



सत्यमेव जयते



**MINISTRY OF URBAN DEVELOPMENT
GOVERNMENT OF INDIA**

**FINAL OPERATIONS DOCUMENT FOR
UNIFIED METROPOLITAN TRANSPORT AUTHORITY IN KOCHI**



**DEVELOPING OPERATIONS DOCUMENTS FOR
UNIFIED METROPOLITAN TRANSPORT AUTHORITY
(UMTA) AND URBAN TRANSPORT FUND (UTF)
PC1B1**

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The **Ministry of Urban Development** is the apex authority of Government of India at the national level to formulate policies, sponsor and support programmes, coordinate the activities of various Central Ministries, State Governments and other nodal authorities and monitor the programmes concerning all the issues of urban development in the country.



Sustainable Urban Transport Project (SUTP), an initiative of the Ministry of Urban Development, launched in May 2010, is a sequel to adoption of National Urban Transport Policy (NUTP), 2006. SUTP aims at building capacity in Indian cities and pilot projects with the concept of “priority for moving people, not vehicles”. It is financed by Government of India/ participating States & Cities and aided by World Bank, GEF and UNDP. The project’s funding, about INR 17.5 billion, is used in building capacity in Transport planning pan India and demonstration of six projects in different cities. Under technical assistance component of SUTP to improve National, State and local capacity to implement NUTP, various guidance documents are being developed and this operations document is a part of the same.

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LIST OF ABBREVIATIONS

AA	Alternative Analysis
AT	Auckland Transport
BRTS	Bus Rapid Transit System
CAG	Comptroller and Auditor General
CEO	Chief Executive Officer
CFI	Consolidated Fund of India
CMP	Comprehensive Mobility Plan
CPSE	Central Public Sector Enterprises
CRF	Central Road Fund
DfT	Department for Transport
DPR	Detailed Project Report
DRUCC	Divisional Railway Users' Consultative Committee
ERP	Electronic Road Pricing
FMD	Fund Management Division
GAAP	Generally accepted accounting principles
GCDA	Greater Cochin Development Authority
GIDA	Goshree Island Development Authority
GoI	Government of India
ICAI	Institute of Chartered Accountants of India
IFI	International Financial Institution
IFRS	International Financial Reporting Standards
INR	Indian Rupee
ITS	Intelligent Transport System
JnNURM	Jawaharlal Nehru National Urban Renewal Mission
KMC	Kochi Municipal Corporation
KMRL	Kochi Metro Rail Limited
KSRTC	Kerala State Road Transport Corporation
KURTC	Kerala Urban Road Transport Corporation
LAMATA	Lagos Metropolitan Area Transport Authority
LTA	Land Transport Authority
MBTA	Massachusetts Bay Transportation Authority
MoU	Memorandum of Understanding
MoUD	Ministry of Urban Development
MRTS	Mass Rapid Transit System
MYP	Multi-Year Programme
NIF	National Investment Fund
NREGS	National Rural Employment Guarantee Scheme
NUTP	National Urban Transport Policy
PSB	Public Sector Bank
SPV	Special Purpose Vehicle
STIF	The Syndicat des transports d'Île-de-France
STU	State Transport Undertaking
TfL	Transport for London
ToD	Transit Oriented Development

ULB	Urban Local Body
UMTA	Unified Metropolitan Transport Authority
UTF	Urban Transport Fund
VfM	Value for Money
VT	Versement Transport
ZRUCC	Zonal Railway Users' Consultative Committee

1. INTRODUCTION

1.1 INTRODUCTION

Urban transport is a crucial component of urban infrastructure and a lifeline for cities. A well-planned and developed transportation system is integral to economic and social activity and is a key facilitator in urban economic growth. In India, multiple agencies are responsible for urban transport at the national, state and city levels of the government. There exist overlaps and gaps in the functions of these agencies. Multiple laws both at the Central and State Government levels affect the efficiency of urban transport systems. Besides, in India, there is no comprehensive law that covers all aspects of urban transport. Thus, the problem at the legislative level is two-fold i.e. structural overlap and structural gap that manifests itself in the current fragmented institutional setup.

In 2006, the Government of India (GoI) through the Ministry of Urban Development (MoUD) released National Urban Transport Policy (NUTP), as a response to the growing transport challenges. The main features of NUTP 2006 are:

- Integrated land-use and transport planning
- Promoting the use of public transport in the face of growing urban transport demand
- Promoting non-motorised transport modes such as walking and cycling
- Equitable allocation of road space
- Use of cleaner and more efficient technologies in the urban transport sector
- Use of innovative financing mechanisms
- Capacity building of state and city officials and other stakeholders

NUTP 2006, inter-alia, recommends the creation of a Unified Metropolitan Transport Authority (UMTA) in all million plus cities to facilitate more co-ordinated planning and implementation of urban transport programmes and projects. It also envisages UMTA to manage integrated urban transport systems. According to the Working Group Recommendations on Urban Transport for 12th Five Year Plan, UMTA is envisaged as a full time professional body working under a city council with representation from all city agencies and stakeholders including the surrounding region. UMTA would holistically overlook formulation of proposals by multiple agencies involved in provision and management of urban transport such as municipal corporation(s)/municipality(s), development authority, transport department and traffic police, their strategy and policy functions, regulatory functions, transport demand management, resolution of day-to-day matters and monitor works assigned to these implementing agencies.

For UMTA to be effective at the city level, the legal and regulatory framework present at this level should support its existence. In this context, the current chapter describes the evolution of the concept of UMTA and the benefits intended to result from its creation. In the current framework, MoUD appointed consultant Deloitte Touche Tohmatsu India Limited Liability Partnership (erstwhile Deloitte Touche Tohmatsu India Private Limited) to assist cities in establishing UMTA

by development of city specific operations documents and other supporting material. This chapter outlines the purpose and potential application of these resources.

1.2 THE NEED FOR UMTA

The need for UMTA emanates from major demand-side challenges putting a pressure on the existing pool of urban transport facilities and services in Indian cities. It also derives from structural, supply-side inadequacies prevalent in the system of governance and legislation in India. Both these factors have been discussed below.

Increased demand for transport in Indian Cities

India is getting urbanized at a fast pace. New metropolitan areas are emerging and cities are expanding. In order to facilitate the smooth movement of people and goods from one end of the city to another, it is imperative that the transport system in place becomes increasingly efficient as the size of the city increases.

The demand for transport in most cities has increased substantially in recent years due to a variety of reasons:

- Burgeoning population as a result of both natural growth and migration from rural areas and smaller towns. This puts increased pressure on roads and public transport services.
- High concentration of employment activities in cities elevating the demand for transport
- Rising incomes accompanied by changing lifestyles and preferences
- Increased ownership and use of private vehicles
- Urban sprawl, leading to expansion of urban area to accommodate the population growth. This increases the amount of travel people need to undertake.

The consequences of increased travel demand in the face of limited urban transport facilities and services have been numerous:

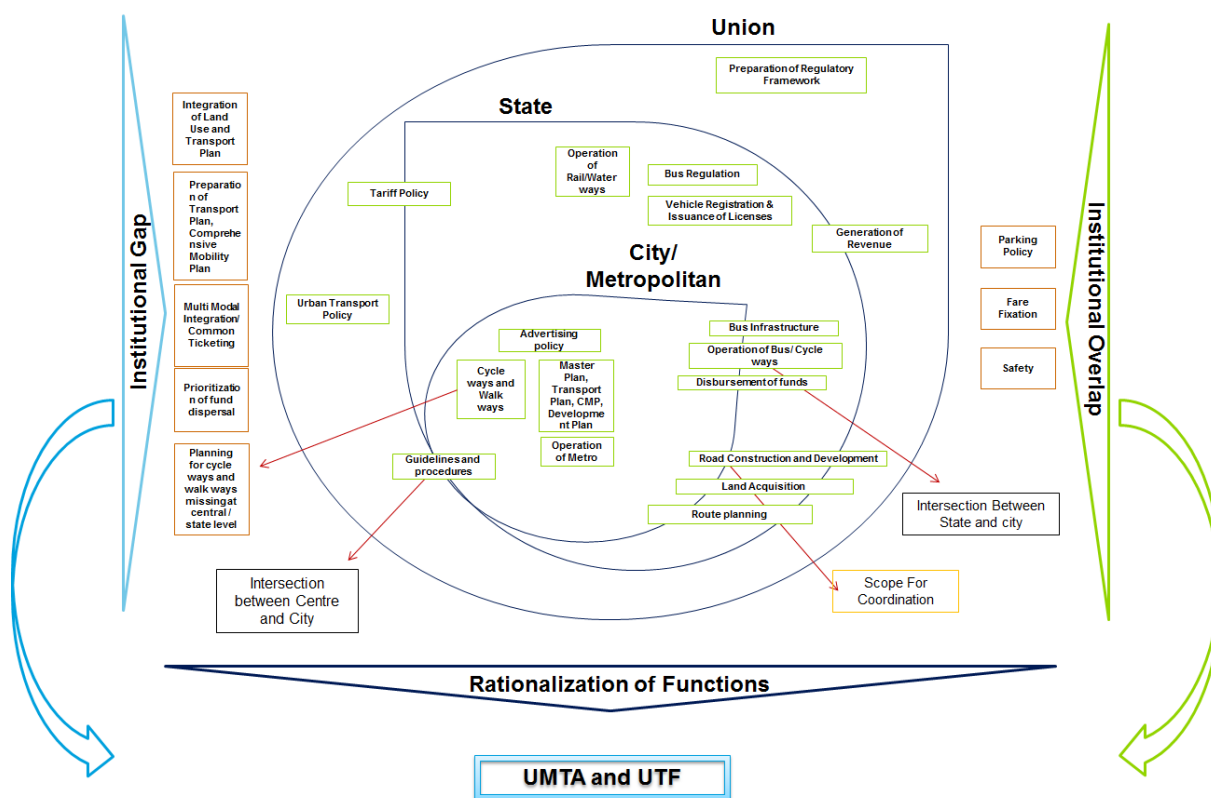
- It has resulted in expanding pressure on often insufficient, deteriorated and poorly managed urban transport systems.
- Increased motorization has led to issues like congestion, travel delays, loss of productivity, excessive fuel consumption, deterioration in the quality of air, noise pollution and an increased number of road accidents and fatalities.
- Limited accessibility to employment, services, education and other opportunities, in turn, has caused problems of social exclusion by preventing people from participating in work or learning, or accessing healthcare, food shopping and other key activities.

These problems call for urgent attention and concerted action that is required to be undertaken to renew the existing system of urban transport.

Structural inadequacies in planning urban transport

Presently, there is no legislation that covers the demand for urban transport comprehensively. Instead, there exists multiple rules and regulations at the Central and State Government levels that affect urban transport either directly or indirectly. These complexities get further aggravated by the multiplicity of authorities/departments involved, each with conflicting agendas and inadequate or ambiguous understanding of the variety of issues relating to urban transport. Thus, responsibilities of the Centre and States remain fragmented, thereby, hindering the development of integrated and sustainable urban transport systems. In the adjoining exhibit, intersections between different levels of government demonstrate the sequenced flow from policy to implementation. Certain functions such as land acquisition, route planning, etc. are carried out by agencies at all three levels, while others overlap between two levels of government. There exist certain functions such as integration of land-use and mobility plan, multi-modal integration, etc. for which no single agency is responsible, leading to gaps in the institutional framework. Therefore, better coordination across these three levels would lead to better execution of these functions. Exhibit 1 highlights the gaps and overlaps in institutional responsibilities.

Exhibit 1 Gaps and overlaps in Institutional responsibilities



Apart from the problems in institutions governing urban transport, it is important to recognize that tackling the challenges in the urban transport sector in Indian cities requires substantial investments. However, due to the lack of recognition of urban transport investment needs and conflicting demands of the general exchequer, investment in urban transport in the past has not kept pace with the rapidly increasing requirements of the sector (National Transport Development

Policy Committee, 2014). Such a scenario is neither desirable nor sustainable and needs to be proactively rectified on an urgent basis.

On the whole, it has been widely recognized that the implementation record of various urban transport functions has remained restricted due to a general lack of planning by the different agencies involved in the urban transport system. Thus, there is a need for an agency or a mechanism to facilitate the holistic planning of urban transport systems. This necessitates the case for setting up a Unified Metropolitan Transport Authority (UMTA), which would act as an umbrella body that facilitates integrated management and the coordinated planning of the urban transport system. UMTA would, thereby, herald effectiveness in urban transport planning, in an integrated and sustainable manner.

NUTP 2006 recognises that the structure of governance for the transport sector does not provide the right mechanisms to deal with urban transport problems. It, therefore, recommends setting up of Unified Metropolitan Transport Authority (henceforth called UMTA/ the Authority) in all million-plus cities to facilitate more co-ordinated planning and implementation of urban transport programmes and projects. In order to facilitate the integration of land-use and transport planning and to ensure that UMTA meets its goals, NUTP envisages reassignment of existing functions among agencies. According to the recommendations of the Working Group on Urban Transport in the 12th Five Year Plan, UMTA is envisaged to be an executive body governed by a Governing Board (henceforth referred to as Governing Board/ UMTA Board/ Board). The Board shall comprise heads of various departments in the city, local elected leaders and eminent citizens, and shall carry out various functions. These relate to policy formulation, regulation, undertaking integrated and holistic planning for transport services and associated infrastructure, coordination across different organizations and agencies and management of common facilities, etc.

The following section demonstrates some of the potential advantages of UMTA in Indian cities.

1.3 BENEFITS OF UMTA

1.3.1 Facilitates coordination among agencies and eliminates overlapping functions

At the city level, governments need to closely coordinate transport and land-use plans and related investments. The coordination and management of these tasks can be exceedingly complex, as it involves various departments and agencies at multiple levels of the government. As has been pointed above, from the transport perspective, certain functions like land acquisition and route planning are currently performed by agencies at all three levels of government viz. central, state and city levels, with limited or no coordination. Also, departments and agencies dealing in urban transport have varying missions, objectives, budgets, management styles, governance structures and staff profiles. Transport department staff often have little knowledge of urban planning and design, and urban planners have little knowledge of transportation, making seamless integration and implementation of the two difficult. For an urban transport strategy to be effective in this environment, the activities of each of these levels should integrate and the levels of strategy should be aligned. Much of the failure to achieve urban transport objectives or implement policy instruments effectively can be attributed to institutional weaknesses. The need for enhanced collaboration between institutions is indispensable when they are operating under an incentive

structure that does not induce concerted action. History tells us that cities that have failed to fix built-in incentives in their institutional structures are the ones that have also failed to address the problems of increasing road congestion, environmental deterioration and declining quality of public transport.

UMTA for metropolitan areas will facilitate coordination in both planning and implementation of urban transport programmes and projects (NUTP 2006). UMTA will render this coordination by including in its purview all planning and implementation functions pertaining to urban transport. This coordination of processes and functions will minimize duplication of efforts and eliminate ambiguities related to delegation of responsibilities. Further, institutional harmonization will overcome differences of approach and timing among various agencies involved, and facilitate quicker implementation of planned schemes. In light of the Indian urban transport experience, there exists a dire need to facilitate coordination between institutions and UMTA emerges as a logical situation.

Besides, the creation of UMTA is expected to reduce the plethora of agencies involved in urban transport, and by virtue of that – eliminate overlapping of functions. Depending on how functions are assigned to UMTA, and provided that responsibilities of other agencies are correspondingly adjusted, creation of UMTA can result in the elimination of overlapping of functions and reduction in the number of agencies involved in urban transport.

1.3.2 Facilitates integrated planning and management of urban transport

UMTA is envisaged to be a unified agency that directs planning, operations, and monitoring of various transport modes in a city. Decisions about transport systems include the form that urban development should take and how the available land should be utilized from the transport perspective. These decisions have spill over effects on each other, and other developmental agendas and thus there is a need to integrate transport planning. Integrated planning ensures that development of the transport network and land-use is allied, and that public funds are being efficiently utilized without causing any adverse impacts. One of the key objectives of UMTA is to enable urban mobility to be planned in a holistic and integrated manner. Thus, UMTA is expected to effectively integrate transport and land-use planning and also ensure coordination of the functioning of different departments.

UMTA shall also facilitate integrated multimodal planning and management of urban transport facilities and systems. This would particularly apply to interchanges between different modes of transport. To bring about integrated planning of facilities or systems, there is a need for rationalisation of functions and ownership rights of agencies that are currently undertaking the operation of multimodal integration transport facilities.

The various measures of integration that UMTA is expected to provide are demonstrated in Exhibit 2.

Exhibit 2 Measures of integration to be provided by UMTA

Integration	Description
Physical Integration	The land-use plan and transport plan should enable TOD to identify and spatially connect key demand generators of transport, thereby, providing improved connectivity to residences, offices and retail outlets.
Network Integration	Different networks should work complementarily to provide smooth and seamless connectivity. For example, bus routes should be designed in such a way that they feed into and support the mass transit systems. An essential part of network integration involves scheduling of services so that intra-modal and inter-modal services connect efficiently and effectively.
Fare Integration	A unified travel card for multiple transit services will facilitate convenient transfer between available modes. Cities such as Hong Kong, Singapore and London have demonstrated that a unified smart card system has underpinned the increase of public transport usage.
Information Integration	Information Technologies (IT) and Intelligent Transport Systems (ITS) can play important roles in integrated transport. For example, in Japan, all major railway stations have very clear signs, differentiating directions to the high speed rail network, the intercity train network and the suburban/local trains network. In addition, websites provide public transport users with information on the multi-modal transport options available and related details.
Geographical Integration	UMTA shall perform the function of connecting the city to peripheral towns and villages. It should undertake planning in the CMP by first defining the Urban Mobility Area, which may extend beyond the city. Thus, UMTA would ensure geographical integration by including the entire Urban Mobility Area in its jurisdiction and planning purview.
Institutional Integration	The Governing Board shall comprise representatives from all agencies and departments at the local, state and centre levels, performing any urban transport function for the particular city. UMTA will, thereby, create a platform for various planning, financing, monitoring and operational agencies to coordinate and integrate with one another, before performing their respective functions. This would ensure institutional integration and would prevent the agencies from operating in silos.

1.3.3 Facilitates multi-modal integration of transport services

The transport system in a city comprises several components such as land-use plans and development/master plans, road network and its associated infrastructure, parking facilities, the different modes of public transport systems and their associated infrastructure, private vehicles, the regulatory system, traffic management and enforcement system, etc. It is important that all these components work harmoniously, especially considering the inter-dependency factor which exists among them. UMTA is envisaged to be given complete control in the approval of all transport initiatives in its jurisdiction. Transport project approvals would be granted on the condition of their compliance with the Comprehensive Mobility Plan (CMP). All investments would reach the implementing agencies only after UMTA approves those investments. UMTA would approve investments only if the envisaged projects comply with the CMP. This concentration of power will ensure that adequate attention is paid towards providing services for all modes of transport, as decided in the CMP. UMTA shall prevent public resources from being

disproportionately channelized to the most commercially viable alternatives and move towards a more welfare-maximizing approach to allocate funds.

Further, UMTA will facilitate transport integration, whereby all modes of transport will operate as one 'seamless' transport service to enhance accessibility and mobility of the urban population. UMTA is expected to facilitate this integration among various transport modes by introducing integrated ticketing and integrated passenger information system.

1.3.4 Facilitates efficient fare structures

NUTP proposes that a regulatory authority should regulate charges for different types of public transport services, to ensure that fares that are charged are fair and reasonable. Current central and state laws actively work against this concept. Therefore, such laws would need to be changed for this to be achieved.

Fare structures have a significant influence on the demand for urban transport services. Adjustment of fares can increase the favourability and competitiveness of public transport services in relation to private transport modes. However, lowering the fare charged for public transport services may need to be supported by subsidies in order to prevent service providers from incurring losses. UMTA is envisaged to assign a dedicated source of revenue to enable provision of subsidies. UMTA is expected to set up regulatory/ institutional mechanisms to periodically revise fares of all public and intermediate public transport systems.

1.3.5 Facilitates research, studies and awareness

Research and development are other crucial functions which play an indispensable role in ensuring optimum utilisation and channelling of investment. In order to make informed decisions, data and information relating to the urban transport system should be made available to the agencies and the public. This includes travel patterns, segmented for different categories of city residents and modes of transport, and information on sustainable modes of transport. Such information proves useful in tailoring fare structures, specific to peak and off-peak periods, and enables service providers to practise price discrimination. Moreover, these research initiatives can enable maximisation of revenue, subject to meeting welfare objectives.

State and city authorities are in general ill-equipped in terms of trained staff to deal with the sheer increase in traffic volume or adopt advances in technology that would help them overcome urban transport problems. UMTA is expected to facilitate the application of guidance and consultancy services to urban transport problems in an integrated manner, and address the problems through research, studies, awareness campaigns and promotion of good practices in urban transport.

1.4 PURPOSE OF THE OPERATIONS DOCUMENT

MoUD has realised the importance of urban transport and the role of UMTA in the overall development of the sector. MoUD is encouraging State Governments to set up an UMTA in each of the million-plus cities to ensure coordinated planning and implementation of transport initiatives. However, there remains ambiguity among the city and State Governments regarding the precise form and role that UMTA should undertake, which is hindering and delaying the establishment

process. Some cities have requested MoUD to provide guidelines and procedures for establishment of UMTA, so as to help them gain a better understanding.

In this context, MoUD intends to assist the city of Kochi to smoothen the process of establishment of UMTA, by development of operations documents to act as handbooks for Kochi in setting up of UMTA and UTF¹(Urban Transport Fund).

1.5 APPLICATION OF THE OPERATIONS DOCUMENT

This manual is developed by MoUD as a guidance document for the city of Kochi to strengthen its UMTA and UTF. The objective of the manual is to provide operational guidelines and procedures to comply with the provisions of the UMTA Act and rules framed under it. The document lays down the details of laws of the Government of Kerala which may be applicable for setting up, operating and managing Kochi UMTA. The bill for Kochi UMTA is provided in Annexure I.

1.6 LIMITATIONS OF THE OPERATIONS DOCUMENT

The structure of UMTA will vary across cities. The guidelines mentioned in this operations document have been modified to suit to the specific needs of Kochi. Even though care has been taken to ensure that the document exhaustively cover all the contingencies of Kochi city, there may be certain elements which would require the document to be modified and revisited over time. Therefore, it is imperative that this document be updated periodically for developments, as experience is gained during the setting up of Kochi UMTA.

This operations document spells out the process that Kochi may follow to setup and operate an UMTA. It does not include technical and comprehensive details about how UMTA should carry out each function, although broad guidelines have been provided. The user is advised to refer to toolkits developed by MoUD for specific functions to be carried out by UMTA.

Finally, the operations document is expected to be used by policymakers/officials of Kochi Municipal Corporation and the Government of Kerala for deciding the most suitable institutional structure of UMTA that the city of Kochi should adopt. It is assumed that the user of this document has a good understanding of the city's transport system.

1.7 LAYOUT OF THE OPERATIONS DOCUMENT

This manual is divided into two major parts: **pre-operationalization** and **operationalization** of UMTA.

Pre-operationalization part highlights guidelines about the key activities to be undertaken to finalise the UMTA structure and draft UMTA Bill. The **Operationalization** part offers guidelines for commissioning activities which are required to be undertaken to set up the UMTA Board including the selection of a CEO of UMTA and a Secretariat. This section also outlines the steps required to operationalise various functions envisaged under UMTA.

¹ Please refer to Urban Transport Fund Manual

Chapter 1 provides an introduction to this manual highlighting how the concept of UMTA has evolved. It discusses the benefits of UMTA and the purpose, applicability and layout of this manual.

Chapter 2 describes the key rationale for setting up the UMTA in Kochi. It highlights the various laws and agencies involved in providing urban transport and related services in the city of Kochi. It also catalogues the distribution of various functions concerning urban transport among such agencies. Besides, this chapter conducts a detailed analysis of the legal and structural scenario which identifies persistent problems within Kochi's urban transport system.

Chapter 3 highlights the guidelines needed to be followed when identifying a Nodal Agency to initiate the process of establishment of UMTA and UTF for Kochi. The key role of the Nodal Agency will be to act as an overall facilitator for setting up UMTA, UTF and establish a Task Force which undertakes pre-operationalization activities. The role and responsibilities of the Nodal Agency and Task Force have also been provided in this chapter.

Chapter 4 provides guidelines for finalisation of structure of UMTA, including geographical coverage, Governing Board structure, institutional arrangements, organizational structure and functions.

Chapter 5 describes the guidelines for activities to be carried out by the Task Force during enactment of the UMTA legislation.

Chapter 6 deals with the aspects relating to operationalization of UMTA. This covers guidelines for engagement of consultant for handholding support, appointment of CEO of UMTA, setting up of Governing Board, organizational chart, delegation of powers, etc.

Chapter 7 deals with operationalization of UMTA's functions. This chapter provides guidelines for carrying out UMTA's functions including development of policies, programmes, standards and guidelines, Transport Investment Programme, Alternative Analysis and conducting research, studies and awareness activities.

Chapter 8 describes the broad procedures and guidelines to be followed to carry out day-to-day administrative and human resource matters of the UMTA Board and Secretariat. The policies and procedures on these matters comply with the legislative provisions of the UMTA Act.

PART I - PRE-OPERATIONALIZATION ACTIVITIES FOR SETTING UP OF UMTA

2. NEED FOR UMTA IN KOCHI

This chapter describes the key rationale for setting up UMTA in Kochi. It highlights various laws and agencies involved in providing urban transport and related services in the city of Kochi. It highlights the distribution of various functions concerning urban transport among such agencies. A detailed analysis of the legal and structural scenario leads us to identify the problems which currently exist in the urban transport system of Kochi. These problems have led to the evolution of the concept of UMTA under NUTP. The rationale and benefits for setting up UMTA in Kochi are discussed in the following sections.

2.1 OVERVIEW OF EXISTING LEGAL AND INSTITUTIONAL ARRANGEMENTS

The Constitution of India provides the framework for laws in India. In doing so, it makes provisions for different lists under which governments at different levels (national, state and city) can enact laws. However, urban transport is not an exclusive subject under any of the three lists given in the Constitution. In the city of Kochi, like in any other Indian city, there exists a plethora of laws and corresponding agencies at various levels, which collectively govern the urban transport system. However, there is no legislation that covers the needs of urban transport comprehensively. In such a scenario, the multiplicity of laws and authorities involved in urban transport functioning often gives rise to conflicting agendas of authorities, and a lack of understanding and coordination on various issues related to urban transport. Overlapping laws also create conflicts related to their interpretation, and often leave certain functions ambiguously defined, leading to functional gaps and lacunae in service provision. This existing fragmentation of responsibilities and powers is hindering the development of a robust, integrated and sustainable urban transport system in Kochi.

Currently, several agencies at the city level of Kochi (see Exhibit 3) are involved in the management of various components of urban transport. These include Kochi Municipal Corporation (KMC), Greater Cochin Development Authority (GCDA), Kerala State Road Transport (KSRTC), Indian Railways, State Water Transport Department, etc. Exhibit 3 briefly describes the functions of these agencies.

Exhibit 3 Role of existing institutions in Kochi

Agency	Centre/State/Local	Functions
Inland Waterways Authority of India (IWAI)	Centre	<ol style="list-style-type: none"> 1. Carry out surveys and investigations for the development, maintenance of the national waterways and the appurtenant land. 2. Setting up of infrastructural facilities for national waterways. 3. Provide for the regulation of navigation and traffic. 4. Regulate the construction or alteration of structures on national waterways. 5. Ensure co-ordination of IWT on national waterways with

Agency	Centre/State/Local	Functions
		<p>other modes of transport.</p> <p>6. Establish and maintain pilotage on national waterways.</p>
Greater Cochin Development Authority (GCDA)	Local	<ol style="list-style-type: none"> 1. Guiding the development in Greater Cochin region. 2. Preparation of structural plan for Cochin and vision documents for the region. 3. Identifying projects in order to attract development in certain parts of the region. 4. Maintain and collect rent from its shopping complexes at various locations.
Goshree Island Development Authority (GIDA)	Local and Islands	<ol style="list-style-type: none"> 1. Guide development in the Goshree group of islands. 2. Help bridge the gap between the islands and the mainland, in terms of infrastructure.
Kerala State Water Transport Department (KSWTD)	State	<ol style="list-style-type: none"> 1. Operates passenger services on majority of routes. 2. Takes care of ticketing and maintenance of its vessels.
Kerala Shipping & Inland Navigation Corporation (KSINC)	State	<ol style="list-style-type: none"> 1. Establish, maintain and operate shipping services and to purchase, charter, hire, build ships, tankers and other vessels. 2. Establish, maintain and operate transportation services for the transport of goods and passengers in inland water in the state of Kerala or elsewhere. 3. Run, organise, conduct and manage in the state of Kerala or elsewhere workshops, repair
Cochin Port Trust (CPT)	Central	<ol style="list-style-type: none"> 1. Major portion of Ernakulum boat jetty falls under the purview of the Cochin Port. Clearances have to be obtained from the Cochin Port Trust for operation of passenger or tourist boat services in this area. 2. Apart from the registration of the boats with the MVD, boats have also to be listed with the CPT before operating in this stretch.
Dept. of Irrigation	State	<ol style="list-style-type: none"> 1. Maintenance of all the water channels that do not come under the purview of IWAI. 2. Desilting and dredging of the channels and maintaining a steady minimum depth of 2m. 3. Ensuring that all jetties are usable throughout the year.
Kochi Municipal Corporation (KMC)	Local	<ol style="list-style-type: none"> 1. Ferry services from Fort Kochi and Vypeen to Ernakulum come under its purview. 2. Issue licenses to private operators to operate Jangar and boat services on the Vypeen-Fort Kochi stretch.

The responsibility of smooth functioning of the transport system within Kochi is fragmented and spread across different institutions. In essence, there is no effective planning and coordinating

agency or a common platform where individual plans of each of the agencies can be integrated, so as to improve the travel experience of the people.

2.1.1 Urban transport in Kochi is governed by several laws at the central and state levels

As discussed above, there exist various laws at the central and state level that directly influence the functioning of urban transport in Kochi. The presence of multiple laws leads to the constitution of distinct and different frameworks for various aspects of urban transport. Some aspects of urban transport are directly governed by laws enacted by the Union Parliament and some by laws enacted by Kerala State Legislature. The following is a list (refer Exhibit 4) of the various legislations applicable in the city of Kochi, which have a bearing on the urban transport sector.

Exhibit 4 Legislations pertaining to Urban Transport applicable in the city of Kochi

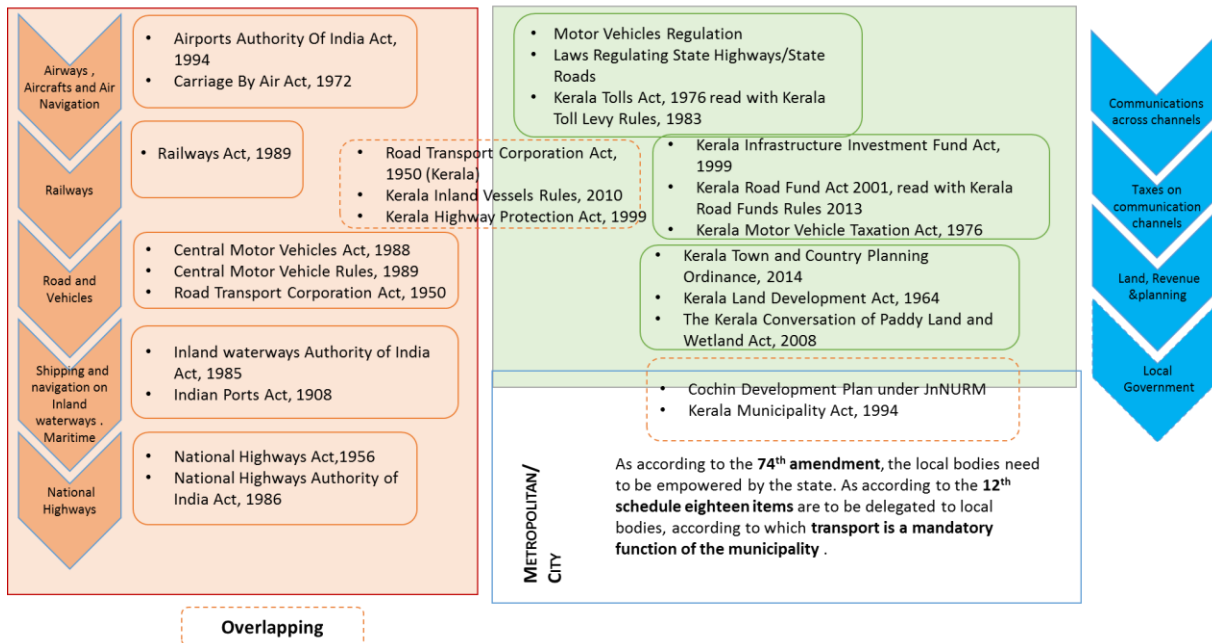
Legislations pertaining to Urban Transport applicable in the city of Kochi		
Sr. No	List of State Acts	List of central acts
1	Kerala Town and Country Planning Ordinance, 2013;	Indian Railways Act, 1989
2	Kerala Municipality Act, 1994;	National Highways Authority of India Act, 1988
3	Kerala Road Fund Act, 2001 read with Kerala Road Fund Rules, 2003;	The control of National Highways (Land and Traffic) Act, 2002
4	Kerala Highway Protection Act, 1999;	The National Highways (Collections of fees by Any person for the use of section of National Highways/ Permanent Bridge/Temporary Bridge on National Highways) Rules, 1987
5	The Kerala Land Development Act, 1964;	The Inland Waterways Authority Of India Act, 1985
6	The Kerala Land Development Corporation Limited (Special Powers) Act, 1974;	
7	Kerala Tolls Act, 1976 read with Kerala Toll Levy Rules, 1983;	
8	Kerala Motor Vehicle Rules, 1989 read with Kerala Motor Vehicles (Amendment) Rules, 2011;	
9	Kerala Road Safety Authority Act, 2007 read with Kerala Road Safety Authority Rules, 2007;	
10	Kerala Industrial Infrastructure Development Act, 1993;	
11	Kerala Infrastructure Investment Fund Act, 1999;	
12	Kerala Motor Vehicles Taxation Act, 1976;	
13	Kerala Value Added Tax Act, 2003;	
14	Kerala Road Transport Services (Validation) Act, 1957;	
15	Kerala Inland Vessels Rules, 2010;	

16	The Madras Town Planning Act, 1920; and	
17	The Travancore Town And Country Planning Act, 1120 ME (1945)	

2.1.2 No single law to cover urban transport comprehensively

As demonstrated above, in Kochi, there is no single law that comprehensively covers the requirements of the urban transport sector. Urban transport is not a unified subject matter in the framework established for legislative competence under the Constitution. For legislative purposes, some components of urban transport come under the jurisdiction of the Central Government; other components come under the jurisdiction of the State Government, while few others may be legislated by either Central or State Government. This overlap of the key laws governing urban transport in Kochi is presented in Exhibit 5.

Exhibit 5 Overlapping of the key laws governing urban transport in Kochi



2.1.3 Multiple laws lead to the creation of multiple agencies

The plethora of laws governing urban transport in Kochi has led to the emergence of multiple authorities with jurisdiction over various aspects of urban transport. These agencies play varied functions and have different agenda which may not be in harmony at times. Further, the fragmented distribution of power to control urban transport activities leads to structural deficiencies and performance. The following is a list of agencies that operate in the urban transport domain and have arisen out of the various laws described above:

1. Greater Cochin Development Authority (GCDA)

2. Kochi Municipal Corporation, the nine municipalities and twenty four Panchayats which constitutes the Greater Kochi Area
3. Goshree Islands Development Authority
4. Inland Waterways Authority of India (IWAI)
5. Cochin International Airport Limited
6. Transport Department, Kerala
7. Traffic Police
8. State and Regional Transport Authority under Kerala Motor Vehicle Rules, 1989 read with Kerala Motor Vehicles (Amendment) Rules, 2011;
9. Roads and Bridges Development Corporation of Kerala
10. Town and Country Planning Department, Kerala
11. Southern Railway zone of the Indian Railways
12. Capital Project Administration
13. Kerala Public Work Departments
14. Kochi Metro Rail Ltd. (KMRL)

It is evident that there exists multiple agencies which are playing various functions towards facilitation of planning, implementation, operation, and management of urban transport schemes in the city of Kochi. To enforce and regulate transport situations, these agencies introduce various legislations often parallel or conflicting in nature, thus resulting in the current fragmented nature of operation and governance. Following are some of the setbacks that occur within such a complex institutional structure:

1. **Limited coordination among agencies**

Each agency performs its own urban transport initiatives and there is either no or very little coordination with other agencies. Greater coordination across the three levels of governance as well as within each level would lead to better execution of urban transport functions. Thus, there exists a need for an agency or a mechanism to facilitate integrated planning of development of urban transport systems through better institutional coordination.

2. **Conflicting agendas**

Since multiple agencies emanate from multiple legislations related to urban transport, the agendas of certain agencies may be inconsistent with the agendas of others in the absence of an unambiguously defined legal framework. The various laws governing municipalities, urban local bodies and development authorities also govern other aspects such as transport, road, and planned development of an area that lies within the jurisdiction of the state. Therefore, there is a potential conflict and overlap between various agencies such as municipalities and development authorities over urban transport issues.

3. **Limited accountability**

Accountability is reduced when responsibilities are ambiguously defined and agendas are overlapping. Certain agencies may overlook performing certain responsibilities which are not clearly allocated or there is an overlapping of functions across agencies. In such instances, there is limited functional understanding among the agencies, which may reduce their

accountability towards those functions. This may compromise on the provision of integrated urban transport services to the public.

4. Isolated functioning

Agencies at the central level such as NHAI, Indian Railways, Airports Authority of India, Central Public Works Department, etc. as well as agencies at the city level such as Metropolitan Planning Committee/ District Planning Committee, are involved in framing of guidelines and standards, operation and building of public transport infrastructure, approval of projects, etc. These functions are carried out by these agencies in isolation. This may be a hindrance to an integrated urban transport system and coordinated planning.

Exhibit 6 presents a mapping of urban transport infrastructure to the respective agencies responsible for its provision in Kochi. It demonstrates that the responsibility of providing infrastructure for non-motorized vehicles and integrated services remains unassigned at present.

Exhibit 6 Mapping urban transport functions between different agencies

Regulatory Functions	<ul style="list-style-type: none"> •Department of Transport (The Motor Vehicles Department) •Kerala Pollution Control Board •City Traffic Police - Kochi •Finance Department, Kerala •Department of Urban Affairs, Kerala •Kochi UMTA
Strategic Policy Making	<ul style="list-style-type: none"> •Finance Department •Department of Transport (The Motor Vehicles Department) •Planning and Economic Affairs Department
Road Infrastructure	<ul style="list-style-type: none"> •Motor Vehicles Department •Kerala State Road Transport Corporation •Airports Authority of India
Sub-urban rail Infrastructure	<ul style="list-style-type: none"> •Indian Railways
Bus Infrastructure	<ul style="list-style-type: none"> •Kerala State Road Transport Corporation
Bus Services	<ul style="list-style-type: none"> •Kerala Urban Road Transport Corporation
Metro/Mono/Light Rail	<ul style="list-style-type: none"> •Kochi Metro Rail Limited
Integrated Services	<ul style="list-style-type: none"> •Kochi UMTA

2.2 OVERLAPPING OF FUNCTIONS BETWEEN AGENCIES

The structure of distributed jurisdiction for different aspects of urban transport between Kochi and Kerala as well as between various Central Government ministries and departments, has led to an overlapping of functions among various agencies. The distribution of responsibilities among multiple agencies results into repetition of certain tasks and omissions of other essential tasks. The following are some examples of overlapping functions that are being performed by multiple agencies in Kochi:

1. Planning

In Kochi, planning activities related to the transport sector fall under various laws like Kerala Town and Country Planning Ordinance, 2014; Kerala State Housing Board Act, 1971, The Kerala Land Development Act, 1964. Further, Kochi Municipal Corporation under the Kerala Municipality Act, 1994 is entrusted with the function of urban planning, including town planning. This overlaps with the function of the Department of Town and Country Planning.

Route planning for buses is done by the agencies operating the transport services like Kerala State Road Transport Corporation (KSRTC) and Kerala Urban Road Transport Corporation (KURTC). However, there is no systematic exercise to design an integrated network of public transport routes and services within the city.

2. Policy formulation

The Constitution of India and various urban reform initiatives advocate parking policy and advertisement policy which are to be devolved at the local level of government. However, within parking policy there is considerable overlap. Different agencies plying different modes of transport dictate parking policy within their own jurisdictions. In Kochi, fee, toll, taxes, cess and parking charges come under the ambit of the Kerala Municipality Act, Kerala Motor Vehicle Act, Kerala Motor Vehicle Rules and Kerala Tolls Act.

Tariff policy is decided by agencies at central and at state levels. Central level agencies such as NHAI, Indian Railways and Airports Authority of India are entitled to decide their tariff policy autonomously. There is limited coordination in tariff-setting between various agencies at the central and state levels, as well as with those agencies that levy parking charges.

