Mid-Term Evaluation Accelerating Climate Action through the Promotion of Urban Low Emission Development Strategies (Urban-LEDs II)

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Mid-Term Evaluation Accelerating Climate Action through the Promotion of Urban Low Emission Development Strategies (Urban-LEDs II)

November 2020

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Disclaimer

Acknowledgements

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ACRONYMS AND ABBREVIATIONS

ACP	Ambitious City Promises		ICLEI SAS	ICLEI South Asia Secretariat
AfD	Agence Française de Développement		ICLEI SEAS	ICLEI South East Asia Secretariat
APESI	Association of Indonesian Municipalities		ICLEI WS	ICLEI World Secretariat
BEA	Business Efficiency Accelerator		IPCC	Intergovernmental Panel on Climate Change
CAP	Climate Action Plan		KII	Key Informant Interview
COP	Conference of Parties		LDC	Least Developed Country
CIPP	Context Input Process Product		LEDS	Low Emission Development Strategy
CoM SSA	Covenant of Mayors in Sub-Saharan Africa		LGMA	Local Governments and Municipal Authorities Constituency at the UNFCCC
CRVA	Climate Risk and Vulnerability Assessment		LRG	Local and Regional Government
CCFLA	Cities Climate Finance Leadership Alliance		MoU	Memorandum of Understanding
COP25	25th Meeting of the Conference of Parties to the UNFCCC		MRV	Monitoring, Reporting and Verification
CSO	Civil Society Organization		MTE	Mid Term Evaluation
CRF	Common Reporting Framework		NAMA	Nationally Appropriate Mitigation Action
CSCAF	Climate Smart Cities Assessment Framework (India)		NDC	Nationally Determined Contribution
cCR	carbonn Climate Registry		NDCP	NDC Partnership
DRR	Disaster Risk Reduction		NPAG	National Project Advisory Group
EC	European Commission		OPCC	One Planet City Challenge
ESCO	Energy Service Companies		P2P	Peer-to-peer
EU	European Union		PAG	Project Advisory Group
EIB	European Investment Bank		PPF	Project Preparation Facility
ERG	Evaluation Reference Group		PSC	Project Steering Committee
EA	Expected Accomplishment		PMG	Project Management Group
GCoM	Global Covenant of Mayors for Climate & Energy		SDG	Sustainable Development Goal
GCAS	Global Climate Action Summit		SDC	Swiss Agency for Development & Cooperation
GCC	GreenClimateCities Program		SEforALL	Sustainable Energy for All
GCCC	Global Climate City Challenge		TAP	Transformative Actions Program
GCCC+	Global Climate Change Alliance Plus		TOC	Theory of Change
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit		TOR	Terms of Reference
GHG	Greenhouse Gas Emissions		TNA	Training Needs Assessment
GHG-I	Greenhouse Gas Emissions Inventory		UNDP	United Nations Development Programme
GCAS	Global Climate Action Summit		UNEP	United Nations Environment Programme
GGGI	Global Green Growth Institute		UN-Habitat	United Nations Human Settlements Programme
GCF	Green Climate Fund		UNCDF	United Nations Capital Development Fund
GEF	Global Environment Facility		UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
IUC	International Urban Cooperation programme		UNIDO	United Nations Industrial Development Organization
ICLEI	ICLEI - Local Governments for Sustainability		UNSG	United Nations Secretary General
ICLEI AS	ICLEI Africa Secretariat		UNFCCC	United Nations Framework Convention on Climate Change
ICLEI ES	ICLEI Europe Secretariat		VfM	Value for Money
ICLEI EAS	ICLEI East Asia Secretariat		WWF	World Wildlife Fund
ICLEI SAMS	ICLEI South America Secretariat		WB	World Bank

EXECUTIVE SUMMARY

Background

The Urban-LEDS project Phase II ("*Accelerating climate action through the promotion of urban low emission development strategies"* 2017-2021) aims to contribute to the reduction of greenhouse gas emissions (GHG) and enhancing climate change resilience by the promotion of Urban Low Emissions Development Strategies (Urban LEDS) and climate action plans (CAPs) in cities/towns in emerging economies and Least Developed Countries (LDC). The Phase I project ("*Promoting Low Emission Urban Development Strategies in Emerging Economy Countries*", 2012 – 2015) supported cities in four emerging economies *(Brazil, India, Indonesia* and *South Africa)*.

The Phase II is implemented in Phase I countries as well as in additional countries (*Bangladesh, Colombia, Lao PDR* and *Rwanda).* Phase II is expected to finalise and transfer the ownership of developed LEDS by using the proven approaches, while adapting those where necessary, capitalizing on the partners from Phase I as potential role models and peers. The Project supports two or three 'Model'[1] and four to six 'Satellite' cities per country (with 12 selected European Union (EU) cities as resources); enhances vertical integration between different levels of governments, improves measuring, reporting and verification (MRV) of climate action at all levels of government and integration of those under the United Nations Framework Convention for Climate Change (UNFCCC). The Project is financed by the EU in the amount of Euro 8 Million and implemented by UN-Habitat in close collaboration with ICLEI - Local Governments for Sustainability (ICLEI). Fifty-six project cities are engaged (with the goal being 60+ cities), and twelve (12) EU cities.

Evaluation objectives, scope, approach and methodology

This mid-term evaluation (MTE) serves both accountability and learning objectives. It is intended to: (i) provide evidence on whether the Project is on track towards achieving expected results from 1 April 2017 to the end of June 2019; and (ii) enhance learning and identify challenges, potentially in need of improvement. The key audiences of the evaluation are: UN-Habitat, EU Commission and the respective EU Delegations, ICLEI offices, targeted local and national governments and partners.

The MTE methodology was *Theory of Change (TOC)* in addition to *triangulation, contribution analysis* and *Context Input Process Product (CIPP).* Sources of information included: (a) Review of relevant documents: (b) Surveys of the stakeholders, and Key informant interviews (KII), with a total of 83 unique respondents; (c) Field visits to South Africa and Rwanda, October 7-12, 2019; and (d) Participation in the EU Study Tour held in June 2019. The evaluation was undertaken under resource constraints and changing timelines.

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1   Fortaleza and Recife in Brazil; Nagpur, Rajkot, and Thane in India; Bogor and Balikpapan in Indonesia; Narayanganj and Rajshahi in Bangladesh, Envigado and Manizales in Colombia; District of Rubavu, District of Muhanga, and City of Kigali in Rwanda; KwaDukuza and Steve Tshwete Municipality in South Africa, and Pakse and Kaysone Phomvihane in Lao PDR

Findings on achievements and performance

Achievement of Intended Results and Effectiveness

Intended Results (IR)	Rating	Indicators delayed
1. City-level climate action is integrated into the Nationally Determined Contributions (NDCs) or equivalent document of the participating countries with the development and application of a harmonized Measuring, Reporting and Verification approach in the participating cities	On track	-
2. Increased capacities of urban stakeholders in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action	On track	-
3. Enhanced capacities in the four new countries to engage in local climate action	Mostly On track	2
4. Adopted or further enhanced/completed Urban Low Emission Development Strategies in new and existing Model Cities based on following the GCC process guidance	Mostly On track	3
5. Enhanced pre-2020 urban climate change mitigation is promoted in UNFCCC process and in other interested cities through the Global Covenant of Mayors and similar regional and global networks	On track	-

Objective 1: Enhance vertical and horizontal integration of climate action in support of National and Local strategies and policies.

Finding

Intended Result 1: City-level climate action is often integrated into the Nationally Determined Contributions (NDCs)/ equivalent documents of the participating countries: The project's contribution is mostly indirect. The project has progressed towards the development and application of a harmonized MRV approach in the participating cities.

Phase II has benefited from adding a component on multilevel governance and it has promoted improved cooperation vertically between levels of the governments; the Project Advisory Groups (PAGs), formulated in all the countries except for Bangladesh (due to bureaucratic processes) contributed to this, with ties to government representatives. Overall, the cooperation with the national governments in support of vertical integration was strong in Colombia and Indonesia; promising in Rwanda and the Lao PDR; but with some challenges in India, Brazil and Bangladesh. Eight Country and City Profiles, (and an EU regional profile) were developed. The analytic country reports (being) finalized, defined how to optimize communication, coordination and reporting, and also how to use MRV for local climate action to deliver national climate goals: Talanoa Dialogues held in

five countries (Bangladesh, Colombia, India, Indonesia, and South Africa) helped with national ownership of this e.g., Indonesian cities' *call for multi-level governance in addressing climate change*. The avenues for vertical integration at global level, going beyond Global Covenant of Mayors for Climate & Energy (GCoM), CDP-ICLEI unified reporting system, were explored. While five national governments (Indonesia, Colombia, Rwanda, Brazil and South Africa) reported having included, to some extent, urban climate action and emissions' reductions in NDCs, the Project could not claim contribution to this; while it worked closely with the NDC Partnership (NDCP), more could be done in linking with NDC-revision processes. The project guides MRV of local climate action by tracking local targets, GHG inventories' (GHG-I) progression, actions targeting GHG reduction and co-benefits. Seven Phase I cities had quantifiable local GHG reductions targets contributing to national reduction goals and adaptation co- benefits. Municipal frameworks were being enhanced to support the LEDS implementation, but at the time of the MTE only KwaDukuza (South Africa), could report results. The Project demonstrated the value of city- and multi-level approaches in support of national strategies e.g., co-benefits for national and local sustainable development priorities, but the links to Sustainable Development Goals' (SDG) processes could be stronger with discussions in Colombia and Brazil.

Finding

Intended Result 2: The capacities of urban stakeholders in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action have increased.

Horizontal integration – the promotion of promising practices from Urban-LEDS cities to other cities in the countries – was pursued through conferences and meetings. Working with the national associations of local governments was an important vehicle (e.g., in Indonesia), which could have been used more systematically for this.

Objective 2: Support and guide selected local governments in developing and approving urban low emission development strategies in four new countries (Bangladesh, Colombia, Lao PDR and Rwanda) resulting in measurable GHG emission reductions and adaptation co-benefits; and Objective 3: Consolidate Urban LEDS achievements in cities in existing (Phase I) countries (Brazil, India, Indonesia and South Africa).

Finding

Intended Result 3: The capacities in the four new countries to engage in local climate action is enhanced: this was happening at different speed given the country contexts, e.g. the extent of the needs in capacity development. This applied also to the countries from Phase I, calling for modified approaches related to institutionalization of training.

Guidance and Training

The Project followed the stepwise GreenClimateCities (GCC) process, developed by ICLEI: an update which addresses integrated climate action process ("GCC 2.0") was available at the time of the MTE. Training was provided for local governments on Common Reporting Framework (CRF) – developed by the partners to the GCoM in line with a generic integrated MRV approach, to enable vertically integrated reporting. The Guide on MRV was being developed at the time of writing this report. Local and national government staff – 174 from the new cities and 95 from the Phase I countries – were trained, using GCC methodology and were overall satisfied with the training, but some commented they would have liked these to be longer and more practice-oriented. Further roll-out of training was planned in all the countries.

The Training Needs Assessments (TNAs) revealed heterogeneity in the capacity building needs (e.g., larger than anticipated in the Lao PDR), necessitating a more strategic approach to address it. The formats used for training varied: classroom, webinars (Colombia and Brazil) and one-to-one (India and Bangladesh). In Indonesia and India national government representatives delivered the training, facilitated by using national methodology of GHG-Is and MRV.

GHG-Is, GHG reports and CRVAs

GHG-Is, GHG reports, including GPC compliant GHG trends' forecasts, were in progress in most new countries and being updated/ broadened in the countries from Phase I. Not all governments used the GHG inventory format following the Project-promoted GPC (part of GCoM) methodology e.g., in Colombia, but the creation of a joint interface was being discussed. Similarly, the Global Green Growth Institute (GGGI), which was also advising local governments in Rwanda and the Lao PDR promoted a different format at the municipality level. This highlighted the need for an even stronger advocacy with the national governments to use the GCoM Data Standard and closer interaction at the leadership level with the international partners. In Phase I countries, completion of GHG-Is was a bit delayed. The CRVAs were being elaborated with the Project support (in Rajkot and Coimbatore (India) through the support from the CapaCITIES project implemented by ICLEI SAS). In some countries, especially Phase I countries, CRVAs were planned as rather technical documents; their utility could have been even higher if they included simulation tools.

Pilot Projects

The cities were being assisted with defining and implementing pilot projects, including technical support where needed, including in satellite cities (e.g., in South Africa) – a lesson learned from Phase I.[2] The selection of the first batch of 27 pilot demo projects was being finalized at the time of writing this report. These were chosen in consultation with the municipalities, but the approach taken differed from country to country. In India, for example, the pilots were chosen in close correspondence to the GHG-Is (most emitting sectors), while in Rwanda, they were seen more as tools to showcase LED and were planned in parallel to the CRVAs to ensure the pilots would be completed and

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2   UN-Habitat's pro-bono agreement with Arcadis, an engineering company has started in Rwanda and Bangladesh.

learning derived from them before the end of the project. While both approaches had valid points, several formal selection criteria could have been agreed, e.g., potential for scaling up, local government contribution, etc. The links with relevant sectoral government agencies were not always assured even though the need for this was identified as a lesson learned from Phase I.

Funding for local climate action

The project supported project cities to submit their project proposals e.g., by helping the municipalities to pitch their proposals to the Transformative Actions Program (TAP) pipeline (18 so far) and to other pipelines, e.g., the GCoM/European Investment Bank (EIB) Global City Climate Challenge (GCCC) (12 so far) to connect to financing agencies. Requesting the Phase II cities to submit proposals was somewhat rushed with four proposals from Colombia only. These were in the process of review for their quality at the time of writing this report, with those not yet ready, planned to receive recommendations for improvement. The cities submitted proposals covering a broad spectrum of resilience topics, including biodiversity and disaster risk reduction (DRR), highlighting the need for engagement with a wider range of government agencies and development partners. The approaches differed by country in terms of supporting (to a limited extent, though) local project preparation ranging from a deep dive for selected proposals (Brazil), and a pre-feasibility study on a priority infrastructure project (explored in Indonesia with the Cities Development Initiative for Asia (CDIA)), to training on project packaging (South Africa).

In Brazil, two model cities had received funding from GCF (in Recife, but the agreement predated the Project) and the World Bank (WB) (in Fortaleza, where the Project helped with GHG-I revision). At the time of the MTE, two proposals were under consideration by *bettervest* (crowdfunding) and the Government of Indonesia was considering funding of one project. So, there were small number of cases of potential commitment – understandable, given that the project was at midway. However, while this bottom-up approach helped raising awareness of international good practices, there was a need for more support to guide the local governments in the development of funding proposals and to boost soft (technical, financial and legal) skills. This was recognized by the Project: ICLEI revisited the TAP concept in 2018 with a specific focus on hard infrastructure investment

needs and support needed to develop bankable proposals. The Project was exploring also other global mechanisms to enable access to finance for local governments, e.g., the Cities Climate Finance Leadership Alliance (CCFLA) and R20 Regions of Climate Action (blended finance). In contrast, *in-country* sources of finance were explored less such as approaching banks and state funding agencies in South Africa, Rwanda and Brazil. Identifying feasible financial models through Energy Saving Companies (ESCOs) and using vertically integrated Nationally Appropriate Mitigation Actions (V-NAMAs) – as specified in the Project Document – had not happened at the time of the MTE, and advocating for enhanced intergovernmental transfers for local climate action and support schemes e.g., guarantee schemes, was not part of the design of the Project. A finance decision-making support tool was under development at the time of the MTE to give guidance on selecting appropriate mechanisms, but exploration of these routes at this stage could have informed the development of this tool. There was also an appreciation that in-country pitching events could be more effective than pitching at global events. More was needed in terms of general awareness of climate finance both internationally and locally.

Sharing EU experience

On the basis of thematic clusters based on the interest of cities, Urban-LEDS II goals, and the international agenda on climate action, the EU Resource cities (*Almada, Bologna, Helsinki, Warsaw, Hannover, Riga, Alba Iulia, Madrid, Aalborg, Budapest, Cork,* and *Bratislava*) offered to share their experience through: (a) Study tours in Europe e.g., in June 2019, attended by 28 representatives from 24 Urban-LEDS II cities from 16 countries; (b) A set of planned webinars (4-6) before 2020 with a focus on implementation of projects at the local level; (c) Advocacy, and (d) Knowledge creation and transfer. The engagement could be optimized with a limited number of visits and a well-defined selection process.

Peer-to-Peer (P2P) exchanges

The project supported P2P exchanges between Urban-LEDS project cities from Phase I and II with: (a) *Indonesian Study Tour* in April 2019 for the municipalities from the Lao PDR; (b) *Resilient Cities Asia-Pacific event* (2019*),* and (c) *Resilient Cities Congress (*2019) with more such opportunities planned. The participants

found these useful, particularly the in-depth interactions. Opportunities for the national agencies to participate in international exchanges were very limited, with the Project, potentially missing out on benefits that could have arisen from the joint learning by the local and national governments. Eleven P2P exchanges, as well as virtual events, between project cities and non-Urban-LEDS cities took place to share best practices through South-South-North learning with the target achieved, but the opportunities could have included also countries with best experience in specific areas. The assumption of active experience exchange between the model and satellite cities was overly optimistic as exchanges had so far only happened with facilitation by the Project). Partly related to the latter, there was a mismatch between the level of assistance to the satellite cities and expectations from them, however, it was more balanced than compared to the Phase I.

Finding
Intended Result 4: The project is contributing to new and existing Model Cities adopting or further enhancing Urban LEDS based on GCC process guidance, with a move to Climate Action Plans rather than LEDS, however, in the new countries this was still at the initial stages.

The LEDS' review was in progress in Phase I countries with a focus on sectors with high emission reduction potential. In the new countries the LEDS planning was discussed on formats: In Rwanda and in Lao PDR, for example, the municipalities preferred to have only one strategy (local/district development) – a supported approach under Urban-LEDS II. Both were happening with an integrated approach to include climate change adaptation co-benefits, but the extent of this in satellite cities varied. Fortaleza and Betim, benefited from the cooperation with the students of Boston University, USA and Technical University of Cologne, Germany, respectively, in the development of CAPs.

Objective 4. Promote international, regional, national, sub-national and local government cooperation on urban climate action, leading to an increase in urban stakeholders' capacity to implement climate change

Finding
Intended Result 5: The project is contributing to enhanced pre-2020 urban climate change mitigation being promoted in UNFCCC process and in other interested cities through the GCoM and similar regional and global networks.

The project is on track in meeting its targets related to Project cities and their staff participating in events promoting Urban-LEDS at UNFCCC and the GCoM. The Project contributed to enhanced mission of the official Local Governments and Municipal Authorities (LGMA) constituency at the UNFCCC. The participation and awareness of GCoM were successfully promoted, including the use of its Data Standard, integrating GCoM information modules into 18 Urban-LEDS events and helping inform the development of the GCoM approach. The Project works closely also with CDP; World Wildlife Fund's One Planet City Challenge (OPCC); Ambitious City Promises (ACP) project; GGGI; Under2Coalition's Climate Footprint Project, and a few others. Twenty-four Urban-LEDS staff participated in events of other climate initiatives.

Progress towards the goal

The Project has made important steps toward its goal of *"Contributing to the reduction of GHG by the promotion of Urban LEDS in selected cities/towns in 4 emerging economies, in Colombia and 3 LDCs"* and on track in meeting its targets: (a) reported climate actions in participating cities (610 in 35 cities); and (b) Total estimated emission reductions from mitigation actions 788 MtCo2e.

Performance by evaluation criteria

Relevance

The Project is relevant to the global climate action by focusing on the roles of mainly secondary city municipalities (given increased urbanization) in LDCs – charged with contributing to achieving ambitious climate targets, but often lacking in capacities – ensuring coordinated action with the national governments and partners globally and locally. The Project is in line with the climate change agenda of the: (a) EU, as per global Climate change framework, and the EU's New Consensus of development (2017); and (b) UN Habitat, promoting transformative change in cities and human settlements, e.g., through the New Urban Agenda. The project design is overall relevant, especially with: (a) Focusing on capacity building; (b) Learning-by-doing and knowledge co-creation approach; and (c) Aiming at both vertical integration and strengthened horizontal cooperation among the stakeholders. The TOC was sound, but the Project is too ambitious, e.g., in the view of the budget.

Coherence

The project is in tune with the agenda of the UNFCCC NDC process, GCoM and its data partners, and the global trend of moving to resilience, including adaptation. The Project is active in building synergies with other urban climate actors and initiatives globally, wherever possible, connecting International Urban-LEDS city network to other global city networks with potential added benefits. Still, cooperation could have been sought also with DG REGIO on the World Cities; Climate Initiative Bonds, the UN Environment's Climate Initiatives Platform, Investors on Climate Change, and UN Global Compact, Global Environment Facility's (GEF) Sustainable Cities Initiative, and a number of others, which were under exploration at the time of the MTE. The Project had synergies in the countries, but the project could have been more proactive and visible, e.g., establishing those with the UN agencies, especially to link with SDG and NDC processes.

Efficiency

The project effectively started with a delay. Plus, it took time getting the cities on board in the new countries. Despite these, the Project is mostly on track in achieving its targets, but with certain delays, e.g., with GHG-Is and CRVAs. The project has displayed good adaptive management such as in the case of Brazil, which demonstrated the importance of engaging actively with subnational/provincial governments and with a wide spectrum of stakeholders, driving the agenda in a challenging political environment). Overall, UN-Habitat and ICLEI worked well together, however, with certain lack of clarity regarding the roles where only one partners was present. A number of municipalities commented on the perceived "distant" style of the project, with a desire of more in-person interaction with management and advisors, likely linked to: (a) Limited budget for travel, (b) Overstretched staff, and (c) Some degree of misperception of the commitments by each party. The deliverables were of good quality, as evidenced by the many references globally. The Project was overall on budget, but underspending in some countries, and – perceived to provide value for money. The project was visible at the global level, but less so in the countries, outside the PAGs. EU visibility could be stronger.

Partnerships

The project is overall successful in forging partnerships, both globally and locally, but it could do better especially in terms of connecting with the potential funders for climate action such as private sector, banks, funds, and with the EU Delegations in the countries.

EU value added

While the Project is overall coherent with the EU strategy and projects in the countries, the opportunities for synergies have been utilized to limited extent e.g., working well with Sustainable Energy for All (SE4All)). The Project could have added benefits compared to Member States' interventions only, with potential for synergies with EU initiatives such as: (a) *Global Climate Change Alliance Plus (GCCA+),* which supports dialogue in and implementation of climate change policies, *inter alia* in Rwanda, Lao, and Bangladesh and, (b) the *LOCAL (Local Climate Adaptive Living Facility (I and II)"* that is implemented, *inter alia*, in Bangladesh and Lao PDR.

Sustainability

The important building blocks for sustainability are mostly present with overall strong national ownership, capacities being built, municipalities adopting tools for their GHG-Is, CRVAs and CAPs, pilot projects being part of local development plans and important partnerships being forged. The prospects for sustainability, however, could be made more likely, if training were put on a sustainable footing with channeling these through national institutions, e.g., Associations of municipalities with Training of Trainers (ToT). Equally important is ensuring that the GHG-Is are in tune with the systems that the national governments use. Helping the municipalities with funding for climate action and links with NDC and SDG processes would also boost sustainability prospects.

Conclusions

The Project is making good progress towards its intended results. It is contributing to increased government cooperation on urban climate action (UNFCCC, GCoM, CDP, etc.) at various levels. Integration of city-level climate action into NDCs was being facilitated with the harmonized MRV approach. Having a large number of committed to climate action cities was already an achievement. It will take time for the triggered process level changes to transform into performance improvements, but already, in Indonesia and India, the cities were viewed as changemakers. The potential of impact was larger where the needs were larger (e.g. in the Lao PDR) but the support needs to be very targeted. The capacities of stakeholders in all countries to implement climate action has increased, but at different speed, calling for institutionalization of training. To facilitate the implementation of LEDS/CAPs, a broader approach to pursuing increased financing was needed.

