at the macro level are developed around sustainable freight and passenger transport networks. At a micro level, the Plan requires higher levels of accessibility between public transport modes to ensure that a new network is user friendly and socially inclusive.
89. With the expected costs of this “integration” in the order of USD 1 trillion, the GoI through a National Transport Policy Development Committee (NTPDC) advised the Planning Commission that a “quantum jump” is required to develop the requisite expertise to ensure that such a high level of investment is spent wisely. This would include new institutions with authority over all aspects of transport policy and management, staffed with a new generation of planners, trained to modernize urban and inter-city transport with skills that require concepts beyond traditional development of only infrastructure. This new generation of planners will be supported by stronger research and statistical institutions that are multidisciplinary in nature.
90. The GoI under its National Urban Transport Policy (NUTP) of 2006 is undertaking programs to develop sustainable urban transport initiatives within its cities. The NUTP envisions urban transport systems that focus on personal mobility, urban livability, and urban growth that is oriented towards local geography and not transport infrastructure per se. The impact of the NUTP, however, would only be limited if the capacities and knowledge base of its implementers are not strengthened. This endorses the vision outlined in NUTP for IUT to serve as a premier national research and advisory institution to strengthen India’s knowledge base for urban transport sector signalling the GoI’s strong drivenness on modernizing India’s urban transport sector.
91. As such, the vision of the Government of India to seek international assistance to build its capacities for implementing the NUTP is expressed in the design of the SUTP Project. For the UNDP-implemented Component 1A of the SUTP Project, GoI through its Ministry of Urban Development, has sought to strengthen the Institute of Urban Transport to undertake independent planning, development, operation, education, research and development activities as well as information dissemination activities (i.e. lectures, seminars, workshops and conferences) that would broaden the knowledge of sustainable urban transport over a wide spectrum of stakeholders. To this end, the strengthening of IUT is within the objectives enshrined within the NUTP to establish the necessary knowledge management systems that would provide the data and information necessary for planning sustainable urban transport initiatives throughout India.

### 3.3.9 Mainstreaming

92. Component 1A of SUTP has successfully mainstreamed with the UNDAF for India (2013 to 2017)<sup>39</sup>. This includes Component 1A activities that work towards the UNDAF’s Outcome 6: Sustainable Development, specifically India’s aim to reduce GHG emissions, and support its mission on enhanced energy efficiency, in this case on the urban transport sector. As such, the contribution of Component 1A of SUTP includes the enabling and subsequent strengthening of one of India’s largest ministries, the Ministry of Urban Development to introduce and implement measures to decrease the energy

---

<sup>39</sup> [http://in.one.un.org/wp-content/uploads/2016/09/India\\_UNDAF202013-17\\_9Jul2012-1.pdf](http://in.one.un.org/wp-content/uploads/2016/09/India_UNDAF202013-17_9Jul2012-1.pdf)

intensity of urban mobility in India's cities at an accelerated rate in comparison with the business as usual scenario. Moreover, Component 1A has contributed towards the strengthening of the Institute of Urban Transport of MoUD as a Centre of Excellence for urban transport in India, as a means to ensure the dissemination of best practices in sustainable urban transport to numerous municipal and state personnel in India's cities.

### 3.3.10 Sustainability of Project Outcomes

93. In assessing sustainability of Component 1A of SUTP, the evaluators asked “how likely will Component 1A outcomes be sustained beyond SUTP termination?” Sustainability of these objectives was evaluated in the dimensions of financial resources, socio-political risks, institutional framework and governance, and environmental factors, using a simple ranking scheme:
- 4 = *Likely (L)*: negligible risks to sustainability;
  - 3 = *Moderately Likely (ML)*: moderate risks to sustainability;
  - 2 = *Moderately Unlikely (MU)*: significant risks to sustainability; and
  - 1 = *Unlikely (U)*: severe risks to sustainability; and
  - U/A = *unable to assess*.

Overall rating is equivalent to the lowest sustainability ranking score of the 4 dimensions.

94. The overall sustainability rating SUTP Project Component 1A is moderately likely (ML). This is primarily due to:
- The lack of confirmed financing available to IUT and its KMC after the EOP, notwithstanding the submission of the financial proposal by MoUD to cabinet for approval of operations and knowledge dissemination functions of IUT. There is a strong likelihood of approval by Cabinet given that the strengthening of IUT is specifically mentioned in the NUTP which has been approved by Cabinet;
  - Demonstrated effectiveness of IUT's services to local governments in preparing SUT plans for investment, and the number of investments now being made in India on SUTP throughout India;
  - MoUD serving as the head of the IUT Board, a position that prevents IUT from being independent, despite the strong position taken by MoUD that IUT will be a technically strong independent agency that appraises SUT projects throughout India, and manages critical SUT data from local governments useful towards the design and management of SUT projects throughout India.

Details of sustainability ratings for the SUTP Project are provided on Table 8.

### 3.3.11 Impacts

95. Component 1A of the SUTP Project has made a significant impact on the strengthening of IUT as a focal and quasi-independent organization that represents the GoI on SUT issues including the appraisal of SUT investments on behalf of the GoI. This in turn has led to the scale up and development of SUT projects in pilot cities under the SUTP Project in India. In addition, a strengthened IUT has provided the GoI with an entity that has provided handholding of city and state governments in the design of SUT systems in a number of cities participating under SUTP throughout India to an advanced design or investment stage.

**Table 8: Assessment of Sustainability of Outcomes related to Component 1A of SUTP**

Actual Outcomes (as of March 2017)	Assessment of Sustainability	Dimensions of Sustainability
<p><b>Actual Outcome 1:</b> The Institute of Urban Transport has been strengthened, and provides substantial support to local governments in implementing the NUTP. This has included following the recommendations of an IUT business plan that included a methodical process to expand its operations, functions and services to meet a demand for "handholding" technical assistance to local governments.</p>	<ul style="list-style-type: none"> <li>• <u>Financial Resources:</u> MoUD has made a financial proposal to Cabinet for the funding of a semi-autonomous IUT (sufficient for 5 years) and the KMC for its operations and strengthening to a critical mass until IUT (and KMC) can become financially independent. There is an excellent chance of Cabinet approval of this proposal by June 2017 given that the cabinet approved NUTP also mentions the strengthening of IUT. However, there is still a small risk that sufficient funding may not be made available for IUT's operations over the next 5 years;</li> <li>• <u>Socio-Political Risks:</u> There is an excellent chance of Cabinet approval of this proposal by June 2017 given that the cabinet approved NUTP also mentions the strengthening of IUT;</li> <li>• <u>Institutional Framework and Governance:</u> While MoUD has taken a very strong position on the need for an independent organization to appraise SUTP projects, it also serves as the head of the IUT Board during a phase of IUT that is developing itself into an independent agency to advise government, both federal and local, on the implementation of SUT Projects throughout India. However, MoUD must remove itself as the head of the IUT Board to allow IUT to become independent;</li> <li>• <u>Environmental Factors:</u> There are no environmental factors that would hinder the developments of an independent agency dedicated to advising government on SUT projects that will reduce local pollution and improved the livability of urban areas in India.</li> </ul> <p style="text-align: right;"><b><u>Overall Rating</u></b></p>	<p style="text-align: center;">3</p> <p style="text-align: center;">4</p> <p style="text-align: center;">3</p> <p style="text-align: center;">4</p> <p style="text-align: center;"><b>3</b></p>
<p><b>Actual Outcome 2:</b> Government officials, urban planners, and urban transport professionals received training on various aspects of sustainable urban transport through 10 training programs and 10 annual workshops held throughout India.</p>	<ul style="list-style-type: none"> <li>• <u>Financial Resources:</u> Continuation of SUTP training will be dependent on the approval of the MoUD financial proposal to Cabinet for the continuation of training workshops by IUT after the EOP;</li> <li>• <u>Socio-Political Risks:</u> There is an excellent chance of Cabinet approval of this proposal by June 2017 given that the cabinet approved NUTP also mentions the strengthening of IUT (that includes ongoing training of government officials and transport professionals);</li> <li>• <u>Institutional Framework and Governance:</u> IUT represents the best option for the continuation of SUTP training programs for government officials and transport professionals throughout India;</li> <li>• <u>Environmental Factors:</u> There are no environmental factors that would hinder the continuation of IUT as an agency dedicated to the dissemination of knowledge on SUTP aspects that will reduce local pollution and improved the livability of urban areas in India.</li> </ul> <p style="text-align: right;"><b><u>Overall Rating</u></b></p>	<p style="text-align: center;">3</p> <p style="text-align: center;">4</p> <p style="text-align: center;">4</p> <p style="text-align: center;">4</p> <p style="text-align: center;"><b>3</b></p>
<p><b>Actual Outcome 3:</b> Manuals and toolkits were prepared to serve as reference documents, and guides</p>	<ul style="list-style-type: none"> <li>• <u>Financial Resources:</u> Continual updating of these manuals and toolkits will be dependent on the approval of the MoUD financial proposal to Cabinet for the continuation of IUT operations after the EOP;</li> </ul>	<p style="text-align: center;">3</p>