Various authorities and agencies are involved in issuing permits for various tasks. For example, vehicle registration and license issuance are done by State/Regional Transport Authority. However, permits and approvals for construction of transport infrastructure like road, bus depots, parking lots, etc. are issued by Greater Cochin Development Authority (GCDA), Goshree Island Development Authority (GIDA), Kochi Municipal Corporation, Kerala State Water Transport Department (KSWTD), Kerala Shipping and Inland Navigation Corporation (KSINC), Kochi Port Trust, NHAI, etc.

3. Project implementation

There is lack of coordination among agencies related to the land development. Kochi Municipal Corporation is the primary agency responsible for road infrastructure. The other agencies involved in construction and maintenance of the city roads are GCDA, GIDA, PWD, KSRTC, Cochin Port Trust (CPT), KSWTD, KSIN.

Agencies such as GCDA, GIDA, Kochi Municipal Corporation, PWD, etc. are responsible for the construction and maintenance of roads, flyovers and other infrastructure projects within the city of Kochi. Intercity roads/ highways are constructed and maintained by State Highway Authority under KSTRC, Kerala Infrastructure Development Act and National Highways Authority of India under NHAI Act. Parking infrastructure is not an exclusive subject assigned to any one authority or agency but to various authorities like GCDA, GIDA, etc. according to their territorial jurisdiction.

2.3 GAPS IN FUNCTIONS AMONG AGENCIES

A structural gap exists in the urban transport sector, since various modes of mass rapid transit and aspects of transport planning, multi-modal integration, tariff and financing are not covered under any particular act. The term 'gap' refers to an urban transport function which is not included or comprehensively covered under any of the existing act as its primary function. There are some important functions that have been effectively excluded from the responsibilities of various agencies involved in urban transport of Kochi at present. Some of these functions have been highlighted below:

1. There exists no single agency with the legal responsibility for preparation of CMP that includes planning for MRTS, para-transit, non-motorized transport, pedestrian facilities, road network and associated facilities. No agency has the responsibility for integration of land-use planning and transport planning. Besides, no agency is responsible for preparing an integrated Multi-Year Programme on urban transport initiatives.
2. There is no agency specifically handling integrated services such as common ticketing, multi-modal passenger information and multi-modal terminals. This kind of institutional gap translates to commuter dissatisfaction since travel time and cost increase substantially.
3. Fare structures are set by agencies without taking into account the price structures of other modes of transport. This results in a gap with respect to modal fare fixing since the same makes it difficult to influence modal choice of users. Even within a particular mode of transport, fare structures vary widely.
4. Regulation of bus services is done by KSRTC and KURTC. Mostly, they ply buses only on those routes that are commercially viable.
5. Agencies such as Kerala State Transport Department, Kochi Municipal Corporation, GCDA and GIDA are ill-equipped to deal with problems related to urban transport management such as increase in traffic, change in technology or operation techniques. Also, learning and adoption of best practices which need to be incorporated by these agencies is missing.
6. No agency has the responsibility to develop and promote technology-based solutions for traffic management, transport planning and designing of transport systems.

Thus, certain aspects of urban transport such as integrated land-use and transport planning, multi-modal integration of passenger services, tariff-setting and financing are not adequately

covered in any of the existing central or state level Acts. Overlapping in the working of different agencies, lack of proper coordination and lack of dissemination of relevant data and information amongst different authorities/agencies are serious hindrances in the prevailing urban transport system within Kochi Urban Mobility Area.

This calls for Central Government Acts like the Railways Act 1989, Inland Waterways Authority of India Act 1985 and the NHAI Act 1986, to be amended such that the Government of Kerala can integrate the plans of these Central Government agencies with the local needs of the city. However, this alone will not be sufficient to solve the problem. There is a need for a comprehensive Urban Transport Act to incorporate plans of central agencies like NHAI, Indian Railways, etc. with the plans of State Government and ULBs to ensure better coordination of available transport systems and services. In the absence of such legal amendments, urban transport will continue to be the secondary responsibility of several agencies as their scope will continue to remain restricted. In this scenario, efforts have been made to coordinate the multiple agencies involved, but this is a difficult task when each has its own legislative backing and mandate.

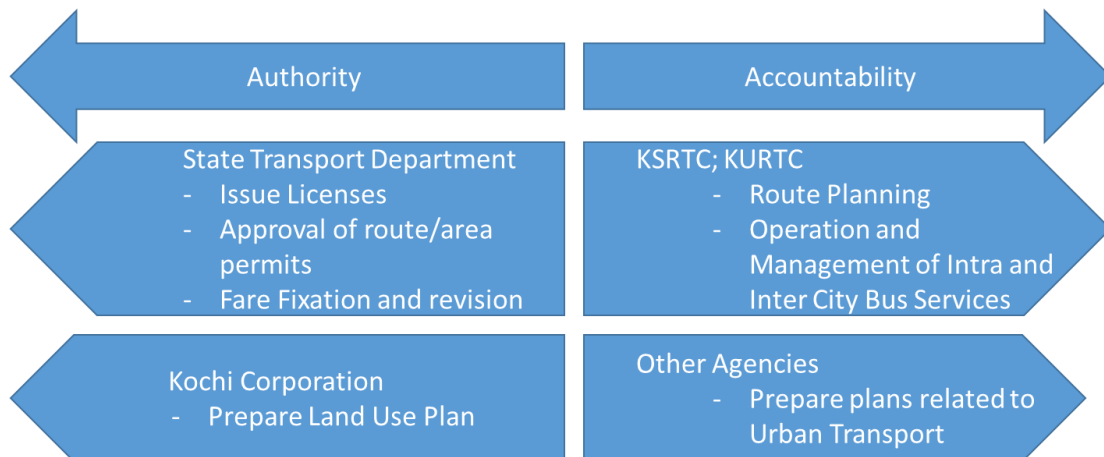
2.4 RATIONALIZATION OF FUNCTIONS - AUTHORITY ↔ ACCOUNTABILITY

Authority and accountability are closely related and should go hand in hand. It is imperative to delegate authority to an agency which can be held accountable for the implementation of its functions. In order to bring about integrated management and the development of urban transport facilities and systems, there is a need for rationalization of functions and ownership rights of agencies (refer Exhibit 7).

Some instances where authority and accountability diverge between agencies in Kochi have been exemplified below:

- As per the sanction order of the GoI, Kochi Metro Rail Ltd (KMRL) which functions as a Special Purpose Vehicle (SPV), is responsible for the implementation, operation and maintenance of Kochi metro project. However, KMRL does not have the operational jurisdiction for planning other public transport services like buses, railways, water transport, taxi and auto rickshaw services in Kochi. It is the State Transport Department which issues licenses and route permits to various vehicles. It may be the case that the State Transport Department issues licenses to buses as well as intermediate transport modes like autos and mini-buses on the same route, causing the latter to undercut fares of buses to increase their revenue. Such a scenario interrupts the smooth movement of people from one point to another, as other modes of transport do not offer the same luxury and facilities that are expected to be offered by the metro.

Exhibit 7 Rationalization of functions



- Kerala State Transport Department has the authority to approve and revise fares for buses that are provided by private bus operators in Kochi. In the event of a diesel price hike or when the cost of operating buses increases, operators may propose an upward revision in fares. However, state transport undertakings, in the process of taking an informed decision, may delay approving the revision, causing the bus operators to incur losses during that time; unless they reduce the number and/or frequency of buses under operation. Once again, this may disrupt the smooth functioning of buses, for which KMC would be held responsible.
- In another instance, in Kochi, the responsibility of preparing the land-use plan lies with Kochi Municipal Corporation. However, Kochi Municipal Corporation is not accountable for preparing plans related to urban transport. In such a scenario, in the event of any failure in urban transport planning, Kochi Municipal Corporation is not held accountable. Therefore, it is imperative to assign transport planning to a separate agency and ensure that land-use and transport plans are integrated.

Therefore, there is a strong case for establishing an authority which undertakes the responsibility for carrying out clearly defined and distinguished urban transport functions in Kochi Urban Mobility Area.

2.5 CONCLUSION: RATIONALE FOR SETTING UP UMTA IN KOCHI

A single coordinating agency, such as UMTA, can be better placed to manage the existing institutional gaps and institutional overlaps amongst various agencies in urban transport at the city level. Based on a thorough review of the existing institutional framework for transport planning and governance in Kochi City, the following are three key reasons that emerge as the rationale for setting up UMTA:

1. **Bridging the institutional gap** - Under existing institutional arrangements, there are gaps in functions which are not assigned to any agency. These functions include common ticketing, integration of land-use plan with transportation plan, multi-modal integration, developing and implementation of technology based solutions etc. These functions can be considered for UMTA.

2. **Addressing institutional overlap** - Multiple laws have been passed that have given rise to multiple agencies. Thus, the power to control urban transport activities leads to a structural overlap which is disabling and does not allow for unified planning or implementation. Currently, overlaps related to policy formulation, project approval and regulatory functions have been observed. UMTA would streamline the functioning of various agencies by eliminating functional overlap.
3. **Accountability** - There are certain functions which are successfully performed by existing agencies but can be rationalised and given to UMTA so that as an authorizing agency, UMTA also remains accountable. Rationalisation of functions will ensure integration and coordination of urban transport projects within Kochi.

3. IDENTIFICATION OF NODAL AGENCY AND ESTABLISHMENT OF TASK FORCE

3.1 INTRODUCTION

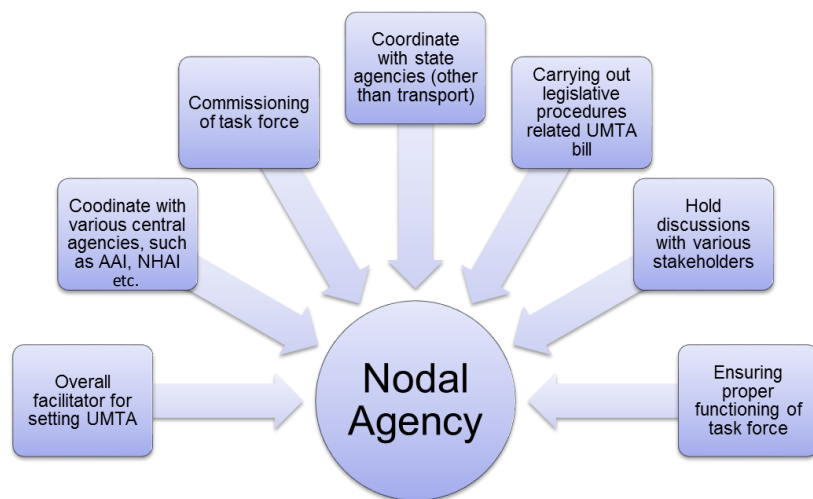
This chapter highlights the guidelines to be followed in identification of a Nodal Agency to initiate the process of establishment of UMTA and UTF in Kochi. The Nodal Agency can be selected from amongst the existing agencies in the state of Kerala, which are involved in providing urban transport services. The key role of the Nodal Agency will be to act as an overall facilitator for setting up of UMTA and UTF and establishing a Task Force for undertaking pre-operationalization activities. These activities will include formulating guidelines about the tasks to be undertaken by UMTA, finalizing the structure of UMTA and drafting the UMTA Bill. The role and responsibilities of the Nodal Agency and Task Force are also provided in this chapter.

3.2 FUNCTIONS OF NODAL AGENCY

The proposed functions of the Nodal Agency have been presented in Exhibit 8, and are described below:

- The Nodal Agency’s most important function shall be to facilitate the process of setting up of UMTA in Kochi. In other words, it will be the administrative department that will implement the establishment process of UMTA.
- The Nodal Agency shall act as the bridge between various city, state and national level agencies. As there are a lot of agencies involved, the presence of a common point will help in carrying out the task more smoothly.
- Another significant assignment that is to be performed by the Nodal Agency is to set up a Task Force for carrying out the pre-operationalization tasks. These tasks include finalizing the UMTA Bill and assisting in passing the same. The Task Force shall comprise representatives and experts from various fields.
- There are several agencies at the state level other than the key agencies that are involved in planning and implementation of projects. The Nodal Agency will facilitate the coordination among them.

Exhibit 8 Functions of the Nodal Agency



- The Nodal Agency shall help in carrying out the various legislative procedures that precede the establishment of UMTA through a Bill. In addition, it will review the tasks being performed by the Task Force.
- The Nodal Agency shall also be responsible for holding discussions and seminars with the stakeholders to update them about the progress and seek their suggestions regarding implementation.
- The Nodal Agency shall also be responsible for framing the rules and regulations of UMTA, once the Bill is passed.

3.3 IDENTIFICATION OF THE NODAL AGENCY

A prerequisite to set up UMTA for Kochi Urban Mobility Area is to make a particular agency responsible for managing the establishment process of UMTA. This agency shall act as a nodal point of contact between the multiple agencies involved in Kochi's urban transport system and can be termed as the Nodal Agency.

The Nodal Agency is envisaged to have urban transport representatives from Kochi Municipal Corporation, GCDA, Kerala State Road Transport (KSRTC), State Water Transport Department, along with representatives from the respective ministries (MoUD, MoRTH, Indian Railways, NHAI, etc.) of the Central Government. However, because urban transport is a state subject and the formation of UMTA requires statutory backing by enacting of special laws and legislations, and drafting operational procedures, it is advisable to appoint a state level agency as the Nodal Agency.

Currently, as the Government of Kerala has approved the implementation of UMTA under the control of Kochi Metro Rail Limited (KMRL), KMRL can continue to act as the Nodal Agency for setting up of UMTA for Kochi Urban Mobility Area.

3.4 ESTABLISHMENT OF TASK FORCE

The Task Force, constituted by the Nodal Agency, will be responsible for providing it with handholding support in carrying out the pre-operationalization activities of UMTA and UTF.

During the process of setting up of UMTA, the Task Force is envisaged to be an independent body, not influenced by any particular stakeholder of the urban transport sector in Greater Kochi Area. The Task Force is also expected to be dedicated only towards the establishment of UMTA and UTF. Since Government of Kerala has approved the implementation of UMTA under the control of Kochi Metro Rail Limited (KMRL), it should commission a Task Force under its ambit.

3.4.1 Functions and powers of Task Force

The Task Force shall have the sole objective of managing the establishment of UMTA and UTF. Once constituted by the Nodal Agency, the Task Force shall be responsible for providing it with handholding support in carrying out pre-operationalization activities in establishing UMTA and UTF. The key responsibilities of the Task Force have been described below:

Finalization of UMTA structure

- The Task Force would be required to finalize the UMTA structure in terms of its geographical coverage, institutional arrangement, composition of Governing Board, specification of functions, organisational structure, etc. The Task Force will decide and finalize on the structure after a thorough review of the existing urban transport system. The Board structure shall be decided based on the criteria for composition of government and non-Government representatives. The finalization of the UMTA structure will also be affected by the fact that Kochi is already in the process of setting up UMTA.

Stakeholder consultations

- The Task Force would organize stakeholder consultations for finalisation of the draft UMTA Bill. The stakeholders shall include all agencies at the city, state and national levels, which are involved in any aspect of urban transport. These may include public and private sector institutions, transport associations, chambers of commerce, non-government organizations and citizen representatives. The Task Force shall be required to facilitate consultations for soliciting inputs and opinions of all stakeholders, before finalizing UMTA's structure.

Assistance in enactment of UMTA Bill

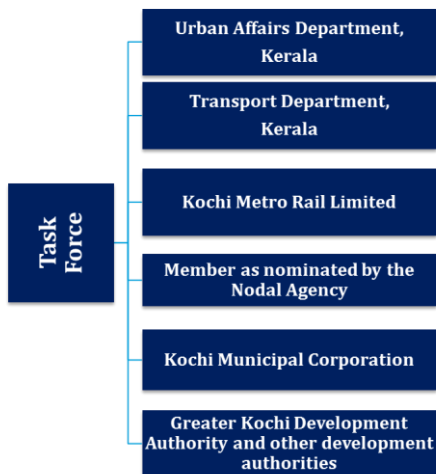
- The Task Force shall be formed to undertake all activities on behalf of the Nodal Agency in passing the legislation for enactment of the UMTA Bill. It shall act as an interface between various agencies involved in urban transport and the Government of Kerala, in finalizing the UMTA Bill. In this regard, it is expected to work alongside the state's legal department and provide it with all necessary support.

Assistance in organizing initial Board meetings

- The Task Force shall assist in the preparation of invitation letters and notices to Governing Board members for participation in UMTA's meetings. It shall also assist in organising initial meetings of UMTA, with a view to identifying and finalizing its vision, mission and goals. The Task Force shall identify any further course of action required for operationalising UMTA.

Other than the key functions highlighted above, the Task Force shall, at all times, coordinate with the Nodal Agency and other agencies (central, state and local government agencies) involved in UMTA. It shall provide all the required support to the Nodal Agency on matters related to setting up of the UMTA. Further, the Task Force shall make itself fully aware about the transport situation in Kochi Urban Mobility Area and be equipped with all information for finalization of UMTA and UTF structure, including all the administrative processes of setting up of the Authority.

Exhibit 9 Composition of Task Force



3.4.2 Composition of Task Force

The Task Force is envisaged to decide and finalize the blue-print of UMTA. Therefore, it is important that it be composed of officials who have functional expertise in the areas under the purview of UMTA, and at the same time, have domain expertise in the urban transport sector. In light of the various functions that have been proposed to be performed by UMTA in the UMTA Bill attached in Annexure I, it is recommended that the Task Force should have representatives from departments at the local, state and national levels.

Representatives from these departments would ensure domain expertise. However, for the Task Force to finalize the functions and operations of the Authority, it is crucial that the body should comprise individuals who have functional expertise in transport planning, public transport management and finance. Therefore the Nodal Agency shall also be given the authority to nominate other members of the Task Force who have professional experience and expertise in the field of transport planning. The suggestive composition of the Task Force is depicted in Exhibit 9.

3.5 CONCLUSION

This chapter discussed the identification and setting up of the Nodal Agency which shall bring together a Task Force responsible for the initiation of UMTA. The next chapter discusses some of the major options confronting the Task Force regarding UMTA, such as geographical coverage, structure of the Governing Board, its functions, institutional arrangements and organizational structure.

4. FINALISATION OF UMTA'S FUNCTIONS AND STRUCTURE

4.1 INTRODUCTION

This chapter provides guidelines to be used for finalising Kochi UMTA's structure and functions. As mentioned in the previous chapter, the Task Force shall be responsible for finalizing the structure of the Governing Board and its functions, and presenting the UMTA Bill to the Government of Kerala for its enactment.

This chapter includes guidelines for the following aspects of UMTA's structure:

- Geographical coverage;
- Governing Board structure;
- Functions;
- Institutional arrangements; and
- Organizational structure.

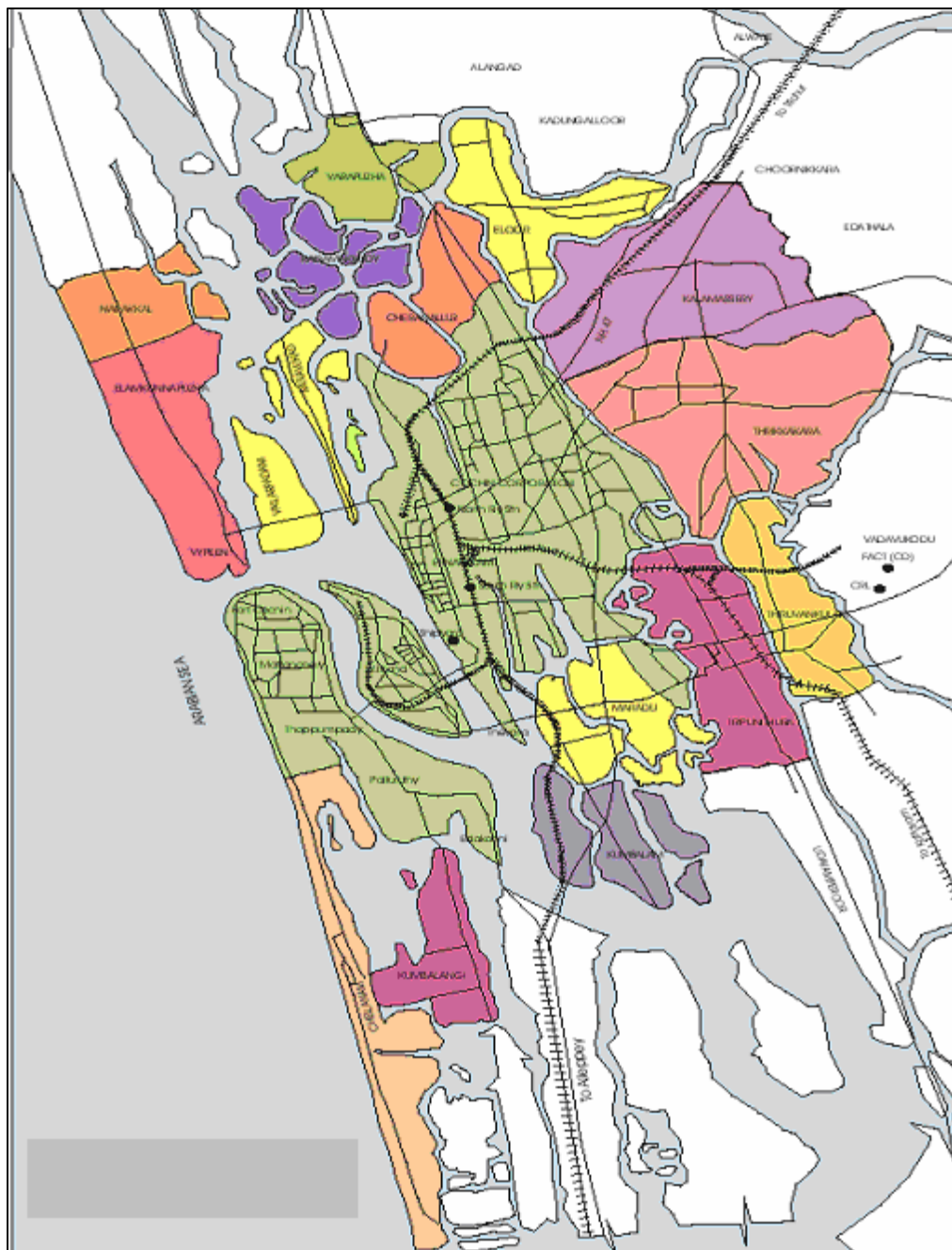
4.2 GEOGRAPHICAL COVERAGE

The city of Kochi is located in Ernakulum district of the state of Kerala. It is the commercial and industrial hub of Kerala. Geographically, Ernakulum district is situated between Northern Latitude 9° 47' and 10° 17' and Eastern longitude 76° 9' and 76° 47'. It is bounded by Thrissur district on the north, Alappuzha and Kottayam on the south, Idukki on the east and Lakshadweep Sea on the west. The importance of Kochi in the region is evident from its population size and growth. Kochi Urban Agglomeration (UA) is the most economically forward looking growth region in the state of Kerala.

The Urban Agglomeration (UA) of Kochi (formerly known as Cochin) is a part of the Greater Cochin region and the largest in the Indian state of Kerala. The area constituted on the basis of census data 2011, consists of Kochi Municipal Corporation, 9 municipalities, 14 Panchayaths and parts of 4 Panchayaths. The 9 municipalities are Thrippunithura, Maradu, Thrikkakara, Kalamassery, Eloor, North Paravur, Perumbavoor, Aluva and Angamali. The fourteen Panchayaths it consists of are Cheranelloor, Varapuzha, Chennamangalam, Kadamakkudy, Mulavukad, Kadungalloor, Alengad, Chengamanad, Nedumbassery, Chottanikkara, Choornikkara, Edathala, Kumbalam, Kottuvally and Vypin Island.

The total population of Kochin UA as per 2011 census was 11,64,225. It is projected to reach 22,73,512 by the year 2031 (these figures include migration and floating population components). Greater Kochi's urban agglomeration is pictured in Exhibit 10.

Exhibit 10 Greater Kochi urban agglomeration²



UMTA is envisaged to be central to Kochi city’s urban transport system. Therefore, UMTA’s geographical coverage should include the entire Kochi urban area, so that all residents within the urban area are able to benefit from developments in urban transport.

This means that UMTA should consist of the Municipal Corporation limits of the city of Kochi, urban limits of the nine municipalities and twenty four Panchayats around the Municipal

² Source: Kochi Master plan 2031

Corporation limits of the city of Kochi. The geographical coverage of Kochi UMTA, termed as Kochi Urban Mobility Area, should be clearly defined in the UMTA Act.

4.3 GOVERNING BOARD STRUCTURE

Kochi UMTA is envisaged to be a full time professional body with representation from all city and state level transport agencies and associated stakeholders. KMRL, which has initiated the formation of Kochi UMTA, has proposed a Governing Board for the Authority. This Board shall form the core decision-making management of UMTA and is expected to execute all functions that the Authority has been assigned.

The composition of the governing body of the UMTA will have a major impact on streamlining its functions and in coordinating with various stakeholders in the urban transport sector. Keeping that in mind, the Governing Board should comprise representatives from relevant central, state and city level agencies involved in the urban transport system. The Board should also be well represented by beneficiary groups such as citizen forums, civil society, etc. as all these members are stakeholders in urban transport matters and decisions. The idea behind stakeholder representation on the Governing Board is to allow for interest groups to be directly involved in making decisions regarding planning, coordination, oversight and management of all transport related matters. The composition of Kochi UMTA's Governing Board is provided in Exhibit 11.

The Governing Board of the UMTA shall essentially perform the following functions:

- To monitor and oversee proceedings of the Task Force in setting up UMTA;
- To be accountable to the Government of Kerala in matters of urban transport;
- To undertake the overall responsibility of UMTA's functioning;
- To undertake strategic decisions regarding the UMTA's functions related to CMP preparation, project prioritization, Alternative Analysis, Transport Investment Programme;
- To set timely targets for UMTA and conduct progress reviews to assess performance;
- To provide a forum where stakeholders can have discussions on the decisions of the Authority.

Exhibit 11 Composition of Kochi UMTA Governing Board as per the G.O (MS) date 6th June 2015

DESIGNATION	Chairperson/Vice-Chairperson/Member
Representative from Government of Kerala	
Minister for Transport	Chairperson
The Mayor, Kochi Municipal Corporation	Vice-Chairperson
The Managing Director, Kochi Metro Rail Limited	Member Secretary
The Transport Commissioner, Government of Kerala	Member

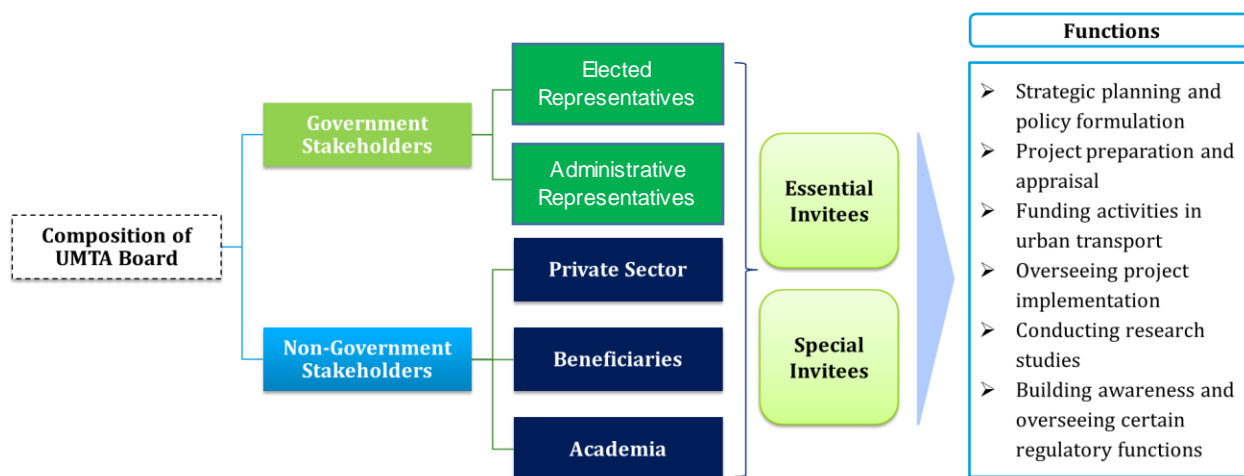
DESIGNATION	Chairperson/Vice-Chairperson/Member
Secretary, Greater Cochin Development Authority	Member
Secretary, Transport Department, Government of Kerala or Nominee	Member
Secretary, Urban Development Department, Government of Kerala or Nominee	Member
Secretary, Finance Department, Government of Kerala or Nominee	Member
Secretary, Public Works Department, Government of Kerala or Nominee	Member
Secretary, Irrigation Department, Govt. of Kerala or Nominee	Member
City Police Commissioner, Ernakulum or Nominee	Member
Managing Director, Kerala State Road Transport Corporation or Nominee	Member
Managing Director, Kerala Urban Road Transport Corporation or Nominee	Member
Secretary, Goshree Islands Development Authority	Member
District Collector, Ernakulum	Member
Chief Town and Country Planner, Government of Kerala or Nominee	Member
Secretaries of the Kochi Municipal Corporation	Member
Secretaries of the adjoining nine municipalities	Member
Secretaries of the adjoining twenty four Panchayats	Member
Representative from Central Government	
General Manager, Southern Region, Indian Railways	Member
Officer, National Highways Authority of India (as nominated)	Member
Officer, Inland Waterways Authority (IWAI) (as nominated)	Member
Representative, Cochin International Airport Limited	Member
Representative, Cochin Port Trust	Member
Non- Government representatives	
Traffic and Transportation Expert	Member
Corporate Governance, Law and Finance Expert	Member

It is proposed that representation from Divisional Railway Users' Consultative Committee (DRUCC) and Zonal Railway Users' Consultative Committee (ZRUCC), or any committees of the Central Government agencies, be included in the UMTA Board, which could be done through the representation from the agency itself, such as the Indian Railways. Also, the Chairperson of the Governing Board of UMTA would nominate one of the members from UMTA to be included in the meetings of any committees formed by the Central Government agencies such as the Indian Railways (ZRUCC, DRUCC), NHAI, etc. This would ensure that decisions of the Central Government agencies, having a bearing on the transport system in the Urban Mobility Area, are taken after incorporating UMTA's suggestions.

It is recommended that the Board should be made flexible with different options, and the final decision on who is to be a member may be taken by the Task Force in consultation with Government of Kerala. The number of members required for regular operation of UMTA shall be finalized by the Chairperson at the time of formation of the Board.

Further, members could also be categorized as Essential Invitees (essentially invited for all meetings) and Special invitees (invited only when deemed necessary for a particular meeting), so that Board meetings can be fast-tracked and the presence of relevant stakeholders is maximized. The proposed composition and functions of the UMTA Governing Board are presented in Exhibit 12.

Exhibit 12 Representation and functions of the Governing Board of UMTA



It is also envisaged that in order to enable fair representation of each department and agency performing urban transport functions, each member shall be granted the right to cast one vote regarding approval of the decisions undertaken. This would mean that the Board shall act on behalf of all stakeholders and beneficiaries of the urban transport sector who are represented on the Board. Decisions would be taken through a consensus, and in case no consensus is reached, the decisions would be taken by a majority of votes, with the Chairperson casting a vote only in the event of a tie among members' votes. Special and Essential Invitees shall not have voting powers.

Role of Chairperson, Members, Essential Invitees and Special Invitees

1. **Chairperson:** The Chairperson shall be de jure head of UMTA. Preferably, the Chairperson shall be an officer nominated by Government of Kerala of a rank not below that of Secretary to the Government of Kerala. The reason for this is to keep the status of UMTA at par with ULBs in Kochi such as Kochi Municipal Corporation, Greater Cochin Development Authority and Goshree Islands Development Authority. Only in the event of a tie between votes of the members, shall the Chairperson exercise his/her vote on decision matters pertaining to UMTA.
2. **Members:** These shall comprise officers from various departments from Government of Kerala as well as ULBs in Kochi Urban Mobility Area. Various departmental heads and senior level officers are proposed as members. UMTA members shall undertake all decisions relevant to the functioning of UMTA by exercising their right to vote. Each member, who shall be a departmental representative, shall exercise his/her vote on behalf of the department.
3. **Special Invitee:** Special Invitees shall comprise officers from national level departments such as Indian Railways, Airports Authority of India, NHAI, etc. who may be invited to be a part of the Governing Board at the request of the Chairperson, as and when deemed necessary for specific meetings. That is to say, they may be invited only when the subject matter and agenda of the meeting hold potential concern and interest to their respective departments. Special invitees are not envisaged to have voting rights.
4. **Essential Invitee:** This category includes all other pertinent urban transport stakeholders who have not been included in the previous categories. These include experts from various realms relating to urban transport including finance, law, public transport, etc.; citizen representatives and organised beneficiary groups; and technical and research institutes undertaking transport research. A fixed proportion or all of these persons may be mandatorily invited to all UMTA meetings. These persons should be consulted so as to make the decision making process inclusive, transparent and technically sound. Essential invitees are not to have voting rights; however, the expert advice tendered by them shall be recorded.

4.4 ORGANIZATIONAL STRUCTURE

The organizational structure of an authority reflects the division of responsibilities among its units that work in coordination to accomplish its overall objectives. Generally, while designing the organizational structure of an authority, specific individual units that handle one or more of the distinct responsibilities of that authority are identified. Additionally, some support units should be identified that enable the other units to carry out their functions. These units may be referred to by different terminologies such as cells, divisions, wings, departments, etc.

The other important consideration related to organizational structure is that of staffing the Authority. This entails identifying the required number of staff, their experience and background, etc. Guidelines for these are provided below.

4.4.1 Organizational structure of Kochi UMTA

In consultation with various agencies involved in the urban transport system in Kochi, the following

is a broad list of functions that have been proposed for Kochi UMTA:

- Transport planning
- Transport management
- Funding selected urban transport activities
- Regulation
- Conducting research studies and awareness

Individual units may need to be put in place to carry out each of these equally crucial and distinct functions. An important consideration while identifying individual units is the synergy among them. For example, the research and studies function is dissimilar from the policy making function. However, a single unit may be envisaged for these functions, which brings in synergy and results in efficient operations. In case any of these functions are not included as functions of UMTA, suitable modifications may be considered.

A suggested approach to ensure efficient operations is to keep the authority lean and suitably outsource some activities to specialized entities. A lean organizational structure will lead to identification of selected positions with specific responsibilities. This will also depend on the size of the Urban Mobility Area which comes under UMTA's purview and other local factors. In this regard, options for functions that may be outsourced could include UTF management, accounting, information technology, ITS and communications, etc. Consultants could be engaged for activities such as preparation of CMP, development of procedures and guidelines, review of proposals and audit of implementation, preparation of contracts, preparation and delivery of awareness campaigns and conducting research.

Because of the high level of responsibility, the UMTA needs to attract highly experienced, capable, and professional staff for performing its functions in an effective and efficient manner. In order to meet this objective, it is suggested that UMTA opt for a mix of deputised and permanent staff.

Hence, Kochi UMTA shall request each of the Governing Board representative (as mentioned above) to depute or nominate its staff for UMTA. This would facilitate quick staffing, as the deputed staff will have high level of familiarity with the procedures and processes of an authority. Simultaneously, Kochi UMTA shall recruit employees from the open market for permanent positions. This option would ensure that fresh and precise talent is acquired to work in UMTA on a full-time basis.

4.5 FUNCTIONS OF UMTA

The functions assigned to UMTA will dictate aspects of its design. Hence, attention needs to be given when deciding the functions that will be performed by Kochi UMTA. The finalization of functions that Kochi UMTA is assigned, is the generated outcome of analysis of the functional gaps, functional overlaps, and the overall situation of urban transport in Kochi, in terms of planning, coordination and integration of different modes, etc.

The functions of Kochi UMTA can be broadly categorised into the following groups: policy making, planning for infrastructure and services, regulatory functions, overseeing operation of public transport modes and supervision of construction and maintenance of infrastructure. Among these functions, strategic policy making is a prerogative of the Central Government and Government of Kerala. NUTP is an example of such a policy, drawn at the Centre, which incentivises both the state and cities to improve and develop their transport systems, by providing the requisite direction and resources. Apart from this, Kochi UMTA is expected to undertake planning and regulatory functions, to ensure that a well-coordinated urban transport system exists within Kochi Urban Mobility Area. Since UMTA would mostly be a planning and regulatory body, it is not expected to undertake functions related to public transport operation and construction and maintenance of infrastructure, which may continue to be performed by implementing agencies. The following sections show the key considerations and guidelines that may be referred to, when finalizing UMTA's functions.

Key Considerations

- ✓ Is the UMTA filling institutional and governance gaps currently curtailing the urban transport sector?
- ✓ Is the UMTA able to resolve the existing legal and institutional overlaps, leading to unambiguous urban transport planning and operation?
- ✓ Does there exist clear assignment of responsibilities and powers between urban transport agencies?
- ✓ Are the urban transport functions rationalized and logically assigned?
- ✓ Has the UMTA been given the right balance of authority and accountability?

Exhibit 13 presents a case study on UMTA counterparts around the world and their respective functions.

Exhibit 13 Case study- UMTA counterparts across the world and their functions

Instances of Unified Transport Agencies across the world

Various cities across the globe offer examples of their governments' organizational arrangement to manage urban transport:

1. **STIF (Transport Syndicate of the Ile de France)** is a unified transport authority accountable for transportation of the whole region of Paris across all modes of ground transport. STIF is in charge of organizing, coordinating, modernizing and financing public transport. It also formulates the urban mobility plan; defines the transportation routes; selects and appoints operators; sets the operational, management and financing guidelines; and ensures that the investment programmes have certain coherence.
2. **Transport for London (TfL)** is an integrated transport authority accountable for London's transport system. TfL is responsible for planning and operation of transport facilities in the city which clocks more than 24 million commuters every day. TfL controls several modes of transportation such as London Underground, Dockland Light Railway, London Overground Train services, Croydon

Tramlink, London River services, London Transport Museum and London Road Network. TfL manages a total of 580 km of road network in London and 6000 traffic lights installed in the UK capital. It is also responsible for administering the taxi and private hire trade.

3. **TransLink Vancouver** is the regional transportation authority of Metro Vancouver. It is responsible for regional transit, cycling, commuting options and installation of Intelligent Transportation Systems. TransLink, along with the municipalities in Metro Vancouver, is also involved in the Major Road Network (MRN). It is the first North American transportation authority to be responsible for the planning, financing and management of all public transportation systems. The services that come under TransLink are bus, ferry, commuter rail, skytrain, roads and bridges, among others.
4. The **Land Transport Authority of Singapore (LTA)** is the authority responsible for land transport development and regulation in Singapore. It is accountable for both public and private transportation. LTA was one of the first integrated transport authorities to be formed in the world, adopting the approach of a one-stop agency for all land transport functions.

The following table demonstrates the broad functions under the domain of unified urban transport agencies in various countries:

Country	Strategic Functions	Infrastructure Planning	Regulation	Service Planning			Infrastructure & Construction Maintenance	Public Transport Operations	
								Common Facilities	Independent Services
Paris	✓		X	✓	✓	X	X	X	
London	✓		✓	✓	✓	X	✓	X	
Vancouver	✓		✓	✓	✓	X	✓	X	
Singapore	✓		✓	✓	✓	X	✓	X	

4.5.1 Finalisation of UMTA’s functions

For UMTA to be an effective organization and to ensure that it plays a constructive role in integrated planning, coordination, development and provision of urban transport infrastructure in Kochi, its role and responsibilities need to be clearly defined. Guidelines for the key functions to be performed by UMTA are presented in Exhibit 14.

