



GEF/UNDP Project No 59078 (PIMS 3214)

SUSTAINABLE URBAN TRANSPORT PROGRAMME (SUTP) INDIA

MID-TERM REVIEW REPORT

PREPARED FOR UNDP INDIA BY

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FINAL REPORT

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TABLE OF CONTENTS

1	ACRONYMS AND ABBREVIATIONS.....	3
2	EXECUTIVE SUMMARY	4
2.1	Main Conclusion and Recommendations.....	9
3	INTRODUCTION.....	12
3.1	Purpose of the Evaluation	14
3.2	Scope and Methodology	14
3.3	Structure of the Evaluation Report.....	16
4	PROJECT DESCRIPTION AND ITS DEVELOPMENT CONTEXT.....	17
4.1	Project Start and Duration	17
4.2	Problems Addressed and the Objectives of the Project	17
4.3	Key Stakeholders	19
4.4	Results Expected.....	20
5	FINDINGS AND CONCLUSION.....	21
5.1	Project Design and Formulation	21
5.2	Project Implementation	29
5.3	Project Results and Findings.....	36
6	CONCLUSIONS AND RECOMMENDATIONS	49
7	LESSONS LEARNED	54
	ANNEXA: PEOPLE INTERVIEWED FOR MTR.....	56
	ANNEX B: LIST OF DOCUMENTS REVIEWED	58
	ANNEX C: SUTP PROJECT FINANCIAL STATUS.....	59
	ANNEX D: MISSION SCHEDULE.....	63
	ANNEX E: WORKPLAN AND SCHEDULE OF DELIVERABLES	67
	ANNEX F: REPORT BACK PRESENTATIONS	68
	ANNEX G: EVALUATION TERMS OF REFERENCE	73
	ANNEX H: RESPONSE TO THE COMMENTS.....	85
	ANNEX I: EVALUATION REPORT CLEARANCE FORM.....	92

1 ACRONYMS AND ABBREVIATIONS

AWP	Annual Work Plan
BIS	Bureau of Indian Standards
BRT	Bus Rapid Transit
CTA	Chief Technical Advisor
CMP	Comprehensive Mobility Plan
GEF	Global Environment Facility
GEF SEC	GEF Secretariat
GHG	Greenhouse Gases
KMC	Knowledge Management Center
GDP	Gross Domestic Product
GOI	Government of India
IUT	Institute of Urban Transport
MIS	Management Information System
MTR	Mid-term Review
MoUD	Ministry of Urban Development
NCDI	National Capacity Development Initiative
NMT	Non-Motorised Transport
NTPDC	National Transport Development Policy Committee
NUTP	National Urban Transport Policy
PPP	Public Private Partnership
SP	Strategic Partner
SUTP	Sustainable Urban Transport Programme
TA	Technical Assistance
TOR	Terms of Reference
TSP	Technical Service Provider
WB	World Bank

2 EXECUTIVE SUMMARY

The SUTP program essentially consists of two parts: Part I, supported by UNDP (with a GEF grant), includes a number of national level capacity building initiatives, which are implemented directly by MoUD; and Part II, supported by the World Bank (with a GEF grant and an IBRD loan), includes a series of demonstration capacity building and investment projects in selected states and cities, which are implemented by MoUD and participating states and cities. This report assesses the midterm review of Part I activities, and presents results achieved with the aim of drawing lessons to expand the scope of benefits and strengthen the sustainability of this project.

The reviewers began by examining the relevance of the project in the context of India's urban transport challenges and prevailing policy frameworks. The project was found highly relevant to both national and global priorities as described below. Under the twin pressures of a rising population and high levels of inward rural migration, Indian cities are growing apace. By 2030 an additional 218 million people are forecast to find their home in the city¹ and a majority will live in urban centres compared to less than a third now.

India's economic growth rates of around 7% a year are, meanwhile, increasing demand for goods and services. To help facilitate this demand the 12th Five Year Plan estimates that transport capacity will need to double every decade for the foreseeable future. Given present conditions, the majority of demand is likely to be met by road transport, which already carries a disproportionate load. 57% of freight, for instance is hauled by road in India compared to only 22% in China. Demand is also rising for private vehicles. Little surprise then that between 2010 and 2030 India's vehicle density is predicted to rise from 20 per 1,000 population to 65, a threefold increase. Conversely public transport's modal share is falling. In Delhi levels of bus ridership fell by 25% between 2001 and 2008 alone while car use in the city rose by over a third². Even the introduction of a world-class metro system has not been enough to stem the tide away from public transport.

There are significant economic, social and environmental costs accompanying this changing transport paradigm even though the benefits of higher level of mobility are immense. According to the 12th Five Year Plan about 1.3 lakh people die annually in road collisions in India. The figure is equivalent to 10% of global fatalities despite India's vehicle fleet accounting for only 1% of the world total. According to a study by the Asian Development Bank, carbon emissions from road as opposed to rail freight are

¹ Global Trends 2030 Alternative Worlds, US National Intelligence Council, US Government Publication

² Delhi Traffic Forecast Study 2010, RITES

over five times greater. At current levels of ridership a passenger kilometer travelled by a CNG bus is six times more energy efficient than the equivalent kilometer travelled by car.³ Although starting from a lower base than in countries with higher vehicle numbers per capita, carbon emissions are growing fastest in the transport sector.

The 12th Five Year Plan identifies ‘integration’ as a way of addressing these challenges. According to the Plan, integration must take place at levels of transport governance, policy development and implementation. Physical network integration is also advocated in the Plan; at the macro level to ensure that the new built environment is planned 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.

The costs of integration are huge. The 12th Five Year Plan estimates that in excess of \$1 trillion will be required. The National Transport Policy Development Committee (NTPDC) has advised the Planning Commission that a ‘quantum jump’ is needed to develop sufficient expertise to ensure that such a high level of investment is spent wisely. To facilitate this new institutions with authority over all aspects of transport policy and management will be needed, staffed with a new generation of planners, trained to see transport as a multi-faceted issue with a range of skills beyond those required to build infrastructure alone.

The Plan responds by highlighting *the need for stronger research and statistical institutions*, multidisciplinary in nature that span city, state and national jurisdictions. This endorses the vision outlined in NUTP for IUT to serve as a premier national research and advisory institution for the transport sector. The transport sector in general and urban transport in particular, is beginning to receive serious attention from the government. The SUTP’s intervention is therefore both timely and relevant.

UNDP-GEF’s part I includes a number of national level capacity building initiatives that helps to meet the institutional challenge and address the individual transport planning skills gap. Its core aim is to strengthen government capacity to plan, finance, implement, operate and manage climate friendly and sustainable urban transport interventions at national, state and city levels. The reviewers also found the Initiative highly relevant to the national transport policy context, dovetailing neatly with the Government of India’s National Urban Transport Policy (NUTP, 2006). The NUTP’s objective for capacity building is to ‘Establish institutional mechanisms for enhanced coordination in the planning and management of transport systems’

Sub-Component 1 of the UNDP-GEF part I aims to strengthen Institutional Capacity Development through the Institute of Urban Transport (IUT). This integrates precisely

³ Transport and Carbon Dioxide Emissions: Forecasts, Options, Analysis and Evaluation, L Schipper, H Fabian, J Leather, ADB Working Paper No9, Dec 2009

with the NUTP, which has a vision for IUT to be a “**Knowledge Management Centre (KMC)**” that would sustain and enhance expertise as well as facilitate more informed planning’ and more specifically envisages the institute as ‘suitably strengthened to discharge this responsibility’. National policy linkages between UNDP-GEF and GOI are therefore strong.

In terms of the global environmental benefits, the core outcome expected from the project is the reduction in GHG emissions when compared to the baseline scenario. It is difficult to attribute emissions reductions above baseline stimulated by the Part I alone just by its capacity building effort.

However, the reviewers conclude that Part I of SUTP has potential to strengthen institutional abilities to mitigate carbon emissions. Firstly by ensuring that data collected for IUT’s Knowledge Management Centre (KMC) will incorporate GHG emissions statistics for cities and states, and possible to measure the impact of new transport initiatives on greenhouse gas emissions. Secondly, by strengthening institutional knowledge of measures to reduce travel demand, and encouraging modal shift to other, less carbon intensive means of transport, the Part I of SUTP will help to mitigate transport GHG emissions. This takes place beyond a predicted scenario in which cities and states build road infrastructure to alleviate traffic congestion.

In Part I of SUTP, sub-components 2 and 3 involve the creation of training modules, manuals and toolkits, explain how to implement carbon mitigation measures. Combined with Sub Component 4, promoting the dissemination of sustainable urban transport throughout India, the Part I of SUTP will potentially help build knowledge and awareness among city government officials and broaden their options to seek funding support for several other urban transport related initiatives and programs from JnNURM. Thus global policy linkages between UNDP-GEF and GOI are also strong.

The Mid-Term Review (MTR) found a high level of project activity taking place at IUT that has been supported by UNDP. A Business Plan was drafted in November 2011. The process of developing a Knowledge Management Centre has begun with the release of an RFP. The Project Steering Committee (PSC) advised on utilizing an adaptive management strategy to establish the IT server remotely under contract. The IUT is setting up training capacity building activities through the development of courses, manuals and toolkits – 20 drafts have been submitted. Training modules are being undertaken throughout India and are being validated with the support of consortium of UMTC, EMBARQ and GIZ.

Dissemination activities take place through the Urban Mobility India Conference once a year, through interaction with course trainees, and the publication of a regular newsletter to the Institute’s 1,300 strong membership. Additionally, dissemination of SUTP activities is carried out by the Project Management Unit (PMU) which promotes the project activities by publishing quarterly newsletter, maintaining SUTP website, holding dissemination workshops and organizing SUTP meet every year. The SUTP

annual meet is organized to share the experience and lessons learned by the officials engaged in implementing the ‘demonstration projects’ in various cities.

There are, however, a number of important issues that the MTR has uncovered some of which require urgent attention as part of a mid-course correction.

The absence of Logical Framework (Log Frame) and Monitoring and Evaluation (M&E) framework documents meant that there was not a definitive set of expected results that key stakeholders were referring to as a unifying theme. Towards the project end date, an exit strategy needs to be developed clearly defining the project sustainability. Without a clearly defined results framework, stakeholders have been working towards delivering outputs set out in the Project Document such as training trainers, developing the ‘Knowledge Management Centre’ and designing manual and toolkits. However, it has not been possible for stakeholders to monitor and evaluate these activities to consider if they are proving to be the best ways to strengthen IUT and build its capacity as well as build the capacity of state and city governments.

The Mid Term Review offers opportunity to pause for reflection with the aim of identifying and addressing emerging issues. Foremost amongst these is the sustainability of IUT beyond the lifetime of the project when Part I of SUTP comes to an end. Key issues that have been identified in the review process include:

- Picking up on longer term capacity building opportunities set out in the Business Plan and to re-adjust priorities and activities accordingly
- Recruiting staff in IUT at senior management levels who could provide a strategic planning function for the organization
- As a function of the issues above, increasing levels of expenditure. Over halfway through the project, it has been able to spend only 29% (\$1.175M) of total allocated GEF/UNDP funds (\$4.05M). At current rates, it will not be possible to spend the remaining sum during the remainder of the project period.
- Modest levels of financial support so far from the GOI. IUT was identified in the NUTP as playing a key role in developing transport planning capacity, but it has spent only \$667,395 or 9.4% of its total GOI budget allocation of \$7.13 million.

Strategic decision-making has been further hindered by government intervention in IUT management decisions. Some examples found in the review ranged from setting remuneration for trainers at government rates below market levels to requiring expenditures greater than INR 100,000 to seek Ministry of Urban Development (MoUD) approval. IUT being asked by MOUD to subject itself to competitive tendering despite being identified in the NUTP as the premier body to build knowledge and expertise to facilitate more informed planning amongst government ministries, departments and city governments.

Stakeholder analysis of all partners including the MOUD was never conducted as part of the project design so none of these obstacles were predicted. Another consequence of this gap was a missed opportunity to identify synergies between Part I and Part II of SUTP including technical assistance work in five demonstration cities. While the World Bank reviews NCDI component 1 of SUTP, at regular intervals including the five SUTP cities and other JnNURM cities, however more co-ordination is required between Part 1 and Part 2 of the project components to help increase the impact of the capacity building efforts.

There are three paramount mid-term corrections that will address these weaknesses.

Firstly, the necessary architecture to define project outcomes and develop suitable indicators against which to measure and track progress should be put in place. The resulting Log Frame and M&E framework should be developed by the SUTP Project Management Unit (PMU) and shared with updates at every meeting of the Standing and Steering Committees.

Secondly, project stakeholders need to create an exit strategy for the end of the project. It is suggested that a key part of that exit strategy would be a corpus of funds put in place in lieu of services to the GOI that the IUT is presently providing at no cost. The corpus is essential to ensure that IUT's stature is raised to the level envisaged in the NUTP as recommended in Business Plan. The corpus will allow IUT to function as an independent institution facilitating higher standards of transport planning throughout India. In particular this must involve hiring staff at the senior/middle management level that can prioritise and strategically develop long term capacity building measures highlighted in the Business Plan. A performance management system could be set up with a Board Chaired by the Secretary of the MoUD and composed of key stakeholders from the transport industry, academics, professionals and regulators, to administer the disbursement of interest from the corpus with a transparent, measurable set of rewards and penalties for meeting or not meeting outcomes set out in the Business Plan. This should raise levels of confidence such that GOI will release funds which could be spent on the strategic planning capability in IUT.

Thirdly, it is suggested that a corpus could be established for not less than INR 35 crore (INR 350 million) which is equivalent to US \$7 million, the unspent amount in GOI's contribution to this particular component of the SUTP.

In light of the current level of underspend in the project, it is further suggested that the project expenditure should be orientated towards conducting various tasks and activities set out in the Business Plan with the aim of building IUT capacity, providing adequate autonomy, a budget to enable it to provide a strategic planning function in terms of staff resource, and adequate oversight through a Performance Management System.

2.1 Main Conclusion and Recommendations

Progress is Moderately Satisfactory with respect to meeting the project objectives. For SUTP’s Component-1: the Project Logical Framework (Log Frame), Monitoring and Evaluation (M&E) Matrix and Results Framework were not made part of ProDoc which has made assessing project progress challenging. The absence of these project planning and monitoring tools meant that no baseline was established when the project began and no intermediate and final results have consequently been available to determine progress made.

The Log Frame, M&E Matrix and Results Framework are made part of the project at the time of inception and serve as a navigation chart, which is essential to keep the project on course. They set clearly definable impacts and outcomes that the project is expected to achieve throughout its implementation cycle. Indicators inform all stakeholders as to whether the project is on course to meet these impacts and outcomes. In the absence of these tools, the evaluation team could only look at documents that had been drafted during the project design phase, the Project Implementation Document, the World Bank’s Project Appraisal Document and also the GEF CEO Approval document of October 22, 2009. On their own these documents were insufficient for the following reasons. They:

- Did not provide an overview or project ‘dashboard’
- Established preliminary sets of outcomes that required further discussion
- Were focused more on day-to-day outputs and activities.
- Were not integrated with each other (Part I and Part II) and could not provide a well-informed management function, since they had different objectives and could not therefore consolidate the project to provide unity. This was left to the project document, which is very output focussed.

Since no one pointed to its possible utility in guiding activities towards clearly defined goals, project stakeholders did not pay attention to or follow a single results matrix.

Regarding budget management to date, the overall expenditure of the GEF/UNDP fund during the past 3 years stands at 29% of the total committed amount of \$4,050,000. This requires taking corrective measures recommended later in the report as lower than planned level of expenditure is risk to the project realizing its objectives. While there is higher than average expenditure planned in 2013, it is expected that there will still be sufficient funds available in the project at the end of the 2013 calendar year which cannot be exhausted in 2014 alone.

The financial review revealed that, in comparison to UNDP-GEF expenditure, GOI disbursements during the same period amounted to 1.4% of the committed amount of

US\$ 7,130,000. While the MoUD has committed funds to support the training of city officials, and details of GOI expenditure are available for reference in PID volume 2, Appendix 4.1 to 4.3. It was suggested that a working document that describes the utilization of GOI funds towards capacity building may be shared with UNDP.

The modest financial outlay of GOI adds to the uncertainty of project sustainability beyond the lifetime of GEF-UNDP support. In spite of GOI's valuable in kind contribution of the provision of new facilities for IUT at Delhi Metro Rail Corporation's premise, during the three years since the project began GOI's financial contribution stands at \$667,395.

The Mid Term Review offers an opportunity for project stakeholders to re-visit the Business Plan to identify measures that could utilize these funds. Possible measures could be those that offer a strong public benefit yet require considerably long lead times to implement or that support IUT's role as a facilitator of capacity development, and underpin the institute's sustainability.

Further Conclusions and Recommendations

1. (i) The PIP, Logframe, and results framework needs be developed by the PMU and shared with the key stakeholders, that is, MoUD, UNDP and IUT.
(ii) The PMU need to develop intermediate results and indicators, which should be used to report progress during every Steering Committee meeting.

(iii) All progress reports of the PMU and IUT should clearly indicate the efforts underway to achieve the intermediate and end-results before the project end. The progress reports should also include activities planned for the entire year and report progress against those, and present a plan for the next quarter.

2. GOI needs to increase its cost-share to the project substantially. It is therefore suggested that a corpus of funds for IUT should be created with the remaining unspent GOI funds of \$7million or about INR 35crore. The corpus would allow IUT to meet its expenses, while providing the technical support (as envisaged in NUTP and the business plan) to MoUD, state and city governments.

3. (i) Standing committee meetings chaired by the MoUD should invite WB and UNDP program officers and hold a regular dialogue and explore avenues for involving IUT in the work being done at the cities.

(ii) An IUT official must participate in WB's mission in cities as an observer and build relationships in cities providing assistance on areas not covered under WB funded project work. This will help to build a working relationship between IUT and cities and ensure that capacity building will sustain itself beyond the project.

4. (i) PMU in consultation with UNDP needs to define the goals to be achieved by project stakeholders and its plan for directing the resources during the last two years of project and prepare an exit strategy which indicates its approach to gradually disengage from the project.

(ii) A planned and focused approach for introducing IUT to cities is needed, especially the cities where WB is working, as described below. The network can gradually be expanded to cover other Indian cities.

(iii) GEF should review the exit strategy, as a standard practice for every project, which aims at building the capacity of local institutions, prior to according endorsement to the project.

5. UNDP needs to engage with the MoUD at the apex level to discuss the plan to build IUT's capacity and ensure its long-term sustainability. More engagement is required at every level in addition to the Programme Officer to attend Project Steering Committee meetings Chaired by the Secretary of MoUD.

6. (i) IUT's subject matter expert should offer their opinions to the project stakeholders on additional opportunities for the practical application of manuals and tool kits. These applications could be initiated by IUT, for instance, "developing standards on various aspects of urban mobility", which can be shared with cities. This can include preparing hand-books for sharing with practicing city officials to start applying the new learning.

(ii) A discussion on resources (human and financial) required for IUT to expand its work areas of KMC and its advisory role with MoUD and cities is essential at this stage to help strengthen IUT in the remaining phase of this project.

7. (i) IUT remains detached from activities happening in states and cities beyond the capital.

(ii) IUT should re-visit its resource requirements for carrying out the KMC function at state level. State level KMCs would require the presence of full time IUT staff in at least half-dozen states to liaise with state and city government officials, provide support for collecting data for the KMC and assist in organizing IUT-led training program.

(iii) IUT should re-visit its training pedagogy and develop mechanisms for the effective and efficient delivery of training, utilizing computer based training modules, webinars; and develop plans using in-house resources to update and re-publish a second edition of manual and toolkits based on the feedback and suggestions obtained during training.

3 INTRODUCTION

Indian cities are experiencing unprecedented population growth as they become major economic centres attracting business, industry and a ceaseless flow of rural migrants looking for opportunity and advancement. By 2050 over half of India's population will live in cities compared to less than 30% now. Indian cities will be some of the largest on earth. By 2025 Mumbai will be home to 26.4 million citizens, Delhi 22.5 million and Kolkata 20.5 million residents (up from 14 million in 2005).