**Table 8: Assessment of Sustainability of Outcomes related to Component 1A of SUTP**

<b>Actual Outcomes (as of March 2017)</b>	<b>Assessment of Sustainability</b>	<b>Dimensions of Sustainability</b>
to develop and implement SUTP projects throughout India, and serve as a basis for setting national SUT standards. The PMO, however, was not in a state of readiness to prepare such standards due to the lack of successful and operational SUTP projects in India during the implementation of Component 1A between 2010 and 2016.	<ul style="list-style-type: none"> <li>• <u>Socio-Political Risks</u>: There is an excellent chance of Cabinet approval of this proposal by June 2017 given that the cabinet approved NUTP also mentions the strengthening of IUT (and its functions to prepare SUTP technical material for dissemination);</li> <li>• <u>Institutional Framework and Governance</u>: IUT represents the best option for the continuation of SUTP training programs for government officials and transport professionals throughout India;</li> <li>• <u>Environmental Factors</u>: There are no environmental factors that would hinder the continuation of IUT as an agency dedicated to the preparation of technical materials on SUT aspects that will reduce local pollution and improved the livability of urban areas in India.</li> </ul> <p style="text-align: right;"><b><u>Overall Rating</u></b></p>	<p style="text-align: center;">3</p> <p style="text-align: center;">4</p> <p style="text-align: center;">4</p> <p style="text-align: center;"><b>3</b></p>
<b>Actual Outcome 4:</b> There is increased awareness of sustainable urban transport amongst city and state government officials as well as urban transport sector professionals. A strong indicator of this outcome is the involvement of more than 60 cities in India on planning SUTP initiatives.	<ul style="list-style-type: none"> <li>• <u>Financial Resources</u>: Continuation of SUTP's function as a disseminator of the SUTP knowledge and raising awareness amongst government officials and transport professionals will be dependent on the approval of the MoUD financial proposal to Cabinet for the continuation of training workshops by IUT after the EOP;</li> <li>• <u>Socio-Political Risks</u>: There is an excellent chance of Cabinet approval of this proposal by June 2017 given that the cabinet approved NUTP also mentions the strengthening of IUT (and its functions in increasing awareness of SUTP issues and dissemination of the SUT knowledge);</li> <li>• <u>Institutional Framework and Governance</u>: IUT represents the best option for the continuation of SUTP awareness raising activities for government officials and transport professionals throughout India;</li> <li>• <u>Environmental Factors</u>: There are no environmental factors that would hinder the continuation of IUT as an agency dedicated to raising awareness of the SUT issues amongst government officials and transport professionals that will result in the reduction of local pollution and improved the livability of urban areas in India.</li> </ul> <p style="text-align: right;"><b><u>Overall Rating</u></b></p>	<p style="text-align: center;">3</p> <p style="text-align: center;">4</p> <p style="text-align: center;">4</p> <p style="text-align: center;">4</p> <p style="text-align: center;"><b>3</b></p>
<b><u>Overall Rating of Sustainability of Component 1A of SUTP:</u></b>		<b>3</b>

## 4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS

96. During the implementation of Component 1A of the SUTP, GEF funds were used to effectively strengthen IUT as an institution to train government officers and professionals on issues on urban transport, and to handhold local governments in the development of local SUT projects. As a consequence, the capacity in India to promote sustainable urban transport as well as design and implement SUT projects has significantly improved in the 5 participating cities of SUTP. While this is a satisfactory achievement, the level of capacity built in India is not at a level where the number of transport professionals can fully satisfy the demand for planning and design of SUT projects in India, nor is there a critical mass of urban transport practitioners to grow the profession to meet this demand.
97. While MoUD has taken a very strong position on the need for an independent IUT for the appraisal of SUTP projects throughout India and for building the capacity for SUT implementation at local levels, IUT's relationship with other active urban transport institutions in India and its strategy for interaction with these institutions is not clear. Interaction with these other institutes (such as NIUA, CEPT, IIT Delhi, TERI, IGIDR, CIRT and IUA) may be beneficial to the acceleration of IUT's development as the Gol's premier agency on appraising SUTP proposals and developments.
98. Current issues to the sustainability of IUT are mainly related to the pending approval of a financial corpus that will sustain IUT's operations after the EOP. Without financing support, IUT will experience:
- understaffing to sustain current levels of research and KMC management;
  - uncertainty in its long-term sustainability if IUT's revenue sources are reliant on remuneration from cities and state governments on SUT TA, and the fact that these services may also be available from other institutions such as CEPT, IIT Delhi, TERI, IGIDR; and
  - low morale resulting from this uncertainty until there is approval by MoUD and MoF on the financial corpus and status as an autonomous agency.
99. Another important achievement of Component 1A has been the establishment of a Knowledge Management Database Centre (KMC) to manage transport-related data from local governments and NGOs that is required for effective design of SUT projects. While Component 1A plans specified a focus on transport related data collection from 5 pilot cities, the actual collection of transfer related data focused on more than 40 cities, diluting pilot efforts to collect comprehensive transfer related data from the 5 pilot cities. Moreover, the efficiency of this data collection activity was exacerbated by a focus on too many cities where the quality of data was poor that required extensive analysis and efforts to integrate with the KMC's new SUT database. Furthermore, there were missing data sets due to the lack of capacity or knowledge at the local government levels for this data such as energy-related data of urban transport.
100. KMC issues currently include:
- Lack of a KMC business plan to articulate:

- a clear vision of urban transport data required from cities;
  - the strategic need for specific data sets that will benefit SUT designs;
  - strategic actions to manage the scale-up of data collection from 5 pilot cities to more than 50 cities; and
  - the SUT practitioners and users of the databases who should be included in business plan consultations;
  - Uncertainty in the sources for sustained funding of KMC due to pending approval of autonomous status of IUT;
  - Current proposal to outsource the management of KMC to ensure its operation for the next 3 years.
101. Finally, the insertion of UNDP on a World Bank-GEF project for capacity building has worked well, and served as a good foundation to enable IUT to improve the capacity of local government level personnel to design and implement SUT projects. As mentioned in Para 36, PMO staff also managed implementation of the World Bank-implemented components of SUTP providing seamless interaction between UNDP and World Bank supported activities that has resulted in the improved capacities of local governments to implement demonstration projects under Component 2.