The urban transport functions and related activities for managing and funding the urban transport system of Kochi can be divided into eight broad categories, as described below:

i. Inputs into policy formulation

The UMTA shall provide inputs to the GoI and Government of Kerala in developing strategies for unlocking the existing bottlenecks and modernising Kochi’s transport system. UMTA, being a local-level government body, is expected to have in-depth knowledge about the precise nature of urban transport challenges present in Kochi Urban Mobility Area, which may range from infrastructural inadequacies to institutional and governance bottlenecks. Therefore, it would be in a position to advise Government of Kerala on current and future urban transport needs and the mechanisms of addressing these challenges.

ii. Strategic planning

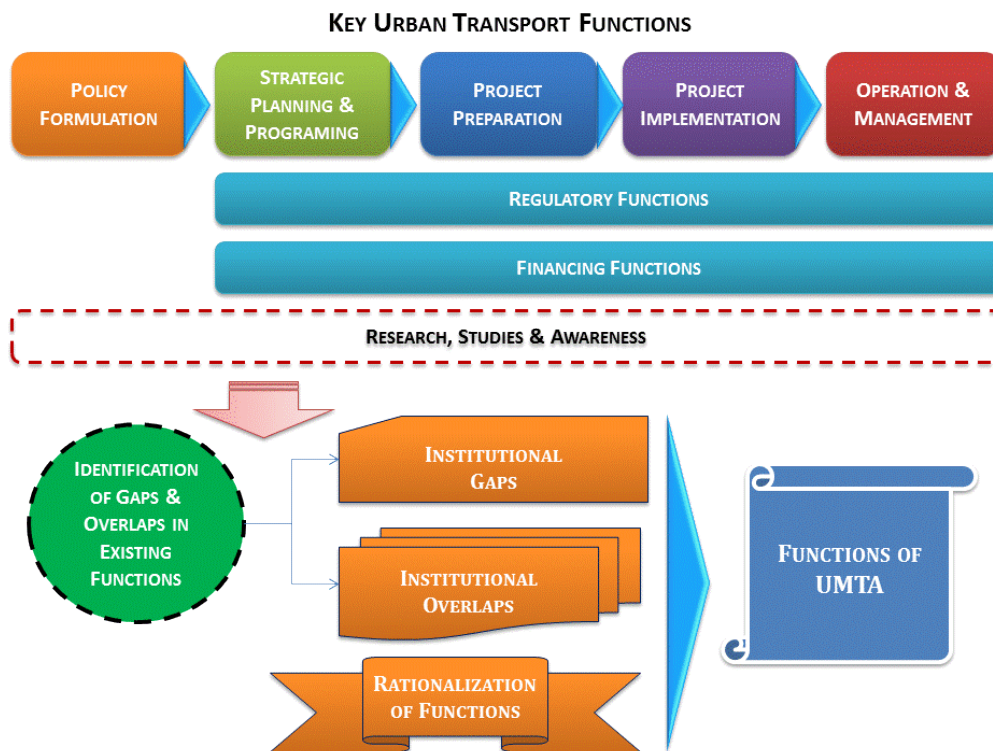
Urban planning functions are assigned to various agencies including GCDA, Goshree Islands Development Authority (GIDA), Department of Town and Country Planning, Kerala. However, the scope of most of these agencies is limited to land-use planning. In Kochi, the land-use plan prepared by Kochi Municipal Corporation contains a transport component, which includes aspects related to transport infrastructure provision. However, there is no planning undertaken for urban transport operations. The preparation of CMP, which includes planning for mass rapid transit, para-transit and non-motorised transport, as well as the road and highway network and associated facilities is of equal importance. The responsibility to prepare a consolidated multi-year urban transport programme which ensures that urban transport initiatives are integrated and scheduled in a logical sequence, is not assigned to any specific agency in Kochi. In this context, UMTA shall undertake planning functions that set the direction for Kochi's long-term transport planning, providing a framework for transport policy and investment decisions to respond to key challenges.

iii. Project prioritization and approval

To ensure that all modes of transport are adequately provided for, UMTA shall be assigned the function and power to approve funding for all urban transport initiatives in Kochi Urban Mobility Area. Approval of urban transport initiatives is a power assigned to UMTA that gives it the necessary authority to execute its functions. This is crucial, as UMTA is being assigned responsibilities, and in order to ensure that other agencies comply with UMTA's decisions, it needs to be given authority. If UMTA is not given this power, it may not be able to ensure compliance of agencies with CMP.

It shall be made mandatory for proposals by implementing agencies to obtain no-objection clearance and consents from the UMTA. UMTA shall expedite this by issuing 'Certificates of Approvals' for projects drawn by implementing agencies which are in consonance with CMP. This would ensure compliance with strategies, plans, programmes, standards and guidelines. It is particularly important for the UMTA to review and approve projects for which it provides funding, either in whole or in part, so that it can be assured of gaining value from putting in its resources. Project approvals will be based on compliance with CMP and other guidelines and standards prepared by higher authorities.

Exhibit 14 Guidelines for key urban transport functions to be performed by UMTA



iv. Ensuring project implementation

UMTA would be responsible for ensuring effective implementation of plans and projects related to urban transport in the Urban Mobility Area. Accordingly, it would be vested with powers for giving directions to the existing urban transport agencies for implementation of any urban transport project or operation of an existing urban transport system which is multi-modal in nature. It would not be appropriate to make UMTA directly responsible for implementation of projects unless they relate to integration of transport modes or operations across jurisdictions, for which no single agency is currently responsible. UMTA could, however, be assigned the function of ensuring project implementation to ensure overall integration and compliance with CMP

v. Overseeing operation and management

Operation, maintenance and management of transport infrastructure and facilities and operation of public transport services are generally carried out, either by public or private companies or agencies. Operations and Management requires technical staff and equipment and is recommended to be left to infrastructure and facility owners and service providers. In this regard, UMTA shall be made responsible for overseeing/regulating the operation of integrated facilities and systems for public transport in Kochi Urban Mobility Area.

vi. Regulation

Regulatory functions with respect to urban transport include registration and licensing of public, private and freight transport vehicles, fare fixation, issuance of permits, designation of

public transport routes and service levels, inspection of vehicles, enforcement of traffic laws and management of traffic. These functions are generally carried out by a number of departments within Government of Kerala. There are benefits to be realized from rationalising some of these functions, and enabling Kochi UMTA to issue recommendations on performance of such functions, thereby giving UMTA some degree of responsibility for matters that solely occur solely within its area of jurisdiction.

On the other hand, matters like registration and licensing of private and commercial vehicles, which apply to Kerala as a whole, would not be a suitable function for UMTA. The same argument applies to licensing and fare fixation for public transport vehicles that operate outside the purview of UMTA's jurisdiction. UMTA shall, however, be allowed to provide recommendations on licensing and fare fixation of public transport vehicles operating within its jurisdiction, and regulate fees and charges for urban transport facilities and services. It is suggested that UMTA should not get involved in inspecting vehicles' construction or condition, or enforcing traffic laws or managing traffic.

vii. Funding

The funding requirements of the urban transport sector are huge. The urban transport reforms recommend establishment of an Urban Transport Fund (UTF) so that transport initiatives are less dependent on government budgetary allocations. As part of these reforms, it is envisaged that UMTA's planning should regulate expenditure from the UTF for urban transport initiatives in Kochi Urban Mobility Area, and ideally, UMTA should be responsible for managing utilisations from UTF. In this regard, UMTA shall be made responsible to manage the UTF. The funding role that shall be assigned to UMTA may include following functions:

- Resource mobilization
- Treasury Management
- Utilisation / disbursements of funds
- Funds management
- Monitoring of UMTA fund utilisation

viii. Research studies and awareness

For development of Kochi's urban transport, research studies need to be conducted regularly. This function may be assigned to UMTA. This would involve conducting research specific to Kochi Urban Mobility Area and studies for upgrade and extension of urban transport and effective measures to enhance public safety in urban transport.

The methodology and detailed guidelines for carrying out each of the above mentioned functions have been discussed in chapter 7 "Operationalization of Functions". The Urban Transport Fund operations document provides guidelines on various aspects related to setting up and operationalization of such UTF for Kochi to carry out all functions relating to funding.

4.5.2 Options for implementation of UMTA’s functions

MoUD has observed that generally cities and State Governments are not sure of the form and role of an UMTA for their urban areas, and this is hindering the establishment process. Considering this fact, MoUD suggested that, an evolving approach shall be followed in adopting various possible functions of UMTA. These functions could be categorised into two types i.e. Core Functions and Additional Functions:

- The Core Functions that the UMTA is expected to perform include:
 - Policy Formulation –UMTA shall assist and advise Government of Kerala as well as local agencies within Kochi in all matters related to urban transport. It shall prepare and administer urban transport policies and strategies. It shall also set benchmarks and provide suitable guidelines to various agencies in executing transport policies.
 - Strategic Planning – UMTA is expected to prepare the multi-modal CMP and integrate it with existing land-use plans of the city, by coordinating with appropriate agencies. Besides, the Authority is expected to monitor whether each agency is conforming to the laid out plans, and audit and report compliance.
- The Additional Functions comprise project implementation and approval, and certain regulatory and funding functions envisaged for UMTA, which may be assigned when UMTA has made a strong footing in the institutional setup of Kochi.

In this regard, Kochi UMTA may exercise any of the following options:

Under **Option I – Integrated planning and coordination only (core functions)**, UMTA shall be made responsible for integrated planning, consolidation of a Multi-Year Programme of activities and other aspects of coordination.

In **Option II – Rationale group of functions (additional functions)**, UMTA shall be made responsible for a rational set of functions. This option shall involve transferring some functions from agencies currently carrying them out.

In **Option III – All urban transport functions** mentioned above with possible role shall be assigned to the UMTA. This option may involve significant changes to current agencies and result in a much larger UMTA organisation, and consequently, an even larger range of skills required. The extent of each of the options is illustrated in Exhibit 15.

Exhibit 15 Options for UMTA's functions

FUNCTION	Option I	Option II	Option III
POLICY FORMULATION			
Assist and advise all levels of the government on urban transport matters	Yes	Yes	Yes
Prepare and administer urban transport policies, strategies, standards and guidelines	Yes	Yes	Yes
STRATEGIC PLANNING			

FUNCTION	Option I	Option II	Option III
Prepare a CMP integrated with land-use plan	Yes	Yes	Yes
Prepare an Alternative Analysis Report	Yes	Yes	Yes
Prepare a Transport Investment Programme for urban transport	Yes	Yes	Yes
Monitor and audit compliance with the above plans	Yes	Yes	Yes
PROJECT PREPARATION AND APPROVAL			
Approve urban transport projects and activities		Yes	Yes
ENSURING PROJECT IMPLEMENTATION			
Promote development of integrated facilities and systems for urban transport		Yes	Yes
OVERSEEING OPERATION AND MANAGEMENT			
Oversee operation of integrated facilities and systems for urban transport		Yes	Yes
REGULATION			
Issue guidelines and standards for urban transport		Yes	Yes
Recommend on issuing license/ permits public transport services	Yes	Yes	Yes
Monitor and advise on fees and charges		Yes	Yes
Enforce regulations for which UMTA is responsible		Yes	Yes
FUNDING			
Fund public transport services for integrated mobility		Yes	Yes
Fund, or arrange / recommend / approve funding for urban transport projects		Yes	Yes
Monitor and audit use of UTF		Yes	Yes
RESEARCH STUDIES AND AWARENESS			
Maintain database relating to urban transport		Yes	Yes
Develop and manage local performance indicators for urban transport		Yes	Yes
Monitor and advise on safety relating to public transport		Yes	Yes
Conduct research studies and awareness programmes		Yes	Yes
OTHER			
Build and maintain major infrastructure (stations, interchanges, roads, etc.)			Yes
Operate buses, trains and other forms of public transport			Yes
License and register vehicles and drivers			
Inspect vehicles' construction and condition			
Enforce traffic laws and manage traffic			

Functions that need to be rationalized

The Governing Board may choose to assign additional functions to Kochi UMTA or it may choose to assign only core functions initially and gradually take up additional functions. It has emerged during the stakeholder consultation that Kochi UMTA should opt for option II, where a rationalised group of functions are assigned to it. Since such an exercise is unique, the Authority may start off by not overtaking building and maintenance functions, as it may enter into dispute with agencies already performing such functions, thereby risking and delaying the process of UMTA taking off. Therefore, the Task Force should be careful in the initial assessment and assignment of functions to UMTA, and should try to minimise the possibility of dispute with other agencies.

4.6 CONCLUSION

This chapter discussed the finalisation of the UMTA structure in Kochi, which is an important activity that the Task Force is required to perform. The next chapter describes the guidelines for activities to be carried out by the Task Force during enactment of the UMTA legislation.

5. PROCESS FOR ENACTMENT OF BILL

5.1 INTRODUCTION

As discussed earlier, the Task Force is envisaged to be a specialised unit, which proficiently undertakes all the planning and management required for the process of setting up UMTA. This chapter describes the guidelines for activities to be carried out by the Task Force during enactment of the UMTA legislation.

5.2 PRE DRAFTING STAGES

5.2.1 Stakeholder Consultation

The Task Force shall organise consultations with all relevant stakeholders for discussion on the following:

- Necessity for the proposed legislation;
- Background of the legislation;
- Background material – generic legislation provided by MoUD; and
- All other details relevant to the proposed legislation.

5.2.2 Consultation with the State's Legal Department:

The Task Force shall, thereafter, refer the draft legislation to the State's legal department for:

- Scrutiny and legal vetting; and
- Any other update/suggestion to ensure feasibility and acceptance from legal and constitutional points of view.

5.3 GUIDELINES FOR DEVELOPMENT OF DRAFT LEGISLATION

5.3.1 Development of draft UMTA legislation

The Task Force shall prepare the UMTA legislation for Kochi. The Task Force would then coordinate with Kerala's Legal Department so that the Kochi UMTA legislation gets approved by the Kerala Legislative Assembly.

The Task Force may refer the Kochi UMTA legislation as the base document (provided in Annexure I) and can further customize in accordance with the consultations with Kerala's Legal Department. Based on the proposed organisation structure of UMTA and UTF, the Task Force shall customize the generic legislation with regard to the following aspects:

- i. Geographical coverage
- ii. Governing Board structure
- iii. Institutional arrangement
- iv. Functions and powers
- v. Funding sources and utilization

5.3.2 Circulation of Kochi UMTA Bill and conducting stakeholder consultation workshop

Once the legislation has been prepared, the Task Force shall:

- a. Circulate the legislation to all concerned stakeholders for their review and suggestions;
- b. Thereafter, the Task Force shall organize a consultation workshop where detailed presentation on the proposed draft UMTA legislation shall be made;
- c. A consultation workshop shall be held within 3 months from the time of the first circulation of the draft among the stakeholders;
- d. During this workshop, detailed discussions on the draft legislation would be held so as to invite suggestions and comments from all stakeholders ;
- e. During this workshop, the draft legislation shall undergo numerous modifications, such that by end of this workshop a final draft which is acceptable to all stakeholders will be presented.

The duration of this consultation workshop may be extended to accommodate detailed discussions on the draft legislation.

The entire feedback, discussions, comments and suggestions shall be recorded as proceedings of the workshop. These shall be utilized in preparation of a note for the Government of Kerala and sending the legislation for approval.

5.3.3 Revision of the draft legislation based on feedback from stakeholders

Based on the approved modifications discussed during the workshop, the Task Force shall update the draft legislation and prepare a second draft of the legislation. The Task Force shall complete this reviewing activity within one month of completion of the consultation workshop.

5.4 PREPARATION OF NOTE FOR STATE GOVERNMENT'S CONSIDERATION

5.4.1 Approval from the State's Minister-in-charge of Urban Development:

After consultation with the stakeholders and the state's legal department has been completed, and the draft legislation has been revised in accordance with the consultations, the Task Force shall develop a note and refer the same for approval from the State's Minister-in-charge of Urban Development.

The note for the Government of Kerala shall:

- (a) Bring out clearly the need, scope, and objectives of the proposed legislation;
- (b) Present the views of the concerned stakeholders and the agreed finalized options that have been incorporated in the draft legislation; and
- (c) Provide a copy of the draft of the proposed legislation.

Where any modifications in the note or draft of proposed legislation are suggested by the Minister-in-charge of Urban Development, Government of Kerala, the Task Force shall incorporate the modifications in the note or draft legislation and send a copy of the same to the various stakeholders and the state's legal department for approval.

5.5 ACTIVITIES DURING ENACTMENT STAGE

5.5.1 Sending the note for approval of State Cabinet:

Once the note has been approved by the concerned minister, the Task Force may proceed by sending the note to the state's Cabinet Secretariat for its consideration and approval. The cabinet may suggest some changes in the draft legislation. The Task Force, in consultation with the state's legal department, shall incorporate such changes in the legislation. Subsequently, the Task Force shall prepare the following documents:

- (a) A Statement of Objects and Reasons relating to the Legislation to be signed by the minister;
- (b) Notes on clauses to be appended to the Statement of Objects and Reasons;
- (c) Financial Memorandum to be prepared in consultation with the Department of Finance giving details of proposed sources of funds and their estimates; and
- (d) A Memorandum regarding the Delegated Legislation explaining the scope of the proposals and stating whether they are of a normal or exceptional character.

All the above documents shall also be shown to the state's legal department before finalization.

It should be noted that in the light of approved Financial Memorandum, which will include sources of funding as provided under the draft legislation, there will be amendments that need to be incorporated under various existing laws. Therefore, co-ordination and approval from other concerned ministries will also be required.

5.5.2 Sending legislation to the Legislative Assembly:

Once the proposed legislation has been finalized, the state's legal department shall send it for obtaining proof of copy.

The state's legal department will:

- (a) Simultaneously send proof copies in English, Hindi and the local language of the proposed legislation to the Secretariat of the state's Legislative Assembly; and
- (b) Return the file to the Task Force.

The Legislative Assembly Secretariat shall receive the fair copy of the draft legislation printed at every stage and send a copy of the same simultaneously to the administrative department and to the legal department in order to ensure accuracy. The administrative department shall, after scrutiny of the draft legislation, return it within a pre-defined period to the legislative department so as to enable the legislative department to incorporate corrections/suggestions, if any, and send the final scrutinized copy to the Legislative Assembly Secretariat.

The administrative department shall then send a notice of the motion for introduction of the Bill in the state assembly.

5.5.3 Introduction of the Legislation

On the date specified by the Department of Legislative Affairs, the legislation shall be put down for introduction in the Vidhan Sabha and shall, thereafter, be published in the State Gazette by the Vidhan Sabha Secretariat.

5.5.4 Motions after introduction

After the legislation is introduced, the minister may send it to the Secretary-General, Vidhan Sabha, a notice of his intention to move:

- a. That it be taken into consideration and passed; or
- b. That it be referred to a Select Committee of the house; or
- c. That it be circulated for eliciting public opinion.

When the motion that:

- a. The Legislation be taken into consideration; or
- b. The Legislation as reported by the Select Committee be taken into consideration is carried;
- c. The Legislation will be taken up for clause-by-clause consideration. Members can, at that stage, move amendments to the Legislation.

5.5.5 Amendments

Copies of amendments that are notified by members shall be sent by the Vidhan Sabha Secretariat to various concerned departments. When they are received, the branch officer shall put them up with briefs for use of the minister for determining the attitude of Government of Kerala to them.

5.5.6 Passing of Legislation

After consideration of the Legislation by the House, the minister-in-charge of the Legislation moves that the Legislation be passed. The motion shall be put to vote and adopted.

After the Legislation is passed:

- a. A copy of the Legislation, as passed, shall be sent by the Vidhan Sabha Secretariat to the state's legal department for scrutiny, with a view to correcting any errors and for making such other changes as are consequential to the amendments accepted by the Legislative Assembly; and
- b. On its return from the state's legal department, it will be reprinted by the Vidhan Sabha Secretariat with the superscript "as passed by the State of Kerala".
- c. The date of assent which is the date on which the Legislation becomes an Act, shall be intimated to the administrative department and the Department of Legislative Affairs by the state's legal department.

5.5.7 Publication in the Official Gazette

The state's legal department shall:

- a. Publish the Act in the Gazette of India Extraordinary;
- b. Printing of copies of Act for sale
- c. Get copies of the Act printed in a suitable form for sale to the general public.

5.6 CONCLUSION

This chapter described the guidelines for activities to be carried out by the Task Force during enactment of the UMTA legislation. The subsequent chapters discuss guiding principles for the operationalization of UMTA.

PART II - OPERATIONALIZATION OF UMTA

6. OPERATIONALIZATION OF UMTA

6.1 INTRODUCTION

On completion of the pre-operationalization activities and issuance of Kochi UMTA enactment from Kerala State Legislative Assembly, UMTA's operationalization activities shall commence.

This chapter outlines the process of operationalisation of Kochi UMTA by the Task Force, with description of various aspects such as the engagement of consultant for handholding support, setting up of Governing Board, procedure for appointment of the CEO and other key professionals, structure of the organisation, functions of various divisions, delegation of powers, etc. Hence, various sub-sections have been explained sequentially for a clear understanding of the methods and procedures of UMTA's operationalisation. The basic objective of this chapter is to provide guidance for setting up a fully functional Kochi UMTA.

6.2 ENGAGEMENT OF CONSULTANT FOR HANDHOLDING SUPPORT

The first step towards operationalisation of UMTA shall include engaging consultants for providing handholding assistance in setting up a full-fledged UMTA.

In order to ease the process, Ministry of Urban Development (MoUD) has provided a list of empanelled consultants who shall be available for providing handholding support for setting up UMTA and UTF. This list has been provided in Annexure II. This is intended to save time as well as cost of the Task Force for procurement of consultants.

6.2.1 Carrying out the selection process

The Task Force, in consultation with the Nodal Agency, shall carry out the procurement process for selection of the consultant. The empanelled consultants may be considered for submission of proposals by the Task Force. The Task Force shall, however, be at liberty to directly invite technical and / or financial bids from the empanelled consultancy firms following the prevailing procurement procedure in Kerala. The list of empanelled consultants is available with MoUD and cities/states shall have the option to invite tenders from empanelled firms and accelerate the procurement process.

6.3 SETTING UP OF THE GOVERNING BOARD

The consultant appointed for providing handholding assistance shall assist the Task Force in setting up of the Governing Board of UMTA. The consultant should assist in preparing invitation letters /notices to mobilise the Governing Board members for carrying out initial meetings and preparing strategies for operationalisation of UMTA.

6.3.1 Organizing Initial Board Meetings

Once the Governing Board of UMTA comes into existence, the first step towards mobilisation shall be a Board meeting. The Task Force, with the help of the consultant, shall also be responsible for drafting and circulating a note on the details of the first UMTA meeting among

each of the Governing Board members. The note shall consist of various specifications as provided below:

- Date and venue of the meeting
- Activities performed till date
- Way forward

The Task Force, with help of the consultant, shall circulate such a notice, at least 7 days before the meeting.

The agenda for the initial Board meeting may include the following:

- A distinct vision/ mission and goal statement for UMTA
- Discussions on the detailed organisational structure of UMTA
- Discussions on appointment of CEO and Secretariat of the Authority
- Detailed discussions on the powers and functions delegated to the executive office members
- Plan of action to be taken up in order to achieve the vision for Kochi Urban Mobility Area

6.4 APPOINTMENT OF CHIEF EXECUTIVE OFFICER

After mobilisation of the Governing Board, the CEO of the Authority shall be appointed by the Board in consultation with the Task Force. The consultant appointed for handholding support shall provide all required assistance to the Task Force and the Governing Board in selection and appointment of the CEO. The process and terms of appointment of the CEO, along with his role and responsibilities are highlighted below.

6.4.1 Appointment Process and Terms

The CEO would be the senior-most officer in-charge of the operations of the UMTA Secretariat. The CEO shall be appointed from the open market by Government of Kerala / Governing Board or on deputation basis. The official heading the Task Force, may also be considered for appointment as the UMTA CEO at the discretion of the Government of Kerala /Governing Board. The team constituted for interview for the position of CEO shall include at least three members from the Governing Board. For the purposes of appointing a CEO, the Governing Board may also invite a suitably qualified specialist. The professional selected for the post of CEO shall be appointed on a full time/ deputation basis for a minimum period of three years, with reappointment options for a maximum of two consecutive terms. In case of reappointment, the CEO shall be informed two months prior to the end of his/her term.

6.4.2 Role and Responsibilities of CEO

The CEO shall be responsible for all day-to-day activities of the UMTA in accordance with the policies approved and delegations given by the Governing Board. The CEO shall initially be responsible for operationalisation of UMTA including recruitment of staff and setting up of various

divisions with the help of the handholding consultant and under the guidance of the Governing Board.

Once the UMTA gets operationalised, the CEO shall be responsible for the functions of the UMTA staff and presentation of periodic progress reports to the Governing Board. These progress reports shall be submitted in a format agreed upon by the Governing Board time to time.

The roles and responsibilities of the CEO of the UMTA are recommended as below:

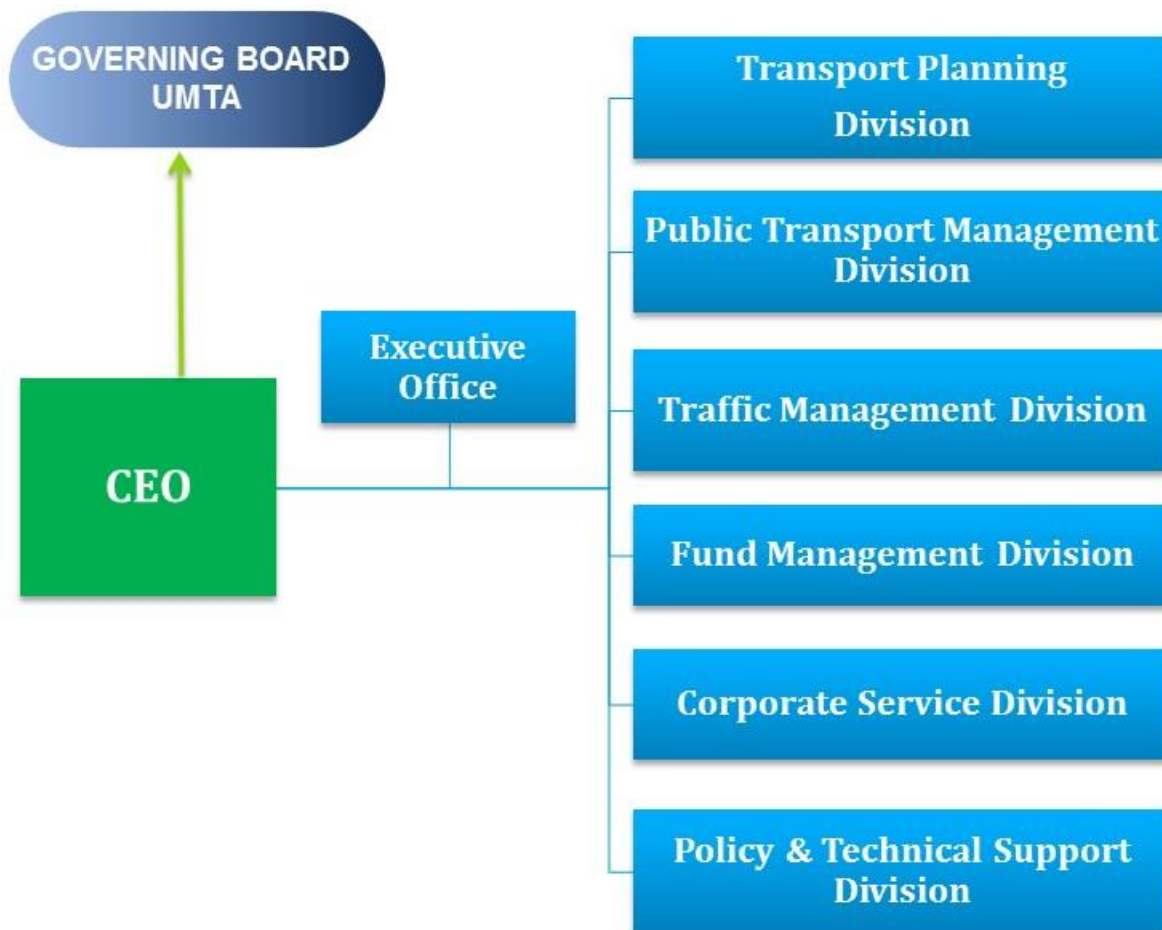
- Operationalisation of UMTA
- Carrying out and administering appointments of other key professionals and support staff as decided in the operations document or as deemed necessary
- Conducting and scheduling Governing Board meetings
- Coordinating between the Governing Board and the Authority's staff for implementation of UMTA's functions
- Evaluating and analysing the progress of the Authority's functioning
- Advising and assisting the Governing Board members on various functions of UMTA
- All administrative and technical functions which the Authority may present before the CEO time to time.

A detailed profile of the CEO has been provided as a template in Annexure III.

6.5 DEVELOPMENT OF ORGANISATIONAL CHART

The Governing Board of Kochi UMTA shall be assisted by a full-fledged organisation headed by the CEO. In order to perform various functions envisaged under UMTA, six function-based divisions have been proposed. These divisions shall be responsible for discharging the functions assigned to them in coordination with other divisions. The roles and responsibilities of each of the divisions are highlighted in the following sections. The organisational chart of UMTA is presented in Exhibit 16.

Exhibit 16 Organisational chart of UMTA



6.5.1 Role and Responsibilities of divisions

A. **Transport Planning Division:** One of the major functions of UMTA shall be to work with various stakeholders responsible for provision of urban transport services and infrastructure and to prepare a CMP for Kochi Urban Mobility Area.

The Transport Planning Division of UMTA shall have the following responsibilities:

- To comprehend a vision for a sustainable urban transport system for Kochi Urban Mobility Area
- To formulate policies for a sustainable urban transport system within Kochi Urban Mobility Area
- To revise the CMP for Kochi Urban Mobility Area
- To conduct Alternative Analysis on the basis of the proposed outcomes of the CMP
- To oversee the integration of CMP with land-use plan of Kochi
- To oversee preparation of MYPs for urban transport by various implementing agencies
- To coordinate with all relevant implementing agencies and monitor compliance with the CMP and the Transport Investment Programme
- To estimate and prioritise short, medium and long term plans

- To coordinate with other divisions of UMTA for integrated and holistic development of the transport system within Kochi Urban Mobility Area
- To assist and advise Government of Kerala on matters relating to urban transport, in consultation with the other divisions
- To perform all such other functions as may be allocated by the CEO time to time

B. Public Transport Management Division: The functions related to public transport such as operations, maintenance and management of transport infrastructure and facilities and operation of public transport services are carried out either by public or private agencies. The Public Transport Management Division shall be responsible for integration of all modes of transport and overseeing operations of integrated facilities and systems. Regulatory functions assigned to UMTA to ensure an integrated public transport system shall also be performed by this division. Some of the key functions that may be assigned to this division include:

- Create plans for an integrated and sustainable public transport system for Kochi Urban Mobility Area, with emphasis on non-motorised transport
- Prepare strategies for integration of all modes of transport
- Oversee operation of integrated facilities and systems for public transport
- Develop standards and guidelines for public transport services specific to the requirement of Kochi Urban Mobility Area in consonance with the land-use pattern of the city
- Coordinate with all relevant implementing agencies and supervise project implementation
- Provide recommendations on issuance of licenses for public transport services
- Advise on monitoring and regulation of fee, charges, etc.
- Propose innovative public transport solutions suitable to Kochi Urban Mobility Area
- Promote development of integrated multi-modal public transport systems for Kochi Urban Mobility Area
- Implementation of common ticketing system for public transport modes
- Perform all such other functions as may be allocated by the CEO time to time

These functions shall be carried out by the Public Transport Management Division of UMTA in coordination with the Transport Planning Division. These two divisions shall, in coordination, plan for integrated facilities and systems to be developed.

C. Traffic Management Division: The Traffic Management Division shall have five key missions to: improve transport safety, improve the efficiency of city roads, provide timely and accurate real-time traffic information, facilitate cooperative public private partnerships that integrate transportation services and provide customer services directly to the public on the operation of the transportation system.

One of the most important functions of Kochi UMTA shall be to coordinate with the various implementing agencies and create a seamless transport management system for Kochi Urban Mobility Area. In order to achieve this objective, a centralised and integrated traffic control system is to be operated by the implementing agencies in coordination with the Authority. The Centralised Operation Control Cell may be responsible for the following activities:

- Planning and monitoring of a centralised signalling system for better management of traffic
- Provision of driver assistance and automation technology
- On-site assistance for incident management
- Setting up and operating a web-based user information system and helplines for commuters
- Implementation of other ITS applications
- Parking management

D. **Fund Management Division:** This division will manage all financial matters including management of the UTF, preparation of financial plan, preparation of budget and accounts, etc. This division shall also be responsible for monitoring the expenditures of the implementing agencies, which have been granted funds from the UTF. The list of functions of this division, inter-alia, includes:

- Management of UTF
- Funding public transport services so as to provide seamless mobility and an integrated public transport system
- Funding / arranging / recommending / approving funding for urban transport infrastructure in whole or in part, in consultation with the Transport Planning Division
- Preparation of Transport Investment Programme
- Maintenance of all financial records and accounts of UMTA
- Preparation of annual reports, budgets and financial statements of UMTA
- Monitoring and audit of UTF's utilisation by implementing agencies
- Performing all such other functions as may be allocated by the CEO time to time

E. **Policy and Technical Support Division:** This division shall conduct capacity building programmes, in addition to research and field studies which facilitate the ability of all the other divisions and urban transport agencies within Kochi Urban Mobility Area to take appropriate decisions. It shall also provide technical inputs to all the divisions and shall prepare technical standards and guidelines. This division shall also maintain database of information on activities for which it is responsible. Depending on the functions assigned to UMTA, the database should contain details of projects, funding, public transport routes and services, licenses, etc. Some of the key functions that may be assigned to this division include:

- Providing policy assistance to the Gol, Government of Kerala and any local authority or agency in the form of analytical inputs to prepare national/state/local level urban transport policies, standards and guidelines
- Conducting research studies and awareness about good practices in urban transport
- Maintaining records related to urban transport, including details of projects, services and funding
- Developing, monitoring and reporting performance indicators for urban transport as prescribed by Central and State Governments
- Monitoring and advising on public transport safety
- Undertaking research on innovative sustainable transport solutions
- Preparation of standards and guidelines specific to transport engineering or as deemed necessary time to time
- Providing technical inputs and support to other divisions as and when required
- Coordinating with all relevant implementing agencies and supervising project implementation, if required
- Overseeing development and operation of transport systems and facilities
- Reviewing and ensuring project implementation timelines are adhered to
- Supervising and monitoring implementation of projects (by consultants or otherwise)
- Organizing capacity building programmes for staff time to time, in coordination with Corporate Service Division
- Performing all such other functions as may be allocated by the CEO time to time

F. **Corporate Service Division:** This division shall be responsible for providing administrative and human resource support to all divisions of UMTA. Key functions of this division shall be to:

- Prepare human resource and administrative policies
- Perform all administration and human resource related functions
- Perform all information technology and communications related functions
- Prepare annual plans and reports
- Perform all such other functions as may be allocated by the CEO time to time

6.5.2 Organisation Staffing

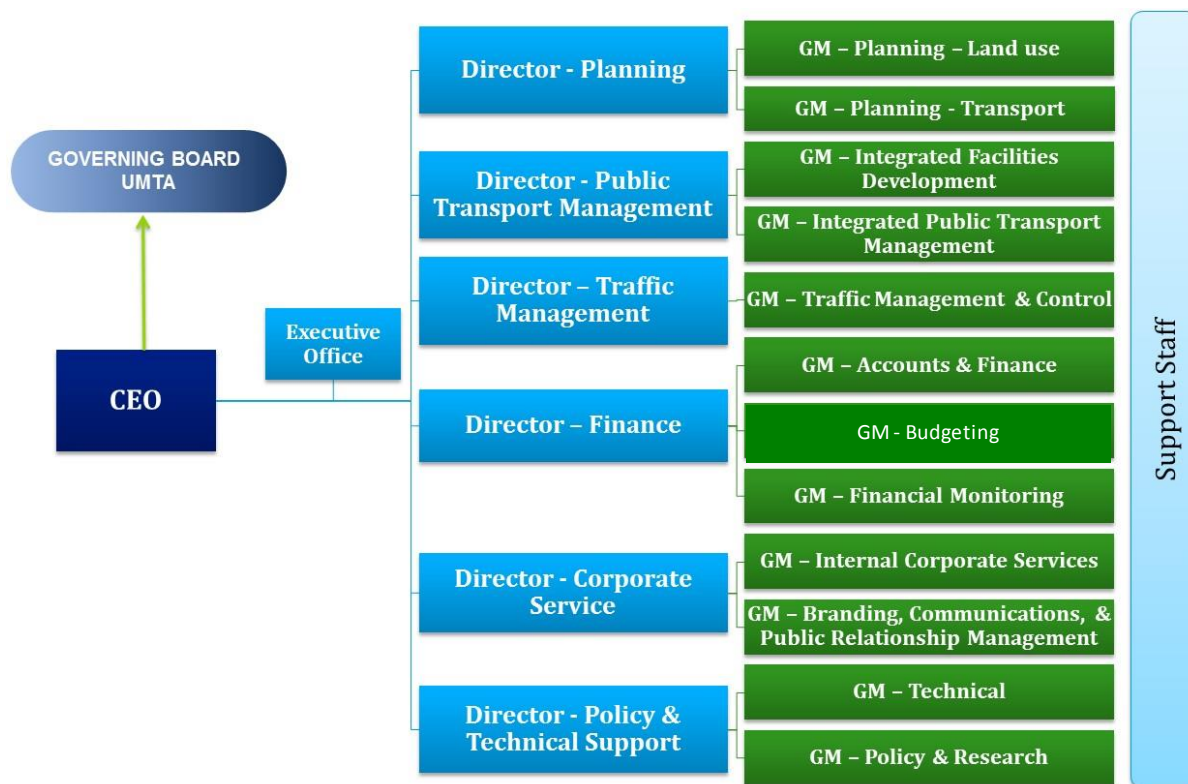
Each of the above mentioned divisions shall be headed by a Director. The Directors shall report to the CEO and shall be responsible for ensuring that all matters of the Governing Board are managed in a systematic, orderly and timely manner, in accordance with the policies and

procedures agreed upon by the Governing Board. Each Director shall be supported by a minimum of 2-3 staff (or as deemed necessary by the Governing Board for efficient operations of the division), depending on the extent of activities to be performed by the division.

Exhibit 17 details out the various professionals to be recruited within the UMTA Secretariat. All these officials are recommended to be made part of the UMTA core team responsible for smooth functioning of the Authority. The details of the educational qualifications, role and responsibilities of these officials have been specified as templates provided as part of the Annexure III to this manual.

Apart from key professionals outlined in the organisational chart, support staff shall also be appointed for smooth functioning of UMTA. It should be noted that the organizational structure and the number of staff proposed here considers the case where all functions of UMTA are performed in-house. Some aspects of UMTA's activities, such as functions related to auditing of UTF, accounting and information technology implementation, can be outsourced to service providers. Consultants may be employed for distinct activities such as preparation of the CMP, development of standards and guidelines, review of proposals and audit of implementation, preparation of contracts, preparation and delivery of awareness campaigns and conducting research. Based on the policy adopted by the UMTA in carrying out these activities, by either outsourcing or implementing them through in-house staff, the actual number and layers of staff shall be finalised.

Exhibit 17 Organisational staffing within UMTA



6.6 APPOINTMENT OF SECRETARIAT

After finalising the organisational structure of UMTA, the CEO shall appoint the head of each division and professional staff for each division in consultation with the Governing Board. The consultant appointed for handholding support shall provide assistance to the CEO in recruitment of staff. The number of staff and their required qualifications will be determined by the Governing Board in consultation with the CEO. The details of the educational qualifications, role and responsibilities of these officials have been specified as templates in Annexure III. Because of the high level of responsibility, UMTA needs to attract highly experienced, capable and professional staff for performing its functions in an effective and efficient manner.

It is suggested that UMTA staff should comprise permanent employees recruited from the open market, public servants on deputation and/or contractual employees. The staff on deputation can be brought from agencies such as Kochi Municipal Corporation, Goshree Islands and GCDA or the Kerala State Transport Department, etc. This would allow UMTA to be staffed quickly and the staff to be repatriated to their parent department, if they are found unsuitable or their services are no longer required. Also, the staff on deputation may be given the option of being permanently absorbed in UMTA, after assessing their performance for a period of two to three years. The recruitment processes to be followed are provided in Chapter 8.

Other staff can be recruited from the open market as permanent staff of UMTA. This would build employee stability and loyalty and would ensure an employee base that is dedicated exclusively towards the functioning of the UMTA.

6.7 DELEGATION OF POWER

The delegation of power shall be exercised in conjunction with delegation of power provided under the UMTA Act and rules and regulations framed under it. The draft UMTA Bill provides that the Governing Board may, by order, delegate any of its powers or duties under the Act or any rule made under it to the CEO, to one or more than one of the officers employed in its Secretariat or to any committee of the Governing Board. Delegation of powers may be broadly categorised into two parts:

- Functional delegation
- Financial delegation

6.7.1 Delegation of Functional Powers to CEO

The Governing Board shall have the right to delegate any of its powers or duties to the CEO or to one or more officials as deemed necessary by the Governing Board. The Board may delegate to the CEO the following functional powers:

- to sign any contract for or on behalf of the Board
- to manage UMTA's functions
- to collect revenues as applicable, on behalf of UMTA
- to discharge debts owed by the Board
- to sign, accept, negotiate, endorse and receive any negotiable instrument on behalf of the Board
- to authorise the disposal of securities of any kind belonging to the Board
- to open and operate current, deposit or credit accounts on behalf of the Board at the bank or financial institution agreed upon with the Board
- any other powers as the Board deems necessary for the efficient control and implementation of the day-to-day business or activities of the UMTA

6.7.2 Delegation of Financial Powers to CEO

The Governing Board shall have the right to delegate financial powers to the CEO. The board shall delegate to the CEO the financial power to approve expenses of high value (say up to Rs. 30 crore or as decided by the Board at the time of UMTA's establishment and as updated time to time).

The Board shall establish whether the financial limits proposed within the manual are reasonable in relation to:

- the current financial position of the Board;

- annual budgets approved;
- prior experience regarding transaction flows within the Authority; and
- future financial prospects of the Authority

The delegation of powers to the executive office members have been provided in the subsequent section.

6.7.3 Delegation of Powers to Executive office members

This section outlines the functional and financial powers delegated to officials in the executive office. Exhibit 18 broadly outlines the broad powers recommended to be delegated to officials in the Authority.