To accommodate the large population influx, cities are expanding fast and without recourse to urban planning principles and methods. The result is an ever-enlarging urban sprawl. Longer travel distances and a lack of suitable infrastructure contribute towards making public transport, cycling and walking unattractive, impractical and dangerous. At the same time higher levels of economic growth are bringing personal mobility within reach of larger segments of the population leading to more vehicle ownership and use. With 22 vehicles per 1000 head of population compared to nearly 700 in the US, ownership levels are more than doubling every decade⁴. In such a context Government of India's vision for Transport is articulated in the 12th Five Year Plan, which suggests:

- An integrated, multimodal transport system that is efficient, sustainable, economical, safe, reliable, environmentally friendly and regionally balanced
- Higher levels of investment to increase the capacity and efficiency of transport infrastructure
- Reforms in the pricing of transport to provide funds for investment and incentivize the use of more sustainable transport modes
- A credible transport safety institutional framework
- Higher levels of transport accessibility to remote areas and to provide greater opportunities for socially disadvantaged sectors of the population to travel

The 12th Five Year Plan also acknowledges that, for these to happen it is necessary to develop human resources to equip future generations with the skills necessary to create an integrated and efficient transport system

UNDP-GEF's Part I includes a number of national level capacity building initiatives that responds to the vision of the 12th Five Year Plan by strengthening the framework for sustainable urban transport in the country. In Part I, there are two principal components, the first aimed at building robust institutions that are capable of authorizing, planning and delivering sustainable transport, the second aimed at the individual level, training practitioners and sensitizing policymakers so that they have the understanding and skills necessary to create low carbon transport networks. Managed by the same Project

⁴ Growth rate of vehicles in India – Impact of Demographic and Economic Development, D Sharma, S Jain, K Singh in Journal of Economic and Social Studies Vol 1, No2, July 2011

Management Unit within the Ministry of Urban Development, UNDP-GEF's capacity building initiative is complemented by a World Bank Mission, which is working with demonstration cities on the ground to implement sustainable transport schemes.

Both projects feed into the National Urban Transport Policy (NUTP, 2006) where GOI has set out a clear intention to foster sustainable urban transport in order to promote economic growth and higher levels of social and environmental wellbeing. Measures according with the principles of sustainable transport as set out in the NUTP are eligible for funding under GOI's flagship Jawaharlal Nehru National Urban Renewal Mission (JNNURM). The mission has set aside over *INR 172 billion* for investment in renewing urban infrastructure and services in *63 Indian cities*. According to the NUTP, moving towards a 'sustainable transport system' defined as:

- Reducing congestion arising from the increasing number of private vehicles in cities so that people can move more freely
- Reducing travel distances to lower the cost of transport especially for the poor
- Reducing road danger
- Tackling air pollution, a large proportion of which in the city emanates from cars and trucks.

Each of the above implies some kind of management of the use of private, motorised transport either by reducing the need to travel or by encouraging less environmentally damaging, safer modes where a trip is unavoidable; car sharing, public and para-transit, cycling and walking.

There are key institutional and individual challenges associated with achieving these outcomes, which UNDP/GEF Part I targets. Cities will need to shift from an engineering-led 'infrastructure building approach' to an 'integrated urban planning' approach.

Instead of responding to rising demands to use private vehicles by building wider roads, elevated roads and flyovers, individual policymakers and practitioners will need to address urban transport issues in a variety of ways, each requiring better information and data and more effective co-ordination with a wider range of stakeholders; business, NGOs and the general public. Drawing on different disciplines there will be a need to forge new public attitudes and create more sophisticated institutional machinery to enable sustainable transport planning. A wider skill set will be deployed in activities as varied as community involvement and urban design, parking management and transport demand assessment - all will be needed in the new urban transport paradigm envisaged by the NUTP and supported by SUTP project.

For Part I, most importantly a unique focus on local outcomes that prioritized technology interventions would not guarantee overall reductions in GHG emissions. In this case, the rising use of private vehicles would cancel out any individual vehicle efficiency

improvements Although starting at a low base compared to other countries, emissions from transport constitute roughly 10% of India’s total basket and they are rising faster than any other sector.

3.1 Purpose of the Evaluation

Mid-term review is required for all the Full-Sized Projects (FSPs) with GEF financing, and is a monitoring tool to assess project status and challenges and identify corrective actions to ensure that the project is on track to achieve planned outcomes.

The objectives of the mid-term evaluation, as identified in the ToR, are grouped into two categories: 1) assessment of the project to evaluate efficiency, effectiveness, relevance, compliance and results, and 2) provide a vision for future direction.

The mid-term review is intended to assess the relevance, performance and path to success of the project. The evaluation looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify and document lessons learnt and provide recommendations that might improve the design and implementation of future UNDP-GEF projects.

3.2 Scope and Methodology

The primary aim of the mid-term review is to assess project status, challenges, and identify corrective actions that can be taken in the remainder of the implementation phase to ensure that the project is on track to achieve planned outcomes.

This SUTP Mid Term Review required a report on project progress against Objective, each Outcome, Output, Activity (including sub-activities) and Impact Indicators as listed in the project document. An assessment needs to be made on how far the project has reached each overall objective and outcome; whether timelines are being followed and how outstanding tasks will be completed within the project duration.

The second requirement of the Mid Term Review scope was to comment on the effectiveness of current project activities in:

- Institutional Capacity Development, focusing on strengthening the Institute of Urban Transport (IUT)
- Capacity Development through training of trainers and of a group of about 1,000 professionals at national, state, and city levels
- Selection and preparation of Manuals and Toolkits
- Promotion and awareness-raising campaigns, and information dissemination to expand and enhance the impacts of the SUTP project.

The mid-term review also draws heavily on the directives laid out in the UNDP-GEF guidance document for conducting the evaluation of the projects⁵. The SUTP's performance has been evaluated against the following five parameters.

1. Relevance

- The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.
- The extent to which the project is in line with the GEF Operational Programs or the strategic priorities under which the project was funded.
- Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.

2. Effectiveness

- The extent to which an objective has been achieved or how likely it is to be achieved.

3. Efficiency

- The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

4. Results

- The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention.
- In GEF terms, results include direct project outputs, short to medium-term outcomes, and longer term impact including global environmental benefits, replication effects and other local effects.

5. Sustainability

- The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.
- Projects need to be environmentally, as well as financially and socially sustainable.

In accordance with GEF's mandate the GHG Tracking Tool has been prepared for the SUTP and updated to determine project progress. The GHG Tracking Tool captures work done by the two GEF implementing agencies UNDP and World Bank. The tracking tool is an Excel file, which is provided separately with this report.

⁵ Guidance for conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects

3.3 Structure of the Evaluation Report

The evaluation team (the team) consists of an International Consultant (Mr. Simon Bishop) and a National Consultant (Mr. Sandeep Tandon). Both consultants have considerable experience in the field of urban transport in the United Kingdom, India, and in climate change programme management with funding agencies involving the Government of India.

The evaluation team received most of the relevant project documents prior to the mission. Field work spanned from February 18th to 25th 2013 and began with an orientation briefing with UNDP's Programme Officer, Assistant Country Director and Programme Specialist at the Environment and Energy Unit.

A series of meetings then took place with all the key project stakeholders, the National Project Director, National Program Manager and his team at the PMU, the Director General and staff at the Institute of Urban Transport (IUT).

The evaluation team also interviewed training manual and toolkit developers from Embarq, GIZ, UMTC, and TERI and course trainees as well as trainers from the Delhi Transport Corporation, and Town and Country Planning Office (TCPO). The team participated in a training program on Intelligent Transport Systems (ITS) held at IUT.

To make best use of time the team also held telephonic interviews with the GEF Operational Focal Point, the World Bank's SUTP Program Officer and other stakeholders associated with IUT's capacity building work on manuals and toolkits preparation. After the mission the team gathered additional documentation and outstanding material necessary for the Mid Term Evaluation. Throughout the process we have analyzed information and data for inclusion in the final report.

A full list of people the evaluation team met and a record of documents and reports reviewed is included in Annex A and B.

The Greenhouse Gas (GHG) tracking tool of GEF was updated based on the information provided by the PMU and progress noted for the UNDP-GEF's Part I i.e. national level capacity building initiatives.

4 PROJECT DESCRIPTION AND ITS DEVELOPMENT CONTEXT

4.1 Project Start and Duration

The project started on 15th April 2010 with the signing of Project Document by the Ministry of Urban Development (MoUD) and the UNDP Country Director with a total budget of US \$ 11,180,000⁶ of which 56% is contributed by GEF and the remainder by the Government of India. The implementing partner for the project is the MoUD. The original planned project start was November 1, 2009 with a completion date set for December 31, 2014 or 61 months. However, as the project start date was deferred to April 2010, the duration of the project now is 56 months.

4.2 Problems Addressed and the Objectives of the Project

The objective of SUTP is to reduce the growth trajectory of greenhouse gas (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 increase the modal share of environmentally friendly transport modes in project cities. World Bank-GEF and Government of India also support the SUTP project through participating states and cities.

The SUTP program essentially consists of two parts: (1) Part I, supported by UNDP (with a GEF grant), includes a number of national level capacity building initiatives, which are implemented directly by MoUD; and (2) Part II, supported by the World Bank (with a GEF grant and an IBRD loan), includes a series of demonstration capacity building and investment projects in selected states and five cities, which are implemented by MoUD and participating states and cities.

The national level capacity building initiatives will help the governments of the Central; State and City levels strengthen the core functions necessary for efficient administration and delivery of Sustainable Urban Transport. The aim is to build sustainable capacities in urban transport by enhancing the knowledge, skills and productive aptitudes of the organization/employees involved in the field of urban transport. We bear in mind that this is happening in the context of a globalizing economy, a dynamic information revolution and changing technologies.

More specifically Part I of SUTP project activities include:

⁶ Annual Work Plan 2010

- Institutional Capacity Development, focusing on strengthening the Institute of Urban Transport
- Capacity development through training of trainers and of a group of about 1,000 professionals at national, state and city levels
- A needs assessment to identify appropriate training resources including manuals and toolkits for transport practitioners
- Promotion and awareness raising campaigns and dissemination of information to expand and enhance the impacts of SUTP

Stronger institutional and professional transport planning capacities generated through the project are expected to contribute towards a progressive transport programme of the type set down in the NUTP that will:

- Integrate land use and transport planning to shorten travel distances, enabling journeys to be undertaken on foot, by bicycle, train or bus.
- Establish well resourced, efficient, comfortable and reliable public transport systems, financially sustainable and integrated with para-transit and non-motorised transport
- Introduce measures to manage demand for private vehicles so as to make more sustainable modes more attractive
- Change public attitudes and behaviour such that consent is given to implement the above, supported by politicians and decision makers

As the NUTP makes clear, achieving these outcomes will require new transport planning capabilities of the type that are traditionally manifest in a single urban land transport planning authority rather than the multiplicity of agencies and organisations with uncoordinated and overlapping responsibilities for transport management as seen today.

A consequence of the skills and integrated transport authority gap has been cities and states farming out technical planning requirements to consultancies and, amongst city officials, a weakness in being able to critically examine and evaluate consultants' work. At the Centre the result has often been a disappointing receipt of Comprehensive Mobility Plans evincing a host of different transport measures inappropriate to the local context, politically infeasible and impractical to implement. Without adequate capacity to manage these processes local governments could inadvertently be increasing GHG emissions and, at the very least, missing opportunities to reduce them.

Into this context the IUT has a unique role to play that is distinct from being a competitor in the market. IUT is envisaged instead to perform the role of a facilitator working closely with the Ministry of Urban Development, state and city governments, endowed

with special privileges. There are a number of key facilitator roles mapped out for IUT in its Business Plan that will help to institutionalize transport-planning systems in areas such as knowledge management, pedagogy, and certification.

Taking Knowledge Management first, the diversity of different bodies dealing with transport at the city level leads to each deciding on what data it will collect, how it will conduct, and what will be the finished product in the end. The result is a diverse array of different data sets, many unfinished because they served a particular project purpose at a singular point in time. IUT's Knowledge Management work stream will seek out methods to garner uniform, comparable information and datasets to greatly enhance transport-planning capability.

To conduct this work, IUT will require substantial support at the highest level. Given the plethora of different urban bodies collecting data, the exercise is likely to be problematic and time consuming. Yet without it, valuable information to guide transport-planning investments at all levels of governance will not be available.

In the urban transport training domain a facilitator role is likewise urgently needed. There are already a large number of different training providers from the six Centres of Excellence including CEPT Ahmedabad and IIT Delhi to EMBARQ and ITDP. However, no organization is thinking about the kind of pedagogy that would ensure the training of city and state-implementing officials is sufficiently robust to facilitate the submission of first rate Comprehensive Mobility Plans (CMPs).

Without a certified level of competency, city officials will not be up to the task of working on different themes across the transport planning spectrum and central government funds for infrastructure improvement will face the severe risk of being underspent or invested in inappropriate investments. It is at this strategic, institutional level that IUT must be operating by the end of the UNDP-GEF project to ensure success of the NUTP and, more widely the urban transport-funding programme of JnNURM.

4.3 Key Stakeholders

The SUTP is being implemented by Ministry of Urban Development, which is supported by a Project Management Unit to manage day-to-day implementation of the SUTP.

UNDP is acting as an implementing agency for the GEF for Part I, providing support for national capacity development. The IUT is the key stakeholder, and the key focal point of this UNDP led initiative. The IUT has drawn upon the expertise of a project consultant GIZ to advise and quality assurance in the production of manuals and training modules by a number of expert bodies.

The World Bank is the other main stakeholder in the SUTP, which is supporting the preparation and implementation of green transport demonstration projects in participating cities i.e. Part II of SUTP project.

The PMU is geared towards providing overall support for the management of both strands of project.

Taking account of any synergies and overlaps with these demonstration projects, the principal interest is in those parts of the project for which UNDP is responsible, i.e. Part I, national level capacity building initiatives in urban transport and the provision of technical assistance by IUT to the MoUD.

4.4 Results Expected

At the outset of the project there were three key results framework documents, each setting a number of different outcomes and objectives for the National Capacity Building Initiative. None of these documents were consolidated to find their way explicitly into the Project Document and there was no overriding logical framework document available for all stakeholders to follow.

Document	Outcome Indicator	Data Source
Project Information Document May 2009	<ol style="list-style-type: none"> 1. Cities increasingly express an interest in planning and implementing projects in conformity with NUTP and a few demonstrate progress in doing so during the project period. 2. Cities/State governments express intention to adopt technical products issued by national government during the project period. 	<ol style="list-style-type: none"> 1. Functional City Development Plan and Comprehensive Mobility Plan 2. Number of cities/states expressing intentions to adopt the material prepared (by IUT)
Request for CEO Endorsement/Approval 27 th August 2009	<ol style="list-style-type: none"> 1. IUT is able to satisfactorily organize national level knowledge events (conferences/workshops at least 4 times a year) 2. An urban transport planning process, in line with international good practices is established in at least 6 cities 	<ol style="list-style-type: none"> 1. Survey of IUT trainees, and interviews with city officials 2. Monitoring of progress with NUTP
World Bank Project Appraisal Document* November 2009	An urban transport planning process, in line with international good practices is established in at least 6 cities	Monitoring of progress with NUTP

*IUT mentioned frequently in the document but given no specific outcomes to achieve beyond this for 'the project as a whole.

5 FINDINGS AND CONCLUSION

5.1 Project Design and Formulation

5.1.1 Analysis of LFA/Results Framework

No single Logic Framework Assessment (LFA) Document was drawn up for National Capacity Building Initiative of the SUTP Project that every stakeholder of the was following. No decision was made on which of the results outcomes in section 4.4 of this document above should be followed, and how progress towards them would be tracked. The PMU have therefore had no ultimate goal to progress towards and no way of therefore monitoring and evaluating progress towards that goal. There are therefore limited opportunities for progress towards outcomes to be recorded and communicated to different SUTP stakeholders including the World Bank.

At a higher level, the absence of the log frame compromises strategic overview and planning with serious consequences for the institutionalization of IUT and its ability to sustain itself beyond the project. This is reflected in a focus on delivering individual project outputs but a notable absence of longer-term investments of time and resource to establish durable foundations for IUT.

More specifically the UNDP Project Document refers the reader to an LFA developed in Annex 3 of the World Bank Project Appraisal Document (PAD). On closer inspection, however, this prepares outcome indicators only for demonstration cities involved in Component 2 of the SUTP Project. There is no direct reference there to the Institute of Urban Transport (IUT) or any of the sub-components that form part of Component 1.

The review, therefore, referred back to the earlier Project Information Document (PID, May 2009), which is touchstone document that sets out monitoring and evaluation outcomes for Component 1. There are two project outcome indicators provided, but no interim indicators:

1. Cities increasingly express their interest in planning and implementing projects in conformity with the NUTP and a few of these demonstrate progress in doing so during the project period.
2. Cities/State Governments express an intention to adopt technical products (manuals and toolkits) issued by national government during the project period.

For Outcome indicator 1 a 'true expression of interest' does not equate to any sustained result, and for outcome indicator 2, if cities and states express an intention to adopt technical products this does not equate to an actual adoption of such products. The outcome indicators are therefore not SMART i.e. Specific, Measureable, Achievable, Relevant and Time-bound.

A Results Framework Table was also found in Annex A of GEF’s Request for CEO Endorsement Document with similar ‘end of project outcomes’, which are easy to measure. Expected outputs (i) to (iv) of the UNDP executed National Level Capacity Building Initiative are outlined in the Results Framework but we found no evidence that these are being tracked towards by project stakeholders. So, while there are two different sources of results framework matrices i.e. GEF CEO endorsement document and PID; but neither is used. Furthermore it is not clear which particular results framework should prevail at the time of project start, as the end-results in each are dissimilar.

With respect to Monitoring and Evaluation, the PID set out the expectation that ‘the PMU would specify how, where, and when baseline and time series data (for M&E) is to be collected, collated, analyzed and presented. However, there is no record of a strategy for monitoring and evaluation that accorded with this expectation. The PMU keeps a Running Register of work being undertaken and IUT maintains a log of projects completed, underway and planned but there is no tracking back to outcome indicators or output milestones which could be related to the project result indicators.

The Project Implementation Plan that provides activities and timescales for Component 1 of SUTP is included in the PID and provides the listing and sequencing of various tasks. However, this was neither made part of Project Document, nor otherwise referred to by the project stakeholders when the project began in April 2010. Reinforcing this finding, none of the stakeholders referred to any of those documents as project management tools. This is not surprising since there is no unique reference point beyond the output oriented Project Document against which it is possible to measure and report overall progress.

The project exit strategy mentioned in the PID is also inadequate and hardly developed. The PID does not mention a stage in the project or define outcomes after which UNDP should begin to disengage. There is no suggested stage in the cycle when stakeholders should begin the task of determining what happens to the project following the withdrawal of UNDP funding. In fact there is no information or details given in the section of the exit strategy in the UNDP Project document.

5.1.2 Project Assumptions and Risks

We found no further reference to risks associated with Part I of SUTP following the Offline Risk Log set out in Annex 2 of the Project Document. *The risk log therefore needs to be updated.* The risk that ‘Institutional and capacity development achieved under the project will not be sustained’ is very appropriately given centre stage. However, the efforts and resources required to achieve sustained institutionalization for IUT would suggest raising the probability beyond its current level. Since the impact would be critical for capacity building, the impact should likewise be raised from 4 to 5.

‘Maintaining a high level policy dialogue with MoUD’ is important but, as alluded to already, addressing the prerequisites to IUT performing the role envisaged for it, providing some kind of funding protection subject to achieving defined outcomes – the corpus mentioned in the Business Plan, and improving project monitoring methods so that results were recorded and shared with stakeholders, would all be more specific and measurable risk management strategies.

In this respect Countermeasure 2 in the Offline Risk Log, to train IUT staff and *gradually let them take the full responsibility for managing implementation of national activities*’ should have been broken down further to address issues such as the level of freedom accorded to IUT, the level of authority delegated to IUT, to certify training programs in the longer term for example, and the level of budget autonomy needed to function effectively.

Reviewer’s discussion with PMU revealed that it refers to the risk mitigation measures provided in the ProDoc, however no evidence was found of the PMU following up on the identified risks during the course of the project, either by updating or referring to the risk mitigation strategies implicitly or explicitly in discussions with us. In addition, at project inception further risks could have been identified if the project outcome indicators targeting IUT’s ultimate objective of working with cities had been considered. In the future, risks associated with city and state co-operation with the capacity building program could be drawn out, analysed and responses prepared with responsibilities assigned to named individuals.

The Project Document assumes that the Business As Usual (BAU) condition in the absence of GEF financing for the SUTP would be ‘a range of multi-city projects intended to advance the NUTP’ only without a focus on GHG emissions. This BAU ignores the experience of cities with JnNURM funding for urban transport that have spent a large part of their grant on road expansion schemes. Large-scale construction projects such as flyovers ultimately leading to much higher levels of GHG emissions are a more likely outcome than the risk that cities will adopt technological solutions to reduce vehicular pollution without a GHG reduction focus.