#### 4.1 Corrective actions for the design, implementation, monitoring and evaluation of the project

102. *Action 1 (to UNDP): For projects that involve two implementing agencies, assurances should be made that each implementing agency has its own project planning matrix for the monitoring and evaluation of its own activities.* In the case of Component 1A of SUTP, the World Bank SUTP Project Appraisal Document (PAD) does not name UNDP as an implementing agency. As a result of UNDP subsequently being named as an implementing agency for Component 1A in 2009, a UNDP ProDoc was prepared. In this ProDoc, the Project Planning Matrix (PPM) for Component 1A was referred to the PPM in the World Bank PAD. However, as was realized during the MTR, the PPM in the World Bank PAD does not make any direct references to IUT or any of its subcomponents. This absence of any indicators on the World Bank PPM on strengthening IUT made it difficult for UNDP during the early stages of Component 1A implementation to effectively plan activities and allocate budgets without knowing targets (which would have then made it difficult to formulate an exit strategy towards the completion of Component 1A). As a result of adaptive management recommended by the MTR of early 2013, a separate PPM was formulated for Component 1A.
103. *Action 2 (to UNDP and MoUD): A more detailed plan and vision of IUT should have been prepared as a target for implementers of Component 1A.* While it had been stated that IUT was to become an independent agency to appraise SUT investments on behalf of the Government, more details of this vision should have been provided to distinguish the baseline skills of IUT from other institutes involved with urban transport research issues in India. While distinguishing features of IUT had emerged from discussions of the evaluation team with MoUD and the SUTP PMO personnel, the placement of these IUT features on the Component 1A PPM would have been useful. This would also have included IUT's relationship and collaborative mechanisms with other research institutes involved with urban transport in India (as mentioned in Para 31). Capacity building activities for SUT would have been more efficient and effective if IUT would have involved a tier system of institutions such as one national and a few state-level institutions.

104. Action 3 (to UNDP and MoUD): Improving the strengthening and increasing the growth of the KMC could have been realized if strategically planned with the collection of transport-related data (including energy-related data) that focused on fewer cities, such as the 5 pilot SUT cities. Based on the evaluations team’s understanding of the work completed to date by UMTC, strategic planning of the KMC would have included a process to formulate a business plan for the KMC that would have renewed a focus on a few cities where an effective urban transport data collection system could be piloted (as mentioned in Paras 66 and 67). A suggested process for formulating a KMC business plan could include:

- Determining the strategic importance of collecting certain specific data that could be useful for urban transport planners and investments. This could be done through consultations with potential user groups of the urban transport database on increasing the “user-friendliness” of the databases;
- Determining the availability of strategically important data (such as energy-related data on vehicles or passenger-kilometer data) in the pilot cities through consultations for the purposes of screening cities for a focus on the collection of transport-related data;
- Determining data collection activities specific to each pilot cities (notably the type of data, frequencies of data collection as well as duration of data collection program), human resources required, costs of data collection and implementation of the data collection program; and
- Collate lessons learned from pilot urban transport data collection programs and apply them to be replicated in other jurisdictions.

## 4.2 Actions to follow up or reinforce initial benefits from the project

105. Action 4 (to MoUD and UNDP): IUT needs to prepare a strong and updated business plan that proposes collaborative mechanisms with and complements the work of other existing institutions involved with urban transport in India (as mentioned in Para 31). This should include, amongst other activities, the development of IUT into an accreditation agency or agency that conducts arbitration work. This would significantly enhance the independent stature and credibility of IUT.

106. Action 5 (to MoUD and UNDP): Training materials for government personnel as well as to urban transport professionals needs to become more comprehensive and broad-based. As mentioned in Para 74, this should include technical aspects of SUT topics such as energy savings and GHG emission reductions from SUT projects, construction techniques, construction management, and the maintenance of SUT-related infrastructure. As mentioned in Para 73, this could include an expanded role of national institutes to prepare and review training materials using examples of successful SUT projects in India.

107. Action 6 (to MoUD and UNDP): Closely monitor the progress of the approval of the MoUD financial proposal to Cabinet for a financial corpus of USD 1.5 million (INR 10 crore) to be used for post-UNDP operation and administration of IUT and its management of the KMC. The approval of this financial corpus is essential for the sustainability of operations of IUT and the KMC for the effective implementation of India's NUTP.



### 4.3 Proposals for future directions underlining main objectives

108. Action 7 (to UNDP and the World Bank): Act on the request of MoUD for a continuation of donor supported capacity building of SUT professionals throughout India. A framework for a future SUT capacity building programme (that includes feedback suggestions from some of the SUTP trainees) would include:

- Updating of all training modules;
- Expansion of topics in training modules such as construction contracting, construction management, construction techniques and use of special building materials in SUT projects;
- Energy savings and GHG reduction benefits of SUT projects. This could include new topics such as bus operator training on eco-driving habits to minimize fuel consumption on buses that could also include fuel consumption monitoring on buses;
- More emphasis on SUT case studies from different regions of India as well as other countries;
- Specialized training programs; and
- A continuation of training Master Trainers through IUT.

### 4.4 Best and worst practices in addressing issues relating to relevance, performance and success

109. Poor practice: Implementation of Component 1A contained activities related to national research such as municipal level data collection for sustainable urban transport purposes, an activity which expanded from 5 cities to more than 20 cities, diffusing efforts to effectively manage data for the KMC. The PMO for Component 1A should have taken a more strategic approach with the consultant to data collection, commencing with defining the purposes of collecting certain data, defining the frequency and duration of data collection, estimating the resources required for data collection, and the set up of the appropriate database structure to house the data.

110. Poor practice: With a mandate to build the capacity of IUT as the main entity to advise MoUD on all issues related to SUT development in India, the PMO could have accelerated this process through networking with relevant national institutes on urban transport in addition to international institutes. Such an action would have also strengthened these institutes who would have been better positioned to collaborate with IUT on numerous SUT issues throughout India. While IUT had decentralized some of their personnel to service other large cities in India, the limited size of IUT and the large number of cities in India limits IUT coverage for its TA services. As such, IUT collaboration with other national institutes would have provided even broader geographic coverage for SUT development throughout India.

111. Best practice: To ensure constant improvement of training programs, aggressive follow-up on feedback surveys of training programs is necessary. Implementers of Component 1A solicited feedback from a wide variety of SUTP professionals attending training programs that included city officials, police officials, urban transport professionals and government officers. Valuable feedback was received from these surveys by tailoring questions that were designed to improve and address the needs of all SUT stakeholders attending the training workshops.