Exhibit 18 Delegation of powers and functions within UMTA

Designation	Functional Powers	Establishment Powers	Financial Powers
CEO	<ul style="list-style-type: none"> • Reports to the Governing Board • Line management for all staff 	Full powers for: <ul style="list-style-type: none"> • Promotion related matters • Leave approval • Disciplinary matters • Recruitment related matters • Establishment related operational expenses 	Up to Rs. 30 crore for approved expenses within the annual budget
Director	Reports to the CEO	<ul style="list-style-type: none"> • Leave approval up to General Manager level • Disciplinary matters (along with the CEO) • Establishment related operational expenses – up to Rs. 50,000 	Up to Rs. 1 crore for approved expenses within the annual budget.
General Manager	Reports to the Director	<ul style="list-style-type: none"> • Leave approval up to support staff level • Establishment related operational expenses – up to Rs. 10,000 	Up to Rs. 20 lakhs for approved expenses within the annual budget.
Support Staff (At the level of Manager)	Reports to the GM	-	Up to Rs. 10,000 for approved expenses within the annual budget.

The details of the role and responsibilities to be performed by each of the executive officials have been outlined for reference as Templates in Annexure III.

6.7.4 Management of Delegations

The delegation of powers shall be reviewed annually by a team selected by the UMTA Board which shall be responsible for proposing changes to the Board for consideration and approval as deemed necessary. The CEO shall be responsible for undertaking the required upgradation required for power delegation. The original instruments containing the delegations authorised by the Board shall be retained on file by the Director Finance. Both the Director Finance and General Manager Accounts and Finance shall obtain and maintain specimen signatures of the financial authorizing senior officials of the UMTA at all times. All new contracts and any renewal of existing contracts to be signed by the Board shall be authorised by the CEO. The General Manager – Internal Corporate Services shall maintain originals of all contracts.

Disposal of all redundant stores / company assets / fixed assets are to be authorised in writing by a Disposals Committee delegated by the CEO. Where a financial authorising person takes leave or the person is away for a long period, a senior official shall be designated in his/her absence with a written approval of the Board.

6.8 CONCLUSION

This chapter described the process of operationalization of Kochi UMTA, with description of various aspects such as the engagement of consultant for handholding support, setting up and mobilisation of Board, procedure for appointment of the CEO and other key professionals, structure of the organization, functions of various divisions, delegation of powers, etc. The next chapter outlines the guidelines for carrying out various functions by Kochi UMTA.

7. OPERATIONALIZATION OF FUNCTIONS

7.1 INTRODUCTION

The basic objective behind formation of Kochi UMTA is to fill the existing institutional gaps in transport planning and management functions undertaken by multiple agencies within Kochi Urban Mobility Area.

In this context, this chapter outlines guidelines for carrying out various functions of UMTA in order to facilitate the smooth functioning of the Authority. Typical work flow charts have been provided for each of the specific functions.

7.2 POLICIES, PROGRAMMES, STANDARDS AND GUIDELINES

There exist various policy issues concerning urban transport in Kochi. Some of them relate to balancing the supply and demand of various transport services, type of mode share, technologies required for vehicles, types of fuels, split between public and private modes, operation of public transport modes and finally, decisions relating to financing urban transport investments. These policy decisions may be taken across all three tiers of the government (centre/state/local), depending upon which level is better equipped to handle the related financial and technical issues.

Policy decisions pertaining to land-use, which are undertaken by Greater Cochin Development Authority, Goshree Island Development Authority along with neighbouring Panchayats may have huge implications on urban transport. For example, compact cities generally require shorter travel distances which allow a larger share of travel needs to be met by walking and cycling, as well as public transport. On the contrary, sprawling cities offer generously spaced out locations, where travel distances tend to be longer and personal motor vehicles become more important in meeting travel needs. In such cities, policies may give preference to TOD.

Considering the fact that Kochi UMTA shall oversee local urban transport needs, it should be in a position to provide expert inputs and insights to all levels of government in developing policies and programmes. In view of this, it has been suggested that UMTA's role would be to:

- Assist and advise Government of Kerala on urban transport matters which would include providing analytical inputs, recommendations, advice and assistance on urban transport policy, standards and guidelines.
- Provide inputs to Greater Cochin Development Authority, Goshree Island Development Authority along with neighbouring Panchayats for developing urban transport policies, strategies, standards and guidelines for the Urban Mobility Area in accordance with national and state level policies, standards and guidelines.

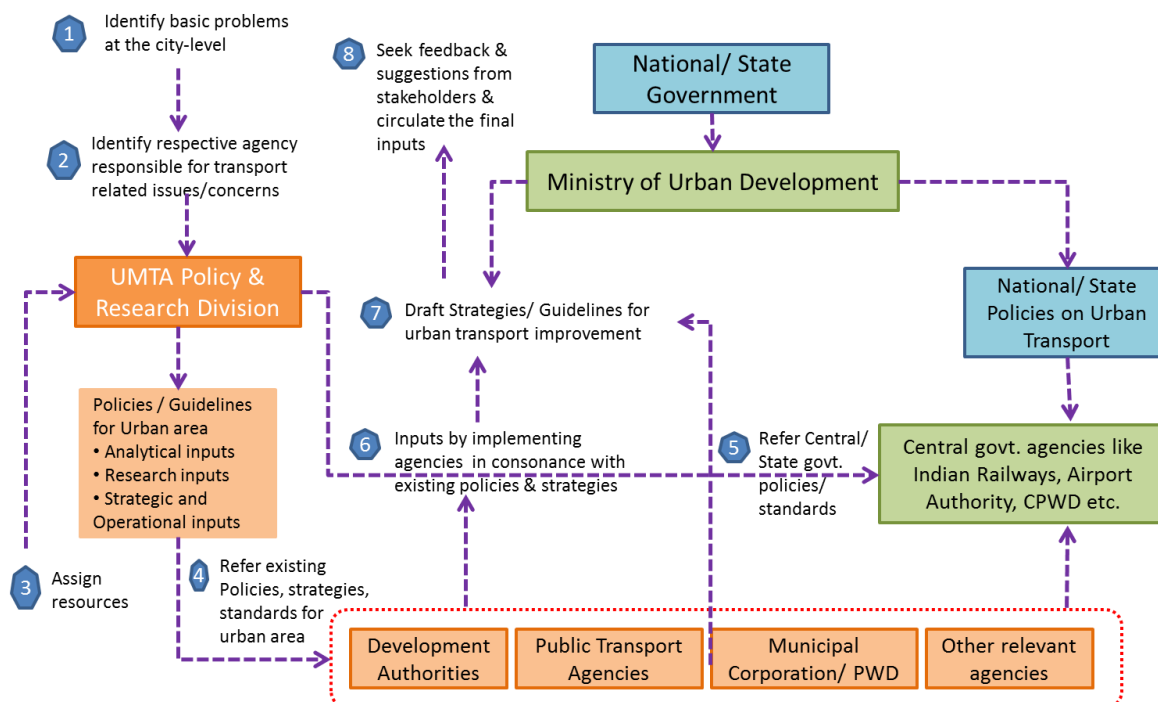
UMTA, through its Policy and Technical Support Division would carry out the activities required to implement these functions.

7.2.1 Guidelines for providing inputs in urban transport policy, standards and guidelines

The process of developing public policy is an activity that generally involves research, analysis, consultation and synthesis of information to produce recommendations. UMTA's Policy and Technical Support Division, in coordination with implementing agencies, shall be responsible for providing inputs to the Central Government, Government of Kerala and municipalities in Kochi for preparation of urban transport policy for Kochi Urban Mobility Area. The inputs provided by the UMTA shall, inter-alia, include:

- ✓ **Analytical inputs:** Since UMTA is envisaged to be working for Kochi Urban Mobility Area it shall provide practical and relevant analytical inputs based on deep analysis. For example, it could provide inputs on costs incurred in management of parking infrastructure, revenue potential from using infrastructure for advertising, etc.
- ✓ **Research inputs:** UMTA shall carry out any research exercise that it has undertaken by itself or has been requested by Government of Kerala or Central level agency for preparation of urban transport related policies, standards and guidelines. For example, the UMTA can provide research inputs on traffic management related issues, use of information technology in urban transport, etc.
- ✓ **Strategic and operational inputs:** The UMTA through its experience of working in urban transport may also provide any strategic inputs in overall improvement of urban transport. For example, it can make suggestions on aspects related to inclusion / exclusion of regulatory functions from its purview, or it may suggest on applicability and feasibility of congestion charging schemes. Further, UMTA may provide inputs on identifying innovative sources of funding for urban transport, etc.

Exhibit 19 Process flow chart for providing inputs to urban transport policy, standards and guidelines



Hence, as per the above depicted flow chart, UMTA's Policy and Technical Support Division will be responsible for preparation of urban transport policies and standards for Kochi Urban Mobility Area as deemed necessary by the Government of Kerala time to time. The steps involved in carrying out the activities as illustrated in the flow chart (refer Exhibit 19) are described below:

Step 1: The first and foremost step in the provision of policy recommendations shall be identifying the problem at hand and defining it clearly. It is important to distinguish the repercussions of the problem from the actual problem. For example, Kochi may face heavy congestion, which may be a symptom of a number of issues such as lack of enforcement of traffic discipline, insufficient availability of public transport, etc.

Step 2: Following problem identification, UMTA shall determine the nature of the problem. Increasingly, urban transport issues and solutions to them are multi-faceted and multi-layered, often involving more than one department and level of government. Due to the cross cutting nature of these problems, UMTA would need to identify the department which was involved in developing the policy or is capable of addressing the challenge at hand.

Step 3: Following this, UMTA shall deploy suitable resources in the form of policy advisors and provide them with the required infrastructure (such as information technology support, access to database, research studies, etc.). It is noteworthy to point out that UMTA may exercise the option of outsourcing any of these activities to a consultant with a clear set of terms of reference.

Step 4: UMTA may refer to existing policies and guidelines that have been prepared for its jurisdiction. This is important because:

- i. It ensures that UMTA does not work towards developing policies/standards/guidelines that already exist;
- ii. It allows undertaking activities for improvement of existing policies, standards and guidelines to ensure that functional and institutional gaps and overlaps are addressed. For example, the safety guidelines for operating a bus may be available in certain cases. In such a scenario, UMTA should focus on building guidelines as to how a bus should operate on a corridor.

Step 5: The next step shall be to seek inputs of other agencies (including implementing agencies, public transport operators and other planning agencies) on urban transport policies, standards and guidelines. These inputs will help in understanding the perspectives of such agencies and in preparing practical and appropriate policies, standards and guidelines.

Besides the above mentioned steps, UMTA may conduct its own research studies and reviews of best practices.

Step 6: Based on its experience, review of already existing works and inputs solicited from other agencies, UMTA shall draft its inputs on different policies, standards and guidelines. It shall also develop performance indicators, wherever applicable. This could be used by central, state and local levels of government for improvement of urban transport.

At the same time, UMTA may provide necessary inputs on reviewing and updating existing policies and strategies to reflect new directions and changing circumstances.

Step 7: Once the draft inputs have been prepared, they may be further strengthened by taking feedback and suggestions from different stakeholders. The finalised inputs may be then circulated to relevant agencies.

It is advised that UMTA may refer to the document - “A Guide to Policy Development”, Office of the Auditor General, Manitoba, 2003 – for carrying out the above mentioned function.

7.3 COMPREHENSIVE MOBILITY PLAN

One of the prime functions of UMTA is the preparation/revision of CMP for Kochi Urban Mobility Area. The CMP shall act as a macro-level plan and a vision statement, which shall determine the direction in which the transport system of Kochi Urban Mobility Area will grow. It shall focus on achieving a desirable accessibility and mobility pattern for people and goods within UMTA’s jurisdiction and shall integrate land-use and transport planning processes. It shall aim at developing sustainable urban transport strategies for providing a safe, secure, efficient, reliable and seamlessly connected urban transport system that supports and enhances economic, social and environmental stability.

Main features of a CMP

- Encourages efficient and inclusive transport modes such as public transport modes and non-motorized modes
- Prioritizes mobility for all socio-economic groups and genders, by identifying the socio-economic background of different groups and their travel patterns
- Ensures provision of a recognized and effective platform for integrating land-use and transport planning
- Plans for integration of all public transport systems for seamless mobility of people and goods
- Focuses on the optimization of passenger as well as goods transport
- Addresses impacts of transport on air quality, safety and social aspects

The CMP for Kochi Urban Mobility Area shall be in accordance with NUTP 2006 guidelines, including public transportation and non-motorised transportation in conjunction with development plans. The CMP would differ from conventional transport plans on at least two counts:

- a. It shall adopt a scientific approach towards understanding the mobility needs of people and optimise networks designs so as to better utilise the available transport infrastructure and improve public infrastructure.
- b. It shall aim at integrating land-use and transport planning. Since land-use planning heavily influences the travel patterns of citizens, CMP shall scrutinise the land-use patterns from the perspective of developing urban transport. For example, in achieving transit-oriented-development (TOD) and reducing reliance on private vehicles, the CMP shall integrate commercial and residential areas development with mass transit development.

Exhibit 20 presents a case study on Boulder’s Transport Master Plan in Colorado.

*Exhibit 20 Case study- Boulder, Colorado***Boulder's Transport Master Plan, Colorado**

Transport Master Plan or TMP was first adopted by the city of Boulder in 1989 with a vision to create safe, convenient and sustainable transportation system. The five primary areas of focus of TMP are:

1. TDM (Transportation Demand Management) - TDM provides a suitable and accessible system to increase the use of public transport and manage the same with respect to the demand. Several TDM strategies have been implemented. For example, distribution of Eco Pass (Annual bus pass), van-pooling assistance, developing a toolkit to assist developers and employers in transport operations, etc.
2. Complete Streets - It aims at planning an infrastructure design to accommodate all modes of transportation. A Complete Street Transit action plan was formulated in 2014 to improve the BRT system, expand bike capacity, support regional flex service, etc.
3. Funding - TMP focuses on creating a sustainable funding model that focuses on judicious spending. 84% of the total funding is used in basic maintenance and operations.
4. Sustainability - Apart from planning travel and improving accessibility TMP also aims at reducing the greenhouse emissions due to transportation and improving the liveability of the neighbourhoods by integrating transport planning.
5. Regional Travel – Under TMP the city works with various regional agencies to provide assortment of multimodal transport and improve regional travel. The management includes that of 250,000 vehicles that commute in and out of Boulder every day.

Key Outcomes – More than 250,000 vehicles commute in and out of Boulder every day. Since TMP's formation, the use of local transit route has increased by 300%. The use of bus in Boulder is twice the national average.

Relevance to Indian context – The use of a CMP can bring substantial changes in transportation planning of a city. It can help in TOD and improve the liveability for residents as was the case with TMP.

The following sections highlight some of the broad guidelines and components of CMP, which shall act as guidelines in preparing CMP.⁴

⁴ For detailed guidelines, refer to CMP Revised Toolkit, 2014 of the Ministry of Urban Development, Government of India

7.3.1 Guidelines to development of a CMP

The successful development of a CMP shall involve collaboration among various levels of government and relevant urban transport stakeholders. It shall give consideration to all modes of transport in Kochi, and focus on their interconnectivity. The key steps to be followed during preparation of CMP would include the following:

Step 1: Understanding the city

The first task shall be to fully identify the planning area, land-use distribution and mobility patterns within Kochi Urban Mobility Area so as to understand the mobility needs of the people. This can be done by administering surveys and studies to review the socio-characteristics and demographic profile of the city, using the following indicators:

- Spatial distribution of population
- Population growth rate
- Population density
- Sex ratio
- Literacy level
- Employment structure
- Economic profile of Kochi Urban Mobility Area

Step 2: Identifying issues and challenges

The existing transport system in Kochi city shall be assessed and reviewed to understand how it currently stands, how the transport system is used, and what are the major roadblocks and challenges being faced by it. The review of the existing urban transport scenario would include review of:

- Land-use pattern
- Existing transport infrastructure
- Public transport system
- Traffic movement pattern (including freight movement)
- Traffic safety and enforcement
- Growth in vehicle registration
- Institutional and financial framework
- Environment and social situation

The current scenario in urban transport can be ascertained by administering primary transport demand surveys including:

- Traffic volume count survey
- Origin-destination survey (household O-D, roadside O-D)
- Turning movement survey at intersection
- Occupancy survey
- On and off-street parking survey
- Road network inventory survey
- Passenger terminal inventory survey

- Speed flow survey
- Bus Transport: Boarding/ Alighting survey
- Bus passenger user survey
- Other Public Transport Modes: Boarding/ Alighting survey
- Other Public Transport Modes: User survey
- Intermediate Public Transport: User survey
- Intermediate Public Transport: Operator Survey
- Goods Focal Point – Entry exit survey
- Goods Focal Point – Parking survey
- Goods Focal Point – Vehicle operator survey
- Establishment survey
- Work place survey
- Floating vehicle population survey
- Home interview survey

Step 3: Outlining a vision for the CMP

A strategic vision would need to be concerted to guide the overall planning process for preparation of CMP. This vision shall be based on the needs of Kochi Urban Mobility Area, and aim at maximizing benefits for the community rather than simply planning a more efficient transport system.

Examples of the CMP vision can be:

- Seamless inter-modal transfer and single travel experience to the commuter by connecting various transportation modes including non-motorized transport in a safe, comfortable, secure and timely manner.
- To evolve an integrated transportation system that contributes to the city's productivity and improves communities' quality of life with minimal environmental impact.
- To achieve a sustainable transport system in the city, that achieves and balances social, economic and environmental objectives.

Step 4: Set objectives and strategic targets

The CMP shall set specific objectives driven by Kochi's travel patterns, time taken to travel, and all kinds of costs involved. The objectives shall reflect the visions set, and have support from the local government elected representatives. Targets shall be aligned with objectives, and provide a benchmark for measuring achievement.

Step 5: Predicting future scenarios

Based on the data collected and the vision and objectives specified, a likely future scenario shall be predicted with a 'business as usual' approach and a 'desired' approach. This would enable the identification of gaps between current and likely future situations, considering where the transport system stands today, and which direction it is envisaged to go in the near short, medium and long term. This stage would involve preparation of models for planning, including:

- Trip generation model
 - Trip production model
 - Trip attraction model
- Trip distribution model
- Mode choice model
- Traffic assignment model

After having identified the gaps between existing and future scenarios, it shall be possible to identify the areas that need intervention to change the status quo.

Step 6: Ascertaining future funding provisions

Prior to developing strategies for urban transport which meet the predicted desirable scenarios, it is important to ascertain funding sources that meet the potential propositions. Even though it is true that funding sources vary time to time, depending on the state of the economy of Kochi, the political agenda, etc. an attempt shall be made to predict the funding provisions that will be available in the short, medium and long term, so as to set a fund estimate in the process of planning. This process would involve seeking inputs from the Finance and Transport Departments of the Government of Kerala as well as Central Government departments and agencies which provide funding programmes for transport and infrastructure development.

During this step, as well as the next, it is important to investigate the potential viability for private sector partnerships, especially where there are clearly-identifiable benefits which can be attributed to the private sector.

Step 7: Designing mobility improvement strategies

Strategies for a sustainable and desirable future transport system shall be identified in a realistic and achievable time frame. Strategies shall include plans and proposals pertaining to the following:

- Integration of land-use and transport planning
- Travel demand management and inducing behavioural changes to alternate transport options apart from private cars
- TOD proposals and congestion management
- Public transport improvement plan, including more efficient use and rehabilitation of existing transport infrastructure capacity
- Street design and street classification system with the aim of achieving better urban design for promoting and integrating non-motorised facilities
- Development of complete road proposals, including:
 - Route alignment plans
 - Network improvement
 - Pedestrian network plan
 - Dedicated bicycle network plan
- Parking plan and management strategy, not only for cars, but for other modes
- Freight movement plan
- Passenger/goods terminal proposals for nodal points

- Last mile connectivity and inter-modal facilities
- Signage and way finding plans
- Disabled-friendly transport plan
- Low emission plan

Each strategy should involve multiple actions that should be aligned to the relevant strategy and to achieve the stated objectives.

Step 8: Prioritizing strategies and programmes

It is imperative that strategies and actions are prioritized into short, medium and long term, to guide implementation. Therefore, the planning process shall involve a cost and benefit analysis of each strategy and action to assess their positives and negatives. The economic analysis and prioritization framework has been discussed in detailed in the sections to follow.

Step 9: Developing an implementation programme

The prioritized strategies and their corresponding actions shall be packed into an implementation programme clearly specifying role, responsibilities and delivery timelines of implementing agencies. The implementation program shall include the following:

- Implementation Strategy of the Selected Plan
 - Short term plan
 - Medium term plan
 - Long term plan
- Corridors for MRTS (rail and road)
- Redevelopment of existing urban areas
- Local area plans
- Street redevelopment programme

Key Outputs of the CMP

- Develop a Short Term Action Plan (0-5 year's horizon) for addressing critical traffic issues within Kochi Urban Mobility Area.
- Collection/ updating of household, land-use, and travel demand data.
- Formulation of transport strategy for Kochi Urban Mobility Area.
- Formulation of proposals for TOD and integration of all public transport systems within Kochi Urban Mobility Area.
- Identification of a phased program of transport investments proposals.
- Formulation of proposals for future expansion of public transport systems.
- Training and knowledge transfer to other agencies if required.
- Propose the action plan for achieving the standard service level benchmarks.
- Propose project prioritization plan.

Step 10: Obtaining Approval

After the CMP has been prepared, UMTA shall be required to organise a review meeting and present it before the CEO and the Governing Board for approval. All necessary comments/suggestions provided by the Governing Board shall be incorporated in the final CMP Report before submission to the Government of Kerala for its consideration and approval.

Step 11: Reviewing Outcomes Post CMP Preparation

A review of the CMP during the planning process and post implementation should answer the following questions:

- Are the vision and objectives set earlier in the CMP still relevant, given the dynamic social and economic environment of the city?
- What have been the results and outcomes of the CMP? Were these outcomes originally intended?
- Has the CMP fulfilled expectations of all concerned stakeholders?
- How can the results of the CMP be improved through revisions?

The implementation processes shall be reviewed regularly and priorities shall be adjusted to achieve proposed objectives.

During the process of CMP preparation, UMTA shall seek suggestions and feedback from the implementing agencies and major stakeholders and discuss them at length internally with its divisional heads. The CMP shall be prepared after considering each of these comments and suggestions. The consultation process has been discussed in detailed later.

The following section discusses in detail, some elements of the CMP, which would be central to its preparation.

Responsibility for CMP preparation/revision

UMTA shall be solely responsible for the preparation of CMP for the area under its jurisdiction. Considering the volume of work involved in preparing a CMP, UMTA may hire a consultant to successfully carrying out the task. Since UMTA shall be solely responsible for the document, it shall closely coordinate with the consultants towards preparation of CMP.

For detailed key tasks and survey information for preparation of CMP, UMTA shall refer to the Revised CMP toolkit issued by MoUD, GoI. The UMTA staff/consultants deployed to develop the CMP shall be required to detail out the CMP document based on the guidelines specified in the Revised CMP toolkit 2014.

Geographical Coverage

The geographical coverage/planning area of the CMP will be Kochi Urban Mobility Area as defined by the UMTA. It is recommended that the planning area of CMP be synchronized with the planning area of the land-use plan/regional plan of the city for integrated planning.

In case any of 9 municipalities or 24 panchayats with Greater Kochi Area does not have a land-use plan, then the CMP becomes the starting point in defining their urban agglomeration limits and shall constitute the planning area of the CMP. It is also important to note that the future growth of the city in terms of geographical limits will be influenced by development of transport corridors that the CMP prescribes, just like it is influenced by commercial and residential development that the land-use plan prescribes. Therefore, the planning area may be revised and extended in line with revisions prescribed in the land-use plan, as has been discussed later.

Planning Horizon

The CMP is a macro-level strategic document that leads to investments in transport sector with long term impacts on climate change and other issues. Since the mobility plan implementation shall have long term impacts, the planning horizon for the CMP should be at least 20 years. Considering a 20 year time period, the project prioritisation for the CMP is recommended to be divided in the following manner:

- Short-term: 0-5 years
- Medium-term: 5-10 years
- Long-term: 10-20 years

Since, transportation network of a city has an intrinsic relationship with the city's land-use pattern, the planning horizon of the CMP shall be synchronized with that of the Land-use Plan so that planning and implementation of both the plans may be maintained in a coordinated manner.

Revision Horizon

It is recommended that the CMP document and project prioritisation plan be reviewed by the UMTA Governing Board in a timely manner, as prescribed by the Government of Kerala. This shall essentially entail planning for the prioritised projects in the CMP that shall be implemented. The review of CMP shall be finalized after due consideration and integration of the revised land-use plan.

7.3.2 Relationship between Land-Use Plan and CMP

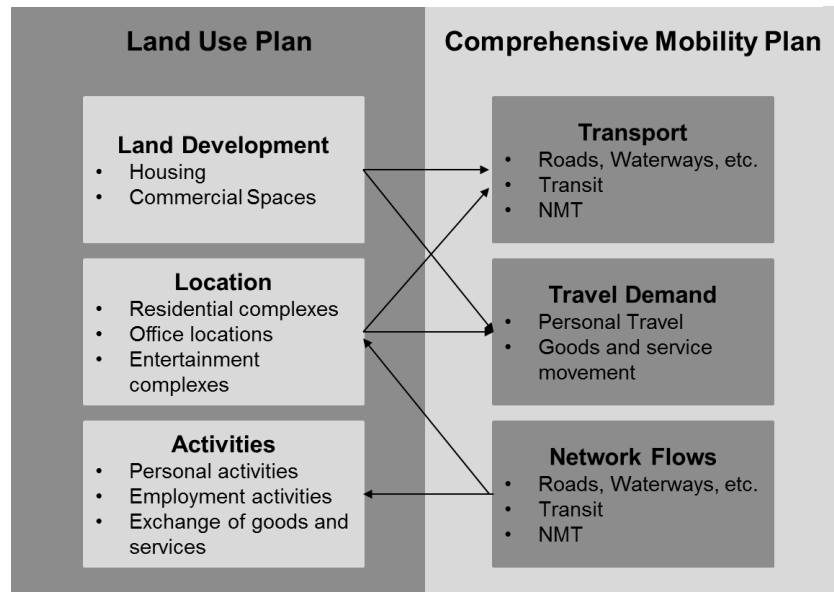
The land-use plan or master plan is a long term statutory document for guiding and regulating the prospective growth and development of Kochi Urban Mobility Area. It is predominantly based on the components of population growth, infrastructure requirement, city growth pattern and existing land-use. In case of Kochi, it is prepared by Town and Country Planning Department, Government of Kerala which assesses the total land requirement for various purposes till 2031.

It is important to understand that there exists a direct two-way relationship between land-use and transport planning.

- The nature of an urban area, including its population density and the mix of residential, commercial and industrial properties, has a lasting influence on the number and type of transit journeys to and from a location.
- At the same time, the magnitude of access provided by a transport service has an impact on the demand for and use of land located in proximity of that transport service.

Exhibit 21 relationship between land-use plan and CMP

Further, different transit modes can have varied impacts on land-use patterns. For example, public transit modes with heavy infrastructure needs such as heavy and light rail are likely to encourage increased density and consequently, particular types of land-use in their vicinity. In contrast, bus routes which do not require fixed infrastructure, may have different land-use outcomes characterised by low density.



Given the profound relationship between land-use and transport, the primary requirement in urban planning is that land-use and transport are planned in an integrated manner which minimizes the transport demand-supply gap. In this process of integration, the CMP shall review the future land-use patterns as projected by the Town and Country Planning Department, Government of Kerala from a mobility optimization point of view and select a preferred pattern of land-use and transport integration if necessary. Exhibit 21 illustrates the relationship between the land-use plan and CMP.

Guidelines to Integration of Land-Use Plan and CMP

The process of integrating the land-use and transport plan may be undertaken after assessment of the current transport scenarios, prediction of the likely future scenarios, but before the formulation of urban transport strategies. Exhibit 22 presents a flow chart highlighting the integration of the land-use plan and CMP. The following are guidelines for undertaking in integration of CMP with the land-use plan⁵:

Step 1: Deploy persons to initiate the process of integration

The UMTA may hire a consultant, or form a committee of its own staff, responsible for integrating the CMP of Kochi Urban Mobility Area with the land-use plan of one or more urban local bodies since the jurisdiction of UMTA may extend outside the delineated city boundary.⁶

Step 2: Review all previous land-use plans/ city-development plans for the urban area

The next step shall be to review and assess in detail all previous plans pertaining to land-use of

⁵ Refer to Handbook on Integrating Land Use Considerations into Transportation Projects to Address Induced Growth, 2005 for methods for integrating land-use and transport planning.

⁶ During the process of integration, UMTA is envisaged to work alongside the land-use planning agencies (either in the form of periodic consultations, or deputizing urban planners from different departments for the process of integration).

the particular urban area⁷. In case of Kochi, the Development Plan for Kochi City Region 2031 shall be thoroughly studied and shall serve as an input to the CMP preparation. Assessments of existing/proposed land-use changes are necessary in three different areas:

- To predict the future land-use to be expected in the absence of any investments or policy changes.
- To assess the impact on land-use attributable to specific infrastructure construction or expansion in the past.
- To assess land-use impacts attributable to changes in transportation policy changes (e.g., pricing or parking policies).

Further, this step shall also involve assembling data that will be necessary to conduct the analysis. Existing database, surveys, statistical trend analysis, remote sensing technology and GIS are likely to be required for analysis.

Step 3: Establish Assumptions for the future

This step involves determining currently anticipated changes in regulatory or economic policies, which will have impact on the future land-use. This step may require discussions with regulatory practitioners and policy makers.

Step 4: Estimate the urban area's population and employment growth

This step shall identify employment of local population and employment trends; broader state and national economic industry trends; and economic forecasting models in order to establish future population and employment trends for various scenarios.

Step 5: Identify land with potential for development

This step shall identify undeveloped and underdeveloped land, and in combination with environmental restrictions and zoning regulations, quantifies land available to absorb growth.

Step 6: Assign population and employment to specific locations

This step shall use land availability, the cost of development, and the attractiveness of various areas to estimate the amount and type of growth that will occur in each zone. This stage may require expert interviews and discussions, statistical trend analysis, and/or integrated transportation and land-use models.

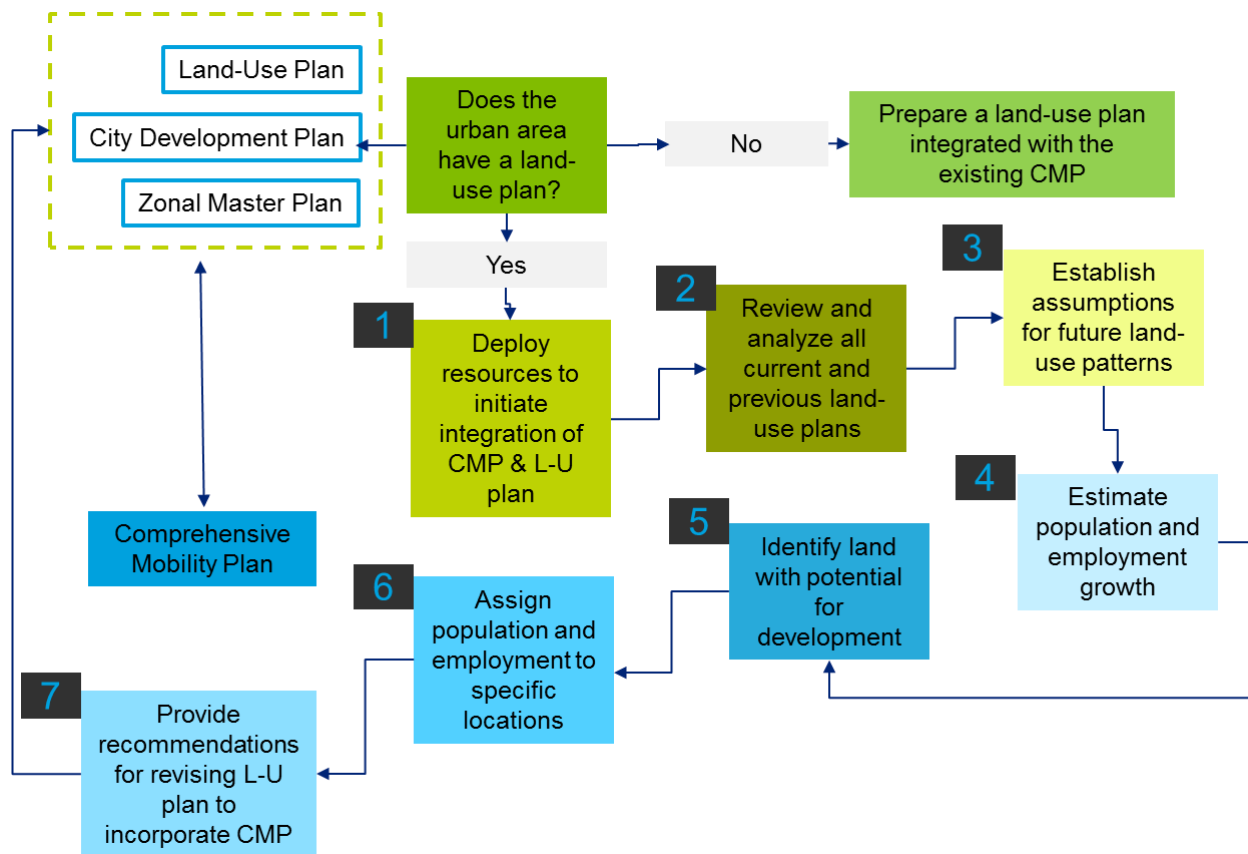
Step 7: Provide recommendations for revising the land-use plan to incorporate the CMP

UMTA shall also provide recommendations on revision/preparation of the city's land-use plan, in order to incorporate the component of transport planning undertaken in the CMP.

The recommendations shall essentially strive to achieve the following:

⁷ In places where the UMTA jurisdiction extends over more than one urban local body, the land-use plans for each of these urban areas need to be considered and integrated in the CMP preparation process.

Exhibit 22 Process flow chart of integration of land-use plan and CMP



- Functional cohesion of land-use and transport structure in the urban area. While planning for the city, it needs to be emphasised that all the land-uses are properly accessible and well connected.
- The land-use plan shall ensure that the transport network, existing as well as proposed, is well integrated with the spatial framework of the city and accordingly plan for the land-uses along major transport corridor.
- The land-use plan shall strive for sustainable land-use options through planning which minimises the need to travel.

Consideration of these aspects while planning/revision of the land-use are of prime importance and shall be taken up as prime responsibilities by Department of Town and Country Planning Authorities, Government of Kerala. The Government of Kerala shall be sensitized about the importance of these incorporations in the process of land-use plan revision/ preparation. The procedure for change in land-use plan shall be based on the Act prescribed by the Greater Cochin Development Authority. Change in the existing land-use plan is possible in case the Authority argues that such changes do not affect important alterations in the character of the plan and which do not relate to the extent of land-users or population density. The broad procedure undertaken for modification of land-use plan from that specified in the Master/Development Plan to be undertaken by the Greater Cochin Development Authority, is provided in Exhibit 23:

Exhibit 23 Process flow chart for modifying land-use plan

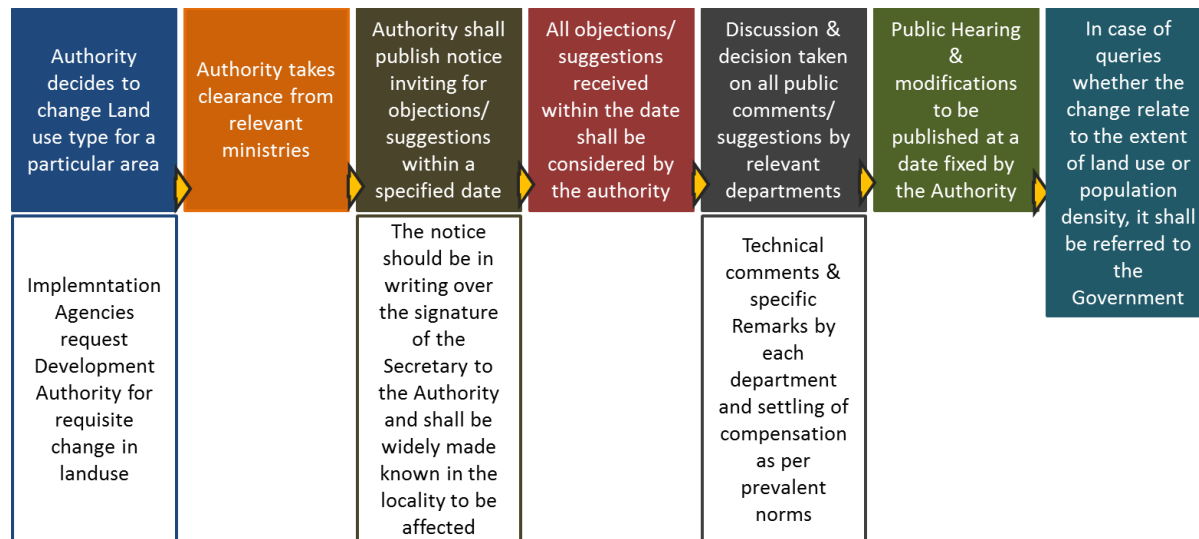


Exhibit 24 Case study- Singapore

Land-Use and Transport Integration in Singapore

The land-use and transport planning in Singapore is facilitated by two agencies: Urban Redevelopment Authority (URA) and Land Transport Authority (LTA), respectively. URA prepares long term strategic plans, known as **Concept Plans**, which represent a successful example of integrated strategic planning. The Concept Plan lays out the vision for development over at least a 20 year horizon, and the key actions to achieve the vision. It shows the main land uses (residential, commercial, and industrial) and the MRT and main road networks.

The Concept Plan is not a statutory plan but provides the framework for the preparation (also by the URA) of the statutory land-use plans – known as Development Guide Plans (DGPs), which together form what is known as the Master Plan. Further, the Concept Plans incorporate transport policies and the major transport infrastructure networks and facilities, and provide the framework for the formulation and implementation of more detailed transport strategies, policies and programmes by the LTA in support of the Concept Plans.

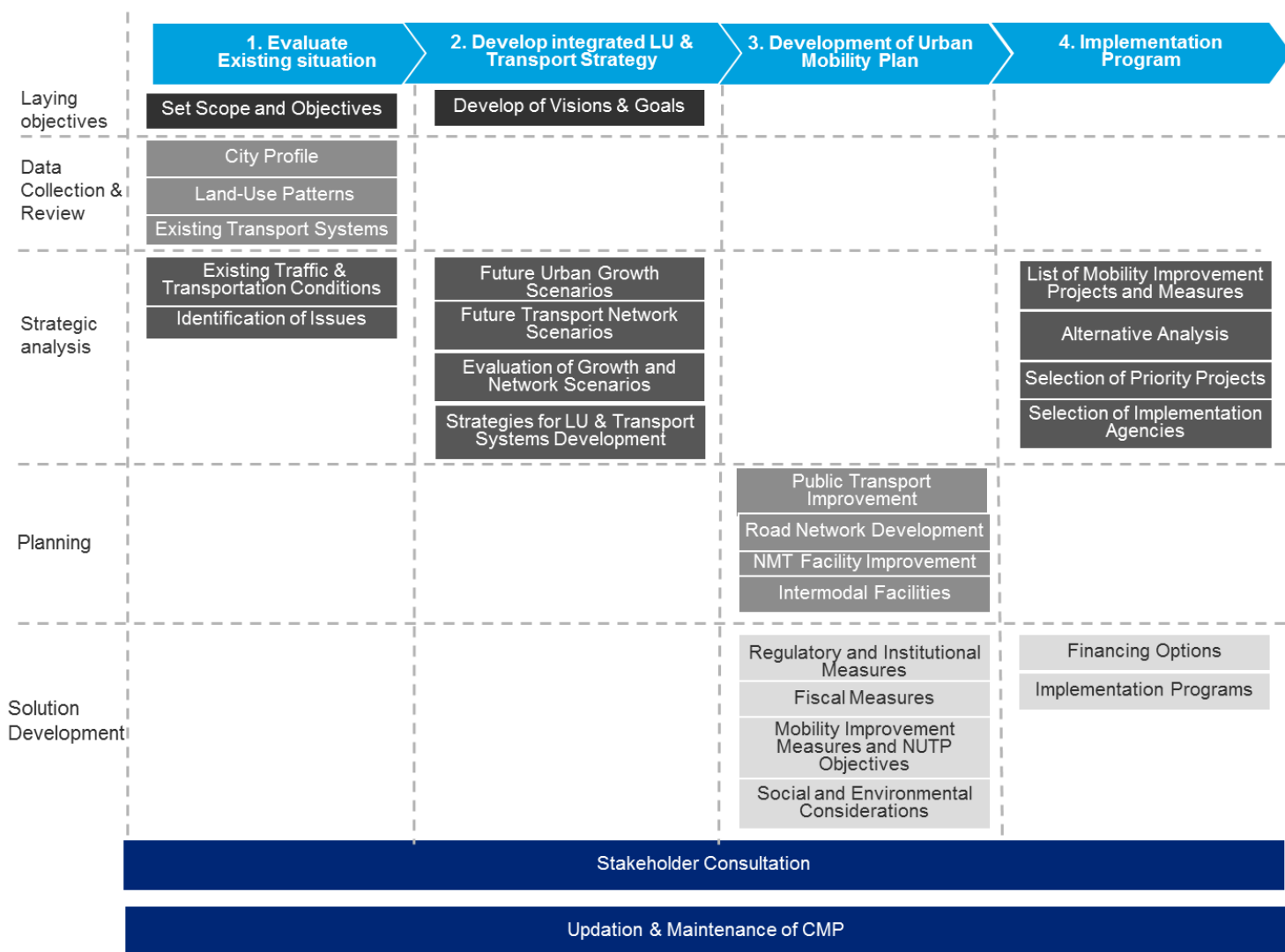
The Concept Plans, therefore, cover aspirations, what the community wants to achieve, and confronts major strategic trade-offs and dilemmas. The DGP and the Transport Plans (TPs) take the concepts as a starting point and provide the details of how the aspirations are to be achieved. The operational plans, which are further detailed plans prepared by implementing agencies (Housing and Development Board, and Jurong Town Corporation) then bring the concepts to fruition.