Main lessons learned

1. Successful cooperation with city administrations, coupled with good visibility, could potentially unlock funding and cooperation with these cities by other partners;

2. Flexible approach, strong adaptive management and working with a large spectrum of stakeholders could help with advancing the LED agenda in the challenging environments;

3. Adding adaptation to mitigation measures, has increased the relevance of the Project;

4. Ambition should be commensurate with the budget, and not to spread the resources too thin;

5. Systemic challenges, like financing for climate action, call for comprehensive approaches;

6. Links with NDC and SDG processes were effective, calling for analysis and replication;

7. Sustainable results call for specific measures, e.g. embedding the training in local institutions.

Recommendations

	N	Recommendations
Corrective actions	1	Enlarge the scope of the component supporting the municipalities with funding for climate action, covering inter alia, enhanced national government support, V-NAMAs, working with ESCOs, etc.
	2	Support the cities more with (pre)feasibility studies, and packaging bankable proposals. Potentially engage with specialized institutions.
	3	Include the representatives of the national governments in networking events.
	4	Boost the sustainability prospects of the capacity building, by engaging more systematically with institutions which provide (re)training of municipality staff, e.g. national associations of local governments.
	5	Find ways to support the satellite cities more, e.g. through facilitated model -satellite city learning. For this too, work closely with the Associations of municipalities, in a structured way.
	6	Institute clear criteria for the selection of the pilots. Potential for scaling up should ideally be part of this together with the learning potential with the link to the CRVAs.
	7	Institute a clear follow-up mechanism for EU study tours, including potentially a number of visits.
	8	Increase the visibility of the Project in countries and globally e.g. by regular updates on the progress.
	9	Engage with (a) the EU GCCC+ (and its LOCAL) and other EU projects and (b) the EU delegations.
Strategic recommendations	10	Expand the cooperation with the Government departments in charge of DRM, biodiversity, wastewater and waste management, and international (including the EU – as envisioned) partners working in these areas.
	11	Cooperate more with universities, particularly those with relevant expertise that are located in the model and satellite cities, e.g. engaging their graduate students as on-site consultants.
	12	Enlarge the list of countries to learn from using cost effective mechanisms, like inviting speakers.
	13	Review and revise the list of indicators, so that they capture the Project contribution and are not ambiguous.

Solar PV at Aji Water treatment plant, Rajkot, India © UN-Habitat
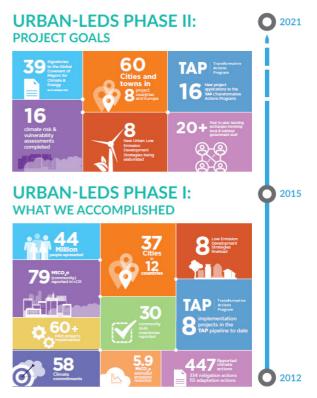
1. INTRODUCTION

The Urban-LEDS project Phase II on "*Accelerating climate action through the promotion of urban low emission development strategies" (*the *Project,* hereafter*)* aims to contribute to the reduction of greenhouse gas emissions (GHG) and enhancing climate change resilience by the promotion of Urban Low Emissions Development Strategies (Urban LEDS) in cities/towns in emerging economies and Least Developed Countries (LDC). It builds on the Urban-LEDS project Phase I ("*Promoting Low Emission Urban Development Strategies in Emerging Economy Countries*" 2012-2015) and is implemented in countries continued from Phase I *(Brazil, India, Indonesia and South Africa)* as well as in additional countries in Phase II (*Bangladesh, Colombia, Lao PDR* and *Rwanda*). Figure 1 summarizes accomplishments of Phase I and goals of Phase II.

The European Union (EU) is the donor of this Project through the European Commission (EC)'s Directorate General for Development Cooperation Commission (DG DEVCO), Unit C6 – Sustainable Energy and Climate Change. Total funding amounts to Euro 8 Million over a four-year period extending from 1 April 2017 to 31 March 2021. The Project is implemented by UN-Habitat's Climate Change Planning Unit (CCPU) of the Urban Planning and Design Branch in close collaboration with implementing partner *Local Government for Sustainability* (ICLEI), a global network of more than 1,750 local and regional governments committed to sustainable urban development.

This mid-term evaluation (MTE) of the Project serves both accountability and learning objectives, intending to: (i) provide evidence on whether the project is on track towards achieving its intended results and objectives; and (ii) enhance learning, identify constraints and challenges which may need corrective measures and improvement.

Figure 1: Urban-LEDS: Phase I Accomplishments and Phase II Goals

Source: Project brochure

The outline of the evaluation report is as follows: Chapter 2 describes the project and the objectives and scope of the evaluation; Chapter 3 describes the methodology of the evaluation; Chapter 4 proceeds with Findings; Chapter 5 summarizes Conclusions; Chapter 6 spells out Lessons Learned and Chapter 7 concludes with Recommendations.

2. OVERVIEW OF THE PROJECT AND THE OBJECTIVES AND SCOPE OF THE EVALUATION

2.1 Background

Specific objectives of Urban-LEDS Phase II are:

1. Enhance vertical and horizontal integration of climate action in support of National and Local strategies and policies;

2. Consolidate Urban-LEDS achievements in cities in existing (Phase I) countries;

3. Support and guide selected local governments in developing and approving urban LEDS in four new countries resulting in measurable GHG emission reductions and adaptation co-benefits, using the proven approach, methods, guidance, platforms and tools, including the Green Climate Cities (GCC) process methodology (see Figure 2), transferring those, where necessary to the developing country context, capitalising on the partners from Phase I as role models and peers for the new cities, with the vision that in developing countries this mitigation approach needs embedding into the wider planning and Sustainable Development Goals (SDGs)-related processes and resilience; and

4. Promote international, regional, national, sub-national and local government cooperation on urban climate action, leading to an increase in urban stakeholders' capacity to implement climate change.

The activities are at global, regional and country levels:

a. At the ***city level,*** the project planned to support two or three 'Model' Cities per country, providing in-depth guidance and supporting the development and adoption of Urban LEDS and concrete climate action plans. Table 1 provides an overview of countries and municipalities in Phase II). Activities were to include among others (i) engaging stakeholders; (ii) gauging current GHG emissions, current energy security and energy related vulnerability; (iii) setting emission reduction targets; (iv) developing coherent multi-sectoral strategies to achieve GHG emissions reductions; (v) climate change adaptation activities

Table 1: Countries and Municipalities in Urban-LEDS Phase II

Country	Model cities	Satellite cities
Brazil	Fortaleza Recife	Belo Horizonte Betim Curitiba Porto Alegre Rio de Janeiro Sorocaba
India	Nagpur Rajkot Thane	Coimbatore Gwalior Panaji Pimpri-Chinchwad Shimla
Indonesia	Balikpapan Bogor City	Bontang Kabupaten Bogor Tanggerang Selatan Tarakan
Bangladesh	Narayanganj Rajshahi	Singra Sirajganj Faridpur Mongla
Colombia	Metropolitan Area of Aburrá Valley (AMVA) -Envigado Manizales	Cartago Ibague Valledupar Santiago de Cali Tópaga
Rwanda	District of Muhanga District of Rubavu Kigali	Nyagatare District of Musanze Rusizi Huye
South Africa	KwaDukuza Steve Tshwete	Mogale City Nelson Mandela Bay Overberg District Municipality Saldanha Bay Sol Plaatje uMhlathuze
Laos	Pakse Kaysone Phomvihane	Outhoumphone Songkhone Sanasomboun Bachiangchaleunsouk

Source: LEDS website

and (vi) identifying climate investment priorities in a context of integrated climate action with a harmonised approach. A total of 4-6 'Satellite' Cities per country were to benefit from guidance and capacity development opportunities provided and via peer exchange with the Model Cities. Twelve EU cities, an increase from the initial seven to encourage North-South exchange, were to serve as resources to the cities in the emerging economies;

b. At the **national level** the Project planned to support (a) enhanced vertical integration between different levels of government – from communication to coordination – to achieve national as well as local targets and objectives.; and (b) possible synergies with national climate change projects, identifying, *inter alia,* national funding sources for climate change action; and

c. At the **global level** the Project aimed to improve the systems that support measuring, reporting and verification (MRV) of climate action at all levels of government and integrate those into to national systems under the United Nations Framework Convention for Climate Change (UNFCCC), while advocating to integrate local governments into climate frameworks.

Figure 2: GreenClimateCities (GCC) process methodology

Source: https://iclei.org/en/GreenClimateCities.html

The intended results (IR) from the Description of the Action (the *Project document,* hereafter), linked to these objectives, are:

I.   City-level climate action is integrated into the Nationally Determined Contributions (NDCs) or equivalent document of the participating countries with the development and application of a harmonised MRV approach in the participating project countries; and

II. Enhanced capacities in the four new countries to engage in local climate action;

III. Increased capacities of urban stakeholders in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action;

IV. Adopted or further enhanced/completed Urban LEDS in new and existing Model Cities based on following the GCC process guidance; and

V.   Enhanced pre-2020 urban climate change mitigation is promoted in UNFCCC process and in other interested cities through the Global Covenant of Mayors for Climate & Energy (GCoM) and similar regional and global networks.

ICLEI and UN-Habitat were expected to coordinate, reinforcing their approaches. UN-Habitat is in charge of negotiating the vertical integration with national governments. ICLEI is a partner for data collection as well as providing solutions, capacity building, tools and methodological approaches to the benefit of local authorities. Table 2 shows the organisational set-up and responsibilities).

Table 2: Organisational Set-up and Responsibilities

Level	Organization		Responsibilities
Global	UN-Habitat HQ: Climate Change Planning Unit (lead) Urban Energy Unit Urban Mobility Unit	ICLEI WS: LED Team (lead) Climate Advocacy Team Ecomobility Team Smart Cities Team Knowledge Management Team	Global Steering, quality control, technical lead backstopping and M&E ICLEI global strategy and generic guidance, platforms and tools
Regional	Regional Office for Asia-Pacific Regional Office for Latin America Regional Office for Africa	ICLEI Africa ICLEI South America ICLEI South Asia ICLEI Southeast Asia ICLEI Europe	Link with regional platforms and initiatives ICLEI technical delivery
National	Country Office Rwanda Country Office Bangladesh Country Office Colombia Country Office Laos	ICLEI WS and Regional Offices engage (as above)	National counterpart Vertical integration Link with SDG and NDC processe Liaise with and include EC delegations in National Project Advisory Committees.

Source: Project Document

The Project management and implementation are through ICLEI World Secretariat (ICLEI WS) and UN-Habitat's Climate Change Planning Unit (CCPU). Project progress is monitored by the Project Management Group (ICLEI and UN-Habitat) and quarterly presented to the Project Steering Group (PSG), formed by the project implementing partners UN-Habitat and ICLEI as well as the EC, meeting periodically to decide on strategic matters. The implementing partners were to establish an internal, technical and financial monitoring system for the action and elaborate regular progress reports. Funds are managed by UN-Habitat, as the implementer, in close collaboration with ICLEI, with 80 percent of project funds being transferred to ICLEI.

2.2 Progress to date

The focus was on the approaches of: (a) scaling up activities in the 4 original countries, and (b) tackling climate change in the 4 new target countries. So far, 56 cities (the goal is to have 60+) from the new countries were on board and involved, but not all, in particular from Lao PDR, had signed formal agreements at the time of the MTE. Several new EU cities have joined: Riga (Latvia); Alba Iulia (Romania); Madrid (Spain); Aalborg (Denmark); Budapest (Hungary); Bratislava (Slovakia), and Cork (Ireland). Project Advisory Groups (PAGs) were formulated in all the countries except Bangladesh, which experienced problems with the formal approval of the Project, but with some activities underway.

Multilevel governance for climate action

All country profiles and short analytic reports were ready or being finalized, describing governance arrangements for climate action and opportunities for improvement. Talanoa Dialogues held in 5 countries (Bangladesh, Colombia, India, Indonesia, and South Africa) in 2018 explored the opportunities to improve the governance arrangements to deliver national climate and development goals. Globally, the Project contributed to knowledge products and had input into the United Nations Framework Convention for Climate Change (UNFCCC) process.

Supporting Cities in developing (and approving) urban LEDS in four countries (Lao PDR, Bangladesh, Rwanda and Colombia) and in consolidating Urban-LEDS' achievements in existing (Phase I) cities (Brazil, South Africa, India, and Indonesia).

The Common Reporting Framework (CRF) for climate action for local and regional governments was developed by the Global Covenant of Mayors for Climate & Energy (GCoM) with inputs from ICLEI and other partners. This was used by the Urban-LEDS II project cities for voluntary reporting on their commitments to the GCoM and for the GCC programme.

An update on the GCC – an integrated climate change methodology "GCC 2.0" now including climate change adaptation and resilience, was officially launched at the Resilient Cities 2019 congress on 28 June 2019 with ICLEI staff trained as trainers. At the time of the MTE the project was working on the alignment of the GCC with the UN-Habitat Guiding Principles for Climate Action Planning, being updated (expected completed in September 2020). To enable vertically integrated reporting, a generic MRV approach was being developed to be offered to project countries upon approval by national governments in year 3, but with discussions underway already[3]. The staff of the city administrations were being trained in and supported with (a) developing /updating GHG-Is, (b) Climate Risk and Vulnerability Assessment (CRVA); and (c) LEDS, being updated for Phase I, and planned for Phase II countries. The list of small infrastructure pilot projects was (being) finalized. The cities were supported in pitching investment proposals to funding agencies through the Transformative Actions Program (TAP), managed by ICLEI, and other platforms, as well as locally.

Promoting international, regional, national, sub-national and local government cooperation on urban climate action.

Capacity building, learning, peer-to-peer (P2P) exchange and networking events were organized,

2.3 Mandate, objectives and scope of the evaluation

The MTE of the Project was mandated by both the donor and UN-Habitat Management. It is in line with the UN-Habitat (2013)[4] and the EU[5]/EC[6] evaluation policies, focusing on the quality and the results of actions[7] and on the evidence of why, whether or how these results are linked to the intervention.

The MTE is formative, focusing on the project processes, to answer the following overarching evaluation questions: To what extent is the project achieving its outputs and expected accomplishments? To what extent is coherence, partnership, collaboration and coordination at global, regional and national levels achieved and effective? What are critical gaps in respect to delivery of the project? What are recommendations for improvement? The objectives of the MTE were to:

- Assess the relevance, efficiency, effectiveness (by progress towards the achievement of outputs and expected accomplishment), sustainability and impact of the Project in integrating climate action in regional, national and local strategies and policies;

- Assess the adequacy of planning, resources, working arrangements as well as the coherence and appropriateness of partnerships and coordination modalities of the Project;

- Assess how cross-cutting issues such as environmental sustainability, gender equality, youth and human rights have been integrated in the Project; and

- Identify lessons learned and recommend forward-looking strategic, programmatic and management considerations to improve performance of the Project.

The evaluation criteria of Relevance, Effectiveness, Efficiency, Sustainability, Integration of cross-cutting issues, Partnerships, Coherence and EU Value Added are explained in Table 3.

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3   ICLEI WS was exploring the utility of the ClimateResilientCities guidance and tools – a package developed by ICLEI SAS outside of the Urban-LEDS - to identify components that could be integrated as part of the GCC.

4   UN-Habitat Evaluation Manual (2018)

5   COM (2013) 686 final "Strengthening the foundations of Smart Regulation – improving evaluation" - http://ec.europa.eu/smart-regulation/docs/com_2013_686_en.pdf; EU Financial regulation (art 27); Regulation (EC) No 1905/200; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008

6   SEC (2007)213 "Responding to Strategic Needs: Reinforcing the use of evaluation", http://ec.europa.eu/smart-regulation/evaluation/docs/eval_comm_sec_2007_213_en.pdf; SWD (2015)"Better Regulation Guidelines", http://ec.europa.eu/smart-regulation/guidelines/docs/swd_br_guidelines_en.pdf

7   COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change" - http://www.europarl.europa.eu/meetdocs/2009_2014/documents/acp/dv/communication_/communication_en.pdf

Table 3: Evaluation Criteria

Evaluation Criteria	Explanation
Relevance	The correspondence of the Project to the goals and objectives of various stakeholders was analyzed. Also, the report reflects on the relevance of the Project to the respective mandates of UN-Habitat, ICLEI and the EU. The relevance of the Project design is an important sub-criterion, looking into the design elements, i.e. the extent to which activities are complementary to each other and, as a whole, enabling the achievements of the intended results or if there are gaps. And finally, the report assesses how the Project has used the lessons learned and recommendations from the evaluation of the Urban-LEDS phase I.
Effectiveness	The achievements were evaluated against the targets to assess the level of progress but complemented by the assessment of the factors facilitating or hindering achievements of the results and whether the achievements were of desired quality. The assessment also sheds light on the main areas in need of focus to help address the gaps hindering the achievement of the planned results. The level of achievement of each of the EAs of the project were assessed as "on track", "mostly/ partly on track", "mostly delayed".
Efficiency	The MTE reflects on the delays and budget spending as well as the views of various stakeholders on the quality of management and value for money (VfM). The report assesses also the extent to which the coordination of the Project partners has been efficient, and to what extent has Urban-LEDS phase II coordinated with other EU and non-EU climate initiatives to create synergies and avoid duplication.
Sustainability	The report reflects on the likelihood of – and hence the risks to – sustainability reflecting on various aspects of sustainability: technical; financial, programmatic, and human resources.
Coherence	The extent of coherence of this Project with other global action on climate change (additionality, lack of duplication and synergies).
Partnerships	The report assesses the extent to which management structures have been efficient in developing partnerships, also with other relevant projects. Feedback was sought to understand what needs to improve. The report also assesses the extent to which the project supported the promotion of urban climate change mitigation and adaptation in regional and global processes and networks.
Cross-cutting issues	The report covers an assessment if how the cross-cutting issues were addressed by the Project, i.e. the extent to which the cross-cutting issues of gender equality, human rights and youth consideration have been integrated into the project design and implementation. Interviews and the survey will allow answering the question on outstanding examples of how these cross-cutting issues have been successfully applied in the project
EU value added	The report assesses EU added value as the extent to which the Project adds benefits to what would have resulted from Member States' interventions only, and the coherence of the Project with the EU strategy and projects in the different targeted countries, with other EU policies and Member State Actions, and other donors when relevant.

Evaluation criteria were rated using a five-point rating scale ranging from "highly unsatisfactory" to "highly satisfactory".[8] The evaluation covers the period of 1 April 2017 to the end of June 2019. Key audiences of the evaluation are: UN-Habitat, EC (DEVCO) and EU Delegations to the Project countries, the PMG, management of ICLEI offices involved in the project, targeted local, subnational and national governments, and civil society organizations (CSOs) where the project is implemented.

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8   Rating scale: Highly satisfactory (several significant positive factors with no defaults or weaknesses), satisfactory (positive factors with minor defaults or weaknesses), partially satisfactory (moderate to notable defaults or weaknesses), unsatisfactory (negative factors with major defaults or weakness), highly unsatisfactory (negative factors with severe defaults or weaknesses).
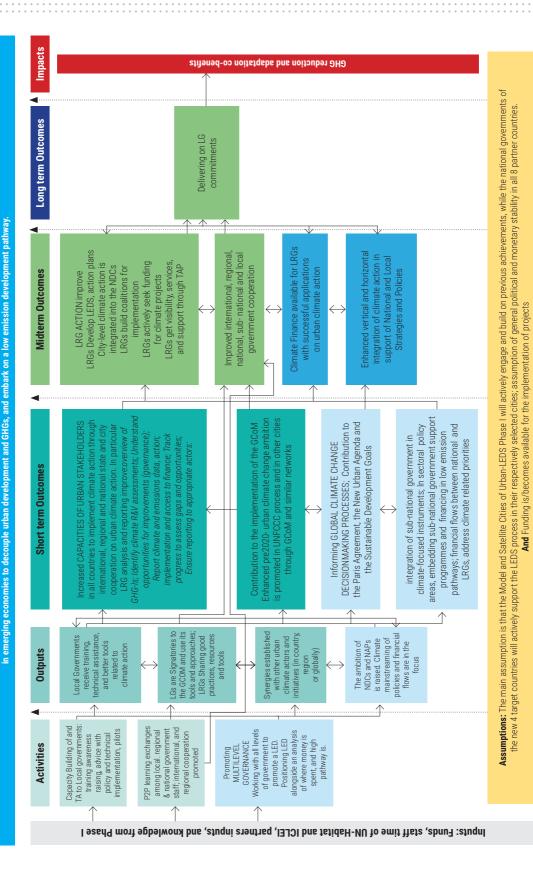
3. EVALUATION APPROACH, METHODOLOGY AND MANAGEMENT

The evaluation was conducted in a participatory and consultative manner with partners and stakeholders and in a transparent and impartial way, in line with the Norms and Standards of evaluations in the EU and the UN system and the UN-Habitat Evaluation Policy. The Theory of Change (TOC) was reconstructed for this report and shown in Figure 3 and explained in Box 1. The TOC helped to elaborate the evaluation tools for this MTE, demonstrating also how the Project was to achieve its objectives by describing its causal logic. The evaluation employs a mix of approaches and methods.

The evaluation questions in the Terms of Reference served as a basis for developing the questionnaires for the surveys and the interview guide. *Triangulation* was the main methodology used, bringing together information gathered from different sources. In addition, *contribution analysis* was used when attribution of the observed outcomes to the project is not possible). Also, the *Context Input Process Product (CIPP)* approach was used to assess project implementation structures, procedures, collaboration, coordination, partnerships and targeted beneficiary needs.

Electric motorbike taxis in Laos PDR. © UN-Habitat

Figure 3: Reconstructed Results Chain and TOC

Rationale To address the growing source of emissions in the cities and avoid the lock-in effects of emission pathways to help cities in emerging economies to decouple urban development and GHGs, and embark on a low emission development pathway.

Inputs: Funds, staff time of UN-Habitat and ICLEI, partners inputs, and knowledge from Phase I

Activities

Capacity Building of and TA to Local governments: training awareness raising, advice with policy and technical implementation, pilots

P2P learning exchanges among local, regional & national government staff; international, and regional cooperation promoted

Promoting MULTILEVEL GOVERNANCE Working with all levels of government to promote a LED. Positioning LED alongside an analysis of where money is spent, and high pathway is.

Outputs

Local Governments receive training, technical assistance, and better tools related to climate action

LGs are Signatories to the GCOM and use its tools and approaches; LRGs Sharing good practices, resources and tools

Synergies established with other urban climate actors and initiatives (in country, region or globally)

The ambition of NDCs and NAPs is raised. Climate mainstreaming of policies and financial flows are in the focus

Short term Outcomes

Increased CAPACITIES OF URBAN STAKEHOLDERS in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action. In particular LRG analysis and reporting improve *overview of GHG-ls; Identify climate R&V assessments; Understand opportunites for improvements (governance); Report climate and emissions data, action; implementation and access to finance, Track progress to assess gaps and opportunities; Ensure reporting to appropriate actors.*

Contribution to the implementation of the GCoM Enhanced pre2020- urban climate change ambition is promoted in UNFCCC process and in other cities through GCoM and similar networks

Informing GLOBAL CLIMATE CHANGE DECISIONMAKING PROCESSES; Contribution to the Paris Agreement, the New Urban Agenda and the Sustainable Development Goals

integration of sub-national government in climate-focused instruments; In sectoral policy areas, embedding sub-national government support programmes and financing in low emission pathways; financial flows between national and LRGs, address climate related priorities

Midterm Outcomes

LRG ACTION improve LRGs Develop LEDS, action plans City-level climate action is integrated into the NDCs LRGs build coalitions for implementation LRGs actively seek funding for climate projects LRGs get visibility, services, and support through TAP

Improved international, regional, national, sub-national and local government cooperation

Climate Finance available for LRGs with successful applications on urban climate action

Enhanced vertical and horizontal integration of climate action in support of National and Local Strategies and Policies

Long term Outcomes

Delivering on LG commitments

Impacts

GHG reduction and adaptation co-benefits

Assumptions: The main assumption is that the Model and Satellite Cities of Urban-LEDS Phase I will actively engage and build on previous achievements, while the national governments of the new 4 target countries will actively support the LEDS process in their respectively selected cities; assumption of general political and monetary stability in all 8 partner countries.
And Funding is/becomes available for the implementation of projects

Box 1: Reconstructed Theory of change

Main Hypothesis: If the Model and Satellite Cities of Urban-LEDS Phase I actively engage and build on previous achievements, while the national governments of the new 4 target countries actively support the LEDS process in their respectively selected cities , and if the general political and monetary stability is present in all 8 partner countries, then the project will be successful in achieving its objectives, namely consolidation of already adopted LEDS in the phase I model cities, adoption of the new LEDS in the new model cities, improved multilevel governance in the target countries, and enhances international, regional and national cooperation, and taken together this will lead to GHG reduction in the target countries

Drivers: The key policy/contextual impulses that underline the rationale presented in the program logic include the growing recognition of the climate change impacts on urban settlements and the ever growing contribution of the latter to GHG emission, as well as building up of the momentum in the recognition of the severity of the situation and the importance of immediate action. The main institutional actors are: national and local governments, international organizations/unions of local governments, UN-Habitat, ICLEI and EU.

