



**Final Evaluation of the Project
“Accelerating the Implementation
of the ASEAN Sustainable
Urbanisation Strategy”**



Final Evaluation of the Project "Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy"

This report is available from <http://www.unhabitat.org/evaluation>
First published in Nairobi in April 2023 by UN-Habitat.

Copyright © United Nations Human Settlements Programme 2023
Produced by the Independent Evaluation Unit

United Nations Human Settlements Programme (UN-Habitat)
P. O. Box 30030, 00100 Nairobi GPO KENYA
www.unhabitat.org

Disclaimer

The designations employed and the presentation of the material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers of boundaries.

Views expressed in this publication are of independent evaluation consultant and do not necessarily reflect those of the United Nations Human Settlements Programme, the United Nations, or its Member States. Excerpts may be reproduced without authorization, on the condition that the source is indicated.

Acknowledgements

Author: **Per Kirkemann**

Cover page: **George town is the colorful, multicultural capital of the Malaysian island of Penang.** © Shutterstock

Design and layout : **Andrew Ondoo**

Evaluation Report 1/2023

Final Evaluation of the Project "Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy"





CONTENTS

LIST OF BOXES, FIGURES and tables	IV
List of Abbreviations and Acronyms	V
Executive Summary	VII
The ASEAN Sustainable Urbanisation Strategy	VII
Overview of the ASUS Project	VII
Purpose, objectives, and scope of the Evaluation	VIII
Approach and Methodology	IX
Findings on performance and achievements.....	X
Conclusions	XIII
Lessons learned	XIV
Recommendations	XV
1. Introduction	1
1.1 Background and context	1
1.2 Purpose, objectives, and scope of the Evaluation	4
2. Overview of the ASUS Project and Organisational Set-up	7
3. Approach and Methodology	15
3.1 Approach.....	15
3.2 Evaluation questions and matrix	18
3.3 Methodology.....	20
3.4 Limitations to the Evaluation.....	21
4. Findings on performance and achievements	23
4.1 Achievements of the Project outputs	23
4.2 Relevance of proposed city interventions.....	23
4.3 Coherence	24
4.4 Efficiency of the Project Preparation Phase.....	24
4.5 Effectiveness in achieving the Project objectives	26
4.6 Impact outlook.....	27
4.7 Sustainability prospects for the proposed interventions	28
5. Conclusions	31
6. Lessons learned from the evaluation	33
7. Recommendations	35
ANNEXES	
Annex 1: Terms of Reference	36
Annex 2: List of Persons Consulted.....	43
Annex 3: List of Documents Consulted.....	44
Annex 4: List of discussion points for semi-structured interviews	46
Annex 5: Brief on Kep City	48
Annex 6: Brief on General Santos City	55
Annex 7: Brief on Hatyai City	61
Annex 8: Compilation of questionnaire responses from City Authorities	69
Annex 9: Compilation of questionnaire responses from the Project Team	73

LIST OF BOXES, FIGURES AND TABLES

List of Boxes

Box 1: Brief on AACDP II.....	1
Box 3.1: The Problem-Driven Iterative Adaptation Approach.....	18

List of Figures

Figure 3.1: Theory of Change Model for the ASUS Framework.....	17
----------------------------------------------------------------	----

List of Tables

Table 1.1: Main intervention areas and sub-areas.....	2
Table 1.2: Priority sub-areas and identified actions.....	3
Table 2.1: Main and Sub-areas selected by participating cities.....	7
Table 2.2: Priority actions expressed by 30 interested cities.....	8
Table 2.3: The ASUS Project organisational set-up.....	8
Table 2.4: ASEAN population trends 2021-2030.....	11
Table 2.5: Enablers for achieving urban sustainability.....	12
Table 2.6: Priority areas for achieving urban sustainability.....	12
Table 3.1: Evaluation questions and matrix.....	19
Table 3.2: Proposed sample of cities.....	21

LIST OF ABBREVIATIONS AND ACRONYMS

AADCP	ASEAN-Australia Development Cooperation Programme	KPI	Key Performance Indicators
ACCC	ASEAN Connectivity Coordinating Committee	LIB-SI	Lead Implementation Body – Sustainable Infrastructure
ACD	ASEAN Connectivity Division	LPO	Local Project Officer
AMS	ASEAN Member States	M&E	Monitoring and Evaluation
ASEAN	Association of Southeast Asian Nation	MoU	Memorandum of Understanding
ASEC	ASEAN Secretariat	MPAC	Master Plan on ASEAN Connectivity
ASCN	ASEAN Smart Cities Network	MSME	Micro, Small, and Medium Enterprises
ASUF	ASEAN Sustainable Urbanisation Forum	MTR	Mid-Term Review
ASUS	ASEAN Sustainable Urbanisation Strategy	NGO	Non-Government Organisation
AUD	Australian Dollars	NUA	New Urban Agenda
CCTV	Closed-Circuit Television	OECD	Organisation for Economic Cooperation and Development
COVID	Coronavirus Disease	OEP	Other External Partners
CTP	City Technical Proposal	O&M	Operation and Maintenance
CSO	Civil Society Organisation	PDIA	Problem Driven Iterative Adaptation
DAC	Development Assistance Committee	ROAP	Regional Office for Asia and the Pacific
DFAT	Department of Foreign Affairs and Trade (Australian Government)	SDG	Sustainable Development Goals
DP	Dialogue Partners	SWM	Solid Waste Management
EGM	Expert Group Meeting	ToC	Theory of Change
ESC	Environmentally Sustainable Cities	ToR	Terms of Reference
EQ	Evaluation Question	UNCT	UN Country Teams
GEDSI	Gender Equality, Disability, and Social Inclusion	UNEG	United Nations Evaluation Group
IAI	Initiative for ASEAN Integration	UN-Habitat	United Nations Human Settlements Programme
ICT	Information, Communication and Technology	USD	American Dollars



Aerial view of Sultan Salahuddin Abdul Aziz mosque in Shah Alam, Malaysia. © Shutterstock/ fiz_zero

EXECUTIVE SUMMARY

The ASEAN Sustainable Urbanisation Strategy

The "ASEAN Sustainable Urbanisation Strategy" (ASUS) is derived from the "Master Plan on ASEAN Connectivity 2025" (MPAC 2025) under the strategic area of Sustainable Infrastructure, which constitutes the overall strategic framework for the ASUS Project. The MPAC 2025 comprises five overall strategic objectives: Sustainable Infrastructure; Digital Innovation; Seamless Logistics; Regulatory Excellence; and People Mobility. A sub-strategic objective under Sustainable Infrastructure is "Increase the deployment of smart urbanisation models across ASEAN" having the associated initiative "Develop sustainable urbanisation strategies in ASEAN cities" – resulting in the ASEAN Sustainable Urbanisation Strategy (2018). The preparation of ASUS was based on an analysis of prevalent urbanisation trends at the global, regional, sub-regional, national, and sub-national levels that are shaping urbanisation in the ASEAN region.

The ASUS was launched in November 2018. The ASUS employs a framework based on six areas: 1) civic and social; 2) health and wellbeing; 3) security; 4) quality environment; 5) built infrastructure; and 6) industry and innovation. ASUS contains two toolkits for cities to utilise: Toolkit 1: Prioritising focus areas and actions for enhancing sustainable urbanisation; and Toolkit 2: Sustainable Urbanisation Action Templates

Overview of the ASUS Project

The Evaluation concerns the Project "Accelerating the implementation of the ASEAN Sustainable Urbanisation Strategy" – in brief the **ASUS Project**. The ASUS Project is funded under the ASEAN-Australia Development Cooperation Program Phase II (AADCP II). The lead executive agencies for the ASUS Project are UN-Habitat and the ASEAN Connectivity Division (ACD) of the ASEAN Secretariat (ASEC). The first Phase of the ASUS Project commenced in January 2020 and was planned to be completed by October 2021 but was extended to November 2022 due to the effects of Covid-19 pandemic. The budget for the first Phase of the ASUS Project was USD 1.15 million.

The rationale for the ASUS Project was derived from the recognition of the need to enhance the capacity at the local level to develop credible action plans and viable project proposals to sustainable acceleration consistent with the ASUS strategy and development framework. The overall project goal was to contribute towards: i) enhancing ASEAN connectivity; ii) achieving higher quality of life, competitive economy, and sustainable environment; iii) accelerating the implementation of sustainable urbanisation in the ASEAN region in alignment with the New Urban Agenda (NUA) to achieve a realistic part of the Sustainable Development Goals (SDGs).

The ASUS Project objectives were: 1) Promote implementation of sustainable urbanisation projects within the ASUS framework; 2) Disseminate knowledge and lessons learned on sustainable urbanisation in ASEAN to encourage other cities to adopt ASUS in their urban development plans; and 3) Expand the knowledge base on sustainable urbanisation in ASEAN. Project outputs were: 1) Technical proposals for up to eight participating cities within ASEAN in implementing ASUS; 2) ASEAN Sustainable Urbanisation Forum; and 3) ASEAN Sustainable Urbanisation Report.

The ASUS Project aimed at promoting the overall ASUS Framework through local and regional levels outputs. At the city level, the ASUS Project covered three of the ASUS Framework's six main areas. The ASUS Project is intended to accelerate sustainable urbanisation during the period 2020 to 2022 and could potentially support the achievement of the expected ASUS outcomes by 2025, provided that a second phase of intensified action at the local level between 2023 to 2025 is agreed upon by the Australian Government, Department of Foreign Affairs and Trade and ASEAN and/or possible other funding providers. The ASUS Project places special emphasis on small to medium-sized cities and intermediate cities, which are witnessing most of the growth in the ASEAN region over recent years, and which will continue to exhibit significant upward population and economic trends. The following cities were selected for inclusion in the ASUS Project based on their expressed interests:

1. Mandalay City, Myanmar
2. Hatyai City, Thailand
3. Shah Alam City, Malaysia
4. Kep City, Cambodia
5. Kaysone City, Laos
6. Sa Pa City, Vietnam
7. General Santos City, The Philippines
8. Tomohon City, North Sulawesi, Indonesia

The key stakeholders in the ASUS Project are citizens in intermediary and secondary cities in the ASEAN region, the cities' local governments, CSOs, NGOs, and academia. Moreover, national governments and the ASEAN Community.

Purpose, objectives, and scope of the Evaluation

The evaluation aims to serve dual purposes of accountability and learning. It is intended to enhance accountability by providing UN-Habitat management and its governing bodies, the project team, project donor, target cities and other key stakeholders with an independent evaluation of whether the project has achieved the planned results. Also, in keeping with UN-Habitat's commitment to helping programmes and projects learn and improve, the evaluation serves the purpose of contributing to enhanced learning to understand what worked well, what did not, operational experience, opportunities and challenges.

The evaluation is undertaken to assess the performance of the ASUS Project, the extent to which it has been relevant, efficient, effective, and sustainable, as well as to assess changes at outcome level and emerging impact to identify lessons to inform the implementation of a next phase. The evaluation will assess how gender, human rights, youth, and climate change were elements of the project. The sharing of findings from the evaluation will inform UN-Habitat, ASEAN Secretariat, ASEAN Member States, AADCP II Management, city governments and stakeholders, on what was achieved and learned from the Project.

The specific objectives of the evaluation as provided in the Terms of Reference (ToR) are: 1) To assess the design, implementation, and achievement of results at the objective, outcome, and output level of the ASUS Project. This will entail analysis of actual versus expected results achieved by UN-Habitat; 2) To assess the project's value-for-money, visibility, and performance of the project in terms of relevance, efficiency, effectiveness, sustainability, and impact outlook; 3) Assess appropriateness of planning, implementation working modalities, coordination, cooperation, partnerships, and management; and how they contributed to achieving the planned results of the project; and assess the effects of Covid-19 pandemic on the project; 4) Assess how social inclusion issues of gender equality, youth, human rights as well as social and environmental safeguards were integrated and impacted by the programme; and 5) Taking into account intended users of the evaluation, identify lessons learned and provide recommendations for improving future similar projects.

The evaluation scope covered the period from the start of the project in January 2020 up to completion in November 2022 when most of the activities had been conducted and outputs achieved. The ASUS Project was conceived as a standalone project. As ASEAN was open to a longer-term engagement when formulating the ASUS Project, a reference to a potential second phase was mentioned in the ASUS Project Inception Report, but the details were not concluded at the time. Nonetheless, the cities' aim would in all probability be to implement their respective City Technical Proposals (CTPs) with whatever resources are at hand. Accordingly, the evaluation period was extended up to 2025 to consider potential support options for implementation and the associated potential impacts. The successor programme for AADCP II, the Australia for ASEAN Futures, is considered a potential source of support. The evaluation will be evidenced-based and is to assess as objectively as possible the ASUS Project's relevance, efficiency, effectiveness, impact outlook, and sustainability in the 8 targeted cities and the wider scope of accelerating the ASUS in the ASEAN countries. In principle, the evaluation covers all 10 ASEAN countries, but Singapore is not included as it is a mega urban conglomerate.

The evaluation of the ASUS Project was managed by the UN-Habitat Evaluation Unit in close collaboration with the Regional Office for Asia and the Pacific (ROAP). The Evaluation Unit provided guidance and assured quality of the evaluation products. The Evaluation Unit had the overall responsibility to ensure contractual requirements were met and the ASUS Project management team provided logistical support, submitted all necessary reference documents, and facilitated interviews with stakeholders and responded to all the evaluator's queries. The evaluation was conducted by one independent evaluator, who was selected through a transparent process.

Approach and Methodology

The evaluation related to the five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact, and sustainability (which are compatible with the OECD/DAC criteria. In 2020 OECD/DAC introduced the coherence criterion, which has since been embraced and adapted by UNEG. Advancement of system-wide coherence for sustainable urbanisation is mentioned in the ToR, but not included as a criterion in the list of evaluation questions. Nonetheless, an assessment of the ASUS Project's coherence will be included. The evaluation was conducted in four consecutive phases: 1) the inception phase; 2) the desk phase; 3) the analysis and synthesis phase – which includes the resulting analysis, findings, conclusions, overall lessons learned, recommendations; and 4) the dissemination phase.

The outlines of Theory of Change (ToC) presented in the ASUS Project Document and Inception Report relate specifically to what could have been accomplished within the 'Project Preparation Phase'. They do not envision the longer-term outcomes and impacts necessary for elaborating a longer-term ToC. The city level technical proposals have elaborated ToCs incorporating the 'outcome level' but not the 'impact level'. The current commitment by Australian Aid and ACD does not include development funding for implementation of the cities' proposals, which might be the explanation for applying the longer-term perspective.

A reconstructed intervention logic/ Theory of Change generic model is presented in the Evaluation Report with a view to outlining the longer-term change process and establishing the overall framework for the evaluation based on the Logical Framework as presented in the ASUS Project Inception Report and the cities' technical proposals. The ASUS Framework is complex and will have to be applied in different contexts with varying economic, institutional set-ups, and systems with diverse stakeholders. Each intervention will have its own causal pathway that will mainly consist of circular feedback loops. The ToC process could be combined with the Problem-Driven Iterative Adaptation (PDIA) in order to zoom in on the actual problem and to ensure a high degree of consensus.

An Evaluation Matrix has been developed based on the evaluation questions listed in the ToR specifying indicators and means of verification. While some results have been achieved during the first Phase of the ASUS Project in terms of capability, capacity, knowledge, and attitudes generated as part of the preparation process, some of the tangible results for the eight cities will only materialise when funding for implementation is accessible. Answering some of the questions relating to the period after the first Phase cannot be based on concrete evidence but will be based on circumstantial evidence.

The potential target groups for discussions, interviews and questionnaire surveys are:

- ASEAN Secretariat (ASEC)/ ASEAN Connectivity Division (ACD)
- AACDP II
- UN-Habitat ROAP Office
- UN-Habitat Bangkok Programme Office and country offices in ASEAN.
- UN-Habitat ASUS Project management/ Local Project Officers (LPOs)
- City authorities



Hatyai City, Thailand. © Shutterstock/AhXiong

The methodology has been composed of tasks that will facilitate the validation of findings through a triangulation process. The triangulation process comprises findings from the document review, findings from interviews/ questionnaire surveys with stakeholders driving the project formulation process and beneficiary stakeholders.

The ASUS Project covers three of the ASUS Framework's six areas. A sample of three cities – out of the eight – is proposed for further in-depth assessments so that each of the three areas are covered. The proposed sample includes Kep City (Quality Environment/Enhancing Solid Waste Management Systems), General Santos (Built Infrastructure/ City Sustainable Transport and Traffic Management Plan), and Hatyai (Security/ Improve Safety and Security through Digital Applications). The city briefs are excerpts from the City Technical Proposals (CTP) and the City Diagnostic Reports with the intent of providing an overview of the respective interventions.

Findings on performance and achievements

Achievement of outputs: The three ASUS Project outputs have been achieved. All eight City Technical Proposals have been prepared, the ASUF has been held, and the ASUR publicised.

The **CTPs** (all submitted in April 2022) have been well elaborated through a consultative process with city stakeholders and within national frameworks for urban development and in accordance with the ASUS toolkits. The CTPs have developed ToCs that include the outcome level but not the impact level. The CTPs have budget estimates for implementing the interventions but limited information on sources of development funding and the associated costs of operation and maintenance (O&M).

The **ASUF** (7-8 October 2021) succeeded in establishing a multi-stakeholder platform for knowledge sharing and policy development that reached out to national and local governments, development partners, the private sector, NGOs, expert and network groups and thus created increased awareness of urbanisation challenges. While challenges are somewhat similar across the AMS the means to address the challenges vary substantially by nation and city. The ASUS Project focussed intentionally on secondary cities as these were seen to absorb a relative larger part of urban growth – a strategy that would contribute to a more even distribution of urban growth. Nonetheless, the challenges of tertiary and mega cities remain.

The **ASUR** (December 2022) presents a transformative approach to achieving urban sustainability by elaborating four enablers and seven priority areas. The enablers are overarching and are used as cross-cutting areas of analysis for the priority areas. The ASUS contains a total of 18 sub-areas of which seven have been prioritised through a selection process to have some measure of focus. The other 11 sub-areas remain essential for urban development and management and will need to be addressed at a later stage. The ASUS Project interventions are relevant to and consistent with beneficiaries' requirements as they have evolved through a consultative process and build on comprehensive diagnostic reviews guided by the ASUS Framework and supported through AADCP II. The primary beneficiaries are city dwellers and local government authorities; and the secondary beneficiaries are national and sub-national governments and ASEAN regional bodies. The interventions are generally aligned with local and national development plans and policies and have been facilitated by ASEAN's connectivity aspirations.

Relevance: The ASUS Project interventions are relevant to and consistent with beneficiaries' requirements as they have evolved through a consultative process and build on comprehensive diagnostic reviews guided by the ASUS Framework and supported through AADCP II. The primary beneficiaries are city dwellers and local government authorities; and the secondary beneficiaries are national and sub-national governments and ASEAN regional bodies. The interventions are generally aligned with local and national development plans and policies and have been facilitated by ASEAN's connectivity aspirations.

Assumptions and Risks: Overall, the key assumption is that the ASUS Project has generated interest in and created awareness of the ASUS Framework to sustain local governments' commitment to pursue further acceleration of the ASUS. The participating local government assumptions are that financial and technical resources can be mobilised for implementation of their respective CTPs.

From the outset it was recognised that the implementation of the ASUS Project had some degree of uncertainty and that mitigation strategies had to be established to reduce or alleviate the risk impact. Typical identified risks were mainly divided into three categories: political, operational, and natural. Typical mitigation measures were: 1) enhanced communication between national, provincial, and local levels to tackle potential risks and to minimise delays; and 2) improved information to and communication with intervention stakeholders. One political risk that did materialise was when Myanmar's military took power on 1 February 2021 in a coup, which limited Mandalay City's participation.

Coherence: At the ASEAN regional level, the ASUS Project is coherent with the MPAC 2025 and its strategic objective of "Sustainable Infrastructure" and the sub-strategic objective "Increase the deployment of smart urbanisation models across ASEAN" leading to the ASUS which constitutes the regional framework for urbanisation initiatives. The ASUS Project is the initial initiative which is anticipated to be followed by a sequence of future initiatives that eventually will lead to widespread development of appropriate and maintainable urban infrastructure and services improving livelihood conditions for the benefit of urban citizens across ASEAN. At the city level, the ASUS Project interventions have strived to be coherent with national and local policies, legal provisions, and plans as elaborated in the CTPs.

Efficiency: Most of the city officials and LPOs found that resources have been used economically which led to the expected results, despite the delays COVID-19 pandemic caused. The Project expenditures were held within the contract amount. Due to COVID-19, some of the communication was switched over to online meetings saving time and travel costs. Due to the extraordinary situation some inputs were delivered in-kind to compensate for the delays.

The preparation of the CTPs was structured according to the ASUS Framework and Toolkits. City officials and LPOs generally found the ASUS Framework useful. The Toolkits required thorough study by the LPOs to understand and apply the concepts appropriately to the specific city contexts. City officials declared that they in future would be able to use the ASUS Framework without external assistance – except for Kep City. Nonetheless the cities would appreciate more assistance in selecting and prioritising which focus area to embark upon. All cities declared that they would need additional support for: funding opportunities, technology, and knowledge transfer.

City officials and LPOs generally found that the ASUS Project organisation facilitated project formulation and that results were achieved timely. The Project management played a great role in guiding the city teams. The secondment of one LPO for each city was essential for driving the proposal preparation process. The City Diagnostic Exercises were helpful for formulating the CTP and in creating partnerships with local stakeholders – although there had been some challenges in securing stakeholder participation.

City officials and LPOs found that national, provincial, and local authorities have been involved in project identification and formulation as relevant resulting in cities' enhanced ownership. The cities' autonomy depends on the legal and governance framework as applicable in the ASEAN countries. The central and provincial governments are mandated certain obligations and responsibilities to which the local must abide. These include among others transfer of budget allocations from the central and provincial governments to the local authorities, and local authorities' power to collect taxes and revenues.