It can be argued that the relative absence of departmental silos, and use of cross agency committees make a great contribution to integration of government policy formulation and decision making in Singapore. This can be replicated for the Indian case, given the will of technical staff and leadership by departmental heads.

Exhibit 24 presents a case study on land-use and transport integration in Singapore. Exhibit 25 illustrates the CMP preparation process.

Exhibit 25 Preparation of CMP

CMP PREPARATION PROCESS



7.3.3 Stakeholder Consultation

It is important for the preparation of the CMP to be an inclusive process, and to involve key stakeholders including various beneficiary groups at the time of preparation, to achieve a shared understanding of the future urban transport system within Kochi City. Therefore, continuous consultations with the identified key stakeholders shall be an important task in the CMP preparation, implementation and review stages. The key stakeholders in CMP preparation process shall include the following:

- i. Government bodies like Kochi Municipal Corporation, GCDA, Public Works Departments, Traffic Police, Transport Department, Environment Pollution Control Authority, Transport Corporations like KSRTC, KURTC, etc.
- ii. Central Government agencies like NHAI, Indian Railways, etc.
- iii. Elected Representatives from Kochi City, nine other municipalities, 14 panchayats, Transport Minister of Kerala, or Member of Parliament, Ernakulum.
- iv. Experts in the field of transport from Academic Institutes and Research bodies and Consultants or practitioners in the field.
- v. Non-governmental organisations (NGOs)/ Civil Society Organisations (CSOs)
- vi. Operators like auto rickshaw unions, private bus operators, or informal operators
- vii. Organized user and beneficiary representative groups

It is important to work with the key stakeholders identified above individually and collectively, as they have extensive ground experience in working within the city region and would be crucial in understanding the existing scenario for CMP preparation.

Consultations could take the form of surveys, meetings or workshops, so as to identify key transport issues and to test the likely effects of various strategies in addressing them. Further, divergent perspectives on key issues need to be articulated and discussed more through stakeholder discussions and meetings. Further, public consultations/ workshops may also be conducted if deemed necessary by the UMTA board. Following are the key guiding principles for stakeholder consultations⁸:

- Policy-making should be inclusive and take into account views of stakeholders. Public officers should see inherent value in stakeholder feedback.
- The outcome of consultation should not be pre-determined.

Why consult stakeholders?

- Understand stakeholder/public sentiment and the ground situation
- Provide a channel for stakeholders to be heard and enable greater participation in the policy development process
- Gather diverse views and insights from stakeholders/public
- Ascertain feasibility of intended policy change or new initiative
- Obtain buy-in from stakeholders by seeking their contribution to the policies/initiatives to be implemented
- Mitigate or find resolutions to opposing interests to prevent conflicting views at implementation stage
- Couch appropriate public communication messages, particularly for controversial or contentious issues.

⁸ Refer to Public Consultation Toolkit, Ministry of the Information, Communications and the Arts (MICA), Singapore, 2010

- Consultation should involve a fair representation of all stakeholders who are affected, interested and/or can contribute to the policy development process.
- Modes of consultation should be carefully considered and selected to reach the relevant stakeholders and gather the appropriate types of information.
- The consultation process should be conducted in a transparent, consistent, structured and timely manner. Sufficient time should be given to those being consulted to understand and respond to an issue.
- Consultation material should provide sufficient background information that is clear and easily understandable to participants.
- The scope and parameters of the consultation should be clear to the participants to set the right expectations. Participants should be provided with a clear understanding of how their input will be sought and managed.
- UMTA should be responsive and follow through with stakeholders on how their feedback was considered and the extent of its impact on the policy in a constructive manner.
- UMTA should ensure that the consultation process is mutually respectful, non-discriminatory and equitable, regardless of gender, race, age, educational levels or religious beliefs.

Exhibit 26 Case study- Master Plan Consultations, Singapore

Public Consultations for URA Master Plan 2008

Urban Redevelopment Authority (URA), Singapore, prepared a master plan in 2008 to guide Singapore's physical development over the next 10 to 15 years, of which public consultation and stakeholder engagement was an integral part. During the preparation stage, URA conducted dialogues with key stakeholders such as architects, developers, business organisations, NGOs, academics and the community. The dialogues allowed the plans to be detailed to the stakeholders and for them to give URA feedback on the proposals. Based on the input received, URA refined the proposals for the public exhibition. Following this, the draft version of the plan was exhibited to obtain public feedback. This entailed virtual plans and videos being uploaded on URA's website and physical plans, scaled models and videos being exhibited at the URA Centre.

Over 185,000 people viewed the draft plan at the URA Centre and the website and 300 written feedback were received on the plan. Based on this input, the master plan was refined and improvised further before being gazetted.

In order to further increase public awareness, URA developed an exhibition of its Master Plan 2008 in eight heartland malls, thereby educating the public of the plan and key proposals and informed the wider populace of changes that would take place in their neighbourhoods. They also allowed the public to provide meaningful feedback to the upcoming developments.

A case study on public consultations for Singapore's URA Master Plan is presented in Exhibit 26.

7.3.4 Economic Analysis and Project Prioritization

The CMP for Kochi Urban Mobility Area would comprise a number of strategies which would be broken down into projects that would drive the investment plans for urban transport in the long, medium and short term. Undertaking a thorough economic analysis to check for the viability of the identified strategies and projects and prioritizing them, therefore, becomes imperative before embarking on programmes with such long gestation and high investment levels. Some of the projects identified by the CMP that would require prioritization could be related to the following:

- Road improvement by way of strengthening and widening
- Construction of new roads
- Construction of bypasses, freeways and expressways
- Developing metro corridors
- Developing, improving, upgrading and extending MRTS and BRTS corridors
- Improving junctions
- Constructing and improving pedestrian footpaths
- Constructing and improving subways/ FOBs/ road signage/ cycle tracks/ ramps, etc.
- Traffic management
- Improving parking facilities
- Constructing terminals integrating different modes

Framework for Economic Analysis

In order to understand the feasibility and viability of each project, its costs, benefits and impacts need to be ascertained.

Benefits and impacts associated with a project can be compared with a scenario where the project is not undertaken. The benefits can then be assessed as follows:

- The savings in travel time due to reduced congestion and better speeds.
- Environmental benefits realised due to reduced traffic congestion and fuel consumption. The savings in vehicle operating cost and maintenance cost due to a more efficient transport network that has resulted because of the project. The projects impact on facilitating a modal shift may also be measured.

Once the benefits have been assessed, the project costs for construction of transport corridors, etc. may be computed. These costs will include both capital and maintenance costs. For example, for road-based infrastructure, maintenance cost can be computed as a percentage of construction cost per year for both routine and periodic maintenance. To estimate the environmental costs, the amount of fuel consumed by vehicles in various projects can be estimated, and monetized using the price used for carbon credits.

Once costs and benefits have been computed, indicators such as Economic Internal Rate of Return, Net Present Value, and Benefits to Costs Ratio can be estimated, and projects may be compared across these measures.

Sensitivity Analysis

Post analysing projects for testing their economic viability, a sensitivity analysis can be carried out for the preferred option. A sensitivity analysis subjects the investment in question to various risks, which culminate into either an increase in project costs, or a reduction in benefits, or both. The following sensitivity scenarios can be considered:

- Increase in project cost by x %
- Reduction in project benefits by x %
- Increase in project costs by x % and reduction in project benefits by x %
- Lower than expected travel demand and traffic growth rates
- Loss of road capacity and fall in travel speeds due to poor traffic enforcement

Framework for Project Prioritization

Prioritisation of projects for improvement of transport scenario in the city region is one of the most important aspects in successful project implementation. The project prioritization process as part of the CMP shall help in greater planning efficiency. The project prioritization may be done through applying weightages to various parameters as decided by the UMTA Governing Board⁹. Prioritising transport projects may be a difficult task since many sustainable transport projects may have equal priority and hence, their planning may be phased based on short, medium and long term planning. The framework for project prioritisation is presented in Exhibit 27.

Some of the guiding parameters that may go into project prioritization are highlighted below:

- Utilization of the corridor in terms of passenger km, which specifies the need for developing the facility
- Estimated cost of the project. Low investment projects may be preferred due to limited fund availability over those projects that have a high investment cost.
- The extent up to which the project utilizes existing infrastructure, facilities and services.
- The requirements and costs of maintaining the infrastructure envisaged by the project in a state of good repair.
- Environmental and social impact of the project.

Exhibit 27 Framework for project prioritisation

Framework for project prioritization

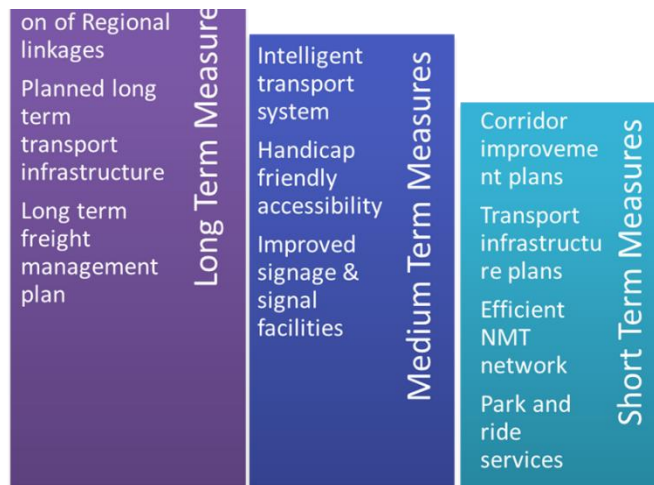
1. Measure the viability of each transport corridor under consideration (by computing ridership or utilization to cost ratio) to gauge project utilization per unit investment. Higher the utilization, higher the requirement of the project on priority.
2. In order to gauge the implementation probability of the project, undertake an environmental and social impact assessment. In case a corridor is seen as having issues related to resettlement or forest clearances, it is likely that its implementation will be postponed. The priority given to such projects should incorporate such adjustments.

⁹ Refer to Preparing a Comprehensive Mobility Plan – A Toolkit, MoUD, 2014 for guidelines to setting criteria to project prioritization.

The prioritisation of projects may be categorised over different time frames based on the following criteria (refer Exhibit 28):

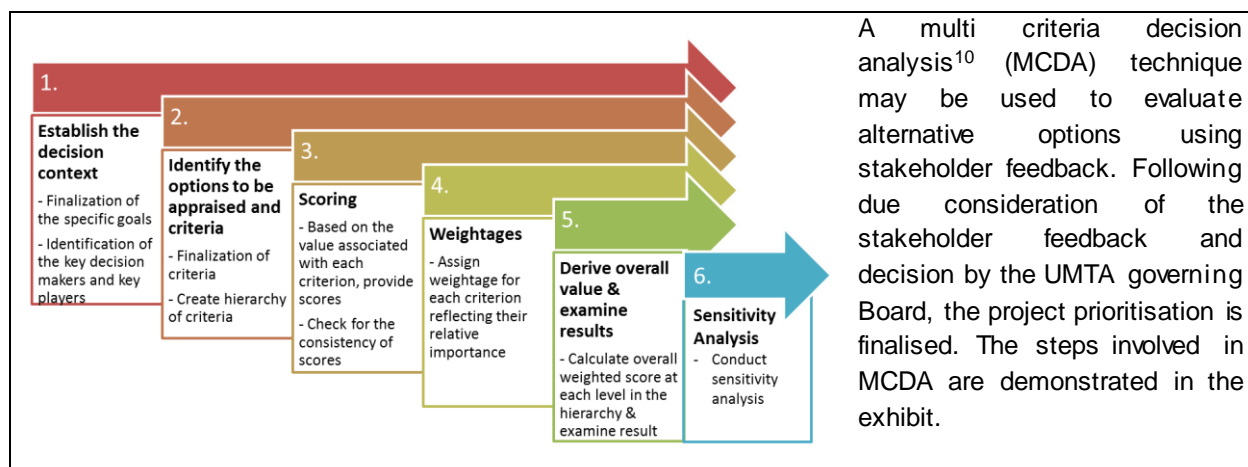
Exhibit 28 Prioritization guidelines: Long, Medium and Short term

- Short-term projects should be based on area level traffic circulation plans, improving the safety and accessibility of pedestrians, cyclists and public transport users, implementing traffic signals, etc.
- Medium-term projects may involve implementation of corridor level cycle tracks, mass transit corridor, public transport fleet improvement, parking policy development. The medium term measures may largely aim at improving the public transport and non-motorized transport shares
- Long-term projects include implementing the city level networks for walking and cycling, mass transit networks, parking regulation measures, pricing strategies and other such measures aimed at improving the overall road network to provide adequate accessibility for existing developed areas which meet the overall vision of the CMP for the city region.



A tentative project prioritisation plan along with the CMP shall be proposed to be discussed with all the key stakeholders for their feedback and suggestions. The final output of CMP shall be a list of prioritized strategies pertaining to various aspects of urban transport. Some of the strategies suggested in the CMP, particularly those related to corridor identification and development would need to undergo alternative or options analysis in order to finalize what type of mass rapid transit system is best suited. The project prioritization plan following MCDA is highlighted in Exhibit 29.

Exhibit 29 Project Prioritization Plan following MCDA



A multi criteria decision analysis¹⁰ (MCDA) technique may be used to evaluate alternative options using stakeholder feedback. Following due consideration of the stakeholder feedback and decision by the UMTA governing Board, the project prioritisation is finalised. The steps involved in MCDA are demonstrated in the exhibit.

¹⁰ eprints.lse.ac.uk

7.4 ALTERNATIVE ANALYSIS

Following the planning for sustainable mobility options for an urban area, the next major process is Alternative Analysis. Among various strategies proposed, the CMP of a city is expected to identify priority corridor(s) that need transportation improvements. Once a corridor has been identified, the next step would be assess different transportation options for that corridor – whether MRTS, corridor alignment options or different land-use scenario options for a corridor. The CMP will also spell out all transport alternatives for the proposed corridor(s). Alternative Analysis (AA) shall evaluate the alternatives for the identified corridor and suggests the option best suited to the city. As an example, suppose the CMP proposes a particular corridor to be developed as a long term strategy, and advocates alternatives like an improved bus system, BRTS, a metro or mono-rail. AA would evaluate all these alternatives based on a defined criterion and select the alternative best suited for the corridor. Therefore, during AA, the priority corridor identified in the comprehensive planning is studied in detail, focussing on the effects of alternative solutions on the corridor’s transportation problems. The alternatives shall be analysed in detail, based on the following basic criteria:

- Overall benefits and public well-being achieved due to the project
- Effective cost involved in project implementation
- Impact caused by each alternative and its expense
- Comprehensive technical basis available for the selected alternatives
- Economic impact
- Environmental sustainability
- Financial sustainability
- Promotion of multi-modality

The responsibility of preparation of the Alternative Analysis report based on the CMP document shall lie with UMTA, which can either use its in-house technical staff, or appoint a Consultant for its preparation. The Alternative Analysis report shall be prepared in close coordination with the key stakeholders, UMTA and the implementing agencies. The report shall be cleared only after the approval of the final alternatives by the UMTA Board.

Based on the AA Report, the Transport Investment Programme shall be finalised by UMTA and sent across to the implementing agencies. For a step-by-step guide on preparation of AA, please refer to Toolkit for Alternative Analysis prepared by MoUD. gives a brief gist of the various steps involved in the process of AA:

Exhibit 30 Checklist for conducting Alternative Analysis

Process	Checklist	Action
Step 1 – Set goals and objectives	Have the problems with the corridor been identified? E.g. congestion, low capacity, safety	UMTA
	Goals and objectives identified? E.g. mobility (connects houses to	UMTA

	<p>offices, easy inter-modal transfer), Safety (minimise accidents across all modes, conformation with engineering design and safety standards), capacity (provide sufficient capacity, minimise delay)</p>	
	<p>What is the “big decision” that has to be made? E.g. transit system or highway alignment?</p> <p>What type of bus transit is suitable along the corridor?</p>	UMTA
Step 2 – Set up a committee within UMTA	Have decision makers been identified?	UMTA
	Have all decision makers been contacted?	UMTA
	Does UMTA have technical expertise to conduct the AA or will it have to hire a consultant?	UMTA
Step 3 – Review technical issues, data and models	<p>Have the problems been identified? E.g. Current transit travel times during the peak period 45-75 minutes, as against 20-30 minutes by car, corridor contains a significant percentage of transit dependents, etc.</p>	UMTA
	<p>Causes for performance deficiencies? E.g. For congestion, possible causes may be rapid residential and employment growth, inadequate transit system, demand exceeds capacity, poor past land-use planning, etc.</p>	UMTA
Step 4 – Define scope of services	Terms of reference	UMTA
	Time frame/ work plan for the study	UMTA
	Budget	UMTA

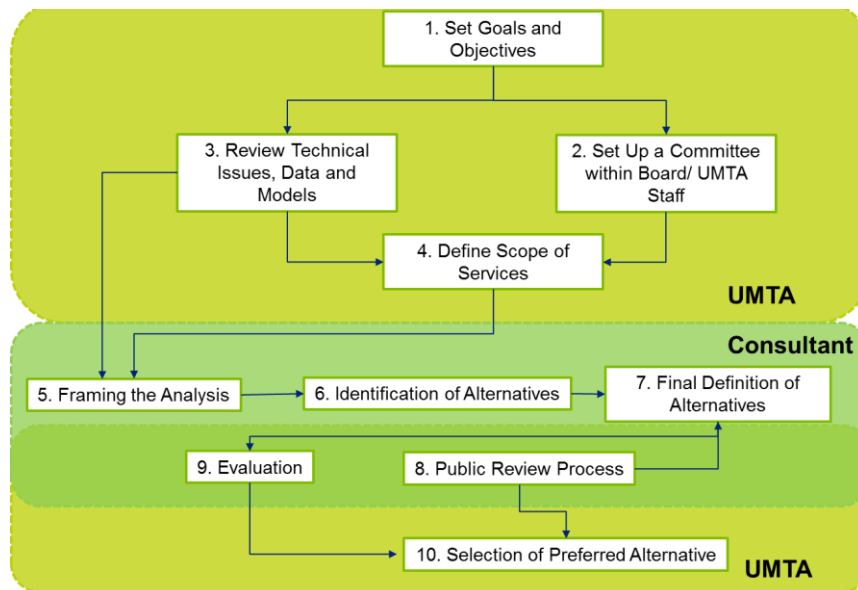
Step 5 – Framing the analysis	Have the terms of reference been refined? (Revisit/ refine problem statements, causes of the problems identified in the terms of reference, assess need to update travel demand model)	Consultant ¹¹
	Evaluation criteria to be established at various levels (effectiveness and comprehensiveness in measuring goal attainment, conformity with NUTP)	Consultant
	Link performance measures to goals and objectives	Consultant
	Decide rating scale	Consultant
	Existing and future needs analysis	Consultant
	Analysis of strengths, weakness, opportunity and threats	Consultant
Step 6 – Identification of alternatives	Plan and design Standards. E.g. Indian Roads Congress Design Standards, Guidelines and Codes, etc.	Consultant
	Operational plans for each alternative, all having same parameters (Fare assumptions, parking assumptions, approximate alignment, route network- feeder and trunk, etc.)	Consultant
	Is there any screening needed?	Consultant
	What are the criteria, depending on screening levels?	Consultant
Step 7 – Final definition of alternatives	Conceptual engineering (plans, drawings)	Consultant
	Travel demand forecasting (base year model, forecast model)	Consultant

¹¹ The final responsibilities of any task assigned to the consultant remains with UMTA.

	Operational planning (transportation impacts, land-use impacts, environmental and social impacts, economic impacts, project development costs/ capital costs, operation and maintenance costs, financial plans)	Consultant
Step 8 - Public review process	Identify relevant stakeholders	Consultant
	Decide on mode of contact, meeting date	Consultant
	Decide on public meeting dates	Consultant
	Inform public about the feedback process time-frame, format, etc.	Consultant
Step 9 – Evaluation	Rating scale	Consultant
	Performance measures to be evaluated	Consultant
	Grouping of performance measures	Consultant
	Composite score of each evaluation category by alternative	Consultant
	Final score – sum of score of all evaluation categories by alternative	Consultant
Step 10 - Selection of preferred alternative	Present evaluation matrix in previous step with all supporting documents	Consultant
	Public feedback	Consultant
	Decision on preferred alternative	Consultant
	Public meeting notification	Consultant

Post preparation of the AA report, the UMTA would finalize corridor strategies, and identify the project to be undertaken in the short to medium turn (up to 15 years). This will set the way for subsequent studies like the Detailed Project Report (DPR), by the concerned implementing agency, which would lead the selected project to the project sanction stage.

Exhibit 31 Process flow chart for alternative analysis



A process flow chart for alternative analysis is illustrated in Exhibit 31. presents a case study on alternative analysis of transportation models in Tulsa’s metropolitan area in Oklahoma.

Exhibit 32 Alternative analysis of transportation models

CASE STUDY: Alternative Analysis (AA) of transportation models by INCOG – Tulsa Metropolitan Area, Oklahoma

With the increase in population and the flow of traffic in Tulsa, the problems of congestion and traffic accidents amplified. The INCOG (Indian National Council of Governments), which is a voluntary association of local and tribal governments in the Tulsa metropolitan area in northeast Oklahoma, conducted a study in the year 2000, to identify and analyse the various alternative transportation modes and select the one that meets the requirement. The existing and future conditions of the city were also examined to set a base for the analysis of alternatives.

Key Concepts: In the first step the factors that may affect the selection of the alternatives were identified and then the various options were identified. These factors included travel time, costs, frequency, comfort, environmental consequences, etc. The various alternatives in the case of Tulsa were identified as Buses, BRTS, Light rail, Commuter rail and pedestrian lanes. The selection process began with demand estimation, identifying modes that are apt considering the demand and the assessment of the pros and cons of each mode selected. Following this the cost - benefit, mobility and land use benefit analysis were required to make the final selection of the alternative.

Relevance to Indian context: Several Indian metropolitan areas face similar problems and alternative analysis of various modes of transportation can provide a foundation of sound congestion management and several economic incentives. Using AA different options can be suggested on the selected routes. It is important to note that the suggested alternative might not be a single mode of transportation rather a group of such modes and steps that can be implemented over an appropriate timeline.

7.5 TRANSPORT INVESTMENT PROGRAMME

It is imperative that strategic planning undertaken during preparation of the CMP and Alternative Analysis, is closely integrated with budgeting. In lieu of this, it is envisaged that UMTA would prepare a Transport Investment Programme for the Urban Mobility Area to achieve the goals of the CMP and plan financing of projects proposed in the CMP. Prior to this, the implementing agencies in the Urban Mobility Area would draw Multi-Year Programmes (MYPs), which would be tactical in nature, and closely integrated with the strategies proposed in the CMP. The MYPs shall present activities that an implementing agency would pursue over a short to medium term planning horizon towards achieving the strategies proposed in the CMP, based on reasonable expectations of the project budget. MYPs submitted by the implementing agencies would enable UMTA to prepare a consolidated Transport Investment Programme. The Transport Investment Programme shall be a detailed five – year programme for financing the projects proposed in the CMP, based on inputs from the MYPs.

The UMTA would review and approve the MYPs drawn by implementing agencies, in order to ensure that the programmes meet the guidelines set by the CMP, are in line with the state and national level priorities and within the limits of the available resources. Therefore, through the process of approving the MYPs, UMTA would play an indirect role in overseeing the planning process of implementing agencies.

The MYP would primarily make use of technical costing and planning tools to generate a budget request for a transport sector investment, in line with the projects proposed within the CMP. It is suggested that MYP shall include yearly expenditure estimates and the intended sources of funding. Post approval of MYP, the UMTA would issue a Certificate of Approval (CoA) to the implementing agency, for a particular project proposed in its MYP. The CoA could be shared with the Finance Department/concerned Central Government ministry/funding agency for making a request for funds for that particular project.

The MYP shall be prepared for a period of five years or more and broken into short term (1 to 3 years), and medium term (3 to 5 years) for monitoring and implementation. This shall be developed in consonance with the CMP. It is recommended to be updated every 2 years.

The approved MYP can be detailed in the form of annual action plans by implementing agencies.

7.5.1 Guidelines and Procedures for Preparation of Transport Investment Programme

The suggestive process for preparation and approval of the MYP is presented in Exhibit 33. Exhibit 34 presents an illustrations of the Multi Year Program. Key steps involved in development and finalisation of MYP are provided below:

Step 1: Reference to the CMP, Alternative Analysis and other guidelines

The UMTA shall circulate the finalised CMP and other guidelines to all the concerned agencies. The concerned agencies shall refer to these documents and make themselves aware of the objectives and strategies envisaged for development of the urban transport over the planning period.

Step 2: Development of draft MYPs by each implementing agency

Each of the concerned agencies shall prepare (by its internal staff, or by appointing a consultant) a draft MYP and submit the same to the UMTA for ensuring compliance. The implementing agencies shall draw MYPs to include the following:

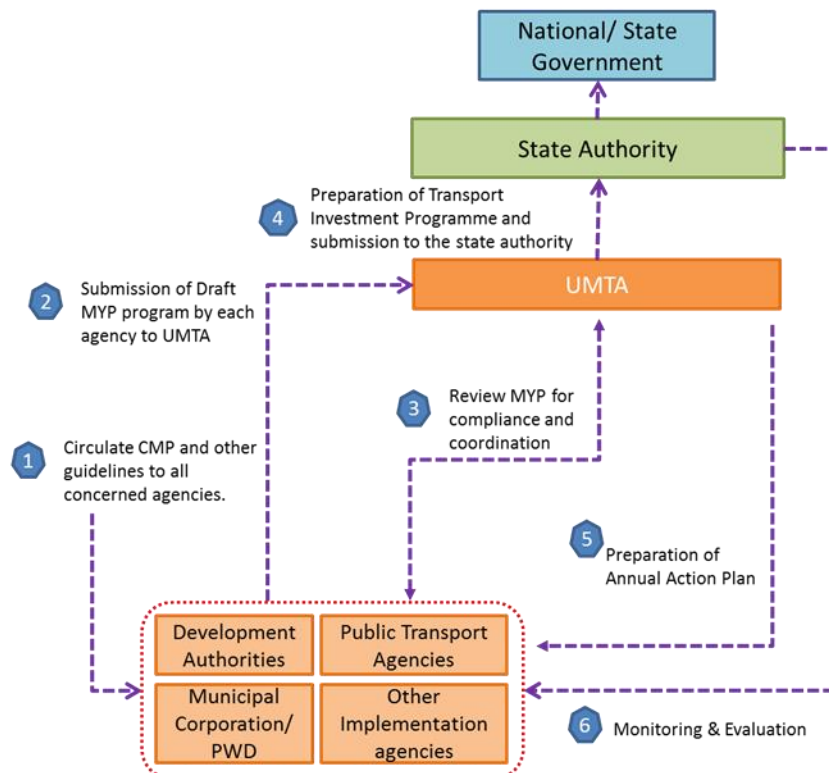


Exhibit 33 Process for preparing Transport Investment Program

- Determining key activities to be undertaken by the implementing agency, to achieve the objectives and strategies of the CMP. Example for the case of MYP drawn by a Kochi Metro Rail Limited (KMRL):

Transportation Service	CMP Objective	CMP strategy	AA Outcome	Main Activity by Metro Corp.	Timelines	Costs
Public Transport	To increase public transport ridership by 20% in the planning period	To develop 100 kms of corridor around the city	Metro is the best option suited for the corridor	Build 25 kms of metro in 4 phases	2016 Completion of 25km	-
					2017 Completion of 50km	-
					2018 Completion of 75km	-
					2019 Completion of 100km	-
...						
...						

Exhibit 34 Illustration of Multi Year Program

- Determining the year(s) in which each activity proposed to be undertaken by the implementing agency will be carried out, in order of priority. All augmentation of transport network and infrastructure provisions may be worked out for the short term, while policy level implementation may be worked out in the medium term.
- Estimating the current and future costs and financing of the major activities proposed, predicting scenarios and identifying strategies that will improve the financial sustainability of the MYP. It is crucial that the MYP clearly spells out how much is being spent on what and from what source, and identifies funding gaps and how much will be needed in the future. The costs can be determined by:
 - Estimating the current project costs
 - Predicting future resource requirements
 - Estimating current project financing
 - Predicting future financing levels and patterns over the MYPs time horizon
 - Estimating financing gaps by comparing resource needs with available financing

Step 3: Review of MYPs for compliance

The primary function of UMTA is to ensure coordinated development of overall urban transport in Kochi Urban Mobility Area. In this regard, UMTA shall review the MYPs submitted by all implementing agencies with the objective of ensuring that:

- a. The planned developments envisaged in the CMP and other guidelines have been covered by the MYPs;
- b. There is no overlap or gap in achieving the envisaged developments;
- c. The projects finalised under the MYP shall be within the time and budget frames. that have been predicted by the CMP

The UMTA shall provide its comments and suggestions to the concerned agencies for revision of the draft programmes. Once these suggestions have been incorporated, the MYPs can be finalized for approval by the UMTA Board.¹³

Step 4: Consolidating the MYPs into a Transport Investment Programme

Once the MYPs have been revised, the UMTA shall prepare a Transport Investment Programme, consolidating the MYPs of various implementing agencies and submit it to the Urban Affairs Department, Government of Kerala (or other minister as applicable), for approval of programme and associated budget.

Step 5: Preparation of annual action plan

Once the Transport Investment Programme has been approved by the Government of Kerala, the UMTA will break down the Transport Investment Programme into implementing agency-specific programmes, and shall circulate them to all the concerned implementing agencies. The agencies shall then decompose their respective MYPs into annual action plan for the following year. This process of annual action plan formulation shall be repeated every year for the time

¹³ All projects with issues pertaining to land requirement shall be referred to the land owning Authority for clearance on land requirement/ acquisition. Hence, the implementing agencies will be responsible for getting clearance on any change in land-use for the projects approved under the Transport Investment Programme. UMTA shall be responsible for monitoring the process of land-use change undertaken by the implementing agencies and may time to time facilitate the same as deemed necessary by the UMTA board.

horizon of the MYP.

Step 6: Monitoring and Evaluation of MYPs

The UMTA shall establish a monitoring and evaluation framework to track the progress of implementing agencies towards the activities set out in their MYPs. This process would enable the UMTA to include annual and mid-term corrections to MYP strategies, should this tracking demonstrate that milestones and targets are not being achieved. The principles of establishing an effective monitoring and evaluation framework are:

- Ensure selection of specific, measurable, achievable, relevant and time-bound indicators to track performance.
- Plan in advance the data sources for measuring the indicators and the means by which the data will be verified.
- Describe accurate baselines that will enable tracking of progress.
- Define targets that are realistic and achievable in relation to the baseline data.

Exhibit 35 gives an illustrative monitoring and evaluation framework which the UMTA could adopt.

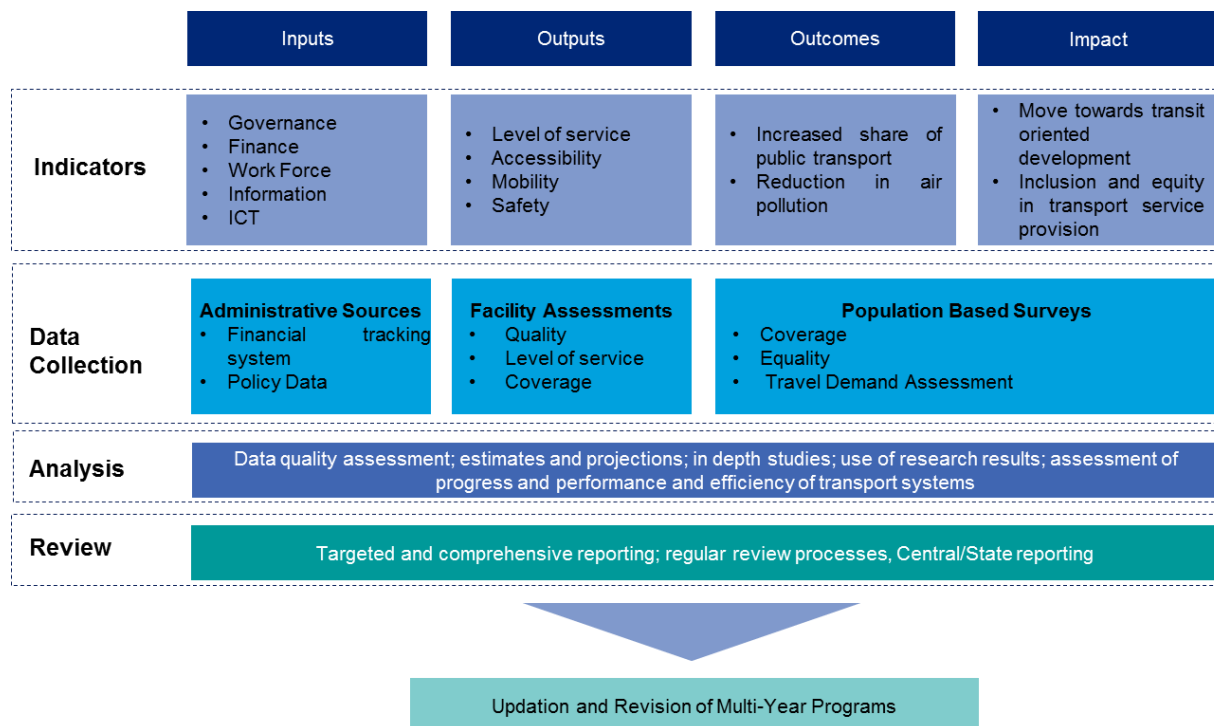


Exhibit 35 Illustration of monitoring and evaluation framework of UMTA

The Authority may also engage consultants as deemed necessary for the purpose of monitoring and auditing processes.

7.6 INTEGRATED FACILITIES

An integrated transport system supports cross-city and cross-region journeys by way of new travel opportunities through increased interchange. Planning for integrated facilities aims to ensure that there exists suitable and interconnected transport infrastructure for all transport modes, such as private vehicles, freight, public transport, walking and cycling. To ensure seamless and smooth connectivity of people and goods across the urban area, it is crucial that all transport modes (by way of infrastructure and services) are connected and work together. Integrated service provision results in a seamless journey that is as door to door as possible.

Today, most commuters in Indian cities face barriers and discontinuities in seamless travel across the urban area. These discontinuities are sharper for pedestrians, cyclists and public transport users than for car drivers, who can usually find a way around such impediments.

- For pedestrians, barriers include roads that are difficult to cross, lack of footpaths, hostile walking environment, etc.
- For cyclists, barriers may include dangerous intersections leading to safety concerns, high traffic road without provision of cyclist tracks, etc.
- For public transport users, barriers include services, routes and schedules that do not connect, less frequency of service, absence of end-to-end connectivity, etc.

In planning and development of integrated facilities, UMTA shall keep view of certain measures:

- Integrated transport network means integration among modes as well as within each individual mode. Is this inter and intra-modal integration being achieved?
- How good is the walking access to bus/train stations? How can the walking environment be improved?
- How secure are the facilities for cycling to bus and train stations?
- How well do buses connect with one another and with trains in terms of schedules and physical access?
- How does one ensure seamless travel of the commuters in buses or trains and from buses to trains and vice-versa? What procedures (of security frisking, ticketing, etc.) can be streamlined so as to cause minimum discontinuity for commuters?

7.6.1 Guiding Principles for Integrated Transport Planning

The guiding principles for integrated transport service planning have been demonstrated in Exhibit 36:

Principle	Considerations for UMTA interventions	Potential Outcomes
Providing satisfied commuting experience	<ul style="list-style-type: none"> • Identify ticketing and fare requirements for commuters to introduce integrated ticketing 	<ul style="list-style-type: none"> • Increased patronage towards public transport services and facilities

Principle	Considerations for UMTA interventions	Potential Outcomes
	<p>across public transport modes and operators¹⁴</p> <ul style="list-style-type: none"> • Offer clear and accessible information to commuters for public transport across modes, operators, routes and schedules • Encourage good pedestrian access to public transport services • Consider the needs of all users of the network 	
Development of an integrated, seamless public transport network	<ul style="list-style-type: none"> • Plan for a hierarchy of mass, intermediate and local transit services in a network through terminal and interchange point development • Follow consistent timetables and stopping patterns for services • Coordinate convenient transfers between services • Increase network connectivity 	<ul style="list-style-type: none"> • The public transport network is effective and easy to understand and navigate • The public transport network considers the needs of different user groups • Changing between public transport modes is as convenient as possible
Plan for rehabilitation of existing assets and infrastructure	<ul style="list-style-type: none"> • Provide services making the best use of existing assets and infrastructure • Plan for future asset and infrastructure procurement and development 	<ul style="list-style-type: none"> • Appropriate distribution of public transport services across the network • Service provision increases network productivity • Public transport services are integrated with future asset and infrastructure improvements
Foster continuous improvement	<ul style="list-style-type: none"> • Undertake periodic reviews to ensure that services continue to reflect demand and customer expectations 	<ul style="list-style-type: none"> • Service planning continues to be efficient and effective
Ensure safety of commuters and prompt accident mitigation	<ul style="list-style-type: none"> • Establish a unified and centralized command and control center for the urban area enabling quick incident response¹⁵ • Plan for high quality facilities to ensure commuter safety, comfort and ease of use 	<ul style="list-style-type: none"> • Reduction in fatalities caused during accidents
Ensure integrated traffic management	<p>A centralized integrated traffic control system shall be operated by the implementing agencies in coordination with UMTA. The Centralized Operation Control Cell may be responsible for the following activities:</p>	<ul style="list-style-type: none"> • Reduced congestion • Reduced energy consumption and traffic emissions • Increased efficiency of the transport system

¹⁴ Refer to 'Draft Guidelines – Smart Ticketing', Expert Group on Urban ITS. Access - <http://ec.europa.eu/transparency/regexpert/index.cfm?do=groupDetail.groupDetailDoc&id=5783&no=3>

¹⁵ Refer to 'Simplified Guide to Incident Command System for Transport Professionals', U.S. DOT. Access - http://www.ops.fhw.a.dot.gov/publications/ics_guide/ics_guide.pdf

Principle	Considerations for UMTA interventions	Potential Outcomes
	<ul style="list-style-type: none"> Using intelligent transport system to streamline traffic signal control enabling prioritization of public transport and traffic optimization Satellite tracking of vehicles to give real time passenger information Automatic number plate recognition systems and vehicle detection systems Enabling visual view of transport system through closed circuit television surveillance¹⁶ 	<ul style="list-style-type: none"> Improved freight delivery and servicing Enhanced road safety Reduction in parking congestion

Exhibit 36 Guiding principles for integrated transport planning

In terms of development of integrated facilities, UMTA's role shall be to promote, develop and regulate the integration process within Kochi Urban Mobility Area. Kochi UMTA shall ensure development, construction, integration, operation and management of integrated and/or standalone transport network facilities and services that aid and enhance efficiency and service levels of the urban transport system.

Exhibit 37 presents a case study on London's integrated ticketing system.

London Oyster Card – Integrated ticketing system

Nearly two- third of the total rail journeys in UK either start or end in London. Public transportation in UK is administered by TfL (Transport for London). TfL introduced a smart card – known as the Oyster card - which could be used in various modes such as London Bus, DLR, Tramlink, London Underground, etc. This project was a Public-private Partnership operated by TranSys consortium. The system is similar to smart card system of Delhi Metro Rail Corporation where passengers need to touch the card on a sensor at the beginning and end of the journey.

The Oyster card was set up under a Private Finance Initiative (PFI) contract between TfL and TranSys, a consortium of suppliers that included EDS and Cubic Transportation Systems (responsible for day-to-day management) and Fujitsu and WS Atkins (shareholders with no active involvement). The £100 million contract was signed in 1998 for a term of 17 years until 2015 at a total cost of £1.1 billion. There is documented evidence that introduction of Oyster cards has increased the number of users of public transport in London. This has positively affected traffic congestion and therefore, journey times, which in turn has reduced CO₂ emissions and pollution.

Key outcomes – As of 2012, seven million cards were regularly used and a total of 57 million journeys are made using Oyster card every week. Around 80% of the total bus and tube travel in London has been estimated to be made through Oyster. In a survey conducted DfT in 2009, 98% of responses were favourable when it came to the implementation of Oyster system. After the introduction of aforementioned capping system the use of Oyster increased to 300%.