Pathways: The Project aimed to contribute to the delivery of GHG reductions by accelerating the development of Urban LEDS, the adoption of GHG reduction targets and the implementation of corresponding action plans, with adaptation co-benefits, and so enhance in-country coordination and cooperation across different levels of government, building on international support for knowledge and experience sharing, and advocacy to help raise the ambition of local, (sub)national and global climate mitigation efforts.

Enablers

- Buy-in by the Governments at various levels;
- Good understanding at the national level of the importance promote climate action through sectoral policies and funding;
- Synergies and cooperation with similar initiatives;
- Commitments of the EU cities to share experience;
- Commitment of the EU to promote GHG reduction in urban settlements; and
- ICLEI experience and network, built up through years of engagement.

Inhibitors

Lack of knowledge and capacity at the local level on climate change action, e.g. on existing national level commitments;

- Climate change not mainstreamed in sectoral policies with rigid financial systems resulting in the lack of enabling environment and lack of incentive to promote energy efficiency; and
- Lack of financial resources by the local governments to fund the projects they develop from own source revenues and lack of funding allocations for that purpose from the national and regional budgets.

Boundary partners: Political representatives, local and national government staff, as well as the wider urban expert communities working on climate change and in relevant sectors such as urban development, energy and transport, civil society, the private sector and academia. Cities and national governments of other countries of the same regions are secondary targeted stakeholder groups invited to attend, take part in or contribute to workshops and activities, especially to enable building synergies and cooperate with other EC-funded cities and climate change initiatives like the GCoM, and other relevant initiatives.

Table 4: Evaluation Sample

		Number approached	Unique respondents	Surveyed	Interviewed	Overlap
1	National and district Governments	8	5	5	2	3
2	City municipalities in global South	56	36	34	12	11
2.1	*Model city Municipalities in global South*	*17*		*15*	*10*	*10*
2.2.	*Satellite city municipalities*	*39*		*19*	*2*	*1*
3	EU city municipalities	12	6	5	3	2
4	International Partners: GCoM, EIB, bettervest, etc.		4	3	1	0
5	EU (Commission and Delegations)		4	1	3	0
6	UN-Habitat		5	2	5	3
7	ICLEI		15	10	9	4
8	Local partners: Academia, CSOs, private sector		8	1	7	0
	TOTAL		**83**	**61**	**41**	**23**

Sources of information and evidence included:

- **Review of relevant documents** in pursuit of specific data points or facts, including *(a) project related documents* and *(b) third party reports.* In particular, (a) targets and achievements at midterm were compared[9] along with (b) planned activities compared to the progress at midterm to identify the areas were the project is lagging behind;

- **Surveys** (with 61 responses received overall) of the *(a) city municipalities and national governments* – 39 responses; and *(b) other stakeholders* – 22 responses (see the questionnaires in Annex 3*)*. A rating scale 1-5 was used with "5" as the best performance*. 41 Key informant Interviews (KII)* (in person and remotely). An interview protocol with the evaluation questions (see Annex 3) was used, probing into nuances; Table 4 presents the typology of the stakeholders involved and the number reached for. In total, 83 unique respondents were either interviewed or surveyed or both – a representative sample of the stakeholders.

- **Field visits were conducted to South Africa and Rwanda, 7-12 October 2019.** In both countries national and local government representatives were interviewed: interviewing several officials from the governments and municipalities, allowed to understand better how LEDS fit with other strategies locally. NPAG meetings were attended. A model project was visited in Rwanda; and

- **A visit to join a global project event in June 2019,** at which many local authority beneficiaries and project staff were present provided an opportunity to get an insight of the project.

The evaluation was undertaken under resource constraints and shifting deadlines: the original plan was overly optimistic timewise. In several countries (Indonesia, Lao PDR, and Brazil) the local stakeholders were not fluent in English and this caused certain inefficiencies in surveying/interviewing them. Evaluating Value for Money (VfM) comprehensively requires significant resources, which were not available for this MTE. This evaluation was done in a light-touch manner by mostly soliciting perceptions of the stakeholders.

The Independent Evaluation Unit (IEU) of UN-Habitat managed the evaluation process. The CPPU and ICLEI supported the evaluation by providing information and documentation required as well as providing contacts of stakeholders to engage. ICLEI supported the evaluation also by arranging the interviews, and in-person visits (South Africa and Rwanda), facilitating communication between the Evaluator and the project cities. The Evaluation Resource Group (ERG), established as a consultative arrangement and having representatives of EU, UN-Habitat, and ICLEI, oversaw the evaluation process.

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9   See the progress table *https://docs.google.com/spreadsheets/d/1qpIkKftsLh5unexNOik3fyB1TYf4ThWVKry3oIGoR2A/edit#gid=253162019*

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4. MAIN FINDINGS

4.1 RELEVANCE

The project is relevant to the needs and constraints of the targeted countries, regions and sectors. An estimated 71 to 76 percent of global carbon dioxide emissions from final energy use, based on the estimates of the Intergovernmental Panel on Climate Change (IPCC), is attributable to activities in cities. The countries under Urban-LEDS II mostly have higher than average urbanization rates[10], linked to a growth of vulnerable[11] urban communitie[12]s with low readiness levels.[13] LDCs are hit the hardest by soaring costs of climate-related disasters[14].The IPCC 2018 special report emphasized the need for all actors – state, sub-national, and non-state – to strengthen climate action, acting in cooperation, to enable halving emissions by 2030 in order to meet the 1.5°C goal. All of these underpin the high relevance of the Project.

The project is relevant to beneficiaries in targeted countries. The surveyed/interviewed municipalities were unanimous that the Project is very relevant for them thematically and rated as "highly satisfactory" given the factors mentioned. The Project's contribution to decreasing the capacity gap among them, helping to consolidate data related to climate change response, the potential contribution to achieving the NDC targets, as well as the exposure to best practices were seen as important aspects (see Quote 1).

The Project is consistent with EU and UN-Habitat strategies. UN-Habitat promotes transformative change in cities and human settlements through knowledge, policy advice, technical assistance and collaborative action to leave no one and no place behind. It is the focal point on sustainable urbanization in the UN system and plays an important role in implementing the New Urban Agenda.[15]

> **Quote 1 .... It´s highly relevant since it allows this city to keep up with the state of art of policies to deal with climate change mitigation and adaptation through time, allowing for setting up of action and projects with support and a possibility of searching financing to implement them. Otherwise, it would take us much more time to develop our own plans and projects without the reference to best practices and with restricted access to funding…**

A representative of a municipality

UN-Habitat's Cities and Climate Change Initiative (CCCI) is the umbrella initiative for much of its climate activities, of which Urban-LEDS is one.[16] Preventing climate change is a key priority also for the EU – in line with global Climate change framework. The EU is part of the new global climate agreement (2015) to be implemented from 2020 and has committed to the second phase of the Kyoto Protocol 2013- 2020. EU provides substantial funding to tackle climate change,[17] aligning EU external action to the UN 2030 Agenda for Sustainable Development, with, e.g. the New Consensus of development (2017).

Overall, the Project design is sound, but in a few respects could have been stronger. The relevance of the Project design was rated "satisfactory", with one interviewee summarizing the common view of the project having a **"… a logical flow…"** (see also Quote 2).

> **Quote 2 ….The Project first analyzes sectoral baseline. Pilot projects for critical sectors not only help city to understand practical issues during implementation but also to replicate such projects at city level. Detailed Climate Action Plan also helps city to identify priorities based on technical, financial, environmental, social and political scenarios…**

A representative of a municipality

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10   CIA factbook

11   Secretariat of the Pacific Community. 4 November 2013 Environmental Vulnerability Index

12   *https://www.ipcc.ch/site/assets/uploads/2018/02/WGIIAR5-Chap8_FINAL.pdf*

13   see *https://gain.nd.edu/our-work/country-index/*

14   *https://unfccc.int/news/low-income-countries-hit-hardest-by-soaring-costs-of-climate-related-disasters*

15   *https://new.unhabitat.org/topic/climate-change*

16   The Urban-LEDS project has also been featured in the CCCI newsletter in April 2018.

17   *https://ec.europa.eu/clima/citizens/eu_en*

Urban-LEDS Project Advisory Group South Africa kick off meeting. © UN-Habitat

The relevant design features mentioned included:

a.   **Flexible approach** in the face of heterogeneous contexts (in terms of the stance of the government towards climate change, funding opportunities, level of (de)centralization, economic development, enabling environment, level of existing capacity in terms of climate action, etc*.)*;

b.   **Strong emphasis on exposure to best practices;**

c.   **Transferring methodologies and tools to LDCs using the countries from Phase I** (in particular Indonesia-Lao PDR, Brazil-Colombia, India-Bangladesh and South Africa-Rwanda pairings); and;

d.   **Embedding mitigation into the wider planning process, connecting to resilience.** However, the budget is small compared to the level of ambition. Lessons from the Urban-LEDS Phase I[18]

were mostly considered in the design of Phase II, but certain issues persist, and these and other issues with relevance are discussed in respective sections.

4.2 EFFECTIVENESS

4.2.1 Achieving target results at output and Expected Accomplishment level

The achievement of Intended Results (IR)[19] so far are rated in Table 5. The overall assessment is that the Project is mostly on track achieving its expected results. This Chapter is organized along the main four objectives with objectives 2 and 3 combined, and the findings under Intended Results cover, *inter alia*, the extent of achievement of the outputs and expected outcomes.

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18   based on the final evaluation report of Urban LEDS phase I and KIIs conducted for this MTE

19   The list of the IRs is from the Project Document, but the order was altered to allow mapping against the project objectives

Table 5: Rating of the Intended Results

	Expected Accomplishment	Rating	Notes
1	City-level climate action is integrated into the NDC or equivalent document of the participating countries with the development and application of a harmonized MRV approach in the participating cities	On track	
2	Increased capacities of urban stakeholders in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action	On track	
3	Enhanced capacities in the four new countries to engage in local climate action	Mostly On track	3 delayed indicators
4	Adopted or further enhanced/completed Urban LEDS in new and existing Model Cities based on following the GCC process guidance	Mostly on track	2 delayed indicators
5	Increased capacities of urban stakeholders in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action	On track	

Objective 1: Enhance vertical and horizontal integration of climate action in support of National and Local strategies and policies.

Intended Result 1: City-level climate action was often integrated into the NDCs/ equivalent documents of the participating countries: the project's contribution was indirect mostly so far. The project has progressed towards the development and application of a harmonized MRV approach in the participating cities

Phase II benefited from added component on multilevel governance.

After Phase I, it was recognized that promoting improved cooperation and coordination vertically (multi-level governance) in the countries among all the different levels of the governments is essential for climate action planning and implementation at city and national level as it helps bring different actors to agree on plans, policies, strategies to address challenges, reduce GHG emissions and build climate resilience. There are a few questions related to the design of this component: it is not clear, in particular, what is the notion of a "pilot" as a workshop or study, in the context of the multilevel governance, used in the Project Document.

The Project defined how to optimize communication, coordination and reporting, and also to use MRV for local climate action, with a view to accelerating it in-country, but these assessments and recommendations are not always endorsed by the national governments.

Country and City Profiles,[20] based on a common template, were developed for all eight project countries, as well as an EU region profile,[21] summarizing key information about the countries, institutional structures and contexts. The short analytic reports described current governance arrangements for climate action and identified opportunities for improvement. In particular, they helped define how to optimize communication, coordination and reporting, and also how to use MRV for accelerating climate action in-country. For example, in Lao PDR, the study identified well established systems of vertical coordination, but low awareness of the country's NDC and no system for MRV: recommendations were developed, including on guidelines on effective vertical integration for climate action, and activities were proposed. These reports are, however, not always endorsed by or developed jointly by the national governments, especially in the countries where there were no Talanoa dialogues which could have assured ownership. In Indonesia, for example, the final draft multi-level governance report, was updated based on the results from the Indonesian 2nd Cities and Regions Talanoa (04/2019), held in collaboration with the Indonesian Ministry of Environment and Forestry, the President's Special Envoy for Climate Change and the Association of Indonesian Municipalities (APEKSI). The Project is broadly on track of achieving the target "*Proposal for improvement of (up to eight) national MRV systems and/or use of international systems to reflect subnational action*": discussions were underway with national governments to deliver this in year 3 in Lao PDR, Indonesia and Rwanda.

20   *https://urban-leds.org/countries-cities/*

21   City Profiles for all Urban-LEDS II participating EU cities are expected in Q2/Year 3. in terms of on track indicators

Guiding MRV of local climate action by tracking local targets, GHG inventory progression, actions, impacts (including GHG reductions) and co-benefits has started. At the time of writing this report six out of eight Phase I cities had quantifiable local GHG reductions targets contributing to national GHG reduction targets and adaptation co-benefits. The Project was on track in terms of the indicators for expected outcomes, based on the results reported along the logframe: (a) KwaDukuza (South Africa), Balikpapan (Indonesia) and Fortaleza (Brazil) had new targets since March 2016;[22] and (b) adaptation co-benefits were reported in five out of eight Urban-LEDS Model Cities with a target for six out of 16 cities.[23]

While five national governments reported having included, to some extent, urban climate action and emission reductions in national reporting and communication in support of NDCs, including Indonesia, Colombia, Rwanda; Brazil and South Africa, the Project cannot claim contribution. The formulation of the indicator does not capture the contribution of the Project.[24] It is a different matter that in Indonesia, Brazil and South Africa and – likely, Rwanda and Colombia, the Project has contributed to better data and reporting which could inform NDC revisions. Also, in three countries (Rwanda, Colombia and Indonesia), the Project works well with the NDC Partnership (NDCP): its Climate Action Enhancement Package offers targeted, fast-track support to countries to enhance the quality, increase the ambition, and implement NDCs. The Project engages with NDCP to support multi-level governance and capacity building of the national governments with a view to mainstreaming NDC-related actions and targets at the local and regional levels. The links of the Project with the NDCP in Colombia are described in Box 2. In Rwanda, the Project had pledged support for the NDCP plan, and, in turn, NDCP in Rwanda considered supporting up to four municipalities of Urban-LEDS II in the training program on climate finance supported by the World Bank (WB).[25] The Project actively engages with the NDCP also in South Africa. The identification and promotion of good practice in NDCs is planned through a normative publication at the 25th Meeting of the Conference of Parties (COP-25) or COP-26. At the time of the MTE, while conceptually and through its activities the Project enhanced the

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Box 2: Links with the NDCP in Colombia

The NDC focal point in Colombia was appointed to support the implementation of Urban-LEDS II with the Ministry of Environment and Sustainable Development with the view to collaborate on knowledge products and tools, global events and major outreach opportunities (such as the climate COPs), and multi-level governance in the context of the NDCP country engagement. The key topics for collaboration included the alignment of cities' GHG-Is with the national ones, the harmonization of national and local policies, the reporting of progress to an inter-ministerial committee for climate change (SISCLIMA), and joint capacity-building.

Source: Project Year 3, Q1 Narrative Report (p.26) and KII

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countries' capacities to contribute to NDCs, this did not always translate into process-wise connection in terms of, for example, partnering with the relevant government departments in charge of the revision of NDCs.

There is slow progress for the indicator on "Municipal frameworks enhanced to support the LEDS implementation with framework conditions improved (e.g., bylaws, regulations, decrees, and policies) adopted or enhanced". Only KwaDukuza (South Africa) reported a result, having mainstreamed the Phase I LED strategy into the City Development Strategy, and the Integrated Development Plan).

There were promising examples of connections to in-country strategies and policies to enhance coherence and support framework conditions to accelerate both local and national climate action and sustainable development. The Project demonstrated the value of city-level action and multi-level approaches in support of national strategies, such as co-benefits for national and local sustainable development priorities, but predominantly with indirect links to SDG processes per se so far. In South Africa and Rwanda, the Project was working closely with the mandated authorities to support bringing in climate change considerations into state budgeting frameworks. In Rwanda, the Project was also discussing developing district and city-level Master Plans with LED elements with the Ministry of Local Governments.

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22 Rajkot City (India) also set new targets during Year 2, but it is supported the CapaCITIES project, funded by the Swiss Agency for Development Cooperation (SDC)]. A satellite city of Panaji (India), also set a target in July 2016 (but this indicator is only for model cities

23 Rajkot (India) and Coimbatore (India) reported these in their new action plans via the CapaCITIES project, funded by the SDC.

24 Indicator 1.1 National governments include urban climate action and emission reductions in National reporting and communication (in support of NDCs)

25 Interview with NDCP representative in Rwanda

With a broadened focus into climate action, the Project supported studies and strategies related to biodiversity (in Nagpur (India)), disaster risk management (DRM) (in Thane (India) and Bogor (Indonesia)), groundwater monitoring (Nagpur (India)), water sector (in Balikpapan (Indonesia)), sustainable transport (Rajshahi (Bangladesh)), and air quality monitoring (Bogor (Indonesia) and Narayanganj (Bangladesh)).

The Project could capitalize on these, engaging with the respective government agencies with additional links to the SDG processes. Overall, while the project is in sync with the SDG agenda, direct links to the in-country SDG processes have just begun in only two countries as of this MTE: Colombia and Brazil. In Colombia, UN-Habitat's engagement in advising on incorporation of SDG indicators as a monitoring strategy for the National Urban Policy, allowed the inclusion of future Urban-LEDS II pilot projects as initiatives that contribute to the Colombian climate change action.[26] As for Brazil, the Rio de Janeiro's Climate Action Plan was part of the Sustainable Development Plan, linking with SDGs. Though this cannot be attributed to the Project, lessons from feeding into the SDG process could be useful.

Closer engagement with UN agencies (United Nations Development Programme (UNDP), United Nations Capital Development Fund (UNCDF), United Nations Environment Programme (UNEP) and United Nations Industrial Development Organization (UNIDO)) could be useful to link with SDG processes.

> **Intended Result 2:** The capacities of urban stakeholders in all countries to implement climate action through international, regional and national state and city cooperation on urban climate action was enhanced with the help of the Project.

The cooperation with the national governments in support of vertical integration is strong overall, but with some challenges – for various reasons. Indonesia is the best-case example in terms of integrated MRV. The cases of Brazil and India demonstrate the benefits of the flexible approach by the Project in promoting vertically integrated MRV systems. In Colombia, Lao PDR and Rwanda there are issues with harmonization of

approaches, which are being addressed. The target for this output – *"the number of government representatives actively engaging in discussions"*- has been met, with the reported result of 156 (Q1, year 3). In Indonesia**-**the most advanced Project country in terms of elaborating an integrated MRV system at national level, GHG-Is are compiled by the city municipalities using the national GHG Inventory System SIGN-SMART.[27] In South Africa an event hosted in Steve Tshwete Municipality was part of engaging with the provincial and district government on integrated GHG reporting to inform the integrated MRV concept.

There are some issues in Colombia, Lao PDR and Rwanda. In Colombia there are two GHG-I formats being promoted – by the Project and by IDEAM, with the MRV system under development by the national government: at the time of the MTE the issue was on the agenda to resolve through the "Mesa de Ciudades y Cambio Climático" – a discussion platform led by the Ministry of Environment and Sustainable Development. In the Lao PDR, in the context of the MRV system development, the Project pursued the introduction of relevant tools (e.g. GCC, ICLEI/CDP unified reporting system, and the GPC) with the Ministry of Natural Resources and Environment, which was also drafting a Climate Change Decree, but the synergies with the Ministry of Energy and Mines, running a project on GHG emission reduction jointly with the Ministry of Planning and Investment and UNDP were yet to be bridged. In Rwanda, the Concept note on integrated MRV system was being discussed with the Environmental Management Authority, but in a number of municipalities (including Rubavu, a Project city) GGGI was promoting a different GHG -I format. The same was the case also in the Lao PDR, necessitating stronger advocacy by the Project with the Governments to adopt a GCoM-compliant format (see also Section 4.2.1.2).

> 🗨 **Quote 3. ...given the lack of mandates on local climate action in India, the project advocacy strives to create traction and establish linkages between national level directives and sub-national leadership..."**
>
> A municipality representative from India

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26   UN-Habitat Colombia was working with the Ministry of Housing and the National Planning Department to scale down to the local level housing policies on LED criteria for human settlements' upgrading- to incorporate LED in the National Development Plan.

27   ICLEI has introduced the GHG Protocol Standard for cities: Global Protocol for Community-Scale Greenhouse Gas Emission Inventories (GPC) and proposed to harmonize the SIGN-SMART (national GHG inventory tool) with the GPC in Indonesia.

In India, vertical integration on MRV is challenging given that there is no mandate for cities to set climate targets. The Project planned to explore possible avenues for pilot activities in the framework of the "*Climate Smart Cities Assessment Framework*" (CSCAF) rolled out by the national government to promote city-level climate action (see *Quote 3)*, being informed, in part, by the Urban-LEDS cities (Nagpur, Thane, Rajkot and Coimbatore), which were seen as changemakers, contributing to the momentum of discourse (supporting developing the indicators for the CSCAF and appraising cities along these).

The first draft of the *joint study on vertical integration* has been completed and was expected to become the basis for subsequent involvement. In Bangladesh, the national government's official involvement in the Project was still pending at the time of the MTE, holding back official kick-off of the exploration of vertical integration approaches, although the draft report was compiled. Options for vertical integration approaches at global level beyond GCoM, CDP-ICLEI unified reporting system were explored.

The case of Brazil demonstrates (particularly in a federal system) the importance of engaging actively at all levels of the government and with a wide spectrum of a large number of stakeholders driving the agenda in a challenging political environment. Given the stance of the national government on climate change,[28] the study on the current vertical integration and MRV system – expected by early 2020 – focused on the State of Pernambuco, with Recife (Urban-LEDS II model city) as its capital. It was planned that the Study will be coordinated with the newly created Technical Commission on Climate Change under the ABEMA – *Brazilian Association of State Entities of the Environment* and the *Climate Change Brazilian Forum* (*FBMC)*. In April 2019, under the auspices of the latter, the Governors from 11 states and the Federal District declared their commitment to Brazil's climate change goals.

The Project pursued the objective of horizontal integration – promotion of promising practices from Urban-LEDS cities to other cities in the countries-through conferences, meetings and presentations. Working closely with the national associations of local governments is also an important vehicle, not explicitly recognized by the Project as such and not widely explored throughout the project (with the exception of Indonesia and South Africa). Conferences were seen by the Project as vehicles for horizontal integration*,* by sharing experience, e.g., the *Brazilian Climate Change Conference* (October 2019) with the participation of the Environmental Secretaries of 6 Urban-LEDS cities; *4th Resilient Cities Asia-Pacific 2019 Congress* **(**April 2019), where the representatives from 4 Urban-LEDS II cities in India participated; and "*Climate Change Integration into Urban Development CRVA Tools and GHG Inventory*" meeting (May 2019), where the Urban-LEDS II was presented. At the time of the MTE, a *case study* on the KwaZulu Natal Compact (South Africa) was being prepared – another mechanism for horizontal (as well as vertical) integration for climate action. The experience of cooperation with APEKSI (Indonesia) and South Africa Local Government Association (SALGA) provide valuable lessons on the importance of working with associations in a structured way for pursuing vertical (as demonstrated in Brazil) and horizontal integration.

> **Objective 2:** Support and guide selected local governments in developing and approving urban low emission development strategies in four new countries (Bangladesh, Colombia, Lao PDR and Rwanda) resulting in measurable GHG emission reductions and adaptation co-benefits and Objective 3. Consolidate Urban LEDS achievements in cities in existing (Phase I) countries (Brazil, India, Indonesia and South Africa).
>
> **Intended Result 3:** The capacities in the four new countries to engage in local climate action is enhanced and deepened in the countries from Phase I; this is happening at different speed given the country contexts, e.g. depending on the extent of the needs in capacity development. There could have been more focus on institutionalization of training with the view to sustainability.