112. Best practice: An energetic and efficient project management unit is required to manage a large capacity building project where there are numerous consultations and approvals required to select attendees of various training programs, especially within the Indian Government system. This included personnel within the Component 1A PMO who were ex-Government employees and who had an excellent understanding of how to most efficiently work with the Indian Government.

## APPENDIX A – MISSION TERMS OF REFERENCE FOR THE FINAL EVALUATION OF COMPONENT 1A OF THE SUTP PROJECT

### INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the **Sustainable Urban Transport Project**.

The essentials of the project to be evaluated are as follows:

### PROJECT SUMMARY TABLE

Project Title:	Sustainable Urban Transport Project			
GEF Project ID:	3241 (GEF PMIS #)		<i>at endorsement</i> <i>(Million US\$)</i>	<i>at completion</i> <i>(Million US\$)</i>
UNDP Project ID:	3214 (UNDP PIMS#) 00059078 (Atlas ID#)	GEF financing:	\$4,050,000	
Country:	India	IA/EA own:		
Region:	Asia and Pacific	Government:	\$62,130,000	
Focal Area:	Climate Change	Other (Financing Institutions & Promoters):	Participating States and Cities \$107,908,792 World Bank(loan) \$104,970,000	
FA Objectives, (OP/SP):		Total co-financing:	\$62,130,000	
Executing Agency:	UNDP	Total Project Cost:	\$297,508,792	
Other Partners involved:	N/A	ProDoc Signature (date project began):	April 15, 2010	
		(Operational) Closing Date:	Proposed: Dec 31, 2014	Actual: March 31, 2018

### OBJECTIVE AND SCOPE

In order to achieve the project objective, the project key Components and Outcomes are as follows.

#### *Project objective, outcomes and outputs/activities*

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, and increasing the modal share of environmentally friendly transport modes in project cities. There are two main components: one on national capacity development initiatives, which is being managed by UNDP, and another on demonstration projects in certain selected cities (currently five in number), which is being

managed by the World Bank.

The UNDP-managed component on national capacity development initiatives was expected to create an enabling institutional framework for sustainable urban transport in India by institutionalizing environmental principles in urban transport policy, planning, implementation, operations and management. This is being accomplished by:

- i. initiating, building and consolidating a strong and functional long-term partnership between GoI and states/local governments for sustainable urban transport development;
- ii. enhancing the capacity of policymakers, planners, researchers, executive agencies, service providers, managers and other professionals involved in urban transport to plan, implement, operate and manage sustainable urban transport systems; and
- iii. Creating a national resource center for urban transport which would facilitate knowledge and information exchange.
- iv. The enabling institutional framework for sustainable urban transport will be achieved through the implementation of the following components:

Component 1A: This component has following four sub-components:

- Sub-Component 1.1: Institutional Capacity Development, focusing on strengthening the Institute of Urban Transport (IUT);
- Sub-Component 1.2: Individual Capacity Development through training of trainers and of a group of about 1,000 professionals at national, state, and city levels;
- Sub-Component 1.3: Selection and preparation of Manuals and Toolkits;
- Sub-Component 1.3a: Needs assessment and identification of Manuals and Toolkits Sub-Component 1.3b: Preparation of Manuals, Standards and Tool Kits;
- Sub-Component 1.4: Promotion, awareness-raising, and dissemination of information to expand and enhance the impacts of the GEF-SUTP

The TE will be conducted for the UNDP component only according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

## EVALUATION APPROACH AND METHOD

---

An overall approach and method<sup>1</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects have developed over time. The evaluation should include a mixed methodology of document review, interviews, and observations from project site visits, at minimum, and the evaluators should make an effort to triangulate information. The evaluator(s) is(are) expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#)<sup>40</sup>. The international consultant will be the team leader and coordinate the evaluation process to ensure quality of the report and its timely submission. The international consultant will provide supportive roles both in terms of professional back up, translation etc. The evaluation team is expected to become well versed as to the project objectives, historical developments, institutional and management mechanisms, activities and status of accomplishments. Information will be gathered through document review, group and individual interviews and site visits. A set of questions covering each of these criteria

<sup>40</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

have been drafted and are included with this TOR ([Annex D](#)). The evaluator(s) is(are) expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, Project Management Unit, and other key stakeholders. The evaluator is expected to conduct a field mission as indicated in section 4 of this Procurement Notice i.e. Financial Proposal (page 2). Interviews will be held with the following individuals and organizations at a minimum, but not limited to:

- Relevant personnel at UNDP Country Office in New Delhi, India and Program Officer in-charge of the Project
- National Project Director (NPD)
- National Project Coordinator (NPC)
- Project Management Unit (PMO)
- Relevant project stakeholders but not limited to Institute of Urban Transport, Mott Mc Donalds etc.

The evaluator will review all relevant sources of information, such as the project document, inception workshop report, annual work and financial plans, project reports – including Annual APR/PIR (until 2015), project budget revisions, quarterly reports, Minutes of Project Technical Committee/Project Steering Committee meetings, Back-to-Office Reports of UNDP staff (if any), Study reports/Conference proceedings/government guidelines, etc., midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment such as terms of reference for past consultants' assignments and summary of the results; past audit reports (if any). A list of documents that the project team will provide to the evaluator for review is included in [Annex C](#) of this Terms of Reference.

## EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex B](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex E](#).

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<i>rating</i>	<b>2. IA&amp; EA Execution</b>	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation – Implementing Agency (IA)	
M&E Plan Implementation		Quality of Execution - Executing Agency (EA)	
Overall quality of M&E		Overall quality of Implementation / Execution	
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental:	
		Overall likelihood of sustainability:	

## PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants										
Loans/Concessions										
• In-kind support										
• Other										
Totals										

## MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project successfully mainstreamed other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender. The evaluation will examine this project's contribution to the United Nations Development Assistance Framework (UNDAF).

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements<sup>41</sup>.

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in New Delhi, India. The UNDP CO will contract the evaluators and ensure travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

<sup>41</sup> A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](#)

Throughout the period of evaluation, the evaluation team will liaise closely with the Programme Officer/ Adviser/Project Manager, the concerned agencies of the Government, any members of the international team of experts under the project and the counterpart staff assigned to the project. The team can raise or discuss any issue or topic it deems necessary to fulfil its task, the team, however, is not authorized to make any commitments to any part on behalf of UNDP/GEF or the Government.

- **Logistics**

The team will conduct a mission visit to New Delhi and selected project sites, to meet with relevant project stakeholders. This visit will also include meetings with the officials of UNDP, the Implementing Partner, stakeholders from other institutions and ministries related to the project.

After the initial briefing by UNDP CO, the review team will meet with the National Project Director (NPD), National Project Coordinator (NPC) and the GEF Operational Focal Point as required.

## EVALUATION TIMEFRAME

---

The total duration of the evaluation will be 25 working days according to the following plan:

Activity	Working Days	Completion Date
Preparation	5 days	11th November, 2016
Evaluation Mission	10 days	25 <sup>th</sup> November, 2016
Draft Evaluation Report	7 days	6 <sup>th</sup> December, 2016
Final Report	3 days	12 <sup>th</sup> December, 2016

## EVALUATION DELIVERABLES

---

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial Findings	End of evaluation mission	To project management, UNDP CO
<b>Draft Final Report</b>	Full report including TT sheet calculations, (per annexed template) with annexes	Within 7 days of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report</b> <sup>42</sup>	Revised report	Within 3 days of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

<sup>42</sup> When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. See Annex I for an audit trail template.