Relevance to Indian context – TfL is an authority quite similar to the proposed UMTA and the integration of ticketing as adopted by TfL can be established in Indian context too. Lessons can be taken from other integrated ticketing systems such as Hong Kong, Montreal, etc.

Exhibit 37 Case study- London

¹⁶ Refer to 'Guidelines for ITS Deployment in Urban Areas', Urban ITS Expert Group, 2013. Access - http://ec.europa.eu/transport/themes/its/road/action_plan/doc/2013-urban-its-expert_group-guidelines-on-traffic-management.pdf

7.7 REGULATION

It has been suggested that, for the UMTA there is a potential recommendatory role to play in licensing and fare fixation functions for public transport vehicles operating within its jurisdiction as well as in regulating fees and charges for other urban transport facilities and services.

In this regard the suggested functions of the UMTA shall include:

- Contract public transport services so as to provide mobility and integrated public transport;
- Assist the licensing authority in issuing licenses (or permits) for public transport vehicles;
- Monitor and advise on fees/charges for roads, public transport, parking, and other public transport facilities and services and regulate fares for urban bus services
- Enforce regulations for which UMTA is responsible

Guidelines for carrying out these functions are provided in following sub-sections.

7.7.1 Options for Licensing Function for Public Transport Services

As an important part of the contracting function of UMTA, it shall also be enabled to provide inputs on issuing of licenses for the provision to the public transport vehicles. For achieving this the licensing authority may issue the licenses (permits) only in consultation with UMTA.

This function is crucial since UMTA shall exercise some degree of decision making power in regulating the number of public transport vehicles operating within the urban area and their routes and frequency. This would involve licensing activities for the existing routes and the new routes.

7.7.2 Options for Monitoring and Regulating Fees and Charges

Fares influence patronage of public transport services, and therefore, adjustment of public transport fares can be used to encourage or discourage use of a particular mode of travel. Setting of fares can, therefore, be part of a wider, multi-modal travel demand management strategy for the metropolitan area, which should involve charging vehicles, particularly private vehicles, for their use of roads (road pricing, congestion charging, etc.). Such a strategy would operate best with a single agency in control of fixing all relevant fares, fees and charges. Therefore, UMTA's role shall be to make recommendations to the various fare- setting agencies, within the framework of the overall travel demand management strategy.

It has been suggested that the UMTA shall be responsible for following functions within the ambit of monitoring, fixing and regulating fees/charges in the urban area:

- Make suggestions regarding the fixing of all relevant fares, fees/charges within urban area – This particularly applies to bus transport, so fare fixation for bus transport becomes part of a wider reform of public transport planning, contracting and funding. All these aspects need to be placed under the control of a single agency for effective service delivery.

- Make suggestions on road tolling charges to relevant agencies within urban area – This shall include advising the National Highways of India (NHAI) or the state road development agencies for fixing the tolling charges within the overall travel demand management strategy.
- Make suggestions regarding the fare structure for sub-urban rail services – This shall include advising the Indian Railways for fixing the sub-urban railway charges within the overall travel demand management strategy.
- Provide advice on matters related to the amount of subsidy required for public transport services – The UMTA shall provide such advice on the basis of the level of revenue it has been able to recover from various sources of resource mobilization as discussed in the UTF Manual. In the event, the resources of UMTA fall short of meeting the planned expenditure, it shall provide advice to the Central/State Government on the subsidy shortfalls, and means of meeting them.

UMTA shall interact with all relevant agencies such as public transport operators and regulatory agencies such as Transport Department for ensuring that monitoring and regulatory functions are undertaken properly.

7.8 RESEARCH STUDIES AND AWARENESS

One of the main functions of UMTA is to conduct research, study activities and spread awareness on urban transport. Research and development forms the core to a successful, well-strategized and updated transportation network. Hence, various types of transport policies, guidelines and studies need to be worked out by the UMTA.

These functions shall be carried out by the Policy and Research Division of the UMTA which shall be responsible for innovative research and study solutions that establish an effective transportation system within the urban area.

In this regard, UMTA's functions have been suggested to include following:

- **Maintain records relating to urban transport, including details of projects, services, funding, and public transport safety:** To manage its affairs, UMTA will need to maintain database of information on activities for which it is responsible. Depending on the functions assigned to UMTA, the database shall contain details of projects, funding, public transport routes and services, licenses, etc.
- **Develop and disseminate service level performance indicators for urban transport:** The UMTA needs to develop and measure service level performance indicators for urban transport within its jurisdiction. These indicators shall be in line with the service level benchmarks published by the MoUD. The Authority could regulate and enforce technical and performance standards on all strategic and operational matters that have a direct effect on the levels of service provided to the users of urban transport.

- **Monitor and advise on public transport safety:** UMTA shall monitor public transport safety and take action to improve transport safety where problems arise. In addition, UMTA shall coordinate with the Traffic Police to help ensure improved safety of public transport users.
- **Conduct research, studies, education and awareness about good practices in urban transport for overall improvement:** For the UMTA to be successful, it needs to conduct research and studies to take informed decisions. These could be carried out by consultants. There is also a role for the UMTA in raising awareness about good practices in various aspects of urban transport. The latter could include providing training opportunities and support to new professionals from other agencies.
- **Develop and maintain transport analysis tools such as demand and network models, GIS, etc.:** UMTA shall maintain network datasets that model transportation networks and perform route, closest facility, service area, origin-destination cost matrix, vehicle routing problem, and location-allocation network analyses on transportation networks.

Guidelines for carrying out these functions have been highlighted below.

7.8.1 Guidelines for Maintenance of Database

UMTA shall maintain a database with information on activities for which it is responsible. Depending on the functions assigned to it, such database shall contain following:

- Details of projects;
- Details of existing urban transport infrastructure;
- Planned development by different agencies in consonance with the MYPs;
- Fare structures;
- Funding;
- Public transport routes and services;
- Licenses;
- System performance including safety

The task of maintenance of database shall be entrusted to the information technology team of the Corporate Service Division.

The maintenance of transport database will help in the following:

- Facilitate sharing of data across various agencies
- Facilitate coordination of information/ reports across agencies
- Minimise duplication of data collection
- Map of all transport developments for planning purpose
- Facilitate selected access of information/ reports to the general public

- Provision of data to the Policy and Research Division of UMTA

Exhibit 38 Research function within UMTA

UMTA Research Functions		
Maintenance of Database	Public Transport safety guidelines	Performance Indicators
<ul style="list-style-type: none"> • Transport projects • Existing urban transport infrastructure • Public transport routes and services • Fare Structures and Licenses 	<ul style="list-style-type: none"> • Quality of infrastructure • Driver training, testing and licensing • Registration, testing/certification of vehicles • Road accidents • Enforcement of traffic rules 	<ul style="list-style-type: none"> • Develop measures and publish performance indicators • Conduct workshops for awareness about best practices

The research functions within UMTA is highlighted in Exhibit 38.

The broad outline of data which is recommended to be collected is provided below:

- Demand for urban transport:
 - Traffic operations
 - Performance of major routes
 - Passenger and freight data
 - Vehicle population for public, private as well as para-transit system
- Supply of urban transport:
 - Capacity trends
 - Fleet data
 - Road and traffic infrastructure facilities and provisions
- Safety statistics and Financial results,
- Data on fuel consumed by public, private and para-transit system
- Information on Road infrastructure, road conditions; Updated information on all public transport modes, routes, frequency and timings;
- Non-motorised transport facilities;
- Mobility indicators;

- Modal share/ split of transport vehicles;
- Incidents of accidents, fatalities;
- Service level benchmarks; and
- Other benchmarking data.

7.8.2 Guidelines for Public Transport Safety

One of the key functions of the UMTA would be to monitor public transportation safety issues in coordination with the present implementing agencies. Some of the research studies on existing transportation services to be conducted by the UMTA for ensuring safety of passengers shall, inter-alia, include:

- Quality of infrastructure
- Driver training, testing and licensing
- Registration, testing and certification of vehicles
- Road accidents data collection and analysis
- Enforcement of traffic rules and regulations
- Institutional arrangements and accountability

7.8.3 Performance Indicators

The Authority needs to establish the achievements of specific objectives of overall development of urban transport in Kochi Urban Mobility Area. For ensuring efficient operation of public transport services, development of measurable and relevant performance indicators is crucial. UMTA would develop and measure service level performance indicators for urban transport within its jurisdiction. These indicators should be in line with the service level benchmarks published by the MoUD.

7.8.4 Research and Studies

Research studies shall be one of the prime functions of UMTA and shall be undertaken by the Policy and Research Division. The UMTA shall be responsible for developing innovative and unique transport solutions to the urban areas. The Division shall also be responsible for preparation of policies and guidelines for sustainable urban transport, specific to Kochi Urban Mobility Area context.

7.8.5 Awareness about Good Practices

In order to spread awareness about good practices, the UMTA shall be responsible for conducting workshops on good practices implemented at national as well as international levels.

7.9 CONCLUSION

This chapter outlined the guidelines for carrying out various functions of the UMTA, including providing input in policy, standards and guidelines, preparation of CMP and alternative analysis,

Transport Investment Programme preparation, regulation, and research, studies and awareness. The next chapter discusses the broad procedures and guidelines to be followed to carry out day-to-day activities of the UMTA Board and Secretariat.

8. ADMINISTRATIVE AND RECRUITMENT PROCEDURES

8.1 INTRODUCTION

This chapter describes broad procedures and guidelines to be followed to carry out day-to-day activities of the UMTA Board and Secretariat. The policies and procedures relating to administration and human resource matters of UMTA shall comply with all the legislative provisions of the UMTA Act (refer to Annexure I). The procedures relating to procurement outline the steps to be followed for procurement of services, works and goods. The procedures relating to financial management are provided in the UTF operations document and these include funding mechanism, accounting procedures and audit arrangements, etc. The procedures provided in this chapter are only for the purpose of providing broad guidelines. It is suggested that UMTA adopts prevailing policies and procedures as laid down by the Government of Kerala.

8.2 ADMINISTRATIVE AND OFFICE MANAGEMENT PROCEDURES

The procedures relating to administration and office management to be followed for performing day-to-day activities of the UMTA Board and Secretariat are provided in this section. The policies and procedures on these matters shall comply with the legislative provisions of the UMTA Act.

8.2.1 Transparency Policy

A high level of transparency shall be the key policy of the Authority. The Authority shall maintain exemplary standards in all areas of work and shall strive to be transparent in its procedures and policies. The Authority shall, therefore, abide by the following principles and detailed procedures while taking all decisions and performing all activities:

- **Clarity of role, responsibilities and objectives:**
 - The ultimate objective and institutional framework of the Authority shall be clearly defined in the UMTA Act or the regulations framed under it
 - The institutional relationships between the Authority and other agencies shall be clearly defined in performance agreements between these bodies
 - The role and responsibilities of the Authority with regard to performance of each of its functions shall be made clear in published documents
- **Open process for formulating policies and reporting policy decisions:**
 - The framework, instruments and any targets that are used to pursue the objectives of the Authority's policies shall be publicly disclosed and explained
 - Information on the composition, structure and functions of the Authority shall be published
 - Changes to the Authority's policies shall be publicly announced and explained in a timely manner
 - The Authority shall issue periodic public statements on progress towards achieving its objectives

- **Transparent and fair procurement:**
 - The procedures used to publicise tenders shall be published by the Authority, together with any standard forms to be used, and details of the evaluation criteria that will be used to identify the successful tenderer
 - Contract award notices shall, as a minimum, include the description of the nature of the goods or services, the name and address of the successful tenderer, the total value of the contract, the values of the highest and lowest offers received and the term of the contract where appropriate
 - Contract award notices shall be posted on the Authority's website within seven days of the contract award and be retained on the website for a period of at least six months
 - The Authority shall be prepared to debrief unsuccessful tenderers in relation to a contract award
- **Public availability of information:**
 - Presentations and releases from the Authority shall meet the standards related to coverage, periodicity, timeliness and access, set out in the Authority's communications strategy
 - The Authority shall publish its plan and annual operating accounts at the earliest opportunity each year
 - The Authority shall establish and maintain public information disclosure services, including a website, the Authority's annual report and other media set out in its communications strategy
- **Accountability and assurances of integrity:**
 - Senior officials and members of the Authority shall be available to appear before a designated public authority to report on the conduct of the Board's policies, explain the Authority's objectives and describe the Authority's progress
 - Information on expenses and revenues in operating the Authority shall be published annually
 - Standards for the conduct of personal financial affairs of officials and members of the Authority and rules to prevent exploitation of conflicts of interest, including any general fiduciary obligation, shall be publicly disclosed

8.2.2 Board Procedures

This section specifies procedures relating to appointment and terms of service of Board members, responsibilities and meetings of the Board members and the Authority's committees, etc. All Secretariat staff are required to comply with the information concerning Board procedures and the same shall be maintained up to date at all times.

General provisions in the Act:

Members of the Board shall be nominated by names and /or designations. The names and/or designations of all members of the Board as first constituted and every change in membership thereafter shall be published in the Official Gazette.

A member of the Board, other than an ex-officio member, shall hold office for a period of three years from the date of his or her appointment and shall be eligible for re-appointment at the expiration of that period.

In case of any vacancy arising in the Board on account of death, resignation or otherwise, the same shall be filled in as soon as possible in accordance with criteria set out in the UMTA Act. No act or proceedings of the Board shall be illegal, nor can any question relating thereto be raised, merely on the ground of existence of a vacancy in the Board.

Resignation, removal, or suspension of Chairperson or other members

The Chairperson or any other member may, by a written notice addressed to the Government of Kerala, resign his/her office, provided that the Chairperson or the member shall, unless he/she is permitted by the Government of Kerala to relinquish his/her office sooner, continue to hold office until the expiry of three months from the date of receipt of such notice or until a person duly appointed as his/her successor enters upon his/her office or until the expiry of his/her term of office, whichever is the earliest. The Government of Kerala may, by order, remove the Chairperson or any other member appointed or nominated by the Government of Kerala from his/her office if such Chairperson:

- a) is, or at any time has been, adjudged as an insolvent; or
- b) has been convicted of an offence which, in the opinion of the Government of Kerala, involves moral turpitude; or
- c) has acquired such financial or other interest as is likely to affect prejudicially his/her functions as a member; or
- d) has so abused his position as to render his/her continuance in office prejudicial to the public interest; or
- e) has become physically or mentally incapable of acting as a member.

The Central Government may, by order, remove the member appointed or nominated by it from his/her office if such member:

- a) is, or at any time has been, adjudged as an insolvent; or
- b) has been convicted of an offence which, in the opinion of the Central Government, involves moral turpitude; or
- c) has acquired such financial or other interest as is likely to affect prejudicially his functions as a member; or
- d) has so abused his position as to render his continuance in office prejudicial to the public interest; or
- e) has become physically or mentally incapable of acting as a member.

If a casual vacancy occurs in the office of a nominated member, either by reason of death, resignation, removal or otherwise, such vacancy shall be filled up, as soon as may be, by the Government and such nominated member will hold office only for the remainder of the term for which the person whose place he/she fills would have been a nominated member.

8.2.3 Committees constituted by the Authority (for specific subject matters)

It is suggested that UMTA shall time to time appoint committees consisting of such members or experts whose assistance or advice may be required for any subject relating to the purposes of the Authority.

Such appointed members/experts shall be entitled to receive allowances or fees as may be determined by the Authority. The committee members shall conform to any instructions given by the Authority and the Authority may at any time alter the constitution of any committee so

appointed or rescind any such appointment. The Authority shall nominate any one of the members as the Chairperson of every such committee. The procedure to be followed by the committees and all other matters relating to the committees shall be specified by regulations framed under the UMTA Act.

8.2.4 Meetings Procedures

Board Meetings:

1. The Authority shall meet at such times and places and shall observe such procedure in regard to the transaction of business at its meetings (including the quorum at its meetings) as it deems appropriate.
2. The Chairperson shall preside over the meetings of the Authority.
3. If for any reason the Chairperson is unable to attend any meeting of the Authority, the senior most member as prescribed by the regulations framed under the UMTA Act, present at the meeting, shall preside over the meeting.
4. All issues which come before any meeting of the Authority shall be resolved through consensus, and in case no consensus is reached, the decisions would be taken by a majority of votes of the members present and voting and only in the event of equality of votes, the Chairperson or, in his/her absence, the person presiding, shall have the right to cast his/her vote.
5. Every member who in any way, whether directly, indirectly or personally, has a conflict of interest relating to a matter to be decided at the meeting, shall disclose the nature of his/her interest and after such disclosure, the concerned member shall not attend the part of the meeting that relates to that subject.
6. The quorum required for transacting any business by the Authority at its meeting shall be at least half of the Board members who shall be present in all the meetings of the Authority. The presence of UMTA representatives shall be mandatory for approval of the CMP and MYPs. If required, any other experts may be requested to attend such meetings.
7. All orders and decisions of the Authority shall be authenticated by the CEO or any other officer of the Authority duly authorized by the Chairperson.

General Principles of Meetings:

The general principles of meetings held amongst the staff members of the Authority and also with people outside the Authority shall be followed. Few such guidelines are:

1. The meetings of the Authority shall, after consent of the Board / CEO, be convened by the CEO / Director by written invitation to each of the members at least seven days before the date of the meeting along with the agenda of the meeting.
2. The chairperson shall preside such meetings.
3. If for any reason the Chairperson is unable to attend any meeting of the Authority, the senior most member as prescribed by the regulations framed under the UMTA Act, present at the meeting, shall preside over the meeting.
4. The meetings of the UMTA Board shall be held at least once in three months at such place and time as may be determined by the CEO.
5. The meetings of the Authority shall be regulated in accordance with the provisions of the UMTA Act and rules framed under it, and the operational policies and procedures.

6. Meetings of the Authority shall be suspended or terminated if the number of members present becomes less than the quorum.
7. No act or proceeding of the Authority or any of its committees shall be invalid merely by reason of:
 - (a) Any vacancy therein or any defect in the constitution thereof, or
 - (b) Any irregularity in its procedure not affecting the merit of the case.
8. The members of the Authority shall, on an honorary basis, discharge their obligations as specified under the UMTA Act and the rules made under it, and the expenses incurred in connection with such discharge of obligations and conduct of meetings shall form part of the administrative expenses of the Authority.
9. The CEO shall, at the written request of not less than four members of the Authority, convene a special meeting of the Authority to transact any extraordinary business on a date specified in the request. A written notice shall be sent to the members at least three days prior to the date of the meeting.

Frequency of meetings:

The Authority shall ordinarily meet for the conduct of business at such times and places as the CEO may time to time decide, but not less than once every three months. The CEO shall preside over all meetings of the Authority. In the absence of the CEO, Director - Planning or Director – Finance shall preside and in the absence of both, any of the other Directors may preside. Where none of them is present, a meeting of the Authority shall not be held.

Annual General Meetings:

The CEO shall, in each financial year, call an Annual General Meeting (AGM) of the Authority, for the consideration of, amongst other matters, the Annual Report. The AGM shall be held within six months after the closure of each financial year. It shall be open to the public who shall be given adequate notice of the meeting and of the salient points from the Annual Report through the media. Specific invitations of the AGM shall be sent to the organisations and agencies listed below (as applicable):

- Transport Department, Kerala
- Public transport operators (City Bus Transport, Metro Rail, Mono Rail, etc.)
- Greater Cochin Development Authority
- Kochi Municipal Corporation
- Kochi Traffic Police
- Any other agency as considered suitable by the Authority

The AGM shall be chaired by the Chairperson of the Authority. Conduct of the AGM with regard to any standing orders, procedures, etc. shall be as the Authority may determine time to time except that such orders, procedures, etc. which are incompatible with the purpose and intent of the AGM shall be null and void.

Minutes of meetings:

Minutes of all meetings of the Authority will be documented and distributed, within five working days of the relevant meeting. It is the responsibility of the Corporate Services Division to ensure that such minutes are produced in a timely manner.

Minutes shall be distributed for approval to all members who attended the meeting, or in the case of Board meetings, all members of the Board, regardless of attendance.

Official minutes of every meeting shall include:

- The agenda of meeting;
- The name of the meeting, date and location;
- A list of those present, with their designations;
- A list of those for whom written communication of absence had been received;
- In the case of a special meeting of the Board, the official reasons for calling the meeting;
- Details of all decisions taken, together with a record of the results of any votes taken during the meeting;
- A record of all actions agreed upon, together with the name of the individual or organisation tasked.

Meetings, or items of meetings, dealing with the remuneration and performance of the staff members, shall be noted separately and such minutes shall be made available only to the members present at the meeting.

Finalised minutes of a meeting shall be formally adopted at the next meeting of the subject committee or the Authority and duly signed as a true and accurate record of the meeting, by the person who chaired the meeting. All minutes of the Authority and committee meetings shall be retained in the central filing system of the Authority for a minimum period of five years.

8.3 RECRUITMENT PROCEDURES AND SERVICE CONDITIONS

This section records the broad policies and procedures for appointments, conditions of service, and training, development and performance assessment for the Secretariat staff. The process for recruitment, appointments and the conditions of service needs to be transparent and expectations from staff and the process for performance assessment need to be clearly defined.

8.3.1 Recruitment Responsibilities

The UMTA Board will be responsible for approval of recruitment policies and procedures, conditions of service, policies for staff training, development and performance assessment, etc. The CEO, with the help of the consultant appointed for handholding support, will be responsible for appointment of all staff proposed for each of the divisions. For any future recruitment, the responsibility can be assigned as follows:

- Governing Board – approval of recruitment policies and procedures, conditions of service, and policies for staff training, development and performance assessment
- CEO – appointment of all staff and overview of performance assessment
- Director - Corporate Services Division– management of recruitment, staff training, development and performance assessment processes
- General Manager - Administration – maintenance of position descriptions and staff records.

8.3.2 Recruitment Policy

The process for recruitment, appointments and the conditions of service needs to be transparent. Some of the key policies to be followed during the recruitment process may be as follows:

- Select the most qualified candidate for each position based on job-related criteria. The qualification criteria for each of the position are provided in Annexure IV.
- Encourage the promotion and development of current employees - internal candidates will receive first priority when their appropriate qualifications, skills and experience are equal to external candidates
- Use recruitment and selection practices that reflect and support the requirements set out in the UMTA Act
- Use a standardised selection process. The selection process already followed in the state or from similar institutions can be referred.
- Use employment terms and conditions compatible with the prevalent employment law
- Avoid employment in the same division or section of employees who are related - the final discretionary power will be with the CEO, and Director Corporate Service Division.
- Employ temporary / contractual staff to cover seasonal demand, if required.

8.3.3 Position Descriptions and Person Specifications

Before the start of the recruitment process for each division, the CEO shall ensure that a detailed position description has been prepared. Position descriptions shall include details of the main tasks assigned to a position, the responsibilities of the position, management structure relative to the position, and the staff grade for the position. Person specifications will set out the minimum level of education, technical skills and experience that will be expected of the successful candidate.

The description of positions provided in Annexure VII can be used as reference. For future recruitment, the CEO shall review and revise the position description for all positions at least every three years. Any proposed changes shall be discussed with the incumbent position holder, before they are implemented.

8.3.4 Recruitment process

Recruitment of the Secretariat staff shall be undertaken on the basis of a transparent public competition. The CEO shall ensure that all vacant positions are advertised in the print media in local language, English and Hindi at the beginning of the recruitment period. Recruitment shall, as far as possible, follow the following timescales:

Week 1 – finalise job and person descriptions

Week 2 – place advertisements

Week 6 – deadline for receiving applications

Week 8 – invitations for interviews

Week 10 – interviews and selection of preferred candidate

Week 14 – preferred candidate starts work.

Screening of applicants:

The CEO, in consultation with the consultant providing handholding support, shall determine which applications shall be considered for further processing. Applicants may be contacted for clarification of details. Selection of the shortlisted applicants shall be based on compatibility with the position description and person specification for the position. Current knowledge, skills, experience and competence as well as the potential to be developed, shall be taken into consideration.

Applicant Assessment:

Formal applicant assessments shall be held for all recruitment. The location of all assessments shall be the office of UMTA. The cost of transportation and subsistence for an applicant to attend an assessment is to be met by the applicant.

For senior positions such as Director, the assessment panel shall include the CEO and at least three Board members (a selection committee of the Board can also be established). For other positions, the assessment panel shall include the CEO, the division head and any one Board member.

Applicant assessments shall comply with the following:

- Minimum requirements and selection standards shall be based on the position description and person specification for the position.
- Current knowledge, skills, experience and competencies as well as the potential to be developed, shall be taken into consideration.
- The applicant's performance to date, personality, interpersonal style and motivation shall also be considered in selecting the most suitable candidate.
- Applicants for management positions may be required to undergo psychometric testing for the purpose of determining suitability for the position.
- The privacy of candidates will be protected and no information of a personal nature will be required or made known for reasons other than are necessary for the selection process.

Once the preferred applicant has been selected, the referrals as provided by the applicant on the application for employment shall be contacted to confirm the details supplied by the applicant, including the applicant's performance, personality, interpersonal style and motivation.

The results of all applicant assessments, together with a recommendation of appointment, shall be reported to the CEO for approval. For senior positions, the applicant assessment results and the recommendation of appointment shall be reported to the committee of the Board responsible for staffing issues.

Appointment:

The following steps shall be completed before an announcement is made about the successful applicant:

- All short-listed applicants should have been interviewed.
- All unsuccessful shortlisted applicants should have been informed that they were unsuccessful.
- All the necessary documentation and authorisation should have been obtained by the CEO, including:

- Application for employment
- Health questionnaire
- Identity document or passport
- Highest educational certificate
- Record of previous employment – service book
- Personal data
- Marriage certificate, if applicable
- If the candidate was unemployed at times, an affidavit regarding his/her whereabouts during the relevant period shall be produced.

The consultant providing handholding support shall assist the CEO in preparing all the necessary documents such as letter of appointment and the employment contract, etc.

The CEO shall sign the letter of appointment in all cases. The offer of employment is subject to the applicant complying with the appointment requirements and the submission of satisfactory certificates in respect of previous employment and qualifications.

8.3.5 Orientation and Induction

The purpose of orientation and induction is to introduce a new employee to all aspects of his/her job functions and other functions that are related, and to provide knowledge and understanding of the organisation as a whole. It also ensures that new employees are introduced to their colleagues and superiors. This enables them to obtain the necessary support and resources to perform their jobs effectively. The induction process shall cover all aspects necessary to assist new employees in becoming productive as soon as possible.

All new staff members will be required to attend a one-day Orientation and Induction Course within the first two months of joining the Authority. The consultant appointed for handholding assistance will be responsible for providing support in organising induction programmes for the newly recruited UMTA staff members. The induction programme shall cover objectives and rationale, functions, powers of UMTA. The consultant shall also assist in providing trainings on procedures for day-to-day functioning of UMTA.

8.3.6 Training and Development

At the beginning of employment and every year thereafter, the relevant member of the management team, the staff member and his/her direct manager will complete an agreed upon detailed training and professional development programme for the staff member.

Progress with respect to completing the agreed upon training and development programme will be part of the performance review and monitoring for all staff. The training and development programme shall be reviewed and updated as part of every performance review.

8.3.7 Performance Monitoring and Review

At the commencement of employment and every year thereafter, the staff member and his/her direct manager will complete the standard performance planning and review form with an agreed set of performance targets. This form will be the basis of performance monitoring and review.

The performance and training and development of all staff shall be continuously monitored by the relevant member of the management team and the staff member's direct manager.

At least once every year, the relevant member of the management team and the staff member's direct manager shall hold a formal performance review with each staff member to discuss progress and performance during the period since the previous review.

Within ten working days following each review, the assessment shall be completed and signed by both the staff member and direct manager. The CEO shall consider and sign all assessment forms before they are lodged by the Administration and Human Resource teams on the staff member's personnel file.

8.3.8 Performance Reward

The staff's performance may also be the basis of a performance reward for the achievement of specific pre-determined objectives that support the achievement of key objectives of the Authority. Any performance reward scheme, including the particular objectives to be achieved, is subject to approval by the CEO and the Board of Directors.

8.4 PROCUREMENT PROCEDURES

This section highlights the essential information and brief step-by-step procedures for procurement of goods, works and services by UMTA to be used for procurement of its various activities. The procurement methods, tender documents and contracts to be used by the UMTA Secretariat shall be agreed upon with the Board. Procurement of goods, services and works in the Urban Mobility Area will typically be guided by the procurement rules prevailing in Kerala. The purpose of this section is to provide guidance about procurement procedures that may be applicable to UMTA. The objective is to establish an open, transparent and competitive procurement system to bring out efficiency, economy and a fair opportunity for participation by all potential contractors, suppliers and consultants.

This section is intended to guide UMTA in its procurement activities. It also intends to help in understanding the procurement processes and to achieve uniformity in procurement processes followed. The rights and obligations of the purchaser and the contractor of goods/works/services will be governed by the tender documents and by the contracts signed by the purchaser with the contractor and not by the guidelines stated in this section.

8.4.1 Procurement Policy

The procurement policy of UMTA shall ensure:

- **Transparency, fairness and fraud prevention** – This is important to ensure accountability and proper utilization of funds
- **Equal opportunity** – This ensures that the suppliers/sellers have equal opportunity to compete
- **Economy and Efficiency** – This means that goods, works and services are to be procured at their true worth
- **Effectiveness** – This means that goods, works and services procured will help to achieve project goals and objectives

8.4.2 Procurement Planning

Effective procurement planning is one of the first crucial steps required for the procurement process. Each division of UMTA shall prepare a procurement plan for 5 years, for undertaking procurement of different types of goods, works and services. There shall also be a provision for annual review of the plan for making modifications, if any.

- The procurement plan covering equipment, goods, vehicles and consultancy services and resource support shall be prepared for each division of UMTA for first year and on a tentative basis for the subsequent years.
- Method of purchase shall primarily be based on the value of the contract (or as applicable). Other relevant factors are urgency of the demand, type of goods/works/services and availability of different sources of supply, etc.
- Limit of value per contract (or tender as applicable) applicable to the particular procurement procedure shall be strictly adhered to.
- It shall be ensured that the procurement is based strictly on actual need.

A team of technical experts is recommended to be formed to carry out the procurement process. UMTA may also appoint an independent monitoring consultant to ensure quality and process oversight.

8.4.3 Procurement of Services/Hiring of Consultant

Some aspects of UMTA's activities, such as UTF management, accounting, information technology and communications, can be out-sourced to service providers. Consultants shall be employed for distinct activities such as preparation of the CMP, development of standards and guidelines, review of proposals and audit of implementation, preparation of contracts, preparation and delivery of awareness campaigns and research. These types of services may be procured using prevailing procurement guidelines in Kerala. The essential information and brief step-by-step procedures for procurement of services are given below:

- Establish the need for the assignment and outsourcing the services
- Preparation of the Terms of Reference (TOR)
- Preparation of cost estimates and the budget
- Deciding the contracting strategy
- Advertising (for shortlisting of the firms when the purchaser has no knowledge about the firms who shall take up the assignment)
- Preparation of the shortlist of consultants
- Preparation and issue of RFP to shortlisted consultants containing
 - Letter of Invitation (LOI)
 - Information to Consultants Standard form of Technical and Financial proposals.
 - Terms of Reference(TOR)
 - Standard Form of contract
- Receipt of proposals
- Opening and evaluation of technical proposals
- Opening and evaluation of financial proposals, and combined evaluation of both technical and financial proposals.
- Negotiations and award of the contract to the selected firm

Preparation of the Terms of Reference (TOR):

The Terms of Reference shall include:

- A precise statement of objectives
- An outline of the tasks to be carried out
- A schedule for completion of tasks
- The support/inputs provided by the client
- The final outputs that will be required of the Consultant
- Composition of Review Committee to monitor the Consultant's works

- Review of the progress reports required from Consultant
- Review of the draft report

Preparation of cost estimates and the budget:

The cost estimates or budget shall be based on the assessment of the resources needed to carry out the assignment, staff time, logistical support, and physical inputs (for example, vehicles, office space and equipment). Costs shall be divided into three broad categories;

- Fee or remuneration;
- Reimbursable costs; and
- Miscellaneous expenses.

Deciding contracting strategy:

Before starting the tendering exercise, it is essential to agree on contract strategy viz. going for lump-sum or time based contract, individual vs. firm, advertising vs. internal shortlisting, terms of payment, etc.

Advertising:

In case a shortlist of 6 consultants cannot be drawn by the purchaser based on its own knowledge or from similar empanelment done by the Government of India, advertising through newspapers is the right way to compile the shortlist. The advertising may be considered in regional as well as national newspapers.

Shortlisting of consultants:

The Expression of Interest received shall be evaluated to arrive at a shortlist of the consultants. In preparation of the shortlist, first consideration shall be given to those firms which possess the relevant qualifications. The shortlist may comprise six firms.

Contract and RFP:

(A) Various types of contracts are as under:

- **Lump Sum** – These contracts are used for assignments in which the content and the duration of the work is clearly defined. Payment is made upon delivery of outputs.
- **Time Based** - These contracts are used for assignments in which it is difficult to define the scope and the duration of the work to be performed. Payment is based on agreed hourly, daily, weekly or monthly rate, plus reimbursable expenses using actual expenses or agreed-upon unit prices. This type of contract provides for a maximum total payable amount that includes a contingency for unforeseen work and duration, price adjustments, etc.
- Percent contracts relate to the fee paid to the consultant based upon the estimated or actual project cost or the cost of the goods to be procured or inspected. Percentage is established based upon market norm or standard practice in the industry.

(B) The RFP shall include:

- A Letter of Invitation (LOI), which will include evaluation criteria
- Information to Consultants – Standard Form of Technical and Financial Proposals.
- Terms of Reference
- Standard Form of contract

Opening and Evaluation of Proposals:

The technical proposals are to be opened publicly and evaluated based on the evaluation criteria given in the RFP document. The financial proposals of only those bidders who secure minimum qualifying marks shall be opened.

Negotiations and Signing of Contract:

The firm obtaining the highest total score (only based on quality in case of QBS and based on cost and quality in case of QCBS) shall be invited for negotiations and discussions held with them in accordance with Government of Kerala guidelines. No penalties are imposed on the consultants, be it a firm or individual, for unsatisfactory performance or delay in completion of the assignment/ services in the agreed time frame. It is hence suggested to do the performance evaluation of the consultant on completion of each assignment and keep the same in view while short-listing them for any future assignment.

Single Source Selection:

The firm for single source may be appropriate only if it presents a clear advantage over competition and on account of the following reasons:

- For tasks that represent a natural continuation of previous work carried out by the firm.
- Where a rapid selection is essential (emergency operation).
- For very small assignments (as per the agreed threshold); or
- When only one firm is qualified or has experience of exceptional worth for the assignment.

Individual Consultants:

Each contract for individual consultants is expected to cost below a certain limit. The limit shall be decided in consultation with UMTA Board or prevailing guidelines of the Government of Kerala. For hiring of individuals, it is necessary to finalise the job description, qualifications and experience required and terms of engagement. Thereafter an advertisement (if the assignment is complex) may be published in national/ regional newspapers indicating the above details.

The applications received shall be scrutinized and ranking shall be prepared. Thereafter the top-ranked individual shall be invited for interview/ discussions and would be offered the assignment.

Least Cost Selection:

This method is more appropriate for selecting consultants for assignments of a standard or routine nature (audits, engineering design of non-complex works, and so forth) where well-established practices and standards exist. Under this method, “minimum” qualifying marks for the “quality” are established. Proposals, to be submitted in two envelopes, are invited from a shortlist. Technical proposals are opened first and evaluated. Those securing less than the minimum qualifying marks are rejected, and the financial proposals of the rest are opened in public. The firm with the lowest price shall then be selected. Under this method, the minimum qualifying marks shall be established, understanding that all proposals above the minimum compete only on “cost”. The minimum qualifying marks shall be stated in the RFP.

8.4.4 Procurement of Works

Preparation of Tender Documents

After preparation of the detailed project report, the tender documents may be prepared by the respective division based on the PWD manual and tendering process approved by the Board.

Call of Tenders and Award of Work

The methods of calling tenders may be either through the Single Bid System or through the Two Bid System. The various methods for calling tender documents are:

- Single Bid System: The single bid system shall be adopted where it is feasible to work out the schedule of quantities and to formulate detailed specifications for works
- Two Bid System: Two bid system shall be adopted in case it is not feasible to formulate detailed specifications for works and in order to obtain the most satisfactory solution to its procurement needs.
- Tenders with Pre-qualification: Criteria for pre-qualification along with evaluation system shall be clearly spelt out in detail.
- Tenders with Post-Qualification: The procuring entity may also resort to post qualification verification. It may call financial offers and eligibility related documents in separate envelopes simultaneously.
- Open or Limited call of tenders: Open tenders will be called in all cases of works costing Rs. 5 lakhs and above. Limited tendering of works shall be adopted if only a limited number of tenderers are known to possess requisite skills, technology and resources, by reason of their highly complex or specialized nature, or for works of a secret nature.
- Single Source Procurement: Single source procurement shall be adopted in case the construction technology is available only with a particular contractor, or a particular contractor has exclusive rights in respect of the construction, and no reasonable alternative or substitute exists.
- Award of work without call of tenders: Use of quotations shall be adopted for procurement of works that are not specially executed to the particular specifications. Also, it shall be ensured that the procurement entity shall not divide its procurement into separate contracts to bring the amount less than the amount set forth for such purpose.

Publicity of tenders

Wide publicity shall be given to the Notice Inviting Tender. Tenders shall be invited in the most open and public manner possible, by advertisement in daily newspapers circulated in the Urban Mobility Area, of which one shall be in the regional language.

Issue of tender documents

The tender document shall contain all the essential information as prescribed in the Government of Kerala regulations or regulations as approved by the Board.

Pre-bid Conference

A pre bid conference may be held for clarifications on the tender document. At any time prior to the deadline for submission of tenders, the procuring entity may for any reason, whether on its own initiative or as a result of a request for clarification by a contractor, modify the tender documents by issuing addendum.

Submission and opening of bids

The procuring entity shall fix a place and a specific date and time as the deadline for the submission of tenders. If the procuring entity issues a modification of the tender documents or if a meeting of contractors is held; it shall extend the deadline if necessary, to allow contractors reasonable time to take the modification into account in their tender; after adequately publicizing such modifications.

Evaluation of Bids

The procuring entity may ask contractors for clarifications of their tenders in order to assist in the examination, evaluation and comparison of tenders. No change in a matter of substance in the tender, including changes in price and changes aimed at making an unresponsive tender as responsive shall be sought, offered or permitted. The procuring entity shall correct purely arithmetical errors that are discovered during the scrutiny of tender.

Acceptance of bids and Award of Work

The tender that has been ascertained to be the successful tender shall be accepted. Notice of award of work shall be given promptly to the supplier or contractor submitting the tender.

Measurement and Payment

Measurements of all items having financial value shall be recorded in measurement books and/or level field books so that a complete record is obtained of all works performed under the contract.

8.4.5 Procurement of Goods

This section provides guidelines for procurement of goods required for use by the Authority. This section covers the essential information and brief step-by-step procedures for procurement of goods. The guidelines are intended to provide assistance to the officials involved in procurement activities. It also intends to help develop an understanding of the procurement processes and to achieve uniformity in procurement activities to be undertaken by UMTA.

All officials may refer to the guidelines given in this section. However, the procurement of all goods, works and services by UMTA may be carried out in accordance with the provisions of the procurement / finance rules prevailing in Kerala.

Guidelines for procurement of goods¹⁷:

The procurement of goods may fall into following categories:

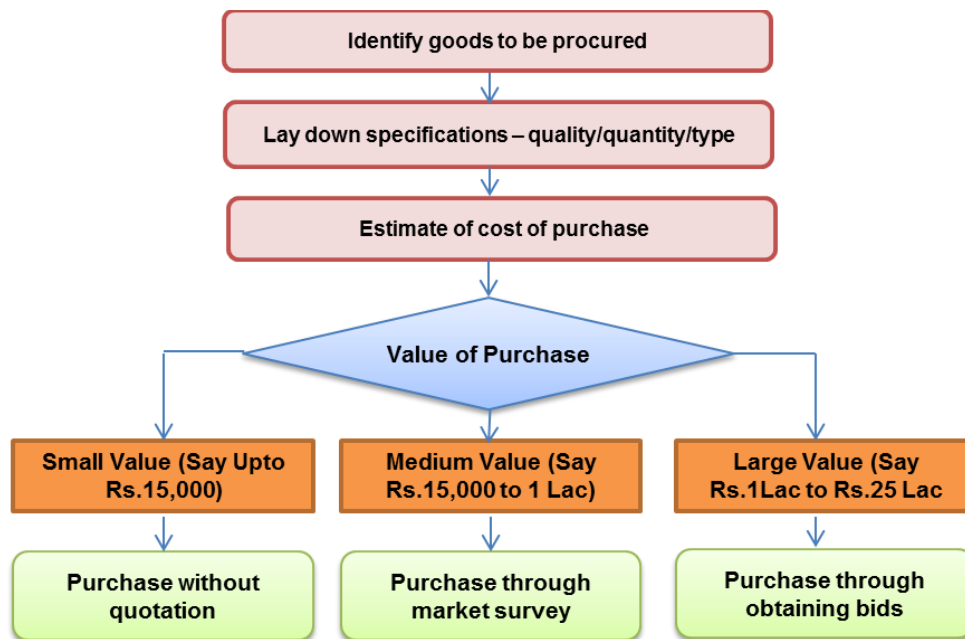
- A.** Purchase of goods of small value (say up to INR 15,000): Procurement of goods of small value (say up to Rs. 15,000/-) could be made without taking approval of Director. There is no need to invite quotations or bids for such purchase. The purchase can be made on the basis of a certificate issued by the General Manager.
- B.** Purchase of goods of medium value (say from INR 15,000 to 1 Lakh): Purchase of goods of medium value (say above Rs. 15,000 to Rs. 1,00,000) can be made by taking approval of Director of the respective division. Such purchase could be made through market survey without inviting quotations or bids.
- C.** Purchase of goods of large value (say more than 1 Lakh to 25 Lakh): Purchase of

¹⁷ All amounts given in this section are indicative in nature, and may be updated by the discretion of Governing Board by cities .

goods of large value (say above Rs.100,000/-) could be made through obtaining bids. Three standard methods of obtaining bids can be followed i.e. Advertised Tender Enquiry, Limited Tender Enquiry and Single Tender Enquiry.

