
EVALUATION OF BASF STIFTUNG UN-HABITAT PROGRAMME CONTRIBUTION TOWARDS SUSTAINABLE DEVELOPMENT



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UN HABITAT
FOR A BETTER URBAN FUTURE

EVALUATION OF BASF STIFTUNG UN-HABITAT PROGRAMME CONTRIBUTION TOWARDS SUSTAINABLE DEVELOPMENT

Florian Steinberg, Geetha Abayasekera,
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DECEMBER 2014

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Tel: 254-020-7623120 (Central Office)
www.unhabitat.org

HS/001/16E
ISBN: 978-92-1-132694-9

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Acknowledgement

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| Printing: | UNON Publishing Services Section |

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ABBREVIATIONS AND ACRONYMS

| | | | |
|---------|------------------------------------------------------------|------------|----------------------------------------------------------|
| ADEL | Agency for Local Economic Development | ROAP | Regional Office for Asia and the Pacific |
| ANCOP | Answering the Cry of the Poor | SMC | school management committee |
| BASF | Badische Anilin und Soda Fabriken | SMART | specific, measurable, achievable, relevant and timebound |
| BDO | Banco de Oro | SOP | standard operating procedures |
| CDHU | Corporation of Development of Urban Habitat (in São Paulo) | sqm | square meter |
| CSR | Corporate Social Responsibility | sqkm | square kilometer |
| GMC | Galle Municipal Corporation | SRC | Shelter Resource Centre |
| ha | hectare | TOC | theory of change |
| HVBWSHE | Human Values Based Water, Sanitation and Hygiene Education | TOR | terms of references |
| IMTA | Instituto Mexicano de Tecnologías del Agua | UN | United Nations |
| KSERC | Kibera Soweto East Resource Centre | UNEP | United Nations Environmental Programme |
| LEAD | inspiring leaders for a sustainable world | UNICEF | United Nations Children Fund |
| LGU | local government unit | UN-Habitat | United Nations Human Settlements Programme |
| MCC | Mangalore City Corporation | UNOPS | United Nations Office for Project Services |
| M&E | monitoring and evaluation | USD | United States Dollar |
| MXN | Mexican dollar | WASH | water, sanitation and health |
| NHA | National Housing Authority | WRUA | Water Resource Users Association |
| ROLAC | Regional Office for Latin America and the Caribbean | EUR | Euro (currency) |

EXECUTIVE SUMMARY

The partnership

The BASF Stiftung and UN-Habitat partnership was established in 2005. Its major thrust is the (i) exchange of best practices; (ii) sustainable reconstruction projects for disaster areas; and (iii) dissemination of information and application of environmental technologies. Since the inception of this partnership, BASF Stiftung has funded 19 projects with a total value of USD 4,217,309. But the actual value of these projects may be higher, taking into account the many additional in-kind contributions of local beneficiary communities, local project partners, and UN-Habitat. Apart from these additional contributions (cash and in-kind), all projects have generated great enthusiasm and interest by a large diversity of stakeholders.

Purpose and approach of the evaluation

The objective of this evaluation is to be forward-looking and to learn from past and ongoing projects for future joint undertakings. The evaluation provides clear leads on what has worked well and what has not. It provides recommendations on how to address problems in the programming, design, and delivery of BASF Stiftung-supported projects. Principal orientation of the evaluation work has been the accomplishment of targets, and the achievement of sustainability at project level. The evaluation has been implemented with the following criteria in mind: relevance of the projects; effectiveness in achieving targets; efficiency in resource utilisation; impact of interventions, replicability; and sustainability. The evaluation was conducted from June to August 2014, and it was undertaken by Florian Steinberg (lead consult-

ant), with support of Geetha Abayasekera (projects in Asia), Marja Edelman (Brazil and Haiti) and Khizer Omer (Pakistan). The evaluation was requested by BASF Stiftung which wanted to obtain an informed stocktaking of almost 10 years of project work. The intended users of this evaluation are both the donor (BASF Stiftung) and UN-Habitat, and its Urban Basic Services Branch.

Main findings of the Evaluation

The findings show that the majority of projects (12/19) have achieved the expected results. Four projects (4/19, i.e. Haiti, Philippines, China-Sichuan and Brazil) have partially achieved the expected results, with the Brazil project still incomplete, showing a good potential to move up to category of “achieved” status. One project (1/19) has not achieved the expected results (Sri Lanka). Another two projects (2/19), the Global Youth Fund and E-Learning projects, are ongoing and thus still to be achieved and assessed.

Lessons

Seven key lessons can be derived:

Lesson 1 on relevance: All projects (19/19) appear relevant and there is justification for these. However, more focus could have been achieved through better, logframe-based designs, which could have resulted in more streamlined and better monitorable projects. One can observe substantial differences between development projects and emergency projects, and preparations have been more solid for development projects.

Lesson 2 on effectiveness: Concerning effectiveness, the picture is quite mixed. In this wide range of projects one can observe that a good degree of targets have been achieved. Outputs of most projects (17/19) are accomplished. However, there are projects which did not achieve all targets (2/19)¹. In a number of projects, outcomes and impacts still need to be quantified at or after project closure. An assessment of outcomes and results should be ensured at project closure, while impact assessment may be done after closure. Personnel changes within UN-Habitat have had a negative impact on the management and implementation of several projects.

Lesson 3 on efficiency: Most projects (17/19) are cost-efficient.² Procurement through NGO partners or community-based mechanisms and low-cost technologies have produced cost-effective works and efficiency in resource use. However, some assumed low-cost projects are not low-cost, being under-budgeted they became difficult for UN-Habitat and partners since additional funding had to be found and allocated. Projects which are linked to other UN-Habitat operations can be more cost-efficient than stand-alone projects.

Lesson 4 on impact: Most projects (15/19) have generated positive impacts.³ However, in case of a few projects, these impacts have not yet been measured. The reasons for this are: (i) the projects had not been completed at the time of the evaluation or (ii) the projects did not have well defined impact statement as the basis for measurement, and thus the completion reports did not cover the impacts or outcome of these projects. Instead, where possible the evaluators have made an informed assessment of expected impacts or outcomes.

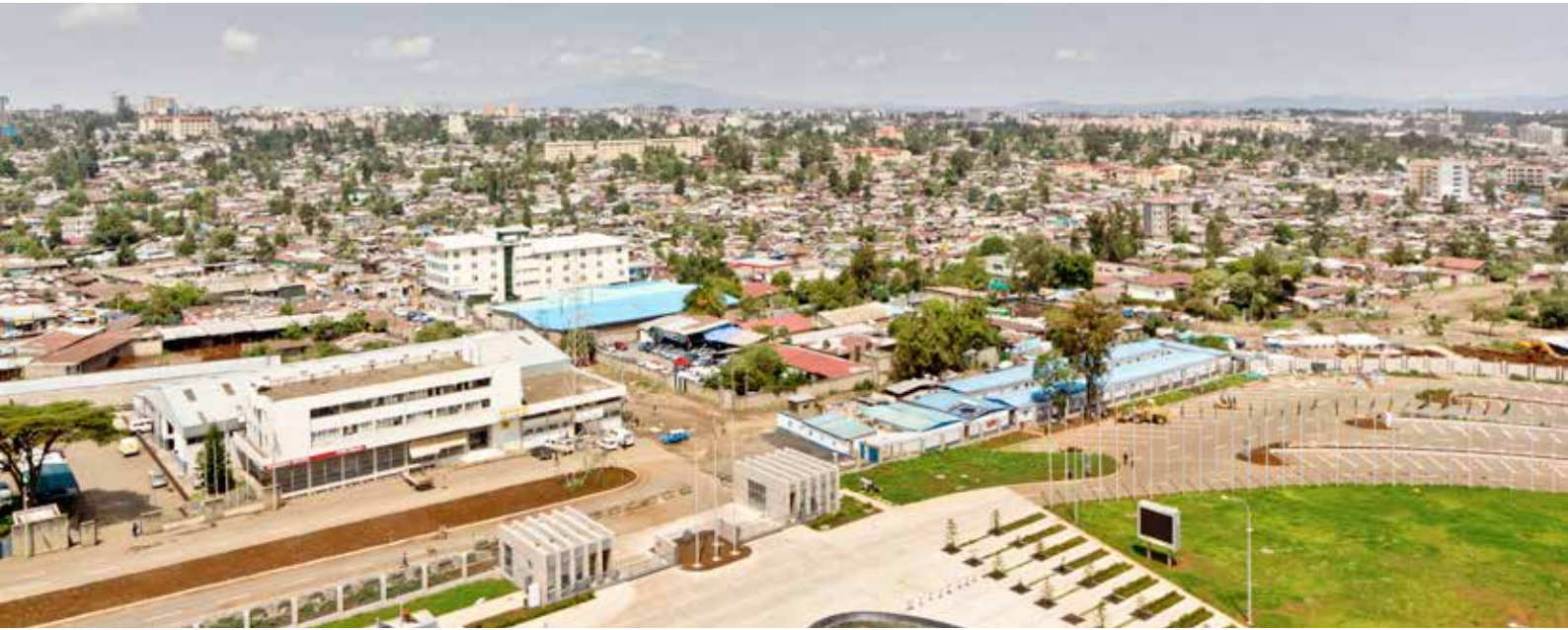
Lesson 5 on replicability: For most projects, replication is still a distant goal, though there are indications that most projects (15/19) are suitable for replication.⁴ Most implementing partners are certainly interested in replication of their projects. But most will require guidance, orientation and possibly additional technical assistance (by UN-Habitat or others) during a project phasing-out period on how to replicate and upscale in case external financing is unavailable.

1 Sri Lanka and Brazil.

2 Except Haiti and Sri Lanka.

3 Except Haiti, Sri Lanka, Global Youth Fund, and Global E-Learning.

4 Except Sri Lanka, Philippines, China-Sichuan, Global Urban Youth Fund.



Aerial view of the city of Addis Ababa, showing the densely packed houses.

© Shutterstock

Lesson 6 on sustainability: Sustainability is still largely elusive for most projects (15/19), even though most partners realise its importance.⁵ These projects were not designed for sustainability or implemented with sustainability in mind. This goal may be achievable in the case of development projects, but less realistic for emergency projects. Immediate withdrawal after project completion has resulted in the collapse of mechanisms designed for project sustainability. Thus, withdrawal without handover is key sustainability concern. Most projects have a need for more coaching to reach sustainability goals.

Lesson 7 on gender and youth empowerment: All (19/19) of the projects can be presented as gender-sensitive projects. The role of women has been highly important for all projects, they have assumed important functions in the projects even if this was not envisaged at the design stage. A large number of projects had not even formulated a gender approach, but during implementation they have come to realise the importance of the role of women. But the role of youth has been less visible, with less importance attached to it.

⁵ Except Haiti, Sri Lanka, Global Youth Fund and Global E-Learning.

Based on these key findings and lessons several operational recommendations have been formulated, which are elaborated in detail in this report.

Conclusions

BASF Stiftung and UN-Habitat need to determine how future projects will be generated and formulated. This has implications for projects identification and which kind of identification process. It seems necessary to invest in the professionalisation of the BASF Stiftung – UN-Habitat collaboration, with an emphasis on results-based management. Realistic time frames as part of project designs are crucial. Further efforts need to focus on better monitoring for achievement of results. Positive achievements need highlighting, and projects should be presented for what they have accomplished and contributed to the lives of people and communities or cities. Interns or young university

researchers could assess outputs, outcomes, and impacts of the projects already completed. The accomplishments in terms of cost-efficiency through non-conventional forms of procurement and implementation through low-cost technologies are important project results. Some projects may be add-ons to existing larger UN-Habitat operations (relatively easy), or they can be developed as co-financing arrangements with various partners (more complicated). Project design must be appropriate to the local context. Tangible (measurable) and non-tangible impacts need to be elaborated through project testimonials and feedback from the community. As part of the exit strategy and project closure, implementing partners need to analyse how replication and sustainability of projects can be achieved. Gender roles and youth empowerment need to be more clearly built into future project design.

INTRODUCTION AND OBJECTIVES OF EVALUATION

01

INTRODUCTION AND OBJECTIVES OF EVALUATION

Purpose of Evaluation

Request for Evaluation

BASF Stiftung requested the evaluation of projects it has funded. UN-Habitat has coordinated this evaluation with the commitment to provide accountability to its stakeholders, determine efficiency and effectiveness of its development and emergency interventions, and learning for programme improvement.

Rationale

The rationale for this evaluation is because the BASF Stiftung – UN-Habitat partnership, was 10 years at the time of going to print. Its intention is to be forward-looking and to learn from past and ongoing projects for future joint undertakings. It was assumed that in case of a large number of those projects, outcomes and impacts could be measurable, and that this evaluation results can help UN-Habitat and BASF Stiftung to refine, adjust and improve the partnership. The expectation is that the evaluation will provide clear leads “on what has worked well and what has not, and that it will provide recommendations on how to address challenges in the programming, design and delivery of BASF Stiftung-supported projects.⁶ Concerning project sustainability, the evaluation is expected to identify opportunities for how positive results can be sustained for the beneficiary communities, and how these results could be replicated in other communities.

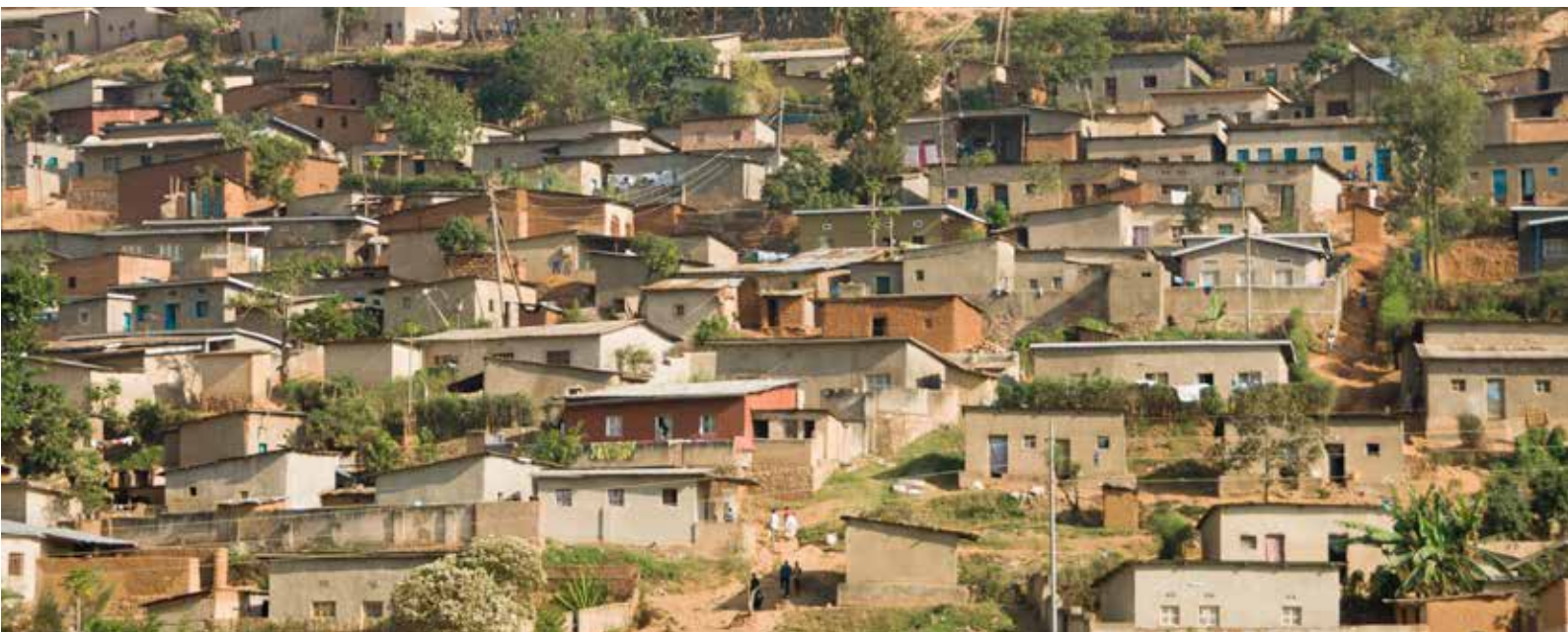
Target group of evaluation results

The prime users of this evaluation report are BASF Stiftung and UN-Habitat. For BASF Stiftung, as a charitable foundation supporting development and disaster relief projects, the conclusions of the study shall provide lessons and recommendations which will serve for future projects to learn from. For UN-Habitat, the evaluation will contribute to its accountability framework by demonstrating what has been achieved in the projects implemented by UN-Habitat and provide lessons for partnership with the private sector and with BASF Stiftung in particular. The results of this evaluation shall help to improve operational aspects of the partnership.

Findings presented

This evaluation report combines findings from the desk review, communications with UN-Habitat officers, key project stakeholders and from the field visits. The report goes beyond the narrative of individual projects and overall achievements. Each project is assessed according to whether expected accomplishments were ‘achieved’, ‘partly achieved’, or ‘not achieved’), and the report presents a cross-cutting analysis of the key evaluation criteria of relevance, effectiveness, efficiency, impact, replicability, and sustainability. Scoring criteria for the analysis are provided below in section 4. The report presents lessons from the BASF Stiftung – UN-Habitat partnership, and possible lessons for other corporate social responsibility partnerships focused on sustainable development.

⁶ UN-Habitat. 2014. *Terms of References of Evaluation of BASF Stiftung UN-Habitat Programme Contribution towards Sustainable Development*. Nairobi.



Houses in Kigali, Rwanda
© Fiona Ayerst/Shutterstock

Specific Objectives of the Evaluation

Projects reviewed

The evaluation reviewed four types of projects which fall into the two broad categories of development projects and emergency assistance: (i) support to emergency and recovery response; (ii) youth empowerment; (iii) the construction of water and sanitation systems; and (iv) introduction of environmental education and capacity-building processes in selected schools and communities. These projects are located in Africa, Asia, and Latin America and the Caribbean (see Section 2, below).

Objectives

This evaluation has covered the entire project portfolio of projects supported by BASF Stiftung from 2005-2013.⁷ The main focus was on the results achieved by the BASF Stiftung-supported projects implemented by UN-Habitat according to the contribution agreements and expected results. Since both BASF Stiftung and UN-Habitat are committed to promotion of sustainable development, the evaluation has paid special attention to impacts, replicability and sustainability. The evaluation has reviewed the entire project portfolio of 19 projects supported by BASF Stiftung, providing a summarised overview of achieve-

⁷ A complete and corrected list of the projects supported by BASF Stiftung is contained in Annex 2.

ments, as well as an in-depth assessment of a sample of selected 13 projects.⁸ The Terms of Reference (TOR) provide guidance for the definition of replicability and sustainability which state that the evaluation shall “explore modalities for ensuring that the positive results of the BASF Stiftung-supported projects are sustained in the target communities and replicated in other communities” (page 3 of TOR). Thus, replicability should be defined as the suitability or feasibility of a project to be replicated by (a) the implementing partner itself, or by (b) another development partner. Sustainability of projects should be defined as the capacity to sustain a project through own efforts or revenues from the implementing partners and the beneficiaries.

Specific objectives of this evaluation are as follows:

- i. Assess the extent to which the BASF Stiftung-supported projects have achieved the expected results in target communities.
- ii. Assess organisational ownership by project partners and extent to which achievements are likely to be internalised and sustained in the long term.
- iii. Assess knowledge sharing and learning within the BASF Stiftung-supported projects and other UN-Habitat projects.
- iv. Examine extent to which cross-cutting aspects of youth, gender and environment were considered in project design and implementation.
- v. Document lessons learned, success stories and good practices in order to demonstrate the experiences gained, and identify what has worked and what has not worked well.
- vi. Assess the degree to which the target communities have been able to or will have the capacity to replicate the BASF Stiftung-supported projects.
- vii. Provide recommendations on how to build on the achievements of the BASF Stiftung-supported projects and ensure that they are sustained by the relevant stakeholders.”

⁸ It is noted that most projects are urban, however, due to the broad scope of UN-Habitat's work, some of the projects like those in Bangladesh, India - Cuddalore; and Mexico do not fit exactly the pattern of 'urban' development mentioned above.

BACKGROUND AND CONTEXT

02

BACKGROUND AND CONTEXT

Context of Partnership for sustainability

This chapter presents the intentions of the partnership, and the institutional perspectives on sustainable development and the approaches pursued by both partners.

The start of the partnership

In April 2005, BASF Stiftung and UN-Habitat exchanged letters on a partnership and confirmed values which are being shared by both organisations.⁹ BASF Stiftung and UN-Habitat both share common values, such as those laid out in the UN Millennium Development Goals, the principles of the UN Global Compact, and the goals of sustainable development. Three forms of collaboration were envisaged:

1. Exchange of best practices on housing, urban development and regional governance, through publications, conferences, and other forms of awareness raising.
2. Sustainable reconstruction projects for disaster areas uniting the expertise of UN-Habitat and the technologies and capacities of BASF and related partners.

3. Dissemination of information and application of environmental technologies, such as soil remediation, energy efficiency or eco-efficiency, through awareness raising and partnership projects carried out by BASF, UN-Habitat and other suitable partners, including UNEP.

First generation of projects

Since then and in line with its commitment to sustainable development, the BASF Stiftung¹⁰ has provided financial assistance to UN-Habitat for a number of projects. Part of the funds are donations provided by BASF as part of end-of-year-donation campaigns to: (i) support emergency and recovery response; (ii) youth empowerment; (iii) the construction of water and sanitation systems; and (iv) the introduction of environmental education and capacity-building processes in selected schools and communities. UN-Habitat is currently the biggest cooperation partner of BASF Stiftung in terms of number of projects. As of December 2013, BASF Stiftung had funded 19¹¹ projects with a total investment of USD 4,217,309.¹² The actual value of these projects may be higher, taking into account the many additional contributions of local beneficiary communities, local project partners, and

⁹ BASF letter of Mr Eggert Voscherau, Vice-Chairman, Board of Executive Directors, BASF 31 March 2005, and reply by Ms Anna Kajumulo Tibaijuka, Under-Secretary General and Executive Director UN-Habitat, 6 April 2005.

¹⁰ Until spring 2012 the projects were supported by BASF Sozialstiftung (a charitable foundation based in Ludwigshafen, Germany) which was later been renamed to BASF Stiftung.

¹¹ A revised list of projects is shown in Annex 2.

¹² UN-Habitat. 2014. Terms of References of Evaluation of BASF Stiftung UN-Habitat Programme Contribution towards Sustainable Development

UN-Habitat. Apart from these additional contributions (cash and in-kind), all projects seem to have generated great enthusiasm and interest by a large diversity of stakeholders.

BASF and BASF Stiftung

The profile of BASF

The chemical company BASF (Badische Anilin und Soda Fabrik), which was founded in 1865 in Ludwigshafen, Germany, is a world leader in chemical products and services related to the aerospace industry, agriculture, automobiles, construction, mass transit, packaging, personal care, pharmaceuticals, and wind energy.¹³ In its headquarters in Ludwigshafen, it employs about 33,000 staff, and a total of 112,000 employees world-wide. In 2013, its annual business performance totalled EUR 75,868 million.¹⁴

Commitment of BASF to sustainability

BASF is according to its strategy committed to social responsibility and to conducting business sustainably. As a multinational company, BASF wants to be a good global citizen¹⁵ and, as a founding member of the UN Global Compact (since 2000) and Global Compact, inspiring leaders for a sustainable world (LEAD) (since 2011), contribute to achieving the international Millennium Development Goals.¹⁶ BASF's business divisions also develop solutions that can help to achieve the Sustainable Development Goals.¹⁷

¹³ <http://www.basf.com/group/corporate/en/>

¹⁴ BASF annual report 2013. http://www.basf.com/group/corporate/en/function/conversions/publishdownload/content/about-basf/facts-reports/reports/2013/BASF_Report_2013.pdf

¹⁵ BASF statement.

¹⁶ <https://www.basf.com/en/company/sustainability/responsible-partnering/networks/global-compact.html>

¹⁷ <https://www.basf.com/en/company/sustainability/employees-and-society/societal-commitment/BASF-Stiftung/objectives-and-issues.html>

BOX 1. BASF AND SUSTAINABILITY

“BASF defines sustainability as balancing economic success with social and environmental responsibility, both today and in the future.”

Source: <http://report.basf.com/2013/en/managements-report/sustainability.html>

Following the motto “Separated, but not isolated”, BASF focuses its support on international development projects to address social challenges where market-based solutions are not sufficient. Therefore, company donations support BASF Stiftung, a legally independent, charitable foundation based in Ludwigshafen, Germany, in its international development projects¹⁸. Moreover, some of the funds are donations provided by BASF staff (end-of-year-donation campaigns).

The profile of BASF Stiftung

BASF Stiftung is committed to disaster relief and the promotion of international projects that contribute to long-term improvement in the living conditions of disadvantaged people, especially children and youth. BASF Stiftung is already involved in more than thirty¹⁹ initiatives. The foundation works with UN organisations and international NGOs and maintains a global network of partnerships. The emphasis is on innovative approaches to the conception of development projects²⁰. BASF Stiftung and its partners are engaged in developing innovative projects that can help and reach as many people as possible sustainably in the long term. The thematic commitments of BASF Stiftung include the following:

¹⁸ <https://www.basf.com/en/company/sustainability/employees-and-society/societal-commitment/basf-stiftung/objectives-and-issues.html>

¹⁹ <https://www.basf.com/en/company/sustainability/employees-and-society/societal-commitment/basf-stiftung/projects.html>

²⁰ <http://www.basf.com/group/corporate/en/sustainability/society/basf-stiftung/index>

Education and empowerment

- Laying the groundwork for education through the provision and improvement of infrastructure, e.g. schools and community centers, nutrition and health
- Enhancing existing educational opportunities in schools and universities, e.g. through training in sustainable use of resources
- Promoting vocational training and entrepreneurship through specific programmes for young people and start-up financing

Housing

- Reconstruction after natural disasters, e.g. schools, residential buildings, children's homes
- Financing communal living spaces, e.g. through construction of community centers

Health and nutrition

- Laying the groundwork for healthy living conditions, e.g. through water supply and training in sustainable use of water and other resources
- Improving healthcare, e.g. through education programmes and further training of medical personnel
- Combating acute malnutrition to avoid long-term consequences, e.g. through the enrichment of basic food with vitamins

Disaster relief and disaster risk reduction

- Emergency reconstruction aid, e.g. temporary schools and accommodation
- Long-term reconstruction aid, e.g. community centers, infrastructure and market places
- Prevention, e.g. through construction of robust infrastructure and teaching disaster prevention at schools

Water and sanitation

- Improvement of basic infrastructure, e.g. water supply

UN-Habitat

UN-Habitat and the private sector

The relationship between UN-Habitat and the private sector is guided by Guidelines on Cooperation between the United Nations and the Business Community²¹ and a UN-Habitat-specific Guide to Partnering with the Private Sector.²² The BASF Stiftung - UN-Habitat partnership is a very important relationship since it has provided a progressive and valid response to UN-Habitat priorities in its efforts to contribute to sustainable development in development programmes and post-emergency situations. This evaluation provides lessons learned and recommendations informing its work in partnership with the private sector.

The need to work with the private sector

The fact that urban poverty is projected to rise has caused UN-Habitat to acknowledge that this can only be resolved through constructive partnerships with urban stakeholders, including private sector companies. Such partnerships shall become highly effective and sustainable.²³ The efforts of the United Nations Secretary General to place cooperation with the private sector in the forefront of United Nations work has been summarised by the following statement: *"The United Nations and business need each other. We need your innovation, your initiative, your technological prowess. But business also needs the United Nations. In a very real sense, the work of the United Nations can be viewed as seeking to create the ideal enabling environment within which business can thrive"*.²⁴ The importance of the private

21 United Nations. 2000. *Guidelines on Cooperation between the United Nations and the Business Community*. Secretary General, United Nations New York 17 July.

22 UN-Habitat. 2011. *A Guide to Partnering with the Private Sector*. United Nations Human Settlements Programme/UN-Habitat Nairobi.

23 Ban Ki-moon, Address to the UNA-USA Business Council, 10 January 2007, quoted in: UN-Habitat. 2011. *A Guide to Partnering with the Private Sector*. United Nations Human Settlements Programme/UN-Habitat Nairobi, p. vii.

24 Ban Ki-moon, Address to the UNA-USA Business Council, 10 January 2007, quoted in: UN-Habitat. 2011. *A Guide to Partnering with the Private Sector*. United Nations Human Settlements Programme/UN-Habitat Nairobi, p. vii.

sector in facing jointly the many challenges of sustainable development and poverty reduction is unquestionable. The private sector must be viewed not merely as a provider of resources, but as equal development partner. Hence, the UN aims to continue and expand partnerships of various types and sizes. Since urbanisation challenges are getting too complex for the governments to be handled alone, UN-Habitat advocates that the alliance with private sector parties will be essential since its better equipped to deal with certain innovations and

technology issues than governments or the United Nations. On the other hand, cities offer such tremendous economic potentials that the private sector should have a natural interest to align itself with the development of cities. UN-Habitat is convinced that it is highly important to associate the business community with its work, to harness creativity and private sector capacities for sustainable development, and for markets which can provide equitable services.

BOX 2. DEFINITIONS OF CORPORATE SOCIAL RESPONSIBILITY:

Corporate social responsibility (CSR) is a form of corporate self-regulation integrated into a business model. CSR policy functions as a built-in, self-regulating mechanism whereby a business monitors and ensures its active compliance with the spirit of the law, ethical standards, and international norms. In some models, a firm's implementation of CSR goes beyond compliance and engages in "actions that appear to further some social good, beyond the interests of the firm and that which is required by law." CSR is a process with the aim to embrace responsibility for the company's actions and encourage a positive impact through its activities on the environment, consumers, employees, communities, stakeholders and all other members of the public sphere who may also be considered stakeholders...

Source: Henderson, D. 2001. *Misguided Virtue: False Notions of Corporate Social Responsibility*. Institute of Economic Affairs. p. 171. ISBN 0-255-365101

"We acknowledge that the implementation of sustainable development will depend on the active engagement of both the public and the private sectors. We recognise that the active participation of the private sector can contribute to the achievement of sustainable development, including through the important tool of public-private partnerships. We support national regulatory and policy frameworks that enable business and industry to advance sustainable development initiatives, taking into account the importance of corporate social responsibility. We call upon the private sector to engage in responsible business practices, such as those promoted by the United Nations Global Compact."

Source: United Nations. 2012. *The Future We Want*. Para 46. United Nations. New York. <http://www.uncsd2012.org/thefuturewewant.html>

Guidelines for partnerships

The United Nations guidelines for aligning the private sector are the United Nations Compact principles of human rights, labor equity, environmental protection and anti-corruption, to which organisations like BASF have subscribed. With regard to CSR, UN-Habitat subscribes to the World Council for Sustainable Development definition of CSR as *“the continuing commitment by business to behave ethically and contribute to economic development while improving the life of the workforce and their families as well as of the local community and society at large”*.²⁵

Complementarity of Partners

It is assumed that both parties will contribute strengths and capacities which complement each other, and that benefits will derive from this partnership. Long-term relationships and trust are important ingredients for a lasting partnership. UN-Habitat considers its knowledge of urban development a strong asset for private sector organisations which have vested interests in urban areas. This is added by UN-Habitat’s good relationships with governments and cities which represent an entry point for projects and technical assistance. UN-Habitat considers project preparation and implementation capacity as one of its strengths that can be offered to private sector partners.

Business of Cities

Under its initiative of *The Business of Cities*, UN-Habitat offers a collaboration platform which has opened the door to several major business players now working with the agency:

- CISCO on *Connecting Urban Development Initiative*,
- Siemens on *Eco City* models,
- Veolia on *Access to basic urban services for all*,
- IBM on *Smart Cities*,
- Land Lease on *The efficient building scheme*.

Results-Based Management

Results-Based Management (RBM)²⁶ is the fundamental principle of project management in the UN system and integrated in UN-Habitat’s Medium-Term Strategic and Institutional Plan and the Strategic Plan. Good quality in project proposals and reporting is essential. UN-Habitat wants to show success and positive impacts of its work with CSR partners. Based on its principles for sustainable urban development, it aims to support integrated urban development, environmentally sound built environments, and inclusive and equitable urban development.²⁷

25 UN-Habitat. 2011. *A Guide to Partnering with the Private Sector*. United Nations Human Settlements Programme/UN-Habitat Nairobi

26 *Results-based Management is a management strategy focusing on performance and achievement of outputs, outcomes and impacts. Source: OECD/DAC Glossary on Key Terms in Evaluation and RBM.*

27 UN-Habitat. 2011. *A Guide to Partnering with the Private Sector*. United Nations Human Settlements Programme/UN-Habitat Nairobi.

BOX 3. SUSTAINABLE URBAN DEVELOPMENT AS DEFINED BY UN-HABITAT

Habitat Agenda: “4... sustainable development of human settlements combines economic development, social development and environmental protection, with full respect for all human rights and fundamental freedoms, including the right to development, and offers a means of achieving a world of greater stability and peace, built on ethical and spiritual vision. Democracy, respect for human rights, transparent, representative and accountable government and administration in all sectors of society, as well as effective participation by civil society, are indispensable foundations for the realization of sustainable development. The lack of development and the existence of widespread absolute poverty can inhibit the full and effective enjoyment of human rights and undermine fragile democracy and popular participation. Neither of them, however, can be invoked to justify violations of human rights and fundamental freedoms.

105. “Sustainable urban development requires consideration of the carrying capacity of the entire ecosystem supporting such development, including the prevention and mitigation of adverse environmental impacts occurring outside urban areas. The unsafe disposal of waste leads to the degradation of the natural environment: aquifers, coastal zones, ocean resources, wetlands, natural habitats, forests and other fragile ecosystems are affected, as are the homelands of indigenous people. All transboundary movements of hazardous waste and substances should be carried out in accordance with

relevant international agreements by parties to those agreements. Rapid urbanisation in coastal areas is causing the rapid deterioration of coastal and marine ecosystems.”

Source: <http://unhabitat.org/about-us-4/history-mandate-role-in-the-un-system/>

UN-Habitat: “Sustainable urban development can be defined as the spatial manifestation of urban development processes that creates a built environment with norms, institutions and governance systems enabling individuals, households and societies to maximize their potential, optimize a vast range of services so that homes and dynamic neighbourhoods, cities and towns are planned, built, renewed and consolidated restraining adverse impacts on the environment while safeguarding the quality of life, needs and livelihood of its present and future populations.”

Source: http://www.un.org/en/development/desa/policy/untaskteam_undf/groupb_unhabitat_suscities.pdf

MTSIP: UN-Habitat’s Medium-Term Strategic and Institutional Plan (2008-2013) worked for “sustainable urbanisation created by cities and regions that provide all citizens with adequate shelter, services, security and employment opportunities regardless of age, sex, and social strata”.

Source: *Urban Basic Services Focus Area in UN-Habitat Medium Term Strategic and Institutional Plan (MTSIP) 2008-2013, p. 2.*

Kibera slum in Nairobi, Kenya. © Julius Mwelu/UN-Habitat



APPROACH AND METHODOLOGY

03

APPROACH AND METHODOLOGY

Evaluation process and methodology

How the evaluation questions were addressed. Under the Terms of Reference, the evaluation applied four methods:

- **Desk review.** A desk review of the relevant BASF Stiftung project related documents and reports, provided by UN-Habitat, has been undertaken.
- **Interviews and consultation with UN-Habitat and BASF Stiftung.** Meetings and phone discussions with key UN-Habitat staff took place both at the headquarters and in the field. Based on the interaction with UN-Habitat staff, the consultants have developed a list of key stakeholders (individuals and organisations) who participated in the evaluation, such as groups of project beneficiaries, and local stakeholders.
- **Interviews with stakeholders.** During the field visits, the consultants undertook key informant interviews, focus group discussions with implementing partners, beneficiaries, and local authorities. These interviews were guided by the questionnaire which was developed for this purpose.²⁸ The evaluation has built a results-level picture at output, outcome and impact levels, and it has examined how partnerships with local organisations have contributed to the project delivery

- **Project visits.** Field visits were undertaken to eleven selected projects.²⁹ Two projects could not be visited (India-Cuddalore due to time limitations; and Kenya-Mandera due to security issues in the north of Kenya which prevented the UN from providing a security clearance), but interviews were held with relevant implementation partners or consultants.
- **Evaluation methodology and how it was operationalized.** The consultants have applied the criteria of relevance, effectiveness, efficiency, impact and replicability, and sustainability during the evaluation, and covered the following questions.
 - a. **Relevance:**
 - To what extent did the theory of change³⁰ [hypothesis] implicit in the projects deliver the projects' expected accom-

²⁹ The consultants have visited 11 projects. The India-Cuddalore project was not visited since it has been evaluated recently. Ms Geetha Abayasekara had phone conference with the local consultant who did the evaluation. In the case of the two Pakistan projects, Mr Khizer Omer from Pakistan, undertook the field visits.

