Joint Mid-Term Evaluation of The Making Cities Sustainable and Resilient Project, 2016 – 2019

September 2018

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Acknowledgement

This mid-term evaluation (MTE) was commissioned by UN-Habitat and UNISDR for the 'Making Cities Sustainable and Resilient' project jointly implemented by UN-Habitat and UNISDR. The principal beneficiaries of the MTE are UN-Habitat and UNISDR, their stakeholders, and the donor, EC DEVCO. The findings of the MTE could also be useful for those interested and engaged in making cities sustainable and resilient across the globe.

The MTE was carried out by Magda Stepanyan, MA, MSc, CIRM, with active support from both UNISDR and UN-Habitat in facilitating the MTE process. The author would like to thank the Evaluation Reference Group and specifically the project team for their contribution and collaboration throughout the evaluation process. Special thanks should be extended to the team of UNISDR who was facilitating the implementation of two surveys organized for the purpose of this MTE.

Acronyms and Abbreviations

AIDMI	All India Disaster Mitigation Institute
AUDI	Arab Urban Development Institute
CCA	Climate Change Adaptation
CGRC	Cantonal Risk Management Committee
COMRED	Municipal Coordinator for DRR, Guatemala
CRPP	City Resilience Profiling Programme
CRPT	City Resilience Profiling Tool
CSTC	Centre of Science and Technology of Construction
CUDRR+R	Center for Urban Disaster Risk Reduction & Resilience
DEVCO	The Commission's Directorate-General for International Cooperation and Development
DRR	Disaster Risk Reduction
EEAS	European Union External Action
EC	European Commission
ECOSOC	The Economic and Social Council
EU	European Union
EUR	Euro
FAO	Food and Agriculture Organization
GETI	Global Education and Training Institute
GRDRR	Global Facility for Disaster Reduction and Recovery
HLPF	High-level Political Forum on Sustainable Development
IASC	Inter-Agency Standing Committee
ICES	International Council for the Exploration of the Sea
ICLEI	International Council for Local Environmental Initiatives
IDDR	International Day for Disaster Reduction
IFRC	International Federation of Red Cross and Red Crescent Societies
INGO	International Non-Governmental Organisation
ISO	International Organization for Standardization
LOCS4Africa	Local Climate Solutions for Africa
LG-SAT	Local Government Self-Assessment Tool
MAB	Municipal Association of Bangladesh
MCR	Making Cities Resilient
MCSR	Making Cities Sustainable and Resilient
MCUR	Medellin Collaboration for Urban Resilience
MHCUA	Meeting Humanitarian Challenges in Urban Areas
MIP	Multiannual Indicative Programmes
MOHUD	Ministry of Housing and Urban-Rural Development
MTE	Mid Term Evaluation
MUAN	Municipal Association of Nepal
NGO	Non-Governmental Organisation
NIP	National Indicative Programmes
NUA	New Urban Agenda
OECD/DAC	Organisation for Economic Co-operation and Development's Development Assistance Committee
ONEA-GETI	Office for Northeast Asia and Global Education and Training Institute
QRE	Quick Risk Estimation
RAC	Rapid assessment of capacity development
RC	Resilience Capacities

RESCCUE	Resilience to Cope with Climate Change in Urban Areas
SAMSFI	Supporting & Monitoring Sendai Framework Implementation Branch
SDGs	Sustainable Development Goals
SEEDS	An International NGO working towards environmental management and disaster risk reduction
SIDS	Small island developing states
TOC	Theory of Change
UCLG	United Cities and Local Government
UCLG-ASPAC	United Cities and Local Government Asia-Pacific
UNEG	United Nations Evaluation Group
UN-Habitat	United Nations Human Settlements Programme
UNISDR	United Nations Office for Disaster Risk Reduction
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNOPS	United Nations Office for Project Services
URBANET	News and Debates on Municipal and Local Governance, Sustainable Urban Development and Decentralization
URI	Urban Resilience Institute
TOT	Training of Trainers
WB	World Bank
WUF	World Urban Forum

Executive Summary

Introduction

This report summarizes the findings from the Mid-Term Evaluation (MTE) of *Making Cities Sustainable and Resilient* project enabled through EC DEVCO funding and jointly implemented by UN-Habitat and UNISDR. The project is planned for 36 months from 15 April 2016 to 14 April 2019 with a total budget of EUR7.500.000.

Evaluation purpose. The MTE is intended to contribute to better understanding of the progress made within the project and extract the lessons learned from its implementation to ensure the project achieves it transformative results. The ***objectives of the MTE*** are: (a) to validate the logic model of the project to reflect the cause-effect relationships revealed during the implementation of the project; (b) to provide evidence of the progress towards the project outcome, (c) to suggest if the project is on the right track towards the desired impact, and (d) to provide corrective recommendations if and when necessary to ensure project delivers to its objectives defined within the current Theory of Chance (TOC) and those could be potentially defined during the validation of the logic model.

The MTE reflects on the progress of the project and was guided by the following questions:

(1) are there are missing links within the TOC of the project,

(2) does the project influence the observed outcomes and set to achieve its desired impact,

(3) what is the quality of adaptive management approach or how well the project team adapted its theory and implementation strategy to the changes in the context,

(4) what are the resilience capacities and how the action supported to build them within target municipalities,

(5) what is the level of coherence and complementarity of both implementation streams (UNISDR and UN-Habitat).

The primary intended audience of the report is the project team, comprising both UNISDR and UN-Habitat teams, as well as the donor EU DEVCO. However, the findings of the MTE could be informative for the larger set of stakeholders interested and engaged in building urban resilience.

Methodology. To ensure logical coherence and completeness of the analysis, two compatible strategies of analysis are used: *change analysis* and *context-specific attribution analysis*. The change analysis is concerned with the actual progress of the project towards its objectives by the time of the MTE. This is measured by the following scale: achieved, partially achieved, not achieved. The context-specific attribution analysis is a more nuanced analysis attempting to explore cause and effect assumptions and conclude about the contribution the project has made or not to both intended and unintended outcomes. For this purpose, the MTE reflects on the project implementation from two perspective: *the process*, i.e. the logical model of the project, and *the mechanism*, i.e. the resilience capacities, critical to ensure the impact envisaged within

the project. The criteria of *relevance*, *effectiveness*, *efficiency*, *sustainability*, *impact*, and *coherence* were explored through the mid-term evaluation. The Theory of Change (TOC) of the project is as follows in the figure below:

Figure 1: TOC of the Making Cities Sustainable and Resilient Project
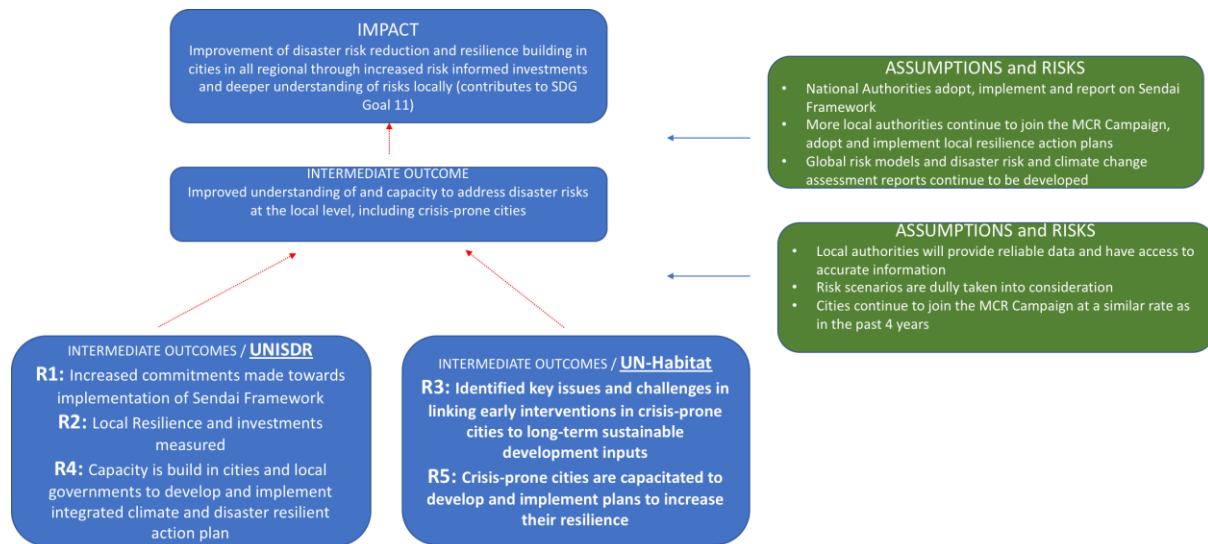
The data collection methods used for this MTE include secondary analysis and interviews. 43 interviews were organized to reach out to all relevant stakeholders. Also, a case study of 20 pilot cities (which includes a combination of survey and interviews) and a survey for 200 pilot cities under the UNISDR's implementation stream were organized. The response rate received from the survey for 200 cities was below 30%, which limits extrapolation of conclusions from the survey findings.

Process. Evaluation was managed by the UN-Habitat Evaluation Unit and conducted by consultant Magda Stepanyan, during the months of July – August 2018. Some delays in the process of the MTE were encountered due to the lack of availability of the stakeholders during the summer break.

Evaluation Findings

The project implementation is very much on track. Significant progress is made by UNISDR under Result 1, 2, and 4. Hence, under Result 1: *Increased commitments made towards implementation of a Sendai Framework for DRR 2015-2030* additional 1,442 cities have joint the Making Cities Resilient campaign, which is far beyond the targeted 560 cities. In addition, the new Ten Essentials for Making Cities Resilient have been launched. Result 2: *Local Resilience and investments measured* has also recorded progress: out of 200 pilot cities 196 have assessed their gaps in addressing local resilience. Out of 20 cities targeted under the Result 4: *Capacity is built in cities and local governments to develop and implement integrated*

climate and disaster resilient action plans five have already developed their DRR Action plans, while the others have made strong progress towards completion of their DRR plans. The exception are the cities in Arab region that requires very close attention from the project management team to ensure success under this action. UN-Habitat too made serious progress in completing its targets under Result 3 and 5. Hence, the City Resilience Profiling Tool (CRPT) has been developed under Result 3: *Identified key issues and challenges in linking early interventions in crisis-prone cities to long-term sustainable development inputs.* The advanced version of the tool (version 2.0) is currently under its final stage of fine-tuning. Strong progress is made in completing the CRPT in two out of four pilot cities - Asunción (Paraguay) and Maputo (Mozambique) - to implement the CRPT under Result 5: *Crisis-prone cities are capacitated to develop and implement plans to increase their resilience.*

Strategic relevance. The project is designed to address highly complex and pressing issues of building urban resilience, specifically, in resource deprived contexts. The project is highly relevant to the growing needs of cities to build disaster resilience throughout their operations. It is also fully aligned with the Sendai Framework for DRR 2015-2030 and paves the way for its implementation at the local level. Its activities directly contribute to the achievement of SDG 11: *make cities and human settlement inclusive, safe, resilient and sustainable*. It is also in line with the requirements and expectations set out by the New Urban Agenda (October 2016) and 21st Climate Change Conference of the Parties (December 2015). Additionally, in each pilot city the implementation of the project is carefully calibrated to factor the national level requirements for disaster risk reduction and disaster resilience at city level.

Effectiveness. The project is designed as a combination of two streams of activities implemented jointly by UNISDR and UN-Habitat with sufficient level of independence among them. UNISDR's implementation stream is focused on ensuring that disaster risk reduction and disaster resilience building remain high in the global agenda through active outreach and advocacy efforts effectively implemented within the Making Cities Resilient global campaign. Further, UNISDR is focused on developing various tools – quick risk estimation and (preliminary and detailed) Disaster Resilience Scorecards for Cities – and complementary resource materials (guidelines, training materials, etc.) to support practical efforts towards DRR at the local level. The UNISDR's stream is shaped in such a way to guide cities that have joint the MCR campaign to move from commitments to actions for building resilience. UN-Habitat's implementation stream is focused on developing an innovative resilience measurement tool, designed from the perspective of 'urban system' rather than any normative document or one group of stakeholders only. This approach aimed at building transformative change in urban context overcoming silos in conceptualizing urban resilience by different sectors and functions within cities, influencing data agenda, and exploring joint actions for resilience building.

Both agencies have effectively progressed towards the realization of the project results as defined by the project TOC. Outstanding results have been achieved by UNISDR in 20 pilot cities through high level engagement and well-calibrated capacity development efforts. Less significant effectiveness recorded in 200 pilot cities, where the facilitation function has been

outsourced to various implementation partners whose level of engagement with the cities varies from region to region. Various modalities have been employed by UNISDR to adapt to local specificities and embrace the variability of options of working with cities, ensuring sufficient flexibility to respond to existing and emerging needs on the ground. These modalities include city-to-city exchange programme that allows cities to learn from each other's experience, or working directly with the cities through its regional teams or contracting dedicated implementing partners (individual experts) in Americas to work closely with each city, or partnering up with an implementation partner (an organization), who is a renowned organization in the region that has proven track records in DRR field and in working with cities.

UN-Habitat has made significant progress in designing the CRPT, the tool for urban resilience diagnostic, which is currently at its version 2.0 stage. The work has been carried out in close partnership with the Municipality of Barcelona, who has embarked on supporting the UN-Habitat's CRPP since 2012. The development of the tool was going on in parallel with initial piloting in four selected cities, whereby two of them – Asunción (Paraguay) and Maputo (Mozambique) – have made significant progress in developing their cities' resilience profiles and providing lessons learned for the fine-tuning of the tool. Dakar and Port Vila have completed the first step in data collection and about to proceed to the next step.

Also, both agencies have entered into a number of strategic partnerships to further shape and progress of the DRR and urban resilience agenda at the global level and to ensure effective resilience-building efforts at the operational level within the pilot cities. As a result, more and more cities are interested in partnering up with UNISDR and UN-Habitat and becoming engaged in the project.

In both implementation streams there is sufficient attention to vulnerable groups and cross-cutting issues of gender, youth, climate change and human rights integrated in the design, implementation and monitoring of the project: both agencies adhere to equal gender participation throughout various activities of the project, which is reflected in the monitoring. The UN-Habitat' CRPP team has developed two Enhancers – on gender issues and on climate issues – to further facilitate the focus on the selected areas.

Efficiency. The project has been managed with high regard to efficiency and each partner has mobilized additional critical resources to contribute to the achievement of high-level objectives of the project. The budget for each partner is defined as EUR 3,750,000 for the period of three years with 80% contribution from DECVO and 20% from the recipient partner. The eligible indirect cost equals to flat-rate of 7% of the final amount of direct eligible costs. There was a delay of 6 months to receive the second tranche of the project funding, which has caused some further delays in the project implementation and even necessitate the UN-Habitat's CRPP team to take loan from UN-Habitat to sustain the project. During the second year of the project implementation UNISDR requested budget re-allocation from Result 4 to Result 1 and 2 to respond to emerging needs within the project. Other than that, there are no major deviations

from the budget. At the time of the MTE the project balance for the partners is as follows: for UNISDR - 1,326,292 USD, and for UN-Habitat's CRPP – 1,267,860 USDR.[1]

Through successful staffing policy both partners managed to orchestrate the project implementation with limited investments. While the staffing in UN-Habitat's CRPP is largely engaged in conceptualization and design of the tool, the staffing of UNISDR team covers a wide range of functionalities critical for the effective project implementation in multiple regions, ranging from communication, to ITC and high-level management support, to facilitation and coordination.

Sustainability. The main question is to what extent efforts of the project towards capacity building are sustainable. The MTE explored both the sustainability of the design of the project and the sustainability of the implementation efforts. The project design is based on a set of processes that fits the following logic: through the implementation of self-assessment and resilience measurement tools the stakeholders from the pilot cities raise their awareness and build their capacities to successfully assess and measure disaster risk reduction and disaster resilience on the ground. Indeed, through all those processes designed within the project, as reflected in the TOC of the project, there is noticeable change observed across various resilience capacities. The MTE findings suggest that there are very specific sets of resilience capacities that the project supports to strengthen: *understanding of DRR and resilience, social inclusion to engage larger group of stakeholders, strong political commitment, institutionalized resilience mechanism within municipalities, data availability, understood resilience profile, availability of resources to support resilience-building actions.* Since the current design of the project does not specify which capacities the project aims to build, introducing sharper focus on the resilience capacities based on the MTE findings could guarantee that the project monitoring during the remaining months reflects more accurately on the changes in resilience capacities in pilot cities.

At the operational level, the sustainability is concerned with several important points. Technical sustainability, i.e. the sustainability of the tools developed, suggests that with some minor adjustments the sustainability of the tools could be enhanced. In terms of governance sustainability, the joint model of UNISDR and UN-Habitat is highly viable, with clear division of roles and responsibilities among partners. Also, on the ground the project implementation modalities are viable. There is a need though for UNISDR to sharpen the engagement model with the implementing partners. The operational sustainability of the project could be stronger if there is a competitive process for the selection of cities with clear commitments to the process and the outcomes of resilience profiling. The financial sustainability of the efforts is among the major challenges. The disaster resilience actions identified during the project implementation needs financial investments to be realized. Additional considerations on how to support cities to mobilize those resources could raise the project sustainability in a long run.

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[1] The numbers should be seen as indicative as there can be some discrepancies due to exchange rate calculation.

The huge success of the MCR campaign – 3,883 cities in total - triggers cities' commitments towards disaster risk reduction and Sendai Framework across the globe. However, continuous increase in numbers of the cities committed to MCR campaign without further steps undertaken from their side and/or with the UNISDR's support might become counterproductive over time. This requires redressing the MCR and finding new avenues for effective engagement of the cities. By focusing on building a specific set of seven resilience capacities identified through the MCSR project, the campaign can get additional boost and clear direction for synchronized capacity development efforts.

Impact. While it is too early to conclude about the impact of the project, some early indications suggest that the project triggers positive changes along the two main lines. First, both partners successfully lead, shape, and maintain the global agenda on disaster risk reduction and urban resilience. This impacts directly and indirectly how national and local authorities perceive various issues related to urban resilience. It also shapes a shared understanding and directs resilience-building across various regions and cities. This is an impact beyond the scope of the project. Second, the impact envisaged within the scope of the project aims at disaster risk reduction through (a) stronger resilience capacities and (b) risk-informed investment decisions. The findings of the MTE suggest that the project makes positive change in building resilience capacities to a various degree from city to city. At the current stage of the project development it is premature to conclude about the project's impact on risk-informed investments. However, the MTE proposes two indicators to inform project monitoring and ensure that by the end of the project cycle there is sufficient body of evidence collected to support conclusions about risk-informed investments triggered or not by the project.

Coherence. UNISDR and UN-Habitat use different approaches to addressing local level resilience yet both approaches are highly coherent within this action. The project has crystalized a 'joint model' whereby each agency effectively contributes its expertise and brings its network of partners, heightening thereby the cumulative comparative value of this partnership and the project at large. Also, sufficient consideration was given to align tools developed by UNISDR and UN-Habitat, more specifically to align the CRPT with the Ten Essentials developed by UNISDR since the later was developed after the Ten Essentials. Most importantly, this partnership benefits the pilot cities by creating a space for consolidated capacity development and an opportunity for cities to 'graduate' from using UNISDR's tool to more sophisticated and challenging resilience assessment by using the UN-Habitat's tool.

Conclusions

The project is on track to achieve its objectives as planned by April 2019. It is recommended, however, to extend the timing for the completion of the CRPT for the four cities piloted under UN-Habitat implementation stream.

Overall project rating. The evaluative conclusion is the following: the MCSR is ***highly successful*** project that has necessary preconditions to observe its impact as envisaged in the TOC. Rating of each evaluation criteria is provided in Table 2 below.

Table 2: Rating of each evaluation criteria

Evaluation Criteria	Rating	Justification
Relevance	Highly Satisfactory	The objectives of the project are in line with the local needs within the pilot cities and their national strategic priorities. They are also in line with the global reference frameworks such as Sendai Framework 2015-2030, SDGs, New Urban Agenda, Paris Agenda
Effectiveness	Satisfactory	The project demonstrated a set of effective mechanisms and processes that are getting tractions within the pilot cities. Some recommendations provided to enhance both based on the feedbacks from the project stakeholders. The project implementation followed highly adaptive management style to meet the diverse needs of its various stakeholders and partners.
Efficiency	Highly Satisfactory	The use of project funds is highly efficient, given the complexity of the activities carried out within the project with limited budget, and additional resources are leveraged from various sources.
Sustainability	Satisfactory	The project has demonstrated positive change in the target cities and there are strong preconditions to consider continuity of those changes. Additional recommendations provided to better focus the capacity development activities and ways of engaging cities and implementation partners into the project.
Impact	Satisfactory	Project is set to ensure the envisaged impact. With the adjusted TOC for more focused attention to building resilience capacities and monitoring risk-informed decisions there are strong grounds to consider the impact satisfactory at the stage of the MTE.
Coherence	Highly Satisfactory	This is a highly coherent project between two UN entities. It provides a well-balanced and gradual process of capitalizing on the expertise of each of the agencies to ensure the project meets its strategic objectives.

Major success factors of the project are the following:
- Keeping DRR and urban resilience high at the global agenda
- Developing conceptually sound and user-friendly tools instrumental for the cities to measure their urban resilience and progress towards the Sendai Framework
- Building resilience capacities in the target cities

- Building effective partnerships to multiply its activities across large number of cities

Major challenges of the project are the following:
- Fine tune the work initiated on the tools based on the feedback received
- Intensify efforts for the development of resilience capacities in the pilot cities
- Define how to ensure adequate investments and financial support to implement the resilience actions identified within the project
- Manage expectations of various stakeholders: donors, municipalities and other local stakeholders in pilot cities, potentially interested cities, project partners, and project team from both UNISDR and UN-Habitat's CRPP.

Lessons learned
1. Active engagement of the UNISDR executive team in creating political commitments at the city level remains critical, which in turn is a strong precondition for sufficient attention and efforts towards urban resilience in the cities.
2. Capacity development requires multiple meetings and workshops at the city level, without which the completion of any of the tools proposed within this project does not fully fit the purpose.
3. Without clearly understanding the terminology and concepts used in the tools by the local stakeholders and their commitment to share data, it is challenging to gather the right information and complete the tools, having therefore a solid resilience profile.
4. In the absence of institutionalized mechanism for resilience building in the municipalities, there might be unclarity with regards to the roles and responsibilities of various stakeholders, leading thereby to reduced effectiveness of resilience building efforts.
5. The results of the project are long-term and cannot be observed over such a short time as its actual implementation in the cities, and therefore, to avoid that stakeholders lose their commitment, it is important to continue awareness raising efforts.
6. Engagement of national authorities from the early phases of the project implementation support the mobilization of local efforts towards resilience building, ensures alignment with national DRR priorities, and can also be seen as a potential catalytic channel to scale up the efforts across other cities.
7. Delegating facilitation function to IPs in the regions needs carefully defined model of implementation: the IP selection criteria, the monitoring of the IPs' performance, and for quality control.
8. Without introducing selection criteria tightly linked with the commitment by the cities interested in participating in the project, there is less ownership demonstrated by the cities.
9. If tools are not sufficiently flexible and user-friendly, the buy-in by the local stakeholders and the application of those tools are significantly limited.
10. The value of the process of filling in the scorecard is equal if not higher than the findings of the self-assessment. There would be no reliable findings, if the process does not deliver the expected value of raising awareness and understanding of DRR and

resilience among city stakeholders. Therefore, sufficient time should be allocated for the process.

11. Without defining the resilience capacities it is difficult to orchestrate joint efforts to building those capacities beyond general DRR and resilience awareness raising efforts.

Recommendations

General recommendations

- Ensure shared understanding of critical resilience capacities among partners and coordinated efforts to build those resilience capacities.
- While working with the cities, consider addressing all seven resilience capacities, as relevant and deemed feasible, to ensure critical mass of capacities are created
- Adjust the TOC as recommended: (a) crisis-prone refers to all cities in the project, (b) introduce resilience capacities and associated indicators, (c) introduce two indicators to collect evidence on risk-informed investment decisions.
- Synchronize reporting cycles of each partner, i.e. UNISDR and UN-Habitat
- Develop additional learning resources (an overview, a guide, a compilation of cases, etc.) to depict different experiences of how resilience is institutionalized across different cities, advantages and disadvantages of different approaches. Also, the experience from the Municipality of Barcelona could be very useful and informative.
- Develop educational materials easily accessible for the cities and actively cater them to the cities. The educational materials should cover various aspects related to DRR and urban resilience.
- Ensure clarity in using 'crisis prone' across the project.
- Adjust the project monitoring system to collect evidence rated to new indicators on resilience capacities and on risk-informed investments.

Specific Recommendations for UNISDR team

- Consider redressing the MCR campaign into Action for Resilience campaign thereby shifting focus from commitments to actual resilience building.
- Modify existing Preliminary and Detailed Disaster Resilience Scorecards for Cities into one scorecard, simplifying terminology and/or providing clear guidance.
- Intensify capacity development efforts in the target cities tailored to the local needs.
- In compliance with the principles of inclusiveness and 'leaving no one behind', consider competitive selection process for the cities to participate in the project and get prior commitments from the cities to allocate some funds from the current budget for DRR Action Plan.
- Consider competitive selection process of IPs to work with the cities.
- Avoid completion or start of the completion of the scorecards during the workshop which is also intending to raise general awareness on DRR and resilience among city stakeholders. Instead, ensure sufficient efforts to raise awareness first, by organizing additional number of workshops and other awareness raising events in the pilot cities.

When there is sufficient confidence that the local stakeholders have adequate level of awareness, only then proceed to the next step, that is self-assessment. The starting level of awareness will vary from city to city and will not be homogenous within the city either.
- Consider moving self-assessment outside the workshop format.
- Request that DRR Action Plans are divided into (a) what is feasible within existing budget, and (b) what requires external support.
- Include one more step in chain of processes supported by the project, i.e. when the DRR Action Plan is developed support the city municipality to organize a donor meeting to present the plan and solicit support.
- Ensure the scorecards are available for the city to test, train, and use on regular basis. A list of relevant resources could be developed to be distributed to each municipality.
- Commission a learning study by the end of the project on the quality of the DRR Action Plans across all 20 pilot cities.

Specific Recommendations for UN-Habitat team
- Set up an Expert Council to fine tune and complete the CRPT by the end of the project, allowing its further application in the pilot cities.
- Consider no-cost extension to complete the profiling tools in all four pilot cities.
- Contract Risk Governance expert to support with finalization of the CRPT.
- Explore opportunities of mobilizing the resource created within UN-Habitat through Global Urban Observatories.
- Develop Social Inclusion Enhancer.
- Specific recommendations related to the CRPT (as provided in the CRPT analysis):
  (a) Simplify the tool
  (b) Reduce cities' dependency on CRPP team for the analysis of the data received from the CRPT in the longer run
  (c) Consider modular approach to CRPT
  (d) Avoid 'challenges' and 'internal/external' dichotomy in CRPT
  (e) Revise the approach to scenario-building within the CRPT to develop risk scenarios

1. Introduction

This document presents the Final Report for the Mid-Term Evaluation (MTE) of the 'Making Cities Sustainable and Resilient' (MCSR) project enabled through EC DEVCO funding and jointly implemented by UN-Habitat's City Resilience Profiling Programme (CRPP) and UNISDR. The project is planned for 36 months from 15 April 2016 to 14 April 2019 with a total budget of Euro 7,5 million.

The aim of the project is to improve the understanding of, and capacity to, address disaster risks at the local level and build resilience to support national and local disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies. The Project contributes directly to achieving Sustainable Development Goal 11 'Make cities inclusive, safe, resilient and sustainable', specifically targets 11.5 and 11.b, and builds on the achievements of the Hyogo Framework for Action – Building the Resilience of Nations 2005-2015 and paves the way towards the implementation of the Sendai Framework for DRR 2015-2013 at the local level, and the recently adopted New Urban Agenda.

This project is an inter-agency initiative within the UN family to ensure coherence and build synergy across their operations while addressing urban resilience from different angles, each of which can be seen as a value-action in itself, yet together it creates an incremental process towards building disaster resilience in urban context. The *relevance*, *effectiveness*, *efficiency*, *sustainability*, *impact*, and *coherence* of the activities, output and outcomes delivered so far are addressed through the mid-term evaluation.