Guidance and training materials were made available to all countries. GCC Training materials in English were ready for use in this Project and be translated as required. This was somewhat delayed, but sufficient time was necessary to ensure adequate broadening of scope to include adaptation.[29] Note that the indicator "*Op 3.1: A set of freely available tools, guidance and support for local governments*", is misleading, not making clear that this for the project cities, rather than being posted on the web.

174 local government and national government staff in the four new countries, and 95 from Phase I have already been trained using ICLEI's GCC methodology.[30] The workplan for the training program roll-out was under development. Variety of formats were used for training: classroom, webinars and one-to-one. The trainees expressed their overall satisfaction with the training, but many commented that it was short. Training was conducted on GCC methodology, GHG-I and CRVA with the main goal of deepening concepts and demonstrating practical application of the GCC so that the local governments could advance in the development of LEDS. Further roll-out work plan was expected at the time of writing this report. The training was mostly in the form of one-to-one in Bangladesh, *(see Quote 4)* and India. In Colombia, three webinars were organized with the support of Nove de Julho University (UNINOVE): the participants were mostly satisfied, but several respondents mentioned problems with Internet connection and language. In Brazil, webinar series were offered, jointly with Colombia, but the cities received also in-person training on the GCoM CRF and on the transition from the GPC to the CRF standard. The trainees were overall satisfied, but several commented that they would prefer longer duration and more focus on practical application. In Indonesia, and India national government representatives participated in delivering the training in workshops, facilitated by the fact of using national methodology of GHG-Is and MRV. Involving the provincial government in Lao PDR, helped to come to an agreement on how LED can be included into the local development plans.

> **Quote 4 … Focus on one-to-one interaction and training of city officials on all aspects of action plan preparation, like GHG-I, has helped in capacity building. Providing the cities with the tools, but more importantly taking them through the process helps build capacities to consider climate change impacts in infrastructure development projects…**
>
> ICLEI SAS

The capacity gaps in some countries were underestimated, highlighting the need to be more strategic in using the available resources. In the latest narrative report of the Project, it is acknowledged that "*technical support is needed to enhance understanding of basic climate change knowledge in the local governments, as well as of the NDC and MRV processes. This will be explored in the capacity development programmes*".[31] This was echoed in several interviews, e.g., from the Lao PDR, where the Training Needs Assessment (TNA) revealed a need general capacity building on climate change and more training on GHG-Is and LED. But in the face of massive capacity building needs, these efforts could be overconsuming, and so the Project needs to find the right balance for the use of the resources, as well as even more actively work with others, to ensure significant impact.

In terms of training delivery, the project could have used explicit sustainable mechanisms for delivery of training, working more closely with the local associations (e.g. local government associations) and national governments (e.g. state institutions in charge of (re) training of civil servants). This view came from several interviewees, including national governments. This is tentatively planned by APEKSI in Indonesia, but without an explicit planning process by the Project: a representative from APEKSI has attended Urban-LEDS II training events and obtained the training materials, with the intention to conduct training for the members using (not yet materialized), and no Training of Trainers (ToT) by the Project was planned.

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29   Available materials for the public are currently found here: https://iclei.org/en/GreenClimateCities.html.

30   Q1, Year 3 Narrative report

31   Q1, Year 3 Narrative report, page 71

GHG-Is, GHG reports (including GPC compliant GHG and GHG trends forecasts) were in progress in most new countries and were being updated/ revised/broadened in the countries form Phase I. The inventory does not follow the GPC methodology in all countries and in two countries there is confusion for the municipalities given that two different systems are being advised by different donors. In Phase I countries, the process of completion of GHG-Is was a bit delayed: 3 against the target of 8 (2 in India, and 1 in Brazil). A few cities got additional support, e.g. in Brazil (Sorocaba, Betim and Porto Alegre) from the Project, and in India (Rajkot and Coimbatore)- from the CapaCITIES project. In Brazil, it was decided to implement also a pilot activity estimating GHG emissions for all cities in the State of São Paulo from 1990 to 2017 (based on the project-supported SEEG (GHG emissions calculation and removal estimation system)), with attract donors to fund the SEEG Cidades in 2019. In Colombia, as mentioned earlier, an analysis of the national tool being designed and GHG-I tools recommended by ICLEI was underway, exploring the possible creation of a joint interface; meanwhile three cities (AMVA-Envigado, Manizales, and Cartago) were already being assisted to develop their GHG-I, with the consultant applying GPC methodology. It should be noted that the GPC methodology was not advocated by GGGI in Rwanda and Lao_PDR, in the same cities, at the time of the MTE, as mentioned, but seems likely eventually.

The CRVAs were being elaborated with the Project support both in new and in the Phase I countries. In the Phase I countries the focus was more on in-depth technical studies of the sectors with highest GHG reduction potential, often using external consultants. In the Phase I countries, the CRVAs were completed in four cities against the target of eight, so this was on track (one in South Africa, two in India, two in Brazil). In *Rajkot,* and Coimbatore (India) – with the support from CapaCITIES project. These are rather technical studies and their practical usability by the municipality staff could be increased with for example, investing in simulation tools. In Balikpapan (Indonesia), the central government regulation related to the requirements to CRVAs was tested with the support of the Project and is another example of strong vertical integration in this country.[32]

The CRVA in Rwanda is an example of a less technical study, which has its merits, but the expectations where not clear for all the stakeholders from the start, which is desirable.

The cities were being assisted with pilot projects, both in terms of identification and implementation. They were chosen in consultation with the municipalities but were not necessarily from the most emitting sectors/sectors with highest GHG reduction potential: the approach taken differed from country to country. The selection criteria for the pilot project could have been clearer with a formal list agreed upon.

The selection of the pilot projects was being finalized at the time of writing this report. There are no agreed upon criteria for selection, except that as part of the GCC methodology a tool is offered to cities to support prioritization of climate interventions. In India, the pilots were chosen based on the findings from the CRVA (see *Quote 5*). In Rwanda, on the other hand, the pilots were seen as tools to showcase the LED, gain interest and trust and were planned in parallel to the CRVAs being carried out, starting early to allow learning from them during the course of the project. While there are valid arguments in favor of both approaches, and acknowledging the heterogenous contexts, the Project could develop a list of criteria for the selection of the pilots. For example, the demonstrated potential for scaling up and learning should be among those, along with local government contribution and a broad connection to the sectors with high GHG reduction potential.

> **Quote 5 …"Assessment – pilot – strategy": this is our philosophy… Working locally on ground issues and implementing pilots to reduce climate impact from critical sector actually increases confidence of local government to replicate such projects…**
>
> ICLEI SAS

Table 6: List of Planned Pilot Projects

	Country	City	Pilot Demonstration Projects	Forecasted Budget (Euro)
1	Bangladesh	Narayanganj:	Ambient air quality monitoring stations to track air quality and inform urban planning	25,000
2		Narayanganj:	Solar PV and energy conservation measures at health centres	25,000
3		Narayanganj	Traffic management strategy/plan	30,000
4		Rajshahi	Watershed management and groundwater recharge strategies	55,000
5		Rajshahi	Energy efficiency measures for local government's main building and training of staff	30,000
6	Brazil		Development of a project and financing lab: Selection of th e cities. Hire consultancy. Production of materials.	Seed Money
7	Colombia		Development of a project and financing lab: Selection of the cities. Hire consultancy. Production of materials.	Seed Money
8	India	Nagpur	Installation of groundwater recharge structures/systems	50000
9		Thane	Early warning system for flood/water logging (Euro 50000)	50000
10	Indonesia	Bogor Regency	Community-scale solid waste management using hydrothermal technology	20,000
12		Bogor Regency	Black Fly Soldier (BFS) as a circular economy tool for organic waste management	5,000-10,000
13		Balikpapan City	Water Spring Protection	5,000-10,000
14		Balikpapan	Biogas Utilization (City)	
15		Balikpapan	Vertical Integration: Pilot Testing of LFG Recovery Methodology of Balikpapan for Indonesia Certified Emission Reduction (ICER) Mechanism in partnership with MoEF	12-15,000
16	Lao PDR		Air quality monitoring project for the two model cities - in discussion with UN-Habitat Laos and the national government: budget approx.	50,000
17	Rwanda	Kigali	Sustainable energy and water services for health clinic	+/-47 000
18		District of Muhanga	Sustainable energy and water services for health clinic	+/-47 000
19		District of Rubavu	Off grid/Solar lighting for public space along Lake Kivu	+/-47 000

	Country	City	Pilot Demonstration Projects	Forecasted Budget (Euro)
20		KwaDukuza	Install energy and water sub-metering at library (to gather data, the first step in larger municipal retrofit programme):	+/- 8500
21		Steve Tshwete	Solar street lighting strategy and implementation (investigate model for financial feasibility of roll out for whole municipality)	+/- 8500
22		Mogale City	Sustainable servicing of schools, outscaling the Phase I project (putting this forward as a model for all schools in Province to Gauteng Education Department)	+/- 8500
23	South Africa	Overberg	Waste diversion in schools (infrastructure and awareness raising campaign, connecting schools to local SMME recyclers to create value throughout the waste value chain) - looking for partners to replicate model:	+/- 8500
24		Saldanha Bay	TBC: Investigating provision of solar system for electricity use at a community facility/institution (use of replicable model)	+/- 8500
25		Sol Plaatje	TBC: Investigating provision of solar system for electricity use at a community facility/institution (use of replicable model)	+/- 8500
26		Nelson Mandela Bay	Nelson Mandela Bay: TBC: Investigating provision of solar system for electricity use at a community facility/institution (use of replicable model)	+/- 8500
27		uMhlathuze	TBC: identify project from long term Capital Expenditure Framework for infrastructure investment	+/- 8500

The planned pilot projects are listed in Table 6. The rationale for choosing specific pilots was not necessarily clearly reflected in the choice of the design, for example, in the case of the medical center chosen in Muhanga, Rwanda. However, if the main objective was for it to serve as a demo site for learning, than the design should address it, with elements that would facilitate learning, for example, a waiting room equipped with explanatory materials and exhibits. [33] Also, the links with relevant sectoral government agencies were not always there at the starting stage (e.g. with the Ministry of Health in the case of the Rwanda)): the need for this was identified as a Lesson Learned from Phase I in the evaluation report referring to the potential larger scale application of, for example *Construction Standards, Building Codes, Environmental and Land Development Law and Regulations* in parallel with the implementation of pilot actions, where this is of interest. This was planned in Phase II, but according to the Project's Year 3 Q1 narrative report, it was planned only after the successful demonstration of the pilots.[34] It is argued here that the links with the sectoral ministries need to be established as part of the design of the pilots, since certain new

information may be obtained which could affect the design of the projects, including operational modalities, communication plans, etc.

In many cases the local governments were co-funding the projects in cash and/or in kind. These were often part of their local development plans. As for looking for other sources, e.g., banks and private sectors, this has not happened often. South Africa is the country, where the funding options for pilots were pursued rather comprehensively with the local banking sector, including the Development Bank of South Africa (DBSA), Ranyaka and Nedbank, as well as locally present development agencies. In South Africa, it was also ensured that the pilots in the satellite cities were linked to technical assistance (based on the experience from Phase I when this was not assured). More broadly, UN-Habitat has an agreement with Arcadis, an engineering company, for its *pro bono* technical review of the proposals: several proposals been submitted.

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33 In Muhanga, the demonstration project selected was to focus on the Gitarama Health Center where retrofitting of the off-grid PV solar systems for lighting and water heating and installation of a rainwater harvesting system will take place. These activities are expected to increase access to water and electricity whilst showcasing the financial benefits of using alternative energy for lighting and water heating. The health center has a maternity ward, where the installation of a water heating system is highly needed and is expected to increase access to heated water for patients.

34 Q1, Year 3 Narrative report, page 43

Mid-Term Evaluation Accelerating Climate Action through the Promotion of Urban Low Emission Development Strategies (Urban-Leds II)

21

The Project is investing significant effort in promoting the local project proposals using TAP and other similar platforms, for example, the GCoM/European Investment Bank (EIB) Global Climate City Challenge (GCCC)) to connect local governments to financing agencies, in helping to pitch their proposals to finance institutions and seek technical support. Various forms of in-country exploration of access to finance have been explored to a limited extent so far. The Finance Forum Day, as part of the Resilient Cities 2019 (26-28 June 2019, in Bonn, Germany) brought together local authorities, city networks, financial institutions, and initiatives to identify challenges, exchange ideas and solutions to bridge the gap between the supply and demand of climate finance at the local level. This was one of the latest examples of the Project's effort to support the municipalities in pitching their proposals to potential funders. The GCCC of the GCoM/EIB,[35] linked to the EC Global Urbis, is also being used as a pitching platform. In addition to the TAP and GCCC, the Project was exploring other global mechanisms to enable access to finance for local governments, e.g. through the Cities Climate Finance Leadership Alliance (CCFLA),[36] and R20 Regions of Climate Action[37] (blended finance). In contrast, in-country exploration of access to finance have been limited so far. The few examples included: (a) South Africa, where the Cities Support Programme at National Treasury was approached;[38] and (b) Rwanda, where discussions were held with the National Climate Fund (FONERWA) on how to support Districts to secure projects from the Fund.

According to the Project Document, it was supposed to *" …Support quality local project preparation, the financing of feasibility studies, and use the TAP as a platform and project pipeline to ensure follow up and connect local governments to financing agencies, and explore feasible financial models (e.g. ESCOs, public and private sector investments, etc.)"[39]*. Limited effort was invested so far into exploring feasible financial models through ESCOs, private sector investments, and innovative financing approaches, such as V-NAMAs (vertically integrated Nationally Appropriate Mitigation

Actions, also envisioned by the Project Document). As for the advocacy with the governments to enhance intergovernmental finance in favour of local climate action with grants, transfers, guarantee schemes, special funds, and alike, this was not explicitly part of the design. Several interviewees for this MTE commented that: *"…More pronounced lines of actions are needed for the financial component…', "…financing by the national governments should have more focus…", "…alternative ways of financing projects could be more explained…" , "…there should be a more systematic process to look into all possible routes, including funding from the bilateral development agencies …".* At the time of the MTE, ICLEI was planning to embark on the development of a "Finance decision-making support tool" (indicator Op 2.14). Exploring the avenues mentioned before such a guide is issued, would have helped to develop it. Additionally, there might be room for a different approach to pitching with a focus on in-county events.[40]

In the Phase I countries the Project was on track in terms of supporting local project proposals' submission to the TAP and related platforms. At the time of writing this report: (a) 18 prioritized projects for low emission and/or resilient development were submitted to the TAP (see Annex 3) as concepts seeking finance (on track); and (b) 12 projects from 11 Urban-LEDS cities responded to the call from the GCCC (GCoM/EIB facility), using their TAP submission forms (three of these are shortlisted, with a decision on the finalists to receive technical assistance).41 These were under review for their transformative impact and basic quality at the time of the MTE: the accepted ones were to be presented to potential investors and other Project Preparation Facilities (PPFs), and those not yet ready were to receive recommendations for improvement. The range of the TAP proposals is broad, covering solid waste management, waste to energy, biodiversity, smart housing, eco-parks, green buildings, sustainable transport, reforestation, sustainable water supply, energy efficient street lighting, etc. (see Table 7).

35 *https://www.eib.org/en/projects/sectors/urban-development/city-call-for-proposal/index.htm*

36 *https://www.citiesclimatefinance.org/*

37 *https://regions20.org/*

38 *https://csp.treasury.gov.za/Pages/default.aspx?View=%7B1cdb5672-79f3-43b7-81d0-d66caca0f383%7D&SortField=Link&SortDir=Asc*

39 Urban-LEDS, Phase II, project document, page 17.

40 FMDV's experience so far has indicated that in country pitching events are more effective, since visits on the ground, because there can be significant discrepancies between the description of a project and its effective stage of development

41 announced at COP 25

Project proposals have been submitted both from Phase I and Phase II countries, with the process somewhat rushed for the latter. In the new cities only four proposals were submitted so far, and all four from Colombia. It is not surprising that proposals were not yet submitted from Rwanda, Bangladesh and Lao PDR, as they have not gone through the stages of finalizing GHG-Is, and CRVAs (see *Quote 6*).

> **Quote 6 … It was difficult to prepare funding proposal since we did not have previous climate baseline studies and documents. Hopefully, we will be able to prepare it when the Climate Action Plan is developed…**
>
> A representative of a municipality

Table 7: TAP Proposals

Nr	Name of applicant	Project Title	Country	Region	Status (11/ 2018)
1	Nelson Mandela Bay/ Port Elisabeth	Innovative electrification	South Africa	Africa	Pre-implementation
2	Overberg District	Sustainable Solid Waste Management contributing to Low Emission Targets	South Africa	Africa	Feasibility study
3	Cape Town	Climate Change Adaptation through restoration of ecological resilience and biodiversity in the Cape Floristic Region Global Biodiversity Hotspot	South Africa	Africa	Pre-implementation
4	Harding, Umuziwabantu Municipality (Ugu Municipality)	We Are Green Harding Smart Housing	South Africa	Africa	Feasibility study
5	Mogale City - Krugersdorp	Climate Resilient Eco-Park to be known as Coronation Park	South Africa	Africa	Pre-implementation
6	City of uMhlathuze	Waste to Energy Plant	South Africa	Africa	Project identification (Scoping)
7	Ekurhuleni	"Ekurhuleni Community Driven Urban Agriculture" - Climate Friendly Park Model	South Africa	Africa	Feasibility study
8	KwaDukuza	Greening KwaDukuza Municipal Buildings	South Africa	Africa	Project identification (Scoping)
8	Recife	Capibaribe Park	Brazil	Latin America and Caribbean	Pre-implementation
10	Belo Horizonte	Electric Bus in Belo Horizonte	Brazil	Latin America and Caribbean	Feasibility study
11	Fortaleza	Active Transport Plan	Brazil	Latin America and Caribbean	Project identification (Scoping)
12	Fortaleza #2	Reforestation plan	Brazil	Latin America and Caribbean	Pre-implementation
13	Canoas	Water	Brazil	Latin America and Caribbean	Project identification (Scoping)
14	Topaga	Eco-stoves	Colombia	Latin America and Caribbean	Pre-implementation

Nr	Name of applicant	Project Title	Country	Region	Status (11/ 2018)
15	Envigado	Ecozones, low carbon territories	Colombia	Latin America and Caribbean	Project identification (Scoping)
16	Ibagué	Urban Model and Sustainable Development Bulevar Carrera 5A	Colombia	Latin America and Caribbean	Feasibility study
17	Balikpapan	"Balikpapan Monorail and Tram"	Indonesia	Southeast Asia	-
18	Jambi City	"Green urban transport"	Indonesia	Southeast Asia	-
19	Kochi	"New low-floor, hybrid or electrical, buses and mini-buses to complement or replace the existing fleet of public and private buses plying in Greater Kochi, and feed the metro stations by providing first and last mile connectivity"	India	South Asia	-
20	Panaji	Energy Efficiency Street Lighitng in Panaji	India	South Asia	-
21	Panaji #2	"Integrated Solid Waste Management in Panaji"	India	South Asia	-
22	Rajkot	"Cycle Rental Scheme"	India	South Asia	-

Financing of feasibility studies has been limited so far, while this was identified as most needed by the municipal stakeholders for this MTE. Approaches differed by country in terms of supporting project packaging: with deep-dive support; training through participatory workshops, linking with government-supported schemes. The cities need more support in preparing and packaging the proposals. Variety of avenues were explored in supporting proposals preparation and packaging support. These are described below. Financing of feasibility studies has been limited so far: this was mentioned by the interviewees and survey respondents as one of the most acute needs.

- *Deep-dive:* In Brazil and Colombia, with LEDS Lab,[42] a deep-dive process was employed for selected cities in order to identify bottlenecks, capacity building needs, and opportunities in each step of a municipal project development, while the other

project cities got invited to follow-up the process and have access to guidance, methodologies, and checklists to foster the development of their proposals considering climate and financial compliance. The main aspects to be considered by the LEDS Lab were: (1) mainstreaming climate change in each step of the project elaboration, (2) potential contribution to mitigation, adaptation, and NDCs, and (3) identification of financial mechanisms for the implementation of the elaborated projects. It was planned that financial institutions would be invited to follow the process. to guarantee that financial criteria were clearly considered at each step of a municipal project development. By the end of the process, resources of Urban-LEDS II were planned to be made available as seed money for the implementation of two pilot projects. In Brazil four TAP project-funding applications were submitted[43] and four in Colombia.

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42 In Brazil, ICLEI SAMS was part of the Climate Ventures development process (Lab), which became an accelerator of climate mitigation initiatives, providing ideas for LEDS Lab. This led also to the engagement of Urban-LEDS cities in another Lab focusing on mobility and energy

43 Belo Horizonte - Electric Bus; Fortaleza - Active Transport Plan and Reforestation Plan; and Recife- Capibaribe Park).

Bela Horizonte (Brazil) was already confirmed as one of the recipients for a project proposal related to low emission electric buses: its cooperation with Universidade Federal de Minas Gerais, enabled the application of a technical methodological approach;

- *Linking to government -supported schemes,* In Indonesia, at the time of the MTE, synergies with LTKL (Sustainable District Platform) through a program called *Investment Master Class* were explored. In Rwanda, the Project was exploring the opportunities from the Rwandan Green Fund – FONERWA for climate financing and training;

- *Project Preparation facilities of the international partnes.* In Indonesia, support for a pre-feasibility study on a priority infrastructure project was explored with the Cities Development Initiative for Asia (CDIA). Also, the Cities and Climate in Africa (CICLIA) of the AFD has agreed to include Rwanda in the list of target countries, to accommodate TAP projects;[44] and

- *Workshops:* In South Africa, the municipalities received training on project packaging and financing of their proposals during the '*Financing the future we want*" participatory workshop (with the second one already planned). Five TAP Proposals were submitted.[45] Additionally, Nelson Mandela Bay submitted a proposal for the EIB call.

While the bottom-up approach, involving cities and local governments directly helps improve project quality by raising awareness and sharing knowledge of international standards and good practices, the Project needs to also – responding to the need- focus on guiding municipalities in the development of project proposals and building up their soft skills (technical, financial and legal). According to the Project's own latest narrative report "…*access to finance and the need for national enabling framework conditions to support local governments with their climate action remain key constraints"*.[46]

As in the case with the pilot projects, the thematic coverage of investment proposals was large, promoting the need in liaising with larger spectrum of national government institutions and partners. For example, in India, the cities submitted proposals covering a broad spectrum of adaptation areas, including development of public spaces and landscaping, Pollution Abatement; River Front Development; Affordable Housing Scheme; Urban E-Governance, DRM, etc.

No financial investments (commitments or pledges) have been made so far for funding the proposals. In Brazil two model cities got funding: one from the Green Climate Fund (GCF) in Recife, where the agreement predates the Project; and One from the WB in Fortaleza, in which case the Project helped to meet the demands, e.g., with the recalculation of GHG-I. Two proposals were under consideration by bettervest (crowdfunding). Based on the lessons learned from 2015 onwards, ICLEI revisited the TAP concept: it retained its main goals of enabling and supporting local and regional governments to access climate finance, but now with a specific focus on hard infrastructure projects with project preparation support to develop more bankable infrastructure projects.[47] More substantive cooperation with the Global Fund for Cities Development (FMDV), a TAP partner – a specialized agency bridging the financing gap for the municipalities through various routes, including intergovernmental finance, could be beneficial.

More is needed in terms of general awareness of climate finance – internationally and locally. There were several (planned) outputs to address the need to enhance it e.g., in Lao PDR a document on the funding sources for Urban-LEDS Projects was planned based on a similar publication under Phase I in Indonesia; in Rwanda, a consultant was appointed to conduct a TOT workshop on climate and development finance; the International Urban Cooperation programme (IUC) organized webinar on 12 March 2019 on the topic of: *"International financial sources and institutions relevant to city action",* developed by ICLEI, was made available

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44 the city of Kigali is interested in waste management and off-grid solar energy in schools.