³⁰ A theory of change (TOC) is a tool for developing solutions to complex social problems. A basic TOC explains how a group of early and intermediate accomplishments sets the stage for producing long-range results. A more complete TOC articulates the assumptions about the process through which change will occur and specifies the ways in which all of the required early and intermediate outcomes related to achieving the desired long-term change will be brought about and documented as they occur. (Adapted from Anderson, A. (2005). *The community builder's approach to theory of change: A practical guide to theory and development*. New York: The Aspen Institute Roundtable on Community Change.) Steps to Create a Theory of Change: (i) identify a long-term goal; (ii) conduct "backwards mapping" to identify the preconditions necessary to achieve that goal; (iii) identify the interventions that your initiative will perform to create these preconditions; (iv) develop indicators for each precondition that will be used to assess the performance of the interventions; (v) write a narrative that can be used to summarize the various moving parts in your theory (adapted from www.theoryofchange.org).

²⁸ The questionnaire was presented as Annex 3 of the Inception Report of this Evaluation.

plishments, and overall objective of the portfolio, as well as take into account risks during implementation?

- To what extent are the BASF Stiftung-supported projects harmonised and coherent between regions, strategic and based on UN-Habitat's strategy, relevant frameworks and programmes of BASF Stiftung and other key stakeholders and comparative advantage?
- To what extent are the BASF Stiftung-supported project approaches responding to specific needs, priorities of the people in the project communities and aligned with national development strategies as well as appropriate to the economic, socio-cultural and political context?
- To what extent are the projects complementary to, and harmonised with, other programmes in the project countries, including United Nations Development Assistance Framework (UNDAF), in order to avoid duplication?
- To what extent were the projects relevant for gender equality and the empowerment of women and youth?

b. Effectiveness:

Extent to which the objectives of the BASF Stiftung-supported projects have been achieved.

- What are the achievements of the projects (were expected achievements achieved, partly achieved or not achieved)? To what were the activities effective in contributing to the achievement of expected accomplishments of the BASF Stiftung-supported projects? Identify the characteristics of activities that were effective in contribution to the achievement of expected accomplishments?
- To what extent are the management, coordination, monitoring and reporting mechanisms used by UN-Habitat in supporting the BASF Stiftung-supported projects effective?

- To what extent is the UN-Habitat reporting and monitoring mechanism able to effectively measure and present the effectiveness, results and efficiency of the BASF Stiftung-supported projects?
- To what extent did the project effectively address gender and youth issues? Assess the extent to which gender and youth targeted benefited from the projects. To what extent were objectives and targets of gender equality and the empowerment of women and youth achieved?

c. Efficiency:

The optimal transformation of inputs into outputs.

- To what extent are funding mechanisms commensurate with the level of efforts and resources expected to achieve the intended results?
- To what extent are delivery mechanisms of activities efficient?
- To what extent were the BASF Stiftung-supported projects activities implemented in a cost-effective manner?
- To what extent has UN-Habitat efficiently and in a timely manner allocated resources?
- To what extent did the participation of women and empowerment of women contribute to optimal use of project resources?

d. Impact and Replicability:

An assessment of the changes that can be attributed to development interventions and the replicability of the BASF Stiftung-supported projects approach and results.

- What are the main outcomes of the BASF Stiftung-supported project activities?

- To what extent have BASF Stiftung-supported projects made a significant contribution to the strengthening of national and local institutional capabilities of the participating countries?
 - To what extent has the BASF Stiftung-supported projects approach and results been replicated and scaled up?
 - To what extent could they be replicated in other regions or thematic areas?
 - What role has UN-Habitat and national stakeholders played to encourage further replication of BASF Stiftung-supported projects activities?
 - What would be the conditions necessary to further replicate BASF Stiftung-supported projects?
 - What are the major outcomes of the projects in terms of gender equality and the empowerment of women?
- e. Sustainability:**
- An assessment of the institutional, financial and environmental sustainability of BASF Stiftung-supported project interventions
- To what extent were sustainability considerations taken into account in the execution and conduct of the BASF Stiftung-supported projects? What steps have been taken by UN-Habitat to ensure institutional and financial sustainability?
 - Are the BASF Stiftung-supported project results, achievements and benefits likely to be durable? Have these been anchored in national institutions and can the partners maintain them financially at end of the programme?
 - What are the major factors that have influenced the achievement/non-achievement of sustainability of the BASF Stiftung-supported projects?

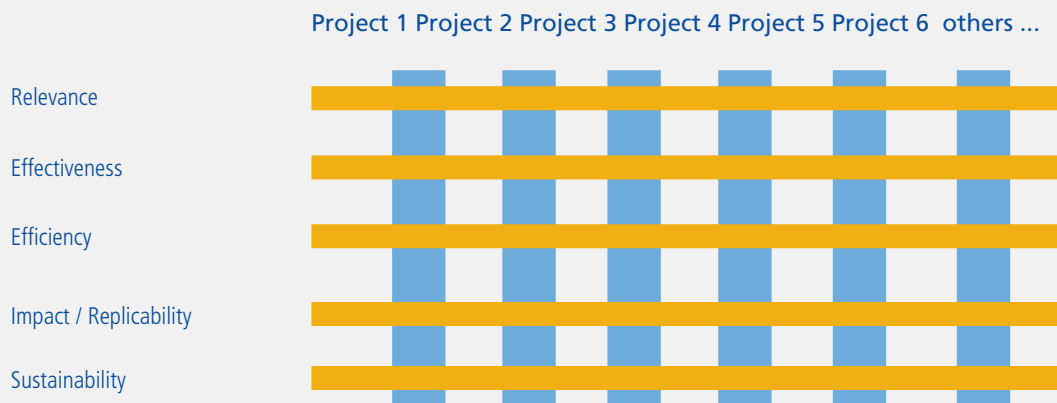
- What could be the major contribution of improved gender equality and the empowerment of women or youth to the sustainability of the projects?

Data collection and presentation. The bulk of data collection work has been done during the in-country visits and exchanges with key stakeholders. The consultant used a questionnaire for the field work. On basis of the questionnaires a Case Study Report has been developed for each case study. The Case Study Reports summarise the diversity of feedback and reactions received from prime informants (key stakeholders). The Case Study Reports cover (i) history of project, (ii) summary of outputs, outcomes and impacts, (iii) some photographic documentation; (iv) summary of evaluation criteria of relevance, effectiveness, efficiency, impact and replicability, and sustainability; and (v) summary observations. Case Study reports are presented in *Annex 3*. Projects not visited and studied through project documentation only, are documented through short Project Briefs which are presented in *Annex 4*.

Cross-cutting comparison between projects and regions.

The consistent use of the same evaluation criteria and performance indicators has allowed comparisons across the range of projects, and permits to make generalized statements on relevance, effectiveness, efficiency, impact, replicability and sustainability. There are two types of cross-cutting comparisons: (i) "vertically"- across the key criteria of analysis (relevance, effectiveness, efficiency, impact, replicability and sustainability) to assess the overall performance of a project, or (ii) horizontally across different projects, again using the same criteria to assess overall relevance, effectiveness, etc. of the project portfolio. The cross-cutting comparison has allowed formulation of more generalized conclusions about the developmental contribution of the projects that have been supported by BASF Stiftung. Additionally, political, economic or managerial aspects can influence the performance and implementation of projects.

FIGURE 1. CROSS-CUTTING DIMENSIONS OF ANALYSIS



Structure of the report

The Report is structured into seven sections: Section 1 – Introduction and objectives of evaluation; Section 2 – Background and context; Section 3 – Approach and Methodology; Section 4 – The Projects; Section 5 - Main findings; Section 6 – Conclusions; and Section 7 – Lessons.

The report presents 2 Annexes: the Terms of Reference and List of BASF Stiftung-supported projects.

Audience of the report

The users of the evaluation report are BASF Stiftung and UN-Habitat. Both partners may decide whether this evaluation report remains an internal report, or whether it is more widely published to share its findings with the development community at large.

Evaluation team

The evaluation team members were Dr. Florian Steinberg, Dr. Geetha Abayasekera, Ms Marja Edelman, and Mr Khizer Omer. Dr Steinberg as lead consultant assumed overall responsibility for the evaluation and covered the case studies in Africa, Latin America and the Caribbean, and the Global Youth Fund. Dr Abayasekera covered the Asian projects, except for the two Pakistan Projects which were handled by Mr Omer. Ms. Marja Edelman helped with the evaluation work in Haiti and Brazil.

Review dates

The field work was conducted during July-August 2014. The site visits and (most of the) interviews were undertaken during following dates: Mexico: 7-12 July; Haiti: 14-19 July; Brazil: 23-26 July; Kenya: 28 July – 2 August; Philippines: 15 – 20 July³¹; India: 21 - 24 July; Sri Lanka: 24 July - 1 August; Pakistan: 23 July – 8 August.

31 16 July: Typhoon in Manila (offices closed)

Limitations

The following limitations were encountered during the evaluation:

Shortcomings of data. Unavailability of measurable data on outputs, outcomes and impacts have limited the work of the consultants. Many of the projects reviewed did not have quantifiable outcome and impact data. The consultants have tried to compensate for this through an assessment of likely outcomes and impacts. And this case the evaluators used focus group discussions to formulate expected outcome and impact statements. Several of the projects visited will still need detailed assessments of outcomes and impacts, either as part of project completion reports or after the actual closure of these projects. For some projects, available reports were incomplete which limited also the ability for desk review.

Time frame of site visits. The available time for field work was too tight in several cases to develop “in-depth” understanding. This evaluation was supposed to be based on “in-depth” field work. What has been done in several cases was more a kind of rapid “review” than a real “evaluation”.

Availability of stakeholders. Availability of relevant local stakeholders and UN-Habitat and BASF staff was difficult in some cases, due to prior commitments (business and vacation travel). However, in all cases the consultants were able to meet a relevant quorum of relevant stakeholders.

Comparable indicators. The assumption of the TOR and the Inception Report was that the field work would generate measurable, i.e. quantifiable indicators. While this has been possible to some extent, it is not possible to present and analyse quantifiable indicators across all projects. Thus, the idea to generate quantifiable indicators, **s**pecific, **m**easurable, **a**chievable, **r**elevant and **t**imebound (e.g. SMART), could not be sustained. One limitation has been that the questionnaire had not been field-tested and finalised after such a test. The length of the questionnaire document proved also a double-edged tool, and prevented the consultants from collecting data for all indicators. Many of the interviewees and stakeholders were not in a position to provide quantifiable data.

Actual Project Costs. In several projects there has been substantial co-financing, by UN-Habitat or other partners. The most prominent cases are Brazil; Kenya-Kibera; and Mozambique.

- **Brazil:** UN-Habitat has extended substantially more personnel inputs than funded under the BASF inputs, and additionally, the city of São Paulo is expected to finance the USD 1.2 million construction of the community centre. This will likely be the case of highest cofinancing.
- **Kenya-Kibera:** The donations of various private sector entities seem substantive. So are the UN-Habitat staff contributions to the project.
- **Mozambique:** BASF Stiftung contribution: EUR 100,000. UN-Habitat contribution: EUR 126,000.

However, it was not possible to ascertain these cofinancing amounts, except in the case of Mozambique where UN-Habitat provided an estimate.

THE PROJECTS REVIEWED

04

THE PROJECTS REVIEWED

The project evaluation reviewed the following projects, but was not able to visit two of these in person (# 7 and # 11 could not be visited)³²:

Latin America and the Caribbean

- **Brazil:** Community Development in Vila Brasilândia, São Paulo.
- **Haití:** Shelter Resource Centre.
- **Mexico:** Water and Sanitation in Schools.

Asia

- **Sri Lanka:** New Fish Market.
- **Pakistan-Muzzaffarabad:** Primary School Reconstruction.
- **Pakistan-Thatta:** Shelter and Latrine Reconstruction.
- **India-Cuddalore:** Post-Tsunami Water and Sanitation.
- **Philippines:** Permanent Shelter Project.
- **India-Mangalore:** Water and Sanitation.

Africa

- **Kenya:** Kibera-Soweto East Resource Centre.
- **Kenya-Mandera:** Water and Sanitation.

³² The project in India-Cuddalore (# 7 of the list) was not visited since a project evaluation had been done recently, by an interview was held with the national consultant evaluator. In the case of the project in Kenya-Mandera County no site visit was possible, due to security issues, but the consultant met with a high-level local government representative and the implementing consultant.

Global

- **Global:** Urban Youth Fund - Youth Empowerment in Urban Development.
- **Global:** Urban Youth Fund - E-Learning.

The remaining projects, which were not visited, were examined through desk review:

- **China-Gansu:** Getting Children Back to School.
- **Myanmar:** Semi-permanent Schools.
- **Bangladesh:** High School cum Cyclone Shelter.
- **India – Nepal:** Koshi Water and Sanitation.
- **Mozambique:** Multifunctional Renewable Energy Centre.³³
- **China-Sichuan Province:** Reconstruction of Yongquan Primary School.

As can be seen from the grouping below, the majority of BASF Stiftung funds were used for emergency and recovery response projects. Youth empowerment, construction of water and sanitation systems and environmental education and capacity building in schools and communities have received much less attention.

³³ The principal consultant had the chance to meet with the UN-Habitat project leader of this project while in Nairobi. This helped to verify information received through reports and project documentation.



A visit of UN-Habitat Committee of Permanent Representatives visit of Beira, Mozambique.
© Ana Moreno/UN-Habitat

The following overview of projects draws upon the main findings in Section 5 for its summary of project performance. It concludes with a statement whether project results were ‘achieved’, ‘partly achieved’, ‘not achieved’. Where impact and outcome assessments were not available (i.e. project completion reports, or project evaluations), the evaluators have formulated “expected impacts” or “expected outcomes”.

The summary assessment of project performance uses the following ratings:³⁴

- Highly Satisfactory (5 stars) -No shortcomings
- Satisfactory (4 stars) -Minor shortcomings

- Moderately satisfactory (3 stars) - Moderate shortcomings
- Moderately Unsatisfactory (2 stars) - Significant shortcomings
- Unsatisfactory (1 star) - Major shortcomings

These scores lead to a summary score:

- Overall results achieved - for all ratings with 3-5 stars
- Overall results partially achieved – for ratings with 1-2 scores of red stars.
- Overall results not achieved – for ratings with more than 3 scores of red stars.

³⁴ The rating system is adapted from UN-Habitat’s rating system for project appraisal, prior to internal approval.

Emergency and recovery response

Haití:

Shelter Resource Centre³⁵



³⁵ Part of UN-Habitat's Emergency and Recovery Response to Haiti Earthquake.

| City/municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date ^a |
|-----------------------------------------------------------------|---------------------|-----------------------------------------------------------------------|----------------------|--------------------|----------------------------------------------------------------------------|------------|-----------------------------------------------|
| Port-au-Prince / Bristout Bobin of the Petionville municipality | 3.3 millions | 3,284 | 15 ha | 4,750 families | BASF Stiftung: EUR 200,000 (USD 261,986.99) (as per ROLAC Budget) | 04/2010 | Planned: 03/2012 Actual: 02/2013 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXXX | Relevance: Project highly relevant as emergency response. | | | | | |
| Effectiveness: | XXX | Effectiveness: Achieved expected results, despite difficulties | | | | | |
| Efficiency: | XXX | Efficiency: Limited cost-efficiency since Centre was rented only | | | | | |
| Impact: | XX | Impact: Expected impact not fully achieved. | | | | | |
| Replicability: | XXXXX | Replicability: Replication in other projects. | | | | | |
| Sustainability: | XX | Sustainability: Not possible since Centre has closed down. | | | | | |
| Project Results: | partially achieved. | Project Results: Expected impact and sustainability not yet achieved. | | | | | |

^a End Date of a project is defined as end of implementation period.

Project context:

This project is part of UN-Habitat's Emergency and Recovery Response to the Haiti Earthquake of 12 January 2010. UN-Habitat which has been active in Haiti for over 25 years has been assisting Haiti right after this major disaster. UN-Habitat's projects have covered a wide range of activities, like debris management in informal districts in Port-au-Prince; debris management in support of the return home of populations affected by the earthquake in Port-au-Prince; a programme to support the reconstruction of housing and neighbourhoods in Haiti; a programme for the neighbourhood reconstruction and planning for the return of disaster victims; reconstruction with a view to sustainable improvement of housing and living conditions of the population affected by the 2010 earthquake in the Southeast; participatory slum upgrading phase 1 and 2. The various support programmes,

funded by a large variety of donor agencies³⁶ have applied a number of important approaches which were subscribed to by the international donor community active in Haiti³⁷. In April 2012, UN-Habitat has estimated that the overall remaining housing need in Haiti over the next 10 years amounts to 500,000 units. This figure covers losses of housing units due to the earthquake, the number of families who will leave transitory camps and need to be accommodated, housing deficit prior to the earthquake and the projected population growth. The operational activities and contextual circumstances of UN-Habitat's project activities

³⁶ Haiti Reconstruction Fund; European Union; United States Agency for International Development; United Nations Development Programme; Agencia Española de Cooperación Internacional para el Desarrollo; Norwegian Refugee Council, and other UN agencies and international nongovernmental organisations.

³⁷ Haiti Reconstruction Fund; European Union; United States Agency for International Development; United Nations Development Programme; Agencia Española de Cooperación Internacional para el Desarrollo; Norwegian Refugee Council, and other UN agencies and international nongovernmental organisations.

form the environment for the BASF Stiftung-supported Shelter Resource Centre in Bristout Bobin of the Petionville municipality of Port-au-Prince. Bristout Bobin had been severely affected by the earthquake. 45 per cent of the houses were seriously damaged, and 40 per cent of the families had to leave their homes temporarily.

In 2010, UNOPS, the United Nations Office for Project Services, had suggested new houses be built in the project area, but – unfortunately – the collaboration with UN-Habitat and the community did not materialise. UN-Habitat put forward a self-help approach which UNOPS did not appreciate since it wanted to implement prefabricated shelter solutions without community participation. This must be seen as a major lost opportunity in terms of inter-agency collaboration, and later no external financial resources for housing construction in Bristout Bobin became available. The BASF Stiftung-supported Shelter Resource Centre in Bristout Bobin could rather have become a centre of “learning by doing” which would have added more value than training and awareness building.

The impacts and outcomes have been assessed by the evaluation. However, there is no detailed computation yet of outcome or impact data. Physical outputs are easily measurable already, while outcomes and impacts are indicative assessments of the evaluation team. During project preparation no logframe was developed, however, the grant agreement had identified outputs. Expected outcomes or impacts were omitted at project design.

Expected Impacts: The evaluation mission assumes the impact statement to be as follows: The project and the activities of the shelter resource centre will trigger improved and safer construction of homes in the target area. In the short run, as intangible impact, there is increased knowledge of safer construction.

Expected Outcomes: The evaluation mission assumes the outcome statement to be as follows: The shelter resource centre

has become the operational basis for the Bristou and Bobin Community, offering a meeting place and information on safer and anti-seismic construction, skills training and awareness for safer construction.

Outputs: The following outputs were verified by the mission: *Output 1:* establishment of the an operational shelter resource centre in July 2011 which provided support to shelter and neighborhood rebuilding in Bristout Bobin; *Output 2:* Convening of some 180 stakeholder meetings or focus group discussions in the shelter resource centre ; *Output 3:* training of 50 masons in anti-seismic construction through two 6 weeks training courses; *Output 4:* awareness raising programme on anti-seismic construction techniques for some 52 women, 44 homeowners, community leaders (elders), 12 construction materials vendors and block makers, and 450 school children (age groups 5-17 years); *Output 5:* construction of one model house (and one half-finished house for demonstration purposes); and *Output 6:* an exhibition of recommended safe construction technologies at the shelter resource centre which was visited by some 2,609 persons.

These outputs correspond largely with the outputs defined in the grant agreement. These activities did, however, not cover the intended targets of provision of training to authorities, or the construction of capacities of central and local government authorities. These targets seem to have been too ambitious for this rather small and limited project. Some of this, however, seems to have been covered by various other UN-Habitat projects.³⁸

Implementing partners. The project was implemented by UN-Habitat Haiti, with the help of the “Comité de Coordination Générale de Bristout-Bobin” and the Groupe Technologique Intermediaire d’Haiti , and the collaboration of the United

³⁸ These include the participatory identification of damaged and destroyed houses to determine readiness to receive homecoming displaced families; community based planning strategic urban and regional planning; capacity building of municipal institutions for reconstruction and local development; the support to preparation of anti-seismic construction technologies; and development support communication for the promotion of anti-seismic construction technologies.

Methodist Committee on Relief (UMCOR) which funded the rental of the shelter resource centre for the last 4 months in 2013.

Project Experiences:

What has worked well: Blending of BASF Stiftung project with pool of other UN-Habitat projects. Many positive inputs from BASF Stiftung project on construction technologies for other organisations' projects.

What has not worked well, and reasons for delays: Project had lengthy lapse times due to hectic work environment. Has not been able to become sustainable and leave behind a functioning Shelter Resource Centre.

Summary of lessons from the case

The project is an example of innovative advocacy for low-cost, safe anti-seismic construction technologies for housing. The BASF Stiftung-supported project has contributed to develop UN-Habitat's focus on awareness building in affected communities, and to advocate replication through various community resource centers. The assumption of the project design seems to have been that a shelter resource centre could trigger improved and safer construction of homes in the target area. This is a very relevant assumption. This assumed impact of improved construction in Bristout Bobin neighborhoods of Pétion-Ville municipality is, however, still elusive. There exists no baseline data that could serve as material for comparison, and empirical evidence

suggests that the lack of financial assistance has not permitted the application of adequate safe anti-seismic building standards so far. So far there is no hard evidence that the beneficiary families have been able to build (rebuild) their homes more safely, following low-cost anti-seismic construction technologies. The municipality seems unable to enforce anti-seismic construction.

UN-Habitat's Regional Office for Latin America and the Caribbean has stressed that the project was developed without sustainability in mind, due to the emergency situation. However, the evaluators, in line with the terms of reference for this evaluation, would like to point out, a shortcoming of this important project is its shortfall of sustainability. The shelter resource centre has been closed down, and it does not exist anymore since January 2014. The municipality or the "Comité de Coordination Générale de Bristout-Bobin" may not be able to reopen and sustain the shelter resource centre with own efforts and own resources. Thus, it would rather require an additional effort of UN-Habitat, with BASF Stiftung or other funding, to undertake a new initiative, a kind of retrofitting of the project to achieve sustainability. As stated in above, it would require a shelter resource centre with secure tenure, combined with a secure revenue stream (like through a cyber café; community pharmacy, etc.). As such it could achieve real sustainability. The importance of a community center as hub for meetings and community activities, for increasing their sense of ownership and belonging, should justify the "reopening" of the center, provided it is part of the municipality network.

Sri Lanka:

New Fish Market³⁹



Project context:

The tsunami of 26 December 2004 brought massive destruction to the settlements along most of the coast of Sri Lanka. 98,000 houses and the majority of community infrastructure including wells, drainage, community centers and schools were destroyed. Communities engaged in fisheries industries were among the most badly affected with tremendous loss of life and devastation to their livelihoods, homes, fishing gear, boats and markets. In the township of Galle, which was among the worst hit by the tsunami the main fish market was completely destroyed adversely affecting the livelihoods of the local fishing community.

UN-Habitat partnered with BASF Stiftung to construct a new fish market for the city of Galle within the framework for the UN-Habitat Strategy for Tsunami Recovery in Sri Lanka. While it was envisaged the new market would enhance livelihood options for small-scale fishing communities, it was also expected that the development would enable transfer of

³⁹ Title used in UN-Habitat Final Project Document: "Construction of a New Fish Market and Restaurant Complex".

| City/municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|----------------------------------------|-----------------------------------|-------------------------------|---------------------------------------------------------------------------------------------------------|---------------------------|----------------------------|------------|-------------------------------------|
| Galle | 112,252 (Galle Municipal Council) | 16.5 | 500 sqm (building area) | Local fishing communities | BASF Stiftung: USD 531,485 | 11/2005 | Planned: 10/2006 Actual: 08/2010 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | | XXXX | Relevance: The project was needed but the design was badly targeted. | | | | |
| Effectiveness: | | X | Effectiveness: Building completed but not functional. High cost, limited socio-economic impacts. | | | | |
| Efficiency: | | XX | Efficiency: Several items omitted to keep to budget. | | | | |
| Impact: | | X | Impact: Most outcomes not achieved. | | | | |
| Replicability: | | X | Replicability: Unsuitable for replication. | | | | |
| Sustainability: | | X | Sustainability: Project utilization low, maintenance training not effective. | | | | |
| Project Results: | | Not achieved. | Project Results: Project output does not serve its purpose. | | | | |

technology, support the local fishing fleet, promote tourism and ultimately enhance the well-being of the fishing community. A restaurant was added as a new feature to the redevelopment with a view to providing opportunities for apprenticeships, training and employment in fish processing and restaurant management.

The market building was completed, but with a 4 year delay and omission of some components. Project delay was, firstly, due to conflicting views presented by the stakeholders as to the suitability of re-building on the site of the original tsunami damaged market, and secondly, due to the design, procurement, and construction process itself taking 3 years instead of the planned project period of 1 year. The restaurant has proved unprofitable and is now being used as private office space. The take up of fish vending stalls is very low due to inability or unwillingness to pay the rents and other costs and many fish vendors have reverted to informal beach vending stalls.

The planned project goals and outputs for the purposes of this evaluation were as indicated in the project documents, including the Project Document and Progress reports. A Final Report and a logframe were not available.

Expected Impacts: The overall objective of the project was to improve the economic conditions of the devastated fishing community. It cannot be said that the project achieved this objective since the market is not being used by most of the previous stallholders, who have chosen the cheaper option of informal beach stalls.

Expected Outcomes: It was expected that the project would support the local fishing fleet, recreate livelihoods for local fisherman and seafood traders, create employment in the construction, restaurant management and hospitality industries, provide a market facility utilizing international best practice in technology

and hygiene, and build local capacities in all associated areas. The market facility with improved hygiene has been constructed, but a planned cold storage facility was not built due to lack of funds and the wastewater treatment plant became dysfunctional after the first year and is not in use due to operational neglect. The restaurant failed to function after a few years. Overall, most outcomes were not achieved.

Outputs: The planned and achieved outputs are as follows:

Output 1: New building for safe storage, display and trading of seafood, and an adjoining restaurant: The market building and restaurant has been completed to designed standards, but the cold storage facility has not been constructed due to fund shortage. *Output 2:* Employment and training of local work force for construction materials and techniques: A commercial construction contract was awarded with no special emphasis on employment or training. *Output 3:* Employment and training of local work force in restaurant and hospitality industry: Not successful because the restaurant failed to operate due to non-profitability.

Output 4: Improved sanitary situation: Has been provided. *Output 5:* Support to the fishing industry and local fishing community: Local fishing community is not using the facility to full extent. *Output 6:* Creation of an attraction for the local tourism industry: This has not been achieved.

Implementing partners: The project was implemented by UN-Habitat and BASF Stiftung, with the Galle Municipal Council, the District Fisheries Cooperative Society (representing fishing families), and the Fisheries Inspector of the Galle area as stakeholders. The architectural design and construction management was awarded to a local architectural firm through a tender process.

Project Experiences: What has worked well: Appointing a project director by UN-Habitat exclusively for project management resulted in resolving site selection issues among different stakeholders.

What has not worked well (and reasons for delays): The project is hardly in use by the intended recipients; The conflicting views on the site selection by stakeholders caused project delay; Attempting to introduce a new technology untested in Sri Lanka caused considerable delay to the project; The implementation focus was on the physical construction of the new market and the overall project objective to improve livelihood of the local fishing community was lost. Despite the high costs (the highest project budget among this group of BASF Stiftung-supported projects), the project has had limited socio-economic impacts so far.

Summary of lessons from the case:

The project presents two lessons to reflect on:

1. The project placed primary focus on the physical construction of the new market. The overall objective of the project to improve the livelihoods of the local fishing community was lost on the way. In parallel to constructing the market, the project should have included a component to assist the local fishing industry to adapt to the new facility, understanding the reality in which the fishing community is embedded.
2. The different requirements such as market vendor needs, affordability, and the objective of a modernised market facility have not come together to work well in this project and is a leading cause of the failure of the project. This points to an inadequacy in the approach and design of the stakeholder and community engagement process. Was the approach top heavy? Was the fishing community engaged in an interactive manner? How well did the user understand the consequences of the proposal? Solutions may lie in bridging the divide between the user, other stakeholders and the designer.

Pakistan-Muzaffarabad:

Primary School Reconstruction



Project context:

The 2005 earthquake in Pakistan devastated an area of 30,000 sqkm, killing over 80,000 people. Approximately 63,000 houses were destroyed making some three million people homeless. Over 5,300 schools were also destroyed. The physical disappearance of habitable land made many inhabitants land less. UN-Habitat, in response to earthquake provided technical, material and management assistance to the provincial government of Azad Jammu and Kashmir in its reconstruction efforts through a project known as “Technical and Training and Support the Earthquake Reconstruction and Rehabilitation Authority” and “Facilitating Access to Safer Land for Earthquake Victims”. The Earthquake reconstruction process was also recognized as an opportunity to ‘build back better’, by incorporating basic earthquake resistant techniques in all new or retrofitted houses, schools, services and urban centers.

| City/municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|-----------------------------------------------------------------|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------|----------------------|--------------------------------------------|-------------------------------|------------|--------------------------------------------|
| Muzaffarabad, Tariq Abad Locality, Azad Jammu and Kashmir (AJK) | App. 175,000 (INEGI 2010) | Approx. 350 | Approx. 5,500 Sq ft | 110 Students 5 teachers 100 families | BASF Stiftung: EUR 150,000 | 10/2008 | Planned: 09/2009 Actual: 04/2010 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXXX | Relevance: High, as seismically resistant school was critically needed for continuing education for girls in earthquake affected area. | | | | | |
| Effectiveness: | XXXX | Effectiveness: Effective delivery of results, though slightly delayed. | | | | | |
| Efficiency | XXXXX | Efficiency: Efficient use of resources through direct works execution by community and local civil works contracting to save cost. | | | | | |
| Impact: | XXXX | Impact: Many positive impacts but some yet to be measured. | | | | | |
| Replicability: | XXX | Replicability: Good potential for replication. | | | | | |
| Sustainability: | XXXXX | Sustainability: Local community and provincial Education Department is committed to sustain facilities. | | | | | |
| Project Results: achieved. | | Project Results: Good overall ratings | | | | | |

Experience and capacity of two years reconstructing rural houses was used by UN-Habitat to reconstruct a primary school for girls for this project endorsing peoples' aspiration to "build back better". Close support was provided by BASF-Pakistan in planning, design and execution of the project through coordination with the State Earthquake Reconstruction and Rehabilitation Agency (SERRA), Azad Jammu and Kashmir Education Department and earthquake affected community in implementing various project activities and promotion of achievements and results.

The project goal was to provide better and safer education facilities in earthquake affected areas through reconstruction of an earthquake resilient primary school building for girls in Tariqabad locality of Muzaffarabad. The previous school building

had been damaged during the earthquake, rendering the building unsafe for student occupation. Approximately 100 primary school going girls, hence, had been studying in a make shift school consisting of tents. The project was designed to provide these girls student with a safe, secure, and conducive learning environment inside a structurally resilient building with amenities such as appropriate water and sanitation facilities catering to the needs of school going girls⁴⁰, and also of girls with special needs.

⁴⁰ The Contribution Agreement stated the project to become a primary school for both boys and girls. UN-Habitat has clarified that it was only able to advocate to change the status of the school, but could not force the authorities. Moreover, the community's cultural sensitivities needed to be respected. UN-Habitat did try to convince the authorities of the relevance of a mixed school. UN-Habitat has emphasized it cannot be blamed for not trying to introduce a mixed school.

Project impacts and outcomes have not been defined in the project documents. The documents specify project; goal and objectives. Thus, impact and outcome statements are assessments of the evaluator. Project outputs, however have been defined in the project documents and are reportable.

Expected Impacts: Provision of better and safer education facilities in earthquake effected for primary school going girls will contribute to overall improvement in girls' (female) literacy rate. A safe and functioning school in the locality will produce many primary-educated girls who later may be able to attend secondary and tertiary education which will help them to attain a better quality of life. Also, a safe, structurally stable and functioning primary school may influence other parents/ community members to send their daughters to attend school which they previously may have not done so because of safety fears etc. Impact of this school in contributing to improve girls' education in Azad Jammu and Kashmir could continue for many years to come.

Expected Outcomes: At Objectives level, a safe and functioning primary school, with appropriate water and sanitation facilities, when properly staffed and maintained will manage to enroll and keep young girls in schools for them to be able to graduate in due time. With an estimated 40 girls graduating from the school every year, the number of primary educated girls in the community as well as the city will grow every year. Similarly, the project trained artisans in earthquake resistant construction, where they have already applied their acquired knowledge in past couple of years in earthquake related reconstructions of schools, houses, hospitals and offices, and may continue to do so in near future as many earthquake damaged schools, hospitals still await to be reconstructed.

Outputs: *Outputs 1 and 2:* An earthquake resilient primary school building with 4 classroom and sanitation facilities has been built, which now is being managed by the Azad Jammu and Kashmir Education department to run primary schooling activities for about 110 girls of the community. *Output 3.* Local skilled and unskilled labor was employed for school construction, with formal (through another UN-Habitat Programme) and on-the-job training in earthquake resistant construction techniques and skills. Exact numbers of which could not be ascertained. *Output 4:* Community as such was not involved in the actual construction activity, but facilitated the project construction phase through social support and onsite coordination between project related institutions such as Education Department, the State Earthquake Reconstruction and Rehabilitation Agency, and others. The community is involved in school safety through representation on the school management committee.

Implementing partners. UN-Habitat Pakistan directly executed the project. The National Engineering Service of Pakistan provided approved Earthquake resistant school structural design, (conventional reinforced cement concrete frame technique) with actual construction undertaken by local contractors. The Education Department partnered in project implementation by providing administrative and legal support in earmarking the land for construction, as well as taking over the school staffing, and undertaking operation and maintenance (operation and maintenance) activities of completed building. The State Earthquake Reconstruction and Rehabilitation Agency was a key partner as it provided the construction certifying function on approved designs and standards, and monitored construction. Other project partners included the National Vocational and Technical Training Authority and Technical Education and Vocational Training Authority, which provided constructions skills training for some of the workers and artisans employed.

Project Experiences

What has worked well: Successful and cost-effective reconstruction of seismic resistant girls' school building in a logistically challenged earthquake damaged mountain environment through local contracting and labor. School is being used for education purpose with Education Department taking full ownership of staffing and maintaining the school.

What has not worked well (and reasons for delays):

Less conscious project effort of community awareness/training in earthquake risk reduction and school safety. An overall project implementation plan (not just school construction plan) including both infrastructure component as well as soft component of community awareness training would have been a useful activity implementation tracking tool.

Summary of lessons from the case.

The project is a good example of addressing an articulated need through better design, execution, and implementation planning in consultation with, and through community and relevant partners' participation. The physical and institutional structure to sustain this school activity is in place and is performing well. Operation and maintenance costs, which generally are not part of such infrastructure projects, could be an issue that needs to be looked at while planning and designing similar interventions in future.