The MTE is mandated by the donor, EC DEVCO, for *problem solving and learning purposes*. The *objectives of the MTE* are: (a) to validate the logic model of the project to reflect the cause-effect relationships revealed during the implementation of the project; (b) to provide evidence of the progress towards the project outcome, (c) to suggest if the project is on the right track towards the desired impact, and (d) to provide corrective recommendations if and when necessary to ensure project delivers to its objectives defined within the current TOC and those could be potentially defined during the validation of the logic model.

The *MTE* is expected to provide: (a) an *independent appraisal* of the performance of the project 'Making Cities Sustainable and Resilient' vis-à-vis the risk context (challenges and opportunity) of the project implementation, (b) a list of *key lessons learned*, and (c) a list of *action-oriented recommendations* for the remaining period of the project implementation. The conclusions of the MTE feed back into the project implementation for the remaining period, hence the 'formative' status of the MTE. *A proposal for the second phase of the project has already been developed, however, the conclusions of the MTE are envisaged to inform and shape the second phase of the project, if and when relevant.*

An evaluator with strong background in risk, resilience, and M&E, Ms. Magda Stepanyan, was commissioned by UN-Habitat/CRPT and UNISDR to carry out the MTE throughout the period of June-August with a small start in April 2018. Annex 1 provides the terms of references (TOR) for this assignment.

Structure of the report

The MTE report includes the Executive Summary and the main body of the report with eight sections. *Section 1: Introduction* provides the background and explains the main purpose of the MTE. *Section 2: Overview of the Evaluated Project* explains the project in brief – its context, the TOC, target groups, implementation arrangements, project financing, reporting and M&E, as well as presents the partners of the project, i.e. UNISDR and UN-Habitat's CRPP. *Section 3: Evaluation Approach, Methodology and Limitations* discusses the rational for the MTE approach and methodology as well as the limitation of each chosen method: case study, interview, and survey. *Section 4: Main Findings* details the MTE findings across the evaluation criteria of strategic relevance, effectiveness, efficiency, sustainability, impact, and coherence. It also highlights findings from the case study conducted among 20 pilot cities and the findings from the survey carried out within 200 pilot cities. Additionally, it includes the analysis of the City Resilience Profiling Tool (CRPT) as the major output of the Result 3. *Section 5: Evaluation Conclusion* provides a high-level concluding remark on the MTE findings. *Section 6: Lessons Learned* reflects on the major lessons learned from the project implementation. *Section 7: Recommendation* lists the recommendations crystalized throughout the MTE. And finally, *Section 8: Annexes* provides a list of annexes to this report: the TOR for the MTE, the main documents revised for the MTE, the two questionnaires used for the two surveys, the list of respondents interviewed, the list of pilot cities, and the list of events to conclude as regards the project visibility.

2. Overview of the Evaluated Project

This section provides an overview of the evaluated project reflecting on its context, theory of change, target groups, implementation arrangements, financing, reporting and Monitoring & Evaluation, partners, and progress to date.

Context

Making Cities Sustainable and Resilient (MCSR) project is financed under the Development Cooperation Instrument with the implementation period of 36 month starting from April 2016. The project is implemented as a joint initiative between UN-Habitat's CRPP and UNISDR. The project is designed and implemented as a global one with specific focus on least developed countries (LDC) and small island developing states (SIDS) as well as crisis-prone context. While initially designed as two separate projects, after negotiations with EC/DECVO, the agreement was reached to implement this action jointly with clear division of responsibilities within the project, while in the meantime ensuring synergies between two streams of implementation. The project has five results, whereby UN-Habitat's CRPP is responsible for the implementation of results 3 and 5, while UNISDR is responsible for Results 1, 2, and 4.

Theory of Change

The project builds on the achievements of the Hyogo Framework for Action – Building the Resilience of Nations 2005-2015 and paves the way towards the implementation of the Sendai Framework for DRR 2015-2030 at the local Level. The Action also contributes to the European Commission's *Acton Plan for Resilience in Crisis Prone Countries 2013-2020* and *The EU Approach to Resilience: Learning from Food Security Crises*.

DEVCO's proposal to combine two projects earlier unrelated, i.e. UN-Habitat's and UNISDR's streams, received traction from both organizations and is fully in line with the understanding of the long-term complementarity of the efforts and the imperative stated in *Delivering as One* report.[2] The combined project is designed in such a way to ensure complementarity of expertise available within each partner organization for the benefits of the project beneficiaries.

Figure 2.1 depicts the Theory of Change (TOC) of this joint project including the impact, outcomes, the five results designed to reinforce each other, and the assumptions related to impact and the outcomes.

Figure 2.1: TOC of the Making Cities Sustainable and Resilient Project
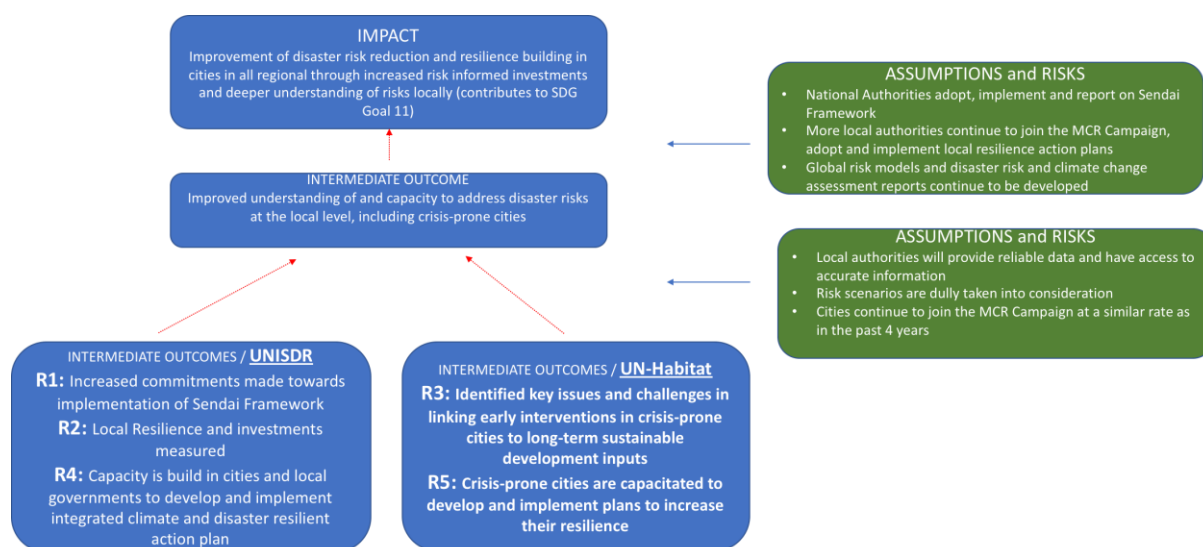
The overall objective (impact) of the project is the following: *Improvement of disaster risk reduction and resilience building in cities in all regions through increased risk-informed investments and deeper understanding of risks locally* (contributes to SDG Goal 11).

The specific objective (outcomes) of the project is the following: *Improved understanding of and capacity to address disaster risks at the local level, including crisis-prone cities.*

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[2] http://www.un.org/en/ga/deliveringasone/

The TOC is designed in such a way to ensure logical coherence and interlinkages between the results within each stream of implementation and among the streams. Hence, the UNISDR's results 1, 2, and 4 are linked in such a way that the cities committed to the MCR campaign engage in self-assessment and then in developing the DRR Action Plan. Similarly, the UN-Habitat's CRPP's results 3 and 5 designed in complementarity, i.e. first the CRPT tool is developed and then (or with little overlap of timing) the tool is piloted in the target cities. The conceptual coherence between both streams suggests that the cities that have graduated from UNISDR's stream could further embark on exploring broader sets of variables to measure more nuanced urban resilience across various dimensions of the CRPT.

Hence, the results are specific for each partner, however, designed with the view of ensuring synergy between and among them. Below are several observations about the TOC:

1. *On indicators (see Annex 1: TOR):* the indicators for all results are actually output indicators. ***Therefore,*** the MTE will review and provide recommendations on how to improve indicators for the project.

2. *On the intermediate outcomes:*
   - Reference to crisis-prone cities in the TOC requires clarifications. Within this project the 'crisis-prone' implies disaster-prone and differs from humanitarian crisis context. From this perspective, all pilot cities could be considered crisis-prone since each city has certain level of exposure to natural hazards including climate change and therefore is prone to disaster risk. ***Therefore,*** the MTE will explore the perspective of various stakeholders and propose how to sharpen the wording of the TOC without losing its focus.
   - Both project partners, i.e. UNISDR (in result 4) and UN-Habitat's CRPP (in result 5) refer to capacities that the project aim to build, however, the project does not specify which capacities it intends to build in order to guide project efforts accordingly. This is understandable for the early stage of the project implementation since the project is in pilot and it is important to let the project evolve. However, after two years of the project implementation the findings from the MTE could help to specify which capacities the project is strengthening, and which capacities are actually critical not only to facilitate the use of the tools but also to ensure sustainable resilience building through risk-informed decision-making at the local level. ***Therefore,*** the MTE will zoom in on the resilience capacities the project contributes towards.

3. *On assumptions related to the impact:* the logic model could highlight stronger the link how local level developments contributes to high-level impact. The project aims at achieving impact of improved disaster reduction and resilience building in cities through an outcome of improved capacities and risk-informed investments. While jointing the MCR campaign, adopting and reporting on Sendai, as well as understanding the risks at the local level is important, there is also an assumption that risk knowledge guides decision-making at the local level. This is the critical consideration that requires careful reflection. ***Therefore,*** the MTE will explore the preconditions to suggest if and how the project supports risk-informed decision-making and risk-informed investment at the local level.

4. *On risks:* stronger reference to expected risks to project implementation could have been useful too. Examples could include, high staff turnover in the pilot municipalities, overstretched human resources, lack of funding, etc. **Therefore,** the lessons learned and the challenges in the project implementation identified throughout this MTE could further inform the risk thinking and risk management within the project.

The validation of the logic model is focused on addressing the above-mentioned comments.

Target groups

While the outputs of the project could be and deemed to be used by the cities around the globe with no restrictions, there are three sets of cities selected as pilot ones for this project. Annex 5: Pilot cities provides the list of all pilot cities. The EC was actively engaged in the selection of the cities to ensure complementarity between its thematic and geographic actions through both National Indicative Programmes (NIP) and Multiannual Indicative Programmes (MIP) of partner countries.

- *The target group for Result 1* is not limited to any specific profile as this result focuses on a broad-based outreach and advocacy to increase local-level awareness and commitments towards disaster resilience. The target group for this result includes effectively all cities and is restricted only by feasibility of reaching out to the limited number of cities within this project.

Both results 2 and 3 are designed to build new, and adapt existing tools, to establish baselines and gather risk and resilience related data and information.

- *Target group for Result 2:* 200 pilot cities selected to assess their gaps and progress in addressing local resilience through piloting the Disaster Resilience Scorecard for Cities: Preliminary assessment.[3]
- *Target group for Result 3* has no restrictions either since the output of this result, i.e. the City Resilience Profiling Tool (CRPT), is envisaged to be universal and therefore, could be used by any city interested in diagnosing the level of its resilience.

Both Results 4 and 5 are focused on developing and facilitating the implementation of action plans for resilience building by applying the profiling tools in the beneficiary cities.

- *Target group for Result 4:* 20 pilot cities selected to apply the Disaster Resilience Scorecard for Cities: Detailed assessment[4] and to develop the DRR Action Plans. The list of pilot cities was composed through extensive consultations with the respective national counterparts and the donor. The selection criteria included: population, development of the country, economic contribution to the national gross domestic product, known hazards, potential hazards, percent of population in informal settlements, existing consultations with the cities, the highest level of authority in the

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[3] https://www.unisdr.org/we/inform/publications/53349
[4] Ibid.

city, the willingness of the cities to partner up and participate in the project, complementarity with other on-going disaster risk reduction interventions, existing city disaster risk reduction plans.

- *Target group for Result 5:* the project targets 4 cities to pilot the implementation of the CRPT. The cities were selected through consultations with DG/DEVCO and EC Delegations in respective countries with the focus on some specific criteria: cities committed to MCR campaign, regional distribution of the pilot cities, size of the cities, willingness of the cities to participate in the project, presence of small island developing states.

Implementation arrangements

The project implementation arrangements include the *project governance structure* and the *project implementation modalities* that the project team applied in the pilot cities.

Project governance structure

The project governance structure is illustrated in Figure 2.2 and includes Action Steering Committee, Making Cities Resilient Campaign Steering Committee, and the range of actors working at the local level to ensure the smooth implementation of the project: regional and national officers of the project, Mayor's Offices and Local authorities, National Governments, and In-Country Partner.

Figure 2.2: Governance structure
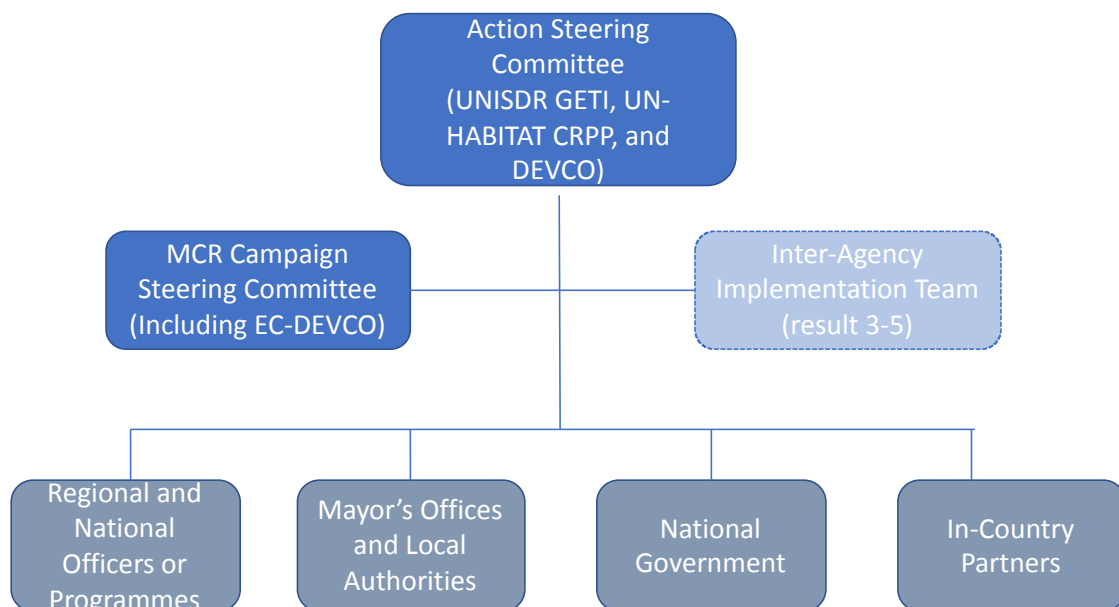
Action Steering Committee includes project teams from UN-Habitat Barcelona office, UNISDR GETI, UNISDR Geneva and Brussels offices, and also the EC represented by DG-DEVCO and European External Action Service (EEAS). It is Chaired by the DEVCO and

meets annually to discuss the progress of the project, gaps and challenges, and ensure transparency and accountability in delivery.

With the internal re-organization of UNISDR in 2016-2017, there is no longer a UNISDR Advocacy and Outreach Unit, that was initially assigned to coordinate the work under this project. The work on the MCR Campaign and also the MSCR project were therefore relocated to UNISDR ONEA-GETI, under the Supporting & Monitoring Sendai Framework Implementation Branch (SAMSFI).

MCR Campaign Steering Committee[5] does not provide direct guidance to the implementation of the Action. However, the strategic guidance provided to the overall MCR Campaign is utilized in the implementation of the Action by UNISDR. The Committee is comprised of 18 members representing local and national governments, international agencies, donors, CSOs, regional networks, academic institutions and technical organizations. Currently, the Committee is co-chaired by UN-Habitat while UNISDR serves as the Secretariat. The role of this committee is more of an advisory, meaning, the project team takes into consideration developments taking place within the MRC campaign.

It was envisaged to establish an *Inter-Agency Implementation Team* to review the progress of the project under the UN-Habitat implementation. The purpose of this team was to consolidate all organizations who are engaged in Urban DRR globally and coordinate their efforts by contributing to the Resilience Action Plans to be developed within the project under result 5. The intention was to establish a global team lead by UN-Habitat and provisionally comprised of DEVCO, UNISDR, UNOCHA, MHCUA (Meeting Humanitarian Challenges in Urban Areas), IASC Reference Group and IFRC. This was ambitious and not feasible to implement within this project, at least in its early stages when the CRPT was in the process of its design and it was too early to reflect on the findings and lessons from the resilience assessments in the pilot cities.

Project team maintains close contacts and ensures regular feedbacks from regional and national officers, Mayor's Office, National Governments, and other in-country partners.

Project implementation modalities
There are various project implementation modalities activated within this project. **UN-Habitat's CRPP** works directly with the pilot cities through hiring local consultants (i.e. city focal points) to facilitate all the project implementation at the local level and actively engage its project team in providing continues support, guidance, and training for the national consultants. In the meantime, UN-Habitat's CRPP is actively engaged in various international platforms focused on building urban resilience, promoting thereby the results of this project while contributing to higher-level synergies across various global actors. Hence, the UN-Habitat's CRPP is engaged in the following partnerships: Medellin Collaboration for Urban

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[5] https://www.unisdr.org/campaign/resilientcities/Home/steering

Resilience (MCUR),[6] Making Cities Resilient Campaign,[7] Risk Nexus Initiative,[8] Global Alliance for Urban Cities,[9] RESCCUE,[10] ISO standard for Resilient Cities,[11] and Inter-Agency Standing Committee for Humanitarian Responses (IASC) whereby UN-Habitat's CRPP is a member of the Task Team on Strengthening the Humanitarian/Development Nexus[12] with a focus on the context of protracted crisis. It has established an Urban Resilience Institute (URI) with the purpose to strengthen the link between science and policy-making and practitioners. Currently there are 10 universities engaged in this partnership. Further, the interest towards the CRPT is growing so that UN-Habitat's CRPP has secured a partnership with C-40 to strengthen climate resilient component in the CRPT and has reached an agreement with United Cities and Local Government (UCLG)[13] to pilot the CRPT in their cities, which means upscaling the operations massively.

UNISDR instead has employed a variety of implementation modalities given the scale and the variability of its operations within this project. Hence, while DRR advocacy is the mandate of UNISDR and the collective effort of all its offices across the globe, it also mobilizes the power of Advocates, Partners, and Champions of the Making Cities Resilient (MCR) campaign. Also, the city-to-city exchange mechanism is utilized to create avenues for capacity development and knowledge exchange among cities engaged in the MCR. Under the Result 2 (200 pilot cities), the main modality chosen is to work with the implementing partners (IPs) who are active in the region and can perform a catalytic role to ensure broader coverage of the project. These implementing partners include ICLEI Africa, Fundacion Humania, Resurgence and Arab Urban Development Institute (AUDI), UCLG-ASPAC, and AIDMI[14].

Similarly, under the Result 4 (20 pilot cities) a variety of approaches are explored: in Americas 5 individual consultants are contracted to work directly with the cities, in Asia & Pacific two organizations, SEEDs Asia and ICLEI Oceania were hired to facilitate the process, in Arab States a combination of institutions and experts was explored, in Africa an Urban specialist is contracted by UNISDR as the focal point responsible for the project implementation in the pilot cities.

Project financing

The total eligible costs for both UN-Habitat and UNISDR is estimated at EUR 3,750,000 each with 80% contribution from the Contracting Authority, i.e. DEVCO, and 20% the recipient organization. Eligible indirect cost of the Action is estimated on the basis of a flat-rate of 7% of the final amount of direct eligible costs, i.e. EUR 7,500,000.

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[6] http://urbanresiliencehub.org/medellin-colaboration/
[7] https://www.unisdr.org/we/campaign/cities
[8] http://www.risknexusinitiative.org
[9] http://urbancrises.org/about-us
[10] http://www.resccue.eu
[11] https://www.iso.org/committee/5259148.html
[12] https://interagencystandingcommittee.org
[13] https://www.uclg.org
[14] http://www.seedsasia.org/eng/

Besides, each partner mobilized additional resources and creates synergies with other interventions it engaged in, directly contributing thereby to the impact envisaged from this project. Hence, UNISDR secured regular funding from the Government of the Republic of Korea to support the activities of UNISDR GETI. Also, a small funding was mobilized from Security Trust Fund for the implementation of the '*Enhancing community resilience and human security of vulnerable communities in urban settings through the implementation of Sendai Framework for DRR 2015-2013''* which directly contribute to the realization of the objectives of this project in the Arab region.

UN-Habitat's CRPP benefits from financial support from UN-Habitat HQ that finances the posts of several senior and junior experts within the team. Also, funds are generated from a variety of sources including private sector, donors, the municipalities interested to use the CRPT (like, the municipality of Yakutsk, Russia).

Reporting, Monitoring, and Evaluation

While the project teams both from UNISDR and UN-Habitat are actively engaged in day-to-day technical and financial monitoring of the implementation of this project, there are also formal reporting agreed with the donor. Hence, over the course of the project implementation the following reporting were developed and submitted to the donor as of the project contract.

- *After 6-month* of the project implementation the Action Steering Committee meeting was organized, which substitute the inception reports initially envisaged in the project contract.
- *UNISDR has submitted:*
  (1) Interim Report for Results 1, 2, and 4: April 2016 – May 2017
  (2) Interim Report for Results 1, 2, and 4: 1 June 2017 – 14 April 2018
- *UN-Habitat has submitted:*
  (1) Interim Report for Results 3 and 5: June 2016 – June 2017
  (2) Interim Report for Results 3 and 5: June 2017 – June 2018

Each of the partners has its internal mechanism to get updates from the pilot cities: either through regional or bi-lateral meetings, or through information received directly from the cities or from the implementing partners working with the cities, and suchlike. Reporting modalities with UNISDR's implementing partners are defined in each contract. While each implementing partner is required to provide a mid-term and a final narrative and financial reports, the timing for the report varies for each partner.

UN-Habitat's CRPP also has introduced regular feedback loops with the pilot cities: through progress reports at the critical stage of implementation, monthly activity report from city focal points, and bi-weekly calls among all city focal points.

Along with the annual reporting cycle from both partners, the UNISDR's external relations officer maintained regular contacts with the donor, providing more frequent updates when relevant and/or necessary over the course of the project implementation for both streams.

The first joint project monitoring workshop between UN-Habitat/CRPT and UNISDR was organized in 12-13 December 2017 to increase synergies between the two streams of implementation. Joint monitoring missions are also envisaged within the project, however, to date no such mission was planned and executed.

Mid-term and final evaluation missions are envisaged within this project to be implemented internally by the representatives of UNISDR and/or UN-Habitat's CRPP unless otherwise required by the donor, DEVCO.

Project partners

There are two partners that are jointly implementing this project with significant level of independence yet trying to ensure synergies across various activities within the project.

UN-Habitat

UN-Habitat is the United Nations Human Settlements Programme working towards a better urban future. Its mission is to promote socially and environmentally sustainable human settlements development and the achievement of adequate shelter for all. Established in 1978 by the UN General Assembly to address future urban growth, over the last 40 years UN-Habitat has been working on all issues related to urban areas and their residents.

The UN-Habitat City Resilience Profiling Programme (CRPP) was initiated by UN-Habitat to address the growing concerns around urban resilience issues in 2012. In 2013 it signed a collaboration agreement with the municipality of Barcelona to jointly explore urban resilience and jointly embark into the development of the City Resilience Profiling Tool (CRPT). After the agreement was signed, UN-Habitat initiated a process of building UN-Habitat's CRPP Barcelona with periodic missions from UN-Habitat Geneva and HQ. In 2015, UN-Habitat UN-Habitat's CRPP staff was formally recruited and moved from UN-Habitat Geneva to Barcelona, to the location provided by the municipality of Barcelona, while administration work was still covered by the HQ and staff contracting was handed over to UNDP in Kosovo in 2016 for this project (this function was moved back to UN-Habitat HQ in Nairobi in 2018). Since April 2016, UN-Habitat partners up with UNISDR to jointly implement Making Cities Sustainable and Resilient project, which covers many important aspects of UN-Habitat's CRPP activities while in the meantime benefiting from all other activities happening within the programme but outside the scope funded by DEVCO.

UNISDR

Established in 1999 by UN General Assembly, UNISDR is part of UN Secretariat and is granted the role of ***a secretariat, a focal point,*** for UN system for the coordination of disaster reduction and to ensure synergies among the disaster reduction activities of the UN system and regional organizations and activities in socio-economic and humanitarian field.[15] Since 2013,

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[15] UN General Assembly Resolution 56/195
http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/56/195&Lang=E

UNISDR has developed and regularly updated the UN Plan of Action on Disaster Risk Reduction[16] to integrated DRR into country-level programmes and activities.

UNISDR's portfolio includes extensive UN-wide coordination of DRR efforts, advocacy for and monitoring of the progress towards Sendai Framework for DRR 2015-2030, and importantly it has established several successful global campaigns to raise awareness on DRR. Initiated in 2010, Making Cities Resilient[17] campaign addresses issues of local governance and urban risk and raises the profile of resilience and DRR among local governments and urban communities worldwide promoting risk-informed decision-making and capital investments. In 2012, UNISDR released the Local Government Self-Assessment Tool (LG-SAT). Later, in 2014 with support of DEVCO funded this project on Making Cities Sustainable and Resilient the more advanced version of the tool, i.e. the Disaster Resilience Scorecard for Cities, was released in 2015. Hence, DEVCO-funded action is well grounded on long-standing achievements of the MCR, allowing new scale for its operational implementation through developing and implementing various tools and DRR Action Plans. Meanwhile, the project continues benefiting from the wide range of initiatives implemented by UNISDR globally.

Initially the UNISDR's stream of the project was managed by the team based in Geneva, however, since 2017 the responsibility over the implementation was moved to UNISDR's Office for Northeast Asia and Global Education and Training Institute (GETI)[18] located in Incheon, South Korea.

3. Evaluation Approach, Methodology and Limitations

This section explains the approach and methodology of the MTE as well as outlines its limitations.

Approach

The approach and methodology for the MTE is chosen based on the specifics of the project 'Making Cities Sustainable and Resilient' itself. The project has a global coverage with one shared outcome yet a very distinct sets of results to be achieved by each implementing partner, namely, UNISDR and UN-Habitat's CRPP. Therefore, the importance for the MTE is to address the progress of the project with the focus on the synergy and complementarity between two implementation streams.

The evaluation is designed to address the set of questions raised in the ToR and is conducted in a gender and culturally sensitive manner and with due respect to human rights principles. It was carried out in conformity with the requirements of the UN-Habitat Evaluation Policy and the UNEG Norms and Standards for Evaluation, namely, internationally agreed principles,

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[16] UN Plan of Action on DRR for Resilience, 2013
https://www.preventionweb.net/files/33703_actionplanweb14.06cs1.pdf
[17] https://www.unisdr.org/campaign/resilientcities/
[18] https://www.unisdr.org/incheon

goals, and targets; utility; credibility; independence; impartiality; ethics; transparency; human rights and gender equality; national evaluation capacities; and professionalism.

It is further informed by the EuropeAid's evaluation methodological guidelines for project and programmes. In addition, the evaluation is informed by the conceptual basis of the EC's Rapid assessment of capacity development (RAC) methodology, namely, recognizing that capacity and performance differ from each other and building capacities and capabilities (both individual and organizational) are critical to ensure envisaged impact. While it was not deemed necessary to fully apply the RAC approach for the purpose of this MTE, the design of the MTE is however, based on the recognition that developing 'resilience capacities and capabilities' is the key to long-term sustainability and impact of the intervention. Therefore, the design of the MTE is two-fold: (a) understanding the progress made within the project, and (b) defining the process (i.e. Theory of Change) and the mechanism (i.e. resilience capacities) that lead to the outcomes and the future impact of the project. The validation of the TOC is considered through the prism of the envisaged impact of the project.

A set of recommendations provided by the MTE is designed in full consistency with the EC's policy and commitment to ensure evaluation informs decision-making and is better integrated into strategic planning and programming cycle. The findings of the MTE are expected to inform the implementation of the remaining period of the project as well as its second round.

