

# DRAFT CEO APPROVAL DOCUMENT



## REQUEST FOR CEO APPROVAL

PROJECT TYPE: Medium-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

### PART I: PROJECT INFORMATION

Project Title: <b>ASTUD: Regional Knowledge Sharing</b>			
This project is part of the first tranche of projects under the Asian Sustainable Transport and Urban Development Program (ASTUD). The PFD for ASTUD was approved by the GEF Council on 10 November 2011.			
Country(ies):	Regional	GEF Project ID: <sup>2</sup>	5527
GEF Agency(ies):	AsDB	GEF Agency Project ID:	45105-001
Other Executing Partner(s):		Submission Date:	10/31/2013
GEF Focal Area (s):	Climate Change	Project Duration(Months)	60
Name of Parent Program (if applicable): For SFM/REDD+ <input type="checkbox"/>	Asian Sustainable Transport and Urban Development Program (ASTUD) (GEF Project ID 4638)	Agency Fee (\$):	14,500

### A. FOCAL AREA STRATEGY FRAMEWORK<sup>3</sup>

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
CCM-4	4.2 Increased investment in less-GHG intensive transport and urban systems	1. ASTUD program integrated into existing regional knowledge sharing and training mechanisms (ADB Sustainable Transport Initiative, Clean Air Asia, Cities Development Initiative - Asia, etc)  2. Innovative low-carbon transport and urban system technologies demonstrated and deployed.  3. Additional investment mobilized for low carbon transport and urban development from ADB, bilateral and national sources, and the private sector	GEF TF	185,500	4,698,000
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)	Others		(select)		
<b>Total project costs</b>				185,500	4,698,000

## B. PROJECT FRAMEWORK

<b>Project Objective: Raise awareness of options and integrated approaches to energy efficient low-carbon transport and urban systems; disseminate the replicable findings of the other ASTUD components; and build capacity to implement these measures</b>						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
1. Implementation of Sustainable Transport in Asia and the Pacific (baseline project)	TA	1. Increased readiness of Developing Countries in the Asia-Pacific region to identify, develop, and implement sustainable transport policies, programs, and projects	1. Improved knowledge base on sustainable transport 2. The development and testing of pilot concepts in key areas of sustainable transport 3. Supportive tools and guidelines to build capacity and to operationalize sustainable transport 4. Concepts for new market mechanisms for financing sustainable transport initiatives			4,478,000
2. Capacity Building in low-carbon transport and urban systems	TA	1. Increased capacity of stakeholders to apply low carbon concepts to the transport and urban system	1. Training resources developed for ~5 key topics in low carbon transport and urban systems 2. Capacity building sessions on these topics integrated with next ADB sustainable transport/ infrastructure forum 3. Training resources available for online access	GEF TF	100,000	
3. Access to BRT Planning Guide in Asian Languages	TA	1. More stakeholders have access to the BRT Planning Guide in their own language 2. More effective deployment of BRT	1. Latest BRT Planning Guide translated into 3 languages and available for online access on ADB and ITDP websites	GEF TF	50,000	
4. Online Knowledge Sharing	TA	1. Consultative and knowledge sharing mechanisms established for engagement of all interested stakeholders 2. Stakeholders have access to information and training resources about low carbon	1. ASTUD integrated into existing regional consultative and knowledge sharing networks and web portals (ADB STI, Clean Air Asia, CDIA, SLoCaT, SUTP, ITDP, etc) 2. "Virtual study tour"	GEF TF	35,500	

		transport and urban systems	created for 1-2 “best practice” cities/projects in Asia				
	(select)			(select)			
	(select)			(select)			
	(select)			(select)			
Subtotal						185,500	4,478,000
Project management Cost (PMC) <sup>5</sup>				GEF TF		0	220,000
<b>Total project costs</b>						185,000	4,698,000

### C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
GEF Agency	Asian Development Bank	Grant	4,698,000
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
<b>Total Co-financing</b>			4,698,000

### D. GEF/LDCF/SCCF/NPIF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) <sub>2</sub>	Total c=a+b
AsDB	GEF TF	Climate Change	Regional	185,500	14,500	200,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total Grant Resources</b>				185,500	14,500	200,000

### F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
Local consultants*	95,000	878,000	973,000
International consultants*	41,000	2,412,000	2,453,000

### G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide in Annex E an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

## **PART II: PROJECT JUSTIFICATION**

### **A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF<sup>1</sup>:**

A.1. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.:

NA

A.2 GEF focal area and/or fund(s) strategies eligibility criteria, and priorities:

NA

A.3 The GEF Agency's comparative advantage:

NA

A.4. The baseline project and the problem that it seeks to address:

#### **Background**

In the Asia region, there are a range of challenges facing the sustainability of the transport and urban system. In particular, rapid urbanization and motorization is affecting the sustainability of urban environments, and transport is emerging as the largest and fastest growing sector of greenhouse gas (GHG). At present, less than half of the population in Asia is living in cities, but this proportion is growing rapidly as the result of ongoing urbanization. In India and PRC alone, the urban population is expected to increase to over 500 million by 2025. The rapid growth in urban population is resulting in rapid expansion of existing cities and in some cases the development of new cities. With Asian cities growing at the rate of 1 million people per week there is enormous pressure on city governments to manage growth and expand transport infrastructure and services in pace with demand. The growth of existing cities and the establishment of new cities require a re-assessment of the manner in which cities are being developed. The challenge is to avoid car-led, urban sprawl development model in favor of a low carbon development approach.

This project is part of the first tranche of projects under the Asian Sustainable Transport and Urban Development Program (ASTUD). The Program Framework Document (PFD) for ASTUD was approved by the GEF Council on 10 November 2011. ASTUD is a multi-year, multi-country program that provides an umbrella framework for a range of GEF-funded projects in Asia. The ASTUD program has been designed as a medium to longer term mechanism for securing a large-scale and sustained impact on the global environment. It links GEF objectives for energy efficient, low-carbon transport and urban systems with the Asian Development Bank (ADB) Sustainable Transport Initiative (STI), and ADB's pipeline of transport and urban development projects in Asia. ASTUD includes projects in Dhaka, Bangladesh; Ulaanbataar, Mongolia; and smaller/medium-sized cities in the People's Republic of China (PRC). The Knowledge Sharing component of ASTUD will provide a mechanism for raising awareness of options and integrated approaches to energy efficient low-carbon transport and urban systems; disseminating the replicable findings of the other ASTUD components; and building capacity to implement these measures.

#### **The Baseline Project**

The ASTUD Knowledge Sharing component aligns closely with the ADB Sustainable Transport Initiative (STI). The STI has been established as a mechanism for mainstreaming sustainability, including climate

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<sup>1</sup> For questions A.1-A.7 in Part II, if there are no changes since the PIF and of not specifically requested in the review sheet at PIF stage, there is no need to respond, enter "NA" after the respective question.

change and low-carbon concepts into its transport sector programs, and raising awareness of sustainable transport issues and opportunities throughout the Asia-Pacific region. As part of this process, it has been recognized that there are gaps in terms of knowledge and tools required to effectively implement the STI goals. ADB initiated activities under the STI and the proposed GEF-funded incremental activities under the Knowledge Sharing component of ASTUD respond to this situation. The GEF-funded activities will be integrated with other components of ASTUD and with implementation of the ADB STI, and will utilize ADB's existing regional networks.

In particular, the ASTUD Knowledge Sharing component will be linked to the ADB Capacity Development Technical Assistance (CDTA) program, "Implementation of Sustainable Transport in Asia and the Pacific". The CDTA will be implemented through a "cluster" of sub-projects targeting the key pillars of ADB's STI Operational Plan. The STI CDTA project involves subprojects at interregional, sub-regional, country, and city levels that contribute toward building capacity among Developing Member Countries (DMC) to develop and implement policies, programs, and projects that enhance the economic, social, and environmental sustainability of transport infrastructure and services. The overall outcome of the CDTA will be increased awareness of the critical importance of sustainability in transport system development, and a greater readiness and capacity of DMCs in the Asia and Pacific region to identify, develop, and implement sustainable transport policies, programs, and projects. This aligns strongly with ASTUD, and particularly with the ASTUD Knowledge Sharing component.

The baseline STI CDTA project involves a program of technical assistance and pilot projects of around \$6.7 million. It has six sub-projects that together in combination provide an integrated approach to addressing sustainable transport capacity issues in the region:

- (a) *Greenhouse gas assessment methodologies in sustainable public transport.* This subproject will develop a user-friendly GHG calculator for public transport operators; develop a recognition program for bus operating firms achieving excellence in GHG reduction; examine barriers to mainstreaming climate change into operations; suggest ways to overcome these barriers; and recommend financing options for their implementation. GEF funding of \$1 million for this activity has already been approved under a separate submission (GEF Project ID 4236). Note that this amount and its associated \$1 million of co-financing are not included in co-financing for the ASTUD Knowledge Sharing. This explains the difference between the total baseline project budget of \$6.7 million and ADB co-financing for the ASTUD Knowledge Sharing component of \$4.7 million, as shown above in Tables A and B.
- (b) *New approaches to implement sustainable low-carbon transport in the Asia and Pacific region.* This subproject will address climate change mitigation through knowledge and conceptual approaches for sustainable transport that help to identify and address barriers preventing developing countries from adopting low carbon approaches in these subsectors; and support demonstration projects. These activities align strongly with the goals of ASTUD, and especially with the ASTUD Knowledge Sharing component.
- (c) *Promoting socially sustainable transport through improving non-motorized transport.* This subproject will pilot non-motorized transport (NMT) components aimed at improving integrated and inclusive public transport systems in developing countries. The results of these pilot projects will then be utilized in designing regional guidelines on integrating NMT with public transport systems. In addition, this subproject will support the addition of NMT components to existing ADB transport projects; help catalyze new NMT initiatives; and provide formal social impact analysis of selected ADB transport projects.
- (d) *Better transport data for sustainable transport policies and investment planning.* Current data availability and quality limit the development of sustainable transport policies and investment strategies and constrain the ability to evaluate impacts of such policies and investments. This subproject will establish historical (2000–2010) data sets on transport infrastructure and services as well as their social and environmental impacts; and an outlook up to 2030. To reduce the risk that the data collection activities would be limited to a one-off exercise, ADB is consulting with other organizations to develop a more permanent mechanism for collating and managing transport data.
- (e) *Intelligent transport systems (ITS) for better urban transport.* This subproject will contribute to the

development of strategies for implementing information and communication technologies for better public transport service and travel demand management in urban areas. Guidelines and recommendations will be developed on how best to use intelligent transport systems in sustainable urban transport projects in Asia.

- (f) *Innovative financing of sustainable transport through market mechanisms.* Capturing value from externalities offers the potential to greatly enhance and diversify existing financing mechanisms for sustainable transport initiatives. This subproject supports the development of a pilot demonstration of new mechanisms, as well as strengthens the conceptual basis for emerging mechanisms.

An integral part of these baseline project components is regional and global knowledge sharing and capacity building activities that can also form a platform for disseminating ASTUD outputs and raising awareness of sustainable and low carbon transport and urban systems. The ASTUD Regional Knowledge Sharing component will piggyback on this ADB baseline program.

The baseline STI CDTA program (equivalent to a GEF PFD) was established by the ADB Board in November 2011 and its sub-projects are being progressively approved and implemented. In particular, Sub-project (b) *New approaches to implement sustainable low-carbon transport in the Asia and Pacific region* was approved in October 2012. The STI CDTA program as a whole forms the baseline project, but for project management purposes, the ASTUD Knowledge Sharing component will be linked to this sub-project through a change in its scope. This is planned for the second half of 2013, with implementation of the ASTUD Knowledge Sharing activity planned to commence in early 2014.

A.5. [Incremental /Additional cost reasoning](#): describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated [global environmental benefits](#) (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

## **Background**

The ASTUD Knowledge Sharing component comprises activities that raise awareness of options and integrated approaches to energy efficient low-carbon transport and urban systems; disseminate the replicable findings of the other ASTUD components; and build capacity to implement these measures. As described in the ASTUD PFD, there is limited experience in many developing countries in Asia and elsewhere with key low carbon transport and urban development concepts such as integrated transport and land use planning, travel demand management, transit-oriented development and pedestrian-oriented development. Similarly the general knowledge level on adaptation to climate change in the transport sector is low.

The ASTUD Knowledge Sharing component will be integrated with implementation of other components of ASTUD and the baseline STI CDTA, and more generally with the ADB STI and other low carbon transport initiatives in Asia. All of the ASTUD country-based components involve activities to build awareness of and implement low carbon transport/urban concepts through a combination of the baseline project and GEF-funded incremental activities. These activities will produce outputs (ideas, plans, data, evaluation results, tools, etc) with broader relevance in the country, the region and worldwide. If these outputs are not effectively shared, then the potential for replication and cross-fertilization between ASTUD components and other low carbon transport initiatives is greatly diminished. The incremental effect of GEF-funding for the ASTUD Knowledge Sharing components will be to establish cost-effective mechanisms for information flows to, from and within the ASTUD program, in conjunction with the ADB STI implementation. This will significantly enhance the overall impact of the ASTUD program in terms of its immediate outcomes and lasting legacy.

A small one-off contribution (\$200,000) from the [Climate Change Focal Area Set-aside](#) is requested to put in place knowledge sharing mechanisms that will support the ASTUD program as a whole, and strengthen the integration with regional sustainable low carbon transport initiatives. This amount is equivalent to less than 1.4% of GEF-funding for the first tranche of ASTUD activities. The ASTUD Knowledge Sharing component has been designed to piggyback on the ADB STI program; utilize ADB's existing regional and worldwide networks; and take advantage of existing web resources. In this way, the small amount of funds requested from

GEF can leverage substantial impacts in terms of regional knowledge sharing. In particular, ADB will actively involve three multi-stakeholder networks, all of which were developed with active support and leadership of ADB:

- *Clean Air Asia (formerly Clean Air Initiative for Asian Cities)* <http://cleanairinitiative.org>.
- *Cities Development Initiative for Asia (CDIA)* <http://cdia.asia>
- *Partnership on Sustainable, Low Carbon Transport (SLoCaT)* <http://www.slocat.net>

as well as other well-established networks, such as the GIZ Sustainable Urban Transport Project (SUTP) and the Institute for Transportation and Development Policy (ITDP). These networks will be involved in the implementation of the regional and worldwide knowledge sharing component of ASTUD and will also play an important role in the scaling up of ASTUD program activities.