Another baseline assumption is that best practices will not be disseminated in the absence of the project. According to the Project Document this will lead local officials and technical specialists vulnerable to repeat mistakes that could generate CO2 emissions. However, even with best practices disseminated, knowledge does not beget action; more deep-rooted factors such as institutional fragmentation are likely to lead to road schemes remaining as a short-term solution to growing urban transport problems. It will take time to address these, more time than the SUTP project period to 2014.

The final baseline assumption sees Bus Rapid Transport (BRT) implemented in Indore, Pune and Pimpri and puts GEF funding to work to help ‘BRT operations obtain time and reliability competitiveness with private cars and two wheelers’. The expectation that BRT can affect modal shift from cars and motorbikes to buses in isolation is unrealistic.

There is as yet no data to confirm such an outcome. GHG emission reductions are likely, however, when supply side measures like BRT are complemented with demand side measures such as parking control and congestion charging.

5.1.3 Lessons from other relevant projects

The review process provided no reference to other relevant projects either in India or overseas in the project design documents. However, that there was scope to have carried out this work is evident in the IUT Business Plan, written in 2011, which draws heavily on national and global examples of successful long-term transport planning facilitator roles envisaged for the Institute. With additional financial support from GOI these examples could form the basis for strengthening the role of IUT including considering the granting of delegated powers and responsibilities that form a part of that role, such as certifying training pedagogy, or mandating rules for city data formats.

5.1.4 Planned Stakeholder Participation

Stakeholders are individuals, groups or institutions with an interest in the project. The success of any project depends on how to understand, anticipate and manage the influence that different stakeholders have on the work programme. This will involve formulating a strategy that grasps opportunities to secure effective and timely project support whilst addressing obstacles to successful implementation. Projects can become delayed and dysfunctional if a thorough stakeholder analysis is not conducted prior to inception and used to guide project activities during implementation.

The mid-term review found absence of a map showing stakeholder powers and relationships that was constructed at any point in the project. The Project Document contains a section on ‘Stakeholder Analysis’ but does not identify the beneficiaries, losers or intermediaries to the project, only an aim to ‘seek to develop partnerships with other key players. It will need to engage counterparts at national and sub national levels, particularly in cities.’

There are many examples of stakeholder analysis methodologies that can improve project performance. One particular example is provided by the World Health Organisation. At the outset a table can be constructed in the following manner:

Stakeholder	Interests in the Project	Power and Influence	Assessment of Impact	Potential Strategies for Obtaining Support or Reducing Obstacles
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The first column lists all stakeholders. The second column will typically look at issues like:

- The benefits accruing to the stakeholder as a result of the project
- The changes that the project might force the stakeholder to make

- Project activities that might cause damage or harm the welfare of the stakeholder

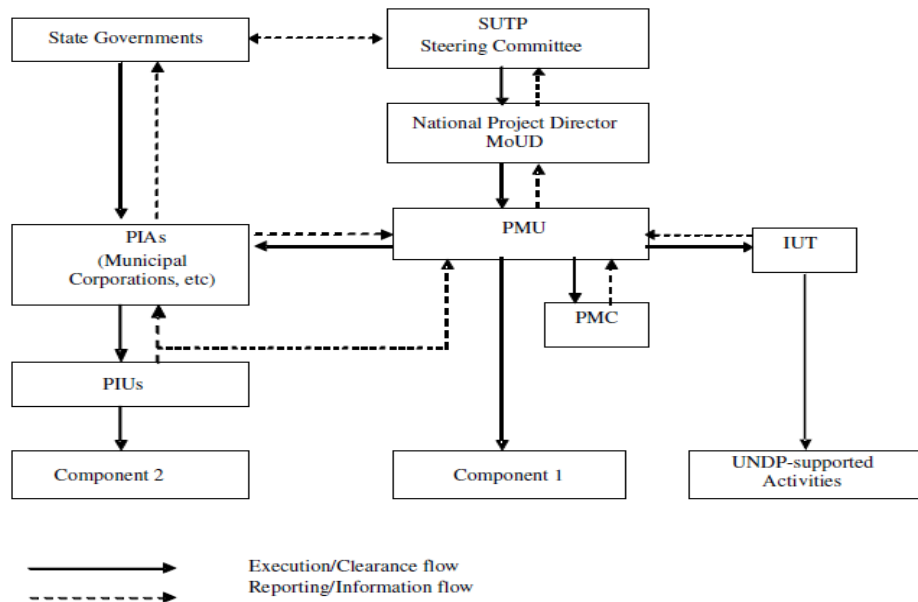
The third column will assess the level of power and influence each stakeholder has over different components of the project. The fourth column questions how important are stakeholders interests to the success of the project and records the following:

- The role the key stakeholder must play to make the project successful and the likelihood that the stakeholder will play this role.
- The likelihood and impact of a stakeholder’s negative response to the project.

The final column will list strategies to reduce opposition and increase stakeholder support, including information they will need, at what time and the names of other groups, individuals or institutions that could influence that stakeholder. Such a systematic analysis would, in particular help IUT to understand and address the role of the MoUD in the Part I of national level capacity building initiatives, but it would also assist in improving the synergies between the UNDP and World Bank components of the project

Moving beyond communication strategies to consider how the project is structured, the first objective, that of strengthening IUT, the chart below shows IUT detached from other project stakeholders.

Figure 1: Overall Implementation Arrangements for SUTP
 (Note: the diagram also includes the parallel activities to be supported by UNDP)



As IUT’s capacity grows and it emerges into a multifunction organization, IUT will have a number of tasks, which involve considerable levels of interaction with cities and states. Amongst other requirements for interaction, these tasks include data collection, knowledge gathering more broadly, an understanding of transport planning needed to

inform the development of manuals and toolkits, and finally under component 4 of the SUTP, how to build awareness and promote the benefits of SUTP at the city and state level.

However, as the structure chart in Figure 1 shows, the two components of the GEF grant routed through WB and UNDP were designed to work independently of each other. The institutional coordination and support described in the GEF CEO Endorsement document did not state a need or define a mechanism for coordination between WB and UNDP. Therefore there is no mention of coordination between the two agencies either in the PID, or PAD or in the GEF CEO's endorsement documents. As such the only possible route for co-ordination shown in the structure chart above is through the PMU. Since the WB is not invited to Standing Committee meetings there is presently no forum in which management and operational level issues pertaining to both the WB and UNDP SUTP components can be shared. An appropriate forum for WB and UNDP to interact would be Project Standing Committee meeting which is chaired by the NPD.

Another place where stakeholder mapping can help is in identifying audiences to approach regarding workshops and training. Targeted communication between IUT and prospective trainees could have been planned early on with the dissemination component 1.4 to prepare audiences with information about training opportunities well in advance of training workshops and gain feedback on barriers and drivers to participation. IUT has been reduced to fire-fighting and relying upon issuing letters to District Commissioners to encourage workshop participation backed up by a circular from the MoUD. This is a formal and time-consuming process that could be helped with a stakeholder analysis conducted at the city level. In order for it to happen IUT should establish a presence in cities and states.

The Project Management Consultant, a transport planner working on the WB project, instead manages component 1.4 through the PMU. Steps are being taken to improve opportunities for interaction amongst trainees in the WB Leaders Program and also for trainees and trainers of Component 1A, state/city officials, academicians, which is to be welcomed, although this is not yet complete. A quarterly newsletter with long articles that might be considered quite dry even for an academic audience is the main output so far but there is a feeling that this is published as a requirement rather than as a tool to stimulate discussion and debate.

The task of dissemination could be undertaken by a dedicated communications professional whose skills could also be put to use in marketing capacity building opportunities being developed by IUT. The communication methodology, contents and presentation of newsletter could be further refined to generate more interest across a wide cross section of stakeholders, since *transport* affects everyone in the society. Setting of clear objectives for the dissemination program together with shared outcomes and activities for the WB and UNDP project components as part of the log frame could strengthen effectiveness in this area.

Component 1.3a required a Needs Assessment to be conducted to Identify Manuals and Toolkits but here city and state level stakeholder involvement was curtailed to participation in a workshop before the process of manual and toolkit development commenced. The result has been felt down the line with issues raised regarding the appropriateness of material for target audiences and usability of that material.

In this respect course participants suggested that workshops could start from their knowledge and experience as part of the training methodology. Workshops needed to explore problem-solving techniques that would be relevant to their work. One particular example given was contract specification templates for city officials; another was signposts to practitioners and experts who had experience of implementing sustainable transport measures and could therefore offer handholding support beyond individual workshops. There was also a suggestion that the training workshop should only be the start of a learning process. Course participants could have a series of online assignments to complete before convening again to complete their training. The insights of course participants combined suggest that IUT should concentrate more on training strategy and pedagogy and less on physically delivering training programmes, a function that could be carried out by institutions already in the field such as EMBARQ and ITDP. In a similar vein IUT could be investigating ways to improve the capabilities of existing consultancy organisations and advisors to cities and states.

As the training continues and toolkits are exposed to participants it would be important to ensure that the views of workshop participants are documented and conveyed to a toolkit feedback repository so they can be built into a 2nd Edition when the updating process starts.

5.1.5 Replication Approach

A replication approach could have been applied to manage the design of manuals and toolkits to reduce the amount of time needed to review and amend draft prototypes. By developing and piloting a smaller number first, it would have been possible to create a uniform style for subsequent manuals to follow whilst recording and ironing out any issues encountered during the testing phase. However, a replication approach was neither suggested in the PID or in the Project Document.

One aim of the project is to develop regional centres for IUT. To this end six institute partners have been identified to replicate IUT's work at the city level. Given IUT's role as a facilitator for city and state level urban transport interventions, this is an important project component. IUT should look to support these institutions with advice and support on transport planning training methodology and work through them to strengthen relationships with city and state decision makers. If monitoring and evaluation methods are strengthened, much of the learning gathered through WB engagement with demonstration cities could be documented and used to inform the development of regional IUTs. IUT's knowledge sharing exercise could also incorporate

findings from the WB component therefore – experiences from the demonstration cities to avoid re-inventing the wheel. Likewise measuring the quality of training output and follow up monitoring improves the relevance, targeting and implementation of training.

5.1.6 UNDP Comparative Advantage

A central aim of UNDP's programme is to strengthen local governance and build institutions in India to reduce the social and economic impacts of environmental change, especially on marginalized sectors of the population. To that end its Country Programme Action Plan has a well-defined output objective of "Supporting national development objectives with co-benefits of mitigating climate change. UNDP is therefore well equipped to work on National Capacity Development component aimed at building IUT's capacity and offers unique support to the SUTP as a GEF implementing agency in India. UNDP is better able to channel support to projects like the SUTP that can use additional measures to generate higher levels of GHG emissions reductions than would have occurred without the project.

The WB, on the other hand is tasked with disseminating technical transport planning skills to cities and states and financing urban transport projects that contribute towards reducing emissions. However, in order to fully exploit UNDP's comparative advantage it is essential that the National Capacity Development component remains focused on developing the strategic role of IUT as a transport planning capacity building facilitator. In the remaining project time this will mean prioritizing and embedding institutional strengthening mechanisms outlined in the IUT Business Plan such as establishing a role for IUT as a certification body, and as the central hub in India for transport data management.

5.1.7 Management Arrangements

WB is the lead GEF Agency in the SUTP overall with the UNDP playing a partnership role. The Project Document awards responsibility of assisting the GOI in the implementation of national capacity building activities to UNDP. The Bank, on the other hand, assists the GOI and selected cities and states in the implementation of tailored capacity development activities and demonstration projects.

Outline responsibilities clearly indicate a potential for added project value to UNDP if the tailored capacity development activities at city and state level, managed by the Bank can be coordinated effectively with national activities. As previously stated the management tool identified to conduct this co-ordination was the Project Board or Project Steering Committee which necessarily operates on a high strategic level reviewing workplans and providing quality assurance, performance improvement and learning.

The PMU manages the SUTP and is constituted by the MoUD on behalf of the GOI. Headed by a high level National Project Manager (NPM) and operating as an executive

agency of the MoUD under the guidance of the Project Steering Committee, the PMU's role is to provide technical assistance to the MoUD as well as cities and states in planning, preparation, procurement, fund management and reporting. A Project Management Consultant, Mott McDonald assists the NPM in transport planning, procurement, institutional and training and skills development. Overall, there has been a low fund utilization rate in the order of 29% of the total budget being exhausted after three years. In addition to this greater effort could have been made to ensure that GOI's financial contribution was stronger than \$667,395 or 9.4% of total budget expenditure.

The PMU is therefore the appropriate body to facilitate and manage a mechanism to coordinate both the WB and UNDP project components. The Project Document and the PID, however, did not provide detail on the management arrangements for the required level, that of planning the implementation of the project on a dynamic basis. In addition to the M&E framework that the PMU was tasked with creating at the start of the project, the creation of a Standing Committee that could perform this role was left to be developed at a later date.

At project design therefore there was a gap in how the WB and UNDP components would interact and feed each other with support and information. This deficiency needs to be removed going forward in the project. As the substantive work on tool kits and manual preparation is completed, IUT needs to start a dialogue with state governments and cities by following up on MoUD's letter to all state secretaries and obtain introductory meetings. The meetings should illustrate how IUT can benefit city administrations by helping them to address urban transport problems that are increasingly becoming a roadblock to economic development.

5.2 Project Implementation

5.2.1 Adaptive Management

The lack of an LFA and a lack of clarity over the baseline project condition or an awareness of shared milestones makes it difficult to be sure that we have picked up all examples of adaptive management performed during the project. However, the evaluation exercise found the following worthy of note.

The most important failure so far to adapt to emerging issues has been the consistently high level of underspend in the project and a disproportionately low financial contribution by the GOI to the project. If adaptive management were being practised, this would have been picked up upon earlier and a plan put in place to address it.

Under Component 1 the initial idea had been that consultants would implement the agreed Business Plan. In the event, although Deloitte drafted the Business Plan, IUT has taken over responsibility for implementing Business Plan priorities themselves. Our discussions with the IUT team indicated a willingness to implement measures

identified in the Business Plan barring support for arbitration services. However, IUT will need to recruit staff of a sufficiently senior level with suitable project management experience to develop action plans to implement these activities. Some activities, such as the suggestion that IUT take up a certification function will require a carefully calibrated strategy and plan with an upfront investment in terms of time and expertise. Furthermore, the role would require official sanctioning by the MoUD. In turn the MoUD needs to be convinced that IUT has the capability to deliver this function. That confidence can only come if IUT is resourced with staff able to inspire confidence and influence officials at a high level. Releasing more project funds for project managers on condition that IUT delivered on key Business Plan priorities could help move the project forward.

In the absence of staff at the senior level, IUT have concentrated their efforts in delivering on the outputs specified in the Project Document, notably developing the Knowledge Management Centre (KMC), and developing manuals and toolkits. It is now time to take on the necessary human resources to widen the scope of activities as set out in the Business Plan.

In setting up a KMC the Project Standing Committee has practiced adaptive management in altering its original intention to house a physical IT data server at its premises in Anand Vihar. UNDP identified opportunities afforded by new technology to help IUT draw on a cloud computing mode whereby data and information is housed in a remote server that is more cost effective and can be upgraded more economically by a third party which is in core business of offering solutions around information technology. This greatly helps IUT in staying focused on its core functional areas and on data collection and analysis without being distracted by frequent deliberations on the technology for hosting and maintaining ever increasing datasets. Further, the UNDP/GEF resources saved by adopting this approach can be directed towards increasing the staffing requirements of IUT to start work at states.

5.2.2 Partnership Arrangements

The review found that partnerships were strong in the project between UNDP and the MoUD. The National Project Director at MoUD is highly committed to the success of SUTP and is encouraged by the progress made by IUT so far. This is reflected in the partnership structure where the Secretary of the MoUD chairs the Project Steering Committee. Likewise the Project Management Unit for SUTP is constituted by the MoUD and augmented by the Project Management Consultant, a role performed by Mott McDonald. The National Project Director who links both committees chairs standing committee meetings.

As alluded to, in the section on Project Design, the positioning of IUT as a separate component to the World Bank component has weakened possible opportunities for IUT to capitalize on knowledge and networks being developed at the city and state level. This gap has been further compounded by a weakness in establishing a project log

frame and monitoring framework (see below) against which all parties can track progress, identify and coordinate project outputs to maximize overall benefit. Interactions with the GEF Focal Point as well as UNDP officials in the regional office there was a clear view that the two components were mutually reinforcing and should therefore be much more strongly linked.

IUT is close to the MoUD, which has helped considerably in providing the Institute with certain tasks such as appraisal of Comprehensive Mobility Plans (CMP) developed by cities. However, many of these tasks were already being undertaken by IUT prior to the project. A careful reading of the Steering Committee minutes finds frequent requests on IUT's part to be given greater autonomy in determining its own budget expenditure and issues arising with procurement approval delays. Interviews held during the mission revealed that expenditures over INR 1 lakh (100,000) currently require sign off from the Ministry. This introduces a level of uncertainty and can inhibit the planning process, impacting on the efficient and effective running of the organisation.

This has been a long running issue as witnessed in the PIR/APR 2011. The 2011 GEF PIR/APR also picked up on staff shortages which were evident from the staff structure guide given to us by IUT, particularly in the middle/senior management tier where good project management skills are needed to build on the strategic planning capabilities of IUT. If not resolved immediately these issues will limit IUT performance and functioning and eventually erode its credibility.

Issues such as the desirable level of IUT autonomy, under what circumstances, to what extent, and how it could be managed were frequently brought up in discussions with stakeholders. For the partnership to endure there is an urgent need to scope out IUT's role as a facilitator, its mandate together with what powers and duties are required to meet it, the level of IUT's financial, management and operational autonomy and a road map for the organization to partner MoUD effectively in the longer term.

5.2.3 Monitoring and Evaluation: Design at Entry and Implementation

The Project Document charged the SUTP inception workshop with the task of reviewing and agreeing on the indicators, targets and means of verification for Monitoring & Evaluation as set out in the Results Framework. An additional task was to provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements and agree and schedule the M&E workplan. The report of the GEF-World Bank-UNDP SUTP launch workshop, however, was a brief of two pages and did not refer to any of the above. As such, any M&E framework that would have evolved from the CEO Endorsement Results Framework does not appear to have been created. The drafting of a plan to develop M&E framework was left to the inception workshop to complete, however this was not done. This is despite the CEO endorsement document earmarking \$200,000 for development and operation of M&E at the national level.

The Project Results Framework set out the following Indicators but the evaluators did not find any evidence of methodology developed or created at the time of Inception

Workshop to work out how they would be measured, or efforts made to break down the outcome indicators into output milestones. In short, the outcome indicators were not linked to outputs in the Project Document.

Outcome Indicator
1. IUT, which provides technical assistance to MoUD and states/cities in implementing the National Urban Transport Policy and is able to satisfactorily organize national level knowledge events (conferences/workshops) at least 4 times a year without any financial support from MoUD by project end
2. IUT provides training programs to project cities and at least 5 non-project cities
3. IUT's knowledge management database is operational and under sustained commercial operation by project end.

The responsibility for expanding these outcome indicators rested with the SUTP PMU but a lack of progress in this regard is evidenced in an update report was provided by the PMU for February 2013 which listed out the status of Manuals and Toolkits and their expected submission dates.

Given a lack of M&E beyond that already reported being conducted at the PMU, the only document that references the Results Framework document is the PIR/APR 2012 which reports progress to 30th June 2012. Here the output indicators are in need of updating since the delivery of an IUT Business Plan was complete by the end of 2011 and yet it remains a measurable indicator in the PIR/APR 2012.

The table below tracks progress we have found against that document.

Progress at 30th June 2012	Progress by Mid Term Review
3 manuals drafted for review	10 manuals now complete and undergoing validation (8 out of 10 'validated')
0 toolkits submitted but 10 allocated to 4 Centres of Excellence	10 toolkits drafted with four day validation workshop scheduled for March 2013
6 Quarterly SUTP Newsletters	10 Quarterly SUTP Newsletters
1 Conference, 1 workshop and 5 training sessions	1 Conference, 1 Dissemination workshop&1 annual meet under Component 1.4,30 validator workshop under component 1.2 &1.3

Whilst there is a validation process in motion regarding manuals and toolkits, the lack of an M&E strategy manifests itself in IUT being under significant resource pressure to conduct a rapid and extensive testing, validation and reviewing exercise for a total of 20 manuals and toolkits. At the outset an M&E Framework is likely to have focused minds on the need for an efficiently staged process to validate a smaller number of manuals

and toolkits along the lines suggested earlier in this review. In the event testing 10 toolkits and 10 manuals at the same time has drawn resources away from ensuring effectively organized sessions and made the process of review more difficult. Other purposes of manuals, for example helping to set standards is not yet being considered and no plan currently exists to monitor and evaluate how manuals and toolkits are used once disseminated.