Methodology

To ensure logical coherence and completeness of the analysis, two compatible strategies of analysis are used: *change analysis* and *context-specific attribution analysis*.

Change analysis

The purpose of the change analysis is to compare the results indicators over time and against final targets as defined in the LogFrame, Figure 2.1. From the perspective of *change analysis*, the evaluation is focused on documenting the progress – **full**, **partial**, or **not achieved** - made vis-à-vis the budget, workplan, and the quality requirements set within the project. The project baseline data and indicators are used to demonstrate the progress. *The data collection method for this analysis includes desk review and interviews.*

Context-sensitive contribution analysis

The purpose of the contribution analysis is to explore cause-effect assumptions and conclude about the contribution the project has made or not to both intended and unintended outcomes. The focus of the contribution analysis is not to quantify the degree to which the project has contributed to the outcomes but to provide evidence to support ***reasonable conclusions about the contribution*** made by the project to the desired outcomes.

For the analysis of the complex context of the project and its progress, the MTE applied the UNEG evaluation criteria, namely ***relevance***, ***effectiveness***, ***efficiency***, ***sustainability***, and ***impact***, which are also in line with the OECD/ DAC evaluation criteria. The criterium of impact

was not initially envisaged to be reflected in this MTE however, was added after discussion with the donor. The rationale is to define early indications if the project is on the right track towards the envisaged impact and to ensure there is due focus on monitoring progress towards the impact after the validation of the TOC. As suggested by the TOC, the impact of the project is possible only if there are necessary capacities developed in the target cities. Through this MTE the 'impact' criterion is further operationalized into a set of 'resilience capacities' this should provide a basis for the future impact assessment of the project. In addition, based on the MTE findings, indicators are proposed to monitor the risk-informed decision-making within the cities and risk-informed investments made at the local level. This will provide a basis for the future impact assessment.

As a joint project between two organizations, UN-Habitat and UNISDR, additional evaluation criterium is introduced, that is *coherence*. The focus is on exploring the coherence and complementarity of the two implementation streams and the benefits that such an implementation modality leverage.

Table 3.1 provides the *performance rating* for the evaluation criteria used to each of the five results, on which basis the overall rating of the project will be proposed.

Table 3.1: Performance rating

Rating of Performance (Relevance, effectiveness, efficiency, sustainability, coherence and added-value)	*Characteristics*
Highly Satisfactory (5)	The project had several significant positive factors with no defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Satisfactory (4)	The project had positive factors with minor defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Partially satisfactory (3)	The project had moderate to notable defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Unsatisfactory (2)	The project had negative factors with major defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.
Highly unsatisfactory (1)	The project had negative factors with severe defaults or weaknesses in terms of relevance/efficiency/effectiveness/sustainability/impact outlook.

Source: UN-Habitat Evaluation Unit 2015

The data collection method for this analysis includes:

(a) *secondary analysis:* all project related materials were studied including, reports, publications and media products as well as the tools developed within the project: CRPT, preliminary and detailed scorecards, and quick risk estimation. Annex 2 provides an overview of the main documents reviewed for the MTE.

(b) *interviews:* 43 interviews were carried out with the key informants both face-to-face and remotely with the use of technology (phone, Internet, etc.). Annex 4 provides the list of interviewees.

(c) field *visits:* two field visits were realized to Barcelona (Spain) on 16-20 April 2018 to meet with all city focal points of the UN-Habitat's CRPP and Cartagena (Columbia) to participate in the meeting of UNISDR's focal points and city representatives of Americas on 16-20 April and 18-20 June respectively.

-    (d) *case study of 20 pilot cities under the Result 4:* a survey was organized to explore the resilience capacities and capabilities in the cities and within the local government to design and implement climate and disaster resilience action plan. Questionnaires were received from each city representative except Khartoum, Republic of Sudan. Also, responses were collected from UNISDR's focal points facilitating contacts with the pilot cities in each region. In total, 39 responses were collected. The findings of the survey were further substantiated and validated through interviews with the UNISDR's focal points facilitating the process of development of those resilience plans.

Note on response rate and the quality of the responses received for the case study: It was envisaged to ensure 100% response rate for this survey. All questionnaires were received except one from the municipality of Khartoum, Sudan. Very detailed and useful information was received from the individual consultants from Americas, who provided much insights related to the project implementation. Responses from UNISDR's regional representative in Asia were also very informative. Initial expectations were that the responses from UNISDR's team (either focal points or regional staff) would be more complete than the responses from the city authorities. However, the responses from the municipalities in case of Africa were more informative. The questionnaires from the UNISDR's regional representative from Arab States lack substantial information, which is explained by little progress made within the region and therefore the absence of relevant information to share.

(e) *survey among 200 pilot cities under the Result 2:* survey instrument was designed to reach out to 200 pilot cities and collect their perspective on the relevance, effectiveness, and efficiency of the project under the Result 2. The questionnaire combines both open-ended questions with the structured once. The response rate for this survey was far below the expected through highly ambitious 80%. In total only 57 responses were received, whereby 25 responses from India, 11 responses from Africa, 11 responses from Indonesia, 1 from Nepal and 1 from Philippine, and 8 responses from Americas were received. No responses were received from the Arab States. Such a response rate (below 30%) does not allow for statistically valid extrapolation of data, however, the findings of the survey are analyzed (with due consideration of uncertainty level) and presented in the report. An attempt was made to reach out to the cities

and substantiate the questionnaire results with interviews, however, no responses were received from the city representatives.

The triangulation principle, meaning utilization of multiple sources for data and methods, is applied to validate findings. Annex 3 provides two questionnaires used during the MTE.

From the perspective of context-sensitive *contribution analysis,* the evaluation is focused on evidence to support or decline the following:

(1) if there are missing links within the TOC of the project,

(2) if project influenced the observed outcomes and set to achieve its desired impact,

(3) the quality of adaptive management approach or how well the project team adapted its theory and implementation strategy to the changes in the context,

(4) resilience capacities and how the action supported to build them within target municipalities,

(5) complementarity of both implementation streams (UNISDR and UN-Habitat's CRPP).

Quality control

The quality control of the evaluation process was established from the inception of the MTE, i.e. the design of the ToR in a collaborative fashion between two institutions with the engagement of the External Evaluation Group, which includes representatives from the two project teams at UN-Habitat's CRPP, UNISDR, the Evaluation Unit of UN-Habitat, as well as the donor, EC/DEVCO. Also, the members of the Evaluation Reference Group were engaged to (a) review and comment on the Inception Report, (b) review and comment on the draft evaluation report, (c) remain available for the reference and additional oversight throughout the evaluation process and (d) approve the final evaluation report.

Key stakeholders contacted

- UN-Habitat project team, including Focal Points in four selected project cities and in Barcelona municipality
- UN-Habitat external partners including those from the MEDELLIN Collaboration for Urban Resilience, partner universities, Barcelona municipality
- UNISDR project team, including Regional Focal Points, regional implementing partners (ICLEI Africa, Fundacion Humania, Resurgence and Arab Urban Development Institute, UCLG-ASPAC, AIDMI, SEEDs Asia, the consultants from America, and private sector representatives) and some selected city focal points
- All 20 cities targeted by UNISDR to develop the DRR Action Plans were case studied
- 200 cities and local governments the project targets to conduct self-assessment were surveyed
- Donor, DG DECVO
- UNISDR Geneva office, who was initially in charge of the project implementation and who provides communication with donors

Limitations of the evaluation

There are several limitations to this evaluation related to the absence of evaluability assessment, timing of the evaluation, conceptual limitations of the contribution analysis, and the limitations of the tools of the two surveys.

1. Evaluability assessment:

In the absence of an Evaluability assessment which could be explained by the existence of the quality assurance mechanisms, i.e. both Project Steering Committee and Evaluation Reference Group, and the cost-effectiveness challenge, the evaluator paid closer attention to the project design, information availability, and institutional context. Also, this limitation was partially compensated by the review of the TOC.

2. *Timing:*

- There was a time gap between the time when informal communication about the evaluation started in early April and its formal endorsement, i.e. signing of the contract around mid-June. This has left evaluator with less time for field visits and only two field visits were realized to Barcelona and Cartagena. They provided an opportunity to meet with the city focal points of all pilot cities under the UN-Habitat's implementation stream and the UNISDR's individual consultants working in Americas as well as some authorities from the pilot cities.
- In different parts of the world, the timing was affected by seasonal holidays. Multiple delays were encountered during the interviews and surveys because many respondents were not available being either on leave or too busy due to extra workload in the absence of other colleagues.
- By the time the MTE was initiated, a proposal for the second phase had already been drafted. While the proposal is based on the insights generated from the first round of the project implementation and based on clear articulation of needs of its beneficiaries the outcomes of the MTE are still expected to be used to inform the finalization and shaping the proposal.

3. *Limitations of contribution analysis:*

Strong TOC is a good precondition for the use of contribution analysis. However, there is no clear consensus in the evaluation community on how detailed a Theory of Change needs to be in order for it to be robust enough to test. This is especially true when addressing high-level outcomes within complex social systems, which is the case of this project. This is one of the limitations. Another one is the fact that for this MTE there is limited time and scope available to carry out an iterative process of testing and re-testing the TOC, including multiple perspectives in the creation of the logic model of the project. However, through clearly defining the attribution problem(s) to be assessed and targeted evidence collection, it is possible to make reasonable conclusions about the complexity of the evaluation context, the progress made by the project, and how it is set to gain the envisaged impact.

4. *The tools:*

The limitations of the tools are as following:

- *Limitations of survey:* While there are many different limitations, the most relevant for this survey would include the following. (a) All perception surveys inevitably carry risks of differential interpretation by respondents on questions and ratings scales. This is particularly the case where surveys are conducted on a cross-national basis. To address this limitation, the survey tools are designed in 'plain English' and were translated into local languages when needed. (b) To mitigate the risk of 'central tendency bias', where respondents gravitate towards a 'middle ground' score, the survey response scale was constructed on a symmetric 'forced choice' basis with an additional option for 'do not know/cannot respond'. (c) Availability of responders to complete interviews was critical throughout the MTE. In different parts of the world, the timing was affected by seasonal holidays. Regular iterations and reminders were carried out by the evaluator and the UNISDR team.

- *Limitations of case study method:* while case study allows the exploration and understanding of complex issues in a specific context, it also has its own limitations. The proposed case study has two distinguished elements: (a) elements of descriptive case study (meaning, study that set to describe the data as they occur) and (b) explanatory case study (meaning, examining the data at the deeper level with the intention to reveal causal patterns). Understandably, for the MTE purposes only a simplified version of a case study method is proposed. One of the common critics towards case studies is the lack of rigor and usually limited number of cases to ensure sufficient generalization. While this argument is generally valid, in case of the MTE the share of cases chosen for case study analysis is 100% of the cases available. Therefore, the causal patterns revealed through the case study could be considered representative for the project.

- *Limitations of interviews:* Face-to-face surveys deliver the most representative results, however, the limitations for this work remains the very limited number of key informants that can be effectively reached for an interview.

- *General limitation during data collection:* the evaluator remained vigilant to the following biases: (a) confirmation bias, i.e. tendency to seek out evidence that is consistent with the expected effects, (b) Empathy bias, i.e. tendency to create a friendly (empathetic) atmosphere during data collection with the consequence of creating overoptimistic statements over project; (c) Strategies that could be used by respondents on self-censor (reluctance of respondents to freely express themselves) or purposely distorted statements to attract evaluation conclusions closer to their views.

4. Main Findings

This section highlights achievements and progress made so far vis-à-vis project indicators as findings from change analysis. It also provides the main findings along the UNEG evaluation criteria, namely *relevance*, *effectiveness*, *efficiency*, *sustainability*, and *impact, and an additional criterion of coherence* between the two streams of implementation managed by UN-Habitat's CRPP and UNISDR respectively. Also, a reconstructed theory of change is provided.

4.1 Findings from Change Analysis

Table 4.1 provides a high-level overview of the status of the project progress per result by August 2018 and the envisaged expectations on the level of accomplishment of each result by the end of the project cycle.

Table 4.1: Overview of the project progress, per result

Result	*Indicator*	*Progress*
Result 1: Increased commitments to build local level resilience	At least 560 cities & local governments joint the Making Cities Resilient Campaign and endorse the '10 essentials'	***Fully achieved*** Exceeded the target already: 1,442 cities have joined the campaign making it in total 3,883 cities as of August 2018.
Result 2: Local Resilience and investments measured	At least 200 cities & local governments assess their gaps and progress in addressing local resilience	***Partially Achieved*** Progress made: out of 200 cities 196 have already completed the self-assessment ***Expected to be completed*** by the end of the project cycle
Result 3: Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs	1 City Resilience Profiling Tool (model for measuring resilience in cities) and 1 Resilience Action Plan Tool Kit developed	***Partially Achieved*** While there is a strong progress made in conceptualization of the CRPT and operationalization of its major elements, the CRPT 2.0 is work in progress. ***Expected to be completed*** by the end of the project cycle
Result 4: Capacity is built in cities and local governments to develop and implement integrated local climate and disaster resilience action plans	At least 20 local governments have a Resilience Action Plan* and several begin implementation of Action Plans	***Partially Achieved*** Strong progress made: out of 20 cities 5 have already completed both self-assessment tools and developed the DRR Action Plan: preliminary and detailed scorecards.

		Could be completed by the end of the project cycle if there is very close attention to the Arab States
Result 5: Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency.	4 pilot cities measured with the City Resilience Profiling Tool and developed Resilience Action Plans	*Partially Achieved* All four pilot cities have completed Set 1 and made strong progress in completing Set 2 out of total 4 sets, however, it is too early to discuss the development or implementation of the Resilience Action Plans. *It is not recommended to be completed by the end of the project cycle. An extension could be useful to consider.*

*Throughout the project implementation and in all project-related documents there is reference to DRR Action Plan.

More detailed overview of the progress made within the project is provided below, highlighting the progress per each partner and per each result.

UNISDR implementation stream that includes Results 1, 2 and 4

While during the first year of the project implementation the UNISDR's focus was primarily on updating and developing tools and resource guidance, the second year of the project implementation is more focused on helping cities to apply those tools, i.e. Disaster Resilience Scorecards for Cities (preliminary and detailed) and Quick Risk Estimation (QRE) and developing thereby the DRR Action Plans. Table 4.2 shows status of Result 1 activities.

Table 4.2: Result 1

Activity/Milestone	*Status by August 2018*
1.1 Advocacy and outreach events in every sub-region for multiple stakeholders	1,442 cities have joined the campaign / in total 3,883 cities as of August 2018
1.2 Development of new Handbook for Local Governments to implement the Sendai Framework for DRR 2015-2030	Developed and translated into Arabic, Spanish, Korean
1.3 Development and promotion of new "Essentials" based on the Sendai Framework for DRR 2015-2030	Updated in 2017 to align with the priorities of the Sendai Framework Educational video in English and Spanish

UNISDR throughout its regional offices in Africa, Americas, Arab States, Asia & Pacific, as well as through its HQ in Geneva and its Training Centre in Incheon continues active outreach

and advocacy for the MCR campaign. A series of events at the global, regional, and local levels were organized during 2016-2018 period. The examples of the *global events* include Florence High-Level Forum 2016, or 9th session of The World Urban Forum (WUF9) in 2018, or Global DRR Platform 2017 where the Local Governance Summit was organized and the Declaration – The Chair's Summary[19] – was produced. These events were financed from various sources however, the limited project funding was also used for organizing a variety of side events to inform global audience about the developments within the project.

Multiple *regional events* were organized both in support to the management of the MCR campaign and for the advocacy purposes. Hence, 4th and 5th MRC Steering Committee Meetings were held in October 2017 and February 2018 respectively. Also, since 2017 the city-to-city exchange initiative was activated within the MCR to help promoting dialogue and exchange among local governments. Several city-to-city exchange events were organized since then in *Africa* (in Nacala, Mozambique on 22-23 August 2017, Durban, South Africa on 27-28 September 2017), in *Americas* (Los Angeles, on 27-31 January 2018, Ciudad de Mexico on 21-22 March 2018), in *Arab States* (Khartoum, Sudan on 3-5 October 2017, Amman, Jordan on 4-5 November 2017).

During the Fifth Asia-Pacific Forum held on 29 March 2018 in Bangkok, Thailand, a side event was organized to share lessons from the cities engaged in the DEVCO-funded project. On 22-25 November 2016, UNISDR together with UN-Habitat jointly convened a Special Event 'Risk-Sensitive Urbanization' and presented the achievements of three African cities during the 6th Session of Africa Regional Platform and 5th High-Level Meeting on Disaster Risk Reduction.[20] In March 2017, UNISDR hosted a session at the Local Climate Solutions for Africa (LOCS4Africa) Congress on City Resilience.[21] In celebration of the International Day for Disaster Reduction (IDDR), the Hong Kong Polytechnic University in partnership with UNISDDR ONEA-GETI hosted the Symposium 'Making Cities Resilient: Experiences from Australia, Hong Kong, the Philippines and Taiwan' on 13 October 2017.[22] Also, during the 3rd Arab Conference on DRR jointly host by the State of Qatar in Doha on 30 April – 1 May 2017, UNISDR had an opportunity to present the MCSR project and emphasize the importance of building urban resilience.

A variety of *national events* were organized too. The National Symposium on DRR in Kwale Country (Kenya) on 27-28 November 2017 whereby six cities participating on that event were trained on MRC Campaign tool and were able to complete the preliminary Disaster Resilience Scorecard for Cities after the meeting. To mark the World Tsunami Awareness Day 2017, the UNISDR Regional Office for Arab States in coordination with the League of Arab States organized a 3-day event for youth in Marsa Alam, Egypt[23] on 30 November – 2 December 2017 where they were discussed urban resilience. During the K-Safety Expo 2017 held in

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[19] https://www.preventionweb.net/publications/view/53989
[20] https://www.unisdr.org/conferences/2016/afrp
[21] http://locs4africa.iclei.org/ekurhuleni-declaration-water-sanitation-cities/
[22] https://www.preventionweb.net/news/view/55562
[23] https://www.unisdr.org/we/inform/events/55180

Korea on 16 November 2017, GETI has organized event on the MCR and presented the campaign and its tools to 37 Korean cities. On 11-12 December 2018, ICLEI East Asia and GETI jointly with the Centre of Science and Technology of Construction (CSTC), Ministry of Housing and Urban-Rural Development (MOHUD) of the Government of the People's Republic of China have organized an orientation workshop on the local implementation of the Sendai Framework for 11 cities.[24] Also, during the Asian Ministerial Conference on DRR (AMCDRR) held in India on 2-5 November 2016,[25] UNISDR highlighted the crucial elements in achieving local resilience.

Several ceremonies were held for signing-up to MCR campaign in the different parts of the world: in Philippines, Mongolia, Panama, Mexico, Guatemala, Indonesia, and Bhutan.

The cumulative impact of such events inevitably results in improved awareness on the importance of urban resilience, in more cities signing up for the MCR campaign and committing for 10 Essentials.

The new edition of the Handbook for Local Government Leaders[26] was developed in 2017 and officially launched at WUF9 in Kuala Lumpur, Malaysia in February 2018. The new edition of the Handbook for Local Government Leaders provides hands on guidance for local leaders to advance in the implementation of the Sendai Framework. This edition was necessary to align the Handbook with the Sendai Framework for DRR and the 'New' 10 Essentials of the MCR Campaign. It was also translated into Arabic, Spanish and Korean and made available online at the MCR Campaign website and disseminated through capacity building programmes. The launch of the Handbook took place during a side event jointly organized by UNISDR and UN-Habitat at the WUF9.

The set of 'New Ten Essentials for Making Cities Resilient'[27] was developed in collaboration with over 100 experts from various cities. The new Ten Essentials were designed in such a way to support cities in establishing a baseline of their current level of disaster resilience, point out strategic areas of intervention and identify key actions to build and maintain resilience. The main objective of Ten Essentials is to catalyze actions to build urban resilience. Table 4.3 shows status of Result 2 activities.

Table 4.3: Result 2

Activity/Milestone	Status by August 2018
2.1 Development and testing of new local indicators to support implementation of SFDRR 2015-2030 at local level	Two main tools were developed, i.e. the Disaster Resilience Scorecard for Cities (preliminary and detailed versions) which are the 'new local indicators'. In addition, QRE

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[24] https://www.unisdr.org/we/inform/events/55761
[25] https://www.unisdr.org/2016/amcdrr/index.html
[26] https://www.unisdr.org/campaign/resilientcities/home/toolkitblkitem/?id=2
[27] https://www.unisdr.org/campaign/resilientcities/home/toolkitblkitem/?id=1

	and other publications were developed beyond the scope of this action.
2.2 Support 200 cities and local governments in conducting their self-assessments	196 cities and local governments assessed their gaps and progress in addressing local resilience

A *variety of tools and guidance documents* were developed since April 2016. Hence, the new indicators were developed build upon the LGSAT. The team of experts from various organizations – IBM, ADB, C40 Cities, Ecofys, AECOM, Resurgence, UN-Habitat, UNOPS, OECD, UCL, IFRC, CUDRR, UNESCO, World Bank, and Global Earthquake Model – has developed the Disaster Resilience Scorecards for Cities.[28] The scorecards provides a set of assessments that allow local governments to monitor the progress and challenges in the implementation of the Sendai Framework and therefore, to conclude about their disaster resilience. The indicators were tested through a comprehensive process conducted by different cities from nine countries engaged in the MCR. The Preliminary Scorecard is available in 8 languages: English, Arabic, French, Spanish, Portuguese, Mongolian, Italian, and Korean with Russian in progress. Additionally, the Detailed Scorecard is available in 7 languages: English, Arabic, French, Korean, Mongolian, Spanish and Russian.[29]

The Quick Risk Estimation (QRE)[30] tool was developed in collaboration with Deloitte and with the purpose to identify the existing and emerging risks, stresses, and shocks. It was officially launched at a public event in Quito in October 2017. The QRE is also aligned with the new Ten Essentials.

Additional three resource documents were developed under the World into Action series initiated by UNISDR: (a) Implementation Guide for Land Use and Urban Planning, (b) Implementation Guide for Local Authorities, and (c) Implementation Guide for Local Disaster Risk Reduction and Resilience Strategies. Each resource is a collective effort of multiple experts from around the globe.

Out of 200 cities planned, 196 have already applied the Disaster Resilience Scorecard for Cities to self-assess the improvement towards disaster resilience with different progress across the regions. Hence, in *Africa* 50 cities out of 5 countries (Cameroon, Cape Verde, Ethiopia, Kenya, and Uganda) completed the scorecards. The work was done through ICLEI Africa. In *Americas*, one implementing partners was contracted, i.e. Fundacion Humania, to work in Panama, Peru, Argentina, Honduras, Ecuador, Republic of Dominican, Venezuela, Brazil, and also four cities within the Mercociudades network, completed the scorecards. In total, 58 cities exceeding the planned 50 cities. Importantly, Fumania workes not only directly with the cities but also has engaged the Advocated of the MCR Campaign to facilitate the process. In *Arab States,* the UK-based company, Resurgence, was contracted to work with the cities in the region, which also partnered up with Arab Urban Development Institute (AUDI). In total, 11

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[28] https://www.unisdr.org/campaign/resilientcities/home/toolkitblkitem/?id=4
[29] https://www.unisdr.org/campaign/resilientcities/home/toolkitblkitem/?id=4
[30] https://www.unisdr.org/campaign/resilientcities/home/toolkitblkitem/?id=3

out of 13 planned scorecards are completed. In Asia, 51 cities out of planned 50 cities from 5 countries – Philippines, Nepal, Indonesia, India, and Bangladesh – completed the self-assessment. The work was fully managed by UNISDR regional team but in close cooperation with a selected national partner: the Leagues of Cities of the Philippines, Municipal Association of Nepal (MUAN), and Municipal Association of Bangladesh (MAB).

Additional activities beyond Result 2

An analysis was done of the results of 169 scorecard assessments conducted under Result 2. The analysis report captures the progress of local governments in the implementation of the Sendai Framework and achievements towards SDGs. This was the key input to the HLPF2018 report on localizing SDGs for SDG11.5, in collaboration with UCLG.[31]

Extracting the experience with pilot cities, UNISDR is in the process of developing a guideline for local governments in DRR action plan development. This guideline will be used to guide other cities in progressing towards achieving the Target E of the Sendai Framework, beyond the Action time frame.

Pilot cities and implementing partners have been engaged to share their experiences in various urban resilience forums to inspire other cities in the disaster risk reduction, self-assessments and DRR action planning, e.g. Kampala was sharing the experience in the pathway to aligning climate change adaptation and DRR planning at the World Urban Forum 2018; ICLEI Oceania was sharing the examples of scorecard assessment results of Honiara at the Resilient Congress 2018; Mayor of Santo Domingo Este will be sharing the experience in localizing DRR and ensuring local disaster risk governance and strategic planning at the Barcelona Resilience Days in November 2018.

A series of capacity building programmes were organized for implementing partners, virtually and face-to-face, to create multiplier agents to support DRR at the local level, beyond the life of the Action. Table 4.4 shows status of Result 4 activities.

Table 4.4: Result 4

Activity/Milestone	Status by August 2018
3.1 Capacity building programmes in 20 cities identified based on the criteria	One global training organized for 34 participants from 20 pilot cities, three regional experience sharing workshops, and multiple additional capacity development events at the local level were organized
3.2 Support the 20 cities in implementation of local loss database	Discussions opened for understanding the specifics of various contexts for effective development of disaster loss database

[31] https://goo.gl/og8vhM

3.3 Develop local resilience action plans and initiate implementation of the plans in 20 cities	Initiated, expected to be completed in 2019. However, to date, 5 DRR Action Plans are already developed.

To build capacities of 20 pilot cities *one global training of trainers (ToT) course* was organized in UNISDR GETI office in Incheon, Korea, on 23-26 January 2018. The event was attended by 34 participants, including the representatives (1-2) from the pilot cities, as well as the representatives of the implementing partners who are contracted to work with the cities towards development of the DRR Action Plans. The training *"The Training of Trainers on Making Cities Resilient: Developing and Implementing Disaster Risk Reduction Action Plans"* was the first but fundamental training to equip participants with understanding and skills on the use of the tools for developing DRR action plans as well as disaster loss database. Earlier during the project implementation, several kick-off meetings and workshops were held with the representatives of the local authorities to introduce the project and agree on the plan of actions for each city. Hence, a kick-off workshop was held in *Africa*, in Addis Ababa, Ethiopia on 15-16 February 2017 to build shared understanding of the process, expectations, and results aimed within the pilot cities from Africa. Another 2-day validation workshop to validate the findings of the self-assessment analysis took place in Kisumu, Kenya in 2017. Another kick-off meeting was held in *Americas* on 6 March 2017 with the broad range of representatives of various stakeholders with over 45 participants from municipalities, NGOs, academia, private sector, EU Delegations, etc. Additional result was recorded in Ecuador where the Mayor of the Metropolitan Municipality of Quito requested UNISDR to support in developing Local DRR Strategy and Action Plan aligned with the Sendai Framework. In *Arab States* a kick-off meeting was conducted in 19-20 February 2017 in Beirut, Lebanon, with the participation of the representatives of all pilot municipalities, EC representative in Lebanon and the representative of the Prime Minister's Office from Lebanon. The kick-off meeting in *Asia* took place during the Asian Ministerial Conference for DRR in 2016. With participation of the representatives from pilot cities but also from ICLEI, SEEDs, UCLG, UNDP, UNICEF, EC delegation in New Delhi and Bangkok. In *Pacific* a kick-off meeting was held on 5 October 2016 with the primary purpose to introduce the initiative and also to conduct a preliminary gap assessment.

In 2018, three Regional Experience Sharing Workshops were conducted in Cartagena, Colombia for the Americas, Ulaanbaatar, Mongolia for Asia & the Pacific, and Nairobi, Kenya for Africa respectively. The purpose was to to capture the progress in cities to date and exchange the lessons learned in self-assessment through using the Disaster Resilience Scorecards for Cities and preparation for DRR action planning.