Pakistan-Thatta:

Shelter and Latrine Reconstruction



Project context

Exceptionally heavy monsoon rains in August 2010 ravaged 100,000 square kilometres of land in Pakistan affecting 20 million people. The floods damaged or destroyed almost 1.8 million homes across the country affecting 7,780 villages and 141 urban settlements in 84 out of a total of 121 districts of Pakistan, with 1,985 people losing their lives. Across the flood-affected areas of Pakistan, thousands of makeshift camps were erected to facilitate aid to the needy, and thousands of schools, colleges and other government and private facilities have been used to provide temporary shelter. Following the floods of 2010, UN-Habitat engaged in the ‘building back better’ housing programme in nearly 500 villages in 20 districts across Pakistan. Through the emergency response, UN-Habitat constructed 2,000 shelters and with the support of Government of Japan and other donors such as BASF / BASF Stiftung and DFID, supported 30,000 housing units’ construction, 2,420 water and sanitation schemes and 1,200 community facilities

in 422 villages. Apart from local co-financing to the project, close support was provided by BASF-Pakistan in planning, design and execution of the project through coordination with local District Management/ relief commissioner's office, social welfare department, local NGOs and the project related flood affected community in implementing the project activities.

Village Gul Mohammed Gandhro is located in Sonda Union Council, Thatta district, approximately 40 km from Thatta city. The village was 100 per cent affected by the 2010 floods; the entire village having been completely washed away by the floods. The District Government relocated the population to its current location on the hill that overlooks Sonda Town as a safer location. The total population of the village was about 113 families (791 people) before the floods, consisting mostly of fishermen with their livelihoods depending on fishing. Immediate relief for

food, shelter and medicine was provided by local authorities as well as NGOs. After the village's original location was declared as dangerous, the government then allocated new land to the villagers for permanent settlement. The new village location completely lacked services such as electricity, water supply, drainage, and schools. The only source for drinking water supply was through water pumps from Sonda Town. The project goal was to provide life-saving interventions and to improve quality of life of the flood-affected village through community self-recovery by shelter and sanitation facilities. The local community contributed, both through cash or in-kind. Cash contribution were designated for construction of roofs, in-kind contributions for labour. A local community organisation exists in the village which will pursue further village development.

| City/municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|---------------------------------------------------------------------|-----------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------|---------------------------|------------|-----------------------------|
| Thatta District, Soonda Union Council Gul Mohammad Village, Gandhro | Soonda Union Council: approx. 18,000 | Not available | approx. 0.5 sqkm | approx. 800 persons / 113 Families | BASF Stiftung: EUR 61,633 | 02/2012 | Planned and actual: 06/2012 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXXX | Relevance: High, as shelters and WASH needed for flood victims. | | | | | |
| Effectiveness: | XXXXX | Effectiveness: Effective delivery of results. | | | | | |
| Efficiency: | XXXXX | Efficiency: Efficient use of resources through direct works execution by community and community contribution. | | | | | |
| Impact: | XXXX | Impact: Many positive impacts but some yet to be measured. | | | | | |
| Replicability: | XXX | Replicability: Good potential for replication. | | | | | |
| Sustainability: | XXXXX | Sustainability: Local community is committed to sustain facilities. | | | | | |
| Project Results: achieved. | Project Results: Good overall ratings. | | | | | | |

Project impacts and outcomes have not been defined in the project documents. Project goal and objective, though not specifically stated as such, can be inferred from the project documents. Thus, impact and outcome statements are assessments of the evaluator. Project outputs, however have been defined in the project documents and is reportable.

Expected Impacts: At goal level, provision of basic necessities of life such shelter, accesses to services and utilities, and improved livelihood will contribute to the socio-economic recovery and progression of this community. From being rendered completely land less by floods with almost no tangible assets, the village population has now progressed in a very short time through a self-recovery process where they now have legal rights to land at a safe and new location, with improved social and physical infrastructure. Impact of this development could contribute to this village's sustainability for years to come.

Expected Outcomes: Provision of adequate living space according to government standards and application of healthy sanitation concepts, with appropriate water supply, sewage disposal and community open spaces. When maintained properly by the village community, the project will contribute to overall improvement in the community's quality of life. Also, the social structure of a community based organisation will have improved planning capacity. This could provide means for further village development.

Outputs: *Output 1:* 113 shelters (one per household); *Output 2:* 42 community latrines (approximately 1 latrines for a cluster of 5-6 households); *Output 3:* community open space and meeting areas; *Output 4:* a water storage and distribution tank, a sewage treatment and disposal system connected to most latrines; and *Output 5:* landscaping of community areas.

Implementing partners. UN-Habitat Pakistan executed the project, with the support of various departments of the Government of Sindh, as well as local Sonda based NGO, Action for Rural and Coastal Development The Thatta Commissioners' and Revenue Department supported the project by working with the community to acquire legal land papers. The Social Welfare Department provided administrative and material support to both community as well as the project for project implementation inputs, and Action for Rural and Coastal Development was instrumental in mobilizing and organizing the village community for construction participation procurement management of construction materials for the community.

Project Experiences

What has worked well: Project financial contribution to construction of some elements (water tank, community latrines, sewage treatment, community social meeting structures, landscaping) has enabled re-settlement of flood destroyed village as an overall physically and socially planned settlement on sphere standards and Total sanitation concepts, as a model village. Costs and labor contribution from the community in shelters construction has promoted community ownership of the project, where women have also now acquired legal right and title to constructed shelters and land.

What has not worked well (and reasons for delays): Community capacity to plan, design, finance, and implement any further development activity in the village for continued village socio-economic development is weak. Not much capacity development during project implementation, or post project support in community capacity development.

Summary of lessons from the case

The project is a good example of addressing an articulated need through provision of better standards for improved living conditions responding to basic human needs. When design, executed and implemented through community involvement and contribution to promote ownership, and support and participation of relevant partners, application of these standards become

sustainable. The physical and institutional structure to sustain better living standard are in place, with the community taking ownership of its performance and maintenance. Continued improvement in community physical infrastructure, by the community on its own, could be an issue for further exploration or to be addressed more comprehensively in planning and designing similar interventions in future.

India – Cuddalore:

Post Tsunami Water and Sanitation Reconstruction⁴¹



Project context

The tsunami of December 2004 hit the southern and eastern coastal areas of India infiltrating inland up to 3 km causing extensive damage. In the Cuddalore district, 51 villages were affected with 617 deaths and 15,200 households displaced. Among the survivors, women and women-headed households were made more vulnerable because they had to deal with loss of livelihood as well as take care of dependents. 3,000 people have been affected with minor or major disability after the tsunami, with one third of these being loss of limb or eyesight. The tsunami had an environmental impact that included water pollution and ingress of salinity on shallow wells that are a primary source of water for many people.

The project goal was to promote adaptation of communities living in natural calamity prone coastal areas of Cuddalore district by supporting the design, implementation and management of

41 The evaluation was conducted mainly through available project documents including an external evaluation report, and supported by phone discussions wherever possible. A field visit has not been undertaken and no beneficiary interviews have been conducted.

community owned water and sanitation systems and accessible to all members of the community. The two components of the project was contracted by UN-Habitat to two local NGO partners; Component 1, relating to the provision of safe water and sanitation facilities for tsunami affected villages to Foundation for Ecological Research Advocacy and Learning (FERAL), and Component 2, relating to improved access to public spaces for improving the quality of life and enhancing the livelihoods for people with disabilities to Leonard Cheshire Disability UK (LCD).

The project goals and planned outputs for the evaluation were as indicated in the project documents, including the Contribution Agreement and the Agreements between UN-Habitat and Foundation for Ecological Research Advocacy and Learning , and UN-Habitat and Leonard Cheshire Disability UK . A logframe for Foundation for Ecological Research Advocacy and Learning's component is available in the evaluation report prepared by Foundation for Ecological Research Advocacy and Learning on project completion.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|----------------------------------------|----------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------------------------------------------|
| Cuddalore District | 2,605,914 (2011 census) | 3,564 | Data not available | FERAL component: - 13,500 people in 16 villages LCD component: 2000 people in 25 Panchayats | USD 296,584 FERAL component: BASF Stiftung USD 168,000 + FERAL to contribute USD 242,000 (in cash/kind); LCD component: BASF Stiftung: USD 98,000 + LCD to contribute \$50,000 (in cash/kind) | 04/2009 | Planned: 08/2011 Actual: 01/2012 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | | XXXXX | Relevance: Responded to two sets of specific needs of the affected community. | | | | |
| Effectiveness: | | XXXXX | Effectiveness: Designed as two components successful in addressing needs. | | | | |
| Efficiency: | | XXXX | Efficiency: Specific relevant expertise of implementing agencies kept costs low. | | | | |
| Impact: | | XXXX | Impact: Achieving full behavioral change may need more support. | | | | |
| Replicability: | | XXXXX | Replicability: Suitable for replication in similar context. | | | | |
| Sustainability: | | XXX | Sustainability: User pay maintenance costs may affect sustainability. | | | | |
| Project Results: Achieved. | | Project Results: Project was successful in bringing benefits to whole community. | | | | | |

Impacts: The project has directly enhanced the well-being and quality of life of 13,500 people in 14 disaster prone coastal village communities by improved drinking water security and sanitation facilities while providing a sense of personal well being and quality of life and livelihood opportunities for 1,147 people with disabilities in 25 Panchayats in Cuddalore district.

Outcomes: Foundation for Ecological Research Advocacy and Learning has implemented water and sanitation improvements in 14 villages in Cuddalore, with (i) Increased access to a minimum of 13,500 people, including people with disabilities, in terms of individual and community owned and managed water and sanitation facilities; (ii) Improved water and sanitation infrastructure in schools, with special focus on girl's toilets and urinals thereby providing opportunities for girls to attend school; (iii) Demonstrative effect of innovative and environmentally suitable technologies for hand pumps, water harvesting structures and toilets. Leonard Cheshire Disability UK has addressed the needs of people with disabilities in 25 Panchayats (Village Councils) by providing access to public places to 1,147 people with disabilities and enhanced their livelihood opportunities by (i) Greater recognition and sensitisation of communities towards people with disabilities; (ii) Improved access to public places for people with disabilities and the old and infirm when accessing schools, public health centres and Post Offices; (iii) Establishing self-help groups and community support groups to encourage active functioning and mutual support amongst people with disabilities; (iv) Establishing a Disability Resource Centre as a district level nodal institutional set up for promoting the rights and opportunities for people with disabilities.

Outputs: Foundation for Ecological Research Advocacy and Learning – *Output 1:* Water and sanitation improvements in terms of installing 69 hand pumps in 12 villages and 4 schools; *Output 2:* 5 community owned water supply points with pump and storage in 4 villages; *Output 3:* Eco-San toilets in 33 households; *Output 4:* toilet blocks in 9 schools including girls urinals in 9 schools in 9 villages; *Output 5:* 13 rainwater harvesting installations in 7 villages; *Output 6:* stormwater drainage improvements in 5 villages; *Output 7:* self-managed water and sanitation infrastructure through the setting up of a WASH committee in each village drawing on existing institutions such as the Panchayat and self-help groups, training in maintenance and sanitation awareness programmes.

Leonard Cheshire Disability UK – *Output 1:* Disabled friendly public access infrastructure in 3 government schools, 2 primary health centres, and 1 post office; *Output 2:* formation of self help groups; awareness activities conducted to access information on disability benefits, micro credit, and as peer support groups; *Output 3:* establishment of a Disability Resource Centre to provide comprehensive disability assistance in the district including physiotherapy, technical support, information and register centre, and for liaison with government.

Implementing partners: Foundation for Ecological Research, Advocacy and Learning ; Leonard Chesire Disability UK

Project Experiences

What has worked well: Providing sanitary facilities for girls has enabled them to attend school which previously they were reluctant to do; The project addressed twin challenges of providing water to the neediest in Dalit villages in a coastal area where finding fresh water was a challenge; A Disability Resource Center was set up which successfully works as a one-stop-shop to conveniently link disabled people to government authorities and other services and improve their well-being.

What has not worked well (and reasons for delays): The water infrastructure provided appears to be having problems from inadequate funds for maintenance. A period of handholding post-project would have added much value to project sustainability.

Summary of lessons from the case

1. The Disaster Resource Centre is proving to be having a considerable impact after 2 years of operation. It has formed linkages with various relevant government departments, raised funds for its operations, and is generating a database for disability and proving to be a very valuable asset to improve the lives of disabled people. It is worth investigating what are the key factors that contributed to its success and whether these could be adopted for projects in other thematic areas to widen its reach. The available post-project evaluation, done by a national consultant, does not provide these answers.
2. The sustainability of the infrastructure is affected by lack of funding for maintenance and the community not being fully engaged in maintaining facilities. This type of project could have much better outcomes and impacts in the long term if there was a post-project handholding period to provide the necessary institutional support and establish a maintenance regime.

Philippines:

Permanent Shelter Project⁴²



Project context

Tropical Storm Ketsana, locally known as ‘Ondoy’, swept across Metro Manila and parts of Central Luzon in September 2009, bringing a month’s rainfall in 12 hours. Among the cities in Metro Manila, Quezon City and Caloocan City were most badly hit given that they have the highest slum populations in Metro Manila. Barangay 185, where the project was conducted, was the worst affected in Caloocan City with families living along riverbanks and under the bridge along creeks, being rendered homeless. In Caloocan City, 12,000 families and 60,000 people were affected by the typhoon, one of the highest numbers registered among the cities and municipalities of Metro Manila. Twenty-three months after the typhoon there were 61 families remaining in Barangay 185 living in the evacuation center or the staging area, with around 500 more families in Caloocan City needing to be relocated as their houses were located in areas declared by government as uninhabitable.

⁴² The original project to support 28 families affected by Typhoon Ketsana in Barangay Bagong Silangon, Quezon City, Metro Manila was subsequently changed to a new project for 30 families in Camia Street, Barangay 185, Caloocan City, Metro Manila.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|----------------------------------------|-------------------------------|-----------------------------------------------------------------------------------------|-------------------------|-----------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------------------------------------------------|
| Caloocan City, Metro Manila | 1,489,040 (2010 census) | 55.8 | 1,525 sqm | 30 families (planned in Contribution Agreement with implementing partners); 31 families (actual) | BASF Stiftung: USD 36,630 Total Project Budget: USD 68,000 (BASF Stiftung: Pesos 1,317,477; BDOF Pesos 1,600,000; ANCOP Pesos 82,523 = Pesos 3,000,000) | 1/6/10 Amendment: 01/2011 | Planned: 31/10/2010 Amendment: 02/2012 Actual: 05/2012 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXXX | Relevance: Families in slum areas were affected worst and needed support. | | | | | |
| Effectiveness: | XXXX | Effectiveness: Generally good results but livelihood training not well targeted. | | | | | |
| Efficiency: | XXXX | Efficiency: Volunteerism and additional fund raising supported the project. | | | | | |
| Impact: | XXXX | Impact: Security of tenure acted as an incentive to improve quality of life. | | | | | |
| Replicability: | X | Replicability: Mandatory faith based component is problematic. | | | | | |
| Sustainability: | XXXXX | Sustainability: Strong community organisation contributes to maintenance. | | | | | |
| Project Results: Achieved. | | Project Results: An efficiently implemented project. | | | | | |

The original proposal as described in the Contribution Agreement between UN-Habitat and BASF Stiftung was to support 28 of the 1000 affected families living in Barangay Bagong Silangan in Quezon City by providing them with a permanent shelter in a resettlement site of the Homeless People's Federation of the Philippines (HPFP) in Rodriguez in Rizal province adjacent to Metro Manila. The proposal envisaged a community-led project with houses constructed through loans issued by Homeless People's Federation of the Philippines. Livelihood assistance and skills training were included to enhance employability and generate income to pay for the loan. Homeless People's Federation of the Philippines would provide technical supervision and also conduct community organisation, introduce savings mobiliza-

tion to the families, and collaborate with the Local Government Unit (LGU) for site development and basic services support. The implementation timeframe was 5 months. However, subsequent to a technical assessment conducted, the proposed site was found to be not feasible based on the cost of site development needed.

The project was amended with a new Project Document. In April 2011, a potential implementing partner, Couples for Christ Answering the Cry of the Poor (CFC ANCOP) Foundation, a non-profit, faith-based organisation, recommended a site. Eventually, after further feasibility study, Couples for Christ Answering the Cry of the Poor Foundation recommended third site, which became the current site, where 12 houses were already being constructed by Couples for Christ Answering the Cry of

the Poor. The National Housing Authority (NHA), which owned the site, agreed to make land available for the project families under a Land Acquisition Agreement. The site was already provided with power and water lines and the Local Government Unit would assist with lot preparation costs. Based on a UN-Habitat assessment the proposed site was found to comply with project requirements. The implementation was awarded to Couples for Christ Answering the Cry of the Poor as it had considerable experience with construction of permanent housing for disaster-affected communities, as well as having already established teams, systems, and access to material providers to support a quick and efficient start-up for construction on this site. Couples for Christ Answering the Cry of the Poor was to provide 30 housing units of permanent construction to a specified floor plan to house 30 families. Couples for Christ Answering the Cry of the Poor was also to provide community organizing, values formation and community development programmes for the beneficiaries. The Project Document mentions that livelihood assistance and skills training will be provided to enhance employability but by whom was not clear. The implementation timeframe was 14 months from January 2011 to February 2012.

Within the new arrangement, the cost of each permanent house to be delivered by the project was found to cost twice (PHP100,000), as against the cost of a house under the previously proposed loan-based project (PHP50,000). BDO Foundation (BDOF) of the Philippines (belonging to the Banco de Oro Bank) joined as an additional funding partner in a 50-50 funding arrangement together with BASF Stiftung. A Memorandum of Agreement was signed in September 2011 by the parties, UN-Habitat, Couples for Christ Answering the Cry of the Poor, BDO Foundation, and National Housing Authority to conduct the project to be known as BDO Foundation UN-Habitat ANCOF HOMES. The intention was to construct 30 houses on the agreed site.

The initial project document included a logframe but this had not been updated when the project changed to a new site. Project objectives for the purposes of this evaluation were as indicated in the revised Agreement between UN-Habitat and Couples for Christ Answering the Cry of the Poor.

Impacts: The overall objective of the revised project was the improvement in living conditions of 30 families who lost their shelter, through the provision of permanent shelter, livelihoods, skills training, and values formation. Community organisation and mobilisation through the formation of a community association has been successful and it has strengthened and empowered the community. Security of tenure resulting from the provision of permanent housing has the potential of providing access to better employment opportunities and a higher living standard for the 31 families through the project.

Outcomes: The project has improved the living conditions of 31 families affected by typhoon Ketsana by providing them with a permanent house and security of tenure. Livelihood training was not targeted appropriately, and did not generate as much results as intended. However, the families used their newfound status of having a permanent house to establish home businesses such as home front shops. An active community association has been established which looks after the interests of the community.

Outputs: The planned and achieved outputs are as follows: *Output 1:* The site was formally agreed to be provided for the project through the partnership of project partners. *Output 2:* Permanent shelters occupied by 30 families: The target was exceeded and 31 permanent houses were completed and occupied by 31 families. In addition, the BDO Foundation donated a multi-purpose hall for community use. *Output 3:* Community organisations functioning with policies and systems on savings, organisational, estate, and project management written and being implemented: The community was organized with the formation of the Kapit-

bahayan Camia Homes Association, which is very active in the community. Beneficiaries, both husband and wife, complied with the Couples for Christ Answering the Cry of the Poor requirement to undertake formation tracts of Couples for Christ (membership training, values and spiritual formations programmes) before any construction was started in their houses. *Output 4:* Livelihood activities ongoing and families trained on employable skills: A livelihood training programme was conducted through the Philippines Technical Education and Skills Development Authority (TESDA) and through Couples for Christ Answering the Cry of the Poor, but the general consensus was that this did not get sufficient emphasis and was not effective. However, livelihood activities are ongoing in the community through people's initiative to suit their needs. *Output 5:* Documentation of advocacy activities/ agreements with the NHA on land provision, site development, and provision of basic services: Land provision for the project through National Housing Authority, and site development and provision of basic services through the Local Government Unit were accomplished as envisaged. Lot purchase and payment agreements for National Housing Authority awardees have not yet been finalized.

Implementing partners: UN-Habitat: Overall supervision and coordination among project partners and linking the project with Government's national support initiatives. Couples for Christ Answering the Cry of the Poor: Overall responsibility for shelter and livelihood support delivery. BDO Foundation: Donation of funds. National Housing Authority: Provision of land, site development, and coordination of municipal basic services.

Project Experiences

What has worked well: Commitment of the UN-Habitat local office was instrumental in bringing the project back on track through an intense effort to find an alternative site for the project; UN-Habitat local office effectively managed and coor-

minated the key stakeholder multi-partnerships to bring a good project outcome.

What has not worked well (and reasons for delays):

The land selected for the project was found not feasible and caused delay; the faith-based implementing partner had a mandatory requirement of values formation for beneficiaries.

Summary of lessons from the case

1. The project budget did not include site development costs. It was assumed that local government would absorb this cost but the earmarked site turned out to be exorbitantly expensive to provide basic infrastructure. It took sustained effort by the local UN-Habitat office to find an alternative site and rescue the project. It should be kept in mind that land development costs are a substantial component of a resettlement project and the risks need to be factored in from the outset.
2. The original proposal was for a community-led and loans supported project. The revised project was delivered by a faith-based organisation, which although resulted in efficient delivery, tied a mandatory values based and spiritual development programme to the project. This does not appear to be problematic in this particular context but the presumption that the beneficiary community will willingly accept faith-based values development should not be taken for granted. Care should be taken in applying this approach on a wider scale.

China – Gansu:

Getting Children Back to School



Project context

A massive earthquake measuring 8.0 on the Richter scale struck southwestern China on 12 May 2008, leaving 88,000 people dead or missing and nearly 400,000 injured. Five million people were left homeless with homes damaged and destroyed by the earthquake. Schools, hospitals, roads, and water systems also sustained serious damage. Gansu was the second hardest hit province, with more than 5 million people affected, 365 killed, and more than 10,000 injured. More than 6,500 schools in Gansu Province were damaged by the earthquake. UN-Habitat, with funding partner BASF Stiftung, supported UNICEF in its overall emergency response to restore access to education services in rural areas of Longnan Prefecture in Gansu Province and reduce the risk of children falling behind in school.

| City/municipality | Population | Size of city (sqkm) | Size of project area (sqm) | # of beneficiaries | Project budget | Start date | End date |
|-------------------------------------------------------------------------------------|---------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------|------------|-------------------------------------|
| Haolin, Shajing, Shaoyu, Shili, Xigaoshan Villages, Shixia Township, Gansu Province | 25.64 million | 425,800 (Gansu Province) | Not available | 1,745 School Children | BASF Stiftung: USD 140,428 | 09/2008 | Planned: 03/2009 Actual: 10/2008 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | | XXXX | Relevance: Government had already dealt with first emergency needs, but project support was of high relevance. | | | | |
| Effectiveness: | | XXXXX | Effectiveness: Outputs achieved within short time frame. | | | | |
| Efficiency: | | XXXXX | Efficiency: Post-project usefulness of transitional facilities. | | | | |
| Impact: | | XXXX | Impact: Project is only designed for short-term impact. | | | | |
| Replicability: | | XXXXX | Replicability: Easily replicable. | | | | |
| Sustainability: | | XXXXX | Sustainability: Future usability of buildings. | | | | |
| Project Results: Achieved. | | | Project Results: A successful project. | | | | |

The project was to provide prefabricated classrooms in mountainous areas severely affected by the 2008 earthquake so that school children may resume their education. The purpose of the project as indicated in the Basic Agreement Document is to provide around 22 prefabricated school buildings for approximately 1,100 children so that they may resume their education and regain a sense of normalcy. The final report states that the project constructed 16 prefabricated classrooms for around 1,745 children in 4 schools and indicates outputs and outcomes have been achieved as planned.

A logframe was not available. The evaluation was carried out using the available reports consisting of the Agreement between UNICEF and UN-Habitat, one progress report and the final report by UNICEF.

Impacts: 1,745 school children in the earthquake-affected area have resumed their education with a heightened feeling of safety and security while regaining a sense of normalcy.

Outcomes: School children targeted by the project are continuing with their education and the risk of falling behind in school has been reduced.

Outputs: 16 prefabricated classrooms of 72 sqm each were constructed in 4 schools in the remote rural areas of the Gansu Province. Each prefabricated unit, partitioned into 2 or 3 classrooms, accommodates 50 to 60 students in accordance with the needs of the school.

Implementing partners: Supported by funds from UN-Habitat, UNICEF implemented the project while coordinating with the Ministry of Education, the Gansu Provincial Education Committee, local education authorities, and relevant government counterparts. UNICEF had sourced prefab units from a factory in China prior to the commencement of the project.

Project Experiences

What has worked well: The original proposal of emergency tents was changed to a more expensive but longer lasting prefab classrooms, which could have alternative uses even after the permanent structures are rebuilt. The project was completed very rapidly.

What has not worked well (and reasons for delays): Heavy rain and difficulty of terrain caused delays in project implementation.

Summary of Lessons from the case

The decision to provide the more expensive prefabricated classrooms worked well because they created a sense of permanency and security for the children affected by the earthquake while having the possibility of alternate use after permanent school buildings are reconstructed. Implementation challenges were experienced due to two main reasons: firstly, the school sites were in very remote mountainous areas with poor roads and difficult access to vehicles and, secondly, heavy rains in some areas hindered the work. However, these difficult challenges were overcome through the concerted efforts of UNICEF, local education authorities and local communities, and the construction of classrooms was completed within a period of one month.

Myanmar:

Semi-permanent Schools ⁴³



Project context

Cyclone Nargis struck Myanmar on 2 May 2008, making landfall in the Ayeyarwady Division. Forty townships in Yangon and seven townships in Ayeyarwady Division were designated as disaster areas, with an estimated 2.5 million people affected and an estimated 87.5 per cent in the delta areas destroyed, and an estimated 3,500 school buildings destroyed or damaged. In the cyclone aftermath, BASF Stiftung and UN-Habitat partnership for emergency responses extended support to the needs of those affected by Cyclone Nargis through the project.

Due to the destruction of school buildings and the usage of schools as collective centers for displaced populations, there was an urgent need to provide classrooms for schools in order for the children to resume their routine and regain normalcy. The initial proposal was to provide multi-purpose tents within a period of 3 months. However, subsequent to discussions with the Ministry of Social Welfare and Resettlement, the scope was adjusted in line with the government requirement to construct 22 semi-permanent schools

| City municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|------------------------------------------------------|-------------------------------------------------------------------|---------------------|----------------------------------------------------------------------|---------------------------------------------------------------------------|----------------------------|------------|-------------------------------------|
| Dedaye, Phya Pon, Bogale, Townships Ayeyarwady Delta | 3.5 million (ASEAN Regional Centre for Biodiversity Conservation) | 35,140 | Not available | 22 villages in 3 townships. Primary beneficiaries: 5,000 school children. | BASF Stiftung: USD 154,096 | 07/2008 | Planned: 09/2008 Actual: 09/2009 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | | XXXXX | Relevance: Project was improved to address a real need. | | | | |
| Effectiveness: | | XXXXX | Effectiveness: The project delivered wider flow-on benefits. | | | | |
| Efficiency: | | XXXXX | Efficiency: Community contacts were highly efficient. | | | | |
| Impact: | | XXXX | Impact: Uncertainty about acceptance by all villages. | | | | |
| Replicability: | | XXXXX | Replicability: Very suitable for replication. | | | | |
| Sustainability: | | XXXXX | Sustainability: Local based technology allows community maintenance. | | | | |
| Project Results: Achieved. | | | Project Results: A successful project with good overall ratings. | | | | |

with the project time frame revised to 15 months. The amended objective was to construct 22 environmentally friendly semi-permanent schools in the 22 most needy villages in 3 townships. The project was conducted through a comprehensive participatory approach adopting UN-Habitat's 'Peoples Process', which supports and facilitates the affected communities to play a major role in prioritisation of needs, project design and implementation.

The evaluation was carried out using progress reports and a project final report produced by UN-Habitat for this project. A logframe was not prepared. The project objectives and planned outputs were stated in the project final report.

Impacts: The immediate and direct impact of the project was that 5,000 children in 22 villages were able to resume their schooling and regain normalcy. Apart from the direct impact to the school children significant indirect and wider impacts arising

from the People's Process flowed on to the village communities. The village communities were empowered through fully participating in the project and gaining knowledge, skills, and decision-making experience and being more aware, organised, informed and taking ownership of their own development by being fully involved in the school building process.

Outcomes: The project provided for the resumption of schooling for 5,000 children in 22 villages affected by disruption of education caused by the cyclone. Through the comprehensive involvement in the design and implementation process of the school, the village communities gained knowledge, skills, and decision-making experience while becoming more aware, organised, informed and taking ownership of the village development. Implementation of Community Contracts provided opportunities for partnership development, consensus building, community contributions, transparency in project implementation, and strengthened women's role in development activities.

Outputs: The primary output of environmentally friendly 22 semi-permanent school buildings (14m x 8m) in 22 villages has been achieved as planned. The planned and achieved secondary outputs are as follows. *Output 1:* Community mobilization and empowerment: The communities were supported to organize themselves and were empowered to take action collectively by developing their own plan and strategy for recovery. *Output 2:* Training and capacity building: Communities participated directly in project development supported through capacity building and training activities. The Disaster Risk Reduction on-the-job-training provided the necessary technical knowledge to build natural disaster resistant schools with materials available in the region in order to reduce cyclone related risks. *Output 3:* Implementation of Community Contracts: Physical works identified by the communities in Community Action Plans were implemented through Community Contracts which provided for partnership development, consensus building, community contribution, and transparency in project implementation, and strengthened women's role in development activities. *Output 4:* Women's participation and empowerment: Participation and empowerment of local women were facilitated through skill training and capacity building, and the formation of school construction committees where the treasurer of each committee was represented by a woman, and 40 per cent of committee members were women. *Output 5:* Participatory monitoring: Joint monitoring was conducted involving all stakeholders including community committees and beneficiaries to ensure the quality of outputs and transparency of fund allocation.

Implementing partners: UN-Habitat partnered with Ministry of Social Welfare, Relief and Resettlement, Ministry of Health, UN agencies, and NGOs to implement the project while a team of village based organisations was closely involved in the implementation at ground level. The project was implemented through a participatory approach and applied the 'Peoples Process'

where the direct involvement of the affected communities in the decision-making activities was facilitated with UN-Habitat providing technical support. Village level representation was through School Construction Committees, which were formed through the project in the beneficiary villages. The School Construction Committees supported by UN-Habitat facilitated the implementation process in close coordination with Teacher Parent Association, Village Peace and Development Committees and Township Education Officers. Following the participatory approach, beneficiary village selection was conducted through a process of participation of the community and consultation with the Village Peace and Development Committees, and the construction of the buildings was undertaken through Community Contracts awarded to the community to carry out the physical works.

Project Experiences

What has worked well: 'Peoples Process' has been well received, and also the use of local materials and technology.

What has not worked well (and reasons for delays):

Some villages wavered on their commitment to the project, which caused project delays.

Summary of lessons from the case:

Although community mobilization was successful it needs to be strengthened to avoid change of decisions where school construction was accepted in some villages and later on rejected, affecting the timely implementation of the project. It is suggested in the documentation that more frequent visits to villages by facilitators and technical staff will achieve better quality work by village communities and build stronger trust and confidence.

Bangladesh:

High School cum Cyclone Shelter



Project context

Southern districts of Bangladesh were severely hit by powerful Cyclone SIDR in November 2007. More than 9 million people were affected and the death toll was 4000. A strong wind and tidal surge caused widespread destruction of buildings including housing, schools and health facilities. An estimated 2,240 school buildings were totally damaged and an additional 11,490 partially damaged in the affected districts. Subidkhal High School in Mirzaganj Upazila in Patuakhali district was badly affected with its buildings seriously damaged. The school was established in 1934, and currently caters to 1,500 students in primary and high school sections while serving a catchment area of 65,000 people. The school complex had several buildings and also a cyclone shelter in its compound that could serve 300 people only. When the cyclone struck people ran to this shelter, which was inadequate for all and 231 lives were lost in this area. UN-Habitat and BASF Stiftung partnership extended

their support to construct a building that will serve as a school cum cyclone shelter in the area of Mirzaganj, Patuakhali.

The planned outputs were stated in the UN-Habitat and BASF Stiftung Contribution Agreement as construction of a two-storey multi-purpose community shelter, which also serves as a school building. The project was to construct a building to replace a severely damaged structure in the Subidkhali High School building complex. The buildings in the compound vary in their physical condition and a phased reconstruction plan has been prepared for this project.

The progress reports and the project completion report describe the progress of construction and the completion of the high school building cum cyclone shelter. A logframe was not available. The evaluation was carried out using progress reports and a project completion report.

Impacts: The rebuilt school building serves as a cyclone shelter for 2,500 people of the school and the surrounding community in case of need while the restored educational facility provides improved educational services to benefit the 1,500 students of the school.

Outcomes: School children can resume their education in the restored and improved facility, which can also serve in its entirety as an emergency shelter to accommodate 2,500 people in the school and nearby community.

Outputs: Initially a two-storey structure was planned. Upon request of the school, this was changed to a three-storey construction. The request for change was endorsed by BASF Stiftung. Hence, a three-story school building cum cyclone shelter has been constructed and is in use. It constitutes a three-storey

| City/municipality | Population | Size of city (sqkm) | Size of project area (sqm) | # of beneficiaries | Project budget | Start date | End date |
|-------------------------------------------------------------------------------------------------|-----------------------|---------------------|------------------------------------------------------------------|--------------------|----------------------------|------------|-------------------------------------|
| Subidkhali High School, Mirzaganj Upazila, Patuakhali District Mirzaganj Upazila (Sub district) | 121,716 (Census 2011) | 167.18 | 206 sqm per floor | 1,500 students | BASF Stiftung: USD 115,353 | 09/2008 | Planned: 08/2009 Actual: 05/2010 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | | XXXXX | Relevance: The project responded to a dire need. | | | | |
| Effectiveness: | | XXXXX | Effectiveness: Good results with local inputs. | | | | |
| Efficiency: | | XXXX | Efficiency: The project ran over time. | | | | |
| Impact: | | XXXXX | Impact: Positive impacts to school and community. | | | | |
| Replicability: | | XXXXX | Replicability: Suitable for replication in similar context. | | | | |
| Sustainability: | | XXXXX | Sustainability: A low maintenance and energy efficient building. | | | | |
| Project Results: Achieved. | | | Project Results: A successful project with good overall ratings. | | | | |

reinforced concrete framed structure of 206 m² per floor with a central stair with two wings, east and west, on either side. The ground floor of the building is open for multipurpose use with 4 classrooms on the first floor, and the school office, teachers' room and toilets, and library on the second floor. The roof top is a concrete floor and is accessible in case of need.

Implementing partners: UN-Habitat implemented the project using a project team with a consultant engineer, site engineer, and a full-time on-site project manager who was also responsible for the architectural design. UN-Habitat contracted a community contractor for the construction of the building. The construction period as per the agreement was 6 months with commencement of work on 15 February 2009.

Project Experiences

What has worked well: Having a dedicated project manager and close engagement of the local UN-Habitat office has helped to resolve problems during implementation expeditiously.

What has not worked well (and reasons for delays): Funds transfer by UN-Habitat has been very slow and caused delay of 9 months with the contractor having to resort to loans to obtain material supplies.

Summary of the Lessons from the case

Funds transfer delays has affected the momentum of work with the contractor having to resort to loans to obtain material supplies. Delays in fund transfers by UN-Habitat may have contributed to the delayed project completion.

India-Nepal:

Koshi Water and Sanitation



Project context

In August 2008, a breach occurred on the eastern embankment of a barrage constructed to regulate the transboundary Koshi River, causing large scale flooding and destruction in the catchment area bordering Nepal and Bihar, India. The resultant flood affected about 3.3 million people covering approximately 3,000 km² of land area in Bihar, India and Nepal. In the aftermath, UN-Habitat with financial support from BASF Stiftung extended support to provide sustainable access to safe drinking water and sanitation services for the affected socially and economically marginalised communities.

