

# Mid-Term Evaluation of the CITIES AND CLIMATE CHANGE INITIATIVE





# Mid-Term Evaluation of the **CITIES AND CLIMATE CHANGE INITIATIVE**

December 2012

## **Evaluation Report 2/2012**

### **Mid-Term Evaluation of the Cities and Climate Change Initiative**

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## ABBREVIATIONS AND ACRONYMS

ADB	African Development Bank
CCCA	Cities and Climate Change Academy
CCCI	Cities and Climate Change Initiative
CCS	[UN-Habitat] Climate Change Strategy
GHG	Green House Gas
HQ	[UN-Habitat] Headquarters
ICI	[German Government] International Climate Initiative
ICLEI	ICLEI - Local Governments for Sustainability (formerly: International Council for Local Environmental Initiatives)
IPCC	Intergovernmental Panel on Climate Change
JWP	[UN-Habitat/UNEP/WB] Joint Work Programme
MDG	Millennium Development Goal
MoU	Memorandum of Understanding
MTE	Mid-Term Evaluation
MTSIP	[UN-Habitat] Medium-Term Strategy and Institutional Plan
NGO	Non-Governmental Organization
NORAD	Norwegian Agency for Development Cooperation
PMU	Project Management Unit
ROAP	[UN-Habitat] Regional Office for Asia and the Pacific
RUAF	Resource Centres on Urban Agriculture and Food Security
SCP/LA21	[UN-Habitat] Sustainable Cities Programme/Localising Agenda 21 Programme
SUD-Net	[UN-Habitat] Sustainable Urban Development Network
SWOC	Strengths-Weaknesses-Opportunities-Constraints [Analysis]
ToR	Terms of Reference
ToT	Training of Trainers
TST	Technical Support Team
UNDA	United Nations Development Account
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-Habitat	United Nations Human Settlements Programme
UNISDR	United Nations International Secretariat for Disaster Reduction



# EXECUTIVE SUMMARY

## I. INTRODUCTION

This report represents the Mid-Term Evaluation (MTE) of UN-Habitat's Cities and Climate Change Initiative (CCCI). The Initiative was launched in 2008 and to date has been implemented in three phases: August 2008 to July 2010 (Phase I), August 2010 – December 2011 (Phase II), and January 2012 – December 2013 (Phase III).

In the four years since its inception CCCI has expanded and evolved. It began with a set of four cities and now works in more than 40 cities in Asia, Africa and (to a lesser extent) Latin America. Furthermore, CCCI's normative role has deepened and evolved during this period.

The MTE had the following two objectives:

- To assess whether the implementation of CCCI is on track, what problems or challenges have been encountered, and what if any corrective actions are required; and
- To guide CCCI to achieve sustainable results as it expands and deepens activities related to cities and climate change.

The Mid-Term Evaluation is part of the formal reporting, monitoring and evaluation requirements as set forth in the CCCI (Phase I) Project Document.

The audience targeted by the MTE includes CCCI donors, UN-Habitat partners involved in CCCI, the Governing Council that oversees the agency's activities, and concerned UN-Habitat professional staff. The report may also be of interest to a broader audience of people interested in development assistance and in the subject of cities and climate change.

The evaluation took place during the period January-September 2012. It was conducted by a team of three national consultants: Diego Carrion Mena (Ecuador), Eddie Nsamba-Bayiiya (Uganda) and Thilak Hewawasam (Sri Lanka) under the responsibility of international consultant, Tom Wolters. The national consultants carried out in-depth assessments at country and city levels, in countries deemed to represent the issues and challenges faced by the Initiative.

## II. METHODOLOGY AND LIMITATIONS

The evaluation criteria of relevance (analysis of relevance issues), efficiency (project progress compared

to plans, actual costs and resource utilization as compared to budgeted resources, and overall resource utilization), effectiveness (analysis of effectiveness issues and achievement of results) and impact (assessment of and emerging impact of the project on target groups) were used in the assessment. The sustainability of the project's objectives was also assessed, while organizational ownership and comparative advantage were considered as part of the analysis. The evaluation relied on reviews of CCCI documentation, interviews (face to face and by telephone), assessment workshops with key stakeholders, and e-mailed questionnaires. During the course of the evaluation the Team Leader interviewed and carried out a stocktaking workshop with CCCI staff at UN-Habitat's headquarters in Nairobi, Kenya; visited two project countries (the Philippines and Rwanda); carried out a partners' survey and reviewed CCCI materials. At the same time the national consultants carried out in-depth assessments of CCCI activities in three countries and regions: Ecuador (Latin America), Uganda (Africa) and Sri Lanka (Asia). Then, in September 2012, the draft findings were discussed and validated during a meeting of CCCI's principle partners in Naples, Italy. This document reflects the outcomes of that meeting.

As the focus of the present MTE is on CCCI *per se*; the broader agency-wide Sustainable Urban Development Network (SUD-Net), which formed part of the original project concept, lies outside of the scope of this evaluation.

Limitations on time and resources constrained efforts to capture all relevant data, the extent to which data captured then could be documented and validated, and the specificity of indicator-based findings relative to project objectives. Also, in many instances insufficient time had passed since project inception for significant or widespread impact to have occurred; this further limited the scope of the assessment. Nonetheless, the evaluation team is convinced that a fair assessment has been made.

## III. KEY FINDINGS AND ASSESSMENT OF CCCI

### A. Relevance of CCCI

CCCI is a **highly relevant** initiative that is addressing the vital role cities have to play in climate change mitigation and adaptation, and that helps to fill neglected gaps. At the time this project was conceptualized, the centrality of the role that cities play was insufficiently recognized in climate change dialogues. Moreover, CCCI assists small- to medium-sized cities

in developing countries, which are relatively ignored by international financial institutions and other agencies. The Initiative addresses in particular the urban poor and other vulnerable groups, whereas other climate change-related programmes generally overlook the urban poverty dimension. Ensuring that national climate change policies address the urban dimension, and then localizing such policies, are two of CCCI's focus areas; UN-Habitat is uniquely positioned to assist in these areas. Last but not least, CCCI support at the city level is focused on multi-sectorial urban planning and management, which tend to be neglected by other agencies that tackle climate change.

The rapidly growing numbers of cities joining CCCI demonstrate that the Initiative is **in demand** by cities, especially for assistance in adapting to climate change, and is seen by them as timely. Also the interest of UN-Habitat partner organizations in working with CCCI underscores the relevance of the Initiative.

The project design of CCCI, reflected in the project's logical frameworks for the three project phases, is **appropriate**: it addresses areas where UN-Habitat enjoys a comparative advantage.

### B. Efficiency of CCCI interventions

Notable overall progress towards achievement of targeted outcomes has been made, taking into consideration that Phase I was a pilot phase that can be characterized as "learning by doing".

A slow start in the initial phase was inherent due to the practical implications of initiating (four) city-based pilot projects. In particular, tangible results on the ground that could serve as input for the normative work (knowledge sharing, tool and methodology development) took more time to emerge than originally envisaged. As the project progressed, CCCI was increasingly able to draw comparative lessons on key technical topics from various cities. Learning from these experiences, in its second phase CCCI started disseminating, replicating and up-scaling its country- and city-level experiences amongst UN-Habitat's regional and global networks of partners. As a result, 48 regional or national networks have begun to address the issue of cities and climate change, and five countries have approved national climate change policies that address the urban and local government dimension of climate change.

Despite a relatively small core budget, the Initiative has produced significant outputs and begun to yield significant results. Through the pilot activities the project has raised awareness in cities in developing countries that climate action can be initiated and implemented at local levels. As of September 2012, five countries where UN-Habitat is active have approved

national climate change policies that address the urban and/or local government dimension of climate change. The project produced and shared valuable tools and documentation, built capacity amongst local officials and stakeholders and within training institutes, and contributed to greater understanding and cooperation amongst various segments of international actors (e.g., professional organizations, research and teaching institutions, grass roots organizations, donors, development banks, etc.) and engaged in climate change dialogue. Building on the core Norwegian funding of USD 5,257,503 (excluding overhead) for phases I and II, the Initiative raised an additional USD 9.9 million from other sources up to 2015. At the same time co-funding represented more than USD 8.8 million by mid-2012.

The project has been managed by a relatively small team consisting of a Project Management Unit that is assisted by a (part-time, input-based) UN-Habitat-wide, Nairobi-based, cross-sectorial Technical Support Team, and staff from regional and country offices. Staff are highly devoted and motivated but are evidently overstretched. Despite this, they performed remarkably well in view of the attention that had to be given to guiding the experimental first phase and the increasing workload due to the continuing expansion and widening scope and complexity of the Initiative during its later phases.

In conclusion, the project's overall efficiency was **good** and is **steadily increasing**.

### C. Effectiveness and impacts of the CCCI

Over the past four years, CCCI has established itself in the eyes of its partners as a global leader and an invaluable partner on the issue of climate change and cities, while bringing together a wide range of organizations working from all perspectives in the field of cities and climate action.

At global, regional, national and local levels, CCCI has been instrumental in introducing the urban dimension into climate change agreements, policies, bylaws and related instruments. As of September 2012, 22 cities in 17 countries had direct technical support from CCCI through Norwegian funding and an additional 21 cities are receiving support from CCCI via other sources of funding. This is a total of 43 cities in 23 countries.

At the local level, the Initiative has been very effective in supporting cities to undertake climate action, helping them to formulate their climate change strategies and action plans, and introducing the climate change dimension into urban strategies and policies. The programme has been effective at enhancing awareness in participating local authorities about climate change effects not being distant and abstract

but immediate, and that concrete actions are feasible within the normal planning practice to address these concerns. Such local activities build the capacity of urban planning-related professionals in local governments. In the focus cities, CCCI's participatory approach, which involves residents as well as professionals, has led to wider awareness and a high sense of ownership of CCCI activities amongst various stakeholders down to the grassroots level. However, it is also recognized that more focused attention is needed to understand the socio-economic impacts of the interventions on the local communities.

A key component of CCCI is the national-local policy dialogue, which brings together all major actors on climate change, including donors. The MTE country/city level assessments clearly indicate that this dialogue is vital to create and institutionalize wider and deeper support for climate change interventions at the city level.

All in all, over the past few years CCCI has **very effectively** developed into a leading project, with strong guiding and advocacy functions at all levels in the field of cities and climate change in developing countries.

#### D. Sustainability

The success of the CCCI network will provide a foundation for the sustainability of the project's objectives. The evaluation indicated that more concentrated effort will be needed to accomplish this. One important area where sustainability should be ensured is in influencing policy reform regarding the urban dimensions of climate change, and in helping to localise such policies. As suggested above, the evaluation indicates that experiences vary widely from one country to another, and that specific consideration is needed to find appropriate approaches that can help initiate and strengthen this dialogue in particular settings.

The project's mechanisms to develop and apply capacity-building tools, which build on city-level experiences, have proven effective. The project would no longer be needed when these tools are mainstreamed and normal planning practices take over further refinement and innovation. As the Initiative is orientated towards planning, tools should first and foremost support the development of innovative planning approaches. Such approaches need to be flexible, so as to take into consideration uncertainty on key parameters, and to address a longer time horizon than such exercises typically address. This aspect has not yet been recognized as a core concern, but is an essential aspect of the sustainability of the outcomes of the Initiative.

## CONCLUSIONS

In the four years since its inception, the Initiative has – with a relatively small budget – very effectively developed into a leading multi-regional project, with strong guiding and advocacy functions at all levels, in the field of cities and climate change in developing countries.

## MAIN LESSONS LEARNT

### 1. Project design

The analysis of the project design demonstrated that: (1) output targets should be realistic; if not, they should be adjusted during implementation, in the context of project progress monitoring; (2) any significant modifications in project design due to changing conditions during implementation should be promptly and appropriately covered by a formal project revision, with significant changes reflected in the logical framework as necessary; and (3) more coherence between the overall design and the different project phases should be established. More generally, effective management and monitoring of the project must recognize that a logical framework will always remain a draft because it only reflects a situation at a certain moment in time. It therefore may be necessary to adjust this matrix in the course of time, as conditions change. Likewise, applying the tool too rigidly will restrict rather than facilitate effective project management.

### 2. Project management

With CCCI establishing itself as an acknowledged multi-regional project, it runs the risk of not positioning itself optimally without the means to systematically engage the perspectives of outside experts on strategic direction.

It is recognized that the rapidly expanding CCCI is heavily burdening all UN-Habitat staff directly working with the Initiative, calling for the need to optimally manage the increasing workload. In particular, while CCCI's expansion to new cities greatly increases the wealth of implicit knowledge available on how cities address climate change, making that knowledge explicit poses an additional burden *vis a vis* knowledge management. Managing this burden would include streamlining of the Initiative's knowledge management activities, and categorizing and prioritizing the various activities; for instance, mainstreaming and working in-depth with subsets of participating cities that face similar challenges. Optimization involves especially regional offices, which – besides having other roles in CCCI such as coordination, advocacy, policy advice, fund-raising, etc. – are well positioned to play a supporting role in converting experiences into tools.

Communications with partners, and the sharing and dissemination of project-related information, is sub-optimal. This relates to the development of a comprehensive communication strategy and a dissemination plan, as proposed as one of the management provisions in the initial (Phase I) Project Document. The challenge lies in opening up and/or improving the lines of communication with partners, other programmes and wider target audiences globally and regionally.

### 3. CCCI networking

Since CCCI is internalizing the SUD-Net networking principles, more concerted and focused action – including appropriate management mechanisms and adequate technical support staff – will be needed to assist the CCCI Project Management Unit in this task. From the standpoint of managing the fast growing number of cities that want to join the CCCI network, there is also a clear need to consider alternative models for participation in the Initiative. A mode of operation could involve working with selected CCCI “core cities” on innovation, research and development; meanwhile, other cities that want to join CCCI and benefit from its methodologies and experiences could be accepted as CCCI “supporting cities”.

Though acknowledged as a major player in on-the-ground implementation, the private sector has had a limited role in the Initiative thus far. As private sector engagement does not happen automatically, a more pro-active approach is called for.

### 4. Knowledge management

With the growing role of CCCI as a knowledge management hub, the need arises to improve access to – and better control the quality of – CCCI knowledge products. The Initiative could enhance its quality assurance function by serving as a clearing house and a one-stop-shop for knowledge management on cities and climate change – as a major component of the proposed CCCI network hub. Through their Joint Work Programme on cities and climate change, the World Bank, the United Nations Environment Programme and UN-Habitat envisaged such functions for their planned web-based Knowledge Centre on Cities and Climate Change (now in its initial version). When sharing “lessons learnt”, CCCI should showcase not only success stories, but also cases where interventions were not successful.

### 5. Policy change

Cities’ interest in participating in CCCI is mostly driven by their desire to reduce the risk of climate change-related natural disasters. At the same time, there is a growing call globally for the policies of disaster risk reduction and climate change adaptation to converge. Responding to these circumstances calls for intensified collaboration on coordinated

and comprehensive strategies that integrate disaster risk reduction and climate change adaptation considerations. Parties include UN-Habitat’s Risk Reduction and Rehabilitation Branch, the United Nations International Strategy for Disaster Reduction (UNISDR) and other relevant (UN) agencies and initiatives.

### 6. Funding

Financing city-level climate change response is a core challenge. Efforts to influence the sources of funding available to undertake concrete mitigation and adaptation actions should be increased to provide cities with more direct access to the funds. As the Initiative is working with smaller cities that enjoy very limited access to the main funding agencies, CCCI has a specific role in exploring collaborations with third party intermediaries and funding agencies to help cities develop pipelines of bankable projects.

### 7. Impacts on beneficiaries

Global warming and its various impacts will put cities at risk by exacerbating existing environmental, social and economic problems, while bringing new challenges. A key task is to conduct planning activities so as to be responsive to and in support of civil society and its economic, environmental and social aspirations. The MTE national-level assessments also indicate that, besides technical tools, the development of more social/people-orientated tools would benefit that process. All in all, this leads to the need to better plan and monitor social and economic impacts on local communities.

## ACTIONABLE RECOMMENDATIONS

The evaluation has led to the following actionable recommendations.

### Relevance and project design

*Recommendation 1:* Include as a specific output in CCCI Phase III the establishment of a cities and climate change thematic network hub under CCCI management. This hub of networks, partners and communities of practice is to facilitate concrete collaboration and to ensure organized partnerships to deliver on CCCI’s objectives, and should be designed to interface with or form a part of the broader SUD-Net. This network should be open – not restricted.

### Efficiency

*Recommendation 2:* Given limitations in funding, the project should allocate available resources strategically i.e. in the most efficient and effective way. This implies firstly that core funds should be used to initiate activities, mobilize additional resources, support normative activities such as knowledge management, and ensure continuity. The project then should continue to mobilize co-funding from other

sources, including (when appropriate) jointly with key partners, for purposes such as expanding activities to new regions and cities.

### Efficiency in project management

*Recommendation 3:* Include as an output of Phase III the strengthening of CCCI's governance structure through establishing an advisory body that involves and incorporates CCCI's key partners. This advisory body should take the form of an advisory committee, i.e. a body of experts and non-experts elected or appointed to advise on a wide range of topics, both strategic and tactical.

*Recommendation 4:* Develop an overall CCCI strategy cum management plan that frames regional strategies and the CCCI partners' network, and incorporates a communications strategy and a dissemination plan. The plan is to bring and maintain overall coherence and transparency in direction, decision-making, staff capacity, allocation of resources, and so on. This strategy plan would also serve as a key reference for the above-mentioned advisory committee.

### Effectiveness and impacts

*Recommendation 5:* To be a truly global programme with multi-regional coverage, strategic effort should be made to establish a real presence in Latin America and the Caribbean, and the Middle East/Arab States as well.

*Recommendation 6:* Explore whether the cities and climate change thematic network hub (see Recommendation 1, above) could include a

one-stop-shop for knowledge management on cities and climate change, and serve as a clearing house. The UNEP/UN-Habitat/WB Knowledge Centre on Cities and Climate Change seems to be a good host for that knowledge hub.

*Recommendation 7:* Explore whether and how an increased supporting role by UN-Habitat's regional offices (in addition to the Regional Office for Asia and the Pacific, which already is very active), in close collaboration with the country offices, can contribute to enhanced CCCI results, including by helping to mobilize resources, develop more effective tools, manage knowledge, and so on.

*Recommendation 8:* Explicitly plan for social and economic impacts of CCCI interventions on local communities during project design at the local level, and develop and implement appropriate monitoring and evaluation tools at both project and sub-project levels.

### Sustainability

*Recommendation 9:* Acknowledge the need for innovative, more flexible planning approaches that recognise uncertainty on key parameters due to climate change (and disaster) risks as a core concern and an essential aspect of the sustainability of the outcomes of the Initiative.



# 1 INTRODUCTION

This report presents the Mid-Term Evaluation (MTE) of UN-Habitat's Cities and Climate Change Initiative (CCCI).<sup>1</sup>

## 1.1 CONTEXT AND PROJECT BACKGROUND

Climate change is now recognized as one of the key challenges of the twenty-first century. The future of hundreds of millions of people in urban areas across the world will be affected by the different impacts of climate change and among the most affected people will be the world's urban poor. Global warming and its various impacts will put cities at risk by exacerbating existing environmental, social and economic problems, while bringing new challenges. Cities also emit greenhouse gases (GHGs) although some are taking impressive steps towards curbing their emissions.

In August 2008 UN-Habitat, with the generous support of the Government of Norway, launched the Cities and Climate Change Initiative to address the effect of climate change on cities in developing countries. The formal launch occurred early the following year in Oslo. CCCI is based within the Climate Change Planning Unit of UN-Habitat's Urban Planning and Design Branch (UPDB), while UN-Habitat-wide support is coordinated through an inter-branch Technical Support Team (TST).



Present at the launch of CCCI in March 2009, in Oslo, Norway, are from left to right: Professor David Simon, University of London; Leovic Dioneda, Mayor of Sorsogon City, the Philippines; Gry Larsen, Junior Minister of the Norwegian Ministry of Foreign Affairs; Anna Tibaijuka, UN-Habitat Executive Director; and Florence Mukasa, Deputy Mayor of Kampala, Uganda © UN-Habitat

The phases of the project's implementation to date are as follows:

- *Phase I* – August 2008 – July 2010
- *Phase II* – August 2010 – December 2011
- *Phase III* – January 2012 – December 2013

CCCI started work in four cities: Maputo, Mozambique; Kampala, Uganda; Sorsogon city, Philippines; and Esmeraldas, Ecuador.

In the four years since its inception, CCCI has expanded and evolved, widened the geographical scope and expanded the range of capacity development approaches in order to support local authorities in addressing climate change. From the original four cities, CCCI is currently active in more than 40 cities in countries in Asia, Africa and Latin America (for map see Box 1.1; for list see Annex IV). Activities have broadened from building resilience to climate change, to helping cities to take stock of their greenhouse gas (GHG) emissions and formulate low-carbon growth strategies. Increasingly, comparative lessons can be drawn from various cities on key technical topics. Furthermore, CCCI's normative role has deepened and evolved. This includes the development of global tools and functioning as an expert body, for example to the Intergovernmental Panel on Climate Change (IPCC). Alliances have been formed and joint activities undertaken with various UN-Habitat partners, such as the World Bank, the United Nations Environment Programme (UNEP) and ICLEI – Local Governments for Sustainability.

## 1.2 OBJECTIVES OF THE MID-TERM EVALUATION

This Mid-Term Evaluation (MTE) was carried out as a forward-looking assessment to help UN-Habitat and CCCI consolidate achievements to date and to plan for a systematic expansion of activities, to achieve maximum synergy between normative and operational activities, and to engage ever more constructively with key actors on vital policy issues. The findings and recommendations of the evaluation will help to guide CCCI during implementation of its Phase III and even beyond.

The MTE had the following two objectives:

- To assess whether the implementation of CCCI is on track, what problems or challenges have been encountered and what, if any, corrective actions are required;

<sup>1</sup> For the Team Leader's Terms of Reference for this evaluation, see Annex I; for a list of key persons interviewed, see Annex II; for list of key documents revised, see Annex III.

- To guide CCCI to achieve sustainable results as it expands and deepens activities related to cities and climate change.

### 1.3 EVALUATION PROCESS AND METHODOLOGY

#### 1.3.1 Report structure

The report is structured as follows. Chapter 1 provides background to the project and an overview of the evaluation process. Chapter 2 offers an overview of the project. Chapter 3 presents the main findings of the evaluation. In Chapter 4 conclusions, lessons learnt and recommendations are drawn together in a coherent overview.

#### 1.3.2 Audience of the report

The audience targeted by the MTE includes CCCI donors, UN-Habitat partners involved in CCCI, the Governing Council that oversees UN-Habitat's activities, and concerned UN-Habitat professional staff (project staff, Evaluation Unit). The report may also be of interest to a broader audience that is interested in development assistance and the subject of cities and climate change.

#### 1.3.3 Evaluation team

The Evaluation Team consisted of a Team Leader assisted by three national consultants. The national consultants carried out in-depth national and city-level assessments in three selected countries in the regions where CCCI is active: Ecuador (Latin America), Uganda (Africa) and Sri Lanka (Asia). The Team Leader

had overall responsibility for conducting the evaluation, developing the evaluation methodology, synthesizing the national-level findings and recommendations, and producing the consolidated evaluation report. The Team Leader provided guidance to the national consultants, so as to strengthen and harmonize the assessment methodologies. While the synthesis evaluation is based in part on national-level findings, the findings, conclusions and recommendations presented in this document are the Team Leader's own. The evaluation was managed by the Urban Planning and Design Branch, while the Evaluation Unit provided technical guidance on the evaluation process and reviewed the terms of reference and draft reports.

#### 1.3.4 Methodology

The assessment of the CCCI was based on the evaluation criteria of relevance (analysis of relevance issues), efficiency (project progress compared to plans, actual costs and resource utilization as compared to budgeted resources, and overall resource utilization), effectiveness (analysis of effectiveness issues, and achievement of results) and impact (assessment of emerging impact of the project on target groups). The sustainability of the project's objectives was assessed and, the MTE also examined the extent to which CCCI programme achievements are likely to be internalized and sustained in the long term, and the complementarity and added value of CCCI and opportunities in the policy environment.

### Special concerns

#### SUD-Net

The original project concept was built around the goal of making operational SUD-Net – UN-Habitat's

#### BOX 1.1: CCCI PARTICIPATING CITIES



As of November 2012 there were more than 40 cities participating in CCCI, most of them in Asia, followed by Africa, then Latin America © UN-Habitat



innovative global network of partners to – further the understanding of the principles of sustainable urbanization at global, regional, national and local levels. As the focus of the MTE is on CCCI, the broader agency-wide SUD-Net lies outside of the scope of this evaluation. (For a description of evolution of SUD-Net as an agency-wide umbrella network that goes beyond CCCI, see Annex V.)

### Scope of CCCI evaluated, with respect to funding sources

The present evaluation covers both CCCI activities funded by the Government of Norway, as well as additional activities funded by other sources that are implemented not as stand-alone projects but in an integrated manner under the CCCI umbrella. This includes activities undertaken in five African cities between 2009 and 2011 funded by the United Nations Development Account (UNDA)<sup>2</sup>; other city-level activities funded by other sources (see Annex IV); and normative and operational activities related to cities and climate change being undertaken jointly by the World Bank, United Nations Environment Programme (UNEP) and UN-Habitat through a Cities Alliance-funded Joint Work Programme.

### Evaluation process and methodology

The evaluation relied on reviews of CCCI documentation, interviews (face to face and by telephone), assessment workshops with key stakeholders, and e-mailed questionnaires. The evaluation methodology is summarized as follows.<sup>3</sup>

- *Desk assessment:* Desk assessment covered CCCI materials, and country- and non-country specific assessment related research, including a scan of key global (and regional) programmes and institutions that work in the area of cities and climate change.
- *Selection of representative countries/cities for in-depth assessment:* Key criteria for the selection were:
  - (a) global representation,
  - (b) involving the main categories of climate change effects, and
  - (c) including both pilot countries/cities (Phase I) as well as countries/cities joining CCCI later (Phase II).

The Team Leader visited two countries for local orientation (Philippines/Sorsogon, Rwanda/Kigali),

while the national consultants conducted in-depth assessments in Ecuador/Esmeraldas and Uganda/Kampala (both focus countries/cities that started their CCCI activities in Phase I), as well as Sri Lanka/Negombo and Batticaloa (a “second generation” country that joined the CCCI in Phase II).

- *Assessment workshops and interviews:* The Team Leader interviewed CCCI staff and key UN-Habitat staff involved in CCCI at UN-Habitat headquarters. Further, a strengths-weaknesses-opportunities-constraints (SWOC) workshop with key headquarters-based UN-Habitat/CCCI staff was held in Nairobi to scan the internal and external environments.

The local assessments in Ecuador, Uganda and Sri Lanka included a half-day self-assessment workshop for local representative stakeholders and counterparts, follow-up interviews based on key questions addressed in the self-assessment workshops, supplemental research and additional investigation, while observing any CCCI activities scheduled to be carried out during the consultant’s period of performance.

Questionnaires were administered to 15 of UN-Habitat’s CCCI partner organizations (donors, academic/training institutions, NGOs, bilateral agencies, private sector). The questionnaires addressed their assessment of CCCI performance and their interests in and expectations of working with CCCI. The questionnaire was returned by 12 respondents and these were followed up with telephone interviews by the Team Leader with five respondents who indicated they would be open to such an interview. (The questionnaire is attached as Annex VI.)

- *Drafting of the Mid-Term Evaluation report:* The draft report synthesized findings from selected CCCI countries and cities that were based on the in-depth and desk-top assessments (for the executive summaries of the country/city level assessments see Annex VII). It also included insights gained from supplementary research.
- *Preparation of the final Mid-Term Evaluation report:* The Team Leader revised the draft evaluation based on feedback from UN-Habitat staff, and incorporated findings from a one-day CCCI partners’ meeting in Naples, Italy, on 7 September 2012.<sup>4</sup> Written comments on the draft that were received from one additional partner institution, the World Bank, were also included. The main objective of this meeting was to discuss and validate key findings of the MTE with UN-Habitat representatives, donors, stakeholders and experts.

<sup>2</sup> The Terminal Report on “Building Capacities of Local Governments in Africa to Cope with Climate Change”, submitted to UNDA in March 2012, is available upon request. UNDA funded activities implemented under the umbrella of CCCI are included in this evaluation.

<sup>3</sup> For the Terms of Reference of the Mid-Term Evaluation, which includes the methodology as initially planned, see Annex I. The Inception Report for the MTE, which includes the detailed methodology, is available upon request.

<sup>4</sup> Minutes of this meeting are available upon request.

#### **1.4 REVIEW DATE**

The review date of the MTE was set for the end of June 2012. As the Terms of Reference for the MTE calls for a forward-looking evaluation, it is evident that the first months of Phase III, which started in January 2012, should be taken into consideration. However, achievements are measured as of December 2011, i.e., the end of Phase II, as Phase III had just started its activities as the MTE commenced.

#### **1.5 LIMITATIONS**

Time and resource constraints for conducting the evaluation limits the ability to capture all relevant information, despite attempts by the Team Leader to access (and the UN-Habitat team to provide) the most meaningful information for a fair assessment of all projects in roughly 20 countries during the identified period.

At project scale, the extent and quality of data captured, specificity of indicators relative to project objectives, and available documentation varies greatly, depending on local conditions and constraints on human resources.

Monitoring and evaluation (M&E) frameworks (project and sub-projects) have been refined over time and indicators are now more closely linked to project objectives; however, in some cases, insufficient time has passed for significant or widespread impact to occur.

## 2 OVERVIEW OF CCCI

In 2008, the project, originally called “Cities in Climate Change Initiative (CCCI) – A Component of Sustainable Urban Development Network (SUD-Net)” – was developed. CCCI was conceived of as the start-up component of the UN-Habitat Sustainable Urban Development Network.

In mid-2010, the initial Phase I (August 2008–July 2010) was followed by Phase II (August 2010–December 2011). At the end of the second phase, provisions were made to launch Phase III (2012–2013) early in the following year.

### 2.1 SUD-NET & PREDECESSOR PROGRAMMES

SUD-Net was conceptualized in UN-Habitat’s Global Division as an innovative global network of partners to further the understanding of the principles of sustainable urbanization at global, regional, national and local levels. SUD-Net was seen as a logical step following the termination in 2007 of the SCP and LA21 programmes.<sup>5</sup> The Sustainable Cities Programme (SCP), a joint UN-Habitat/UNEP facility, was established in the early 1990s to build capacities in urban environmental planning and management. Localising Agenda 21 (LA21) aimed to help local authorities in secondary towns to achieve more sustainable development by implementing an environmental planning and management process to identify and address priority issues.