With regards to developing *disaster loss databases* in the pilot cities, the initial assessment of the context was carried out. This activity is very sensitive to the local context, in some cases such a database should be created afresh (like in Nouakchott or Ismailia), while in other contexts there are already national or local databases to build upon (like in Nablus and Khartoum). Therefore, the initial stage was to explore the context to understand availability or absence of any similar database, technical readiness of the cities, and suchlike and then only to decide which modality (i.e. which kind of database) would better fit the needs on the ground.

The Desinventar[32] was introduced to the cities during the Training of Trainers workshop held in Incheon on January 2018, however, there is no preference within the project to any model of a database, whereby Desinventar is one of the options.

The completion of the **DRR Action Plans** is planned for 2019, however, the work has been initiated and a progress made. To date, all cities in Americas have developed draft DRR Action Plans. Significant progress made in Asia & the Pacific. Also, the African region is advancing. The implementation of the project in the Arab States is behind schedule.

UN-Habitat implementation stream that includes Results 3 and 5

Table 4.5: Result 3

Activity/Milestone	Status by August 2018
3.1 Production of initial prototype of the CRPT together with a municipality + capacity building	Prototype (or version 0) is completed
3.2 Production of initial prototype/template of (Resilience Action Plan) RAP with actionable recommendations	RAP prototype and RAP Tool kit is completed
3.3 Calibration of both prototypes (CRPT and RAP) in the municipality and personnel training	CRPT 2.0 is developed RAP – is work in progress

Table 4.5 shows status of Result 3 activities. The conceptualization of City Resilience Profiling Programme (CRPP) was initiated by UN-Habitat back in 2012 and at first the CRPP was introduced during the Smart City World Congress held in Barcelona in 2013. At that time, it was just an early idea of the programme with its core element - the city profiling tool. In 2013 UN-Habitat's CRPP signed a collaboration agreement with the municipality of Barcelona to jointly explore urban resilience and jointly embark into the development of City Resilience Profiling Tool (CRPT). It was a strategic agreement as Barcelona had strong political commitment to explore and invest in urban resilience. In 2014, such political commitment was further articulated in the establishment of the Resilience Department and Resilience Board (with over 70 professionals and 20 organizations) within Barcelona Municipality and later in the approval of its Resilience Strategy in 2016. With this Barcelona has become the first city to set up a Resilience Department within its municipality and active explorer of complex challenges of urban resilience.

The expertise gained through Barcelona's resilience work was effectively mobilized and contributed into the development of the UN-Habitat's City Resilience Profiling Tool (CRPT). The official launch of the first version of the CRPT became possible only within the framework

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[32] DesInventar is a conceptual and methodological tool for the generation of National Disaster Inventories and the construction of databases of damage, losses and in general the effects of disasters. https://www.desinventar.net

of the DEVCO-funded project and took place at the Global Platform for DRR in 2017. The CRPT is designed as a comprehensive, sector-leading urban resilience tool to support local governments and their partners in establishing resilience baseline against any shocks and stresses, assess the coping capacities within the city, and vulnerabilities across urban system. The framework is based on a holistic approach and addresses all critical elements of urban system including built environment, supply chain and logistics, basic infrastructure, mobility, municipal public services, social inclusion and protection, economy, and ecology. The tool is designed in such a way to allow for data collection, data analysis based on the functionality of urban system and assessment of shocks and stresses. The outcomes of the analysis inform the evidence-based recommendations for the Action for Resilience. It consists of 140+ indicators, through which it measures the urban system resilience against multiple plausible hazards. Through establishing the baseline and subsequent analyses, the CRPT provides diagnosis of the status of the urban resilience within a given city and inform thereby the Resilience Action Plans with evidence-based recommendations.

Currently, the CRPT is an excel-based tool. However, UN-Habitat is on converting data collection, data evaluation and the systemic model into a user-friendly and intuitive software. The software is deemed to facilitate implementation of the tool by providing a shared interface for focal points and all partners working on implementation to use.

The development of the CRPT was and still is supported by the Barcelona Municipality, agreement of which was renewed in 2017 for a further 2 years. As part of the Agreement, three staff members from the City Council were seconded to UN-Habitat to support the development of the CRPT, share lessons from the Barcelona's resilience work and test the prototype of CRPT (version 0) in Barcelona. The ***development of the tool and its testing*** in Barcelona took place throughout 2016. Barcelona became the first city to pilot the prototype of the CRPT and provide feedback on the approach, user experience and process to UN-Habitat. Substantial refinement of the tool followed resulting in its updated version (V1.0) in 2017. Initiation of the tool-testing in two out of four cities – Asunción (Paraguay) and Maputo (Mozambique) – has brought additional lessons learned, which led to V2.0 of the tool in 2018. The focus in this version of the tool was on user-friendliness, applicability in more resource-constrained context, and the alignment of the CRPT indicators with other compatible programmes and methodologies (such as the City Resilience Index by Arup, Inter-American Development Bank Emerging Sustainable Cities Initiative, UN-Habitat City Prosperity Index, and many others). Special consideration was given to the alignment with other tools being developed under the MCSR Action, most notably the Disaster Resilience Scorecard for Cities and the Ten Essentials developed by UNISDR. It is important to refer to the current developments within the Barcelona municipality that has intensified its efforts in understanding social dimensions of resilience building and explore the current version of CRPT with stronger focus on social indicators. This experience can be highly useful and relevant if crystalized in another Enhancer, a Social Inclusion Enhancer.

The development of the tool and testing was followed by ***development*** of the first version of the ***Implementation Manual*** as a resource material for the local partners interesting in applying

the tool. In addition, two *Urban Resilience Enhancers* were developed and published: Gender Equality Enhancer and Climate Action Enhancer, both providing additional stand-alone tool and highlighting specific cross-cutting issues in the CRPT. During 2017-2018 a variety of *additional resource materials*[33] were developed including a publication on engagement steps, initial user manual, and training manual for the tool. A one-week training module has been developed for the city focal points to introduce key concepts, steps, and functions of the CRPT. The *CRPT* Guide was developed and the updated version of the guide, the *CRPT* Guide+, is under development to include the full list of the indicators and provide more depth in understanding the CRPT.

In 2018 *benchmarking* of the CRPT indicators was initiated. There are no internationally agreed standards on urban resilience. Instead, there are various different standards and practices such as those from ICES, FAO, WB, ISO, and etc. however, each benchmarking requires calibration and tailoring within the specific context where it is used. This makes benchmarking extremely challenging as it is not possible to apply thresholds equally to any context. This work also requires lots of negotiation and coordination with other partners engaged in various aspects of urban resilience assessment and building. The analysis of indicators leads to the development of actions for resilience. The *prototype of the Resilience Action Plan (RAP)* has been developed but needs further fine-tuning and calibration based on more advanced CRPT results from all four cities piloted in this project.

The development of the tool also required a solid *team of experts to be gathered* under the umbrella of UN-Habitat to sharpen the conceptualization and to develop and test the tool. Also, there was a need to develop the structure of the CRPP, operations, communication lines, etc. While the UNISDR's stream fits effectively into the existing and well-functioning organizational fabric, for UN-Habitat's CRPP the challenge was to build a capable team and viable structure to deliver the results. Hence, the efforts went to completing the expert team in Barcelona office of the UN-Habitat and also to recruiting the focal points in the four target cities. The UN-Habitat's CRPP team (i.e. staff in the Barcelona office and city focal points) was completed in 2017, only the focal point for Senegal was contracted later in early 2018. All city focal points received training on how to use CRPT. Hence, on 19-23 June 2017 the first training was organized in Barcelona, another one took place on 16-20 April 2018 in Barcelona.

UN-Habitat's efforts towards *capacity development* are focused on building capacities of its focal points and in the meantime, on raising awareness on urban resilience and CRPT among various stakeholders and ensuring their buy-in for active engagement in the project. Towards this end a variety of capacity development events have been organized: open training sessions (both didactic and in-depth), public-facing events, and high-level political meetings with Mayors/leaders, launch of global Urban Resilience Hub,[34] among others.

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[33] http://urbanresiliencehub.org/the-library/

[34] www.urbanresiliencehub.org

Table 4.6: Result 5

Activity/Milestone	Status by August 2018
5.1 Introduction of both tool and toolkit in the four selected cities (working sessions)	Completed
5.2 Populate the CRPT with locally municipal available data and information (first cut of results)	4 cities initiated 3 cities engaged with formal endorsement 2 cities data collection complete
5.3 Analyses of city profiles and development of city tailored RAPs	2 cities data modelling initiated 2 cities resilience action planning initiated

Table 4.6 shows status of Result 5 activities. In all four pilot cities, it has been observed that without outreach, basic training, and the commitment of focal points, gathering the right information is challenging. A variety of **toolkits** have been developed by UN-Habitat to support the implementation of the CRPT in target cities and to ensure the visibility of this project across the globe. Presentation modules for high-level events with national or municipal authorities,[35] brief tool presentation, and detailed training module for municipal technicians were developed to effectively implement the tool. The material has also been adapted to the languages required in each pilot city, notably Spanish, Portuguese and French.

The progress made in the four target cities differs, whereby Asunción and Maputo are progressing with data collection, while Port Vila and Dakar are at an early stage. Table 4.7 illustrates the progress made in all four pilot cities regarding the introduction and implementation of the CRPT.

Table 4.7: CRPT completion level per city, August 2018

	Initiation	Formal Endorsement	Data Collection	Data Modeling	Resilience Action Planning
Maputo	green	green	green	green	yellow
Asunción	green	green	green	green	yellow
Port Vila	green	yellow	yellow	orange	orange
Dakar	green	yellow	yellow	orange	orange

Legends:

green	Completed or sufficient to advance
yellow	Initiated or underway
orange	Not initiated

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35 https://www.youtube.com/watch?v=eOjzbLaqPvQ

Progress to date per City:

Maputo: Implementation of the CRPT is being facilitated by the UN-Habitat's CRPP's focal point and is supported by two focal points appointed by the Maputo municipality: the Head of the Informal Settlements Department and an expert from that department. UN-Habitat has travelled to Maputo on several occasions to support CRPT implementation, conduct trainings, and garner feedback and lessons learned from the implementation process. In April 2018, a training session and technical workshop was organized with the representatives of relevant departments of the municipality for each element of the CRPT. ***Out of four sets, Set 1: City ID and Set 4: Urban Elements are completed.***

The CRPT process is also feeding into a Resilience Dialogue Series, organized at the national level in Mozambique, demonstrating support of resilience-building efforts at various levels of the government. During the second dialogue meeting (as part of the Resilience Dialogue Series), the CRPT was presented as a potential tool to support decision-making and eventually the basis for a National Strategy for Urban Resilience in Mozambique. The City of Maputo presented progress on its resilience building work through the CRPT at WUF9 in Kuala Lumpur in February 2018.

Asunción: Implementation of the CRPT is being facilitated by the UN-Habitat's CRPP's focal point and led by the *Dirección General del Gabinete* (General Directorate of the Bureau) and the *Asesoría del Ares Social* (Social Council) within the Municipality. One focal point from each department has been directly assigned to the project and 10 other focal points with expertise in different areas (e.g. social care, mobility, economy, etc.) are requested to contribute. UN-Habitat has travelled to Asunción on several occasions to support CRPT implementation, conduct trainings, and garner feedback and lessons learned from the implementation process. A key advancement in CRPT implementation took place in November 2017 when an Executive Meeting was held with the Mayor as well as focal points and experts from the city. ***Out of four sets, Set 1: City ID and Set 4: Urban Elements are completed.***

Port Vila: Initially the introduction of the CRPT was delayed due to municipal elections and the corresponding formation of a new mayoral administration. To date, the UN-Habitat's CRPP's focal point has presented the MCSR Action and the CRPT to high-level political representatives from the city, including a formal presentation to the Municipal Council, which resulted in official approval of the UN-Habitat's CRPP and initiation of its implementation. UN-Habitat expert team is planning its first mission to Port Vila in September 2018. ***At the stage of data collection for Set 1: City ID.***

Dakar: The endorsement letter is being prepared with the expectations of all parties outlined. ***The data collection has already been initiated for Set 1: City ID.***

There is growing interest from the cities around the globe to use the CRPT – for instance, from Yakutsk, Russian Federation. Further, the interest towards the CRPT is growing so that UN-Habitat has secured partnership with C-40 to strengthen climate resilient component in the

CRPT and has reached an agreement with United Cities and Local Government (UCLG)[36] to pilot the CRPT in their cities, which means upscaling the operations massively.

Additional Activities beyond Result 3 and Result 5

UN-Habitat's CRPP's team has been actively engaged in building partnership and shaping global and regional thinking around urban resilience. Hence, UN-Habitat has become engaged in the following initiatives:

1. Since 2014, UN-Habitat's CRPP has joint the Medellin Collaboration for Urban Resilience (MCUR)[37] and became the Chair since 2016. The cooperation includes UNISDR, the WB, Global Facility for Disaster Reduction and Recovery (GFDRR), Inter-American Development Bank, Rockefeller Foundation, 100 Resilient Cities, C40, ICLEI and Cities Alliance, whereby collectively partners work in more than 4000 cities across the globe.
2. Chair of the Urban Resilience Standards of the ISO/TC 292 Security and Resilience[38]
3. Since 2016 a member of the Global Alliance for Urban Crisis[39]

Through engagement in multiple international global and regional events, while raising and advocating for resilient urban development, the UN-Habitat has also provided a strong visibility of the MCSR project. Hence, the examples of such events include but are not limited to the following: Adaptation Futures 2018 Conference, Enhancing Collaborative Resilience in Cities (June 2017, Johannesburg, South Africa), ECOSOC Integration Segment on "Innovative communities: leveraging technology and innovation to build sustainable and resilient societies" (May 2018, NY, US), ICLEI Resilient Cities conference (April 2017, Bonn, Germany), etc. The complete list is provided in Annex 6: Action Visibility. Also, the UN-Habitat's CRPP has established the Urban Resilience Hub[40] that provides regular updates on the MCSR project but also on urban resilience related development across the globe. The team also regularly publish on urban resilience on various other websites: IASC newsletter, Prevention Web, Ciudad Sostenible, IISD SDG Knowledge Hub, URBANET, etc. Additionally, a high-profile event is initiated to take place in October, November, December in Barcelona, i.e. *Barcelona Resilience Days*.[41]

With all this, the UN-Habitat's CRPP team is at the front line of creating space, encouraging dialogue, and finding opportunities for consolidating efforts and inter-agency cooperation on urban resilience. This is politically highly sensitive process, given the fact that each organization has its own mandate, priorities and visibility expectations and requires significant efforts from the CRPP to be invested.

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[36] https://www.uclg.org
[37] http://urbanresiliencehub.org/medellin-colaboration/
[38] https://www.iso.org/committee/5259148.html
[39] https://www.agendaforhumanity.org/initiatives/3851
[40] http://urbanresiliencehub.org
[41] http://urbanresiliencehub.org/resiliencedays/

Joint activities between UNISDR and UN-Habitat's CRPP

Clearly, there are growing synergies and intensified joint activities between two partners in exploring urban resilience from different but highly complementary perspectives.

- Joint Meeting in Barcelona (November 2017)
- Cross-agency engagement in the Training of Trainers in Incheon where UN-Habitat's CRPP participated in the workshop, to strengthen the synergies of the two implementation streams (January 2018)
- The WUF9 held in 2018 – MCR Campaign Steering Committee, Side Event on DRR planning and networking event under the Medellin Collaboration (February 2018)
- Cartagena Experience Sharing workshop where UN-Habitat's CRPP presented CRPT to UNISDR's beneficiary cities in the America (June 2018)
- Joint-newsletter (1st volume in May 2018, 2nd volume in the making)
- Joint mid-term evaluation (Q2-Q3 2018)
- Preparation for Barcelona Resilience Days – MCR Campaign Steering Committee Meeting, Dialogue session, training of MCR Campaign advocates (November 2018)

4.2 Findings from context-specific contribution analysis

This section provides an analysis and the findings to inform conclusions about the input project made and/or about to made in the envisaged outcomes. This section presents (a) case study from 20 pilot cities using UNISDR's disaster resilience scorecard; (b) the findings from the survey results from 200 pilot cities targeted by UNISDR to carry out self-assessment; (c) the findings from the analysis of the CRPT developed and being currently piloted by UN-Habitat; (d) analysis against evaluation criteria – relevance, effectiveness, efficiency, sustainability, impact, and coherence; and (e) the revised TOC for the project.

4.2.1 Findings from the Case Study on 20 Pilot Cities

This section provides the overview of the findings from a case study conducted among 20 pilot cities covered under the Result 4 of the *Making Cities Sustainable and Resilient* project. The findings of the survey were further substantiated by interviews. The overview addresses the general typology of the cities, reflects on the process and the progress of the project in the pilot cities, highlights some findings from the comparative overview of the responses from the municipalities and the UNISDR's focal points, zooms in to resilience capacities within the cities and highlights the recommendations raised by the respondents.

In total the responses were received from all 20 cities except Khartoum municipality. Table 4.8 provides an overview of the responses received from each city.

Table 4.8: Responses from 20 cities

Region	#	Project City	Country	Filled in by the UNISDR's regional team or the contracted focal point/consultant	Filled in by a representative of the pilot municipality
Africa	1	Kampala	Ugana	done	done
	2	Dire-Dawa	Ethiopia	done	done
	3	Kisumu	Kenya	done	done
	4	Yaounde	Cameroon	done	*done in french*
	5	Praia	Cape Verde	donne	done
America	6	Tegucigalpa	Honduras	done	done
	7	Guayaquil	Ecuador	done	done
	8	Santo Domingo Este	Dominican Republic	done	done
	9	San Juan de Lurigancho	Peru	done	done
	10	Guatemala City	Guatemala	done	done
Arab States	11	Khartoum	Republic of Sudan	done	
	12	Ismaliya	Egypt	done	done
	13	Nablus	Palestine	done	done
	14	Nouakchott	Mauritania	done	done
Asia	15	Ulaanbaatar	Mongolia	done	done
	16	Kathmandu City	Nepal	done	done
	17	Dhaka North City Corporation	Bangladesh	done	done
	18	Cilacap Regency	Indonesia	done	done
	19	Mawlamyine	Myanmar	done	done
Pacific	20	Honiara	Solomon Islands	done	done

Typology of 20 pilot cities

The 20 pilot cities include a wide range of different categories of cities: large megacities with the population of over 10 million (such as ***Dhaka North City***), or the small ones with population not even reaching 100,000 people (such as ***Honiara***) and the whole variability in between. The list includes cities that are among the oldest in the world (such as ***Nablus*** from 3600BC) and those that are established only recently (such as ***Santo Domingo Este*** established in 2001). Many of the cities are highly industrial (such as ***Cilacap Regency***), others are the administrative hubs in the country (such as ***Kathmandu Metropolitan city***), there are capital cities among them (such as ***Ulaanbaatar***) and the cities of strategic importance for the country (such as ***Ismailia,*** the eastern Gateway to Egypt or ***Nouakchott*** with the largest port of Mauritania) and for its district (such as ***Kisumu***). There are cities that are the most densely populated ones in their countries (such as ***Guayaquil***) and those that are home to almost half of the population in the country (such as ***Ulaanbaatar***). Each of the cities is prone to a wide variety of different hazards, many have significant issues of illegal housing and slams and serious social vulnerabilities ranging from high unemployment rates to lack of access to social services, and such like.

With few exceptions (***Khartoum***, ***Nablus***, ***Praia, and Dire Dawa***), all cities are subject to legal and regulatory requirements that define to various extend the depth of disaster risk management responsibilities of the municipality – ranging from few to many different legal requirements. For instance, in ***Honiara*** there is a National Disaster Management Act and Plan, legislated in February 2018, and the city already have a Disaster Operating procedures manual. In

Guayaquil there are also institutional arrangements at the municipal level in the form of Risk Management Unit, to coordinate policies and actions to reduce the vulnerability of the citizens. This is a permanent inter-institutional structure for coordination, complementarity of capacities and resources: it is called the *Cantonal Risk Management Committee (CGRC)* when it coordinates risk management actions in normal times and the *Emergency Operations Committee (COE)* when it coordinates actions to respond to emergencies or disasters. Also, in case of ***Guatemala*** there are *COMRED (Municipal Coordinator for DRR),* which is the structure at the municipal level that comprises several Local Coordinators for DRR.

Budget allocations vary significantly from city to city, almost all of them have budget allocations for infrastructure development or other projects and activities that constitute significant portion of the municipal budget: 74.60% in ***Khatmandu***, 47% in ***Ulaanbaatar***, 30%, - ***Commune de Yaoundé 6,*** over 50% in ***Dire Dawa,*** 25% in ***Kisumi***, 40% in ***San Juan de Lurigancho***, 74% in ***Tegucigalpa***, or in ***Praia*** - a considerable percentage goes to the urban requalification of informal settlements and structural measures to minimize the risk of floods and landslides during rains).

Main Findings from the survey conducted among 20 pilot cities
- ***General overview***

The major focus of the survey was to reveal those key resilience capacities that were *missing* in the cities prior to the launch of this project, were *developed* in the cities throughout the implementation of this project and are *still missing* or need further attention. While the profiles of the pilot cities are very diverse, their responses about capacities are compatible along two lines:

1. Responders from all cities highlighted that there are ***positive changes in capacities*** (i.e. improvement of capacities) throughout different phases of the project implementation, i.e. (a) *Preparation stage:* in the process of conducting self-assessment using the Disaster Resilience Scorecard for Cities, (b) *Development stage:* in the process of developing the DRR Action Plan, (c) *Approval:* in the process of obtaining the approval/endorsement of the action plan. This finding ***is consistent across all cities.***
2. While there are ***noticeable changes in capacities*** (i.e. improvement of capacities) throughout different phases of the project implementation ***within each city, however*** the capacity challenges are more persistent from phase to phase.

These imply that on one hand, cities are facing similar ***challenges related to the capacities*** necessary for resilience building. On the other side, these findings also suggest that the project intervention ***triggers improvements in resilience capacities within pilot cities, however, these changes are not sufficiently transformative yet.*** This finding could also suggest that the instrument (i.e. the questionnaire) was not sufficiently calibrated to capture those differences in capacity improvement, however, through providing open-ended questions the risk of misinterpretation was largely minimized.

- ***Reflection on the process and the progress of project implementation in the pilot cities***

There are variety of approaches employed by UNISDR to work with each pilot city based on the specifics of the city itself, UNISDR's regional capacities, as well as capacities available within the project (budget and time).

In Asia the project is being coordinated by the MCR campaign Focal Point for Asia-Pacific with SEEDS Asia as an implementing partner. The approach of working with cities in Asia are rather standardized, including consecutive steps and sequence of events. First, a multi-stakeholder meeting on MCR campaign and the Sendai Framework for all to understand the process. Second, the workshop/training on the QRE and preliminary scorecard for the stakeholders. Third, consultative meetings validate the results of the assessment with the city officials. Fourth, the TOT for the project focal point on the tools and the MCR process came later in the process of the project implementation –in January 2018, while the self-assessment has been initiated in all cities already. The rational for such timing of TOT is that the training in Incheon was the trigger point for most of the cities to move beyond preliminary scorecard assessment to detailed scorecard assessment and DRR action planning. And fifth, the multi-stakeholder workshop for the detailed self-assessment. As a result, ***all cities have used all tools and are in the process of developing their DRR Action Plans.***

In Americas, five individual consultants, i.e. project focal points, are contracted by UNISDR to facilitate the implementation of the project in five pilot cities. Each consultant worked closely with one city having multiple opportunities for face-to-face meetings with the municipality representatives and other stakeholders. There is no standardized approach on how to approach cities in Americas, which has given sufficient flexibility for the focal points and cities to engage in the most optimal way that fits the needs and capacities of each city. This has contributed significantly in ensuring that the pilot cities in Americas are the most advanced among all 20 cities. Active engagement of the Head of the UNISDR's Regional Office in Americas that has been observed during the field trip of the evaluator, and mentioned by the focal points and city respondents, has guaranteed high-level commitment from the city municipalities and paved the way for the advancement of the project. ***All cities have developed their DRR Action Plans and are in the process of its formal approval, with Guayaquil (Equator) already entering the early implementation of it.***

In Arab States, the project is in its early state, meaning at the stage of preparation to use self-assessment tool(s). The kick-off meeting to launch the project within four pilot cities was organized back in February 2017, after which a delay of 6-months took place. This is explained by a variety of reasons. In *Ismailia* the challenges were encountered regarding the request to keep all communication with the city via the Sendai Framework National Focal Point, while the person in charge of this role was changed three times. Only recently, a national consultant is hired to facilitate the process. *In Nablus* the municipality requested to engage the An-Najah University to facilitate the project implementation together with the Focal Point from the municipality. The agreement with the University was signed only in July 2018. *In Khartoum* the implementing partner (IP) in Arab region for the Result 2 (contracted to work

with 200 cities), the AUIDI, was implementing a workshop under another project related to disaster risk management. This opportunity was used by UNISDR regional team to introduce the MCSR project and the scorecards to the participants of that workshop and to attempt to fill in the preliminary scorecards. *In Nouakchott* the Focal Points from the municipality agreed to work closely with the project team from Nablus, i.e. the Focal Point and the An-Najah University from Nablus. Negotiation with the University took 4-5 months but almost finalized by August 2018. Similarly to the case in Khartoum, the project actions were complimented by the activities of the Regional Office. Hence, there is another DRR-related project going on in 5 cities in Mauritania whereby Nouakchott is one of them and the representatives of the Nouakchott municipality are engaged in some of the events organized within that other project.

Additional challenged were related to (a) the implementation of Umoja system and not assigning a project code for a while, which has delayed the process; (b) necessity to translate the scorecards into Arabic and later on into French. Even though all above-mentioned is indeed challenging and can potentially impact the implementation of the project, many of similar challenges were present in all other regions in combination with the specific regional ones but were addressed without causing such a delay in the project implementation. Given the fact that the implementation of the MCSR project was delegated to the UNISDR regional team who was already stretched it its capacities and multitasking, the latter could be one of the major management obstacles in the project implementation in the Arab States. This problem has been address by the Regional Office only recently by hiring a local consultant to support the project implementation in the region.

In Africa, UNISDR contracted an Urban consultant to facilitate the process in the five pilot cities. *All cities have progressed in completing preliminary and detailed Disaster Resilience Scorecard for Cities and currently are at the stage of developing the DRR Action Plans.* The status of resilience capacities in the pilot municipalities and the specifics of the project implementation were not provided in detail to the evaluator. This raises concerns about the level of engagement in the project implementation as well as on the quality of reflection in terms of what is needed for effective capacity building on the ground. The data provided by the municipalities on resilience capacities were however, useful and are reflected in the relevant section of the report.

In the Pacific, only one city is engaged – Honiaria – and an implementing partner (IP) is contracted to implement the project, ICLEI Oceania. Because the communications with Honiara was difficult with phone and email being quite unreliable, altering itineraries and ad hoc meetings were 'normal' operational modality there. However, several multi-stakeholder workshops were organized and individual consultations were held. *Currently, Honiara is in the process of developing its DRR Action Plan having used all three tools.*

- *Divergence in responses from municipality and UNISDR's focal points*
The comparative overview of the responses of UNISDR's focal points and the municipality representatives, revealed that in general there is shared understanding of the objectives,

processes, and the outcomes from the project activities so far. However, *in some cases the responses from the municipalities seemed overoptimistic*. For instance, Nepal suggested that municipality had effectively defined and implemented the resilience actions in the city. In the meantime, they recognized the lack of adequate understanding of the DRR and resilience, inadequate capacity to understand the process to make DRR action plan, inadequate coordination mechanism to bring the key stakeholders to common understanding of DRR, no systematic approach to do self-assessment, no tools used to analyze the risk and vulnerability. In some cases, there *was difference in understanding of which self-assessment tools were used* (for instance, in Dhaka – all three tools developed by UNISDR were used but the municipal authorities recognized only one, i.e. the detailed scorecard). Also, *the duration of engagement in the project or how long the project is being implemented in the city is perceived differently* (in Ulaanbaatar, the perception of timing was 1-2 month based around actual organization of the workshop, while the process from the beginning till today took 6-7 months of regular iterations).