The project target villages were in the two of the worst hit Koshi flood districts, Madhepura district in Bihar, India, and Sunsari district in Nepal. Three villages or Gram Panchayats, Laxmipur Chandisthan, Kumarkhand and Rahata in Madhepura district in Bihar, India, which were among the most devastated

were selected for intervention, while the target village Haripur in Sunsari District, Nepal is a resettlement colony that is inhabited mostly by landless and socially marginalized dalit communities. Project activities included installation of water supply and sanitation systems and improvement of hygiene practices, building the capacity for managing community based water and sanitation systems, and improving the preparedness of communities in coping with emergencies. The BASF Stiftung funding was used to create a supportive coalition of stakeholders to provide water and sanitation services for the target communities.

The project goals and planned outputs have been specified in the project logframe. The evaluation was carried out using the project final report and a project completion evaluation.

Impacts: In India, 480 families have access to safe drinking water and every family in the three target villages have a household toilet, while in Nepal, all 235 families in the target village have access to safe drinking water and sanitary facilities. Environmental sanitation has improved significantly with open defecation reduced significantly. Awareness has been created for the need for personal hygiene practices and there is improvement in personal hygiene behaviour. Communities are empowered and are able to self-manage the water supply system, and masons and plumbers are skilled in repair and maintenance of facilities. There is a sense of belonging and ownership among the communities over the infrastructure created.

| City/municipality | Population | Size of city (sqkm) | Size of project area (sqm) | # of beneficiaries | Project budget | Start date | End date |
|--------------------------------------------------------------|-----------------------------------------------------------|----------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------------------|----------------------------|------------|-----------------------------|
| Madhepura District, Bihar, India and Sunsari District, Nepal | Madhepura: 1.9 million (2011) Sunsari: 763, 497 (2011) | Madhepura District: 1,787 Sunsari District: 485 | Boundaries not definable | 1,200 people in India, and 1,125 people in Nepal | BASF Stiftung: USD 142,573 | 12/2009 | Planned and Actual: 01/2011 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | | XXXXX | Relevance: Project responded to marginalized affected communities. | | | | |
| Effectiveness: | | XXXX | Effectiveness: Some aspects of collective ownership not effective. | | | | |
| Efficiency: | | XXXX | Efficiency: Designed for context, but hand pump repairs unaffordable. | | | | |
| Impact: | | XXXX | Impact: Successful, except self-management is not working in some cases. | | | | |
| Replicability: | | XXXX | Replicability: Replicable, but results affected by maintenance problems. | | | | |
| Sustainability: | | XXX | Sustainability: Post-project support for maintenance strengthening required. | | | | |
| Project Results: Achieved. | | | Project Results: Project resulted in improving community living conditions. | | | | |

Outcomes: The following outputs have been achieved as planned. *Outcome 1:* The project has created improved access to safe water and sanitation facilities for at least 1,200 people in three Gram Panchayats in Madhepura district in Bihar, India, and 1,125 people in the village of Haripur in Nepal. In India, drinking water sources with iron removal systems have benefitted about 480 households (at least 2,900 people) and 240 household toilets have been constructed to provide sanitation facilities to every family in the three Gram Panchayats. In Nepal, 235 pit toilets and 50 hand pumps were provided for the benefit of 235 families in the resettlement village. *Outcome 2:* Local pool of trained mechanics is available for repair and maintenance of hand pumps and iron removal systems. *Outcome 3:* Self Help Groups and Water User Committees created under the project have skills and knowledge for managing the water and sanitation systems.

Outputs: The planned and achieved outputs are as follows. *Output 1* – Provision of water supply and sanitation systems: In India, 24 hand pumps with iron removal systems and 240 twin pit toilets, and in Nepal, 50 hand pumps and 235 iron angle frame toilets, were constructed. *Output 2* – Capacity building and training: Masons and plumbers have been trained in repair and maintenance of hand pumps and iron removal systems, and training conducted for community groups in the management of facilities. *Output 3* – Awareness generation: Programmes have been conducted for improvement of personal hygiene practices. *Output 4* – Community-based management: Self Help Groups and Water User Committees have been formed, and community members, including women, trained in the management of facilities.

Implementing partners: World Vision India implemented the project in India. Lumanti, a local NGO, together with local community groups and an association of squatter communities named Nepal Basobas Basti Samrakchan Samaj implemented the project in Nepal.

Project Experiences

What has worked well: The project is being replicated by the district administration in Nepal, specifically the toilets, because of its good design; In India, women have stepped out of their traditional confines and are participating in public meetings to discuss project issues.

What has not worked well (and reasons for delays):

In Nepal, user committees in many cases were found to be irregular and ad hoc; The iron removal system fitted to the pumps require annual filter replacement which cost much more than what could be recovered by water user fees.

Summary of lessons from the case

The project benefitted from the long and varied experience of the implementing partners in the respective local areas. A lesson from the Nepal case is, resettled communities suffer from internal conflicts and do not naturally draw towards collective ownership or public property. Rebuilding social cohesion takes time, and follow-up support is required after the project is completed.

China-Sichuan:

Reconstruction of Yongquan Primary School



Project context

On May 12, 2008 a devastating earthquake measuring 8 points on the Richter scale struck Wenchuan, Sichuan province, China. The earthquake left nearly 90,000 people dead or missing, including 6,000 schoolchildren and nearly 375,000 persons injured. A population of over 1.2 million people, many of them living in rural and mountainous areas, was exposed to moderate and severe after shocks of the earthquake. The earthquake damaged 12,707 schools of which 7,000 school buildings were completely destroyed. In response to the emergency needs after the earthquake, the UN-Habitat and BASF/BASF Stiftung partnership joined the reconstruction effort. The Yongquan village primary school, which is located in a remote underdeveloped mountainous area bordering the western part of the Sichuan Plain was severely damaged

by the earthquake and was selected for assistance so that normal education services provided by the school could be restored⁴⁴. Yongquan village school serves a population of 5,000 people in two rural villages.

The project goal was to construct an affordable, earthquake-safe, energy and resource efficient building using local materials and human resources through improved local practices. It was also designed to serve as a model for disaster resistant school reconstruction in rural areas. The project has delivered a permanent, earthquake-resistant, and energy and resource efficient model primary school. Awareness raising and capacity building of earthquake resistant construction has been conducted through training modules and a permanent educational exposition that has been set up at the school premises. The reconstruction

process has been documented through a variety of media productions and disseminated, including to a global audience via a film documentary.

The evaluation was conducted based on two final reports produced by the implementing agency and the UN-Habitat Advisor and also two progress reports. A logframe was not available. As reported in the final reports, all outputs have been delivered within the time frame and with set quality standards.

Impacts: The earthquake-resistant school building ensures the safety of up to 120 local students in the event of an earthquake disaster. The school is designed as a model for disaster resistant reconstruction based on best practice standards to be adopted in other schools and training has been provided to improve local

| City/municipality | Population | Size of city (sqkm) | Size of project area (sqm) | # of beneficiaries | Project budget | Start date | End date |
|-------------------------------------------------------------------|------------|--------------------------------------------------------------|---------------------------------------------------------------|--------------------|-----------------------------------------------------------------------------|-------------------------------|-------------------------------------|
| Baizhang Township, Mingshan County of Yaán City, Sichuan Province | 17,980 | 37.217 | 3,800 | 120 students | BASF Stiftung: USD 226,088 (EUR 200,000) Government sources: USD 174,951 | 02/2009 Amendment: 02/2010 | Planned: 09/2009 Actual: 10/2010 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | | XXX | Relevance: The project does not to fit demonstrative purpose. | | | | |
| Effectiveness: | | XXXX | Effectiveness: Capacity building is not demonstrated. | | | | |
| Efficiency: | | XXXX | Efficiency: Built to high quality in a short time frame. | | | | |
| Impact: | | XXX | Impact: Demonstrative effect is unknown. | | | | |
| Replicability: | | X | Replicability: Extensive specialist support required. | | | | |
| Sustainability: | | XXXXX | Sustainability: Energy-efficient and longevity. | | | | |
| Project Results: Partially Achieved. | | Project Results: Appropriateness of project is questionable. | | | | | |

⁴⁴ Initially a different school, Hongshe Primary School, was selected, but replaced by the Yongquan school on request of the local government.

practices. An assessment of the capacity of local population in earthquake-resistant and energy efficient school construction to best practice standards is not available in the documentation.

Outcomes: With the construction of the new school building normal education services have been restored in the Yongquan village school. The new school building is also designed to serve as a model for disaster resistant school reconstruction in rural areas.

Outputs: The planned and achieved outputs are as follows. *Output 1:* Construct an earthquake-resistant, disabled-friendly, and energy and resource efficient model primary school to mandatory high quality standards: A model school building of 792m² has been constructed, including 603m² two-storey teaching building with 9 classrooms, 102m² single storey cafeteria, and special facilities such as restrooms for disabled children. *Output 2:* Training and capacity building programme to be conducted: Two one-day training sessions have been conducted for local stakeholders to build capacity of those involved in the construction sector. The training has been provided for primary and middle school principals and school construction managers, engineers, local government personnel, and local construction workers. *Output 3:* Install a permanent exhibition to demonstrate earthquake resistant and energy and resource efficient school building construction for which the Yongquan primary school will serve as a model: An exposition of earthquake resistant, and energy and resource efficient school construction is permanently housed in the lobby of the new Yongquan school building. *Output 4:* Document the reconstruction process: The reconstruction process and experiences has been documented and disseminated. An earthquake resistant construction manual distributed. A specially commissioned film documentary was made of the entire project implementation and community involvement for worldwide distribution to demonstrate best practice.

Implementing partners: The Administrative Center for China's Agenda 21, which is affiliated with the Ministry of Science and Technology, was the main implementing partner for the project with UN-Habitat Regional Office for Asia and the Pacific responsible for managing the project. The project was conducted in close cooperation with a network of partners of national and local governments in China. The Administrative Center for China's Agenda 21 worked in close cooperation with the local government partners consisting of Ya'an City, Mingshan County and Baizhang Township Governments, and the Science and Technology Department of Sichuan Provincial Government, and China Architecture Design and Research Group, and other partners as needed. Community participation in all stages of recovery and reconstruction is mandatory and a community participation action programme has been implemented.

Project Experiences

What has worked well: The reconstruction project being not only a better earthquake resistant building but also a successful model for community-based learning of post-quake restoration and reconstruction helped to motivate the community.

What has not worked well (and reasons for delays): Use of local materials was a key decision of the design of the reconstruction project but shortages arising in the post-earthquake period were not factored in.

Summary of lessons from the case

There is a discrepancy between the project goal, which sets out to use local materials and to improve local earthquake resistant construction practices and the end product, which is a highly sophisticated building. More care need to be taken in project design to more accurately reflect project goals.

Youth empowerment

Brazil:Community Development in Vila Brasilândia, São Paulo⁴⁵

Project context

The original project idea, as formulated in 2009, was to provide financial assistance for the construction of a training and community centre in Vila Brasilândia. Vila Brasilândia is a vulnerable district in the Northern Zone of the city of São Paulo lacking good quality public services and facilities, especially for the youth. Vila Brasilândia is connected with the history of large-scale informal urbanisation in São Paulo. Today, Vila Brasilândia consists of a mixture of social housing estates and informally developed self-built homes. This area was part of a municipal programme for upgrading of informal settlements since 2001. In its first phase (2001-2004), the programme focused on the three municipal districts with the lowest index of social inclusion. Initial investments were made, but there is still a long way to go in terms of full delivery of urban services and regularization of land. The percentage of young people living in Vila Brasilândia district reaches an average of 30 per cent of the total residents as

45 originally: Support to Community Development and Youth Entrepreneurship in Vila Brasilândia

| City/municipality | Population | Size of city (sqkm) | Size of project area (sqkm) | # of beneficiaries | Project budget | Start date | End date |
|----------------------------------------|---------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------------------------|
| São Paulo | 12 million inhabitants (2014) [22 millions in greater São Paulo] | 1,509 | 21 | Vila Brasilândia: 247,000 inhabitants (2000); 5000 families in project area | BASF Stiftung: EUR 170,000 2009:00:00 USD 219,150 Amendment 2013: USD 235.664 * | First Agreement: 04/2009 Second agreement: 01/2013 | Planned: 08/2010 Planned: 06/2013 Actual: 12/2013 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | XXXXX | Relevance: Project highly relevant for poor suburban neighbourhood. | | | | | |
| Effectiveness: | XX (XXX)** | Effectiveness: Expected to achieve all project results, despite delays. | | | | | |
| Efficiency: | XXX | Efficiency: Cost-efficient civil works. | | | | | |
| Impact: | XXX | Impact: Project impact is expected to be highly positive once completed. | | | | | |
| Replicability: | XXX | Replicability: Replication is likely as per government's interest to establish similar community centers. | | | | | |
| Sustainability: | XXX | Sustainability: Very likely in case of outdoor space since community is committed, but it lacks funding though. In case of construction of community centre, city will assume responsibility. | | | | | |
| Project Results: | partially achieved. | Project Results: Project has achieved results as per amendment, but did not achieve all results of the initial design. | | | | | |

* Additional contribution by BASF S. A. in São Paulo of R\$6,400 cash and R\$ 37,000 in-kind.

** Rating may increase if community centre actually is built by CDHU, as budgeted.

per 2014, while the average in other districts is around 19 per cent. Additionally, 17.8 per cent of the young people (men and women) in this district have children, while in other areas this percentage is below 3 per cent. These figures reinforced the decision of localizing this initiative in Vila Brasilândia.

The original project design (of 2009) envisaged the following outputs: (i) the design and building of a Community Centre (or expansion and improvement of an existing one), to house training activities (among other possible uses); (ii) the design and progressive implementation of a capacity-building process to prepare young people living in this community to access the labor market and get some income, preferably through self-employment and

access to micro-credit programmes; and (iii) activities aiming at the progressive sustainability of the Centre management process, including new partnerships. During negotiations with São Paulo State Government over the location of the future centre, public authorities considered the project as very relevant for the region and decided to finance a bigger, more sophisticated and costly centre (estimated to cost USD 1.2 million). The São Paulo State Government's Company for Housing and Urban Development (CDHU) took on the responsibility of developing the facility. The project engaged a well-known architect for the project, however a major part of the work was done without fee. In January 2013, an amendment of the funding agreement was signed with

BASF Stiftung for a revised project which would not put main emphasis on the community centre since funding by the São Paulo State Government was not confirmed. The revised design wanted to shift emphasis away from the delayed community centre and proposed to focus on the following doable components: (i) Output 1: Empowered and trained young residents on youth entrepreneurship; and (ii) Revitalization of a community public urban space, to be developed with self-help of local residents. The building of the Community Centre was left to be accomplished by the State Company for Housing and Urban Development. Output 1 was to cover four types of short courses: (i) youth and labor market; (ii) management of small businesses; (iii) youth entrepreneurship and urban innovation; (iii) use of public space in a participatory and sustainable manner. Output 2: (i) preparatory plan for an intervention to develop neighborhood outdoor spaces; and (iv) final publication of the community experience (with photographs and testimonials). Output 3, the community centre remains to be developed after the closure of the BASF Stiftung-supported project.

The impacts and outcomes have been assessed by the evaluation. Since there is no project completion report yet, the evaluation mission has used its own judgement. Physical outputs are more easily measurable already. During project preparation a logframe was prepared which states as overall objective: To contribute to improving the skills of entrepreneurship of young people in Vila Brasilândia, thus contributing to reducing their poverty.

Expected Impacts: Objectives as per the 2009 and 2013 project documents were: (i) to contribute to increasing the chances of income generation of young people resident there by sponsoring a training programme to improve their entrepreneurship; (ii) to contribute to the safe and secure public environment of the neighbourhood, by building a Community Centre (or by expanding and improving an existing Community Centre); and (iii) to enhance neighborhood harmony through revitalization of an open wasteland area through the construction of a

public open spaces. In June 2014, the first impact of improved entrepreneurship seems still uncertain, since no data about labor or entrepreneurial impacts are available; the second impact seem to have been achieved, through the revitalization of public open spaces. The full impact of improved community safety remains uncompleted since the Community Centre is not yet completed (see below).

Outcomes: As per the two versions of the project design the following outcomes were envisaged: (i) At least 600 young people trained and empowered on youth entrepreneurship; and (ii) at least one public urban space revitalized and used by local residents. In June 2014, the project had accomplished Outcome 1 (the training of youth), though at a much lower number, and had completed Outcome 2 (the works and community processes for the revitalization of abandoned and unused open spaces).

Expected additional outcome: (i) one Community Centre being built. In June 2014, this project component had not yet started, though the project can take the credit for triggering a proposal of the State Government to invest about \$1.2 million in the Community Centre, using city government's resources⁴⁶.

Outputs: *Output 1:* In 2013, organisation of four practical training courses focusing on the community potentialities on the aforementioned themes with the participation of young residents from 12 to 20 years old. Number of youth trained: 39 (of 45 registered participants).

Output 2: Revitalisation of a 1,800 square-meter wasteland through the construction of a public square covering leisure and sports amenities including a playground for children, a walking trail, a soccer field, a relaxation area, bleachers for sports competitions or other activities, a stage for performances, and an open air gym. Preparation of a final publication of the community experience. Some 150 youth participated in self-help activities.

⁴⁶ The CDHU has provided evidence about the budget allocated and shown documents in preparation of the building permit and tender process.

Expected additional Output 3: A Community Centre, equipped for community and cultural activities. In July 2014, this project output has received confirmation of funding by the State Government of São Paulo, and is awaiting approval of the construction permit by the São Paulo municipality. Once the civil works are completed, this project component, which has been inspired by the initial design of the BASF Stiftung- UN-Habitat project design, will have triggered a major investment in community development by the State and city governments. Once implemented, the State Company for Housing and Urban Development will hand it over to the City's Secretariat of Culture for maintenance and operation. Its management model, and possible participation of the community associations is yet to be decided. The fact that the Secretariat of Culture will lead in its management may be seen as an indicator of likely sustainability.

Implementing partners. The project was implemented by UN-Habitat Brazil (Regional Office for Latin America and the Caribbean). Project partners include: (i) the community of Vila Brasilândia and its Community Development Centre (Centro de Desenvolvimento Comunitário) as counterpart and beneficiary; (ii) the Municipality of São Paulo as contributor of in-kind assistance (technical time of its staff to ensure project alignment with municipal social housing and settlement upgrading policies); (iii) “Subprefeitura” of Pirituba/Jacarepagua, (iv) the Government of the State of São Paulo , as in-kind contributor donating the land for the Community Centre to be built (or improving an existing centre), and supporting urban services initiatives. The Government of the State of São Paulo contributed through the State Secretariat of Housing and the State Company for Housing and Urban Development . Output 1 was implemented by the NGO Centro Integrado de Estudos e Programas de Desenvolvimento Sustentavel (CIEDS), and Output 2 was implemented by Instituto ELOS.

Project Experiences

What has worked well: Leveraging substantial investments by municipality for construction of community centre. Great enthusiasm of youth for revitalization of outdoor space.

What has not worked well (and reasons for delays): Retirement of project officer without replacement had negative impact. Entrepreneurial training got too little attention; choice of implementing partner for entrepreneurial training difficult. Inflexible handling of training component which got delayed till an alternative mode was found by the new Officer-in-Charge of the Regional Office for Latin America and the Caribbean. Much more should have been done for entrepreneurial training.

Summary of lessons from the case

The Vila Brasilândia project generated dialog and a new relationship between the State Company for Housing and Urban Development , and the Secretariat of the municipality, which took over their responsibility in maintaining the public space on State Government property. The strategy of involving the community in all stages of the process of revitalization unquestionably is a difference from other conventional interventions.

The initiative for a community centre was an important experience. It is the first time in 50 years of the State Company for Housing and Urban Development that something like this will happen. The State Government will provide public equipment to the community, available to all, without favouring specific community leaders.

Kenya:

Kibera-Soweto East Resource Centre



Project context

This project is located in one of the largest and worst slum areas of Nairobi, with very poor infrastructure and environmental services. The Kibera slum area is home to about 1.2 million inhabitants who live in overcrowded shanties. The large majority of slum dwellers are renting from private landlords who have constructed corrugated iron huts for rent. Recently, the Kibera slum has seen the arrival of the much debated government-sponsored slum improvement project which aims to rehouse slum dwellers in modern rather unaffordable apartments. The Kibera slum area is known for poverty, youth unemployment and insecurity.

The Kibera Soweto East Resource Centre as a community facility provides the surrounding residents with a wide range of essential services, including space for social gatherings and prayers which can be rented, potable water, toilet facilities; skills training (information technology, and others), a day-care centre for children, health services through a small doctors' clinic (offering physiotherapy for disabled youth and soon to come tele-

health technology; and music therapy); cyber café; and car parking. This project was conceived as pilot project by UN-Habitat and Kenya's Ministry of Housing. The physical structure of the Resource Centre was completed in 2010, however some of the community services (like the health clinic) are only being completed in 2014. The Resource Centre is strategically located in a central location in Kibera Soweto East, where some 70,000 residents live and work. The centre is overseen by a supervisory

board made up of local stakeholders, UN-Habitat and BASF East Africa, and is staffed by local residents. Many of the services it offers are available at subsidized rates. The information technology component is supported by a donation of IT equipments from CISCO and internet facilities from Orange Telkom, and the health components by CISCO, Afya Research Africa; Kenyatta University Hospital; and the Gertrude Hospital.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|---------------------------------------------------------------|-------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|---------------------------------|-----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| Nairobi, Kibera Slum | Nairobi population 3,375,000 (2009 census) Kibera slum area 1.2 million | 696 | Estimated area: 21.379 ha | 70,000 inhabitants | BASF Stiftung: EUR 150,000 (USD 207,619) Cofinancing: UN-Habitat: staff time + donations; CISCO equipments worth USD 550,000; Orange: 2 years internet + installation worth USD 58,000 | First agreement: 04/2008 Second agreement: 06/2012 Amendment: 08/2014 | Planned: 04/2010 Actual: 12/2010 Extended to: 12/2013 Planned: 12/2014 |
| Summary of project performance: | | | | Explanation of scores: | | | |
| Relevance: | XXXXX | Relevance: Project highly relevant for Kibera slum. | | | | | |
| Effectiveness: | XXX | Effectiveness: Expected to achieve all project results, despite delays. | | | | | |
| Efficiency: | XXXXX | Efficiency: Cost-efficient civil works, and additional donations mobilized. | | | | | |
| Impact: | XXXXX | Impact: Project impact is expected to be highly positive once completed. | | | | | |
| Replicability: | XXX | Replicability: Replication is likely as per government's directive to establish similar community centers. | | | | | |
| Sustainability: | XXXXX | Sustainability: Very likely since various services are revenue earners. | | | | | |
| Project Results: achieved, though Output 4 not yet completed. | | | | Project Results: Project expected to achieve its results. | | | |

The complex is secured through hired night guards, and an on-site police post which has been established through the assistance of a local Member of Parliament, local political leaders and the Kenya Police with the support of local residents. The early childhood daycare facility helps mothers to work or to attend to personal errands. At the same time it provides a safe environment for their children, some of whom are disabled. The medical facilities will provide outpatient services. The health facility will actually have regular doctors' services available for which there is no precedent in Kibera. The tele-health facility, a modern top of the line service, will connect virtually the visiting patients with doctors in selected hospitals. The Centre is located on a government-owned property. Existing community toilet block facilities were relocated to nearby sites.

The project was supported by two funding agreements with BASF Stiftung, in 2008, and in 2012. The first agreement covered the construction of the community centre. The second agreement was meant to help with the establishment of the delayed telehealth facility and the development of actions in support of sustainability.

The expected impacts and outcomes have been assessed by the evaluation. However, since there is no project completion report yet, there is no computation yet of outcome or impact data. Physical outputs are easily measurable already, while outcomes and impacts are indicative assessments of the evaluation team. During project preparation no logframe was prepared.

Expected Impacts: The evaluation mission assumes the impact statement to be as follows: Community multipurpose hall has contributed to stronger community cohesion. Child care facilities allow women to pursue economic and other activities. Information Technology Centre and Cyber café does provide learning and entertainment opportunities for youth. Improved water and sanitation services contribute to improved health situation.

Additional indirect impacts are improved security through the adjoining police station, and community partnership with police.

Expected Outcomes: The evaluation mission assumes the outcome statement to be as follows: A variety of community services in multipurpose community hall/centre. Municipal administration services brought to community centre. Improved training opportunities for 300 youth through some 80 training events.

Outputs: The following outputs were verified by the mission, though output 4 was incomplete at the time of the evaluation mission: *Output 1:* Community Hall – multipurpose facility built and operational. Offering training for youth and adults; space for group gatherings; base for emergency support in disaster events; location of polling station during elections; music-related activities; and various social or advocacy campaigns; *Output 2:* Day care centre for children; *Output 3:* information technology (IT) and cyber café services; and *Output 4:* This is expected to start operations by end of 2014. Health care wing operated in partnership with Afya Research Africa; Daycare –Kibera Community and UN Office in Nairobi and medical outpatient services – CISCO, Orange Telkom, Kenyatta University, Gertrude Children Hospital and Afya Research Africa, Nairobi City Council, and the Kenyan Ministry of Public Health. Kenyatta University Hospital; and Gertrude Hospital) in provision of doctors' services (including tele-health link-up by CISCO); and music therapy.

Implementing partners. The project was implemented by UN-Habitat's Civil Society Organisations Unit, Partners and Youth Branch, with funds from the BASF Stiftung and in partnership with the Government of Kenya (Ministry of Housing and Ministry of Medical Services), CISCO Systems, and community members of Soweto-East. Other partners are Orange Telkom company; Afya Research Africa; Kenyatta University Hospital; and Gertude Children Hospital.

Project Experiences

What has worked well: Leveraging of additional funding from private sector organisations and local politicians (for police station). Very successful information technology training, and establishment of police station.

What has not worked well (and reasons for delays): Day-care facility had a slow start. Also healthcare facility is delayed due to late arrivals of donations by other partners. Several changes of project managers at UN-Habitat and the delays by project partners to deliver on promised contributions have contributed to project delays.

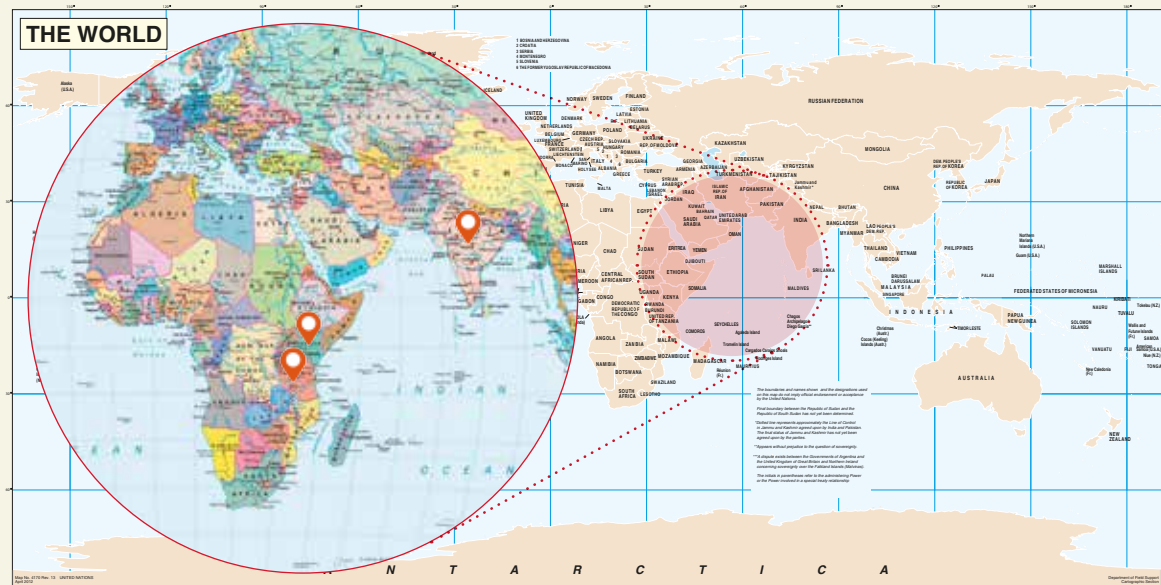
Summary of lessons from the case

The project has many innovative features. However its implementation has been extraordinarily slow, and this has many questions at BASF Stiftung. Several changes of project managers at UN-Habitat contributed to delays, and it was difficult for UN-Habitat to expedite grants by private sector partners, despite existing agreements and regular meetings with cofinancing partners. Fortunately, both BASF East Africa and UN-Habitat were able to steer this project through its various ups and downs. The current plan is to consolidate its services, and complete invest-

ments in Output 4, so that the centre can become sustainable in its operations. The Resource Centre has been working on a sustainability plan which has also been discussed with BASF Stiftung prior to signing of the second funding agreement (in June 2012). All service areas are expected to cover their own costs and contribute to the common service costs of electricity, water, cleaning, and staff costs. The centre's management is working on a financial management system that will introduce the necessary checks and balances to avoid losses and to achieve sustainability. The future system is expected to have separate accounting for different service areas. This shall enhance responsibility and prevent misuse. The centre is aiming to forge long-term partnerships with partners and donors for various activities: management – Rotary Club of Nairobi; Afya Research Africa; Daycare – UN Office in Nairobi and world Food Programme (WFP); medical outpatient services – CISCO, Orange Telekom, and Kenya University, Afya Research Africa, World Health Organisation (WHO), UNICEF, UNDP, Nairobi City Council, and Ministry of Health. The case of the Resource Centre is expected to stimulate similar investments by the government or other donors in Kenya.

Global:

Urban Youth Fund - Youth Empowerment for Urban Development



Project context

The Habitat Agenda commits UN-Habitat to work in partnership with youth in human settlements management and development; empowering them to participate in decision-making in order to improve urban livelihoods and contribute to sustainable human settlements. Youth are society's most essential and dynamic human resource. There are more

people under the age of 25 today than ever, totaling nearly three billion or almost half of the total global population; 1.3 billion of that total are between the age of 12 and 24. It is important to both encourage and directly address the needs of youth in key areas such as employment and livelihoods as well as assure youth participation in development and governance.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|---------------------------------------------|------------|------------------------|---------------------------------------------------------------------------------------------------------|-----------------------|-------------------------------------------------------------------------------------------------|----------------------------------------------------------------|------------------------------------------------------------------------------|
| Global project outreach | n.a. | n.a. | n.a. | Not defined | BASF Stiftung: - EUR 100,000 - EUR 100,000*. Cofinancing by government of Norway | First agreement: 11/2011 Second agreement: 09/2013 | Planned: 11/2012 Actual: 06/2013 Planned: 08/2014 Extended to: 2015 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | | XXXX | Relevance: Project justification is good, though quite general. | | | | |
| Effectiveness: | | XXX | Effectiveness: Many events executed, but results not clear for majority. | | | | |
| Efficiency: | | XXX | Efficiency: Project conducted cost-efficient events. | | | | |
| Impact: | | XX | Impact: Project impact not yet measured. | | | | |
| Replicability: | | X | Replicability: No indication of replication in project documentation, and resources not certain. | | | | |
| Sustainability: | | X | Sustainability: Not a project target: will depend on additional resources. | | | | |
| Project Results: (not yet) achieved. | | | Project Results: project not yet completed. | | | | |

* The second agreement contains EUR 40,000 for the E-learning pilot project, reported separately.

To strengthen the work of UN-Habitat with urban youth, the Urban Youth Fund was launched in 2008. Since 2010 the first tranche of youth groups has applied for participation in activities of the Urban Youth Fund. The sixth call for applications has been held in 2014. Through rigorous screening approximately 40 projects have been selected for funding. In the screening process, factors such as geographical and thematic balance, previous funding, and gender are taken into account. Uniqueness of proposals, creativity and realistic planning are taken into account. The Fund supports urban youth-led projects in developing countries by providing them with grants of up to USD 25,000 to pilot innovative approaches to employment, shelter, and land tenure. The objectives of the Urban Youth Fund are to: (i) be a gate opener for youth groups with low or no access to finance; (ii) be

a laboratory for testing out and identifying good practices for youth-led empowerment; and (iii) provide inputs to UN-Habitat's normative work on youth and increase the participation of youth in the UN.

The first call for project proposals for the Urban Youth Fund was in 2009. Up until 2013, the Fund has supported 237 youth-led initiatives across the globe. Through a rigorous screening process, approximately 40 projects are selected yearly. In the screening process, factors such as geography, thematic focus, previous funding and gender are taken into account. Uniqueness of proposals, innovation, creativity and realistic planning are taken into account.

BASF Stiftung has supported the Urban Youth Fund through two contribution agreements (2011, 2013), dedicated to project management training, co-financing of 5 Urban Youth Fund projects, and the E-learning Pilot Project (a separate BASF Stiftung-supported project). The Project Management Training is an integrated part of the Training and Capacity Building module of the Urban Youth Fund, and is dispensed with every cycle of the Fund. The training sessions are run on a regional basis in English, French and Spanish to allow for the participation of all the grantees. The training sessions are not limited to one country or to one project location, as one important outcome of the training is to create regional networks and linkages among the participating young project coordinators. Outputs of the training usually include more detailed logical frameworks of the projects to be funded, complete with indicators and risk mitigation, a better monitoring plan, a more comprehensive and practical understanding of project management and linkages developed between the participants with a broad overview of the different types of youth engagement.

Under this funding, no specific logical framework was prepared because the project management training and the financing of the 5 Youth Fund projects are considered part of the larger framework of the Urban Youth Fund⁴⁷. The agreement between BASF Stiftung and UN-Habitat did not include a separate logical framework, thus, no project-specific targets can be distinguished.

Expected Impacts (Batch 1 - 2011-2012): The trained project coordinators have better knowledge on project management and can deliver their initiatives more efficiently and more sustainably. 5 Youth Fund projects have been implemented successfully. Beneficiaries of these projects have improved living conditions,

and as such improved the living conditions of their families or communities through awareness-raising over a number of issues, as well the creation of different forms of small youth-led enterprises.

Outcomes (Batch 1 - 2011-2012): *Outcome 1:* The number of beneficiaries that were reached by the projects that were part of the training sessions in 2011/2012: Africa - 512 persons; Asia Pacific - 2,063 persons; Latin America - 2,415 persons. In total, 5010 beneficiaries were reached by the projects. *Outcome 2:* 629 social enterprises reached through training session funded by BASF: Africa – 113; Asia Pacific - 460; Latin America - 56. *Outcome 3:* 5 Youth Fund projects completed their project implementation with “good rate of success”, in the words of UN-Habitat⁴⁸.

Outputs (Batch 1 – 2011-2012): *Output 1:* 2 training sessions implemented, one in English and the other in Spanish. Each session spanned 6 days (full day programmes); *Output 2:* 3 training facilitators recruited for Cairo training, 1 training facilitator for Mexico; *Output 3:* 7 modules covered in each training programme [(i) Project Management; (ii) Organisational Management; (iii) Financial Management; (iv) Reporting; (v) Communication; (vi) Monitoring; and (vii) Evaluation]; *Output 4:* 46 young project coordinators (41 Urban Youth Fund grantees + 5 participants from hosting countries) between the age range of 20-32 received a completed training certificate, of whom 35 were young women; *Output 5:* Five Youth Fund projects were selected for funding from BASF Stiftung to pilot innovative approaches to employment, shelter, and land tenure.

Expected Impacts (Batch 2 - 2013-2014): Post training survey is currently being sent out to training workshop participants for impact assessment.

⁴⁷ Five projects have been selected for seed funding: (i) El Salvador, Ciudad Delgado; (ii) India, Balaghat; (iii) Philippines, Cagayan de Oro City; (iv) Fiji, Lautokan; (v) Brazil, Fortaleza.

⁴⁸ Refer to reports submitted by Urban Youth Fund.

Expected Outcomes (Batch 2 - 2013-2014): (i) 19 young project coordinators reviewed their project logframes and sent in revised logframes complete with relevant indicators and risk mitigation; (ii) trained youth coordinators have replicated the training in their respective organisations. (iii) 17 projects have been implemented half of their expected activities according to the timeframes provided to the Urban Youth Fund (2 projects are delayed to start in Jan 2015 due to technical difficulties of UN-Habitat in disbursing funds to recipients who need to open bank accounts).