Effectiveness in achieving Project objectives: City officials and LPOs found that the Project objectives have been adequately achieved. All cities would use the CTPs as a reference for future project development. In connection with the Closing Event (April 2022) the cities were requested to decide which of four additional services compared to those the Project had provided would be in most demand. The 1st priority was to identify and secure funding for the CTPs and to support the achievements of the SDGs; the 2nd priority was technical support for implementation of the CTPs; and the 3rd priority was to ensure the respect of gender and inclusion

principles. City officials and LPOs found that crosscutting issues of gender equality, disability, and social inclusion (GEDSI) have been integrated in the CTPs by presenting a dedicated GEDSI Framework, which were adapted to the scope of the intervention of the chosen sector. City officials and LPOs found that the services contained in the CTPs were highly demanded and supported by the citizens.

The ASUF was meant to be a one-off physical event with some 200-300 invited participants. Due to the COVID-19 pandemic with high infection rates at the time, it was decided to organise ASUF an online event. This decision resulted in a much higher participation rate with some 1,400 registered participant and was thus able to reach out to a much larger and more diverse audience. One contributing factor for the high participation was that translation was provided in all main ASEAN languages and in sign languages, which was essential to ensuring participants from intermedia and secondary cities, local and national governments, CSOs, NGOs, and academia – this approach required substantial logistic and financial efforts.

The ASUR builds on the experience and lessons learned from implementing the ASUS Project. The ASUR is composed of two main sections: 1) Four enablers for achieving urban sustainability; and 2) Seven priority areas for achieving urban sustainability. The enablers are crosscutting issues for mainstreaming into the priority areas. The ASUR has since its publication been the one most frequently downloaded document in recent months from the UN-Habitat website.

Impact outlook: City officials found that CTPs are likely to materialise and would have the intended effects and might obtain funding from either local, national, or foreign sources. Most cities would have the possibility of obtaining loans from national governments, development banks, private banks, or others, except for Kep and Kaysone cities. The CTPs could generally be used for application of financing through the various sources.

The LPOs found that the positive effects – capacity to plan and coordinate – from the preparation phase will be essential for the implementation of the CTP and the further urbanisation process, provided the CTP is approved by the city authority and endorsed by higher level authorities. Extensive support would be required, particularly as regard financing of development costs.

Public Private Partnerships could be one option provided that the project generates revenues. Some projects could be implemented in stages and thus stretch the investment over time. The city officials found that beneficiaries' expectations are fully integrated into the CTPs and have a high probability of being met.

Sustainability prospects for the proposed interventions:

The city officials found that the ASUS Project has developed capacity and ownership among the city stakeholder which specifically will benefit the implementation of the CTPs and generally other urban interventions. Capacity development is key for ASEAN cities to become more sustainable. Knowledge can be transferred across ASEAN cities in different ways, including training, exchange platforms, and city-to-city networks. Prospects for replication relate to the selected cities and any other ASEAN cities that would wish to apply the ASUS Framework. First and foremost, it would be imperative to implement some of the first Phase CTPs to demonstrate the positive effects of the entire process and to document impact and benefits for the city and to the targeted citizens. Fundamental issues for replication are availability of adequate capacity, investment funding, and recurrent funding for O&M.

ASEAN and the Australian Government has signed a MoU on the Australia for ASEAN Futures Initiative (Aus4 ASEAN Futures Initiative) which will be the successor programme for AADCP II. The Aus4 ASEAN Futures Initiative will among others address complex challenges like climate change, health, healthy oceans, the circular economy, and energy transition. Discussions are currently conducted to include a second phase of the ASUS Project which could comprise further assistance to current 7 (or 8) cities and a new batch of cities. This would be one significant opportunity for replication.

The acceleration of ASUS commenced with the ASUS Project. Although the ASUS Project has reached out to many potential stakeholders through ASUF and ASUR the overall interface with other ASEAN cities is currently relatively modest. Knowledge management system should be in place to collect and accumulate experiences and lessons learned across the cities, which can be shared with ASEAN countries and globally. The city officials found that the ASUS Project has influenced the longer-term perspectives of the development plans with a view to providing services to the existing and growing population. The CTPs have generally been aligned with

local and national development plans and have thus taken urban expansion into account.

Conclusions

Achievements and performance: The first Phase of the ASUS Project – the preparation phase – was efficiently and effectively executed according to the defined scope in the ToR to be executed within the frame of the AADCP II. The three objectives and three outputs have been well achieved.

Relevance: The Project and the identified interventions of the participating cities were relevant relating to the needs of the cities and their citizens. Consultations with city stakeholders were seriously affected by the COVID-19 pandemic. The continued relevance of the interventions is linked to prospects of these being implementable in terms of an enabling environment, resource mobilisation, public participation and that the anticipated impacts are likely to be achieved.

Efficiency: Overall, the Project was implemented efficiently – especially considering the challenging circumstances regarding the COVID-19 pandemic. The cities' capacity to participate in the proposal preparation process varied significantly, as did the size of the cities, their resource availability, and degree of autonomy. The lack of opportunity to conduct physical meetings were compensated by conducting online meetings. Despite the extended project period, the project cost was kept within the contract amount. The ASUS Framework and Toolkits proved overall useful for prioritisation, identification, and formulation of the technical proposals.

The City Technical Proposals were developed through a consultative step by step approach and by collaborating appropriately with city stakeholders and other partners. The ASUF succeeded in reaching out to a much larger audience by organising it as an online event. The ASUR took its point of departure from the ASUS but reduced the scope by only dealing with 7 of the 18 priority areas but complemented these with four enablers to be mainstreamed into the priority areas. The ASUR is much appreciated as demonstrated through the many downloads.

The CTPs are well aligned with the SDGs and NUA as demonstrated in the respective diagnostic reports. All interventions relate to several SDGs. The City Diagnostic Reports indicate how SDGs and NUA paragraphs are specifically aligned to the specific intervention in question and are complemented with ASUS performance indicators for priority actions, which in some cases are more specific than the SDGs and NUA.

Effectiveness: The Project has been effective by producing outputs of good quality. The CTPs were developed based on a ToC approach that included outputs and outcomes but not impact, although expected impacts are presented in a later section of the document. From the outset, funding from AADCP II for implementation of the CTPs was not meant to be part of the support and was left to be resolved at a later stage. However, more attention to the proposals' implementation aspects regarding funding sources and financing, operation and maintenance would have been desirable, but was outside the agreed scope of the assignment. Combining preparation of the technical proposals with financing opportunities and O&M requirements could have had a deciding impact on the technical proposals' scope and facilitated further considerations on operational aspects during implementation and after project completion.

Impact outlook: The ASUS Project Document focussed primarily on achievements on project outputs although the overall objective was accelerated urbanisation. The CTPs provided additionality by including outcomes and expected impact. City officials as well as LPOs anticipated that the expected benefits will materialise. Achieving impacts depends on available funding sources and the cities' capacity to implement and operate the interventions.

Sustainability: The city authorities have acquired added competence and capability through their active participation in project formulation and the discussions leading to the CTP. This added capacity will be useful during implementation and contribute to enhanced sustainability. The medium to long-term sustainability depends on how well the intervention is operated and facilities maintained.

Transition to the implementation stage: Elaboration of a long-term ToC for the interventions would enhance the understanding of the intended change process among the city's policymakers, planners, and technical staff – as well as being a means of conveying and debating the intervention's aim and purpose to the affected target population. Conditions for launching implementation are: documentation is adequately in place; the city authorities have the capacity to lead and monitor the implementation; consulting services are available as required for final formulation and implementation; M&E mechanisms are in place to account for drivers, barriers affecting implementation and the actual results achieved. Funding options for: implementation may include national, local, and foreign sources; and the O&M may include local revenues and user charges.

Further acceleration of ASUS: The ASUS Project was the first step to accelerate the ASUS and generated essential knowledge to shape the next and further steps. The next step may include two batches of cities: 1) the current 7 or 8 cities; and 2) a sample of additional ASEAN cities. The two batches may combined generate further knowledge that could benefit several more cities through ASEAN urban forums and updated editions of the ASUR.

Lessons learned

The following lessons were learned:

1. The 8 cities included in the first Phase of the ASUS Project varied quite substantially in size and availability of financial and technical resources. This implies that all cities cannot be dealt with in the same way. Each city needs to be approached in accordance with its specific context and resources.
2. Assignment of national professionals as LPOs was very appropriate to cope with the cities' diversity regarding culture and language.
3. The lack of donor funding for implementation poses a serious challenge for the cities but has also advantages as the cities do not take funding for granted and will have to be realistic when determining the scope of their intervention – particularly as regards the cities' and beneficiaries' affordability.

4. More focus on the implementation phase and post project operations during formulation would have been an advantage as these aspects could influence the scope of the identified interventions. Such focus could be facilitated through a ToC approach covering the entire change process from initiation of the intervention to its operational stage and be problem driven.
5. The COVID-19 pandemic caused huge challenges resulting in significant delays which were overcome by dedicated city officials and project team members.
6. The shift of the ASUF to an online platform instead of a physical arrangement proved advantageous as the participating audience increased significantly.
7. The ASUR benefitted from a shorter more readable version compared to one with extensive data and statistics. Data and statistics are essential for proper analyses the project contexts, but a shorter and readable overview of the evolving ASUS Framework concept made the report well sought-after as demonstrated by the high number of downloads.

Recommendations

The below recommendations relate to a new phase of the ASUS Project:

1. A follow-up of the assistance to the current batch of cities should be undertaken to take note of the way forward for each of the cities to reach to the implementation stage for their respective interventions.
2. It should be considered what kind of additional support could be provided to the current batch of cities to ensure the interventions' continued relevance e.g., sources of financing, need for capacity development, preparation of tender documents, need for consulting services for design and supervision, scope and cost of O&M, administrative set-up in the city administration, etc.
3. A second batch of intermediate and secondary cities distributed across ASEAN should be selected based on their commitment of supporting ASUS and their capacity in the intervention preparation process. The second batch should comprise at least 8 cities and possibly have a duration of two years.
4. It should be considered what other priority areas should be included, for example climate change, energy transition, and water supply. Water is already included under 'Quality Environment' lumped together with waste and sanitation but could be a priority area of its own – possibly combined with sanitation.
5. The assistance for capacity development to the selected cities should be differentiated to be compatible with their actual needs to enable that the assistance is tailored accordingly with a view to preparing bankable project proposals.
6. Assignment of Local Project Officers by city should remain a permanent feature in the second batch of cities to facilitate proper interaction with city authorities and project management.
7. The identification and preparation procedures for batch 1 cities should be replicated but expanded with considerations on the implementation stage and O&M and be based on ToCs that cover the entire results chain and be problem driven.
8. ASEAN should ideally introduce the ASUS project to national, international, or development banks to facilitate cities' access financing sources as acquisition of funds would be a main driver for accelerating sustainable urbanisation.
9. Monitoring and evaluation (M&E) procedures should be prepared to monitor progress and achievement of results. The M&E procedures should take gender equality, disability, and social inclusion properly into account.
10. An ASUF should be conducted midway into the second phase to disseminate the advancements of sustainable urbanisation, get feedback, and further stimulate the acceleration.
11. The ASUR should be updated at the end of the second phase to include new acquired knowledge.
12. At the end of the second phase, further steps for accelerating sustainable urbanisation should be considered.

View of Hatyai city, Thailand. © Shutterstock/ Yang Zhen Siang



1. INTRODUCTION

1.1 Background and context

The Evaluation concerns the Project "Accelerating the implementation of the ASEAN Sustainable Urbanisation Strategy" – in brief the **ASUS Project**. The ASUS Project was funded under the ASEAN-Australia Development Cooperation Program Phase II (AADCP II). The lead executive agencies for the ASUS Project were UN-Habitat and the ASEAN Connectivity Division (ACD) of the ASEAN Secretariat (ASEC). The ASUS Project commenced in January 2020 and was planned to be completed by October 2021 but was extended to November 2022 due to the effects of the Covid-19 pandemic. A second phase of intensified actions at the local level is anticipated between 2023-2025.¹ The budget for the ASUS Project was USD 1.15 million.

Box 1: Brief on AACDP II

The AACDP II is a 12-year (June 2009-December 2022) AUD 57 million cooperation arrangement between Australia and ASEAN to support the development and implementation of key ASEAN strategies for regional economic integration, connectivity and narrowing the development gap between ASEAN Member States. An Independent Review of the ASEAN-Australia Development Cooperation Program Phase II (2019-2020) aimed at providing the Australian Government/ Department of Foreign Affairs and Trade (DFAT) with information to enable and inform strategic decision-making regarding the direction of the current program and possible future programming.

*Source: Government of Australia/
Department of Foreign Affairs and Trade*

The "ASEAN Sustainable Urbanisation Strategy" (ASUS)² is derived from the "Master Plan on ASEAN Connectivity 2025" (MPAC 2025) under the strategic area of Sustainable Infrastructure, which constitutes the overall strategic framework for the ASUS Project.

The MPAC 2025 (August 2016) was adopted at the 28th/29th ASEAN Summit³ in Laos on 6 September 2016 as successor to MPAC 2010. This was the first ASEAN Summit following the formal establishment of the ASEAN Community on 31 December 2015. The ASEAN Connectivity Coordinating Committee (ACCC) is the body for monitoring and evaluating progress of MPAC and challenges. The MPAC 2025 and the Initiative for ASEAN Integration (IAI Work Plan III) form part of the ASEAN 2025: Forging Ahead Together⁴ to support the implementation of the three ASEAN Community Blueprints (Political-Security Blueprint 2025; Economic Community Blueprint 2025; and Socio-Cultural Community Blueprint 2025) – as introduced in the ASEAN Community Vision 2025.

The MPAC 2025 comprises five overall strategic objectives: Sustainable Infrastructure; Digital Innovation; Seamless Logistics; Regulatory Excellence; and People Mobility. A sub-strategic objective under Sustainable Infrastructure is "Increase the deployment of smart urbanisation models across ASEAN" having the associated initiative "Develop sustainable urbanisation strategies in ASEAN cities" – resulting in the ASEAN Sustainable Urbanisation Strategy (2018) and subsequently the ASUS Project. According to the Mid-Term Review (MTR 2021) of MPAC 2025, the initiative on "Sustainable Urbanisation" progressed well and has achieved a high 'value addition' provided by MPAC 2025 during the active interventions of ACCC and the Lead Implementation Body for Sustainable Infrastructure (LIB-SI).⁵ The MTR was conducted approx. two years after the formulation of the ASEAN Sustainable Urbanisation Strategy and one year after formulating the ASUS Project.

1 UN-Habitat. November 2019. Draft Project Document/ Status: Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy, 4th para p.6.

2 ASEAN. August 2018. ASEAN Sustainable Urbanisation Strategy.

3 ASEAN was founded in Bangkok, Thailand on 8 August 1967 when the five founding members – Indonesia, expanded and enlarged its membership with the inclusion of Brunei Darussalam, Cambodia, Lao PDR, Myanmar, and Viet Nam. The ASEAN Summit is ASEAN's highest policy-making body.

4 ASEAN. November 2015. Forging Ahead Together.

5 Source: Exhibit 2 p.4, MTR of MPAC (2021).

The ASEAN Sustainable Urbanisation Strategy (ASUS)⁶

The preparation of ASUS was based on an analysis of prevalent urbanisation trends at the global, regional, sub-regional, national, and sub-national levels that are shaping urbanisation in the ASEAN region. Eight major trends that shape urbanisation were identified, based on a comprehensive review of relevant literature and extensive consultation with policymakers, urbanisation practitioners and experts:

1. Urbanisation is rising – particularly in middleweight cities.
2. Cities are becoming increasingly independent.
3. Digital technologies are transforming cities and governments are increasingly turning to technology to manage and monitor their cities.
4. Economic growth is neither inclusive nor equally distributed.
5. Urban sprawl is creating concerns for congestion, economic efficiency, and cultural heritage.
6. The resource footprint in cities is expanding.
7. Increasing emphasis is placed on maintaining the rule of law, among others in relation to new threats such as cyber-security.
8. Non-communicable diseases are becoming more prevalent amongst urban populations.

The ASUS was launched in November 2018. The ASUS employs a framework based on six areas: 1) civic and social; 2) health and wellbeing; 3) security; 4) quality environment; 5) built infrastructure; and 6) industry and innovation.

Table 1.1: Main intervention areas and sub-areas

#	Main intervention areas	Sub-areas
1	Civic & social	1. Social cohesion 2. Inclusive & equitable growth* 3. Culture & heritage 4. Tourism
2	Health and well-being	5. Housing & home* 6. Healthcare 7. Other public services
3	Security	8. Personal safety & security* 9. Cyber security
4	Quality environment	10. Water, waste & sanitation* 11. Energy 12. Food
5	Built infrastructure	13. Mobility* 14. Building & construction 15. Urban resilience*
6	Industry and innovation	16. Entrepreneurship & innovation 17. Trade & commerce 18. Education*

Note: The sub-areas marked with () have been selected by ASEAN city leaders as priority sub-areas.*

The ASUS identified 7 priority sub-areas of sustainable urbanisation and 8 respective priority actions in consultation with Dialogue Partners (DPs) and other External Partners (OEPs).

Table 1.2: Priority sub-areas and identified actions

#	Sub-area	Action
1	Inclusive & equitable growth	Introduce and improve access to digital payment solutions to enhance financial inclusion
2	Housing & home	Develop and expand affordable housing solutions
3	Personal safety & security	Introduce digital solutions to enhance safety and security in cities
4	Water, waste & sanitation	Enhance solid waste management systems
5	Mobility	Introduce and improve Bus Rapid Transit (BRT) systems
		Develop and enhance traffic management
6	Urban resilience	Develop flood management systems
7	Education	Develop digital skills through 'industry boot camps'

ASUS contains two toolkits for cities to utilise:

- Toolkit 1: Prioritising focus areas and actions for enhancing sustainable urbanisation.
- Toolkit 2: Sustainable Urbanisation Action Templates

ASUS provides a strategic framework and presents potential solutions to pursue sustainable urbanisation. ASUS is closely aligned with the ASEAN Smart Cities Network (ASCN). The ASEAN cities will be the key implementers facilitated by the ASEAN member states (AMS) and assisted by various development partners.

The ASUS Project⁷

The rationale for the ASUS Project was derived from the recognition of the need to enhance the capacity at the local level to develop credible action plans and viable project proposals to sustainable acceleration consistent with the ASUS strategy and development framework.

The *overall project goal* was to contribute towards: i) enhancing ASEAN connectivity; ii) achieving higher quality of life, competitive economy, and sustainable environment; iii) accelerating the implementation of sustainable urbanisation in the ASEAN region in alignment with the New Urban Agenda (NUA) to achieve a realistic part of the Sustainable Development Goals (SDGs).

Project objectives:

1. Promote implementation of sustainable urbanisation projects within the ASUS framework.
2. Disseminate knowledge and lessons learned on sustainable urbanisation in ASEAN to encourage other cities to adopt ASUS in their urban development plans.
3. Expand the knowledge base on sustainable urbanisation in ASEAN.

Project outputs:

1. Technical proposals for up to eight participating cities within ASEAN in implementing ASUS.
2. ASEAN Sustainable Urbanisation Forum.
3. ASEAN Sustainable Urbanisation Report.⁸

The following cities were selected for inclusion in the ASUS Project based on their expressed interests:⁹

1. Mandalay City, Myanmar
2. Hatyai City, Thailand
3. Shah Alam City, Malaysia
4. Kep City, Cambodia
5. Kaysone City, Laos

⁷ Source: UN-Habitat, AADCP II. May 2020. Inception Report: Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy.

⁸ The title was changed from Report on the "State of Urbanisation in ASEAN" with ASEAN's consent.

⁹ ASUS City Technical Proposals

6. Sa Pa City, Vietnam
7. General Santos City, The Philippines
8. Tomohon City, North Sulawesi, Indonesia

The key stakeholders in the ASUS Project are citizens in intermediary and secondary cities in the ASEAN region, the cities' local governments, CSOs, NGOs, and academia. Moreover, national governments and the ASEAN Community.

1.2 Purpose, objectives, and scope of the Evaluation

The purpose, objectives and scope are as stated in the evaluation's Terms of Reference (ToR) dated December 2022, (See Annex 1).

Purpose

The evaluation aims to serve dual purposes of accountability and learning. It is intended to enhance accountability by providing UN-Habitat management and its governing bodies, the project team, project donor, target cities and other key stakeholders with an independent evaluation of whether the project has achieved the planned results. Also, in keeping with UN-Habitat's commitment to helping programmes and projects learn and improve, the evaluation serves the purpose of contributing to enhanced learning to understand what worked well, what did not, operational experience, opportunities and challenges.

The evaluation is undertaken to assess the performance of the ASUS Project, the extent to which it has been relevant, efficient, effective, and sustainable, as well as to assess changes at outcome level and emerging impact¹⁰ to identify lessons to inform the implementation of a next phase. The evaluation will assess how gender, human rights, youth, and climate change were elements of the project. The sharing of findings from the evaluation will inform UN-Habitat, ASEAN Secretariat, ASEAN Member States, AADCP II Management, city governments and stakeholders, on what was achieved and learned from the Project.

Objectives

The specific objectives of the evaluation as provided in the ToR are:

1. To assess the design, implementation, and achievement of results at the objective, outcome, and output level of the ASUS Project. This will entail analysis of actual versus expected results achieved by UN-Habitat;
2. To assess the Project's value-for-money, visibility, and performance of the Project in terms of relevance, efficiency, effectiveness, sustainability, and impact outlook;
3. Assess appropriateness of planning, implementation working modalities, coordination, cooperation, partnerships, and management; and how they contributed to achieving the planned results of the project; and assess the effects of Covid-19 pandemic on the project;
4. Assess how social inclusion issues of gender equality, youth, human rights as well as social and environmental safeguards were integrated and impacted by the programme;
5. Taking into account intended users of the evaluation, identify lessons learned and provide recommendations for improving future similar projects.

Scope

The evaluation covered the period from the start of the Project in January 2020 up to completion in November 2022 when most of the activities had been conducted and outputs achieved. The ASUS Project was conceived as a standalone project. As ASEAN was open to a longer-term engagement when formulating the ASUS Project, a reference to a potential second phase was mentioned in the ASUS Project Inception Report, but the details were not concluded at the time. Nonetheless, the cities' aim would in all probability be to implement their respective City Technical Proposals (CTPs) with whatever resources are at hand.

¹⁰ The emerging impact in terms of transforming the cities will only occur during and after the proposed interventions have been implemented.