All municipalities clearly explained their interests in the project and their strong desire to continue efforts. Some even expressed their discontent by long delays in the implementation from project side (like in **Tegucigalpa, Honduras** and in **Nouakchott, Mauritania**). It has also been mentioned that the results of the project are long-term and cannot be observed over such a short time as its actual implementation in the cities, and therefore, some stakeholders at city level are *questioning the results of the project if a long-term engagement and continuation of the project is not guaranteed*. Cities also mentioned that before responding to the self-assessment tools, all those involved should be familiar with the instrument however, often they *did not have access to the self-assessment tool.* The reason for this was not possible to check however, it is assumed that either internet connection or the knowledge about how to access the tool online could have been the limitation. However, the scorecards are openly accessible on https://www.unisdr.org/campaign/resilientcities/home/toolkitblkitem/?id=4 The project team in the regions emphasized also the *limited grants of average 20,000 USD allocated from the project budget* to implementing partners to facilitate processes in the target cities is not sufficient, rendering the focal points/consultants less responsive to the local needs.

The *language for detailed level assessment* is rather hard for cities to understand, especially terminology translated from English. This has been mentioned by many respondents both from cities and from UNISDR. In case of all regions it is argued that *the detailed scorecard is difficult to apply* because they are too cumbersome, with unbalanced focus to some areas and less on the others, and the complexity of the terminology and conceptual content of the scorecard. Some of the wording of questions and structure of the indicators is confusing and needs to be revised. An opinion was raised that while the *scorecards* are very useful tool to raise the awareness on DRR and resilience among multiple stakeholders, they *are not considered fully appropriate for a participatory exercise* such as a workshop or public meetings, but rather as a follow-up analytic which can be used for further analysis of high priority areas for action.

It was a ***challenge*** for the city ***to coordinate*** and bring the key stakeholders to common understanding of DRR. Also, almost all municipalities highlighted ***insufficient resources*** (personnel and time) to undertake essential follow-up work after meetings, workshops.

All respondents expressed their satisfaction with ***"The Training of Trainers on Making Cities Resilient: Developing and Implementing Disaster Risk Reduction Action Plans"*** which was the first and till now the only fundamental training to equip participants with understanding and skills on the use of the tools for developing DRR action plans and disaster loss database hold in Incheon on January 2018.

- ***Resilience Capacities at the City Level***

The questionnaire is designed in such a way to capture which capacities are missing in the city for effective resilience building, which capacities the project helped to strengthen, and which opportunities could further support the process of capacity building. Also, the respondents were asked to provide their suggestions for the project on how to ensure effective capacity development for resilience building in the city. The responses are analyzed below.

(a) Reflection on Missing Resilience Capacities

There was no significant difference in how resilient capacities are perceived by the respondents from city to city. The critical capacities gaps that have been highlighted by all stakeholders are as following:

- ***Lack of adequate understanding of DRR and resilience and*** less capacity to understand the process to make DRR action plan. Also, high turnover among the municipality staff requires continuous efforts in raising awareness on DRR and resilience. ***Therefore***, it was a challenge for the city to coordinate and bring the key stakeholders to common understanding of DRR and ensure systematic self-assessment processes.
- ***Multi-stakeholder coordination and social inclusion*** within pilot cities is critical, and lack thereof is one of the major challenges. ***Therefore***, unclear roles and responsibilities among stakeholders and difficulties in sharing data and information necessary for the development of the DRR Action Plan.
- ***Lack of coordination of the local and national levels***. ***Therefore,*** either national level is less reluctant to support, or developments at the local levels are less aligned with national priorities, or the lost opportunities for more synergies across levels and new opportunities for strengthening urban resilience.
- ***Lack of financial resources at the municipal level***. ***Therefore***, less incentives for the municipality to participate in the process not having funds allocated for the implementation of the DRR Action Plan.
- In the municipalities were ***resilience building is not institutionalized***, i.e. where there is no such functionality within the municipality and no unit or personnel is responsible for keeping resilience high in the agenda, there is insufficient human resources to undertake essential follow-up work after the meetings, workshops. ***Therefore***, more workload would be on the people facilitating the process from UNISDR's site and also

less traction would be observed on the ground after the workshops in order to follow up on completing the scorecard.

- *Lack of systematic data recording, inability to quantify impacts of disasters* (property loss, injuries and deaths, financial loss etc.).

(b) Reflection on opportunities observed during the implementation

Respondents have also reflected on the opportunities that have significantly impacted the implementation of the project in a positive way.

- *The GETI training course* in Incheon in January 2018 that allowed participants to gain full understand of the Sendai tools and build their skills in using the scorecards.
- The *engagement of a political leader* in the city, i.e. the Mayor or Deputy Mayor or any other high-level political authority helps to optimize the limited time in the city and encourage multi-stakeholder participation.
- *Presence of some experienced senior staff and political leaders*, and their personal experience and capacities often helps to compensate for the organizational limitations.
- There is a strong *interest in DRR and resilience* in the cities, which is considered as one of the major opportunities in the cities.
- *Engagement of district or national level authorities* was mentioned as critically important to (a) align local level activities with the national priorities and strategies, and (b) to gain stronger political, administrative, and financial support from the national authorities.

(c) Reflection on changes triggered by the MCSR in the cities

The improvement of both individual and organizational capacities has been observed on several aspects due to the MCSR project implementation in the pilot cities. Through providing technical support and financing the process, there was a possibility for continuous attention to DRR and resilience in the pilot cities. More specifically, the following points have been raised:

1. *Impact on municipal planning: 'The results obtained in the Detailed Tool were indispensable factors for the identification of gaps and challenges that were subsequently translated into objectives, activities, indicators and means of verification within the Action Plan'* (quote from a city focal point).

2. *Impact in better understanding of stakeholders:* not only traditional municipality departments were engaged in the self-assessment process but also all relevant stakeholders including private sector, faith-based organizations, NGOs, academia, etc. This helped to broaden the perspective and explore the opportunities for leveraging each other's expertise and resources for DRR Action Plans.

3. *Impact on inter-departmental (within municipalities) and inter-sectorial (with larger group of stakeholders) coordination:* the opportunities were created throughout the project implementation for various departments from each municipality to interact with each other and explore DRR and resilience issues. Also, among a broader set of stakeholders, beyond the municipality staff, were new communication lines opened for discussions and possible coordination of the efforts. As a result, a greater awareness of the role and responsibilities in DRR was observed.

4. ***Impact on commitments of the political leaders in the cities:*** Through participation in Global DRR Platforms organized by UNISDR, the political leaders became more motivated for DRR actions at the local level. Also, through directly interacting from UNISDR leadership (regional Heads, like in case of Americas) there was growing political support recorded from the city leaders. Also, participation of the higher level of authority (national or area authorities) was welcomed and considered as additional incentive at the local level.

5. ***Impact on individual capacities:*** the project efforts helped to improve significantly awareness on DRR and resilience among municipality staff and other stakeholders at the city level.

- ***Suggestions raised by respondents***

The suggestions are presented in categories.

DRR Action Plans
- The DRR Action Plans need to be simple to understand, concrete and achievable rather than just a wish list.
- Define investment and financial resources for the DRR Action Plans.
- Communicate with potential donors both during the formulation of the DRR Action Plans and also during the implementation
- Fund experts who can support in developing and implementing the DRR Action Plans
- Develop DRR Actions for an existing project in the municipality to ensure that there is sufficient attention to DRR issues and find immediate application to DRR actions. There is also the understanding that some parts of the municipal budget are used for DRR-related activities (road widening, drainage improvement, etc.) but not under the 'DRR'' head.
- Develop disaster loss database at the local level.
- Identify easy wins and prioritize them.

High-level political commitment and ownership form the city
- Obtain the political will of the highest-ranking authorities and the commitment to allocate financial resources.
- Ensure the sense of commitment from the city prior to engagement in the project. Use an Expression of Interest step and apply selection criteria to engage cities in the project.
- Required city to make some material investment within their resource capacities, e.g. time of key personnel, providing meeting venue, catering etc.
- Especially in big cities, the approval process takes time and requires several rounds of consultations and strong political commitments.
- Involve national authorities as part of the process, in order to keep the local DRR action plans aligned with the national level work/implementation plans.

Stakeholders' engagement and coordination
- Ensure that most sections or departments of the City are represented at meetings or workshops – including Finance, Administration, Regulatory Services, Social Services.

- Ensure that key City personnel are mandated to participate in the workshops/meetings and also to conduct required follow-up activity, such as filling data gaps, consulting internally with their own teams etc.
- Ensure social inclusion by conduct comprehensive Stakeholder Mapping to ensure all relevant groups are involved.
- Provide ongoing expert placements within the City Administration, with clear job descriptions and accountabilities to ensure continuous support to DRR actions.

Individual Capacity development
- Provide technical support to city focal points
- Since the entire process is based on self-assessments, it is always recommended that the city does a realistic assessment rather than something which "looks good to others", which requires continuous awareness raising efforts.
- Ensure continuous efforts to explain DRR and Resilience to policy-makers and other stakeholders
- Ensure city-to-city exchange allowing learning and shared efforts when relevant
- Attempt to expand the project implementation to the neighbor cities, creating thereby a stronger impact by providing a room for an increased synergy of neighbor cities and conducive environment to address the risks of cross-border nature

Institutional arrangements
- Common inter-sectorial coordination and communication structure is needed for disaster management.

4.2.2 Findings from the survey in 200 pilot cities

The questionnaire for the survey was meant to collect the responses from 200 cities piloted under Result 2: *Local Resilience and investments measured* of the UNISDR's implementation stream. The target for this result is to ensure that all 200 cities assess their gaps and progress in addressing local resilience.

In total only 57 responses were received, whereby 25 responses from India, 11 responses from Africa, 11 responses from Indonesia, 1 from Nepal and 1 from Philippine, and 8 responses from Americas were received. No responses were received from the Arab States. No responses were received from the Arab States. Such a response rate (below 30%) does not allow for statistically valid extrapolation of data, however, the findings of the survey are analyzed (with due consideration of uncertainty level) and presented in the report. An attempt was made to reach out to the cities and substantiate the questionnaire results with interviews, however, no responses were received from the city representatives.

While the response rate is not sufficient statistically for generalization, however, some useful findings could still be highlighted per region. The focus is on the responses received from Africa and Asia. Responses received from India are considered only partially. The 15

questionnaires received from the All India Disaster Mitigation Institute (AIDMI) are not taken into consideration because they all written with the same wording and the same formulations, which raises sufficient doubts that they are actually not filled in by the municipalities themselves (couldn't all use the same wording) but most probably by one person. The analysis from the remaining 10 questionnaires are presented below.

Africa region

Majority of respondents consider the tools used by UNISDR useful: 8 out of 10 respondents (1 no answer received). However, when operationalizing that 'usefulness' more insights were revealed. Hence, while 5 respondents consider the tool straightforward and understandable, the other five had considered it only partially useful. This was explained by the fact that the tool was new for the municipality staff and lack of sufficient background on DRR and resilience required more time and efforts to gain their full understanding. As a result, seven of 11 respondents confirm that it was easy to fill in the questionnaire (not very easy though) but 3 confirm that it was not easy and 1 stated that it was difficult to fill in the tool. The processes of completion of the tool was largely driven by few departments within the municipalities as described by 4 municipalities or fully inclusive, as described by other four municipalities. In terms of the needs and the support the municipalities are expected from UNISDR, there was a general consensus: they need more capacity development, they need tools for risk assessment, they need technical guidance, and probably, as stated in some cases, support with having a focal point in the municipality, a dedicated person to facilitate the DRR-related processes.

'The major difficulties experienced in completing this self-assessment were: language of editing the scorecard; lack of familiarity with certain terminologies and their definitions; lack of available data; deficient knowledge of the technicians who were involved in completing this self-assessment, specifically in this area (but in a general way of relevant technical capacity) difficulty in involving the departments of the City Hall and other institutions; etc.' (quote from the municipality representative).

Indonesia, Nepal, Philippine

The majority of respondents (11 out of 13) consider the usefulness of the tools as high. Also, the majority thinks that the tool is straightforward and understandable for everyone: 9 versus 3 respondent that only partially agree with that statement. However, the respondents have divergence while rating how difficult the tool is for the use: five respondents considered it not easy, five consider easy, two considered very easy, and one considered it difficult. Completion of self-assessment is largely driven by few departments – eight responses out of 13. The expectations form the project is to continue with awareness raising and building technical expertise and at the same time, with very specific support for risk and hazard mapping. Also, in Indonesia it was difficulty with understanding Indonesian version of the scorecard.

India

Findings suggest that there were different tools used in the cities. Hence, out of 10 questionnaires five cities used the QRE, two - detailed scorecard, in the remaining three cities – the preliminary scorecard. Those used QRE suggested that the tool is highly useful (3

responses), moderately useful (1 response) and not useful (1 response). Interestingly, the city that rated the tool moderately useful also explained that only few departments participated in the process. In the city were the tool scored lowest, i.e. not useful, the process was driven by 1-2 persons only.

Cities that used detailed scorecards rated the usefulness of the tool as 'not useful' and 'moderately useful'. The self-assessment process in the city that chose 'not useful' for the usefulness of the tool was carried out by 1-2 persons from the municipalities only. All those cities used the preliminary scorecards considered the tool highly useful and the process of self-assessment was inclusive with the engagement of all departments. Obviously, there is a correlation between the 'usefulness' of the tools and 'inclusiveness' of the process of self-assessment. The exact nature of this correlation was not possible to reveal but there are sufficient grounds to suggest that when the processes are truly engaging and inclusive for finding consensus and developing DRR Action Plans in the cities, then the value of the final product is higher.

Herewith the illustration of some follow up steps planned within the municipalities after the self-assessment: *1. Micro-Hazard zonation for each hazard. 2. Display of warning boards for general public in sensitive area. 3. Inventory of human and material resources available with Government, Private and Civil Society. 4. Training, Capacity Building of the State search and Rescue Task Forces, State First Aid Task Forces, Civil police, Fire Brigades, NCC, CBOs. 5. Medical Preparedness- nominate/designate hospitals, doctors and paramedics to cover emergency health management. 6. District, Block & Village level mock drills and rehearsals. 7. Public Awareness generation and community evacuation training.* The next challenge for the municipalities is to actually implement these activities and they request support in '…*Carry out practical programmes and/or projects on disaster risks management*' and '*Invest in and maintain critical infrastructure that reduces risk, such as flood drainage, adjusted where needed to cope with climate change*'. (quote from the questionnaire)

4.2.3 Findings from the CRPT analysis

Result 3 of the project is fully focused on developing the City Resilience Profiling Tool (CRPT). Therefore, the MTE also provides the main findings from the analysis of the CRPT to inform further developments of the tool and its application.

Introduction
The CRPT is envisaged as a tool to provide a cross-cutting diagnostic for resilience-based urban development that allows establishing resilience baseline, assess the coping capacities within the city, and vulnerabilities across urban system. Through establishing the baseline and subsequent analyses, the CRPT provides diagnosis of the status of the urban resilience within a given city and inform thereby the Resilience Action Plans with evidence-based recommendations. The tool is developed in close partnership between UN-Habitat and the

Municipality of Barcelona and is currently on its version 2.0 which includes four Sets of indicators totaling to 140+ indicators, through which it measures the urban system resilience against multiple plausible hazards.

Overview
What makes this tool unique is that it allows the 'city perspective' to be captured, not a perspective of one stakeholder alone (academia, municipality, enterprises, civil society, and such like) but the holistic perspective of the city itself. The tool is complex and captures multiple perspectives while allowing for tailoring to local specificities, which is both its advantage and challenge. It is designed to be useful and usable in various city contexts irrespective to size, level of industrial, social, economic development, or hazard profile. The advantage of this approach is that it allows for cross city comparison and lessons learned because the design of the tool is sufficiently elastic to capture the variability of cases across all possible cities. However, successful application of this tool requires at least (a) clear and shared understanding of what resilience is; (b) availability of data from various sources across various sectors and functionalities within a city (academic, government, private sector, etc.); (c) political commitment to negotiate and find the resilience actions that are beneficial from the city perspective.; and (d) sufficient resources to engage in the process of data collection and analysis. Despite the fact that the tool is still in process of fine-tuning with limited application so far, there are already some useful comments received from the UN-Habitat team and the city focal points about challenges and opportunities they are facing while developing and piloting the tool in parallel by cross-informing both processes.

Advantages with developing and piloting the CRPT:
- *Usability in complex context* such as urban system, allowing to explore multiplicity of risks rather than being focused on a single risk
- *Breaking the silos:* the tool allows to break the silos between different functions, stakeholders, and sectors within the urban system and raise the understanding of (inter)dependencies, enhance coordination, and encourage information sharing
- *Transversal glance* meaning that the tool allows mapping of various perspectives related to resilience challenges, and disperse the solutions through various projects and programmes in a city
- *Process and content orientated tool* meaning data and analysis are important when using this tool, and the process of populating this tool is a learning exercise itself – by raising questions on planning, the tool learns on planning, for instance.

Challenges with developing and piloting the CRPT:
- *Stakeholders' engagement* requires raising awareness about the importance of resilience for urban system and risk-informed urban planning. A Social Inclusion Enhancer would be a useful guide for the cities to answer to 'why social inclusion' and 'how' questions.
- *Capacities* of the local authorities and other stakeholders to understand and engage in the tool implementation need continuous efforts of improvement

- *Data availability* as the tool requires lots of data to inform the analysis, which is particularly challenging in data-deprived contexts, requires much efforts in finding or generating data
- *Variability of Data life-cycle* meaning that some data would become obsolete quicker than the others (for instance, data on access to services might change quicker than those on built environment)
- *Cost* to implement the tool, as it is time consuming and requires significant and continuous engagement of multiple stakeholders along the way (typically up to six months of continuous engagement) which put additional pressure to already limited resources in the resource-constrained settings

Additional *comments and recommendations on the concept and the structure of the CRPT* and the approach to its implementation are raised by the evaluator based on the tool analysis.
- CRPT is a new tool and there are no such skills available outside the UN-Habitat's CRPP team to conduct the analysis after the CRPT is fully populated. Therefore, the UN-Habitat's approach for rolling out the tool implies active engagement of senior staff in the analysis. Hence, it is envisaged to collect data from each city and analyze them in Barcelona by UN-Habitat. While this approach could be very useful at the early stages of the CRPT's roll-out, at longer run this approach raises questions about sustainability and relevance. It is recommended, therefore, to invest efforts in building adequate capacities on the ground to allow analysis within each city, avoiding creating dependency on UN-Habitat and increasing local ownership over the tool and its outcomes.
- CRPT has been developed by a team of visionary experts from the UN-Habitat and the municipality of Barcelona who were exploring the concept of resilient urban system. While at the early stage it was highly justified letting this work evolve within this limited team of experts, at the current stage when the tool has gained its shape and is gaining attention from various cities, it is critically important to ensure the final fine-tuning and 'sanity check' of the tool. Therefore, it is recommended to set up one Expert Council that will include practitioners, policy-makers, and leading scientists from universities to discuss the tool and finalize its development.
- CRPT has been developed as a comprehensive tool addressing all critical aspects of urban system and as a result it has 140+ indicators to consider in order to produce meaningful analysis and come up with adequate resilience actions. This has been considered quite cumbersome by many respondents. It is strongly recommended to allow some simplification of the tool – either by reducing the number of indicators or by introducing modular approach or the combination of both. The modular approach implies having a core set of indicators that are critical and must remain static across various settings and those ones on various additional aspects of urban system (access to social services, for instance, of waste management, etc.) that would allow more targeted and selective analysis of a specific sector or functionality of the urban system. Similarly, the municipality of Barcelona was focused on urban resilience more from a social perspective (social inclusion, municipal public services, etc.) in the version 2.0 of the CRPT.

- CRPT considers various shocks and stresses, yet it also refers to challenges with the further attempt to categorize 'shocks and external stresses' vs. 'internal and complex stresses'. While this categorization is not clear-cut it creates some confusion in understanding the concept and could be less instrumental in application of the tool. Therefore, it is strongly recommended to revise Set 3: City ID and possibly remove 'challenges' as a category as well as the 'internal'/'external' dichotomy.
- Additionally, the tool and specifically its considerations of shocks, stresses and challenges can benefit largely from a strong risk management and DRR expertise to ensure it is conceptually strong and practically instrumental.
- It is also recommended to introduce anticipation function in the CRPT by revealing various resilience scenarios over time. Currently, based on the filled in CRPT there are three scenarios supposed to be designed: (a) current scenario, which is the current diagnosis of the city at the present moment; (b) trend scenario, which is built upon current scenario factoring in on-going project and programmes to address existing vulnerabilities in the city; and (c) Resilient and Sustainable (R&S) scenario, which is the based on the trend scenario modified by the Actions for Resilience. There are two challenges and therefore, two solutions recommended:
  1. It is expected to develop R&S scenario to inform the Actions for Resilience, yet the development of the R&S requires defined Actions for resilience. Here is a bit of inconsistency observed that is recommended to remove.
  2. Most importantly, it is recommended to concentrate attention on the scenarios the city can face over various time horizon and those scenarios should be calibrated as plausible, best- and worst-case scenarios. This would allow adding stress test to the urban system and explore the 'margins of resilience', meaning, identifying the break-points where the resilience of the system can be threatened and therefore, the combination of factors that can lead to the break point.

4.2.4 Analysis of the project progress based on evaluation criteria: strategic relevance, effectiveness, efficiency, sustainability, impact, and coherence.

The overall rating of the MCSR project since its inception in April 2016 till the time of the MTE is *Highly Satisfactory*. The section below provides more detailed overview of the project along evaluation criteria.

Strategic Relevance
The strategic relevance of the project is rated as 'Highly Satisfactory'.

By 2030 cities will become home to 60% of the global population reaching further to 68.7% by 2050.[42] In the meanwhile, the global toll disasters are taking on development prospects is

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[42] International Resource Panel (2018), *The Weight of Cities: Resource Requirements of Future Urbanization*, A report by the International Resource Panel UNEP, Kenya

estimated at USD 314 billion per year in the built environment only.[43] While the first phenomenon of urbanization is inevitable, the second – disaster losses – depends largely on the capacities of the cities to ensure sustainable and resilient development. The question remains: how?

Through this joint initiative, UNISDR and UN-Habitat aim to improve the understanding of and capacity to address disaster risk at the local level. The project design and implementation demonstrate high relevance to existing international reference frameworks, the national DRR and resilience priorities in the target cities, as well as for the resilience needs at the city level. Specifically, the project contributes directly to the realization of Target E: *Proportion of local governments that adopt and implement local disaster risk reduction strategies on line with the Sendai Framework for DRR 2015-2030.*[44] It also directly contributes to the achievement of the SDG goal 11 'Make cities inclusive, safe, resilient and sustainable', specifically its **target 11.5** 'significantly reduce the number of deaths and people affected and substantially decrease the direct economic losses relative to global gross domestic product caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations', and **target 11.b** 'increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resources efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with Sendai Framework, holistic disaster risk management at all levels'. The project is further in line with the New Urban Agenda (NUA) adopted in 2016 that firmly placed urbanization at the forefront of the international development policy and through which leaders across the world have committed to '*strengthen resilience in cities to reduce the risk and the impact of disasters*'.[45]

While demonstrating strong relevance to the internationally adopted reference frameworks, the project is also meet national DRR and resilience requirements in each pilot cities and most importantly is responsive to the needs on the ground, at the city level. The latter is possible through providing cities with options to explore one or another aspect of DRR and resilience building that is in line with the local priorities, capacities, and needs.

The project relevance to 'crisis-prone' context requires clarification. The EU's approach towards crisis includes (a) natural disasters, (b) man-made crisis including armed conflicts, etc. and (c) complex emergencies which are a combination of natural and man-made crises that result in 'a total or considerable breakdown of authority, which require international response that goes beyond the mandate or capacity of any single agency, and which has been assessed to require intensive and extensive political and management coordination'.[46] Beyond the EC and its member states the concept of 'crisis' is perceived differently by various organizations. It is often related to fragility and humanitarian crisis and differs from disaster risk management context both conceptually and at the level of programming and/or institutional arrangements

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[43] Global Assessment Report, UNISDR, 2015
[44] https://www.preventionweb.net/drr-framework/sendai-framework-monitor/
[45] http://habitat3.org/the-new-urban-agenda/
[46] https://interagencystandingcommittee.org/system/files/legacy_files/WG16_4.pdf

(meaning that there could be various departments leading efforts across this two distinct knowledge and practice areas). Therefore, the project reference to 'crisis-prone' should not be limited to the pilot cities selected for UN-Habitat's implementation stream but should be applied to all cities targeted by the project. This needs to be clearly communicated throughout all project documents and reports. This needs to be clearly reflected in the TOC.

Effectiveness

The effectiveness of the project is rated as 'Satisfactory'.

The effectiveness analysis is largely addressing the question: *Are the delivery of activities and outputs contributing to the achievement of the project results and the outcome?*

The findings of the change analysis allow to conclude that the project made significant progress towards achievement of each result. Hence, visible progress is made in ensuring broad-based outreach and advocacy to increase local-level commitments towards more resilient communities (Result 1/UNISDR). This result has significantly exceeded the expected threshold set within the project: instead of 560 envisaged 1,442 new cities committed to Ten Essentials of the MRC campaign by the time of the MTE. Highly successful work has been done by UNISDR to generate necessary awareness at the global, regional, and local levels through multiple events. However, continuous increase in numbers of the cities committed to MCR campaign without further steps undertaken from their side and/or with the UNISDR's support might become counterproductive over time. There is a need to move from commitments to actions. This requires redressing the MCR and finding new avenues for effective engagement of the cities. The findings from the MTE could be informative for the MCR.

The findings of the MTE suggest that there is a need to pay close attention to *resilience capacities.* The core resilience capacities identified across all respondents and all cities include:

(1) understanding on DRR and resilience, (2) social inclusion to engage larger group of stakeholders, (3) strong political commitment, (4) institutionalized resilience mechanism within municipalities, (5) data availability, (6) understood resilience profile, (7) availability of resources to support resilience-building actions. Herewith, the resilience capacities identified throughout the implementation of the MCSR could potentially inform the direction for the MCR campaign. Specifically, it could be beneficial to promote the ***Agenda for Resilience*** – shifting from engaging into campaign to building seven resilience capacities at the city level.

Both Results 2 and Result 3 on building new, and adapting the existing tools, to establish baselines and gather profiles of risk and resilience building data and information are also largely achieved. Significant efforts were mobilized by UNISDR from over 100 experts across the globe including private sector to revise the Ten Essentials, and to discuss and design three self-assessment tools for the cities: Quick Risk Estimation (QRE), Preliminary and Detailed Resilience scorecard. The development of each tool required effective cooperation among multiple stakeholders across the globe under the direct leadership of UNISDR. The scorecards have been piloted by UNISDR in 196 out of 200 pilot cities and in 20 cities (detailed scorecard).

Similarly, UN-Habitat is engaged in developing the CRPT – a tool that allows capturing a holistic 'city' perspective on urban resilience. The tool is in its mature stage, though needs additional polishing and fine-tuning. The tools are principally different, whereby UNISDR's tool allow local governments to measure progress and challenges in the implementation of the Sendai Framework and suggest the direction for the next DRR efforts, while the UN-Habitat's tool explores more holistic approach to addressing resilience not from a perspective of a normative document or one stakeholder alone, but from a perspective of a city itself, i.e. the urban system.

There are very positive responses with respect to all tools, however, there are also challenges that require adequate attention. The adequate completion of the disaster resilience scorecard requires tailored work, multiple consultations, discussions, and data mining. This is rather difficult to manage during a multi-stakeholder workshop, especially if the level of expertise and understanding of basic concepts vary significantly. While workshops remain a very useful tool for informing stakeholders about the scorecard and building their understanding of their benefits, attempting the self-assessment during the same workshop, which is often the case, is rather over simplistic. The practice within the project suggests that it is possible especially if combined with some follow up work after the workshop, however, there are also feedbacks that suggest to further tailor UNISDR's approach on how to use the scorecards. Specifically, it is deemed more effective to ensure workshops for raising awareness and building understanding on DRR and resilience, while the process of actually self-assessment requires close follow-up and multiple iterations through individual and group discussions, consultations, data mining, etc. It has also been mentioned multiple times that the detailed scorecard is complicated with limited applicability. There is no clear understanding within the 200 pilot municipalities about the difference between the preliminary and the detailed scorecard. Meanwhile, the IPs working with 20 pilot municipalities clearly suggested that the detailed scorecard is difficult to use and provides less expected value. Instead, one tool – a combined version of the both scorecard – could better fit the purpose provided it is not the most elaborated version of the scorecard. An additional strong comment raised by the stakeholders suggests that scoring, the fact that there are scores attached to the analysis, is impacting the process: cities are often times reluctant to reveal the actual status to avoid low score and potential political implications and are therefore, overoptimistic to ensure higher score. This point too requires some deliberation from the UNISDR's side. Also, the IT support (meaning, the glitches of the software to produce the output after the input is inserted) for the tool has significant shortcomings that has been mentioned by various stakeholders. It is strongly recommended to run a test across all piloted cities that worked with the scorecard and collect their feedback on IT-related issues with the purpose to quickly fix any problems. The stakeholders have also raised an issue of not having access to the scorecard and the challenges with terminology after they are translated from English into the local language.