45 Green Infrastructure and Green Buildings in Mogale city; Upscaling the pilot project for off-grid solar electrification of informal settlements in Nelson Mandela Bay; Greening Municipal Buildings in KwaDukuza; Waste to Energy Plant in uMhlathuze: and Sustainable Solid Waste Management contributing to Low Emission Targets in Overberg District Municipality

46 Q1, Year 3 Narrative report, page 71

47 TAP: The Local Climate Action Incubator Stocktaking Report 2019, p 6

for all interested parties;[48] and in Brazil, SOURCE Tool (by the Sustainable Infrastructure Foundation) related training was offered (on steps to build a financeable project, meeting the requirements of the main financing institutions on sustainable development). While these are good examples, several respondents commented on the need for more awareness raising.

Seven EU Resource cities were selected, engaged in the Project[49], offering the cities in the Global South to learn from their experiences, through study tours, webinars and advocacy. The engagement can be optimized in a number of ways, including with a limited number of visits to EU cities with a well-defined selection process. All the interviewed EU cities were interested in exchanging experience with the cities from the Global South. On the basis of *thematic clusters* (identified based on the interest of cities, Urban-LEDS II goals, and the international agenda on climate action) a plan of activities has been developed including: study tours to EU cities, advocacy, acceleration of sustainable energy and climate action planning, capacity building, and knowledge creation and transfer. ICLEI ES has outlined a communication strategy to leverage the actions of EU cities, which have been invited to:

- Share their expertise on integrated climate action and sectoral know-how (political and/or technical) in a facilitated environment, including 4-6 topical webinars on priorities identified by all Urban-LEDS II cities (with a focus on practical implementation of projects at the local level);

- Attend relevant Urban-LEDS II and host events;

- Host an Urban-LEDS study tour for project cities, organize capacity building activities, and exchange opportunities (staff exchange, international events, webinars, etc.);

- Consolidate monitoring and reporting of their climate action, and report to the new CDP-ICLEI unified reporting system, aligning to the GCoM initiative, and the new global CRF; and

- Contribute to urban climate action methodological/ standardization activities.

The *study tour in Europe in June 2019* was designed as a learning experience for Urban-LEDS II cities. An assessment of the topical interests of the EU cities' and Urban-LEDS II cities was carried out, resulting in proposing topics to the EU cities for discussion (the Target on *"Local governments defined their offers / demands for exchange, exchanges tracked and results documented"* is on track). Financing local climate action in cities was highlighted as a key priority for exchange.[50] 28 representatives from 24 Urban-LEDS II cities from 16 countries got acquainted with a range of LED solutions from Helsinki, Warsaw, and Bologna. The interviewed stakeholders were overall satisfied with this event, although some commented on the rather different context and range of funding opportunities available to the countries in the Global South, and hence on reduced relevance.[51] The fact that the cities from the Ambitious City Promises (ACP) joined the Urban-LEDS EU study tour helped with peer-to-peer (P2P) exchange with the countries not covered under the Urban LEDS such as Vietnam and Philippines). Based on the interviews with ICLEI for this MTE, in Phase I, the mode of engagement with EU cities was not the most efficient one (one-to-one exchanges meant at times onerous demands on the time commitments on the part of the EU cities). But in the current format, the course of action for a given municipality if there is a strong interest to learn more details from a given EU municipality is unclear – whether it could count on a significant level of correspondence or not. The interviewees assessed the effectiveness of engagement with the EU cities above average (with 3.63 out of 5) but saw a need for more in-depth cooperation between selected EU cities and the cities in global south. According to ICLEI ES, a limited budget for visits could be allocated.

Overall, the Project was successful in supporting P2P exchanges between Urban LEDS project cities from Phase I and the new Urban LEDS Phase II cities. Horizontal cooperation and exchange were supported, offering opportunities for P2P exchange and cities' networking. The following exchange visits were supported: *(a) Indonesian Study Tour* (April 2019), whereby the municipalities from the Lao PDR visited

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48   *http://www.iuc.eu/resources/*

49   Two cities (Gaziantep and Copenhagen) were removed from the list.

50   Other identified topics included: air quality (proposed by Warsaw), participatory climate planning (proposed by Bologna); climate finance for adaptation projects including Nature Based Solutions (proposed by Almada). Common concern was raised by cities regarding MRV processes

51   Several examples of specific interests raised include the representatives of the City of Nagpur and Ibague interested in the 3D modelling for buildings in Helsinki, Ibague - in Helsinki's experience with the creation of unique, green public spaces, urban agriculture, and integrated and sustainable mobility, while the city of Narayanganj - in the experience of the city of Warsaw with the public space around the lake

Indonesian cities Balikpapan and Bogor[52]; *(b) Resilient Cities Asia-Pacific event* (April 2019, New Delhi, India), with participants from the region, including Urban-LEDS cities; and *(c) Resilient Cities Congress* (June 2019, Bonn, Germany), where, apart from the opportunity to learn about access to finance, the cities had the chance to network. The municipality representatives who reflected on this in the surveys or interviews found these useful, but preferred having sufficient time for in-depth interactions.

The assumption that there will be active experience exchange between the model and satellite cities was overly optimistic. The very few meetings facilitated by the Project, were rather formal events, not actively followed up by the municipalities themselves. Linked to this assumption, that there will be active experience exchange between the model and satellite cities, there is a mismatch between the level of assistance to the satellite cities and expectations from them. This came from a significant number of interviewees *(see Quote 7)*. In those countries where the Project cooperates closely with the national associations of the local governments such as Indonesia there are more opportunities outside the Project for this due to the meetings of these associations' members, where the municipalities share experience: this was elaborated in the context of

> **Quote 7. … not all satellite cities can properly adopt what's been done by the model cities due to limited capacity and budget. This creates a significant gap between model and satellite cities in achieving LEDS target…. there is a high expectation from satellite cities to receive the same level of assistance/ intervention to them as we gave to model cities…**
>
> A representative ICLEI

Exchanges between the Project cities and non-Urban-LEDS cities took place to share knowledge and best practices through South-South-North peer-learning exchanges (virtual and at events). These were limited, however, in scope. The project cities would like to have more opportunities to learn from the countries with more advanced experience in local climate action in the region and globally. Eleven such P2P exchanges are reported with the target therefore achieved. Such opportunities benefited a few municipalities from Colombia, Brazil[53] and India, in particular. For example, model cities Nagpur and Rajkot (India) participated in the *Regional Workshop "Integrated Resource Management in Asian Cities – The Urban Nexus"* (organized by *German BMZ/GIZ* in partnership with *UNESCAP* and *ICLEI SEAS* and *SAS)*. A good opportunity for P2P exchange was also facilitated during the EU study tour, as it was also attended by the municipalities engaged in the ACP project. More informal opportunities for city to city exchange took place at Urban-LEDS or other partners' events (through for example, presentations given by cities or Project team during conferences). Several municipality representatives reflected that they would have liked to have more opportunities for in-depth learning from the countries in the region with more advanced experience in local climate action as well as countries with recognized best experience globally in specific thematic experience, for example, Israel as a country with advanced experience in wastewater management and reuse.

> **Quote 8. … budget for travel is limited to City representatives, however, it would seem that the involvement of the National government would also be beneficial to the projects, especially their participation in international events**
>
> A representative of a municipality

promoting horizontal integration earlier in this report.

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52   35 people participated in a workshop on public transport services and citizen engagement, on best practices of DKI Jakarta's GHG emission reduction agenda. The participants visited an urban village in Sunter Jaya, North Jakarta, part of the national programme Climate Village (Proklim).

53   Representatives of municipalities from Colombia and Brazil attended "Conexão Carbono Zero: 1ª Feira de Negócios Latino-americana Pelo Clima" event, held by CDP, O Mundo que Queremos and WWF-Brazil (São Paulo, May 2019), meeting potential investors, such as banks (Caixa, Santander, Itaú) and institutions (e.g. GIZ). During the XVI National Meeting of the Forum of Secretaries of Environment of the Brazilian Capitals (CB27), April 2019 in Florianópolis, Brazil, the representative of the Metropolitan Area of the Valle de Aburrá (AMVA) shared the experience and good practices in a session on sustainable cities.

National Government representatives were involved in exchange visits to a very limited extent. They participated at the Resilient Cities Asia-Pacific conference[54], but there are very few such examples. The comment that it is important that the national government representatives participate in exchange visits and share the same exposure to international best practice as the municipalities, came up frequently in the interviews, with the note that the budget for travel is low and limitations applied to covering travel expenses for national government representatives *(see Quote 8.)*. Joint, with the municipalities, training events on climate finance, for example, could highlight successful cases of national government funding for local climate action. At the time of this MTE, the project teams were exploring the possible mechanisms in this regard.

Solutions Gateway is used to support the translation of needs into actions, policy into practice, and ideas into practical examples. The *Solutions Gateway[55]* is an online resource platform designed to support local and regional governments in finding LED Solutions for their communities. It contains sectoral and cross-sectoral packages of activities, structured along local/regional governments' responsibilities and spheres of influence, to support them in the development of low emission and climate resilient development strategies, plans, and projects. It serves around 500 peer-reviewed Solutions and Solution Packages to users daily, 10 percent of which to the small group of registered users. Most solutions have been viewed on average of 4,500 times since the beginning of 2019. The ICLEI Solutions Gateway Sourcebook is the most frequently downloaded document on the site. The Solutions Gateway influenced the understanding of Model and Satellite Cities of the Project and needs to be promoted more. strongly.

> **Intended Result 4:** The project was contributing to new and existing Model Cities' adopting or further enhancing Urban LEDS based on the GCC process guidance, with a move to Climate Action Plans (CAPs): in the new countries this was still at the initial stages

Broadening of Urban LEDS into an optimized integrated approach to include climate change adaptation co-benefits, as a sub-set (in conformity with the Paris Agreement), while maintaining the primary focus of climate change mitigation (mainly on transport, buildings, water and waste, energy efficiency and renewable energy) was being explored. LEDS review was underway in Phase I countries, with different levels of progress and accomplishments at the time of the MTE. In particular:

- **CAPs were being revised** in Recife,[56] Belo Horizonte (a satellite city), Fortaleza and Betim, and planned in Porto-Alegre and Socoraba (an update in the latter case) in Brazil. In the case of Betim, Socoraba and Porto Alegre (satellite cities in Brazil), since they do not have as yet CRVAs, they were considered as candidates for methodology test and assessment support. In Curitiba and Rio de Janeiro (Brazil), the Project was working closely with the WayCarbon for the C40 Climate Action Planning project on supporting the municipalities in the development of the CAPs. Fortaleza and Betim, (Brazil) cooperated with the students of Boston University and Technical University of Cologne. In Bangladesh, Climate Resilient City Action Plans were being developed in two Model Cities, using the combined climate action planning methodology "ClimateResilientCITIES", focusing on climate change mitigation and adaptation;

- **GHG-Is and CRVAs were at different stages of elaboration at the time of the MTE.** There were drafts in Nagpur and Thane (in India) and in the case of model cities in South Africa. The satellite cities of Mogale and uMhlathuze in South Africa were in the process of completing the reporting template on the ICLEI/CDP unified reporting system; and

- **CRVAs were yet to start** at the time of the MTE, assisted by consultants, in the case of the model cities of Balikpapan and Bogor (Indonesia), but already the planned reductions in GHGs were incorporated in City Strategic Plans, and as mentioned earlier, the updates of GHG-Is (also for satellite cities Bontang, Kabupaten Bogor, Tangerang Selatan, and Tarakan) were reported annually to the National GHG Inventory System (SIGN SMART).

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54   Also, the Resilient Cities Congress in Bonn was held during the SBTA meetings to enable national governments to join in between negotiations

55   *http://www.solutions-gateway.org/*

56   A list of 43 potential adaptation measures, based on geo-referenced vulnerability and risk indices, was released for the City's consideration, if which 25 measures were to be evaluated through a SWOT matrix, and five priority measures selected, with a cost-benefit analysis.

In the four new countries, the LED Strategy planning process had not started at the time of the MTE, but discussions were ongoing, including on the potential formats. In Rwanda and Lao PDR, the municipalities were not keen on having separate LEDS, preferring to have only one strategy, which is an approach actively supported by the Project. These strategies have strict timelines for revision and so the Project has short and defined windows to make sure that its recommendations are reflected in the updates. In the Lao PDR the Project is reviewing the Social-Economic Development Plans (SEDP) of Kaysone Phomvihane and Pakse City to ensure that climate change and LED are mainstreamed following the GCC methodology.

> **Objective 4:** Promote international, regional, national, sub-national and local government cooperation on urban climate action, leading to an increase in urban stakeholders' capacity to implement climate change.
>
> **Intended Result 5:** The Project was contributing to enhanced pre-2020 urban climate change mitigation being promoted at UNFCCC processes and in other interested cities through the GCoM and similar regional and global networks

The Project was on track in meeting its targets related to project cities' and their staff participating at national, regional and international events, promoting Urban-LEDS, at UNFCCC and GCoM events. In total, 142 staff members from 35 project cities participated in Urban-LEDS II capacity development offers and events and 71 staff from 44 Project cities participated in other national, regional, or international events to promote Urban-LEDS, in particular at UNFCCC and GCoM. End of the project targets for both were within reach.

The Project was well linked to key global advocacy processes and multi-party initiatives, UNFCCC in particular. The Project provided a valuable input to the UNFCCC Process, leading to enhanced mission and structure for the Local Governments and Municipal Authorities constituency (LGMA) at the UNFCCC and the Friends of Multilevel Action (formerly known as

Friends of Cities), in terms of their collaboration, with the adoption of concrete programmes within UNFCCC bodies to understand the role of local and subnational governments. The Project already had three formal submissions to UNFCCC process and bodies (against the target of four and so, is on track): to the Standing Committee on Finance and the Talanoa Dialogue platform. Among others, the project facilitated the occurrence, for the first time of an event entitled "multilevel action" in the official UN agenda. [57] It contributed to the *"Declaration on Partnership for Collaborative Climate Action,"* [58] which is expected to provide significant contributions to enhanced engagement of local and regional governments in the implementation of the Paris Agreement. And finally, it was part of the announcement of the "Infrastructure, Cities and Local Action (ICLA)" Track of the UN Climate Action Summit (23 September 2019),[59] marking an evolving convergence between urban and climate agendas, building on the spirit of the Talanoa Dialogues rolled out in 2018, with unprecedented mobilization of cities and regions.

The Project had established strong synergies with other key global initiatives, most notably the GCoM, successfully promoting participation in it and similar regional and global networks. The three pillars of GCoM (climate mitigation, climate adaptation, and access to affordable, secure, and sustainable energy) all are core to the Urban-LEDS Phase II Project, considered a GCoM implementation project. GCoM information modules were integrated into 18 Urban-LEDS events (NB: indicator is on track). Thirty-seven Urban-LEDS II cities committed to the GCoM against the target of 55 (on track, with 23 new commitments). Five cities (on track) had full GCoM compliance with all badges (Belo Horizonte, Rio de Janeiro, KwaDukuza, Warsaw and Bologna). Also, GCoM developments were tested in the regional contexts, with ICLEI Regional Offices working closely with GCoM Regional Chapters. GHG-Is and CRVAs for Urban-LEDS II cities were being completed in line with the GCoM guidelines in almost all countries, and information was shared between the teams to better serve the cities under both initiatives; the GCoM events were used as opportunities to profile the Urban-LEDS II project and

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57   UN Bonn Climate Change Conference (SB50), 17-27 June 2019, in Bonn, Germany for the first time had an event on "multilevel action. Co-hosted by ICLEI and the Polish COP24 Presidency, the "Special Joint Event on Multilevel Action focusing on E-Mobility and Adaptation", kicked-off the "UNFCCC Friends of Multilevel Action". The Mayor of Recife, had an interview at the Climate Action Studio

58   At the International Conference on Climate Action (ICCA 2019), 22-23 May 2019, in Heidelberg, Germany

59   At the 1st UN-Habitat Assembly, 27-31 May 2019, in Nairobi, Kenya

vice versa. The GCC approach and the experiences of Urban-LEDSI and II in turn helped inform the development of the GCoM approach, e.g. by outlining guidance on the three pillars and defining the GCoM CRF, together with a guidance on how to submit data for compliance through the CDP/ICLEI unified reporting system.

Urban-LEDS City Network, MRV of local climate action and general project approach was showcased as part of global and regional climate agenda events and processes. Six presentations were made of the Urban-LEDS II at international events (against the target of 12 in total; so, the progress is on track). The Project was promoted at the specific session on "*The Importance of Monitoring and Reporting (M&R) for the Aggregated Impact of Local Climate Action and the Assessment of Covenant of Mayors Initiative*" (target achieved). Twenty-four Urban-LEDS city and wider project staff participated in events of other urban/energy/climate initiatives (target achieved with at least one staff per Model City) and eight others participating in events of other climate initiatives (e.g. UNFCCC and GCoM). Local governments were assisted (e.g. with speaker roles) at international events by UN-Habitat HQ and/or ICLEI WS.[60]

4.2.2 Progress towards the goal

The project has made important initial steps toward its goal of "Contributing to the reduction of GHG by the promotion of Urban LEDS in selected cities and towns in 4 emerging economies (Brazil, India, Indonesia and South Africa), as well as in Colombia and 3 Least Developed Countries (LDCs) (Bangladesh, Lao PDR and Rwanda)". For two (2) of the indicators data were to be assessed only at the end of the project. [61] The other two indicators were on track. A total of 610 climate actions were reported in 35 participating cities against the targets of 500 (Dec 2018) and 850 (March 2021); and total estimated emission reductions from mitigation actions in participating cities was at 788 MtCO2e against the target of at least 12.0 MtCO2e (March 2021). [NB: the methodology needs clarification]. In the words of one of the interviewees from a national government, "…. *the project is in a position to help increase countries' NDCs, but whether it will happen actually or not, and the extent of it depends on the scope and activities of this*

project…". While it is actually the national governments that can assure this, the project will clearly show the local potential based on the project cities' progress.

4.3 EFFICIENCY

4.3.1 Delivering on time

Delivering on time is very important for the project, given that its components are highly interconnected in a stepwise fashion, and also connected to certain timeframes of governments' decision making as in the case of local development strategies in the Lao PDR and Rwanda.

Overall, the Project outputs are delivered in a timely manner, which is commended given the effective late start. There is room for improvement, however, since the speed is to some extent affected by the management structure of the project, as well as by country contexts. Delivering on time is very important for the project, given that its components are highly interconnected in a stepwise fashion. The outputs were delivered overall in a timely manner: only five indicators were delayed at the time of the MTE. In terms of activities, there are more delays. For example, according to the Project's Plan the CRVAs and the GHG-Is must have been completed by the time of the MTE. The majority of the respondents for the MTE expected speedier implementation, especially in the new countries.

The delays were partly caused by the late start of the project: the contract between UN-Habitat and EU was signed in July 2017 while the project start date was in March. The contract between UN-Habitat and ICLEI WS was signed on 25 October 2017. ICLEI then had to subcontract to their respective ICLEI offices, which took another two months. Rwanda, is a case to illustrate that while the collaboration between the ICLEI regional offices and UN-Habitat offices is overall strong, however, the management structure with two agencies; one of which is not present in the country and the other has other projects to manage, is affecting the efficiency. This is further complicated by the lack of clarity as to which agency is responsible for certain efforts, e.g., for networking with the locally present projects/agencies to

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60   E.g. at (a) Global Climate Action Summit (GCAS); (b) COP 24 where ICLEI addressed access on Human Settlements Day; and (c) the Plenary session of the Climate and Development Knowledge Network (CDKN) new phase in India and Bangladesh with the support of CDKN in 2018.

61   (a) 001. Greenhouse gas emissions reductions in target countries, resulting in part from project related activities in participating cities (Annual emissions measured in CO2e, carbon dioxide equivalent and (b) 002. In Model Cities from Urban-LEDS I with approved LEDS: Reduction in overall GHG emissions in accordance with approved targets.

build synergies. The Project staff seems to have a high workload, apart from this project, in some countries, as they work on multiple projects at the same time: this was reflected on in several interviews. Finally, there were issues, which could have been foreseen, such as larger than anticipated training needs in some countries: it could be argued that this could have been assessed beforehand. These were internal factors. There are also strong external factors and related to country contexts. For example, in the Lao PDR, the general lack of information available for the cities is challenging for the project implementation, in particular, to populate the Satellite City profiles. In Brazil, due to the Federal Government's new structure and frequent changes in staff, discussions on vertical integration and alignment are difficult and somewhat on hold, for example, impact on engaging the PAG); also, the Federal level, especially the Ministry of Environment, no longer lists climate change as a priority. The fact that some municipalities joined the Project only in the 2nd year has affected the logic and sequencing of the intervention as well as and planning timewise.

4.3.2 Quality of project management

The partners acted on a lesson learned after Phase I to inform and involve political and administrative leaders more closely. It was recognized that only through continuous political and administrative leadership can ownership be assured and that careful preparation and analysis of political support in the selection of cities was thus crucial. PAGs were instituted as program governance mechanisms in the countries. Also, adding the component on multilevel governance served this purpose.

The Project demonstrated strong adaptive management qualities. The average rating for the quality of management was 3.6 (out of 5) in the survey. Brazil is a case to demonstrate strong adaptive management by the Project: the Urban-LEDS II team looked to a wider spectrum of actors to keep matters on track, even if at a slower pace, and working closely with the *Under2 Coalition* (*The Climate Footprint Project*) and participating in the *Brazilian Forum on Climate Change* to better address Urban-LEDS II matters.

Country Teams were successful in identifying and supporting political or technical Project "champions", who took the leadership role in preparing the city strategies, in monitoring the action plans, implementing pilot projects, and working on their sustainability. This was identified as a Lesson Learned after Phase I, with the need identified for more of this. Local government "champions" were more recognized in Phase II, with, for example, prizes during the exchange events.

> **Quote 9… At the beginning we were not sure what is this stage about … then it became clear that it is about obtaining funding for the projects to start implementation ……. I think both the model and satellite cities would benefit from concrete projects/ implementation of their LEDS strategies ….**
>
> A representative of a municipality

The project has ensured strong synergies, including with other, related, ICLEI- managed projects. This applies in particular the "*CapaCITIES*" project and the ACP Project:

- India (CapaCITIES project): The integrated ClimateResilientCities (CRC) climate action planning process developed by ICLEI SAS was integrated with the GCC programme methodology – now focusing on integrated adaptation and mitigation planning, as discussed. Lessons from four cities under the CapaCITIES project were shared with Urban-LEDS II, and the experience of Urban-LEDS II cities of Coimbatore and Rajkot in integrated climate planning was to be replicated in other cities;

- Indonesia (ACP): Urban-LEDS II shares its NPAG with the ACP (and later also with the 100% Renewable Energy) project in order to facilitate synergies. ACP co-founded the Talanoa Dialogue series of Urban-LEDS II. Furthermore, Urban-LEDS II cities also benefitted through sharing among the cities which enabled them to learn about the citizen engagement strategies.[62]

A few respondents commented that the lack of information on UN-Habitat programme activities has hindered partnership building.

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62   ACP Satellite Cities in Indonesia. ICLEI SEAS facilitated a study tour to Indonesian cities on 23-27 April 2019, involving both cities from Urban-LEDS in Lao PDR, and cities from the ACP project. Also, the three ACP cities (DKI Jakarta, Bekasi, and Tangerang) visited the Urban-LEDS model cities of Bogor and Balikpapan in April 2019 to learn more about their LED activities. On the other hand, DKI Jakarta served as resource city during a mobile workshop in April 2019 showcasing its initiatives on transport and climate village

The focus of the Phase II was slightly unclear to several interviewees from the model cities that were part of the Phase I, at least at the start of the second phase. (see Quote 9). While according to the Project document, *"… the focus will be on realizing quick wins in terms of mitigation, ..The aim is to support finalization of quality local project preparation, financing feasibility studies, linking the Urban LEDS to statutory city planning, and activate TAP…"*,[63] a number of interviewees reflected that the second stage is about "*getting funding*", others strongly associating it with the pilots' implementation, etc. These points to potential challenges in communication at the start.