Accordingly, the evaluation period was extended up to 2025 to consider potential support options for implementation and the associated potential impacts. The successor programme for AACDP II, the Australia for ASEAN Futures – Economic and Connectivity (Aus4 ASEAN Futures Initiative), is considered a potential source of support. The evaluation will be evidenced-based and is to assess as objectively as possible the ASUS Project's relevance, efficiency, effectiveness, impact outlook, and sustainability in the 8 targeted cities and the wider scope of accelerating the ASUS in the ASEAN countries. In principle, the evaluation covers all 10 ASEAN countries, but Singapore is not included as it is a mega urban conglomerate.

Management and conduct of the evaluation

UN-Habitat commissioned the evaluation which is characterised as a 'centralised evaluation' managed by the Evaluation Unit with support of external evaluators to "assess programmes and projects of corporate strategic significance concerning development effectiveness, organisational performance, and normative and operational coherence".¹¹ The evaluation of the ASUS Project was managed by the UN-Habitat Evaluation Unit in close collaboration with the Regional Office for Asia and the Pacific (ROAP). The Evaluation Unit provided guidance and assured quality of the evaluation products. The Evaluation Unit had the overall responsibility to ensure contractual requirements were met and approve all deliverables (i.e., Inception Report with work plan, draft and final Evaluation Report). The ASUS Project management team at the UN-Habitat Bangkok Programme Office/ROAP provided logistical support, submitted all necessary reference documents, and facilitated interviews with stakeholders and responded to all the evaluator's queries.

The evaluation consultant, Per Kirkemann¹² commenced the assignment on 5 January 2023. The launch meeting took place on 19 January 2023 with staff from the UN-Habitat Evaluation Unit and the UN-Habitat Bangkok Programme Office to discuss the draft Inception Report dated 11 January 2023 which was adopted in principle at the launch meeting and concluded on 23 January 2023. The present Evaluation Report takes its point of departure from the Inception Report. The List of Persons Consulted is attached as Annex 2 and the List of Documents Consulted as Annex 3.

The evaluator would like to express his thanks to everyone consulted during the assignment for allocating their valuable time and for sharing their knowledge and experience. The Evaluation Report presents the findings, conclusions and recommendations of the evaluator and presents views, which may not necessarily be shared by UN-Habitat, AACDP II, ACD/ASEC.

Outline of the Evaluation Report

Chapter 1 outlines the background and context for the ASUS Project with Section 1.2 presenting purpose, objective, and scope of the evaluation. Chapter 2 presents a brief overview of the ASUS Project and the organisational set-up. Chapter 3 outlines the evaluation approach and methodology, including considerations on the application of a Theory of Change (ToC) approach and the elaboration of the Evaluation Matrix. Chapter 4 presents the findings related to the evaluation questions based on the desk review, questionnaire survey and interviews with stakeholders. Chapter 5 presents the conclusions on the Project's achievements and performance. Chapter 6 elaborates on the lessons learned for replication and observations for dissemination of results. Finally, Chapter 7 presents the recommendations for the proposal stage and follow-up measures.

11 Centralized evaluations are independent assessments managed by the UN-Habitat Evaluation Unit with support of external evaluators. Source: UN-Habitat Evaluation Manual (2018) p.14.

12 Per Kirkemann, Partner of Nordic Consulting Group, Denmark



2. OVERVIEW OF THE ASUS PROJECT AND ORGANISATIONAL SET-UP

The ASUS Project aimed to promote the overall ASUS Framework through local and regional levels outputs. At the city level, the ASUS Project covered three of the ASUS Framework’s six main areas and potentially eight of the sub-areas, four of which have been categorised as priority sub-areas, see Table 2.1. The ASUS Project is intended to accelerate sustainable urbanisation during the period 2020 to 2022 and could potentially support the achievement of the expected ASUS outcomes by 2025, provided that a second phase of intensified action at the

local level between 2023 to 2025 is agreed upon by the Australian Government, Department of Foreign Affairs and Trade (DFAT) and ASEAN and/or possible other funding providers. The Project places special emphasis on small to medium-sized cities and intermediate cities, which are witnessing most of the growth in the ASEAN region over recent years, and which will continue to exhibit significant upward population and economic trends.

Table 2.1: Main and Sub-areas selected by participating cities

City	Country	Main Area	Sub-Area	Title Technical Proposal
Kep	Cambodia	Quality Environment	<ul style="list-style-type: none"> • Water, waste & sanitation* • Energy • Food 	Enhancing Solid Waste Management Systems (SWM) in Kep City
Tomohon	Indonesia	Security	<ul style="list-style-type: none"> • Personal safety & security* • Cyber security 	Digital Solution Strategy to Enhance Safety and Security
Kaysone	Laos	Built Infrastructure	<ul style="list-style-type: none"> • Mobility* • Building & construction • Urban resilience* 	City Sustainable Transport Master Plan
Shah Alam	Malaysia	Security	<ul style="list-style-type: none"> • Personal safety & security • Cyber security 	Digital Solution Strategy to Enhance Safety and Security
Mandalay	Myanmar	Quality Environment	<ul style="list-style-type: none"> • Water, waste & sanitation* • Energy • Food 	Inclusive Solid Waste Management System for Mandalay
General Santos	Philippines	Built Infrastructure	<ul style="list-style-type: none"> • Mobility* • Building & construction • Urban resilience* 	City Sustainable Transport and Traffic Management Plan
Hatyai	Thailand	Security	<ul style="list-style-type: none"> • Personal safety & security* • Cyber security 	Improve Safety and Security through Digital Applications
Sa Pa	Vietnam	Built Infrastructure	<ul style="list-style-type: none"> • Mobility* • Building & construction • Urban resilience* 	Integrated City Transport Master Plan

Note 1: The sub-areas marked with () have been selected by ASEAN city leaders as priority sub-areas.*

Table 2.2: Priority actions expressed by 30 interested cities

Action	Percent
Enhance solid waste management systems	50
Introduce digital solutions to enhance safety and security in cities	20
Introduce and improve Bus Rapid Transit (BRT) systems	14
Develop and enhance traffic management systems	13
Develop and expand affordable housing solutions	3

Note: IR p. 26

The ASUS Project's main target groups are:

- At community level: urban and peri-urban residents and communities.
- At city level: local governments and local stakeholders.
- At national and sub-national level: ministries and departments and other national/provincial bodies that have a mandate to influence, maintain and develop urban infrastructure and services.
- At regional level: ASEAN sectoral bodies responsible for transport, energy, climate environment, health, production, Information, Communication and Technology (ICT).

The selected cities should be part of at least on city network in ASEAN:

- ASEAN Smart Cities Network (ASCN)
- SDG Frontrunner Cities Programme
- Environmentally Sustainable Cities (ESC) Model Cities
- ASEAN Mayors Forum
- Brunei Darussalam-Indonesia-Philippines – East ASEAN Growth Area (BIMP-EAGA)
- Indonesia-Malaysia-Thailand – Growth Triangle (IMT-GT)
- Greater Mekong Subregion (GMS) Corridor Towns

Table 2.3: The ASUS Project organisational set-up

Entity	Location
Lead Agency	ASEAN Secretariat, Jakarta
Funder	AADCP Phase II
Lead executive agencies	ASEAN Connectivity Division of the ASEAN Secretariat UN-Habitat: <ul style="list-style-type: none"> • Regional Office for Asia and the Pacific (ROAP), Fukuoka • Bangkok Programme Office
Project Coordinator	UN-Habitat, Bangkok Office
Project Manager	UN-Habitat, Bangkok Office
Local Project Officers	ASUS Project participating countries and/or UN-Habitat Country Officers
Expert Management Group	Member located in various countries
Local Government	In the eight selected cities
City Steering Group	In the eight selected cities (where relevant)
Local Consultative Groups	In the eight selected cities (where relevant)

Following the city's decision on which of the ASUS Framework's six main intervention would be the preferred one, the substance and scope of the City Technical Proposal were determined and concluded and recorded in four main steps:

1. City Consultation Report
2. City Diagnostic Exercise
3. City Diagnostic Report
4. City Technical Proposal

The experience from preparing the City Technical Proposals provided inputs to the other two main outputs of the ASUS Project:

- **ASEAN Sustainable Urban Forum (ASUF):** ASUF is envisioned to: (a) focus on capability development (cities with the ASUS toolkits and how to implement them); (b) target ASUS priority sub-areas; and (c) be broad-based in terms of participants.
- **ASEAN Sustainable Urbanisation Report (ASUR):** ASUR provides an analysis of the main urbanisation trends in the region based on the ASUS Framework and increases the alignment of ASUS with other global agendas such as the New Urban Agenda.

Extracts from the ASEAN Sustainable Urbanisation Forum (December 2021)

Today, more than half of ASEAN people live in urban areas and an additional 70 million people are forecast to live in ASEAN cities by 2025, making sustainable and inclusive urbanisation a key priority to achieve the objectives of the ASEAN Community Vision 2025 and to raise the living standards of local communities. In all ASEAN Member States (AMS), economic growth is occurring at a rapid pace not only in mega-cities, but increasingly in secondary and middleweight cities, with populations between 500,000 and five million. These cities urgently need to provide citizens with sustainable urban infrastructures to narrow existing developmental gaps, strengthen resilience, promote innovation, and improve well-being.

For the first time in October 2021, ASEAN convened a multi-stakeholder forum dedicated to promoting sustainable urbanisation in the region. The ASEAN Sustainable Urbanisation Forum (ASUF) served as a platform to promote connectivity, knowledge sharing, and learning opportunities for ASEAN Member States, ASEAN cities, and ASEAN people. ASUF was held virtually on 6-8 October 2021 with 1,400 registered participants (the majority being from AMS) and established a multi-stakeholder platform for knowledge sharing and policy development. ASUF was a three-day event engaging with ASEAN cities, city and provincial officials, relevant ministries and government agencies across AMS, ASEAN Dialogue Partners and Other External Partners, international organisations, private sector, NGOs, associations and experts, and other selected stakeholder organisations from relevant networks. ASUF served as a platform to review and discuss the development of the "ASEAN Sustainable Urbanisation Report (ASUR)", which subsequently was drafted with technical support from UN-Habitat and publicised in December 2022. ASUF was conducted at a point in time to pause and take stock of the effects of the COVID-19 pandemic on ASEAN cities. The event brought stakeholders and AMS cities together to share actions and policies adopted to address COVID-19 towards a sustainable and resilient recovery.

Building on experiences from the World Urban Forum, regional and sub-regional urban forums, and national urban forums that are growing in number in Southeast Asia, ASUF aimed to contribute to the achievements of regional and global development agendas. In this context, ASUS represents the key means to ground the discussion on the SDG and NUA in practical action towards a sustainable future. The number of registered participants was 1,400 from 48 countries and with a representation from AMS at 82 percent. The participants represented national, regional, and local governments, academia, the private sector, civil society organisations and NGOs, international organisations, and finance institutions, etc.



Mogok is a city in the Pyin Oo Lwin District of Mandalay Region of Myanmar. © Shutterstock/Han Myo Htun

An invitation-only Expert Group Meeting (EGM) was convened to guide the development of the ASUR. The EGM was held as a side event of ASUF. As the Report entered its content development phase, regional and international expert input was sought to strengthen its context and content, enhance the Report's knowledge base, and enhance engagement with regional partners. 18 regional and international experts on sustainable urbanisation, all based in AMS or with experience working in the region, were invited to contribute at the EGM. Experts were invited based upon their experience, knowledge of, and understanding of ASUR's four key pillars.¹³ In addition, UN-Habitat Local Project Officers of the ASUS project joined the EGM to add local perspectives to the discussion. The four pillars are:

1. Mobilising resources in secondary cities
2. Strengthening governance for more resilient ASEAN cities

3. Planning for sustainability in secondary ASEAN cities
4. Realising smart urban transformation in secondary ASEAN cities

Extracts from the ASEAN Sustainable Urbanisation Report (29 December 2022)

Over the last few decades, the Association of Southeast Asian Nations (ASEAN) has urbanised at an extraordinary rate and is set to continue doing so for years to come. While half (50.1 per cent) of the ASEAN region's population were urban in 2020, this figure is projected to rise to 55.6 percent in 2030, a total of almost 405 million urban residents.¹⁴ Within the ASEAN region, however, there is still significant variance between countries where the population is entirely urbanised and others where the majority of the population still live in rural areas, see Table 2.4.

¹³ The four key pillars are transformed into the four enablers in ASUR, see Table 2.5.

¹⁴ In 2030, the ASEAN population is projected to increase to 727 million people (an increase of 9.5 percent compared to 2021) of which 405 million will be urban residents (an increase of 20.5 percent compared to 2021).

Table 2.4: ASEAN population trends 2021-2030

Country	Total pop 2021	Urban pop 2021	Urban % 2021	Urban % 2025	Urban % 2030
Brunei	430.0	338.0	78.6	79.7	81.1
Cambodia	16,592.1	6,520.7	39.3	26.5	29.0
Indonesia	272,248.4	155,998.3	57.3	59.8	62.8
Laos	7,337.8	2,707.6	36.9	39.6	42.9
Malaysia	32,576.3	25,311.8	77.7	79.7	81.8
Myanmar	55,295.0	16,643.8	30.1	32.8	35.0
Philippines	110,198.0	52,564.4	47.7	49.0	50.9
Singapore	5,453.6	5,453.6	100.0	100.0	100.0
Thailand	65,213.0	34,041.2	52.2	55.0	58.4
Vietnam	98,506.2	36,545.8	37.1	40.9	44.5
Total/Average	663,850.4	336,152.2	50.6	52.9	55.7

Source: 2021 figures, ASEAN. 2022. *Statistical Highlights*.
 2025 and 2030 figures, ASEAN. 2022. *ASEAN Sustainable Urbanisation Report*.

AMS and their cities require supportive institutions and improved urban governance, a more integrated approach to master planning and development, improved access to partnerships and funding, and the ability to implement smart urbanisation through digital infrastructure and applications. In many urban contexts – particularly informal settlements and secondary cities with limited resources at their disposal – these conditions are not in place.

In the ASEAN region, as elsewhere, policy resources and research have until recently concentrated predominantly on larger cities and capitals at the expense of secondary urban areas. However, as the ASEAN Sustainable Urbanisation Strategy (ASUS) and other frameworks have emphasised the importance of smaller cities, more attention is now being focused on the specific challenges and opportunities presented in these cities. Secondary cities have also produced an array of positive practices and solutions that have the potential to be replicated across the region to promote sustainability, particularly regarding a stronger urban-rural continuum and enhancing connectivity. Secondary cities can promote more balanced development, supporting the growth of more diffuse economic hubs as a counterpoint to the dominance of larger cities and capitals. Proper support, funding and infrastructure within secondary cities can

reward even modest investments to boost sustainable urban development within cities and surrounding rural areas. Realising the full social and economic potential of secondary cities in ASEAN is therefore essential to sustainable urban development.

The response and recovery processes from the COVID-19 pandemic further reinforce the importance of tightening the linkages between local, regional, and global efforts and agendas. ASEAN has set ambitious plans and strategies promoting greater connectivity within the region and identified sustainable States and cities. The ASUS, published in 2018 as one of the initiatives under the Master Plan on ASEAN Connectivity 2025 (MPAC 2025), not only provides cities with a framework for prioritisation and development of urban interventions but also helps to guide and enable the roll-out of various influential regional initiatives, such as the ASEAN Smart Cities Network. Since the publication of the ASUS, an increasing number of programmes have emerged across the ASEAN region, driven, and shaped by this broader commitment to sustainable urbanisation. Within this context, there are many positive stories and lessons to share – characterised by innovation and a growing commitment to achieving inclusive, liveable, environmentally sound sustainable urban development across the ASEAN region.

The ASEAN Sustainable Urbanisation Report is composed of two main sections: 1) Enablers for achieving urban sustainability; and 2) Priority areas for achieving urban sustainability. The Report begins by examining and contextualising the four overarching “enablers” for city-level action identified in the ASUS, providing an overview of their key challenges and potential benefits, see Table 2.5. These enablers are used as cross-cutting areas of analysis for the seven “priority sub-areas” identified in the ASUS, see Table 2.6.

Table 2.5: Enablers for achieving urban sustainability

Enablers	Key topics
Dynamic urban governance	<ul style="list-style-type: none"> • Bridging the capacity gap • Promoting collaborative governance • Linking local action with global commitments
Integrated master planning and development	<ul style="list-style-type: none"> • Promoting an integrated approach to planning • Strengthening the urban-rural continuum • Promoting sustainable urban design
Partnership and funding	<ul style="list-style-type: none"> • Enhancing financial self-sufficiency • Increasing bankability • Delivering inclusive finance
Digital infrastructure and funding	<ul style="list-style-type: none"> • Realising the benefits of smart urbanisation • Tackling the digital divide • Safeguarding human rights online

Table 2.6: Priority areas for achieving urban sustainability

Priority areas	Key topics
Urban resilience	<ul style="list-style-type: none"> • Promoting nature-based resilience • Strengthening social resilience • Enhancing preparedness
Housing and home	<ul style="list-style-type: none"> • Tackling unaffordability and housing shortfalls • Improving liveability • Protecting urban land rights
Water, waste, and sanitation	<ul style="list-style-type: none"> • Making service exclusion visible • Addressing gaps in service provision • Implementing the “whole system” approach
Mobility	<ul style="list-style-type: none"> • Embracing a new vision for urban mobility • Planning locally appropriate and inclusive transit • Transforming urban mobility
Inclusive and equitable growth	<ul style="list-style-type: none"> • Promoting decent employment • Alleviating vulnerability • Strengthening cohesion and equality
Personal safety and security	<ul style="list-style-type: none"> • Creating safe streets • Adopting smart approaches to urban safety • Preventing online threats
Education	<ul style="list-style-type: none"> • Fostering lifelong learning • Adapting to economic change

ASEAN has already established several productive regional platforms for this purpose, with significant involvement from secondary cities, where most of the region's urban growth is now taking place. Although policy and research in ASEAN, as elsewhere, have in the past concentrated predominantly on larger cities and capitals at the expense of secondary urban areas, this dynamic has changed as new programmes and partnerships emerging from smaller cities demonstrate their extraordinary potential for learning and innovation – and the lessons that larger cities can also glean from them.

Given the many challenges that cities face in achieving sustainability, the need for a shared response founded on diverse and inclusive urban partnerships is more urgent than ever. The pressures facing cities across ASEAN today cannot be ignored: decisive and sustained action is necessary to ensure that the aspiration of urban sustainability is translated into reality. However, as highlighted through these pages, these are challenges that do not need to be faced alone. ASEAN, its Member States, and cities have already shown what can be achieved by working together. Continued and improved implementation of frameworks such as ASUS, strengthened international partnerships, regional networks and city-to-city exchanges, and increased

efforts to localise and support the SDGs and the NUA represent key actions to achieve the shared benefits of urban sustainability. Looking towards 2025 and beyond, these efforts exemplify the connectivity and cohesion that ASEAN is committed to achieving – one founded on cooperation, inclusion, and innovation.

Finance is key to ensuring that cities are capable of investing in the infrastructure and services that their citizens need. This means not only enhancing self-sufficiency through improved revenue generation, but also increasing access to credit and loans. Traditionally, local governments have had limited ability to source financial assistance directly from international donors and institutions, leaving them dependent on agreements brokered with central governments. This is beginning to change, however, with various innovative credit schemes that are aimed at increasing direct funding to cities to support locally led urban development. Crucially, these initiatives combine budgetary support with technical capacity-building so that local governments are better positioned to design “bankable” and economically feasible projects. At the same time, there is also an increasing emphasis on community-based funding and green finance to channel resources directly into poverty reduction and environmental sustainability efforts.



Tragic situation of the north Selangor flood following heavy rainfall in Shah Alam, Selangor, Malaysia. © Shutterstock/Syariff Hidayatullah



3. APPROACH AND METHODOLOGY

3.1 Approach

The United Nations Evaluation Group's (UNEG) Norms and Standards for Evaluation¹⁵ will be applied. The evaluation related to the five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact, and sustainability (which are compatible with the OECD/DAC criteria¹⁶; UN-Habitat Evaluation Policy (2013)¹⁷; the Revised UN-Habitat Evaluation Framework (2016)¹⁸; and the UN-Habitat Evaluation Manual (2018)¹⁹. The evaluation was conducted in four consecutive phases: 1) the inception phase; 2) the desk phase; 3) the analysis and synthesis phase – which includes the resulting analysis, findings, conclusions, overall lessons learned, recommendations; and 4) the dissemination phase.

OECD/DAC revised and updated the Evaluation Criteria in 2020.²⁰ Coherence (How well does the intervention fit?) was added as a new criterion. The intent is to "capture perspectives that were not covered previously, including partnerships and linkages, and to understand interventions within broader systems. The compatibility of the intervention with other interventions in a country, sector or institution. The extent to which other interventions (particularly policies) support or undermine the intervention, and vice versa. The criterion includes **internal** coherence and **external** coherence: Internal coherence addresses the synergies and interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonisation and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort".

UNEG has commented on the OECD/DAC Document and suggested some further considerations but has since embraced and adapted the criterion.²¹ Advancement of system-wide coherence for sustainable urbanisation is mentioned in the ToR (ref. Section 2.1, 1st para), but not included as a criterion in the list of evaluation questions which is based on the five original evaluation questions (ref. ToR, Chapter 6). Nonetheless, an assessment of the ASUS Project's coherence will be included in the Evaluation Report's Chapter 4 on findings and performance.

The outlines of Theory of Change (ToC) presented in the ASUS Project Document and Inception Report relate specifically to what could have been accomplished within the 'Project Preparation Phase'. They do not envision the longer-term outcomes and impacts necessary for elaborating a longer-term ToC. The first Phase ASUS Project preparation was meant to kickstart the implementation of ASUS at city level resulting in a first set of intervention proposals. A potential second phase was expected to build on the results from the first Phase by increasing the number of cities that will adopt the ASUS and consolidate the approach to sustainable urbanisation.

The overall goal as stated in the Project Document is: "Accelerating the implementation of the ASEAN Sustainable Urbanization Strategy". The ASUS Inception Report contains a detailed results framework at 'output level' (ref. Logical Framework p.30-31) with Key Performance Indicators (KPIs) for the ASUS Project's three outputs. The city level technical proposals have elaborated ToCs incorporating the 'outcome level' but not the 'impact level'. The current commitment by Australian Aid and ACD does not include development funding for implementation of the cities' proposals.