There is no risk mitigation measure to address the possibility that some manuals may not meet the required standard and this could be an important oversight if training sessions are already based on a substandard output. An M&E framework at project starting might have relieved some of the pressure on IUT in this respect and incorporated a system for measuring use of manuals and toolkits out in the field together with a review framework to act on operational findings.

5.2.4 UNDP and Implementing Partner Implementation / execution / coordination and operational issues

UNDP has intervened at crucial parts of the project to assist the Part I, national level capacity building activities. This indicates a high level of knowledge and support to the project UNDP officials supported the Project Standing Committee by encouraging IUT to practice adaptive management in deciding to host the KMC server remotely. IUT also gained support through UNDP's knowledge of sustainable transport manual developers, recommending that a time and resource consuming tendering process be re-considered by the Project Steering Committee in favour of utilizing the services of GIZ. UNDP's tendering capabilities have been put to use in the project. There are examples of UNDP officials seeking active intelligence on the development of training resources and, through sitting in on training workshop validation sessions, keeping track of current issues the project needed to address.

UNDP is also aware of key issues that need to be addressed in the coming months, the sustainable foundations of IUT including putting in place a plan with the GOI for some kind of IUT institutionalization. UNDP is also aware, in a broad sense, of the risk of IUT's ability to sustain itself once UNDP support comes to an end. As we have already highlighted in the Finance Section of this report, the high proportion of IUT funding currently provided by UNDP-GEF needs to be addressed as soon as possible and an exit strategy defined which will enable IUT to fulfill the role envisaged for it in the NUTP.

The reviewers found that UNDP is keeping annual reports up to date that comply with and GEF reporting requirements. However, at a more strategic level the absence of a robust reporting framework associated with the project has meant that none of the progress indicators in that document are reported against. A serious lack of management overview is indicated by the fact that project expenditure is significantly behind schedule. The average annual fund utilization i.e. funds spent versus budgeted, is only at 47% since the project began. In such a scenario there is a significant risk that remaining funds will be exhausted hastily and to the detriment of the project in order to

meet spending targets. The lack of a results focus and an implementation plan severely compounds this risk.

So in the absence of all these, UNDP's only focus was to ensure that major project outcomes such as strengthening IUT through the setting up of the KMC, training and skills development, and the production of toolkits and manuals made progress.

A lack of strategic management, a scenario in which everyone is very busy getting on with multiple tasks in hand but no one is taking a step back to pause and reflect, re-visit assumptions and alter plans if necessary. For instance, the target to train 1,000 trainers, developed at the start of the project, is surely eligible for re-assessment in light of progress made to date and difficulties encountered by IUT in obtaining participants. Even more importantly a re-assessment is needed of trainer remuneration rates. Furthermore, a well-defined plan including a calendar of training programs is urgently needed. The plan should be finalized well in advance in discussion with state governments so that adequate time and appropriate incentives are given to direct city government officials to attend the training.

5.2.5 Project Finance

The findings from review of project finances, which included an examination of GEF's fund allocation through UNDP's Annual Work Plan (AWP), are presented in the table below. The level of financial utilization is recorded in the Combined Delivery Report (CDR), which is included in the report as Annex C. Similar details were obtained from the PMU, which maintains a record of funds provided by GOI as a part of its cost share to the project. However, there is no single document similar to the AWP, which provides GOI's annual budgetary allocation for the project and a report on the funds disbursement.

The table below provides the summary of Project Finance as of 31st December 2012.

Co-financing (type/source)	GEF Financing US\$		Government US\$		Total Disbursement	
	Planned	Actual	Planned	Actual	Planned	Actual
US						
Grants	2,447,900	1,155,467	2,661,147	102,083	5,109,047	1,257,550
In-kind	0	0	0	565,312 ⁷	0	565,312
Total	2,447,900	1,155,467	2,661,147	667,395	5,109,047	1,822,862

⁷ Towards the rental and office infrastructure for IUT

GEF grant utilized in the project over the last three years averages \$ 385,156 per year. The project expenditure is 47% of the amount budgeted as on 31st December 2012, and 29% of the overall budget of \$4,050,000. In contrast, excluding in-kind transfers, GOI's contribution to the project stands at \$ 667,395 against the total combined project budget of \$7.130 million or 1.4%.

While there is higher than average expenditure planned in 2013 for GEF grant, there will still be sufficient funds available in the project at the end of calendar year 2013 (\$2M) which cannot be spent effectively in 2014 alone. While the GOI's remaining 98.5% funds may last beyond the project end date, a plan is needed to decide how funds will be allocated in future to support IUT's functioning.

It is suggested that the UNDP India office holds a high-level dialogue with GOI's concerned ministries and the implementing partner to ensure GOI's commitment to the project. The aim of this dialogue is for the implementing partner to construct a clear plan to substantially increase its proportionate financial contribution to the project.

Notwithstanding the GOI fund utilization, based on the availability of GEF grant, it is recommended that the rate of project expenditure is increased and staff of sufficient caliber is recruited on condition that they plan and oversee implementation of national capacity building priorities set out in the IUT Business Plan. In discussion with IUT the Project Steering Committee needs to decide what these priorities are and facilitate their implementation by IUT.

An annual expenditure plan against various budget sub-components (table 4.1 of the PID) should be prepared jointly by IUT and PMU for the financial years 2013-14, 2014-15 and 2015-16 and presented at Project Standing Committee to decide fund allocation by GOI and UNDP-GEF. In the remaining project period the plan should ensure that the budget is directed towards strengthening the capacity of IUT. Budget spend should be especially directed towards building capability in the area of Knowledge Management. Staff should be trained to work on the analysis of raw data. To procure data efficiently, IUT will need to rapidly set up teams composed of at least two members who will be based in all the states where World Bank's SUTP work is in progress.

IUT's state teams will draw on the knowledge of WB colleagues and liaise with relevant government departments, with the aim of establishing effective, durable mechanisms to collect data. That data will be analysed and housed in IUT. An obvious use for that data would include assisting in reviewing and updating CMPs. In broader terms the data and information could help IUT to achieve the objective of providing advisory support to city governments to develop projects on urban transport which would qualify for funding under central government schemes such as JnNURM.

5.3 Project Results and Findings

Through the AWP and QRs UNDP has tracked IUT's output-based achievements towards meeting targets set out in the Pro Doc, most notably completing a Business Plan and beginning the process of developing a KMC. Although there has so far been little progress in building up a research programme due to disagreements over research priorities with MoUD, the IUT is setting up training capacity building activities through the development of courses, manuals and toolkits. Dissemination activities take place through the Urban Mobility India Conference that takes place once a year, through interaction with course trainees and the publication of a regular newsletter to the Institute's 1,000 strong membership. Additionally, dissemination activities of SUTP are being spearheaded by PMU which promotes the project and its activities by publishing quarterly newsletter and sending it to all the 65 JnNURM cities and other stakeholders, maintaining SUTP website. PMU organizes SUTP annual meet in November, where all stakeholders of SUTP are invited to share their experience. Annual Meet is organized with the aim of sharing the experience of one another among officials engaged in implementing the 'demonstration projects' in various cities and discussing the problems encountered during execution to arrive at consensus solutions.

Expected Output	Status at Mid Term Review
IUT provides training programmes to project cities and at least 5 non-project cities	Validation of training manuals and toolkits is underway
IUT's Knowledge Management Centre (KMC) is operational and under sustained commercial operation	An RFP has been drafted and consultants are being sought after to set up the KMC
10 published priority sustainable urban transport technical manuals	10 have been drafted and are under scrutiny
Completed training of at least 1,000 local government officials and urban transport stakeholders	IUT is conducting a large number of sessions throughout India to sensitize city and state officials to emerging transport issues.

In the absence of the Log Frame, M&E Strategy and Stakeholder Analysis documents, however, there was not a definitive set of expected results that key stakeholders were referring to as a unifying theme. Located in various places in the Project Implementation Document, World Bank's Project Appraisal Document and also the GEF CEO Approval document of October 22, 2009 the results framework was not then incorporated in the Project Document after inception. Beyond a set of discrete objective-led outputs set out in the Project Document it is not possible for stakeholders to know if they are heading towards various outcomes set for the project.

In the absence of this information the table below makes a more subjective assessment of project progress against all five evaluation themes; relevance, efficiency, effectiveness, sustainability and impact. The most important findings that have an impact on project performance are:

- An underspend on the part of GOI to so far spend its committed financial contribution to the project

Against GOI's fund commitment of US \$7,130,000 its contribution to this particular component of SUTP project stands at \$ 667,395 against the total budget of \$7.13 million. While, GOI's contribution to the project is expected to increase in 2013 onwards, the reviewers conclude that contribution of GOI in sustainability of IUT is necessary.

- High levels of intervention by the MoUD on IUT management decisions and support from UNDP

Trainer remuneration rates are capped below market levels, research priorities are blocked, IUT may have to subject itself to competitive tendering, small expenditures require MoUD approval, UNDP is filling a strategic gap in IUT

- An insufficient number of staff at senior management levels at IUT to develop strategic planning capabilities of the organization
- No properly defined exit strategy for UNDP involvement in the project

The exit strategy in the PID left responsibility for creating a viable future for IUT to the Business Plan. However, IUT have not yet pursued suggested lines of work due to a focus on delivering outputs set out in the Project Document
- An absence of the means to exploit synergies between UNDP and World Bank project components.

The rating of the project is summarized in the table below. The table in the following pages provides details description in the results column in support of the rating.

Overall Evaluation Ratings: Moderately Satisfactory			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	Rating
M&E design at entry	Satisfactory	Quality of UNDP Implementation	Moderately Satisfactory
M&E Plan Implementation	Highly Unsatisfactory	Quality of Execution - Executing Agency	Moderately Unsatisfactory
Overall quality of M&E	Unsatisfactory	Overall quality of Implementation / Execution	Moderately Unsatisfactory

3. Assessment of Outcomes	rating	4. Sustainability	Rating
Relevance	Satisfactory	Financial resources:	Moderately Unlikely
Effectiveness	Moderately Satisfactory	Institutional framework and governance:	Moderately Unlikely
Efficiency	Moderately Satisfactory	Environmental :	Not Applicable
Overall Project Outcome Rating	Moderately Satisfactory	Overall likelihood of sustainability:	Unlikely

The Project outcomes were rated based on the following scale:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives;
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives;
- *Moderately Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives;
- *Moderately Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives;
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives;
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

In addition, this Evaluation also provides an assessment (wherever appropriate) on Project impacts, positive or negative, and possible long-term effects of the outcomes or outputs.

Evaluation Criteria	Questions	Results	Sources
Relevance: How does the project relate to the main objective of the GEF focal area and the development priorities at the local, regional and national levels?			
<p>Is the project relevant to national priorities and commitment under international conventions?</p> <p>Yes. The project responds to national priorities and also building capacity to reduce emissions from transport sector.</p> <p>Rating: Relevant (R)</p>	<p>Is the project country driven?</p> <p><u>Yes. Ministry of Urban Development is the implementing partner and is actively involved in all aspects of the project.</u></p>	<p>Yes, highly targeted on national priorities</p> <ul style="list-style-type: none"> The National Urban Transport Policy (2006) has raised awareness of India's rapid urbanization and created demand to address the issue of urban mobility Increasing rates of private vehicle usage is acknowledged nationwide to be contributing to unsustainable levels of pollution, congestion, road collisions, and other externalities like ill health, obesity and climate change. The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) has provided significant funding for urban transport in 69 cities across India. The lack of capacity to build new institutional structures and integrate transport plans at city and state levels has led the Gol to call for strengthening IUT and developing a nationwide training program (11th Five Year Plan) 	<ul style="list-style-type: none"> National Urban Transport Policy 2006 Working Group on Urban Transport for 12th Five Year Plan
	<p>How far does the project acknowledge the prevailing conditions, including barriers, for the advancement of sustainable transport?</p> <p><u>Yes, the project stakeholders are fully aware of the barriers and challenges present in the sector among them, knowledge gap and capacity being the foremost. These are being addressed by IUT.</u></p>	<p>Good on 'conditions' and conceptually sound on 'barriers' but weaker on practically tackling barriers</p> <ul style="list-style-type: none"> Project Document, PID and WB PAD highlight rapid urbanization, unplanned sprawling development favoring private transport, a move away from NMT, increasingly dangerous and polluted streets disproportionately affecting the poor, rising levels of GHG emissions and weak, fragmented, overlapping agencies with responsibility for transport. Acknowledges efforts at centre, state and city levels to tackle these issues and the increasing need for sensitised decision makers and more highly skilled policymakers and practitioners to use these powers to foster sustainable urban transport practices. At implementation level, attempts to address barriers to involvement in training are weaker, and requires strategic thinking from MoUD. Dissemination strategy could be more developed, interactive and refined (on small budget and performed by a communications expert than by a transport planner's). 	<ul style="list-style-type: none"> WB PAD, Pro Doc, UNDP-GEF PID Pro Doc, UNDP-GEF PID Interview with Ms Aditi Singh, Mott McDonald
	<p>How effective is the project in supporting and facilitating transport</p>	<p>Behind schedule on some tasks and expected expenditures due to a lack of clear focus on outputs and absence of an outcome-based logical framework</p> <ul style="list-style-type: none"> IUT has taken on more staff, although not at the strategic planning level, enabling more 	<ul style="list-style-type: none"> IUT Staff Chart Letters provided

	<p>industry in moving towards a low carbon pathway through sustainable practices?</p> <p><u>More time and concerted efforts will be needed before results begin to show.</u></p>	<p>transport planning advice and support for the MoUD..</p> <ul style="list-style-type: none"> Two states have so far responded to offers of sustainable urban transport planning support from IUT and discussions had started Issues with recruiting trainers in sufficient numbers and of sufficient caliber could weaken the project WB and UNDP projects not operating in a co-ordinated manner so possible synergies are not being exploited 	<ul style="list-style-type: none"> Interviews and int'l consultant Interviews, PMU progress report
	<p>What was the level of stakeholder participation in project design and ownership in project implementation?</p> <p><u>GoI participation in project design and ownership is strong. The NPD has been a consistent project supporter.</u></p>	<ul style="list-style-type: none"> No log frame, stakeholder strategy, analysis and map at the outset so the project did not relate individual stakeholders to interests, powers, responsibilities for achieving outcomes Project stakeholder communication opportunities are starting to grow in the WB component of the project with interactive web based facilities but is as yet non-existent in the UNDP funded capacity building component. At IUT no one is dedicated to be a communications catalyst at IUT (blogger, press officer, interlocutor). 	<ul style="list-style-type: none"> UNDP Staff UNDP, Interviews Interviews, website reviews
Is the project internally coherent in its design?	<p>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 etc.)?</p> <p><u>No log frame available so project's logical sequencing is predominantly output focused</u></p>	<ul style="list-style-type: none"> Logical linkages are not being exploited because the project monitoring and evaluation matrix and project implementation plan (PIP) were not prepared at the start of project in April 2010. The results framework in the PID (and GEF CEO Approval document) was not included in the UNDP project document and a Logical Framework Document was not prepared. There is thus no mechanism to trace and report the project progress objectively for effective program management and to allow adequate planning and resource allocation. A resulting output focus has led to a rush to deliver large number of manuals, with cursory relation to ground realities faced by city officials 	<ul style="list-style-type: none"> AWP, QRs IUT Progress Reports Interviews
Is the project internally coherent in its design?	<p>What coordination and linkage is there with The World Bank lead component?</p> <p><u>World Bank component and IUT component work</u></p>	<ul style="list-style-type: none"> No WB and UNDP seats at the Project Standing Committee where project management decisions are made. No involvement of IUT in WB cities, for example, manuals and toolkits could be rigorously piloted and monitored there where progress is being made before being developed further and rolled out. Some training also being conducted by Centres of Excellence under WB project. To 	<ul style="list-style-type: none"> Interview, Standing Committee Minutes Interview Interview

	<p><u>co-ordination is non-existent at working level.</u></p> <p>Is the length of the project (project timeline) sufficient to achieve project outcomes?</p> <p><u>Since the project is unprecedented in building the capacity at the national level, more time is needed for it to achieve the results.</u></p>	<p>our knowledge there is no shared learning emerging from WB and UNDP components between CoE and IUT.</p> <ul style="list-style-type: none"> • One relevant outcome from the WB PAD Results Framework, seeing states develop an urban transport planning process in six states cannot be attributed to UNDP-GEF component since co-ordination with WB has been weak and WB component is more likely to deliver this outcome. • Overall, there are concerns that IUT remains vulnerable in pursuit of its objective to become a national capacity building organisation beyond UNDP-GEF funding • A strong focus on outputs, driven by Annual Work Plans and Quarterly Reports operating without clear links to outcomes, is directing excessive resource to targets like training 1,000 trainees or completing 20 manuals. This is reducing opportunities to pursue other potentially fruitful aspects of IUT’s business plan, strengthening networks with states and cities, delivering on the KMC, working with the World Bank, setting up a research framework, putting in place arrangements for certifying responsibilities delegated by MoUD. • IUT’s strategic facilitation functions (setting up a KMC, setting up data formats, developing training certification systems, etc) are being subordinated to the pursuit of arbitrary targets 	<ul style="list-style-type: none"> • CEO Endorsement Document • CEO Endorsement Doc, WB PAD • UNDP <p>UNDP-GEF PID</p>
	<p>Has the project achieved project outputs vis-à-vis the targets and related delivery of inputs</p> <p><u>The project is much output driven.</u></p>	<ul style="list-style-type: none"> • The project is delivering outputs identified in the Pro Doc such as the business plan, delivery of training and skills programmes, manuals and toolkits, and development of Knowledge Management Center. Outputs in the Annual Work Plan are therefore likely to be complete by project end. • Another of IUT’s targets to provide training programs in project cities and at least five other cities. Better co-ordination with WB would help IUT to engage with city officials. IUT is facing difficulties obtaining sufficient participation from cities to attend the training. • There are risks around training the trainers due to sub-market remuneration levels. If the issue is not addressed this will have negative effect on the number and quality of likely trainees. 	<p>Business Plan</p> <p>Project Document</p> <p>QPRs</p> <p>UNDP AWP</p> <p>Interviews</p>
<p>Does the project provide relevant lessons and experiences for other similar projects</p>	<p>Is the project providing relevant lessons for other future projects targeted at similar objectives?</p> <p><u>Systems are not available to provide opportunities for reflection on what has worked and what hasn’t enabling lessons to be learned fed back into the</u></p>	<p>Opportunities to create structural opportunities for lesson sharing are not currently being grasped (in this case holding Standing Committee meetings with WB and UNDP component executors together)</p> <ul style="list-style-type: none"> • In the case of IUT, providing public goods in the field of urban transport (universal data collection, analysis, storage; standards formulation for training, etc) it is important to understand first the type of support needed from Gol and decide agreed conditions (duties, responsibilities, powers) under which a national asset like IUT can provide these public goods effectively and efficiently. • Due to deficiencies in setting up the project monitoring and evaluation framework UNDP- 	<p>Standing Committee Minutes</p> <p>GEF APR</p> <p>UNDP AWP</p> <p>QRs</p>

	<p><u>project management, and communicated back to GEF through UNDP and WB.</u></p>	<p>GEF, the PMU and IUT are not documenting learning emerging from implementing the project beyond which outputs are being achieved and at what time.</p>	
<p>Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved?</p>			
<p>Has the project been effective in achieving the expected outcomes and objectives? Yes. Rating: Moderately Satisfactory (MS).</p>	<p>Whether the performance measurement indicators and targets used in the project monitoring system are accomplished and able to achieve project outcomes by December 2014? <u>There are no performance indicators, results framework and monitoring and evaluation matrix to measure the project's performance. There are no objectives stated in the ProDoc that links to achieving the end results.</u></p>	<ul style="list-style-type: none"> • The performance measurement indicators set up in the WB PAD refer to the organization by IUT of national level knowledge events which IUT's experience of Urban Mobility India should enable it to deliver. • However, this outcome indicator framed for knowledge events needs to be re-visited to take account of IUT's new objectives. • The other outcome indicator, for at least six different cities and states developing an urban transport planning process, is mainly attributable to the WB component at this time since IUT is not yet working strategically with cities and states to assist them in developing an holistic urban transport planning process. • A focus on training 1,000 city and state transport officials' as set out in the Pro Doc is likely to be achievable by 2014. However, there are issues regarding how this training fits into an overall national capacity building strategy. • Also the ambitious scale of this training exercise is distracting IUT from working with the MoUD, and UNDP to plan out its long term future in relation to the Business Plan where it is envisaged to have a much greater role in strategic planning, advising on where capacity is missing, the framework necessary to strengthen it • The output focus of the project, driven by the Annual Work Plan is taking focus away from concentrating on longer term sustainability (see section below) 	<p>WB PAD PID Pro Doc Business Plan AWP</p>
<p>How is risk and risk mitigation being managed?</p>	<p>How well are risks, assumptions and impact drivers being managed? <u>More needs to be done to reduce project risk by building IUT's capacity to start offering its professional advisory services, support full functioning of Knowledge Management Center besides training. SUTP</u></p>	<ul style="list-style-type: none"> • Risk log combined maintaining a high level policy dialogue with MoUD with the aim of gradually letting IUT staff 'take the full responsibility for managing implementation of national activities'. There is no evidence that such a strategy is being adopted in discussions with MoUD. • A corpus fund has likewise not been created which has been called for as a means of providing IUT with better financial stability, enabling it to plan for beyond the project. The project is output driven as a consequence of the lack of an outcome-based log frame and an outdated results monitoring framework, the project is not consciously identifying risk mitigation priorities. For example, IUT works towards developing 20 manuals and toolkits in one go but there is little evidence of risk management being deployed here. • Overall the lack of clear risk mitigation strategy implementation and regular update is negatively affecting the long term sustainability of the project. Important risk mitigation strategies such as needing to 'train staff at IUT to gradually take full responsibility for 	<p>Pro Doc Steering Committee Minutes Pro Doc</p>