Outputs (Batch 2 - 2013-2014): *Output 1:* 2 training programmes implemented in 2014, in Kenya and Colombia. A total of 25 participants (from Africa, Asia and the Pacific and Latin America and the Caribbean) attended the 6 day programmes. *Output 2:* modules covered in each training programme [(i) Project Management; (ii) Organisational Management; (iii) Financial Management; (iv) Reporting; (v) Communication; (vi) Monitoring; and (vii) Evaluation]; *Output 3:* 25 young project coordinators (19 Urban Youth Fund grantees plus a further six participants from hosting countries) between the ages of 18-32 trained, of whom 10 were young women.

Implementing partners: This global project has been implemented by UN-Habitat. For implementing purposes UN-Habitat has engaged local partners and consultants as trainers.

Project Experiences

What has worked well: Ability to develop course materials that is valid for a very diverse target group.

What has not worked well (and reasons for delays):

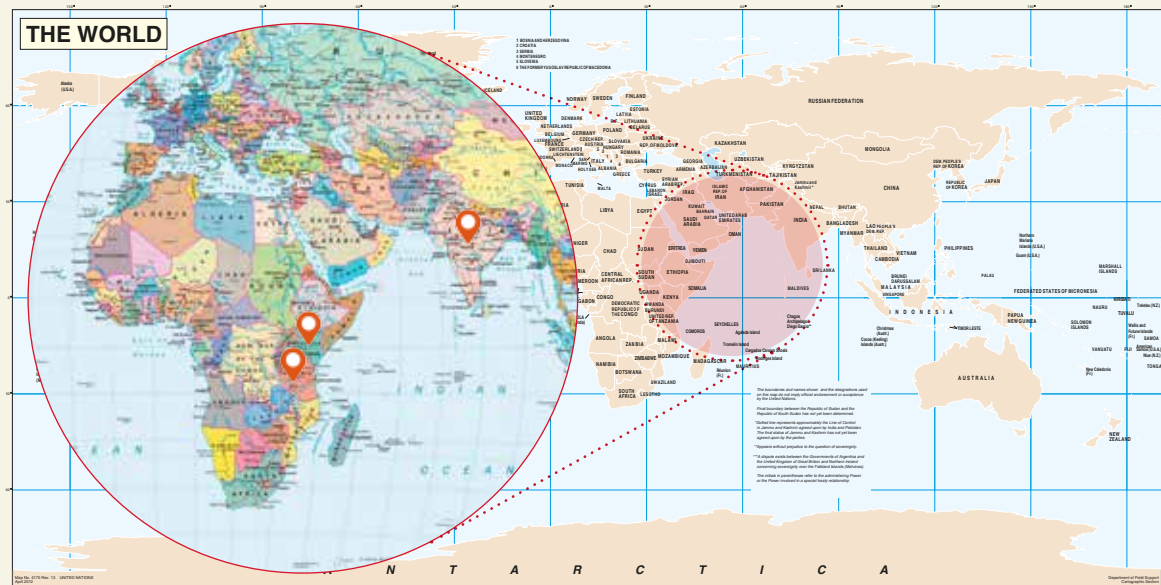
Operations seem to lack clear targets. M&E instruments not clear.

Summary of lessons from the case

The UN-Habitat Urban Youth Fund gives young people from developing countries the opportunity to become agents of change. UN-Habitat has stated that projects led by youth not only provide economic benefits, but bring about positive results at the social level, such as increased gender equality, a decrease in crime and increased youth participation in governance. The project has attracted substantial funding support from other development partners. It is, however, notable, that neither the "final report" of the first stage of the training programme nor the successive funding request of 2013 to BASF Stiftung have presented any targets for the actual achievements of training. In terms of impacts it would be required to verify whether 629 social enterprises were really created (in the local communities in the three regions) as a result of the first training batch. It would be necessary to show the number of young urban people who have been able to create employment for themselves and others through the establishment of these social enterprises. Equally, despite the above statement, an assessment of economic and social benefits is not yet available. It is urgently recommended to undertake such impact studies of completed training batches in order to provide data for an assessment of this project and its relevance. It is suggested to establish clear performance indicators for this project which seems to be implemented without target indicators.

Global:

Urban Youth Fund - E-Learning Tool



Project context

The Habitat Agenda commits UN-Habitat to work in partnership with youth in human settlements management and development; empowering them to participate in decision-making in order to improve urban livelihoods and contribute to sustainable human settlements. Youth are society's most essential and dynamic human resource. There are more people under the age of 25 today than ever,

totaling nearly three billion or almost half of the total global population; 1.3 billion of that total are between the age of 12 and 24. It is important to both encourage and directly address the needs of youth in key areas such as employment and livelihoods as well as assure youth participation in development and governance. To strengthen the work of UN-Habitat with urban youth, the Urban Youth Fund was launched in 2008.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|----------------------------------------|------------|-------------------------------------------------------------------------------------------|-------------------------|-----------------------|------------------------------|------------|-----------------------------------------------------|
| Global project outreach | n.a. | n.a. | n.a. | Not defined | BASF Stiftung: EUR 40,000 | 09/2013 | Planned: 08/2014 Actual: No date known |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXX | Relevance: Relevant, but not yet demonstrated that e-learning is suitable. | | | | | |
| Effectiveness: | XXX | Effectiveness: Development of remaining modules outstanding. | | | | | |
| Efficiency: | XXX | Efficiency: Project conducted cost-efficient pilot event. | | | | | |
| Impact: | X | Impact: Project impact not yet measured. | | | | | |
| Replicability: | XXX | Replicability: Replication seems to take place with SAMSUNG funding. | | | | | |
| Sustainability: | X | Sustainability: Not certain since not yet addressed; will depend on additional resources. | | | | | |
| Project Results: (not yet) achieved. | | Project Results: Project not yet completed. | | | | | |

The e-learning platform is developed for youth-led organisations that have been funded or selected by the Urban Youth Fund in Kenya, Tanzania and India. Projects in these countries have been selected as the core partners. The pilot integrates the dynamic learning opportunity of mobile technology, internet-based curriculum and applied experiential learning to provide an opportunity for youth in the target countries. According to UNESCO's Steve Vosloo, many of the 3.6 billion SMS-capable mobile phone subscribers are engaging in 'Meduade experiences'. Google plans to sell 200 million of its Android phones in Africa and it is estimated that by 2016 there will be a billion mobile phones on the continent of Africa.

The conceptual framework for the pilot is modelled on United Nations' pillars of open learning, or education for all, leading to sustainability, peace and development. The pilot will offer four initial courses as a required part of a programme. The pilot integrates distance and experiential learning leading to social

enterprise ventures, applied citizenship and planning tools and ultimately further education and employment. In short, what the Youth Fund is trying to do is to: (i) Create an entrepreneurial and sustainable development certificate programme for UN-Habitat's Urban Youth Fund grantees⁴⁹; (ii) Deliver in an interactive and dynamic virtual global classroom, using state of the art digital media, graphics and technology; and (iii) Provide tools to marginalized youth who wish to develop and manage projects related to social enterprise and sustainable development. The Urban Youth Fund wants to expand its knowledge and capacity building programme through technology to educate and increase the capacity of the Youth Fund recipients to a greater extent. The increasing of the capacity and enhancement of skills to grassroots youth and youth-led agencies in the developing world is the main rationale for the e-learning programme.

⁴⁹ In Tanzania approximately 6-10 youth led groups have received funding or are to receive funding from UN Habitat Youth Fund.

By offering to participants of the E-Learning an integrated skills and knowledge based certificate, youth will be better equipped to offer what their economies need. The pilot aims to target youth that do not have access to postsecondary education due to financial constraints, limited computer access, and other barriers to higher education. The successful completion certificate offered by a Canadian University (University of the Fraser Valley) partnered with an internationally recognized institution such as UN-Habitat, should increase the opportunities for youth (in the pilot, youth from Kenya, Tanzania and India) who wish to contribute to the sustainable and equitable development of their community and their country.

If successful, the e-learning programme will be expanded to include a variety of courses ladder to a certificate focusing on sustainability, geography, planning, development and corporate social responsibility. After the initial pilot, the Youth Fund will seek to engage several universities and other partners with specific knowledge to deliver more courses based on the different partners' expertise.

Under this project, no specific logical framework was prepared since activities are considered part of the larger framework of the Urban Youth Fund. The agreement between BASF Stiftung and UN-Habitat did not include a separate logical framework, however it did indicate that 60 students from 20 youth groups shall be reached.

Expected Impacts: Since this project supports the preparation of E-Learning modules, no specific impact statement seems to have been developed. The evaluators assume that the impact statement could be related to higher efficiency and wider outreach through E-Learning tools.

Expected Outcomes from Module 1 of the pilot course on “*Social Enterprise and Sustainable Development*”:

Upon completion of pilot course, students were able to: (i) recognize the importance of sustainable development in theory and business practice; (ii) recognize the positioning of social entrepreneurship between the civil society, the market and government in responding to development challenges; (iii) expand their understanding, talent and fundamental views for taking action and social entrepreneur; (iv) develop a social enterprise business concept and business plans; (v) quantify the social impacts of business and place both a pitch for their concept and an evaluation framework.

Expected Outputs: *Output 1:* 1 call of applications; *Outputs 2:* one out of four pilot training modules developed: (i) social enterprise development and management (completed); (ii) social enterprise development and management [agriculture] (not yet completed); (iii) youth rights and social action planning in community planning (not yet completed); and (iv) community mapping and youth networks (not yet completed);⁵⁰ *Output 3:* a total of 12 tablets have been donated to selected youth groups (completed); *Output 4:* 15 youth from 12 countries⁵¹ have successfully completed the course (completed). *Output 5:* Development of Eliademy website⁵² that offers course information (course dates and curriculum).

50 General Overview of the E-Learning programme: <https://www.youtube.com/watch?v=w69M9jwNqfs> India : Gaurav Sardana: <http://youtu.be/RzIbl0hf8ig>; Jamaica: Lanisia Rhoden: https://www.youtube.com/watch?v=d9_i1jCfHDl&feature=youtu.be; Egypt: Haitham Shoman: <https://www.youtube.com/watch?v=7wq-5NSrXXc>

51 Cameroon, Egypt, Kenya, Malawi, Rwanda, Senegal, South Sudan, Viet Nam, Zambia, Jamaica, Brazil.

52 Eliademy website: <https://eliademy.com/login>

Implementing partners. UN-Habitat Youth and Livelihoods Unit, Urban Economy and Finance Branch, and University of Fraser Valley, Canada for E-Learning.

Project Experiences

What has worked well: Have managed to develop first modules for distance learning.

What has not worked well (and reasons for delays): Monitoring and evaluation seems unclear.

Summary of lessons from the case

The E-learning is in a very incipient stage. As long as it is not able to upscale its efforts and present a strategy for upscaling from the current 15 alumni, to 1,500 or 15,000 it is difficult to defend the hypothesis that the use of this new technology approach is able to reach out to larger number of target groups. It is suggested to establish clear performance indicators for this project which seems to be implemented without target indicators.

Construction of water and sanitation systems

Kenya-Mandera:

Water and Sanitation



Project context

Mandera is among the ten arid areas in Kenya with low rainfall averages of less than 225 mm annually. The main livelihood is livestock rearing where pastoralists keep cattle, camel, goats, sheep and donkeys. Drought trends have worsened over the years with dire consequences for the inhabitants. This worsening situation could be attributable to the unpredictable nature of the climatic conditions in the region. The community continues to be vulnerable to the recurrent drought despite the heavy presence of humanitarian actors. Thus North-Eastern Kenya including Mandera County is regularly affected by serious food insecurity problems despite the enormous irrigation potential. In Mandera county, the level of infrastructure development including water supply and sanitation is poor. The climatic condition is semi-arid to arid. Rainfall is extremely erratic and less than the potential evapo-transpiration. The County is affected by climate change related challenges. These challenges have had a negative impact on economic development in general and water

resources availability in particular. More frequent droughts have led to more frequent crop failure, famine and shortage of water supply. In Kenya access to safe water is very low (40 per cent) in rural areas and 60 per cent in urban areas, with sanitation situation in Northern Kenya being extremely poor. To date Mandera County just like many other counties in Northern Kenya has

been hard hit with water scarcity over the years. According to 2009 census report, only about 24 per cent in Mandera County has access to improved safe water as compared to the national coverage of 42 per cent. Proper sanitation stands at 34 per cent with some parts recording as low as 2 per cent coverage.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|----------------------------------------|------------|------------------------------------------------------------------------------------------------|-------------------------|----------------------------------------------------------------------------------|-------------------------------------------------|------------|-----------------------------------------------|
| Mandera Town | 82,600 | -- | 2,075 acres | 3,500 households [original estimate] Actual: 4,542 households | BASF Stiftung: EUR 297,462 (=USD 299,690) | 09/2012 | Planned: 12/2013 Actual: 11/2013 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXX | Relevance: highly relevant due to aridity and lack of investments. | | | | | |
| Effectiveness: | XXXXX | Effectiveness: Effective delivery of results; exceeding estimates. | | | | | |
| Efficiency: | XXXXX | Efficiency: Efficient use of resources through direct works execution. | | | | | |
| Impact: | XXXX | Impact: Many positive impacts. | | | | | |
| Replicability: | XXX | Replicability: Not yet replicated, but good chances for replication. | | | | | |
| Sustainability: | XXXX | Sustainability: County is likely to invest in operation and maintenance to sustain facilities. | | | | | |
| Project Results: achieved. | | Project Results: Good overall ratings. | | | | | |

This project's goal was to increase access to water and sanitation facilities in selected low income settlements of Mandera town, in the settlements of Bulla Jamhuri and parts of Neboi. The project targeted also selected primary schools for sanitation facilities development, improved water quantity and quality through the drilling of a borehole, construction of a masonry tank and a rising main and as well improved water resources management through capacity building of water resource user associations. The project has mobilized beneficiary communities and schools,

developed technical investigations, feasibility studies, procurement of essential supplies and bills of quantities for water and sanitation facilities.

The impacts and outcomes have been assessed by the evaluation. The impact and outcome information has been prepared by the implementing partner, the Rural Agency for Community Development and Assistance. During project preparation no logframe was prepared.

Impacts: Specific outcomes are as follows: (i) beneficiary households have reduced incidences of water borne disease; (ii) school children will have better sanitation facilities and are able to practice improved hygiene in schools through the establishment of latrines in their schools; (iii) community water user groups (including women) will have skills and knowledge to manage their water facilities; and (iv) females need not fetch water any more from the river, and enjoy increased safety (no more attacks from animal and human predators).

Outcomes: The project has created a complete water supply system to the beneficiaries in the villages of Neboi and Bulla Jamuriya of Mandera town: (i) approximately 4,542 vulnerable households (= 27,200 persons) have improved access to water; (ii) approximately 5,425 school children in four schools have better sanitation facilities; (iii) Four water management committees have skills and knowledge; (iv) females need not fetch water any more from the river, and enjoy increased safety (safety from animals and human beings).

Outputs:⁵³ *Output 1:* Rehabilitation of one pump house; *Output 2:* Rehabilitation of one surface centrifugal pump-set; *Output 3:* drilling of a borehole along the river; *Output 4:* Construction of 240 meters chain link intake perimeter fence; *Output 5:* Construction of an additional 2500 meters rising main; comprising of a 1,500m section of 150mm diameter GI class C and 1000m section of 150mm diameter UPVC class E (located between the new boreholes and the proposed tank site at Bulla Jumhuriya); *Output 6:* Construction of one G.L. 135 cubic meters masonry water storage tank; *Output 7:* equipment for new boreholes (draw pipes, submersible pump sets, solar powered generator sets); *Output 8:* electro-mechanical installations/ equipment needed to connect submersible pumps to the completed 3-phase power mains; *Output 9:* Construction of gender sensitive latrines including urinals separate for boys and girls in schools; and *Out-*

put 10: Training of Mandera water sewage company and Water Resource Users Association on water management.

Implementing partners: UN-Habitat's Urban Basic Services Branch and the Rural Agency for Community Development and Assistance. The Rural Agency for Community Development and Assistance collaborated with the Mandera Water and Sewerage Company, Water Resources Management Authority and district water officers.

Project Experiences

What has worked well: Ability to implement the project in violent county, despite objective difficulties. Cost-efficiency through direct contracting.

What has not worked well (and reasons for delays): Project design had no specific activity for the youth, however the youth were part of the beneficiaries and were involved on the daily implementation activities.

Summary of lessons from the case

There is growing evidence showing improved access to safe water and adequate, separate sanitation for boys and girls improved learning in schools. Specifically, it has been emphasized during a meeting with the county minister and in the Rural Agency for Community Development and Assistance's reporting, that investment in water and sanitation in schools positively impact girls' enrolment and retention in schools, particularly of adolescent girls. More importantly, increased access to water, sanitation and health in schools reduces diarrhea episodes among school children, helminthic infections and absenteeism. Water and sanitation have further been associated with increased learning achievements among learners in primary schools. The project is a positive showcase of gender participation in a difficult context.

⁵³ The final project report lists out this lengthy summary of outputs.

Mozambique:

Multifunctional Renewable Energy Centre



Project context

This project in Beira, the second biggest city of Mozambique, was inspired by demonstration projects of similar renewable energy measures in Nairobi, at UN-Habitat headquarters. The Mayor of Beira proposed this renewable energy for a slum community, where the most vulnerable youth groups reside. The Munhava slum area has very poor infrastructure services, and is known as a hot spot of urban poverty. The intention was to create affordable services (renewable energy for cooking and lighting, water, sanitation, solid waste management) which shall be managed by youth groups. The community would also benefit from training of at least 200 youth who will be in charge of managing the services offered. The biogas facility will turn liability of organising waste into an asset, and will pave the way for a wider replication as requested by the municipality. The biogas plant will be able to serve about 500 households.

| City/ municipality | Population | Size of city (sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|--------------------------------------------|-----------------------|------------------------|--------------------------------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|------------|------------------------------------------------|
| Beira, Munhava slum | Beira City 456,005 | 633 | Site: 1,250 sqm. Area constructed: 140 sqm | About 2,500 people (550 families) | BASF Stiftung: EUR 100.000 UN-Habitat: EUR 126,000 | 12/2011 | Planned: 11/2013 Extended to: 06/2015 |
| Summary of project performance: | | | Explanation of scores: | | | | |
| Relevance: | | XXXX | Relevance: energy savings are a strong justification for project. | | | | |
| Effectiveness: | | XXX | Effectiveness: despite project delays, project is likely to deliver. | | | | |
| Efficiency: | | XXXX | Efficiency: Project was able to generate additional funding support. | | | | |
| Impact: | | XXXX | Impact: Project impact likely positive. Not yet measurable. | | | | |
| Replicability: | | XXX | Replicability: City interested, but resources not certain. | | | | |
| Sustainability: | | XXX | Sustainability: City is likely to invest in operation and maintenance to sustain facility. | | | | |
| Project Results: (not yet fully) achieved. | | | Project Results: project not yet completed. | | | | |

The impacts and outcomes are described as per project documentation. Actual impacts and outcomes can only be assessed when the project is completed. The output statements are as per ongoing work plans. During project implementation a logframe was prepared which states the overall objective and targets.

Expected Impacts: Improvement of the lives of the most vulnerable, especially the youth, in the “substandard” neighborhood of Munhava, Beira. Since the project is not yet completed, no impacts could be measured.

Expected Outcomes: Providing access to affordable services (renewable energy, water, sanitation, SWM) which will be managed by self-help of the youth.

Expected Outputs: the project, which is not yet completed, supports the establishment of the Multifunctional Renewable Energy Centre which will have various outputs: *Output 1:* 200 youth will be trained in service management and selling; *Output 2:* Neighborhood meeting place, and playground; *Output 3:* Renewable energy for cooking and lighting, at reduced cost; *Output 4:* Biogas technology will turn solid waste from a liability into an asset. The technology will serve as showcase for wider application; *Output 5:* Valorisation of solid waste recycling will be explored; *Output 6:* Feasibility study of larger biogas plant for 500 households.

Implementing partners: UN-Habitat Mozambique and the city of Beira.

Project Experiences

What has worked well: Leveraging of about 100 per cent additional project funds by UN-Habitat to allow implementation of under-funded project.

What has not worked well (and reasons for delays): Implementation of biogas facility has become more difficult due to high water levels which were not taken into account during technical feasibility study.

Summary of the lessons from the case

Definite project lessons can only be drafted once the project is completed. However, the following can be stated at the time of this evaluation: This project was too ambitious for the budget approved. However, UN-Habitat efforts have made it possible to generate more than double of the original funding.

Mexico:

Water and Sanitation in Schools⁵⁴



⁵⁴ Original project title: Water and Sanitation Trust Fund: BASF – Human Values Based Water, Sanitation and Hygiene Education Initiative in three schools of the State of Mexico.

| City/ municipality | Population (INEGI 2010) | Size of city (Sqkm) | Size of project area | # of beneficiaries | Project budget | Start date | End date |
|---------------------------------------------------|----------------------------|--------------------------------------------------------------------------------|-------------------------|---------------------------------------------|-------------------------------|------------------------------|--------------------------------------------------|
| Ayapango Municipality City (Ayapango) | 8,864 3,687 | 36.56 | 3.18 ha | 419 Students 41 teachers 359 families | BASF Stiftung: USD 262,876 | 07/2011 | Planned: 07/2012 |
| Tlalmanalco Municipality City (Tlalmanalco) | 46,130 14,786 | 158.76 | 0.92 ha | 700 students 36 teachers 500 families | IMTA Contract: USD 174,741 | IMTA contract: 28/08/2012 | IMTA contract: Planned and actual: 07/2014 |
| Valle de Chalco Municipality (Mexico) | 357,645 356,352 | 46.751 | 1.82 ha | 800 students 50 teachers 500 families | | | |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXXX | Relevance: highly relevant due to aridity and lack of investments. | | | | | |
| Effectiveness: | XXX | Effectiveness: Effective delivery, despite weak initial management and delays. | | | | | |
| Efficiency: | XXXXX | Efficiency: Efficient use of resources through direct works execution. | | | | | |
| Impact: | XXXX | Impact: Many positive impacts expected. | | | | | |
| Replicability: | XXX | Replicability: Not yet replicated, but good chances for replication. | | | | | |
| Sustainability: | XXXX | Sustainability: Schools likely to maintain and operate. | | | | | |
| Project Results: achieved. | | Project Results: Good overall ratings | | | | | |

- Escuela Secundaria Técnica Industrial y Comercial No. 15, “Lic. Gabriel Ramos Millán”, Municipio de Ayapango.
- Preparatoria Oficial 102, Municipio de Tlalmanalco.
- Escuela Secundaria Técnica Industrial y Comercial No. 58 “Sor Juana Inés de la Cruz”, Valle del Chalco.

Project context

The schools selected belong to the network of government-owned and private technical education institutes, which prepare youngsters for their future working life. While these schools do have many shortcomings in facilities (class rooms, laboratories,

and sports facilities) and equipment (computers, audiovisual equipment), water and sanitation facilities are those infrastructure elements which receive least attention in the local school budgets. It has been demonstrated in Mexico State that many educational facilities face a devastating lack of quality water supply, seriously deteriorated sanitation equipment, and practically no treatment of waste water. The Human Values-based Water, Sanitation and Hygiene Education Initiative fills a void that has been unattended for many years. The selected schools, which have an annual intake of about 400 – 700 students each, need about 120 – 160 cubic meters/month for their water supply. All schools have a lack of piped good quality water supply and rely on water

that is purchased by the respective municipalities (Ayapango and Tlamanalco) or by the private school (Valle del Chalco), at a cost of some MXN 8,000/month (USD 667) to MXN 20,000/month (USD 1,626) (Ayapango and Valle del Chalco cases). The shortage of good water supply and the poor hygiene situation of school toilets contribute to the poor environmental hygiene conditions of the student population and their families. Large majority of families continuously have outbreaks of diarrhea, at least once a month for a couple of days. There exists a culture of water wastage since water is provided for free, households do not pay for public water.

This project is part of UN-Habitat's global Human Values-based Water, Sanitation and Hygiene Education Initiative. UN-Habitat has selected three schools in the Mexico State, in proximity to the Mexico City metropolitan area. The three municipalities are part of an ecological region which suffers from the impacts of the environmental footprint of the big metropolis. Overutilization of ground water resources has affected the whole surroundings of Mexico City, and these fertile fruit-growing peri-urban areas are facing a complex environmental dilemma: While there is good rainfall in the region, the groundwater resources are being depleted, and existing rainfall is not sufficient to replenish the loss. Local cultivations of grains and fruits are affected by shortages of water, and the reduced rain fall is caused by effects of climate change.

The objective of the project has been to contribute to a reduction in water-borne diseases and to increase through improved hygiene to better productivity and savings. The specific assumption of the project has been that through the adaptation of low-cost technologies better health standards can be achieved, and that savings can be obtained since potable water needs not be purchased any more, and expenses for health will be reduced. The technology assumption include, that all water needs can be covered through rain water collection and storage, and

through recycling of water for toilets and gardening purposes the water requirements can be reduced by about 50 per cent. The investments under the project covered rain water harvesting (water catchment on roofs, and storage in low-cost ferrocement tanks), water purification for drinking purposes; improvement or renewal of toilet facilities; and treatment of waste waters in controlled wetlands.

The impacts and outcomes cannot yet be quantified since the project was yet to be completed (July or August 2014). A rudimentary logframe was available as part of the contribution agreement that detailed anticipated deliverables. However, physical outputs are already measurable. Impacts and outcomes will still need to be quantified in the final report of the project.

Expected Impacts: Students will have learnt about water and sanitation-related hygiene, are taking back innovative hygiene aspects to their families and homes. It is expected that families will also start collecting and reusing rain water, and improve hygiene practices. The project will have impacts beyond the schools, to the homes of the students, and their extended family members. Students will have learnt about the value of water as scarce resource. About 2000 families in three sub-project locations will be impacted by the projects annually.

Expected Outcomes: About 2,000 alumni and teachers from 3 schools will have improved water supply and hygiene conditions and practices. The number will grow each year with new school enrolment.

Outputs: (i) Water catchment in 4 cisterns, capacity of 131 cubic meters; (ii) About 2000 persons provided with quality drinking water (expected 25 per cent to 100 per cent of water needs to come from water catchment); and water filtration for cleaning of drinking water; (iii) waste water treatment in Ayapango and Valle del Chalco (no treatment in Tlamanalco due to lack of land

in the school compound, hence waste water is fed into existing municipal sewer system).

Implementing partners. The first phase of the project spent considerable time and effort to decide on which schools would participate in the project. In August 2012 UN-Habitat contracted the Mexican Institute for Water Technologies (Instituto Mexicano de Tecnologías del Agua [IMTA]). The Mexican Institute for Water Technologies has worked closely with the selected three schools (including parents' committees and students), and with other local authorities as required.

Project Experiences

What has worked well: Project able to motivate teachers and youth to adopt low-cost water and sanitation practices. Outstanding quality of technical work by implementing partner.

What has not worked well (and reasons for delays):

Departure of UN-Habitat project officer without replacement had negative impact; caused substantial delay.

Summary of lessons from the case

The project is a positive showcase of innovative application of low-cost water and sanitation technologies in the contexts of public schools which face investment backlogs due to shortages in school budgets and scarcity of own funding. The participatory nature of the project approach holds the promise that through participatory involvement of students and teachers and with the strategic partnership with the municipalities an operation and maintenance programme can be devised. The Mexican Institute for Water Technologies professionalism is being observed by the evaluation team. Schools have provided to the evaluation mission feedback about good quality of construction materials and technology, and adequate attention and follow-up of the Mexican Institute for Water Technologies to project management issues. Schools commented, nevertheless, that they would have preferred more communication with and follow-up by UN-Habitat. It is important that the sustainability dimension be fully addressed in the exit strategy of the project.

India-Mangalore:

Water and Sanitation⁵⁵



Project context

Unsafe drinking water is one of the causes of various diseases and the death of millions of children each year in India. Several parts of India are facing immense challenge to meet the basic need of safe drinking water. Mangalore is one of the fastest growing cities along the west coast of India, with a leap in industrialization and urbanisation during the last decade. The Mangalore City Corporation supplies water to the city, but the supply is not adequate in terms of both quality and in quantity. About 17 per cent of households use a private source of water such as a protected dug well. 95 per cent of households boil water for drinking or use other methods of water purification, but 5 per cent of the population does not use any method to treat water in their households, these households being from a lower socio economic status.

⁵⁵ The title as in the Agreement of Cooperation between UN-Habitat and the Energy and Resources Institute (TERI), Project Document and Work Plan: "Promotion of Water, Sanitation & Hygiene Education and Water Quality Monitoring in Mangalore City, India"

| City/ municipality | Population | Size of city (Sqkm) | Size of project area | # of beneficiaries | Project budget (Euro / USD) | Start date | End date |
|----------------------------------------|--------------------------|-----------------------------------------------------------------------------------|-------------------------|-----------------------|--------------------------------------------------------------------------------------------------|---------------|-----------------------------------------------|
| Mangalore City | 484,785 (Census 2011) | 132.4 | Not applicable | 5,000 students | BASF Stiftung: EUR 145,000 (approx. USD 195,000); TERI: USD 36,250 (in cash or kind) | 12/2010 | Planned: 12/2012 Actual: 02/2013 |
| Summary of project performance: | | Explanation of scores: | | | | | |
| Relevance: | XXXXX | Relevance: Responded to water and sanitation needs of poor communities. | | | | | |
| Effectiveness: | XXXX | Effectiveness: Effective school programme for water and sanitation. | | | | | |
| Efficiency: | XXXXX | Efficiency: Low cost intervention with wider benefits. | | | | | |
| Impact: | XXXX | Impact: Surrounding poor communities not served, reduces impact. | | | | | |
| Replicability: | XXXXX | Replicability: Successful model for replication. | | | | | |
| Sustainability: | XXX | Sustainability: Ineffective maintenance committees and insufficient funds. | | | | | |
| Project Results: Achieved. | | Project Results: Project provides a workable model for behavioral change. | | | | | |

It was found that those people who did not use water treatment methods in their households had a high incident of water borne diseases.⁵⁶

The project goal was to build on UN-Habitat's experience of implementation of Human Values-based Water, Sanitation and Hygiene Education programme to create a new water and sanitation ethic that promotes positive behaviour among school children, as well as to establish a water quality monitoring mechanism to facilitate the community and the water utility to adopt measures to treat drinking water to the accepted standard to minimize water borne diseases.

A local implementing partner, a not-for-profit research institute working in water and sanitation, the Energy and Resources Institute (TERI), was contracted to design and implement the project. 25 schools were selected on the basis of need to benefit from the project. These schools are located in the northern part of Mangalore and Surakthal, where there is a high level of industrial development activity.

The project goals and planned outputs for the evaluation was as indicated in the Contribution Agreement and the more detailed targets were described in the Agreement between UN-Habitat and the Energy and Resources Institute. A logframe for this project was available.

⁵⁶ Project Document, quoted from Mithra et al. 2010: *Drinking Water in an Urban Area in South India – A Community based cross sectional study*; Australian Medical Journal, 2010.

Impacts: The project has directly improved the well-being of about 5,350 school students of lower socio-economic backgrounds by the provision of safe drinking water and sanitary facilities, while creating interest and an awareness of the need for safe drinking water practices together with establishing a water, sanitation, and hygiene school educational programme so that these impacts can be sustained.

Outcomes: The project has successfully achieved its broader outcome of establishing a water, sanitation and hygiene education programme in the selected schools. Science laboratories and water classrooms have been established as planned, provision for safe drinking water has been made in 25 selected schools, and an awareness about water related environmental issues has been created among the children in the 25 schools leading to behavioural change.

Outputs: The planned and achieved outputs are as follows.

Output 1: Provision of safe drinking water for schools and poor communities: Sustained access to safe drinking water was provided in all 25 schools by installing filtration to the Mangalore City Corporation water supply, bore wells, rainwater harvesting, water storage and pumps as needed. Providing water to poor communities in the school neighbourhoods were not carried out because the communities were expecting to get individual connections from the Mangalore City Corporation and this was not feasible for the project to deliver. The budget funds were instead diverted to improving sanitary facilities in schools. *Output 2:* Establishment of a water quality monitoring programme: a) Establishment of science laboratories – established in 8 nodal schools, b) Training of teachers and students – several workshops conducted, including on Human Values-based Water, Sanitation and Hygiene Education, with about 30 teachers attending, c) Conducting citywide water quality monitoring programme - carried out as an educational activity, d) Development and installation of water quality map in strategic locations - 8 maps prepared

and displayed in each selected school. *Output 3:* Promotion of Human Values-based Water, Sanitation and Hygiene Education : a) Setting up water classrooms - established in 2 schools b) Development of resource materials – existing Human Values-based Water, Sanitation and Hygiene Education material developed by Project WET were customised for Mangalore after a training workshop attended by 38 teachers c) Awareness and capacity building activities on Human Values-based Water, Sanitation and Hygiene Education - both teacher training and student training outputs carried out and a parent sensitization workshop conducted on the overarching theme. *Output 4:* Community awareness and institutional building – water user groups were set up in each school and these groups organised public awareness marches, a street play, water conservation and clean up drive in the city, and distributed publicity materials such as placards on the good sanitation theme.

Implementing partners: UN-Habitat, The Energy and Resources Institute, Education Department, Mangalore City Corporation, and Project WET Foundation. BASF India provided inputs for training materials development.

Project Experiences

What has worked well: Human values education component motivated students to adopt good water and sanitation practices which they channeled to their homes; BASF Mangalore continues to voluntarily support the science laboratories which ensures continuity.

What has not worked well (and reasons for delays): The project was not anchored within local utility authority programmes. The project would have benefitted with closer engagement of UN-Habitat with the project.

Summary of lessons from the case

1. The project demonstrates that good outcomes in the community are being achieved by the enthusiasm of the students being channelled to their homes while indirectly motivating behavioural change and good practices in the community. This principle could be useful in other projects of a similar nature.
2. Projects such as this, where there is a reliance on utility services, need to be anchored within local government and service provider programmes so that they are encouraged to take ownership of the project. The project had a component of providing access to water to poorer communities in the school neighbourhood but this component was lost because the relationship of the project with the water utility was not strong enough.
3. The design and implementation of the project was handed over to a competent NGO with local knowledge and expertise, which produced good results. Nevertheless, the project could have better benefitted through stronger strategic partnerships with the local government and utility services. This may have been made possible through UN-Habitat having a closer engagement with the project.

Changes during implementation

Like in many other development or post-emergency projects, there have been regular changes during implementation. Two types of changes can be distinguished: (i) requests for extensions of time, and (ii) requests for additional budgets. BASF Stiftung has dealt with both these requests, and in general has been quite forthcoming in granting no-cost extensions of time. In the case of requests for augmentation of funding, there have been 11⁵⁷ projects which have obtained additional funding by BASF Stiftung. Many of the projects have also been able to obtain additional funding through other sources, like other UN-Habitat partners or private sector contributions (China-Sichuan, Brazil, Haiti, Kenya – Kibera, Mozambique, Philippines).

Targeted beneficiaries

The targeted beneficiary group has been poor communities of mostly urban, but also a few rural or semi-urban residential areas, like in India-Cuddalore, Mexico and Bangladesh.

Comparative advantages of projects supported by UN-Habitat and BASF Stiftung

The implementing partners and beneficiaries view UN-Habitat and BASF Stiftung projects as positive contributions to their development goals. In many projects there is high appreciation of the innovative nature of these projects and their demonstration value. Beneficiaries praise the commitment and motivation of UN-Habitat and BASF Stiftung representatives to these projects. It is observed in many cases that these projects have triggered changes in attitude of local governments and other authorities, and that there are good potentials for future replication.

The evaluation team shared the view with UN-Habitat and its implementing partners that BASF Stiftung-supported projects are relatively fast to be approved, within the span of a quarter of a year. However, it is also observed that many of the projects are too small for the ambitious targets they set to achieve. The majority of BASF Stiftung-supported projects is in the field of emergency and reconstruction response, i.e. 11 of 19 (11/19) projects.