### 2.2 SUD-NET & CCCI

At the time, climate change was emerging as a new area of concern for UN-Habitat. In developing countries, and especially Least Developed Countries (LDCs) and Small Island Developing States (SIDS), climate change impacts – in particular through worsening poverty levels – can severely undermine a country’s efforts to achieve the goals of sustainable development. The international community was beginning to recognize that cities have a vital role to play in climate change mitigation and adaptation (“cities contribute to climate change, cities are affected by climate change, and cities can contribute to solutions”), which, until then, had largely been neglected in climate change dialogues.

<sup>5</sup> In anticipation of SUD-Net principles, the SCP and LA21 programmes aimed at anchoring environmental planning and management capacities in local, national and regional institutions, recognizing that a network of such entities would be a sustainable and cost-effective way to strengthen links between local and global activities.

The need for cities to develop local strategies towards a sustainable future, addressing climate change mitigation and adaptation through urban planning and management, was seen as the link between SUD-Net and the CCCI component.

### 2.3 CHANGES IN CONTEXT DURING IMPLEMENTATION

Over the last few years, UN-Habitat has adopted a more results-based, integrated (project) approach. Accordingly, its organizational structure was adjusted into thematic branches and units (see Annex VIII), which was formalized in December 2011. CCCI, formerly placed in the Urban Environment Section (UES) of the Global Division, has been relocated to the Climate Change Planning Unit of the new Urban Planning and Design Branch (UPDB). This internal reorganization, with implications for CCCI project management, is discussed in Section 3.1.7, below.

### 2.4 TARGET BENEFICIARIES

Direct beneficiaries are city governments participating in CCCI. Many cities are located in areas prone to climate-related disasters, such as coastal zones, river banks, deserts or mountainous areas, with critical infrastructure and services vulnerable to extreme climatic events such as floods, storms and landslides.

Ultimate beneficiaries are the residents of those cities, and in particular poor people living in informal settlements. Informal settlements, characterized by poor housing, inadequate water, poor sanitation and other services, are often located in the zones with highest risks (river beds, steep slopes). The programme specifically targets such marginalized and under-served groups – often rapidly increasing groups – which are most vulnerable to the impacts of climate change but lack resources to cope with changing conditions.

### 2.5 INSTITUTIONAL AND PARTNER PRIORITIES

#### 2.5.1 UN-Habitat

The importance of SUD-Net CCCI for UN-Habitat follows from two key policy documents, i.e., the UN-Habitat Medium-Term Strategic and Institutional Plan (MTSIP) 2008–2013, and the agency-wide Climate Change Strategy (CCS) 2010–2013.

SUD-Net CCCI responds to the MTSIP, particularly as a coordinating mechanism for the activities under the MTSIP's Focus Area 2 on Participatory Urban Planning, Management and Governance, and as a mechanism for implementing the goals of MTSIP's Focus Area 1 on Advocacy, Monitoring and Partnerships. All MTSIP focus areas have actionable components related to cities and climate change.

All CCS strategic priorities – policy dialogue and advocacy, capacity development and institutional strengthening, promoting innovative implementation partnerships, awareness, education and networking, and corporate mainstreaming and pursuing climate neutrality – are reflected in the CCCI logical frameworks.

The CCS draws on the UN-Habitat 22nd Governing Council's Resolution on Cities and Climate Change (GC 22/3, 2009), reflecting the increasing recognition of the relationship between urbanization and climate change, and laying the foundation for UN-Habitat's further work in this field. This resolution calls on UN-Habitat to "widen the geographic scope of the [CCCI] initiative", and to "expand the range of [its] capacity development approaches".

Furthermore, SUD-Net is identified in the agency-wide strategy for the World Urban Campaign as an

on-going targeted action, i.e., as an entity which constantly mobilizes partners and provides space for dialogue and initiatives for the forwarding of the sustainable urban development agenda, targeting particular groups or constituencies in order to ensure broad and relevant stakeholder involvement.

## 2.5.2 UN-Habitat's collaborating partner agencies

UN-Habitat partner agencies collaborating with CCCI are, for the greater part, institutions that already worked closely with the UPDB (then UES) in the context of the SCP/LA21 programme, for instance, UNEP, World Bank and ICLEI, the environmental local government association, all of which include climate change as one of their priorities. In addition, CCCI has engaged with some new partners who focus on the issue of cities and climate change (see Box 2.1).

## 2.5.3 CCCI partner cities

All of the implementing partner cities in Phase I, as well as a number of those that joined CCCI in Phase II, have earlier participated in the SCP/LA21 programme. They are familiar with working with UN-Habitat and its approach, which lays a solid foundation for CCCI's operational activities at the local level. (For list of CCCI cities, see Annex IV.)

### BOX 2.1: SELECTED CCCI PARTNERS

#### **Bilateral donors:**

Norway  
Sweden

#### **Other contributing partners:**

MDG-Fund (Spain)  
United Nations Development Account  
Cities Alliance

#### **Board, committee, and panel memberships:**

Intergovernmental Panel on Climate Change (IPCC) – Expert Group on Human Settlements and Infrastructure  
Resilient Cities Congress Secretariat  
World Green Building Council

#### **Networks of partners:**

Network of Local Government Training Institutes  
Habitat Partner University Initiative  
Asian Cities Climate Change Resilience Network  
Urban Climate Change Research Network  
Urbanization and Global Environmental Change Project

#### **Other contributing partners:**

United Nations Environment Programme (UNEP)  
World Bank  
United Nations Economic and Social Commission for Asia and the Pacific  
United Nations Framework Convention on Climate Change  
ICLEI – Local Governments for Sustainability  
International Institute for Environment and Development  
Institute for Housing and Urban Development Studies  
United Cities and Local Governments  
University of Twente – Faculty of Geo-Information Science and Earth Observation (ITC)  
International Urban Training Centre  
ARCADIS  
Cities Development Initiative for Asia (CDIA)

*Note: All CCCI's national and local government partners, local government associations, universities, private sector, civil society and community-based organizations are too many to list but are key elements in the Initiative's success. Partner countries and cities are listed in Annex IV.*

## 2.6 COMPARATIVE ADVANTAGE OF UN-HABITAT AND CCCI VIS À VIS OTHER ORGANIZATIONS AND PROGRAMMES

CCCI niche areas and UN-Habitat’s relevant comparative advantage as identified by the CCCI Project Management Unit (PMU) is summarized in Table 2.1. The analysis in this table coincides with the findings from the SWOC analysis and the CCCI partner survey.

## 2.7 CCCI EXECUTION MODALITY AND PROJECT MANAGEMENT ARRANGEMENTS

In accordance with the Project Document of Phase I, the execution modality is characterized by the following key elements:

- Putting in place an overall SUD-Net multi-constituent management and organizational structure (see below) that delineates the normative and operational functions to support the implementation of the network and the activities of its components;

- Engaging partners at global, regional, national, city and local levels that are selected on the basis of a comprehensive set of selection criteria in line with UN-Habitat’s MTSIP and MDG mandates (SUD-Net);
- Working through pilot activities in four selected countries and cities and demonstration projects that are designed, piloted and documented to serve as best practices for future scale-up; and
- Developing a wide range of participatory and targeted tools to respond to the capacity needs of different stakeholders and for education and training.

As explained above, the establishment of SUD-Net diverged from CCCI. It is therefore evident that element (a), above, should read instead as “CCCI management and organizational structure”, whereas elements (b), (c) and (d) form CCCI’s execution modality. This modality had proved to be successful in the SCP/LA21 programme, which had an approach that was similar to CCCI. CCCI Phase II worked with basically the same modality. During that phase, element (c), above, should read as: “Consolidating the gains of the start-up phase, while widening the geographical

TABLE 2.1: CCCI NICHE AREAS AND COMPARATIVE ADVANTAGE

NICHE AREAS	COMPARATIVE ADVANTAGE
In developing countries, assisting small cities (< 500,000 inhabitants) and medium-sized cities (< 5 million inhabitants)	Relatively neglected by international financing institutions and other agencies; UN-Habitat well positioned to help build capacity of relatively small human settlements
Using urban planning and management as entry points to tackle climate change	Support at the city level in multi-sectorial urban planning and management is neglected by other agencies; City-wide participatory spatial planning and urban management lie squarely within UN-Habitat’s core mandate
Addressing the urban poverty aspects of climate change	Other programmes generally overlook the urban poverty dimension; Because of UN-Habitat’s mandate, the CCCI pays particular attention to those who are most vulnerable to climate change: the urban poor
Facilitating city access to adaptation funding	The system for distributing adaptation resources is less developed than for mitigation (the carbon market); UN-Habitat is a candidate implementing entity for the CC Adaptation Fund
Supporting national-local policy dialogue	As a UN agency with direct access to governmental structures, UN-Habitat is uniquely positioned to help carve out a substantial role for cities in national climate change policies and legislation
Channelling lessons learned at the local level into global policy reform	UN-Habitat’s dual operational and normative mandate places the agency in the best setting possible to feed local experiences into global policy dialogue

Source: Derived from “UN-Habitat Cities and Climate Change Initiative – Niches, Comparative Advantage & Proposed Next Steps”.<sup>6</sup>

<sup>6</sup> The paper was prepared in 2011 to identify niche areas where the CCCI holds a comparative advantage, to present plans to strengthen its role in these areas, and to discuss how to further expand the CCCI in the Phase III (2012-2013). The underlying UN-Habitat internal document is: Institutional Landscape of Global Climate Action in Cities (2011).

scope (regional roll-out of CCCI) and expanding the range of capacity development approaches.”

The original SUD-Net CCCI Project Document made the following institutional management arrangements for the project:

- Project Management Unit, hosted in the Urban Environment Section of UN-Habitat’s Global Division,<sup>7</sup> and working in close collaboration with other UN-Habitat participating divisions, branches, units and programmes/projects;
- Technical Support Team (programme output); and
- Steering Advisory Committee (programme output)

The Project Management Unit was to be established at the start of the programme, with the responsibility to create the Technical Support Team (TST) and an Advisory Committee. (The Project Document calls it a “Steering Advisory Committee”; however, a committee can either have steering powers or else be more advisory in nature. This MTE will refer to it as “Advisory Committee”.)

A CCCI Project Management Unit (PMU) has been established. It is not named CCCI Secretariat at

present, probably since there is no formal advisory/governance structure of partners. Also, an internal CCCI TST has been formed and meets periodically.

The present MTE recommends the formation of an Advisory Committee as originally envisioned, and discusses possible governance models (see Section 3.3.6).

### 2.7.1 CCCI Project Management Unit and Technical Support Team

The CCCI PMU is the office responsible for the day-to-day management of the programme. The PMU is staffed by the Climate Change Planning Unit and consists of a small team headed by the CCCI Team Leader, with a project management officer (financial) and an Assistant Programme Officer assigned to the project, and other (part-time) seconded staff.

The inter-branch CCCI Technical Support Team is coordinated by the CCCI Team Leader. The TST secures both UN-Habitat-wide coordination with other interventions and expert inputs from other branches. The members of the Nairobi based TST are staff from the UPDB and in CCCI-related UN-Habitat branches, units and programmes. Specific tasks are assigned to members who serve either as geographic and/or thematic focal points. The geographic/country

#### BOX 2.2: LIST OF THEMATIC AREAS IN WHICH CCCI IS ENGAGED

THEMATIC AREA/a	CITY/b
<b>Adaptation</b>	
Local economic impacts of climate change	Pekalongan, Sorsogon
Integrated flood management	Kampala
Coastal zone management	Apia, Port Moresby, Port Vila, Sorsogon
Water	Banjarmasin, Kampala, Kathmandu, Lami, Pekalongan
<b>Mitigation</b>	
Greenhouse gas baseline emission studies	Batticaloa, Kampala, Negombo, Sorsogon
Energy efficiency	Beira
<b>Adaptation &amp; mitigation</b>	
Youth	Kampala, Kigali, Mombasa, Saint Louis
Gender	Kampala, Kathmandu
Green & climate-resilient building	Esmeraldas, Sorsogon, St. Louis, Vilankulo
Eco-system-based adaptation/c	Apia, Jianjing, Lami, Maputo, Port Vila
Urban agriculture	Bobo-Dioulasso, Esmeraldas, Kathmandu, Kesbewa

Notes:

a) The focus here is on city-level “follow-on, in-depth assessments” and “demonstration projects” in CCCI process model (see Box 2.3), where considerable variation exists amongst cities. Other steps in process model are common to a number of participating cities. ‘Urban planning’, ‘resilience’, ‘disaster risk reduction’, and ‘financing’, which are concerns common to a number of cities, are not listed as separate thematic areas in the present table.

b) For complete list of cities and countries, see Annex IV.

c) Also confers mitigation benefits.

Source: CCCI.

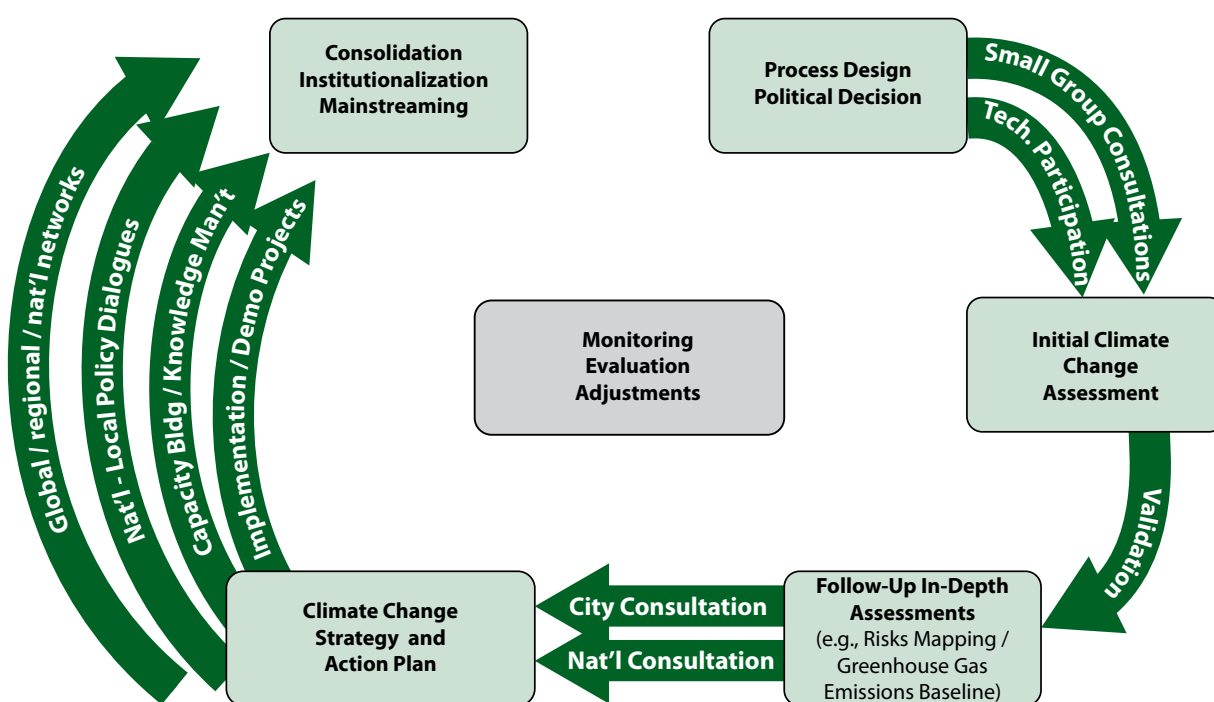
<sup>7</sup> Since the recent reorganization: Urban Planning and Design Branch (UPDB), Climate Change Planning Unit.

focal points, along with the regional offices and UN-Habitat country/programme managers (HPMs), help to coordinate CCCI activities within a given city/country. The thematic focal points manage knowledge on thematic topics that generally transcend a single project (e.g., decentralization, gender and youth; see Box 2.2).<sup>8</sup>

### 2.7.2 The CCCI process model

The Initiative developed a model to clarify and guide the work at the various levels (see Box 2.3). This model built on experiences in the SCP/LA21 programme, including city (stakeholder) consultations and other participatory processes. The model clarifies how climate change action of cities participating in the CCCI can be developed in parallel and close interaction with national-local and international (global, regional) policy dialogue and capacity building/ knowledge management. Initial experiences on the ground have helped to build and clarify CCCI's city-based process model.

BOX 2.3: CCCI PROCESS MODEL



In reality, the degree to which CCCI actually carries out the full set of activities shown in this model, as well as their precise sequencing, varies from city to city according to local conditions and resource availability © UN-Habitat

<sup>8</sup> The Coordinator of the UPDB updates the “Urban Planning and Design Branch - Focal Point Roles and Responsibilities” record, which shows inter alia the CCCI geographic and thematic focal points.





## 3 MAIN FINDINGS

### 3.1 INTRODUCTION

In this chapter the key findings of the Mid-Term Evaluation are presented. To make the evaluation easy to read and understand, the relevant analysis, findings and conclusions/lessons learnt/recommendations are introduced at the end of each section (relevance, efficiency, effectiveness and impacts, and sustainability). In Chapter 4, conclusions, lessons learnt and recommendations are restated to provide a coherent overview.

### 3.2 RELEVANCE OF CCCI

In this section, first the relevance of CCCI is analysed, followed by an assessment of the coherence of the project design.

#### 3.2.1 Target beneficiaries

The Initiative is increasingly in demand by cities and seen by them as timely. The programme aims to assist local authorities and stakeholders to develop adaptation strategies and adaptation plans to increase resilience, and to reduce greenhouse gas emissions. This not only helps to mitigate climate change but also improves local air quality as an additional benefit.



Participants in thematic working groups at a climate change mitigation workshop in Esmeraldas, Ecuador held in May 2009  
© UN-Habitat/Francois Laso

#### 3.2.2 UN-Habitat's collaborating partner agencies

The MTE partner survey suggests that partners' priorities cum entry points for collaboration with CCCI respond to one or more of the following characteristics of CCCI: special attention for least developed countries, putting cities at the core, introduction of

more holistic and participatory approaches to urban planning, management and governance, knowledge management and tool development, and knowledge sharing between capacity building institutions and CCCI partners. Most partners see strategies that address the poor (and other vulnerable groups) as one of their main priorities, but not necessarily as their lead entry point for collaboration.

#### 3.2.3 CCCI partner cities

The rapidly growing numbers of cities joining CCCI demonstrates that the Initiative is in demand by cities, especially for adaptation response, and is seen by them as timely.



Flooding in Kalerwe, Kampala © UN-Habitat/Nicholas Kajoba

The MTE city-level assessments indicated that all of the cities concerned, i.e. Esmeraldas (Ecuador), Kampala (Uganda), Negombo/Batticaloa (Sri Lanka) and Sorsogon (Philippines), are regularly affected by natural disasters. Invited by UN-Habitat, they joined CCCI realizing that their vulnerability and the potential losses associated with that are either already increasing or are very likely to increase in the near future due to the effects of climate change.

#### 3.2.4 Design logic

This section summarizes the analysis of the project design<sup>9</sup> and its modifications over time. Annex IX provides the analysis in full detail, including an overview of the project objectives, outcomes and outputs for the three phases.

#### Phase I: SUD-Net CCCI (August 2008-July 2010)

The Phase I Project Document ("ProDoc") clearly expresses the project objectives and expected outputs,

<sup>9</sup> Sources: Project Documents of CCCI phases I, II and III.

and gives a detailed description of success criteria and activities to be undertaken. The SUD-Net outcome is clear-cut. The three CCCI outcomes form a coherent set to build local resilience supported by national policies. The time horizon for achievement of the outcomes is set on 2013.<sup>10</sup>

This is fully and appropriately reflected in the logical framework (“logframe”) attached to the ProDoc. The logframe, however, does not properly translate the success criteria provided in the ProDoc into the objectively verifiable indicators that would enable results-based monitoring and evaluation. The number of outputs and activities to be carried out – although largely no specific targets were set – seems too ambitious for a two-year implementation period.

The expected integration/coordination between the two project objectives is evident from one of the key outputs: “SUD-Net CCCI is functional at local, regional and regional levels, and expressed in success criteria as the extent to which the national and local actors are involved and participate in the SUD-Net virtual platform (website).”

The main weakness of the Phase I project design rests in the linkage of the CCCI component to the operationalization of SUD-Net. First of all, the establishment of SUD-Net is dependent on external factors. Further, the SUD-Net output of the CCCI component is dependent on additional sustainable urban development initiatives.

### **Phase II: SUD-Net CCCI (August 2010-December 2011)**

The project design was modified for its second phase. Phase II also featured an additional focus on decentralization, gender and youth. The ProDoc formulates objectives, outcomes, outputs and activities. The format of the attached logframe is a clear improvement on the Phase I logframe. It better serves its purpose as a performance-tracking matrix, with clear indicators, baseline data and targets, and feasible targets for the outputs set on 2011.

While operationalization of SUD-Net was at the core of the programme at its conception, Phase II was developed – as the project title says – “within the framework of SUD-Net”. Background information on the diverging processes of SUD-Net and CCCI, in the context of the scope of the MTE, is provided in Annex V.

<sup>10</sup> As indicated, the original SUD-Net CCCI Project Document (ProDoc) included a time horizon of 2012-2013 for achieving the main project objectives. This horizon corresponded to the end date of UN-Habitat’s MTSIP 2008-2013. The new draft multi-year strategic plan, for the period 2014-2019, also features an explicit accomplishment related to Cities and Climate Change. Whilst this framework has been approved by the Agency’s Committee of Permanent Representatives, it will still require the full approval of its Governing Council (GC). If approved by the GC (in April 2013), such a framework plan would help pave the way for continuity of CCCI, subject to available funding, after the end of its current phase (Phase III) in December 2013.

The ProDoc does not justify why SUD-Net outcomes and outputs were no longer included in the design. Although not mentioned in the ProDoc, the MTE independent interpretation is that the CCCI networking outcomes aim to incorporate the networking principles that form the basis for SUD-Net.

More importantly, there are discrepancies in the ProDocs between the development and project objectives of Phases I and II. (For details, see Annex IX.) As both phases form part of the same project, there should have been either consistency in the ProDocs and logframes, or modifications in project design – and correlating modifications of the logframe – during the course of the project should be explicitly noted and justified.

The Phase II logframe tries to repair this. However, at the same time, the four outcomes in the original (Phase I) ProDoc are reduced to one only for Phase II. This is puzzling, as the sets of outcomes of Phases I and II showed a consistency in addressing four distinct areas: networking, policy change, tools, and capacity building/knowledge management. As a result, one’s ability to compare the logframes of the two phases – needed for overall performance tracking – is considerably decreased. Consequently, it was decided to base the present evaluation on the outcomes and outputs as defined in the bodies of the Project Documents, rather than on their associated logframes.

### **Phase III: CCCI (January 2012-December 2013)**

As the Phase III project title: “Cities and Climate Change Initiative (CCCI) Phase III (with additional focus on urban agriculture)” already indicates, the project no longer links to SUD-Net. (For details on SUD-Net, see Annex V.) Furthermore, the ProDoc does not explain why urban agriculture has been added as thematic focus area.

While from the interviews it was understood that CCCI Phase III aims to optimize what the project is actually doing and is well positioned to do, this is not made evident in the ProDoc, bearing in mind the project’s niche and comparative advantage. The MTE analysis indeed found that outputs/activities from earlier phases that are apparently still deemed important but not (fully) picked up yet, are included in this phase, for example financing mechanisms (Phase I output). This is also true for a Project Advisory or Steering Committee, which was to be a major output of Phase I. Though the establishment or formation of such a committee is indicated in the Phase III ProDoc, it does not appear here as a specific output.

The format of the logframe has further evolved into a clear and easy to use performance-tracking matrix.

While the Phase III project outcomes cover the same three (of four) areas – policy change, tools, and capacity building/knowledge management – as those of Phases I and II, there is no longer any specific outcome on networking, the fourth area. Instead, networking elements are integrated into the outputs.

Another crucial aspect is the timespan of the project. As explained in Annex VIII and summarized above, the project cycle was three two-year project phases within a six-year period ending in 2013. At this point, the ProDoc should at least have made projections of whether the project is likely to be continued, with corresponding provisions for a transition to a new phase and/or for securing sustainability.

### 3.2.5 Relevance: Conclusions, lessons learnt and recommendations

CCCI is a highly relevant initiative that is addressing the vital role cities have to play in climate change mitigation and adaptation (“cities contribute to climate change, cities are affected by climate change and cities can contribute to solutions”), and that helps to fill neglected gaps. At the time this project was conceptualized, the centrality of the role that cities play was insufficiently recognized in climate change dialogues. Moreover, CCCI assists small- to medium-sized cities in developing countries, which are relatively ignored by international financial institutions and other agencies. The Initiative addresses, in particular, the urban poor and other vulnerable groups, whereas other climate change-related programmes generally overlook the urban poverty dimension. Ensuring that national climate change policies address the urban dimension, and then localizing such policies, are two of CCCI’s focus areas; UN-Habitat is uniquely positioned to assist in these areas. Last but not least, CCCI support at the city level focuses on multi-sectorial urban planning and management, which tend to be neglected by other agencies tackling climate change.

The rapidly growing number of cities joining CCCI demonstrates that the Initiative is in demand by cities, especially for assistance in adapting to climate change, and it is seen by them as timely. Also, the interest of UN-Habitat partner organizations in working with CCCI underscores the relevance of the Initiative.

The project design of CCCI, reflected in the project’s logical frameworks for the three project phases, is appropriate: it addresses the areas where UN-Habitat enjoys a comparative advantage.

The following lessons learned on project design can be drawn from the assessment.<sup>11</sup>

The analysis of the project design demonstrated that:

- (1) output targets should be realistic, if not, they should be adjusted during implementation, in the context of project progress monitoring;
- (2) any significant modifications in project design due to changing conditions during implementation should be promptly and appropriately covered by a formal project revision, with significant changes reflected in the logical framework as necessary; and
- (3) more coherence between the overall design and the different project phases should be established. More generally, effective management and monitoring of a project such as CCCI should recognize that a logical framework will always remain a draft because it only reflects a situation at a certain moment in time. It may be necessary, therefore, to adjust such a matrix over time, as conditions change. Likewise, applying the tool too rigidly will restrict rather than facilitate effective project management.

Since CCCI is now internalizing the SUD-Net networking principles, more concerted and focused action would be needed to create the envisaged networking cum knowledge management hub within the Initiative. An appropriate management mechanism – in terms of both a virtual hub and supporting staff – should be established to assist the CCCI Project Management Unit in this task (see also Section 3.3.2 - Adequacy of execution modality and project management arrangements).

***Recommendation 1: Include as a specific output in CCCI Phase III the establishment of a Cities and Climate Change thematic network hub under CCCI management. This hub of networks, partners and communities of practice is to facilitate concrete collaboration and to ensure organized partnerships to deliver on CCCI’s objectives; it should be designed to interface with or form a part of the broader SUD-Net. This network should be open – not restricted.***

### 3.3 EFFICIENCY (IN TERMS OF PROJECT PROGRESS AND PERFORMANCE)

In this section efficiency of project implementation is assessed in terms of progress and performance.<sup>12</sup> Non-CCCI activities of SUD-Net are excluded (see Annex V).

<sup>11</sup> “Lessons” include suggestions that do not rise to the level of formal recommendations.

<sup>12</sup> The known constraints following from UN-Habitat’s procurement procedures, management and administration systems and information system (IMIS) are seen as external conditions and are therefore not included in this evaluation.

### 3.3.1 Reality of timeframe

As explained before, the project has been designed with a six-year timespan to achieve its objectives aiming at enhanced resilience to climate change of cities in developing countries and the operationalization of SUD-Net.

Looking at the accomplishments of the CCCI component at the end of Phase II, which are discussed in Section 3.1.8, it is evident that the project moved significantly forward in terms of cities that joined the CCCI and started to take locally orientated climate change actions. CCCI was instrumental in providing tools, building capacity, sharing knowledge and initiating policy change (national-local policy dialogue). Projecting this progress against the project's timeframe, it can be concluded that the original six-year period was certainly realistic to accomplish the CCCI objective to "enhance resilience of cities in developing countries to climate change".

### 3.3.2 Adequacy of execution modality and project management arrangements

The execution modalities (i.e. engaging partners at global, regional, national, city and local levels; working through pilot activities and demonstration projects; developing a wide range of participatory and targeted tools) which were successful in the SCP/LA21 programmes have proved to be efficient and effective for CCCI as well.

The functionality of the CCCI management has evolved over time. This is particularly true for the functioning of the TST and the mode of cooperation between UN-Habitat headquarters (HQ) and the regional offices and country offices, and with regard to establishing supporting partnership arrangements. Accordingly, performance has continued to increase in the course of the project.

In more detail, the MTE findings are as follows.

#### PMU and TST

In practice, the PMU and the TST work closely together and should be seen jointly as the core project management team. The functioning of the TST, however, is very dependent on the time its members are allowed to devote to this task,<sup>13</sup> and their work priorities. Although not all sections (now branches/units) were involved in the creation of CCCI, five of seven substantive branches have staff members who are carrying out activities under Phase III, while the

PMU is in active discussions with representatives of the other two branches.

The MTE local-level assessments all recognize the important role that the TST members play in providing input in the local activities, through the country offices and directly.

Furthermore, the CCCI Project Documents include internalizing climate change within UN-Habitat as an important task of the CCCI. Reaching out to other branches and mainstreaming climate change in other programmes and projects ("CCCI from project to policy") should therefore be recognized as an intertwined task of the TST. Along those lines, the role of the TST could be expanded from supporting implementation of CCCI (its current role) to assisting in monitoring the implementation of UN-Habitat's Cities and Climate Change Strategy (which would be a new role). Nevertheless, the engagement by multiple branches in the implementation makes the Initiative a truly UN-Habitat-wide project.

In view of the increasing workload – due to the continuing expansion and widening of the scope – and complexity of the Initiative, further strengthening of the Project Management Unit and improvement of the functioning (composition, time allocation) of the Technical Support Team are critical to run the project efficiently and effectively. To that end, a clear delineation of tasks of the PMU and TST is also essential.