	<p><u>should capitalize on demand generated in WB cities for IUT capacity building and working towards strengthening IUT to begin advisory function with cities.</u></p>	<p>managing implementation of national activities' are neither being managed nor being strengthened. For example, this mitigation strategy could be elaborated further. Staff with sufficient seniority and experience are needed to scope out IUT's future role with reference to the Business Plan, whilst establishing IUT's functional autonomy with respect to the Gol</p>	
<p>What lessons can be drawn regarding effectiveness for other similar projects in the future?</p>	<p>What lessons have been learned from the project regarding</p> <p>What changes could have been made (if any) to the project design in order to improve the achievement of the project's expected results?</p>	<ul style="list-style-type: none"> • A more careful mapping of stakeholder groups, motivations and powers at the outset would have helped correlate IUT's aspired role with the delivery barriers, risks and a strategy to engage, inform, influence and advocate. • Better M&E strategy with short, medium and long term objectives linked to activities, responsibilities and timescales. • A regularly updated risk log that had objectives, inputs, outputs, outcomes, impacts written down in one place. It has been difficult for project participants to 'step outside' the output requirements to see the bigger picture – the sustainable underpinning of IUT as a national knowledge management centre. 	<p>Pro Doc Interviews PID</p>
<p>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards, delivered results with the least costly resources possible?</p>			
<p>Was project support provided in an efficient way?</p> <p>Yes, in a limited way.</p> <p>Rating: Moderately Satisfactory (MS).</p>	<p>How do the project management systems, including progress reporting, administrative and financial monitoring and evaluation systems operate as effective management Tools? <u>UNDP's quarterly and annual reporting process has been adhered to and CPAP Annual Workplan 2012 sets out key deliverables for that year</u></p> <p>How do they aid effective implementation and</p>	<ul style="list-style-type: none"> • The Annual Work Plan and the Quarterly Reports focus on output delivery. However, at a lower level, breaking down outputs into activities with timelines and responsibilities apportioned to different staff, the PMU produces a running register and regular progress updates (we received only the latest copy). • This report and others handed to us by IUT were backward looking, listing completed workshops, modules and toolkits, not ones planned. • An example outcome of this unplanned approach was the deployment of all consultants and Centres of Excellence on all manuals and toolkits all at the same time. The task was not planned, but broken down into manageable time bound components. This listing of completed manuals and toolkits provides no reflection upon how the task might have been completed more effectively. • The higher level strategic outcome indicators are not being followed, beyond the formal reporting of UNDP-GEF in the PIR and are in some respects out of date in light of new project learning. • The Business Plan was developed early on yet many potential work-streams have not yet taken up to strengthen IUT not helped by a single focus on outputs associated with the UNDP Project Document, AWP's and QRs. 	<ul style="list-style-type: none"> • CPAP, QPRs • Running register (PMU), IUT Plan List • Interviews

	<p>provide sufficient evidence to evaluate performance and inform decision making? <u>The reports mentioned above nor those produced by IUT and PMU do not aid effective implementation as these are backward looking and do not present a plan for the coming month or quarter.</u></p>	<ul style="list-style-type: none"> • Lack of an evaluation framework has meant that outputs are not judged properly in relation to how they are helping to achieve outcomes and impacts. For instance, once module validation workshops are undertaken as part of the output requirement, no plan is in place to monitor and evaluate introduction of manuals and toolkits in the field. • IUT has stuck to meeting the training 1,000 trainees target and is not re-assessing the relevance of this given that more time is needed to train trainers than originally envisaged (3 weeks at least instead of 1) • Lack of an evaluation framework impacts on checking that activities relate to outcomes, for instance dissemination through SUTP newsletter is assumed to be effective but what is the impact/outcome of the newsletter? 	
	<p>Is the project practicing adaptive management? If so, how effective was the adaptive management practiced under the project and lessons learnt? Yes</p>	<ul style="list-style-type: none"> • Cases of adaptive management found were engaging GIZ in preparation of Manuals and changing plans for the IUT data management system to exist separately from IUT offices. This is likely to be effective in enabling IUT's remote server to be managed by experts taking advantage of economies and technological advancement that have happened since the time project was designed and has reached the implementation stage. UNDP avoided the costs of managing a bidding process for an international consultant to co-ordinate the development of training manuals by deploying their knowledge of an expert institution tried and tested in the field, GIZ. 	<p>Document review and interviews</p>
	<p>Were the project logical framework and work plans and any changes made to them used as management tools during implementation? <u>The ProDoc does not have a Logframe and no evidence was found of a logframe being referred to or used in the project.</u></p>	<ul style="list-style-type: none"> • In the absence of a log frame the project is excessively output driven. Objectives as set out in the Pro Doc are driving the project whether or not the targets set at that time remain appropriate under changed circumstances such as the completion of the Business Plan. • <u>This is an important finding as the logframe is a key management tool and helps in risk management, monitoring and evaluation, well defined resource allocation and the tracking of progress.</u> Overall the co-ordination or project management tool has been weak. The Project monitoring and evaluation matrix and project implementation plan (PIP) were not prepared at the start of project in April 2010. The results framework in PID (and GEF CEO approval document) was not included in the UNDP project document and, as far as we can see is now in need of updating. 	<p>Document review discussion with PMU staff, UNDP</p>
	<p>Utilization of resources (including human and financial) towards producing the outputs and</p>	<ul style="list-style-type: none"> • Scope of IUT's role in WB PAD Results Monitoring has widened compared to activities envisaged for IUT in Project Document • Rate of project expenditure has been behind schedule. The overall budget utilization rate over the last three years averages to \$ 385,156 per year. The project expenditure is 47% 	<p>Review of APW, CDR and financial information furnished by PMU</p>

	<p>adjustments made to the project strategies and scope.</p> <p><i>Refer Annex C</i></p>	<p>of the amount budgeted to date and 29% of the overall budget of \$4,050,000.</p> <ul style="list-style-type: none"> Adaptive management practiced with respect to the Knowledge Management Centre, and the hiring of an international consultant for the training manuals co-ordination. Suggested options for IUT identified in business plan not yet taken up due to focus on UNDP-GEF output deliverables 	
	<p>Details of co-funding provided and its impact on the activities</p> <p><i>Modest contribution made by GOI for office space for IUT.</i></p>	<ul style="list-style-type: none"> Since the start of the project up until the mid-term review, the project has received modest amount of co-funding.. However, GOI has made in-kind contribution to provide office space for IUT to function. IUT shifted to the new location in later part of 2012. Besides using the space to house the staff, IUT is also conducting trainings at this location. Space has been a major constraint for IUT even for hiring staff to carry out its increasing work. 	<p>AWP, CDRs & information furnished by PMU</p>
<p>How efficient are partnership arrangements for the project?</p>	<p>Appropriateness of the institutional arrangement and whether there was adequate commitment to the project?</p> <p><i>Yes, there is a strong technical support to the project by the project implementing agency MoUD</i></p>	<ul style="list-style-type: none"> Need for a facilitating body working at the national level like IUT universally acknowledged. However, IUT currently lacks necessary budgetary and management autonomy from government processes to function efficiently. IUT is heavily dependent on MoUD for day to day decision making. The focus on meeting output targets (e.g. chasing to train 1,000 trainers) has spread IUT's resources thinly and reduced available commitment to multiple workshops during the project Funding has been sourced heavily from UNDP, questioning the GoI's commitment to capacity building compared to the funding of capital expenditure on buses through JNNURM for example. 	<p>Interviews</p> <p>Audit Reports</p> <p>Financial Statements</p>
	<p>Is technical assistance and support received from project partners and stakeholders appropriate, adequate and timely?</p>	<ul style="list-style-type: none"> UNDP officials have provided IUT with technical assistance to procure the KMC through advising on the RFP and facilitating adaptive management. Further value has been added through advising on appropriate expert contributions from GIZ. There has been delay in producing final editions of manuals and toolkits due in part to the difficulties of managing such a large number (20) at one time from 4 different Centres of Excellence, each with their own style. As evidenced in some of the toolkit outcomes there seems to be a lack of clarity on what is required. There have been criticisms of the training approach which could have been picked up earlier on and acted upon to refine. Earlier involvement in training workshops from the international expert consultant might assist here. The PMC at PMU has focused on providing technical assistance to the WB project component 	<p>Interviews</p>

Sustainability: To what extent are there financial, institutional, social-economic and/or environmental risks to sustaining long-term project results?			
<p>Will the project be sustainable on its conclusion and stimulate replications</p> <p>No.</p> <p>Rating: Unlikely</p>	<p>How effective is the project in terms of strengthening local capacities in providing sustainable transport for cities in India?</p> <p><i>The project has not reached the stage of strengthening the local capacities. There are issues regarding IUT's status vis-à-vis MoUD and GOI's contribution to this component of SUTP that need to be addressed immediately.</i></p>	<ul style="list-style-type: none"> Overall the project has not yet reached a stage in either fully strengthening IUT's capacity, which in turn would work towards strengthening local capacities to provide sustainable transport for cities in India. The process of training module validation is still underway and findings from this may lead to further refinement. There is as yet no reliable assessment of how many trainers will be recruited out of the 100 target and question marks exist regarding their capability given the current low rate of remuneration offered and limited time given over to preparing their technical and 'soft skills' competencies These issues are not insurmountable but unless systemic gaps in project monitoring and evaluation are addressed it will take time before local capacities will be strengthened. 	<ul style="list-style-type: none"> Interviews and review of documents
	<p>Appropriateness of the institutional arrangement and whether there was adequate commitment to the project</p>	<ul style="list-style-type: none"> Potential roles for IUT as set out in the Business Plan have been considered at a strategic level and decisions made as to what to concentrate on. The issue of how IUT should function as envisioned in the business plan and its relationship to the MoUD has not, as yet, been determined. IUT requires MoUD clearance for management decisions and spending GOI funds, which are provided after considerable gap of time and with restrictions which undermines the goal IUT is trying to achieve. No decision yet on a corpus to provide some financial independence and requested several times in the Business Plan and, by IUT Steering Committee meetings. 	<ul style="list-style-type: none"> Business plan and project documents Stakeholder interviews
	<p>Comment on the Sustainability of the project in view of the resources committed by the UNDP-GEF in the long term</p>	<ul style="list-style-type: none"> There were clear misgivings expressed about the sustainability of the project from a variety of project stakeholders although not the MoUD. UNDP-GEF has so far committed the major share of all funding which is being used to supplement staff salaries. The GOI contribution and cost share for the last three years is unclear but is a minimal proportion of its share to the project. The project exit strategy is non-existent, implying that the Business Currently there is no written record of IUT's responsibilities and delegated powers to carry them out. Neither is there an acknowledgement of a sufficient degree of autonomy, financial and managerial, to enable long term planning and foster operational competence. This is a necessary step towards institutionalizing urban transport capacity building At the present time, if UNDP-GEF funding were withdrawn, IUT is not sufficiently strong to survive beyond its pre-project function of preparing the UMI conference every year. 	<ul style="list-style-type: none"> Interview key institutional stakeholders

	<p>Commitment to the project sustainability subsequent to the conclusion of the project</p>	<ul style="list-style-type: none"> IUT’s role as a training facilitator has been responded to tepidly by cities and states who have so far not committed themselves sufficiently to mandate suitable representatives to attend IUT workshops. There are currently no plans to link states and cities commitment to training staff and building capacity with funding from the centre to support urban transport. No written commitment from MoUD, only an expectation that IUT will survive on its own through the services it provides to assist governance of transport planning at all levels. 	<ul style="list-style-type: none"> Interview and review of documents.
	<p>Maintenance of IUT as a resource centre subsequent to the conclusion of the project?</p> <p><i>No evidence found as to how IUT will support itself in future. This matter needs discussion among project stakeholders.</i></p>	<ul style="list-style-type: none"> To be an effective KMC, IUT will need to establish stronger links to cities and states. There will need to be well structured incentives to encourage cities and states to collect and share data and information with IUT. IUT is not working with WB to start drawing on information and data resources generated through WB’s work with demonstration cities. An opportunity to draw upon resources and learning created by the project now will impact on IUT’s credentials as a resource centre subsequent to the conclusion of the project. IUT requires a corpus of fund to provide it financial independence to operate and conduct its functions as envisioned in ProDoc, PID and NUTP. 	<p>Document review and interviews</p>
<p>Impact: Are there indications that the project has contributed to or enabled progress towards maximizing environmental benefits?</p>			
<p>What was the project impact under different components?</p> <p>Rating: Negligible (N)</p> <p>There is no linkage between the work in the six project cities and national capacity building by IUT, which is yet to start.</p>	<ul style="list-style-type: none"> The first component is targeted towards National Capacity development in Urban Transport The second component aims at preparation and implementing green transport demonstration projects in selected participating cities; The third component of this project provides support for management of the project 	<ul style="list-style-type: none"> IUT’s staff complement has increased, providing an opportunity at junior levels primarily, for urban planning practitioners to gain work experience in the area. The Ministry of Urban Development is starting to understand what kind of policy framework needs to be in place, internal and external to the project, to enable a facilitator organization like IUT to flourish, providing public good functions in the urban transport field. Following a circular from the MoUD promoting IUT’s transport planning advisory service cities and states, two states have responded requesting an audience with IUT. The project is at a very early stage to begin any contribution to GHG reduction, which is expected to come from six WB cities where various demonstration projects are planned. There is no linkage between the work in the cities and national capacity building by IUT which is yet to start. No GHG reduction would result from capacity building of IUT or training of 1,000 professionals, unless the concepts are applied to make improvements in urban transport in cities, which result in reduction of emission that can be measured. 	<ul style="list-style-type: none"> Document review and stakeholder interviews
<p>Impacts due to information</p>	<p>Assess the use of electronic information and</p>	<ul style="list-style-type: none"> The IUT website provides information on activities carried out by the Institute. However, it is not kept up to date with the last conference proceedings of UMI dating back to 2009 and training sessions added after the event. 	<p>Review of newsletters released by SUTP</p>

<p>dissemination under the project</p>	<p>communication technologies in the implementation and management of the project</p>	<ul style="list-style-type: none"> • The website is not used as a tool to facilitate information exchange and sharing of views between those working in the transport planning domain. • New types of interaction using web-based technology are being trialed at the PMU through the PMC as part of the Leaders Capacity Building Program but not presently at IUT • Adaptive management will be practiced as part of the KMC project at IUT as a cloud server is used instead of a physical variant housed on site. 	<p>PMU and IUT Stakeholder interviews</p>
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6 CONCLUSIONS AND RECOMMENDATIONS

The UNDP-GEF Project remains highly relevant to India's urban transport priorities as set out in the National Urban Transport Policy. Overall there remains a high level of agreement amongst stakeholders on the need for an institution like IUT to function in a facilitator role, strengthening and supporting transport planning functions at city, state and national levels.

Due to the non-insertion of original outcome requirements listed in the project implementation document (PID) into the Project Document and an absence of project monitoring and evaluation tools, the Part I of SUTP remains highly focused on achieving a series of discrete outputs. A single focus on outputs provided legitimately by UNDP's AWP and Quarterly Reports such as 'training 1,000 trainees and 100 trainers', 'developing 20 manuals and toolkits' without sufficient opportunity for re-evaluation of these targets directed considerable IUT resource to deliver a large quantity of outputs in a short space of time.

The mid-term review findings illustrate that costs are being kept under control. Approximately half of the budget allocated to date has so far been exhausted; just 29% of the total amount has been spent. On the one hand this reflects cost saving measures implemented such as outsourcing the KMC and conducting a Needs Analysis Workshop instead of hiring a consultant to carry out the same task; but on the other hand it reflects an underspend on staff of a sufficient caliber who could put into effect key business opportunities identified in the Business Plan, opportunities that would help to safeguard IUT's future beyond UNDP-GEF support.

The strategic discussion amongst key stakeholders about the resource requirement for IUT to conduct and deliver a training program that spread over 40 months, and find alternative solutions to deliver the training and increase participation from city governments, is required.

Also, the discussion on building the capacity of IUT and expanding its presence to other functional areas such as certification, standard setting and pedagogical development for transport planners and assessing IUT's capacity building needs is missing among the stakeholders.

Project effectiveness is also weaker than originally planned in the PID and WB PAD due to a lack of budget and project management autonomy for IUT. Notwithstanding some revenue obtained through the yearly Urban Mobility India Conference (UMI), IUT is dependent on disbursements from the MoUD to strengthen its role as a facilitator for the short to medium term. A result has been over active involvement in determining how IUT spends these funds. When decisions are taken which go against IUT interests such as capping remuneration rates for trainers to government levels, which harm efforts to obtain trainers of a sufficient caliber, IUT staff are likely to reduce their commitment to the project. In the longer run interventions like this will impair IUT's ability to train effectively and will damage its credibility. Perhaps an even more disconcerting example

is the MoUD contemplating that IUT must subject itself to competitive bidding to maintain its role as has been suggested by the Finance Department of MoUD. This is contrary to the role envisaged for IUT in the NUTP, 2006 as well as SUTP related documents such as PID and ProDoc, which are basis on which the entire capacity building effort is being directed at IUT.

Intervention on IUT's management decisions would not be necessary if IUT had its own budget, something that has been mooted since the submission of the IUT Business Plan in 2011 with the suggestion of a corpus of funds as payment in lieu of services to GOI that the IUT is presently providing at no cost. While the corpus has been discussed in Steering Committees, clear and tangible action is yet to be taken by GOI to create it. A corpus is essential to ensure that IUT's stature is raised to the level envisaged by the NUTP to function as independent institution facilitating higher standards of transport planning throughout India. A corpus could be established for INR 35 crore (INR 350 million) which is equivalent US \$7 million, which is unspent amount in GOI's contribution to this particular component of SUTP. Without the financial sustainability that a corpus could support, IUT's future is by no means certain and is dependent now on UNDP-GEF funding, which runs out when the project ends.

It is suggested that the balance US \$7 million of GOI's funds (or INR 350 million) should be put aside in a corpus for IUT to fulfill its role as laid out in the NUTP and project design documents. The annual interest generated from the corpus would be utilized by IUT to meet its professional charges for providing advisory services to the central government and city governments. A performance management system could be put in place, managed by a Board of interested stakeholders, chaired by the Minister of Urban Development to ensure effective delivery against outcomes set out in a log frame. This two-pronged action will address two important issues of GOI's fund utilization and of IUT's sustainability beyond the SUTP project.

To ensure sustainable rates of expenditure over the remainder of the project lifetime and to enable IUT to re-orientate itself towards strategic goals set out in the Business Plan, requires development of suitable mechanisms. This would be subject to the condition that a robust M&E framework was put in place to keep the project orientated towards achieving strategic outcomes set out in the NUTP.

[The section below links findings, conclusions and recommendations.](#)

1 Finding: The Project monitoring and evaluation matrix and project implementation plan (PIP) were not prepared at the start of project in April 2010. The results framework in PID and GEF CEO approval document and a Logical framework were not included in the UNDP project document.

Conclusion - There is no mechanism to trace and report the project progress objectively for effective program management and to allow adequate planning and resource allocation.

Recommendations - (i) The PIP, Logframe, and results framework should be developed by the PMU and shared with the MoUD, UNDP and IUT. (ii) The PMU should develop intermediate results and indicators, which should be used to report progress during every Steering Committee meeting. (iii) All progress reports of the PMU and IUT should clearly indicate the efforts underway to achieve the intermediate and end-results before the project end. The progress reports should include activities planned for the entire year and report progress against those, and present a plan for the next quarter.