15 UNEG. June 2016. Norms and Standards for Evaluation.

16 The OECD/DAC criteria have specific definitions for each criterion. In 2020 OECD revised and updated its evaluation criteria, which among others resulted in a new criterion Coherence: How well does the intervention fit?

17 UN-Habitat. January 2013. Evaluation Policy.

18 UN-Habitat. September 2015. Revised UN-Habitat Evaluation Framework. The UN-Habitat Evaluation Framework updates the requirements for the implementation of the UN-Habitat Evaluation Policy and is intended to address the low evaluation coverage, etc.

19 UN-Habitat. 2018. Evaluation Manual.

20 OECD. February 2020. Revised and Updated Evaluation Criteria: Better Criteria for Better Evaluation.

21 UN-Habitat Chief, Independent Evaluation Unit.



Sa Pa city, the high mountains, Lao Cai province, Vietnam. © Shutterstock/Melinda Nagy

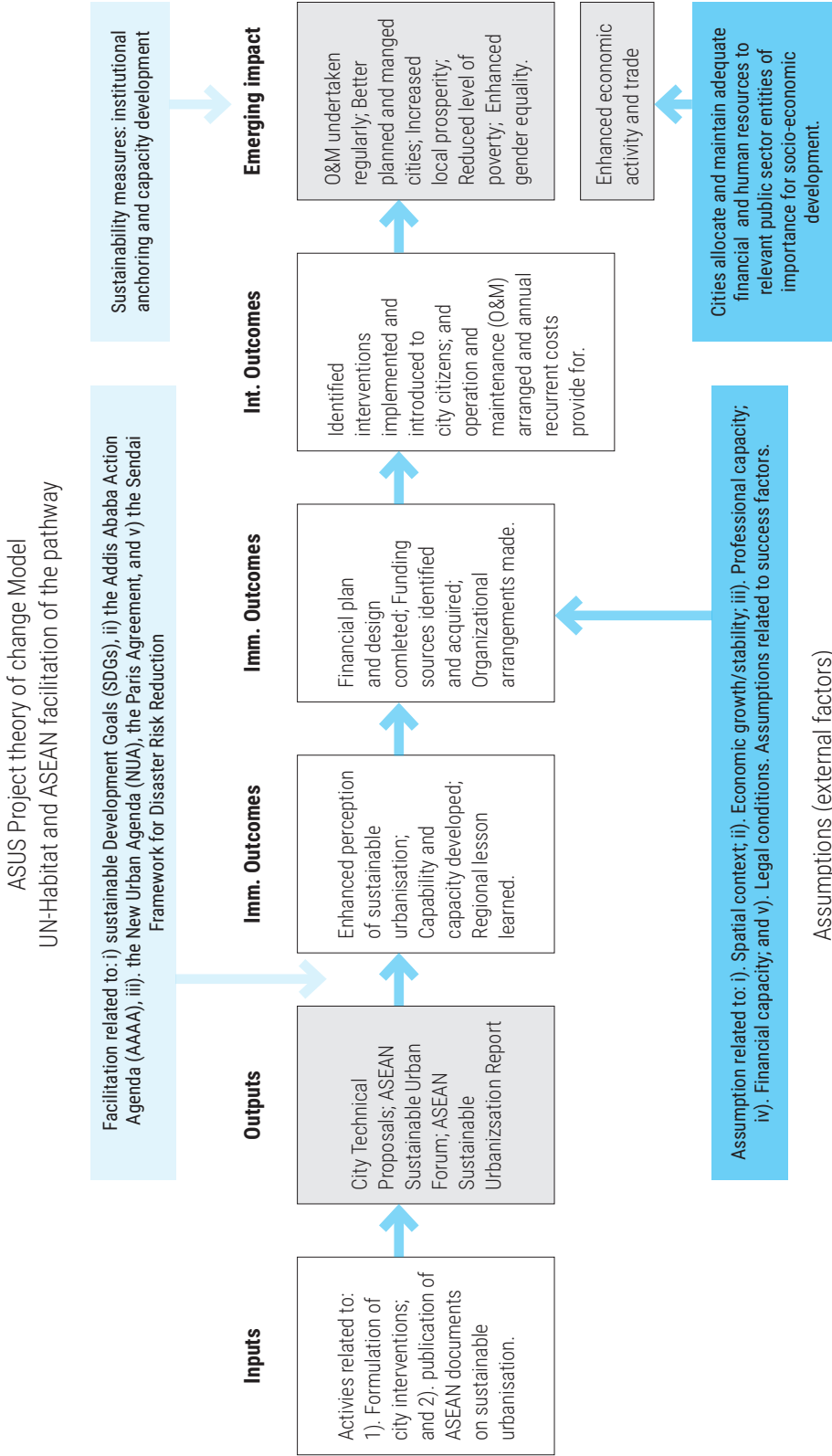
The application of the ToC approach as part of the analytical framework is emphasised in the UN-Habitat Evaluation Manual (2018). The ToC approach is presented in the Manual's Section 1.5 and its application in the Inception Phase in Section 5.2.²²

A reconstructed intervention logic/ Theory of Change generic model is presented in Figure 3.1 with a view to outlining the longer-term change process and establishing the overall framework for the evaluation

based on the Logical Framework as presented in the ASUS Project Inception Report and the cities' technical proposals. The ASUS Framework is complex and will have to be applied in different contexts with varying economic, institutional set-ups, and systems with diverse stakeholders. Each intervention will have its own causal pathway that will mainly consist of circular feedback loops.

²² UN-Habitat. April 2018. UN-Habitat Evaluation Manual.

Figure 3.1: Theory of Change Model for the ASUS Framework



Note: Immediate (Imm); Intermediate (Int)

The causal pathway of a ToC process may not necessarily occur automatically as the process can be affected by a number of external factors that could be either positive or negative. The change process could be driven by a number of supportive activities – ‘drivers’ – that facilitate the intended changes, such as support from and awareness of the targeted beneficiaries, a positive development of the national and/or the local enabling environments, and development partners’ support to achieving the SDG targets as incorporated in the intervention. The change process may also be affected by barriers beyond the control of the intervention implementers, some of which may be counteracted. The barriers could be deficiencies related to capacity, finance, legal, etc. aspects. As part of the Logical Framework Analysis (LFA) the attainment of results are adjusted with a view to minimising risks from external factors to an acceptable level, and assumptions are correspondingly made, which are subsequently monitored for risk mitigation. The ToC process could be combined with the Problem-Driven Iterative Adaptation (PDIA), see Box 3.1.



Tomohon City, Indonesia. © Shutterstock/ Reyhan Rezki Pratama

Box 3.1: The Problem-Driven Iterative Adaptation Approach

Capability traps can be avoided and overcome by fostering different types of interventions. The authors propose that efforts to build state capability should:

- i) aim to solve particular problems in particular local contexts;
- ii) create an ‘authorizing environment’ for decision-making that encourage experimentation and ‘positive deviance’;
- iii) involving active ongoing and experiential (and experimental) learning and the iterative feedback of lessons into new solutions, doing so by;
- iv) engaging broad sets of agents to ensure that reforms are viable, legitimate and relevant – that are politically supportable and practically implementable. This kind of intervention is proposed as an alternative approach to enhancing state capability and is called Problem-Driven Iterative Adaptation (PDIA). Capability is defined as what it takes to function effectively. Development interventions can be analysed at three levels: agents at front line and in leadership positions; organisations inhabited by agents; and the environment or ecosystems of organisations.

Source: "Matt Andrews et al. 2012. *Escaping Capability Traps through Problem-Driven Iterative Adaptation (PDIA)*".

3.2 Evaluation questions and matrix

The Evaluation ToR present the evaluation questions in relation to the five original evaluation criteria. These questions are incorporated in the Evaluation Matrix prepared for the evaluation of the ASUS Project, see Table 3.1. A few changes were proposed:

- EQ6 and EQ7 have been shifted from Effectiveness to Efficiency.
- EQ10 and EQ11 have been added under Effectiveness.
- EQ17 has been added under Sustainability.

While some results have been achieved during the first Phase of the ASUS Project in terms of capability, capacity, knowledge, and attitudes generated as part of the preparation process, some of the tangible results for the eight cities will only materialise when funding for implementation is accessible. Answering some of the questions relating to the period after the first Phase cannot be based on concrete evidence but will be based on circumstantial evidence.

Table 3.1: Evaluation questions and matrix

Evaluation Questions	Indicator	Means of Verification
Relevance		
1. To what extent is the Project consistent with beneficiaries' requirement, country needs, national development goals, and partners' and donors' policies?	Degree of interventions' alignment with national and local development plans and donor policies.	<ul style="list-style-type: none"> • AusAid Development Policy. • AADCP II Goals and Objectives. • City Technical Proposals. • Questionnaire city officials. • Questionnaire project team.
2. Was the implementation strategy in line with and responsive to SDG 11 and NUA, and have assumptions and risks been adequately considered?	Degree to which interventions are responsive to SDG targets and NUA paragraphs. Integration of SDGs and NUA in the regional events and knowledge products.	<ul style="list-style-type: none"> • ASEAN Sustainable Urbanisation Report. • ASEAN Sustainable Urbanisation Forum Report. • City Technical Proposals. • City Diagnostic Reports. • Questionnaire city officials. • Questionnaire project team.
Efficiency/ Outputs		
3. How well were economically resources/inputs (funds, expertise, time, etc.) efficiently utilised and converted to results?	Key project developers' perception of the efficiency.	<ul style="list-style-type: none"> • Interviews with ASEC, AADCP II, and UN-Habitat. • Questionnaire city officials. • Questionnaire project team.
4. Did UN-Habitat demonstrate to have adequate capacity to design and implement the Project – including use of the ASUS Framework and Toolkits?	Key Project developers' assessment on UN-Habitat's capacity.	<ul style="list-style-type: none"> • Interviews with ASEC, AADCP II, and UN-Habitat. • Questionnaire city officials. • Questionnaire project team.
5. Were institutional arrangements adequate for implementing the Project and for delivery of expected outputs and outcomes?	Timely conduct of project activities and delivery of outputs.	<ul style="list-style-type: none"> • Interviews with ASEC, AADCP II, and UN-Habitat. • Questionnaire city officials. • Questionnaire project team.
6. To what extent have monitoring and reporting on the implementation of the project been timely, meaningful, and adequate?	Activities undertaken timely – considering the Covid pandemic.	<ul style="list-style-type: none"> • Questionnaire city officials. • Questionnaire project team.
7. Did the identification, design and implementation process involve local and national stakeholders, as appropriate?	Degree of ownership attained by national and local stakeholders.	<ul style="list-style-type: none"> • Questionnaire city officials. • Questionnaire project team.
Effectiveness/ Outcomes		
8. To what extent has the project been effective in achieving its objective of increasing the understanding of ASUS and accelerating its implementation in ASEAN and in the targeted cities? What is the quality of outputs delivered? Are they useful? How satisfied are the partners and beneficiary with the project/outputs?	Quality of outputs and stakeholders' attitude to ASUS.	<ul style="list-style-type: none"> • Review of core documents. • Interviews with ASEC, AADCP II, and UN-Habitat. • Questionnaire city officials. • Questionnaire project team.
9. What type of products and services did the project provide to beneficiaries through activities implemented?	Scope of City Technical Proposals	<ul style="list-style-type: none"> • Review of City Technical Proposals. • Questionnaire city officials. • Questionnaire project team.

Evaluation Questions	Indicator	Means of Verification
10. Were crosscutting issues of gender, human rights, climate change/ environment, and youth, including age and disabilities relevant to the Project and have they been appropriately integrated in the design, implementation, and delivery of the Project?	Appropriate inclusion of the crosscutting issues in the City Technical Proposals and in the regional events and knowledge products	<ul style="list-style-type: none"> • Review of City Technical Proposals. • Review of ASEAN Sustainable Urbanisation Report. • Review of ASEAN Sustainable Urbanisation Forum Report. • Questionnaire city officials. Questionnaire project team.
11. To what extent has the ASEAN Sustainable Urbanisation Forum contributed disseminate the ASUS concept?	Knowledge disseminated to national and local policy makers.	<ul style="list-style-type: none"> • Review of the Report on ASEAN Sustainable Urbanisation Forum. • Interviews with ASEC, AACDP II, and UN-Habitat.
12. To what extent has the ASEAN Sustainable Urbanisation Report influenced decisionmakers' attitude towards sustainable urbanisation?	Knowledge disseminated to national and local policy makers.	<ul style="list-style-type: none"> • Review of the Report on ASEAN Sustainable Urbanisation. • Interviews with ASEC, AACDP II, and UN-Habitat.
Impact/ impact outlook		
13. What is the overall impact of the project (directly or indirectly, intended, or unintended)?	Expected physical improvements by city and capacity developed for urban planning and management.	<ul style="list-style-type: none"> • Overall Project Completion Report and City Completion Reports. • Questionnaire city officials.
14. What are the positive changes to beneficiaries resulted from the Project?	Beneficiaries' expectations for improved urban management.	<ul style="list-style-type: none"> • Questionnaire city officials.
Sustainability and sustainability of approach		
15. To what extent did the project build capacity and ownership of stakeholders that contribute to sustainability?	Degree of participation in preparing the City Technical Proposals and associated commitments.	<ul style="list-style-type: none"> • City Consultation Reports. • City Diagnostic Reports. • Questionnaire city officials.
16. To what extent will the project be replicated or scaled up or institutionalised? Is the Project replicable or able to scale up at national or local levels?	Convincing results from the first Phase ASUS Project and further resource allocation.	<ul style="list-style-type: none"> • Interviews with AusAid, ASEAN Secretariat, AACDP II, and UN-Habitat.
17. Do the positive effects produced by the Project intended or unintended seem sustainable?	Actual results achieved by city and change in attitude to proactive urbanisation	<ul style="list-style-type: none"> • Project Completion Report. • Questionnaire city officials. • Questionnaire project team.
18. Have the cities development plans that accommodates urban growth and potential climate changes?	Availability of forward-looking plans (e.g., up to 2030)	<ul style="list-style-type: none"> • Questionnaire city officials. • Questionnaire project team.

3.3 Methodology

The potential target groups for discussions, interviews and questionnaire surveys are:

- ASEAN Secretariat (ASEC)/ ASEAN Connectivity Division (ACD)
- AACDP II
- UN-Habitat ROAP Office
- UN-Habitat Bangkok Programme Office and country offices in ASEAN.
- UN-Habitat ASUS Project management/ Local Project Officers
- City authorities

The methodology has been composed of tasks that will facilitate the validation of findings through a triangulation process. The triangulation process comprises findings from the document review, findings from interviews/ questionnaire surveys with stakeholders driving the project formulation process and beneficiary stakeholders. The main features of these tasks are:

- Desk review of relevant ASUS documents, see Annex 3.
- Semi structured interviews with UN-Habitat management, ASUS project management, ASEAN Secretariat/ACD, Australian Aid/AACDP II, see Annex 4.
- ASEAN Cities Survey Results.²³
- City Briefs on Kep (Annex 5), General Santos (Annex 6) and Hatyai (Annex 7) cities
- Questionnaire surveys targeting city officials and authorities, see Annex 8.

- Questionnaire surveys targeting Local Project Officers, see Annex 9.
- A debriefing session with the ACD/ASEC, UN-Habitat Programme Office in Bangkok and ASUS Project management team to validate the evaluator's findings and to assess the degree of consensus on conclusions, lessons learned and recommendations, to ensure the relevance of these for the conclusion of the first Phase ASUS Project.

As mentioned, the ASUS Project covers three of the ASUS Framework's six areas. A sample of three cities – out of the eight – is proposed for further in-depth assessments so that each of the three areas are covered. The proposed sample is presented in Table 3.2. Briefs of the City Technical Proposals are attached for Kep City as Annex 6, for General Santos as Annex 7, and for Hatyai as Annex 8. The briefs are excerpts from the City Technical Proposals and the City Diagnostic Reports with the intent of providing an overview of the respective interventions.

Table 3.2: Proposed sample of cities

City	Country	Main Area	Title Technical Proposal
Kep	Cambodia	Quality Environment	Enhancing Solid Waste Management Systems (SWM) in Kep City
General Santos	Philippines	Built Infrastructure	City Sustainable Transport and Traffic Management Plan
Hatyai	Thailand	Security	Improve Safety and Security through Digital Applications

3.4 Limitations to the Evaluation

The evaluation of the first Phase of the ASUS Project is characterised as a "Rapid Evaluation", to be concluded within four weeks, which affects the scope of the evaluation. Four weeks appears to be too short to enable stakeholder consultations and to accommodate feedbacks. The duration of the evaluation period was extended to cope adequately with the evaluation tasks.

The evaluation assignment does not include visits to key stakeholders nor any of the cities, which pose a limitation to acquisition of adequate evidence on outputs and outcomes at the city level, and the city authorities' expectations as regards benefits and impact. The lack of opportunity to meet with the primary target group – due to time and travel constraints – was compensated by interviews and questionnaire surveys – supported by information from the desk review – and thus generated circumstantial evidence.

²³ Annex 1: ASEAN Cities Survey Results (of the Closing Event Report, 5 April 2022). Before the Closing Event a survey was sent to the participating cities to collect feedback and reflections on the ASUS Project that could provide insight to a next phase.



4. FINDINGS ON PERFORMANCE AND ACHIEVEMENTS

This Chapter is informed by the desk review of project documents, the questionnaire surveys, the interviews with key stakeholders, and city briefs. Section 4.1 summarises the achievements of outputs and Sections 4.2 – 4.7 relate to the evaluation questions by evaluation criteria – except for the coherence criterion, which was added later in the process (ref. Section 3.1).

4.1 Achievements of the Project outputs

The three ASUS Project outputs have been achieved. All eight City Technical Proposals have been prepared, the ASUF has been held, and the ASUR publicised.

The **CTPs** (all submitted in April 2022) have been well elaborated through a consultative process with city stakeholders and within national frameworks for urban development and in accordance with the ASUS toolkits. The CTPs have developed ToCs that include the outcome level but not the impact level. The CTPs have budget estimates for implementing the interventions but limited information on sources of development funding and the associated costs of operation and maintenance (O&M).

The **ASUF** (7-8 October 2021) succeeded in establishing a multi-stakeholder platform for knowledge sharing and policy development that reached out to national and local governments, development partners, the private sector, NGOs, expert and network groups (ref. Chapter 2) and thus created increased awareness of urbanisation challenges. While challenges are somewhat similar across the AMS the means to address the challenges vary substantially by nation and city. The ASUS Project focussed intentionally on secondary cities as these were seen to absorb a relative larger part of urban growth – a strategy that would contribute to a more even distribution of urban growth. Nonetheless, the challenges of tertiary and mega cities remain.

The **ASUR** (December 2022) presents a transformative approach to achieving urban sustainability by elaborating a transformative approach with four enablers and seven priority areas. The enablers are overarching and are used as cross-cutting areas of analysis for the priority

areas. The ASUS contains a total of 18 sub-areas of which seven have been prioritised through a selection process to have some measure of focus. The other 11 sub-areas remain essential for urban development and management and will need to be addressed at a later stage.

4.2 Relevance of proposed city interventions

Consistency of the ASUS Project

The ASUS Project interventions are relevant to and consistent with beneficiaries' requirements as they have evolved through a consultative process and build on comprehensive diagnostic reviews guided by the ASUS Framework and supported through AADCP II. The primary beneficiaries are city dwellers and local government authorities; and the secondary beneficiaries are national and sub-national governments and ASEAN regional bodies. The interventions are generally aligned with local and national development plans and policies and have been facilitated by ASEAN's connectivity aspirations.

Responsiveness to SDGs and NUA

The CTPs are well aligned with the SDGs and NUA as demonstrated in the respective diagnostic reports. All interventions relate to several SDGs. The Diagnostic Reports indicate how SDGs and NUA paragraphs are specifically aligned to the specific intervention in question and are complemented with ASUS performance indicators for priority actions, which in some cases are more specific than the SDGs and NUA.

Considerations on assumptions and risks

Overall, the key assumption is that the ASUS Project has generated interest in and created awareness of the ASUS Framework to sustain local governments' commitment to pursue further acceleration of the ASUS. The participating local government assumptions are that financial and technical resources can be mobilised for implementation of their respective CTPs.

From the outset it was recognised that the implementation of the ASUS Project had some degree of uncertainty and that mitigation strategies had to be established to reduce or alleviate the risk impact. Typical identified risks were as outlined below were mainly divided into three categories:

- **Political:** Change of government; lack of political interest; and lack of budget allocations.
- **Operational:** Lack of coordination between national, provincial, and local governments; lack of coordination within the city administration; fragmented implementations strategy; lack of access to data; and lack of stakeholder participation.
- **Natural:** Unexpected occurrence of extreme weather and/or geological events; COVID-19, or other health outbreaks.

The probability of occurrence and impact level are indicated with low, medium, and high. Typical mitigation measures were: 1) enhanced communication between national, provincial, and local levels to tackle potential risks and to minimise delays; and 2) improved information to and communication with intervention stakeholders. One political risk that did materialise was when Myanmar's military took power on 1 February 2021 in a coup, which limited Mandalay City's participation in the ASUS Project and halted the UN agencies' development operations in Myanmar in accordance with UN Country Team's (UNCT) guidelines.

4.3 Coherence

Internal coherence: At the ASEAN regional level, the ASUS Project is coherent with the MPAC 2025 and its strategic objective of "Sustainable Infrastructure" and the sub-strategic objective "Increase the deployment of smart urbanisation models across ASEAN" leading to the ASUS which constitutes the regional framework for urbanisation initiatives. The ASUS Project is the initial initiative which is anticipated to be followed by a sequence of future initiatives that eventually will lead to widespread development of appropriate and maintainable urban infrastructure and services improving livelihood conditions for the benefit of urban citizens across ASEAN. At the city level, the ASUS Project interventions have strived to be coherent with national and local policies, legal provisions, and plans as elaborated in the CTPs.

External coherence: The various city networks that have been promoted in ASEAN, e.g., ASEAN Smart Cities Network, SDG Frontrunner Cities Programme, etc. (ref. p. 8) may have common features and criteria and thus there may be a substantial element of coherence and synergies – especially so if interventions have coincided in some cities. Some development partners have implemented complementary interventions, e.g., ADB's upgrading of the landfill infrastructure in Kep City having synergy with its CTP intervention on SWM. Unintentionally, there may be substantial coherence between the various interventions as they are driven by similar ambitions. Application of a common framework for sustainable urbanisation in ASEAN will enhance coherence and synergies.