Interest towards the CRPT developed by UN-Habitat is also gaining traction among cities, however, there are also challenges that require due consideration. The tool is complex and costly, as it has been mentioned by those stakeholders acquainted with the tool. The predominant number of respondents interviewed, both from within UN-Habitat itself and

among the partners, are not well informed about the specifics of the tool, having only general information about the purpose of the tool. While this limited their contribution towards the analysis of the CRPT, they have generally agreed on the importance of measuring urban resilience at city level. Today, before scaling up the use of CRPT, the tool is already mature enough to be to 'open' to the larger audience: (a) to the larger expert community to finetune and finalize it; and (b) to the larger audience of the potential users – cities, international organizations concerned with urban resilience. It is also advised to ensure further efforts to increase the user-friendliness of the tool and its applicability in different contexts, including resource and data constrained context. More specific recommendations of the tool are provided in the sub-section *(c) Findings from the CRPT analysis*.

Reflections on the progress made towards actual profiling of the cities are also positive (Result 3 and Result 5). Within 20 pilot cities targeted by UNISDR the progress is the following: in Asia and Africa the pilot cities have completed the self-assessment and are currently in the process of developing the DRR Action Plans; in Americas – all five cities have completed the DRR Action Plans and are currently in the process of its official approval, in Arab States the process is at the early state of preparation for the self-assessment. Arab States are very much behind the schedule of the project implementation. This is largely explained by the fact that the UNISDR's regional team is very much stretched in its capacity and only recently in 2018 a consultant was hired to support with the implementation of this project.

The implementation of the CRPT was envisaged in four cities. While there is a significant progress made in two out of four cities - Asunción and Maputo – all cities have already started the process. It is challenging to implement the tool that is not finalized yet, though it is also useful to collect the lessons from the pilot cities and feed them back into the design of the tool.

Both UNISDR and UN-Habitat have established a number of partnerships to support the implementation of the project. To reach out to the 200 pilot cities, UNISDR contracted several implementing partners (IPs): in Africa – ICLEI Africa, in Americas – Fundacion Humania, in Arab States - Resurgence and Arab Urban Development Institute, in India – AIDMI, and in Asia – UCLG-ASPAC and SEEDS Asia. Contracting IPs are very sound strategy to reach an economy of scale and continue building regional and local pools of qualified organizations engaged in building urban resilience at the local level. However, there are some considerations that could further improve the realization of such strategy: (a) there is a need to ensure that IPs have sufficient understanding of the process and the tools themselves, (b) limited budget provided to IPs (around 20-25.000USD) is not sufficient to ensure their strong presence on the ground across several target cities and effective cooperation with each target city during the contracting period of time (typically about 7-9 months); (c) strong monitoring mechanism should be developed to track the progress and the quality of the IPs' engagement in the project; (d) selection of the cities should be done on a competitive basis based on their demonstrated commitments towards the project. If necessary, a series of awareness raising events should precede the competitive selection of the cities to be part of the project. The abovementioned preconditions are considered critical and only then cities can be expected to be adequately

engaged in the project implementation. In its today's format, working in the 200 cities is not highly effective.

UN-Habitat has established several partnerships for different purposes. Hence, there is a very strong partnership established with the municipality of Barcelona that has been one of the driving forces behind the CRPP and the CRPT so far. This partnership has proven to be highly successful. Also, there are various partnerships with the purpose to shape the global agenda on urban resilience and ensure synergy across various partners: Medellin Collaboration for Urban Resilience (MCUR), Making Cities Resilient Campaign, Risk Nexus Initiative, Global Alliance for Urban Cities, RESCCUE, ISO standard for Resilient Cities, and Inter-Agency Standing Committee for Humanitarian Responses (IASC) whereby UN-Habitat is a member of the Task Team on Strengthening the Humanitarian/Development Nexus with a focus on protracted content. For the further effective roll-out of the CRPT there is a strong need to identity the partnership strategy to ensure effective scale up. To set up effective partnerships there are several considerations that can be useful:

- The tool is challenging and cannot be easily passed to other organization to apply without prior capacity development. Therefore, it is important to identify IPs that are willing and capable to go through intensive capacity development to be able to further roll-out the CRPT. These could be various organizations including but not limiting to universities, think-thanks, NGOs, INGOs, etc. Currently, CRPT is building a team of focal points who are experienced in the CRPT and can extend technical support to other cities.
- To act upon the outcomes of CRPT there is a need to identify what needs investments and mobilize sufficient resources (loans, grants, equity funding, etc.). There could be opportunities to explore with the WB who is currently actively exploring investment banking for cities.
- UN-Habitat needs Ambassadors to advocate for 'city perspective' and motivate exchange of lessons learned from different contexts. It already has a strong Ambassador on behalf of the Municipality of Barcelona who is reaching out to other cities within the CRPP and actively informing and shaping the developments of the CRPT. A network of such Ambassadors would benefit the effective implementation of the CRPT across different cities.
- Urban resilience is critical for all cities and more so in those that host critical infrastructure of regional or global significance. For instance, the Belt and Road Initiative, etc. Building resilience on those cities has extended value for all the other cities benefiting from that critical infrastructure. Hence, those cities might have additional incentive to effectively engage in resilience building and explore opportunities with UN-Habitat.
- Application of CRPT assumes good level of understanding of DRR and urban resilience and some resilience capacities available. The 20 cities piloted within the UNISDR's implementation stream are becoming strong in their resilience capacities and it could be a next logical step for them to embark on CRPT. Therefore, it is also recommended to explore the opportunities of systematically engaging UNISDR's 'graduates' to UN-Habitat's scope of work, obviously, if there is sufficient commitment from the cities.

- Application of the tool within UN-Habitat's programming and stronger interactions between UN-Habitat initiatives with the CRPP is yet to be seen. One of the avenues to strengthen such coordination could be to partner up with more than 320 local and national urban observatories functioning under the UN-Habitat Global Urban Observatory, a global repository for urban data that addresses multiple territorial levels and can be complemented by topical data from other sources.

As it has been mentioned by the interviewees, in both implementation streams there is sufficient attention to vulnerable groups and cross-cutting issues of gender, youth, climate change and human rights integrated in the design, implementation and monitoring of the project. Both partners adhere to equal gender participation throughout various activities of the project, which is reflected in the monitoring reports. The tools developed by both partners are sufficiently gender sensitive requiring due consideration to gender mainstreaming, i.e. among others, gender-disaggregated data, gender-specific questions, etc. The UN-Habitat has developed two Enhancers – on gender issues in close partnership with Gender Department of UN-Habitat and on climate issues – to further facilitate the focus on the selected areas.

Despite very clear conceptual differences between the tools developed and used within the project and the differences in the implementation modalities and pilot cities within both streams, both UNISDR and UN-Habitat have shown strong commitment towards building coherence and ensuring synergies across their operations. Besides regular meetings of the Steering Committee of the project, in December 2017 the first meeting was organized between partners to explore synergy across the project implementation. This was right timing because it was the time when both partners have developed their own approaches (tools, methodologies, partnership base, etc.). While some might argue that all that should have been done in more close interaction among the partners, there is also a strong logic to support the approach engaged by the partners. They had rather different conceptual basis and it was important not to disrupt and engage in coordination prematurely.

After initial piloting phase, as the findings of the MTE suggest, there are compatible challenges faced by each partner within their own target cities: lack of adequate understanding of DRR, resilience, and urban resilience; lack of interagency cooperation and coordination; lack of coordination with the national authorities; lack of financial and human resources; lack of systematic data recording. Also, the opportunities for successful implementation of the project resonates: strong political engagement, enhanced capacities of the experts from the local municipalities, engagement of multiple-stakeholders and the need for stronger social inclusion, the value of institutionalized resilience unit or council within the municipalities, and data availability.

The effectiveness also touches the visibility of the project implementation. The MRC campaign has grown into a globally recognized and highly successful initiative of UNISDR to raise awareness on local level DRR and resilience. UN-Habitat is exploring a highly innovative tool and developing approaches to address the core of urban resilience, maintaining the 'brand' of UN-Habitat and adding new dimensions to it. This is explained why this project with its global,

regional, or very local efforts is very much under the spotlight: leading partners in the field are well aware about the project (all major actors engaged in urban resilience have partnered up with both UNISDR and UN-Habitat), high-level UN officials are referring to the project and its outcomes regularly (e.g. tweet from Maimunah Mohd Sharif, the Executive Director of UN-Habitat, on 17 July 2018 where she highlighted the work of CRPP as important contribution to SDGs), the project informs high-level report on urban resilience (e.g. HLPF 2018 *Towards the localization of SDGs*[47] refers to the project and its findings). Being the sole funding donor for this action, the visibility of the DEVCO is very high throughout all events, in all publications, in all partnerships. Annex 6 provides a list of some events where the MCSR was dully presented.

While in general, the effectiveness of the project implementation to date is high and the project is evolving in the right direction, there is a need for additional adjustments to ensure it is successfully reaching its higher-level objectives by the end of term.

Efficiency
The efficiency of the project is rated as 'Highly Satisfactory'.

The project has been managed with high regard for efficiency. The budget for each partner is defined as EUR 3,750,000 for the period of three years with 80% contribution from DECVO and 20% from the recipient partner. Eligible indirect cost of the Action is estimated on the basis of a flat-rate of 7% of the final amount of direct eligible costs, i.e. EUR 7,500,000 as shown in table 4.9 and table 4.10.

Table 4.9: UN-Habitat budget allocations and expenditures per partner as of August 2018 *(in USD)*

UN-Habitat			
Budget Category	*Total project budget*	*Total Exp as of August 2018**	*Additional resource mobilized beyond the project*
Staff and other personnel costs	2,117,580	1,386,776	
Contractual Services	269,535	261092	
Travel	370,353	132,686	
Equipment Vehicles and Furniture	64,812	31,161	
Grants Management Operational Class	111,619	-	
Operating and Other Direct Costs	167,581	108,247	
Total Expenditure	3,101,480	1,919965	
UN-PSC @7%	217,103	130,758	
Total Expenditure + PSC	3,318,583	*2,050,723*	
Project balance		*1,267,860*	
			3,315,786

*Minor deviations are possible to account for exchange rates from Euro to USD.

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[47] https://www.uclg.org/sites/default/files/towards_the_localization_of_the_sdgs.pdf

Table 4.10 UNISDSR budget allocations and expenditures per partner as of April 2018 (in EUR)

UNISDR			
Indicative Budget for the Action	*Total project budget*	*Total Exp as of April 2018**	*Additional resource mobilized beyond the project*
Staff	1,515,769	1,255,863	
Travel of beneficiaries	317,200	242,730	
Travel of staff	202,800	66,542	
Technical support	565,000	434,862	
Contractual Services (including evaluation)	375,669	95,329	
Grants	558,300	166,296	
Supplies and equipment	19,000	3,524	
Total Expenditure	2,803,738	2,265,147	
UN-PSC @7%	196,262	158,560	
Total Expenditure + PSC	3,750,000	*2,423,708*	
Project balance		*1,326,292*	
			160,000

*Minor deviations are possible to account for exchange rates from Euro to USD.

The largest share in each budget is allocated for the personnel costs which is explained by the nature of the project – large number of coordination efforts, technical expertise, and management - all of which requires significant human resources.

Over the course of the second year of project implementation, UNISDR requested budget re-allocation to correct the course of actions within the project and better align to emerging needs as required by the principles of adaptive management. Hence, the redistribution was made from the budget allocated for Result 4 to Results 1 and 2. This is explained by the increasing demand on DRR outreach and advocacy, improved communication, experience sharing among cities, as well as deeper analysis of the self-assessment on disaster resilience of 200 pilot cities. The budget re-allocation was made as shown in Table 4.11.

Table 4.11 UNISDR budget re-allocations

Indicative budget per result	EU Contribution in EUR	Proposed Re-allocation in EUR
Result 1	445,000	684,400
Result 2	520,000	710,000
Result 3	1,760,000	1,330,600

Besides the contractual project budget, each partner mobilized additional resources and created synergy with other interventions it engaged in, directly contributing thereby to the impact envisaged from this project. Hence, UNISDR receives regular funding from the Government of the Republic of Korea to support the activities of UNISDR GETI, and a small funding was ensured from Security Trust Fund for a project. UN-Habitat has mobilized resources from various sources, including the city of Yakutsk that applies the CRPT and receives technical support from UN-Habitat for its implementation.

The staffing level across the two partners is satisfactory. About 20 staff members are on full or partial payroll on the project from UNISDR's side including, 2 persons from each of the 4 regional offices, 2 persons from GETI, 2 communication officers in HQ, 2 IT specialists, 3 management staff members, 2 resource mobilization specialists. It could have been much more beneficial to contract an additional staff member (at mid-career stage) at GETI who would be 100% engaged in this project to ease facilitation of the project implementation, ensure continuous attention to all processes within the project, explore new opportunities, and catch up with progress in the cities that are lagging behind, like in Arab states. However, given the limited time left till the end of the project this recommendation is more relevant for the continuation of the project rather than for the time remaining of the project.

UN-Habitat's CRPP has comprised its team with 2 senior and 13 junior members. To maintain cost-effectiveness of the project, the team has engaged large proportion of junior staff members. While this has been proven a viable strategy, it is also recommended to recruit a senior risk governance expert to co-lead the further developments and finalization of the tool.

There was a delay of 6 months between the first and the second tranches of funds received from the DEVCO in 2016, which has cause noticeable delay in various processes related to the project implementation. Hence, CRPP had to take a loan of EUR 200.000 from UN-Habitat to sustain the project and use only on the most critical activities. It was a lengthy process of report approval from DEVCO, which has caused its impact on the project implementation – recruitment of personnel slowed down, which in turn impacted the pace of project implementation in general.

Sustainability
The sustainability of the project is rated as 'Satisfactory'.

The major question is to what extent are the project efforts towards capacity building sustainable. This MTE explored both the sustainability of the design of the project and the sustainability of the implementation efforts and concluded that to date, the sustainability of the project is satisfactory.

Sustainability of the project design: The project is designed to balance global efforts of ensuring that local level DRR and resilience are high in the agenda with very practical steps of building resilience capacities by developing and effectively using assessment tools to guide the resilience-building actions in the cities. While the model is clear and feasible, by the time of

the mid-term evaluation it has become clear that there is a need to more clearly define the resilience capacities the project aims to build. Multiple stakeholders through interviews and surveys have shared their understanding on which resilience capacities are critical for the success of this initiative: *understanding on DRR and resilience, social inclusion to engage larger group of stakeholders, strong political commitment, institutionalized resilience mechanism within municipalities, data availability, understood resilience profile, availability of resources to support resilience-building actions.* Acknowledging the importance of a stronger focus on resilience capacities, the revised TOC modified the project logic around those resilience capacities. This should support more synchronized capacity development efforts across the project, ensuring the continuity of the project efforts in a consolidated fashion. Also, this provides the starting points for the end of project evaluation focusing in outcomes.

The design of the project suggests that through completing self-assessment or resilience measurement, the local stakeholders are building sufficiently their capacities to understand DRR and resilience and their capacities to actually implement resilience-building activities. *"The project generated a great deal of interest and commitment to building on the learnings, undertaking the assessments in the future, and taking the disaster risk reduction work further in the city'* (quote from one of the IPs). While, in general, this has been proven by many feedbacks received from the project stakeholders through interviews and surveys, the capacity gaps still remain. This suggest that there is a need to intensify efforts within both streams to raise understanding on critical areas: disaster risk reduction, urban planning, urban resilience, risk-informed urban planning, and suchlike. The role of the GETI as educational center is critical in order to develop and disseminate various relevant educational products. There are already various products developed by GETI largely on understanding Ten Essentials and the scorecard, however, new ones are required on a broader subject of urban resilience. Also, the education products need to be actively catered to the cities and there should be a room in the project to intensify such efforts.

Another important element related to the design of the project that has been highlighted by the stakeholders is about the DRR Action Plans. When working on the DRR Action Plans, it is suggested to avoid creating a 'wish list' that is not feasible to implement. The DRR Action Plan might be perceived as a 'wish list' when there are no funds available to implement the actions and no clear strategy is in place on how to mobilize necessary resources. The sustainability of the project could be improved and the expectations of the local stakeholders better managed if introducing a specific requirement into the project design - the DRR plans should identify (a) the priority actions that are feasible within the current budget of the municipality; (b) the priority actions that required external funding. The case study from 20 pilot cities suggest that there are actually funds available within the municipalities for various development projects. The challenges are to ensure that those projects are risk-informed and to define those actions from the DRR Action Plan that could be managed without additional resources.

The design of the project also allows for building partnerships throughout the project implementation. UNISDR has entered into various partnerships with implementing partners

from all target regions – Asia, Africa, Americas, and Arab States – multiplying thereby the impact of the project. These partnerships are project-based, meaning, each partnership is a short-term project geared towards delivering on the project results. While there are specific constraints in terms of how these partnerships are actually implemented, the design of this modality has been proven viable. The sustainability of this arrangement could be further improved by creating a room for more interactions between the IPs and the target cities: "*Virtual support was the main mode of engagement with a number of cities where budget did not allow in-person engagement, which resulted in a more drawn out process in supporting the city focal points*' (quote from one of the IPs). With an eye on scaling up the number of cities engaged in self-assessment, the number of IPs should also be increased. This implies defined selection criteria for the IPs to partner up with the UNISDR and stronger management of the IPs.

UN-Habitat has entered into a number of successful partnerships at the global level and has gained its own niche in shaping urban resilience agenda. The long-lasting partnership with the Municipality of Barcelona exemplifies a strategic partnership between the organizations jointly embarked in exploring highly complex subject, unaddressed before. In the current design of the project, it is not explicitly requested to ensure broad consultations with the experts on the CRPT. However, the final fine-tuning of the tool would benefit from a broader expertise on urban resilience available beyond UN-Habitat's CRPP team.

Sustainability of the implementation or operational perspective on sustainability: the sustainability of the project implementation is addressed from several perspectives.

(a) *technical sustainability:* the project developed tools that are largely useful for the stakeholders. This is the feedback received from the stakeholders. The tools largely meet users' needs and expectations.

(b) *governance sustainability:* there is a clear division of roles and responsibilities between the project partners and the cities. Also, there is clear understanding about the ownership over the results of the self-assessment and/or resilience measurements. However, one aspect of the project is important to mention. Today, the results from the CRPT are expected to be analyzed in Barcelona by the UN-Habitat's team. Finding ways to reduce such a dependency of the cities on the CRPP's analytical services would contribute to improved sustainability of the project. Similarly, the UNISDR's implementing partners (those working with 200 cities) often fill in the self-assessment tool and only after that validate the findings at one multi-stakeholder workshop. "*Virtual support was the main mode of engagement with a number of cities, where budget did not allow in-person engagement, which resulted in a more drawn out process in supporting the city focal points*" (a quote from an IP). With this the learning element expected from the process is missed out and the sustainability is reduced significantly.

(c) *operational sustainability:* The UN-Habitat's model of working with pilot cities through engaging focal points and training them, has been proven very useful. In case of UNISDR, the capacities to support the implementation of the project in 20 cities vary significantly from

region to region. The individual consultants are contracted for each city in the Americas, which ensured highest progress of the regions so far in the project. In Asia and Africa there is only one person coordinating the work with different level of engagement, which is reflected in the progress made by the cities whereby Asia has more solid results to demonstrate. In case of Arab States there is a need for immediate intervention to support the implementation of the project. Lack of sufficient attention at the regional level, due to absence of dedicated personnel, has resulted in the situation when the project is only at the initial stage. Another important point is about the role of UNISDR's regional leadership in effective implementation of the project. It has been mentioned by many stakeholders that political support within the city is key to get sufficient attention to the actual implementation at the lower echelons. The role of the UNISDR's regional executive team in mobilizing such a political support at the city level is crucial. The example of UNISDR Americas could be useful to explore in other regions as well. Therefore, the operational sustainability in terms of the capacities of the project to support the implementation vary from region to region.

(d) *financial sustainability*: The efforts are made to increase the cost-effectiveness of the project and long-term financing beyond the scope of the project. The latter is one of the main factors that is likely to affect the sustainability of the project results.

Impact
Not the impact of the project, but preconditions for the expected impact are rated as 'Satisfactory'.

While it is too early to conclude about the impact of the project, some early indications suggest that the project triggers positive changes along the following lines:

Shaping global agenda: Through MRC campaign UNISDR keeps the DRR and resilience high at the global agenda and lead by example how to further resilience building at the city level. UN-Habitat's CRPP provides space and expertise for deliberations around urban resilience as a priority in the global development agenda. This impacts directly and indirectly how national and local authorities perceive various issues about urban resilience, this shapes a shared understanding and directs resilience-building across various regions and cities.

At the city level: the stakeholders have mentioned several positive changes observed at the city level since the initiation of the project:
- *Increased awareness* among city stakeholders about DRR and resilience and risk-informed urban planning.
- *More informed urban planning:* respondents mentioned that through data collection both for self-assessment and the CRPT they gain better overview of what might be useful for urban planning and DRR measures. From this perspective, the project is set to influence building urban resilience by guiding more informed decision-making about which actions to take to reduce existing risks and avoid creating new once.

- *Increased inter-agency coordination and social inclusion,* meaning space has been created for various stakeholder from the municipality and beyond to get engaged in discussions about DRR and resilience and possible coordination of efforts.
- *Improved data availability:* Respondents have mentioned that they have gained better overview of which data is available in the city.

Coherence
The coherence of the project is rated as 'Highly Satisfactory'.

UNISDR and UN-Habitat use different approaches to address local level resilience yet both approaches are highly coherent within this action.

First, that the roles and responsibilities of each partner is clearly defined and there is no conflict of interest. Geared towards shared objective of building resilience in cities and being challenged by comparable limitations of resilience capacities on the ground, there is sufficient space for both partners to interact and learn from each other. Since 2017 interactions between both streams have intensified, whereby partners jointly present the action at the external events, deliberate on the progress of the project, and align each other's activities adequately.

Second, at the strategic level such partnership is highly relevant and coherent since there is clear complementarity between the expertise the two partners brought to this partnership. UNISDR performs as the Focal Point for the UN system for the coordination of disaster reduction and to ensure synergies among the disaster reduction activities of the UN system. Effective disaster risk reduction and resilience building in the urban context requires specific knowledge on the urban system and its evolution. Knowledge on urban system and on building resilience of urban system is the expertise that UN-Habitat's CRPP is bringing to this partnership. Therefore, strategically this is highly coherent match between the two UN entities, with different mandate, but shared vision and strategy on building disaster resilience in cities.

Third, financially, both partners maintain full independence in budget allocations and reporting, which provides sufficient flexibility for both to act in the best interest of their specific objectives.

Forth, consideration was given to align tools developed by UNISDR and UN-Habitat. More specifically, the CRPP put efforts to ensure that the CRPT is aligned with Ten Essentials, given the fact that CRPT came at a later time, when Ten Essentials were already developed.

Finally, and most importantly, the cities are benefiting directly from this partnership for a simple reason. Through committing to MCR campaign and Ten Essentials, through going through a rigorous (for 20 cities) and more 'light' (for 200 cities) process of self-assessment, the cities are becoming much stronger in their resilience capacities. All these are critically important to embark into more resource-consuming and more sophisticated urban resilience measurement by applying the CRPT, which will equip them with more calibrated steps towards urban resilience.

4.2.5 Reconstructed theory of change

The TOC suggest that the impact of the project is expected through building capacities and ensuring risk informed investment decisions. It does not however, specify

(a) ***Which capacities to build.*** There is however, clear assumption that through processes of self-assessment and development of the DRR Action Plans and through development of city resilience profiles the local stakeholders will be capacitated to strengthen resilience at the city level. This approach is very much process oriented. While it has its own values, the project would benefit from more balanced attention to the process and the mechanism of capacity building, i.e. the resilience capacities the project aims to build.

(b) ***How investment decisions can benefit from disaster risk information.*** There is however, clear assumption that when capacities are developed, resilience profiles measured, and gaps identified, the local stakeholders will invest in bridging these gaps. This is a valid assumption and requires indicators to measure if and to what extent the project supports such risk-informed investments at the local level.

Process vs. Mechanism
The current TOC highlights the tools to be developed, the cities to pilot the tools, the resilience actions and plans to be developed. It could further benefit if the project is more specific about which resilience capacities to be built through (a) defining those capacities and (b) dully incorporating the development of those capacities into the project activities.

Throughout this MTE the seven resilience capacities have been identified critical for resilience building at the local level. These capacities line up with three logical steps:
- Improved awareness among local stakeholders (capacity 1, 2, 3)
- Measured resilience (capacity 4, 5, 6)
- Implemented resilience actions (capacity 7)

The assumption is that while addressed in parallel, those seven resilience capacities could ensure strong impact on effective resilience building at the local level. Addressing all these capacities could ensure critical mass of resilience capacities for the envisaged impact of the project. Currently, the MCSR project addresses these resilient capacities at different levels as suggested in Figure 4.1.

Figure 4.1: Impact through Resilience Capacities
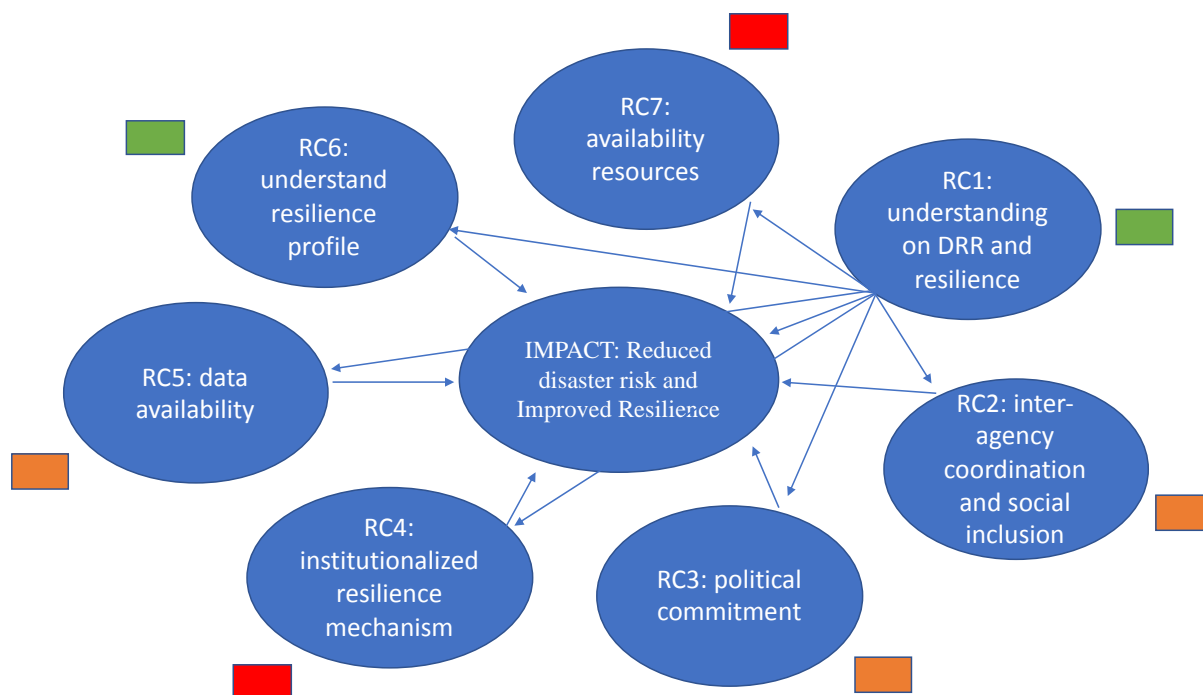
Legends:

Resilience capacities (RC) directly addressed by the project	(green)
Resilience capacities (RC) triggered by the project	(orange)
Resilience capacities (RC) not addressed by the project	(red)
The arrow is used to highlight that (a) increased understanding of DRR and resilience is the key capacity among all, and (b) that all resilience capacities are interconnected and needs to be addressed in parallel to ensure impact	(arrow)

For the learning purposes, the critical resilience capacities the cities have identified through this MTE could be beneficial in two ways:

1. Proposing **adjustments in the TOC** to ensure more balanced focus on both the process and the mechanism for capacity development. However, given the limited time left for the project, this is not deemed feasible.
2. Propose **indicators to capture** within the limited time left for the project to ensure there are sufficient grounds to conclude about project impact at the later stage. This should also lead to the adjustment of the course of the project monitoring with stronger focus on the seven resilience capacities identified.