#### CCCI and UN-Habitat HQ, regional and country offices

The project is rightly placed in the Urban Planning and Design Branch (UPDB). Climate action is strongly space and place related, and planning as an integrating discipline promotes and manages change in the spatial dimensions of the built environment. Planning is also a discipline concerned with the promotion of social, economic and territorial cohesion, as well as smart, sustainable and inclusive growth, the wise management of natural and cultural resources and the integrated redevelopment of urban areas. Hence, the key task is to conduct planning activities to be responsive to and in support of society and its economic, environmental and social aspirations. Planning is therefore also at the heart of UN-Habitat's mandate.

Managing knowledge is a core activity of UN-Habitat, and especially of the head office or headquarters (HQ). At the start-up of the programme – in accordance with UN-Habitat's organizational set-up – the focus of the HQ-based Global Division was primarily on normative tasks while regional and national offices were largely operational and implementation-orientated.

<sup>13</sup> The recent reorganization allows an allocation of up to 15 per cent of the working time to other UN-Habitat activities that do not fall under the job description. With supervisors' permission, support to CCCI in excess of 15 per cent could form part of staff members' formal annual work plans in any branch.

The execution modality at local level follows UN-Habitat's normal practice. A Memorandum of Understanding (MoU) or Agreement of Cooperation (AoC) typically is signed between UN-Habitat and the city government, that has details of the project (objectives, scope and implementation approach and expected outcomes and results), the partnering institutions' respective roles, responsibilities and inputs, UN-Habitat's inputs in terms of technical assistance (CCCI's TST, consultants) and resources. MOUs or AoCs are signed with other partnering institutions as well.

With the Initiative working through city/country based pilot and demonstration projects, normative activities involving regional offices are more diffuse. On the other hand, HQ staff are also involved in the country-level work. This is largely because in the countries where CCCI works, the capacity of country-based staff varies and, indeed, sometimes UN-Habitat does not have such staff in place at all. Over time, this has led to more integrated working methods. In this respect, the CCCI execution modality has anticipated UN-Habitat's new working style, formalized through the recent reorganization, which is based on an integrated approach of HQ and the regional and country offices.

The regional offices – in particular the Regional Office for Asia and the Pacific (ROAP) – increasingly play a central role in the interaction between operational and normative work, which would consequently affect the required expertise of their staff (and staff of national offices). Besides, in CCCI, UN-Habitat country offices do not only have an operational task in preparation and implementation of the projects, but they also play a pivotal role as incubator/facilitator and advocate in national-local policy dialogue, which is an important element of the CCCI process model (see Box 2.3). In conclusion, apart from strengthening PMU and TST, strengthening of regional and country offices in terms of CCCI capacity and expertise is strongly recommended.

## CCCI management tools

### The CCCI process model

The CCCI process model optimises UN-Habitat's mandate and dual position to work (simultaneously) as an incubator/facilitator at both national and local levels. The integrated operational-normative process makes it attractive for cities to participate in the Initiative (guidance and assistance), while their operational activities in turn strengthen the project's global normative work. The model appears to resonate with cities and countries, and is well established and replicable. The attractiveness of the process model is illustrated by the fact that UNDP Ecuador has adopted a variation of this model for its projects.

The MTE local-level assessments indicate that, in general terms, the process model serves to guide the activities well. However, support still needs to be given to lead cities through the various steps in the city-level cycle, and to optimise the parallel national-local policy dialogues through engagement with all stakeholders.

### Strategic plans

Implementation strategies are important management instruments.

#### Regional strategies

In 2011, regional rollout strategies were developed for Asia and the Pacific (2011-2015) and for Africa (2012-2021). These two strategies set ambitious targets – in particular in Asia-Pacific – for expansion, focus areas and organizational strengthening, including working in strategic partnerships. The two strategies clearly reflect the different position of UN-Habitat in the two regions, with ROAP in the more advanced stage. No regional strategies have yet been developed for Latin America, despite the positive experiences in Esmeraldas, or in the Middle East/Arab States, where the Initiative has so far not found concrete entry points. In these two regions in particular, strategies would be useful to get CCCI off the ground (see Section 3.4 – Effectiveness).



In 2011, the CCCI Technical Support Team and regional offices developed strategies for rolling out CCCI activities in two regions, as shown © UN-Habitat

Taking a regional approach would optimize the Initiative in dialogue with both countries/cities and funding agencies. However, this would also require achieving coherence between global, regional and country-level strategies through fine-tuning targets, capacities and so on. The approach re-emphasizes the issue mentioned earlier about execution modality, i.e. the need to strengthen expertise and capacity of the regional offices and the country offices, which are pivotal to success.

#### Communication strategy cum dissemination plan

One of the envisaged outputs of Phase I was a comprehensive, all-inclusive communication strategy cum dissemination plan. Although important elements of

it have been developed and implemented, an all-inclusive strategy has not yet been formulated.

In view of the nature of the Initiative, close interaction with the key stakeholders (including donors, universities, training institutes, cities, programmes, international committees and panels, the private sector) is a critical success factor. The MTE partner survey indicated that most partners would like a closer and more defined relationship with CCCI, which they see as a leading project with strong guiding and advocacy functions in the field of cities and climate change in developing countries. This includes a better and more frequent flow of information and intensified knowledge sharing on (the progress of) activities and results. The survey also signalled that partners would support mechanisms that provide for a more interactive involvement with both CCCI and other partners.

#### *CCCI results-based management and reporting system*

In 2011, CCCI took concrete steps to improve its internal results-based management and reporting system.<sup>14</sup> At present, the mechanism facilitates enhanced management of the project. Additionally it should support intensified communication with partners and further outreach and advocacy. For instance, the system produces so-called city reports in a uniform format, which serve *inter alia* as stand-alone reports summarizing progress and achievements in the cities and emphasizing the lessons learned.

### **3.3.3 Summary of progress and achievements in terms of outcomes**

Progress in terms of “outcomes” is discussed below; progress in terms of “outputs” is reviewed in the succeeding section.<sup>15</sup>

Table 3.1 indicates that already notable overall progress toward achievement of the outcomes has been made, taking into consideration that Phase I was a pilot phase characterized as “learning by doing”.

Currently, the pilot cities generally are at the stage of implementing their demonstration projects and action plans. Most of the cities that joined later are in the process of vulnerability assessments and formulation of their strategies.<sup>16</sup> Meanwhile, city-level

activities have focused on building resilience to climate change, and on helping cities to take stock of their GHG emissions and begin to formulate strategies for low-carbon growth.

There was a slow start-up phase due to the practical implications of working through city-based pilot projects. In particular, tangible results serving as input for the normative work (knowledge sharing, tool and methodology development) took more time than originally envisaged. As the project progressed, CCCI was gradually able to draw comparative lessons on key technical topics from various cities.

The Initiative’s normative role has deepened and evolved over time as it has developed global tools and otherwise undertaken activities within a rapidly changing policy landscape, such as writing policy notes and publishing CCCI findings and data in academic journals. CCCI now participates in and contributes to international forums and panels, e.g. the Intergovernmental Panel on Climate Change’s (IPCC’s) Expert Group on Human Settlements and Infrastructure, and performing advocacy regarding the UN Framework Convention on Climate Change (UNFCCC). Such interactions have become increasingly important. To strengthen operational work and build support for normative proposals, UN-Habitat has forged alliances and undertaken joint activities with a series of key actors including the World Bank, UNEP and ICLEI.

<sup>14</sup> Measures that improved the monitoring system included: an organized database of documented evidence supporting logframe performance indicators, a detailed table of indicators, a disaggregated summary table for better reporting and management of results, a guide on performance monitoring, and assignment of a monitoring CCCI staff member, and related work planning with greater emphasis on outcomes, outputs and impacts. Also more attention is given to capturing lessons on CCCI implementation via the TST, and communication (CCCI newsletter and webpage).

<sup>15</sup> For a related assessment of “effectiveness and impacts”, see Section 3.4 below.

<sup>16</sup> As noted earlier, degree of implementation of the full process model varies by city according to available resources.

TABLE 3.1: ACCOMPLISHMENT OF OUTCOMES<sup>17</sup>

<b>OUTCOMES – PHASE I (2008-2010)</b>		
<b>Project objectives</b>	<b>Expected outcomes</b>	<b>Accomplishments at the end of Phase I</b>
(SUD-Net) UN-Habitat's SUD-Net, in partnership with key stakeholders serves as a key network hub for urbanization	National and local governments, city networks, NGOs, universities, private sector and international organizations collaborate in SUD-Net	(SUD-Net) See Section 1.5: Limitations CCCI established a wide variety of partnerships, connected to networks and partners in the field of cities and climate change, and is collaborating with partners at all levels in the areas of policy change, tool development and application and capacity building
(CCCI) The resilience of cities in developing countries to climate change is enhanced	<b>(Policy change)</b> Synergies and links between national and local climate change policies are created <b>(Tools)</b> Local governments apply innovative tools and approaches to cope with climate change <b>(Capacity building)</b> Climate change awareness creation, education, training and capacity building strategies targeting local authorities, the general public, tertiary education and continuous learning are implemented	<ul style="list-style-type: none"> <li>• Pilot phase (4 pilot countries/ cities) worked successfully toward approaches and methodologies on city climate change resilience, which continued in Phase II</li> <li>• Development and/or introduction of tools started but limited in Phase I</li> <li>• Climate change awareness raising greatly restricted to initial 4 pilot cities</li> <li>• Capacity building activities started, but limited, targeting mainly universities and local government professionals</li> </ul>
<b>OUTCOMES – PHASE II (2010-2011)</b>		
<b>Project objective</b>	<b>Expected outcomes</b>	<b>Accomplishments at the end of Phase II</b>
The performance of national governments, the power of decision-making of local authorities and other stakeholders to enable the development of liveable, productive and inclusive cities	<b>(SUD-Net)</b> Enhanced climate change adaptation, mitigation, and preparedness of cities within the framework of SUD-Net <b>(Networks)</b> Increased collaboration between local governments and their associations in global, regional and national networks to address sustainable urbanisation using cities and climate change as entry points <b>(Policy)</b> Increased policy dialogue between national and local governments in order to create synergies and links between national and local climate change policies with a view to enhanced strategies and collaboration <b>(Tools; Knowledge Management)</b> Increased application of tools and knowledge management strategies by local governments applying to adopt innovations and undertake reforms to optimize their responses to climate change	<b>(Networks)</b> Strategic collaboration with partners in all spheres of influence of CCCI; networks on cities and climate change at different levels extended and intensified and becoming more productive; Private sector still largely under-represented <b>(Policy change)</b> Country level: Policy dialogue established in all CCCI focus countries, impact depending on specific local political conditions, and initiated in other countries. The Philippines serves as a CCCI model: climate change considerations have been mainstreamed into the national planning framework, and rollout to local government units is underway. In countries where CCCI is active, national-level climate change policies increasingly address urban and/or local government issues. Global level: Global Report on Human Settlements 2011, on Cities and Climate Change, was a major knowledge management and advocacy initiative of the agency; The theme of World Habitat Day 2011 was Cities and Climate Change. <b>(Tools: Knowledge Management)</b> A range of (pivotal) tools developed or under- development and/or introduced; Tool application and knowledge management ongoing in CCCI's pilot and focus cities, and extending to other countries/cities; Comprehensive capacity building strategies in progress (in different stages of development)

Sources: UN-Habitat CCCI ProDocs (left and middle columns); MTE team and CCCI (right hand column).

<sup>17</sup> Verification was done through the CCCI Results-based management and reporting system, and documentation. An overview of achievements to the end of 2011 is given in the Performance Report on Implementation of the Programme Cooperation Agreement between the Government of Norway and UN-Habitat for the Biennium 2010-2011 - A Report to the Norwegian Ministry of Foreign Affairs (pp. 31-35).

### 3.3.4 Project performance in terms of outputs

Performance of the project is determined by examining the qualitative and quantitative outputs achieved as a result of inputs.<sup>18</sup> As Phase III has just started and consequently has produced only limited outputs,

project performance is measured over the period 2008-2011, covering the completed phases I and II.

The key outputs are listed in Table 3.2. (See also Annex IX: performance indicators: targets versus achieved results.)

TABLE 3.2: PROGRESS AND ACHIEVEMENT OF PROJECT OUTPUTS

OUTPUTS – PHASE I (2008-2010)		
Areas	Planned outputs	Accomplishments at the end of Phase I
SUD-Net operationalization	SUD-Net is functional	SUD-Net: See 1.5: Limitations Building – and linking networks to – CCCI network initiated and in progress
Policy change	<ul style="list-style-type: none"> <li>SUD-Net is functional at the local, national and regional level</li> <li>The urban dimension introduced in national climate change strategies</li> <li>National adaptation and mitigation strategies are localized, elaborating the responsibilities of different spheres of government</li> </ul>	<ul style="list-style-type: none"> <li>SUD-Net: N/A</li> <li>The national-local dialogues in the 4 pilot countries initiated and ongoing but did not yet reach the stage of formalized policy change</li> </ul>
Tools identification and development	<ul style="list-style-type: none"> <li>Management and decision-making tools for the local level developed and introduced</li> </ul>	Tools in the process of development and testing “on-the-job” in pilot cities
Tool application in focus cities	<ul style="list-style-type: none"> <li>Measures to cope with climate change are implemented in urban planning and management in focus countries</li> <li>Innovative international, national and local financing mechanisms are developed</li> <li>Micro-insurance mechanisms are developed and tested</li> <li>Ministries of housing, local authorities and construction industry guided and encouraged to develop policies, programmes and projects related to the production and use of energy-efficient and low greenhouse gas emitting building materials and climate change mitigating construction technologies</li> </ul>	<ul style="list-style-type: none"> <li>Activities in focus countries not yet reached the stage of implementation of action plans (see CCCI process model)</li> <li>Financing and micro-insurance mechanisms not developed <i>(Note: Financing and insurance no longer included as results in Phase II)</i></li> <li>Supporting activities initialized, both in adaptation to climate change, and relating to “green building”</li> </ul>
Capacity building	<ul style="list-style-type: none"> <li>Sensitization materials for the broader public developed</li> <li>Local climate change strategies are popularized in collaboration with local communities</li> <li>UN-Habitat partner universities (HPUs), local universities and local continuous learning institutions have adapted their teaching curricula and research to incorporate the issue of cities in climate change and exercise action-research in CCCI partner cities</li> <li>The capacities of local government training institutes in developing countries to provide training (using above tools) for local governments are strengthened</li> </ul>	Activities to achieve the results in all of these areas initiated and carried forward to Phase II. <i>(Note: The goals were too ambitious to translate these activities into concrete results (through pilot countries/cities) over the two-year period)</i>

<sup>18</sup> The MTE team took the following path to determine the efficiency of the programme:

i) CCCI results at country and city level: MTE country/city assessments; CCCI city reports, reflecting CCCI's implementation modality working through cities and countries; and

ii) CCCI results at global level (HQ): CCCI Results-based management and reporting system: normative activities (advocacy/networking, policy dialogue, tool; development, knowledge management).



Table 3.2: Progress and achievement of project outputs (Continued)

OUTPUTS – PHASE II (2010-2011)		
Areas	Planned outputs*	Accomplishments at the end of Phase II
[SUD-Net-related] CCCI network operationalization	<p>a) Global, regional, national and city networks are strengthened including various spheres of government, LG associations, CSOs/NGOs, universities, private sector [result]*</p> <p>b) Regional strategies addressing climate change are developed and implemented</p>	<p>Collaboration with 47 networks at global (12), regional (16) and national (19) levels; 27 networking meetings (global, regional, national) and 46 joint activities undertaken by key national and local actors</p> <ul style="list-style-type: none"> <li>Regional strategies developed, and under implementation, for Asia-Pacific and Africa (Not though for Latin America and the Arab States)</li> </ul>
Policy Change	<p>a) The urban dimension introduced in national climate change strategies in some of the focus countries</p> <p>b) National adaptation and mitigation strategies are localized (at city level) and made gender responsive</p> <p>c) National adaptation and mitigation strategies are localized (at city level), elaborating the responsibilities of different spheres of government</p>	<ul style="list-style-type: none"> <li>11 CCCI countries developed new or revised national-local policies and strategies</li> <li>Gender checklist developed</li> </ul>
Application of tools and knowledge management strategies	<p>a) Tools are applied in all CCCI focus countries (in at least one city each)</p> <p>b) Capacities of CCCI cities and partners to assess their contributions to and impact of climate change enhanced [result]*</p> <p>d) Sensitization tools developed in support of local government mitigation and preparedness strategies, adapted to the local contexts and the local societies</p> <p>e) Network of Habitat Partner Universities (HPUs) have adapted their curricula and research to incorporate case studies on cities and climate change</p> <p>f) More youth are included in the decision-making process around climate change mitigation and adaptation at local regional and international levels [result]*</p>	<ul style="list-style-type: none"> <li>Total of 27 tools, including sensitization tools: tools by CCCI: 18 launched/introduced – including the Planning for Climate Change Manual, 3 advanced drafts; 6 tools by others (including UN-Habitat) applied in CCCI cities</li> <li>Institutional partnerships strengthened at local level (40), regional (1) and global (7) levels 22 activities (workshops, curriculum development, etc.) implemented targeting universities, professionals and civil society</li> <li>10 cities revised long-term development plans, visions, strategies for climate change resilience</li> <li>CCCI working continuously with HPUs introducing, updating case studies</li> <li>Youth strategies are (being) developed</li> </ul>

Note: \* In the logframe of Phase II, some of the outputs are formulated as results.

Sources: UN-Habitat CCCI Project Documents (left and middle columns); MTE team and CCCI (right-hand column).

### 3.3.5 Budget and resource utilization

Phase I: USD 3,418,173 and Phase II USD 2,058,926<sup>20</sup>.

#### Assessment of performance at the global level.

Table 3.3 gives an overview of the programme funds and the delivery rates for all CCCI activities over the period 2008-2011.<sup>19</sup>

The total of project funds amounts to USD 6,422,499. The main donor was the Government of Norway, with a total contribution of USD 5,477,099 –

The funds were fairly evenly spread over the years: roughly USD 2.49 million in 2008/2009, USD 2.32 million in 2010, and USD 1.92 million in 2011.

Allocation of Norwegian funds to the budget lines of the project is roughly as follows:

<sup>19</sup> All figures presented in Table 3.3 and discussed below exclude programme support costs.

<sup>20</sup> As stated in the ProDoc, the project anticipated additional donor support to enhance the ability of UN-Habitat to carry out more activities and to use additional staff time. In Phase 2 the project was able to widen the geographical scope, mainly with additional sources of funding outside the Norway cooperation framework.

TABLE 3.3: PROGRAMME FUNDS IN USD AND DELIVERY RATES (%)

PROJECT / PHASE	FUNDING SOURCE	2009		2010		2011		BALANCE (JANUARY 2012)	TOTAL / a (PROJECT END)
		Budget	Delivery rate	Budget	Delivery rate	Budget	Delivery rate		
CCCI Phase I	Norway	2,616,699 /b	100%	801,478	100%	1,827	100%	N/A	3,418,173 (31/07/10)
CCCI Phase II	Norway	-	-	854,010	62%	1,528,648	86% /c	219,601	2,058,926 (31/12/11)
CCCI Africad	UN Dev A/C	225,500	74%	284,129	51%	138,182	100%	N/A	451,000 (31/12/11)
Cities and Climate Change	Cities Alliance	175,000	0%	175,000	23% /e	135,078	66%	45,747	175,000 (30/06/13)
Focus Area 2 Phase II	Sweden	-	-	-	-	114,400	100%	N/A	114,400 (31/12/11)
ROAP	UN Dev A/C	205,000	98%	-	-	-	-	5,000 /f	205,000
TOTAL	--	2,491,991	--	2,319,617	--	1,918,135	--	--	6,422,499

Notes:

a/ "Total" represents the sum of annual expenditures (not shown, but reflected in the delivery rates), plus any balance left over as of January 2012. Totals per project do not necessarily equal the sum of the amounts budgeted annually, as unexpended prior year amounts are re-phased into the budget of the following year. All figures exclude programme support costs.

b/ Includes USD 525,208 budgeted and expended in 2008, as well as USD 2,091,491 budgeted and expended in 2009.

c/ This end-of-year expenditure level was on target, with the remainder to be carried over and used for the start-up of Phase III in the first months of 2012.

d/ For details on these expenditures, see Terminal Report for this project.

e/ The slow rate of expenditure for 2010 was due to staffing shortage and changes in project management, with short-term staff enlisted to help complete the project activities.

f/ Already used by June 2012.

TABLE 3.4: CCCCI EXPENDITURES AT GLOBAL, REGIONAL AND NATIONAL/LOCAL LEVELS: PHASES I &amp; II (2008-2011; USD)

YEAR	GLOBAL	REGIONAL	NATIONAL/LOCAL	STAFF/ADMIN.	TOTAL					
2008	184,307	35.1%	7,296	1.4%	216,600	41.2%	117,005	22.3%	525,208	100.0%
2009	790,759	37.8%	-	0.0%	900,826	43.1%	399,907	19.1%	2,091,492	100.0%
2010	323,625	24.3%	45,722	3.4%	453,812	34.1%	508,592	38.2%	1,331,751	100.0%
2011	182,179	13.9%	22,387	1.7%	610,783	46.7%	493,698	37.7%	1,309,047	100.0%
Total	1,480,870	28.2%	75,405	1.4%	2,182,021	41.5%	1,519,202	28.9%	5,257,498	100.0%

Note: Norwegian funding only.

Source: UN-Habitat/CCCI.

- (i) personnel (including staff and consultant costs and related backstopping missions), 29 per cent;
- (ii) subcontracts and partnerships, 40 per cent;
- (iii) training, 25 per cent; and
- (iv) dissemination, 6 per cent.

The table indicates that delivery rates were satisfactory. Unspent balances for CCCI Phase II (Norway) and Cities and Climate Change (Cities Alliance), for which delivery was delayed, were carried over into the next phase (see notes to Table). For details, see the explanatory notes to the table. There have not been any budget modifications, in terms of total amounts specified in donor agreements.

Table 3.4 breaks down expenditures into global, regional and national/local levels. The table shows that expenditures at the global level are gradually

decreasing. The table further suggests that regional offices take a relatively low share of the budget. While it should be recognized that regional tasks have been performed by headquarters, the table indicates that the central role that regional offices are increasingly playing (see Section 3.2.2) is not yet reflected in the expenditures.

### Mobilization of additional resources

In addition to the funds through CCCI global operations, UN-Habitat's HQ, Regional and Country Offices and local counterparts have mobilised substantial additional funds to enable to extend their activities in the focus cities and to expand to other cities (see Tables 3.5 and 3.6). Where the Phase I pilot activities were generously funded through the Norway contribution, in Phase II and III (and particularly in Asia) the Norwegian funds were mainly reserved for expanding and deepening the normative work, leaving much smaller budgets for the rapidly growing number of new partner cities.

TABLE 3.5: CCCI: RESOURCES MOBILIZED AT GLOBAL LEVEL (2008-2015; USD)/a

Year	Norway	Sweden	UN Development Account/b	Cities Alliance/c	UN-Habitat MTSIP	UNEP	European Commission/d	TOTAL
2008 expenditures	525,209	0	0	0	0	0	0	525,209
2009 expenditures	2,091,491	0	166,871	0	0	0	0	2,258,362
2010 expenditures	1,329,929	0	191,972	39,922	32,663	0	0	1,594,486
2011 expenditures	1,310,874	138,205	191,971	89,331	0	140,000	0	1,870,381
2012 budget	1,473,129	0	105,000	45,747	0	0	2,467,981	4,091,857
2013 budget	1,253,528	0	191,000	0	0	0	2,580,804	4,025,332
2014 budget	0	0	191,000	0	0	0	2,519,922	2,710,922
2015 budget	0	0	0	0	0	0	824,969	824,969
<b>TOTAL</b>	<b>7,984,160</b>	<b>138,205</b>	<b>1,037,814</b>	<b>175,000</b>	<b>32,663</b>	<b>140,000</b>	<b>8,393,676</b>	<b>17,901,518</b>

Source: UN-Habitat.

Notes:

a/ Excludes overheads. Co-funding for global activities, including cash and in-kind (pro bono) contributions from Arcadis, is not shown.

b/ Includes three projects with overlapping timelines, funded separately: "Building capacities of local governments in Africa to cope with climate change" (2009-2011, USD 450,814); "Capacity development to increase Asian and Pacific cities' resilience to climate change" (Sept 2010 - Dec 2012, USD 205,000); and "Capacity development to increase Asian and Pacific cities' resilience to climate change" (Dec 2012 - Dec 2014, USD 382,000). Annual breakdown is approximate.

c/ UNEP/World Bank/UN-Habitat Joint Work Programme on Cities and Climate Change; UN-Habitat's share. Additionally, Cities Alliance provided a USD 500,000 grant to UN-Habitat for activities in Indonesia, USD 100,000 of which is climate change-related.

d/ "Promoting Low-Emission Urban Development Strategies in Emerging Economy Countries".

TABLE 3.6: CCCI: RESOURCES MOBILIZED AND CO-FUNDING AT REGIONAL, NATIONAL AND LOCAL LEVELS (AUGUST 2008-JULY 2012; USD)

COUNTRY/CITY (BY REGION)	AMOUNT USD/a	TYPES OF ACTIVITIES / SOURCES
<b>Asia</b>		
Cambodia	230,000	National-level policy dialogue in various countries. UNDP-Cambodia National Climate Change Trust
Indonesia	100,000	Cities Alliance USD 500,000, of which 20 per cent will be Climate Change related
Korea	104,000	Regional training; good practice documentation. IUTC, provincial government
Philippines, Sorsogon	550,000	Various activities. Millennium Development Goal
	400,000	Fund ASUD (Spain) USD 1 million, of which 40 per cent will be Climate Change related
Philippines, 4 cities	377,000	Various activities. USAID, through World Food Programme
Solomon Islands, Honiara	60,000	Comprehensive vulnerability assessment and initial identification of adaptation options. UNDP Climate Change Fund
Sri Lanka, 8 additional cities	2,000,000	Various activities. AusAID
Sri Lanka, Batticaloa & Negombo	500,000	Action planning; resources went directly to partner. NIVA Nordic Climate Fund
Vietnam	100,000	National-level follow-up. One-UN Climate Change Fund
<b>Africa</b>		
Burkina Faso, Bobo-Dioulasso	25,860/b	Urban agriculture. Mobilized by City of Bobo-Dioulasso
Mozambique, Maputo	1,132,901/c	Various activities. City of Maputo, World Bank
Mozambique, Beira	100,000	Energy / biogas centre. BASF
Namibia, Association of Local Authorities	40,000	National-local policy dialogue. MET, NACOMA
Namibia, Walvis Bay	1,125,000/c	Various activities. City of Walvis Bay
Senegal, Saint Louis	2,000,000	Support Sustainable Shelter for Disaster-Prone Population. Japanese Government
<b>TOTAL</b>	<b>8,844,761</b>	

Source: CCCI.

Notes:

a/ Amounts for Asia are only cash contributions and exclude any contributions from cities and local partners. Amounts for Africa are cash contributions unless otherwise noted, and include contributions of cities and local partners.

b/ Contribution in euros converted to USD at current exchange rate (25 September 2012).

c/ Cash and in-kind contributions.

A mini-case study from Sri Lanka – a second generation CCCI country – shows how the CCCI consultation process and a national-local dialogue that included other stakeholders, including donors, can be instrumental for additional resource mobilization (see Box 3.1).

The MTE in-depth local assessments found that all three of the projects (Esmeraldas, Kampala and Negombo/Batticaloa), achieved expected outputs (in accordance with local priorities) within the given time frame and budget by adopting appropriate execution modalities in close support of the CCCI team. In all three cases, however, it was reported

that insufficient or no local resources have (yet) been mobilized for planned follow-up activities.

### 3.3.6 Efficiency: Conclusions, lessons learnt and recommendations

Notable overall progress towards achievement of targeted outcomes has been made, taking into consideration that Phase I was a pilot phase characterized as “learning by doing”.

A slower start in the initial phase was inherent in the practical implications of working through (four) city-based pilot projects. In particular, tangible results on

## BOX 3.1: CCCI RESOURCE MOBILIZATION EFFORTS IN SRI LANKA

CCCI is a ground breaking project in Sri Lanka: it is the first city level initiative in the country to respond to climate change and has created a strong demand for support in building climate resilience. The efforts of UN-Habitat and its partners have succeeded in mobilizing funds from various sources to initiate a wide range of city based climate change resilient programmes and activities covering a large number of cities in Sri Lanka. These are:

**Donor Funding** - Main Projects:

- (a) Climate Resilient Action Plans For Coastal Urban Areas, Sri Lanka, funded by NORDIC, launched in 2011;
- (b) Disaster Resilient City Development Strategies for Sri Lankan Cities funded by Australian Government (AusAid), launched in 2011. Apart from these projects, after the development of a National Climate Change Policy supported by CCCI, JICA, UNEP, NORAD and ADB provided

funds for the Ministry of Environment for various climate change resilient activities.

**Private Sector & NGO Funding:** ARCADIS and RUAF provided financial support for replicating the CCCI model in new cities, and World Vision launched a new project: City-based Climate Change Initiatives.

**Public and Local Government Funding:** Following the adaptation of the National Climate Change Policy, there is momentum for enhanced public funding for climate change resilient activities. At the same time Batticaloa and Negombo are mobilizing funds to implement climate change resilient action plans.

**Community, NGO/CBO Contributions:** In kind contributions by communities in Batticaloa and Negombo towards climate resilient activities are fairly high, and NGOs and CBOs are also implementing local level climate resilient activities.

the ground that could serve as input for the normative work (knowledge sharing, tool and methodology development) took more time to emerge than originally envisaged. As the project progressed, CCCI was increasingly able to draw comparative lessons on key technical topics from various cities. Learning from these experiences, in its second phase CCCI started disseminating, replicating and up-scaling its country- and city-level experiences amongst UN-Habitat's regional and global networks of partners.

Despite a relatively small budget, the Initiative has produced significant outputs and has begun to yield significant results. Through the pilot activities the project has: raised awareness amongst cities in developing countries that climate action can be initiated and implemented at local levels; produced and shared valuable tools and documentation; built capacity amongst local officials and stakeholders and within training institutes; and contributed to a greater understanding and cooperation amongst various segments of the international actors (e.g. professional organizations, research and teaching institutions, grass roots organizations, donors, development banks, etc.); engaged in climate change dialogue.

The project has been managed by a relatively small team consisting of a Project Management Unit assisted by a cross-sectorial Technical Support Team at UN-Habitat headquarters, and staff from regional and country offices. Staff are highly devoted and motivated, but evidently overstretched. Despite this, they performed remarkably well, in view of the attention that had to be given to guiding the experimental first phase, and the increasing workload due to the continuing expansion and widening of the scope and

complexity of the Initiative during its later phases.