## Components

The proposed GEF-funding Knowledge Sharing component of ASTUD has three components (numbering of Components is consistent with the Project Framework in Table B):

2. *Capacity Building in low-carbon transport and urban systems* (\$100,000) As noted above, there is limited experience in many developing countries with planning and implementation of key low carbon transport and urban development concepts. Building this capacity through knowledge and concepts is the general focus of ASTUD and the baseline STI CDTA program, especially Sub-project (b). This component will develop training materials and associated online resources for capacity building on around 5 key topics. These topics will be chosen to have maximum impact on influencing decision making and effective deployment of low carbon transport initiatives. In particular, the choice of topics and development of training materials will draw on the lessons to emerge from ASTUD projects; from the emerging outcomes of the baseline STI implementation project; and from ADB's experience in developing and implementing sustainable transport projects in partnership with governments in developing countries. For instance, topics may include new approaches to low carbon transport; energy-efficient BRT operations and clean bus selection; NMT and transit-oriented design concepts; inclusive and socially sustainable transport; innovative financing of sustainable transport through market mechanisms; etc. The training materials will be launched as Training Sessions linked to the next major ADB-hosted transport/ infrastructure forum. Around every 2 years, ADB brings together key decision makers from around the Asia-Pacific region and beyond for a major knowledge sharing event that includes technical and practical presentations, exhibitions, training sessions, and discussion groups. The 2012 ADB Transport Forum brought together around 600 representatives to share knowledge and experiences on the theme of "Inclusive and Sustainable Transport". The next Forum is scheduled for mid-2014. This is early in implementation of most ASTUD projects, which makes it timely for maximum impact on the low carbon effectiveness of project implementation, and also for helping steer regional transport developments in general in a more sustainable and inclusive direction. It also aligns well with the timing of the baseline project to maximize catalytic impact on achieving low carbon transport and urban systems in Asia.

In summary, this component will support (a) development of the training materials and associated information resources on around 5 key topics in low carbon and inclusive transport and urban systems; (b) the incremental costs of launching the package of resources and delivering training sessions on these topics at the next ADB transport/infrastructure forum; and (c) preparation of web versions of the materials suitable for disseminating worldwide using mechanisms in Component 4.

3. *Access to BRT Planning Guide in Asian Languages* (\$50,000) Four of the component projects of ASTUD involve BRT, and the baseline STI project has a strong focus on optimizing GHG savings from public transport. Broad consultation with country and city officials has been undertaken during the preparation of ASTUD and associated its baseline BRT projects, and in conjunction with the baseline STI CDTA program (as described above) and ADB's portfolio of sustainable transport projects. This consultation has identified the need for improved access to BRT knowledge resources in local languages as a common priority. The impact of knowledge resources increases significantly if they are available to planners and decision makers in their own language.

Rather than duplicate existing resources, this component will support translation of the latest version of the ITDP BRT Planning Guide ([www.itdp.org/index.php?/microsites/bus-rapid-transit-planning-guide/](http://www.itdp.org/index.php?/microsites/bus-rapid-transit-planning-guide/)) into three languages. The choice of languages will reflect expansion areas for BRT; languages for which the latest version of the Planning Guide is not available; areas of activity of ADB; and key markets for the awareness and capacity building programs under Component 2. For instance, the languages may include Russian, Mandarin and Bahasa Indonesia. Note that GEF has previously supported development of the ITDP BRT Planning Guide in English.

4. *Online Knowledge Sharing* (\$35,000) This component will establish mechanisms for online sharing of replicable findings of the ASTUD projects, including the outcomes of Components 2 and 3 and results of the baseline project. Rather than duplicate existing mechanisms, the intention is to make ASTUD resource materials and outcomes available through ADB's online presence and other existing website portals with a strong connection to low carbon and inclusive transport (e.g. Clean Air Asia, CDIA, SLoCAT, EMBARQ, ITDP, etc). In addition, it will build on the recently signed agreement between ADB and CAF - Development Bank of Latin America to cooperate, learn and share knowledge across Asia, the Pacific, and Latin American. This includes a "virtual study tour" concept, which is a web-based knowledge sharing tool that features facts and data as well as image and video libraries of best practices in sustainable urban transport. Virtual study tours are a low carbon and more accessible alternative to traditional study tours. GEF funding for this component will support activities associated with (a) assembling and managing the ASTUD information base; (b) preparing material for online access (including capacity building resources developed in Component 2, and 1-2 virtual study tours of best practice projects/cities in Asia); and (c) making the information resources accessible through ADB and partner website.