Project management and implementation modalities

All projects were implemented by UN-Habitat and local implementing partners. Some of these projects did have several implementing partners even. Some of the projects (China, India and Kenya) have experienced a proactive involvement of the local BASF representatives. This engagement by BASF staff has been seen as positive added value in terms of inspiration and moral support, and at times there have been additional in-kind contributions (materials, labour, and advice) through the local BASF firms. The project management and implementation of all projects has adhered to UN-Habitat's operational guidelines and principles for projects, covering procurement rules, financial management, reporting requirements and transparency.

57 Sri Lanka; Bangladesh; Pakistan-Muzaffarabad; Kenya-Kibera; India-Cuddalore; Brazil; India-Nepal; Haiti, Global Urban Youth Fund; Mexico; and Kenya-Mandera.

MAIN FINDINGS

05

MAIN FINDINGS

This chapter presents an overview of project performance, followed by the assessment of the main findings of the evaluation as per the five evaluation criteria: (i) relevance, (ii) effectiveness, (iii) efficiency, (iv) impact and replicability, and (v) sustainability.

Table 1 provides an overview of the summary of the project performance assessments which is based on the individual project evaluations.⁵⁸

TABLE 1 Summary Project Performance

| SUMMARY PROJECT PERFORMANCE | | | | | | | |
|-----------------------------|-----------|---------------|------------|--------|---------------|----------------|------------------------------|
| Projects | Relevance | Effectiveness | Efficiency | Impact | Replicability | Sustainability | overall results accomplished |
| Haiti | XXXXX | XXX | XXX | XX | XXXXX | XX | Partially achieved |
| Sri Lanka | XXXX | X | XX | X | X | X | Not achieved |
| Pakistan – Muzaffarabad | XXXXX | XXXX | XXXXX | XXXX | XXX | XXXXX | Achieved |
| Pakistan – Thatta | XXXXX | XXXXX | XXXXX | XXXX | XXX | XXXX | Achieved |
| India – Cuddalore | XXXXX | XXXXX | XXXX | XXXX | XXXXX | XXX | Achieved |
| Philippines | XXXXX | XXXX | XXXX | XXXX | X | XXXXX | Partially achieved |
| China – Gansu | XXXX | XXXXX | XXXXX | XXXX | XXXXX | XXXXX | Achieved |
| Myanmar | XXXXX | XXXXX | XXXXX | XXXX | XXXXX | XXXXX | Achieved |
| India-Nepal | XXXXX | XXXX | XXXX | XXXX | XXXX | XXX | Achieved |
| Bangladesh | XXXXX | XXXXX | XXXX | XXXXX | XXXXX | XXXXX | Achieved |
| China – Sichuan | XXX | XXXX | XXXX | XXX | X | XXXXX | Partially achieved |
| Brazil | XXXXX | XX(XXX) | XXX | XXX | XXX | XXX | Partially achieved |

⁵⁸ More details can be accessed in [Annex 3](#) where complete Case Study Reports are reproduced, and in [Annex 4](#) which contains Project Briefs of projects not visited.

| | | | | | | | |
|-------------------------|-------|-------|-------|-------|-------|-------|--------------------------------|
| Kenya – Kibera | XXXXX | XXX | XXXXX | XXXXX | XXX | XXXXX | Achieved, though not completed |
| Global Urban Youth Fund | XXXX | XXX | XXX | XX | X | X | Not (yet) achieved |
| E-Learning | XXX | XXX | XXX | X | XXX | X | Not (yet) achieved |
| Kenya – Mandera | XXXX | XXXXX | XXXXX | XXXX | XXX | XXXX | Achieved |
| Mozambique | XXXX | XXX | XXXXX | XXXXX | XXX | XXX | Achieved (not yet completed) |
| Mexico | XXXXX | XXX | XXXXX | XXXX | XXX | XXXX | Achieved |
| India - Mangalore | XXXXX | XXXX | XXXXX | XXXX | XXXXX | XXX | Achieved |

Source: Evaluation Team

The above table shows that 12 of 19 (12/19) projects have fully achieved the expected results. Four projects (4/19, i.e. Haiti, Philippines, China-Sichuan and Brazil) have partially achieved the expected results, with the Brazil project still incomplete, showing a good potential to move up to category of “achieved” status. One project (1/19) has not achieved the expected results (Sri Lanka). Another two projects (2/19) Global Youth Fund and E-Learning projects, are labelled as not (yet) achieved, since they are still ongoing. The latter two projects have no specific targets formulated (yet), and were difficult to assess, since impacts could not be measured.

The following presentation of the main findings of the cross-cutting analysis of the projects, covers the evaluation criteria of relevance, effectiveness in accomplishing targets, efficiency in use of resources, impact and replicability; and sustainability. The information obtained is qualitative, and does not have quantifiable statistically relevant data that can be compared. Thus, the following narrative on project criteria will make reference to specific project experiences and their contribution to knowledge and practice. The recount of project experiences represents good practice or difficulties during project implementation. Many of the dimensions evaluated do have a relationship to project

management and implementation practices. For that reason, this section on main findings also presents findings on project management and implementation.

Table 2 contains a computation which indicates that the following ten projects (10/19) had some issues: Haiti, Sri Lanka, Philippines, Brazil, India-Nepal, Urban Youth Fund, E-Learning, Mozambique, Mexico, and India-Mangalore, which can be considered a normal situation in the context of project implementation. Some of these issues are minor in the overall picture. Table 2 also provided supplementary information on issues of the four projects which only partially achieved the expected results (4/19, i.e. Haiti, Philippines, China-Sichuan and Brazil), the one project (1/19) which has not achieved the expected results (Sri Lanka).

TABLE 2 Overview of Main Findings: Relevance, Effectiveness, Efficiency, Impact, Replicability, Sustainability

| | 1.0 | 1.1 | 1.2 | 1.3 | 1.4 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 | 4.4 | 5.1 | 5.2 | 5.3 |
|----------------------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| Haiti | Y | Y | Y | Y | Y | YN | YN | YN | Y | N | Y | YN | N | YN | Y | Y | Y | N | YN | N |
| Sri Lanka | Y | Y | Y | Y | Y | N | Y | YN | Y | Y | Y | YN | Y | YN | N | N | N | YN | N | N |
| Pakistan – Muzaffarabad | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y |
| Pakistan – Thatta | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y |
| India – Cuddalore | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y |
| Philippines | Y | Y | Y | Y | Y | Y | Y | YN | Y | YN | YN | Y | N | Y | N | Y | Y | Y | Y | Y |
| China – Gansu | Y | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | U |
| Myanmar | Y | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | U |
| India-Nepal | Y | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | Y | N | Y | Y | Y | U | Y | Y | U |
| Bangladesh | Y | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | U |
| China – Sichuan | Y | Y | Y | Y | Y | Y | Y | Y | U | Y | Y | Y | Y | Y | Y | N | U | Y | Y | U |
| Brazil | Y | Y | Y | Y | Y | Y | YN | YN | Y | YN | Y | Y | N | Y | Y | Y | Y | Y | Y | Y |
| Kenya – Kibera | Y | Y | Y | Y | Y | Y | YN | Y | Y | YN | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y |
| Global Urban Youth Fund | Y | Y | Y | Y | N | Y | Y | YN | Y | Y | Y | Y | Y | U | N | N | N | N | N | N |
| E-Learning | YN | YN | YN | Y | N | U | Y | YN | Y | N | Y | Y | Y | U | N | Y | Y | YN | N | N |
| Kenya – Mandera | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y |
| Mozambique | Y | Y | Y | Y | Y | Y | Y | Y | U | YN | Y | Y | Y | Y | U | Y | U | Y | Y | Y |
| Mexico | Y | Y | Y | Y | Y | Y | YN | Y | Y | YN | Y | Y | N | Y | Y | Y | Y | Y | Y | Y |
| India - Mangalore | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | Y | YN |
| Summary Count: | | | | | | | | | | | | | | | | | | | | |
| Compliant: Y | 18 | 18 | 18 | 19 | 17 | 16 | 15 | 13 | 13 | 12 | 18 | 17 | 15 | 15 | 15 | 16 | 11 | 15 | 15 | 10 |
| Noncompliant: N | - | - | - | - | 2 | 1 | - | - | - | 2 | - | - | 4 | 1 | 4 | 3 | 2 | 2 | 3 | 2 |
| Undecided, border case: YN | 1 | 1 | 1 | - | - | 1 | 4 | 6 | - | 5 | 1 | 2 | - | 1 | - | - | - | 2 | 1 | 2 |
| Unknown: U | - | - | - | - | - | 1 | - | - | 6 | - | - | - | - | 2 | 3 | - | 6 | - | - | 5 |
| Totals | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 | 19 |

Note: the numbering of the criteria stands for the following criteria: 1.0 – Relevance; 1.1 Project accomplishments; 1.2 Harmonisation of the project with government and other UN projects; 1.3 Project represents a good response to local needs; 1.4 Alignment of project with UN country programme; 2.1 Objectives achieved; 2.2 Effective management and coordination mechanisms; 2.3 Effective coordination, management and reporting system; 2.4 Effective involvement of females and youth; 3.1 Funding level commensurate with project ambitions; 3.2 Efficient delivery mechanism; 3.3 Cost-efficient implementation; 3.4 Timely and efficient allocation of resources through UN-Habitat; 4.1 Impacts; 4.2 Significant contribution to strengthening of national institutions; 4.3 Up scaling or replication; 4.4 Replication in other regions or other thematic fields; 5.1 Sustainability taken into account during project implementation; 5.2 Project results likely durable; 5.3 Other factors that contribute to sustainability.

Source: Evaluation Team

The summary overview indicates that for all aspects in this detailed cross-cutting analysis the majority of projects (between 11-19/19) show compliance with criteria of results-based management and accomplishment of goals, which correlates with the rate of projects which have fully (or partially) achieved their expected results (Table 1). The cases of noncompliance are few (1-4/19) for selected aspects; and there are a number of border cases (1-6/19). Due to the fact that desk review was undertaken for six projects, has contributed that for a few aspects no assessment could be provided (1-6/19).

Relevance of BASF Stiftung's support

Of the 19 projects supported by BASF Stiftung, 18 projects seem to be very relevant in their design. Since the majority of projects are emergency projects, the issue of relevance seems obvious. As noted from the wide range of stakeholder reactions, in the perception of local stakeholders, the projects have provided positive and important initiatives. The BASF Stiftung-supported projects have dealt with the challenges of emergency situations and reconstruction, and brought water and sanitation to poor communities, and supported urban youth in their social and employment related development. The underlying assumptions of project needs has been adequate. The only exception in terms of underlying assumptions is, however, the case of the Global E-learning project (1/19 projects): The hypothesis that the use of this new technology approach is able to reach out to larger number of target groups is yet to be proven correct.

Accomplishments of objectives

The large majority of projects (17/19) can demonstrate accomplishment of the intended outputs, outcomes and impacts. The overall delivery of tangible outputs has been very convincing, with 17 out of 19 projects showing clearly the accomplishment of project objectives. However, there are two cases (2/19 projects,

i.e. Sri Lanka, and Global E-Learning) where accomplishment of objectives is not sufficiently clear at this stage. The Sri Lanka project seems to require some more assistance to ascertain that vendors will actually start using the market which was built for them. In the case of the Global E-learning project, accomplishments at this stage are still very limited since this is still at its pilot stage, and has not yet shown tangible results in the lives of youth.

Harmonization and coherence of projects with other programmes of UN-Habitat and BASF Stiftung

The large majority of projects (18/19) are connected or harmonized with other UN-Habitat or other donor-supported projects. This means the majority of projects is coordinated with other sectoral initiatives, and there is no duplication of efforts. In the case of the Global E-Learning project there is no harmonization yet with other distance learning initiatives, although many organisations are starting to use the same technology approach to training and teaching.

Responsiveness of projects to needs of communities and local contexts

All projects (19/19) are considered responsive to the needs of communities and local contexts. Projects have been developed on basis of participatory needs assessments, and communities and beneficiaries are positive about the responsiveness of the BASF-supported projects.

Complementarity of projects

The majority of projects (17/19) are observed to be complementary and consistent with other UN-Habitat programmes and projects, and with the efforts of the government and other multi-lateral donors. This means that BASF Stiftung-supported projects have been well-placed in the national development agenda, and

they have been able to curb their own niche and define their role and contribution in the development agenda. Both UN-Habitat and BASF Stiftung (as well as the local BASF offices) can take the credit for ensuring complimentary and relevance of these projects. However, there are two projects (2/19 i.e. Global: Urban Youth Fund: Youth Empowerment; and Global: E-learning) which are not linked to any other local programmes, this may be due to the innovative nature of these two projects, or the fact that few or none of the local contexts have similar projects to offer.

Effectiveness of BASF Stiftung-supported projects

Contributions to expected goals and targets

A large majority of projects (16/19) are observed to contribute to expected goals and targets. In the case of Sri Lanka (i.e. 1/19 projects), the ultimate goal of providing better employment opportunities for fish vendors affected by the 2004 Tsunami has not been achieved so far. In the case of the Haiti project (i.e. 1/19) the evaluation is convinced that the ultimate goal, to help introducing earthquake resistant construction in Petionville, Port-au-Prince has not been achieved.

Outstanding cases which need to be mentioned are Pakistan-Muzaffarbad, Pakistan-Thatta, India-Cuddalore, Philippines, Myanmar, Bangladesh, Kenya-Mandera, Mexico, and India-Mangalore: (i) **Pakistan-Muzaffarabad:** The key output is the earthquake resistant safe learning space for girls. The project provided technical training to artisans and workers while engaging the communities in the school building process; (ii) **Pakistan-Thatta:** The key output is shelter and latrines provid-

ing safe and adequate homes for villagers, and formation of formal community organisation, contributing to the effectiveness of the project; (iii) **India-Cuddalore:** All water and sanitation interventions are found to be effective, with hand pumps, girls urinals and the Disability Resource Centre having a high impact; (iv) **Philippines:** 31 permanent houses have been completed and are now been occupied by the affected families. Lot purchase and payment agreements for these families are on-going; (v) **Myanmar:** The planned output of 22 school buildings was constructed within the project budget using Community Contracts. On the job training and capacity building was incorporated in the implementation methodology; (vi) **Bangladesh:** The school building was constructed as planned: ground floor of the building, open for multipurpose use and first floor classrooms, and second floor teacher's room and library. The project constructed was the entire west wing and stair up to the second floor to be built in the future; (vii) **Kenya-Mandera:** Highly effective in achieving results; (viii) **Mexico:** The key outputs of sanitary and hygiene self-assessment; investments in water catchment systems, water cleaning systems and water reuse; some sanitary facilities; and waste water treatment through controlled wetlands contributed to achieve intended objectives; (ix) **India-Mangalore:** The project provided safe drinking water for 25 schools, established science laboratories in 8 nodal schools, and distributed water quality monitoring kits for 25 schools; complementary activities included training and capacity building of teachers and students on water quality monitoring, citywide water quality monitoring programme, and hygiene awareness building activities; the water quality monitoring programme was the most effective component under the project across most schools. The project was primarily targeted at school students. The project successfully built enthusiasm of the students, which resulted in positive outcomes.



Flood affected women and children fill their drinking water coolers at drinking water tank at flood affectees relief camp in Peshawar, Pakistan.

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Management, coordination, monitoring and reporting

The management of the BASF Stiftung-supported projects has been in the hands of national UN-Habitat offices (with some support from the Regional UN-Habitat offices), and in the case of the two Kenya projects and the two Global Urban Youth Fund projects with UN-Habitat headquarters in Nairobi. In most other places, projects seem to have been managed best where

UN-Habitat has been able to hire an implementing partner to whom the day-to-day implementation were assigned. The large majority (15/19) of these projects have had effective project management. However, there are four projects (4/19 i.e. Haiti, Brazil, Kenya-Kibera, and Mexico) where staff changes of UN-Habitat have affected the projects negatively, for some time. UN-Habitat was eventually able to solve the problems resulting from lack of attention to these projects. **Mexico:** In the case of Mexico,

UN-Habitat was able to overcome a crisis in 2011, and with the appointment of, the government-owned Instituto Mexicano de Tecnologías del Agua it achieved a professional management of the project. Equally, in **Kenya-Kibera**, UN-Habitat was able to strengthen project management. In **Haiti**, the project received strong UN-Habitat support initially, however, due to work overload was submerged in many other UN-Habitat activities till 2012 when it was resurrected. In **Brazil**, the flexibility of BASF Stiftung and the regional office of UN-Habitat helped to overcome the deadlock of the project through an amendment of contribution agreement, and to establish revised and more limited targets.

The case of the two projects at UN-Habitat headquarters, the **Global: Urban Youth Fund** and the **Global E-Learning** have raised the attention of the evaluation team. These two projects seem to be run without quantified targets. There is no specific logframe established and this is an unusual situation for development projects at headquarters which are supposed to be managed as per results-based management criteria.

In general, the evaluation has noted also that there is a lack of (standardized) tools and monitoring and evaluation instruments. Reporting from field level to headquarters, and to BASF Stiftung seems irregular, and at times non-existent, and no standardized, simple format for reporting seems to have been agreed.

Measurement of results and efficiency

From the majority of projects (13/19) it is reported that effective reporting was undertaken. India and Kenya projects seem to be among the best in terms of reporting. For a number of projects (6/19, i.e. Haiti, Sri Lanka, Brazil, Global Urban Youth Fund, E-Learning) there seem to have been reporting issues.

The two Pakistan projects revealed that UN-Habitat reported project progress regularly, and project completion reports were submitted to BASF. Reporting, however, did not cover sustainability aspects of the projects. Positive experiences are represented by the **Kenya-Mandera** project which used a checklist for monitoring progress, developed by UBSB, and sent over to the Mandera District office of the ministry that was used by the district water officer to confirm the facts on the progress. This feedback was used in periodic reports that were sent to BASF Stiftung. The **Kenya-Kibera** project has reported to BASF/BASF Stiftung, partners and the community, and based on these reports, project changes were initiated in consultation with project partners, such as the decision to expand the management board, and to introduce new services, and income-generating activities. In **India-Mangalore** systematic reporting and documentation has been carried out by the implementing agency.⁵⁹ In **Sri Lanka** progress reports have been prepared regularly at the early stages of the project, but the evaluation noted irregularities of reporting in Sri Lanka (post 2009). In the **Philippines** the documentation system was unsystematic, inconsistent and inadequate. For example, the documentation of the change of project was not recorded in a comprehensive manner; the project completion report is inadequate and there was no project evaluation report. Almost all documents in the Philippines project have no recording of production date and the author not identified in some. In **Brazil**, the evaluation was not able to verify the extent of interim reporting or measurement of results. In the case of the **Global Urban Youth Fund: Youth Empowerment** or **E-Learning** there seems to be little reporting as well.

⁵⁹ *The format of these progress reports, with quantified monitoring of achievement of project targets, should be used as an example for a future monitoring instrument. Its simple and quantifiable format can provide snapshots of project progress at any time if information is updated regularly.*

Gender and youth issues

The majority of projects (13/19) have recognized the importance of gender and youth for project implementation, and sustainability. In the case of 6 projects (6/19) not visited, no specific information is available about the role of gender or youth during project design or implementation. However it is noted that several projects do not show a concern for gender or youth in their design. This seems to be a consistent pattern. Fortunately, during the implementation of projects women (in some cases youth representatives) make their weight felt, and they become very active and reliable project partners without whom the projects would not have been implemented as they were.

There are a number of good practice cases which should be highlighted: **Haiti:** Females and youth have played important part in project activities, and youth were prime target group for community awareness building on safer construction. **Pakistan-Muzaffarabad:** The school design elements included gender specific water and sanitation requirements for female teachers, girls, as well as girls with special needs. This requirement was highlighted during the school design phase, and responded to by school designers accordingly. **Pakistan-Thatta:** The shelter and latrines latrine elements of project interventions included input from village females in terms of designing of safe and secure living condition. **Kenya-Kibera:** There has been effective involvement of women and youth. 400 women have benefitted from the centre's services. 300 youth have attended IT- training, another 250 have attended other training. **Global Urban Youth Fund:** The participants to project management training ranged between the ages of 20-32 years. The participation of young women in these training sessions has exceeded 50 per cent of all participants. **Mexico:** The project had a 50-70 per cent female participation rate (it varies from school to school) due to the composition of the student population. The female students and youth have taken considerable interest in the project, and are

considered an important guarantee for its future. There is a need to increase boys' participation. **India-Mangalore:** The project paid special attention to girl students by providing hygiene education and appropriate sanitary facilities. Students contributed to the project by taking part in street marches, distributing promotional material among the community, taking part in clean-up campaigns.

Efficiency

Funding commensurate with intended results

A large number of projects (12/19) have reported that funding provided by BASF Stiftung was adequate for the intended results. Positive feedback is provided from Bangladesh, China, India, Kenya-Mandera, Myanmar, and the Global Urban Youth Fund. There are 3 projects (3/19, i.e. Haiti, Brazil, and E-Learning) which have indicated to the evaluators that project funds were insufficient. Haiti could have invested in the physical structure of the Shelter Resource Centre if funding had been sufficient. Likewise, in Brazil, if budget had been adequately developed for the costs of the community centre, the project could have been able to build the Community Centre with BASF Stiftung funding, one of the key outputs of the original project design; fortunately, the municipality of São Paulo may finally step in and build this community centre.

In the case of the remaining 4 projects (4/19 i.e. Kenya-Kibera, Philippines, Mozambique and Mexico) fund shortage had to be managed by the projects. **Kenya-Kibera** had to seek additional funding for its health-component from private sector donors, which proved difficult and time consuming. The **Philippines** project needed to find also additional private sector funding, which has also caused some delay. The **Mozambique** project had to obtain about 100 per cent additional funding from UN-Habitat sources in order to overcome its funding substantial shortage.

In the case of the **Mexico** project, some investment components (school toilets) had to be cut back to cope with the funding shortage. These 4 projects have been able to augment their budgets through own efforts. This is a positive accomplishment.

Delivery mechanisms

In the majority of projects (17/19) the delivery mechanism, or implementation arrangement is considered as adequate and well chosen. In one case (1/19, i.e. the Philippines) however, there have been doubts about the choice of the implementation partner, a faith-based housing organisation (Couples for Christ), whose religious orientation may have contributed some negative repercussion on the work with the community.

Good practices cases include Haiti, Pakistan, Philippines, Kenya-Mandera, Mexico and India-Mangalore: **Haiti:** Implementing partners were adequate. However, the fact that government or other donors did not invest in large scale reconstruction has reduced operational value of the project. **Pakistan-Muzaffarabad:** The project delivery mechanism for school reconstruction, as outlined by the State Earthquake Reconstruction and Rehabilitation Agency (SERRA) and the Education Department as policy for school re-construction i.e. school structural design by the National Engineering Service of Pakistan, Education Department's Administrative, SERRA monitoring was considered efficient as such, and was delivered as such. **Pakistan-Thatta:** The project was delivered by a local NGO, with UN-Habitat providing design, management, and technical support to the project. The local community and NGO contributed to various project activities. **Philippines:** The house construction was efficiently completed within the timeframe, using volunteer labor contributions organized by the implementing partner (Couples for Christ Answering the Cry of the Poor - CFC ANCOP). The construction was based on material purchase by CFC ANCOP and paid skilled labor supported by in-kind contributions and volunteer

labor. A small proportion of skilled workers were drawn from the beneficiary community while the majority of skilled labor was employed from outside. **Kenya-Mandera:** The delivery mechanism of civil works was certainly efficient, since the Rural Agency for Community Development and Assistance (RACIDA) was able to implement through direct procurement. **Mexico:** The implementing partner and project beneficiary schools consider the delivery mechanism efficient. **India-Mangalore:** The project adopted and successfully implemented HVWSHE programmes and methods, which have been enthusiastically adopted by the teachers and students. **China-Gansu** was the fastest project, with an implementation period of one month, which may be attributed to prior project preparation.

However, there are observations from Mexico, Philippines and Sri Lanka which demonstrate some issues encountered during implementation: **Mexico:** UN-Habitat took long time to start the project. The initial project manager was discontinued, and only after one year a professional organisation, the government-owned Instituto Mexicano de Tecnologías del Agua was appointed. **Sri Lanka:** Polysteel construction technology was promoted by BASF-Bovis Lend Lease partnership, which was a new technology for Sri Lanka requiring large foreign input in terms of materials, considerable training, and external support. Polysteel technology was resisted by the local community and it was found to be costly based on tender bid comparisons for Polysteel and conventional construction alternatives. Eventually it was agreed to use conventional technology in the construction of the building.

Cost-effectiveness

The majority of the projects (17/19) have been implemented through cost-effective means. The majority of projects are demonstrations of cost-effective low-cost designs of buildings or infrastructure. Several projects have used sweat equity of

community members (India-Cuddalore) or direct contracting as procurement method (Brazil; Kenya-Kibera; Kenya-Mandera; Mexico; Philippines), and thus saved on construction costs. Projects linked to other UN-Habitat operations are more cost-efficient, as well as more effective for upscaling, with a focus on innovation to suit local circumstances. All water and sanitation projects fall into this category: India-Mangalore (Human Values-based Water, Sanitation and Hygiene Education project); India-Cuddalore building on water pump technology in coastal area where seawater is a challenge; and India-Nepal project where also the basic technologies needed to adapt to particular circumstances. Two projects (2/19, i.e. Haiti and Sri Lanka), however, present efficiency issues. In the case of the Haiti project, the available funding was utilized for renting a building that served as Shelter Resource Centre until closure of the project. The case of Sri Lanka is reported as negative, because the building constructed was not effective. Polysteel construction required large foreign input in terms of resources and skills. UN-Habitat estimated that the cost was double that of conventional framed construction. The building was constructed on a direct contract where the contractor was responsible for the procurement of labor and materials. The project design expected the contractor to use volunteers from the local community. This did not occur because volunteers could not be effectively utilized in a construction project of this nature. The construction contract was awarded on a two-envelope tender process to ensure a fair price and achieve good building standards.

Good practice cases include Pakistan, Kenya-Kibera, Kenya-Mandera, Global Urban Youth Fund, Mexico and India-Mangalore: **Pakistan-Muzaffarabad:** The project used the cost-effective construction option for seismic resistant structures (conventional reinforced cement concrete frame technique) for the school construction use, with appropriate but low cost technology, fixtures, and furnishing, and with appropriate contractor selection and

with in-house technical expertise, the project was executed with high cost efficiency. Also, the low –maintenance furnishing and fixture may lead to lower operation and maintenance costs in future. **Pakistan-Thatta:** The project used cost-effective infrastructure design with locally available material and technology for shelters and latrines construction etc. With local/ community/ UC based contractors supplying construction material and with in-house technical expertise, the project was executed with high cost efficiency. **Kenya-Kibera:** The Kibera Soweto East Resource Centre managed the procurement of services and goods in a cost-efficient manner. **Global Urban Youth Fund-Youth Empowerment:** Considered cost-efficient if participant costs for events are calculated. Training sessions are delivered on a regional basis for a better geographical access and linkages between participants. Training sessions are delivered in 3 languages (English, French and Spanish) to cater for the language needs of participants. **Kenya-Mandera:** Rural Agency for Community Development and Assistance achieved about 30 per cent cost savings through direct contraction if compared with conventional contracts' costs. **Mexico:** The use of low-cost water and sanitation technologies is considered as very cost-efficient. Highly cost efficient, using least cost approaches. Cisterns expected to last 30-40 years, if adequate operation and maintenance undertaken. Low-cost technologies will lead to low operation and maintenance (operation and maintenance) costs. The project is a show case of its kind in Mexico, and it should have an influence on building guidelines for homes and school buildings. **India-Mangalore:** The project was planned and monitored to stay within the budget.

The **Sri Lanka** project has been problematic in terms of cost-benefit relationship. The polysteel construction utilized required large amounts of foreign inputs in terms of resources and skills. The original project design expected the contractor to use volunteers from the local community. This did not occur because volunteers could not be effectively utilized in a construction project

of this nature. This project was the most costly project, and the least successful in terms of socio-economic impacts.

Allocation of resources

The large majority of projects (15/19) did not report any issues concerning the allocation and transfer of funds through UN-Habitat. It is being reported as timely and at appropriate project implementation stages.

However 4 projects (4/19) have indicated delays of fund transfers: Haiti, Brazil, Mexico, and the Philippines: **Haiti:** Late arrival of funding for training activities caused serious problems for implementation of training and awareness activities in 2013. **Brazil:** Implementing partner for output 1 complained about delay of funds transfer; Output 1 activities were squeezed time-wise due to late arrival of funds. Working with the government organisation for entrepreneurial training, the Brazilian Service to Support Micro and Small Businesses (SEBRAE) could have been beneficial to project, since they have own resources. However, SEBRAE rejected to work from the existing community centre for lack of facilities there. **Mexico:** There have been some critical observations about delays of transfers from UN-Habitat. IMTA had to prefinance activities to prevent stopping or further delay of the project. **Philippines:** Delay in arrival of funds from UN-Habitat Head Office caused serious concern to the funding partner Banco de Oro Foundation (BDO Foundation) since it was likely to delay the project. This was resolved by an intense lobbying effort with UN-Habitat headquarter.

Impact and Replicability

Main impacts of BASF Stiftung-supported projects

The majority of projects (14/19) has provided feedback that positive impacts have been achieved. In the case of 2 projects (2/19, i.e. Haiti and Sri Lanka) there are limitations in terms of

the impacts achieved so far. In case of the 3 remaining projects (3/19, i.e. Global Urban Youth Fund, Global: E-Learning and Mozambique) impacts are unknown, as they still being implemented.

Examples of clearly visible project impacts can be cited from the cases in Pakistan, Philippines, Kenya, Myanmar, Brazil, and India-Mangalore: **Pakistan-Muzaffarabad:** Provision of better and safer education facilities for primary school going girls will contribute to overall improvement in female literacy rate. A related repercussion will be that many primary educated girls may then be able to go through secondary and tertiary education and thus increase their chances for better quality of life. The impact of this school will be felt over many years to come. **Pakistan-Thatta:** Provision of basic necessities of life such shelter, accesses to services and utilities has improved beneficiaries' livelihood. It will contribute to the socio-economic recovery and progression of this community. From being rendered completely landless by floods with almost no tangible assets, the village population has now progressed to a state in which they now have legal rights to land at safe location. The impact of this project could contribute to sustainability of this village for years to come. **Philippines:** 31 families have a permanent house, security of tenure and live on land not prone to flooding. The project has contributed to community cohesion because of the intense mobilization effort to implement the project. Security was the most important component appreciated and valued by the community. The status achieved opens employment opportunities without any additional inputs required. **Myanmar:** The overall benefit was more than the direct impact of providing 22 schools. Implementation of Community Contracts provided opportunities for partnership development, consensus building, community contribution and transparency in project implementation and strengthening women's role in development activities. **Brazil:** Community is feeling more cohesion and enjoying outdoor facilities which did not exist before. The main impacts are: (a) an idea of training

requirements has been imparted. Community knows that more is needed; (b) the revitalization of the urban space has created better quality of live for youth and community members which use the facility; this subproject has united the community and its different groups and leaders, more than anything before; and (c) the yet outstanding construction of the community centre will be a major success, and a substantial contribution of the State government. It would be the first of such investments in São Paulo. **Kenya-Kibera:** Community is receiving many new services; quality of life has improved; quality health services provided.

Reduction of youth-based violence and crime. Indirect impact: establishment of police station has provided security and better community conditions. Contribution of the project were to all of the above, except for the police station; however, project provides electricity and water connections to police station. **Kenya-Mandera:** The project document has not provided an expected impact. However, the evaluation mission reached the conclusion that the following impacts have been achieved: Improved water supply of target population (and of some of their immediate neighbours) will show as positive health benefits through reduc-



The fishermen transferring the fresh catch from boats to be transported by road to the markets. Mangalore, India.

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tion in water-borne diseases. Since women and children do not need to walk anymore long distances to natural resources, due to the project they can save time and have more security. Beneficiaries will also have financial savings since they will pay about 50 per cent less for their water supply. The project has also imparted management skills. **India-Mangalore:** The project impacts were: (a) 5,350 students in 25 schools have access to safe drinking (b) School-led water quality monitoring programme has been established which will assist in minimizing water borne diseases; (c) Improved health and hygiene conditions in selected schools. Supported by the training and capacity building programmes of the project, the schools were able to channelize the enthusiasm of students to their homes and their community while indirectly motivating behavioural change and adoption of good practices in the communities.

However, actual impacts are yet to be measured in Haiti, Sri Lanka, India-Nepal: **Haiti:** The impacts of this project cannot yet be fully determined since the project was closed recently, and no baseline study has been undertaken about evidence of improved and safer construction in the project area. The main impact (awareness of safe construction technologies) is not tangible, not yet translated into a tangible impact of safer construction. Behaviour changes have been quoted, these suggest “a seed” planted in a new generation (a wording used by UN-Habitat staff). **Sri Lanka:** The broad project objective was to improve the livelihoods of the local fishing community. The market was reconstructed to provide them a place to resume their trading activity in an improved facility. The project has not been successful in this aspect. The market is not being effectively used, only 6 stalls are being used. The fish vendors are either unable or unwilling to pay the high rents of the improved facility. Within 2 months of the opening, vendors of 14 stalls moved to beach sites and set up their selling points. Even the 6 remaining stallholders are not paying their due rents and services payments and water and elec-

tricity has been switched off. The restaurant was functional for a few years but was closed down due to non-profitability. Now the space is leased as a private office building. GMC is planning to remedy this by forcibly removing the vendors from the beach with the intention of influencing them to occupy the market stalls. It is not known whether this is politically feasible or can be achieved in practice.

As a common pattern of most projects is that impact (and outcome) studies have not been done consistently as part of project completion reporting and project closure activities. It seems relevant to consider to undertake this, through low cost means such using internships of university students, young graduates or young researchers to develop post-closure impact studies.

Contribution to strengthening of national and local institutional capabilities

As expected, the projects have made a dent also in terms of institutional capacities of implementing partners, at government levels, nongovernmental organisations, or community groups. The majority of projects (15/19) report positive institutional learning and increased capacities to handle similar projects. A selection of good practice cases includes Haiti, Pakistan, Brazil, Kenya; and Mexico: **Haiti:** The project can be considered a positive contribution to the strengthening of the municipality of Pétion-Ville’s work with community platforms. **Pakistan-Muzaffarabad:** The implementing partners were of the opinion that artisan, carpenters and labor trained in better construction techniques through this project would be able to utilize these skills in Azad Jammu and Kashmir and elsewhere in the country for overall improved construction of housing and public structures. Also, the technical construction arm of the Education department was able to learn better construction and project management techniques. **Pakistan-Thatta:** Government departments are now aware that there is a better standard for physical and social infrastructure rehabili-

tation of rural and urban villages and communities impacted by disasters such as floods, as demonstrated in this particular project for visible difference in the village community improved quality of life. **Brazil:** Capacity of local NGOs has been improved, and also that of UN-Habitat which had not worked in São Paulo before. The municipal housing agency has increased its positive view about community-based activities and their potential, wants to replicate it in other big housing estates. **Kenya-Kibera:** The project has contributed significantly to capacity development at the Kibera Soweto East Resource Centre. The Board of the Community Centre is new, and other partners also have learnt new implementation skills. Some 50 women, 30 youth, and 20 men were involved and trained in implementation. **Kenya-Mandera:** County government and community groups have gained through participatory nature of project. **Mexico:** The implementing partner and project beneficiary schools stressed that they feel their capacity has increased significantly, and they are ready to undertake similar activities, or guide or advise others in these. Participating schools have commented on technologies like ferrocement cisterns, or water purification being new for them. There are many positive lessons from new and alternative water technologies. These technologies can be brought back to the homes of the students. The school in Valle del Chalco tries to promote biological soaps and non-synthetic detergents. The school expects a kind of operation and maintenance manual for maintenance works.

A minority of projects (4/19, i.e. Sri Lanka, Philippines, Global Urban Youth Fund, and E-Learning) report limited or no impact on institution building: **Sri Lanka:** The project did not make a contribution and needs to be seen as an isolated case. **Philippines:** The project did not have a role in strengthening local institutions since the project was implemented by a local NGO. **Global Urban Youth Fund:** The project has strengthened the capacity of UN-Habitat, but it has no institutional outreach yet

in the countries it has worked. **E-Learning:** Equally, this project has no institutional outreach yet.