## TEAM COMPOSITION

---

The evaluation team will be composed of 1 international and 1 national evaluator<sup>3</sup>. The individual experts in the team need to have good technical knowledge of transport sector and its impact on climate change in general, specifically Urban Transport sector and its national context, and program/project implementation in India, possess good evaluation experience, and writing skills to carry out the assignment. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. International evaluator will be designated as the team leader and will be responsible for quality and timely submission of the report. The allocation of tasks in the execution of this TOR shall be decided mutually between the International and National consultants. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The international consultant must present the following qualifications and professional background:

- Minimum of ten years accumulated and recognized professional experience Urban Transport and climate change projects, and knowledge of UNDP and GEF;
- Minimum of six years of project evaluation experience in the result-based management framework, adaptive management in climate change projects and community development
- Knowledge of Urban Transport policies/conditions in India and abroad through implementation or through consultancies in evaluation of donor funded projects
- Post-Graduate degree in Transport planning, Management or Business administration;
- Demonstrated ability to assess complex situations, succinctly, distils critical issues, and draw forward-looking conclusions and recommendations;
- Ability and experience to lead multi-disciplinary and national teams, and deliver quality reports within the given time;
- Experience with multilateral and bilateral supported Urban Transport and/or climate change projects;
- Very good report writing skills in English.

The evaluation team shall conduct debriefing for the UNDP Country Office, NPD, NPC, Project Management Unit, in India towards the end of the evaluation mission. The international consultant shall lead presentation of the draft review findings, creating the recommendations, and shall lead the drafting and finalization of the terminal evaluation. Evaluator Ethics

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex F) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)



## APPENDIX B – MISSION ITINERARY (FOR JANUARY 2017)

#	Activity	Stakeholder involved	Place
<b>January 15, 2017 (Sunday)</b>			
	Arrival of Roland Wong in New Delhi		
<b>January 25, 2017 (Wednesday)</b>			
1	Evaluation debriefing meeting with Mr. Saba Kalam, Programme Officer	UNDP	New Delhi
<b>January 26-27, 2017 (Thursday-Friday)</b>			
	Review of Project files		New Delhi
<b>January 28-29, 2017 (Saturday and Sunday)</b>			
	Work on TE report		
<b>January 30, 2017 (Monday)</b>			
2	Meeting with SUTP National Project Manager, Mr. I C Sharma at SUTP-MoUD offices	SUTP-PMO	New Delhi
<b>January 31, 2017 (Tuesday)</b>			
3	Meeting with Institute of Urban Transport (IUT)	IUT	New Delhi
4	Meeting with UMTC's Mr. Laghu Parashar at UNDP offices	UMTC	New Delhi
<b>February 1, 2017 (Wednesday)</b>			
5	Meeting with MoUD-NPD, Mr. Mukund Sinha at MoUD offices	MoUD	New Delhi
6	Meeting with various SUTP trainees from various cities at SUTP offices at MoUD	Local and central government personnel who benefitted from SUTP training	New Delhi
<b>February 2, 2017 (Thursday)</b>			
7	Evaluation debriefing meeting	UNDP	New Delhi
<b>February 3, 2017 (Friday)</b>			
	Departure of Roland Wong from New Delhi		

Total number of meetings conducted: 7

## APPENDIX C – LIST OF PERSONS INTERVIEWED

This is a listing of persons contacted in New Delhi (unless otherwise noted) during the Terminal Evaluation Period only. The Evaluator regrets any omissions to this list.

1. Ms. Preeti Soni, Energy and Environment Cluster Lead, UNDP India, New Delhi;
2. Mr. Saba Kalam, Programme Officer, UNDP India, New Delhi;
3. Mr. Mukund Kumar Sinha, Joint Secretary and Officer on Special Duty (Urban Transport), MoUD, New Delhi;
4. Mrs Rachna Kumar, Under Secretary, MoUD;
5. Dr. Pawan Tiwari, TCPO, MoUD;
6. Mr. I.C. Sharma, National Project Manager, SUTP under MoUD, New Delhi;
7. Mr. Shri Krishna Saw, Transport Planner, PMU;
8. Ms. Kanika Kalra Bharti, Urban Transport Expert and Acting Director of KMC, IUT, New Delhi;
9. Ms. Sumit Chatterjee, Senior Training Coordinator, IUT, New Delhi;
10. Ms. Sonia Arora, Urban Transport Expert, IUT;
11. Mr. Laghu Parashar, UMTC Project Manager, New Delhi;
12. Mr. Sudesh Kumar, Team Leader, SUTP, Mott MacDonald, Noida, Uttar Pradesh;
13. Dr. R.S. Minhas, Deputy Chief General Manager, Delhi Transport Corporation (DTC);
14. Mr. Shri Sarvagya Srivastava, E-in-C (Projects), CPWD, Delhi;
15. Mr. Shri Sharad Sharma, Director (Op.), DMRC;
16. Mr. Shri Vikas Verma, Deputy Director, DDA;
17. Mr. Shri Sharad Mohindru.

## APPENDIX D – LIST OF DOCUMENTS REVIEWED

1. UNDP Project Document for the “Sustainable Urban Transport Project” (SUTP Project), April 2010;
2. UNDP-GEF Mid-Term Review Report for the SUTP India project by Simon Bishop and Sandeep Tandon, June 2013;
3. UNDP report on “SUTP India - Development of Logical Framework Analysis and the Project Planning Matrix” by Sandeep Tandon, July 2013;
4. SUTP Annual Work Plans from 2010 to 2016;
5. SUTP Quarterly Progress Reports from 2010 to 2016;
6. SUTP Project Implementation Reports from 2013 to 2016;
7. SUTP Project Steering Committee meeting minutes from 2009 to 2014;
8. Sustainable Urban Transport Project website for Component 1A:  
[http://www.sutpindia.com/TopMenuDescription.aspx?status=1&menu\\_id=4&mmenuid=4#comp1a](http://www.sutpindia.com/TopMenuDescription.aspx?status=1&menu_id=4&mmenuid=4#comp1a)