The MTE proposes the following additional indicators to be considered for the MCSR project:

- *Outcome indicators:* Significant increase in resilience capacities at the local level
- *Indicators for Result 2, 4 and 5:* (RC1) improved understanding of DRR and resilience among local stakeholders; (RC2) increased social inclusion for DRR and

resilience at the city level; (RC3) increased political commitment at the city level; (RC4) operationally functional resilience mechanism within the municipality (formal or informal); (RC5) level of uncertainty* in available data for DRR and resilience building at the local level; (RC6) availability of DRR and resilience profile of the city; (RC7) percentage of the DRR and resilience actions realized as of programmed expectations.

The level of uncertainty of data would imply not the percentage of data available/not-available but the quality of data available.

Risk-informed investment decisions

The disaster risk is reduced and resilience is strengthened when (a) the investment decisions at local level are risk informed and (b) there are investments in disaster risk reduction at the city level. Through producing solid DRR Action Plans and Actions for Resilience the project aims to contribute to the both. The MTE did not explore how those two components are reflected in the ToC and in the practice of the project implementation. This is appropriate by the time of ex-post evaluation However, based on the deliberations with multiple stakeholders the MTE proposes the following indicators to capture how the project contributes to improved risk-informed investment decisions. The proposed indicators could be used to measure the impact and demonstrate increased risk-informed investments by the end of the project cycle:

1. Improved funds allocation in DRR and resilience building comparing before and after the availability of both the DRR Action Plans (based on scorecards) and Actions for Resilience (based on CRPT tools) in the pilot cities.
2. Increased level of climate and disaster risk consideration in the municipal planning and investment implementation phases

The proposed indicators could help to fine tune the project monitoring and ensure sufficient evidence to conclude about risk-informed investments by the end of the project implementation.

5. Evaluative Conclusions

The primary evaluative conclusion is the following: the MCSR is **highly successful** project that has necessary preconditions to observe its impact as envisaged.

As learning exercise this MTE has discovered seven resilience capacities deemed by all stakeholders critical for resilience building: *understanding of DRR and resilience, social inclusion to engage larger group of stakeholders, political commitment, institutionalized resilience mechanism within municipalities, data availability, understood resilience profile, availability of resources to support resilience-building actions.* The project has demonstrated progress towards building resilience capacities on the pilot cities. There are major success factors of the project as well as some major challenges it is facing:

Major success factors of the project are the following:

- Keeping DRR and urban resilience high at the global agenda
- Developing conceptually sound and user-friendly tools instrumental for the cities to measure their urban resilience and progress towards the Sendai Framework
- Building resilience capacities in the target cities
- Building effective partnerships to multiply its activities across large number of cities

Major challenges of the project are the following:
- Fine tune the work initiated on the tools based on the feedback received
- Intensify efforts for the development of resilience capacities in the pilot cities
- Define how to ensure adequate investments and financial support to implement the resilience actions identified within the project
- Manage expectations of various stakeholders: donors, municipalities and other local stakeholders in pilot cities, potentially interested cities, project partners, and project team from both UNISDR and UN-Habitat's CRPP.

With due consideration of both success and challenges the project has and is experiencing, the following rating in Table 5.1 is given to each of the evaluation criteria.

Table 5.1: Rating of each evaluation criteria

Evaluation Criteria	Rating	Justification
Relevance	Highly Satisfactory	The objectives of the project are in line with the local needs within the pilot cities and their national strategic priorities. They are also in line with the global reference frameworks such as Sendai Framework 2015-2030, SDGs, New Urban Agenda, Paris Agenda
Effectiveness	Satisfactory	The project demonstrated a set of effective mechanisms and processes that are getting tractions within the pilot cities. Some recommendations provided to enhance both based on the feedbacks from the project stakeholders. The project implementation followed highly adaptive management style to meet the diverse needs of its various stakeholders and partners.
Efficiency	Highly Satisfactory	The use of project funds is highly efficient, given the complexity of the activities carried out within the project with limited budget, and additional resources are leveraged from various sources.
Sustainability	Satisfactory	The project has demonstrated positive change in the target cities and there are strong preconditions to consider continuity of those changes. Additional recommendations provided to better focus the capacity development activities and ways of engaging cities and implementation partners into the project.

Impact	Satisfactory	Project is set to ensure the envisaged impact. With the adjusted TOC for more focused attention to building resilience capacities and monitoring risk-informed decisions there are strong grounds to consider the impact satisfactory at the stage of the MTE.
Coherence	Highly Satisfactory	This is a highly coherent project between two UN entities. It provides a well-balanced and gradual process of capitalizing on the expertise of each of the agencies to ensure the project meets its strategic objectives.

6. Lessons Learned

There are several lessons extracted from the project implementation that could be useful while scaling up the project implementation, and in the meantime, there are those lessons learned that can find their immediate application during the remaining period of the project implementation:

12. Active engagement of the UNISDR executive team in creating political commitments at the city level remains critical, which in turn is a strong precondition for sufficient attention and efforts towards urban resilience in the cities.
13. Capacity development requires multiple meetings and workshops at the city level, without which the completion of any of the tools proposed within this project does not fully fit the purpose.
14. Without clearly understanding the terminology and concepts used in the tools by the local stakeholders and their commitment to share data, it is challenging to gather the right information and complete the tools, having therefore a solid resilience profile.
15. In the absence of institutionalized mechanism for resilience building in the municipalities, there might be unclarity with regards to the roles and responsibilities of various stakeholders, leading thereby to reduced effectiveness of resilience building efforts.
16. The results of the project are long-term and cannot be observed over such a short time as its actual implementation in the cities, and therefore, to avoid that stakeholders lose their commitment, it is important to continue awareness raising efforts.
17. Engagement of national authorities from the early phases of the project implementation support the mobilization of local efforts towards resilience building, ensures alignment with national DRR priorities, and can also be seen as a potential catalytic channel to scale up the efforts across other cities.
18. Delegating facilitation function to IPs in the regions needs carefully defined model of implementation: the IP selection criteria, the monitoring of the IPs' performance, and for quality control.
19. Without introducing selection criteria tightly linked with the commitment by the cities interested in participating in the project, there is less ownership demonstrated by the cities.

20. If tools are not sufficiently flexible and user-friendly, the buy-in by the local stakeholders and the application of those tools are significantly limited.
21. The value of the process of filling in the scorecard is equal if not higher than the findings of the self-assessment. There would be no reliable findings, if the process does not deliver the expected value of raising awareness and understanding of DRR and resilience among city stakeholders. Therefore, sufficient time should be allocated for the process.
22. Without defining the resilience capacities, it is difficult to orchestrate joint efforts to building those capacities beyond general DRR and resilience awareness raising efforts.

7. Recommendations

This section provides action-oriented recommendations for the project team to consider.

General recommendations
- Ensure shared understanding of critical resilience capacities among partners and coordinated efforts to build those resilience capacities.
- While working with the cities, consider addressing all seven resilience capacities, as relevant and deemed feasible, to ensure critical mass of capacities are created
- Adjust the ToC as recommended: (a) crisis-prone refers to all cities in the project, (b) introduce resilience capacities and associated indicators, (c) introduce two indicators to collect evidence on risk-informed investment decisions.
- Synchronize reporting cycles of each partner, i.e. UNISDR and UN-Habitat
- Develop additional learning resources (an overview, a guide, a compilation of cases, etc.) to depict different experiences of how resilience is institutionalized across different cities, advantages and disadvantages of different approaches. Also, the experience from the Municipality of Barcelona could be very useful and informative.
- Develop educational materials easily accessible for the cities and actively cater them to the cities. The educational materials should cover various aspects related to DRR and urban resilience. The resilience capacities identified throughout the MTE could further guide the design of educational materials. They could serve two purpose: awareness raising and more focused on building resilience capacities.
- Ensure clarity in using the term 'crisis prone' across the project.
- Adjust the project monitoring system to collect evidence rated to new indicators on resilience capacities and on risk-informed investments.

Specific Recommendations for UNISDR team
- Consider redressing the MCR campaign into Action for Resilience campaign thereby shifting focus from commitments to actual resilience building.
- Modify existing Preliminary and Detailed Disaster Resilience Scorecards for Cities into one scorecard, simplifying terminology and/or providing clear guidance.
- Intensify capacity development efforts in the target cities tailored to the local needs.

- In compliance with the principles of inclusiveness and 'leaving no one behind', consider competitive selection process for the cities to participate in the project and get prior commitments from the cities to allocate some funds from the current budget for DRR Action Plan.
- Consider competitive selection process of IPs to work with the cities.
- Avoid completion or start of the completion of the scorecards during the workshop which is also intending to raise general awareness on DRR and resilience among city stakeholders. Instead, ensure sufficient efforts to raise awareness first, by organizing additional number of workshops and other awareness raising events in the pilot cities. When there is sufficient confidence that the local stakeholders have adequate level of awareness, only then proceed to the next step, that is self-assessment. The starting level of awareness will vary from city to city and will not be homogenous within the city either.
- Consider moving self-assessment outside the workshop format.
- Request that DRR Action Plans are divided into (a) what is feasible within existing budget, and (b) what requires external support.
- Include one more step in chain of processes supported by the project, i.e. when the DRR Action Plan is developed support the city municipality to organize a donor meeting to present the plan and solicit support.
- Ensure the scorecards are available for the city to test, train, and use on regular basis. A list of relevant resources could be developed to be distributed to each municipality.
- Commission a learning study by the end of the project on the quality of the DRR Action Plans across all 20 pilot cities.

Specific Recommendations for UN-Habitat team
- Set up an Expert Council to fine tune and complete the CRPT by the end of the project, allowing its further application in the pilot cities.
- Consider no-cost extension to complete the profiling tools in all four pilot cities.
- Contract Risk Governance expert to support with finalization of the CRPT.
- Explore opportunities of mobilizing the resource created within UN-Habitat through Global Urban Observatories.
- Develop Social Inclusion Enhancer.
- Specific recommendations related to the CRPT (as provided in the CRPT analysis):
  (f) Simplify the tool
  (g) Reduce cities' dependency on CRPP team for the analysis of the data received from the CRPT in the longer run
  (h) Consider modular approach to CRPT
  (i) Avoid 'challenges' and 'internal/external' dichotomy in CRPT
  (j) Revise the approach to scenario-building within the CRPT to develop risk scenarios

8. ANNEXES

ANNEX 1: TOR FOR THE MTE

Terms of Reference
Position: Evaluation Consultant
Organisation: UN-Habitat / UNISDR
Duration: 60 working days (two months spread over five months)
Starting date: April 2nd 2018
Budget: UN-Habitat / UNISDR – EC DEVCO project

TERMS OF REFERENCE FOR THE JOINT MID-TERM EVALUATION OF
THE MAKING CITIES SUSTAINABLE AND RESILIENT PROJECT

1. Project

1.1. Background

Making Cities Sustainable and Resilient is a joint Action (hereafter 'the project') between the European Commission DEVCO, UN-Habitat and UNISDR that aims to improve the understanding of, and capacity to, address disaster risks at the local level and build resilience, including in crisis-prone cities, to support national and local disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies.

The project has a global focus, however, particular attention is given to Least Developed Countries (LDCs) and Small Island Developing States (SIDs) as the areas where most gain stands to be made. The project works with local government institutions, on a voluntary basis, to plan, coordinate, implement and support the various outlined activities. The primary and most direct beneficiaries are local stakeholders, city authorities and civil society.

Women, children and other at-risk groups, as local level stakeholders, are also engaged and receive additional attention in the delivery process. As key stakeholders in ensuring the sustainability and expansion of action, national authorities are also direct beneficiaries of the project.

The initiative contributes directly to achieving Sustainable Development Goal 11 'Make cities inclusive, safe, resilient and sustainable', specifically targets 11.5 and 11.b, and builds on the achievements of the Hyogo Framework for Action – Building the Resilience of Nations 2005-2015, and paves the way toward the implementation of the Sendai Framework for DRR 2015-2013 at the local level, and the recently adopted New Urban Agenda.

The project duration is planned for 36 months from 15 April 2016 to 14 April 2019 with a total budget for the project of US$6,144,558.65.

1.2. Project Structure

The project covers five results implemented by respective implementing partners: UNISDR and UN-Habitat.

Result	Indicator	Activity	Implementing Partner
Result 1: Increased commitments to build local- level resilience	At least 560 cities & local governments join the Making Cities Resilient	1. 1.1 Advocacy and outreach events in every sub region for multiple stakeholders	UNISDR

	Campaign and endorse the "10 Essentials"	2. 1.2 Development of new Handbook for Local Governments to implement the Sendai Framework for DRR 2015-2030 3. 1.3 Development and promotion of new "Essentials" based on the Sendai Framework for DRR 2015-2030	
Result 2: Local Resilience and investments measured	At least 200 cities & local governments assess their gaps and progress in addressing local resilience	2.1 Development and testing of new local indicators to support implementation of Sendai Framework for DRR 2015-2030 at local level 2.2 Support 200 cities and local governments in conducting their self-assessments.	UNISDR
Result 3: Key issues and challenges identified in linking early interventions in crisis-prone cities to long- term sustainable development inputs	1 City Resilience Profiling Tool (model for measuring resilience in cities) and 1 Resilience Action Plan Tool Kit developed	3.1 Development of initial prototype of the CRPT together with a municipality (city not part of the 4 pilot cities) and capacity building 3.2 Production of initial prototype of the RAP with actionable recommendations 3.3 Calibration of both prototypes (CRPT and RAP) in a Municipality and its personnel.	UN-Habitat
Result 4: Capacity is built in cities and local governments to develop and implement integrated local climate and disaster resilience action plans	At least 20 local governments have a Resilience Action Plan and several begin implementation of Action Plans	4.1 Capacity building programmes in 20 Cities identified based on the criteria 4.2 Support the 20 cities in implementation of local loss databases 4.3 Develop Local Resilience action plans and initiate implementation of the plans in 20 cities	UNISDR
Result 5: Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency.	4 pilot cities measured with the City Resilience Profiling Tool and developed Resilience Action Plans	5.1 Introduction of tool and toolkit in the four selected cities 5.2 Populate the CRPT with locally municipal available data and information 5.3 Analyses of city profiles and development of city tailored RAPs	UN-Habitat

UN-Habitat focuses on building local capacities in crisis-prone cities and supporting humanitarian partners, while UNISDR addresses resilience in locations that are highly exposed and have institutional capacity gaps, such as LDCs.

Figure 1: Results Chain
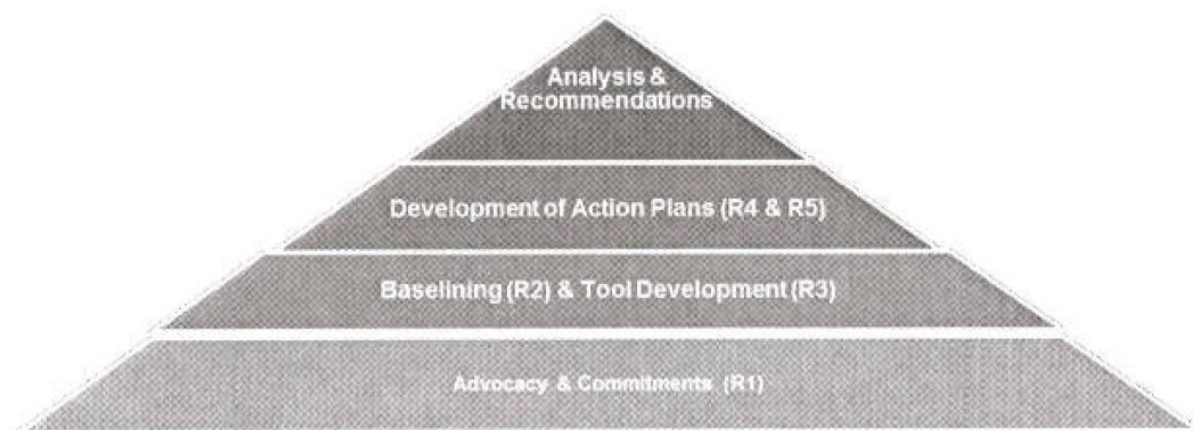
The project's intervention logic, or theory of change, is detailed in the agreement document (Annex I – Description of the action).

For the pilots, beneficiary cities were to be selected based on specific criteria including level of risks, demand and interest shown, involvement of other partners and the level of institutional capacity to assess and address disaster risks, prior experience and other factors. The two implementing agencies are working with the following cities.

- - UN-Habitat list of project cities: Asuncion, Paraguay; Dakar, Senegal; Maputo, Mozambique; and Port Vila, Vanuatu.
- - UNISDR list of project cities: [Result 4] Kampala, Uganda; Dire-Dawa, Ethiopia; Kisumu, Kenya; Yaounde, Cameroon; Praia, Cape Verde; Khartoum, Republic of Sudan; Ismailia Governorate, Egypt; Nablus, Palestine; Nouakchott, Mauritania; Honiara, Solomon Islands; Ulaanbaatar, Mongolia; Kathmandu City, Nepal; Dhaka North City Cooperation, Bangladesh; Cilacap Regency, Indonesia; Mawlamyine, Myanmar; Tegucigalpa, Honduras; Guayaquil, Ecuador; San Juan de Lurigancho, Peru; Guatemala City, Guatemala; and Santo Domingo Esto, Republica Dominicanna, and at least 200 cities for Result 2 including, for example, cities in Indonesia, Bangladesh, Nepal and India in Asia; Uganda, Kenya, Ethiopia, Cameroon and Cape Verde in Africa; Guatemala, Panama, Peru, Argentina, Ecuador, Venezuela, Brazil in America; and Tunisia, Mauritania, Sudan and Jordan for Arab States.

Each result is managed independently by the implementing partners, although synergies and complimentary are sought whenever possible.

The Project Steering Committee is composed of project leads from UNISDR, UN-Habitat and EC DEVCO and meet at least once a year to discuss progress, establish objectives and identify synergies between the results and wider actions of all partners.

2. Mid-term Evaluation

2.1 Mandate of the Mid-term Evaluation

This joint mid-term evaluation of the 'Making Cities Sustainable and Resilient' project is mandated by the donor, the European Commission (EU DEVCO). UNISDR traditionally undertakes evaluation of EU funded projects through the intervention of internal staff with expertise in evaluating programmes and who are not involved in the implementation of the project and similar for UN-Habitat. It is also in-line with the UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016).

2.2 Purpose and Objectives of the Mid-term Evaluation

The purposes of the joint mid-term evaluation are specifically for *"...problem solving and learning purposes, in particular with respect to ensuring impact of the project and to assess the need for a second phase to expand the scope of the project to additional cities and to undertake and assessment consisting of recommendations for global policies, strategies and a set of actions, or recommended changes in the existing global policies/ strategies for international developmental and humanitarian agencies involved in local and urban resilience."* (Agreement, Annex I – Description of the Action).

The joint mid-term evaluation is to provide the donor, EU DEVCO and implementing partners with an independent appraisal of the performance of the project 'Making Cities Sustainable and Resilient' so far and based on the agreement, log frame, activities and budget. The mid-term will identify key lessons and propose practical recommendations for follow-up during the remaining period of the project and for a possible phase 2 of the project, or components of the project.

The mid-term evaluation report will provide input for final end-of-project evaluation to be conducted at the end of the project in early 2019 as well as the EC DEVCO funded 'Making Cities Sustainable and Resilient' Action final report to be submitted at the end of the first phase in Q2/2019.

The overall objective of the joint mid-term evaluation is to make an independent assessment of the performance of the project. The specific objectives for undertaking the mid-term evaluation of the project are:

1. a) Assess implementation progress made in activities towards achieving the planned Results (Annex Project Agreement Document);
2. b) Assess the continued relevance, effectiveness and impact of the project in supporting local governments/ cities in building resilience and engagement of stakeholder groups in implementing actions;
3. c) Recommend strategic, programmatic and management considerations for implementing the remaining part of the project, with particular emphasis on programming approaches for a Phase 2.

2.2. Scope and Focus

The mid-term evaluation is expected to assess achievements made so far, performance, risks/challenges and opportunities through an in-depth evaluation of completed and on-going activities of the project.

The mid-term evaluation will take place in 2018 at a time when the project is mid-way in implementation.

The mid-term evaluation will be based on Theory of Change of the 'Making Cities Sustainable and Resilient' project and will outline the results chain and pathways as well as assumptions.

2.3 Evaluation Questions based on Evaluation Criteria

The evaluation will consider, for each result (1-5):

1. *Relevance: Are the project's adopted strategies pertaining to each Result and overall objective still valid?*

Rationale of the Result and its objectives
Relationship to the SDGs, Sendai Framework for Disaster Risk Reduction, Paris Agreement and the New Urban Agenda and 'Next Steps'
Changes in Result context during implementation
Institutional and partner priorities
Ownership by national and local stakeholders

2. *Effectiveness: Are the delivery of activities and outputs contributing to the achievement of the Results and overall objective?*

- Actual or expected achievement of Results at the time of the mid-term evaluation

- Factors and processes affecting the achievement of Results
- - How appropriate and effective are the partnerships and other institutional relationships, including Memorandum of Understanding (MoUs) with the academic and network partners, and other agreements with partner municipalities, in which the operations of the project are engaged in?
- - Outcomes to date (positive/negative, foreseen/unforeseen) on the project partners, (including academia, network partners, local governments, and national governments and their related local institutions; and other stakeholders);
- - Outcomes/foreseen impact (positive/negative, foreseen/unforeseen) on local collaborating partners, consultants and professionals involved in the implementation of the project
- - Are vulnerable groups and cross-cutting issues of gender, youth, climate change and human rights integrated in the design, implementation and monitoring of the project?

C. *Efficiency*: *What is the efficiency of the implementation to date?*

- Action progress compared to plans, budget and overall performance
- Were the activities and outputs delivered in a cost-efficient and timely manner?
- Implementation efficiency

D. *Sustainability:* *To what extent are the project effects towards building capacity sustainable?*

- Factors affecting or likely to affect sustainability of the Results
- Established networks among institutions, local authorities; established partnerships
- From "built capacities to building capacity": utilising programme team, consultants, partners and trained municipal staff as multipliers
- Using new knowledge to build up confidence ("we can do it"): owned, further disseminated and applied
- Implementing capacity of the cooperation partners to take the activities forward

The evaluator may expound on the evaluation questions, as necessary, in order to carry out the objectives of the mid-term evaluation.

2.4 Stakeholder Involvement

It is expected that this joint mid-term evaluation will be participatory and involving key stakeholders.

Stakeholders will be kept informed of the evaluation processes including design, information, collection and evaluation reporting and results dissemination to create a positive attitude towards the evaluation and enhance its utilization. Partners, donor, relevant United Nations entities, national government/ local authorities, beneficiaries and other stakeholders may participate through interviews, focus group discussions or survey.

3. Mid-term Evaluation Approach and Methodology

3.1 Mid-term Evaluation Approach

The mid-term evaluation shall be independent and carried out jointly by UNISDR and UN-Habitat following the evaluation norms and standards of the United Nations System. The following criteria guides the evaluation process. The main emphasis is placed on project delivery and results, lessons learned and recommendations for the way forward. Findings in the evaluation should be exemplified with evidence-based data emanating from specific contributions.

3.2 Mid-term Evaluation Methods

A variety of methods will be applied to collect information during the mid-term evaluation. These methods include the following elements:

1. **Desk review of relevant documents (April)**, including project document, work plans, progress and monitoring reports, cooperation agreements, activity reports, training and capacity building reports and materials, publications, outreach and communication materials, website, etc.
2. (ii) **Key informant interviews and consultations (April – June)**, including semi-structured interviews and focus group discussions with key stakeholders, including donor, partners, beneficiaries and UN-Habitat and UNISDR staff:
3. (iii) **Surveys (April – June)** to obtain quantitative information on stakeholders' views and perceptions, questionnaires to different target audiences will be deployed as deemed relevant to give views on various evaluation issues.
4. (iv) **Field visits to assess selected activities (April – June)**. Field visits, as feasible within the budget of the evaluation, should provide insight into both the scope (time), depth and range of activities of the project.

The evaluator will describe expected data analysis and instruments methodologies to be used in the inception report. Presentation of the evaluation findings should include: evaluation purpose and objectives, evaluation methodology and approach, findings (achievements and performance rating assessments), conclusions, lessons learned, recommendations.

4. Accountability and Responsibilities

This joint mid-term evaluation will be managed by the independent Evaluation Unit of UN-Habitat and it will manage the evaluation with logistical support from the project management teams of the two implementing partners, UNISDR and UN-Habitat, on day-to-day basis and in consultation with the members of the Evaluation Reference Group.

Specifically, UN-Habitat and UNISDR commitments to the evaluation process entails:

- Selecting a suitable candidate for the consultancy

- - Providing all required documentation and briefings to the consultant
- - Facilitating access to key reviewers/informants
- - Providing logistical support and travel arrangement
- - Providing comments, in consultation with selected partners, to the draft report to be addressed in the final version
- - Sharing the results with partners, donors and stakeholders
- - Work closely to ensure that contractual requirements are met and approve all deliverables (inception report with workplan, draft and final draft report).

An Joint Evaluation Reference Group will be established at the start of the evaluation process with at least 4 members representing UN-Habitat, UNISDR and the UN-Habitat Evaluation Unit. The evaluation reference group will be responsible for providing guidance on the process, approving the selection of evaluator, and commenting on the inception report and drafts of the evaluation report. The evaluation reference group will approve the final evaluation report.

The donor, DEVCO will be kept informed of the evaluation process, including receive the TOR. DEVCO will receive the main the deliverables of the evaluation (inception report, draft report and final report) for comments and endorsement.

The Consultant will work under overall guidance of the Joint Evaluation Reference Group and managed by the Evaluation Unit. The consultant will be responsible for conducting the evaluation and producing the required deliverables.

Specifically, the Consultant will be responsible for:

- Conducting and delivering results of the evaluation as outlined above

- Demonstrating professional and ethical standards in conducting the task
- Performing the task in line with the allocated time-frame
- Informing the management about progress of the assignment

Delivering expected deliverables, including high quality final report of the evaluation

4.1 Milestones

- 16-20 April 2018: A mission to UN-Habitat's office in Barcelona, Spain to interview and consult with management, staff who are primarily involved in the different activities evaluated, and key beneficiaries. A list of proposed names/titles of these officers will be provided by UN-Habitat;

- 24-27 April 2018: A mission to UNISDR office in Incheon, Republic of Korea to interview and consult with management, staff who are primarily involved in the different activities evaluated and obtain the list of contact of key beneficiaries for further interviews. A list of proposed names/titles of these officers will be provided by UNISDR.

5. Evaluator

5.1 Evaluator

The joint mid-term evaluation will be carried out by one consultant with a relevant professional background and with well-documented experience from evaluation and assessment of capacity building projects of similar scope and focus.

5.2 Competencies of Evaluator

Professionalism: Demonstrates professional competence and mastery of subject areas. Good research, analytical and problem-solving skills. Conscientious and efficient in meeting commitments, observing deadlines and achieving results.

Communication: Excellent and effective written and oral skills. Ability to convince people through constructive argumentation and to present information in a concise and accurate manner. Negotiating skills and ability to enable good communication and understanding between different interest groups, organizations etc.