In conclusion, overall performance of the project in terms of efficiency can be characterized as good, while steadily increasing over time.

**Recommendation 2: Given limitations in funding, the project should allocate available resources strategically i.e. in the most efficient and effective way. This implies firstly that core funds should be used to initiate activities, mobilize additional resources, support normative activities such as knowledge management, and ensure continuity. At the same time, the project should continue to mobilize co-funding from other sources, including (when appropriate) jointly with key partners, for purposes such as expanding activities to new regions and cities.**

The following lesson on project management can be drawn from the assessment.

With the CCCI establishing itself as an acknowledged multi-regional programme, the partners' survey indicated that there is a growing need for an appropriate governance structure – a CCCI Advisory Committee involving and incorporating CCCI partners – because the partners' continued support and cooperation is essential for the success and sustainability of the Initiative. In the context of the MTE, possible governance models were presented and discussed with CCCI partners at a meeting in Naples, Italy, on 7 September 2012. The following options for such an advisory body with different formal relationships to the CCCI were presented there and discussed:

- **Advisory Platform:** Assembly with flexible membership of experts and non-experts meeting periodically (actually or virtually) for discussion, consultation, etc.; that is, a forum in which to seek guidance for strategic decisions (i.e. open, interactive structure).
- **Advisory Committee:** Body of experts and non-experts elected or appointed to serve in an advisory capacity, with advice given on a wide range of topics, both strategic and tactical.
- **Advisory Panel:** Panel of experts whose members will be asked to give recommendations on various (governance) subjects based on their (expert) opinions, and so of more limited scope than a council.
- **Advisory Board:** Committee of experts and non-experts having supervisory powers (essentially a "Supervisory Board").

The main conclusions regarding this body from the discussion in the September 2012 CCCI partners' meeting are reflected in the wording of the following recommendation:

**Recommendation 3: Include as an output of Phase III the strengthening of CCCI's governance structure through establishing an advisory body that involves and incorporates CCCI's key partners. This advisory body should take the form of an Advisory Committee, i.e. a body of experts and non-experts elected or appointed to serve in an advisory capacity, with advice given on a wide range of topics, both strategic and tactical.**

It is recognized that the CCCI is heavily burdening all UN-Habitat staff directly working with it, in particular the PMU and TST, and regional and country offices. With the Initiative rapidly expanding, a plan is needed on how to best manage the increasing workload, in terms of both capacity and expertise. As this would also require achieving greater coherence between global, regional and country strategies, and fine-tuning targets and capacities, an overall CCCI strategy cum management plan is advisable to balance objectives, targets, roles and tasks, capacities and resources. This is further elaborated in Section 3.4.1, under the sub-heading Project Management. In view of the above workload and the influx of new cities, it might be more efficient to separate activities aimed at mainstreaming and working in-depth with selected cities; see Section 3.4.1, under the sub-heading Networks.

Communications with partners, and the sharing and dissemination of project-related information, is sub-optimal. This relates to the development of a

comprehensive communication strategy and a dissemination plan, as proposed as one of the management provisions in the initial (Phase I) Project Document. The challenge lies in opening up and/or improving the lines of communication with partners, other programmes and wider target audiences globally and regionally.

**Recommendation 4: Develop an overall CCCI strategy cum management plan that frames regional strategies and the CCCI partners' network, and incorporates a communication strategy and a dissemination plan. The plan is to bring and maintain overall coherence and transparency in direction, decision making, staff capacity, allocation of resources, and so on. This strategy and plan would also serve as a main instrument for the above Advisory Committee.**

### 3.4 EFFECTIVENESS AND IMPACTS

#### 3.4.1 Effectiveness

Effectiveness of the project is determined by the achievement of its objectives and envisaged results. Much of this assessment is drawn from interviews with stakeholders and documentation. The overall effectiveness of the Initiative and its key areas of intervention are discussed below.

#### Overall assessment of effectiveness

Over the past four years, the CCCI has established itself in the eyes of CCCI partners as a global leader and an invaluable partner on issues of climate change and cities, while bringing together a wide range of organizations working from all perspectives in the field of cities and climate action. Moreover, the rapidly increasing number of countries and cities joining the initiative that are planning for climate action is a good indicator that the Initiative is effective in progressively meeting its project and development objectives.

With Phase I as a start-up phase characterized as a strategic exercise based largely on "learning by doing", Phase II followed up on what was built during the first two years. The first phase of SUD-Net CCCI, with the four countries/cities piloting initiatives through local counterparts and networks, provided towns, cities, national governments as well as their stakeholders with pertinent information on climate change responses for human settlements.<sup>21</sup> Currently, at the time of the MTE, the pilot cities are at the stage of implementing their demonstration projects and action plans. Most of the cities that joined later are in the process of assessing vulnerabilities

<sup>21</sup> At the end of Phase I, five more cities in Africa had joined and 10 Asian cities were in that process, while selected Small Island Developing States were targeted to join.

## BOX 3.2: KEY POLICY ADVOCACY EVENTS UNDER CCCI (TO DATE)

DATES	NAME & LOCATION OF EVENT	KEY UN-HABITAT CONTRIBUTIONS
<b>9 - 11 December 2008</b>	14th Conference of the Parties (COP14) to the United Nations Framework Convention on Climate Change (UNFCCC) Poznan, Poland	<ul style="list-style-type: none"> <li>The UN-Habitat Executive Director participated in several high level events, including a chief executives board (CEB) meeting and a meeting with ministers</li> <li>UN-Habitat fielded speakers in United Nations side events on adaptation, disaster risk reduction, human displacement and capacity development, as well as in several events of the Local Government Climate Sessions</li> </ul>
<b>29 - 31 July 2009</b>	African Local Government Climate Roadmap Pre-Copenhagen Summit Tshwane, South Africa	<ul style="list-style-type: none"> <li>CCCI supported this ICLEI-led conference, whose aim was to build support for concrete action and present a unified voice from African local governments regarding the UN Climate Framework.</li> </ul>
<b>21 Nov 2010</b>	Mayors' Climate Congress Mexico City, Mexico	<ul style="list-style-type: none"> <li>The UN Secretary-General's message to mayors was read on his behalf by a UN-Habitat staff member</li> </ul>
<b>7 - 18 December 2009</b>	UNFCCC COP15 Stockholm, Sweden	<ul style="list-style-type: none"> <li>UN-Habitat made a presentation at the side event on "Cities, population dynamics and climate change"</li> <li>UN-Habitat supported African local authorities, and staff actively participated in the ICLEI Local Government Leaders' Lounge</li> </ul>
<b>29 Nov - 10 Dec 2010</b>	UNFCCC COP16 Cancún, Mexico	<ul style="list-style-type: none"> <li>CCCI organized a side event on "Cities and climate change: Enhancing mitigation &amp; adaptation action"</li> <li>CCCI launched the "Local Leadership for Climate Action" advocacy publication</li> </ul>
<b>28 Nov - 9 Dec 2011</b>	UNFCCC COP17 Durban, South Africa	<ul style="list-style-type: none"> <li>UN-Habitat fielded a keynote speaker in the ICLEI-led Local Government Convention that resulted in the adoption of the Durban Adaptation Charter</li> <li>CCCI funded several youths from African cities to travel to Durban on a "Youth Caravan"; youths presented a petition for climate justice (see photo below)</li> <li>UN-Habitat staff served as panellists in several events, including "Implementing the Cancún Adaptation Framework", "Climate Smart Cities" and "UN System Support to Adaptation"</li> <li>CCCI provided a judge for the World Green Building Council's first Government Leadership Award; the World GBC announced the winners in Durban</li> </ul>
<b>15 May 2012</b>	UNFCCC climate meetings Bonn, Germany	<ul style="list-style-type: none"> <li>UN-Habitat joined partners in launching the Global Protocol for Community-scale GHG Emissions</li> </ul>
<b>13 - 22 June 2012</b>	Rio+20 Rio de Janeiro, Brazil	<ul style="list-style-type: none"> <li>UN-Habitat, in cooperation with the UN Global Compact on Sustainable Cities, offered training on "Tools and Methodologies to Build Sustainable Cities", and launched its Urban Patterns for a Green Economy series</li> </ul>

and formulating strategies. Meanwhile, city-level activities have focused on both building resilience to climate change, and on helping cities to take stock of their GHG emissions and begin to formulate strategies for low-carbon growth.

Learning from its Phase I experiences, CCCI in its second phase started disseminating, replicating and up-scaling of these country and city experiences

amongst UN-Habitat's regional and global networks of partners. Country level advocacy activities are being supported to highlight the importance of the urban sector in national climate change response policies and guidelines, assisted by initiatives with Local Government Training Institutions and universities to mainstream climate response capacity-building into their support programmes and curriculums. At the same time, these experiences inform CCCI's global

advocacy and policy change activities, and progressively strengthen UN-Habitat's position as a global advocate on cities and climate change.

Consequently strategy, focus and effectiveness grew significantly over time. As noted above, CCCI expanded from its initial four activities and is currently active in more than 20 countries; it has started on-the-ground activities in over 40 cities, nearly all of them in Asia-Pacific and Africa.

Regional strategies have been developed for Asia and the Pacific and Africa to guide and focus further expansion. Internal reviews indicate that the present regional strategies for the two regions had been of limited use at best in helping to mobilize additional resources for rolling out activities. Hence, an in-depth review of the strategies and a fine-tuning of strategies and actual actions (and their implications in terms of resources, etc.) would be needed to optimize dialogue about the Initiative with both countries/cities and funding agencies. This is, in part, because many

donors plan/budget/operationalize their activities at the country level much more than the regional level.

The Initiative has been instrumental to bring an urban focus to the international climate change agenda. Achievements at global level include contributions to key policy advocacy events (see Box 3.2), as well as to tools and knowledge management products, expanding capacity development approaches in partnership with other international organizations (see Box 3.3). Also, strategies are being developed to reach out to target audiences by establishing direct links as well as working through intermediary organizations and tapping existing networks, for example to improve the use of tools.

Internally, the establishment of the Climate Change Planning Unit in UN-Habitat's Urban Planning and Design Branch created a formal recognition of and institutional home for the Initiative. Although internal mainstreaming and cooperation is well underway in the field of disaster risk reduction, collaboration needs continued attention, and clearly more efforts are needed in other areas, such as global water operations, energy and slum upgrading, and on cross-cutting issues (decentralization, gender, youth).

The local-level assessments proved the high effectiveness of the evaluated projects at the local level, which have all been appropriated by the municipalities, including institutionalization measures, while the effectiveness of national-local dialogue varied.



Presentation of youth petition for climate justice to the COP-17 Secretariat and dignitaries in Durban © ACT Alliance/Sonali Fernando

### Networks

The Initiative has been effective in networking and global partnerships have been established and

#### BOX 3.3: LIST OF MAIN CAPACITY BUILDING AND ADVOCACY TOOLS DEVELOPED UNDER CCCI (PHASES I & II)

Participatory Climate Change Vulnerability and Adaptation Assessment Toolkit	Making Carbon Markets Work for Your City	Local Leadership for Climate Change Action	Planning for Climate Change	Developing Local Climate Change Plans

To help build an institutional network, CCCI generally engaged with institutions, rather than independent consultants, in developing the tools shown © UN-Habitat



strengthened. A good example of how these partnerships can work is the Joint Work Programme (JWP) on cities and climate change (2009 - to date) with UNEP and the World Bank, with funding from Cities Alliance. In March 2010, the JWP launched a proposed global standard on city-level greenhouse gas emissions. This global standard went through several iterations, and has since attracted new partners (C40, ICLEI, World Resources Institute) and morphed into the Global Protocol for Community-scale Greenhouse Gas Emissions, jointly launched by partners at the UNFCCC talks in Bonn in May 2012 (see Box 3.4). As a good example of how operational work feeds into normative activities, the Negombo (Sri Lanka) GHG baseline study was instrumental in arguing that smaller cities (<100,000 inhabitants) in

developing countries, along with local partners such as universities, were indeed capable of competently reporting on their GHG emissions.

Further, events have been regularly organized at national, regional and international levels, such as regional meetings and training workshops, which bring cities, other partner institutions and key stakeholders together. They are recognized by the participants as being very effective for exchanging experiences and information in this rapidly evolving field, and for establishing contacts for follow-up.



The cover of the greenhouse gas baseline study for city of Negombo, Sri Lanka – early evidence that smaller cities in developing countries can prepare such studies. Published in 2010 © UN-Habitat



Participants gathered in Changwon, China, for the 2010 Asia-Pacific CCI regional meeting © UN-Habitat

A noteworthy element in the Initiative’s Asia and Pacific strategy is the intention to develop a regional advocacy, capacity building and knowledge networking support platform aimed to enhance climate change resilience and reduce greenhouse gas emissions of 300 cities in the AP region by 2015. This is based on the Changwon Declaration agreed to during the 2010 CCCI Asia-Pacific Regional Partners Meeting held in that city.

However, despite the growing number of partnerships and their effectiveness, the partner survey indicated

**BOX 3.4: PARTNERS LAUNCH GLOBAL PROTOCOL FOR COMMUNITY-SCALE GREENHOUSE GAS EMISSIONS**

On 15 May 2012, partners, including UN-Habitat, launched a pilot version of the Global Protocol for Community-Scale Greenhouse Gas Emissions at a side event during the United Nations Framework Convention on Climate Change meetings in Bonn, Germany.

The protocol builds on the International Standard for City GHG Emissions that was developed under the Cities Alliance-funded Joint Work Programme of the World Bank, UNEP and UN-Habitat, and released in 2010. The protocol represents a step towards harmonizing emissions measurement and reporting processes for cities of all sizes. The goal is to establish a single minimum global standard for community-scale greenhouse gas (GHG) emissions measurement. A transparent, consistent and common approach is expected to provide cities with a much-needed tool to increase access to climate financing.



The road transport sector significantly contributes to urban GHG emissions in- Kampala, Uganda © UN-Habitat/Nicholas Kajoba.

As a part of global piloting of Version 1.0 of the protocol, coordinated by WRI, CCCI is piloting this new protocol in Kampala, Uganda, and plans to extend the testing to several cities in Asia.

this effectiveness could be further enhanced. At present, the Initiative involves partners in single or multiple project outputs by invitation. For example, the project engages with ICLEI in advocacy work as well as on the development of tools. Interaction with UNEP involves advocacy work, tool review, jointly developing deliverables via the above-mentioned JWP, and one pilot activity, in Fiji. However, not all partners' strengths are fully harnessed, e.g. universities. Partners would like to see a clearer structure of – and the concept behind – the CCCI partnerships, which should reach further than merely bilateral working relationships between UN-Habitat/CCCI and its partners, but should include improved communication on the Initiative's activities, plans and progress, and the possibility of interacting with other partners.

It appeared that partners find it difficult to access information through the internet. In this context, it should be mentioned that CCCI information on the internet is now spread over three websites. These are: the CCCI webpage (<http://www.unhabitat.org/ccci>), the Knowledge Centre on Cities and Climate Change – UNEP/UN-Habitat/WB initiative under the above-mentioned Joint Work Programme (<http://www.citiesandclimatechange.org/>), and the Urban Gateway website – a website for urban development professionals (<http://www.urbangateway.org/>). This issue raises the question whether the network could include a one-stop-shop, for knowledge management on cities and climate change, with one website that can easily be found using internet search engines.

The interviews also indicate the very limited role to date of the private sector in the Initiative (primarily one partnership only, with Arcadis).<sup>22</sup>, whereas this sector is very important for implementation on the ground.



The shelter team of ARCADIS and UN-Habitat working together with the Homeless People's Federation of the Philippines © Bert Smolders

<sup>22</sup> Another important engagement of CCCI with the private sector has been support of the private sector-led green building movement in Africa. In May 2010, UN-Habitat convened a conference in Nairobi with representatives of the building sector from 19 countries in Africa to learn more about green building practices and private sector-led Green Building Council. In the weeks following this conference, representatives of four African countries approached the World Green Building Council (GBC) to establish their own such councils. Also, note the follow-on engagement with the World GBC in 2011, indicated in Box 3.5.

They suggest therefore a more significant position in the Initiative for the private sector – particularly actors whose core business model naturally addresses climate change mitigation and/or adaptation in cities.

Another effectiveness issue is the quality and manageability of the network. CCCI is essentially an open project (although formal partnerships are based on individual cooperative agreements with UN-Habitat and are therefore under CCCI management). As the number of cities and other stakeholders willing to join increases, it raises the question of whether and how to accommodate them. An option is to separate activities aimed at mainstreaming from those aimed at working with selected cities on specific topics, for instance, tool development and thematic areas. Mainstreaming of proven approaches and tool application is evidently much less labour intensive than working with cities in developing or enhancing tools, methodologies, strategies, etc. Another mode of operation could be to work with selected “core” cities on innovation, research and development, while other cities that want to join CCCI and are expected to adopt CCCI methodology and experiences, could be accepted as “supporting cities”. Supporting cities can take advantage of being part of the CCCI partner network with attendant benefits, and would need only limited guidance and support.

## Policy Change

The urban dimension is progressively introduced into climate change agreements, policies, etc., and the climate change dimension into urban strategies, policies and so on. For example, three recent national climate change policies that, with UN-Habitat support, in one way or another address urban development and/or the role of local governments (see Box 3.5). For an example of local level impact, see Box 3.6.

A pivotal element of the CCCI process is promoting national-local policy dialogue. Such dialogue does not occur automatically. The Philippines is presented as an Initiative showcase on the applicability of the process model (not to mention of effective coordination within the ‘One UN’ framework; see Box 3.7), and Sri Lanka is following in its footsteps. On the other hand, to date CCCI has had difficulties, for example in Ecuador, in influencing the policy debate at the national level.<sup>23</sup> It also appears that in some countries (e.g., Mozambique) the local government sector does not systematically engage with national governments on policy reform, further complicating the task.

Incidentally, the international community is increasingly encouraging an integrated look at climate change, resilience and disaster risk reduction. The outcome

<sup>23</sup> However, in Phase III (2012-13), CCCI has budgeted resources to help the Government of Ecuador to reform its housing policy to better reflect principles of sustainability and energy efficiency.

## BOX 3.5: NATIONAL-LEVEL POLICY ACHIEVEMENTS

Countries increasingly address the urban aspects of climate change in their national policies:

- In January 2012, the **Government of Fiji** approved its National Climate Change Policy; among the sectors addressed is “urban development and housing”.
- In 2011, the **Government of Nepal** approved its Climate Change Policy, which calls for building the

capacity of local institutions and addresses vulnerable human settlements.

- In 2011, the **Government of Sri Lanka** approved its Climate Policy, which calls for “local development plans” to address climate change vulnerability.

UN-Habitat provided support to development of all three of these policies.

Source: UN-Habitat.

## BOX 3.6: CLIMATE CHANGE ADAPTATION AND MITIGATION STRATEGY FOR ESMERALDAS

In 2011, the Mayor of Esmeraldas, Ecuador, Ernesto Estupiñán, officially presented the Climate Change Adaptation and Mitigation Strategy to local citizens and officials. The Strategy is the result of an extended participatory engagement with the citizens of Esmeraldas that was supported by CCCI. This process identified the climate change-related hazards that can potentially affect the city, as well as the key areas for action for city planning and governance. The Strategy embraces two complementary objectives:

- to limit and reduce GHG emissions by building a green city, and
- to reduce social, economic and environmental vulnerability to climate change impacts.

The Strategy is an important input into Esmeraldas’s



Mayor of Esmeraldas, Ernesto Estupiñán, presenting new climate change strategy © Diario La Hora

new urban plan (Plan de Desarrollo y Ordenamiento Territorial), and in particular to its chapter on environmental resources. The City Council of Esmeraldas adopted the new urban plan on 28 November 2011.

## BOX 3.7: CCCI/PHILIPPINES SUPPORT TO COORDINATED UN SYSTEM ACTIVITIES, AND INTERNATIONAL STUDY TOURS

The UN System in the Philippines including UN-Habitat, is implementing a joint programme on “Strengthening the Philippines’ Institutional Capacity to Adapt to Climate Change”. At the same time, UN-Habitat is the main implementing partner for a component of the Millennium Development Goal (MDG) “F” Joint Project on Climate Change – the outcome focused on “Designing and Building with Nature: Showcasing a Climate Resilient Urban Coastal Settlement”. UN-Habitat’s Philippine country office therefore integrated the two initiatives into one project: “Strengthen Philippine City Capacities to Address Climate Change Impacts”. The project developed and tested knowledge, tools, methodologies and good practices locally and from UN-Habitat global initiatives. Demonstration projects are the venue for knowledge sharing at global, regional and national levels, as well as a way of ensuring that global good practices truly work in the local context. Sorsogon City was the pilot area for this initiative.



The delegation of Sihanoukville officials in Sorsogon ©UN-Habitat/Nay Sally. On 14-15 February 2012, Sorsogon City (in collaboration with UN-Habitat/Philippines) hosted 10 provincial officers of Sihanoukville, Cambodia, on a two-day study visit. The visit aimed at enhancing the Cambodians’ knowledge of governance and good practices on mainstreaming climate change and disaster risk reduction into plans for shelter, land use and development.

CCCI’s pilot activities in Sorsogon City have been recognized by local and international city governments as a pioneer for climate change resiliency efforts.

document from Rio+20 (June 2012) clearly calls for more coordinated and comprehensive strategies that integrate disaster risk reduction and climate change adaptation considerations. Earlier in 2012 the IPCC came out with a near-identical statement. That is, that the line is deliberately being blurred between climate change adaptation and disaster risk reduction. This implies that practitioners should not distinguish between current disasters that occur because of climate change and other disasters, and also that in its adaptation work CCCI should not confine itself only to possible future climate change induced disasters (see Box 3.8). (This is, of course, with the caveat that the Initiative's focus is on ex ante reduction of climate change-related risks, and not on post-disaster response.)

### Application of capacity building and knowledge management strategies

CCCI develops and applies capacity-building tools, and manages knowledge; UN-Habitat's Research and Capacity Development Branch (RCDB) takes the lead in the area of tool development. Tools to support climate change capacity building have been made publicly available (for list see Box 3.3; copies can be downloaded at [www.unhabitat.org/ccci](http://www.unhabitat.org/ccci)), and support the projects of participating cities. However, much is still to be done to further develop and validate the tools, and to convert additional experiences into tools. This concerns, for instance, the methodology, e.g. the use of vulnerability versus risk assessments, or comparison of the different management tools used by cities.

Significant progress has been made in knowledge management. An increasing amount of information is flowing in from the operational activities. However, the bottleneck is that there are not yet robust systems in place to streamline the processing of all that information and get it distributed.

The major characteristic of the CCCI process model is that it is an open and flexible model (in contrast to a model that rigidly follows the planning process). The progressively increasing number of cities participating in CCCI is resulting in a wide range of strategies. Strategies may focus, for example, on developing national-local dialogues, on addressing various key technical topics and thematic areas at the city level, and so on. This might have far-reaching implications for the Initiative's knowledge management in terms of support, its clearing house function and dissemination, as well as capacity building. (See also below: project management.)

The Initiative has been working closely with partner universities and institutes to integrate cities and climate change in their curricula and courses and organize workshops on this topic. For instance, the African Association of Planning Schools (AAPS) has drafted a curriculum on Climate Change and African Cities in

Planning Education, drawing on CCCI experiences, including the Sorsogon case study. The Association and UN-Habitat jointly created the Cities and Climate Change Academy (CCCA) initiative<sup>24</sup> in Africa. The vision of the CCCA is to provide universities with resources to better address climate change in urban planning education.<sup>25</sup> Also Training of Trainers (ToT) workshops have been organized aimed at Local Government Training Institutes, which have a key role to play in disseminating climate change-related information to local governments. In March 2010, for example, a ToT course aimed at local officials and practitioners was facilitated by the Philippines Local Government Academy (LGA) and other partners such as United Nations Economic and Social Commission for Asia and the Pacific (UN-ESCAP) and ICLEI.

### Mechanisms to help cities finance climate change actions

In Phase I, financing and micro-insurance mechanisms were envisaged as tool outputs. Although financing and insurance issues became progressively more important during the implementation of the pilot projects in the focus cities, specific mechanisms were not developed.

In Phase II the Initiative issued two initial Policy Notes, both on the topic of climate change finance for cities. Also in late 2011, HQ experimented with supporting CCCI cities and country-based UN-Habitat staff in developing project proposals in response to an open call for project concepts from the German Government's International Climate Initiative (ICI). This resulted in a number of submissions to the ICI, none of which met with success. Finally, in December 2011 UN-Habitat reapplied to the Global Environment Facility (GEF), a major source of climate finance, to become a project agency (decision pending).

While financing mechanisms were not an explicit output in the second phase, they were incorporated into the logical framework again in Phase III. In December 2011, UN-Habitat reapplied to the Global Environment Facility (GEF) to become a project agency, while in early 2012 the agency applied to the Adaptation Fund to become a multi-lateral implementing entity (both decisions pending). Furthermore, in Asia, CCCI plans to help several cities to develop climate change strategies and plans. It is expected that the Cities Development Initiative for Asia (CDIA, an independent, non-profit entity that provides financial services to cities) will develop at

<sup>24</sup> A term that encompasses activities that are jointly attributable to CCCI and the agency's Habitat Partner University initiative.

<sup>25</sup> Since late 2011 CCCA modules have been under development using CCCI training materials. In the future an on-line facility is planned, where specially designed lecture sessions would be uploaded for download by universities. The objective here would be to mainstream climate change into existing syllabi. Users should be able to provide comments, upload case studies, lectures, additional reading material. etc.

**BOX 3.8: CLIMATE CHANGE AND DISASTER MANAGEMENT IN SORSOGON CITY, THE PHILIPPINES: STRENGTHENING PLANNING ASPECTS OF DISASTER PREPAREDNESS**

The Philippines is highly vulnerable to the impacts of climate change. It has a coastline of 36,289 kilometres and 70 per cent of the cities/municipalities depend on this and marine ecosystems as a source of livelihood. Some 82 per cent of inhabitants are at risk from tropical cyclones, flooding and storm surges.

The City of Sorsogon was one of CCCI's initial pilot cities. As an initial step, CCCI supported an assessment of the population's vulnerability to climate change. The study used a participatory process to examine the city's exposure, sensitivity and adaptive capacity to climate change-related natural disasters.

The local authorities convened Technical Working Groups and ad-hoc multi-stakeholder committees to examine options and prioritize actions. These groups devised adaptation strategies for housing and basic



Effects of flooding in Salog East District, Sorsogon, the Philippines, in 2009 © UN-Habitat/Joselito Derit

services, livelihoods, climate-related disaster risk reduction, and environmental management.

Local decision makers refer to these strategies while programming development activities and formulating policies, including while revising the City's Disaster Risk Reduction Framework.



Participants in a training of trainers workshop held in March 2010 at the Local Government Academy Training Centre in Laguna, the Philippines © UN-Habitat

least a limited number of "bankable" projects via a strategic partnership with UN-Habitat that can be submitted to donors and financial institutions. Interviews and partner surveys indicated that financing should indeed be considered an essential element that should be incorporated in the project's activities. In particular, structural adaptation measures require substantial investments. In the secondary cities on which the Initiative is focusing, the scale of those interventions is usually relatively small compared with big cities, and therefore not attractive to the major funding institutions. In that context, a noteworthy suggestion was made in one of the interviews: to explore whether an area-wide approach to package interventions for a group of cities in one country would be a feasible alternative. In fact, such an approach at the sub-regional level should not be excluded.

### Crosscutting issues and thematic areas

Crosscutting issues that have been addressed in CCCI (beginning in Phase II) are gender, youth and



The covers of two CCCI Policy Notes, both on cities and climate finance. Policy Note 1 addresses Adaptation Finance, while Policy Note 2 examines Mitigation Finance (2011) © UN-Habitat

decentralization. To help ensure that climate change responses are gender-sensitive, a checklist was developed and tested in Kathmandu (Nepal) and Kampala (Uganda). However, to date only one in-depth activity or strategy addressing gender and climate change issues has been developed: under Phase II, CCCI provided input from a climate change perspective to the Gender Policy being developed for the city of Kampala. Regarding youth, activities so far include urban youth-based awareness campaigns, sponsorship of participants in the "Youth Caravan" that travelled to UNFCCC COP-17 in Durban, South Africa (see Box 3.2), and adaptation and mitigation training. It is recognized that strategies are needed, in particular to involve schools and academic institutions. Decentralization, which touches on issues such as devolution of powers and politics, relates in the context of climate change to the question of whether or not local authorities can deliver on adaptation and mitigation. Case studies are being conducted in Namibia and Sri Lanka.

As noted above, participating cities are beginning to diverge in terms of their strategies and thematic priorities. For example, Negombo (Sri Lanka) and other cities are developing (mangrove) ecosystem-based adaptation (see Box 3.10), Kampala (Uganda) is focusing on integrated flood risk management (see Box 3.9), Bobo Dioulasso (Burkina Faso) is addressing mitigation linked to urban agriculture, and Esmeraldas (Ecuador) is experimenting with green and climate-resilient building in the low-cost housing sector.

### Project management

As mentioned before, a shortage of staff is recognized as an important factor limiting the effectiveness of the project. The team is clearly highly devoted and motivated, but overstretched and therefore not as effective as could be. This concerns not only the project staff in the PMU, but also other UN-Habitat staff who have tasks outside of the project: most TST members work in other branches, regional offices and country offices. In this context, it is evident that the Initiative will greatly benefit from larger and

longer-term predictable funding because the challenge to climate change is long-term and requires sustained engagement to have a lasting impact on the poor.

### Visibility

Effectiveness also touches on the visibility of the project. The project has evidently manifested itself as a main player in the area of cities and climate change. UN-Habitat itself is a “brand” that, over time, has built trust with various stakeholders. However, the organization is small compared to the major development agencies in the United Nations family, and is less known, and urban planning in particular and the urban sector in general is not (yet) a major area of concern in the climate change debate.

### 3.4.2 Impacts on beneficiaries

#### Impact on target audiences

The primary target audiences are city governments and city residents. As no impact analyses have been

#### BOX 3.9: PRIMARY SCHOOL SUPPORTS INNOVATIVE APPROACH TO FLOOD RISK MANAGEMENT IN KAMPALA

Pupils at Outspan Primary School in Bwaise, a poor, flood-prone neighbourhood in Kampala, Uganda, are learning how to collect meteorological data by observing rainfall duration and its effects on flooding of their schoolyard. With the support of the school’s head teacher, this activity provides important lessons to the students on scientific data collection, and increases their understanding of how climate change will affect their lives.