In summary, a small once-off contribution (\$200,000) from the Climate Change Focal Area Set-aside is requested to put in place knowledge sharing mechanisms that will support the ASTUD program as a whole, and strengthen the integration between the ASTUD, the ADB STI regional program, and international initiatives in sharing knowledge on low carbon transport and urban systems. To maximize the impact of the GEF-financed activities, it is important that these knowledge sharing mechanisms are put in place early in the overall ASTUD program timeframe. Therefore it is planned to establish the mechanisms over the period 2014-15 which aligns with the baseline STI project and is a peak period for implementation of the first tranche of ASTUD activities. The ASTUD Knowledge Sharing program will then be fully integrated with the ADB STI and related regional programs, and will not require further funding from the GEF FA Set-Aside. Note that support from GEF will be acknowledged in all products and information sharing materials in line with the GEF visibility policy (GEF/C.40/08).

#### **Incremental Global Environmental Benefits**

The incremental benefits of the ASTUD Regional Knowledge Sharing program are widespread but indirect. No GHG savings can be directly attributed to the program, but it is expected to be a powerful catalyst for replication of project GHG savings demonstrated by other ASTUD components; diffusion of low carbon technologies and concepts; and for maximizing the impact of ASTUD as a whole. This makes it an integral contributor to the overall GHG savings generated by ASTUD, which are estimated at 17-18 million tonnes over the project lifetime.

A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks:

NA

A.7. Coordination with other relevant GEF financed initiatives:

NA



## B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE

### B.1. Describe how the stakeholders will be engaged in project implementation:

The key stakeholders and their roles are summarized in the following Table.

Stakeholder	Engagement
All stakeholders	The aim of the ASTUD Knowledge Sharing activity is to share information as broadly as possible. Web-based mechanisms offer rapid and inclusive access to information. As described above, this project will work with existing regional and global web-based knowledge sharing portals to engage with all stakeholders through open access to the information resources developed in this project.
Governments (national, provincial, municipal)	Engaging with government at all levels is critical for planning and implementation of low carbon and inclusive transport initiatives. As described above, governments will be engaged directly through ADB's projects and knowledge sharing activities under the Sustainable Transport Initiative, and more broadly, through access to online resources developed by ASTUD.
International agencies and organizations, including NGOs	ADB works closely with other GEF agencies and NGOs in promoting and sharing low carbon transport urban system concepts, and will engage with these organizations to share information resources developed under the ASTUD program. As described below, the ASTUD knowledge sharing program will piggyback on the activities and existing knowledge sharing portals of ADB, and international organizations such as Clean Air Asia, CDIA, SLoCAT, EMBARQ, ITDP, etc.
Universities and other teaching institutions	Training and retraining of transport and urban planning practitioners has an important role in raising awareness of low carbon approach to transport and urban planning. Universities will be engaged through collaboration in development of the training resources to be developed in Component 4, and more general, through access to online resources and participation in knowledge sharing forums supported by ADB.
Transport users, local communities (residents, workers, business owners), and the private sector	While not directly targeted directly, individual transport users, communities and the private sector will be engaged through access to online resources and links to Governments and NGOs. In many cities in developing countries, the private sector is the main public transport supplier, either directly or through contract arrangements. The ASTUD knowledge sharing program will extend to these operators through participation in projects and training activities undertaken by ADB, and through access to online resources.

### B.2. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF):

Co-benefits are a feature of transport and urban development projects. There is strong international evidence that measures that reduce GHG emissions in the transport sector generally have large additional co-benefits that go beyond climate change. These co-benefits can include reduction of congestion (time saving, service reliability, operating costs), improved air quality (health impacts), improved safety and security; and improved access. In addition, public transport in developing countries delivers particular benefits to the poor and to women. Underinvestment in public transportation raises the cost of commuting and restricts access to jobs and services. The urban poor and other vulnerable groups (such as people with disabilities and the elderly who have special needs for transport) suffer disproportionately from an inadequate transport system, and tend to be more exposed to risks associated with externalities in transport. They lack adequate means to avoid exposure to

polluted air, face higher commuting distances and costs, and are particularly affected when there is a lack of provisions for pedestrians.