The project could be more visible to the stakeholders involved and to a wider spectrum of the potential stakeholders that it is not working closely with currently. EU visibility could be stronger. The Communications and Visibility Plan was updated, following feedback from the PSC. It is used by the consortium to ensure a coordinated and cohesive approach in the Project. The updated Urban-LEDS II website was launched with a refreshed design in March 2019. This is rather recent and so the benefits still need time to materialize: at the time of the MTE, the majority of the interviewees thought that the Project could be more visible, with, for example, regular newsletters sent electronically to all potential stakeholders, more visible events that would raise the clout of the project to the deserved level, more outreach to potential partners, attendance of the relevant events in the countries, etc.[64] EU visibility could be stronger as well. Some of the interviews for the MTE were not aware that the project is funded by the EU and a number of them associated the project with ICLEI only.

The monitoring and reporting on the implementation of the Project is timely and overall adequate, but the quality of the narrative reports could be substantially improved. The M&E framework could have more focus on outcomes instead of outputs. While the narrative reports are produced in a timely manner their quality could be substantially better with less process- related information and more focus on results. The M&E framework features a large number of output indicators instead of Outcome indicators.

Some city administrations did not have a good idea about the roles and responsibilities of the parties involved and had incorrect expectations about the management of the project. The Project staff could be more actively engaged in the project implementation, but that will require more travel. The Project would benefit from more frequent visits to the partner cities (which will require increased travel budget) of the Project management (from the global, regional and country teams) and advisors; otherwise the approach currently has left some of the respondents of the survey/interviews think of it as "*too distant*". This echoes with one of the Lessons Learned from Phase I, namely that "*Intensive discussion and guidance of local governments in partner cities is needed throughout the project…*". There should also be clearer elaboration of the expectations of the cities and the roles as part of the Memorandums of Understanding (MoUs) with the Ministries signed. The MoUs specified "facilitation" and "coordination", rather than substantial commitment. Several city representatives reflected that their workload had increased, together with the desire for the Project to fund resident advisers, while the Project expected for the city administrations to co-lead the implementation and at the same time hiring service providers for specific tasks, e.g., on GHG-Is. The Project could engage university graduate students as on-site consultants more: this has proven useful, as discussed.

The TORs for the PAG members were not clear enough as to which decisions are mandated to be taken to PAGs for their advisory opinion, and which are not. Also, from the observations of the NPAG meeting in Rwanda, it could be concluded that the *advisory* rather than *decision making* role of the NPAGs was not entirely clear to all the members. This was certainly affected by the fact that the respective agencies had sent different people for each NPAG meeting, and so the continuity was lost.

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63   Urban-LEDS, Phase II, project document, page 7.

64   In particular, the donors and partners should be informed about the structure/governance of the project, with, also summary progress reports every three months; a list of events with agendas of events should be sent in advance

4.3.3 Delivering on budget

Overall, the project was delivered on budget and was delivering value for money (VfM). There is no major overspending by specific budget lines. The delivery rate at 50 percent at the time of the MTE (by March 2019) is satisfactory for mid-term. There was underspending by several ICLEI offices, as the actual implementation at city level was yet to gain more speed in Year 3. The quality of project deliverables was overall high. Many of them have been presented to and appreciated by global audiences. The majority of the interviewees thought that the Project is delivering VfM, but several of them commented that there should be more spending in the countries rather than in the regional and global centers. The Staff costs were around 12 percent of the budget of the implementing agencies while the indicative budget per country is around 0.7-0.8 million USD. This proportion looked reasonable, albeit too stretched, which implied that that the workload at the regional centers and headquarter level might not be understood well. Many interviewees for the MTE argued that the project needed more funding for travelling; currently staff travel budget is at USD 235.776, which is clearly low, but in line with the overall budget constraints.

The case with pilots demonstrated that the desire to spend the budget according to the planned timeframes (not helped by the fact that the budget was split equally for each year) resulted in modifying the sequencing along with the TOC. While it is desirable to spend the budget in a proportionate way, rushing certain elements of the program disturbs the intended TOC and that is not a desirable outcome.

4.4 SUSTAINABILITY PROSPECTS FROM FINANCIAL PERSPECTIVE

Programmatic sustainability

Working with cities will be always a priority under NDCs, and that is a strong factor contributing to sustainability prospects of the Project. The average rating for the potential for sustainability by the survey respondents was high (4.13 out of 5).

The extent of national ownership is strong, providing a good basis for the prospects of sustainability. Throughout all activities, the strengthening of *national ownership* of climate action was to be an underlying principle, according to the Project Document. The Project was mostly in compliance with this principle: the PAGs, representing various national stakeholders, guide project implementation;

- the key documents were mostly developed jointly by the project staff and the local staff of the city/national governments, in a manner of knowledge "co-creation". However, in some cases, service providers were engaged to perform certain tasks, e.g. GHG-Is: while this might be quick, it was not always ensured that the municipality staff were able to update these inventories themselves: the interviewees split in their views on whether this was the case;

- According to the Project Document, the Project was to target and include civil society, the private sector and academia in a participatory manner in planning and implementing the interventions, with this *"… 'good governance' approach….an explicit goal…"*[65]. The extent of this has differed from a very active involvement (e.g. in India and in Brazil) to limited (e.g. in Rwanda). In the Lao PDR academia was actively involved, but by chance of the hired national consultant being an active representative. Private sector was engaged the least in all countries; and

- In some countries, e.g. in South Africa, the municipalities had agreed to co-fund the pilot projects (for example, in KwaDukuza, the municipality used mostly its own money for the municipal library, with only a small contribution by the Project). In a few countries, discussions were underway on the governments' (co)funding the proposals prepared for TAP (e.g., in Balikpapan, Indonesia, for a project proposal on waste to energy): these were strong indications of national ownership. Also, there were only a few examples, where the Phase II municipalities replicated the pilot projects started under Phase I, e.g., KwaDukuza (South Africa) on waste recycling scheme.

The overall awareness of the local climate action was raised with interest triggered. This is an important factor for sustainability *(see Quote 10).*

> **Quote 10 ... Climate change was not a much talked about topic within the municipality and its communities such that it was not even integrated in most of the municipal projects. However, since Urban LEDS Phase II coordinated with other climate initiatives, the municipality has now started to gain knowledge around the climate change as a concept and begin to plan and develop Low Emission Developments Strategies and Green Projects**

   A representative of a municipality

The Project was doing its best to ensure adherence to the national standards related to inventories, vulnerability analysis and reports this is a strong contributor to sustainability. Indonesia and India are good examples of this, and even thought here were certain issues in some countries (e.g., in Colombia), the Project's was investing significant efforts to overcome these. A few respondents had commented that the project needs to tap also into green procurement issues, to boost sustainability of local climate action.

Most of the municipalities have formed core teams/ committees for climate change (with different names) having learned the importance of that for the sustainability for this and similar projects. This has helped with the coordination between different departments and also made sure that the identified priorities are not affected by the change of the mayors as a result of elections *(see Quote 11).* The Project cities have also formed coalitions among the cities (e.g. in Brazil). These were proven mechanisms worthy of replication elsewhere.

> **Quote 11. ...The challenge of "institutionalizing' climate considerations in city's planning and developmental process was overcome through formation of 'core climate committee' and stakeholder committees at city level. This helped in getting buy-in from political and administrative sections...**

   A representative of a municipality

Better data availability on emissions with GHG-I and having high quality CRVAs and LEDS have proven to open up opportunities for the municipalities in terms of other projects and funding, enhancing sustainability prospects. The case of Rajkot is a good example, which under Urban LEDS Action Plan (Phase I) is committed to reduce its GHG emission by 25 percent by 2019 as compared to its baseline of 2012. This, together with the capacity enhancement under Urban LEDS I, led to Rajkot receiving several opportunities to work with various international organizations and projects for climate resilient development.[66]

Lessons need to be captured continuously and shared. The Project Document stressed the Project's aim of *"... The successfully tested Urban-LEDS approach in the context of emerging economies will be expanded into four new countries..."*[67]. To ensure this, the Project needs to continuously test and document the successful approaches, going deeper than a news article, delving into the factors and transferable solutions. Rigorous assessments of different approaches (e.g. in terms of the pilots, avenues of support for project packaging, for obtaining climate action finance, etc.) are needed to undertake this. There are already some examples, such as the development of an Advocacy Strategy to guide multilevel governance in Sub-Saharan Africa, based on experience from the Project.

Sustainability prospects from human resource perspective

Human capacity was being developed in targeted countries- an important factor for the sustainability. of the Project's results, but the approaches employed could have been more systematic with institutionalization in mind. Continual and ongoing capacity building (rather than one-off at the beginning of the project) was identified as a need in Phase I and it was acted upon in Phase II. The capacity was being built in the countries with training and technical assistance. More is planned, with workshops, webinars, one-to-one handholding support, continued form the first half of the Project as well as part of the newly starting initiatives, like the LEDS Lab in Colombia and Brazil, which aims to build in-house capacity of city staff in developing bankable project proposals.

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66   E.g. "Sustainable Energy for ALL (SE4ALL) Building Efficiency Accelerator (BEA)"; "District Energy Systems (DES) in Indian Cities" (UNEP); "The Integrated Resource Management in Asian Cities: the urban Nexus", (GIZ), and has prepared pre-feasibility report in District Cooling Potential for city and implemented a District Cooling System in green field area development under Smart Cities Scheme etc. It was awarded as "National Earth Hour Capital" of India since last two years by WWF's global initiative "One Planet City Challenge"

67   Urban-LEDS, Phase II, project document, page 3.

The feedback from the interviewees was that they learned new concepts and that the exposure gave them new perspectives with an above average rating of the effectiveness of the capacity building efforts (3.81 out of 5), but that, the training as implemented is not enough, especially given the new demands. Even in the most success case of Indonesia, the Project's own report mentioned the need for additional training. Besides, the staff change, retire, etc. The Project neds to identify sustainable mechanisms for continued training, e.g. through the associations of local governments and invest in ToT.

Sustainability prospects from financial perspective

The risks to financial sustainability of the pilots are low in all countries. As for the updates of LEDS and their implementation, in contrast the Phase I countries, in the new countries there are more risks to financial sustainability. The risks to financial sustainability of the pilots are low in all countries. These were selected by the municipalities, reflecting their priorities and often are part of local development plans; and makes it likely that the necessary Operation and Management expenses will be allocated. As for the updates of the LEDS and financial sustainability of the LEDS implementation *per se*, in the LDCs there are naturally more risks to financial sustainability. But here as well, the countries are on a growth path and the environment/climate change are highlighted priorities (plus Rwanda receives support from NDCP).

4.5 INTEGRATION OF CROSS CUTTING ISSUES

The Project is having strong contribution to cross-cutting issues of human rights and good governance. Good governance especially at city-level and regarding the cooperation between state and sub-state levels of the governments was a development co-benefit that the project contributed to. The principles of participation and transparency were also upheld within the Project's climate planning and action components, e.g. by promoting publicly available data on emissions. While improving communication with the communities was mentioned in several interview as something that needed to be improved, given that only strong demand for climate action by the citizens assurances for

sustainability, the CRVAs were conducted in consultation with the residents (with, for example focus groups) and so, the perspectives of the residents got reflected in the documents (e.g. in Brazil): this is also an example of good governance. Phase II connects the LEDS approach to climate change adaptation and resilience as a secondary theme, ensuring an integrated approach within the wider sustainable development efforts, exploring and addressing the resilience of the most vulnerable sectors of society in order to take effective climate action (e.g. through pilot initiatives, increasing their energy security in a sustainable and climate change adaptation sensitive manner, helping them with reduced air pollution, etc.): this is also in line with a rights-based approach.

The Project was having strong contribution to cross-cutting issue of environmental protection. The Project is targeting climate change mitigation and, to a limited extent adaptation and resilience: environmental protection is a clear implicit goal. The latter is addressed for example through ecosystem-based approaches to mitigation and resilience, as well as waste reduction and the reuse of resources.

The Project was having limited contribution so far on gender equality and youth: there were clear avenues to pursue to improve this. The Project intended to tackle gender issues by: (i) supporting government planning, implementation and budgeting on climate action, specific to gender, where appropriate, (ii) capacity building with the public sector, including women's organizations, and (iii) disaggregating data by gender. Except for Rwanda, there are no cases of gender mainstreamed LEDS, gender-based budgeting for climate action, and even gender-based disaggregation of the reported results along the indicators. All of these were avenues for improvement in the next half of the Project. In Rwanda, the Project was helping to develop climate change budget annexes for all Districts incorporating a gender annex. Also, certain pilots will have an identifiable impact on women, e.g. the health center in Muhanga (Rwanda), where the maternity ward will get hot water supply: it is important to capture the results by assessing the impact. Supporting government planning, implementation and budgeting on climate action specific to gender, where appropriate, was planned to start in year 3 as part of CAP related work, but many CAPs were already under development and so the preparatory stages should have included working on "gender" issues.

4.6 PARTNERSHIPS

The Project has been overall efficient in building partnerships. But there is room for improvement, especially in terms of engagement in the countries with the UN agencies, wider spectrum of government agencies, associations of municipalities and businesses. The Project has built effective partnerships globally, regionally and in the countries: this was discussed in the previous Section, since it is one of the Project Components. It was also demonstrated that the Project has been successful in building good partnerships with the counterpart government ministries/agencies. At times, this was facilitated by choosing well-linked national consultants such as in Indonesia and Lao PDR. As discussed in the previous Section, a closer engagement with UN agencies, and UNDP in particular, was needed as it was often the UN agency closely involved in NDC revisions, as well as SDG processes' coordination. Based on the successful example of Indonesia and South Africa, in all countries, closer engagements were needed with the associations of municipalities. The engagement with a broader spectrum of government agencies, including for example, the ministries of construction (given that in several countries the Project supports green buildings' related pilots), health (given that in several countries there are pilots on hazardous/medical waste management being discussed), government bodies in charge of biodiversity preservation and DRM (given that CAPs often address these issues), etc. This would help to increase the likelihood of the scaling up of the pilots and their sustainability. And finally, the engagement with the private sector and their associations could also be stronger, for example promoting voluntary standards: ABSOLAR in Brazil was a rare case of this, with a plan to create a manual on best practices and policies on the ways to promote the use of solar energy.

The Project's ties with the EU delegations locally could have been stronger. The level of engagement with the EU Delegations locally differed, ranging from quite closely involved as in Lao PDR to almost non-existent as in Bangladesh. A closer engagement could help leverage other EU projects, as well as engage the EU Delegations to help resolve bottlenecks, such as with the IUC.[68]

4.7 COHERENCE

Discussion under the Subsection 4.2.1.3 (under "Effectiveness" Section, related to Objective 4/Intended Result 5) relates to coherence and should be reviewed together with this section.

The Project is coherent with other global action on climate change. In particular, it is coherent with the UN Framework Convention on Climate Change and its core data partners, GCoM (also supported by the EU, both globally and regionally) as well as NDC and many others. The Paris Climate Package (Annex III), including the Paris Agreement and the related Decision 1/CP21, is acknowledged for its inclusive nature. It recognizes the importance of engagement at all levels of governments and the vital role of all Non-Party stakeholders, including cities and other subnational authorities. Increasing focus can be found on the issue of climate change mitigation and/or adaptation in cities, with more emphasis on broader nature of climate action and co-benefits, and hence, the Project was in sync with global priorities.

The Project worked closely CDP on voluntary reporting. The GCC programme data was collected via the CDP-ICLEI unified reporting system (directly feeding data into the UNFCCC's NAZCA platform),[69] through voluntary reporting by cities, including via the Urban-LEDS II. Publicly reported data was automatically shared with ICLEI. The streamlining of ICLEI's carbonn Climate Registry (cCR) and CDP's reporting platform, from April 2019, allowed the local and regional governments to report through one simplified entry point, facilitating benchmarking around the globe, with the system becoming more enabling in terms of tracking the efforts to reduce GHG emissions and build resilience to climate change. ICLEI supported the reporting[70] and ensured data validation, quality control, data aggregation and analysis.

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68   ICLEI SAS is liaising with the EU wing of the Economic Relations Division (ERD), Planning Commission to engage the national government

69   https://climateaction.unfccc.int/

70   ICLEI regional offices supported local governments in reporting to the CDP-ICLEI unified reporting system, while ICLEI WS provided virtual technical assistance, e.g. with the joint webinar with CDP: "Ahead of the curve: Risk monitoring and adaptation planning in cities" May 2019

The Project was active in building synergies with other urban climate actors and initiatives (in country, in additional countries, regions and globally) with a potential added/multiplicative benefits for the Project and the view of expanding the International Urban-LEDS city network and, wherever possible, connecting it to other global city networks, especially the EU-funded GCoM, At the same time more synergies could have been explored with the related EU programmes. The Project worked closely with the World Wildlife Fund (WWF)'s One Planet City Challenge (OPCC).[71] As part of a working group created with the support from the UNFCCC, ICLEI is partnering on several activities with the GCoM Secretariat, as part of the CB-CAMDA[72], and other initiatives, with the aim was to ensure consistency in methodologies used, when dealing with data. The Project worked overall well with GGGI: (a) CRVAs produced under the *Green Cities Project* of the latter in Lao PDR in the cities of Kaysone, Phomvihane, and Pakse[73] were to serve as inputs to Urban-LEDS II supported CAPs; and (b) under the *GGGI's Green Secondary Cities Programme* in Rwanda, GGGI together with the Rubavu District had designed a public open space as part of accelerating urban sustainability (to be funded by the national Government), while Urban-LEDS II planned to accelerate access to public open spaces through the implementation of a demonstration project; plus, the 3rd National Urban Forum report (May 2019) in Rwanda was developed in collaboration with GGGI.   At the time of the MTE, cooperation was initiated, with the following initiatives, among others:

- *Under2 Coalition – The Climate Footprint Project,* implemented, *inter alia,* in Brazil, South Africa, and India, with the main objective of analysing and developing an MRV framework for NDC implementation, integrated with subnational levels. Already the first Multilevel Governance Dialogue on integrated MRV for emissions and actions was held in Brazil in August 2019;

- *VICLIM project (GIZ),* for which South Africa and Indonesia are target countries, already resulting in a joint publication with case studies, including the development of a national Monitoring and Evaluation (M&E) System for vertically integrated reporting in South Africa;

- *Global 100% Renewable Energy Cities & Regions Network,* with Belo Horizonte, Betim, Sorocaba (Brazil), and Valledupar (Colombia) as part of it, through the CDP-ICLEI unified reporting system: potential synergies related to scaling up renewable energy related pilot projects;

- *City Climate Planner Program (CCPP),* a new training and certification program of the WB (including on developing GHG-Is), being rolled out globally, with certification provided to professionals (ICLEI had contributed to web-based modules for introductory training).[74]

- *Global Platform for Sustainable Cities,* launched by the Global Environment Facility (GEF) and led by the WB during GEF 6 (with ICLEI as a member of the Resource Team, and the project contributing to Urban-LEDS II webinars), focusing on GHG-Is for cities, sustainable transport, as well as integrated planning for sustainable urban development: *Climate and Clean Air Coalition (CCAC)* and its *Breathe Life Campaign;* The Paris Committee on Capacity Building; and Investors on Climate Change.

The project has been active in building synergies with the EU bilateral programmes. For example, in South Africa, project alignments were identified in Nelson Mandela Bay Metropolitan Municipality and Steve Tshwete Local Municipality with AFD-led initiatives, including a climate jobs incubator in the latter. Other synergies with AFD were mentioned earlier, including "The Cities and Climate in Africa (CICLIA)" of the AFD agreeing to include Rwanda in the list of target countries.

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71   Sustainable transport and mobility were the themes of 2018. Two Urban-LEDS cities - Belo Horizonte (Brazil) and City Rajkot (India) were among the winners. In South Africa the Project partnered with OPCC to co-fund events that target building capacity for local climate finance. In Indonesia the Project supported climate reporting through the CDP-ICLEI unified reporting system in July 2019

72   ICLEI WS experts provided input into the draft CAMDA report

73   GHG-I and CRVAs were planned to be conducted by GGGI in Pakse city and only CRVAs in the others, along with the national MRV system

74   ICLEI, WRI and Green Building Certification Inc. (GBCI) are exploring the roles and responsibilities of each partner in this new unfunded phase

The examples of cooperation with GIZ include the VICLIM project, mentioned earlier and joint training events, for example, the regional Workshop *"Integrated Resource Management in Asian Cities – The Urban Nexus.*

The Project has demonstrated successful examples of synergies in the countries, but these could have been more if the Project was more visible and proactive. At the same time, the net could have been cast wider. Examples of in-country synergies have already mostly been mentioned, but there are others to mention also, for example: (a) in Brazil, Baanko and Avina run an innovative hub on circular economy: the Project team invited three cities (Sorocaba, Belo Horizonte, and Fortaleza) to join; (b) in South Africa**,** the Project identified potential synergies with the United States Agency for International Development (USAID)'s SA-LED Programme, e.g. with regards to undertaking a construction and demolition waste audit in Saldanha Bay Local Municipality (a project city for both); (c) in Rwanda, synergies were explored with the *Young Farmers Initiative* through their *Tire Recycling Project (*on upcycling and repurposing tires), and the "Emerging and Sustainable Cities Program of the Inter-American Development Bank in Colombia and Brazil. Other synergies could have been explored, most importantly with: (a) UN-Habitat projects in the countries where the agency does not have representation; and (b) other initiatives such as UN Global Compact; Climate Initiative Bonds; UNEP's Climate Initiatives Platform; MobilizeYourCities; World Cities initiative and R100 (the latter closed in the summer of 2019, but before that, in Kigali (Rwanda) it had helped developing a Resilience strategy).

4.8 EU VALUE ADDED

Project was overall coherent with the EU strategy and projects in the countries, but opportunities for synergies have been utilized to limited extent until now. The Project was overall coherent with the EU strategy and projects in the countries. These mostly did not work at the municipality level, but there were relevant projects working with the central Governments, and so opportunities for synergies in relation to the efforts of the Project to promote multilevel governance: these could have been exploited better.

Apart from GCoM, the synergies with other EU-funded initiatives include mainly the following:

1. *"Sustainable Energy for All (SEforALL) programme." Its District Energy Systems initiative,* focuses on developing a deep-dive in the City of Thane and the *District Energy in Cities initiative* in the City of Rajkot (India) and City of Thane (India), benefitting from technical support on district cooling: it was planned that the lessons will be shared with other Urban-LEDS II cities. There was cooperation with the *Building Efficiency Accelerator (BEA)* of the *SE4ALL,* under which the City of Nagpur (India) was supported with deep-dive assistance related to energy efficiency in building sector. KwaDukuza (South Africa) – a BEA Member city – was also receiving technical assistance on green buildings through both BEA (providing benchmarking opportunities and training with other member cities) and Urban-LEDS II (funding a demonstration project); and the *Asia LEDS Partnership[75]* hosted by ICLEI SAS, ICLEI SEAS, and ICLEI EAS, focusing on subnational integration for implementation of NDCs: synergies were planned and already, the City of Rajkot (India) participated in a few events.[76]

These activities contributed to the cooperation between EU and partner country cities on sustainable urban development. More opportunities are present in the countries, if the Project was proactive, approaching the EU delegations at the onset, identifying and acting on all the EU initiatives with the potential of synergies.

The Project could have added benefits to what would have resulted from Member States' interventions only; if synergies with the EU Global Climate Change Alliance Plus (GCCA+) and its part- the EU LOCAL programme were utilized. The Project falls under the Global Climate Change Alliance Plus (GCCA+) flagship initiative which concentrates on three priority areas: (a) mainstreaming climate change into poverty reduction and development efforts; (b) increasing resilience to climate related stresses and shocks; and (c) supporting formulation and implementation of concrete and integrated sectoral based climate change adaptation and mitigation strategies.

75   the Asia regional chapter of the LEDS Global Partnership,

76   A workshop on "Financing NDC Implementation through Blended Finance and Green Bonds", and also presented its achievements and experiences in holistic climate action planning, integrating climate mitigation and adaptation, in a webinar on "Integrating Climate Action Planning with National Level Ambitions: Key Learning from Southeast Asia and India".

The GCCA+ operates on a two pillar-approach: i) policy dialogue and ii) technical and financial support to the implementation of national climate change adaptation and mitigation policies. It helps countries, to increase their resilience to climate change, to reduce disaster risks and to enhance mitigation efforts related to countries' INDCs/NDCs and mitigation co-benefits. It is being implemented in Rwanda, Lao, and Bangladesh. The need to establish synergies with GCCC+ were mentioned in the Project Document, since synergies could enhance the LEDS II project in those countries, including multilevel governance and formulation of LEDS/CAPS, as well as links to SDG processes.