Exhibit 39 presents a process flow chart regarding the procurement of goods.

Exhibit 39 Process flow chart for procurement of goods



8.5 CONCLUSION

The chapter discussed the broad procedures and guidelines to be followed to carry out day-to-day activities of the UMTA Board and Secretariat. It described administrative and office management procedures, recruitment procedures and service conditions, and procurement procedures.

ANNEXURE I - UMTA BILL FOR KOCHI

(UMTA bill attached separately.)

ANNEXURE II – LIST OF CONSULTANTS EMPANELLED BY MoUD

No. K-14011/13/2011-MRTS/UT-II (Pt. III)

Government of India
Ministry of Urban Development
(UT-I Division)

Nirman Bhawan, New Delhi

Dated 30th April, 2015

01st May

To

The Principal Secretaries/ Secretaries (Urban Development/ Transport) of all States/ UTs

Subject: Empanelment of Consultants for Providing Handholding Assistance to Indian Cities in Setting up Unified Metropolitan Transport Authority (UMTA) and Urban Transport Fund (UTF).

Sir/ Madam,

Ministry of Urban Development, Government of India is implementing the Sustainable Urban Transport Project (SUTP) with support from Global Environment Facility (GEF) and the World Bank with the objective to ensure that environmental considerations are taken into account in implementation of the National Urban Transport Policy (NUTP) and to achieve a paradigm shift in urban transport systems in favour of sustainable development. The project envisages setting up of Unified Metropolitan Transport Authority (UMTA) and Urban Transport Fund (UTF) in the cities.

2. The related operations documents for Unified Metropolitan Transport Authority (UMTA) and Urban Transport Fund (UTF) will be uploaded on the website <http://moud.gov.in/> and <http://www.sutpindia.com/> shortly for reference and guidance to establish Unified Metropolitan Transport Authority (UMTA) and Urban Transport Fund (UTF) by cities. As the concept is new to the Indian cities which will require additional support from agencies having required expertise, the **Ministry has empanelled seven (07) qualified consultants following a competitive process**. List of empanelled consultants in the order of their ranking is attached at **Annexure**.

3. This empanelment has been done for providing the handholding assistance to cities while setting up the UMTA and UTF without having to go through the process of inviting EOIs and identifying suitable agencies.

4. This panel of consultants with requisite expertise is exclusive and specific to the UMTA and UTF projects only. The cities are free to engage any consultant for UMTA and UTF either by using the enclosed list or engaging any other through their own procedures.

5. There is flexibility to add/ delete names from the list based on the performance. The list will be available on the MoUD website <http://moud.gov.in/>. The panel will be valid for a period of six (06) years and the respective cities may directly engage any of the empanelled consultants after issue of RFP and evaluation of the offer. Expenditure shall have to be met from their own resources.

Contd. on page 2/-....

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6. It is therefore requested to make use of the panel in setting up of UMTA and UTF and take early action in establishing these institutions which will go a long way in improving the transport system in your cities.

Yours faithfully,

Enclosure: As Above.



(R. K. Singh)
Director (UT-I)
Tel:- 011-2306 2798

Copy to:-

- i. Shortlisted Consultants
- ii. National Project Manager, PMU/ SUTP

ANNEXURE**List of Empaneled Consultants for Unified Metropolitan Transport Authority (UMTA) and Urban Transport Fund (UTF) from Ministry of Urban Development, Govt. of India**

S. No.	Empaneled Consultant	Rank	Address
1	Joint Venture of Deloitte Touche Tohmatsu India Pvt. Ltd. and Voyants Solutions Pvt. Ltd	1	<p>Mr. Vishwas Udgirkar, Senior Director</p> <p>7th Floor, Building 10 Tower B DLF Cyber City Complex, DLF City Phase II (New Delhi / NCR) Gurgaon, Haryana – 122002, India</p> <p>Telephone no: +91 (0124) 679 2000 Mob: +91 98114 18230 Fax: 0124 679 2012 Email ID - vudgirkar@deloitte.com</p>
2	Consortium of Infrastructure Development Finance Company Ltd. (IDFC), Infrastructure Development Corporation (iDeCK), Feedback Infrastructure Services Pvt. Ltd. and Delhi Integrated Multi-Modal Transit System Limited (DIMTS)	2	<p>Infrastructure Finance Company Limited (IDFC)</p> <p>Ms. Jyoti Gujral, Director</p> <p>The Capital Court, 2nd Floor, Olof Palme Marg, Munirka, New Delhi - 110 067</p> <p>Tel: +91 11 4331 1000 Fax: 91 11 26713359 Email ID - Jyoti@idfc.com</p>
3	Ernst and Young Pvt. Ltd in association with SYSTRA MVA Consulting (India) Pvt. Ltd.	3	<p>Mr. Abhaya Krishna Agarwal</p> <p>Executive Director & National PPP Leader 6th Floor, HT House, 18-20 Kasturba Gandhi Marg, New Delhi 110 001</p> <p>Telephone: 011 4363 3060 Mob: +91-9871 6933 42 Email ID- abhaya.agarwal@in.ey.com</p>
4	LEA Associates South Asia Pvt. Ltd. (LASA)	4	<p>Mr. Ananda Kishore Das, Chief General Manager,</p> <p>B-1/E-27, Mohan Co-operative Industrial Estate, Mathura Road, New Delhi – 110044, India.</p> <p>Tel- +91-11-41678150, 26973950/51/52 Mobile: +91-9810381490 Email: anandakdas@lasaindia.com</p>

P.T.O.

S. No.	Empaneled Consultant	Rank	Address
5	CRISIL Risk and Infrastructure Solutions Limited in association with SLS Transport Training Institute and Consultancy Pvt. Ltd.	5	<p>Mr. Abhay Kantak, Director, Urban Practice Crisil House, Central Avenue, Hiranandani Business Park, Powai, Mumbai – 400076</p> <p>Phone: 91-22-33422 3000 Mobile - +91-9820416720 Email - abhay.kantak@crisil.com</p>
6	RITES Ltd	6	<p>Mr. Piush Kansal, Group General Manager (Urban Transport)</p> <p>Registered Address: Scope Minar, Laxmi Nagar, Delhi – 110092 Corporate Address: Rites Bhawan, No- 01, Sector 29, Gurgaon – 122001 Tel- 0124 – 2571666 Email – info@rites.com</p>
7	Consortium of Urban Mass Transit Company India Limited (UMTC) and Cambridge Systematics Consulting & Technology Pvt. Ltd.	7	<p>Urban Mass Transit Company India Limited, 2nd Floor, Corporate Tower, Ambiance Mall, NH-8, Gurgaon – 122022, India Tel – 0124 – 4716300 Email-ankush.malthora@ilfsindia.com</p>

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ANNEXURE III - UMTA STAFF SPECIFICATIONS

Chief Executive Officer

Position	Chief Executive Officer
Position Description	
Reports to	Governing Board
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To administer the affairs of the Authority and ensure smooth functioning. b) To execute the decisions and directives of the Governing Board. c) Exercise the powers and discharge the duties delegated by the Board. d) To recruit and manage the professionals in the Executive Office along with performance assessments. e) To manage the overall performance of all activities of the Authority and the achievement of key outcomes, in accordance with the delegations, instructions and approvals from the Board. f) To be the chairperson of the Executive Office guiding through its development processes and ensuring that it efficiently and effectively carries out its functions and pursues its organisational objectives. g) To provide effective leadership by modelling the way and keeping the organisational values alive and well. 	
<p>Key Responsibilities</p> <p>Start Up Responsibilities</p> <ul style="list-style-type: none"> a) Manage and lead the executive office with a planned vision for the city transport b) Planned development of the city's transportation network based on integrated, sustainable, multimodal transport modes c) Ensure the finalisation of the operational procedures for the Governing Board and Secretariat, within three months from the date of establishment of the Governing Board, and submit these to the Board for approval. d) Develop a Vision plan within eight months of the establishment of the Board. e) Obtain approval of delegations from the Board. f) Obtain Board approval on the Operational Plan prepared by the consultants. g) Carry out and administer appointments of other key professionals and support staff as decided in the Operations Manual or as deemed necessary h) Ensure that the values, behaviour and culture of the people in the Authority are aligned with the mission of the Board and its strategic priorities. i) Obtain Board approval of agreements with the implementing agencies and revenue collection agencies. <p>Ongoing Responsibilities</p> <ul style="list-style-type: none"> a) To coordinate between the Governing Board and Executive office for implementation of transport functions for the selected jurisdiction b) Evaluate and analyse the progress of the Authority's functioning process 	

Position	Chief Executive Officer
	<p>c) Advise and assist the governing Board members on project prioritization and speed up the project implementation process</p> <p>d) Arrange Board meetings and visits and ensure that agendas and minutes are prepared and distributed in accordance with agreed procedures.</p> <p>e) Co-ordinate and direct the overall activities of the Authority so as to achieve the objectives of the Board as stated in the Act and Manual.</p> <p>f) Represent the Board in acts of civil life – this includes representing the Board in meetings and negotiations with the implementing agencies, and representing the Board on all relevant national and international groups.</p> <p>g) Ensure that the activity programmes of the Authority are executed in an effective and efficient manner based on the three-year business plan.</p> <p>h) Ensure the proper organisation and functioning of the Board and Secretariat.</p> <p>i) Ensure that the objectives of the Board are met, driving the planning, budgeting and goal setting processes that communicate organisational objectives.</p> <p>j) Annually review the policies and procedures adopted by the Board.</p> <p>k) Ensure that the Authority operates in compliance with:</p> <ul style="list-style-type: none"> • the Act and rules made under the Act • all other relevant legislation and rules • its Business Plan • The policies and procedures adopted by the Board. <p>l) Ensure that the strategic plans are reviewed and updated as deemed necessary.</p> <p>m) Ensure that the Authority has adequate and skilled resources to meet its strategic objectives, including recruiting, appointing, assessing, dismissing staff in strict compliance with the legislative and regulatory provisions in force.</p> <p>n) Promote the Board's identity and public image and establish sound working relationships with clients, relevant Ministries, implementing agencies, the Board and stakeholders.</p> <p>o) In conjunction with the Technical heads of the Executive Office, propose delegations to the Board and exercise the delegated powers conferred by the Board.</p> <p>p) Ensure that all Board procurements, contracts and agreements are finalized and managed in a timely manner.</p> <p>q) Obtain Board approval of the annual budget, the annual and the corporate accounts and of other documents as deemed necessary time to time.</p> <p>r) Present regular progress reports to the Board.</p> <p>s) Approve staff loans.</p> <p>t) Keep informed of innovative and sustainable transport practices, trends and issues and prepare the Board to respond efficiently and effectively to the changing environment.</p>
<p>Reporting</p> <p>The CEO will report to the Governing Board at all meetings. The CEO shall also be the formal link between the Governing Board and the Executive Office.</p>	

Position	Chief Executive Officer
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Demonstrated successful management of a similar sized organisation specialised in transport sector. b) Demonstrated understanding of the political, technical, financial and administrative requirements of an organisation of this nature. c) Strong leadership and motivational qualities. d) Highly developed verbal and written communication and negotiation skills, in both English and relevant regional languages. e) Should be an Indian citizen. 	
Qualifications and Experience	
<ul style="list-style-type: none"> a) At least a First Class Post Graduate Degree in any subject b) Minimum post qualification experience of 15 years with at least 10 years' experience in core transport sector c) Membership of a relevant professional body. d) Should be an expert in Transport Planning and Management e) Experience in a position with strategic focus, ability to rise above detail to summarise overall patterns, assess value and see trends f) Experience in developing and describing the future vision in a way that encourages and motivates staff to follow g) Extensive relationship management experience, including liaison with, communicating to, consulting with and influencing stakeholders h) Experience of working with central and local Government and experience in presentation and advocacy before Government i) Understanding of regulatory principles and the ability to apply them j) Experience in managing large groups of employees and demonstrated ability to develop and lead effective teams k) Proven time management and multiple task management capabilities l) Working knowledge of up to date financial and organisational management processes m) Experience with the start-up of a company and related change management is a plus n) Candidates with Bachelor's degree in Civil Engineering or Architecture shall be preferred o) Master's degree in Transport /Urban /Regional Planning from a recognized university shall be desirable 	
Skills and Personal Attributes	
<ul style="list-style-type: none"> a) Client focused b) Good understanding of the work environment and trends, organisational performance, 	

Position	Chief Executive Officer
	<p>and the political and regulatory climate.</p> <ul style="list-style-type: none"> c) Identifies potential opportunities, risks and issues before they arise and prepares effective responses. d) Develops and maintains strong relationships with Government Ministers and agencies and key stakeholders in the industry. e) Actively demonstrates, promotes and models desired organisational behaviours and values. f) Promotes a climate of innovation, change and adaptation. g) Consults and shares information within a team environment and across functionality. h) Delegates decision making where appropriate, ensuring that staff have the capability and knowledge to make sound decisions. i) Makes timely decisions based upon evidence and on merit. j) Leads and manages the organisation through change and transition.

Director – Planning

Position	Director – Planning
Position Description	
Reports to	CEO
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the senior management of the authority and being in-charge of the Planning function of UMTA ensuring that it efficiently and effectively carries out its functions and pursues its organisational objectives. b) To provide strategic support to the CEO and the board on all matters related to planning for the overall development of the urban transport sector including preparation and finalisation of Comprehensive Mobility Plan and other such strategic planning works. c) To provide effective leadership of Executive office staff by modelling the way and keeping the organisational values alive and well. d) To provide leadership, enhance strategic capability and provide service excellence in the relevant technical or management field. 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Developing a vision for the urban area's transport system from planning perspective b) Developing principles and policies for sustainable urban transport system for the urban area c) Developing and finalisation of Comprehensive Mobility Plan for the urban area d) Ensuring the integration of the urban transport planning with land-use planning e) Ensuring effective coordination with all relevant agencies for achieving the objectives of the planning function of UMTA f) Finalisation of a detailed MYP for urban transport In conjunction with implementation agencies g) Estimate and prioritize short and long term plans h) Coordinate with the other divisions of UMTA for integrated holistic development of transport system within the urban area. i) In consultation with the other Divisions, aid and advise the Government of Kerala on matters relating to urban transport j) Perform all such other functions as may be allocated by the CEO of UMTA time to time k) Effectively represent the Board's interests to external stakeholders and key partners. l) Ensure that the values, behaviours and culture of the staff in the respective Division are aligned with the strategy of the Board to achieve a truly integrated work environment. m) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. n) Maintain the safety and well-being of staff in the Division. o) Develop a work programme for the Division and manage workloads and work streams to ensure the programme is delivered according to plan. 	
Reporting	
The Director Planning shall report regularly to the CEO through verbal and as necessary,	

Position	Director – Planning
written, reports. The Director-Planning, shall periodically prepare and present written reports to the Board, particularly on policy, planning, projects and programme matters.	
Salary and Benefits The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies <ul style="list-style-type: none"> a) Leadership: The quality to inspire, lead, coach and develop others to achieve desired goals and objectives. This competency includes defining a vision and guiding individuals towards that vision. b) Strategic Transport Planning Excellence: This includes deep understanding of strategic planning, sector understanding, regulatory environment, international best practices, government policies and their effects, etc. c) Decision Making / Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. d) Strategic Orientation: The ability to think and act strategically, to link short and long-term visions to daily activities. This includes the ability to provide clear direction and priorities, and clarify role and responsibilities. This direction is based on a wider external perspective, where the directions of industry and community are considered. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Risk Management Orientation: This is the ability to identify and take advantage of opportunities while identifying and minimizing risks that will impede the authority from achieving its goals. g) Innovation: The ability to identify innovative solutions, innovative planning, identifying efficient processes, identifying non-value adding processes and develop creative approaches that lead to overall improvement in working and the urban transport sector. 	
Qualifications and Experience <ul style="list-style-type: none"> a) Post graduate degree in the Transport Planning / relevant field. b) At least 15 years of work experience with at least 5 years of experience in Senior Management position in Transport Planning Function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in Transport planning, development of transport sector programmes and economic appraisal. e) Sound knowledge of transport planning and programming theories and methods. f) Proven strategic thinking. g) Experience in developing and describing the future vision, in a way that encourages and motivates staff to follow. h) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. i) Experience in delegation, managing workloads and work streams, budgeting and 	

Position	Director – Planning
<p>monitoring costs, and ensuring compliance.</p> <ul style="list-style-type: none"> j) Experience in building and fostering relationships. k) Significant leadership experience in a range of corporate positions and proven management ability. l) Has highly developed verbal and written communication skills in English and relevant regional languages. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. b) Actively demonstrates, promotes and models desired organizational behaviours and values. c) Promotes a climate of innovation, change and adaptation within own area. d) Delegates decision making where appropriate, ensuring staff have the capability and knowledge to make sound decisions. e) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Demonstrates strong leadership within the planning function and with the management team as a whole j) Has strong communication skills k) Works reliably under pressure to produce timely, accurate information l) Maintains awareness of overall organisational goals, and looks for opportunities to contribute organisation-wide as able. 	

Director – Public Transport Management

Position	Director – Public Transport Management
Position Description	
Reports to	CEO
Purpose of the Position	
<p>a) To be part of the senior management of the authority and being in-charge of the Public Transport Management function of UMTA ensuring that it efficiently and effectively carries out its functions and pursues its organisational objectives.</p> <p>b) To provide strategic support to the CEO and the board on all matters related to public transport management for the overall development of the urban transport sector including planning for integrated sustainable public transportation for the urban area and overseeing operation of integrated facilities and systems for public transport and all associated regulatory matters.</p> <p>c) Develop standards and guidelines for public transport services specific to the urban area in consonance with the land-use pattern of the city.</p> <p>d) To provide effective leadership of executive office staff by modelling the way and keeping the organisational values alive and well.</p> <p>e) To provide leadership, enhance strategic capability and provide service excellence in the relevant technical or management field.</p>	
Key Responsibilities	
<p>a) Developing plan and strategy for integration of all public transport modes to ensure development of sustainable integrated transport system for the urban area.</p> <p>b) Planning, strategizing and overseeing the implementation of projects for integration of public transport in the urban area</p> <p>c) Overseeing the operation of facilities and systems implemented for integration of public transport in the urban area</p> <p>d) Developing standards and guidelines for public transport services specific to the urban area in consonance with the land-use pattern of the city</p> <p>e) Planning, strategizing and implementing/coordinating for implementing all related regulatory functions including:</p> <ul style="list-style-type: none"> • Contracting public transport operators for operating in the urban area • Strategizing for issue of licenses for public transport services in the urban area • Monitoring and regulating (or providing support in regulating) fee and charges of different modes of public transport <p>f) Coordinating with all other relevant implementing agencies and supervise project implementation</p> <p>g) Coordinating with research division for innovative public transport solutions suitable to the urban area</p> <p>h) Promoting development of integrated multi-modal public transport systems for the urban area</p> <p>i) Performing all such other functions as may be allocated by the CEO time to time</p>	

Position	Director – Public Transport Management
<ul style="list-style-type: none"> j) Effectively represent the Board’s interests to external stakeholders and key partners. k) Ensure that the values, behaviours and culture of the staff in the respective Division are aligned with the strategy of the Board to achieve a truly integrated work environment. l) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. m) Maintain the safety and well-being of staff in the Division. n) Develop a work programme for the Division and manage workloads and work streams to ensure the programme is delivered according to plan. o) Responsible and accountable to the relevant Division of UMTA 	
<p>Reporting</p> <p>The Director – Public Transport Management shall report regularly to the CEO through verbal and as necessary, written, reports. The Director – Public Transport Management shall periodically prepare and present written reports to the Board, particularly on policy, planning, projects and programme matters.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Leadership: The quality to inspire, lead, coach and develop others to achieve desired goals and objectives. This competency includes defining a vision and guiding individuals towards that vision. b) Public Transport Management Excellence: This includes deep understanding of overall institutional structure of public transport management especially for the urban area, the different public transport operators, the infrastructure requirements of urban transport, the operation and maintenance aspects of urban transport, etc. c) Decision Making / Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. d) Strategic Orientation: The ability to think and act strategically, to link short and long-term visions to daily activities. This includes the ability to provide clear direction and priorities, and clarify role and responsibilities. This direction is based on a wider external perspective, where the directions of industry and community are considered. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Risk Management Orientation: This is the ability to identify and take advantage of opportunities while identifying and minimizing risks that will impede the authority from achieving its goals. g) Innovation: The ability to identify innovative solutions, innovative planning, identifying efficient processes, identifying non-value adding processes and develop creative approaches that lead to overall improvement in working and the urban transport sector. 	
<p>Qualifications and Experience</p>	

Position	Director – Public Transport Management
<ul style="list-style-type: none"> a) Post graduate degree in Transport Planning / Transport Engineering / other relevant field b) At least 15 years of work experience with at least 5 years of experience in Senior Management position in Public Transport function in any public / private sector entity. c) Membership of a relevant professional body d) Experience in planning / strategy formulation / implementation of public transport projects e) Experience in planning / strategy formulation / operation of public transport facilities and systems f) Experience in regulatory aspects g) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. h) Experience in: delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. i) Proven strategic thinking. j) Understanding of effective information delivery techniques including education, marketing and communication. k) Experience in building and fostering relationships. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. b) Actively demonstrates, promotes and models desired organizational behaviours and values. c) Promotes a climate of innovation, change and adaptation within own area. d) Delegates decision making where appropriate, ensuring staff have the capability and knowledge to make sound decisions. e) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Demonstrates strong leadership within the planning function and with the management team as a whole j) Has strong communication skills k) Works reliably under pressure to produce timely, accurate information l) Maintains awareness of overall organisational goals, and looks for opportunities to contribute organisation-wide as able. 	

Director – Engineering

Position	Director – Engineering
Position Description	
Reports to	CEO
Purpose of the Position <ul style="list-style-type: none"> a) To lead the Engineering Division of UMTA through its development processes and ensuring that it efficiently and effectively carries out its functions and pursues its organisational objectives. b) To provide technical inputs to all the other divisions of UMTA. c) To develop standards and guidelines on technical aspects of urban transport and provide these inputs for overall development of urban transport. d) The Director, in coordination with the staff will review all papers for the Board, review and lead development of strategies and plans for the division corresponding to the objectives of the division. e) To provide effective leadership, enhance strategic capability and provide service excellence in the relevant technical or management field. 	
Key Responsibilities <ul style="list-style-type: none"> a) Preparing standards and guidelines specific to transport engineering or as deemed necessary time to time. b) Providing technical input to other divisions c) Coordinating with all relevant implementing agencies and supervising in project implementation, if required d) Providing technical inputs in development and operation of integrated, facilities and systems. e) Supervising and monitoring the implementation of projects by Consultants or otherwise at regular intervals. f) Provide value-added expertise in engineering discipline and project leadership. g) Provide execution oversight for important research, development, and evaluation efforts. h) Perform all such other functions as may be allocated by the Board / CEO time to time i) Effectively represent the Board's interests to external stakeholders and key partners. j) Ensure that the values, behaviours and culture of the staff in the respective Division are aligned with the strategy of the Board to achieve a truly integrated work environment. k) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. 	
Reporting <p>The Director – Engineering, shall report regularly to the CEO through verbal and as necessary, written, reports. The Director– Engineering shall periodically prepare and present written reports to the Board, particularly on policy, planning, projects and programme matters.</p>	
Salary and Benefits <p>The pay scale is recommended to be at par with that of central/state level public sector</p>	

Position	Director – Engineering
undertakings (PSUs).	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Leadership: The quality to inspire, lead, coach and develop others to achieve desired goals and objectives. This competency includes defining a vision and guiding individuals towards that vision. b) Engineering Excellence: This includes deep understanding of engineering related aspects especially for the urban transport sector with focus on urban transport infrastructure and operations. c) Decision Making / Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. d) Strategic Orientation: The ability to think and act strategically, to link short and long-term visions to daily activities. This includes the ability to provide clear direction and priorities, and clarify role and responsibilities. This direction is based on a wider external perspective, where the directions of industry and community are considered. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Risk Management Orientation: This is the ability to identify and take advantage of opportunities while identifying and minimizing risks that will impede the authority from achieving its goals. g) Innovation: The ability to identify innovative solutions, innovative planning, identifying efficient processes, identifying non-value adding processes and develop creative approaches that lead to overall improvement in working and the urban transport sector. 	
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in Transport Engineering / other relevant field b) At least 15 years of work experience with at least 5 years of experience in Senior Management position in Engineering Function of any public / private sector entity working in public transport sector. c) Membership of a relevant professional body d) Experience in engineering aspects of transportation projects including transport infrastructure, transport operations, systems and facilities development and operation, etc. e) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. f) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. g) Proven strategic thinking. h) Understanding of effective information delivery techniques including education, marketing and communication. i) Experience in building and fostering relationships. 	
Skills and Personal Attributes	

Position	Director – Engineering
<ul style="list-style-type: none"> a) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. b) Actively demonstrates, promotes and models desired organizational behaviours and values. c) Promotes a climate of innovation, change and adaptation within own area. d) Delegates decision making where appropriate, ensuring staff have the capability and knowledge to make sound decisions. e) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Demonstrates strong leadership within the planning function and with the management team as a whole j) Has strong communication skills k) Works reliably under pressure to produce timely, accurate information l) Maintains awareness of overall organisational goals, and looks for opportunities to contribute organisation-wide as able. 	

Director – Policy and Research

Position	Director – Policy and Research
Position Description	
Reports to	CEO
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To lead the Policy and Research Division of UMTA and ensure that it efficiently and effectively carries out its functions and pursues its organisational objectives. b) To carry out policy, research, education and awareness activities for overall development of urban transport. c) To develop and manage local performance indicators for urban transport d) To provide effective leadership in enhance strategic capability and providing service excellence in the relevant field. 	
<p>Key Responsibilities</p> <ul style="list-style-type: none"> a) Leading the activities of conducting research, studies, education and awareness about good practices in urban transport b) Providing strategic inputs in development of policy, standards and guidelines for overall development of urban transport c) Ensuring the maintenance of updated database with information relating to urban transport, including details of projects, services, funding, and public transport safety, etc. d) Contributing to developing and managing performance indicators for urban transport e) Monitoring and advising on public transport safety f) Identify, analyse and recommend innovative and improved practices, technology and processes for overall improvement of urban transport g) Developing networks in the research community in the field of public transport locally, nationally and internationally. h) Suggesting trainings, capacity buildings for enhancing quality of professionals in the urban transport. i) Perform all such other functions as may be allocated by the CEO time to time j) Ensure that the values, behaviours and culture of the staff in the respective division are aligned with the strategy of the Board to achieve a truly integrated work environment. 	
<p>Reporting</p> <p>The Director – Policy and Research, shall report regularly to the CEO through verbal and as necessary, written, reports. The Director – Policy and Research, shall periodically prepare and present written reports to the Board, particularly on policy, planning, projects and programme matters.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Leadership: The quality to inspire, lead, coach and develop others to achieve desired 	

Position	Director – Policy and Research
<p>goals and objectives. This competency includes defining a vision and guiding individuals towards that vision.</p> <p>b) Policy and Research Excellence: This includes deep understanding of overall policy and governance frameworks, public transport standards and guidelines, best practices, research studies, etc.</p> <p>c) Decision Making / Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions.</p> <p>d) Strategic Orientation: The ability to think and act strategically, to link short and long-term visions to daily activities. This includes the ability to provide clear direction and priorities, and clarify role and responsibilities. This direction is based on a wider external perspective, where the directions of industry and community are considered.</p> <p>e) Results Orientation: A commitment to meeting and exceeding standards of excellence.</p> <p>f) Risk Management Orientation: This is the ability to identify and take advantage of opportunities while identifying and minimizing risks that will impede the authority from achieving its goals.</p> <p>g) Innovation: The ability to identify innovative solutions, innovative planning, identifying efficient processes, identifying non-value adding processes and develop creative approaches that lead to overall improvement in working and the urban transport sector.</p>	
<p>Qualifications and Experience</p> <p>a) Post graduate degree in Public Policy / Arts (Public Policy) / other relevant field</p> <p>b) At least 15 years of work experience with at least 5 years of experience in Senior Management position in Policy and / or Research division of any public sector entity (preferably in urban transport).</p> <p>c) Membership of a relevant professional body</p> <p>d) Experience in policy making, research and analysis aspects of urban transport sector</p> <p>e) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends.</p> <p>f) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance.</p> <p>g) Proven strategic thinking.</p> <p>h) Understanding of effective information delivery techniques including education, marketing and communication.</p> <p>i) Experience in building and fostering relationships.</p>	
<p>Skills and Personal Attributes</p> <p>a) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise.</p> <p>b) Actively demonstrates, promotes and models desired organizational behaviours and values.</p>	

Position	Director – Policy and Research
<ul style="list-style-type: none">c) Promotes a climate of innovation, change and adaptation within own area.d) Delegates decision making where appropriate, ensuring staff have the capability and knowledge to make sound decisions.e) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results.f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made.g) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position.h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents.i) Demonstrates strong leadership within the planning function and with the management team as a wholej) Has strong communication skillsk) Works reliably under pressure to produce timely, accurate informationl) Maintains awareness of overall organisational goals, and looks for opportunities to contribute organisation-wide as able.	

Director – Corporate Services

Position	Director – Corporate Services
Position Description	
Reports to	CEO
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To lead the Corporate Services Division of UMTA and be responsible for the Administration, Information Technology, Branding and Communications and Human Resource functions of UMTA. b) To manage office infrastructure, staff, and operations of all corporate services including development and maintenance of Authority's business practices, administrative policies and procedures, personnel files, and associated functions. c) To ensure continuous improvement and the execution of Information Technology, Administration, Branding and Communications and Human Resources to enable the Authority achieve its objectives. d) To provide leadership, enhance strategic capability and service excellence in the relevant technical or management field. 	
<p>Key Responsibilities</p> <ul style="list-style-type: none"> a) Preparing HR, IT, Branding and Communications and Administration policies for UMTA b) Performing all Administration, IT, Branding and Communications and HR related functions c) Preparation of periodic plans and reports including coordinating with all other divisions of UMTA for all necessary information and inputs leading to the development of such periodic plans and reports d) Procuring all required office works, goods and services including all stationary, utilities, IT networks, electronic devices, office equipment, etc. e) Development and continuous monitoring and review of organisational policies including administrative policies, recruitment, procurement, branding and communications, information technology, employment, etc. f) Reviewing and developing the IT framework and tools g) Ensuring effective branding of UMTA including its vision, mission and goals, the need and benefits of UMTA h) Managing the HR function so that UMTA recruits, retains and develops highly skilled and motivated staff i) Monitors expenditure and identifies opportunities for cost reduction j) Reviews, develops and recommends appropriate employment conditions and remuneration structures, and leads any industrial relations negotiations k) Develop procurement procedures to be used for activities funded by the Board. l) Ensure that the values, behaviours and culture of the staff in the respective Division are aligned with the strategy of the Board to achieve a truly integrated work environment. m) Coordinate with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division 	

Position	Director – Corporate Services
<p>n) Perform all such duties and functions as required by the Governing Board/ CEO time to time.</p>	
<p>Reporting</p> <p>The Director – Corporate Services, shall report regularly to the CEO through verbal and as necessary, written, reports. The Director – Corporate Services, shall periodically prepare and present written reports to the Board, particularly on policy, planning, projects and programme matters.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Leadership: The quality to inspire, lead, coach and develop others to achieve desired goals and objectives. This competency includes defining a vision and guiding individuals towards that vision. b) Corporate Services Excellence: This includes deep understanding of corporate administrative, human resources and information technology policies and procedures. c) Decision Making / Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. d) Strategic Orientation: The ability to think and act strategically, to link short and long-term visions to daily activities. This includes the ability to provide clear direction and priorities, and clarify role and responsibilities. This direction is based on a wider external perspective, where the directions of industry and community are considered. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Risk Management Orientation: This is the ability to identify and take advantage of opportunities while identifying and minimizing risks that will impede the authority from achieving its goals. g) Innovation: The ability to identify innovative solutions, innovative planning, identifying efficient processes, identifying non-value adding processes and develop creative approaches that lead to overall improvement in working and the urban transport sector. 	
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in Management / Business Administration / other relevant field b) At least 15 years of work experience with at least 5 years of experience in Senior Management position in corporate services division of any public sector entity. c) Membership of a relevant professional body d) Experience in administrative, human resources, IT and associated procedures e) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. f) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. 	

Position	Director – Corporate Services
<ul style="list-style-type: none"> g) Proven strategic thinking. h) Understanding of effective information delivery techniques including education, marketing and communication. i) Experience in building and fostering relationships. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Maintains a good understanding of the work environment and trends, authority's performance, and identifies potential opportunities, risks and issues before they arise. b) Actively demonstrates, promotes and models desired organizational behaviours and values. c) Promotes a climate of innovation, change and adaptation within own area. d) Delegates decision making where appropriate, ensuring staff have the capability and knowledge to make sound decisions. e) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Demonstrates strong leadership within the planning function and with the management team as a whole j) Has strong communication skills k) Works reliably under pressure to produce timely, accurate information l) Maintains awareness of overall organisational goals, and looks for opportunities to contribute organisation-wide as able. 	

General Manager - Planning

Position	General Manager - Planning
Position Description	
Reports to	Director Planning
Purpose of the Position <ul style="list-style-type: none"> a) To be part of the middle management of the authority and being responsible for management and execution of the responsibilities of the Planning Division of UMTA by assisting the Director Planning in carrying out his functions b) To provide strategic and operational support to the Director Planning on all matters related to planning for the overall development of the urban transport sector including preparation and finalisation of Comprehensive Mobility Plan and other such strategic planning works. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Planning Division 	
Key Responsibilities <ul style="list-style-type: none"> a) Providing assistance in developing principles and policies for sustainable urban transport system for the urban area b) Providing assistance in developing and finalisation of Comprehensive Mobility Plan for the urban area c) Providing assistance in ensuring the integration of the urban transport planning with land-use planning d) Ensuring effective coordination with all relevant agencies for achieving the objectives of the planning function of UMTA e) Providing assistance in finalisation of a detailed MYP for urban transport In conjunction with implementation agencies f) Coordinate with the other divisions of UMTA for integrated holistic development of transport system within the urban area. g) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. h) Define, clarify and communicate the Board's strategic direction and a culture of collaborative working, with particular focus on compliance with the Board's policies and procedures and the Approved Annual budgets and other Reports. i) Ensure that the values, behaviours and culture of the staff in the Executive office are aligned with the strategy of the Board to achieve a truly integrated work environment. j) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the Director Planning / CEO / Governing Board. 	
Reporting The General Manager shall report regularly to the Director-Planning, through verbal and as necessary, written, reports.	
Salary and Benefits The pay scale is recommended to be at par with that of central/state level public sector	

Position	General Manager - Planning
undertakings (PSUs).	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Leadership: The General Manager should have a quality to inspire, lead and coach junior team members to achieve desired goals and objectives. b) Planning Excellence: This includes deep understanding of strategic planning, sector understanding, regulatory environment, international best practices, government policies and their effects, etc. c) Managerial Excellence: The General Manager should have excellent managerial capabilities to plan and execute tasks and manage team members. d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities. 	
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in the Transport Planning / relevant field. b) At least 10 years of work experience with at least 3 years of experience in Transport Planning Function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in Transport planning, development of transport sector programmes and economic appraisal. e) Sound knowledge of transport planning and programming theories and methods. f) Proven strategic thinking. g) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. h) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. i) Experience in building and fostering relationships. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence and team managerial skills b) Ensures operational efficiency c) Demonstrates effective coordination with relevant entities / function within UMTA d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. f) Actively demonstrates, promotes and models desired organizational behaviours and 	

Position	General Manager - Planning
<p>values.</p> <ul style="list-style-type: none">g) Promotes a climate of innovation, change and adaptation within own area.h) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results.i) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made.j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position.k) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents.l) Has strong communication skillsm) Works reliably under pressure to produce timely, accurate informationn) Consults and shares information within a team environment, and cross functionally.o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching.	

General Manager – Engineering

Position	General Manager – Engineering
Position Description	
Reports to	Director Engineering
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the middle management of the authority and being responsible for management and execution of the responsibilities of the Engineering Division of UMTA by assisting the Director Engineering in carrying out his functions b) To provide strategic and operational support to the Director Engineering on all matters related to technical / engineering inputs on all matters related to public transport including developing standards and guidelines on technical aspects of urban transport. a) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Engineering Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing assistance in preparing standards and guidelines specific to transport engineering or as deemed necessary time to time. b) Providing assistance in giving technical input to other divisions c) Achieving effective coordination with all relevant implementing agencies and supervising in project implementation, if required d) Providing technical inputs in development and operation of integrated, facilities and systems. e) Assistance in providing value-added expertise in engineering discipline and project leadership. f) Assistance in providing execution oversight for important research, development, and evaluation efforts. g) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. h) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the Director Engineering / CEO/ Governing Board. 	
Reporting	
The General Manager – Engineering shall report regularly to the Director-Engineering, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies:	
<ul style="list-style-type: none"> a) Leadership: The General Manager should have a quality to inspire, lead and coach junior team members to achieve desired goals and objectives. b) Engineering Excellence: This includes deep understanding of engineering related aspects, c) Managerial Excellence: The General Manager should have excellent managerial 	

Position	General Manager – Engineering
<p>capabilities to plan and execute tasks and manage team members.</p> <p>d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions.</p> <p>e) Results Orientation: A commitment to meeting and exceeding standards of excellence.</p> <p>f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities.</p>	
<p>Qualifications and Experience</p> <p>a) Post graduate degree in the Transport Engineering / relevant field.</p> <p>b) At least 10 years of work experience with at least 3 years of experience in Transport Engineering field in any public / private sector entity.</p> <p>c) Membership of a relevant professional body.</p> <p>d) Experience in transport engineering, designing standards, specifications and guidelines.</p> <p>e) Proven strategic thinking.</p> <p>f) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends.</p> <p>g) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance.</p> <p>h) Experience in building and fostering relationships.</p>	
<p>Skills and Personal Attributes</p> <p>a) Demonstrates excellent service excellence and team managerial skills</p> <p>b) Ensures operational efficiency</p> <p>c) Demonstrates effective coordination with relevant entities / function within UMTA</p> <p>d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals.</p> <p>e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise.</p> <p>f) Actively demonstrates, promotes and models desired organizational behaviours and values.</p> <p>g) Promotes a climate of innovation, change and adaptation within own area.</p> <p>h) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results.</p> <p>i) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made.</p> <p>j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position.</p> <p>k) Is honest, ethical, and able to develop and maintain the trust and confidence of all</p>	

Position	General Manager – Engineering
<p>constituents.</p> <ul style="list-style-type: none">l) Has strong communication skillsm) Works reliably under pressure to produce timely, accurate informationn) Consults and shares information within a team environment, and cross functionally.o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching.	