## APPENDIX E – PROJECT PLANNING MATRIX (PPM) FOR COMPONENT 1A OF SUTP (FROM JULY 2013)

Strategy	Description of Indicator	Baseline Level	Target at end of project	Means of Gauging Success	Assumptions	Remarks
<b>Overall Project Goal (Impact)</b>						
Government capacity strengthened to plan, finance, implement, operate and manage climate-friendly and sustainable urban transport interventions at national, state and city levels	Increasing number of cities have MOUD approved Comprehensive Mobility Plan (CMP), which is appraised by IUT, for making investment in sustainable urban transport services	0	65	Periodic progress reports issued by PMO; Minutes of Project Standing Committee	MOUD provides one time financial corpus to IUT to maintain the required human and financial resources to function as Technical expert on Urban Transport for national, state and city governments.	It is recommended to include this project goal as it is a part of Project Results Framework annexed to the GEF CEO approval document.
<b>Project's Goal (Outcome)</b>						
IUT is recognized by states and cities as a national urban transport knowledge centre.	IUT provides technical assistance to states in implementing various provisions of national urban transport policy	0	7	Copy of MOU between states and IUT; progress reports by PMO	At least 7 out of 28 (25%) Indian states start using IUT's services on payment basis MOUD issues a notification to Urban development department of all the 28 states to seek technical assistance of IUT	It is recommended to include this project goal as it included in Project Results Framework annexed to the GEF CEO approval document
	IUT provides training and advisory services to 5 project cities and at least 5 non-project cities in implementing various provisions of national urban transport policy	0	10	Progress reports issued by PMO,; Minutes of Project Standing Committee		
<b>Component 1: Institutional Capacity Development focusing on Strengthening the Institute of Urban Transport</b>						
Outcome 1: Institute of Urban Transport strengthened so as to provide substantial support to local governments in implementing the National Urban Transport Policy	IUT follows a methodical process to expand its operations, functions and services based on a sound rationale.	IUT lacks expertise, experience to function independently and provide support for NUTP implementation	Business Plan prepared and recommendation implemented by IUT with financial support of MOUD	Periodic progress reports issued by PMO, Periodic progress reports of IUT;	MOUD provides one time financial corpus to IUT to maintain the required human and financial resources to function as Technical expert on Urban Transport.	It is recommended to include this overall project goal as it included in Project Results Framework annexed to the GEF CEO approval document.

Strategy	Description of Indicator	Baseline Level	Target at end of project	Means of Gauging Success	Assumptions	Remarks
1.1: Business plan prepared for Institute of Urban Transport	A professional firm engaged to develop business plan for IUT.  Business Plan prepared and recommendations implemented by IUT with support of MOUD	0	1	Periodic progress reports issued by PMO; Minutes of Project Steering Committee	Institutionalizing finance support for operation of IUT's business plan.	.
1.2 IUT functions as an accreditation agency on urban transport	IUT receives certification to serve as accreditation body on Sustainable Urban Transport	0	1	Periodic progress reports issued by IUT	MOUD provides mandate to IUT to serve as accreditation agency on sustainable transport.	
1.3 Knowledge Management Data Centre at IUT is operational	IUT's knowledge management database is operational and sustained commercially	0	1	Periodic progress reports issued by IUT	Trial validity data of 12 cities entered into KMC	
1.4 Policy research conducted by IUT for MoUD	Partnerships formed with other professional transport organizations and academia to carry out research activities.	0	6	Periodic progress reports issued by IUT	MOUD appoints IUT as main agency to conduct policy research on urban transport	
1.5 Collaboration with international institutions to build knowledge and expertise of IUT	International partnerships developed build knowledge and expertise of IUT to sustain the capacity building activities after SUTP project ends.	0	3	Periodic progress reports issued by IUT	MOUD provides one time financial corpus for IUT to serve as repository of knowledge and experience on urban transport	It is recommended IUT partners with agencies such as like Land Transport Authority, and London Transit Authority
1.6 Comprehensive Mobility Plan (CMP) serve as the basis for cities to seek support under JnNURM	IUT appraised Comprehensive Mobility Plan (CMP) for cities are approved by MOUD	0	65	Periodic reports by IUT	IUT has adequate trained manpower to appraise Comprehensive Mobility Plans	
1.7 Technical assistance and advisory service provided by IUT to states	IUT signs Memorandum of Understanding with at least 7 states to provide technical support and advisory	0	7	Project documents and periodic reports by IUT	MOUD directs state government to seek technical assistance and advisory service of IUT on various aspects of	At least 7 out of 28 (25%) Indian states start using IUT's services on payment basis


Strategy	Description of Indicator	Baseline Level	Target at end of project	Means of Gauging Success	Assumptions	Remarks
	services on urban transport.				National Urban Transport Policy	
1.8 Service Level Benchmark (SLB) for cities prepared	Comprehensive report on service level benchmark issued by IUT	0	65	Periodic reports by IUT	Each city will have benchmark established before SUTP ends	MOUD advice all the cities covered under JnNURM have SLB prepared by IUT
1.9 Number of DPR evaluations carried out by IUT for MoUD on all technical aspects of urban transport.	MoUD approved IUT appraised Comprehensive Mobility Plan (CMP) for cities	0	65	Periodic reports by IUT	IUT has adequate trained manpower to appraise Comprehensive Mobility Plans of all cities covered in JnNURM	
<b>Component 2: Individual Capacity Development through Training of Trainers and training of at least 1,000 professionals of national, state and city entities involved in urban transport</b>						
Outcome 2: Government officials, urban planners, practitioners receive training on various aspects of sustainable urban transport.	IUT conducts 10 training programs and 10 workshops annually across India that provides training to at least 500 urban transport planners and practitioners.	No reference document available with government on sustainable urban transport	5 thematic trainings 2 topical trainings	Periodic progress report by PMO; Contracts awarded for preparation of manual and toolkits	State and city government departments and agencies nominate senior and mid-level officials to attend training program	
2.1: Master Trainers trained by IUT	Training of at least 100 trainers on various topics of sustainable urban transport completed.	0	100	Periodic progress report by IUT	Subject experts and experienced professionals are engaged by IUT as trainers	
2.2: Number of trainings by master trainers at the sub-national level through workshops	Formal participants' skill evaluation at conclusion of every capacity building activity	0	40	Periodic progress report by IUT	Experts and experienced professionals are engaged as trainers by IUT	
2.3: Training provided by IUT on thematic areas for transport sector professionals	Participants' satisfaction survey conducted at conclusion of each capacity building activity	0	5	Periodic progress report by IUT	IUT has adequate human resources to organize thematic and topical trainings	

Strategy	Description of Indicator	Baseline Level	Target at end of project	Means of Gauging Success	Assumptions	Remarks
2.4: Number of people trained by master trainers at the sub-national level through workshops	Formal participants' skill evaluation at conclusion of every capacity building activity	0	1000	Periodic progress report by IUT		
<b>Component 3 : Preparation of Manual, Toolkits and Standards on various aspects of Urban Transport</b>						
Outcome 3: Manuals, Toolkits and Standard prepared to serve as reference documents, guides to develop and implement of sustainable urban transport.	Manuals, Toolkits and Standards developed and disseminated to central, state and urban government departments and agencies.	No reference document available with government agencies on sustainable urban transport	At least 25 manuals, toolkits and standards are developed under the project	Periodic progress report by PMO; Contracts awarded for preparation of manual and toolkits;	Competent task-specific expertise is locally available for preparation of manuals, toolkits and MOUD accords approval to IUT to develop new standards	The target of 25 comprises of 10 manuals, 11 toolkits and 4 standards
3.1: Manuals on Sustainable Urban Transport prepared.	. RFP for preparation of manuals issued and contract awarded . Manuals developed and validated by IUT	0	10	Periodic progress reports issued by PMO;	Subject matter experts available for peer- review	
3.2: Tool kits on Sustainable Urban Transport prepared	. RFP for preparation of manuals issued and contract awarded . Toolkits developed and validated by IUT	0	11	Periodic progress reports issued by PMO;	Subject matter experts available for peer- review	
3.3: New standards prepared on Sustainable Urban Transport	Topics/title for new standards approved by MOUD Standards prepared and released by IUT after peer review	0	4	Periodic progress reports issued by PMO;	MOUD accords approval to IUT to develop new standards	It is recommended to use this output as preparation of new standards will be an important contribution of IUT
<b>Component 4: Promotion, awareness raising and dissemination of information to expand and enhance the impacts of GEF SUTP</b>						