4.4 Efficiency of the Project Preparation Phase

Cost-effectiveness

The majority of both city officials and LPOs found that resources have been used economically which led to the expected results, despite the delays COVID-19 pandemic caused. The Project expenditures were held within the contract amount. Due to COVID-19, some of the communication was switched over to online meetings saving time and travel costs. Due to the extraordinary situation some inputs were delivered in-kind to compensate for the delays.

Project Team's capacity to facilitate design and formulation of the technical proposal

The preparation of the CTPs was structured according to the ASUS Framework and Toolkits. City officials and LPOs generally found the ASUS Framework useful. However, in the case of Hatyai it was found that a few of the priority areas did not match the city context. Sa Pa expressed a need for translation into Vietnamese. The Toolkits required thorough study by the LPOs to understand and apply the concepts appropriately to the specific city contexts. The toolkits were found to be useful reference documents that guided stakeholders through the planning process, but some would prefer an abridged version that would make them accessible to more stakeholders. The Toolkits covered the areas adequately, but as regard sustainable transport Sa Pa City wanted more information to scope the intervention to their needs. Initially Sa Pa wanted a Bus Rapid

Transit (BRT) system, but this was deemed out of proportion compared to the actual needs. The successful cooperation of several organisations and stakeholder was evident in Vietnam (Sa Pa City).

City officials declared that they in future would be able to use the ASUS Framework without external assistance – except for Kep City that would still request some assistance. Nonetheless the cities would appreciate more assistance in selecting and prioritising which focus area to embark upon. All cities declared that they would need additional support for: funding opportunities, technology, and knowledge transfer.

Adequacy of institutional arrangements

City officials and LPOs generally found that the ASUS Project organisation facilitated project formulation and that results were achieved timely. The Project management played a great role in guiding the city teams. The assignment of one LPO for each city was essential for driving the proposal preparation process. The City Diagnostic Exercises were helpful for formulating the CTP and in creating partnerships with local stakeholders – although there had been some challenges in securing stakeholder participation.

Monitoring and reporting

City officials and LPOs found that monitoring and reporting were adequately flexible to cope with the set timeframe and the delays that the COVID-19 pandemic caused. Regular on-line progress meetings were held between Project management and LPOs to resolve various issues related to project identification. Internal and external communication were well maintained and adapted to the actual circumstances.

Progress and result monitoring for the city interventions during implementation will be measured at three levels: activity, output, and outcomes. The main bulk of performance indicators will be derived from: 1) ASUS Performance Indicators for Priority Actions; 2) SDG Framework and SDG Index; and 3) NUA Monitoring Framework. These sets of indicators are presented in the City Diagnostic Reports for the specific intervention. Indicators will be finally defined after consultation with local authorities before starting implementation – the associated data will be collected with the assistance of the city authorities.



Hatyai City, Thailand. © Shutterstock/AhXiong

Involvement of local, provincial, and national stakeholders

City officials and LPOs found that national, provincial, and local authorities have been involved in project identification and formulation as relevant resulting in cities' enhanced ownership. The exception is Mandalay City as the city authorities could not be engaged in the ASUS Project after the February 2021 military coup in Myanmar.

The cities' autonomy depends on the legal and governance framework as applicable in the ASEAN countries. The central and provincial governments are mandated certain obligations and responsibilities to which the local government must abide. These include among others transfer of budget allocations from the central and provincial governments to the local authorities, and local authorities' power to collect taxes and revenues. The city consultation process led to interaction with higher levels of government e.g., Ministry of Planning and Investment in Vietnam, and the Provincial Peoples Committee in Laos. City Steering Committees (or similar) are the coordinating bodies at local level.

4.5 Effectiveness in achieving the Project objectives

Extent to achieving the Project objectives

City officials and LPOs found that the Project objectives have been adequately achieved (ref. Section 1.1, p.3 on Project objectives). All cities would use the CTPs as a reference for future project development. As part of the Cities Survey that was conducted prior to the Closing Event, the cities were requested to decide which of four additional services compared to those the Project had provided would be in most demand. The 1st priority was to identify and secure funding for the CTPs and to support the achievements of the SDGs; the 2nd priority was technical support for implementation of the CTPs; and the 3rd priority was to ensure the respect of gender and inclusion principles.

Demand for services contained in the CTPs

City officials and LPOs found that the services contained in the CTPs were highly demanded and supported by the citizens. There was an unintended limited involvement of citizens during the identification and formulation of the CTPs due to the COVID-19 pandemic. The project interventions were, however, well debated during the consultative process with a view to securing alignment with city and national strategies and coordinated with local government forums.

Inclusion of crosscutting issues in CTPs

City officials and LPOs found that crosscutting issues of gender equality, disability, and social inclusion (GEDSI) have been integrated in the CTPs by presenting a dedicated GEDSI Framework, which were adapted to the scope of the intervention of the chosen sector. Prior to the implementation of the intervention, the required actions will be identified through baseline assessments, consultations and implemented through awareness raising of and advocacy to the affected target groups of women and marginalised groups. Most cities plan to improve their engagement and inclusiveness using digital tools and platforms that will enable stakeholder engagement without increasing the risk of infections – in case the pandemic is still prevailing, or other diseases occur. A few cities may need some assistance to engage with stakeholders and vulnerable groups.

ASUF's contribution to dissemination of the ASUS concept

The ASUF was meant to be a one-off physical event with some 200-300 invited participants. Due to the COVID-19 pandemic with high infection rates at the time, it was decided to organise ASUF an online event. This decision resulted in a much higher participation rate with some 1,400 registered participant and was thus able to reach out to a much larger and more diverse audience. One contributing factor for the high participation was that translation was provided in all main ASEAN languages and in sign languages²⁴, which was essential to ensuring participants from intermedia and secondary cities, local and national governments, CSOs, NGOs, and academia – this approach required substantial logistic and financial efforts.

The ASUF served as a platform for cities and city representatives to gain exposure from an international audience on the preliminary experience from undertaking the ASUS Project in their respective cities (ref. Chapter 2). A side event was conducted in parallel to shape the scope for the ASUR.

ASUR's influence on promoting sustainable urbanisation

The original intent was to prepare a report on "The State of Urbanisation in ASEAN" with substantial data analyses, but the title and substance were changed to "ASEAN Sustainable Urbanisation Report" building on the experience and lessons learned from implementing the ASUS Project. The ASUR is composed of two main sections: 1) Four enablers for achieving urban sustainability; and 2) Seven priority areas for achieving urban sustainability. The enablers are crosscutting issues for mainstreaming into the priority areas (ref. Chapter 2). The ASUR has since its publication been the one most frequently downloaded document in recent months from the UN-Habitat website.

4.6 Impact outlook

Overall impact of the Project

The city officials found that CTPs are likely to materialise and would have the intended effects and might obtain funding from either local, national, or foreign sources. Most cities would have the possibility of obtaining loans from national governments, development banks, private banks, or others, except for Kep and Kaysone cities. Kep City does not have the mandate to take a loan but would have to rely on the Cambodian national government to do so. Kep, Kaysone and Shah Alam expect sponsor contributions or grants to finance their investments. The CTPs could generally be used for application of financing through the various sources.

The LPOs found that the positive effects – capacity to plan and coordinate – from the preparation phase will be essential for the implementation of the CTP and the further urbanisation process, provided the CTP is approved by the city authority and endorsed by higher level authorities. Extensive support would be required, particularly as regard financing of development costs. Public Private Partnerships could be one option provided that the project generates revenues. Some projects could be implemented in stages and thus stretch the

investment over time, e.g., the General Santos' CTP that has been divided into seven sub-projects.

Positive changes to the beneficiaries

The city officials found that beneficiaries' expectations are fully integrated into the CTP and have a high probability of being met. Expected impacts for Kep, General Santos, and Hatyai cities are:

Kep City: Enhanced solid waste management systems

The intervention is expected to provide long-term direct impacts on SWM systems as well as indirect impacts on: Drainage and sanitation systems, flood control, waste leakage which in turn will have positive effects on public health and ecosystems. The intervention is also expected to enhance economic development by among other improving marine fishery production and promoting tourism. Furthermore, the intervention will improve the city's capacity and ability to coordinate. See Annex 6.

General Santos City: Sustainable transport and traffic management

It is expected that the intervention will have a broad impact in the long-term, by improving the public transport system of General Santos City and its integration into regional networks, enhancing the capacity of local authorities regarding public transport management, and ultimately impacting the quality of life of users that reside in General Santos City and neighbouring cities. Some of the expected achievements after implementation are: Enhanced quality and efficiency of public transport; Improved public space quality and promotion of non-motorised transport modes; Reduced air pollution through promotion of low-emission vehicles and optimised transport and traffic management; Improved road safety and security, with a reduced number of road accidents; and Improved commuter services reducing commuting time. See Annex 7.

Hatyai City: Improved safety and security through digital applications

It is expected that the intervention will have a broad impact in the long-term, improving Hatyai's safety, reducing economic loss from crimes, traffic fatalities and injuries, and floods, while improving the capacity of local authorities regarding safety and security management.

The intervention will impact on the quality of life of both residents and visitors in Hatyai. Ultimately, the intervention is expected to contribute to sustainable economic activities in the city. See Annex 8.

4.7 Sustainability prospects for the proposed interventions

Capacity development and ownership

The city officials found that the ASUS Project has developed capacity and ownership among the city stakeholder which specifically will benefit the implementation of the CTPs and generally other urban interventions.

Capacity development is key for ASEAN cities to become more sustainable. Knowledge can be transferred across ASEAN cities in different ways, including training, exchange platforms, and city-to-city networks. City-to-city knowledge sharing and cooperation opportunities at local, national, regional, and global levels are valuable exchange processes and can enhance approaches to sustainable urbanisation. When exchanging a city's experience, it should cover the city's context, resources, and how a particular project or intervention fits into the city's vision and national and regional strategies. Training and capacity-building activities should not only target technical staff but also benefit the political sphere, ensuring that city leaders understand the potential and relevance of sustainable urbanisation and address it in political agendas. This could support a longer-term impact of any activity.²⁵

Prospect for replication

Prospects for replication relate to the selected cities and any other ASEAN cities that would wish to apply the ASUS Framework. First and foremost, it would be imperative to implement some of the first Phase CTPs to demonstrate the positive effects of the entire process and to document impact and benefits for the city and to the targeted citizens. Fundamental issues for replication are availability of adequate capacity, investment funding, and recurrent funding for O&M.

ASEAN and the Australian Government has signed a MoU on the Australia for ASEAN Futures Initiative (Aus4 ASEAN Futures Initiative) which will be the successor programme for AADCP II. The Aus4 ASEAN Futures Initiative will among others address complex challenges like climate change, health, healthy oceans, the circular economy, and energy transition. Discussions are currently conducted to include a second phase of the ASUS Project which could comprise further assistance to current 7 (or 8) cities and a new batch of cities. This would be one significant opportunity for replication.

Sustainability of positive effects

The acceleration of ASUS commenced with the ASUS Project. Although the ASUS Project has reached out to many potential stakeholders through ASUF and ASUR the overall interface with other ASEAN cities is currently relatively modest. Knowledge management system should be in place to collect and accumulate experiences and lessons learned across the cities, which can be shared with ASEAN countries and globally. The positive effects so far relate to knowledge, awareness, and capacity development. For these to be sustained continued efforts are required to maintain the momentum for further acceleration.

Accommodation of urban growth

The city officials found that the ASUS Project has influenced the longer-term perspectives of the development plans with a view to providing services to the existing and growing population. The CTPs have generally been aligned with local and national development plans and have thus taken urban expansion into account.





CHÙA AN LẠC

AGON
HOTEL

Pharmacy City

Tiger

FLORINE HOSTEL

PEACE-AM
HOTEL

NEW YORK
TRẦN PHÚ
HOTEL

Discount 30%

51F-542.32

Street view of Phạm Ngũ Lão street, the backpacker district of Saigon, Ho Chi Minh City, Vietnam.
© Shutterstock/Sean Hsu

5. CONCLUSIONS

Achievements and performance

The first Phase of the ASUS Project – the preparation phase – was efficiently and effectively executed according to the defined scope in the ToR attached to the Technical Cooperation Agreement between ASEAN and UN-Habitat entered on 17 January 2020 – to be executed within the frame of the AADCP II. The three objectives and three outputs have been well achieved.

Relevance

The Project and the identified interventions of the participating cities were relevant relating to the needs of the cities and their citizens. Consultations with city stakeholders were seriously affected by the COVID-19 pandemic. The continued relevance of the interventions is linked to prospects of these being implementable in terms of an enabling environment, resource mobilisation, public participation and that the anticipated impacts are likely to be achieved.

Efficiency

Overall, the Project was implemented efficiently – especially considering the challenging circumstances regarding the COVID-19 pandemic which resulted in approx. one year delay. The cities' capacity to participate in the proposal preparation process varied significantly, as did the size of the cities, their resource availability, and degree of autonomy. The lack of opportunity to conduct physical meetings were compensated by conducting online meetings but this was not a workable option for dialogue with vulnerable groups. Despite the extended project period, the project cost was kept within the contract amount. The ASUS Framework and Toolkits proved overall useful for prioritisation, identification, and formulation of the technical proposals.

The City Technical Proposals were developed through a consultative step by step approach and by collaborating appropriately with city stakeholders and other partners. The ASUF succeeded in reaching out to a much larger audience by organising it as an online event compared to the original intent of having a physical event.

The ASUR took its point of departure from the ASUS but reduced the scope by only dealing with 7 of the 18 priority areas but complemented these with four enablers to be mainstreamed into the priority areas. The ASUR is much appreciated as demonstrated through the many downloads.

Effectiveness

The Project has been effective by producing outputs of good quality. The CTPs were developed based on a ToC approach that included outputs and outcomes but not impact, although expected impacts are presented in a later section of the document. From the outset, funding from AADCP II for implementation of the CTPs was not meant to be part of the support and was left to be resolved at a later stage. However, more attention to the proposals' implementation aspects regarding funding sources and financing, operation and maintenance would have been desirable, but was outside the agreed scope of the assignment.

Combining preparation of the technical proposals with financing opportunities and O&M requirements could have had a deciding impact on the technical proposals' scope and facilitated further considerations on operational aspects during implementation and after project completion. The CTPs included development budgets, work plans, risk analyses, and GEDSI frameworks. Funding sources and financing aspects were strongly emphasised by city officials in the ASEAN Cities Survey conducted in connection with the closing event (April 2022) following the completion of the CTPs.

Impact outlook

The ASUS Project Document focussed primarily on achievements on project outputs although the overall objective was to accelerated urbanisation. The CTPs provided additionality by including outcomes and expected impact. The expected results should be what drives the formulation process. City officials as well as LPOs anticipated that the expected benefits will materialise.

Achieving impacts depends on available funding sources and the cities' capacity to implement and operate the interventions. Some of the selected cities appeared to have adequate capacity, whereas others would need more technical assistance. The interventions may encounter some of the identified risks or other risks during the implementation stage which will require mitigation efforts to combat – not all risks may be mitigated if they are outside the control of the city authorities.

Sustainability

The city authorities have acquired added competence and capability through their active participation in project formulation and the discussions leading to the CTP. This added capacity will be useful during implementation and contribute to enhanced sustainability. The cities' ownership of the intervention was facilitated through the dialogue with city stakeholders during the identification and formulation process will be a contributing factor to sustainability. The degree of sustainability of the interventions depends among others on how the cities will cope with the various barriers affecting the intervention's implementation. The medium to long-term sustainability depends on how well the intervention is operated and facilities maintained.

Transition to the implementation stage

Elaboration of a long-term ToC for the interventions would enhance the understanding of the intended change process among the city's policymakers, planners, and technical staff – as well as being a means of conveying and debating the intervention's aim and purpose to the affected target population. The ToC diagram and the underlying details could gradually be expanded as more information and knowledge is gathered, including the details of potential drivers, identified barriers, assumptions, and risk mitigation measures.

Conditions for launching implementation are: documentation is adequately in place; the city authorities have the capacity to lead and monitor the implementation; consulting services are available as required for final formulation and implementation; M&E mechanisms are in place to account for drivers, barriers affecting implementation and the actual results achieved. Funding options for: implementation may include national, local, and foreign sources; and the O&M may include local revenues and user charges. Forums for wider stakeholder consultations should be held for general orientation if major issues need to be debated to reach consensus on amendments. Users' and beneficiaries' attitudes and behaviour to new services may need to be enhanced to ensure proper use of new services and facilities. Operation and maintenance procedures will need to be established, organised, and funded to ensure the upkeep of the services provided.

Further acceleration of ASUS

The ASUS Project was the first step to accelerate the ASUS and generated essential knowledge to shape the next and further steps. The next step may include two batches of cities: 1) the current 7 or 8 cities; and 2) a sample of additional ASEAN cities. The two batches may combined generate further knowledge that could benefit several more cities through ASEAN urban forums and updated editions of the ASEAN Sustainable Urbanisation Report.

6. LESSONS LEARNED FROM THE EVALUATION

The following lessons were learned:

1. The 8 cities included in the first Phase of the ASUS Project varied quite substantially in size and availability of financial and technical resources. This implies that all cities cannot be dealt with in the same way. Each city needs to be approached in accordance with its specific context and resources.
2. Assignment of national professionals as LPOs was very appropriate to cope with the cities' diversity regarding culture and language.
3. The lack of donor funding for implementation poses a serious challenge for the cities but has also advantages as the cities do not take funding for granted and will have to be realistic when determining the scope of their intervention – particularly as regards the cities' and beneficiaries' affordability.
4. More focus on the implementation phase and post project operations during formulation would have been an advantage as these aspects could influence the scope of the identified interventions. Such focus could be facilitated through a ToC approach covering the entire change process from initiation of the intervention to its operational stage and be problem driven.
5. The COVID-19 pandemic caused huge challenges resulting in significant delays which were overcome by dedicated city officials and project team members.
6. The shift of the ASUF to an online platform instead of a physical arrangement proved advantageous as the participating audience increased significantly.
7. The ASUR benefitted from a shorter more readable version compared to one with extensive data and statistics. Data and statistics are essential for proper analyses the project contexts, but a shorter and readable overview of the evolving ASUS Framework concept made the report well sought-after as demonstrated by the high number of downloads.



Workers unload fresh tunas at Gen. Santos Fish Port in Gen. Santos City, Philippines.
© Shutterstock/Tony Magdaraog

7. RECOMMENDATIONS

The below recommendations relate to a new phase of the ASUS Project:

1. A follow-up of the assistance to the current batch of cities should be undertaken to take note of the way forward for each of the cities to reach to the implementation stage for their respective interventions.
2. It should be considered what kind of additional support could be provided to the current batch of cities to ensure the interventions' continued relevance e.g., sources of financing, need for capacity development, preparation of tender documents, need for consulting services for design and supervision, scope and cost of O&M, administrative set-up in the city administration, etc.
3. A second batch of intermediate and secondary cities distributed across ASEAN should be selected based on their commitment of supporting ASUS and their capacity in the intervention preparation process. The second batch should comprise at least 8 cities and possibly have a duration of two years.
4. It should be considered what other priority areas should be included, for example climate change, energy transition, and water supply. Water is already included under 'Quality Environment' lumped together with waste and sanitation but could be a priority area of its own – possibly combined with sanitation.
5. The assistance for capacity development to the selected cities should be differentiated to be compatible with their actual needs to enable that the assistance is tailored accordingly with a view to preparing bankable project proposals.
6. Assignment of Local Project Officers by city should remain a permanent feature in the second batch of cities to facilitate proper interaction with city authorities and project management.
7. The identification and preparation procedures for batch 1 cities should be replicated but expanded with considerations on the implementation stage and O&M and be based on ToCs that cover the entire results chain and be problem driven.
8. ASEAN should ideally introduce the ASUS project to national, international, or development banks to facilitate cities' access financing sources as acquisition of funds would be a main driver for accelerating sustainable urbanisation.
9. Monitoring and evaluation (M&E) procedures should be prepared to monitor progress and achievement of results. The M&E procedures should take gender equality, disability, and social inclusion properly into account.
10. An ASUF should be conducted midway into the second phase to disseminate the advancements of sustainable urbanisation, get feedback, and further stimulate the acceleration.
11. The ASUR should be updated at the end of the second phase to include new acquired knowledge.
12. At the end of the second phase, further steps for accelerating sustainable urbanisation should be considered.

ANNEX 1: TERMS OF REFERENCE

ORGANIZATIONAL LOCATION:	UN-Habitat Regional Office for Asia and the Pacific (ROAP)
DUTY STATION:	Home-based (with possible travel to Southeast Asia)
FUNCTIONAL TITLE:	Consultant, Final Project Evaluation
PROGRAMME	Accelerating the implementation of the ASEAN Sustainable Urbanization Strategy
GRADE:	UNON Contract
DURATION:	3 weeks
START/END DATE	4 January 2023 – 3 February 2023
SUPERVISOR	Chief, Evaluation Unit, UN-Habitat HQs

Evaluation Title

Evaluation of the project "Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy (ASUS Project).

Today, there are currently 10 Member States: Indonesia, Malaysia, Philippines, Singapore, Thailand, Brunei, Laos, Myanmar, Cambodia and Vietnam, forging ahead together towards the achievement of ASEAN Community Vision 2025.

Background and Context

UN-Habitat and ASEAN

The United Nations Human Settlements Programme, UN-Habitat, is the agency for human settlements and sustainable urbanisation. It is mandated by the United Nations General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all. Leading efforts to advance UN system-wide coherence for sustainable urbanisation, UN-Habitat is playing a key role implementing the Goal 11 of the Sustainable Development Goals adopted in September 2015 as well as the New Urban Agenda (NUA) adopted in Quito, Ecuador in October 2016.

Founded in 1967, the Association of Southeast Asian Nations, ASEAN, was established with the signing of the ASEAN Declaration, aiming to promote collaboration and cooperation among Member States, as well as advance the interests of the region as a whole.

Since 2008, UN-Habitat and the ASEAN Secretariat have engaged in a variety of UN and ASEAN Secretariat engagements. Most notably, UN-Habitat has been developing a new generation of sub-regional programmes which target all or selected ASEAN countries, especially in the area of cities and climate change. Meanwhile, the Bangkok Office of UN-Habitat is increasingly engaged in knowledge programmes with fellow UN agencies, on issues of migration, health, resilience and urban data in support of the 2030 Agenda for Sustainable Development and implementation of the New Urban Agenda.