General Manager – Integrated Facilities Development Management

Position	General Manager – Integrated Facilities Development Management
Position Description	
Reports to	Director Public Transport Management
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the middle management of the authority and being responsible for management and execution of a part of responsibilities of the Public Transport Management Division of UMTA by assisting the Director Public Transport Management in carrying out his functions b) To provide strategic and operational support to the Director Public Transport Management on matters related to development of infrastructure facilities for ensuring integration of public transport in the urban area. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Public Transport Management Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing assistance in developing plan and strategy for integration of all public transport modes to ensure development of sustainable integrated transport system for the urban area. b) Providing assistance in planning, strategizing and overseeing the implementation of projects for integration of public transport in the urban area c) Ensuring effective implementation of integrated transport infrastructure projects within specific timelines, budgets and quality levels. d) Ensuring effective coordination with the Policy and Research Division for innovative public transport solutions suitable to the urban area e) Providing assistance in promoting development of integrated multi-modal public transport systems for the urban area f) Ensuring effective coordination with all relevant agencies for achieving the objectives of the Public Transport Management function of UMTA g) Coordinate with the other divisions of UMTA for integrated holistic development of transport system within the urban area. h) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. i) Define, clarify and communicate the Board's strategic direction and a culture of collaborative working, with particular focus on compliance with the Board's policies and procedures and the Approved Annual budgets and other Reports. j) Ensure that the values, behaviours and culture of the staff in the Executive office are aligned with the strategy of the Board to achieve a truly integrated work environment. k) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the CEO/ Governing Board. 	
Reporting	
The General Manager Integrated Facilities Development Management shall report regularly to	

Position	General Manager – Integrated Facilities Development Management
the Director-Public Transport Management, through verbal and as necessary, written, reports.	
Salary and Benefits The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies <ul style="list-style-type: none"> a) Leadership: The General Manager should have a quality to inspire, lead and coach junior team members to achieve desired goals and objectives. b) Transport Infrastructure Development Excellence: This includes in-depth understanding of infrastructure requirements of the urban transport sector, understanding of best practices, costs involved, efficient technologies and processes, strategic value addition by different types of infrastructure, etc. c) Managerial Excellence: The General Manager should have excellent managerial capabilities to plan and execute tasks and manage team members. d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities. 	
Qualifications and Experience <ul style="list-style-type: none"> a) Post graduate degree in the Transport Planning / Transport Engineering / Infrastructure Planning / Civil Engineering / relevant field. b) At least 10 years of work experience with at least 3 years of experience in Public Transport Infrastructure Development function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in planning / strategy formulation / implementation of public transport projects e) Experience in planning / strategy formulation / operation of public transport facilities and systems f) Experience in regulatory aspects g) Proven strategic thinking. h) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. i) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. j) Experience in building and fostering relationships. 	
Skills and Personal Attributes <ul style="list-style-type: none"> a) Demonstrates excellent service excellence and team managerial skills 	

Position	General Manager – Integrated Facilities Development Management
<ul style="list-style-type: none"> b) Ensures operational efficiency c) Demonstrates effective coordination with relevant entities / function within UMTA d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. f) Actively demonstrates, promotes and models desired organizational behaviours and values. g) Promotes a climate of innovation, change and adaptation within own area. h) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. i) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. k) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. l) Has strong communication skills m) Works reliably under pressure to produce timely, accurate information n) Consults and shares information within a team environment, and cross functionally. o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching. 	

General Manager – Integrated Public Transport Operations

Position	General Manager - Integrated Public Transport Operations
Position Description	
Reports to	Director Public Transport Management
<p>Purpose of the Position</p> <p>a) To be part of the middle management of the authority and being responsible for management and execution of the a part of responsibilities of the Public Transport Management Division of UMTA by assisting the Director Public Transport Management in carrying out his functions</p> <p>b) To provide strategic and operational support to the Director Public Transport Management on matters related to operation and management of infrastructure facilities for ensuring integration of public transport in the urban area and matters associated thereto.</p> <p>c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Public Transport Management Division</p>	
<p>Key Responsibilities</p> <p>a) Providing assistance in developing plan and strategy for integration of all public transport modes to ensure effective operation and management of sustainable integrated transport system for the urban area.</p> <p>b) Providing assistance in planning, strategizing and overseeing the operation and management of systems and facilities for integration of public transport in the urban area</p> <p>c) Ensuring efficiency in operation and management of integrated transport facilities and systems.</p> <p>d) Providing assistance in developing standards and guidelines for public transport services specific to the urban area in consonance with the land-use pattern of the city</p> <p>e) Providing assistance in planning, strategizing and implementing/coordinating for implementing all related regulatory functions including:</p> <ul style="list-style-type: none"> • Contracting public transport operators for operating in the urban area • Strategizing for issue of licenses for public transport services in the urban area • Monitoring and regulating (or providing support in regulating) fee and charges of different modes of public transport <p>f) Providing assistance in promoting development of integrated multi-modal public transport systems for the urban area</p> <p>g) Ensuring effective coordination with the Policy and Research Division for innovative public transport solutions suitable to the urban area</p> <p>h) Ensuring effective coordination with all relevant agencies for achieving the objectives of the Public Transport Management function of UMTA</p> <p>i) Coordinate with the other divisions of UMTA for development of integrated and holistic transport system within the urban area.</p> <p>j) Demonstrate excellence in staff management including the appropriate recruitment,</p>	

Position	General Manager - Integrated Public Transport Operations
<p>retention, performance management and development of employees.</p> <p>k) Define, clarify and communicate the Board's strategic direction and a culture of collaborative working, with particular focus on compliance with the Board's policies and procedures and the Approved Annual budgets and other Reports.</p> <p>l) Ensure that the values, behaviours and culture of the staff in the Executive office are aligned with the strategy of the Board to achieve a truly integrated work environment.</p> <p>m) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the CEO/ Governing Board.</p>	
Reporting	
The General Manager Integrated Public Transport Operations shall report regularly to the Director-Public Transport Management, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<p>a) Leadership: The General Manager should have a quality to inspire, lead and coach junior team members to achieve desired goals and objectives.</p> <p>b) Transport Facilities Operation and Management Excellence: This includes in-depth understanding of operational requirements of the urban transport sector, understanding of best practices, costs involved, efficient technologies and processes, etc.</p> <p>c) Managerial Excellence: The General Manager should have excellent managerial capabilities to plan and execute tasks and manage team members.</p> <p>d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions.</p> <p>e) Results Orientation: A commitment to meeting and exceeding standards of excellence.</p> <p>f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities.</p>	
Qualifications and Experience	
<p>a) Post graduate degree in the Transport Planning / Transport Engineering / Operations Management / relevant field.</p> <p>b) At least 10 years of work experience with at least 3 years of experience in Public Transport Operations function of any public / private sector entity.</p> <p>c) Membership of a relevant professional body.</p> <p>d) Experience in planning / operations of public transport projects</p> <p>e) Experience in planning operation of public transport facilities and systems</p> <p>f) Experience in regulatory aspects</p> <p>g) Proven strategic thinking.</p>	

Position	General Manager - Integrated Public Transport Operations
<ul style="list-style-type: none"> h) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. i) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. j) Experience in building and fostering relationships. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence and team managerial skills b) Ensures operational efficiency c) Demonstrates effective coordination with relevant entities / function within UMTA d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. f) Actively demonstrates, promotes and models desired organizational behaviours and values. g) Promotes a climate of innovation, change and adaptation within own area. h) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. i) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. k) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. l) Has strong communication skills m) Works reliably under pressure to produce timely, accurate information n) Consults and shares information within a team environment, and cross functionally. o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching. 	

General Manager – Policy and Research

Position	General Manager - Policy and Research
Position Description	
Reports to	Director Planning
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the middle management of the authority and being responsible for management and execution of the responsibilities of the Policy and Research Division of UMTA by assisting the Director Policy and Research in carrying out his functions b) To provide strategic and operational support to the Director Policy and Research on all matters related to development of policy, standards and guidelines and carrying out research activities for the overall development of the urban transport sector. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Policy and Research Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing assistance in carrying out the research, studies, education and awareness activities about good practices in urban transport b) Carrying out research and analysis to provide strategic inputs in development of policy, standards and guidelines for overall development of urban transport c) Ensuring the maintenance of updated database with information relating to urban transport, including details of projects, services, funding, and public transport safety, etc. d) Carrying out research and analysis to provide strategic inputs for developing and managing performance indicators for urban transport e) Providing assistance in monitoring and advising on public transport safety f) Carrying out research and analysis to provide strategic inputs to identify, analyse and recommend innovative and improved practices, technology and processes for overall improvement of urban transport g) Demonstrate excellence in staff management including the appropriate recruitment, retention, performance management and development of employees. h) Ensure that the values, behaviours and culture of the staff in the Executive office are aligned with the strategy of the Board to achieve a truly integrated work environment. i) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the CEO/ Governing Board. 	
Reporting	
The General Manager – Policy and Research shall report regularly to the Director– Policy and Research, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Leadership: The General Manager should have a quality to inspire, lead and coach junior 	

Position	General Manager - Policy and Research
<p>team members to achieve desired goals and objectives.</p> <p>b) Policy and Research Excellence: This includes deep understanding of policy environment in the state / country, regulatory environment, international best practices, research excellence, research methods, data analysis excellence, forecasting, etc.</p> <p>c) Managerial Excellence: The General Manager should have excellent managerial capabilities to plan and execute tasks and manage team members.</p> <p>d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions.</p> <p>e) Results Orientation: A commitment to meeting and exceeding standards of excellence.</p> <p>f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities.</p>	
<p>Qualifications and Experience</p> <p>a) Post graduate degree in the Public Policy / Arts (Public Policy) / other relevant field</p> <p>b) At least 10 years of work experience with at least 3 years of experience in Policy and / or Research division of any public sector entity (preferably in urban transport).</p> <p>c) Membership of a relevant professional body.</p> <p>d) Experience in policy making, research and analysis aspects of urban transport sector</p> <p>e) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends.</p> <p>f) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance.</p> <p>g) Proven strategic thinking.</p> <p>h) Understanding of effective information delivery techniques including education, marketing and communication.</p> <p>i) Experience in building and fostering relationships.</p>	
<p>Skills and Personal Attributes</p> <p>a) Demonstrates excellent service excellence and team managerial skills</p> <p>b) Ensures operational efficiency</p> <p>c) Demonstrates effective coordination with relevant entities / function within UMTA</p> <p>d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals.</p> <p>e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise.</p> <p>f) Actively demonstrates, promotes and models desired organizational behaviours and values.</p> <p>g) Promotes a climate of innovation, change and adaptation within own area.</p> <p>h) Makes timely decisions based on evidence and on merit, within authority levels, and</p>	

Position	General Manager - Policy and Research
<p>takes responsibility for the results.</p> <ul style="list-style-type: none"> i) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. k) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. l) Has strong communication skills m) Works reliably under pressure to produce timely, accurate information n) Consults and shares information within a team environment, and cross functionally. o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching. 	

General Manager – Internal Corporate Services

Position	General Manager – Internal Corporate Services
Position Description	
Reports to	Director –Corporate Services
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the middle management of the authority and being responsible for management and execution of part of the responsibilities of the Corporate Services Division of UMTA by assisting the Director - Corporate Services in carrying out his functions b) To provide strategic and operational support to the Director –Corporate Services on all matters related to administration, human resources and information technology for the authority in order to ensure smooth functioning of the UMTA. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Corporate Services Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing assistance in preparing HR, IT and Administration policies for UMTA b) Providing assistance in performing all Administration, IT and HR related functions c) Providing assistance in preparation of periodic plans and reports including coordinating with all other divisions of UMTA for all necessary information and inputs leading to the development of such periodic plans and reports d) Providing assistance in procuring all required office works, goods and services including all stationary, utilities, IT networks, electronic devices, office equipment, etc. e) Providing assistance in development and continuous monitoring and review of organisational policies including administrative policies, recruitment, procurement, information technology, employment, etc. f) Providing assistance in reviewing and developing the IT framework and tools g) Providing assistance in managing the HR function so that UMTA recruits, retains and develops highly skilled and motivated staff h) Providing assistance in monitoring expenditure and identifies opportunities for cost reduction i) Providing assistance in reviewing, developing and recommending appropriate employment conditions and remuneration structures, and leads any industrial relations negotiations j) Providing assistance in developing procurement procedures to be used for activities funded by the Board. k) Coordinating with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division l) Perform all such duties and functions as required by the Governing Board/ CEO time to time. 	
Reporting	
The General Manager – Internal Corporate Services shall report regularly to the Director -	

Position	General Manager – Internal Corporate Services
Corporate Services, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Leadership: The General Manager should have a quality to inspire, lead and coach junior team members to achieve desired goals and objectives. b) Corporate Services Excellence: This includes deep understanding of corporate administration, human resource management, information technology infrastructure, etc. c) Managerial Excellence: The General Manager should have excellent managerial capabilities to plan and execute tasks and manage team members. d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions. e) Results Orientation: A commitment to meeting and exceeding standards of excellence. f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities. 	
Qualifications and Experience	
<ul style="list-style-type: none"> a) Post graduate degree in Management / Business Administration / other relevant field b) At least 10 years of work experience with at least 3 years of experience in Corporate Administration function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in administrative, human resources, IT and associated procedures e) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. f) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. g) Proven strategic thinking. h) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends. i) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance. j) Experience in building and fostering relationships. 	
Skills and Personal Attributes	
<ul style="list-style-type: none"> a) Demonstrates excellent service excellence and team managerial skills b) Ensures operational efficiency c) Demonstrates effective coordination with relevant entities / function within UMTA d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. 	

Position	General Manager – Internal Corporate Services
	<ul style="list-style-type: none"> e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise. f) Actively demonstrates, promotes and models desired organizational behaviours and values. g) Promotes a climate of innovation, change and adaptation within own area. h) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results. i) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. k) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. l) Has strong communication skills m) Works reliably under pressure to produce timely, accurate information n) Consults and shares information within a team environment, and cross functionally. o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching.

General Manager – Branding, Communications and Public Relationship Management

Position	General Manager – Branding, Communications and Public Relationship Management
Position Description	
Reports to	Director –Corporate Services
Purpose of the Position <ul style="list-style-type: none"> a) To be part of the middle management of the authority and being responsible for management and execution of part of the responsibilities of the Corporate Services Division of UMTA by assisting the Director - Corporate Services in carrying out his functions b) To provide strategic and operational support to the Director –Corporate Services on all matters related to branding, communications and public relationship management for the authority. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Corporate Services Division 	
Key Responsibilities <ul style="list-style-type: none"> a) Providing assistance in preparing branding, communications and public relationship management policies for UMTA b) Ensuring effective branding of UMTA including its vision, mission and goals, the need and benefits of UMTA c) Providing assistance in performing all branding, communications and public relationship management related functions d) Providing assistance in development and continuous monitoring and review of organisational policies including branding, communications and public relationship management policies and guidelines, etc. e) Coordinating with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division f) Perform all such duties and functions as required by the Governing Board/ CEO time to time. 	
Reporting <p>The General Manager – Branding, Communications And Public Relationship Management shall report regularly to the Director – Corporate Services, through verbal and as necessary, written, reports.</p>	
Salary and Benefits <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
Key Competencies <ul style="list-style-type: none"> a) Leadership: The General Manager should have a quality to inspire, lead and coach junior team members to achieve desired goals and objectives. b) Branding and Public Relationship Management Excellence: This includes deep understanding of branding and public relationship management practices, etc. 	

Position	General Manager – Branding, Communications and Public Relationship Management
<p>c) Managerial Excellence: The General Manager should have excellent managerial capabilities to plan and execute tasks and manage team members.</p> <p>d) Problem Solving: The ability to effectively analyse and evaluate information and situations and render effective decisions. This includes anticipating, identifying and defining problems, seeking root causes and developing and implementing practical and timely solutions.</p> <p>e) Results Orientation: A commitment to meeting and exceeding standards of excellence.</p> <p>f) Operational Excellence: The General Manager should have excellent operational capabilities to ensure the efficient, effective and admirable execution of activities.</p>	
<p>Qualifications and Experience</p> <p>a) Post graduate degree in Management / Business Administration / other relevant field</p> <p>b) At least 10 years of work experience with at least 3 years of experience in Branding and / or Public Relationship Management function of any public / private sector entity.</p> <p>c) Membership of a relevant professional body.</p> <p>d) Experience in branding, public relationship management and associated procedures</p> <p>e) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends.</p> <p>f) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance.</p> <p>g) Proven strategic thinking.</p> <p>h) Experience in a position with strategic focus, ability to rise above detail, to summarise overall patterns, assess value, and see trends.</p> <p>i) Experience in delegation, managing workloads and work streams, budgeting and monitoring costs, and ensuring compliance.</p> <p>j) Experience in building and fostering relationships.</p>	
<p>Skills and Personal Attributes</p> <p>a) Demonstrates excellent service excellence and team managerial skills</p> <p>b) Ensures operational efficiency</p> <p>c) Demonstrates effective coordination with relevant entities / function within UMTA</p> <p>d) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals.</p> <p>e) Maintains a good understanding of the work environment and trends, authority's performance, and the political and regulatory climate and identifies potential opportunities, risks and issues before they arise.</p> <p>f) Actively demonstrates, promotes and models desired organizational behaviours and values.</p> <p>g) Promotes a climate of innovation, change and adaptation within own area.</p> <p>h) Makes timely decisions based on evidence and on merit, within authority levels, and takes responsibility for the results.</p> <p>i) Gathers all relevant information, utilises an analytical and logical approach to problem</p>	

Position	General Manager – Branding, Communications and Public Relationship Management
<p>solving, and accurately assesses impact of decisions made.</p> <ul style="list-style-type: none"> j) Takes responsibility for the position accountability and own actions, and for the actions of staff who report to the position. k) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. l) Has strong communication skills m) Works reliably under pressure to produce timely, accurate information n) Consults and shares information within a team environment, and cross functionally. o) Provides opportunities for staff to develop new capabilities through designing stretch responsibilities and coaching. 	

Support Staff – Transport Planner

Position	Support Staff – Transport Planner
Person Specification	
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of the responsibilities of the Planning Division of UMTA b) To provide operational support to the General Manager Planning on all matters related to planning for the overall development of the urban transport sector including preparation and finalisation of Comprehensive Mobility Plan and other such strategic planning works. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Planning Division 	
<p>Key Responsibilities</p> <ul style="list-style-type: none"> a) Providing operational assistance in developing principles and policies for sustainable urban transport system for the urban area b) Providing operational assistance in developing and finalisation of Comprehensive Mobility Plan for the urban area c) Providing assistance in finalisation of a detailed MYP for urban transport in conjunction with implementation agencies d) Carry out such other functions and duties that are delegated to the position. 	
<p>Reporting</p> <p>The Support Staff shall report regularly to the General Manager – Planning, through verbal and as necessary, written, reports.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in the Transport Planning / relevant field. b) At least 5 years of work experience with at least 2 years of experience in Transport Planning Function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in Transport planning, development of transport sector programmes and economic appraisal. e) Sound knowledge of transport planning and programming theories and methods. 	

Position	Support Staff – Transport Planner
<p data-bbox="204 248 632 282">Skills and Personal Attributes</p> <ul style="list-style-type: none"><li data-bbox="204 300 817 333">a) Demonstrates excellent service excellence<li data-bbox="204 344 655 378">b) Ensures operational efficiency<li data-bbox="204 389 1422 468">c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals.<li data-bbox="204 479 1422 557">d) Maintains a good understanding of the work environment and trends and key operational requirements form the position<li data-bbox="204 568 1422 647">e) Actively demonstrates, promotes and models desired organizational behaviours and values.<li data-bbox="204 658 1422 736">f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made.<li data-bbox="204 748 1126 781">g) Takes responsibility for the position accountability and own actions<li data-bbox="204 792 1422 871">h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents.<li data-bbox="204 882 1067 916">i) Has highly developed verbal and written communication skills.<li data-bbox="204 927 1166 960">j) Works reliably under pressure to produce timely, accurate information	

Support Staff – Urban Planner

Position	Support Staff – Urban Planner
Person Specification	
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of the responsibilities of the Planning Division of UMTA b) To provide operational support to the General Manager Planning on all matters related to planning for the overall development of the urban transport sector including assistance in preparation and finalisation of Comprehensive Mobility Plan and other such strategic planning works from urban planning and integration of planning perspectives. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Planning Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing operational assistance in developing principles and policies for sustainable urban transport system for the urban area b) Providing operational assistance from urban planning perspectives in developing and finalisation of Comprehensive Mobility Plan for the urban area c) Providing assistance in ensuring the integration of the urban transport planning with land-use planning d) Providing assistance in finalisation of a detailed MYP for urban transport in conjunction with implementation agencies e) Carry out such other functions and duties that are delegated to the position 	
Reporting	
The Support Staff shall report regularly to the General Manager – Planning, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	
Qualifications and Experience	
<ul style="list-style-type: none"> a) Post graduate degree in the Urban Planning / relevant field. b) At least 5 years of work experience with at least 2 years of experience in Urban Planning Function of any public / private sector entity. c) Membership of a relevant professional body. 	

Position	Support Staff – Urban Planner
d) Experience in Urban planning, development of city development plans, master planes, etc. e) Sound knowledge of urban and transport planning and programming theories and methods.	
Skills and Personal Attributes <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Civil Engineer

Position	Support Staff – Civil Engineer
Person Specification	
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of the responsibilities of the Engineering Division of UMTA c) To provide operational support on all matters related to civil engineering involving technical / engineering inputs, developing standards and guidelines on technical aspects of urban transport, etc. b) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Planning Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing operational assistance in preparing standards and guidelines specific to transport engineering or as deemed necessary time to time. b) Providing all necessary civil engineering related inputs including on standards and guidelines for urban transport infrastructure c) Providing operational assistance in giving technical input to other divisions d) Providing assistance in achieving effective coordination with all relevant implementing agencies and supervising in project implementation, if required e) Assistance in providing technical inputs in development and operation of integrated, facilities and systems. f) Assistance in providing value-added expertise in engineering discipline and project leadership. g) Assistance in providing execution oversight for important research, development, and evaluation efforts. h) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the Director Engineering / CEO/ Governing Board. 	
Reporting	
The Support Staff shall report regularly to the General Manager – Engineering, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	

Position	Support Staff – Civil Engineer
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Graduate degree in the Civil Engineering / relevant field. b) At least 5 years of work experience with at least 2 years of experience in Civil Engineering Function of any public sector entity. c) Membership of a relevant professional body. d) Experience in development of infrastructure projects, such experience in urban transport sector would be preferable e) Sound knowledge of urban and transport planning and programming theories and methods. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Mechanical Engineer

Position	Support Staff – Mechanical Engineer
Person Specification	
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of the responsibilities of the Engineering Division of UMTA b) To provide operational support to the on all matters related to mechanical engineering involving technical / engineering inputs, developing standards and guidelines on technical aspects of urban transport, etc. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Planning Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing operational assistance in preparing standards and guidelines specific to transport engineering or as deemed necessary time to time. b) Providing all necessary mechanical engineering related inputs including on standards and guidelines for urban transport infrastructure, for example on rolling stock, other machinery, etc. c) Providing operational assistance in giving technical input to other divisions d) Providing assistance in achieving effective coordination with all relevant implementing agencies and supervising in project implementation, if required e) Assistance in providing technical inputs in development and operation of integrated, facilities and systems. f) Assistance in providing value-added expertise in engineering discipline and project leadership. g) Assistance in providing execution oversight for important research, development, and evaluation efforts. h) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the Director Engineering / CEO/ Governing Board. 	
Reporting	
The Support Staff shall report regularly to the General Manager – Engineering, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	

Position	Support Staff – Mechanical Engineer
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Graduate degree in the Mechanical Engineering / relevant field. b) At least 5 years of work experience with at least 2 years of experience in Mechanical Engineering Function of any public sector entity. c) Membership of a relevant professional body. d) Experience in development of infrastructure projects, such experience in urban transport sector would be preferable e) Sound knowledge of urban and transport planning and programming theories and methods. 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Integrated Facilities Development

Position	Support Staff – Integrated Facilities Development
Person Specification	
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of responsibilities of the Public Transport Management Division of UMTA b) To provide operational support to the General Manager Integrated Facilities Development Management on matters related to development of infrastructure facilities for ensuring integration of public transport in the urban area. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Public Transport Management Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing operational assistance in developing plan and strategy for integration of all public transport modes to ensure development of sustainable integrated transport system for the urban area. b) Providing operational assistance in planning, strategizing and overseeing the implementation of projects for integration of public transport in the urban area c) Providing operational assistance in ensuring effective implementation of integrated transport infrastructure projects within specific timelines, budgets and quality levels. d) Providing operational assistance in promoting development of integrated multi-modal public transport systems for the urban area e) Coordinate with the other divisions of UMTA for integrated holistic development of transport system within the urban area. f) Carry out such other functions and duties that are delegated to the position or as deemed necessary by the CEO/ Governing Board. 	
Reporting	
The Support Staff shall report regularly to the General Manager –Integrated Facilities Development Management, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	
Qualifications and Experience	
<ul style="list-style-type: none"> a) Post graduate degree in the Transport Planning / Transport Engineering / Infrastructure 	

Position	Support Staff – Integrated Facilities Development
<p>Planning / Civil Engineering / relevant field.</p> <p>b) At least 5 years of work experience with at least 2 years of experience in Public Transport Infrastructure Development function of any public / private sector entity.</p> <p>c) Membership of a relevant professional body.</p> <p>d) Experience in planning / strategy formulation / implementation of public transport projects</p>	
<p>Skills and Personal Attributes</p> <p>a) Demonstrates excellent service excellence</p> <p>b) Ensures operational efficiency</p> <p>c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals.</p> <p>d) Maintains a good understanding of the work environment and trends and key operational requirements form the position</p> <p>e) Actively demonstrates, promotes and models desired organizational behaviours and values.</p> <p>f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made.</p> <p>g) Takes responsibility for the position accountability and own actions</p> <p>h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents.</p> <p>i) Has highly developed verbal and written communication skills.</p> <p>j) Works reliably under pressure to produce timely, accurate information</p>	

Support Staff – Integrated Public Transport Operations

Position	Support Staff – Integrated Public Transport Operations
Person Specification	
Purpose of the Position	
<p>a) To be part of the executive team of the authority and being responsible for execution of responsibilities of the Public Transport Management Division of UMTA</p> <p>b) To provide operational support to the General Manager Integrated Public Transport Operations on matters related to development of infrastructure facilities for ensuring integration of public transport in the urban area.</p> <p>c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Public Transport Management Division</p>	
Key Responsibilities	
<p>a) Providing operational assistance in developing plan and strategy for integration of all public transport modes to ensure effective operation and management of sustainable integrated transport system for the urban area.</p> <p>b) Providing operational assistance in planning, strategizing and overseeing the operation and management of systems and facilities for integration of public transport in the urban area</p> <p>c) Ensuring efficiency in operation and management of integrated transport facilities and systems.</p> <p>d) Providing operational assistance in developing standards and guidelines for public transport services specific to the urban area in consonance with the land-use pattern of the city</p> <p>e) Providing operational assistance in planning, strategizing and implementing/coordinating for implementing all related regulatory functions including:</p> <ul style="list-style-type: none"> • Contracting public transport operators for operating in the urban area • Strategizing for issue of licenses for public transport services in the urban area • Monitoring and regulating (or providing support in regulating) fee and charges of different modes of public transport <p>f) Providing operational assistance in promoting development of integrated multi-modal public transport systems for the urban area</p> <p>g) Carry out such other functions and duties that are delegated to the position</p>	
Reporting	
The Support Staff shall report regularly to the General Manager – Integrated Public Transport Operations, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
a) Experience and proven expertise in the relevant sector	

Position	Support Staff – Integrated Public Transport Operations
<ul style="list-style-type: none"> b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in the Transport Planning / Transport Engineering / Operations Management / relevant field. b) At least 5 years of work experience with at least 2 years of experience in Public Transport Operations function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in planning / operations of public transport projects e) Experience in planning operation of public transport facilities and systems 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Transport Researcher

Position	Support Staff – Transport Researcher
Person Specification	
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of the responsibilities of the Policy and Research Division of UMTA b) To provide operational support to the General Manager Policy and Research on all matters related to carrying out research activities for the overall development of the urban transport sector. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Policy and Research Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing operational assistance in carrying out the research, studies, education and awareness activities about good practices in urban transport b) Providing operational assistance carrying out research and analysis to provide strategic inputs in development of policy, standards and guidelines for overall development of urban transport c) Coordinating with IT staff for ensuring the maintenance of updated database with information relating to urban transport, including details of projects, services, funding, and public transport safety, etc. d) Providing operational assistance in carrying out research and analysis to provide strategic inputs for developing and managing performance indicators for urban transport e) Providing operational assistance in monitoring and advising on public transport safety f) Providing operational assistance in carrying out research and analysis to provide strategic inputs to identify, analyse and recommend innovative and improved practices, technology and processes for overall improvement of urban transport g) Carry out such other functions and duties that are delegated to the position. 	
Reporting	
The Support Staff shall report regularly to the General Manager – Policy and Research, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	

Position	Support Staff – Transport Researcher
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in the relevant field. b) At least 5 years of work experience with at least 2 years of experience in Research and Analysis function of any public / private sector entity c) Urban Transport sector experience is preferable d) Membership of a relevant professional body 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Policy Expert

Position	Support Staff – Policy Expert
Person Specification	
Purpose of the Position	
<ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of the responsibilities of the Policy and Research Division of UMTA b) To provide operational support to the General Manager Policy and Research on all matters related to policy and guidelines development related activities for the overall development of the urban transport sector. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Policy and Research Division 	
Key Responsibilities	
<ul style="list-style-type: none"> a) Providing operational assistance in carrying out the all required activities for development / update / input in development of policies, standards and guidelines for development of urban transport sector. b) Providing operational assistance in developing strategic options for consideration in development of policies, guidelines and standards. c) Providing operational assistance in review and analysis of existing policies and finding gaps if any required to be addressed. d) Review of international best practices and finding ways to adapt / adopt the same in Indian context e) Carry out such other functions and duties that are delegated to the position. 	
Reporting	
The Support Staff shall report regularly to the General Manager – Policy and Research, through verbal and as necessary, written, reports.	
Salary and Benefits	
The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).	
Key Competencies	
<ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	
Qualifications and Experience	
<ul style="list-style-type: none"> a) Post graduate degree in the Public Policy / Arts (Public Policy) relevant field. b) At least 5 years of work experience with at least 2 years of experience in Policy function of any public / private sector entity c) Urban Transport sector experience is preferable 	

Position	Support Staff – Policy Expert
d) Membership of a relevant professional body	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Human Resources

Position	Support Staff – Human Resources
Person Specification	
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of part of the responsibilities of the Corporate Services Division of UMTA b) To provide operational support to the General Manager – Internal Corporate Services on all matters related to human resources for the authority in order to ensure smooth functioning of the UMTA. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Corporate Services Division 	
<p>Key Responsibilities</p> <ul style="list-style-type: none"> a) Providing operational assistance in preparing HR policies for UMTA b) Providing operational assistance in performing all HR related functions c) Providing assistance in development and continuous monitoring and review of recruitment, employment, separation, etc. forming part of human resources policies. d) Providing assistance in managing the HR function so that UMTA recruits, retains and develops highly skilled and motivated staff e) Providing assistance in reviewing, developing and recommending appropriate employment conditions and remuneration structures, and leads any industrial relations negotiations f) Coordinating with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division g) Perform all such duties and functions as required by the Governing Board/ CEO time to time. 	
<p>Reporting</p> <p>The Support Staff shall report regularly to the General Manager – Internal Corporate Services, through verbal and as necessary, written, reports.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Post graduate degree in the Human Resources / other relevant field 	

Position	Support Staff – Human Resources
<ul style="list-style-type: none"> b) At least 5 years of work experience with at least 2 years of experience in Human Resources Function of any public sector entity. c) Membership of a relevant professional body. d) Experience in human resources and associated procedures 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Administration

Position	Support Staff – Administration
Person Specification	
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of part of the responsibilities of the Corporate Services Division of UMTA b) To provide operational support to the General Manager – Internal Corporate Services on all matters related to administration for the authority in order to ensure smooth functioning of the UMTA. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Corporate Services Division 	
<p>Key Responsibilities</p> <ul style="list-style-type: none"> a) Providing operational assistance in preparing administration policies for UMTA b) Providing operational assistance in performing all administration related functions c) Providing operational assistance in preparation of periodic plans and reports including coordinating with all other divisions of UMTA for all necessary information and inputs leading to the development of such periodic plans and reports d) Providing operational assistance in procuring all required office works, goods and services including all stationary, utilities, IT networks, electronic devices, office equipment, etc. e) Providing operational assistance in development and continuous monitoring and review of organisational policies including administrative policies, procurement, etc. f) Providing assistance in monitoring expenditure and identifies opportunities for cost reduction g) Providing assistance in developing procurement procedures to be used for activities funded by the Board. h) Coordinating with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division i) Perform all such duties and functions as required for the position. 	
<p>Reporting</p> <p>The Support Staff shall report regularly to the General Manager – Internal Corporate Services, through verbal and as necessary, written, reports.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. 	

Position	Support Staff – Administration
d) Should be committed to achieving results with high standards of quality and efficiency	
<p>Qualifications and Experience</p> <p>a) Post graduate degree in the Business Administration / other relevant field</p> <p>b) At least 5 years of work experience with at least 2 years of experience in Corporate Administration Function of any public sector entity.</p> <p>c) Membership of a relevant professional body.</p> <p>d) Experience in administration and associated procedures</p>	
<p>Skills and Personal Attributes</p> <p>a) Demonstrates excellent service excellence</p> <p>b) Ensures operational efficiency</p> <p>c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals.</p> <p>d) Maintains a good understanding of the work environment and trends and key operational requirements from the position</p> <p>e) Actively demonstrates, promotes and models desired organizational behaviours and values.</p> <p>f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made.</p> <p>g) Takes responsibility for the position accountability and own actions</p> <p>h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents.</p> <p>i) Has highly developed verbal and written communication skills.</p> <p>j) Works reliably under pressure to produce timely, accurate information</p>	

Support Staff – Information Technology

Position	Support Staff – Information Technology
Person Specification	
<p>Purpose of the Position</p> <ul style="list-style-type: none"> a) To be part of the executive team of the authority and being responsible for execution of part of the responsibilities of the Corporate Services Division of UMTA b) To provide operational support to the General Manager – Internal Corporate Services on all matters related to IT for the authority in order to ensure smooth functioning of the UMTA. c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Corporate Services Division 	
<p>Key Responsibilities</p> <ul style="list-style-type: none"> a) Providing operational assistance in preparing IT policies for UMTA b) Providing operational assistance in performing all IT related functions c) Providing operational assistance in procuring all required IT infrastructure including IT networks, IT services, updated technologies, etc. d) Providing operational assistance in development and continuous monitoring and review of IT policies, etc. e) Providing continuous support to all divisions of UMTA for ensuring uninterrupted IT services f) Managing proper checks and balances on services available to staff and preventing misuse of facilities and services g) Providing assistance in monitoring expenditure and identifies opportunities for cost reduction h) Coordinating with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division i) Perform all such duties and functions as required for the position. 	
<p>Reporting</p> <p>The Support Staff shall report regularly to the General Manager – Internal Corporate Services, through verbal and as necessary, written, reports.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <ul style="list-style-type: none"> a) Experience and proven expertise in the relevant sector b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations. c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions. d) Should be committed to achieving results with high standards of quality and efficiency 	

Position	Support Staff – Information Technology
<p>Qualifications and Experience</p> <ul style="list-style-type: none"> a) Graduate degree in the Information Technology / other relevant field b) At least 5 years of work experience with at least 2 years of experience in IT function of any public sector entity. c) Membership of a relevant professional body. d) Experience in administration and associated procedures 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

Support Staff – Branding, Communications and Public Relationship Management

Position	Support Staff – Branding, Communications and Public Relationship Management
Person Specification	
<p>Purpose of the Position</p> <p>a) To be part of the executive team of the authority and being responsible for execution of part of the responsibilities of the Corporate Services Division of UMTA by assisting the General Manger - Branding, Communications and Public Relationship Management in carrying out his functions</p> <p>b) To provide strategic and operational support to the General Manger - Branding, Communications and Public Relationship Management on all matters related to branding, communications and public relationship management for the authority.</p> <p>c) To ensure effective execution, operational efficiency and functional excellence in fulfilment of tasks of Corporate Services Division</p>	
<p>Key Responsibilities</p> <p>a) Providing operational assistance in preparing branding, communications and public relationship management policies for UMTA</p> <p>b) Providing operational assistance in ensuring effective branding of UMTA including its vision, mission and goals, the need and benefits of UMTA</p> <p>c) Providing operational assistance in performing all branding, communications and public relationship management related functions</p> <p>d) Providing operational assistance in development and continuous monitoring and review of organisational policies including branding, communications and public relationship management policies and guidelines, etc.</p> <p>e) Coordinating with all divisions of UMTA for soliciting all information required for fulfilling all functions of corporate services division</p> <p>f) Perform all such duties and functions as required for the position.</p>	
<p>Reporting</p> <p>The Support Staff shall report regularly to the General Manager – Branding, Communications And Public Relationship Management, through verbal and as necessary, written, reports.</p>	
<p>Salary and Benefits</p> <p>The pay scale is recommended to be at par with that of central/state level public sector undertakings (PSUs).</p>	
<p>Key Competencies</p> <p>a) Experience and proven expertise in the relevant sector</p> <p>b) The support staff should have excellent operational capabilities to execute tasks within assigned timelines and expectations.</p> <p>c) The support staff must have ability to effectively analyse and evaluate information and situations and render effective solutions.</p> <p>d) Should be committed to achieving results with high standards of quality and efficiency</p>	
Qualifications and Experience	

Position	Support Staff – Branding, Communications and Public Relationship Management
<ul style="list-style-type: none"> a) Post graduate degree in Management / Business Administration / other relevant field b) At least 5 years of work experience with at least 2 years of experience in Urban Planning Function of any public / private sector entity. c) Membership of a relevant professional body. d) Experience in branding, public relationship management and associated procedures 	
<p>Skills and Personal Attributes</p> <ul style="list-style-type: none"> a) Demonstrates excellent service excellence b) Ensures operational efficiency c) Understands the strategic orientation of the authority and collaborates to achieve its strategic vision, mission and goals. d) Maintains a good understanding of the work environment and trends and key operational requirements form the position e) Actively demonstrates, promotes and models desired organizational behaviours and values. f) Gathers all relevant information, utilises an analytical and logical approach to problem solving, and accurately assesses impact of decisions made. g) Takes responsibility for the position accountability and own actions h) Is honest, ethical, and able to develop and maintain the trust and confidence of all constituents. i) Has highly developed verbal and written communication skills. j) Works reliably under pressure to produce timely, accurate information 	

ANNEXURE IV - NOTE FOR GOVERNMENT OF KERALA (TEMPLATE)

[Please note that this will depend on the state legal department rules followed and we would not be able to comment on the same].

No. _____

Government of State of Kerala

[Department of Legal Affairs]

Kochi

Note for the State Government

Subject: Establishment of Unified Metropolitan Transport Authority and Urban Transport Fund in Kochi – Enactment of Legislation - Regarding

1. Introduction

A snapshot of the proposal in 3 or 4 sentences.

2. Background

A brief background of the proposal to understand its genesis. This would include reference to NUTP 2006, initiatives by Ministry of Urban Development - Government of India, development of generic legislation for setting up UMTA and UTF by Ministry of Urban Development, Government of India, initiatives for setting up UMTA and UTF in Kochi Urban Mobility Area, etc.

3. Proposal

The proposal may be stated with clarity and precision so that there is no ambiguity in what the urban area aims to achieve by implementing the proposal. The time-lines for completion of different stages of the projects/scheme/plan, etc., where relevant, need to be clearly spelt out.

4. Justification

Rationale of the proposal may be brought out in this part of the note.

5. Stakeholder Consultations

Details of all stakeholder consultations and their views/comments should be brought out in this section.

6. Financial Implications

The financial implications of the proposal may be worked out as accurately as possible and should be detailed in this section. Further, the manner in which the expenditure is proposed to be borne may also be clearly indicated.

7. Approval Paragraph

The approval paragraph shall contain the proposal on which consideration and approval of the Cabinet is solicited. It should be a self-contained paragraph and drafted with clarity and precision leaving no scope for ambiguity or differing interpretations.

8. Statement Of Implementation Schedule (Appendix- I)

As per prescribed format and conforming to the approval paragraph.

9. Statement Of Equity, Innovation And Public Accountability (Appendix- II)

As per prescribed format. Brief details of how the proposal will subserve the three criteria to be included in the main body of the note.

10. Approval of the Minister-in-charge

The last paragraph should indicate about the approval of the Minister-in-charge to the proposal(s) contained in the note.

Enclosed: Draft Legislation*

Signature_____

Name_____

Designation_____

Telephone No._____

****Draft Legislation should be enclosed along with the Note***

Note: The above format is indicative and the exact headings may vary.

ANNEXURE V - STATEMENT OF IMPLEMENTATION SCHEDULE

Subject: Establishment of Unified Metropolitan Transport Authority and Urban Transport Fund

S No.	Gist of Decision Required	Projected Benefits	Time-frame and manner of Implementation

Signature_____

Name_____

Designation_____

Telephone No._____

Note: The above format is indicative and the exact headings may vary.

ANNEXURE VI - STATEMENT OF EQUITY, INNOVATION AND PUBLIC ACCOUNTABILITY

Subject: Establishment of Unified Metropolitan Transport Authority and Urban Transport Fund

S No.	The required goal	How does the proposal advance this goal?
1.	Equity or Inclusiveness	
2.	Innovation	
3.	Public Accountability	

Signature _____

Name _____

Designation _____

Telephone No. _____

Note: The above format is indicative and the exact headings may vary.

ANNEXURE VII - MOTION FOR INTRODUCTION OF A LEGISLATION

To

[The Secretariat General],
Legislative Assembly,
Kochi.

Sir,

I give notice of my intention to move for leave to introduce a Legislation (Here give the long title of the Legislation), during the ensuing/current session of the Vidhaan Sabha and also to introduce the Legislation.

Yours faithfully,

Minister

Copy to:

- (1) Department of Parliamentary Affairs.
- (2) Legal Department

Note: The above format is indicative and the exact headings may vary.



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