2. Finding: GEF/UNDP funds utilized in the project over the last three years average \$ 385,156 per year. The project expenditure is 47% of the amount budgeted to date and 29% of the overall budget of \$4,050,000. In contrast, GOI's contribution to the project stands at \$ 667,395 against overall planned life-of-project budget of \$7.13 million or 9.4%.

Conclusion: With higher than average expenditure planned in 2013 there will be sufficient UNDP/GEF funds available in the project at the end of calendar year 2013 which cannot be spend in 2014 alone. While GOI's remaining 98% funds will last beyond the project end date, discussion among stakeholders is required to mobilize these funds to support IUT's work with central, state and city governments.

Recommendation: (i) Based on the availability of GEF/UNDP funds, the project expenditure should be expedited. (ii) GOI need to increase its cost-share to the project substantially. An annual expenditure plan against various budget subcomponents (table 4.1 of PID) should be prepared jointly by IUT and PMU for the financial years 2013-14, 2014-15 and 2015-16 to ensure the funding from GOI and GEF/UNDP is directed towards the capacity building of IUT in the remaining time of the project.

3. Finding: While the grant funding for SUTP is provided by GEF through two implementing agencies namely UNDP and World Bank, there is no coordination between these two agencies at a working level. This is because no coordinating mechanism was put in place at the time of project design when the PID and PAD were developed. The PMU is tasked with managing and coordinating both WB and UNDP project components. However this aspect of the project was not critically examined while the PID and PAD were prepared and was therefore forgotten about when the GEF secretariat reviewed the SUTP documents.

Conclusion: UNDP is supporting capacity building at the national level while WB is supporting capacity building at the city level. Since the end result of SUTP is to build capacity at national, state and city levels in the area of urban transport, synergies in the work led by WB and UNDP should be explored and coordinated to benefit the programme partners i.e. IUT and cities

Recommendation: (i) Standing committee meetings chaired by the MoUD should invite WB and UNDP program officers and hold a regular dialogue and explore avenues for involving IUT in the work being done at the cities.

(ii) An IUT official must participate in WB's mission in cities as an observer and build relationships in cities providing assistance on areas not covered under WB funded project work. This will help to build a working relationship between IUT and cities and ensure that capacity building will sustain itself beyond the project.

4. **Finding:** Lack of an exit strategy in Prodoc, PID and GEF CEO endorsement note.

Conclusion: The exit strategy addresses the sustainability requirements of a project funded by a development agency like UNDP. Without a clearly defined exit strategy a project may end abruptly when the budget is exhausted regardless of whether the project goals were fully attained or not.

Recommendations: (i) UNDP should define the goals to be achieved by project stakeholders and its plan for directing the resources during the last two years of project and its approach to gradually disengage from the project. (ii) GEF should review the exit strategy for every such project, which aims at building the capacity of local institutions

5. **Finding:** The annual budget and utilization figures for the GOI cost share for the last three years are not available for various components of the SUTP Part I.

Conclusion: The GOI contribution needs to be quantified and shared with UNDP with same level of details as that of AWP (or as per table 4-1 of PID), so that GOI's contribution to the project and total resource availability for the entire life-of-project can be determined.

Recommendation: PMU should provide the GOI cost share to UNDP for the past three-years and this should be reported on an annual basis to UNDP and the steering committee.

6. **Finding:** IUT's business plan recommendations have been partially implemented. The plan provides a recommendation for creating a corpus to meet IUT's expenses which is important for its sustainability beyond the project. While this matter has been discussed in Steering Committees, no clear and tangible action has been taken by GOI to create corpus to ensure that IUT's stature is raised to the level presented in the NUTP 2006 to function as an independent institution for central, state and city governments.

Conclusion: Without a corpus in place, the sustainability of IUT beyond the project is questionable, in terms of its ability to provide any meaningful advisory support to MoUD as envisaged in the NUTP.

Recommendation: Since IUT has been created with cabinet approval, with a unique role to provide support to the MoUD and cities in implementing provisions of the NUTP,

immediate steps are required by the MoUD to put in place a corpus for IUT and ensure its long-term sustainability. The details of corpus are mentioned in the business plan.

7. **Finding:** IUT remains detached from activities happening in states and cities beyond the capital.

Conclusion: Compounded by lack of coordination between UNDP and World Bank components mentioned above, this weakness has direct bearing on effectiveness and efficiency of the capacity development efforts. Many functions envisaged for IUT in the Business Plan require strong relationships to be built with officials at different levels in the hierarchy in states and cities.

Recommendations: IUT should re-visit its resource requirements for carrying out the KMC function at state level. State level KMCs would require the presence of full time IUT staff in at least half-dozen states to liaise with state and city government officials, provide support for collecting data for the KMC and assist in organizing IUT-led training program.

(ii) IUT should re-look at the pedagogy of the training and develop mechanisms for effective and efficient delivery of training, utilizing computer based training modules, webinars; and develop plans using in-house resources to update and re-publish the manual and toolkits within next 2 to 3 years.

7 LESSONS LEARNED

Programme Management

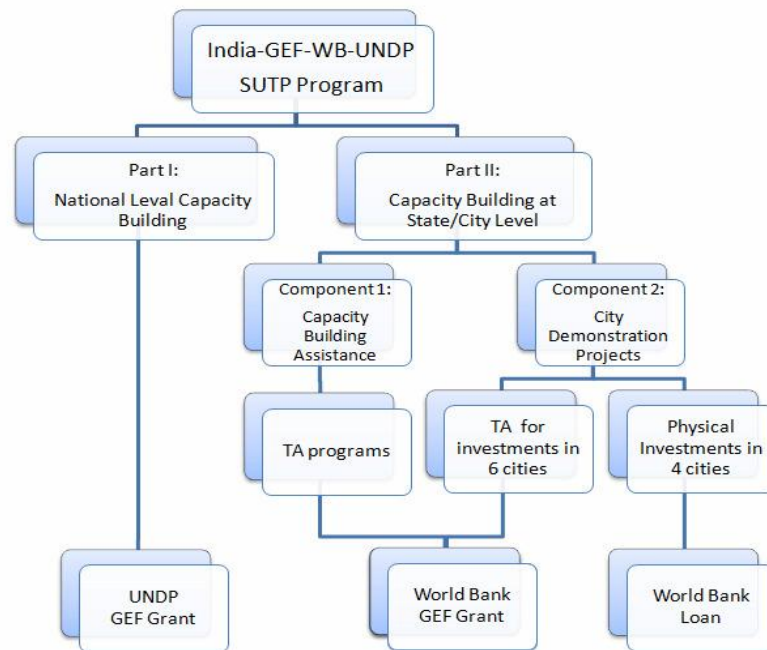
1. It is important to develop the Results Framework as one of a number of tasks when the project begins. The Results Framework should be ready at the launch of the inception workshop and then internalized by the programme and project stakeholders besides UNDP and PMU. Intermediate results indicators should also be set out early on, serving as staging posts where the project stakeholders are able to check and share each other's assessment of progress.
2. All those contributing to the project financially should share their expenditures as the project progresses. The financial reporting therefore needs to be strong with an explicit requirement to set down total budgeted funds against an agreed annual plan of activities. The financial report should be continuously updated as activities unfold and changing budget information should be exchanged by project partners, in the case of this project especially UNDP and MoUD. For example, UNDP's AWP and CDRs, made available as part of this project, offer no way to track the budget set against the contribution of the GOI.
3. The Results Reporting Requirement should be kept up to date by the project management unit, in this case the PMU, to ensure that activities are being carried out in accordance with the plan. This will help to ensure that activities remain tied to achieving results and do not become ends in themselves. A focus on results reporting will help keep the project on track, and aimed at achieving outcomes.

Programme Design.

- A. Stakeholder analysis and mapping is essential so that all internal and external stakeholders understand roles and responsibilities, know what to expect and what not to expect from each other at different stages in the project cycle. An understanding of how different stakeholders can support or weaken the project should be included in the project implementation document and made an integral part of the project through inclusion in the Prodoc.
- B. An exit strategy must be articulated at the programme design, which describes the triggers to start the process of disengagement for UNDP/GEF from the project. The exit strategy would publicly describe the essential requirements that would need to be in place for the success of the project. The exit strategy should provide guidance to stakeholders as to what would happen to the PMU, where knowledge and experience accrued during the project would reside, in what form, and how it would be made available to GOI.
- C. SUTP project is unique and one of the few projects where the GEF's assistance in developing a GHG reduction project in a country is channelled through two

implementing agencies. The coordination between these agencies needs to be included in the design stage to ensure that during the program implementation, the two agencies work towards creating synergies which would improve the impact of the programme, its overall effectiveness, efficiency and results. Also, the two GEF implementing agencies should work jointly for the same end objective, which is to ensure the sustainability of the work beyond the life of the project.

Figure 2: Overall Organisation Chart of SUTP



As noted in the figure above, the work being done under SUTP needs to integrate capacity building at national and state and city levels. A mechanism is needed for the two implementing agencies, the World Bank and UNDP to interact at a working level and find creative ways to build the capacities of various government agencies engaged in the project.

ANNEXA: PEOPLE INTERVIEWED FOR MTR

Person	Organization/Title	Role in SUTP
Dr Srinivas Iyer	Assistant Country Director	Project Head, UNDP
Dr Sandeep Garg	Programme Manager, UNDP	Program Management Oversight and UNDP's representative in Project Steering Committee
Mr SN Srinvas	Programme Analyst	Former Programme Officer of SUTP
Mr.S.K. Lohia	National Project Director, MoUD	Incharge of Project Advisory Committee, and Project Steering Committee
Mr. I.C. Sharma	National Project Manager, MoUD	Incharge of UNDP and WB components of SUTP
Ms Rana Amani	Deputy Project Manager,	PMU staff, project coordination
Mr A.K. Singh	Director, MoUD	
Mr B I Singhal	Director General, Institute of Urban Transport	Project stakeholder, ensures the acceptability of capacity building of IUT by project consultants
Mr Rajeev Gupta	SUTP Finance	In-charge of finances of SUTP based in PMU at MoUD
Ms. Nayanika Singh	GEF Operational Focal Point	Overall monitoring and guidance to GEF projects, represents Ministry of Environment and Forest, GEF's focal ministry in India
Ms. Kanika Kalra Bharthi	Urban Transport Expert, Institute of Urban Transport	Project stakeholder
Ms. Sonia Arora	Urban Transport Expert, Institute of Urban Transport	Project stakeholder
Ms Ishita Chauhan	Research & Development Officer, IUT	Project stakeholder
Mr. Manfred Breithaupt	GIZ	Supported development of Manuals
Ms. Nupur Gupta	Transport Head, World Bank,	World Bank's SUTP programme manager
Mr.Laghu Parashar	Urban Mass Transit Company Limited	Project stakeholder, worked on Manuals
Mr. Vinoba Sunder Singh	Transport Training Institute and Consultancy, Bangalore	Project stakeholder, worked on Manuals

Mr. Vedant Goyal	Urban Transport Specialist, GIZ	Project stakeholder, worked on Manuals
Mr Alok Bansal	CES	Project stakeholder, resource person for training
Ms. Aditi Singh	SUTP Communication Expert, Mott Mac Donald Private Limited	SUTP communication focal point
Ms. Akshima Tejas Ghate	Centre for Research on Sustainable Urban Development, TERI	Project stakeholder, worked on Manuals
Mr. Amit Bhatt	Strategy Head, Urban Transport, EMBARQ	Project stakeholder, worked on Manuals
Mr. Sudeep Sinha	Associate, Deloitte	Prepared business plan
Ms. Manjari	CEPT University, Ahmedabad	Resource person for Leaders training program of World Bank
Mr Pawan Kumar	Town & Country Planning Organisation, MoUD	Project stakeholder, resource person for training
Mr Minhas	Delhi Transport Corporation	Project stakeholder, resource person for training
Mr.David Cunliffe	Mott MacDonald	Senior Engineer and adviser to the PMU
Butchaiah Gadde	Regional Technical Specialist, UNDP	GEF regional representative
Ms Shreya Gadepalli	Regional Director, ITDP	Project stakeholder in SUTP training

ANNEX B: LIST OF DOCUMENTS REVIEWED

Documents
Project Document
IUT Business Plan
Annual Workplan/Financial plans
Annual Project Report/Project
Fact sheets
Combined Delivery Report
Minutes of Project Technical Committee / Project Steering Committee meetings
Back to Office Reports of UNDP staff
Financial Report for 2010 & 2011
Micro Assessment of SUTP in 2011
Toolkits and Manuals
SUTP Newsletters
UNDP Quarterly Reports
National Urban Transport Policy
IUT Monthly Status Reports (Jan and Feb 2013)
GEF CEO Endorsement Approval Document
GEF/World Bank/UNDP Project Information Document (Vol 2)
World Bank Project Appraisal Document
Knowledge Management cum Database Centre at the IUT, India (Request for Proposal)

ANNEX C: SUTP PROJECT FINANCIAL STATUS

Project Outcome		Budget Head	Budget Account Code	Funds Committed (life-of-project) (USD)	Funds Utilization						Total fund utilized since project start		
					2010		2011		2012		<i>All figures in US Dollars</i>		
					Budgeted	Spent	Budgeted	Spent	Budgeted	Spent	Budgeted	Spent	
					(A)	(B)	(C)	(D)	(E)	(F)			
Outcome 1.1	IUT Strengthened	International Consultants	71200	1,620,000	-	-	62,500	-	121,250	-	611,960	127,110	
		Local Consultant	71305	-	-	99,204	55,128	60,625	-	-	27,232	Utilization	21%
		Local consultant short-term supplies	71310	-	-	104,166	-	-	-	-	1,025		
		Daily subsistence allowance	71620	-	-	41,666	-	-	-	-	-		
		Service Contract - Individual	71405	-	-	-	3,807	22,083	-	-	-		
		Office Machinery	72205	-	-	4,375	-	16,667	1,267	-	-		
		Management & Reporting Service	74105	-	-	45,139	14,264	34,285	1,568	-	-		
		Promotional Materials & Dist. Realized Loss	74215	-	-	-	9,963	-	-	-	-		
Sundry	74525	-	-	-	-	41	-	12,782	-				
Outcome 1.2	Training and Skills Development	International Consultants	71200	1,440,000	-	-	158,333	-	300,000	-	726,466	452,687	
		Local Consultant-short term Tech	71305	-	-	139,541	42,509	20,625	-	-	36,005	Utilization	62%
		Local consultant-short term supplies	71310	-	-	-	56,678	-	-	-	-		
		Contractual Services	72105	-	-	-	-	-	-	-	-		
		Management & Reporting Service	74105	-	-	45,140	15,215	60,535	3,658	-	-		
		Capacity Assessment	74120	-	-	-	135,563	-	134,336	-	-		
		Office Supplies	72205	-	-	-	-	2,292	9,084	-	-		
		Sundry	74525	-	-	-	180	-	19,077	-	-		
Daily subsistence allowance	71620	-	-	-	-	-	382	-	-				

Project Outcome		Budget Head	Budget Account Code	Funds Committed (life-of-project) (USD)	Funds Utilization						Total fund utilized since project start		
					2010		2011		2012				
					Budgeted	Spent	Budgeted	Spent	Budgeted	Spent	Budgeted	Spent	
					(A)	(B)	(C)	(D)	(E)	(F)			
Outcome 1.3	Sustainable Urban Tpt	International Consultants-Short trm tech	71205	250,000	213,050	21,782	158,333	1,127	208,333	654,141	219,903		
	Manuals & toolkits developed	Int'l Consultants-Shot trm supplies	71210		9,601								
		Local Consultant-short term Tech	71305				113,345		1,961				
		Local consultant-short term supplies	71310						49,027				
		Service Contract - Individual	71405					414				Utilization	34%
		Travel ticket local	71610						543				
		Daily Subsistence Allow.	71620						380				
		Management & Reporting Service	74105				45,140	6,673	29,285				
Sundry	74525				52		14,998						
Outcome 1.4	Promotion Campaign and information dissemination	Promotional Materials & Dist.	74215	200,000	50,000	4,809	41,666	18,473		138,333	38,550		
		Local consultant-short term supplies	71310					7,167					
		Service Contract - Individual	71405						301				
		Sundry	74525						7,780				
		Audit Fees	74110			5,000		20	41,667		Utilization	28%	
	Monitoring,	Local consultant-short term supplies	71310		-	30,145		33,512		13,598	0	77,070	
	Learning	Travel Tickets - Local	71610							501			
	Adapt &	Daily Subsistence Allow.	71620							87			
	Evaluation	Bank Charges	74510					-773					

Project Outcome		Budget Head	Budget Account Code	Funds Committed (life-of-project) (USD)	Funds Utilization						Total fund Utilized Since project start		
					2010		2011		2012		<i>All figures in US Dollars</i>		
					Budgeted	Spent	Budgeted	Spent	Budgeted	Spent			
					(A)	(B)	(C)	(D)	(E)	(F)			Budgeted
	GEF Voluntary Contribution	Unrealized loss	76120			1,109		16,836		4,980		18,727	
		Unrealised Gain	76130			-1,910		-53		-2,235			
	Project Management Unit	Local consultant-short term supplies	71310	450,000	80,000	35,882	83,333	47,572	104,167	53,126	267,500	183,685	
		Travel Tickets	71610	-		20,412		130			Utilization	69%	
		Daily Subsistence Allow.	71615			20,520							
		Sundry	74525			45		35		1,333			
		Audit Fees	74110					1,002					
		Bank Charges	74510					-145		-2,996			
		Service Contract - Individual	71405							6,940			
		MAIP premium SC	71410							12			
		Contribution to security SC	71415							191			
		Realized Gain	76135			-374		-					
	Project Assurance	Travel Tickets	71610				32,500	221	17,000		49,500	37,736	
		Service Contract - Individual	71405							13,573			
		MAIP premium SC	71410							10			
		Contribution to security SC	71415							171			
		Audit Fees	74110						-	1,384			
		Common Services - Comm	72445					3,000	-	2,000			
		Reimb to UNDP for support	73505					7,500		2,500			
		Sundry	74525					3,746			Utilization	76%	
		Realized Gain	76135					-5		3,636			
Total				-		348,050	142,020	1,061,036	593,196	1,038,814	420,251	2,447,900	1,155,468
Annual Fund Utilization in %					Year 1	41%	Year 2	56%	Year 3	40%	Overall	47%	

Summary of findings:

Average annual fund utilization till Dec 2012 =	385,156
Total amount budgeted till Dec 2012 (A+C+E) =	2,447,900
Total amount spent till Dec 2012 (B+D+F) =	1,155,467
Average budget utilization since project beginning till December 2012	47%

<p>Remarks: Budget tables A, C and E are as per AWP for years 2010, 2011 and 2012 . Spent figures in tables B,D and F are taken from the Combined Delivery Report (CDR) of UNDP for 2010, 2011 and 2012</p>

	Overall	Total spent	Available
UNDP/GEF budget as on 1/1/2013 =	4,050,000	1,155,467	2,894,533
Amount budgeted for year 2013 (as per AWP)		1,144,068	
Anticipated expenditure in 2013		1,100,000	
Estimated Project Funds availability on 1/1/2014		1,694,533	
<i>Estimated average Fund utilization in % by 31/12/2013</i>		<i>563,867</i>	

With revised estimates, the average annual utilization of \$563,867 would last for 3.2 years.

Conclusion

Based on current and anticipated expenditure which will improve the annual funds utilization level, there will be sufficient funds available on 1st January 2104 to last for 3 years.

Recommendation: The project expenditure needs to be expedited.

ANNEX D: MISSION SCHEDULE

Mid-Term Evaluation (TE) of GEF funded project “Project 59078 – Project Title: Sustainable Urban Transport Program (SUTP)”;

Schedule for Mission Visit – 18th to 22nd Feb 2013

[TE team – Mr. Simon Bishop (International Consultant & Lead) Mr. Sandeep Tandon (National. Consultant)] :

Camp: Institute of Urban Transport (IUT) Office, Anand Vihar Metro Station, New Delhi.