Women tend to engage with the transport system in different ways in different countries/cultures. In some countries, women are highly dependent on the public transport, while in others such as Bangladesh, women avoid mass transit because of cultural and personal security issues. In all developing countries, women make up a large proportion of pedestrian traffic. Improved public transport and NMT facilities, and in the longer term, better integration of transport and land use will increase women's accessibility, mobility, and affordability of trips. In addition, safety (pedestrian and as users of public transport) and personal security are important gender issues that are specifically addressed in ASTUD projects by design features such as lighting, secure bus stops, and improved pedestrian facilities.

All of the city projects that make of the first tranche of ASTUD involve improved transit and NMT facilities and initiatives to improve integration of transport, land use and pedestrian access. In addition, the ADB STI and in particular the STI Implementation project (which forms the baseline project for this submission) include a focus on improving the understanding and quantification of co-benefits and their role in project evaluation and monitoring. This includes giving greater attention to co-benefits in project performance indicators and targets in the Design and Monitoring Framework (DMF); and work is under way as part of the STI to enhance ADB's transport project cost-benefit analysis procedures to include greater consideration of co-benefits and social sustainability.

While the Knowledge Sharing component of ASTUD does not deliver direct socio-economic benefits, it will have substantial indirect impact through its role in building awareness, not just of the GHG global benefits of energy-efficient low carbon transport and urban systems, but also of the potential for a wide range of important local co-benefits. Co-benefits will be a particular focus of the knowledge sharing activities.

### B.3. Explain how cost-effectiveness is reflected in the project design:

It would be inefficient to establish new knowledge sharing mechanisms for ASTUD when cost-effective mechanisms already exist. As described above, the Regional Knowledge Sharing component of ASTUD will piggyback on the baseline regional program being undertaken by ADB as part of its Sustainable Transport Initiative (STI) and as far as possible, will utilize ADB's existing internal and external regional and international networks. Internally, ADB already has a network of offices, staff and projects throughout Asia, as well as active corporate programs for sharing information about energy-efficient low carbon transport and urban systems. In particular, the ADB Transport Community of Practice (TCOP) is a network of more than 100 transport practitioners within ADB that will have an important role in promoting ASTUD and its knowledge sharing program. Externally, ADB works collaboratively with other GEF agencies (World Bank, UN, IDB, AfDB, etc) and is active in many international multi-stakeholder networks (such as Clean Air Asia, CDIA, SLoCAT, EMBRAQ, etc). ADB, Clean Air Asia, SLoCAT and others already have mature web-based information sharing portals that are widely known and used throughout the region and internationally, and offer the opportunity to host additional information from ASTUD. There is also the opportunity to piggyback ASTUD program awareness and information sharing sessions onto regional conferences, seminars and related forums.

In summary, cost-effectiveness is reflected in the project design by piggybacking ASTUD knowledge sharing programs onto existing well-established and well-recognized regional and global initiatives and forums for promoting energy-efficient low carbon transport and urban systems. This is cost-effective in terms of both reducing the cost of delivering the knowledge sharing activities, and also in terms of delivering broader reach to interested practitioners across the region than would otherwise be possible with the requested funding level.

## C. DESCRIBE THE BUDGETED M & E PLAN:

Monitoring and evaluation (M&E) of project performance will be integrated with ADB monitoring of the baseline

*Implementation of Sustainable Transport in Asia and the Pacific* project. All costs associated with M&E will be absorbed into ADB's project management and monitoring program.

ADB has well-proven frameworks and arrangements for M&E. ADB tracks progress and evaluates each project against its DMF, in accordance with ADB's Project Performance Management Systems and *Guidelines for Preparing a Design and Monitoring Framework* (2007). A copy of the DMF for the baseline project is provided at Annex A. The project M&E will be coordinated through ADB's Regional and Sustainable Development Department (RSDD) which will be the project executing and implementing agency for all components. This will include preparing the necessary progress reports (quarterly, mid-term, completion) for submission to the ADB management. These reports will then form the basis of M&E reporting to GEF. In summary, the key components of the M&E plan are listed in the following Table.

Type of M&E Activity	Responsible Parties	Budget (excluding Project Team Staff Time)		Timeframe
		Baseline Project	GEF	
Inception Report	▪ ADB	-	-	Within 3 months of project start
Project Implementation Report (PIR)	▪ ADB	-	-	Annual reporting to GEF
Mid-term Evaluation	▪ ADB	-	-	Mid-point of project implementation
Periodic Status Reports (including GEF Project Implementation Report)	▪ ADB	-	-	Quarterly and Annual
Final Evaluation (including requirements for GEF Terminal Evaluations Report)	▪ ADB ▪ Consultants	\$8,000	\$0	At least 3 months before the end of project implementation
Project Completion Report/ GEF Terminal Evaluations Report	▪ ADB	-	-	Within one year of end of project
Audit	▪ ADB	-	-	Annual

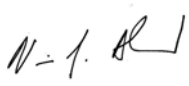
**PART V: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)