Strategy	Description of Indicator	Baseline Level	Target at end of project	Means of Gauging Success	Assumptions	Remarks
Outcome 4: Increased awareness of Sustainable Urban Transport interventions among city government officials and transport sector professionals.	Increasing number of cities demand services to plan, implement and operate environment friendly and sustainable urban transport interventions.	Cities are unaware of sustainable urban transport interventions	Compilation of experience, knowledge and insights shared with government officials	Project progress reports; number of hits on web portal,	Sustainable Urban Transport remains a major focus in urban planning and infrastructure development.	
4.1: Publication of newsletter on Sustainable Urban Transport by PMO	Quarterly newsletters published and circulated by the PMO.	0	20	Progress reports issued by PMO;	Stakeholders and subject experts take interest and actively contribute write up for the newsletter	
4.2: Development and operation of user interactive web portal on SUTP project by PMO	Interactive web portal developed, launched and periodically updated by PMO	0	SUTP web portal operated by PMO	Number of user visits (hits) to project portal recorded	Stakeholders and subject experts take interest and contribute articles	
4.3: Experience and knowledge sharing event organized annually to promote sustainable urban transport	IUT organizes one annual international conference. PMO organizes an annual experience sharing workshop for cities and state governments	0	8	Periodic progress reports issued by PMO;	PMO and IUT is adequately staffed to organize promotional campaigns and annual events	



## APPENDIX F - TRACKING TOOL

	<b>Tracking Tool for Climate Change Mitigation Projects (For Terminal Evaluation)</b>	
<b>Special Notes: reporting on lifetime emissions avoided</b>		
<p><b>Lifetime direct GHG emissions avoided:</b> Lifetime direct GHG emissions avoided are the emissions reductions attributable to the investments made during the project's supervised implementation period, totaled over the respective lifetime of the investments.</p> <p><b>Lifetime direct post-project emissions avoided:</b> Lifetime direct post-project emissions avoided are the emissions reductions attributable to the investments made outside the project's supervised implementation period, but supported by financial facilities put in place by the GEF project, totaled over the respective lifetime of the investments. These financial facilities will still be operational after the project ends, such as partial credit guarantee facilities, risk mitigation facilities, or revolving funds.</p> <p><b>Lifetime indirect GHG emissions avoided (top-down and bottom-up):</b> indirect emissions reductions are those attributable to the long-term outcomes of the GEF activities that remove barriers, such as capacity building, innovation, catalytic action for replication.</p> <p>Please refer to the Manual for Calculating GHG Benefits of GEF Projects.</p> <p><a href="#">Manual for Energy Efficiency and Renewable Energy Projects</a>  <a href="#">Manual for Transportation Projects</a></p> <p>For LULUCF projects, the definitions of "lifetime direct and indirect" apply. Lifetime length is defined to be 20 years, unless a different number of years is deemed appropriate. For emission or removal factors (tonnes of CO<sub>2</sub>eq per hectare per year), use IPCC defaults or country specific factors.</p>		
General Data	Results at Terminal Evaluation	Notes
<b>Project Title</b>	Sustainable Urban Transport Project (Component 1A)	
GEF ID	3241	
Agency Project ID	4044	
Country	India	
Region	SAR	
GEF Agency	UNDP	
Date of Council/CEO Approval	April 15, 2010	Month DD, YYYY (e.g., May 12, 2010)
GEF Grant (US\$)	4,050,000	
Date of submission of the tracking tool	May 31, 2017	Month DD, YYYY (e.g., May 12, 2010)
Is the project consistent with the priorities identified in National Communications, Technology Needs Assessment, or other Enabling Activities under the UNFCCC?	1	Yes = 1, No = 0
Is the project linked to carbon finance?	0	Yes = 1, No = 0
Cumulative cofinancing realized (US\$)	1,175,000	
Cumulative additional resources mobilized (US\$)		additional resources means beyond the cofinancing committed at CEO endorsement

<b>Objective 4: Transport and Urban Systems</b>		
<b>Please specify if the project targets any of the following areas</b>		
Bus rapid transit	1	Yes = 1, No = 0
Other mass transit (e.g., light rail, heavy rail, water or other mass transit; excluding regular bus or minibus)	1	Yes = 1, No = 0
Logistics management	1	Yes = 1, No = 0
Transport efficiency (e.g., vehicle, fuel, network efficiency)	1	Yes = 1, No = 0
Non-motorized transport (NMT)	1	Yes = 1, No = 0
Travel demand management	0	Yes = 1, No = 0
Comprehensive transport initiatives (Involving the coordination of multiple strategies from different transportation sub-sectors)	0	Yes = 1, No = 0
Sustainable urban initiatives	1	Yes = 1, No = 0
Policy and regulatory framework	2	0: not an objective/component 1: no policy/regulation/strategy in place 2: policy/regulation/strategy discussed and proposed 3: policy/regulation/strategy proposed but not adopted 4: policy/regulation/strategy adopted but not enforced 5: policy/regulation/strategy enforced
Establishment of financial facilities (e.g., credit lines, risk guarantees, revolving funds)	1	0: not an objective/component 1: no facility in place 2: facilities discussed and proposed 3: facilities proposed but not operationalized/funded 4: facilities operationalized/funded but have no demand 5: facilities operationalized/funded and have sufficient demand
Capacity building	4	0: not an objective/component 1: no capacity built 2: information disseminated/awareness raised 3: training delivered 4: institutional/human capacity strengthened 5: institutional/human capacity utilized and sustained
Length of public rapid transit (PRT)	-	km
Length of non-motorized transport (NMT)	-	km
Number of lower GHG emission vehicles	-	
Number of people benefiting from the improved transport and urban systems	-	
Lifetime direct GHG emissions avoided	-	tonnes CO <sub>2</sub> eq (see Special Notes above)
Lifetime direct post-project GHG emissions avoided	-	tonnes CO <sub>2</sub> eq (see Special Notes above)
Lifetime indirect GHG emissions avoided (bottom-up)	-	tonnes CO <sub>2</sub> eq (see Special Notes above)
Lifetime indirect GHG emissions avoided (top-down)	-	tonnes CO <sub>2</sub> eq (see Special Notes above)

## APPENDIX G - SUTP EVALUATION QUESTIONS

Evaluation Criteria	Questions	Indicators	Sources	Methodology
<b>Relevance: How does the Project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>				
Is the project relevant to national priorities and commitments under international conventions?	Is the project country driven?	Existence of national legislation related to sustainable development, climate change and sustainable urban transport development	National and regional strategy and policy documents	Desk review, interviews with Indian government representatives (GEF operational focal point, SUTP NPD)
	Does the project adequately taken into account the national realities, both in terms of institutional and policy framework and its implementation?	Existence of national legislation related to sustainable development, climate change and sustainable urban transport development	National and regional strategy and policy documents	Desk review, interviews with Indian government representatives (GEF operational focal point, SUTP NPD)
	How effective is the project in terms of supporting and facilitating transport sector?	Number of sustainable urban transport plants developed by local governments	PIRs and information from stakeholders including PMO	Desk review of PIRs and interviews with PMO and stakeholders
	What was the level of stakeholder participation in project design and ownership and project implementation?	Number of stakeholders participating in PPG  Number of stakeholders participating in project sponsored training sessions and meetings	PPG stakeholder meeting minutes  Project designers  PIRs	Desk review of PIRs and interviews with project designers, PMO, stakeholders
Is the project internally coherent in its design?	Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources)?	Quality of outcomes and indicators on log frame	Project document	Desk review
	Even after one extension, does the project achieve its expected outcomes?	Log frame outcome and output targets	PIRs	Desk review, interviews with PMO