Planning and Organizing: Proven ability to plan, coordinate and monitor own work and that of others. Ability to work under pressure and use time efficiently. Identifies priority activities and assignments, and adjust priorities as required.

Teamwork: Works collaboratively with colleagues to achieve organizational goals. Solicits input by valuing ideas and expertise of others and is willing to learn from others.

5.3. Qualifications of Evaluator

Education

At least a master's Degree in urban and Regional Planning, Development Studies, Local Governance, Urban Geography, or other relevant discipline. The candidate should preferably be specialized in the field of capacity building and institutional change management.

Work experience and other requirements

- Extensive evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.

- A minimum of ten years' professional practical experience in results-based management working with projects/ programmes in the field of risk reduction, disasters, conflict and other urban shocks or stresses in transition countries.
- Very good knowledge of international experience and best practices regarding institutional change management and human resource development, planning, sustainable urban development, and local governance.
- Understanding of and experience with demand-driven processes and methodologies of capacity building required.
- Good understanding of planning, development and governance and the associated responsibilities at municipal and national level.

Familiarity with and loyalty to the goals of the United Nations, UN-Habitat, and UNISDR's mandate ▪ Knowledge of municipal legal, spatial and economic drivers.

5.4 Language

Excellent proficiency in spoken and written English is required, working knowledge of French and/or Spanish an advantage.

The consultant should not have been substantially involved in operations of UN-Habitat nor UNISDR in the past.

5.5. Work Schedule

The consultancy work for the evaluation is foreseen for a total of 60 working days inclusive of travel days during the consultancy period between April and August. The consultancy will include work from home office (60 working days) with some travel to meet with project partners.

5.6 Deliverables

The Consultant will be responsible for delivering the following outputs in accordance with the contractual requirements:

- Inception Report (April 2018)
- Draft Evaluation Report on Results (June 2018)
- Evaluation Final Report including all Results and overall project evaluation (July 2018)

5.7 Payment Instalments

The remuneration rate of the consultants will be determined by the functions performed, qualifications, and experience. There are set remuneration rates for consultancies. The fee will be paid in three installments upon completion and satisfactory delivery of outputs as specified in section – Deliverables – above.

Where applicable, travel costs of the consultant (airplane ticket economy class), transfers, and daily allowance as per the UN rate is payable in addition to the daily fee. Daily substance allowance will be paid only when working outside the official duty station (home-based) of consultant.

6. Provisional Time Frame

		Jan	Feb	Mar	Apr	May	June	July

#	Task															
1	Development of TOR Evaluation Team (2 Int. Consultants)			X												
2	Call for expression of interest and recruitment of consultant			X	X											
3	Review of background documents					X										
4	Preparation and approval of inception report with work plan and methodology of work						X	X								
5	Data collection including document reviews, interviews, consultations and group meetings							X	X	X	X					
6	Analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat									X	X					
7	Presentation of preliminary findings on results										X	X				
8	Draft Evaluation Report											X				
9	Review of Evaluation Report by the Evaluation Reference Group												X			
10	Production delivery of Final Evaluation Report, including all results and overall Project evaluation														X	

ANNEX 2: MAIN DOCUMENTS REVIEWED FOR THE MTE

1. Progress on the Implementation of the New Urban Agenda Report of the Secretary-General, 2018 https://unhabitat.org/progress-on-the-implementation-of-the-new-urban-agenda-report-of-the-secretary-general/
2. Kuala Lumpur Declaration on Cities 2030 http://wuf9.org/wp-content/uploads/KL-Declaration-English.pdf
3. Sustainable Urbanization in the Paris Agreement: Comparative review of nationally determined contributions for urban content, 2017 https://unhabitat.org/books/sustainable-urbanization-in-the-paris-agreement/
4. Urban Agenda for the EU, Pact of Amsterdam, 2016 https://ec.europa.eu/futurium/en/node/1829
5. Report from the Commission to the Council on the Urban Agenda for the EU, 2017 https://ec.europa.eu/futurium/en/system/files/ged/celex3a52017dc06573aen3atxt.pdf
6. The First UfM Ministerial Declaration on Sustainable Urban Development of November 2011 (Strasbourg)
7. The second UfM Ministerial Declaration on Sustainable Urban Development of May 2017 (Cairo) http://ufmsecretariat.org/wp-content/uploads/2017/05/EN-FINAL-SUD-Ministerial-declaration.pdf
8. HLPF2018 Towards the localization of the SDGs
9. Annual reports, UN-Habitat and UNISDR
10. All project documents from both implementation streams including electronic publications, background documents, normative documents, etc.

Tool 1: Semi-structured questionnaire for case study (for 20 cities)

The case study is designed to reveal the resilience capacities (individual or organizational) that the action has developed or strengthened within 20 target cities.

1. Name of the city: _____

2. Name of the country: _____

3. City brief profile: # of population, the size of the city in the country (the largest, large, medium, small), importance of the city for the country (has the largest port, or economically very important for the country, and such like). Provide any information deemed relevant to briefly characterized the city.

4. At which stage is the developed Disaster Risk Reduction (DRR) Action Plan in the city?
(a) Preparation stage: in the process of conducting of self-assessment using the Disaster Resilience Scorecard for Cities
(b) Development stage: in the process of developing the DRR Action Plan
(c) Approval: in the process of obtaining the approval/endorsement of the action plan
(d) Implementation stage: in the process of the implementation of the DRR Action Plan

5. Which of the self-assessment tools the city use or used?
(a) Quick Risk Estimation (QRE) tool
(b) Preliminary scorecard
(c) Detailed Scorecard
(d) Other

6. Before engaging in this project how city was dealing with disaster risk?
_____

7. Is there any nationally defined DRR requirement for municipalities to comply with? (it might be a law or presidential degree, or similar)
_____

8. Before engaging in the project, which capacities the municipality had to effectively define and implement resilience actions in the city?
_____

9. Which capacities helps municipalities to effectively develop DRR Action Plan?
_____

10. Please, describe the process of developing DRR Action Plan step by step, including activities implemented, time each phase has taken, stakeholders engaged, and suchlike.

Preparation:_____

Development:_____

Approval: _____

Implementation:_____

11. Please, explain the major challenges faced during each phase whatever nature there were.

Preparation:_____

Development:_____

Approval: _____

Implementation:_____

12. Please, explain the major opportunities faced at each phase whatever nature there were.

Preparation:_____

Development:_____

Approval: _____

Implementation:_____

13. What would you recommend other cities to pay attention to at each phase?

Preparation:_____

Development:_____

Approval: _____

Implementation:_____

14. What capacities (both individual and organizational)[48] that the city did not have to facilitate the development of DRR Action Plan before engaging in the project? Please, explain.

_____

15. Which of those capacities UNISDR helped the city to develop in order to develop DRR Action Plan and how? Please, explain.

_____

16. Which capacities (both individual and organizational) the city is still missing to effectively develop and implement DRR Action Plan? Please, explain.

_____

17. What was the involvement of metropolitan or national authorities in developing DRR Action Plan?

_____

---

[48] Please, note that capacities can refer to individual knowledge and skills as well as organizational processes, financial means, legal autonomy, political support, motivation of staff, change in organizational dynamic, and suchlike.

18. Please, illustrate how the municipality and other stakeholders become better in understanding and managing disaster risk since the engagement in the project.

_____

19. Would you recommend other cities to embark on this project with UNISDR?
Yes_____
No_____

20. Why? What would be the main recommendation or recommendations?

_____

21. How would you grade the usefulness of the developed DRR Action Plan for the city? Please select one out of 10:

1 (not useful at all) to 10 (very useful)

22. Why? Please, explain.

_____

23.What is the proportion of the budget the municipality has for different activities versus the total budget? In other words, which portion of the municipal budget covers salaries and utilities and which part is available for different programmatic activities?

_____

24. Have the city also developed disaster loss database?
Yes__
No__
Work in progress___
No need, there is one already at the city level_____
Don't know__

25. Does municipality use the disaster loss database for the development of the DRR Action Plan? Please, explain.

_____

26. What was your role in the development of the DRR Action Plan?

_____

27. What is the title of your position? (for UNISDR focal points and staff)

_____

28. What would you like to add to explain the case of your city?

_____

Thank you for your kind cooperation!

Tool 2: Semi-structured questionnaire for survey (for 200 cities)

The purpose of this survey is to collect feedback from ***the local municipalities*** engaged by UNISDR in the Making Cities Sustainable and Resilient project through implementing self-assessment. With this survey we collect the experience of the local authorities throughout that process and their resilience ambitions.

Instruction to UNISDR team: please, translate the questionnaire into the local language and ensure the responses are typed and not hand-written. Upon completion of the questionnaire by one persons from each target municipality (meaning, in total 200 questionnaires must be completed), please, kindly translate them into English and provide to the consultant ***together with the original versions***. Please, use word format to complete the questionnaire. ***Many thanks!***

1. Name of the city: _____

2. Name of the country: _____

3. Which of the self-assessment tools have your municipality completed?
Preliminary scorecard____
Detailed scorecard___
Quick Risk Estimation (QRE)___
Several (please, mention)_____
None of the above____
Don't know__

4. How would you rate the usefulness of the tool(s) for your municipality?
1 highly useful
2 moderately useful
3 not useful
4 useless
5 I don't know

5. Was the self-assessment tool straightforward and understandable for everyone involved in the self-assessment?
1 yes
2 no
3 partially (please, specify)_____
4 I don't know

6. How easy was it to complete the self-assessment tool?
1 very easy
2 easy
3 not easy
4 difficult
5 I don't know

7. How does municipality use the results of self-assessment? Please, explain.
_____

8. Which of the following statements you'd consider more relevant in the case of your municipality:
- the process of the self-assessment was truly inclusive whereby all departments of the municipality were engaged
- only few departments of the municipality showed interest towards this process and participated in the self-assessment
- the process was driven merely by one-two persons within the municipality that were filling in the self-assessment tool
- other _____
- I don't know

9. What are the main reasons why your municipality has decided to implement the self-assessment?
_____

10. What was the role of the Mayor in initiating and implementing the self-assessment? Please, explain.
_____

11. What is the main value of this self-assessment for your municipality?

_____

12. Was the self-assessment tool useful to reveal the major gaps in how your municipality addressing disaster risk reduction?
Yes _____
No ____
Partially (please, explain)_____
Don't know

13. What were major difficulties while filling in the self-assessment? Please, explain.
_____

14. What are the follow up steps planned within the municipality?
_____

15. What kind of support would you like to receive to effectively carry out self-assessment and then develop and implement the DRR Action Plan?
_____

16. What was your role in implementing self-assessment? _____

17. Who was your contact person/organization in the project while filling in the self-assessment tool?
_____

Thank you for your kind cooperation!

ANNEX 4: LIST OF RESPONDENTS

#	Note	Name	Designation
1	Global coordination of the Action	Mutarika (Mai) Pruksapong	Programme Officer
2	Global coordination of the Action	Sanjaya Bhatia	Head of Office for Northeast Asia
3	Focal coordinator with EC-DEVCO	Stefanie Dannenmann-Di Palma	External Relations Officer
4	Regional Focal Point - Africa	Isabel Njihia	Programme Assistant
5	Regional Focal Point - America	Johanna GRANADOS ALCALA	Urban Risk Consultant
6	Regional Focal Point - Arab State	Ragy Saro	External Relations Officer
7	Regional Focal Point - Asia	Tejas Patnaik	MCR Campaign consultant
8	Result 2 - IP in Africa	Megan Spirs	
9	Result 2 - IP in America	Ana Liz Flores	Presidente
10	Result 2 - IP in Arab State	Nuha Eltinay	
11	Result 2 - IP in Asia	Vandana Chauhan	Senior Coordinator
12	Result 4 - IP in America	Marco Antonio Joaquín Rodríguez	Local Action Plan Consultant (Santo
13	Result 4 - IP in America	Daniel ARTEAGA GALARZA	Local Action Plan Consultant (San
14	Result 4 - IP in America	María KONTRO	Local Action Plan Consultant
15	Result 4 - IP in America	Jorge Alberto Medina López	Local Action Plan Consultant
16	Result 4 - IP in America	Nadeisdha Cisneros	Local Action Plan Consultant
17	Result 4 - IP in Asia	Deepak Tripathy	Senior Manager,
18	Ricardo Mena	UNISDR	
19	Steve Gawler		ICLEI Oceaia
20	Lars Gronvald, EC DEVCO		DG DEVCO
21	Ricardo Mena		UNISDR

#	ORGANIZATION	FOCAL POINT	TITLE
1	C40	Alfredo Redondo	Network Manager, Climate Change Risk Assessment
2	Cities Alliance	Julie Greenwalt	Urban Environment Specialist
3	Rockefeller Foundation	Sundaa Bridgett-Jones	Associate Director, International Development
4	World Bank	Marc Forni	Lead Disaster Risk Management Specialist
5	World Bank / GFDRR	Josef Lloyd Leitmann	Lead Disaster Risk Management Specialist
6	Barcelona City Council	Ares Gabas	Urban Resilience Officer
7	Barcelona City Council	Manuel Valdés	Area Director
8	Maputo Focal Point	Marcia Guambe	CRPP Focal Point
9	Asunción Focal Point	Cristian Decormis	CRPP Focal Point
10	Dakar Focal Point	Lamine Cisse	CRPP Focal Point
11	Port Vila Focal Point	Olivia Johnson	CRPP Focal Point
12	RESCCUE	Marc Velasco	Project Manager
13	Global Alliance for Urban Crises	Havard Breivik	Coordinator
14	RECITYNET	Nicola Tollin	Coordinator / Professor
15	Barcelona office	Esteban Leon	
16	UN-Habitat/CRPP	Amaia Celaya	
17	UN-Habitat/CRPP	Craig Laird	
18	UN-Habitat/CRPP	Giovanni Pagani	
19	UN-Habitat/CRPP	Mihai Magheru	
20	UN-Habitat/CRPP	Rosa Surinach	
21	Angela Mwai	angela.mwai@un.org	UN Habitat HQ Gender Unit
22	David Thomas		UN Habitat HQ Gender Unit

ANNEX 5: PILOT CITIES

1. *List of UN-Habitat's Pilot Cities*

1. Asunción (Paraguay)
2. Maputo (Mozambique)
3. Dakar (Senegal)
4. Port Vila (Vanuatu)

2. *List of UNISDR's 20 Pilot Cities*

Region	#	Project City	Country
Africa	1	Kampala	Ugana
	2	Dire-Dawa	Ethiopia
	3	Kisumu	Kenya
	4	Yaounde	Cameroon
	5	Praia	Cape Verde
America	6	Tegucigalpa	Honduras
	7	Guayaquil	Ecuador
	8	Santo Domingo Este	Dominican Republic
	9	San Juan de Lurigancho	Peru
	10	Guatemala City	Guatemala
Arab States	11	Khartoum	Republic of Sudan
	12	Ismaliya	Egypt
	13	Nablus	Palestine
	14	Nouakchott	Mauritania
Asia	15	Ulaanbaatar	Mongolia
	16	Kathmandu City	Nepal
	17	Dhaka North City Corporation	Bangladesh
	18	Cilacap Regency	Indonesia
	19	Mawlamyine	Myanmar
Pacific	20	Honiara	Solomon Islands

3. List of UNISDR's 200 Pilot Cities (per region)

Region	Country	#	CITIES/MUNICIPALITIES	Note	Implementing Partner
Asia Pacific	Bangladesh	1	Chandpur	completed	UCLG-ASPAC
		2	Cox's Bazar	completed	UCLG-ASPAC
		3	Dohar	completed	UCLG-ASPAC
		4	Faridpur	completed	UCLG-ASPAC
		5	Gopalganj	completed	UCLG-ASPAC
		6	Kuakata Pouroshava	completed	UCLG-ASPAC
		7	Kurigram	completed	UCLG-ASPAC
		8	Madaripur	completed	UCLG-ASPAC
		9	Monglaport	completed	UCLG-ASPAC
		10	Moulvibazar	completed	UCLG-ASPAC
		11	Nilphamari	completed	UCLG-ASPAC
		12	Sirajganj	completed	UCLG-ASPAC
		13	Tungipara	completed	UCLG-ASPAC
	India	14	Bilaspur	completed	UCLG-ASPAC
		15	Central Delhi	completed	UCLG-ASPAC
		16	Delhi	completed	UCLG-ASPAC
		17	East Delhi	completed	UCLG-ASPAC
		18	Jammu	completed	UCLG-ASPAC
		19	Lucknow	completed	UCLG-ASPAC
		20	New Delhi	completed	UCLG-ASPAC
		21	Northeast and west Delhi	completed	UCLG-ASPAC
		22	Raipur	completed	UCLG-ASPAC
		23	Shimla	completed	UCLG-ASPAC
		24	Srinagar	completed	UCLG-ASPAC
		25	Surat	completed	UCLG-ASPAC
	Indonesia	26	Banda Aceh	completed	UCLG-ASPAC
		27	Bengkulu	completed	UCLG-ASPAC
		28	Bogor	completed	UCLG-ASPAC
		29	Cilacap	completed	UCLG-ASPAC
		30	Jakarta	completed	UCLG-ASPAC
		31	Jambi	completed	UCLG-ASPAC
		32	Makassar	completed	UCLG-ASPAC
		33	Padang	completed	UCLG-ASPAC
		34	Salatiga	completed	UCLG-ASPAC
		35	Surabaya	completed	UCLG-ASPAC
		36	Surakarta	completed	UCLG-ASPAC
		37	Trenggalek	completed	UCLG-ASPAC
		38	Yogyakarta	completed	UCLG-ASPAC
	Nepal	39	Banepa	completed	UCLG-ASPAC
		40	Birgunj	completed	UCLG-ASPAC
		41	Budhanilkatha	completed	UCLG-ASPAC
		42	Darche	completed	UCLG-ASPAC
		43	Dharan City	completed	UCLG-ASPAC
		44	Dhulikhel	completed	UCLG-ASPAC
		45	Kalinchowk	completed	UCLG-ASPAC
		46	Kathmandu City	completed	UCLG-ASPAC
		47	Kirtipur	completed	UCLG-ASPAC
		48	Panauti	completed	UCLG-ASPAC
		49	Takeshwor	completed	UCLG-ASPAC
	Philippines	50	Iriga	completed, missing s	UCLG-ASPAC
		51	Paranaque	completed, missing s	UCLG-ASPAC
		52	Catbalogan (Detailed Assessment)	completed, missing s	UCLG-ASPAC

Region	Country	#	CITIES/MUNICIPALITIES	Note	Implementing Partner
Africa	Cameroon	53	Akonolinga	completed	ICLEI
		54	Bafoussam	completed	ICLEI
		55	Bafut	completed	ICLEI
		56	Douala	completed	ICLEI
		57	Dschang	completed	ICLEI
		58	Ebolowa	completed	ICLEI
		59	Fongo-Tongo	completed	ICLEI
		60	Maroua	completed	ICLEI
		61	Mbalmayo	completed	ICLEI
		62	Ngaounde	completed	ICLEI
		63	Yaounde	completed	ICLEI
	Cape Verde	64	Praia	completed	ICLEI
		65	Ribeira Grande de Santiago	completed	ICLEI
		66	Santa Catarina de Santiago	completed	ICLEI
		67	Sao Salvador do Mundo	completed	ICLEI
		68	Santa Cruz	completed	ICLEI
		69	Sao Miguel	completed	ICLEI
		70	Sao Domingo	completed	ICLEI
		71	Sao Lourenco dos Orgaos	completed	ICLEI
		72	Tarrafal de Santiago	completed	ICLEI
	Ethiopia	73	Adama	completed	ICLEI
		74	Asosa	completed	ICLEI
		75	Bishoftu	completed	ICLEI
		76	Dire Dawa	completed	ICLEI
		77	Gambella	completed	ICLEI
		78	Harar	completed	ICLEI
		79	Hawassa	completed	ICLEI
		80	Mekele	completed	ICLEI
	Kenya	81	Baringo	completed	ICLEI
		82	Kajiado	completed	ICLEI
		83	Kilifi	completed	ICLEI
		84	Kisumu	completed	ICLEI
		85	Laikipia	completed	ICLEI
		86	Makueni	completed	ICLEI
		87	Nyandarua	completed	ICLEI
		88	Tana River	completed	ICLEI
	Malawi	89	Lilongwe	completed	ICLEI
	Mozambique	90	Nacala	completed	ICLEI
	Namibia	91	Walvis Bay	completed	ICLEI
	Uganda	92	Entebbe	completed	ICLEI
		93	Kampala	completed	ICLEI
		94	Makindye Ssabagabo	completed	ICLEI
		95	Mukondo	completed	ICLEI
		96	Kabale	completed	ICLEI
		97	Kasese	completed	ICLEI
		98	Jinja	completed	ICLEI
		99	Kira	completed	ICLEI
		100	Nansana	completed	ICLEI
		101	Soroti	completed	ICLEI
		102	Mbale	completed	ICLEI

Region	Country	#	CITIES/MUNICIPALITIES	Note	Implementing Partner
America	GUATEMALA	103	Guatemala City	completed	Humania
	PANAMÁ	104	Ciudad de Panamá	completed	Humania
		105	Aguadulce	completed	Humania
		106	Chitré	completed	Humania
		107	Los Santos	completed	Humania
		108	Parita	completed	Humania
	PERÚ	109	San Juan de Lurigancho	completed	Humania
		110	Cusco	completed	Humania
		111	Rímac	completed	Humania
		112	Abancay	completed	Humania
		113	Carabayllo	completed	Humania
		114	Ancon	completed	Humania
		115	Comas	completed	Humania
		116	Santa Rosa	completed	Humania
	ARGENTINA	117	Santa Fe	completed	Humania
		118	Rosario	completed	Humania
		119	Cosquín	completed	Humania
		120	Jesus Maria	completed	Humania
		121	General Villegas	completed	Humania
		122	La Plata	completed	Humania
	HONDURAS	123	Tegucigalpa	completed	Humania
		124	Cantarranas	completed	Humania
		125	Valle de Ángeles	completed	Humania
		126	Villa San Francisco	completed	Humania
		127	El Paraiso	completed	Humania
	ECUADOR	128	Guayaquil	completed	Humania
		129	Quito	completed	Humania
		130	Baños de Agua de Santa	completed	Humania
		131	Atacames	completed	Humania
		132	Porto Viejo	completed	Humania
	REPÚBLICA DOMINICANA	133	Santo Domingo Este	completed	Humania
		134	Santo Domingo Oeste	completed	Humania
		135	Santo José De Ocoa	completed	Humania
		136	Los Alcarrizos	completed	Humania
	VENEZUELA	137	El Hatillo	completed	Humania
		138	San Cristóbal	completed	Humania
	BRASIL	139	Campinas	completed	Humania
		140	Itatiba	completed	Humania
		141	Campos de Jordao	completed	Humania
		142	Niteroi	completed	Humania
		143	Petropolis	completed	Humania
		144	Mariana	completed	Humania
		145	Fernadopolis	completed	Humania
		146	Vinhedo	completed	Humania
		147	Nova Iguacu	completed	Humania
		148	Angra Dos Reis	completed	Humania
	MERCOCIUDADES	149	Córdoba	completed	Humania
		150	Buenos Aires ciudad	completed	Humania
		151	San Antonio de Areco	completed	Humania
		152	Esteban Echeverría	completed	Humania

Region	Country	#	CITIES/MUNICIPALITIES	Note	Implementing Partner
Arab States	Jordan	153	Amman	completed	Resurgence/AUDI
	Mauritania	154	Nouakchott	completed	Resurgence/AUDI
		155	Boghe	completed	Resurgence/AUDI
		156	Kaedi	completed	Resurgence/AUDI
		157	Rosso	completed	Resurgence/AUDI
		158	Tintane	completed	Resurgence/AUDI
		159	Tavragh Zeina	completed	Resurgence/AUDI
	Tunisia	160	Bousalem	completed	Resurgence/AUDI
		161	Gabes	completed	Resurgence/AUDI
		162	Kasserine	completed	Resurgence/AUDI
		163	Mateur	completed	Resurgence/AUDI
		164	Siliana	completed	Resurgence/AUDI
		165	Tataouine	completed	Resurgence/AUDI
	Republic of Sudan	166	Khartoum	completed	Resurgence/AUDI
		167	Algadaref	completed	Resurgence/AUDI
		168	Kasala	completed	Resurgence/AUDI
		169	North Kordofan	completed	Resurgence/AUDI
		170	Northern State	completed	Resurgence/AUDI
		171	Red Sea	completed	Resurgence/AUDI
		172	River Nile	completed	Resurgence/AUDI
		173	Sinar	completed	Resurgence/AUDI
		174	West Kordofan	completed	Resurgence/AUDI
		175	While Nile	completed	Resurgence/AUDI
	GCC	176	Riyadh	completed	Resurgence/AUDI
		177	Eastern Province (Damman)	completed	Resurgence/AUDI
		178	Muscat	completed	Resurgence/AUDI
	Egypt	179	Ismaliya		ROAS
	Palestines	180	Nablus		ROAS

Region	Country	#	CITIES/MUNICIPALITIES	Note	Implementing Partner
Others	Solomon Islands	181	Honiara	completed	SEEDs Asia
	Bangladesh	182	Dhaka North City	completed	SEEDs Asia
	Myanmar	183	Mawlamyine		SEEDs Asia
	India	184	Ahmedabad	completed	AIDMI
		185	Anand	completed	AIDMI
		186	Barpeta	completed	AIDMI
		187	Bhuj	completed	AIDMI
		188	Guwahati	completed	AIDMI
		189	Kanpur	completed	AIDMI
		190	Mangaldai	completed	AIDMI
		191	Mumbai	completed	AIDMI
		192	Nalbari	completed	AIDMI
		193	Navi Mumbai	completed	AIDMI
		194	Rajkot	completed	AIDMI
		195	Unnao	completed	AIDMI
		196	Vadodara	completed	AIDMI
		197	Vijayawada	completed	AIDMI
		198	Vishakhapatnam	completed	AIDMI
	Mongolia	199	Ulanbaatar	completed	ONEA

	cities that will continue to develop DRR Action Plan

ANNEX 6: ACTION VISIBILITY

Below are only some examples where this project has received high visibility.

Adaptation Futures 2018 Conference, Enhancing Collaborative Resilience in Cities (June 2017, Johannesburg, South Africa): presentation of ongoing implementation of the CRPT in pilot cities.

Climate-Compatible, Sustainable and Resilient cities for Saudi Arabian National and Local Governments (Riyadh, Saudi Arabia (December 2017) Arab States

ECOSOC Integration Segment on "Innovative communities: leveraging technology and innovation to build sustainable and resilient societies" (May 2018, NY, US): presentation by UN-Habitat on CRPT and MCSR Action.

Future Cities Show Conference (April 2017, Dubai, UAE): presentation by UN-Habitat on CRPT and MCSR Action.

ICLEI Resilient Cities (April 2017, Bonn, Germany): training event organized for local governments and their partners.

International Conference on Sustainable Development Goals: Actors and Implementation (September 2017, Spain): presentation of CRPT and contribution to SDGs.

International Conference on Sustainability and Competitiveness in Touristic Destinations (June 2017, Arona, Spain): presentation of CRPT.

International Conference on Sustainable Development Goals: Actors and Implementation (September 2017, Madrid, Spain): presentation of CRPT and contribution to SDGs.

International Conference on Sustainability and Competitiveness in Touristic Destinations (June 2017, Spain): presentation of CRPT.

Mainstreaming Experiences at Regional and Local level for Adaptation to Climate Change (June 2017, Milan, Italy): presentation of CRPT and ongoing piloting.

Regional Platform on Disaster Risk Reduction for Americas (June 2018, Cartagena, Colombia): presentation of CRPT to MCSR cities in the Americas (led by UNISDR).

Smart City Expo and World Congress (November 2017, Barcelona, Spain): Representatives from Maputo invited to present during session, stand by UN-Habitat with focus on resilience and the Action.

Smart Island Conference (April 2017, Mallorca, Spain): training event organized for local governments from islands with participation of Port Vila's CRPT focal point.

World Cities Day (October 2017, Global): online promotion of action and various events organized in Barcelona for local and international partners.

World Urban Forum (February 2018, Kuala Lumpur, Malaysia): various sessions with presentation by representatives from Maputo on MCSR Action, training event and outreach activities.