This innovative learning approach is being tested as part of the data collection component of the CCCI-supported Kampala Integrated Flood Management project. With CCCI support, the Kampala Capital City Authority (KCCA) recently began to gauge that city’s flood risk; this assessment is a first step in helping KCCA to develop a strategy to manage the city’s urgent flooding problem. The project involves analytical and prescriptive work at two spatial levels: a citywide assessment of the risks of flooding, coupled with a more detailed risk assessment in a representative “hotspot” neighbourhood in that city where poverty and exposure to flooding collide.

The approach taken in the present study reflects a new conceptual paradigm: Integrated Flood Management (IFM). While little tested to date in cities in developing countries, IFM could be a useful approach to help KCCA address its flooding problem. Under this approach, both “hard” and “soft” solutions are embraced in a holistic and cross-sectorial manner.

The assessment is expected to feed into a citywide



Students of Outspan Primary School in Kampala, Uganda, learning how to collect rainfall data © UN-Habitat

strategy and action plan for IFM in Kampala. This plan will include both policy recommendations as well as other cost-effective steps that the city can take to better manage the risk of floods.

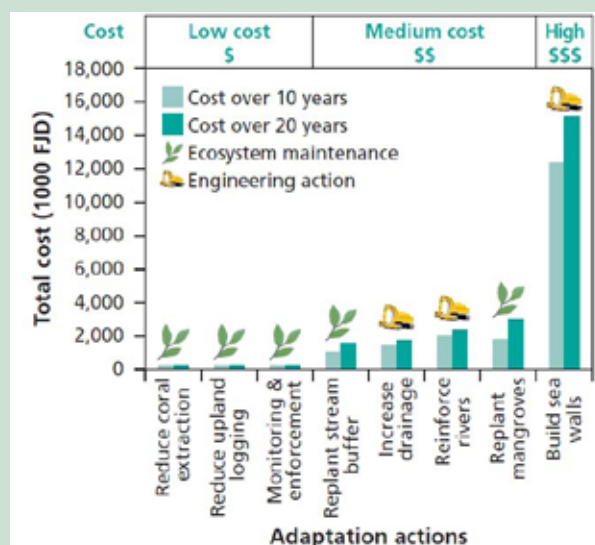
BOX 3.10: UN-HABITAT AND UNEP JOIN FORCES ON ECOSYSTEM-BASED ADAPTATION

Lami, a pilot CCCI city, is a coastal town of 20,000 inhabitants in the metropolitan area of Suva, the capital of Fiji. Of particular concern there are the average 6 mm rise in the sea level every year since 1993, an increased storm surge as well as coastal and river bank erosion. Mangrove forests help to reduce such impacts, but the increasing developmental pressures exerted on such natural resources in Lami is worrisome.

UNEP and UN-Habitat are working together to help the city to assess its vulnerability to the effects of climate change, and to gauge the net benefits from maintaining mangrove forests and other natural assets in comparison with conventional engineering solutions to flood risk.

Findings emerging from the study do provide support for ecosystems-based approaches. Ecosystem maintenance generally yields a higher benefit-to-cost ratio than do conventional (and generally more costly) engineering actions. In the end analysts recommend a balanced approach to reducing coastal vulnerability. Already such findings are beginning to inform discussions in Lami, as decision-makers weigh options to include in their adaptation plan.

The joint study grew out of a CCCI-supported, community-validated identification of the areas of the city that are most vulnerable to the effects of climate change. To raise public awareness the town has organized public meetings, school campaigns and festivals. Depending on the final adaptation plan that local decision-makers approve, UN-Habitat and UNEP plan to continue to support Lami in implementing its preferred adaptation measures.



Total cost of adaptation actions at identified sites throughout Lami Town. (Source: SPREP 2012: 12)



Coastal protection structures in Lami, Fiji © UN-Habitat

undertaken at the city level to measure increased knowledge under government officials, other professionals and residents, the observations below are based mainly on available documents, and the interviews and discussions (assessment workshops) undertaken by the MTE team.

City-level impacts

Direct impacts

The local level assessments suggest that the driving force for cities to participate in the programme is typically that they are (regularly) affected by natural disasters and are looking for ways to increase their resilience. The programme has enhanced the awareness of participating local authorities, both decision-makers and professionals, that climate change effects are not distant and abstract but can be translated into concrete and feasible actions identified during the course of the normal planning process. At the same time, it is important to develop and adopt innovative flexible planning approaches that consider changing

environmental conditions over time. The mayor of Sorsogon, for instance, was sceptical at first but later became one of the staunchest advocates of the Initiative.

Furthermore, the local projects built the capacity of urban planning related professionals in local governments, while additional capacity was also built, such as vocational training of contractors and skilled workers in the construction industry. Both the Sri Lanka and the Ecuador assessments found that dissemination of CCCI-related tools should be expanded at the community level. The Sri Lanka assessment found that, besides technical tools, the development of more social/people-orientated tools would be beneficial to the process (social marketing, community awareness). The local assessments also showed a need for specific strategies for CCCI upscaling from the project cities to all major urban areas.

In the focus cities, CCCI's participatory approach has led to wider awareness and a high sense of

ownership of CCCI activities amongst stakeholders and local residents down to the grassroots level. The local pilot initiatives all had a special focus on the urban poor and addressed sub-standard housing, infrastructure and services in climate related, disaster-prone, informal settlements and slum areas. However, it was also realised that under the Initiative more efforts are needed to find appropriate ways to include feasible climate impact reduction measures in slum upgrading on a larger scale.

The impact of CCCI on gender responsiveness and the inclusion of youth in decision-making processes is still limited. Though general lessons could be drawn from other experiences and applied here, more specifically efforts should be made to research whether gender and youth approaches should be different in the context of urban planning and climate change.

It is expected that the impacts of CCCI on local government officials and residents will increase over time. The first tools were developed during the pilot city-level experiences. However, with more cities joining CCCI the cyclic process of the Initiative, with its built-in capacity building/knowledge management and networking components, will ensure that existing tools will be further enhanced, more tools and approaches developed, disseminated and introduced, more experiences exchanged (locally and regionally) and more topics explored. The Sri Lanka case, with activities only launched in the beginning of 2010 but with methodologies and toolkits already being used in more than seven cities in that country, suggests that a "second generation" CCCI city can achieve "quick wins" more easily (i.e. faster and potentially also more cost-effectively) than in the initial pilot cities. The fact that most CCCI information is in English might be a constraint for exchange and dissemination (as was found to be the case in the Spanish-speaking country of Ecuador) that should be addressed.

### Indirect impacts

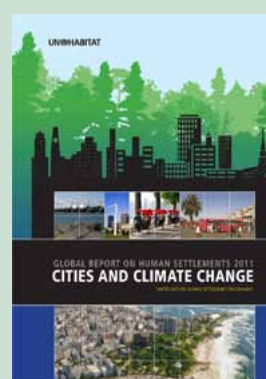
A key component of the CCCI is the national-local policy dialogue, which brings all major actors on climate change, including donors, together. The country/city assessments clearly indicate that this dialogue is vital to create and institutionalize wider and deepening support for climate change interventions at the city level.

### Impact on UN-Habitat and collaborating partners

As said, the establishment of the Climate Change Planning Unit in UN-Habitat's Urban Planning and Development Branch strengthened the institutional base for the Initiative. Through the deep and committed involvement of the members of the TST, the Initiative has demonstrated an impact on the other

### BOX 3.11: UN-HABITAT GLOBAL REPORT ON HUMAN SETTLEMENTS 2011 – CITIES AND CLIMATE CHANGE

UN-Habitat's 2011 Global Report on Human Settlements, titled "Cities and Climate Change", reviews the linkages between urbanization and climate change. It illustrates the significant contribution of urban areas to climate change, and at the same time highlights the potentially devastating effects of climate change on urban populations. It reviews policy responses, strategies and practices that are emerging in urban areas to mitigate and adapt to climate change, as well as their potential achievements and constraints. Staff involved with implementing CCCI contributed to this report. <http://www.unhabitat.org/pmss/> © UN-Habitat



branches; for example, support for the development and release of the Global Report on Human Settlements 2011, an agency flagship report which focused on cities and climate change (see Box 3.11). At the same time, additional efforts are needed to further integrate its results into other UN-Habitat activities and projects, and to make full use of sectorial entry points for the Initiative.

Evidence of an impact on collaborating partners is found in the fact that the institutions that participated in the MTE survey indicated that the cooperation was useful as a source of unique knowledge that otherwise would be hard to find, and that partners are seeking a closer interaction with the Initiative. Further, collaborating capacity building institutes (training institutes, universities) increasingly develop workshops, courses, curricula, etc., based on and/or incorporating experiences from CCCI.

Other examples of impact on partners are joint initiatives. A review of the Joint Work Programme (JWP) on cities and climate change that involves UN-Habitat, UNEP and the World Bank concluded that the JWP is a success in form and substance, and the three major organizations are able to work together in a coordinated and constructive fashion to address an important knowledge gap (see Box 3.4). This finding makes the JWP an important model for future partner collaborations. A "Team Award", conferred by the World Bank's Vice President for Sustainable Development, recognized the teamwork and results achieved under the JWP related to cities and climate change.



### 3.4.3 Effectiveness and impacts: Conclusions, lessons learnt and recommendations

Over the past four years, CCCI has established itself in the eyes of its partners as a global leader and an invaluable partner on issues of climate change and cities, while bringing together a wide range of organizations working from all perspectives in the field of cities and climate action. Moreover, at global, regional, national and local levels, CCCI has been instrumental in introducing the urban dimension into climate change agreements, policies, bylaws and related instruments.

The Initiative has proven to be very effective in mobilizing cities to undertake climate action,<sup>26</sup> as well as helping cities to formulate their climate change strategies and action plans and introduce the climate change dimension into urban strategies and policies. The programme has also been effective at enhancing the awareness of participating local authorities, both elected and appointed officials, that climate change effects are not distant and abstract but immediate, and that by the same token local authorities can take concrete and feasible actions within the normal planning practice to address those concerns. Such local activities build the capacity of urban planning-related professionals in local governments. In the focus cities, CCCI's participatory approach (which involves residents as well as professionals) has led to wider awareness and a high sense of ownership of CCCI activities amongst various stakeholders down to the grassroots level. However, it is also recognized that more focused attention is needed to understand the socio-economic impacts of the interventions on the local communities.

A key component of CCCI is national-local policy dialogue, which brings together all major actors on climate change, including donors. The MTE country/city level assessments clearly indicate that this dialogue is vital to create and institutionalize wider and deeper support for climate change interventions at the city level.

All in all, over the past few years CCCI has very effectively developed into a leading project, with strong guiding and advocacy functions at all levels, in the field of cities and climate change in developing countries.

The following main lessons can be drawn from the assessment, with associated recommendations.

Although the Initiative has established itself as a main player in the area of cities and climate change, the project is less known in circles not familiar with

UN-Habitat. Building on the solid foundation developed over the past few years, wider promotion of CCCI – e.g. events, a more prominent position in internet search engines, etc. – is expected to significantly enhance its visibility. This would also help the programme establish itself in regions where it is currently not well represented.

**Recommendation 5: To be a truly global programme with multi-regional coverage, strategic efforts should be made to establish a real presence in American/Caribbean and Middle East/Arab States regions as well.**

#### Lesson learned on CCCI networking

Since CCCI is internalizing the SUD-Net networking principles, more concerted and focused action – including appropriate management mechanisms and adequate technical support staff – is needed to assist the CCCI Project Management Unit in this task. Because of the need to manage the fast growing number of cities that want to join the CCCI network, alternative models for participation in the Initiative should be considered. One way to do this is to work with selected “core cities” on innovation, research and development; meanwhile, other cities that want to join the Initiative and benefit from its methodologies and experiences could be accepted as CCCI “supporting cities”.

Though acknowledged as a major player in on-the-ground implementation, the role of the private sector in the Initiative thus far has been limited. As private sector engagement does not happen automatically, a more pro-active approach is called for.

#### Lesson learned on knowledge management

With the growing role of CCCI as a knowledge management hub, it is necessary to improve access to – and better control the quality of – CCCI knowledge products. The Initiative could enhance its quality assurance function by serving as a clearing house and a one-stop-shop for knowledge management on cities and climate change – as an important element of the proposed CCCI network hub. The JWP envisaged such functions for their Knowledge Centre on Cities and Climate Change. When sharing “lessons learnt”, CCCI should not only showcase success stories, but also cases where interventions were not successful.

**Recommendation 6: Explore whether the cities and climate change thematic network hub (see Recommendation 1) could include a one-stop-shop for knowledge management on cities and climate change, and serve as a clearing house. The UNEP/UN-Habitat/WB Knowledge Centre on Cities and Climate Change seems to be a good host for that knowledge hub.**

<sup>26</sup> As noted above, to date (September 2012), 22 cities in 17 countries have received direct technical support from CCCI with Norwegian funding. An additional 21 cities are receiving support from CCCI via other sources of funding, making the total of 43 cities in 23 countries.

The Initiative's knowledge management activities put a heavy load on the project (and in particular on the RCDB when it comes to capacity building). Both from the perspective of effectiveness and efficiency (as described in Section 3.3.2), it is therefore essential to see how these activities can be streamlined. This includes regional offices, which are well positioned to play a supporting role in converting experiences into tools.

**Recommendation 7: Explore whether and how an increased supporting role by UN-Habitat's regional offices (in addition to the Regional Office for Asian and the Pacific, which is already very active), in close collaboration with the country offices, can contribute to enhanced CCCI results, including by helping to mobilize resources, develop more effective tools, manage knowledge, and so on.**

### Lesson learned on policy change

Cities' interest in participating in CCCI is mostly driven by their desire to reduce the risk of climate change-related natural disasters. At the same time there is a growing call globally for the policies of disaster risk reduction and climate change adaptation to converge. Responding to these circumstances calls for intensified collaboration on coordinated and comprehensive strategies that integrate disaster risk reduction and climate change adaptation considerations. Relevant parties include UN-Habitat's Risk Reduction and Rehabilitation Branch, the United Nations International Strategy for Disaster Reduction (UNISDR), and other relevant (UN) agencies and initiatives.

### Lesson learned on funding

Financing city-level climate change response represents a core challenge. Efforts to influence the sources of funding available for concrete mitigation and adaptation actions should be increased to provide cities with more direct access. As the Initiative is working with smaller cities that enjoy very limited access to main funding agencies, CCCI has a specific role to play in exploring collaborations with third party intermediaries and funding agencies to develop pipelines of bankable projects.

### Lesson learned on impacts on beneficiaries

As mentioned, global warming and its various impacts will put cities at risk by exacerbating existing environmental, social and economic problems, while bringing new challenges. A key task is to conduct planning activities to be responsive to and in support of society and its economic, environmental and social aspirations. The MTE assessments also indicate

that, besides technical tools, more social/people-orientated tools would be beneficial to the process. All in all, this leads to the need to better plan and monitor social and economic impacts on local communities.

**Recommendation 8: Explicitly plan for social and economic impacts of CCCI interventions on local communities during project design at the local level, and develop and implement appropriate monitoring and evaluation tools at both project and sub-project levels.**

## 3.5 SUSTAINABILITY

The Initiative began to address sustainability in its initial phase, and anchored this in its planned outcomes. Sustainability should be planned for in the following areas.

### 3.5.1 Networks

As explained, and underlined by its recommendations, the MTE supports building a CCCI network as a continued major outcome of the project. The success of this network will form a pivotal foundation for sustainability of the project's objectives. The evaluation also indicated that more concentrated effort would be needed to accomplish this.

### 3.5.2 Policy change

A second area where sustainability should be ensured is policy change toward the urban dimension and localizing climate change. As the CCCI process model clearly illustrates, national-local policy dialogues are essential. While global advocacy sets the scene, this dialogue is crucial to get things off the ground at the city level. The evaluation indicates that experiences vary widely, and that more focused attention is needed to find appropriate approaches that can help initiate and strengthen this dialogue.

### 3.5.3 Tools and knowledge management

Thirdly, rather than merely build the capacity of local stakeholders, one of the major outcomes involves strengthening of the institutions that build local capacity. The evaluation found that much progress has been made in this respect. It is expected that the Initiative will continue to work along these lines, as it continues to feed the participating institutions with experiences, lessons and tools. On the other hand, it should also share this knowledge with other capacity building organizations.

The project's mechanisms to develop and apply tools, building on experiences on the ground, have been

effective. The project would no longer be needed at the point that these tools are mainstreamed, and normal planning practice will take over further development and innovation.

As the Initiative is in the first place planning orientated (in direct relationship with urban management and urban government), tools should first and foremost address the development of innovative, more flexible planning approaches. This is because uncertainty on key parameters needs to be introduced and managed, and it may involve a longer time horizon than planning exercises typically consider. Levels of vulnerability and risk become more dynamic, as hazards are expected to evolve over time, and present a more definite threat to development prospects and to investment. This aspect has not yet been recognized as a core concern, but is an essential aspect of the sustainability of the outcomes of the Initiative.

#### 3.5.4 Sustainability: Conclusions, lessons learned and recommendations

The Initiative is well established, but needs to strengthen its mechanisms (partly in place, and partly to be created) to ensure sustainability. Thereto, the following should be pursued:

- Networking efforts have to be enhanced and focused on creating a sustainable network hub;
- National-local dialogue aiming at policy change toward the involvement of cities should focus on approaches that recognize different local conditions; and
- Mainstreaming of tools, and in particular more flexible planning approaches that involve uncertainty on key parameters due to climate change and disaster risks.

***Recommendation 9: Acknowledge the need for innovative, more flexible planning approaches that recognize uncertainty on key parameters due to climate change (and disaster) risks as a core concern and an essential aspect of the sustainability of the outcomes of the Initiative.***



## 4 CONCLUSIONS

In the four years since its inception, the Initiative has – with a relatively small budget – very effectively developed into a leading multi-regional project, with strong guiding and advocacy functions at all levels, in the field of cities and climate change in developing countries.

### 4.1 RELEVANCE OF CCCI

CCCI is a highly relevant initiative that is addressing the vital role cities have to play in climate change mitigation and adaptation (“cities contribute to climate change, cities are affected by climate change and cities can contribute to solutions”), and that helps to fill neglected gaps. The rapidly growing number of cities joining CCCI demonstrates that the Initiative is in demand by cities, especially for assistance in adapting to climate change, and is seen by them as timely. Also, the interest of UN-Habitat partner organizations in working with CCCI underscores the relevance of the Initiative.

The project design of CCCI, reflected in the project’s logical frameworks for the three project phases, is appropriate: it addresses the areas where UN-Habitat enjoys a comparative advantage.

### 4.2 EFFICIENCY OF CCCI INTERVENTIONS

Notable overall progress towards achievement of targeted outcomes has been made, taking into consideration that Phase I was a pilot phase that can be characterized as “learning by doing”. As the project progressed, CCCI was increasingly able to draw comparative lessons on key technical topics from various cities. Learning from these experiences, in its second phase CCCI started disseminating, replicating and up-scaling its country- and city-level experiences amongst UN-Habitat’s regional and global networks of partners.

Despite a relatively small budget, the Initiative has produced significant outputs and begun to yield significant results. Through the pilot activities the project has: raised awareness amongst cities in developing countries that climate action can be initiated and implemented at local levels, produced and shared valuable tools and documentation; built capacity amongst local officials and stakeholders and within training institute; and contributed to a greater understanding and cooperation amongst various segments of the international actors (e.g. professional

organizations, research and teaching institutions, grass roots organizations, donors, development banks, etc.) that are engaged in climate change dialogue.

The project has been managed by a relatively small team consisting of a Project Management Unit assisted by a cross-sectorial Technical Support Team at UN-Habitat headquarters, as well as staff from regional and country offices. Staff are highly devoted and motivated, but evidently overstretched. Despite this, they performed remarkably well.

In conclusion, overall performance of the project in terms of efficiency can be characterized as good, while steadily increasing over time.

### 4.3 EFFECTIVENESS AND IMPACTS OF CCCI

Over the past four years, CCCI has established itself in the eyes of its partners as a global leader and an invaluable partner on issues of climate change and cities, while bringing together a wide range of organizations working from all perspectives in the field of cities and climate action.

The Initiative has demonstrated that it is very effective in mobilizing cities to undertake climate action, as well as helping cities to formulate their climate change strategies and action plans and to introduce the climate change dimension into urban strategies and policies. At global, regional and local levels, CCCI has been instrumental in introducing the urban dimension into climate change agreements, policies, bylaws and related instruments. However, it is recognized that more focused attention is needed to understand the socio-economic impacts of the interventions on the local communities.

A key component of CCCI is national-local policy dialogue, which brings together all major actors on climate change, including donors. The MTE country/city level assessments clearly indicate that this dialogue is vital to create and institutionalize wider and deeper support for climate change interventions at the city level.

All in all, over the past few years CCCI has very effectively developed into a leading project, with strong guiding and advocacy functions at all levels, in the field of cities and climate change in developing countries.

#### 4.4 SUSTAINABILITY

The success of the CCCI network will provide a foundation for the sustainability of the project's objectives. The evaluation indicated that a more concentrated effort will be needed to accomplish this. One area where sustainability should be ensured is in influencing policy reform regarding the urban dimensions of climate change, and in helping to localize such policies. As project implementers recognize, national-local policy dialogues are essential. The evaluation indicates that experiences vary widely from one country to another, and that specific consideration is needed to find appropriate approaches that can help initiate and strengthen this dialogue. At the same time, the project's mechanisms to develop and apply

capacity-building tools, which build on city-level experiences, have been effective. The project would no longer be needed at the point that these tools are mainstreamed, and normal planning practices take over further refinement and innovation.

As the Initiative is in the first place planning orientated, tools should first and foremost support the development of innovative planning approaches. Such approaches need to be flexible, so as to take into consideration uncertainty on key parameters, and address a longer time horizon than such exercises typically do. This aspect has not yet been recognized as a core concern, but is an essential aspect of the sustainability of the outcomes of the Initiative.

# ANNEXES

## ANNEX I: TERMS OF REFERENCE FOR CCCI MID-TERM EVALUATION

### Mid-Term Evaluation<sup>27</sup> of the Cities and Climate Change Initiative (CCCI)

#### TERMS OF REFERENCE

24 October 2011

#### 1. Background

Climate change is now recognized as one of the key challenges of the twenty-first century. The future of hundreds of millions of people in urban areas across the world will be affected by the different impacts of climate change. Global warming and its various impacts will put cities at risk by exacerbating existing environmental, social and economic problems, while bringing new challenges. Among the most affected will be the world's urban poor. Meanwhile cities also emit greenhouse gases (GHGs), however, some are taking impressive steps towards curbing their emissions.

To address the effects of climate change upon cities in developing countries, in August 2008 UN-Habitat, with the generous support of the Government of Norway, launched its Cities and Climate Change Initiative (CCCI). CCCI is based within the Urban Environment and Planning Branch (UEPB) of UN-Habitat, and is coordinated via a cross-divisional Technical Support Team. CCCI started work in four cities: Maputo, Mozambique; Kampala, Uganda; Sorsogon ity, the Philippines; Esmeraldas, Ecuador. The two original objectives were as follows:

- (1) UN-Habitat's Sustainable Urban Development Network (SUD-Net), in partnership with key stakeholders, serves as a key network hub for sustainable urbanization.
- (2) The resilience of cities in developing countries to climate change is enhanced.

In the three-plus years since its inception, CCCI has expanded and evolved. Growth was spurred by a Resolution on Cities and Climate Change adopted at the twenty-second session of the UN-Habitat Governing Council, which called on governments to "widen the geographical scope of the initiative" and to "expand the range of capacity-development approaches", in order to "support local authorities in

addressing climate change". Operationally CCCI has expanded from its initial four cities: currently it is active in more than 20 cities. Initial experiences on the ground have helped to clarify CCCI's city-level process model. Meanwhile city-level activities have focused both on building resilience to climate change, as well as helping cities to take stock of their GHG emissions and begin to formulate strategies for low-carbon growth. Increasingly CCCI is able to draw comparative lessons on key technical topics from various cities.

Additionally the Initiative's normative role has deepened and evolved as it has developed global tools and otherwise undertaken activities within a rapidly changing policy landscape. CCCI now participates, for example, in the Intergovernmental Panel on Climate Change's (IPCC's) Expert Group on Human Settlements and Infrastructure. This engagement allows UN-Habitat to share insights on the experiences of small- and medium-sized cities in developing countries in addressing climate change. At the same time the Initiative is working to publish findings and data in academic journals to ensure that they can be reflected in the IPCC's forthcoming *Fifth Assessment Report*. At present CCCI also is beginning to develop short policy notes targeted at delegations to the annual Conference of Parties to the UN Framework Convention on Climate Change (UNFCCC).

To strengthen operational work and build support for normative proposals, UN-Habitat has forged alliances and undertaken joint activities with a series of key actors. For example in March 2010 UN-Habitat, the World Bank and UNEP jointly launched a proposed Global Standard on city-wide greenhouse gas emissions. And at present CCCI's on-the-ground collaboration with UNEP includes promoting an ecosystems-based approach to adaptation in the town of Lami, Fiji.

To carry out this broad range of activities, UN-Habitat has mobilized additional resources from various sources to support CCCI, for a total of about USD 7 million between 2008 and 2011. These supplemental resources include funds from the UN Development Account to support work in an additional five cities in Africa (beginning in 2009), and a grant from Cities Alliance to fund a Joint Work Programme between UNEP, the World Bank and UN-Habitat on cities and climate change (also beginning in 2009).

<sup>27</sup> The original document is titled Mid-Term Review, but it is changed here to Mid-Term Evaluation for consistency.

Implementation of CCCI has occurred within the context of UN-Habitat's Medium-Term Strategic Implementation Plan (MTSIP) for 2008-2013. While CCCI has been led by the Urban Environment and Planning Branch within the Global Division of UN-Habitat, other branches and divisions also have contributed to its implementation. An innovative cross-divisional Technical Support Team has helped to effect the coordination that this arrangement requires. Additionally in 2009 the Agency adopted its cross-cutting Climate Change Strategy, within which CCCI plays a pivotal role.

To date CCCI has carried out its activities under two programmatic phases, and currently is preparing its third phase, as follows:

Phase	Period
I	August 2008-December 2009
II	January 2010-December 2011
III ( <i>planned</i> )	January 2012-December 2013

Based on experiences under the initial Phase I logical framework, the CCCI team operated under a slightly modified framework for Phase II. Also in Phase II CCCI adopted a series of measures to strengthen its Results-Based Management (RBM).<sup>28</sup>

As CCCI stands poised to enter its third phase, a number of documents developed in recent months reflect current thinking and future directions, including the following:

A paper on "UN-Habitat and CCCI: Niches, Comparative Advantage and Proposed Next Steps" (May 2011) sought to clarify CCCI's areas of comparative advantage, and proposed building on those areas in Phase III.

The proposed logical framework for Phase III not only tries to tighten up the Initiative's Results Chain, with a clearer focus on normative outcomes, but also seeks to bring expected outcomes into closer alignment with the Agency's Medium-term Strategic and Institutional Plan (MTSIP).

Terms of Reference for Thematic Focal Points within the CCCI Technical Support Team clarify the responsibilities of those staff members (TOR for Country/City Focal Points are pending).

Regional roll-out strategies for CCCI in Asia and Africa, developed in recent months, seek to guide strategic expansion of activities in those two regions.

A forward-looking review of the above-mentioned Joint Work Programme, with an eye towards a possible "Phase II" grant proposal to Cities Alliance, is currently under way; an initial draft should be available to the CCCI review team in the near future.<sup>29</sup>

The planned mid-term evaluation thus comes at an opportune moment – to help UN-Habitat and CCCI consolidate achievements to date while planning for a systematic expansion of activities; to achieve maximum synergy between normative and operational activities; to engage ever more constructively with key actors on vital policy issues.

## 2. Objectives of the mid-term evaluation

The **overall objectives** of the mid-term evaluation are:

- To assess whether the implementation of the CCCI is on track, what problems or challenges have been encountered and what, if any, corrective actions are required.
- To guide CCCI to achieve sustainable results as it expands and deepens activities related to cities and climate change.

The evaluation of CCCI to date will address activities funded by the various sources noted above. The forward-looking findings will help to guide CCCI as it enters into its Phase III and even beyond. In addition to activities funded by current funding sources, the forward-looking findings will bear in mind any major new CCCI-related initiatives anticipated with funding beginning in 2012.

The more **specific objectives** of the evaluation include assessing CCCI's performance to date using the criteria of:

- *Relevance, efficiency, effectiveness and impact* – reviewing progress made and results achieved by CCCI to date, with reference to the Initiative's logical framework and bearing in mind available time and resources. This part of the evaluation also will cover managerial processes and assess coherence between the various sub-programmes of CCCI.
- *Organizational ownership and congruence* – assessing the extent to which programme achievements are likely to be internalized and sustained in the long term by partner organizations, as well as congruence and possible synergies of CCCI activities within UN-Habitat's overall objectives, plans and strategies.

<sup>28</sup> See "UN-Habitat CCCI: Improved Results-Based Management and Reporting", 24 May 2011.

<sup>29</sup> This mid-term evaluation of CCCI will seek to complement but not duplicate the ongoing review of the Joint Work Programme.



- *Complementarity and comparative advantage* – gauging the complementarity and added value of CCCI vis-à-vis other multilateral urban environment and planning programmes and initiatives, while considering additional opportunities in the policy environment.
- In consultation with the M&E Unit and UEPB, and in accordance with UN-Habitat rules and procedures, *select and appoint the national consultants*<sup>31</sup>. Once national consultants have been selected, the Team Leader will provide guidance and build capacity as to their individual Terms of Reference, so as to strengthen and harmonize the assessment methodologies that they will follow.

Based on this assessment and additional analysis, the mid-term evaluation will:

- Help to capture *lessons learnt* and *promising practices*, and
- Offer *conclusions and recommendations* regarding CCCI's strategy, logical framework, work plan and related items for Phase III and beyond. As part of this work the evaluation should provide insights regarding a series of *key questions*<sup>30</sup>

### 3. Evaluation team

The mid-term evaluation will be led by a senior international consultant who will serve as Team Leader. In consultation with UEPB and the Monitoring and Evaluation (M&E) Unit, and per United Nations rules and regulations, the Team Leader will select, appoint and supervise several (approximately 2-4) national consultants who (as described below) will undertake in-depth national/city-level reviews. To help ensure independence and the credibility of the exercise, neither the Team Leader nor the national consultants will have been associated with the operational or normative activities of the programme.