These Terms of Reference concerns the evaluation of the the project "Accelerating the implementation of the ASEAN Sustainable Urbanisation Strategy" (ASUS Project). It was funded by the Secretariat of the ASEAN, with a total budget of US\$ 1,087,448 and implemented in eight participating ASEAN Cities and with partners across the region. The project was planned to start in January 2020 and to close in October 2021. However, due to effects of Covid-19, the project was extended through November 2022.

ASEAN and Project Description

Half of the 600 million people in the ASEAN region already live in urban areas and by 2025 a further 70 million people in ASEAN will be city dwellers. Seeking to address this "mega-trend" of urbanization, the ASEAN Sustainable Urbanisation Strategy (ASUS) was launched at the 22nd ASEAN Coordinating Council (ACC) Meeting in November 2018, as one of the initiatives under the 'Sustainable Infrastructure' strategic area of the Master Plan on ASEAN Connectivity (MPAC) 2025.

The ASUS and its two accompanying toolkits seek to support ASEAN cities in strategic planning towards achieving sustainable urbanisation. The ASUS aims to contribute to raising the standards of living of the citizens of ASEAN countries, enhancing shared prosperity of cities and regions, as well as strengthening climate action and resilience. In this regard, the period between 2020-2021 will be crucial to accelerating the implementation of the ASUS, with a special emphasis on small-I to medium-sized cities and intermediate cities, which are witnessing most of the growth in the ASEAN region in recent years and which will continue to exhibit significant upward population and economic trends.

As such, the accelerated implementation of ASUS will provide ASEAN cities with the opportunity to prioritize actions to achieve sustainable urbanisation, while implementing practical activities customised to their unique city contexts, designed to raise the standards of living of those within ASEAN which lie at the core of the New Urban Agenda and ASEAN Community Vision 2025.

Towards this end, the ASUS has been disseminated to city networks in ASEAN, with many cities in each of these networks sharing common priorities and concerns. While some technical support is provided through the various city networks in ASEAN, further resources are needed to help cities develop credible action plans and/or financially viable project proposals. As part of this project, an implementation plan integrating several initiatives and intended to accelerate sustainable urbanization during the period of January 2020-November 2022 (Phase 1) could support the achievement of the expected ASUS outcomes by 2025.

The project's main objective was to accelerate the implementation the ASEAN Sustainable Urbanisation Strategy through three outputs in Phase 1, including:

1. Technical advisory support to 8 selected pilot cities within ASEAN in developing high-quality proposals within the ASUS Framework.
2. Organisation of an ASEAN Sustainable Urbanisation Forum bringing together diverse stakeholders from across ASEAN and supporting the development of improved urban policies;
3. Research and development of the ASEAN Sustainable Urbanisation Report

In addition, to the support, the project also aimed at collecting, documenting and disseminating lessons learned from the preparation process to encourage other cities to adopt ASUS into their urban development plans. The project was also to help in increasing knowledge on the state of urbanisation in the ASEAN region.

Project Management

The UN-Habitat Regional Office for Asia and the Pacific is responsible for the delivery of the ASUS Project with direct supervision of the Fukuoka Office, including programme management and financial support, while the Bangkok Office is responsible for the project management and coordination of deliverables development.

For the activities at the city-level Local Project Officers have been recruited and the UN-Habitat relevant Country Offices provided strategic and technical guidance.

Mandate of the Final Evaluation

The final evaluation is mandated by UN-Habitat and in line with UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016).

Purpose and Objectives of the Evaluation

UN-Habitat is undertaking this evaluation of "Accelerating the implementation of the ASEAN Sustainable Urbanisation Strategy" in order to assess project performance and extent to which the Project's objectives and expected accomplishments were achieved.

The evaluation is conducted at the request of UN-Habitat and is part of UN-Habitat's effort to perform systematic and timely evaluations of its projects and to ensure that UN-Habitat evaluations provide full representation of its mandate and activities. It is in-line with the UN-Habitat Evaluation Policy and the Revised UN-Habitat Evaluation Framework.

The evaluation aims to serve dual purposes of accountability and learning. It is intended to enhance accountability by providing UN-Habitat management and its governing bodies, the project team, project donor, target cities and other key stakeholders with an independent evaluation of whether the project has achieved the planned results. Also, in keeping with UN-Habitat's commitment to helping programmes and project learn and improve, the evaluation serves the purpose of contributing to enhanced learning to understand what worked well, what did not, operational experience, opportunities and challenges. Evaluation findings, lessons learned and recommendations are expected to be used and feed into decision-making processes. The evaluation will synthesize results achieved, lessons learned from the Project all as giving recommendations for future programming.

Specific objectives of the evaluation are:

1. To assess the design, implementation and achievement of results at the objective, outcome and output level of the Project. This will entail analysis of actual versus expected results achieved by UN-Habitat;
2. To assess the project's value-for-money, visibility and performance of the Project in terms of relevance, efficiency, effectiveness, sustainability, and impact outlook;
3. Assess appropriateness planning, implementation working modalities, coordination, cooperation, partnerships and management; and how they contributed to achieving the planned results of the project; and assess the effects of Covid-19 pandemic on the project;
4. Assess how social inclusion issues of gender equality, youth, human rights as well as social and environmental safeguards were integrated and impacted by the programme;
5. Taking into account intended users of the evaluation, identify lessons learned and provide recommendations for improving future similar projects.

Scope and Focus

The period of the evaluation will cover the period of the start of the Project in January 2020 up to November 2022 and at a time when most of the outputs and activities of the Project have been delivered.

The evaluation will be evidenced-based and is to assess as objectively as possible the relevance, effectiveness, efficiency, sustainability, and impact outlook of the Project in 8 targeted cities.

Evaluation questions based on evaluation criteria

Relevance:

- To what extent is the Project consistent with beneficiaries' requirement, country needs, national development goals, and partners' and donors' policies?
- Was the implementation strategy in line with and responsive to SDG 11 and NUA?

Efficiency:

- How well were economically resources/inputs (funds, expertise, time, etc.) efficiently utilized and converted to results?
- Did UN-Habitat demonstrate to have adequate capacity to design and implement the Project?
- Were institutional arrangements adequate for implementing the Project and for delivery of expected outputs and outcomes?

Effectiveness:

- To what extent has the project been effective in achieving its objective of increasing the understanding of ASUS and accelerating its implementation in ASEAN and in the targeted cities?
 - What is the quality of outputs delivered? Are they useful?
 - How satisfied are the partners and beneficiary with the project/outputs?
- What types of products and services did the project provide to beneficiaries through activities implemented?
- To what extent have monitoring and reporting on the implementation of the project been timely, meaningful and adequate?
- To assess the extent to which cross cutting issues of gender, human rights, climate change/ environment, and youth, including age and disabilities were relevant to the project and have been integrated in the design, implementation and delivery of the Project;
- Did the identification, design and implementation process involve local and national stakeholders, as appropriate?

Sustainability:

- To what extent did the project build capacity and ownership of stakeholders that contribute to sustainability?
- To what extent will the project be replicated or scaled up or institutionalized? Is the Project replicable or able to scale up at national or local levels?
- Do the positive effects produced by the Project intended or unintended seem sustainable?

Impact Outlook:

- What is the overall impact of the project (directly or indirectly, intended and unintended)?
- What are the positive changes to beneficiaries resulted from the Project? Review the process and the methodology of the Project, including the level of participation of the communities and other stakeholders.

Stakeholder Involvement

It is expected that this evaluation will be participatory, involving key stakeholders. Stakeholders will be kept informed of the evaluation process including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance its utilization. Relevant UN-Habitat and ASEAN entities, relevant ASEAN Member States and cities representatives may participate through a questionnaire, interviews or focus group discussions.

Evaluation Approach and Methodology

The evaluation shall be independent and be carried out following the evaluation norms and standards of the United Nations System and best practices in the evaluation field. A variety of methods will be applied to collect information during the evaluation. These methods include the following elements

a. Review of documents relevant to the Project.

Documents to be provided by UN-Habitat and partners (such documentation shall be identified and provided to the evaluator).

Documentation to be reviewed will include but not limited to:

- Original project document;
- Presentations and reports to project partners and donor;
- Project Outputs and related documentation.

b. Key informant interviews and consultations, including focus group discussions will be conducted with key stakeholders, including partners.

The principles for selection of stakeholders to be interviewed as well as evaluation of their performance shall be clarified in the inception report at the beginning of the evaluation.

c. (If Needed) Surveys.

In order to obtain quantitative information on stakeholders' views, questionnaires to different target audiences will be deployed, as deemed feasible, to give views.

The evaluator will describe expected data analysis and instruments to be used in the inception report. Questionnaires to be used during the evaluation should be discussed with the project team and included in the inception report. Presentation of the evaluation findings should follow the standard format of UN-Habitat Evaluation Report as outlined in the UN-Habitat Evaluation Manual (2018).

Qualifications

Qualifications and Experience

The international consultant is expected to have:

- a. Extensive evaluation experience. The lead consultant should have the ability to present credible findings derived from evidence and prepare conclusions and recommendations supported by the findings.
- b. Specific knowledge and understanding of UN-Habitat and its mandate.
- c. 7 years of project management experience in results-based management working with development projects/ programmes
- d. Experience in working with projects in the United Nations system.
- e. Advanced academic degree in development, disaster risk reduction or similar fields.
- f. Recent and relevant experience in working in development aid.
- g. Experience and familiarity with community infrastructure and rehabilitation is desirable.
- h. Fluent in English (understanding, reading and writing) is a requirement.

Competencies

- **Professionalism:** Ability to perform a broad range of land administrative functions, e.g., survey, land valuation, project budgeting, technical staff resourcing, database management, etc. Shows pride in work and in achievements; demonstrates professional competence and mastery of subject matter; is conscientious and efficient in meeting commitments, observing deadlines and achieving results; is motivated by professional rather than personal concerns; shows persistence when faced with difficult problems or challenges; remains calm

in stressful situations. Takes responsibility for incorporating gender perspectives and ensuring the equal participation of women and men in all areas of work.

- **Communication:** Speaks and writes clearly and effectively; listens to others, correctly interprets messages from others and responds appropriately; asks questions to clarify and exhibits interest in having two-way communication; tailors language, tone, style and format to match audience; demonstrates openness in sharing information and keeping people informed.
- **Teamwork:** Works collaboratively with colleagues to achieve organizational goals; solicits input by genuinely valuing others' ideas and expertise; is willing to learn from others; places team agenda before personal agenda; supports and acts in accordance with final group decision, even when such decisions may not entirely reflect own position; shares credit for team accomplishments and accepts joint responsibility for team shortcomings.
- **Planning & Organizing:** Develops clear goals that are consistent with agreed strategies; identifies priority activities and assignments; adjusts priorities as required; allocates appropriate amount of time and resources for completing work; foresees risks and allows for contingencies when planning; monitors and adjusts plans and actions as necessary; uses time efficiently.

Other desired competencies/skills include:

- Promotes UN's core values and ethical standards (professionalism, integrity, respect for diversity)
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Capability to engage in team-based management, experience of leading policy workshops and being a resource person
- Ability to formulate and manage work plans
- Sensitivity to and responsiveness to all partners

Responsibilities and Evaluation Management

Accountability

UN-Habitat will commission the final evaluation. It will be managed as a centralized evaluation by the UN-Habitat Evaluation Unit in close collaboration with the Regional Office for Asia and the Pacific (ROAP).

The Evaluation Unit will guide the recruitment and ensure that the evaluation is contracted to a suitable candidate. The Evaluation Unit will advise on the code of evaluation, provide guidance and technical support throughout the evaluation process, and quality assure the evaluation products. The Evaluation Unit will have overall responsibility to ensure contractual requirements are met and approve all deliverables (Inception report with work plan, draft and final evaluation report).

UN-Habitat Regional Office for Asia and the Pacific (ROAP) office will provide logistical support, providing all necessary reference documents facilitating interviews with stakeholders, logistics and perform of any other necessary supporting tasks.

The evaluation will be done by one international evaluation consultant. He/she will be knowledgeable of UN-Habitat's global mandate and its operations. The consultant will be responsible for conducting the evaluation and submitting all evaluation deliverables (inception report, draft report(s) and the final report). The evaluation deliverables will be shared for review and comments with relevant entities in UN-Habitat and ASEAN. Final quality assurance and approval will be done by the Evaluation Unit.

Reporting Arrangements

The evaluation will be conducted over a period of 1 month from 4 January 2023 to 3 February 2023.

The consultant will report to and work under the overall supervision of the Chief, Evaluation Unit and consult on a day-to-day basis with the Programme Manager and Project Team Leader of the ASUS Project.

Deliverables

The three primary deliverables for this evaluation are:

- a. **Inception Report with evaluation work plan.** Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat's expectations throughout the performance of contract.
- b. **Draft Evaluation Reports.** The evaluator will prepare evaluation report draft(s) to be reviewed by UN-Habitat. The draft should follow UN-Habitat's standard format for evaluation reports and include rating of the evaluation criteria with justification.
- c. **Final Evaluation Report** will be prepared in English and follow the UN-Habitat's standard format of an evaluation report. The report should not exceed 35 pages (excluding Executive Summary and Appendices). In general, the report should be technically easy to comprehend for non-specialists.

Time schedule for the evaluation

The following time schedule will be further detailed and refined by the evaluator, the inception report.

- a. **Week 1:** Inception Phase- review of relevant documents, consultations with the project team and the Evaluation Unit and production of the inception report.
- b. **Week 2-3:** Data collection and report drafting phase- stakeholders engagement, data analysis and evaluation report drafting.
- c. **Week 4:** Report reviews and finalisation.

Remuneration

The Evaluator will enter into a contract with UN-Habitat and will be paid for the services as outlined below:

- 1st Instalment: 30% upon clearance of Inception Report;
- 2nd Instalment: 40% upon clearance of the Draft Report;
- 3rd Final instalment: 30% on clearance of Final Report.



Aerial of Kep beach with crab market and small town in Kep city, Cambodia. © Shutterstock/ Nhut Minh Ho

International Travel:

The evaluation should be conducted remotely through virtual means. If there will be a need for travel, UN-Habitat will bear the costs of travel and DSA.

A return air-ticket from the place of recruitment on least-cost economy and visa fee will be reimbursed upon submission of travel claim together with the supporting documents including copy of e-ticket, receipts and used boarding passes. Three quotations from the reputable travel agents shall be submitted for UN-Habitat's clearance prior to purchase of tickets.

Travel Advice/Requirements:

If travel will be required, the consultant must abide by all UN security instructions. He/she should undertake BSAFE Training as prescribed by UNDSS.

ANNEX 2: LIST OF PERSONS CONSULTED

Organisation	Title	Name	Contact
ASEAN Connectivity Division	Senior Officer	Benazir Syahril	benazir.syahril@asean.org
AADCP II	Director	Timothy Smith	timothy.smith@asean.org
	Senior Program Officer	Patnarin Sutthirak	patnarin.sutthirak@asean.org
UN-Habitat Evaluation Office, Nairobi	Chief Evaluation Unit	Dr Martin Barugahare	martin.barugahare@un.org
	Evaluation Officer	Eric Kaibere	eric.kaibere@un.org
	Evaluation Officer	Lucy Omondi	Lucy.omondi@un.org
UN-Habitat, Bangkok Programme Office	Chief (Programme Manager)	Srinivasa Popuri	srinivasa.popuri@un.org
	Project Team Leader	Riccardo Maroso	riccardo.maroso@un.org
UN-Habitat Project Team	Data & Development Capacity Analyst	Clinton Moore	clinton.moore@un.org
	Local Project Officer, Thailand	Phannisa Nirattiwongsakorn	phannisa.nirattiwongsakorn@un.org
	Local Project Officer, Indonesia	Bianca Martono	bianca.martono@gmail.com
	Local Project Officer, Malaysia	Hafiz Ammirol	hafiz@humanitarianicap.com
	Local Project Officer, Vietnam	Hang Nguyen	hang_nt@yahoo.com
Local Government, Hatyai - Thailand	Deputy Mayor	Assoc. Prof. Dr. Wichai Kanchanasuwan	
Local Government, General Santos - Philippines	Former Asst. Dept Head Public Safety Office,	Engr. Riza Marie Paches	rtpaches@gmail.com
Local Government, Shah Alam - Malaysia	Senior Assistant Director & Sustainable Development Officer, MBSA	Annie Syazrin Ismail	anniesyazrin@mbsa.gov.my
Local Government, Thomohon - Indonesia	Head of Department of Office of Communication and Informatics, Kota Tomohon	Novi Politon	novipoliton@gmail.com
	Smart City Expert	Quido Kainde	quidokainde@unima.ac.id

ANNEX 3: LIST OF DOCUMENTS CONSULTED

ASEAN Strategic Documents

ASEAN. January 2021. Mid-Term Review Executive Summary: Master Plan on ASEAN. Connectivity 2025

ASEAN. October 2018. ASEAN Sustainable Urbanisation Strategy.

ASEAN. August 2016. Master Plan on ASEAN Connectivity 2025.

ASEAN. November 2015. Kuala Lumpur Declaration on ASEAN 2025: Forging Ahead Together

ASEAN. November 2015. ASEAN Community Vision 2025.

Project Documents

UN-Habitat, AADCP II. December 2022. Project Completion Report: Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy.

UN-Habitat, AADCP II. April 2022. Closing Event Report: ASUS City Technical Proposals.

UN-Habitat, AADCP II. May 2020. Inception Report: Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy.

UN-Habitat. December 2019: Request for Contribution Agreement Form; and ToR & LogFrame

UN-Habitat. November 2019. Draft Project Document/ Status: Accelerating the Implementation of the ASEAN Sustainable Urbanisation Strategy.

Project Outputs:

1. Technical Support to ASEAN cities and City Reports

UN-Habitat. AADCP II. August 2020. EGM Meeting Report on Technical Consultations and City Project Accelerator: ASEAN Sustainable Urbanisation Strategy.

General Santos City, The Philippines

UN-Habitat, AADCP II. April 2022. City Technical Proposal: City Sustainable Transport and Traffic Management Plan.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. February 2021. City Consultation Report.

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Kaysone, Lao PDR

UN-Habitat, AADCP II. April 2022. City Technical Proposal: City Sustainable Transport Master Plan.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. December 2020. City Consultation Report.

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Sa Pa, Vietnam

UN-Habitat, AADCP II. April 2022. City Technical Proposal: Integrated Transport Master Plan.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. March 2021. City Consultation Report.

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Kep City, Cambodia

UN-Habitat. AADCP II. April 2022. City Technical Proposal: Enhancing Solid Waste Management Systems in Kep City.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. July 2021. City Consultation Report.

UN-Habitat, AADCP II. January 2021. City Consultation Report.

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Mandalay, Myanmar

UN-Habitat, AADCP II. April 2022. City Technical Proposal: Inclusive Solid Waste Management System for Mandalay.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

City Consultation Report. Not available!

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Hatyai, Thailand

UN-Habitat, AADCP II. April 2022. City Technical Proposal: Improve Safety and Security through Digital Applications.

UN-Habitat, AADCP II. August 2021. City Steering Committee 2 Report.

UN-Habitat, AADCP II. July 2021. City Steering Committee Report.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. July 2021. City Consultation 2 Report.

UN-Habitat, AADCP II. February 2021. City Consultation Report.

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Shah Alam, Malaysia

UN-Habitat, AADCP II. April 2022. City Technical Proposal: Digital Solution Strategy to Enhance Safety and Security.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. December 2020. City Consultation Report.

UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

Tomohon, North Sulawesi, Indonesia

UN-Habitat, AADCP II. April 2022. City Technical Proposal: Digital Solution Strategy to Enhance Safety and Security.

UN-Habitat, AADCP II. July 2021. City Diagnostic Report.

UN-Habitat, AADCP II. March 2021. Steering Committee Meeting Report.

UN-Habitat, AADCP II. February 2021. City Consultation Report.

UN-Habitat, AADCP II. 2020. City Diagnostic Exercise – City Questionnaire.

2. ASEAN Sustainable Urbanisation Forum

ASUF. December 2021. Event Report: ASEAN Sustainable Urbanisation Forum.

3. ASEAN Sustainable Urbanisation Report

ASEAN. December 2022. ASEAN Sustainable Urbanisation Report: Sustainable Cities towards 2025 and beyond.

ANNEX 4: LIST OF DISCUSSION POINTS FOR SEMI-STRUCTURED INTERVIEWS

The below long-list of discussion points were formulated for semi-structured interviews with ACD, AACDP II, and UN-Habitat. A set of discussion points were selected for the various interviews.

- Did UN-Habitat had a role in formulating the ASEAN Sustainable Urbanisation Strategy?
- When was UN-Habitat invited to assist with the ASUS Project (Inception Report, May 2020)?
- Has UN-Habitat been efficient in delivering its services and did it have the desired effect on the cities' active participation?
- Was UN-Habitat's capacity adequate to provide the warranted support?
- The ASUS Project interventions focussed on a single area/sector intervention in the selected cities among the selected 7 sub-areas. Was there a demand/wish from the cities to include more interventions to address the cities' challenges from a holistic point of view?
- How was the ASUS Project harmonised with other donor interventions in the selected cities if any?
- Were the available resources used efficiently and converted to the warranted results?
- Was the support provided by UN-Habitat adequate to facilitate the execution of the ASUS Project?
- Was the institutional set-up (AACDP, ASEAN, UN-Habitat, and the cities) adequate to facilitate project execution?
- What was the interface with other city networks, e.g., ASEAN Smart Cities Network?
- The closing Event Report indicates that investment financing is a key issue. Should more attention be paid to financing capacity when identifying an intervention?
- Correspondingly, should more attention be paid to the succeeding O&M phase in terms of funding, revenues, and capacity?
- Were the EGMs established on a-hoc basis?
- The EGM established in connection with the ASUF (October 2021) identified four pillars. What is the relationship between these and the four enablers in ASUR? Reference was made to the 'Report' meaning the ASUR?
- While the SDGs generally are well known, how did the city representatives react to NUA?
- The ASUS toolkits were generally found to be ok, but some comments were made on their complexity. Are there any considerations on modifying the toolkits?
- Did the City Technical Proposals live up to AACDP II's expectations?
- Has the "ASEAN Sustainable Urbanisation Forum" succeeded in spreading the ASUS concept/philosophy and motivated other ASEAN cities?
- To what extent is the "ASEAN Sustainable Urbanisation Report" likely to influence national and local decisionmakers' views on urbanization?
- What will be the prospects for cities to mobilise funding for implementing the City Technical Proposals?
- What will be the effect on outcomes and impact if funding for implementing the City Technical Proposals is not forthcoming?
- To what extent could the ASUS Project be replicated and is funding likely to be mobilized to support such process?
- The ASUS Project covered three of the ASUS main intervention areas (Security, Quality environment and Built infrastructure). Are the three remaining intervention areas (Civic & social, Health and well-being, and Industry and innovation) of less relevance to the cities?
- What are the considerations on launching a new ASUS Project comparable to the current one with a view to further promoting acceleration of sustainable urbanisation?
- Has ASEAN currently considerations on a continuation of the ASUS/ASUS Project in whatever form?