Replication and scaling-up

The large majority of projects (16/19) have reported that replication of similar activities is imaginable. This replication could either be through the use of similar technologies, or similar institutional approaches. There are some institutional players which have expressed their intention to further replicate the project in other neighbourhoods, like the municipality of São Paulo which has declared it wants to build similar community centres in other large urban poor communities, or the government of Kenya which wants to replicate Community Resource centres, or the Government of Haiti and UN-Habitat which are developing initiatives for other Community Resource Centres. Likewise, there are several examples from the water and sanitation field where projects in India, Kenya and India-Nepal are likely to be replicated.

Good practice cases are in Haiti, Kenya, Brazil, Mexico and India-Mangalore: **Haiti:** UN-Habitat has initiated other Community Resource Centres in other projects, like its new settlement assistance programme in Canaan, Port au Prince. **Kenya-Kibera:** In the Mtwapa informal settlement in Kilifi county, near Mombasa, and in Mathare Valley, Nairobi similar projects are being proposed as part of a government-sponsored slum upgrading programmes. **Brazil:** On a very limited scale in the vicinity of the community, where with the help of Instituto ELOS a bridge was built. Further replication is certainly possible once municipality or other agencies provide support. Replication of similar project activities seems possible. The State Government's Company for Housing and Urban Development sees numerous possibilities of replication in empty areas of its more than 300 housing projects in the city. **Mexico:** So far there seems to be only a few cases of small-scale replication. Not much details are

known. It is expected that the show case impact of the completed project can have wider implications, and the project's example could stimulate others, or have positive repercussions for national school building guidelines. Some households have started to develop their own water catchment system. **India-Mangalore:** This project is a successful model and needs to be replicated in order to serve its main purpose of reducing water borne diseases in the community.

Of concern are those 3 projects (3/19, i.e. Sri Lanka, China-Sichuan, Global Urban Youth Fund) where no replication or scaling up potential is being reported: **Sri Lanka:** The project is not suitable for replication since it does not serve its purpose effectively. **China-Sichuan:** replication may not be feasible due to specialists' inputs required. **Global Urban Youth Fund:** No plans for replication are known; UN-Habitat is, however, seeking to interest local private sector companies to join as sponsors.

The topic of replication and scaling up poses the question of sustainability of the existing projects, and whether local implementation partners can actually replicate or upscale similar projects without external support. Most of them may not be able to do so, unless replication and upscaling has been clearly built into the project design and business plan of the project operations. In all upscaling strategies (as seen from the Asian and Latin American-Caribbean cases) however, maintenance and sustainability is the challenge that keeps coming up as the issue to be resolved for effectiveness and durability of results.

Conditions necessary to further replicate projects

A majority of 11 projects (11/19) reported that they could line up required support such as political will, management structures, and land requirements, but in most cases the crucial issue will be seed money or start-up funding. In the case of 6 projects (6/19) not visited (i.e. China-Gansu, Myanmar, India-Nepal,

Bangladesh, China-Sichuan, and Mozambique) no information is available about the required conditions for replication (or upscaling).

Various projects – in Haiti, Pakistan, Philippines, Brazil, Kenya, Mexico and India - provide good ideas of requirements for replication: **Haiti:** Access to land required. Municipalities need to take more ownership of such projects. **Pakistan-Muzaffarabad:** Given the local conditions, only things that is required for replication of project activities is adequate financing. All other conditions such as political will, priority, management structures, requirements, need etc. in place, and will continue to be so in the near future. **Philippines:** The concept of volunteering used in this project by Answering the Cry of the Poor members and Banco de Oro Bank employees could be used to address other development challenges. **Brazil:** Political will and resources. Land for public buildings or outdoor activities, if any physical developments are required. **Kenya:** The government has declared that it plans to build many similar community centres. Ministry of Lands, Housing and Urban Development has bought into this idea. Leadership and government commitment are required. **Kenya-Mandera:** Leadership, and positive decisions on Water Company policies regarding water tariff so that goal of sustainability can be achieved. Water companies are not yet decided it seems to target cost recovery. Water policy needs improvement for cost recovery to happen. **Mexico:** According to the beneficiary schools, this would require financing; external aid (corporate social responsibility; more knowledge; technical assistance. The Mexican Institute for Water Technologies has mentioned local or national commitment and leadership. **India-Mangalore:** HVWSHE programme is being replicated in all regions by UN-Habitat.

From 2 projects (2/19) it is understood, that the aspect of replication is less promising, Sri Lanka, Global Urban Youth Fund: **Sri Lanka:** The project itself is unsuitable, thus there is no effort

of replication. **Global Urban Youth Fund:** Chances for replication seem non-existent. The importance of including upscaling and replication in project design seems obvious. However, the size of projects can make it sound a bit too ambitious to achieve replication and upscaling.

Sustainability

Sustainability in BASF-supported projects

The majority of projects (15/19) have reported positively about the ability to sustain operations. It can be observed that most projects did not have sustainability as a design feature when they started, but during implementation this feature has evolved and become part of the project since it represents the interests of the beneficiaries and project users. Best practices are found in Pakistan, Myanmar, Kenya, Brazil and India: **Pakistan-Muzaffarabad:** For sustainability of the school the provincial education department is responsible for staffing, salaries, managing school operating costs. In these instances, sustainability concepts were integrated during the project design and implementation phase and the school project is institutionally sustainable, however, financing is an issue. **Pakistan-Thatta:** For sustainability of the overall village development, a local community-based organisation does exist to plan and implement village development of the future. However, capacity development of this community-based organisation, along with required skills to articulate the need and procure financing for it, be it through self-help or external funding, will be an issue. **Myanmar:** Support provided under the project encouraged local communities to be involved in other projects, some on their own initiation and contribution. Use of local materials, skills and community ownership has provided an incentive for long term maintenance of the buildings. **Brazil:** The 2009 project design had sustainability considerations in its design but resources were overstretched in this overambitious

design. In the 2013 revision, sustainability did not figure clearly. However, the 2013 revision introduced the notion of outdoor space revitalization which has become the project's major success of sustainability. (v) **Kenya-Kibera:** Sustainability did not matter during design, but during implementation, and a financial management plan is being developed. **India-Mangalore:** A post-project operation and maintenance strategy has been prepared in order to ensure continuation of the project outcomes. This plan is geared to sustain interest in the activities that were established by the project.

Only two projects (2/19, i.e. Haiti, Global Urban Youth Fund) show no results in terms of sustainability: **Haiti: Shelter Resource Centre:** It is obvious that sustainability has not been a feature of the project design, and was also not much thought about during project implementation. The project may have been prepared in rush, as understandable from the emergency situation. **Global: Urban Youth Fund: Youth Empowerment:** UN-Habitat plans to review its training manual to make it more comprehensive of the needs of young project coordinators by including components such as networking, social media. There are no plans yet for sustainability. In the case of another 2 projects (2/19, i.e. Sri Lanka, and E-Learning) there exists an ambiguous picture regarding sustainability. **Sri Lanka:** Sustainability has been considered in the design. Design components such as finishes were selected for durability and easy maintenance. However, the waste water treatment plant is not operational and the person responsible (Assistant Municipal Engineer) states that they do not know how to get it repaired again; and (b) the profitability of the restaurant was overestimated and it has failed to function. **E-Learning:** this project is still far from possible sustainability. However, ideas on partnering with NGO offices in communities where the students are located are underway, and such alliances may offer some sort of sustainability.

Projects have been confronted with the need to think about sustainability, even though sometimes late in the course of the project. Operation and management plans and monitoring activities figure several projects. However, it is apparent that there is a common trend where problems start to show towards the end of the project, particularly in terms of behavioral change that water and sanitation projects call for. It must be understood in project strategy that behavioral change is a slow process and needs to be supported in a sensitive manner. Rather than abruptly ending projects at the completion of construction of facilities, it is recommended that the project exit strategy allows a slow release period after completion of activities to provide support for the project to amend and adjust to the circumstances of beneficiary usage.

Sustainability of project results, achievements, and benefits

The picture with regard to project results, achievements and benefits is fairly similar as in the case of sustainability above. There are 15 projects (15/19) which claim the capacity to sustain project results. Non-compliant are 3 projects (3/19, i.e. Sri Lanka, Global Urban Youth Fund, and E-Learning), and 1 project (1/19, i.e. Haiti) has a mixed outlook on sustainability of project results.

Encouraging feedback was provided by the projects from Pakistan, Philippines, Brazil, Kenya, Mexico, and India: **Pakistan-Muzaffarabad:** The structural sustainability of the school design and construction, in terms of seismic resistant designs and specification was adhered to. Hence they will be able to sustain any future structural shocks. **Philippines:** Beneficiaries are required to pay a monthly payment for land purchase to the National Housing Authority. The amount appears to be well within their means; they also have to pay for water and electricity. Durability will depend on whether they can continue to afford these

payments. **Brazil:** Community-based organisations will take care of outdoor space. However, in terms of resources they depend on contributions from the local Catholic Church, donations from local shops, and voluntary labor. Operation and maintenance of outdoor space, and events, will depend on donations. Operation and maintenance of community centre will depend on government commitment. **Kenya-Kibera:** All project results seem sustainable. A management team is in place, and a plan for generation of revenues from activities of the centre has been developed. **Kenya-Mandera:** Sustainability of project facilities is highly likely due to participatory nature of project. **Mexico:** It appears that the project beneficiaries are highly motivated to care for their project and these project benefits can go a long way. The existing hygiene school committees can play an important role. The school management in Valle del Chalco observes that there is a potential for a new culture of togetherness ('convivencia'). **India-Mangalore:** Maintenance of water and sanitation infrastructure was handed over to parent/ teacher committees in schools. This is not working well due to parent/teacher committees not being active. Seed money provided to the school for maintenance of the facilities is not sufficient. General maintenance funds from the government are not adequate to carry out regular maintenance and therefore will not have extra funds for maintenance of the facilities. Additional sources of funds need to be found. The laboratory facilities continue to function with volunteer staff from BASF Mangalore Office Quality Control Division visiting the labs monthly to continue training, ensure that all equipment are properly maintained and supply the chemical shortfalls. However, the long-term sustainability of BASF Mangalore inputs cannot be assured.

Again, 4 projects (4/19, i.e. Sri Lanka, and Global Urban Youth Fund, Global E-Learning, Haiti) are noncompliant in terms of sustenance of project results: **Sri Lanka:** Sustainability of results is a major issue since the market is underutilized, and a

user concept for the restaurant has failed. The project should receive additional management assistance to re-assess options for a revamped utilization concept. **Global Urban Youth Fund:** A Training of Trainers is also planned to build the capacities of specific staff to become trainers, hence relying more on inside capacities. Dynamic teaching approaches are favored as well as innovative means of learning. **E-Learning:** It is not yet possible to sustain project results.

Haiti: If one wanted to sustain the project it would require an additional investment to build a community resource centre on a government- or municipality-owned piece of land. To achieve sustainability, such community resource centre would need to become independent from municipal funding, for instance through the generation of its own income that could sustain itself through commercial activities. This could be a useful and important add-on project, to be funded by BASF Stiftung which could achieve high visibility. Various stakeholders observed that the project was not able to link masons who had received training with jobs and work opportunities. Since there were no government or donor sponsored reconstruction projects in Bristout Bobin, the labor market has been rather "paralyzed" which also affected the use of skills learnt through the project.

Factors for sustainability

Just 8 projects (8/19) can demonstrate positive means in place that can enable sustainability. The most common features are the existence of strong community organisations and local management entities which are taking charge of their projects. These bodies will be the key to make sustainability a success. Several projects –Pakistan, Philippines, Brazil, Kenya and Mexico - can provide detailed pointers on factors for sustainability: **Pakistan-Muzaffarabad:** The provincial education department and local communities are determined to keep the school functional. A school management committee with membership from Educa-

tion department, parents, local community oversees the school functioning and can play a positive role in schools continuous functioning. Where the operation and maintenance costs issues will effect school facilities, it is the Education department's mandate to keep the schools running and functional, hence will be sustained. **Pakistan-Thatta:** The local community is determined to manage the infrastructure as developed during the projects, as their cash and kind efforts are also involved in the village rehabilitation. However, they may not have enough resources at this moment to continue with further improvements in the existing infrastructure to continuously improve the living conditions. **Philippines:** Strong community organisation and provision of permanent housing. Pooling sweat equity, working together, and building a community spirit are seen as key factors. **Brazil:** Community showed great enthusiasm for outdoor space. Government commitment to community centre, if it materializes will be a significant shift in public policy towards poor communities. Community-based organisations and their leaders, though not always united, play an important role in the relationship and communication between community leaders and the State Government's Company for Housing and Urban Development. **Kenya-Kibera:** Management Board is currently being morphed into a Trust or Charitable Foundation which can organize and operate services as income-earning and sustainable activities. Community had the capacity to establish the management board, and currently a trust or charitable foundation which will be better suited for funds management. **Kenya-Mandera:** Local government has shown concern for sustainability. It is assumed that females will ensure that services remain sustainable. Local authorities and the water company are fully supportive. **Mexico:** It is too early to tell for this project, but its show case nature should be exploited. Both UN-Habitat and BASF Stiftung may consider additional coaching or small additional add-on resources to work on the exit strategy.

The 6 projects (6/19) in Haiti, Sri Lanka, Global Urban Youth Fund, Global E-Learning, India-Mangalore, and Mexico can illustrate difficulties to achieve sustainability. And there is no information for 5 projects (5/19) not visited, with the exception of Mozambique which provides some indication of local ownership and capacity to operate the facility.

The concerns for sustainability are important, as they can provide lessons for future actions: **Haiti:** As preconditions for success one would need to design a project that is based on secure tenure, with a secure building as community-owned asset, combined with a secure revenue stream (like through a cyber café; community pharmacy, etc.). As such it could achieve real sustainability. **Sri Lanka:** The Galle Municipal Council is planning action to forcibly remove the fishing vendors operating in an ad hoc manner from the beach with the intention of influencing them to occupy the market stalls that have been vacated. The Galle Municipal Council is also planning to review the restaurant lease and

revert to its intended use. **Global-Urban Youth Fund:** Attempts to make this project sustainable would depend on national funding available. If this remains a donor funded project, it may not become sustainable. It seems necessary to initiate a dialogue with national and other regional partners. **E-Learning:** No plans have been formulated yet. **India-Mangalore:** As reported, funding for sustainability remains a bottleneck.

Assessment of Project Management and Implementation Experiences

Consistent with the terms of reference's requirement to present a picture of what has worked well, and what has not worked so well a comparison of related observations has been compiled across the projects assessed (Table 1). This will be followed by a discussion of observations on UN-Habitat's management of BASF Stiftung-supported projects.

TABLE 3 Project Experiences

| What has worked well | What has not worked well, and reasons for delays |
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| <p>Haiti: Blending of BASF Stiftung's project with pool of other UN-Habitat projects. Many positive inputs from BASF Stiftung's project in construction technologies.</p> <p>Sri Lanka: Appointing a project director by UN-Habitat exclusively for project management resulted in resolving site selection issues among different stakeholders.</p> <p>Pakistan - Muzaffarabad: Successful and cost effective reconstruction of seismic resistant girls' school building in a logistically challenged earthquake damaged mountain environment through local contracting and labor. School is being used for education purpose with Education Department taking full ownership of staffing and maintaining the school.</p> <p>Pakistan - Thatta: Project financial contribution to construction of some elements (water tank, community latrines, sewage treatment, community social meeting structures, landscaping) has enabled re-settlement of flood destroyed village as an overall physically and socially planned settlement on sphere standards and Total sanitation concepts, as a model village. Costs and labor contribution from the community in shelters construction has promoted community ownership of the project, where women have also now acquired legal right and title to constructed shelters and land.</p> <p>India - Cuddalore: Providing sanitary facilities for girls has enabled them to attend school which previously they were reluctant to do; The project addressed twin challenges of providing water to the neediest in Dalit villages in a coastal area where finding fresh water was a challenge; A Disability Resource Center was set up which successfully works as a one-stop-shop to conveniently link disabled people to government authorities and other services and improve their well-being.</p> <p>Philippines: The UN-Habitat local office was able to save the project through an intense effort to find an alternative site for the project when the availability of the site was endangered; UN-Habitat local office effectively managed and coordinated the key stakeholder multi-partnerships to bring a good project outcome.</p> <p>China - Gansu: The original proposal of emergency tents was changed to a more expensive but longer lasting prefab classrooms, which could have alternative uses even after the permanent structures are rebuilt. The project was completed very rapidly.</p> <p>Myanmar: 'Peoples Process' has been well received, and the use of local materials and technology.</p> | <p>Haiti: The project had lengthy lapse times due to hectic work environment. Has not been able to become sustainable and leave behind a functioning Shelter Resource Centre.</p> <p>Sri Lanka: The project is hardly in use by the intended recipients; The conflicting views on the site selection by stakeholders caused project delay; Attempting to introduce a new technology untested in Sri Lanka required considerable effort; The implementation focus was on the physical construction of the new market and the overall project objective to improve livelihood of the local fishing community was lost in the way. Despite the high costs (the highest project budget among this group of BASF Stiftung-supported projects), the project has had limited socio-economic impacts so far.</p> <p>Pakistan - Muzaffarabad: Less conscious project effort of community awareness/training in earthquake risk reduction and school safety. An overall project implementation plan (not just school construction plan) including both infrastructure component as well as soft component of community awareness training would have been a useful activity implementation tracking tool.</p> <p>Pakistan – Thatta: Community capacity (project formed community organisation, and local NGO etc.) to plan, design, finance, and implement any further development activity in the village for continued village socio-economic development is weak. Not much during-project implementation, or post project support in community capacity development.</p> <p>India-Cuddalore: The water infrastructure provided appears to be having problems from inadequate funds for maintenance. A period of handholding post-project would have added much value to project sustainability.</p> <p>Philippines: The land selected for the project was found not feasible and caused delay; the faith-based implementing partner had a mandatory requirement of values formation for beneficiaries.</p> <p>China-Gansu: Heavy rain and difficulty of terrain caused delays in project implementation.</p> <p>Myanmar: Some villages wavered on their commitment to the project, which caused project delays.</p> <p>Bangladesh: Funds transfer of UN-Habitat to the contractor has been very slow and caused delay with the contractor having to resort to loans to obtain material supplies.</p> |

What has worked well

Bangladesh: Having a dedicated project manager and close engagement of the local UN-Habitat office has helped to resolve problems during implementation expeditiously.

India – Nepal: The project is being replicated by the district administration in Nepal, specifically the toilets, because of its good design; In India, women have stepped out of their traditional confines and are participating in public meetings to discuss project issues.

China - Sichuan: The reconstruction project being not only a better earthquakes resistant building but also a successful model for community-based learning of post-quake restoration and reconstruction helped to motivate the community.

Brazil: Leveraging substantial investments by municipality for construction of community centre. Great enthusiasm of youth for revitalization of outdoor space.

Kenya - Kibera: Obtained additional funding from private sector organisations and local politicians (for police station). Very successful IT training, and establishment of police station.

Global Urban Youth Fund: Ability to develop course materials that is valid for a very diverse target group. 5 social Enterprise projects received support from the Urban Youth Fund.

Global - E-Learning: Have managed to develop first modules for distance learning.

Kenya-Mandera: Ability to implement the project in violent county, despite objective difficulties. Cost-efficiency through direct contracting.

Mozambique: Leveraging of about 100 per cent additional project funds by UN-Habitat to allow implementation of under-funded project.

Mexico: Project able to motivate teachers and youth to adopt low-cost water and sanitation practices. Outstanding quality of technical work by implementing partner.

India-Mangalore: Human values education component motivated students to adopt good water and sanitation practices which they channeled to their homes; BASF India continues to voluntarily support the science laboratories which ensures continuity.

What has not worked well, and reasons for delays

India - Nepal: In Nepal, user committees in many cases were found to be irregular and ad hoc; The iron removal system fitted to the pumps require annual filter replacement which cost much more than what could be recovered by water user fees.

China - Sichuan: Use of local materials was a key decision of the design of the reconstruction project but shortages arising in the post-earthquake period was not factored in.

Brazil: Retirement of project officer without replacement had negative impact. Entrepreneurial training got too little attention; choice of implementing partner for entrepreneurial training difficult since funding was rather limited and unattractive. Inflexible handling of training component which got delayed till an alternative mode was found by the new OIC of ROLAC. Much more should have been done by the project for entrepreneurial training.

Kenya – Kibera: Day-care facility had slow start. Also healthcare facility is delayed due to late arrivals of partner donations. Several changes of project managers at UN-Habitat have contributed to project delays.

Global Urban Youth Fund: Operations seem to lack clear targets. M&E tools not clear.

E-Learning: Monitoring and Evaluation seems unclear.

Kenya - Mandera: Project design had no specific activity for the youth, however the youth were part of the beneficiaries and were involved on the daily implementation activities.

Mozambique: Implementation of biogas facility has become more difficult due to high water levels which were not taken into account during technical feasibility study.

Mexico: Departure of project officer without replacement had negative impact; caused substantial delay. Funding shortage for sanitation investments in schools

India - Mangalore: The project was not anchored within local utility authority programmes; The project would have benefitted with closer engagement of UN-Habitat with the project. Long-term support by BASF Mangalore not certain.

UN-Habitat's management of BASF Stiftung-supported projects

The consultants have noted the following points which may need to be addressed in an eventual overhaul of UN-Habitat's operations of BASF Stiftung-supported projects.

Project documents / proposal based on too optimistic assumptions: Many of the projects were prepared with too many ambitious targets which were not commensurate with the budget proposed or likely to be available. This raises questions regarding internal appraisal and quality check of proposal prior to submission to BASF Stiftung.

Lack of a unified project template: It is generally noted that there is an absence of a unified project template. Except for the projects in India which were formulated by the Urban Basic Services Branch, each submission looks different, be these for development projects or for emergency projects.

Project logframes: It is also noted that few projects have well developed logframes, despite the fact that since 2009, logframes are mandatory for all UN-Habitat projects. In the case of emergency projects logframes are not mandatory, and there are only two emergency projects (India-Nepal; and Philippines) that have been developed with logframes. Thus, monitoring becomes an issue, since targets are not visualized and maintained as an operational tool. The question arises, whether there is an institutional weakness regarding logframes which need to be reviewed by the Project Appraisal Group (PAG) in UN-Habitat Headquarter (HQ). The evaluation team is of the opinion that such review and stock-taking of PAG practices is required. An additional question requires answers whether emergency projects should enjoy a waiver of the logframe requirement? If emergency projects are prepared under extreme time pressure, there should still be time to elaborate logframes prior to the first disbursement.

Monitoring and Evaluation (M&E) tools: Related to progress reporting and results-based management of projects, there need to be better M&E tools. The implementation consultants of the India-Mangalore, and India-Cuddalore projects have produced good templates of "Traffic Light Reporting" which has combined clear measurement of expected and actual progress of project outputs with a traffic light system which sends warning signals when projects fall behind expected results. This system is a good mechanism that should be adopted for other operations as well.

Lack of unified monitoring system: There are cases that BASF Stiftung-supported projects virtually get lost in the system, fall into oblivion, and with good luck get rediscovered. The effect is that UN-Habitat country office or regional office staff at times seems not to be in the picture about these projects. This results in inconsistencies of project information. The evaluation mission has spent much time to sort out some of these errors, though not part of the TOR, the evaluation is not sure that the financial data of the Projects List in *Annex 2* is correct.

Maintenance of reports: Maintenance of reports seems very unsystematic. This refers both to UN-Habitat country offices or UN-Habitat HQ. Efforts to establish new documentation procedures within UN-Habitat globally have not covered the existing projects under implementation. The project documentation reviewed by the consultants was largely incomplete, and mostly lacked progress reports. However, there are exceptions, like the projects in India, which have produced outstanding documentation. In some cases there seem no reporting of progress or results to HQ or to BASF Stiftung. There seems to be no regular reporting to BASF Stiftung, no concept or 'culture' of uploading pictures (web blogs; project websites) or any materials from the projects. There is a new generation of communication culture that young people are using, but BASF Stiftung-supported projects are yet to be made public.

Project Completion Reports: Such reports are non-existent in many projects. Where they are available, they are often inadequate and lack the required information on quantified outcomes and impacts. Lack of Completion Reports has meant that in some cases there is no formal record of completion and handover.

Institutional memory: Institutional memory is lacking; projects affected by shifts of personnel, discontinuity of management and supervision.

Timeliness of payments: The evaluation team has received feedback on delayed payments from UN-Habitat. Several projects had difficulties to cope with these delays. Causes for such delays need to be studied, so that mitigation measures can be designed.

UN-Habitat coordinator for supervision of BASF Stiftung-supported projects: There is a lack of a UN-Habitat coordinator for the BASF Stiftung-supported programme of projects. There is no single person or entity designated within UN-Habitat to supervise or manage this programme. It seems by default, the head of the Urban Basic Services Branch (UBSB) is this person.

Projects as opportunity for manpower development: There are no manpower activities like internships for students or young graduates, or research opportunities for young university staff. These are lost opportunities which could increase interest in BASF Stiftung - UN-Habitat work, and offer desirable international exposure for Youth from Germany or other countries where BASF is operating. The use of interns and university researchers may at times also be time consuming, but it would generate more life and new ideas in the ambit of the BASF Stiftung supported projects.

Learning and exchange opportunities among projects: Youth in Kenya-Kibera have inquired why the BASF Stiftung did not support exchange visits, for active youth who are part of project management teams to enable peer learning across projects. It seems that there is a lack of peer learning opportunities between projects.

BASF Stiftung's project management

BASF Stiftung approvals of projects: The documentation indicates that there has been a habit of approvals of project proposals with little appraisal or quality control at entry. The lack of appraisal criteria and the absence of mandatory logframes for the design of projects targets, outcomes and impacts is an inherent weakness that has had its toll on the projects reviewed. Since BASF Stiftung does not have the technical expertise to appraise projects, either UN-Habitat or an external evaluator need to provide quality checks at entry.

Maintenance of Reports: The evaluation has observed that there have existed gaps in the reports available at BASF Stiftung. During the time of the evaluation both BASF Stiftung and UN-Habitat have been able to exchange documents, and to complete the documentation of BASF Stiftung-supported projects.

Monitoring system: The BASF Stiftung's monitoring includes details about contribution agreements and timelines of payments of tranches. It does not, however, include aspects of project performance, like benchmarks of project outputs to be achieved.

Involvement of BASF country offices: Several country or regional offices have taken good interest in UN-Habitat projects, particularly the offices in China⁶⁰, India⁶¹, Kenya⁶², Mexico⁶³, Philippines⁶⁴, Sri Lanka⁶⁵, and Pakistan.

Public relations and publicity: It has been observed that BASF Stiftung sponsors only very few public relations activities, or virtual platforms that could present projects and their progress regularly. Other funding agencies show more eagerness to present their work through online platforms, for publication of outputs/handouts/awareness raising materials of their projects.

A comparison of the UN-Habitat and BASF Stiftung

A comparison of the strength and weaknesses of UN-Habitat and BASF Stiftung both partners illustrates the complementarity of the partners. It is noted that management weaknesses seem to have affected both partners.

General observations

(i) **Project budgets seem too small.** Size and duration of the projects can be seen as critical. Overall feedback (though not always as explicit observation) is that projects are too small and too ambitious to be accomplished with the budget and

time available. “Less can be more” is an observation that can be made in several cases. All of these projects have been developed prior to the directive of UN-Habitat’s Executive Director to respect \$300,000 as minimum threshold.

- (ii) **Projects need more time to mature.** Longer duration is also seen as a requirement to add value so that things can mature and be institutionally anchored.
- (iii) **Stand-alone projects or co-financing with other development partners:** Several projects were co-financed with projects conducted through multi-partnerships, others were pure stand-alone projects. However, it seems the policy is not clear. Some projects, like the Mozambique project, have been rather ambitious, but their budget were too small, and thus – besides implementation worries - they have constantly been struggling with resource mobilization issues.⁶⁶
- (iv) **Anchoring BASF Stiftung-supported projects in existing or new contexts:** UN-Habitat’s Regional Office for Latin America and the Caribbean has suggested that (i) it is important to select project locations where UN-Habitat is already involved with the communities, especially in the case of small budgets, and (ii) projects with small budgets require the same management and office time as bigger programmes, and the cost/benefit does not equal the effort. The evaluation team sees value in the first argument that projects have a good chance to flourish where the ground is well prepared, and UN-Habitat has operational experience in a particular location. The project identification and project start-up in some countries creates high costs for UN-Habitat. However, BASF Stiftung-supported projects can also offer opportunity of entry into new locations and new themes. This is an equally valid consideration.

60 Very active engagement of BASF China after the earthquake event.

61 In India, BASF has shown much interest in the Cuddalore project which it has visited. Mangalore, BASF was directly involved with the science laboratory projects (understandably), by voluntarily providing training, chemicals and other materials, even after the project.

62 BASF Kenya has been very actively involved on the Board of the Kenya-Kibera project. The Kenya-Mandera project was initiated by BASF Stiftung.

63 BASF Mexico did take a lot of interest during the initial years of the project. When UN-Habitat project coordinator left UN-Habitat, the link between BASF Mexico and the project got interrupted. For the project closure in September 2014, BASF Mexico is interested to participate in high-level public relations events.

64 BASF Philippines has not been engaged in the project but took part in ceremonies when invited. UN-Habitat provided updates through email. Other BASF projects in Philippines are focused on education. BASF Philippines does not control the BASF Stiftung budget that is disbursed in the Philippines. But BASF Philippines confirmed that it would be interested in getting involved in projects of this nature.

65 BASF joined with Bovis Lend Lease to promote the new building technology and visited Galle once for this purpose.

66 No assessment has been done yet of the cofinancing leveraged for the implementation of BASF Stiftung-supported projects. UN-Habitat does not have these data.

TABLE 4 BASF Stiftung and UN-Habitat – A Comparison of the Partners

| UN-Habitat | BASF Stiftung |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Strengths:</p> <ul style="list-style-type: none"> • Project identification capacity. • Project implementation capacity. • Technical knowledge and know-how. • Project monitoring and evaluation capacity. • Capacity to leverage additional funds from other sources. | <p>Strengths:</p> <ul style="list-style-type: none"> • Commitment to sustainability and youth empowerment. • Capacity to mobilise staff support for donations. • Capacity to approve projects in relative short time. • Capacity to identify project locally through BASF staff (example Brazil). |
| <p>Weaknesses:</p> <ul style="list-style-type: none"> • At project level, UN-Habitat staff often are overloaded with a heavy workload. Project design is often undertaken with little or no time for careful preparation of logframes and M&E instruments. At project level there is limited time for M&E. Easily this can lead to flaws in M&E, and shortcoming in targeting sustainability. • Some project proposals have been too optimistic in terms of resource requirements (budget, time, and UN-Habitat personnel) and have resulted in under-budgeting. • Sustainability not declared overarching project aim. • Gender and youth empowerment not consistently targeted. (However, in a number of projects role of gender and youth realized during implementation). • Administration is slow. • Transfer of project funds often delayed. | <p>Weaknesses:</p> <ul style="list-style-type: none"> • BASF Stiftung's profile is that of a financing agency. It is not a development agency with direct field involvement, and implementation experiences. • BASF Stiftung does not have of a set of rules and guidelines (Standard Operating Procedures [SOP]) that could be used for project appraisal to determine project eligibility, gender dimension of projects, concern for youth and the disabled, environmental safeguards, resettlement guidelines, monitoring and audit principles, and sustainability. • BASF Stiftung has not used project audits by local audit companies, or international firms (Ernst & Young; PriceWaterhouse; etc.) to obtain third party reviews of projects. |

(v) **Gender and youth projects:** The majority of projects seem to be female-driven projects, and a few of them offer good opportunities for youth. This clientele is a strong component of the BASF Stiftung – UN-Habitat programme which could receive more attention. This is a feature that could receive more publicity attention, and might offer cofinancing opportunities as women and youth are attractive for other organisations as well.

(vi) **Additional investment in sustainability seems to be needed:** Additional investments should be considered in the case of projects in Haiti and Sri Lanka to work on sustainability aspects which were not yet achieved during imple-

mentation. Such “retrofit” investments are very justifiable as they would ensure the sustainability of results achieved so far. For these reasons some projects may need more time for the hand-over phase. Such retrofitting (as proposed for the phasing out stage of the Mexico project) can ensure also the commitment of authorities or community groups. It must be understood in project strategy that behavioural change is a slow process and needs to be supported in a sensitive manner. Rather than abruptly ending projects at the completion of construction of facilities, it is recommended that the project exit strategy allows a slow release period after completion of activities to provide support for the project to amend and adjust to the circumstances of beneficiary usage.

CONCLUSIONS

06



CONCLUSIONS

Conclusions related to Relevance:

Projects whose targets were not clear, should create logframes as a project closure exercise, to measure outcomes and impacts (see below). Logframes and monitoring and evaluation instruments should be based on a consistent model and created for every project undertaken to ensure project objectives are delivered in terms of outcomes and impacts against which the project can then be evaluated.

BASF Stiftung and UN-Habitat need to determine how future projects will be generated and formulated. This has implications for projects identification (who, which resources for identification?) and which kind of identification process (community based, with beneficiary involvement; public stakeholder participation). It seems necessary to invest in the professionalization of the BASF Stiftung – UN-Habitat collaboration, with an emphasis on results-based management. This could be through three means; (i) establishment of a BASF Stiftung Fund at UN-Habitat; (ii) development of standard operating procedures for projects; (iii) creation of the position of a BASF Programme Officer (part-time, visiting or Nairobi-based, or regionally based).⁶⁷

Conclusions related to Effectiveness:

Realistic time frames as part of project designs are crucial. Further efforts need to focus on better monitoring for achievement of results. Positive achievements need highlighting, and projects shall be presented for what they have accomplished and contributed to the life of people and communities or cities. Projects could use interns and/or university researchers to assess outputs, outcomes, and impacts for projects which are completed.

Conclusions related to Efficiency:

The accomplishments in terms of cost-efficiency through non-conventional forms of procurement and implementation through low-cost technologies are important project results. Some projects may be add-ons to existing larger UN-Habitat operations (relatively easy), or they can be developed as co-financing arrangements with various partners (more complicated). Project design must be appropriate to the local context.

⁶⁷ Please refer to section 7, the recommended actions for consideration.

Conclusions related to Impacts:

Tangible (measurable) and non-tangible impacts need to be elaborated through project testimonials and feedback from the community. Use interns and/or university researchers to assess impacts. Such impact studies should be undertaken 6-12 months after project closure. Question is, whether all projects need to have project completion reports, how these will be financed, and whether quantifiable data can be compiled.

Conclusions related to Replicability:

As part of the exit strategy and project closure it is recommended to strategize with implementing partners how replication of projects can be achieved. It needs to be considered if BASF Stiftung wants to invest in assistance to replicability. This may support the idea of doing more work on similar lines in the same country, to gather more critical mass with proven approaches and methodology. Suggestion is to do similar projects in similar receptive environments, but better prepared, better resourced, and better implemented.

Conclusions related to Sustainability:

Sustainability should be a core concern during the formulation of the project documents. As part of the exit strategy and project closure it is recommended to strategize from the beginning of project identification and planning jointly with implementing partners how sustainability of projects can be achieved. Undertake project handover and closure activities that are focused on sustainability, and operation and maintenance. It is suggested that BASF Stiftung consider additional investments in retrofitting of projects where sustainability is difficult and has not yet been achieved. Part of the project budget should be allocated to cover support after project completion so that withdrawal can take place in a progressive manner and the sustainability of the project can be ensured.⁶⁸

Conclusions related to gender and youth empowerment:

Build gender roles and youth empowerment more clearly into future project design. This can be done by assigning activities and responsibilities, engaging local (women and youth) as part of the implementation team. Include “persons with disabilities” (“differently challenged”).

⁶⁸ Dutch government uses community clause in project agreements to remind partners and ensure higher degree of project orientation for sustainability. It requests that project sustainability should be for at least 5 years.

LESSONS

Relevance

Lesson 1: All projects (19/19) appear relevant and there is justification for these. However, more focus could have been achieved through better, logframe-based designs, which could have resulted in more streamlined and better monitorable projects. One can observe substantial differences between development projects and emergency projects, and preparations have been more solid for development projects.