**B. GEF AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Nessim Ahmad Director, Environment and Safeguards concurrently Practice Leader (Environment) Asian Development Bank		October 31, 2013	Ko Sakamoto Environment Specialist	+632 683 1664	<a href="mailto:ksakamoto@adb.org">ksakamoto@adb.org</a>

**ANNEX A: PROJECT RESULTS FRAMEWORK** (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

See Pages 6-9 of the Agency document = Project Number 45105 Technical Assistance Report: Cluster—Regional—Capacity Development Technical Assistance (C-R-CDTA) “Implementation of Sustainable Transport in Asia and the Pacific”, November 2011

**ANNEX B: RESPONSES TO PROJECT REVIEWS** (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

**1. STAP and Council Comments on ASTUD PFD and ADB Responses**

Source/ Comment	ADB Response for ASTUD Knowledge Sharing
<b>STAP</b>	
<p>STAP Advisory Response: Consent. Specific comments:</p> <ol style="list-style-type: none"> <li>1. STAP ... commends ADB for submitting so well conceptually designed and structured proposal. It sets the bar high for other GEF interventions in the transport sector ... It is commendable that ADB estimates the GHG benefit under the baseline scenario interventions and separately for the GEF interventions.</li> <li>2. STAP expresses its interest to be informed about project outcomes and developments in order to verify and update existing GEF methodology for transport sector. It is understood that this program will generate a range of socio-economic benefits which are local but fundamental ingredient in decision-making for transportation sector. STAP encourages project proponents to make attempts to systematically analyze and collect data about these co-benefits with an intention to be considered in the updated GEF GHG methodology and beyond.</li> <li>3. While the program engages and consults with a range of stakeholders ranging from national governments and industries to multilateral organizations and UNFCCC bodies, lessons learned and tools and methods developed would be of interest to the GEF itself and could help in developing further its transport and urban program. STAP recommends exploring ways of how this program contributes to knowledge management for GEF and its agencies and secure such links at the early stage.</li> <li>4. It is understood that project focuses its interventions at the city level but these interventions will have an impact on countries obligations for UNFCCC and respective mitigation strategies including NAMAs. How project interventions and results and lessons will be fed into national mitigation strategies, plans and policies?</li> </ol>	<p>Noted.</p> <p>ADB will keep STAP informed about project outcomes and developments as part of an expanded M&amp;E scope to be applied to all ASTUD projects. As explained under section H. DESCRIBE THE BUDGETED M&amp;E PLAN of the endorsed ASTUD: Greater Dhaka Sustainable Urban Transport Corridor Project submission (GEF ID: 4931), a range of socio-economic indicators will be monitored and the results of the co-benefit monitoring will also be reported to GEF. This is in addition to required monitoring of GHG emissions performance and reporting through the GEF Tracking Tools. A similar approach to monitoring and reporting co-benefits will be applied in all projects under the ASTUD program.</p> <p>The ASTUD Knowledge Sharing (described in this submission) will put in place mechanisms for knowledge management and sharing of lessons learned and tools and methods arising from the ASTUD program. It will specifically address ways of including GEF and its agencies in the knowledge sharing network at an early stage of ASTUD implementation.</p> <p>Yes, project interventions are focused at a city level, but in all countries participating in ASTUD, ADB works closely with national governments and in most cases national government agencies will be represented on project Steering Committee. ADB also works closely with GEF Focal Points in all countries involved in ASTUD, and with government agencies responsible for climate change issues and preparation of NAMAs, etc. ADB will use these already established linkages to ensure that relevant results and lessons are shared and fed into development of national strategies, policies, etc.</p> <p>The mechanisms and regional networks established under the Knowledge Sharing component of ASTUD (described in this submission) will also assist with sharing between countries to help ensure that national mitigation strategies, plans and policies are</p>