Evaluation Criteria	Questions	Indicators	Sources	Methodology
				and training participants
	Did the project make satisfactory accomplishments in achieving project outputs vis-à-vis the targets and related delivery of inputs and activities?	Log frame output targets	PIRs	Desk review, interviews with PMO and training participants
Does the project provide relevant lessons and experiences for other similar projects in the future?	Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	Effectiveness and efficiency ratings of the project by the evaluation	PIRs	Desk review, interviews with PMO and training participants
<b>Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved?</b>				
Does the project been effective in achieving the expected outcomes and objectives?	Whether the performance measurement indicators and targets used in the Project monitoring system are accomplished and able to achieve desired project outcomes by the 31 December 2015?	Effectiveness ratings of the project by the evaluation	PIRs	Desk review, interviews with PMO and training participants
How is risk and risk mitigation being managed?	How well are risks, assumptions and impact drivers being managed?	Content of risk management in PIRs	PIRs and information from PMO personnel	Desk review, interviews with PMO personnel
	What was the quality of risk mitigation strategies developed? Were these sufficient?	Content of risk management in PIRs	PIRs and information from PMO personnel	Desk review, interviews with PMO personnel
	Are there clear strategies for risk mitigation related with long-term sustainability of the project?	Content of risk management in PIRs	PIRs and information from PMO personnel	Desk review, interviews with PMO personnel
Consideration of recommendations and reporting of information	Did the project consider midterm review and recommendations conducted on time and reflected in subsequent project activities?	Content of management responses to MTR	PIRs and information from PMO personnel	Desk review, interviews with PMO personnel
What lessons can be drawn regarding effectiveness for other similar projects in the future?	What lessons have been learned from the project regarding achievement of outcomes?	Evaluation assessment of Project effectiveness and efficiency	PIRs	Desk review, interviews with PMO and training participants

Evaluation Criteria	Questions	Indicators	Sources	Methodology
	What changes could have been made (if any) to the project design to improve the achievement of the project's expected results?	Evaluation assessment of Project effectiveness and efficiency	PIRs and information from PMO and training participants	Desk review, interviews with PMO and training participants
<b>Efficiency: was the project implemented efficiently, in-line with international and national norms and standards and delivered results with the least costly resources possible?</b>				
Was project support provided in an efficient way?	How does the project management systems, including progress reporting, administrative and financial systems in monitoring and evaluation systems were operating as effective management tools, aid in effective implementation and provide sufficient basis for evaluating performance and decision-making?	Evaluation assessment of M&E design and implementation, and quality of feedback from M&E activities	PIRs and information from PMO personnel	Desk review, interviews with PMO
	How effective was adaptive management practised under the Project and lessons learned?	Adaptive management reporting in PIRs	PIRs and information from PMO personnel	Desk review, interviews with PMO
	Did the project logical framework and work plans and any changes made to them used as management tools during implementation?	Adaptive management reporting in PIRs	PIRs and information from PMO personnel	Desk review, interviews with PMO
	Utilization of resources (including human and financial) towards producing the outputs and adjustments made to the project strategies and scope	Annual financial disbursements against each component	PIRs, CDRs and information from PMO personnel	Desk review, interviews with PMO
	Details of co-funding provided (industry of urban development, GEO I and financing units) and its impact on the activities	Cofinancing of each stakeholder	PIRs, CDRs and information from PMO personnel	Desk review, interviews with PMO
	How does the APR/PIR process help in monitoring and evaluating the project implementation and achievement of results?	APR/PIR qualitative assessments	PIRs and information from PMO personnel	Desk review, interviews with PMO
How efficient our partnership arrangements for the project?	Appropriateness of the institutional arrangement and whether there was adequate commitment to the project	Institutional arrangements of the project	PIRs and information from PMO and MoUD personnel	Desk review, interviews with PMO and MoUD personnel

Evaluation Criteria	Questions	Indicators	Sources	Methodology
	Was there an effective collaboration between institutions responsible for implementing the Project?	Institutional arrangements of the project	PIRs and information from PMO and MoUD personnel	Desk review, interviews with PMO and MoUD personnel
	Is technical assistance and support received from project partners and stakeholders appropriate, adequate and timely specifically for the project PMO?	Institutional arrangements of the project	PIRs and information from PMO and MoUD personnel	Desk review, interviews with PMO and MoUD personnel
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>				
Will the Project be sustainable on his conclusion and stimulate replication's and its potential?	How effective is the project in terms of strengthening the capacity of transport professionals?	Opinions of training participants	Survey of feedback of training sessions, and testimonial evidence from training participants	Desk review, interviews with training participants
	Was an exit strategy prepared and implemented by the project? What is the expected situation at the end of the project?	Existence of exit strategy prepared by the project	Report on exit strategy, and information from PMO and MoUD personnel	Desk review, interviews with PMO and MoUD personnel
	Appropriateness of the institutional arrangement and whether there was adequate commitment to the project	Number of institutions and local government agencies that have sent transport professionals to training sponsored by SUTP	Progress reports, PIRs, and information from PMO and MoUD personnel	Desk review, interviews with PMO and MoUD personnel
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward maximizing environmental benefits?</b>				
What was the project impact under different components?	To what extent has the project contributed to the following: <ul style="list-style-type: none"> <li>institutional arrangements strengthened</li> <li>effective information dissemination program developed</li> <li>stakeholder capacity enhanced</li> </ul>	Indicator targets of IUT strengthening  Indicator targets of KMC strengthening	Progress reports, PIRs, and information from PMO and MoUD personnel	Desk review, interviews with PMO and MoUD personnel

Evaluation Criteria	Questions	Indicators	Sources	Methodology
		Number of SUTP plans prepared by local governments		
What are the indirect benefits that can be attributed to the project?	Were there spinoffs created by the project, if any, as a result of the various workshops held nationwide, toolkits, case studies developed?	Number of knowledge products created by IUT and KMC  Number of hits on project website	Survey of feedback of training sessions, and testimonial evidence from training participants	Desk review, interviews with training participants
Impacts due to information dissemination under the Project	To what extent did the dissemination activities facilitate progress towards project impacts?	Number of knowledge products created by IUT and KMC  Number of SUTP plans prepared by local governments	Survey of feedback of training sessions, testimonial evidence from training participants, and information from PMO and MoUD personnel	Desk review, interviews with training participants, PMO and MoUD personnel

## APPENDIX H - EVALUATION CONSULTANT AGREEMENT FORM

### Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

### Evaluation Consultant Agreement Form<sup>43</sup>

#### Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Roland Wong

Name of Consultancy Organization (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Surrey, BC, Canada on June 26, 2017



<sup>43</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)



**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

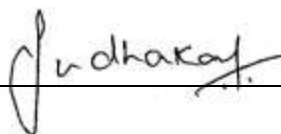
**Evaluation Consultant Agreement Form<sup>44</sup>****Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** Dr. Sudhakar Yedla

**Name of Consultancy Organization** (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at *Mumbai, India* on *June 26, 2017*



<sup>44</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)