- Will the experiences as regard identification and proposal preparation from the ASUS Project be replicated/modified in a potential to second phase – including the focus on secondary cities?
- Would an interim phase for the 8 (or 7) cities be useful focusing on funding modalities, capacity requirement, and O&M prior to implement the City Technical Proposals, which may result in some adjustment of the project scope?
- Does ASUS continue to be relevant and has the ASUS Project succeeded in accelerating the Strategy?
- The Australian Government/DFAT is in the process of formulating a 'new development policy'. What will be the likelihood that a new policy will continue to support sustainable urbanisation in ASEAN?
- What would be the likelihood of UN-Habitat remaining a strategic partner in future urban projects under the ASEAN umbrella?
- What could UN-Habitat's future role be if a second phase is launched?

ANNEX 5: BRIEF ON KEP CITY

Enhancing Solid Waste Management Systems in Kep City

Introduction

Kep City, a coastal and secondary city of Cambodia, was selected as one of 8 pilot cities in ASEAN to accelerate the implementation of ASUS. The city covers an area of 79.52 sq. km and is home to about 21,547 people. The economic development of Kep City is heavily reliant on its natural and healthy ecosystems. Unfortunately, in its current context, the environmental and ecosystem resources are under threat from multiple factors, including poor solid waste management, which is a significant obstacle for the city to achieve sustainable development. In response to these developmental challenges, Kep City has proposed an intervention to **strengthen the city's capacity for solid waste management (SWM)**, with a focus on enhancing recycling and segregation of waste and the role of micro, small and medium enterprises (MSMEs) in recycling and SWM activities. Currently, the system can provide collection services to only 12.6 % of its population. Improving SWM is critical for Kep City to protect its ecosystem, tourism, agriculture, and fishery economies, thereby promoting sustainable development of the city.

The City Technical Proposal for Kep City aims at enhancing the current SWM system in three areas: (1) improving the city authority's capacity, (2) promoting community participation, and (3) creating an enabling business environment for recycling sector. Kep City recognises the need for an approach that integrates the public administration's efforts with the contribution of the communities, intended as both private citizens and business owners. This joint effort will encourage all relevant stakeholders to engage in waste reduction, separation, and recycling, while securing the local supply chain of recycled materials. An integrated approach and multistakeholder approach can have the benefit of improving the quality of life of local communities, enhancing the image and attractiveness of Kep City as a tourist destination, and contributing to creating work opportunities in a sector focused on sustainable practices.

Kep City is one of four coastal cities of Cambodia, renowned for its abundant natural tourist attractions and marine fishery resources. Owing to its development potential in the tourism sector, the Ministry of Tourism is drafting a Tourism Master Plan for Kep province, which aims to transform Kep into a high-end luxury tourism destination in the region. Under this development scenario, Kep City is expected to undergo rapid infrastructure development to support urban population growth and increase the number of visitors. This development vision relies heavily on the city's beauty, natural resources, and environmental health, which currently face threats of natural hazards and human-induced pressure.

COVID-19 has led to a significant drop in (international) tourism activities in cities, which has impacted the economy and livelihoods of residents in Kep City. According to the annual tourism report for Kep province, the total number of visitors who arrived in Kep City dropped from 1,742,662 in 2019 to only 586,347 in 2021, equivalent to a 66.3% drop. Of these the number of international visitors during the same period dropped from 64,613 to only 6,003, equivalent to a 90.7% drop.

In the current context, the SWM of Kep City is recognised as the most critical factor underlying the city's vulnerability to environmental hazards such as flooding and degradation of the terrestrial and marine ecosystems. Existing SWM systems in Kep are both inadequate and inefficient due to the following causes:

- Insufficient and inefficient waste collecting service and uncontrolled disposal;
- Low recycling capacity due to a lack of policies and business partnerships to boost the recycling sector;
- Lack of community participation due to poor knowledge in waste management and accountability; and
- Limited capacity of city authorities due to lack of financial resources to invest in the waste management sector, lack of proper data collection and management platform, and lack of coordination among local actors.

Due to the low waste collection service coverage, only about 40% of municipal solid waste is disposed of in landfills. The remaining 60% is traditionally managed by households either by open burning, burying in backyards or dumping in nearby vacant spaces. It is recognised by the local authority that this poor practice, especially in the under-serviced areas, causes blockage of drainage systems, making the city prone to urban flooding and associated environmental pollution. In addition, this also results in marine littering, which further threatens marine ecosystems. The existing landfill in Kep is in a nearby village about 11.5 km from the centre of Kep City. The site is an uncontrolled open dumpsite, without any proper lining, stormwater, or leachate management. Waste is regularly burned at the site to reduce stock quantities, increasing health and safety risks. This landfill is currently being upgraded into a sanitary landfill that will be equipped with better sanitation facilities.

The Asian Development Bank (ADB) is currently leading a project with Kep province under their Second Greater Mekong Subregion Tourism Infrastructure for Inclusive Growth Project. The project concerns multi-sector tourism investment in Cambodia, the Lao PDR, and Viet Nam. For Cambodia, the project includes several components related to transport, tourism, and SWM with the overarching goal of improving transport-related and environmental infrastructure in Kep province. The project focuses on SWM in the upgrading of Kep landfill infrastructure. The existing waste in the old dumping site will be bulldozed and reshaped into a separate cell and be permanently capped, while new landfill infrastructures will be constructed.

With the proposed intervention under the ASUS Project, the city authorities aim to complement the efforts carried out by ADB and Kep Province by promoting community awareness and accountability. Encouraging and promoting participation in SWM at the household and community levels will lead to a decrease in waste generation and improve segregation and recycling at the source. These benefits not only cut down the costs for collection and transportation and minimise the amount of waste to be disposed of but also extends the operation life of the landfill.

At the national level, SMW has been highlighted as one of the key priorities in the National Strategic plan on Green Growth 2013-2030, the Green City Strategic Planning Methodology 2035, and is framed by the sub-degree No. 36 on SWM. Through these strategic plans and sub-degree, Cambodia has ambitious goals to provide quality SWM by providing adequate and efficient collection services, reducing organic waste going into landfills and encouraging waste separation at household, market, and commercial enterprise levels.

SWM in Kep City is governed by:

- The *provincial administration* is mandated to provide advisory support and facilitation to municipality authority in preparing management plans, implementing legal instruments, preparing yearly action and budget plans, as well as creating cleaning, collecting, and transporting services, and promoting resource recovery. The provincial administration also has a role in monitoring, checking, and assessing the management of SWM at the municipality level. The Provincial Department of Environment promotes citizens' education on environmental hygiene, participates in preparing city SWM plans, provides technical advice on SWM affairs, and facilitates the implementation of laws and legal instruments and policymaking.
- The *city administration* is responsible for preparing management plans including annual action and budget plans for SWM in their territorial jurisdiction. It prepares and implements legal instruments and their enforcements, and manages cleaning, collecting, and transporting services, advises citizens on environmental hygiene and educates citizens about the SWM program, promoting waste separation, reduction, reuse, and recycling (the three Rs) in the city. The city administration can propose to establish a specific unit or office under the control of its administration to ensure implementation of SWM systems in the city and has the power to delegate one or all parts of its functions on the management of solid waste Sangkat (commune) administration.

The Department of Land Management, Urban Planning and Construction, Department of Tourism are also engaged when relevant and needed.

- The *sangkat administration* has the mandate to support and coordinate the process of cleaning, collecting, and transporting services, promoting public education on SWM, enforcing the implementation of legal measures, and resolving problems related to solid waste within its territorial jurisdiction upon the delegation from the city administration.

In addition to the above institutions, SWM in Kep City is also influenced by other key stakeholders such as the private sector, NGOs, and the beneficiary communities themselves. These stakeholders influence the project implementation at different stages.

The Proposed Intervention

The main objective of the intervention is to enhance three areas of the existing SWM in Kep municipality, including (1) city authority's capacity, (2) community participation, and (3) business opportunities for the recycling sector. These objectives can be achieved through an integrated waste management approach that focuses on reducing waste generation, enhancing collection rates and efficiency, and creating value for waste reuse. The intervention will enable Kep City to:

- Improve the city authority's capacity for SWM by strengthening coordination among key stakeholders, establishing data collection and management capacity, and boosting sectoral commitment through regional collaboration;
- Promote community awareness and accountability for SWM among local communities, youth, and local MSMEs in food production, hospitality, and service sectors;
- Boost recycling business by ensuring local feedstock and enhancing private partnership in the recycling sector.

The intervention also aims to support a local supply chain through a community-based approach in which local citizens are actively engaged in waste reduction, segregation, and recycling activities. This complements an ongoing project funded by the Asian Development Bank (ADB), which focuses on upgrading landfill infrastructure and operations. Therefore, the implementation of this proposed intervention, together with the existing ADB project, stimulate the implementation of Sub-decree No. 36 on SWM (1999) and Sub-decree No. 113 on Garbage and Urban SWM (2015), which contributes to the overall improvement of the environmental health, terrestrial and marine ecosystems, and fosters tourism development in Kep City. The scope of the intervention is presented in Table 1.

Table 1: Intervention Outcomes and Outputs

Outcomes	Outputs
Inception Phase	
Outcome 0: Endorsed Inception Report and Implementation Plan by the proper authority.	Output 0: Plan for implementing the intervention & inception report.
Primary Stage	
Outcome 1: SWM sector is analysed and understood, and main stakeholders are engaged.	Output 1.1: Stakeholder analysis, stakeholder engagement plan, and GEDSI plan.
	Output 1.2: Established inclusive city SMW committee.
	Output 1.3: Baseline assessment.
Intermediate Stage	
Outcome 2: City authorities' capacity for SWM is enhanced, and a City Strategy Plan is adopted by the city.	Output 2.1: City SMW plans for the short, medium, and long-term.
	Output 2.2: City solid waste monitoring plan and data management platform.
	Output 2.3: Kep City becomes a member of the UN-Habitat city network.

Outcomes	Outputs
Outcome 3: Increased awareness of citizens and visitors on the negative impact of poor management of solid waste, and community engagement to actively participate in the waste management cycle.	Output 3.1: Guidelines for long-term awareness raising campaign. Output 3.2: Waste watch app knowledge hub and citizen reporting plat form. Output 3.3: Training and demonstration of awareness campaigns.
Advance Stage	
Outcome 4: Improved enabling environment in Kep City for recycling private and public businesses with enhanced waste recycle value chain.	Output 4.1: Capacity building and installation of recycling facilities. Output 4.2: Set-up of an integrated recycling business model for Kep City.
Final Stage	
Outcome 5: Exit strategy and SDG monitoring strategy defined and approved.	Output 5.1: SDG strategy and SDG monitoring strategy.

The proposed intervention is expected to be implemented over 24 months. The approximate intervention cost is USD 668,800. The costs analysis presented below is an estimate and will be refined by the Project Steering Committee (PSC) before starting implementation.

The intervention is expected to provide long-term direct impacts on SWM systems in Kep City as well as indirect impacts on relevant sectors such as:

- Improved environmental condition and public health:
 - Improve functionality of drainage system;
 - Minimise risks of urban flooding;
 - Reduce waste leakage;
 - Promote environmental health and ecosystem balance; and
 - Reduce health risks due to poor sanitation and environmental pollution.
- Enhanced economic development:
 - Increase the attractiveness of the city; therefore, promote tourism activities and investment;
 - Improve marine fishery production;
 - Minimise economic loss due to environmental hazards such as flooding and environmental pollution; and
 - Create more business opportunities for micro, small and medium enterprise sectors.

- Improved inter-departmental coordination:
 - Improve open data/information sharing mechanism between departments;
 - Improve sectoral coordination and integration of services by relevant units/departments.
- Improve local capacity:
 - Improve context-specific capacity building and development;
 - Improve stakeholders' engagement and participatory process through a socially inclusive participation approach;
 - Improve city data collection and monitoring capacity;
 - Improve city's capacity for SDG monitoring, basic sanitation service, and readiness for smart city development.

The feasibility of the proposed intervention is safeguarded as it is in line with the city development priority and is endorsed by the city authority. The intervention is context-specific and addresses the gaps that exist in current SWM systems, including the limited capacity of the city authority in the sector, lack of coordination among key stakeholders at the city level, lack of community participation, lack of public-private partnership, and limitation of the recycling business.

The Implementing Partner/Consultant will be responsible for defining and setting up the intervention's governance structure together with local authorities at the beginning of the intervention. The intervention will be supervised by a Project Steering Committee (PSC). The PSC members will comprise of local government representatives, including Kep City administration, Kep provincial Department of Environment, the Implementing Partner/Consultant, representatives of local NGOs and

private sector, and representatives of the beneficiary communities and vulnerable groups in Kep City.

Risks Analysis

Table 2 presents four identified risks, impact level and probability. They will all have high impact if the risks materialise. The probability varies from low to medium.

Table 2: Identified risks

Potential risks	Impact	Probability
Lack of coordination between stakeholders and fragmentation of project implementation.	High	Low
Limited engagement of private sector.	High	Low
Lack of participation from community and waste producers.	High	Low
Ineffective implementation of the city strategy to ensure the sustainability of the intervention strategy.	High	Medium

Gender Equality, Disability, and Social Inclusion (GEDSI) Framework

The GEDSI Framework puts forward an overarching strategic approach on gender equality and social inclusion aligned to the concept of transformation that facilitates a harmonized and integrated approach to gender and social inclusion. The GEDSI Framework has three dimensions:

- *Minimum compliance*: The intervention that addresses basic needs and vulnerabilities of women and marginalised groups.
- *Empowerment*: The intervention which builds assets, capabilities, and opportunities for women and marginalised groups.

- *Transformation*: The intervention which addresses unequal power relationships and seek legal, institutional, and societal level change.

The required actions will be identified through baseline assessments and implemented through awareness raising of and advocacy to the affected target groups of women and marginalised groups.

Monitoring

Progress monitoring under this intervention can be measured at three levels: performance indicators, output, and input. In all cases, data will be collected by city authorities. While indicators will be defined after consultation with local authorities before starting implementation. Other indicators for the intervention can be derived from ASUS, SDG and NUA as presented in Table 3.

Table 3: Alignment between potential Project Indicators and SDG & NUA monitoring frameworks

	SDG Alignment (SDG Framework & SDG Index)	NUA Alignment (NUA Monitoring Framework Indicators)
ASUS Performance Indicators for Priority Actions		
Percentage of waste collected	11.6.1: Proportion of municipal solid waste collected and managed in controlled facilities out of total municipal waste generated by cities.	18. Proportion of municipal solid waste collected and managed in in controlled facilities.
Percent of waste recycled or reused	12.5.1: National recycling rate, tons of material recycled.	23. Recycling rate, tons of material recycled.
Percentage of operated covered vehicles for transporting waste on a daily basis	N/A	N/A
Percentage of the reduction in total waste generated a year	N/A	N/A
ASUS Potential Metrics at Subnational level		
Annual quantity of solid waste generated	N/A	N/A
Proportion of waste managed effectively or recycled	11.6.1: Proportion of municipal solid waste collected and managed in controlled facilities out of total municipal waste generated by cities.	18. Proportion of municipal solid waste collected and managed in in controlled facilities.
	12.5.1: National recycling rate, tons of material recycled.	23. Recycling rate, tons of material recycled.
Percentage of the reduction in total waste burned per year	3.9.1: Mortality rate attributed to household and ambient air pollution.	3. Mortality rate attributed to household and ambient air pollution.
	9.4.1: CO ₂ emission per unit of value added.	N/A
	11.6.2: Annual mean levels of fine particulate matter (e.g., PM 2.5 and PM 10) in cities (population weighted).	30. Annual mean levels of fine particulate matter (e.g., PM 2.5 and PM 10) in cities (population weighted).
	13.2.2: Total greenhouse gas emissions per year.	N/A
Percentage of informal waste pickers integrated into municipal waste management and recycling processes	6.b.1: Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management.	N/A
Number of education campaigns implemented to reduce waste generation and improve recycling processes	4.7.1/12.8.1/13.2.2: Extent to which (i) global citizenship education and (ii) education for sustainable development are mainstreamed in: (a) national education policies; (b) curricula; (c) teacher education; and (d) student assessment.	N/A
Water quality in bodies of water, canals, and coastal areas	6.3.1: Proportion of domestic and industrial wastewater flows safely treated.	N/A
	6.3.2: Proportion of bodies of water with good ambient water quality.	
	14.1.1: (a) Index of coastal eutrophication; and (b) plastic debris density.	

	SDG Alignment (SDG Framework & SDG Index)	NUA Alignment (NUA Monitoring Framework Indicators)
Other Potential Project Indicators		
Hazardous waste generated and treated/percentage of hazardous waste processed	12.4.2: (a) Hazardous waste generated per capita; and (b) proportion of hazardous waste treated by type of treatment.	N/A

Further information

Further and more detailed information on Kep City's proposed intervention can be found in the listed documents below that were prepared in the process of formulating the intervention. The City Technical Proposal and the City Diagnostic Report are essential for getting insight into the considerations on Kep City's intervention.

1. UN-Habitat. AADCP II. April 2022. City Technical Proposal: Enhancing Solid Waste Management Systems in Kep City.

2. UN-Habitat, AADCP II. July 2021. City Diagnostic Report.
3. UN-Habitat, AADCP II. July 2021. City Consultation Report.
4. UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

ANNEX 6: BRIEF ON GENERAL SANTOS CITY

City Sustainable Transport and Traffic Management Plan

Introduction

The thrust on General Santos City' CTP is on developing the City Sustainable Transport and Traffic Management Plan (CSTTMP) focussing on three interventions that were identified by the local government of General Santos: (i) to construct public transport infrastructure; (ii) to promote more environment-friendly public transport; and (iii) institutionalise the management of the city public transportation. The CTP is based on both quantitative and qualitative research as presented in the Diagnostic

Report that was developed through desk research and substantiated with data and information shared by dedicated focal points at the relevant city authorities and agencies.

The city is one of the main urban centres on Mindanao Island, with extensive connectivity thanks to an active seaport and airport terminals. The city is also a leading producer and exporter of crops and seafood, making it a relevant destination for economic migrants. Along with these opportunities, the challenges faced by the city also grew in the last decades. Founded in 1939, the city has a population of 697,315 inhabitants.

Table 1: General Santos City Population

Year	Population
1948	32,019
1960	84,988
1970	85,861
1975	91,154
1980	149,396
1990	250,389
1995	327,173
2000	411,822
2010	538,086
2015	594,446
2020 (projection)	653,426
2030 (projection)	789,522
2040 (projection)	953,965

Source: General Santos City Socio-Economic Profile

The Philippines has been severely affected by the COVID-19 pandemic. The country has breached the two-million mark with 2,003,955 total cases on 1 September 2021. In General Santos City, the first reported case of COVID-19 was on 8 April 2020. As a centre of high-value commercial crops, agricultural and fishery products, the impact of COVID-19 in General Santos City has been evident. Operations of the local government, private sector, and the community, especially the transportation sector, have been paralysed and limited. It has reduced passenger volume, which has also affected the income of tricycle operators and drivers. Since August 2021, General Santos City has experienced a continuous spike of COVID-19 incidents wherein hospital bed capacity and positivity rate percentages were critical. Thus, the quarantine classification of a General Community Quarantine (GCQ) in General Santos City has been extended on different occasions. Presently, the health situation has improved with better access to vaccination and boosters in the country, including General Santos City. As of March 2022, total cases have reached 17,695.

General Santos City is considered the gateway of Region 12. Aside from the seaport and airport, the city is connected to other cities through the Asian Highway Network (AHN), also known as the Pan-Philippine Highway. The AHN is the longest highway in the Philippines, with its length of 3,517 km. It is connected through a network of roads, bridges, and ferry services. Under the tri-corridor development strategy of the region, General Santos City is the growth pillar of the Isulan-General Santos Agro-Industrial and Eco-Tourism Corridor, which promotes economic sectors related to high-value commercial crops and fishery products and information communication technology (ICT). A central boulevard known as Pioneer Street links the city to the coastal road connected to the Makar Wharf and the Buayan Airport.

Presently, the rapid growth of residential subdivisions has resulted in the worsening of traffic conditions and congestion across the city. Within the most utilised transport mode, the three-wheeled tricycle increased dramatically, reaching an approximate amount of 42,000 units, exciding dramatically the ideal amount of 9,000 units calculated for General Santos. Due to their characteristics, these vehicles represent a major contributor to city pollution and road accidents.

Sustainable transportation and traffic management have become a key priority for the sustainable development of General Santos, and several actions have been already undertaken. These include the institutionalisation of the Public Safety Office (PSO) and the city's involvement with national and local initiatives.

To manage the city's growth, a City Planning and Development Coordinator (CPDC) has been appointed to integrate and coordinate all sectoral plans and studies. The City Development Council (CDC), headed by the City Mayor with CPDC as secretariat, initiates the comprehensive multi-sectoral development plan in coordination with the City Council. These include alignment of national, regional, and local transportation projects. With the changes in the local executive every three years, the continuity of projects is critical and can be ensured through the integration of ongoing and new plans. The current policy and planning framework comprises:

National and Regional Development Documents:

- National Vision 2040 (National Economic Development Authority 2016)
- Philippine Development Plan (PDP) 2017-2022
- Mindanao Spatial Development Framework 2015-2045 (Regional)

General Santos Local Transport Plans:

- Sustainable Urban Infrastructure Master Plan (SUIDMP)
- Comprehensive Land Use Transport and Traffic Code (City Ordinance No. 37, Series of 2018)
- Local Public Route Plan, 2017
- Transport and Traffic Management Plan, 2015

The proposed intervention

The intervention aims to advance sustainable urbanisation through improved transport and traffic management in General Santos City. The intervention aims to support the city authorities to:

- Manage, maintain, and monitor the quality and efficient operations of its public transportation and traffic system;
- Advocate for universal design, legibility of the streetscapes, inclusive planning, accessibility, and safety of the public transportation;
- Promote more ecological and environmental public transportation options;

- Provide alternative livelihood for workers of the transport sector;
- Increase the attractiveness of the city for investors; and
- Expand the range and scope of public transport service.