DATE/TIME	Meeting with	Contact Person	Contact Details <phone, mobile>	Address, Location / city	Relevance to the project
	UNDP/SUTP PMU	<ul style="list-style-type: none"> • Dr Srinivasan Iyer • Dr Sandeep Garg, • Shri S K Lohia, NPD • Mr I C Sharma, NPM • Ms Rana Amani, DPM • Mr B I Singhal, DG, IUT • Ms Kanika Kalra , IUT • Ms Sonia Arora, IUT • Mr Rajeev Gupta, SUTP-Finance 		<p>UNDP: UNDP office, 55 Lodhi Estate, New Delhi SUTP Project Focal Point: Ms Manju Narang</p> <p>MoUD Mr. Sanjeev Kumar Lohia, Special Officer (Urban Transport), Ministry of Urban Development (MoUD), Room No.232C, Gate No.1, Nirman Bhawan, New Delhi-11, Ph-+9111-23061114, Fax-+9111-23061102; email- sklohia65@gmail.com, dir-mrts-mud@nic.in; M:9310733896</p> <p>SUTP, PMU</p> <ol style="list-style-type: none"> 1. Mr. I C Sharma, National Project Manager, Institute of Urban Transport, P.O. Box: 5407, Nirman Bhawan, Maulana Azad Road, New Delhi-110011, Tel: 9560871111; Email: iutindia@gmail.com 2. Ms Rana Amani, Deputy Project Manager 3. Mr Rajeev Gupta, Head, Finance, <p>IUT</p> <ol style="list-style-type: none"> 1. Mr B I Singhal, Director General - Institute of Urban Transport 2. Ms Kanika Kalra 3. Ms Sonia Arora 	<p>Overall perspective of the project and an overview of the project documents.</p> <p>As NPD, overall In charge of the Project implementation.</p> <p>PMU and focal point for the implementation of the Overall project. All project related Documents and expenditure details are available at PMU.</p> <p>Review of all Manual /Toolkits are being done here and have repository of all documents. They will be serving as a focal point for all activities here.</p> <p>GEF focal point of India and is the nodal centre for all GEF activities.</p>

				<p>MOEF (GEF Focal Point) 1. Ms Nayanika : Consultant</p> <p>Regional office, Bangkok:</p> <p>Mr. Butchaiah Gadde, Ph.D, Regional Technical Specialist, UNDP - Global Environment Facility, United Nations Development Programme, 4th Floor, UN Service Building, Rajdamnern Nok Avenue, Pranakorn, Bangkok 10200, Email: butchaiah.gadde@undp.org, Tel : (+66) 2 304 9100 Ext. 5048; Fax: (+66) 2 280 2700, Skype: butchaiah.gadde, www.undp.org (since 1 July 2011)</p> <p>National Consultant: Mr Sandeep Tandon: Email: sandeep_tandon@yahoo.com Mobile: +919711110969</p> <p>International Consultant: Mr Simon Bishop Email: Mobile:</p> <p>Operational Focus:</p> <ul style="list-style-type: none"> • Project Management Unit lead by NPM under the direction of NPD. DPM, Finance Officer and others include the staff. • Standing Committee (Chaired by NPD with members from IUT, UNDP, GEF OFP) expected to meet at least twice per year. Only for UNDP component, convened by NPM • Project Steering Committee (Chaired by Secretary, MoUD with members from UNDP, World Bank, Participating City Municipal Commissioners, DEA, experts) • Project Advisory Committee (Chaired by NPD) 	<p>As Regional Technical Specialist , provides necessary guidance and support to the project activities.</p> <p>Each meeting minutes have to be reviewed and a conclusion drawn about the timeline and status of the project and how these committees provides the framework of project implementation and sustainability of the project.</p>
18th Feb (Monday)- 10:00 to	UNDP/SUTP PMU			UNDP Office 55 Lodhi Estate New Delhi	Briefing Meeting - To provide overall framework of the project, Key review questions and also to understand the inception report.
5.30 pm					Meeting with members of the PMU and understanding of the context of the WB/UNDP project.
	GEF OFP (by phone)	Mr Hem Pande/Nayanika	9810254814	Delhi (by phone)	The GEF Operational Focal Point

	(by phone)	Singh	9891985753	Delhi (by phone)	
19th Feb (Tuesday) – Morning. 9.00AM to 930 AM		Mr S K Lohia		Ministry of Urban Development, Room No.232C, Gate No.1, Nirman Bhawan, New Delhi	The Project Director (PD) ; Meeting shall be fixed by NPM with the NPD for giving briefing to the NPD
10.00AM to 11.00AM		Mr Rajeev Gupta		PMU, Nirman Bhawan, New Delhi	
11.00AM to 12.00AM		Ms Rana Amani Ms Aditi Singh		Ministry of Urban Development, Room No.232C, Gate No.1, Nirman Bhawan, New Delhi	Meeting with the other WB Associates, Mott and project briefing. Briefing by NPMu on PC1 by Ms Rana Amani and capacity building.
Afternoon 2:00 to 5:30 PM		Mr Amit Bhatt Mr Laghu Parashar Ms Sunika Bhatt		IUT, Anand Vihar, New Delhi	Presentation on the Modules by UMTC, EMBARQ, GIZ covering the nature and aspects of the modules in the prelaunch session and also answering the raised question by Consultants
		Ms Kanika Kalra Ms Sonia Arora		IUT, Anand Vihar, New Delhi	Discussion with key IUT transport planning specialists about KMC, Business Plan, etc.
20th February (Wednesday)		Mr Butchaiah Ghadde		By phone at IUT, Anand Vihar, New Delhi	Discussion of preliminary findings and GEF Tracking Tool Requirement
9.00AM – 9.30AM		Ms Akshima Gate Ms Raina Singh		IUT, Anand Vihar, New Delhi	Discussion with TERI toolkit development
10.00AM – 11.00AM		Ms Ishata Chauhan		IUT, Anand Vihar, New Delhi	Research and Development Manager at IUT
11.00AM- 11.30AM					
Afternoon: 12.30PM I- 1.30PM		Mr Minhas		IUT, Anand Vihar, New Delhi	Manager at Delhi Transport Corporation and course participant
2.00PM – 3.00PM		Mr B I Singal		IUT, Anand Vihar, New Delhi	Director General of IUT
21st February (Thursday)- Morning 10.30 am		Ms Manjiri		By phone at CEPT Ahmedabad	Discussion on synergy between work of IUT and Centres of Excellence in

11.00AM – 11.30AM		Sudeep and Asha Kalra		By phone at their offices at Deloitte	training city officials Consultants who wrote the IUT Business Plan
12.00PM – 12.30PM		Mr R K Singh		IUT, Anand Vihar, New Delhi	Deputy Manager to Mr S K Lohia at the MoUD
12.30PM – 1.00P		Mr David Cunliffe		IUT, Anand Vihar, New Delhi	Senior Project Consultant of Mott McDonald
Afternoon					
1.30PM – 2.30PM		Mr Sethu Ramalingham		IUT, Anand Vihar, New Delhi	Course participant
4.00PM – 5.30PM		Mr I C Sharma		Institute of Urban Transport, P.O. Box: 5407, Nirman Bhawan, Maulana Azad Road, New Delhi- 110011,	National Project Manager of the PMU
22nd February (Friday)- Morning	Consultants, TE	Simon Bishop Sandeep Tandon		IUT, Anand Vihar, New Delhi	Preparation by TE team
		Ms Nupur Gupta		By phone in World Bank Offices, New York	Lead World Bank SUTP consultant to discuss synergies between two workstreams
		Mr Manfred Breithaupt		By phone at an IUT training session in Lucknow, India	Lead GIZ co-ordinating consultant for manuals development
Afternoon	PD/PC, PSC members & UNDP			MoUD, Nirman Bhawan	Debriefing by TE: Presentation by TE team on initial findings and tentative plan for submitting draft report to NPD, NPM and UNDP PO
25 th February Afternoon	ACD, Unit Head, Energy & Envm Unit	Srinivasan Iyer		UNDP	Debriefing by TE: Presentation by TE team on initial findings and tentative plan for submitting draft report to Unit Head for the Energy & Environment Unit, UNDP

ANNEX E: WORKPLAN AND SCHEDULE OF DELIVERABLES

Dates	Details	Deliverable
February 13 – 16, 2013	Desk review of documents provided by UNDP	
February 14 – 16	Preparation of Inception report	Inception report submitted February 18, 2013
February 16	Team Leader arrives in country	
February 18	Meeting with, UNDP Programme Officer for initial briefing, planning of activities	
February 18 – 22	Meetings with PMU, IUT, Project Consultants, UNDP, meso-level MF associations, government representatives, trainers, trainees, city/state transport officials, sustainable transport users and other stakeholders. Examination of IUT facilities, discussion on toolkits, manuals possible focus groups with external stakeholder groups Review of documents, project reports	
February 21	Preparation of PPT for debriefing	
February 22	Field phase (including in-country debriefing session with UNDP and PMU)	Field review debriefing February 22, 2013
February 26 – March 18, 2013	Report writing (including debriefing session with UNDP management by conference call)	Field review debriefing to UNDP February 25, 2013 Draft report submission to UNDP along with the GHG Tracking Tool: March 19, 2013
March 20-27	Report finalization based on comments	Final report due March 29

ANNEX F: REPORT BACK PRESENTATIONS



MID-TERM REVIEW (MTR) Of SUSTAINABLE URBAN TRANSPORT PROGRAMME (SUTP) INDIA

UNDP Project No 59078
GEFSEC Project ID 3214

Simon Bishop (International Consultant)
&
Sandeep Tandon (National Consultant)

Purpose and Objective of Mid Term Review

GEF Operational Guidance mandates conducting mid-term review of UNDP support projects

The objectives of the evaluation are to

- assess the relevance, performance of the project
- identify problems that have been encountered as on date of the project implementation period,
- provide recommendations of how to address these problems and ensure the project is on track during the rest of the project implementation period

The process so far

- Document collection for review
- Inception report for Mid-Term Review submitted to UNDP and GEF
- Meetings and interviews held with key stakeholders associated with National Capacity Development Initiative of SUTP

Purpose of this meeting

- What we have done so far
- Set out our indicative findings
- Explain next steps

Relevance

Criteria -The extent to which the activity is suited to local and national development priorities and organizational policies

- NUTP has created awareness and demand to address the issue of urban mobility
- GOI has allocated budget for urban renewal which includes urban transport
- With growing urbanization the need to find solutions to address urban transport issues is increasing
- IUT is well positioned to support the government at various levels in addressing these issues

Effectiveness

Criteria -The extent to which an objective has been achieved or how likely it is to be achieved.

- IUT strengthened with more staff, better facilities and planned capacity building activities
- IUT's capacity built to conduct training and annual conference and provide technical support to MOUD and city governments
- IUT's profile raised

Efficiency

Criteria - The extent to which results have been delivered with the least costly resources possible

- No cost over-run, project consultants have been engaged by UNDP with in the allocated budget
- Adaptive Management practiced for KMC
- Gaps in Project Information Document in sequencing the engagement of project consultants for developing tool kits, manuals, and business plan
- Scope for improving the delivery for dissemination activities

Results

- *Criteria - In GEF terms, results include direct project outputs, short to medium-term outcomes, and longer term impact including global environmental benefits, replication effects and other local effects*
- MOUD sent out an advisory to all the states to avail technical support from IUT to develop CMP
- Two states have approached IUT to provide support
- Monitoring and evaluation on the outcomes of toolkits and manual training program need to be developed

Sustainability

Criteria - The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion

- Provide long-term resource commitment to allow IUT to plan and function as per the role outlined in NUTP, and beyond UNDP-GEF support
- Commitment from GOI on making contribution on its share to the project
- Empower IUT with greater autonomy

Next Steps

Dates	Details	Deliverable
February 13 – 16, 2013	Desk review of documents provided by UNDP	
February 14 – 16	Preparation of Inception report	Inception report submitted February 18, 2013
February 16	Team Leader arrives in country	
February 18	Meeting with, UNDP Programme Officer for initial briefing, planning of activities	
February 18 – 25 Feb	Meetings with stake holders Review of documents, project reports	
February 22	Field phase (including in-country debriefing session with UNDP and PMU)	Field review debriefing February 22
February 24 – March 8, 2013	Report writing (including debriefing session with UNDP management)	Draft report due March 11
March 18-28	Report finalization based on comments	Final report due March 29

ANNEX G: EVALUATION TERMS OF REFERENCE



Empowered lives.
Resilient nations.

Date of Issue: 17 September, 2012

Closing Date: 03 October, 2012

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE (Ref. No. UNDP/IC/2012/75)

Country: India

Description of the assignment: *National Consultant for Mid-Term Review (MTR) of the Sustainable Urban Transport Program (SUTP) in India (PIMS 3214 and Project ID 59078).*

Project name: *Sustainable Urban Transport Program (SUTP) in India (PIMS 3214 and Project ID 59078).*

Location- Home based Consultancy. Travel to be done as per assignment.

Period of assignment/services (if applicable): *21 working days*

Important Note-Applications without financial proposal would not be considered.

Proposals should be submitted on line latest by 03 October, 2012.

Any request for clarification must be sent by standard electronic communication to the e-mail sandeep.sharma@undp.org. The Procurement unit will respond by standard electronic mail. CV and Financial proposal can be clubbed in one file for uploading on the website.

1. 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 midterm review (especially for FSPs) and terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Mid-Term Review (MTR) of the Sustainable Urban Transport Program (SUTP) in India (PIMS 3214 and Project ID 59078).

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

2. PROJECT SUMMARY TABLE

Project Title:	Sustainable Urban Transport Project (SUTP)				
GEF Project ID:	3241		<i>at endorsement (Million US\$)</i>	<i>at midterm review (Million US\$) expenditure up to June 2012</i>	<i>Amount Released up to June 2012</i>
UNDP Project ID:	3214	GEF financing:	22.5 (UNDP US\$ 4.05 million)	1.91	3.03
Country:	India	IA/EA /Government own:	62.13	13.05	23.09
Region:	South Asia	Participating States:	107.908	20.16	27.75
Focal Area:	Climate Change	Other(WB/GEF):	18.45		
FA Objectives, (OP/SP):	CCM-4: Transport/ Urban (GEF 5)	WB loan:	104.970	10.43	16.31
Executing Agency:	UNDP	Total Project Cost:	297.510	45.55	70.17
Other Partners involved:	ProDoc Signature (date project began):			07 April,2010	
	(Operational) Closing Date:		Proposed: December 2014	Actual: December 2014	

3. OBJECTIVE AND SCOPE

a) OBJECTIVE

The Government of India (GoI) has initiated the Sustainable Urban Transport Program (SUTP) with support of Global Environment Facility (GEF) with the objective of ensuring that environmental considerations are taken into account in the application of the National Urban Transport Policy (NUTP) and to achieve a paradigm shift in India's urban transport systems in favour of sustainable development. The Ministry of Urban Development (MoUD) has been appointed as the nodal agency for implementation of the project. A dedicated Project Management Unit (PMU) has been set up by the MoUD to manage SUTP. The SUTP objectives are to be achieved through the implementation of following three components:

1. The first component is targeted towards National Capacity Development in Urban Transport;
2. The second component aims at preparation and implementing green transport demonstration projects in selected participating cities; and
3. The third component of this project to provide support for management of the project.

Component 1A of GEF-SUTP comprises tasks required for capacity building in the field of sustainable urban transport. The Part I national level capacity building initiatives will help the governments at the Central, State and City levels to strengthen the core functions necessary for efficient administration and delivery of Sustainable Urban Transport.

It promotes building sustainable capacities in urban transport by enhancing the knowledge, skills and productive aptitudes of the organizations / employees involved in the field of urban transport in the context of reforms necessitated by globalization, democratization, the information revolution and changing technologies.

Component 1B aims at providing Technical Assistance to the Ministry of Urban Development in order to improve national, state, and local capacity to implement the National Urban Transport Policy, including: (i) development of implementation strategies and plans to implement key urban transport reforms envisioned in the National Urban Transport Policy; (ii) piloting model urban transport databases; (iii) identification and preparation of potential environmental-friendly urban transport investments in cities; and (iv) developing a national research program on sustainable urban transport.

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 will be managed by UNDP, and another on demonstration projects in five selected cities, which will be managed by the World Bank.

In accordance with UNDP/GEF M&E policies and procedures, all regular projects supported by the GEF should undergo a mid-term review and final evaluation. The mid-term review is intended to assess the relevance, performance and path to success of the project. It is expected that the review will identify problems that have been encountered as on date of the project implementation period, and provide recommendations of how to address these problems to ensure project is on track during rest of the project implementation period or as per adjusted schedule as applicable. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify/document lessons learnt and provide recommendations that might improve design and implementation of other UNDP/GEF projects. ***The review team will comprise of an international and a national consultant.***

b) SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

The international consultant will be the team leader and coordinate the consultancy to ensure quality of the report and timely submission. The national consultant will provide supportive roles both in terms of professional back up, translation etc.

Report on the progress against Objective, each Outcome, Output, Activity (including sub-activities) and Impact Indicators listed in the project document. How far the project has reached on the overall objective and outcome; the timelines and how these will be completed within the project duration, i.e. 1 November 2014. Also the following points must be covered in the review specifically;

- Comment on the effectiveness of the current project activities in:
 - Institutional Capacity Development, focusing on strengthening the Institute of Urban Transport (IUT)
 - Capacity Development through training of trainers and of a group of about 1,000 professionals at national, state, and city levels
 - Selection and preparation of Manuals
 - Selection and preparation of Toolkits
- Comment on the effectiveness of the promotion campaigns, awareness-raising campaigns, and dissemination of information to expand and enhance the impacts of the GEF-SUTP

The MTE will be conducted 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.

4. EVALUATION APPROACH AND METHOD

An overall approach and method¹ for conducting project Mid-Term evaluations of UNDP supported GEF financed projects has developed over time. 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. The international consultant will be the team leader and coordinate the evaluation process to ensure quality of the report and its timely submission. The national consultant will provide supportive roles both in terms of professional back up, translation etc. The review 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 have been drafted and are included with this TOR ([Annex C](#)). 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 team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to at least two project sites. Interviews will be held with the following individuals and organizations at a minimum, but not limited to:

- National Project Director (NPD)
- Project Technical Manager (PTM)
- Project Manager (PM)
- Project Administrative Assistant
- UNDP Financial Officer
- UNDP Procurement Officer
- Project Steering Committee Members
- Relevant project stakeholders, and personnel, but not limited to:
 - Ministry of Urban Development
 - Urban Mass Transit Company Limited
 - Centre of Excellence
 - Institute of Urban Transport
 - Ministry for Environment and Forest
- International Project Consultant(s)/reviewer, where applicable (possibly use Skype interview)
- Research institutions and Experts in the country, where applicable
- Relevant personnel at UNDP Country Office in India and Program Analyst in-charge of the Project

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 (2011 and 2012), 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., 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 B](#) of this Terms of Reference.

5. 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 A](#)), 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 review report executive summary. The obligatory rating scales are included in [Annex D](#).

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

6. PROJECT FINANCE / COFINANCE

The midterm review will assess the key financial aspects of the project, including the extent of co-financing planned and actual amount realized so far. 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 reviewer(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 MTR report.

Co-financing (type/source)	UNDP own financing (mill. US\$)	Government (mill. US\$)	Partner Agency (mill. US\$)	Total (mill. US\$)

	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

7. MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The review will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

8. IMPACT

The reviewers 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 review 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.²

9. CONCLUSIONS, RECOMMENDATIONS & LESSONS

The review report must include a chapter providing a set of **conclusions, recommendations and lessons**.

10. IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this midterm review resides with the UNDP CO in India. The UNDP CO will contract the reviewers and ensure the timely provision of per diems and travel arrangements within the country for the review team. The Project Team will be responsible for liaising with the midterm review team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

Throughout the period of review, the review team will liaise closely with the UNDP Country Director/Assistant Country Director (ACD)/Programme Analyst/Senior M&E 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 Assistant Country Director/ACD/Programme Analyst/Project Manager, the review team will meet with the National Project Director, NPC, PMU personnel, and GEF Operational Focal Point as required.

ANNEX C: EVALUATION QUESTIONS

Evaluative Criteria	Questions	Indicators	Sources ⁴	Methodology ⁵
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?				
<ul style="list-style-type: none"> Is the project relevant to National priorities and commitment under international conventions? 	<ul style="list-style-type: none"> Is the project country-driven? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	<ul style="list-style-type: none"> Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and implementation? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	<ul style="list-style-type: none"> How effective is the project in terms of supporting and facilitating transport industry in moving towards low carbon pathways through sustainable practices? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	<ul style="list-style-type: none"> What was the level of stakeholder participation in project design and ownership in project implementation? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
<ul style="list-style-type: none"> Is the project internally coherent in its design? 	<ul style="list-style-type: none"> 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 etc.)? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	<ul style="list-style-type: none"> Is there a close coordination and linkage with The World Bank lead components? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	<ul style="list-style-type: none"> Is the length of the project (project timeline) sufficient to achieve project outcomes? 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">

⁴ Various sources, but not limited to project document, project reports, national policies & strategies, key project partners & stakeholders, needs assessment studies, data collected throughout monitoring and evaluation, data reported in project annual & quarterly reports etc.