### 4. Work Plan

The following tasks are foreseen:

- *Carry out an initial desk review of CCCI materials*. Review key programme documents including logical frameworks (comprised of objectives, outcomes, outputs, activities and performance indicators) of the first and second phases of the CCCI, as well as the proposed framework for CCCI Phase III. Review various types of outputs and deliverables generated by CCCI, including global capacity building tools, assessments, policy notes, summaries of lessons learnt, issues of the CCCI Newsletter, items listed above including regional roll-out strategies and so on. Also review certain management tools including the CCCI process model, reporting templates, selected minutes from previous CCCI Technical Support Team retreats and meetings, and so on. Finally review relevant UN-Habitat-wide materials, including UN-Habitat's MTSIP and Climate Change Strategy.
- Conduct a preparatory mission to Nairobi. The Team Leader will meet with the Chief of the M&E Unit, to be briefed on the UN-Habitat evaluation process and requirements. The Team Leader also will hold a briefing with the Chief of the Urban Environment and Planning Branch and the coordinator of the CCCI Technical Support Team. As part of this mission the Team Leader will propose an updated and more detailed work plan for the entire assessment team, and deepen the proposed assessment methodology. Also at this time the list of countries and cities to be surveyed (both in-depth as well as desk-top) will be finalized. All such elements will be summarized in the Inception Report.
- During this same mission, the Team Leader will conduct initial interviews with key staff members including representative CCCI city and thematic focal points, and staff members involved with SUD-Net. The Team Leader also will meet with the monitoring focal point to review CCCI's computer-based monitoring system. The Team Leader also will facilitate an off-site workshop with selected UN-Habitat staff members. Part of this workshop will feature a strengths-weaknesses-opportunities-constraints (SWOC) scan of the internal and external environments. Finally he/she will also participate in one meeting of the CCCI Technical Support Team.
- *Carry out in-depth reviews in representative CCCI countries and cities*.<sup>32</sup> Under the overall supervision of the Team Leader, national consultants will facilitate half-day self-reviews in a workshop format by representative stakeholders and counterparts of the Initiative in selected CCCI cities.<sup>33</sup> Key question to address during this step include:
  - (i) model has been and likely will be followed in the target country;
  - (ii) adequacy of contact with and support of Nairobi-based CCCI Technical Support Team;

<sup>30</sup> See illustrative Table of Contents for the final report, and list of Key Questions, below.

<sup>31</sup> Terms of Reference to be agreed upon with UN-Habitat. Details to be finalized upon selection of Team Leader.

<sup>32</sup> The final number and selection of cities and countries selected to be surveyed as part of the review will be determined based on selection criteria prior to the start of the assignment.

<sup>33</sup> It is anticipated that the Team Leader will personally participate in at least one of the national/city-level reviews; he/she will supervise other national/city level reviews from a distance, without a mission to those countries.

- (iii) what has/has not worked in terms of national/local policy dialogue and further opportunities for national policy development;
- (iv) bottlenecks for national replication; and so on. Additionally the national consultants will observe any CCCI activities scheduled to be carried out during their periods of performance, undertake supplemental research, carry out interviews based on “key questions”, and undertake additional investigation as guided by the Team Leader.
- *Carry out supplemental desk reviews with telephone interviews and/or questionnaires of other representative CCCI countries and cities.* Given the geographic scope of CCCI, supplemental investigation will be required to develop a more comprehensive vision of CCCI activities and sub-programmes. Therefore supplemental desk reviews, along with a limited number of telephone interviews and/or questionnaires (to be carried out by the Team Leader and/or one or more of the national consultants), will be conducted for additional countries where CCCI is active.
- *Carry out additional (non-country-specific) research.* Additional research will include a scan of key global programmes and institutions that work in the area of cities and climate change (based on a summary matrix of such programmes provided by UN-Habitat), along with selected interviews.
- *Synthesize findings and prepare the **draft mid-term evaluation**.* The Team Leader will synthesize findings from illustrative CCCI countries and cities based on the in-depth and desktop reviews undertaken, along with insights gained from supplemental research. The review will include key findings, conclusions, lessons learnt and recommendations (note illustrative Table of Contents, below). Among other elements, as annexes the draft synthesis report will include names and titles of persons interviewed and a list of reference documents.
- *Prepare and present **draft-final mid-term review**; participate in workshop.* Based on feedback received on the draft synthesis report from UN-Habitat staff (M&E Unit, UEPB) and national consultants, the Team Leader will prepare the draft-final mid-term review. In addition to the review findings per se (see previous task), so as to be of interest to a broader audience the draft-final version will be expanded to include and highlight (e.g. in text boxes) some or all of the following elements:

- Key successes achieved by CCCI thus far
- Excerpts from CCCI reports
- Findings that underscore the importance of the topic of cities and climate change
- Photographs from events (selected in coordination with the CCCI Technical Support Team)
- Quotes from key counterparts regarding UN-Habitat and CCCI.

Beginning with the draft final version of the review, the review shall be edited by UN-Habitat staff using desk-top publishing techniques.

The Team Leader will present key findings from the draft final study (including via PowerPoint), and lead a discussion of implications for CCCI, in a one day workshop to be held either at UN-Habitat headquarters in Nairobi or at another location to be determined. Participants in the workshop may include donor representatives, representatives of the M&E Unit, members of the CCCI Technical Support team, other interested field-or headquarters-based staff members, and invited stakeholders and experts (to be determined).

*Prepare **final mid-term review**.* Based on feedback received on the draft-final report, the Team Leader will prepare the final report.

## 5. Expected Outputs

- Inception Report (draft and final)
- City- and national-level reviews of CCCI in selected countries (These city/country-level reviews will be drafted by national consultants. They will be reviewed and validated by the Team Leader, who will use them as input into the synthesized mid-term review.)
- Synthesized mid-term review (draft, draft final, and final)

## 6. Work Plan

TASK	NOV 2011	DEC	JAN 2012	FEB	MARCH
Initial desk review	xxxxxx				
Preparatory mission		xxxxx			
In-depth reviews			xxxxxxxxxx	xxx	
Supplemental desk reviews			xxxxxxxxxx		
Additional research			xxxxxxxxxx		
Draft review				x	
Draft final review with workshop					x
Final review					x

## 7. Selection Criteria

The international consultant / Team Leader will be selected based on the following criteria. The successful applicant will have:

- Experience in evaluation of development programmes/projects at international level
- More than 15 years of experience in urban issues and international development; experience in urban environmental and climate change issues is highly preferred
- Excellent written and oral communication and presentation skills in English are essential
- Experience in managing multinational teams engaged in international development activities
- Experience in more than one developing region
- Experience with international donors and/or United Nations agencies.

As noted above, to ensure independence the Team Leader will not have supported any of the operational or normative activities of the CCCI programme.

## 8. Level of Effort and Period of Performance

Team Leader: Two (2) months level of effort, spread over a 4 ½ month period of performance (14 November 2011-31 March 2012). During this period the Team Leader should anticipate: one initial one-week mission to Nairobi, a minimum of one mission to a country where CCCI is active, and one mission to Nairobi or another location to be determined to present the draft-final report and participate in a one-day workshop on CCCI.

National consultants: One and one-quarter (1 ¼) months level of effort each, spread over 4 month-long periods of performance (28 November 2011 -31 March 2012).

## 7. Remuneration & Payment Schedule

Remuneration of international consultant and national consultants will be based upon United Nations rules and regulations; rates will reflect experience. Additionally both the international consultant and national consultants will be compensated based upon levels of effort as indicated above. Travel-related and reproduction expenses to be remunerated or paid for separately by UN-Habitat.

TABLE I: ILLUSTRATIVE TABLE OF CONTENTS OF THE REPORT (TO BE FURTHER REFINED)<sup>34</sup>

KEY ELEMENT	CONTENTS
<b>UP-FRONT MATERIAL</b>	
Table of contents	
Acronyms and abbreviations	
<b>1. EXECUTIVE SUMMARY</b>	A synopsis of the report, to include project findings, lessons learned, conclusions and recommendations (4-6 pages).
<b>MID-TERM REVIEW</b>	
<b>2. INTRODUCTION</b>	
Background	<ul style="list-style-type: none"> <li>• Including funding agency/governments, executing agency/ies, cooperating agency/ies, project starting date, current phase of the project and scheduled completion of project</li> <li>• Budget of the project at the time of Review and the representation of the Review team</li> </ul>
The evaluated intervention (Description of the Project)	<ul style="list-style-type: none"> <li>• Empirical evidence of the problem/issue on the ground</li> <li>• Summary of project development objectives and immediate objectives of the intervention</li> <li>• Expected outputs/results</li> <li>• Whether the project is building on results of previous phases</li> <li>• Project linkage to national or sectoral objectives</li> <li>• Comment on overall assessment of project design, including findings, lessons learned and recommendations in this area</li> <li>• Extent to which both genders are involved in planning, implementing, monitoring and assessment of project</li> </ul>
<b>3. REVIEW METHODOLOGY</b>	
Methodology	<ul style="list-style-type: none"> <li>• Mandate, purpose and objectives of the evaluation</li> <li>• The general approach used, main data sources and instruments used, professional profile (and gender) of evaluation team</li> <li>• UN country office/government/partner support</li> <li>• Limitations associated with methodology and approach including possible delays</li> </ul>
<b>4. KEY FINDINGS</b>	
<b>4.1 PROJECT RELEVANCE</b>	
Project Relevance Issues	<ul style="list-style-type: none"> <li>• Rationale and context of the project at its inception</li> <li>• Changes in project context during implementation</li> <li>• Institutional and partner priorities (relevance of the project in as far as the UN-Habitat and collaborating partner(s) objectives are concerned)</li> <li>• Beneficiary concerns (overall assessment of project purpose and relevance in relation to beneficiary concerns and needs)</li> <li>• Comparative advantage of UN-Habitat and CCCI vis a vis other organizations and programmes</li> </ul>
<b>4.2 EFFICIENCY</b>	
Project Progress compared to plans	<ul style="list-style-type: none"> <li>• Assessing the reality of the project time frame</li> <li>• Determining whether or not project objectives were overly ambitious</li> <li>• Assessment of the execution modality adequacy</li> </ul>
Actual costs and resource utilization as compared to budgeted resources	<ul style="list-style-type: none"> <li>• Mention of project budget modifications and any financial delays</li> </ul>
Overall Resource Utilization	<ul style="list-style-type: none"> <li>• Overall performance of the project (cost-benefit analysis)</li> <li>• Are human and financial resources used to full advantage?</li> </ul>
<b>4.3 EFFECTIVENESS</b>	
Effectiveness Issues	<ul style="list-style-type: none"> <li>• Expected achievement of objectives during project design</li> <li>• Actual or expected achievement of objectives at time of Review</li> <li>• Factors and processes affecting achievement of objectives</li> </ul>

<sup>34</sup> For more information see "UN-Habitat's format for evaluation reports".

Table I: Illustrative Table of Contents of the Report (to be further refined) continued

KEY ELEMENT	CONTENTS
Achievement of results	<ul style="list-style-type: none"> <li>To what extent were outputs and results achieved?</li> <li>To what extent are immediate and developmental objectives of the intervention met?</li> </ul>
<b>4.4 IMPACT (EMERGING)</b>	
Impact of the Project	<ul style="list-style-type: none"> <li>Local priorities, needs and demands at the time of the evaluation</li> <li>impact (positive/negative, foreseen/unforeseen) on target groups</li> <li>Impact (positive/negative, foreseen/unforeseen) on women and men respectively</li> <li>Impact (positive/negative, foreseen/unforeseen) on UN-Habitat and collaborating partners</li> </ul>
<b>4.5 ORGANIZATIONAL OWNERSHIP AND CONGRUENCE</b>	
Local Ownership, Internalization and Potential for Sustainability within partner organizations	<ul style="list-style-type: none"> <li>Extent to which the overall achievement are likely to be sustained after project completion and after the external funding ceases</li> <li>Factors affecting or likely to affect sustainability of the project (political, economic, institutional, financial, technological, socio-cultural and environmental factors)</li> </ul>
Organizational congruence within UN-Habitat	<ul style="list-style-type: none"> <li>Congruence and possible synergies of CCCI activities within broader UN-Habitat's overall objectives, plans and strategies.</li> </ul>
<b>4.6 COMPLEMENTARITY AND COMPARATIVE ADVANTAGE</b>	
Complementarity, niche(s) and comparative advantage(s)	<ul style="list-style-type: none"> <li>Complementarity and added value of CCCI vis-à-vis other multilateral urban environment and planning programmes and initiatives</li> <li>Additional opportunities in the policy environment</li> <li>Refined definition of CCCI's niche area(s) of comparative advantage.</li> </ul>
<b>5. CONCLUSIONS, LESSONS AND RECOMMENDATIONS</b>	
Conclusions (past and present)	<ul style="list-style-type: none"> <li>Comment on project identification and design</li> <li>Summary on project relevance, performance and success (actual or potential)</li> <li>Summary on major problems previously and currently faced by the project that is contributing to its setback</li> </ul>
Lessons Learnt (normative and operational)	<ul style="list-style-type: none"> <li>What are the major lessons learned related to project design, implementation, monitoring and Review?</li> <li>List of all lessons learned from the evaluation that may be applied to other project phases, other projects and programmes</li> </ul>
Actionable Recommendations	<ul style="list-style-type: none"> <li>What needs to be done to improve overall project performance in the future?</li> </ul>
<b>ANNEXES</b>	
Annexes	<ul style="list-style-type: none"> <li>Annex A: Terms of Reference</li> <li>Annex B: List of Persons Consulted</li> <li>Annex C: Literature and Documentation</li> </ul>

## Key Questions to Answer

During the mid-term evaluation, in addition to other questions indicated above the review team will seek to answer the following key questions:

- Does the CCCI Technical Support Team have the necessary systems and procedures in place to adequately manage:
  - (i) the project,
  - (ii) knowledge arising from activities on the ground,
  - (iii) coordination and synergies between various projects and sub-projects under the CCCI umbrella?
- Is the Logical Framework for CCCI Phase III adequate?
- Is the current CCCI process model for on-the-ground activities adequate?
- Are our current systems for developing, using and disseminating CCCI-related tools adequate? What gaps have been identified where new tools should be developed during CCCI Phase III?
- Do we have coherent strategies in place for:
  - (i) supporting national-local dialogue and national policy development;
  - (ii) replicating CCCI in new cities;
  - (iii) expanding regionally, with optimal geographic and thematic levels of engagement?

## ANNEX II: LIST OF PERSONS INTERVIEWED AND QUESTIONNAIRE RESPONDENTS

### A) List of Key Persons consulted (face-to-face and telephone interviews, workshop discussions) by the Team Leader

- UN-Habitat HQ

#### *Staff of Urban Planning and Design Branch:*

- Raf Tuts, Coordinator, UPD Branch
- Robert Kehew, Leader, Climate Change Planning Unit
- Shova Kathry, Programme Management Officer
- Andrew Rudd
- John Mwaura

#### *Other members of CCCI Technical Support Team*

- Bernhard Barth, Research and Capacity Development Branch:
- Christophe Lalande, Leader Ag, Housing Unit, Housing and Slum Upgrading Branch
- Kibe Muigai

#### *Evaluation Unit*

- Martin Barugahare, Head, Evaluation Unit
- Susanne Bech, Evaluation Officer

#### *Others*

- Daniel Lewis, Leader, Urban Risk Reduction Unit, Risk Reduction and Rehabilitation Branch
- Youcef Ait-Chellouche, Deputy Regional Coordinator, UNISDR
- Danilo Antonio, Leader, Land and Global Land Tool Network Unit, Urban Land, Legislation and Governance Branch:
- Bert Diphorn, Coordinator, Urban Basic Services Branch
- Vincent N. Kitio, Leader, Urban Energy Unit, Urban Basic Services Branch

- UN-Habitat Regional Offices

- Chris Radford (Asia and Pacific)
- Mathias Spaliviero (Africa)

- UN-Habitat Country Offices

- Laid Mias (Philippines)

- Donors
  - Erik Berg, Senior Adviser, Norwegian Ministry of Foreign Affairs

- CCCI Partner organizations

- Bert Smolders, ARCADIS
- David Dodman, International Institute for Environment and Development
- Carrmen Vogt, Policy Advice for Urban Development, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

- Local stakeholders

- The Team Leader met with key stakeholders in Sorsogon, the Philippines, and Kigali, Rwanda.

### B) Persons consulted by the national consultants

People consulted by the national consultants are listed in the CCCI MTE Country/City Assessment Reports for Ecuador/Esmeraldas, Uganda/Kampala and Sri Lanka/Negombo, Batticaloa

### C) Organizations that responded to the partners survey

- ARCADIS
- Cities Alliance
- Council for Scientific and Industrial Research (CSIR)
- Durham University
- German Development Cooperation (GIZ)
- ICLEI - Local Governments for Sustainability
- International Institute for Environment and Development (IIED)
- Norway (Ministry of Foreign Affairs)
- United Nations Institute for Training and Research (UNITAR)
- University of London, Royal Holloway, Department of Geography
- Urban Climate Change Research Network (UCCRN)
- World Green Building Council (WGBC)

## ANNEX III: KEY DOCUMENTS REVIEWED

### I. UN-Habitat CITIES AND CLIMATE CHANGE INITIATIVE (CCCI)

#### A. GENERAL

##### CCCI General

"2010 UN-Habitat CCCI Asia Pacific regional partners meeting". Cities responding to climate change. Changwon, South Korea. 2010.

"City-level climate change assessments: A checklist for mainstreaming gender", 2011.

"Cities and Climate Change Initiative Discussion paper, No.1: Participatory Climate Change Assessments. A toolkit based on the Experience of Sorsogon City, Philippines". 2010.

"Cities and Climate Change Initiative: Initial Lessons from UN-Habitat".

"Cities and Climate Change Initiative Information Sheet". UN-Habitat, Nairobi, Kenya.

"Fact sheet on Cities and climate change".

"Pacific cities responding to climate change: vulnerability and adaptation assessment workshop". Vulnerability and adaptation assessment workshop. Suva, Fiji Islands, 2011.

"Planning for Climate Change: A strategic, values-based approach for urban planners". UN-Habitat, Nairobi, Kenya.

"Report on the results of the pilot testing of the checklist for mainstreaming gender into climate change and evaluation of the methodology". Cities and Climate Change Initiative. 2011.

"Summary report on process and achievements in the four pilot cities".

"UN-Habitat Cities and Climate Change Initiative: Niche, Comparative Advantage and Proposed Next Steps". 2010.

#### B. COUNTRIES WHERE IN-DEPTH EVALUATIONS WERE UNDERTAKEN

##### Ecuador

"Adaptation to climate change in Ecuador and the city of Esmeraldas: An assessment of challenges and opportunities". Draft report for review. 2009.

"Climate change assessment for Esmeraldas, Ecuador: A summary".

"Cities and climate change initiative" Esmeraldas city flyer. 2000.

"Climate Change impacts and adaptation in Ecuador". Workshop summary. 2009.

"Diagnóstico y Propuesta Técnica". Diseño y el Desarrollo del Sistema Informático Para la Gestión de Riesgos en la Ciudad de Esmeraldas. 2011.

"Mapas temáticos a escala 1:1000 de la ciudad de Esmeraldas y 1:10000 de las parroquias rurales de Tachina, San Mateo y Camarones". Programa ciudades en la iniciativa de Cambio Climático. Product No. 2.

"Mapas de vulnerabilidades de la ciudad de Esmeraldas a escala 1:1000 y 1:10000 de las parroquias rurales de Tachina, San Mateo y Camarones". Programa ciudades en la iniciativa de Cambio Climático. Product No. 4.

Propuesta del format de habitabilidad de Gobierno municipal que considere los nuevos criterios de vulnerabilidad a ser introducidos y descripción de Cada criterio para su future uso al interior de municipio. Programa ciudades en la iniciativa de Cambio climático. Programa ciudades en la iniciativa de Cambio climático. Producto No. 3.

"Summary of outcomes from the Niue Pacific Climate Change Roundtable Meeting, 14 to 17 March, 2011". Draft report of 25 March 2011.

##### Philippines

"Climate Change Assessment for Sorsogon, Philippines". A summary. 2008.

"Climate change vulnerability and adaptation assessment report". Sorsogon city, Philippines. 2010.

"Gender mainstreaming in the climate change response of Sorsogon city, the Philippines". 2009.

"National Scoping Study: Philippine Cities and Climate Change". Draft. 2010.

Philippines - "National Climate Change Legislation and National-Local Action". Resilient Cities 2011, 2nd World Congress on Cities and Adaptation to Climate Change. Bonn, Germany. 2011.

"Sorsogon city flyer".

"Sorsogon city climate change vulnerability and adaptation assessment". Validation with stakeholders. 2008.



## Rwanda

"Cities and climate change initiative" Kigali city flyer.

"Conference on Rwanda Local Government & Climate Change". November, 2009.

"Declaration on Climate Change by Rwandan Local Governments". 2009.

## Sri Lanka

"Climate change vulnerability assessment". Summary of the draft report on vulnerability to climate change in Sihanoukville municipality. 2011.

"Formulation of a city development strategy for Sri Lankan cities to response climate change". University of Moratuwa. Batticola and Negombo, Sri Lanka. 2011. (Parts 1 – 4)

"Report on workshop to finalize the national climate change policy for Sri Lanka". 2011.

"Cities and Climate Change Initiative" Sri Lanka city flyer.

## Uganda

"Assessment of cities and climate change in Kampala and Uganda". SUD-Net Cities and Climate Change Initiative (CCCI)". Final report. 2011.

"Policy paper on integrating climate change adaptation and mitigation into the Kampala City gender policy – Uganda". Gender cities and climate change initiative. 2011.

## II. OTHER UN-Habitat (NON-CCCI)

"African Local Government Declaration on Climate Change". Emerging from the African Local Government Climate Roadmap Summit for African Local Governments convened by ICLEI Africa, UCLG and other partners, 2009.

"Climate Change Strategy 2010-2013". UN-Habitat, Nairobi, Kenya.

"Guidebook for Water and Wastewater Utilities. UN-Habitat Project: Climate Change Vulnerability and Infrastructure Investment Assessment and Analysis for Small-Scale Water Utilities in the Lake Victoria Basin".

"Land, Environment and Climate Change". Challenges, responses and tools. 2010.

"Localising Agenda 21 Programme". Progress Report 2007.

"Localising Agenda 21 Programme". Progress Report 2008.

"Medium-term strategic and institutional plan for UN-Habitat for the period 2008-2013". Governing Council of the United Nations Human Settlements Programme. Twenty-first session, Nairobi, Kenya, 2007.

"Monitoring and Evaluation Guide". UN-Habitat, Nairobi, Kenya, 2003.

"Sustainable Land Use Planning for Integrated Land and Water Management for Disaster Preparedness and Vulnerability Reduction in the Lower Limpopo Basin". Global Environment Facility (GEF) Medium Size Project. Project Brief.2004.

"The State of African Cities 2010". Governance, Inequality and Urban Land Market. UN-Habitat and UNEP, Nairobi, Kenya. 2010.

## III. OTHER (NON UN-Habitat)

"How to Develop a Local Climate Action Plan". Methods and Assistance for Local Governments. USA. 2011.

"Making Carbon Finance Work for the Poor". The Gold Standard Perspective. Africa Carbon Forum, Nairobi, Kenya, 2010.

"Planning Sustainable Cities" Policy Directions. Global Report on Human Settlements. Earthscan, United Kingdom and United States of America, 2009.

"Urban Management Tools for Climate Change". Erasmus University, Rotterdam, Netherlands. 2012.

## ANNEX IV: LIST OF CCCI COUNTRIES AND CITIES (WITH YEAR JOINED THE INITIATIVE)

The following countries and cities are currently participating in CCCI (as of September 2012):

### Africa 2008

- Kampala, Uganda
- Maputo, Mozambique

### 2009

- Bobo Dioulasso, Burkina Faso (*Development Account*)
- Kigali, Rwanda (*Development Account*)
- Mombasa, Kenya (*Development Account*)
- Saint Louis, Senegal (*Development Account*)
- Walvis Bay, Namibia (*Development Account*)

### 2011

- Beira, Mozambique

### 2012

- Vilankulo, Mozambique

### Asia 2008

- Sorsogon, Philippines

### 2010

- Batticaloa, Sri Lanka
- Kathmandu, Nepal
- Negombo, Sri Lanka
- Pekalongan, Indonesia
- Ulaanbaatar, Mongolia

### 2011

- Banjarmasin, Indonesia (*Cities Alliance*)
- Hoi An, Vietnam
- Jiangyin, China (*city funded*)
- Sihanoukville, Cambodia

### 2012 (joining on or before 30 June 2012)

- Cauayan, Philippines (*SIDA, DILG*)
- Olongapo, Philippines (*SIDA, DILG*)
- Santiago, Philippines (*SIDA, DILG*)
- Tuguegarao, Philippines (*SIDA, DILG*)
- Kalmunai, Sri Lanka (*AusAID*)
- Ratnapura, Sri Lanka (*AusAID*)
- Balangoda Sri Lanka (*AusAID*)
- Kesbewa, Sri Lanka

### 2012 (joining on or after 1 July 2012)

- Cagayan de Oro, Philippines (*WFP*)
- Davao, Philippines (*WFP*)
- Iloilo, Philippines (*WFP*)
- Butuan, Philippines (*WFP*)
- Cainta, Philippines (*Development Account*)
- Pakse, Lao PDR
- Pakistan

### Latin America 2008

- Esmeraldas, Ecuador
- Pacific/Small Island Developing States

### 2010

- Apia, Samoa
- Lami, Fiji
- Port Moresby, Papua New Guinea
- Port Vila, Vanuatu
- 2012 (joining on or after 1 July 2012)
- Honiara, Solomon Islands
- Nadi, Fiji
- Lautoka, Fiji (*Development Account*)
- Sigatoka Fiji (*UNEP*)

**Note:** Funding source is Government of Norway, unless otherwise indicated. (Co-funding for cities receiving Norwegian funding not shown.)

## ANNEX V: DIVERGENCE OF CCCI AND SUD-Net

### Background

SUD-Net was conceptualized in UN-Habitat's Global Division as an innovative global network of partners committed to furthering the understanding of the principles of sustainable urbanization at global, regional, national and local levels, and working through targeted innovative and pro-poor strategies in order to contribute towards the achievement of local development goals and concerning governance and decentralization, capacity building and environment. This would be done by means of a virtual platform (interactive website) and deliberate networking of development agenda-setting organizations as well as local level and civil society participation.

SUD-Net was seen as a logical step following the termination around 2007 of the SCP/LA21 programme. The Sustainable Cities Programme (SCP), a joint UN-Habitat/UNEP facility, was established in the early 1990s to build capacities in urban environmental planning and management. SCP's sister programme Localizing Agenda 21 (LA21) aimed to help local authorities in secondary towns to achieve more sustainable development by implementing an environmental planning and management process to identify and address priority issues.

### Divergence of CCCI and SUD-Net

SUD-Net began undertaking (to a limited extent) non-CCCI activities during CCCI Phase I. This is congruent with the original CCCI ProDoc, which states that SUD-Net should become "fully functional within UN-Habitat through CCCI *and in other programmes of UN-Habitat*". For example, during the World Urban Forum 2010 in Rio de Janeiro, UN-Habitat held a SUD-Net global meeting that was completely distinct from the CCCI. This indicates that in reality the SUD-Net objective already had moved elsewhere, which explains that, in its Phase I, CCCI was no longer a component but was a project within the framework of SUD-Net.

With the recent reorganization of UN-Habitat, given the broad networking emphasis of SUD-Net, the SUD-Net Secretariat has moved to the Office of External Relations, where the 'Partners and Inter-Agency Branch', and the "Advocacy, Outreach and Communications Branch" are housed. Current plans<sup>35</sup> for reinvigorating SUD-Net show that it is indeed taking shape as an agency-wide networking hub, using the Urban Gateway as its virtual platform.

<sup>35</sup> SUD-Net Project Document: Promoting Integrated and Sustainable Urban Development through Networks (SUD-Net Project 2012-2015). August 2012.

**ANNEX VI: CCCI MID-TERM EVALUATION: QUESTIONNAIRE FOR CCCI PARTNERS**

Background information on CCCI and the CCCI Mid-Term Evaluation is attached to this questionnaire

**Note:** Answers to the following questions may be *elaborated in section C – Remarks*

**A. CURRENT COLLABORATION WITH CCCI**

Please rank the following characteristics of CCCI in terms of priorities for your partnership with CCCI  
Priority: 1 – High; 2 – Medium; 3 – Low

	CCCI CHARACTERISTICS	PRIORITY (1-3)
a	Specific attention for least developed countries	
b	Putting cities at the core: Introducing the urban dimension into CC agreements, strategies, policies, laws and regulations	
c	Focus on small to medium-sized fast growing cities	
d	Pro-poor strategies (and other vulnerable groups)	
e	Introducing more holistic and participatory approaches to urban planning, management and governance	
f	Development and application of tools, manuals, and knowledge management strategies	
g	Strengthening institutions that build the capacities of local officials and other urban stakeholders	
h	Knowledge sharing between capacity building institutions, CCCI partners	
i	Technical support directly to participating cities	
j	Promoting city-to-city exchanges (in developing countries, between developed and developing countries)	

- Which of the above characteristics (a-j) are presently main entry points for cooperation with CCCI?
- Is the present communication on knowledge sharing between CCCI and your institution satisfactory?
- Would the partnership benefit from more branding of UN-Habitat/CCCI?
- Is CCCI’s focus on urban planning in line with your priorities?
- Is CCCI’s focus on urban planning in line with your priorities?
- Should there be a higher degree of integration with the promotion of urban disaster management mechanisms?
- Should the role of CCCI partners be further defined?

**B. FUTURE COLLABORATION WITH CCCI**

- Should CCCI focus on urban planning (UP) be extended to urban management and/or urban governance (UG)?
- Should there be more focus on financing strategies /mechanisms for small and medium-sized cities?
- Should there be more engagement with local partners, i.e. technical support on the ground?
- Should CCCI partnerships be organized as a platform?
- Do you have suggestions for future collaboration? Please specify under C - Remarks

**C. REMARKS**

*Please use the below box for any comments and suggestions related to the above questions, improvement of the CCCI or any other observations that would be beneficial for the Mid-Term Evaluation.*

A. Suggestions related to above questions
B. Suggestions for further improvement of the CCCI
C. Other observations beneficial for the Mid-Term Evaluation

Would you like to be approached for a follow-up telephone interview?