Effectiveness

Lesson 2: Concerning effectiveness, the picture is quite mixed. In this wide range of projects one can observe that a good degree of targets have been achieved. Outputs of most projects (17/19) are accomplished. However, there are projects which did not achieve all targets (2/19)⁶⁹. In a number of projects, outcomes and impacts still need to be quantified at or after project closure. An assessment of outcomes and results should be ensured at project closure, while impact assessment may be done after closure. Personnel changes within UN-Habitat have had a negative impact on the management and implementation of several projects.

Efficiency

Lesson 3: Most projects (17/19) are cost-efficient.⁷⁰ Procurement through NGO partners or community-based mechanisms and low-cost technologies have produced cost-effective works and efficiency in resource use. However, some assumed low-cost projects are not low-cost, being under-budgeted they became difficult for UN-Habitat and partners since additional funding had to be found and allocated. Projects which are linked to other UN-Habitat operations can be more cost-efficient than stand-alone projects.

Impact

Lesson 4: Most projects (15/19) have generated positive impacts.⁷¹ However, in case of a few projects, these impacts have not yet been measured. The reasons for this are: (i) the projects had not been completed at the time of the evaluation or (ii) the projects did not have well defined impact statement as the basis for measurement, and thus the completion reports did not cover the impacts or outcome of these projects. Instead, where possible the evaluators have made an informed assessment of expected impacts or outcomes.

69 Sri Lanka and Brazil.

70 Except Haiti and Sri Lanka.

71 Except Haiti, Sri Lanka, Global Youth Fund, and Global E-Learning.

Replicability

Lesson 5: For most projects, replication is still a distant goal, though there are indications that most projects (15/19) are suitable for replication.⁷² Most implementing partners are certainly interested in replication of their projects. But most will require guidance, orientation and possibly additional technical assistance (by UN-Habitat or others) during a project phasing-out period on how to replicate and upscale in case external financing is unavailable.

Sustainability

Lesson 6: Sustainability is still largely elusive for most projects (15/19), even though most partners realise its importance.⁷³ These projects were not designed for sustainability or implemented with sustainability in mind. This goal may be achievable in the case of development projects, but less realistic for emergency projects. Immediate withdrawal after project completion has resulted in the collapse of mechanisms designed for project sustainability. Thus, withdrawal without handover is key sustainability concern. Most projects have a need for more coaching to reach sustainability goals.

Gender and Youth Empowerment

Lesson 7: All (19/19) of the projects can be presented as gender-sensitive projects. The role of women has been highly important for all projects, they have assumed important functions in the projects even if this was not envisaged at the design stage. A large number of projects had not even formulated a gender approach, but during implementation they have come to realise the importance of the role of women. But the role of youth has been less visible, with less importance attached to it.

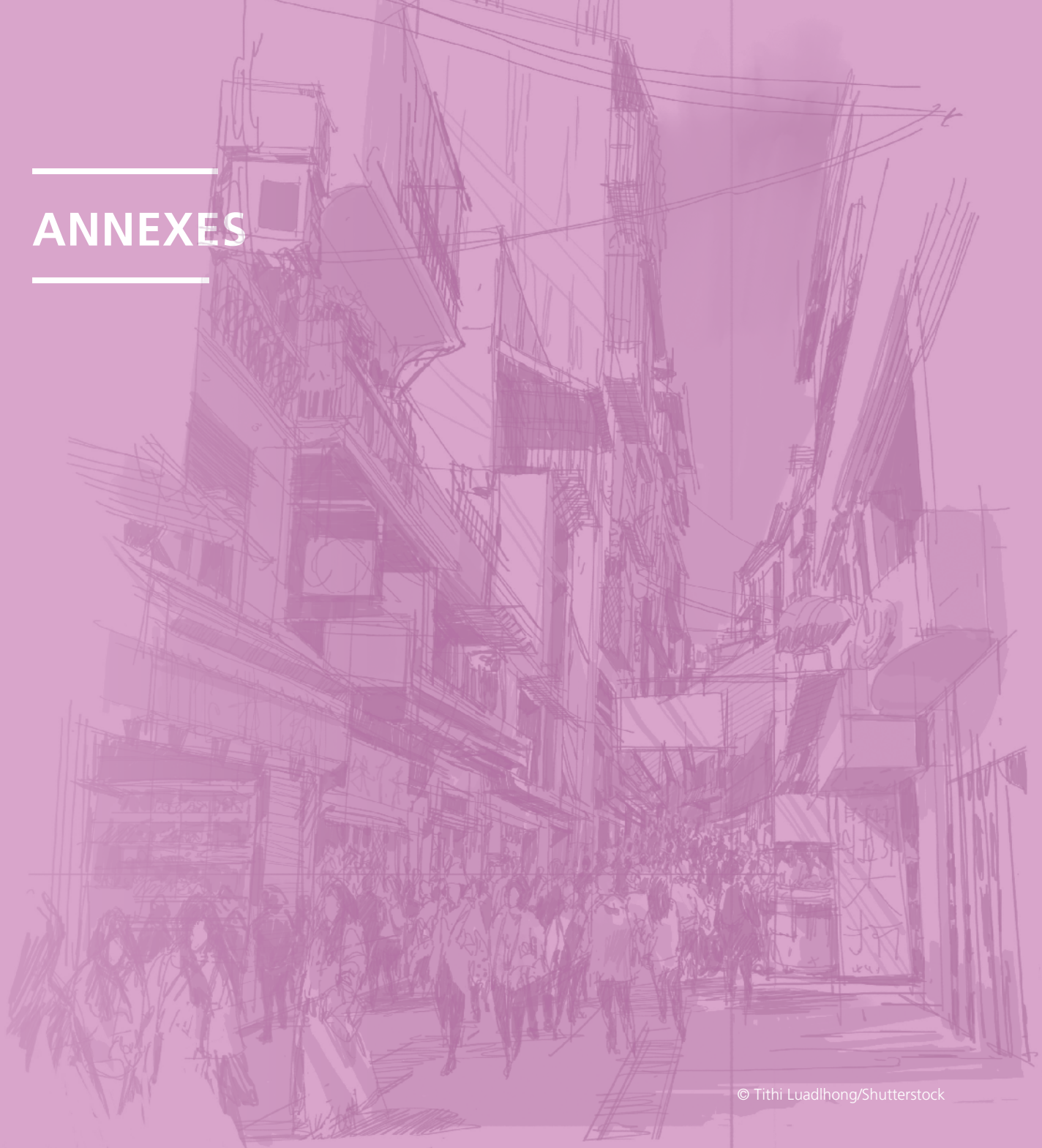
⁷² Except Sri Lanka, Philippines, China-Sichuan, Global Urban Youth Fund.

⁷³ Except Haiti, Sri Lanka, Global Youth Fund and Global E-Learning.

Mexico city, Mexico. © Julius Mwelu/UN-Habitat



ANNEXES



ANNEX 1: TERMS OF REFERENCES

TERMS OF REFERENCE

Project Title: Evaluation of BASF Stiftung-UN-Habitat programme contribution towards sustainable development

Region: Global

Functional designation: Consultant

Executing Unit: Urban Basic Services Branch

Supervision: Coordinator, Urban Basic Services Branch

Duration of Assignment: 1 Principal Consultant – 3 months,
2 Regional Consultants – each for 2 months

Starting Date: 31 March 2014

Background

Recognising its responsibility towards society and its pursuit of sustainable development, BASF Stiftung has provided financial assistance to UN-Habitat in support of a number of projects since 2005. Part of the funds are donations provided by BASF staff (end-of-year-donation campaigns) to BASF Stiftung to i) support emergency and recovery response, ii) youth empowerment and iii) the construction water and sanitation systems and iv) the introduction of environmental education and capacity-

building processes in selected schools and communities. As of December 2013, BASF Stiftung has funded 42 projects with a total investment of USD 4,217,309. A complete list of the projects supported by BASF Stiftung is contained in **Annex 1**.

BASF Stiftung has requested for an evaluation of all the UN-Habitat projects it has supported from 2005 to 2013.

Scope and focus of the evaluation

The evaluation will encompass all the BASF Stiftung-supported projects from 2005-2013. The main focus will be the results achieved by the BASF Stiftung-supported projects according to the contribution agreements and possibly additional results. Moreover, the evaluation will assess how the results from BASF Stiftung-funded projects contributed to UN-Habitat's overall objectives of sustainable development.

The evaluation will review the entire project portfolio of projects supported by BASF Stiftung to give a summary of achievements, and there will be an in-depth evaluation of a sample of projects. The sample of projects⁷⁴ for in-depth evaluation will focus on the following countries:

⁷⁴ The 11 sample projects for in-depth evaluation were selected by BASF Stiftung-supported.

Latin America and the Caribbean

| | Country | Name of Project | Project Type | Year of funding | Amount (USD) |
|---|---------|---------------------------------------------------------------------------------------------------------------------|--------------|-----------------|----------------|
| 1 | Brazil | Support to Community Development and Youth Entrepreneurship in Vila Brasilandia, Sao Paulo | Development | 2009/2013 | 235,665 |
| 2 | Haiti | UN-Habitat Emergency and Recovery Response to Haiti Earthquake (CERF) | Emergency | 2010/2012/2013 | 270,278 |
| 3 | Mexico | Water and Sanitation Trust Fund: BASF - HVBWSHE Initiative in selected schools of the State, Municipality of Chalco | Development | 2011/2013 | 262,876 |
| | | | | | 768,819 |

Asia

| | Country | Name of Project | Project Type | Year of funding | Amount (USD) |
|---|-------------|------------------------------------------------------------------------------------------------------------------|--------------|-----------------|------------------|
| 1 | Sri Lanka | Construction of a new Fish Market and Restaurant in Galle | Emergency | 2005/2009 | 531,485 |
| 2 | Pakistan | Primary School Reconstruction in Muzaffarabad (Earthquake 2005) and Shelter Construction (Flood 2010) | Emergency | 2008/2009/2012 | 380,656 |
| 3 | India | Post-Tsunami Water and Sanitation Reconstruction in Cuddalore, India | Emergency | 2008/2009/2011 | 296,584 |
| 4 | Philippines | Permanent Shelter Project for the Affected Families of Typhoon Ketsana | Emergency | 2010 | 36,630 |
| 5 | India | Water and Sanitation Trust Fund BASF Sozialstiftung Contribution for water and sanitation education in Mangalore | Development | 2011 | 195,659 |
| | | | | | 1,441,014 |

Africa

| | Country | Name of Project | Project Type | Year of funding | Amount (USD) |
|---|---------|------------------------------------------------------------------------------------------------------------------------------------|--------------|-----------------|----------------|
| 1 | Kenya | Kibera-Soweto East Resource Centre in Nairobi | Development | 2008, 2010/2012 | 207,619 |
| 2 | Kenya | Water and Sanitation Trust Fund (Provision of adequate and safe drinking water and improved sanitation services in Mandera County) | Development | 2012/2013 | 394,161 |
| | | | | | 601,780 |

Global

| | Country | Name of Project | Project Type | Year of funding | Amount (USD) |
|---|---------------------------|-----------------------------------------|--------------|-----------------|----------------|
| 1 | Global - Urban Youth Fund | Youth Empowerment for Urban Development | Development | 2011/2012 | 339,888 |
| | | | | | 339,888 |

The purpose of the evaluation

Almost ten years since the UN-Habitat-BASF partnership started, it is expected that long-term outcomes and impact have been achieved through the BASF Stiftung-supported projects. The findings of this evaluation will highlight the results achieved by the BASF Stiftung-supported projects.⁷⁵ The evaluation findings will also be used to refine, adjust and improve the UN-Habitat-BASF partnership. It will provide UN-Habitat and BASF Stiftung with useful information on what has worked well and what has not and make recommendations on how to address challenges in the programming, design, and delivery of BASF Stiftung-supported projects. It will also explore modalities for ensuring that the positive results of the BASF Stiftung-supported projects are sustained in the target communities and replicated in other communities.

Specific objectives of this evaluation are to:

- i. Assess the extent to which the BASF Stiftung-supported projects have achieved the expected results in target communities.
- ii. Assess organisational ownership by project partners and extent to which achievements are likely to be internalized and sustained in the long term.
- iii. Assess knowledge sharing and learning within the BASF

Stiftung-supported projects and other UN-Habitat projects.

- iv. Examine extent to which cross-cutting aspects of youth, gender and environment were considered in project design and implementation.
- v. Document lessons learned, success stories and good practices in order to maximize the experiences gained, and what has not worked well.
- vi. Assess the degree to which the target communities have been able or have the capacity to replicate the BASF Stiftung-supported projects.
- vii. Provide recommendations on how to build on the achievements of the BASF Stiftung-supported projects and ensure that they are sustained by the relevant stakeholders.

In view of the purpose of the evaluation as described above, the BASF Stiftung-supported projects will be assessed against the evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability. The evaluation will seek answer the following evaluation questions:

1. Relevance:

- To what extent did the theory of change implicit in the projects deliver the projects' expected accomplishments, and overall objective of the portfolio, as well as take into account risks during implementation?
- To what extent are the BASF Stiftung-supported projects harmonized and coherent between regions, strategic and

⁷⁵ Until spring 2012 the projects were supported by BASF Sozialstiftung (a charitable foundation based in Ludwigshafen, Germany) which was then renamed to BASF Stiftung.

based on UN-Habitat's strategy, relevant frameworks and programmes of BASF Stiftung and other key stakeholders and comparative advantage?

- To what extent are the BASF Stiftung-supported project approaches responding to specific needs, priorities of the people in the project communities and aligned with national development strategies as well as appropriate to the economic, socio-cultural and political context?
- To what extent are the projects complementary to, and harmonized with, other programmes in the project countries, including United Nations Development Assistance Framework (UNDAF), in order to avoid duplication?

2. Effectiveness: *Extent to which the objectives of the BASF Stiftung-supported projects have been achieved.*

- To what were the activities effective in contributing to the achievement of expected accomplishments of the BASF Stiftung-supported projects? Identify the characteristics of activities that were effective in contribution to the achievement of expected accomplishments and to what extent could they have been replicated in other regions or thematic areas?
- To what extent are the management, coordination, monitoring and reporting mechanisms used by UN-Habitat in supporting the BASF Stiftung-supported projects effective?
- To what extent is the UN-Habitat reporting and monitoring mechanism able to effectively measure and present the effectiveness, results and efficiency of the BASF Stiftung-supported projects?

- To what extent did the project effectively address gender and youth issues? Assess the extent to which gender and youth targeted benefited from the projects.

3. Efficiency: *The optimal transformation of inputs into outputs.*

- To what extent are funding patterns, mechanisms and dynamics commensurate with the level of efforts and resources expected to achieve the intended results?
- To what extent are delivery mechanisms of activities efficient?
- To what extent were the BASF Stiftung-supported projects activities implemented in a cost-effective manner?
- To what extent has UN-Habitat efficiently and in a timely manner allocated resources?

4. Impact and Replicability: *An assessment of the changes that can be attributed to capacity development interventions and the replicability of the BASF Stiftung-supported projects approach and results.*

- What are the main outcomes of the BASF Stiftung-supported project activities?
- To what extent have BASF Stiftung-supported projects made a significant contribution to the strengthening of national and local institutional capabilities of the participating countries?
- To what extent has the BASF Stiftung-supported projects approach and results been replicated and scaled up?
- What role has UN-Habitat and national stakeholders played to encourage further replication of BASF Stiftung-supported projects activities?

- What would be the conditions necessary to further replicate BASF Stiftung-supported projects?

5. Sustainability: *An assessment of the institutional and financial sustainability of BASF Stiftung-supported project interventions*

- To what extent was sustainability considerations taken into account in the execution and conduct of the BASF Stiftung-supported projects? What steps have been taken by UN-Habitat to ensure institutional and financial sustainability?
- Are the BASF Stiftung-supported project results, achievements and benefits likely to be durable? Have these been anchored in national institutions and can the partners maintain them financially at end of the programme?
- What are the major factors that have influenced the achievement/non-achievement of sustainability of the BASF Stiftung-supported projects?

6. Gender

Gender equality and the empowerment of women will be included in all evaluation criteria. The evaluation will first determine if gender aspects can be evaluated or not (evaluability) and make use of evaluation indicators, data collection methods and tools to collect gender related data and analyse that data.

The evaluation will assess the extent to which the BASF Stiftung-supported projects' design, process, activities, outputs and monitoring have taken into consideration gender inequalities in terms of gender balance in programme management team, if the BASF Stiftung-supported activities and products are gender specific, and if communication of BASF Stiftung-supported projects (and material emerging from the implementation of the projects) were made gender-specific, considering that different genders may tap different information sources.

7. Lessons from Partnership with the Private Sector

Explore to what extent the UN-Habitat-BASF partnership addresses UN and UN-Habitat principles for partnering with the private sector - including corporate foundations - such as advancing UN/UN-Habitat goals, shared values and principles, integrity and independence, fairness, transparency, etc. This will guide the future of UN-Habitat's partnership with BASF, and draw lessons for other partnerships of this type. The UN Guidelines on Cooperation with the Private Sector will be shared with the consultants.

Evaluation approach and methodology

The evaluation approach will be based on the theory of change (results chain/log frame from activities to outcomes) that informed the assumptions of the BASF Stiftung-supported interventions supporting sustainable development, and which will guide the evaluation. The theory of change should be developed in detail and described in the Inception Report prepared by the Evaluation Team.

The evaluation will provide a summary of the entire portfolio of projects supported by BASF Stiftung during the period 2005 to 2013. A few projects will be selected for in-depth evaluation.

This consultancy will involve:

- A desk review of the relevant BASF Stiftung-supported project related documents and reports to be provided by UN-Habitat. Documentation from partners will also be reviewed, as deemed relevant.
- Meetings and phone conversations with key UN-Habitat staff both at the headquarters and in the field.
- Based on the discussions with staff, the consultants will develop a list of key stakeholders (individuals and

organisations) who will participate in the evaluation.

- Key informant interviews, focus group discussions and questionnaires will be administered to target beneficiaries in selected target cities.
- Field visits to selected target projects.

Project Selection Criteria for In-depth Evaluation

The following criteria will be used to the sample of selected projects for further in-depth evaluation:

- Include both completed and ongoing projects
- Projects located in different regions
- Emergency response projects
- Development projects
- Projects where local BASF offices provided support and not.
- Feasibility within the resources available for the evaluation, and timeplan of the evaluation.
- Comprise projects from all four areas of focus

The final selection of sample projects will be made by the Evaluation Team and the Branch Coordinator after consultation with BASF Stiftung and detailed in the Inception Report.

Composition of the evaluation team

It is proposed that the evaluation be carried out by a team of three international consultants composed of a lead consultant for the evaluation report, global and Africa and two regional consultants responsible regional assessments for Asia and Latin America, respectively. The selection of the consultants will be on a competitive basis and will take into account professional expertise and proven experience in evaluation and review processes. Gender balance will be considered in composing the team.

Accountabilities and Responsibilities

Role of consultants

The lead consultant will be responsible for preparing inception, drafts and finalisation of the evaluation report, planning and coordinating that the work of the regional consultants are of adequate quality and feeding into the evaluation report. The regional consultants will report to the lead consultant who in turn will continuously keep the UBSB coordinator updated on progress.

Responsibilities of the Lead Consultant:

- Provide substantive guidance and strategic leadership to the regional consultants, organize and oversee/monitor the overall conduct of the evaluation.
- Ensure the quality and timely delivery of expected outputs, including inception report and drafts of evaluation report based on inputs from the other members of the evaluation team.
- Review all relevant documents related to the BASF Stiftung-supported projects.
- Design the overall approach and methodology for conducting the evaluation.
- Carry overall responsibility for the preparation of the draft evaluation report, with support from the regional consultants in-line with the standard format for UN-Habitat evaluation reports.
- Explicitly link analyses, findings and recommendations in the final report and prioritise recommendations emerging from the in-depth evaluation of sampled projects
- Lead in debriefing relevant stakeholders before the evaluation report is formally submitted.

The Consultants will work as a team coordinated by the lead consultant and discuss the assignment through teleconferences or other relevant web-based tools. The first conference call will discuss the assignment and prepare an inception report. The second conference call will be held to discuss the draft report with UN-Habitat before it is finalised.

The consultants are required to disclose in writing any past experiences in the BASF Stiftung-supported projects, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. The evaluators are also required to familiarize themselves with the United Nations Evaluation Group Norms, Standards and Code of Conduct for Evaluation in the UN system and UN-Habitat.

Role of Urban Basic Services Branch

Under the leadership of the Coordinator of the Urban Basic Services Branch, the branch will work closely with the Evaluation Unit to support the evaluation team, including review of TOR and draft report. Key responsibilities of UN-Habitat include:

- Timely provision of all relevant BASF Stiftung-supported project documents and reports.
- Provide and manage all logistical support for the Evaluation Team, including setting up a repository of relevant project documents, administration of consultants' contracts and travel, and organizing coordination meetings.
- Assisting the consultants in identifying and contacting regional and country-level stakeholders to be consulted through the Habitat Programme Managers and field staff.
- Working closely with the Evaluation Team to ensure quality assurance and facilitate adherence to the Norms and Standards in the different phases of the evaluation process.

Role of the Evaluation Unit

- Provide guidance throughout and at all stages of the evaluation process, including selection of Evaluation Team.
- Provide comments on and approve final inception report, and provide comments on draft reports and approve final evaluation report.

Stakeholders involvement in the evaluation process

BASF Stiftung will be involved throughout the evaluation process, including:

- Review of TOR, inception report and draft evaluation report.
- Providing relevant BASF Stiftung-supported project documents and reports if possible to the Urban Basic Service Branch who will forward these to the Evaluation Team.
- Assisting the consultants in identifying and contacting relevant stakeholders, including at BASF Stiftung and to be interviewed, if possible.
- Accord the Evaluation Team support to ensure quality assurance and facilitate adherence to the Norms and Standards in the different phases of the evaluation.

Other stakeholders, in particular UN-Habitat staff and stakeholders involved in the implementation of BASF Stiftung-supported project at city and country level and targeted beneficiaries will be kept informed of the evaluation process and may be selected for interviews or invited to participate in surveys as deemed relevant by the Evaluation Team.

Qualifications

The Lead Consultant should have the following qualifications:

- Advanced university degree (Master's degree or equivalent) in Civil Engineering, Environmental Engineering, Environmental Sciences, Sociology, Social Anthropology or any other relevant academic discipline related to human settlements development or management.
- A minimum of fifteen years of professional experience in programme evaluation, institutional assessment, and analytical skills related to human settlements development or management.
- Other desirable skills include familiarity with UN processes, including engagement at similar level within the UN or other international agencies, working knowledge of relevant languages, proven competencies in planning and organisation and teamwork, as well as strong conceptual, analytical and creative skills targeted at producing results.
- Country experience from implementation and evaluation of interventions specifically Africa and Kenya as well as Asia and Latin America.

The regional consultants should have the following qualifications:

- Advanced university degree (Master's degree or equivalent) in Civil Engineering, Environmental Engineering, Environmental Sciences, Sociology, Social Anthropology or any other relevant academic discipline related to human settlements development or management. A first-level university degree in combination with qualifying experience may be accepted in lieu of the advanced university degree.

- A minimum of ten years of professional experience in in programme evaluation, institutional assessment, and analytical skills related to human settlements development or management.
- Other desirable skills include familiarity with UN processes, including engagement at similar level within the UN or other international agencies, working knowledge of relevant languages (with a view to countries targeted for field visits), teamwork, and a strong conceptual, analytical and creative skills targeted at producing results.
- Relevant working experience in Asia and Latin America respectively.

Implementation arrangements for the Evaluation process

The evaluation will be carried out in conformity with the principles, standards and practice set out in the UN-Habitat Evaluation Policy and Norms and Standards for evaluation in the UN System.

Preliminary Review

The consultants will:

- Review the relevant BASF Stiftung-supported project documents, progress reports, proceedings of meetings, workshops, seminars, training activities carried out and documentation prepared.
- All available documentation will be made available by UN-Habitat.
- Hold preliminary meetings/phone conversations with the key staff of UN-Habitat.
- Develop a list of key contacts (individuals and organisations) who will participate in the impact study; and
- Prepare an inception report.

Inception Report

A detailed inception report will be prepared by the consultants to operationalize and direct the evaluation. The inception report will describe how the evaluation will be conducted, including detailing the following:

- How evaluation questions will be addressed,
- Proposed evaluation methodology and how it will be operationalized and identifying evaluation limitations
- Data collection procedures
- Proposed timeline of assignment
- Responsibilities and deliverables within the Evaluation Team

Criteria and review of indicators for assessing the relevance, effectiveness, efficiency, impact, replicability and sustainability of BASF Stiftung-supported project activities.

The Inception Report will be approved by the Evaluation Unit and BASF Stiftung and the report will act as the agreement between all involved parties for how the evaluation will be conducted.

Regional Consultations

The regional consultants will:

- Provide input to the development of the Inception Report;

- Support the lead consultant in preparing , with the assistance of in-country UN-Habitat staff, a programme for country-level and regional level consultations with relevant stakeholders;
- Review relevant documents related to the BASF Stiftung-supported projects.
- Visit selected project sites at local level and hold meetings with local, national, and regional partners and stakeholders, to assess the outcomes of BASF Stiftung-supported projects. The consultants will undertake separate field visits to the regions and hold individual interviews with beneficiaries, local, national and regional stakeholders and counterpart institutions;
- Analyse the sampled projects selected within each region the relevance, effectiveness, efficiency, impact, replicability and sustainability of BASF Stiftung-supported project interventions.
- Prepare a draft report for input into the evaluation report for which the Lead Consultant has the overall responsibility.
- Upon receipt of comments from the lead consultant, UN-Habitat, finalize the evaluation report and submit to UN-Habitat.

Deliverables/ outputs

The consultants will provide the following deliverables:

| | Deliverables/outputs | Time line | Focal Point |
|---|-------------------------|----------------------------|-------------------|
| 1 | Inception Report | Third week of April 2014 | Coordinator, UBSB |
| 2 | Draft Evaluation Report | Second Week of July 2014 | Coordinator, UBSB |
| 3 | Final Evaluation Report | Fourth week of August 2014 | Coordinator, UBSB |

Timeline for the assignment

The following timeframe is proposed for the assignment:

- **March 2014:** Identification and recruitment of consultants
- **April 2014 (First week):** The consultants conduct a teleconference to scope the assignment.
- **April 2014 (Third week):** The consultants submit an inception report to the Coordinator, UBSB.
- **May 2014 (Second week) - June 2014 (Second Week) –** Regional consultants undertake field visits in their respective regions.
- **June 2014 (Third week):** Regional consultants prepare inputs for the evaluation report and submit them to the Lead consultant and revise as advised by the lead consultant.
- **July 2014 (Second Week):** Lead consultant consolidates the draft evaluation report and shares with regional consultants for review and subsequently submits to UN-Habitat for review.
- **August 2014 (First week):** UN-Habitat and those interviewed review and comments on the draft evaluation report.
- **August 2014 (Fourth week):** The consultants submit final evaluation report to UN-Habitat

Budget:

The total cost of the evaluation is estimated at USD... It will comprise consultancy fees, travel cost as well as in-kind support to be provided by UN-Habitat.

Reporting

The lead consultant and regional consultants will report to the Coordinator, Urban Basic Services Branch, UN-Habitat, or his delegated representative. The evaluation report should be no more than 55 pages, exclusive of executive summary and annexes and is to be submitted in five (5) hard copies and one electronic copy. The report is to be written in English. The structure of the joint report should follow the format for UN Habitat evaluation reports. The UN-Habitat Evaluation Policy specifies in paragraph 65 that “All evaluation reports of external evaluations undertaken by UN-Habitat must be made publically available, except if the reports contain material of a confidential nature. The final evaluation report will be made public after consultation with BASF Stiftung and its approval on the UN-Habitat evaluation website: www.unhabitat.org/evaluations.”

Payment Schedule

- Upon submission of the Inception Report, 20 per cent of total fee will be paid;
- Upon submission of the Draft Report, 50 per cent of total fee will be paid;
- Upon submission of Final Report of satisfactory quality the remaining 30 per cent of total fee will be paid.

The fee is exclusive of all additional expenditures (travelling costs, per diem, etc). Requests for payment submitted by the Consultants should be accompanied by: (1) a copy of time sheets showing the time spent on the assignment and the activities carried out during the period for which the payment is requested; (2) hard copies (2 sets) and a soft copy of all outputs achieved for the period for which payment is being requested.

ANNEX 1 Projects supported by BASF Stiftung ⁷⁶

| | Name of Project | Location | Project Type | Year of funding | Amount (USD) |
|----|-----------------------------------------------------------------------------------------------------|------------------------------------------|--------------|-----------------|--------------|
| 1 | Construction of a new Fish Market and Restaurant | Galle, Sri Lanka | Development | 2005/2009 | 531,485 |
| 2 | Getting Children in Shifang County Back to School | Sichuan Province, China | Emergency | 2008 | 159,444 |
| 3 | Multi-purpose tents (schools, health and community centers) | Myanmar | Emergency | 2008 | 154,096 |
| 4 | Construction of High School cum Cyclone Shelter | Bangladesh | Emergency | 2008/2009 | 115353 |
| 5 | Primary School Reconstruction (Earthquake 2005) and Shelter Construction (Flood 2010) | Muzaffarabad, Pakistan | Emergency | 2008/2009/2012 | 380,656 |
| 6 | Kibera-Soweto East Resource Centre | Nairobi, Kenya | Development | 2008, 2010/2012 | 207,619 |
| 7 | Post-Tsunami Water and Sanitation Reconstruction in Cuddalore, India | Cuddalore, India | Emergency | 2008/2009/2011 | 296,584 |
| 8 | Earthquake resistant reconstruction of Hongshe Primary School | Sichuan Province, China | Emergency | 2009/2010 | 307,520 |
| 9 | Support to Community Development and Youth Entrepreneurship in Vila Brasilandia | Sao Paulo, Brazil | Development | 2009/2013 | 235,665 |
| 10 | Enabling Access of Koshi Flood Affected People to Water and Sanitation Facilities | Bihar-India and Sunsari District - Nepal | Emergency | 2009/2011 | 142,573 |
| 11 | Permanent Shelter Project for the Affected Families of Typhoon Ketsana | Philippines | Emergency | 2010 | 36,630 |
| 12 | UN-Habitat Emergency and Recovery Response to Haiti Earthquake (CERF) | Haiti | Emergency | 2010/2012/2013 | 270,278 |
| 14 | Youth Empowerment for Urban Development | Global - Urban Youth Fund | Development | 2011/2012 | 339,888 |
| 15 | Water and Sanitation Trust Fund BASF Sozialstiftung Contribution for water and sanitation education | Mangalore, India | Development | 2011 | 195,659 |
| 16 | Multifunctional Renewable Energy Centre | Munhava, Mozambique | Development | 2011 | 100.000 EUR |

⁷⁶ Until spring 2012 the projects were supported by BASF Sozialstiftung (a charitable foundation based in Ludwigshafen, Germany) which was then renamed to BASF Stiftung (

| | | | | | |
|----|------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------|-----------|------------------|
| 17 | Water and Sanitation Trust Fund: BASF - HVBWSHE Initiative in selected schools of the State | Chalco, Mexico | Development | 2011/2013 | 262,876 |
| 18 | Water and Sanitation Trust Fund (Provision of adequate and safe drinking water and improved sanitation services) | Mandera County, Kenya | Development | 2012/2013 | 394,161 |
| 19 | Repair of the Yongquan Primary School | Sichuan Province, China | Emergency | 2013 | 51,137 |
| 20 | Youth Empowerment for Urban Development - E-Learning Tool | Global | Development | 2013 | 135,685 |
| | | | | | 4,217,309 |

ANNEX 2: LIST OF BASF STIFTUNG-SUPPORTED PROJECTS

ANNEX 2: List of BASF Stiftung-supported Projects

| New # | Old # | Name of Project | Location | Project Type | Year of funding | Amount (USD) |
|-------|-------|-----------------------------------------------------------------------------------|------------------------------------------|--------------|-----------------|--------------|
| 1 | 1 | Construction of a new Fish Market and Restaurant | Galle, Sri Lanka | Development | 2005/2009 | 531,485 |
| 2 | 2 | Getting Children Back to School in Gansu Province ²⁶ | Gansu Province, China | Emergency | 2008 | 159,444 |
| 3 | 3 | Multi-purpose tents (schools, health and community centers) | Myanmar | Emergency | 2008 | 154,096 |
| 4 | 4 | Construction of High School cum Cyclone Shelter | Bangladesh | Emergency | 2008/2009 | 115353 |
| 5 | 5 | Primary School Reconstruction | Muzaffarabad, Pakistan | Emergency | 2008/2009/2012 | 150,00 Euro |
| 6 | | Shelter and Latrine Reconstruction for Flood Affected in Thatta, Sindh | Thatta, Sindh, Pakistan | Emergency | 2010 | 61,633 Euro |
| 7 | 6 | Kibera-Soweto East Resource Centre | Nairobi, Kenya | Development | 2008, 2010/2012 | 207,619 |
| 8 | 7 | Post-Tsunami Water and Sanitation Reconstruction in Cuddalore, India | Cuddalore, India | Emergency | 2008/2009/2011 | 296,584 |
| 9 | 9 | Support to Community Development and Youth Entrepreneurship in Vila Brasilandia | Sao Paulo, Brazil | Development | 2009/2013 | 235,665 |
| 10 | 10 | Enabling Access of Koshi Flood Affected People to Water and Sanitation Facilities | Bihar-India and Sunsari District - Nepal | Emergency | 2009/2011 | 142,573 |
| 11 | 11 | Permanent Shelter Project for the Affected Families of Typhoon Ketsana | Philippines | Emergency | 2010 | 36,630 |

| | | | | | | |
|----|----|------------------------------------------------------------------------------------------------------------------|---------------------------|-------------|----------------|------------------|
| 12 | 12 | UN-Habitat Emergency and Recovery Response to Haiti Earthquake | Haiti | Emergency | 2010/2012/2013 | 270,278 |
| 13 | 14 | Youth Empowerment for Urban Development | Global - Urban Youth Fund | Development | 2011/2012 | 339,888 |
| 14 | 15 | Water and Sanitation Trust Fund BASF Sozialstiftung Contribution for water and sanitation education | Mangalore, India | Development | 2011 | 195,659 |
| 15 | 16 | Multifunctional Renewable Energy Centre | Munhava, Mozambique | Development | 2011 | 100.000 EUR |
| 16 | 17 | Water and Sanitation Trust Fund: BASF - HVBWSHE Initiative in selected schools of the State | State of Mexico, Mexico | Development | 2011/2013 | 262,876 |
| 17 | 18 | Water and Sanitation Trust Fund (Provision of adequate and safe drinking water and improved sanitation services) | Mandera County, Kenya | Development | 2012/2013 | 394,161 |
| 18 | 19 | Repair of the Yongquan Primary School ²⁷ | Sichuan Province, China | Emergency | 2013 | 51,137 |
| 19 | 20 | Youth Empowerment for Urban Development - E-Learning Tool | Global | Development | 2013 | 135,685 |
| | | | | | | 4,217,309 |

EVALUATION OF BASF STIFTUNG UN-HABITAT PROGRAMME CONTRIBUTION TOWARDS SUSTAINABLE DEVELOPMENT

UN-Habitat is one of the biggest cooperation partners of BASF Stiftung in terms of number of projects. As of December 2013, BASF Stiftung had funded 19 projects over the period 2005-2013 with a total investment value of USD 4,217,309. The evaluation report presents a detailed and critical assessment of the performance of each of the 19 projects, highlighting what has worked well and what has not worked well. It provides lessons learned and recommendations that will inform UN-Habitat's future work with BASF Stiftung. The evaluation was undertaken from June to December 2014 by a team of consultants - Florian Steinberg (lead consultant), with support of Geetha Abayasekera (projects in Asia), Marja Edelman (Brazil and Haiti) and Khizer Omer (Pakistan). The evaluation involved a desk review of project related documents and reports, discussions with key UN-Habitat staff and field visits to selected projects.

HS/001/16E
ISBN: 978-92-1-132694-9

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