⁵ Various methodologies, but not limited to Data analysis, Documents analysis, Interviews with project team, Interviews with relevant stakeholders etc.

	<ul style="list-style-type: none"> Did the project made satisfactory accomplishment in achieving project outputs vis-à-vis the targets and related delivery of inputs and activities? 	•	•	•
<ul style="list-style-type: none"> Does the project provide relevant lessons and experiences for other similar 	<ul style="list-style-type: none"> Is the project providing relevant lessons for other future projects targeted at similar objectives? 	•	•	•
Effectiveness: The extent to which				
<ul style="list-style-type: none"> Does the project been effective in achieving the expected outcomes and objectives? 	<ul style="list-style-type: none"> Whether the performance measurement indicators and targets used in the project monitoring system are accomplished and able to achieve desired project outcomes within December 2014? 	•	See indicators in logframe listed in project document (or Annex A)	•
<ul style="list-style-type: none"> How is risk and risk mitigation being managed? 	<ul style="list-style-type: none"> How well are risks, assumptions and impact drivers being managed? 	•	•	•
	<ul style="list-style-type: none"> What was the quality of risk mitigation strategies developed? Were these sufficient? 	•	•	•
	<ul style="list-style-type: none"> Are there clear strategies for risk mitigation related with long-term sustainability of the project? 	•	•	•
	<ul style="list-style-type: none"> Is the risk log being updated regularly? 	•	•	•
<ul style="list-style-type: none"> What lessons can be drawn regarding effectiveness for other similar projects in the future? 	<ul style="list-style-type: none"> What lessons have been learned from the project regarding achievement of outcomes? 	•	•	•
	<ul style="list-style-type: none"> What changes could have been made (if any) to the project design in order to improve the achievement of the project's expected results? 	•	•	•
costly resources possible?				
<ul style="list-style-type: none"> Was project support provided in an efficient way? 	<ul style="list-style-type: none"> How does the project management systems, including progress reporting, administrative and financial systems and monitoring and evaluation system were operating as effective management tools, aid in effective implementation and provide sufficient basis for evaluating performance and decision making? 	•	•	•
	<ul style="list-style-type: none"> Is the project practicing adaptive management? If so, how effective 	•	•	•

	was the adaptive management practiced under the project and lessons learnt?			
	<ul style="list-style-type: none"> Did the project logical framework and work plans and any changes made to them use as management tools during implementation? 	•	•	•
	<ul style="list-style-type: none"> Utilization of resources (including human and financial) towards producing the outputs and adjustments made to the project strategies and scope. 	•	•	•
	<ul style="list-style-type: none"> Details of co-funding provided and its impact on the activities (Refer to Table in section 6. Project Finance / Co-Finance). 	•	•	•
	<ul style="list-style-type: none"> How does the APR/PIR process has been helping to monitor and evaluate the project implementation and achievement of results? 	•	•	•
<ul style="list-style-type: none"> How efficient are partnership arrangements for the project? 	<ul style="list-style-type: none"> Appropriateness of the institutional arrangement and whether there was adequate commitment to the project? 	•	•	•
	<ul style="list-style-type: none"> Was there an effective collaboration between institutions responsible for implementing the project? Especially GEF Agencies (UNDP, World Bank), Implementing Partner and Responsible Party(ies) 	•	•	•
	<ul style="list-style-type: none"> Is technical assistance and support received from project partners and stakeholders appropriate, adequate and timely? 	•	•	•
<p>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</p>				
<ul style="list-style-type: none"> Will the project be sustainable on its conclusion and stimulate replications and its potential? 	<ul style="list-style-type: none"> How effective is the project in terms of strengthening local capacities in providing sustainable transport for cities in India? 	•	•	•
	<ul style="list-style-type: none"> Appropriateness of the institutional arrangement and whether there was adequate commitment to the project. 	•	•	•
	<ul style="list-style-type: none"> Comment on the Sustainability of the project in view of the resources committed by the UNDP-GEF in the long term. 	•	•	•
	<ul style="list-style-type: none"> Commitment of the project sustainability subsequent to the conclusion of the project 	•	•	•

	<ul style="list-style-type: none"> Maintenance of IUT as a resource centre subsequent to the conclusion of the project? 	•	•	•
	<ul style="list-style-type: none"> Development of various IUT resources at the State Level as part of the conclusion of the project? 	•	•	•
Impact: Are there indications that the project has contributed to, or enabled progress towards maximizing environmental benefits?				
<ul style="list-style-type: none"> What was the project impact under different components 	<ul style="list-style-type: none"> The first component is targeted towards National Capacity Development in Urban Transport; The second component aims at preparation and implementing green transport demonstration projects in selected participating cities; and The third component of this project to provide support for management of the project. 	•	Use key indicators in logframe listed in project document (or Annex A)	•
	<ul style="list-style-type: none"> What is the additional co-financing amount that was leveraged by the project and mobilized investments for SUTP projects in India. 	•	•	•
<ul style="list-style-type: none"> What are the indirect benefits that can be attributed to the project? 	<ul style="list-style-type: none"> Spinoffs (being) created by the project, if any, as a result of the project, the linkages brought with other partners/Ministries and their impacts on the overall outcomes. 	•	•	•
<ul style="list-style-type: none"> Impacts due to information dissemination under the project 	<ul style="list-style-type: none"> Assess the use of electronic information and communication technologies in the implementation and management of the project. 	•	•	•

ANNEX D: RATING SCALES

<p>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</p> <p>6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems</p>	<p>Sustainability ratings:</p> <p>4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks</p>	<p>Relevance ratings</p> <p>2. Relevant (R) 1.. Not relevant (NR)</p> <p>Impact Ratings:</p> <p>3. Significant (S) 2. Minimal (M) 1. Negligible (N)</p>
<p>Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A)</p>		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND 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 ⁶ Agreement

to abide by the Code of Conduct for Evaluation in the UN System Name of Consultant:

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 place on date

Signature: _____

⁶www.unevaluation.org/unegcodeofconduct

ANNEX H: RESPONSE TO THE COMMENTS

Comment	Reviewer's Response
<p>1 The dissemination mentioned here does not specifically promotes outcomes of SUTP, it is only about IUT dissemination activities.</p> <p>Output 4: dissemination activities of SUTP is being spearheaded by PMU and we promote the project and its activities by publishing quarterly newsletter and sending it to all the 65 JnNURM cities and other stakeholders, maintaining SUTP website, doing dissemination workshops and creating awareness, etc.</p> <p>We also set up a stall at UMI every year to promote SUTP. We have prepared SUTP video that is displayed during UMI and various other workshops to promote SUTP and usage of sustainable modes of transport</p> <p>On a annual basis SUTP annual meet is held each year in November, where all stakeholders of SUTP are invited to share their experience.</p> <p>Annual Meet is organized with the aim of sharing the experience of one another among officials engaged in implementing the 'demonstration projects' in various cities and discussing the problems encountered during execution to arrive at consensus solutions. Opportunity is also availed of to review the progress of work and suggest ways and means to improve the same. The event is organised by Project Management Unit and Project Management Consultant</p>	<p>The review has been carried out of the 1st component of the SUTP project which focuses on National Capacity Development Initiative which is being spearheaded by IUT. The aim of GEF/UNDP support is on building the capacity of IUT.</p> <p>Clarifications provided by PMU have been noted.</p>
<p>2 How can one clearly define the results of such activities?</p> <p>One can only move forward with the objectives and try to achieve the goals and broad outcomes</p>	<p>The results are defined in the project design stage and incorporated in the UNDP Project Document (ProDoc)</p>
<p>3 Does it include cost of Anand Vihar office?</p>	<p>The in-kind contribution towards Anand Vihar office has been included in the revised report</p>
<p>4 WB reviews Component 1A (UNDP) at regular intervals and all JnNURM cities including 5 SUTP cities are requested to participate in Component 1A workshops.</p> <p>Synergy is maintained by PMU between all the components such that there is no overlap or duplication of work in activities being conducted under Component 1A, 1B and 2.</p>	<p>The mechanism of review need to be formalized. The records of these meetings/reviews were not shared with the reviewers.</p> <p>Noted that the number of demo cities has changed from six to five..</p>

Comment	Reviewer's Response
5. Log frame submitted to UNDP on 4 Feb 2013 by PMU	Logframe should be a part of the UNDP ProDoc
6. Annexure of PID volume 2, APPENDIX 4.1, 4.2, 4.3a and 4.3b show the details of GOI input (PIDs already shared)	There is lack of clarity in the documents on where the remaining GOI funds will be directed. This need to reviewed once again.
7 Standing committee is to discuss the functioning of only UNDP component. Steering committee headed by Secy (UD) includes representatives from UNDP and WB. Also whenever modules and toolkits are discussed in detail during standing committee World Bank and TMAC members are being invited to provide their valuable inputs.	Comment noted. However reviewers stand by their recommendation
8 IUT has access to all the JnNURM cities through UMI and other workshops being conducted by IUT. IUT is doing technical appraisals for technical cell of the ministry regarding which they meet various state and city officials. Also SUTP officials (NPM, DPM & Transport Planner) recommend IUT to cities wherever required as they are also a part of IUT. However IUT is welcomed to participate in WB missions at their own cost.	There should be a planned and a focused approach for introducing IUT to the cities, based on its resource availability. The recommendation is therefore to begin with the cities where WB is working and then expand to other states and cities. Both World Bank and IUT has welcomed the recommendation
9 It is a part of the consultancy assignment (Manuals and toolkits). The consultant has to submit the final report incorporating the comments received during validation workshop.	The recommendation is given for updating the Manual and Toolkits after these are finalized.
10. The mitigation measures provided in pro-doc are being referred to on regular basis by PMU	Clarification noted
11 IUT is part of steering committee, is responsible for implementation component 1A, hence it is not detached. Whenever meetings of Component 1B are called, DG, IUT is invited to attend and give his valuable advice	Clarification noted. The comment in the report is with regard to the project design. Reviewers are of the opinion that IUT's engagement should gradually be increased at the working level
12 Unclear. The objective of sub component 4 is to promote benefits of SUTP and not IUT . IUT's activities under component 1A (various workshops, modules & toolkits) are being regularly highlighted in SUTP newsletter and SUTP website. Also link to IUT's website is provided on SUTP website	Clarification noted

<p>13. In Steering committee both the WB and UNDP issues are discussed and representatives from WB and UNDP both are present.</p>	<p>The reviewers have suggested a route to increase interaction between WB and UNDP at the working level</p>
<p>14. It is not just one transport planner from PMC taking care of component 1.4. It is a combined effort of PMU/PMC. The transport planner has been assigned this work of updating website and coordination of Newsletters because of technical nature of activities being updated, there is a separated Website maintenance consultant who does the actual updating. Newsletter and website are a part of 1.4. It also includes Dissemination workshops, annual meet, participation in UMI,</p>	<p>Clarification noted. The reviewers are the opinion that communication strategy is best handled by communication experts/professionals who use the matter provided by technical expert</p>
<p>15. Not only WB leaders Program participants but also for trainees and trainers of Component 1A, state/city officials, academicians, etc.</p>	<p>Clarification noted</p>
<p>16. May please define long articles.</p> <p>Generally when articles are requested a max of 2 page limit (two sides) is given to the authors. However, some articles which may be of higher interest & need more in depth information are sometimes given higher page limit.</p> <p>For e.g. ITS implementation in Mysore is a major milestone achieved under SUTP as it is something implemented for the first time in India. This article was discussed in detail so that other cities could benefit from their experience and learn.</p> <p>Newsletter is not just for an academic audience.</p> <p>Newsletter is for various govt officials (National/State/City level), SUTP stakeholders and other transport professionals. Newsletter is prepared with an aim to disseminate info on pioneer new initiatives (specially sustainable transport) in field of urban transport.</p> <p>Newsletter is not a tool for discussion or debate. It is to disseminate the information about SUTP and let cities learn from the achievements/ experience of one another. Positive feedback has been received from the readers and govt. officials and other professionals in field of urban transport</p>	<p>The reviewer's comment is based on feedback received from people interviewed, as well own international experience in the transport sector.</p> <p>The communication methodology, contents can be further refined to generate more interest across a wide cross section of stakeholders, since transport affects everyone in the society.</p>
<p>17. PMU's role is to co-ordinate among various agencies involved in the project and to provide technical, procurement and financial support to MoUD & states and cities in achieving the objectives of the project</p>	<p>Clarification noted</p>
<p>18. Not clear, though money spent was less due to</p>	<p>Clarification noted</p>

unavoidable procurement delays, but it was regularly monitored and reported timely to both UNDP and WB	
19. It was not a (inception) report but a brief about the launch event	Clarification noted
20. Annual budgetary provision for Component 1A & 1B are made in GOI's annual budget. The same has also been shared by FM,PMU with the MTR consultants	The reviewer's observation is misunderstood. The budgetary provision need to be shared with UNDP, just as it shares details through its Annual Work Plan
21 The dissemination mentioned here does not specifically promotes outcomes of SUTP, it is only about IUT dissemination activities. Output 4: dissemination activities of SUTP is being spearheaded by PMU and we promote the project and its activities by publishing quarterly newsletter and sending it to all the 65 JnNURM cities and other stakeholders, maintaining SUTP website, doing dissemination workshops and creating awareness, etc. We also set up a stall at UMI every year to promote SUTP. We have prepared SUTP video that is displayed during UMI and various other workshops to promote SUTP and usage of sustainable modes of transport. On an annual basis SUTP annual meet is held each year in November, where all stakeholders of SUTP are invited to share their experience. Annual Meet is organized with the aim of sharing the experience of one another among officials engaged in implementing the 'demonstration projects' in various cities and discussing the problems encountered during execution to arrive at consensus solutions. Opportunity is also availed of to review the progress of work and suggest ways and means to improve the same. The event is organised by Project Management Unit and Project Management Consultant	The finding is in the context of activities IUT is engaged in. The GEF/UNDP project's component 1 is focusing on National Capacity Development and building IUT's capacity. However, clarifications have been noted.
22. It should be Effectiveness of one component of the project related to IUT, not the entire project	The Effectiveness is of component 1 of SUTP
23. Logframe sent to UNDP on 4 Feb 2013	Logframe is missing in the ProDoc. It needs to be prepared post MTR since it is one the key findings affecting the SUTP project's NCDI component.
24. WB reviews Component 1A (UNDP) at regular intervals and All JnNURM cities including 5 SUTP cities are requested to participate in Component 1A workshops.	Noted

<p>Synergy is maintained by PMU between all the components such that there is no overlap or duplication of work in activities being conducted under Component 1A, 1B and 2</p>	
<p>25. IUT has access to all the JnNURM cities through UMI and other workshops being conducted IUT is doing technical appraisals for technical cell of the ministry regarding which they meet various state and city officials. Also SUTP officials (NPM, DPM & Transport Planner) recommend IUT in cities wherever required as they are also a part of IUT. However IUT is welcomed to participate in WB missions at their own cost.</p>	<p>There should be a planned and focused approach for introducing IUT to the cities, based on its resource availability. The recommendation is therefore to begin with the cities where WB is working and then expand to other states and cities. Also, IUT's role needs to be clearly defined as recommended.</p>
<p>26. As rightly pointed out by the Report the mandate of IUT and how it is to be implemented, its revenue model and relationship vis-à-vis MoUD, continues to be a grey area and unless this is clarified the institutions sustainability will continue to be at risk. The various contradictions in the current set up have been nicely highlighted by the Report in this regard. The recommendations in terms of the role that IUT should play and possible strategies to strengthen it appropriately, are well outlined.</p>	<p>Acknowledgement of the finding is noted</p>
<p>27. Providing a corpus of atleast Rs 35 crores as part of an exit strategy for the project is good, though there are some concerns in this. On the one hand, this must be accompanied by systemic improvements that allow IUT to be paid for its services and not be dependent on uncertain assignments from time to time. While funds are important, so is a clarity on its role. Most importantly MoUD should firmly acknowledge that role. Without that any corpus can just get frittered away.</p> <p>IUT has been bidding for consulting assignments as well. If they are to play a consultants role, then the need for any corpus to be given to them is questionable. However, if they are to play a more promotional, technical advisory and hand holding role, then not only is the corpus justified but even a continuing annual support. These issues are best settled well before the closure of the project and not just at exit stage. A valuable opportunity for strengthening of IUT which can be an important facilitator in strengthening sector capacity could very well be lost unless early decisions are taken.</p>	<p>As recommended, going forward IUT's role needs to be clearly and firmly defined by MOUD.</p>
<p>28. There have been concerns raised over time on the quality as well as the method used for delivery of the training i.e. need for a more interactive and case method based approach for engaging working professionals. However, these are now beginning to shape up well. A timely and focussed effort in ensuring the development of quality training materials and manuals and their dissemination to a large number of trainers and trainees could potentially have a large and sustained impact on the</p>	<p>Clarification noted</p>

sector.	
29.. The issue of identifying and targeting Trainers and Trainees is a serious one and has been well captured by the Report. IUT may be well advised to invest resources (preferably under the Project) in a strategy for their downstream use in developing capacity in urban transport planning.	Acknowledgement of the finding is noted
30. The lack of implementation arrangements to ensure effective coordination between the two components and multilateral agencies is indeed a serious gap in the design of the Project highlighted by the Report.	Acknowledgement of the finding is noted
31. The Bank's absence on the Standing Committee makes the coordination far more challenging and perhaps important opportunities for collaboration and technical assistance are lost, a case in point being the KMC design, where the Bank could have contributed. However, the assertion that there is 'no' coordination between the two components and the two agencies is not an accurate representation. The Bank, as the Lead Executing Agency for the Project, attempts to review the progress and available materials of the UNDP component as part of its Project Missions and documents the same in its Aide Memoires. It has been reviewing terms of reference, reports and documents prepared for the various subcomponents i.e. Business Plan, Manuals & Toolkits etc. and providing comments and necessary technical assistance. In fact, the Bank has spent quite a bit of time reviewing and providing advice and guidance on improving the Training materials.	Clarification noted in the final report.
32. The Bank has proposed to MoUD the piloting of city level databases under the Component IB to leverage the efforts of the KMC at the national level. We did not see any acknowledgement of the technical support being extended by the Bank. However, in the absence of systemic arrangements to enable this interaction, special efforts are required to organize interactions with IUT, UNDP and PMU on the NCD component. Certainly a more streamlined mechanism would be more welcome.	Clarification noted. Collaboration between WB and UNDP for greater engagement of IUT in activities of SUTP, as appropriate, can have greater impact.
33.. The Report flags the low disbursement levels of the Project, both UNDP and counterpart share. It would be useful to capture in this Report a more a detailed assessment of the reason for the delays and low disbursements relative to projections. The Report also mentions the low likelihood for the full utilization of the funds, this maybe further elaborated to provide revised disbursement projections based on current and proposed commitments, and the reasons for this expectation. The finding in regard to low counterpart share spent so far is indeed worrisome. What were the activities proposed to be covered by the counterpart funds and what is the status of these? A further clarity on this or agreements with MoUD would be important, if not already in place.	Clarification noted. The report highlights the current status of financial contribution by UNDP/GEF and GOI. However, the reasons for low disbursement were on account of reasons which were beyond control. Reviewers believe the disbursement towards various components of NCDI and IUT's activities would increase 2013 onwards.
34.. The recommendation that IUT participate in World Bank Missions to the Project cities is an interesting one and they would be most welcome.	Clarification noted

<p>35. The reports indicates that IUT lacks staff at middle and senior level. - It may be noted that appointments have been IUT as per the PID document and the business plan and most staff identified in the two documents are already in place except KMC which was purposely deferred till June 2013. Therefore the statement made does not really hold correct. Also appointment of staff has not been easy as the rates offered are lower than the market rate and therefore to ensure continuity of project and to retain the staff for long term basis, the salary levels have to be brought at par with market rates.</p>	<p>Reviewers have offered suggestion to strengthen IUT by bringing senior professional, as the work expand and demand for IUT's services grow.</p>
<p>36. The report states that the UNDP fund utilization has also been low and it may not be possible to exhaust the complete fund - the balance fund available could be used for funding of data collection under the KMC which till date has not been provided for in the project. also the same could also be used for training of IUT staff. the present allocation of funds for IUT training may not be sufficient considering that the budget was prepared before 2010 and there have been substantial escalation in costs since then</p>	<p>Acknowledgement of the finding is noted</p>
<p>37. One important bottleneck identified in the report are the remuneration to trainers approved by Gol, which are much below the market rate - It may be consider that the lodging, boarding, honorarium etc may be kept at par with the rates provided by UNDP/ GEF or World Bank, which reflect market rate to make the program attractive for professionals to participate.</p>	<p>Acknowledgement of the finding is noted</p>

ANNEX I: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____