Yes/No
--------

Name: .....

Organization: .....

Position: .....

Relationship to CCCI: .....

Please return the completed questionnaire to [ccci.evaluation@gmail.com](mailto:ccci.evaluation@gmail.com) by **March 30, 2012**

## ANNEX VII: MID-TERM EVALUATION OF THE CITIES AND CLIMATE CHANGE INITIATIVE (CCCI)

### Country Assessments – Executive Summaries

#### Mid-Term Evaluation of the Cities and Climate Change Initiative (CCCI): Esmeraldas (Ecuador)

##### EVALUATION REPORT – Synopsis Diego Carrión, National Consultant



### 1. INTRODUCTION

- a) CCCI project Esmeraldas/Ecuador started in January 2010 and concluded in November 2011, which has been recorded in the Mid-Term Evaluation (MTE) process (May-June 2012).
- b) CCCI Esmeraldas/Ecuador project aimed to:
  - i) strengthen local governance and institutional capacity in urban planning and city management relevant to CC adaptation;
  - ii) improve levels of coordination and planning between national government and its regional entities, the municipality, and civil society;
  - iii) develop understanding and awareness about mitigation and adaptation to CC;
  - iv) produce and update information on CC matters; and,
  - v) prepare a comprehensive strategy and action plan on CC issues for Esmeraldas canton.
- c) Diego Carrión, contracted by UN-Habitat as national consultant, prepared the MTE. The general approach used for the MTE was based on ToR guidelines and orientations provided by the

Team Leader. The main data sources used were: project reports and other documents, interviews with key actors (UN-Habitat, UNDP, municipal officers, national officers and other partners), opinions and suggestions of participants in self-assessment workshop.

### 2. RELEVANCE, EFFICIENCY, OWNERSHIP, SUSTAINABILITY AND ADVANTAGE

#### 2.1 Relevance

- i) Project conception and design were relevant to the situation of CC in Esmeraldas. It followed local priorities and needs. Stakeholders were consulted fully and agreed that CCCI project in Esmeraldas has been very relevant for the city's planning needs.
- ii) CCCI project in Esmeraldas was efficient and effective: it made full use of resources and expected outputs were achieved.
- iii) The municipality has appropriated the project. Institutionalization measures have been developed.
- iv) The project had relevant impacts on CC municipal institutionalization and public awareness about CC.
- v) Sustainability depends on political factors, stability of technical personnel, and availability of financial resources.
- vi) In terms of comparative advantage of UN-Habitat and CCCI vis-à-vis other organizations and programmes, it has been perceived that UNDP and other UN agencies are more visible and well known in the country (and in the city of Esmeraldas), while UN-Habitat is relatively less known. Some municipal officers and other partners identify CCCI as a "project".

#### 2.2 Efficiency and Effectiveness

##### a) Level of efficiency and effectiveness of the ECU-CCCI implementation process:

- i) Project work plan was well accomplished. There were no substantive delays.
- ii) Project funds were available in January 2010 and contracts started to run in March 2010. Consultants for project coordination and support were contracted according to United Nations

rules, and were available from March 2010 until April 2011. Consultancy studies and activities (Climate Change Assessment, Vulnerability Map, Cadastral Survey, Risk Management computer application, training events, workshops, etc.), and buying computer hardware were also done following United Nations rules and conducted observing the ToR, work plans and due dates.

- iii) Change in scope of the housing prototype's activity meant reconsidering execution timing. The process of agreements and organization of the national contest with MIDUVI and CAE-P meant reprogramming this activity.
- iv) The project formal closing date was November 2011, with the release of the CC Adaptation and Mitigation Strategy of Esmeraldas. Total project duration was 21 months.
- v) Project objectives and outputs were mostly achieved. Issues related to national government involvement were postponed. (See Table 5 in MTE report).

## 2.3 Ownership and Sustainability

### a) What level of key stakeholder ownership established for CCCI process:

- i) Funding and executing agency: UN-Habitat.
- ii) Beneficiary of the project: Municipality of Esmeraldas.
- iii) Partners for the National Contest on Housing Prototypes: (Ministerio de Desarrollo Urbano y Vivienda/Ministry of Urban Development and Housing (MIDUVI) and Colegio de Arquitectos del Ecuador-Pichincha/Architects Association of Ecuador-Pichincha (CAE-P).
- iv) Partners for Climate Change Strategy for Esmeraldas: Catholic University-Esmeraldas Branch, Technical University Luis Vargas Torres, the Oceanographic Institute of the Navy, the Water Supply Company of Esmeraldas, the Metropolitan District of Quito, the Under-Secretary of Climate Change of the Ministry of the Environment, the National Secretariat for Risk Management, and the Technical Department of the Municipality of Esmeraldas, and civil society organizations of Esmeraldas.
- v) Partner for permaculture project: Foundation Antonio Nuñez Jiménez for Nature and Man (FANJ), Cuba.

### b) What would be the level of sustainability of CCC Initiatives introduced in Esmeraldas:

Since the project finished operations in Esmeraldas, some achievements keep on going and are expected to be sustained in the near future. Among them:

- i) The Development and Territorial Management Plan (PDOT), approved late 2011 by the Municipal Council;
- ii) The "habitability permit" implemented through the newly adapted cadastral system, by means of which building permits restrict authorization for vulnerable or risky areas; banks and other financial institutions ask for this permit in order to authorize mortgage loans for buying or building houses;
- iii) The creation of the Risk Management and Climate Change Unit (UGR-CC), which coordinates related institutional plans and actions;
- iv) The property tax system that is being updated in relation to the newly adapted cadastral system seems to be sustainable;
- v) The information system, set up by the project, is progressively increasing its database, including various service areas of the municipality, such as finance, cadastre, and land-use planning, among others;
- vi) The National Housing Prototypes Contest was developed in the framework of an agreement with MIDUVI and CAE-P. The adopted change of scope, to national level, is expected to have a wider impact than it would have at only local level (Esmeraldas). Winning designs will be researched and further developed in coordination with MIDUVI, to be implemented as pilot projects in different Ecuadorean regions. Sustainability of this project now depends on allocation of resources and applicability, to be decided by MIDUVI;
- vii) The permaculture project, as a pilot initiative, requires continued follow-up and expansion to have a real impact in the city. This depends mostly on additional resource allocation and involvement of the local government.

## 2.4 Complementary and Comparative Advantage of CCCI

### a) Are there any complementary and comparative advantages of CCCI?

The added value of the CCCI Esmeraldas project is mainly from a climate change perspective influencing:

- i) institutional arrangements;
- ii) urban planning and management; and
- iii) community awareness.

### 3. OUTCOMES, IMPACT, KEY ACHIEVEMENTS AND LESSONS LEARNED

#### 3.1 Outcomes

##### a) Were stated outcomes or outputs achieved?

Main outcomes at the local level were achieved.

##### b) What factors have contributed to achieving or not achieving intended outcomes?

Activities to influence national policies and strategies were cancelled due to, at the time, the ongoing creation of CC Under-Secretary and the National CC Council, and the elaboration of the CC National Strategy.

##### c) To what extents have UN-Habitat-CCCI outputs and assistance contributed to outcomes?

UN-Habitat Ecuador and UN-Habitat Nairobi provided constant assistance for the compliance of outcomes.

#### 3.2 Impact and Key Achievements

CCCI project design and implementation in Esmeraldas has made a very important contribution to the city's capacity to confront CC issues. If no project was carried out, the city would not have on hand:

- a) CC baseline information;
- b) CC adaptation strategy;
- c) public and institutional awareness of CC issues;
- d) installed information systems;
- e) early alert systems;
- f) municipal institutional arrangements for CC matters;
- g) housing design alternatives;
- h) CC related information inputs for the Urban Development Plan and cadastral update; and,
- i) a community oriented permaculture pilot project.

### 3.3 Lessons Learned

#### a) Project Preparation:

i) Lesson: A written specific ProDoc is required in order to implement CCCI project activities. Evidence: No specific ProDoc was drafted for CCCI Esmeraldas/Ecuador project. CCCI project for Esmeraldas/Ecuador was based upon SUD-Net guidelines.

ii) Lesson: Involvement of beneficiary in defining project contents and activities is a necessary condition for success. Evidence: Project design done with participation of municipal authorities and staff, in meetings and workshops with UN-Habitat personnel and consultants. Comment: In the case of Esmeraldas, it allowed the inclusion of local policies and priorities and was a firm starting point for the project.

iii) Lesson: Expeditious communication among United Nations offices and partners facilitates project development. Evidence: Some communication difficulties were reported between local UN-Habitat office and UN-Habitat Nairobi. Comment: At the beginning of the project process, communication improvement between Nairobi and Ecuador was required. Later on, it was solved;

iv) Lesson: Projects are dynamic operations that need adjusted implementation. Evidence: Some rigidity in administrative processes was reported. Comment: Need for flexibility in UN-Habitat resource allocation to complete processes.

#### b) Implementation:

i) Lesson: Availability of relevant information about CC risks and opportunities of the city. Evidence: CC Assessment, Vulnerability Map, and Cadastral Survey were contracted by the project. Comment: Studies were inputs for the: Development and Land-Use Plan of the city, CC Adaptation and Mitigation Strategy for the city of Esmeraldas, cadastral update, access to information via the web, and CC and environmental municipal management procedures;

ii) Lesson: Municipal institutionalization of CC perspective in planning and in urban management. Evidence: Training and workshop activities were carried out by the project, in which municipal authorities and staff participated. Comment: Involving permanent institutional staff for project activities in the municipality was key to solving problems and to increase their awareness on CC matters;



- iii) Lesson: Participatory processes contribute to rooting CC issues and increase of social awareness of need for a CC agenda. Evidence: Workshops and consultations done by the project. CC strategy for Esmeraldas was widely discussed. Comment: Workshops, consultations and actions increased the social perception of the need for a CC agenda for the city;
- iv) Lesson: Adopting a CC strategy, with specific objectives and lines of action, allows planning. Evidence: CC strategy for Esmeraldas was approved, published and disseminated. It has become a guide for planning, and for the participation of different actors in their own competencies. Comment: Because:
- i) It addresses specific vulnerabilities of the city;
  - ii) proposes corrective measures to reduce risk for existing populations or property in high risk areas; and,
  - iii) proposes preventive measures to minimize the expansion of the high-risk footprint. The CC strategy is a unique experience for a medium-size city in the country;
- v) Lesson: Project success depends on political will and commitment of authorities. Evidence: There have been efforts and actions pointed out in studies and in the CC strategy for Esmeraldas. Comment: Project achievements in the city rely on the political will and awareness by the municipality about the importance of dealing with CC issues;
- vi) Lesson: Appropriate housing designs selected by national public contest amplify impacts. Evidence: A National Contest on Housing Prototypes was launched under an agreement with MIDUVI and CAE-P. Comment: The National Housing Prototypes Contest produced alternative housing designs for different regions of the country. It was an interesting option to expand the activity to national level.
- c) Monitoring:**
- i) Lesson: There is a need for a systematic monitoring in order to keep track of project's achievements. Evidence: Since the project ended, there have been contacts by the UN-Habitat office in Quito with the Municipality of Esmeraldas. Comment: UN-Habitat office in Quito has been in contact with the Mayor of Esmeraldas and some of the involved officers since the project ended.
- d) Mid-Term Evaluation:**
- i) Lesson: UN-Habitat office in Quito thoroughly involved in the project process was able to provide enough information and contacts. Evidence: UN-Habitat staff in Ecuador arranged interviews and workshop organization and provided administrative assistance. Comment: Their support facilitated this assessment;
  - ii) Lesson: Satisfaction of counterparts and other actors. Evidence: Local counterparts and participants in the project's process are satisfied with its approach and achievements. Comment: Municipal officers, stakeholders and consultants were cooperative and helped to assess the project experience.
- ## 4 CONCLUSIONS AND RECOMMENDATIONS
- ### 4.1 Conclusions
- As a result of this evaluation, some concluding remarks might be useful to be considered for further CCCI activities:
- a) Project identification and design:**
- For a specific case, project identification and design should produce a written project document for implementation, monitoring and evaluation. In such documents, measurable goals with their accomplishment indicators should be explicit.
- b) Project relevance, performance, and success:**
- i) Strategic planning of CC issues at the city level is crucial for attaining sustained impacts, with wide implication of different actors:
  - ii) Strong attention for long-term success regarding CC issues has to be given to work with children and youth in formal education processes. It is also very effective to increase CC awareness and implementation of activities with women at household and community levels, because of their influence in daily life;
  - iii) Matters related to national and local institutional competencies about CC and environmental questions require precise definitions, in order to assure effectiveness, non-overlapping, and accountability.
- c) Major problems that projects face for sustainability: Problems for sustainability mostly lie in:**
- i) institutional weakness;
  - ii) instability with regard to qualified personnel;

- iii) local and national coordination;
- iv) national and local political environment; and,
- v) funding.

## 4.2 Recommendations

### a) Project preparation:

- i) It is worth starting the project design by considering the specific problems and needs of a city and then, after a participatory process, move to strategic planning and identification of interventions. Comment: The experience of the CC Adaptation Strategy and Mitigation for Esmeraldas is an outstanding example;
- ii) It is necessary to conduct in-depth research on local issues and culture to understand well the area in which a project is to be implemented. Comment: Participatory research has proved to be useful. It is a basis for success;
- iii) Rely on research, experiences and best practices. Comment: Use of available knowledge is recommended.

### b) Project implementation:

- i) Implement urgent, easily identifiable actions to halt the accelerating CC process. Comment: Usually are obvious actions that can be part of an immediate action plan;
- ii) Procure tools and inputs conceived for planning, management, and action. Comment: Project results should be oriented towards its application;
- iii) Include action-oriented proposals directly associated with urban CC issues in local strategies. Comment: Consider institutional responsibilities, resource allocation and implementation times.

### c) Local/national repercussions:

- i) A multi-city programme might help to achieve better local/national policy impacts. A wider programme could mean more visibility on national institutions than working in one city. Comment: Good examples in such direction are ART-UNDP (Articulating Territorial and Thematic Networks for Human Development) and UNDP-Risk programmes that are implemented in several Ecuadorean cities.

### d) Continuity and sustainability:

- i) Work with emphasis on education in relation to CC issues for enhancing sustained effects. Comment: A key condition for sustainability is community appropriation of CC issues in the early stages;
- ii) Continuity in monitoring the project's implementation. Comment: It is necessary to preview long-term monitoring mechanisms;
- iii) Necessary to anticipate resources for medium to long-term interventions. Comment: CC interventions require continuity for long periods;
- iv) Projects require the inclusion of longer time monitoring and supervision periods in order to assure its continuity and sustainability. Comment: This concern is due to:
  - recurrent qualified personnel instability in local government; and,
  - new issues and priorities arising after a while in local contexts.

### e) Monitoring performance:

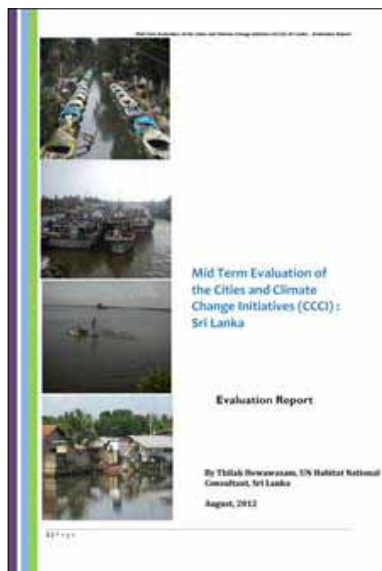
- i) Statistics series regarding CC should be continuously updated in order to monitor performance over certain periods. Comment: In some cases, there has been a lack of coordination and overlapping between United Nations agencies and projects.

### f) Networking/Exchanges:

- i) Improvement of city-city exchanges. Comment: Take into account uniqueness of individual cases and language problems.

## Mid-Term Evaluation of the Cities and Climate Change Initiative (CCCI): Negombo and Batticaloa (Sri Lanka)

EVALUATION REPORT – Synopsis  
Thilak Hewawasam, *National Consultant*



### 1. INTRODUCTION

UN-Habitat has long-term experience in Sri Lanka in the field of city development and urban climate change, by implementing a series of innovative programmes including the Sustainable Cities Programme. Such programmes introduced innovative urban environmental management and participatory governance approaches, created a firm foundation to broaden urban governance to include pro-poor approaches and disseminated the lessons learned to more local authorities in Sri Lanka. Taking into consideration the successful initial experience gained through Sorsogon city (Philippines) in developing a city level process model and UN-Habitat's long standing experience in Sri Lanka in the arenas of city development and climate change, the CCCI programme was expanded to Sri Lanka in early 2010 focusing on two cities, Negombo and Batticaloa. After the successful completion of Phase I, implementation of Phase II commenced towards the end of 2011. The Sri Lanka CCCI project, implemented in Negombo and Batticaloa, was selected by UN-Habitat's head office for this CCCI Mid-Term Evaluation (MTE). The key findings of the MTE of Sri Lanka CCCI are given below.

### 2. RELEVANCE, EFFICIENCY, OWNERSHIP, SUSTAINABILITY AND ADVANTAGE

#### 2.1 Relevance

#### a) How relevant is the SLCCCI to the two cities selected and to the national context of Sri Lanka?

The UN-Habitat CCCI programme has helped the cities of Batticaloa and Negombo to develop Climate Change City Profiles, Strategies and Action Plans. This initiative has also assisted the Ministry of Environment to develop a National Climate Change Policy for Sri Lanka and emphasized the need for dialogue and a congruent approach at national and local levels, with a particular emphasis on vulnerability of the poor in climate change scenarios. Green House Gas (GHG) Assessments were also conducted and these helped shape the global standard for an Urban (GHG) Index. The relevance of the CCCI within the context of Sri Lanka is proved by its prevailing environment. Sri Lanka is an island nation, highly vulnerable to the impacts of climate change, requiring substantial attention particularly in climate adaptation. Seventy per cent of Sri Lanka's urban population and 80 per cent of its economic infrastructure networks are concentrated in coastal cities, which are highly vulnerable to climate change impacts such as sea-level rise, flooding, salinization of water resources, storm surges, cyclones and droughts. These impacts disproportionately affect the poorer urban communities, who are forced to live in the most vulnerable areas. Cities face one of the heaviest and onerous burdens from the impacts of climate change. Analysis of 40-year records of daily temperature data from Batticaloa has revealed a strong trend of temperature increase, ranging from 0.4-0.5°C in the last two decades compared with the previous two decades. In addition, analysis of rainfall data has revealed a strong trend that shows a monsoon rainfall increase (28 per cent in Batticaloa Municipal Council and 34 per cent in Negombo Municipal Council) and a corresponding increase in the occurrence of minor floods.

All stakeholders consulted fully agreed that the CCCI is very relevant, timely and a groundbreaking programme at the city level as well as at national level. The CCCI has filled the knowledge gap on CC at city level creating a new dimension for city-based policy makers to consider CC as an important element in planning. They are of the view that the rationale, context and approach of the CCCI from its inception are vital in view of the national and global scenario of climate change. It started with the selection of two cities that are vulnerable to climate change to work with grassroots level stakeholders and then took an initiative to work at national level to develop a policy framework for climate change. During the

second phase, it focuses attention at provincial level. At the same time during the initial phase, it focused attention on the identification of the problem and sources with the stakeholders and on creating their awareness and enhancement of their knowledge base on climate change. Thereafter, the development of city-based strategies and plans for climate change mitigation and adaptation was undertaken. Concurrently, the Sri Lanka CCCI's attention was focused on developing a climate change policy framework at national level. All beneficiaries consulted are of the view that the Sri Lanka CCCI is very relevant and timely.

## 2.2 Efficiency and Effectiveness

### a) Level of efficiency and effectiveness of the Sri Lanka CCCI implementation process:

The Initial Phase of the Sri Lanka CCCI was launched in early February 2010 with city level climate change initiatives in the cities of Negombo and Batticaloa, and the University of Moratuwa (UoM). Taking into consideration the deliverable timing of key outputs as compared to the work plan and date of agreement signed, it can be concluded that Phase I of the Sri Lanka CCCI project maintained a high level of efficiency and all parties agreed that the outputs were delivered on time. The same results are seen in Component 2 of Phase I of Sri Lanka CCCI – Climate Change Policy Formulation. The Climate Secretariat of the Ministry of Environment has also completed this very efficiently and effectively (please see details in the outcomes and impacts section). The high level of dedication, devotion and commitment of the UoM team and Climate Secretariat of the Ministry of Environment, as well as the facilitation, guidance and backstopping support from the UN-Habitat office and effective coordination and participation of Batticaloa Municipal Council (BMC), Negombo Municipal Council (NMC) and the community are the main factors in the successful achievement of the objectives. The participatory process adopted in the Sri Lanka CCCI is also a very important cause for the accomplishment of the desired objectives of the project.

## 2.3 Ownership and Sustainability

### a) What level of key stakeholder ownership established for the CCCI process?:

There are seven main groups of stakeholders for the Sri Lanka CCCI project:

- (i) UN-Habitat country and Fukuoka office,
- (ii) University of Moratuwa

- (iii) Climate Change Secretariat of the Ministry of Environment,
- (iv) Disaster Management Centre of the Ministry of Disaster Management;
- (v) Negombo Municipal Council (NMC) and community,
- (vi) Batticaloa MC and community,
- (vii) Provincial councils and local governmental agencies and
- (viii) NGOs and CBOs. The sense of ownership of the UN-Habitat country and Fukuoka office and the MoU has been continuously very high from the start of the project and this has resulted in a series of positive impacts, and generated a number of new climate change initiatives. The Climate Change Secretariat of the Ministry of Environment also took a high sense of ownership for the National Climate Change Policy for Sri Lanka. It was revealed during the stakeholder interview and focus group discussions that both MCs and the community possess high ownership of CCCI activities. Nonetheless, it seems that the level of ownership of the CCCI is much higher in the Batticaloa MC area than the Negombo MC area. The main reason for this is the transfer of most of the Negombo MC staff members who participated in Phase I of CCCI activities to other areas. The BMC mayor has been a champion of CC initiatives and the commissioner, the main government official of the Batticaloa MC, is a good collaborator. One of the drawbacks in NMC was the change of the mayor during the process.

### b) What would be the level of sustainability of the CCC Initiatives introduced in BMC and NMC?

The level of sustainability of the CCC Initiatives introduced in BMC and NMC is at a medium level. Up to now, strategies, methodologies and toolkits have been developed for data collection, identification of hotspots/vulnerable areas, guiding manuals for creating awareness, City Development Strategy, etc., but not for the implementation process and strategies. The development and adaptation of community-based participatory strategies are essential for ensuring the sustainability of the CCC Initiatives in the BMC and NMC areas. The activities of the Phase II of the CCCI, its implementation and mobilization would definitely enhance the level of sustainability of the CCC Initiative.

## 2.4 Complementary and Comparative Advantage of CCCI

### a) Are there any complementary and comparative advantages of CCCI?

There are a series of complementary and comparative advantages with the Sri Lanka CCCI. As a result of the National Climate Change Policy, a series of actions has been taken to incorporate climate change adaptation and mitigation to key sectors. The "Haritha Green Lanka" programme, developed and implemented by the Ministry of Environment to ensure sustainable development, has been influenced by the Climate Change Policy. A lot of the complementary and comparative advantages of the CCCI activities carried out in Negombo and Batticaloa are visualized. The MCs have taken steps to incorporate climate change into their day-to-day activities. The capacity of the MC staff in the area of climate change adaptation and mitigation has been enhanced. The MC officials, who obtained training from the CCCI, have incorporated climate change related activities into their day-to-day activities. The Ministry of Agriculture of the Western Provincial council has taken the initiative to develop climate change resilient agricultural programmes as well.

## 3. OUTCOMES, IMPACT, KEY ACHIEVEMENTS AND LESSONS LEARNED

### 3.1 Outcomes

#### a) Were stated outcomes or outputs achieved?

All expected outputs and outcomes have been achieved.

#### b) What progress towards the outcomes has been made?

Very satisfactory progress had been made in the Sri Lanka CCCI project achieving all expected outputs and outcomes in time. The successful outcomes and impacts of this project paved the way for the Sri Lanka CCCI Phase II project with the Norwegian Institute for Water Research (NIVA) obtaining funds from the Nordic Climate Facility (NCF)<sup>36</sup>

#### c) What factors have contributed to achieving or not achieving intended outcomes?

Several combined factors have contributed to achieving expected outcomes. Among them, the high competence, dedication, devotion and commitment of the UoM team and Climate Secretariat of the Ministry

of Environment, facilitation, guidance and backstopping support from the UN-Habitat office, effective coordination and participation of the BMC, the NMC and the respective communities are the main factors affecting achievement of the objectives. The participatory process adopted in the Sri Lanka CCCI is also a very important cause for the accomplishment of the desired objectives of the project.

#### d) To what extent have the UN-Habitat CCCI outputs and assistance contributed to outcomes?

UN-Habitat has provided specific assistance to the UoM for the implementation of Phase I of the Sri Lanka CCCI, such as:

- (i) introduced and shared "Cities in Climate Change" methodologies, experience and promising practices with the MoU, including the CCCI supported Sorsogon Vulnerability Assessment, ICLEI (and other) GHG audit methodologies, and the Philippines national scoping study;
- (ii) provided technical support in building key university staff understanding of the methodologies and support their application of the same during the project implementation;
- (iii) provided assistance to establish linkages to the UN-Habitat Global Urban Observatory network, the CCCI Asia network of cities and national partners (especially university anchors) and the Habitat University Partnership network, and supports the university applications for partnership in those programmes.

UN-Habitat has assisted the Climate Change Secretariat of the Ministry of Environment by sharing information on the international experience of developing climate change policies and providing technical support to the ministry staff to understand the methodologies and formulation of the national climate change policy. The UN-Habitat contribution through the CCCI has assisted in bringing human settlement as an important sector within the National Climate Change Policy (NCCP). Apart from the above assistance and support, UN-Habitat had provided guidance, technical support, supervision and unstinted support to the MoU, as well as the Ministry of Environment, for undertaking their responsibilities. In general, UN-Habitat has contributed highly to accomplish the expected results of the Sri Lanka CCCI by paving the correct way for key partners to reach their targets.

<sup>36</sup> NCF is financed by the Nordic Development Fund and is implemented jointly with the Nordic Environment Finance Corporation (NEFCO).

## 3.2 Impact and Key Achievements

### a) Impacts

The real impact of the initial phase of the Sri Lanka CCCI is the second phase of Sri Lanka CCCI, which is a NORDIC funded project, titled "Climate Resilient Action Plans for Coastal Urban Areas". Due to the promising results of the initial phase, UN-Habitat and UoM were able to raise funds from different agencies to continue climate change initiatives started in the Batticaloa and Negombo MCs, as well as extrapolate such climate change initiatives to several other cities. Another key initiative launched as a direct impact of CCCI Phase I is the Australian Government funded Disaster Resilient City Development Strategies for Sri Lankan Cities (AusAid). This was launched in 2011 with the objective of establishing sustainable disaster resilient and healthy cities and townships in disaster-prone regions of Sri Lanka and covered four cities. Two of these cities, Batticaloa and Kalmunai, are in the Eastern Province and two cities, Ratnapura and Balangoda, are in the Sabaragamuwa Province of Sri Lanka. The ARCADIS<sup>37</sup> programme in Batticaloa and Negombo, and the replication of the CCCI model to new cities, such as Kesbewa in the Western Province with the Provincial Agriculture Ministry and the RUAF foundation adopting the CCCI tool to undertake Vulnerability Assessment with the same CCCI partners (UoM), are also two important initiatives showing the impact of the CCCI.

It was reported that the CCCI work in Sri Lanka has had an impact outside of the borders of this small island country. One of CCCI's global, normative outputs, undertaken through the UN-Habitat Joint Work Programme with the World Bank and UNEP on cities and climate change, was launched in March 2010 proposing a global standard on city-level greenhouse gas emissions. This global standard went through several iterations and has picked up new partners (C40, ICLEI, World Resources Institute) and morphed into the "Global Protocol for Community-scale Greenhouse Gas Emissions", jointly launched by partners at the UNFCCC talks in Bonn in May 2012. The Negombo experience was valuable during an earlier iteration of this standard. Most of the testing of the global standard was done in larger cities, mainly in developed countries, and some stakeholders argued for an explicit mention in the standard that such studies need not be fully undertaken in smaller cities. However, based on the Negombo GHG baseline study, UN-Habitat was able to argue that smaller cities (<100,000 pop.) in developing countries were indeed capable (along with local partners such as universities) of competently reporting on their GHG emissions.

<sup>37</sup> ARCADIS is an international company providing consultancy, design, engineering and management services in the fields of infrastructure, water, environment and buildings.

### b) Key Achievements:

All stakeholders consulted were in general agreement that the initial phase of the project has had a series of achievements such as: mainstreaming climate change adaptation and mitigation into the city administration process and changing the mindset of the community, political leaders and MC staff on climate change adaptation and mitigation by enhancing the knowledge base of key stakeholders in both city areas on climate change. These have resulted in making attitudinal and behavioural changes on climate change adaptation and mitigation, establishing a database on climate change related fields and identifying "hotspots", mitigation and adaptation options. The most prominent achievements of Phase I of the Sri Lanka CCCI were the strong foundation laid for the development of the next steps/phases of the project for both cities by convincing donors to provide funds for the next phase, and the extrapolation of the CCCI process model developed in Negombo and Batticaloa to other vulnerable cities in Sri Lanka.

In summary, the outstanding achievements accomplished by CCCI are:

- (i) UN-Habitat's leading role in the national policy development. At present, the government approvals have been obtained for the NCCP, and Ministry of Environment (MoE) has already launched the NCCP implementation programme. UN-Habitat has been invited to play a leading role in the strategy/action plan development;
- (ii) A foundation is laid for national up-scaling- replication;
- (iii) Donor and local fundraising for follow up -- replication (e.g. AusAid) funding in new cities;
- (iv) Mainstreaming of CC in other UN-Habitat shelter projects (e.g. housing); and
- (v) Incorporation of CC adaptation and mitigation dimension into city planning and management.