Source/ Comment	ADB Response for ASTUD Knowledge Sharing
<p>5. Climate change risks: Climate risks are recognized. Adaptation measures are mentioned in the PIF. However, under "Indicate Risks; including climate change" climate risks to transportation risks are not mentioned. STAP suggests reference to World Bank's report on, "Climate Change Impacts on Energy Sector" by Ebinger and Vergara (2011). This World Bank report states "Energy services and resources will be increasingly affected by climate change - Changing trends, increasing variability, greater extremes, and large inter-annual variations in climate parameters. The report provides approaches and methods to assess impacts and options to address the climate risks in energy sector.</p>	<p>based on best available knowledge.</p> <p>Noted. This comment is being specifically addressed in each of the CEO Endorsement submissions for ASTUD projects. There are a range of general climate change risks and possible adaptation measures, but to a large extent the issues are location specific. For instance, ASTUD Tranche 1 includes projects in Dhaka, Bangladesh and Ulaanbaatar, Mongolia which have very different climate issues.</p> <p>The CEO Endorsement submission for the endorsed ASTUD: Greater Dhaka Sustainable Urban Transport Corridor Project (GEF ID: 4931) includes climate change in the risk and response assessment (section B.4) and a discussion of the way that climate resilience is factored into the BRT design in sections B.2 and B.3. A similar approach will be adopted for other ASTUD projects.</p>
<p><b>Council - Canada</b></p>	
<p>Canada commented that it was "particularly impressed" with ASTUD</p>	<p>Noted.</p>
<p><b>Council – Germany</b></p>	
<p>Germany commented that "The objectives and outcomes outlined in the PDF seem well designed to achieve the desired GHG emission reductions in urban transportation." Specific comments:</p> <ol style="list-style-type: none"> <li>1. The project outputs "policy support for low-carbon transport and urban systems and technologies" as well as "improved NMT access" do not fit under the AVOID section under Programme Component 1. These outputs refer to SHIFT to more sustainable modes, without necessarily reducing the need to travel. They should therefore be put under Program Component 2, where reference to NMT is already made.</li> <li>2. Under Program Component 2 (SHIFT), possibilities for fostering NMT beyond the access to transit stations should be explored more deeply. NMT should have a higher overall priority, as it is the least GHG emitting mode (zero emissions!).</li> <li>3. In addition, the SHIFT component should explicitly refer to MAINTAIN, as in many developing cities the issue is rather to maintain the current high modal shares of NMT and public transportation.</li> <li>4. With regard to knowledge sharing (component 4), the well-established Sustainable Urban Transport Project (<a href="http://www.sutp.org">www.sutp.org</a>) as well as the current GEF-funded project "Promoting</li> </ol>	<p>Noted. Improved Non-Motorized Transport (NMT) access and policy support for low-carbon transport and urban systems contribute to a shift to more sustainable modes, but in the broader context, also provide a supportive environment for the compact and transit-oriented development of cities in Asia and the Pacific. Therefore improved NMT and a supportive policy environment have features of both SHIFT and AVOID, depending on the specific circumstances. ADB will develop both outputs through the ASTUD program.</p> <p>Agreed. NMT will be given a high priority in ASTUD, for both access to transit and more broadly. Opportunities for fostering NMT will be prioritized as part of the process of refining the scope of GEF-funded activities for each ASTUD project prior to submission for CEO endorsement.</p> <p>Agreed. In the developing country context, the key focus is on maintaining the modal share of NMT and public transport. This is reflected in the ASTUD PFD which describes the SHIFT components as measures "to promote a shift to (<u>or keep trips on</u>) low-carbon transport modes".</p> <p>The ASTUD Knowledge Sharing component (described in this submission) outlines mechanisms for close cooperation on knowledge sharing activities with the Sustainable Urban Transport Project and other relevant programs.</p>

Source/ Comment	ADB Response for ASTUD Knowledge Sharing
Sustainable Transport Solutions for East African Cities” (GEF Sustran East Africa, <a href="http://www.sutp.org/gefsustran/">http://www.sutp.org/gefsustran/</a> ) should be considered for knowledge sharing purposes.	
<b>Council – France</b>	
<p>Opinion: favorable. Specific comments:</p> <ol style="list-style-type: none"> <li>1. AFD (French Development Agency) is currently considering co-financing a draft corridor express bus to Dhaka with ADB. This request for contribution of the GEF, including the promotion of non-motorized modes, which are complementary modes of bus speed, is in the right direction. The program is quite consistent and will benefit from a French commitment in Bangladesh through a French Development Agency soft loan</li> <li>2. With regard to funding multi-country and multi-object, the main issue could be the method of monitoring and evaluation of operations financed which are quite disparate</li> </ol>	<p>Noted. AFD has committed to co-finance the Baseline project for the ASTUD: Greater Dhaka Sustainable Urban Transport Corridor component (GEF ID: 4931).</p> <p>Agreed. The components of ASTUD are quite disparate and present a challenge for monitoring and evaluation (M&amp;E). A customized M&amp;E framework will be developed for each ASTUD project and described in detail in the CEO Endorsement submission for that project. The endorsed ASTUD: Greater Dhaka Sustainable Urban Transport Corridor project (GEF ID: 4931) illustrates this approach.</p>

## 2. GEF Secretariat Comments and Responses

TO BE ADDED AFTER INITIAL REVIEW



**ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS**

NOT APPLICABLE. No PPG Grant.

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW

PPG Grant Approved at PIF:			
<b>Project Preparation Activities Implemented</b>	<i>Amount Approved</i>	<i>Amount Spent Todate</i>	<i>Amount Committed</i>
<b>Total</b>			0

\* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee.

**ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)**

NOT APPLICABLE. No non-grant instrument used.