The project could have also utilized the synergy potential of the EU program *"LoCAL (Local Climate Adaptive Living Facility (I and II)"* – part of GCCC+, implemented in 14 countries, including Bangladesh and the Lao PDR. This UNCDF Facility provides a country-based mechanism to increase awareness and response to climate change at the local level, integrate climate change adaptation into local governments' planning and budgeting systems in a participatory and gender-sensitive manner, and increase the amount of finance available to local governments for climate change adaptation. LoCAL combines: (a) performance-based climate resilience grants, which ensure programming and verification of climate change expenditures at the local level, with (b) technical and capacity-building support. It uses a demonstration effect to trigger further flows for local adaptation, including national fiscal transfers and global climate finance for local authorities, through their central governments. Synergies with LoCAL in these two countries could enhance the Urban LEDS II efforts with the formulation and implementation of LEDS/CAPS.

Other potential synergies with the EU include, among others: (a) carbon market instruments through the WB Partnership for Market Readiness in Brazil; (b) EUROCLIMA+ (Combatting climate change in Latin America) in Colombia and Brazil; and (c) CDSC (clean development and sustainable cities) in India.

5. EVALUATIVE CONCLUSIONS

The project is very relevant in its concept, but certain elements in its design could have been better elaborated (e.g. on funding of climate action, where a broader spectrum of avenues could have been explored; and using institutionalized mechanisms of delivering training). The Project is making good progress towards its intended results.

- *City-level climate action was often integrated into the NDCs/ equivalent documents of the participating countries: the project's contribution was strong, but indirect mostly, so far. The project has progressed towards the development and application of a harmonized MRV approach in the participating cities.* For a not large project compared to its ambitions, it was triggering important process level changes at the city municipalities (by capacity building, by supporting GHG-Is and CRVAs, and, in some countries already, LEDS/CAPs) working with them directly, as well as through improving the vertical cooperation and coordination. Having large number of committed to climate action cities is already an important achievement. It will take time for the process level changes to transform into performance level improvements, but this was already happening in a number of countries, such as Indonesia and India, where the Project cities were viewed as changemakers by the national governments, and with the national level of the governments closely involved. Due to different contexts in these countries and timeframe of joining the Project, the speed of these process changes varied. There is a certain trade-off in supporting countries with the larger capacity building needs (Lao PDR) and not as much (Colombia): the potential of impact in the former case is larger but the support needs to be very targeted;

- *The capacities of urban stakeholders in all countries to implement climate action through international, regional and national, state and city level cooperation on urban climate action has increased.* This was happening at different speed given the country contexts, e.g., the extent of the needs in capacity development, including the countries from Phase

I, calling for modified approaches related to institutionalization of training. More focus could be put on south-south collaboration and opportunities for learning from the EU cities on one-to-one basis; and

- *The project was having a significant contribution to increased international, regional, national, sub-national and local government cooperation on urban climate action (UNFCCC, GCoM, CDP, etc.), leading to an increase in urban stakeholders' capacity to implement climate change.* With this the Project was mostly coherent with the related global and regional agenda and in-country initiatives. There are more opportunities, however, to pursue.

The Project has been overall efficient in building partnerships. But there is room for improvement, especially in terms of the engagement in the countries with the EU delegations, and UN agencies, a wider spectrum of government agencies, associations of municipalities and businesses. Overall, the Project is dealing with good level of flexibility to the heterogeneous contexts in the countries. The Project could have added benefits to what would have resulted from Member States' interventions only (*EU Value-added*), if potential synergies with the EU Global Climate Change Alliance Plus (GCCA+) and LoCAL, among other initiatives, were utilized. The visibility of the Project needed more attention: this, together with the cooperation with a wider spectrum of partners locally could help to attract more support to the cities and enhance the effectiveness of the Project and the sustainability of the results being achieved. The extent of national ownership was strong, providing a good basis for the prospects of sustainability, but there was room for the evidence of the willingness to scale up the promising results of the Project by the governments of various levels. At this midpoint, it is recommended to take stock, reflect and possibly make certain minor modifications to the design along the recommendations made in the next section. Table 8 below summarizes the ratings along the main valuation criteria.

Table 8: Rating by Evaluation Criteria

criteria	Rating	Minor issues
Relevance	Relevance of the project: Highly Satisfactory Relevance of design: Satisfactory	Certain issues with the design of a few components: (a) Delivery of training; (b) Facilitating climate finance; and (c) Selection criteria for pilots in particular
Effectiveness	Satisfactory	Good progress but explicit links to /NDC revisions not strong as yet. Certain activities (e.g., completion of CRVAs and GHG-Is) lagging behind plans, five indicators delayed
Efficiency	Satisfactory	Some delays. Issues with visibility and communications.
Sustainability	Satisfactory	Training is not put on sustainable footing
Cross cutting issues	Satisfactory	No gender disaggregated data so far; developed LEDS not gender mainstreamed
Partnerships	Satisfactory	Limited in-country partnerships (e.g., with UNDP and other UN agencies), with EU Delegations
Coherence	Satisfactory	Limited in-country efforts to link to SDG processes/monitoring
EU value added	Partially Satisfactory	Links with related EU projects could be stronger. No links GCCC+ and LOCAL in particular

6. LESSONS LEARNED

The following summarizes the Lessons Learned:

- Successful cooperation with city administrations, coupled with good visibility, could potentially unlock funding and cooperation with these cities by other partners as illustrated in the case of the city of Rajkot;

- Flexible approach, strong adaptive management and working with a large spectrum of stakeholders could help with advancing the LED agenda even in the most challenging environment;

- Moving from solely mitigation to include also adaptation, has increased the relevance of the Project for the countries, especially for the LDCs and resulted in stronger buy in;

- The level of ambition should be commensurate with the budget and timeline. Otherwise, the projects risk spreading the resources too thin and ultimately lead to reduced effectiveness;

- While tackling systemic challenges, such as financing for climate action, comprehensive approaches need to be explored, with all the avenues pursued;

- Specific efforts to bridge ties with NDC and SDG processes have proven to yield results; these should be analysed and replicated;

- The objective of sustainable and scaled-up results, should be supported with specific measures, e.g., embedding the training in local institutions, etc.

7. RECOMMENDATIONS

Corrective Actions

1. *Enlarge the scope of the component supporting the municipalities with funding for climate action.* Work with the national governments to identify the options of enhancing intergovernmental finance in support of local climate action. Investigate funding options from private sector, ESCOs, investment funds and V-NAMAs, state guarantee schemes, etc. Potentially engage with more specialized partners in this. Organize more local rather than global project pitching events.

2. *Support the municipalities more with (pre)feasibility studies and packaging bankable proposals.* Potentially engage with more specialized institutions.

3. *Include the representatives of the national governments in the P2R exchange/networking events.* This will help with the buy in and provide an exposure to successful cases of more active involvement of the national government in supporting local climate action, which could then be potentially borrowed. Jointly, with the local government representatives, learning could potentially have stronger benefits, rather than having events for the national governments only.

4. *Boost the sustainability prospects of the capacity building, by engaging with institutions which provide (re)training of municipality staff.* This could be associations of municipalities and/or state institutions.

5. *Find ways to support the satellite cities more, including more facilitation of the model-city-satellite city learning.* For this too, work more closely with the associations of the municipalities, putting this cooperation on a sustainable footing.

6. *Institute clear criteria for the selection of the pilots.* Potential for scaling up should ideally be part of this together with the learning potential, link to the CRVAs, and contribution of the local governments.

7. *Institute a clear follow-up mechanism for EU study tours (apart from the planned webinars) and other exchange visits.* Consider having a small number of carefully selected visits of the representatives from the cities in the Global South to the EU cities and vice-versa;

8. *Boost the efforts aimed at heightened visibility of the project in countries and globally.* In particular, use newsletter updates sent to the current and potential stakeholders. Ensure that the project staff attends important thematic events in the countries.

9. *Establish synergies with the EU GCCC+ and LOCAL and other EU projects.* Actively engage with EU delegations locally to identify other opportunities.

Strategic Recommendations

1. *Expand the cooperation with the Government departments in charge of DRM, biodiversity, wastewater and waste management, and international partners working in these areas.* For example, explore synergies with the Africa Caribbean Pacific – European Union (EU) Natural Disaster Risk Reduction (NDRR) Programme and the European Commission's Disaster Preparedness ECHO programme (DIPECHO), as was envisioned in the Project Document.

2. *Cooperate more with universities, particularly those with relevant expertise that are located in the model and satellite cities, e.g., engaging their graduate students as on-site consultants.*

3. *Enlarge the list of countries whose experience is shared with the Project countries.* Cost effective mechanisms, could be utilized, like inviting speakers.

4. *Review and potentially revise the list of indicators, ensuring that they capture the Project contribution, and are not ambiguous.*

ANNEXES

Annex 1: Terms of Reference

Background and Context

United Nations Human Settlements Programme

The United Nations Human Settlements Programme (UN-Habitat) is the specialized programme for sustainable urbanization and human settlements in the United Nations system. Its mission is to promote socially and environmentally sustainable human settlements development and the achievement of adequate shelter for all. Pursuant to its mandate, UN-Habitat aims to achieve impact at two levels. At the operational level, it undertakes technical cooperation projects. At the normative level, it seeks to influence governments and non-governmental actors in formulating, adopting, implementing and enforcing policies, norms and standards conducive to sustainable human settlements and sustainable urbanization. Its work is guided by successive six-year strategic plans.

In the current strategic plan for 2014 to 2019, UN-Habitat restructured its substantive work around the seven subprograms below, that corresponds to the its seven Branches.

i.   Urban legislation, land and governance

ii.   Urban planning and design

iii. Urban economy

iv.   Urban basic services

v.   Housing and slum upgrading

vi.   Risk reduction and rehabilitation

vii. Research and capacity development.

This mid-term evaluation of the project "Accelerating climate action through the promotion of urban low emission development strategies" is located in the Urban Planning and Design Branch. The Branch comprises the Regional and Metropolitan Planning Unit (RMPU), the City Planning, Extension and Design Unit (CPEDU) and the Climate Change Planning Unit (CCPU). The project is implemented by the CPPU in close collaboration with implementing partner ICLEI - Local Government for Sustainability (ICLEI), through the Project Management Group (PMG). 80% of project funds are transferred to ICLEI, a global network of more than 1,750 local and regional governments committed to sustainable urban development.

Project Description and Background

A growing portion of global greenhouse gas (GHG) emissions is emitted in cities. The Intergovernmental Panel on Climate Change[77] estimates that 71% to 76% of global carbon dioxide emissions from final energy use is attributable to activities in cities. To address the impact of this development on growing emissions and avoid the lock-in effects of high emission pathways, the European Union (EU) funded the Urban-LEDS Phase I project to support cities in emerging economies (Brazil, India, Indonesia and South Africa) to de-couple urban development and GHG emissions, and embark on a low emission development pathway. The Phase I Urban-LEDS Project was titled, ***"Promoting Low Emission Urban Development Strategies in Emerging Economy Countries"*** and was implemented from 2012 – 2015. Lessons learned from Phase I are based on practical implementation experience, as well as on the Project's Mid-Term Evaluation, and Final Evaluation.

The Urban-LEDS project Phase II aims to contribute to the reduction of greenhouse gas emissions and enhancing climate change resilience by the promotion of Urban Low Emissions Development Strategies (Urban LEDS) in cities/towns in emerging economies and Least Developed Countries. It builds on the Urban-LEDs project phase I and is implemented in countries continued from phase I (Brazil, India, Indonesia and South Africa) as well as in additional countries in Phase II (Bangladesh, Colombia, Lao PDR and Rwanda). Specific Expected Accomplished of Urban-LEDS Phase II are:

1. Enhance vertical and horizontal integration of climate action in support of National and Local strategies and policies.

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77   IPCC, 2014: https://www.ipcc.ch/report/ar5/

2. Support and guide selected local governments in developing and approving urban low emission development strategies in four new countries (Bangladesh, Colombia, Lao PDR and Rwanda) resulting in measurable GHG emission reductions and adaptation co-benefits.

3. Consolidate Urban-LEDS achievements in cities in existing (Phase I) countries (Brazil, India, Indonesia and South Africa).

4. Promote international, regional, national, sub-national and local government cooperation on urban climate action, leading to an increase in urban stakeholders' capacity to implement climate change.

Project Funding and Budget

The donor of this project is the European Union through the European Commission's Directorate General for Development Cooperation Commission (DG DEVCO), Unit C6 – Sustainable Energy and Climate Change. The project reference is DCI-ENV/2017/384-555. Total funding amounts to Euro Eight (8) Million over a four-year period extending from 1 April 2017 to 31 March 2021. Funds are managed by UN-Habitat, as the implementer, in close collaboration with ICLEI.

Purpose and Objectives of the Evaluation

The Mid-term evaluation is mandated by both the donor and UN-Habitat Management. It is also in line with the UN-Habitat Evaluation policy 2013. In addition, systematic and timely evaluation of EU programmes and activities is an established priority[78] of the European Commission[79]. The focus of evaluations is on the assessment of achievements, the quality and the results[80] of actions in the context of an evolving cooperation policy with an increasing emphasis on result-oriented approaches[81]. From this perspective, evaluations should look for evidence of why, whether or how these results are linked to the EU intervention and seek to identify the factors driving or hindering progress. They should also

provide an understanding of the cause and effects links between inputs and activities, and outputs, outcomes and impacts; and serve accountability, decision making, learning and management purposes.

This Mid-term evaluation serves both accountability and learning objectives. It is intended to: (i) provide evidence on whether the project is on track towards achieving the project's expected accomplishments and objectives; and to; (ii) enhance learning, identify constraints and challenges which may need corrective measures and improvement. The evaluation therefore will be formative, focusing more on functioning of the project processes, to understand how the project is working and producing its outputs and results. Key audiences of the evaluation are: UN-Habitat, EU Commission (DEVCO and EU Delegations to the countries where the action is implemented), Project Management Group (PMG), management of ICLEI offices involved in the project, targeted Local and Subnational Governments, national governments, and civil society organizations where the project is implemented.

The specific objectives of the mid-term evaluation are to:

I. Assess the performance of the project in terms of its progress towards the achievement of results at the expected accomplishment and output levels;

II. Assess the relevance, efficiency, effectiveness, outlook sustainability and impact of the project in integrating climate action in regional, national and local strategies and policies;

III. Assess the planning, adequacy of resources, working arrangements and these may be impacting on the effectiveness of the project;

IV. Assess appropriateness of coherence, partnerships and coordination modalities in promoting international, regional, national, sub-national and local governments cooperation on urban climate action;

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78 COM(2013) 686 final "Strengthening the foundations of Smart Regulation – improving evaluation" - *http://ec.europa.eu/smart-regulation/docs/com_2013_686_en.pdf* ; EU Financial regulation (art 27); Regulation (EC) No 1905/200; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008

79 SEC(2007) 213 "Responding to Strategic Needs: Reinforcing the use of evaluation", *http://ec.europa.eu/smart-regulation/evaluation/docs/eval_comm_sec_2007_213_en.pdf* ; SWD (2015)111 "Bet

80 Reference is made to the entire results chain, covering outputs, outcomes and impacts. Cfr. Regulation (EU) No 236/2014 "Laying down common rules and procedures for the implementation of the Union's instruments for financing external action" - *https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/pdf/financial_assistance/ipa/2014/236-2014_cir.pdf*

81 COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change" - *http://www.europarl.europa.eu/meetdocs/2009_2014/documents/acp/dv/communication_/communication_en.pdf*

V.   Assess how cross-cutting issues such as gender equality, youth and human rights have been integrated in the project; Identify areas of improvement, lessons learned and recommend forward-looking strategic, programmatic and management considerations to improve performance of the project for the remaining period of the project.

Scope and Purpose

The evaluation will cover the planning, funding, implementation and reporting on Urban-LEDS phase II, starting from 1 April 2017 to the end of the 2nd implementation year. It will assess achievements of outputs and expected accomplishments (outcomes) so far, identify and analyse constraints, challenges and opportunities. Further, it will include assessment on how issues of gender equality, human rights, democracy, good governance, children's rights and indigenous peoples, environmental sustainability and youth have been integrated in the planning and implementation of the project.

Evaluation Questions based on the Evaluation Criteria

The evaluation will seek to answer the following overarching evaluation questions:

1.   To what extent is the project achieving its outputs and expected accomplishments?

2.   To what extent is coherence, partnership, collaboration and coordination at global, regional and national levels achieved and effective?

3.   What are critical gaps in respect to delivery of the project?

4.   What are recommendations for improvement.

The proposed evaluation questions will be supplemented with sub-questions along the criteria of relevance, effectiveness, efficiency, sustainability and impact outlook. Other criteria such as partnerships and coherence will be used in this evaluation.

Relevance

•   Is the project consistent with the EU and UN-Habitat policies and strategies?

•   To what extent is the project relevant to the needs and constrains of the targeted countries, regions and relevant sectors?

•   What is the relevance of the programme to beneficiaries targeted countries?

Effectiveness

•   To what extent is the project on track towards achieving its target results at output and expected accomplishment level?

•   Which factors and processes are contributing to achieving or not achieving the expected results (internal and external factors)?

•   How appropriate and effective are the partnerships and other institutional relationships with the main target groups in which the operations of the project are engaging?

•   To what extent has local capacity been strengthened so far through this programme?

•   To what extent are monitoring and reporting on the implementation of the project timely, meaningful and adequate?

•   How effectively is the project engaging with national governments to achieve desired outcomes on improving multi-level governance in project countries?

Efficiency

•   To what extent does the management structure of the project support efficient implementation?

•   To what extent is the project being implemented efficiently in terms of delivering the expected results according to quality standards, in a timely manner according to budget and ensuring value for money?

•   Are activities and outputs delivered in an efficient and timely manner? Specifically, what is the efficiency of the project for the development of capacity within target countries?

Sustainability

- To what extent is the capacity being developed in targeted countries in order to ensure sustainability of the project's efforts and benefits?

- How will the benefits of the project be secured for beneficiaries?

Cross cutting issues

- To what extent have cross-cutting issues of gender equality, human rights and youth consideration been integrated into the project design and implementation? #

- Are there any outstanding examples of how these cross-cutting issues have been successfully applied in the project?

Partnerships

- To what extent has coordination of project partners been efficient?

- To what extent have management structures been efficient in developing partnerships, also with other relevant projects? What needs to improve?

- To what extent is the project supporting the promotion of urban climate change mitigation and adaption in regional and global processes and networks?

Coherence

- To what extent is this project coherent with other global action on climate change?

- How has the project used the lessons learned and recommendations from evaluations of the Urban-LEDS phase I?

- To what extent has Urban-LEDS phase II coordinated with other EU and non-EU climate initiatives to create synergies and avoid duplication?

In addition, the evaluation will assess:

- The EU added value (the extent to which the EU Action add benefits to what would have resulted from Member States' interventions only);

- The coherence of the Action itself, with the EU strategy and projects in the different targeted countries and with other EU policies and Member State Actions, and other donors when relevant.

Stakeholders participation

It is expected that this evaluation will be participatory, providing for active and meaningful stakeholders involvement. Stakeholders will be kept informed of the evaluation process including design, information collection, and evaluation reporting and results dissemination. Key stakeholders will be involved either directly through interviews, survey or group discussions. They will be given opportunity to comment on evaluation deliverables.

Evaluation Approach and Methods

The evaluation should employ a mix of approaches and methods. A results-based approach, (Theory of Change Approach) should be applied to this evaluation; to demonstrate how the project is supposed to achieve its objectives by describing the causal logic of inputs, activities, expected accomplishments; and conditions and assumptions needed for the causal changes to take place. Also, the Context Input Process Product (CIPP) approach should be used to assess project implementation structures, procedures, collaboration, coordination, partnerships and targeted beneficiary needs. In addition, the evaluation should be inclusive, participatory and consultative with partners and stakeholders. It should be conducted in a transparent way in line with the Norms and Standards of evaluations in the EU and the UN system and the UN-Habitat Evaluation Policy.

Evaluation Methods

A variety of methods will be used to collect information. Methods used will be guided by Norms and Standards of the UNEG. They will include but not be limited to:

- Review of relevant documents in pursuit of specific data points or facts, including project documents, project logframe, key deliverables, meeting minutes, UN-Habitat work programmes, evaluations of the Urban-LEDs Phase I, COP21 documents, EU Delegation Agreement DCI-ENV/2017/384-555, etc.

- Key informant Interviews and consultation including possible group discussions to explore the perspectives of main stakeholder constituents. An interview protocol to cover key evaluation questions will be developed.

- A survey will be determined if it is necessary given the time constraints for this evaluation.

- Field visits in selected countries (TBD) Due to resource limitation, one field visit is expected to be undertaken to Europe to join a global project event at which many local authority beneficiaries and project staff will be present and available for engagement with the evaluation consultant

The evaluation consultant will describe expected data analysis and instruments to be used in the evaluation inception report. Presentation of the evaluation findings should follow a standard format of the UN-Habitat Evaluation report.

Evaluation consultant's skills and experiences

The evaluation will be conducted by an independent external evaluation consultant. He/she must have proven experience in evaluating project/programmes and should have knowledge of Results-Based Management and strong methodological and analytical skills. In addition, the consultant should have:

a. Knowledge in climate change issues

b. Extensive evaluation experience with ability to present credible findings derived from evidence and putting conclusions and recommendations supported by findings

c. Knowledge and understanding of UN-Habitat mandate and its operations

d. Knowledge and experience of projects of a global nature

e. Advanced academic degree in political sciences, communication, information technology, sociology or another relevant field.

f. Fluent in English.

Evaluation Management and responsibilities

Impartiality is an important principle of evaluation because it ensures credibility of the evaluation and avoids a conflict of interest. For this purpose, officers responsible for design and implementation of the project should not manage the evaluation process. The independent Evaluation Unit will manage the evaluation process, ensuring that the evaluation is conducted by a suitable evaluation team, providing technical support and advice on methodology, explaining evaluation standards and ensuring they are respected, ensuring contractual requirements are met, approving all deliverables (TOR, Inception Reports; draft and final evaluation reports), sharing the evaluation results, supporting use and follow-up of the implementation of the evaluation recommendations. The Climate Change Planning Unit will be responsible for supporting the evaluation by providing information and documentation required as well as providing contacts of stakeholders to engage with for provision of evaluation information. The Evaluation Reference Group, established as a consultative arrangement and having representatives of EU, UN-Habitat, and ICLEI, will oversee the evaluation process to maximize the relevance, credibility, quality, uptake and use of the evaluation. Responsibilities of the ERG will include:

- Acting as source of knowledge for the evaluation;

- Acting as informant of the evaluation process;

- Assisting in identifying other stakeholders to be consulted during the evaluation process;

- Playing a key role is promoting use of evaluation findings;

- Participating in meetings of the reference group;

- Providing inputs and quality assurance on the key evaluation products: TOR, Inception report and draft evaluation report; and

- Participating in validation meeting of the final evaluation report.

Provisional work schedule

The mid-term evaluation will be conducted during the period of June-August. The table 2 below indicates timelines and expected deliverables for the evaluation process.

Item	Description	Timeframe
1	Vacancy announcement and Recruitment of the consultant	April-May 2019
2	Inception phase, including formal document review, development of inception report	June 2019
3	Data collection phase and report writing. The phase will include a visit to Europe, where the consultant will engage with key stakeholders versed with the project that will be attending a project meeting from June 21 to 28 June 2019 (exact dates tbc)	June-July 2019
4	Final Mid-term Evaluation Report	July- August 2019

Key Evaluation Deliverables

The three primary deliverables for this evaluation are:

I. **Inception report** (not more than 15 pages). The consultant is expected to review relevant information including TOR and develop fully informed inception report, detailing how the evaluation is to be conducted, what is to be delivered and when. The inception report should include evaluation purpose and objectives, scope and focus, evaluation issues and tailored questions, methodology, evaluation work plan and deliverables. Once approved, it will become the key management document for the evaluation, guiding the evaluation delivery in accordance with UN-Habitat's expectations. The inception report should include:

- Context of evaluation
- Purpose, objectives and scope of the evaluation
- Theory of Change (Reconstruction of Intervention logic)
- Approach and Methodology for the evaluation
- Evaluation Questions and judgement criteria
- Data collection and analysis methods
- Stakeholder mapping
- Consultation arrangements to maximize the relevance, credibility, quality and uptake of the evaluation

- Field visit approach
- Work plan and timelines of evaluation

I. **Draft evaluation report (s).** The consultant will prepare draft evaluation report (s) to be reviewed and endorsed the Evaluation Reference Group. It should contain an executive summary that can act as standalone document. The executive summary should include an overview of what is evaluated, purpose and objectives of the evaluation and intended audience, the evaluation methodology, most important findings and main recommendations.