## 3.3 Lessons Learned

There was a wide range of lessons learned during the mid-term evaluation process and some of them are:

- a) Need for an integrated and holistic approach to address city level climate change impacts, in order to properly mainstream climate change risk management into the local governance processes and to implement climate change adaptation actions.
- b) Need to promote awareness on climate change among the general public and stakeholders

- through various media and community activities covering private, public, academia, civil society and neighbourhood associations, for convergence of efforts on adaptation and mitigation.
- c) Very limited capacities to develop national and local level emission factors due to lack of technical, professional and research constraints at city level.
- d) At present the city management (MCs) is weak in managing climate change impacts, and capacity must be developed to make it more responsive and increase its resilience to climate change impacts. Need to develop a city based policy framework to help and guide the city in integrating climate change considerations in the land-use and development plans. A stronger link with national climate change programmes is critical, especially in enhancing building code and land use planning parameters.
- e) Intercity coordination is not very effective and the city needs to learn from good practices by other cities. It should also share its own experiences in engaging various stakeholders in defining a collective climate change action.
- f) Need to establish public-private and community partnerships, as the grassroots level private sector involvement in climate change is not strong.
- g) Many of the national-level emission factors are either absent or based on global factors.
- h) Lack of common agreement on type of inflows and outflows of emissions outside the city boundary.
- i) Difficulties with introducing CDM due to small quantities of GHG emissions in small cities and towns.
- j) Awareness on National Climate Change Policy (NCCP) needs to be enhanced at the city level and to establish a mechanism to implement NCCP at city level.
- k) Enhanced capacity of MC staff on climate change adaptation and mitigation through training and participation of project activities. They have incorporated climate change related activities into their day-to-day office activities.
- l) Established knowledge base and database on climate change.
- m) Established planning tools for development of city development strategy to respond to climate change.
- n) Effective and transparent management as well as competent and proven technical expertise/skills.
- #### 4. CONCLUSIONS AND RECOMMENDATIONS
- ##### a) Recommendations for the next phase in Negombo and Batticaloa and how to extrapolate the CCCI model into other cities:
- (i) Develop and implement community based Participatory Implementation Strategy for Climate Change Adaptation and Mitigation;
- (ii) CCCI should focus more on the poor living in vulnerable areas and making them a “Climate Smart Pilot Community” through public-private partnerships;
- (iii) Develop and implement canal and lagoon management programme;
- (iv) Dengue Fever: Taking into consideration the acute outbreak of Dengue fever, need to develop a special programme to control mosquito-breeding sites, based on community driven awareness and wastewater management programme.
- ##### b) Recommendation for creation of conducive Institutional, Legal, Financial and Participatory framework
- (i) **Institutional Framework:**
- Create independent Apex body for regulating CC issues or empower the Climate Change Secretariat as independent body;
  - Create Provincial Environmental Agencies (PEAs) and Environmental Ministries for Provincial Councils (PCs) and Environment Divisions or departments for Local Government Agencies (LGAs) with specific multi-sectoral CC mandate;
  - Assessment of the sectoral and multilevel governance in CC policy planning;
  - Formulate integrated action plans involving stakeholder participation for CC horizontally and vertically with specific roles identified;
  - Utilize the existing institutional capacity for planning mainstreaming the CC into national planning;
  - Take up the challenge of addressing the issues despite difficulties of dealing with the party

fabric and political considerations that are a part of devolution and local bodies;

- Clearly identify roles within the CC action plan;
- Use the existing local and provincial level planning mechanism such as District Development Council and Local Government Planning Committee to enter climate change agenda;
- Capacity building to be a key component of action plan;
- Conduct Training-of-Trainers (TOT) programme for trainers on CC to enable them to train at regional level;
- Sri Lanka Institute of Local Governance (SLILG) and Sri Lanka Institute of Development Administration (SLIDA) as well as Provincial training arm, i.e Management and Development Training Unit (MDTU) to incorporate CC training in their curriculum.
- CC to be included into the environmental standing committee agenda.

**(ii) Legislative Framework:**

- Capacity development at all levels;
- Review of decentralization process relating to CC;
- Preparation of guidelines for LGA;
- Input through the CC action plan;
- Review and assessment of policies that affect CC issues;

- Prepare a document that will help clarify and explain the mandates of the central government (CG) and PCs in the referred list;
- Provide technical assistance/capacity development;
- Suggest amendments to suit the current requirements.

**(iii) Financial Framework:**

- Advocate for insertion of specialized budget lines for environment with emphasis on CC;
- Enhance awareness at grassroots level public representatives;
- Encourage and enhance the ability of PCs and LGAs to formulate projects/programmes for requesting funding from CG;
- Host a forum for LGAs and donors to discuss probable partnerships in CC;
- Enforce the collection of taxes;
- Enhance LGAs annual budget provision.

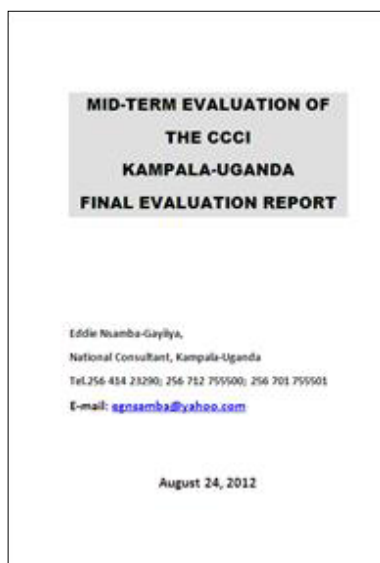
**(iv) Participatory Framework:**

- Encourage and promote the LGAs to engage public participation and representation in their working committees;
- Introduce innovative tools that will encourage public participation and consultations (e.g.: hot line for reporting; online information on development projects).



## Mid-Term Evaluation of the Cities and Climate Change Initiative (CCCI): Kampala (Uganda)

EVALUATION REPORT – Synopsis  
Eddie Nsamba-Gayiyi, *National Consultant*



### 1. INTRODUCTION

Kampala city was among the first four cities selected in the world to participate in the Cities and Climate Change Initiative (CCCI) as a partner city in 2008. The CCCI Kampala Project was started with the goal of building institutional capacities in Uganda for developing appropriate policies, strategies, tools, and methods. This was with the aim of carrying out climate change adaptation and mitigation measures in urban areas. The project was planned to

- (i) establish an effective management and implementation capacity at both central and local government levels to deal with climate change impacts in urban areas, with clear institutional roles and communication channels, including policy dialogue mechanisms;
- (ii) start and establish demonstration projects in mitigation of selected causes of climate change in Kampala city;
- (iii) carry out a fully-fledged and multi-dimensional assessment study on the impacts of climate change in Kampala city and to develop climate change adaptation/mitigation strategies, tools and methods for urban areas; and
- (iv) set up knowledge management and dissemination on climate change impacts in urban areas, and carry out demonstration adaptation-mitigation interventions in Kampala city, including awareness-raising activities through Local Urban Knowledge Arenas (LUKAs).

## 2. RELEVANCE, EFFICIENCY, OWNERSHIP, SUSTAINABILITY AND ADVANTAGE

### 2.1 Relevance

CCCI is very relevant to Kampala city and Uganda in general as it tackles the local priorities and needs. The goal and objectives of CCCI rhyme well with the goal and objectives of the draft National Climate Change Policy for Uganda (May 2012). The CCCI activities have a high coherence with existing and on-going planning processes in the city in very many ways as Kampala Capital City Authority (KCCA) is at an advanced stage of mainstreaming and integrating climate change into its policies, planning, management and budgeting processes. KCCA is in the process of developing a City Gender Policy and the results of the gender mainstreaming checklist, which was piloted in Kampala city, have been mainstreamed into the new Gender Policy. KCCA is in the process of developing a city physical development plan that will incorporate climate change concerns and issues which have been identified through the vulnerability assessments. KCCA is also in the process of mainstreaming climate change into the five-year development plan and budget.

CCCI is coherent with the following support initiatives: "Climate Change Vulnerability and Infrastructure Investment Assessment and Analysis for Small Water Utilities"; "Project on Sustainable Urban Transport"; "Project on Promoting Energy Efficiency in Buildings in East Africa"; and the "Lake Victoria Cities Development Strategies (CDS) Programme".

### 2.2 Efficiency and effectiveness

The level of efficiency and effectiveness of Kampala CCCI implementation process is rated average. Some of the activities have just started (such as an assessment of flood risk at neighbourhood and city levels; integrated flood risk management strategy and action plan and greenhouse gas emissions study), while others are yet to be started on (e.g. the development of a city-wide climate change strategy). Nevertheless, CCCI has made a major contribution to the city's capacity to address climate change issues and challenges in the following areas: the general baseline data generated from the preliminary climate change assessment is very useful for city planning and management; the integration of a climate change gendered perspective in the Kampala City General Policy has been achieved; the youth have been mobilized and sensitized about climate change issues and challenges.

### 2.3 Ownership and Sustainability

The CCCI Process Model was implemented at the design stage with a lot of involvement by the key

local stakeholders and this created a high level of stakeholder ownership. However, the transition of Kampala City Council (KCC) into Kampala Capital City Authority (KCCA) under the central government created some communication and co-ordination hitches. The local communities have not yet been mobilized and sensitized, and for that reason the ownership of CCCI at this level is rated unsatisfactory. Initial workshops were held with the leadership at the five local governments within the city to create awareness and a sense ownership of CCCI activities but these need to be followed up with further consultations and sensitization at this level.

Regarding sustainability, it is too early to assess the extent to which achievements are likely to be sustained after project completion and after external funding ceases. However, it is critical that early foundations are made towards creating strong local structures, actively involving all stakeholders and empowering communities with the aim of promoting ownership of the CCCI project and sustainability, even after the project has phased out. Also, achieving sustainability requires mainstreaming climate change into existing policies and plans, including land-use and urban development, since any climate change response is intricately linked to sustainable urban/local development.

#### 2.4 Complementary and Comparative Advantage of CCCI

CCCI has a lot of complementarity and added value vis-à-vis other multilateral urban environment and planning programmes and initiatives. KCCA developed a City Development Strategy (CDS) under the Lake Victoria Cities Development Strategies (CDS) Programme. The CDS is due for review, and climate change concerns and issues will be integrated. UN-Habitat is running the Lake Victoria Water and Sanitation Project – and it is conducting studies on “Climate Change Vulnerability and Infrastructure Investment Assessment and Analysis for Small Water Utilities”. These aim to identify the possible impacts of climate change on the small-scale water utilities in three cities including Masaka (Uganda), Kisii (Kenya), and Bukoba (Tanzania). There are two Joint UN-Habitat-UNEP Global Environment Facility Projects on “Sustainable Urban Transport” and on “Promoting Energy Efficiency in Buildings in East Africa” respectively. CCCI has comparative advantage in the activities under the above initiatives and programmes and everything possible should be done to harness the synergies and complementarities between these initiatives and programmes and exploit the comparative advantages that CCCI has.

### 3. OUTCOMES, IMPACT, KEY ACHIEVEMENTS AND LESSONS LEARNED

#### 3.1 Outcomes

The stated outputs and outcomes are being progressively achieved. It ought to be acknowledged that many of the project activities have not yet been implemented. Satisfactory progress is being made towards achieving most of the expected outputs and outcomes during Phase III of the project (2012-2013). It is too early to assess the impact of the project as only a few of its activities have been implemented to date. Nevertheless, the capacity building activities are beginning to have an impact. The youth in the city are beginning to be sensitive to CC. However, there is urgent need to mobilize and sensitize the lower local government officials in the city as well as the local communities.

#### 3.2 Impact and key achievements

The CCCI Project has made a very important contribution to the city's capacity to confront climate change issues. The capacity of KCCA and the professionals to assess the city's contributions and impacts of climate change has been greatly enhanced. The vulnerability assessments and the stakeholders' workshops have also enhanced public and institutional awareness of CC impacts, risks and appropriate mitigation and adaptation measures. A local urban knowledge arena (LUKA) has been established to, among other things, document and disseminate experiences and best practices. The following tools have been applied/tested in Kampala: the gender checklist tool (piloted in Kampala city); the “Planning for Climate Change” tool kit (tested at Cities and Climate Change Academy Kampala Workshop); the Global Protocol for community-scale greenhouse gas emissions. Gender perspectives in climate change are being mainstreamed into the City Gender Policy. The urban dimension is being mainstreamed and integrated into the national climate change strategies (the Draft National Climate Change Policy for Uganda) thanks to the CCCI Project.

#### 3.3 Lessons learned

The lessons learned from the evaluation, and which may be applied to other project phases, other projects and programmes, include the following:

- a) The involvement of the partner city and other key stakeholders in the project design and implementation is critical for the purposes of ownership and sustainability.
- b) The priority areas and sequencing of the project activities should be agreed with the partner city

in order to achieve local ownership and sustainability.

- c) There is a need for a comprehensive project document, with clear management and implementation mechanisms, and clear mandates and roles of the key partners and stakeholders. There should be a clear reporting system as well.
- d) There is a need for a clear and comprehensive monitoring and evaluation framework -- with precise indicators to enable the assessment of progress, performance, the assessment of the realization of objectives, results, outcomes and impacts.
- e) Effective and efficient co-ordination and communication between UN-Habitat Nairobi, UN-Habitat country office and the partner city are critical for the smooth implementation of the project. The co-ordination and communication need to be strengthened.
- f) There is a need to learn lessons and adopt best practices from similar programmes, projects and initiatives, particularly those that are climate change/environmental related. The CCCI Process Model has, for example, adapted elements of the CDS process.
- g) There is a need to harness and exploit synergies between CCCI work and activities undertaken by other parts of UN-Habitat (like slum-upgrading programme) and activities in climate change and environment undertaken by other United Nations agencies and like-minded international development partners.
- h) Identification and exploiting available entry points and windows of opportunity can pay enormous dividends for the CCCI.
- i) There is a need to develop links between implementation and learning from other related/similar initiatives.
- j) Institutional memory is very critical.
- k) There is a need for coherent strategies for replication, scaling-up and sustainability of CCCI activities.
- l) Integrating and institutionalization of CCCI into city planning, management and development is still a big challenge.
- m) Community mobilisation and sensitisation are essential for climate change strategies to succeed. The most successful city plans and

strategies are developed with community in-put and ultimately community support and buy-in.

#### 4. CONCLUSIONS AND RECOMMENDATIONS

The things that need to be done to improve overall the CCCI Kampala Project's performance in the future are:

- (1) The project implementation and monitoring frameworks needs to be revised to accommodate current priorities, concerns and needs; to ensure that project activities have appropriate budget lines; to develop a proper monitoring system (including clear and measurable indicators and ensure that progress measurement systems are in place clearly specifying a series of performance impact and in fact indicators).
- (2) There is need to conduct consultations with all key stakeholders until a consensual implementation strategy of the CCCI Project is produced establishing top-down and bottom-up communication mechanisms, which ensure public participation of all stakeholders during the implementation of the Initiative.
- (3) There is an urgent need to streamline communication and coordination to ensure efficient implementation.
- (4) Special emphasis should be put on local-national dialogue particularly for policy development. The Uganda National Urban Forum needs to be energized and closely monitored so that it effectively and efficiently plays its role in this area.
- (5) LUKA is a very important institution as a knowledge management and dissemination framework involving all stakeholders for sharing information, best practices and appropriate technologies within the city and across other urban authorities in Uganda and the region. It should start its work, be visible and affective.
- (6) KCCA, as a matter of urgency, should develop a comprehensive climate change communication strategy. Currently CCCI is not yet implanted – it is not visible and not yet widely known.
- (7) Efforts should be put into mainstreaming climate change activities in the city's policies, planning and management. This should be a high priority.
- (8) It would be wise to concentrate on pilots that can offer both mitigation and adaptation benefits and which can also yield other benefits. The

most promising thematic area is urban agriculture.

- (9) Demonstration projects are likely to have high impact in the grass-root communities and, for this reason they should be accorded high priority.
- (10) UN-Habitat should identify CCCI champions within KCCA and the central government who should be able to champion the CCCI agenda at the city and national levels. The role of the champions would be to garner the necessary support for the CCCI process and institutionalize the CCCI while ensuring stakeholder commitment. The champions should be able to build connections and networks with political,

social, and economic actors that have institutional power, organizational capacity, and support. Having champions will help ensure the success of the planning and implementation process and ensure that long-term benefits are realized.

- (11) The CCCI Project should ensure that any engagement process is inclusive and engages the most climate change vulnerable groups (the urban poor, women, elderly and the young). There is also need to address the urban poverty aspects of climate change. Poverty reduction is a major component of enhanced climate resilience and vulnerability reduction, not just sustainable development.

## ANNEX VIII: UN-HABITAT THEMATIC BRANCHES AND UNITS

Urban Land, Legislation and Governance Branch	Land and GLTN Unit	Urban Legislation Unit	Local Government & Decentralization Unit	Safer Cities Unit
Urban Planning and Design Branch	Regional and Metropolitan Planning Unit Unit	City Planning, Extension and Design Unit	Climate Change Planning Unit	
Urban Economy Branch	Urban and Municipal Finance Unit	Local Economic Development Unit	Youth and Job Creation Unit	
Urban Basic Services Branch	Water and Sanitation Unit	Urban Energy Unit	Urban Mobility Unit	Waste Management Unit
Housing and Slum Upgrading Branch	Housing Unit	Slum Upgrading Unit	Shelter Rehabilitation Unit	
Risk Reduction and Rehabilitation Branch	Risk Reduction Unit	Infrastructure Rehabilitation Unit	Community Management Unit	
Research and Capacity Development Branch	Global Urban Observatory Unit	Research Unit	Capacity Development Unit	

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## ANNEX IX: DETAILED ANALYSIS OF LOGICAL FRAMEWORKS FOR CCCI PHASES I, II AND III

### 1. DEVELOPMENT OBJECTIVES

With “enhancing sustainable development in developing countries” as the overall goal, SUD-Net CCCI was, within the vision of MTSIP, conceptualized to promote, monitor and report on progress on the implementation of the Habitat Agenda, with the twin objectives of (1) shelter for all and (2) sustainable human settlements development, in particular MTSIP Focus Area 2.

The Cities in Climate Change Initiative, initially a component of SUD-Net (see Annex IV), was designed to contribute to the attainment of MDG Goal 7, to integrate principles of sustainable development into country policies and programmes and reverse the loss of environmental resources in developing countries in order to promote resilience to climate change. The long-term goal of [SUD-Net] CCCI is therefore formulated as: “to enhance climate change mitigation and preparedness of cities

in developing countries through CCCI, which will strengthen capacity gaps through advocacy, education, training and tools development and application”.

### 2. OBJECTIVES, OUTCOMES AND OUTPUTS

**Outcomes:**

The outcomes (of the development objectives) at the end of the project – more specifically the expected benefits to the target group(s)

**Outputs:**

The direct/tangible results that the project delivers, and which are largely under project management control

For easy comparison, an overview of objectives and outcomes of the three phases is given in Table IX.

TABLE IX: OBJECTIVES AND OUTCOMES

PHASE	DEVELOPMENT OBJECTIVE	PROJECT OBJECTIVES	OUTCOMES
I	To enhance sustainable urban development in developing countries	SUD-Net: UN-Habitat’s SUD-Net, in partnership with key stakeholders, serves as a key hub for sustainable urbanization  CCCI: The resilience of cities in developing countries to climate change is enhanced	SUD-Net: National and local governments, city networks, NGOs, universities, private sector and international organizations collaborate in SUD-Net CCCI: <b>(Policy change)</b> <sup>38</sup> Synergies and links between national and local climate change policies are created <b>(Tools)</b> Local governments apply innovative tools and approaches to cope with climate change <b>(Capacity building)</b> Climate change awareness creation, education, training and capacity building strategies targeting local authorities, the general public, tertiary education and continuous learning are implemented
II	To enhance climate change mitigation and preparedness of cities in developing countries	To strengthen the performance of national governments, the power of decision-making by local authorities and other stakeholders to enable the development of liveable, productive and inclusive cities	<b>(SUD-Net)</b> Enhanced climate change adaptation, mitigation, and preparedness of cities within the framework of SUD-Net <b>(Networks)</b> Increased collaboration between local governments and their associations in global, regional and national networks to address sustainable urbanization using cities and climate change as entry points <b>(Policy change)</b> Increased policy dialogue between national and local governments in order to create synergies and links between national and local climate change policies with a view to enhance strategies and collaboration <b>(Tools; knowledge management)</b> Increased application of tools and knowledge management strategies by local governments apply to adopt innovations and undertake reforms to optimize their responses to climate change

<sup>38</sup> Areas of work are added here – in italics – for easy reference and comparison.

Table IX: Objectives and outcomes (continued)

PHASE	DEVELOPMENT OBJECTIVE	PROJECT OBJECTIVES	OUTCOMES
III	Not explicitly mentioned in ProDoc and logframe (Implicitly: linkage to MTSIP FA2:Inclusive urban planning, management and governance improved at national and local levels)	Small and medium-sized cities in developing countries begin to become more resilient to climate change and embrace low-carbon growth trajectories	<p><b>(Policy change)</b> The urban dimension is introduced into climate change agreements, strategies, policies, laws and regulations, and the climate change dimension is introduced into urban strategies, policies, laws and regulations</p> <p><b>(Capacity building)</b> Institutions that build the capacities of local officials and other urban stakeholders have adapted their teaching curricula and research to incorporate the issue of climate change</p> <p><b>(Tools, knowledge management)</b> Cities participating in CCCI begin to implement pro-poor strategies to adapt to climate change and embrace low carbon growth trajectories</p>

Sources: Project Documents of CCCI Phases I, II and III.

### 3. OUTPUTS – A SUMMARY

(For details, see body of report)

*Phase 1:* The expected SUD-Net outputs are a globally fully functional and visible SUD-Net - including the establishment of a secretariat and other management mechanisms.

The CCCI outputs focus on enhancing the capabilities of local government to the challenges in planning for adaptation and mitigation of climate change by supporting the improvement of the participation of the governance structures, testing innovative financing and investment mechanisms, sustainable construction and building materials and designing and implementing strategies and concrete action plans.

*Phase 2:* The expected outputs focus on strengthening networks at all levels, development of regional strategies, national-local policies, application of tools and enhancing local capacities, strengthening UN-Habitat partner universities with regard to climate change, and youth and gender.

*Phase 3:* The expected outputs include capturing and sharing (implications of) lessons learned and data generated in CCCI cities; coordinated programming amongst UN-Habitat CCCI global partners; web-based clearing house for case studies and research; capacity building /guidance of urban development ministries, local government associations construction industry and others; regional virtual partner platforms and fund-raising, CCCI city-level experience sharing, tool development and application, action planning/implementation, demonstration and financing mechanisms.

*Project objectives and 2013 time horizon:* The Phase I ProDoc has set 2013 as the target for achieving the CCCI project objectives. The year 2013 is related to the MTSIP period of six years - the standard United Nations medium-term planning period - starting in 2008 and ending in 2013. This six-year period was broken down in three two-year biennium funding cycles (CCCI project phases I, II and III) in line with the twice yearly UN-Habitat work programmes and the twice-yearly Norway framework agreements, as Norway is founding donor of SUD-Net/CCCI. Six years was considered by UN-Habitat and Norway as a reasonable period to let an initiative mature before making any major changes. Meanwhile, the revision routines of the logical frameworks allowed for some adjustments along the road.<sup>39</sup>

*Beyond 2013:* The attention to cities and climate change is again firmly anchored in UN-Habitat's draft six-year Strategic Plan 2014-2019. Hence, in view of the fact that UN-Habitat has a history of projects running for longer than six years, such as the SCP/LA21 programme, it is reasonable to anticipate that until then UN-Habitat will have the opportunity to work on and the obligation to report on this topic.

### 4. IMPLEMENTATION MODALITY

#### SUD-Net CCCI Phase I (August 2008-July 2010)

Working through pilot projects in four cities, i.e. Esmeraldas (Ecuador), Kampala (Uganda), Maputo (Mozambique) and Sorsogon (the Philippines) on tool development and application, knowledge

<sup>39</sup> Major changes to a logical framework (e.g. at the "expected accomplishment" level) go through a formal process of submitting a ProDoc with logframe to an inter-Branch Project Advisory Group, and then to UN-Habitat upper management for formal approval.

management / capacity building, policy change through national-local dialogue (and global advocacy), and networking.

**CCCI - Phase II (August 2010-December 2011)**

Consolidating work in pilot cities and expanding to new cities, building on experiences in pilot cities, and tools and approaches developed in Phase I.

**CCCI - Phase III (January 2012-December 2013)**

Consolidating work in existing cities, and cautiously expanding to new cities, more focus on smaller cities, more support to local-national dialogue and mitigation (reducing GHG emissions), broadening the range of knowledge services, and continuing to engage with organizations who are already actively engaged.



## ANNEX X: INDICATORS LIST FOR CCCI PERFORMANCE MONITORING

TABLE X: INDICATORS LIST FOR CCCI PERFORMANCE MONITORING

		TARGETS/ ACHIEVED	YEAR					
			2008	2009	2010	2011	2012*	
August 2008 – July 2012 (Last updated 21 August 2012)								
1. Increased collaboration between local governments and their associations in global, regional and national networks to address sustainable urbanization, using cities and climate change as entry points.	1.1 Number of wide networks addressing climate change.	<b>Target</b>	0	4	10	15	43	
			<b>Actual</b>					
		Global	0	4	9	12	13	
		Regional	0	2	14	16	16	
		National	0	9	18	19	19	
	<b>TOTAL</b>	<b>0</b>	<b>15</b>	<b>41</b>	<b>47</b>	<b>48</b>		
2. Increased policy dialogue between national and local governments in order to create synergies and links between national and local climate change policies with a view to enhance strategies and collaboration.	2.1 Increased number of countries implementing and funding national and local policies and strategies. <i>[Note: Local CC-related policies, plans and implemented activities are presented here. For national CC policies as well as regional declarations see indicator no. 2.3. For national and local development plans or strategies where CC is mainstreamed, see indicator no. 3.3.]</i>	<b>Target</b>	0	n/a	4	10	14	
			<b>Actual</b>					
		Approved	0	0	0	3	5	
		Developed	0	1	4	7	10	
		<b>TOTAL</b>	<b>0</b>	<b>1</b>	<b>4</b>	<b>10</b>	<b>15</b>	
	2.2 Increased number of networking meetings and joint activities being undertaken by key national and local actors.		<b>Target</b>	0	n/a	16	22	42
				<b>Actual</b>				
			<b>(i) Meetings</b>					
			Global	1	6	11	16	17
			Regional	2	4	9	10	10
National/Local			0	6	15	18	18	
<b>(ii) Joint Activities</b>			0	0	1	2	2	
<b>TOTAL</b>	<b>3</b>	<b>16</b>	<b>36</b>	<b>46</b>	<b>47</b>			
2.3 Increased number of revised or new policies on climate change at national and local levels. <i>[Note: National CC policies as well as regional declarations are presented here. For local CC-related policies, plans and implemented activities see indicator no. 2.1. For national and local development plans, policies or strategies where CC is mainstreamed, see indicator no. 3.3.]</i>		<b>Target</b>	0	n/a	4	10	11	
			<b>Actual</b>					
		<b>(i) National</b>						
		Approved	0	1	1	1	5	
		Developed	1	3	5	6	8	
		<b>(ii) Regional</b>						
		Approved	0	0	0	0	0	
		Developed	0	1	1	2	3	
<b>TOTAL</b>	<b>1</b>	<b>5</b>	<b>7</b>	<b>9</b>	<b>16</b>			
2.4 Increased participation of national and local actors in established CCCI virtual platform.		<b>Target</b>	0	n/a	10	22	26	
		<b>Actual</b>	0	0	1	4	4	
		<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>4</b>	<b>4</b>	

**Notes:** Numbers are cumulative. Numbers presented per the Logical Framework for CCCI Phases I and II. Per approved Project Document, Log Frame and indicators will change in Phase III.

\* Through 31 July 2012

## Annex X: Indicators list for CCCI performance monitoring (continued)

August 2008 – July 2012 (Last updated 21 August 2012)

		TARGETS/ ACHIEVED	YEAR					
			2008	2009	2010	2011	2012*	
3. Increased application of tools and knowledge management strategies by local governments, which apply and adopt innovations and undertake reforms to optimize their responses to climate change.	3.1 Increased knowledge within local governments for implementing tools at the local level to promote activities enhancing resilience to climate change. <i>[Note: Because this indicator measures use of capacity-building tools within local governments, we typically report multiple uses of a single tool.]</i>	<b>Target</b>	0	n/a	20	30	35	
		Actual						
		(i) Tools by CCCI						
		Launched/introduced	1	2	9	12	14	
		Advanced drafts	0	2	3	3	3	
		(ii) Tools by others						
		TOTAL	1	4	15	22	24	
		<b>Target</b>	0	n/a	4	30	55	
		Actual						
		Local/National	0	15	40	41	41	
		Regional	0	0	1	1	1	
		Global	0	1	7	7	7	
	TOTAL	0	16	48	49	49		
	3.3 Number of cities with revised long-term development plans, policies, visions, short- and medium-term strategies for enhancing climate change resilience. <i>[Note: national and local development plans or strategies where CC is mainstreamed are presented here. For (non-mainstreamed) local CC-related policies, plans and implemented activities see indicator no. 2.1. For (non-mainstreamed) national CC policies as well as regional declarations see indicator no. 2.3.]</i>	<b>Target</b>	0	n/a	4	10	n/a	
Actual								
		Approved	0	0	1	1	2	
		Developed	0	0	4	9	9	
		TOTAL	0	0	5	10	11	
4. Increased implementation of awareness, education, training and capacity building strategies targeting the general public, tertiary education and continuous learning institutions, supporting the implementation of climate change strategies.	4.1) Increased support by public (professionals, civil society organizations, etc.) for climate change strategies and policies in cities in focus countries.	<b>Target</b>	0	n/a	n/a	n/a	22	
		Actual						
		Universities	0	3	6	9	10	
		Professionals	0	0	4	6	6	
		Civil Society	0	0	5	7	8	
		TOTAL	0	3	15	22	24	
		4.2) Increased utilization of publicity materials/ knowledge by a wide range of Habitat Agenda partners. <i>[Note: As utilization is hard to measure, the actual numbers reported reflect dissemination activities.]</i> <i>[Note: for dissemination and utilization of capacity-building tools, see indicator No. 3.1 above]</i>	<b>Target</b>	0	n/a	n/a	n/a	15
	Actual							
		Exhibitions	0	1	4	5	5	
		Publications/Website	1	1	2	9	11	
	Others	0	1	2	4	4		
	TOTAL	1	3	8	18	20		

**Notes:** Numbers are cumulative. Numbers presented per the Logical Framework for CCCI Phases I and II. Per approved Project Document, Log Frame and indicators will change in Phase III.

\* Through 31 July 2012



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**UNITED NATIONS HUMAN SETTLEMENTS PROGRAMME**

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