II. **Briefs and presentations of key findings,** for the meeting of Key stakeholders of the project in in Europe.

III. **Final evaluation report** should not exceed 40 pages (including Executive Summary). In general, the report should be technically easy to comprehend for non-specialists, containing detailed evaluation findings, lessons learned and recommendations.

Resources and Payment

The evaluation consultant will be paid a professional evaluation fee based on the level of expertise and experience. DSA will be paid only when travelling on mission outside duty station of the consultant. All travel costs will be covered by UN-Habitat.

Annex 2: Project Budget

Work Package Activities*	Sponsored Class	GL Code or Commitment Item	Commitment Item Description	2017-2021 Total Budget — Amount in Euros	01 April 2017-31 March 2019 Total Expenditure — Amount in Euros	01 April - 31 December 2017 Expenditure — Amount in Euros	Total Expenditure Reported for the period 01 January2018 - 31 March2019 — Amount in Euros
Work Package 1 - Project Management, Coordination and Communication - Lead UN-Habitat with Support from Implementing Partner (IP) ICLEI -- UN-Habitat budget (SB-001254.17)							
	FT30_Class_010		Project Staff Personnel				
	FT30_Class_010		Project Staff Personnel TOTAL	456,153	293,183	92,555	200,628
	FT30_Class_125		Operations Other Costs TOTAL	8,000	36	0	36
	FT30_Class_160		Staff Travel TOTAL	70,000	3,427	837	2,590
			TOTAL Work Package 1 - UN-Habitat	**534,153**	**296,646**	**93,392**	**203,254**
Work Package 2 -- Vertical Integration -- Lead UN-Habitat with Support from IP ICLEI -- UN-Habitat budget (SB-00012254.18)							
	FT30_Class_010		Project Staff Personnel TOTAL	595,747	294,347	6,227	288,120
	FT30_Class_125		Operations Other Costs TOTAL	44,500	6,337	0	6,337
	FT30_Class_160		Staff Travel TOTAL	85,000	1,705	0	1,705
			TOTAL Work Package 2 - UN-Habitat	**725,247**	**302,389**	**6,227**	**296,163**
Work Package 3 - Developing Urban LEDS in New Target Countries (Bangladesh, Colombia, Laos, Rwanda) - Lead IP ICLEI with Support from UN-Habitat -- UN-Habitat budget (SB-001254.19)							
	FT30_Class_010		Project Staff Personnel TOTAL	83,404	11,185	0	11,185
	FT30_Class_125		Operations Other Costs TOTAL	12,000	523	0	523
	FT30_Class_160		Staff Travel TOTAL	14,237	0	0	0
			TOTAL Work Package 3 - UN-Habitat	**109,641**	**11,708**	**0**	**11,708**
Work Package 4 - Consolidating Urban LEDS in Existing Target Countries (Brazil, Indonesia, India, South Africa) - Lead IP ICLEI with Support from UN-Habitat -- UN-Habitat budget (SB-001254.20)							
	FT30_Class_010		Project Staff Personnel TOTAL	5,380	1,011	0	1,011
	FT30_Class_160		Staff Travel TOTAL	15,000	552	0	552
			TOTAL Work Package 4 - UN-Habitat	**20,380**	**1,563**	**0**	**1,563**
Work Package 5 - Promoting International, Regional and National State and City Cooperation on Urban Climate Action - Lead IP ICLEI with Support from UN-Habitat -- UN-Habitat budget (SB-001254.21)							
	FT30_Class_160		Project Staff Personnel TOTAL	16,140	0	0	0
	FT30_Class_160		Staff Travel TOTAL	23,010	0	0	0
			Work Package 5 - UN-Habitat	39,150	0	0	0
			TOTAL Work Packages 1-5 UN-Habitat	**1,428,571**	**612,307**	**99,618**	**512,689**
Work Package 1 - Implementing Partner - ICLEI - Project Management, Coordination and Communication (SB-001254.17)							
	FT30_Class_140		Transfer/Grant to Implementing Partner (IP)				

Work Package Activities*	Sponsored Class	GL Code or Commitment Item	Commitment Item Description	2017-2021 Total Budget (Amount in Euros)	01 April 2017-31 March 2019 Total Expenditure (Amount in Euros)	01 April - 31 December 2017 Expenditure (Amount in Euros)	Total Expenditure Reported for the period 01 January 2018 - 31 March 2019 (Amount in Euros)
		78101010	Total Grants to IP Staff Cost	536,000	275,603	134,000	141,603
		78102010	Total Grants to IP Travel	87,985	53,891	21,753	32,138
		78105010	Total Grants to IP Operating Other Costs	20,000	11,515	5,000	6,515
			TOTAL Work Package 1 - ICLEI	**643,985**	**341,010**	**160,753**	**180,257**
Work Package 2 - Implementing Partner - ICLEI - Vertical and Horizontal Integration (SB-001254.18)							
	FT30_Class_140		Transfer/Grant to Implementing Partner (IP)				
		78101010	Total Grants to IP Staff Cost	299,000	156,272	74,750	81,522
		78102010	Total Grants to IP Travel	61,010	33,924	15,252	18,672
		78103010	Total Grants to IP Contractual Services	50,000	25,716	12,500	13,216
		78104010	Total Grants to IP Supplies, Commodity, Material	78,000	45,896	20,000	25,896
		78105010	Total Grants to IP Operating Other Costs	112,406	57,135	28,102	29,033
			TOTAL Work Package 2 - ICLEI	**600,416**	**318,942**	**150,604**	**168,338**
Work Package 3 - Implementing Partner - ICLEI - Developing and Approving Urban LEDS in four new target cities and countries (Lao PDR, Bangladesh, Rwanda, and Colombia)							
	FT30_Class_140		Transfer/Grant to Implementing Partner (IP)				
		78101010	Total Grants to IP Staff Cost	700,000	431,253	175,000	256,253
		78102010	Total Grants to IP Travel	270,024	153,137	66,253	86,884
		78103010	Total Grants to IP Contractual Services	230,000	117,400	57,500	59,900
		78105010	Total Grants to IP Operating Other Costs	236,509	120,467	55,513	64,954
		78107010	Total Grants to IP Transfer (Other City Implementation)	752,000	377,746	188,000	189,746
			TOTAL Work Package 3 - ICLEI	**2,188,533**	**1,200,003**	**542,266**	**657,737**
Work Package 4 - Implementing Partner - ICLEI - Consolidating Urban LEDS in Existing Target Countries (Brazil, Indonesia, India, South Africa) (SB-001254.20)							
	FT30_Class_140		Transfer/Grant to Implementing Partner (IP)				
		78101010	Total Grants to IP Staff Cost	700,000	488,670	195,000	293,670
		78102010	Total Grants to IP Travel	203,000	118,071	49,500	68,571
		78103010	Total Grants to IP Contractual Services	230,000	117,505	57,500	60,005
		78105010	Total Grants to IP Operating Other Costs	227,552	116,591	56,888	59,703

Work Package Activities*	Sponsored Class	GL Code or Commitment Item	Commitment Item Description	2017-2021 Total Budget	01 April 2017-31 March 2019 Total Expenditure	01 April - 31 December 2017 Expenditure	Total Expenditure Reported for the period 01 January 2018 - 31 March 2019
				Amount in Euros	Amount in Euros	Amount in Euros	Amount in Euros
		78107010	Total Grants to IP Transfer (Other City Implementation)	400,000	205,898	100,000	105,898
			TOTAL Work Package 4 - ICLEI	**1,760,552**	**1,046,735**	**458,888**	**587,847**
Work Package 5 - Implementing Partner - ICLEI - Promoting International, Regional and National State and City Cooperation on Urban Climate Action (SB-001254.21)							
	FT30_Class_140		Transfer/Grant to Implementing Partner (IP)				
		78101010	Total Grants to IP Staff Cost	282,000	176,085	70,500	105,585
		78102010	Total Grants to IP Travel	123,801	76,779	30,950	45,828
		78103010	Total Grants to IP Contractual Services	55,000	36,917	13,750	23,167
		78105010	Total Grants to IP Operating Other Costs	60,000	34,373	15,000	19,373
			TOTAL Work Package 5 - ICLEI	**520,801**	**324,154**	**130,200**	**193,954**
	FT30_Class_140		**TOTAL TRANSFER/GRANT TO IP ICLEI**	**5,714,287**	**3,230,842**	**1,442,711**	**1,788,132**
			Total Operational Budget	**7,142,858**	**3,843,149**	**1,542,329**	**2,300,820**
	FT30_Class_155	78201010	Programme Support Cost (PSC)		65,924	2,974	62,950
			Indirect Cost-transferred ICLEI		191,859	100,008	91,851
Total				**500,000**			
Contingency Reserve 5% of Total Budget for Action				357,143		0	
			Total Budget for the Action	**8,000,000**	**4,100,932**	**1,645,311**	**2,455,621**

Annex 3: Evaluation Tools

Survey Instrument for City Municipalities and National Governments

Name of the public administration unit responding _____ Date _____

official _____

_____

#		Development of LEDS and/or Climate Action Plan	GHG inventory and reporting	Climate risk &vulnerability assessments	Development of funding proposal under TAP	Participation in training/ exchange visit	Other
1	**How is your administration involved in the program?** *Please briefly list the main lines of activities, e.g. development of LEDS and/or participation in training, and/or etc.*						
	Please tick or NA (not applicable)						
	Please provide details						
2	**How did the process of programme development go for you? What obstacles were encountered and which overcome?**	1	2	3	4	5	
	Please rate: went smoothly (5), major issues (1)						
	Describe obstacles and whether they were overcome or not?						
3	**What is the expected contribution of the different partners in your programme- administrative, financial, technical, and political? Please reflect on the expected contributions from various levels of public administration in your country, ICLEI, UN-Habitat, European cities, etc.**	**Your administration**	**ICLEI**		**UN-Habitat**	**Other (Please specify)**	
	Please tick						
	Please provide details						
4	**To what extent is the project relevant from the perspective of the work of your administration (rate 1-5)? Please explain the reasons why you think so?** *Please reflect on how is the project - by design-contributing to the promotion of urban climate change mitigation and adaptation at the level of your administration*	1	2	3	4	5	
	Please Rate: 1 (low) to 5 (high)						

Please explain the reasons

5	**To what extent has Urban–LEDS phase II coordinated with other climate initiatives in which your municipality is engaged? Please rate and bring examples of other climate initiatives at the level of your administration**	1	2	3	4	5
	Please Rate: 1 (low) to 5 (high)					
	Please explain the reasons					

6	**To what extent is the project on track towards achieving its targeted immediate results (rate 1-5) and where is lagging behind? What are the areas of support that are most needed to address implementation challenges?**	development of LEDS and/or Climate Action Plan	GHG inventory and reporting	Climate risk &vulnerability assessments	Development of funding proposal under TAP	Participation in training/exchange visit	Other
	Please Rate: 1 (lagging significantly behind, 5 (all on track) NA not applicable						
	Please provide details and reasons.						
	What are the areas of support that are most needed to address implementation challenges?						

7	**Would you say that the project helps build the local capacities? If yes, to what extent? How it has helped (e.g. improving knowledge and/or providing useful tools, etc., and if not - why?**	1	2	3	4	5
	Please Rate: not built capacity (1), Significantly built capacities					
	How it has helped (e.g. improving staff knowledge and/or providing useful tools, etc.?					

8	**How effective is of the engagement of the EU cities that are supporting Urban- LEDS and what could be done differently?**	1	2	3	4	5
	Please rate: not effective (1), highly effective (5)					
	Please elaborate with examples from your administration					
	What could be done differently to make the engagement of the EU cities more effective?					

9	**Are there other partnerships and institutional relationships promoted by the project in which your administration is involved? If yes, what are these and how effective? What could be done differently? .**	1	2	3	4	5
	Please rate: not effective (1), highly effective (5) and add the name of the partner organization					
	Please elaborate with examples from your administration					
	What could be done differently to make the partnership promoted more effective?					

#		1	2	3	4	5
10	**How likely is that the benefits of the project will be sustainable in your country leading to continued LED programming and implementation, how and why?**	**1**	**2**	**3**	**4**	**5**
	Please Rate overall likelihood: 1 (unlikely) to 5 (very likely)					
	Please explain the ranking and spell out the contributing factors					
11	**Which of the project strategies you consider effective and why?** *Multiple answers possible – Please rate and explain*	**1**	**2**	**3**	**4**	**5**
	peer to peer exchanges Model city to Satellite city					
	peer to peer exchanges via international workshops					
	one to one support by ICLEI with planning, assessments, etc					
	targeted Support from the EU cities					
	TAP proposals					
	Advocacy to improve multi-level governance					
	Advocacy at local level					
	pilots					
	i). Support joining the Global Covenant of Mayors for Climate & Energy					
	j) Supporting the hosting of national TALANOA DIALOGUES and exchanges					
	k) Other (specify)					
12	**What can you say about the project design? How coherent it is?**	**1**	**2**	**3**	**4**	**5**
	Please rate: Very coherent (5), not coherent at all (1) is it coherent?					
	Is anything missing and what could change?					
13	**How well were gender equality, human rights and youth consideration been integrated into the project?** *Please rate as appropriate and bring examples, if any*	**1**	**2**	**3**	**4**	**5**
	gender					
	human rights					
	youth					
14	**How effective is the management structure of the project? What could improve?**	**1**	**2**	**3**	**4**	**5**

Rate effectiveness: 1 (low) to 5 (high)				
Please explain the reasons and elaborate what could improve				

15	What factors that were not mentioned earlier affect the project implementation?	**Factor 1**	**Factor 2**	**Factor 3**	**Factor 4**
	Facilitating				
	Hindering				

16	How in line is the project delivering to the expected quality standards?	**1**	**2**	**3**	**4**	**5**
	Low quality (1) or in line with expected high standards (5), please rate					
	Please explain					

17	How well were the lessons learned from LEDS 1 were taken into account in LEDS 2 in the case of your administration and how?	**1**	**2**	**3**	**4**	**5**	**Not Applicable**
	Comprehensively (5), not at all						
	Please explain						

18	Based on 2 years of LEDS 2, what do you think should be changed in the next phase?	**Nothing**	**Proposed change 1**	**Proposed change 2**

Survey Instrument for Implementing and Other Partners

Name of the respondent organization (unit)_____ Date)_____

№		Support to municipalities sharing EU experience		Training and./or capacity building of municipalities	Support to municipalities in obtaining funding	Other
1	**How is your municipality/agency involved in the program?**					
	Please briefly list the main lines of activities.					
	Please provide details					
2	**How did the process of programme development go for you? What obstacles were encountered and which overcome?**	1	2	3	4	5
	Please rate: went smoothly (5), major issues (1)					
	Describe obstacles and whether they were overcome or not?					
3	**How would you rate the success of the project so far? What do you think is the most significant achievement and the most significant challenge?**	1	2	3	4	5
	Not effective (1) Very effective (5)					
	most significant achievement					
	the most significant challenge					
	What are the areas of support that are most needed to address implementation challenges?					
4	**Would you say that the project helps build the local capacities? If yes, to what extent? How it has helped (e.g. improving knowledge and/or providing useful tools, etc., and if not -why?**	1	2	3	4	5
	Please Rate: not built capacity (1), Significantly built capacities					
	How it has helped (e.g. improving staff knowledge and/or providing useful tools, etc.?					
5	**How effective is of the engagement of the EU cities that are supporting Urban-LEDS and what could be done differently?**	1	2	3	4	5
	Please rate: not effective (1), highly effective (5)					
	Please elaborate with examples from your administration					
	What could be done differently to make the engagement of the EU cities more effective?					

No.		1	2	3	4	5
6	**How effective is the project in promoting partnerships? What could be done differently? .**	1	2	3	4	5
	Please rate: not effective (1), highly effective (5)					
	Most successful partnerships promoted					
	Challenges in promoting partnerships with examples					
	What could be done to make partnerships' promotion more effective?					
7	**How likely is that the benefits of the project will be sustainable in your country leading to continued LED programming and implementation, how and why?**	1	2	3	4	5
	Please Rate overall likelihood: 1 (unlikely) to 5 (very likely)					
	Please explain the ranking and spell out the contributing factors					
8	**Which of the project strategies you consider effective and why?** *Multiple answers possible – Please rate and explain*	1	2	3	4	5
	peer to peer exchanges Model city to Satellite city					
	peer to peer exchanges via international workshops					
	one to one support by ICLEI with planning, assessments, etc					
	targeted Support from the EU cities					
	TAP proposals					
	Advocacy to improve multi-level governance					
	Advocacy at local level					
	pilots					
	Support joining the Global Covenant of Mayors for Climate & Energy					
	Supporting the hosting of national TALANOA DIALOGUES and exchanges					
	Other (specify)					
9	**What can you say about the project design? How coherent it is?**	1	2	3	4	5
	Please rate: Very coherent (5), not coherent at all (1) is it coherent?					
	Is anything missing and what could change?					
10	**How well were gender equality, human rights and youth consideration been integrated into the project?** *Please rate as appropriate and bring examples, if any*	1	2	3	4	5
	gender					
	human rights					

youth

		1	2	3	4	5
11	**How effective is the management structure of the project? What could improve?**					
	Rate effectiveness: 1 (low) to 5 (high)					
	Please explain the reasons and elaborate what could improve					

		Factor 1	Factor 2	Factor 3
12	**What factors that were not mentioned earlier affect the project implementation?**			
	Facilitating			
	Hindering			

		1	2	3	4	5
13	**How in line is the project delivering to the expected quality standards?**					
	Low quality (1) or in line with expected high standards (5), please rate					
	Please explain					

		1	2	3	4	5
14	**How well were the lessons learned from LEDS 1 were taken into account in LEDS 2 in the case of your administration and how?**					
	Comprehensively (5), not at all					
	Please explain					

		Nothing	Proposed change 1	Proposed change 2
15	**Based on 2 years of LEDS 2, what do you think should be changed in the next phase?**			

Interview Guide

1	**How is your organization/administration involved in the program?**
	Probe into: • model or satellite city; EU city supporting one of the cities in the global South, etc • Position and department of the respondent; • How long in the current position? Familiar or not with LEDS 1
2	**How did the process of programme development go for you?**
	Probe into: • How did they learn about the program? • clarity of the objectives that were presented; • Was the planning reasonable to give time for consultations? • Government ownership at various stages; opposition to the project or lack of interest by some? • What obstacles were encountered and which overcome?.
3	**Was the city selection for LEDS2 a constructive exercise?**
	Probe into • How did cities manifest their interest? • What will be done with those not selected? • Could the selection process have been handled differently?
4	**What is the expected contribution of the different partners in your programme- administrative, financial, technical, and political?**
	Probe into • What are the expected contributions from various levels of public administration in the country/ies, as well as ICLEI, UN-HABITAT, EU cities, etc.? • How realistic are the expectations? Are these expectations formalized in writing? • What could have been done differently if anything?
5	**To what extent is the project relevant from the perspective of your work/the work of your organization/administration and why?**
	Probe into • To what extent and how is the project contributing to the promotion of urban climate change mitigation and adaptation at city, regional and global processes and networks? • How relevant is the project in terms of timing? Does it fit well timewise with other strategies? • Is it complementary and not duplicating of the other initiatives?
6	**Is the project design relevant and coherent?**

Probe into
- Is the design enabling the achievement of the results or is anything missing?
- Do the different component of the project design (activities) have the needed weight/focus?
- IS the project relevant timewise, i.e. various components/activities sequenced in the logically coherent manner with the adequate allocation of time?
- What elements of the project design were changed compared to LEDS 1 and why?
- What should change in the remaining time of the project?

7 | **To what extent is the project on track towards achieving its target immediate results?**

Probe into
- Is the project on track of achieving its targets midterm in relation to the activities/components that you are related to?
- What are the most notable achievements and the most pressing challenges?
- What are the areas of support that are most needed to address implementation challenges?

8 | **Which of the project strategies you consider most effective and why? What elements need to be reconsidered/redesigned?**

Probe into
- P2P learning during International workshops and Model-Satellite city; one to one support by ICLEI with planning, assessments; Support from the EU cities; TAP proposals; Advocacy to improve multi-level governance; Advocacy at local level; Pilots; Support joining the Global Covenant of Mayors for Climate & Energy; Supporting the hosting of national; TALANOA DIALOGUES and exchange; Other

9 | **How well has Urban-LEDS phase II coordinated with other EU and non-EU climate initiatives to create synergies and avoid duplication?**

Probe into
- Effectiveness and efficiency of the coordination
- What are the most successful examples and examples of challenges?
- What could be done in addition to what is being done now to foster more effective partnerships?

10 | **Would you say that the project helps build the local capacities?**

Probe into
- Do you feel that staff understanding of the LED concepts improve?
- If yes, what is the evidence of that and what was the main contributing factor?
- If not why?

11 | **Is the project being implemented according to the expected quality standards?**

Probe into
- The quality of the project deliverables: are these in line with the expected high level of international standards?
- If yes, how? If not then why? Ask to elaborate with examples

12 | **Are the European cities that are supporting Urban- LEDS being engaged effectively? What could be done differently?**

	Probe into • Concrete results achieved as a result of the engagement of the EU cities • Ask to elaborate with examples.
13	**How effective are other partnerships prompted by the project in helping to achieve project goals? What else could be done?**
	Probe into • Number and significance of the partnership promoted • Concrete results achieved as a result of these partnerships • What are the challenges? • What should be done differently?
14	**What can you say about the management structure of the project?**
	Probe into • The effectiveness of the management structure of the project: does it support efficient implementation? • What could improve?
15	**What other factors facilitated achievement of the results and what hindered it?**
	Probe into • both internal and external factors • enabling and hindering factors
16	**To what extent have gender equality, human rights and youth consideration been integrated into the project design and implementation?**
	Probe into • Extent of mainstreaming as well as concrete examples of empowerment • Ask to bring examples, if any
17	**How likely is that the benefits of the project be secured for beneficiaries sustainably?**
	Probe into • If likely- what would be these sustainable benefits? What has helped to boost the likelihood of sustainability? • If not likely - then why? • What should the project do to ensure the sustainability of the achieved results in the remaining time frame?
18	**Is the project being implemented according to budget? Is the project budget structured to help accomplish the tasks required?**

Probe into
- Is the project being implemented according to budget? If not – why?
- Is there sufficient budget for staff travel; event participation; and materials?
- What changes need to be made in the remaining timeframe?

19 | **Is the project ensuring value for money?**

Probe into
- Do you think the project ensuring value for money? Please bring examples if you think so and if you don't think so
- If not, then why/ What is the main reason?
- What needs to change during the remaining timeframe?

20 | **Has the project team created an effective reporting and information collection process and are they engaged with it?**

Probe into
- Is the information base for the city and for LED adequate?
- Are the metrics understood to determine if progress is being made?
- Has the project team created an effective reporting and information collection process?
- What needs to change in the remaining timeframe?

21 | **What is the value added of the EU engagement as opposed to bilateral?**

Probe into
- What is the value added/advantage of the EU engagement in the form if this project as opposed to bilateral support?
- What could be done to maximize this?

25 | **What lessons learned from LEDS 1 were taken into account in LEDS 2?**

Probe into
- Have the lessons from LEDS1 been taken into account in designing LEDS2?
- If yes, which are these lessons that were taken into account? Ask to demonstrate with examples
- Is there any element in the design/modality of work that needs to change to reflect the lessons learned from LEDS 1?

26 | **Based on 2 years of LEDS 2, what do you think should be changed in the next phase?**

Probe into
- what do you think should be changed in the next phase which would constitute a deviation from the initial plans?
- What areas need more focus programmatically and financially?

Annex 4: Bibliography

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