The intervention aims to provide the city with a City Sustainable Transport and Traffic Management Plan, developed through an inclusive and consultative process and a series of activities to strengthen the city's capacity to plan and implement transport projects. Moreover, to kick-start the implementation of the Plan, this intervention proposes physical implementation of key infrastructure and services, which the city considers priorities and that will be included as part of the Plan.

Table 2: Intervention Outcomes and Outputs

Outcomes	Outputs
1. Initial Stage six months	
Outcome 1: Better understanding of transport and traffic situation; and local stakeholders engaged.	Output 1.1: Assessment of the current state of actual transport and traffic situation, including the gaps and Opportunities for improvement. Output 1.2: Development of the "Stakeholder Engagement Plan and Gender Equality, Disability and Social Inclusion"
2. Intermediate Stage six months	
Outcome 2: City transport and traffic strategies developed and approved by the local authorities; and capacity building and opportunities for the reduction of greenhouse gases identified.	Output 2.1: A City Sustainable Transport and Traffic Management Plan (CSTTMP) is developed and aligned with the existing projects. Output 2.2: Capacity built at the city level for implementing and managing public transport systems and traffic management solutions. Output 2.3: Opportunities for the reduction of GHG emissions in the transport sector identified.
3. Implementation Stage 2-8 years	
Outcome 3: Implementation and monitoring of interventions or programs under the CSTTMP.	Output 3.1: Set-up of the implementation of the projects identified (see Table 2)
4. Implementation and Monitoring Stage 2-8 years	
Outcome 4: Finalisation of the CSTMP and monitoring of the overall intervention.	Output 4.1: Final CSTMP Output 4.2: Exit strategy and SDG monitoring strategy.

Table 3: Identified projects

Intervention	Output	Duration
Construction of Public Infrastructure		
1. Construction of 120 Public Transport User Transfer Stations.	120 Public Transfer User Stations	<i>Short-term</i> (2-3 years) Off street Terminals <i>Long-term</i> (7-8 years) PT Passenger Waiting Areas
2. Construction of Traffic Signalisation on 22 Key Intersections.	Traffic Signalisation on 22 Intersections	<i>Short-term</i> (2-3 years)
More Environment-Friendly Public Transport		
3. Strengthening the use of E-Jeepneys as a mode of transportation.	Procurement of E-Jeepneys operating in General Santos City	<i>Long-term</i> (7-8 years)
4. Promoting the use of Low-Carbon Emission Vehicles (Euro IV)	Increased Modal Share in Low-Carbon Vehicles	<i>Short-term</i> (2-3 years) Program for Local Transport Route Plans service providers to fully upgrade e-jeepneys. <i>Long-term</i> (7-8 years) Tricycle Service Rationalisation for Climate Change Mitigation
5. Rationalisation of Tricycle Operation	Tricycle Rationalisation Plan in terms of setting capacity of tricycles travelling within the city	<i>Short-term</i> (2-3 years) Increased conversion of tricycle units into cleaner units of higher Euro form (Emission Standard)
Management for Public Transport		
6. Creation of a Project Management Unit.	Institutional Arrangements for business cases in the Project Development Stages from the SUIDMP	<i>Short-term</i> (2-3 years) Institutional intervention. <i>Long-term</i> (7-8 years) Continuous personnel training
7. Construction of Public Safety Office.	Public Safety Office Building	<i>Long-term</i> (7-8 years)

It is expected that this intervention will have a broad impact in the long term, improving the public transport system of General Santos City and its integration into regional networks, enhancing the capacity of local authorities regarding public transport management, and ultimately impacting the quality of life of users that reside in General Santos City and neighbouring cities. Some of the expected achievements after implementation are:

- Improved management, through enhanced quality and efficiency of public transport;
- Improved public space quality, through effective parking regulations and promotion of non-motorised transport modes' usage in the city;
- Improved environmental sustainability, through the promotion of low-emission vehicles and optimised transport and traffic management systems;
- Improved road safety and security, with a reduced number of road accidents, through integrated traffic management systems;
- Improved commuters' services through reduced commuting time;
- Increased investment in the transport sector, through the development of plans, business models and implementation strategies.

The viability of the intervention is ensured by a strong governmental endorsement and support from the local government of General Santos City and a strong alignment with the city's development strategies. Although the intervention is context-specific, it will pave the way for the national government and local authorities to support and up-scale similar initiatives in other areas by using appropriate assessment, capacity building actions, and planning tools. As defined by this document, a key success factor consists of an inclusive key stakeholder engagement at all stages of the intervention. The Public Safety Office will lead the intervention with the support of the local government. Engagement with the private sector and civil society shall be sought in order to attain success and sustainability.

The estimated budget is USD 39.2 million, which includes: consultancy, infrastructure, technical set-up and supporting services (detailed engineering and supervision, acquisition, and physical contingencies), and operation and maintenance.

Risks Analysis

The Risk Analysis is divided into three risk categories: political, operational, and natural. Only the natural risk category has one with a high probability of occurrence related to COVID-19 or other outbreaks having a medium impact. The political and operational risk categories have three with high impact levels related to: public stakeholders no longer interested; delays due to lack of coordination between the district and provincial authorities; and resistance of transport operators to accept new ideas and proposals of technologies.

Gender Equality, Disability, and Social Inclusion (GEDSI) Framework

The GEDSI Framework puts forward an overarching strategic approach on gender equality and social inclusion aligned to the concept of transformation that facilitates a harmonized and integrated approach to gender and social inclusion. The GEDSI Framework has three dimensions:

- *Minimum compliance:* The intervention that addresses basic needs and vulnerabilities of women and marginalised groups.
- *Empowerment:* The intervention which builds assets, capabilities, and opportunities for women and marginalised groups.
- *Transformation:* The intervention which addresses unequal power relationships and seek legal, institutional, and societal level change.

The required actions will be identified through baseline assessments and consultations and subsequently be incorporated into the CSTTMP activities.

Monitoring

Progress monitoring under this intervention can be measured at three levels: performance indicators, output, and input. In all cases, data will be collected by city authorities. While indicators will be defined after consultation with local authorities before starting implementation. Other indicators for the intervention can be derived from ASUS, SDG and NUA as presented in Table 4.

Table 4: Alignment between potential Project Indicators and SDG & NUA monitoring frameworks

	SDG Alignment (SDG Framework & SDG Index)	NUA Alignment (NUA Monitoring Framework Indicators)
ASUS Performance Indicators for Priority Actions		
Average traffic speed during peak and non-peak hours	SDG 11.2.1: Proportion of population that has convenient access to public transport, by sex, age, and persons with disabilities.	14. Proportion of the population that has convenient access to public transport disaggregated by age group, sex, and persons with disabilities.
	N/A	56. Share of street junctions with traffic lights connected to traffic management systems
Average commute times	N/A	N/A
ASUS Potential Metrics at Subnational level		
Road fatalities	SDG 3.6.1: Death rate due to road traffic injuries.	N/A
Vehicles registered by type	N/A	N/A
Other Potential Project Indicators		
Reduction in carbon emission	SDG3.9.1: Mortality rate attributed to household and ambient air pollution	3. Mortality rate attributed to household and ambient air pollution
	SDG 9.4.1: CO2 emission per unit	N/A
	SDG 11.6.2: Annual mean levels of fine particulate matters (e.g., PM2.5 and PM10) in cities (population weighted)	30. Annual mean levels of fine particulate matters (e.g., PM2.5 and PM10) in cities (population weighted)
	SDG 13.2.2: Total greenhouse gas emissions per year	N/A
Satisfaction rate of public transport users	SDG Index 11. Satisfaction with public transport (%)	44. Percentage of commuters using public transport
	SDG 16.6.2: Proportion of population satisfied with their last experience of public services	N/A

Further information

Further and more detailed information on General Santos' proposed intervention can be found in the listed documents below that were prepared in the process of formulating the intervention. The City Technical Proposal and the City Diagnostic Report are essential for getting insight into the considerations on General Santos' intervention.

1. UN-Habitat, AADCP II. April 2022. City Technical Proposal: City Sustainable Transport and Traffic Management Plan.
2. UN-Habitat, AADCP II. July 2021. City Diagnostic Report.
3. UN-Habitat, AADCP II. February 2021. City Consultation Report.
4. UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

ANNEX 7: BRIEF ON HATYAI CITY

Improve Safety and Security through Digital Applications

Introduction

Songkhla Province, a strategically and culturally significant city of Southern Thailand, has been a priority target of urban development in the national plans. Hatyai, the most populated city in Songkhla and the Southern Region has become a strategic area. The city has a long history of being a commercial and trading hub of Southern Thailand since the railway junction was established in 1900 to connect Thailand to Malaysia and Singapore. In 2019, Hatyai City Municipality had a population of 156,802 in the city itself and about 800,000 in the Greater Hatyai Area, which covers the other 4 adjoining town municipalities. Hatyai City is the third biggest municipality in Thailand.

However, its economic growth and rapid urbanisation from immigration for better job and education opportunities have led to urban safety and security challenges. Crime and violence are more severe in urban areas from their rapid growth. Cities are also found to be increasingly becoming targets of insurgency attacks. Meanwhile, the scope of urban safety and security is not limited to crime and violence. It also includes the impacts of natural disasters, namely repetitive flooding in Hatyai.

- 1. High crime rates:** population growth and being a connection hub between Thailand and Malaysia makes crimes and law enforcement a priority issue for the city. During 2017 – 2019, Songkhla Province had an average of 155 criminal cases per 100,000 population, compared to the country average of 110 cases². The top 3 crimes reported in Hatyai City Municipality are: (1) theft - 32.8%, (2) drugs - 30.2%, and (3) robbery - 18.0%. Crime issues were mostly caused by unemployment, economic difficulties, and drug use and dealing.
- 2. Southern-border insurgency in adjoining provinces,** which affects Hatyai. Southern-border insurgency originated in 1948 as an ethnic and religious separatist insurgency in 3 Southern-border provinces - Yala, Pattani, and Narathiwat. Insurgencies have become more complex and increasingly violent since the early 2000s due to the interference of drug cartels, oil smuggling networks, and sometimes pirate raids. The situation reached its peak during 2004 – 2011, with approximately 4,500 deaths and 9,000 injuries related to insurgency. There have been multiple attempts to expand the violence to Songkhla province, which is adjacent to these 3 provinces. While Hatyai is culturally and ethnically different from the 3 Southern-border provinces, it has been targeted for insurgent activities. The severity of insurgency has been decreasing since 2014. Stricter safety and security measurements have been applied in Hatyai City Municipality, including vehicle and identity checks at the entrance of public areas and department stores. Even if the situation becomes better, safety and security in Hatyai are considered to be a top priority.
- 3. Repetitive flooding** caused by urban sprawl into lowland geography and increasing rainfall from climate change: Hatyai City Municipality is located in the U-Tapao Canal Lowland. 80% of the flooded areas were agricultural in the past, but Hatyai grew rapidly, leading to poor land-use planning. The city boundaries, especially the business and commercial areas, have expanded to flood-prone areas. Disaster protection systems were developed to respond to the issue, including flood canals, detention basins (Kaem Ling), and pumping stations. However, all protection systems could not prevent damages from the 2010 flood, for which climate change intensified its severity. The amount of rainfall was much more significant than in 2000, including drainage problems and buildings blocking the waterway. The damage value was approximately 10,000 million Baht. Flooding creates damage both physically and socially. Physically, the flooding has caused damage to life and property. Socially, citizens are forced to relocate and readjust to temporary housing.

These three priority issues have led to losses of tourism opportunities. International governments and agencies do not recommend Songkhla province for travel. It is considered one of the four most southern provinces with high levels of violence among Yala, Pattani, and Narathiwat.

Hatyai City Municipality has invested significant efforts to improve the situation and restore a positive perception of the city. General safety and security strategies have been planned and implemented with applications of digital assistance since 2006. Hatyai City Municipality started using CCTV for urban management in 2006. 13 CCTVs were installed at 13 major intersections for better traffic management. Later, hundreds of CCTVs were installed for safety and security improvement, e.g., 100 CCTVs for the E-Security Project in 2006 and 458 CCTVs under the Strong Thai Action Plan in 2011. In 2021, there were around 700 CCTVs for traffic and security management in Hatyai City Municipality, covering the city centre. Closed-circuit television (CCTV) systems were installed in the Central Business District and along major roads to improve the safety and security of the city. A Command Centre was built at Hatyai Police Station to centralise Greater Hatyai Area's CCTV monitoring.

CCTVs have also been installed for flood detection. A Flood Monitor Room was also built at Hatyai City Municipality. However, after ten years of implementation, serious management challenges are evident. Firstly, all CCTVs are not fully centralised and integrated because of different systems and specifications. Retrieving CCTV outputs from old cameras must be done physically. Meanwhile, the Flood Monitor Room is located separately from the current command centre. CCTV outputs are also publicly accessible on Hatyai's flood monitor platform 'Hatyai City Climate'. The platform is operated by the Southern Cities Climate Change Resilience Network (SCCCRN, formerly ASEAN Cities Climate Change Resilience Network or ACCCRN).

The lack of systems integration has made the monitoring of CCTVs labour-intensive, and it is not efficiently coordinated among responsible agencies. Secondly, public safety technologies were mainly focused on crime, leaving a gap of other types of public safety issues, especially traffic violations. 13 CCTVs have been installed for traffic management since 2006, covering only major intersections. They are also not frequently upgraded or maintained.

The first case of COVID-19 in Thailand was found on January 12th, 2020, while the first case in Songkhla was found on December 24th, 2020. With various measures, such as international travel restrictions, state and home quarantine, temporary closure of premises, curfew, and prohibition of social events, the situation has been under control until April 2021, when multiple clusters were found in Bangkok and its vicinity along with the emergence of new COVID-19 variants. Being a border and southern hub province of Thailand, Songkhla has suffered from COVID-19 infections, with 2.3 deaths per day in Songkhla. Specifically, there are 3,568 total cases and 7-day averages of 102 new cases per day in Hatyai (as of August 2021).

COVID-19 has had an immense impact on Hatyai's economy, especially on the tourism sector, which attracted 2 million tourists per year. In March 2021, 22 out of 107 hotels (20.5%) in Hatyai City Municipality went out of business since they were mainly dependent on Malaysian tourists. On the other hand, the average occupancy rate of all hotels has decreased from 50 – 60% to 20%. The local government response to the COVID-19 emergency caused a severe lack of capacity in providing public services and in continuing the implementation of local and international programmes.

Hatyai City Municipality is a local government whose roles and authorities are granted by the Municipality Act of B.E. 2496 (1953) Amendment 14 of B.E. 2562 (2019). The act grants the Municipality's authorities for (1) local planning and development, (2) local economic development, (3) provision of public services, (4) provision of social welfare services, and (5) promotion of democratic values, including civil rights and public participation. The mayor is the head of the city and has assistant mayors, advisors, and secretaries. Under the Mayor, the office is organised into seven departments to cover all municipality's roles and responsibilities. Currently, there are 2,381 municipality staff. To promote the decentralisation of government powers and decision-making under the Thai government's endorsement, Hatyai is organised into 103 communities. These communities have elected leadership and a budget for community development activities.

The intervention will contribute to Thailand's 20-year National Strategy and Master Plan on Smart Liveable Cities, of which Songkhla Province is one of the six priority areas of the country's first development phase between 2018 – 2022. It also contributes to Thailand's Smart City initiative in which Hatyai has proposed its vision to become a "Liveable City, Happy People, Sustainable Environment". Relevant policies linked to the intervention are summarised below:

- Thailand 4.0 Policy
- National Strategy and Master Plan on Smart Liveable Cities (1st Phase 2018-2022)
- Thailand Smart City Initiative
- 12th National Economic and Social Development Plan (2017-2021)
- 13th National Plan (2022-2026)
- Songkhla Provincial Development Plan (2018-2022, revised 2021)
- Hatyai City Municipal Plan (2018-2022)
- Personal Data Protection Act, B.E. 2562 (2019)
- National Cyber Security Act, B.E. 2562 (2019)
- Official Information Act, B.E. 2540 (1997)
- Electronic Transaction Act, B.E. 2544 (2001)

The proposed intervention

The main objective of the intervention is to improve the efficiency of safety and security services by taking full advantage of public safety technology and artificial intelligence, applied to prevent and reduce crimes, traffic violations, and damages from flooding. It also aims to change from reactive to proactive roles of safety measurement, to expand the focus to crime prevention rather than just crime arrest, through the full utilisation of public safety technology.

This will be achieved by developing comprehensive safety and security management strategies with a strong foundation in digital governance and implementing public safety technologies. The intervention will enable Hatyai City Municipality and Greater Hatyai Area to:

- Make Hatyai a safer place for its citizens and tourists, which will improve the livelihood of citizens and the city's attractiveness for investors;
- Improve the efficiency of safety and security management, from taking reactive roles to proactive roles, from crime arrest to crime prevention;
- Decrease economic losses from floods and terrorism attempts;
- Improve the efficiency of traffic management;
- Gain the trust of international governments and agencies regarding Hatyai as a safe destination. The city shall be removed from red flag areas to travel and have sustainable economic development from tourism.

Five key components have been identified to achieve the intervention's goals and objectives:

- Development of a Digital Safety and Security Management Strategy
- Enhancement of awareness on digital literacy and digital rights
- Coverage expansion
- Improvement of surveillance efficiency
- Output centralisation and standardisation

Table 1: Intervention Outcomes and Outputs

Outcomes	Outputs
Inception Phase	
Outcome 0: Endorsed Inception Report and Implementation Plan by the proper authority.	Output 0: Plan for project implementation and inception report.
Initial Stage 3 months	
Outcome 1: Greater understanding of safety and security management with stakeholder engagement strategies.	Output 1: Stakeholder Engagement Strategy and GEDSI Plan. Output 2: Background analysis.
Intermediate Stage 4 months	
Outcome 2: Advanced safety and security strategies with a strong foundation of digital governance.	Output 3: Hatyai's Digital Safety & Security Strategy. Output 4: Project Implementation Plan. Output 4.1: Project Implementation Plan. Output 4.2: Staff training on the Implementation Plan.
Implementation Stage 33 months	
Outcome 3: Implementation of public safety technologies.	Output 5: Procurement and Implementation. Output 5.1: Procurement requirements. Output 5.2: Selected vendors. Output 6: Installation. Output 6.1: CCTV installations and maintenance plan. Output 6.2: Single Command Centre. Output 6.3: Data infrastructure and maintenance plan. Output 6.4: Staff training on safety and security operation.
Advanced Stage 19 months	
Outcome 4: Full utilisation of public safety technologies to develop proactive safety and security management of Hatyai.	Output 7: Exit strategies and development roadmap. Output 7.1: Exit strategies. Output 7.2: Development Roadmap. Output 8: Pilot Program. Output 8.1: Pilot Program. Output 8.2: Staff training on the development roadmap.

It is expected that this intervention will have a broad impact in the long term, improving Hatyai's safety, reducing economic loss from crimes and floods, and improving the capacity of local authorities regarding safety and security management, and ultimately impacting the quality of life of both residents and visitors in Hatyai.

The utilisation of installed public safety technology is maximised. All data are integrated, standardised, and fully used for better urban management. Safety and security measurement can escalate from reactive to proactive measurements, from criminal arrest to crime prevention. Good digital governance can ensure coherence between various stakeholders whilst adhering to the goals to reduce crimes and economic loss from floods. It will ensure the safety and security of Hatyai citizens and tourists, both domestic and international. Ultimately, the intervention is expected to contribute to sustainable economic activities in the city.

It is expected that once the intervention is completed, it can reduce crime and the following:

- Improved overall City's safety. Crime rates are decreased up to 50 %, compared to before the intervention's implementation (burglary can be reduced to 60%, drugs can be reduced to 50%, stealth can be reduced to 60%).
- Improved efficiency of safety and security management, through the application of digital public safety technology to assist daily operation and integrated operation among agencies. The city has functioning operation networks. Crime arrest time is reduced while identification of inappropriate and illegal conduct is facilitated by the implemented technology.

- Improved flood monitoring and warning system; decreased economic loss from floods.
- Improved road safety, with a reduced number of road violators, through vehicle-scanner CCTVs.
- Improved City's digital infrastructure can support Hatyai to become a Smart City while data can be further utilised for city development.
- Developed City's data sharing framework.

The intervention will be led by the Hatyai City Municipality with the key support of the Hatyai Police Station, Korhong Police Station, and Digital Economy Promotion Agency (DEPA); and in close collaboration with experts/universities and engagement of related local agencies. The intervention can be strengthened by the synergies with the current city's safety interventions supported by citizen volunteers, namely City Cops and Pineapple Eyes.

The Implementing Partner/Consultant will be responsible for defining and setting up the intervention's governance structure together with local authorities at the beginning of the intervention. The governance structure should at least contain three bodies:

1. The Project Oversight Group
2. The Single Command Centre Management Committee
3. The Data Sharing Committee

The Project is planned to last for 48 months. The Budget is estimated to be USD 3,350,000. The estimated costs will be refined by the Project Working Group before starting implementation. The cost can be categorised into four groups: CCTV installation, Single Command Center and data infrastructure, specialists (internal only), and other costs.

Risks Analysis

Table 2 presents nine identified risks, impact level and probability level.

Table 2: Identified risks

Risk category	Potential risks	Impact	Probability
Political	Public stakeholders are no longer interested in the project.	Low	High
	Approved budget fails to meet expectations.	Medium	High
	Change of current government administration, which could put the intervention at risk.	Low	Medium
	Insurgency or terrorism-related activities.	Medium	Medium
Operational	Failing to get secondary data on time (data is not available or shared by the authorities).	Medium	Medium
	Delays due to lack of coordination between municipal and provincial authorities.	High	High
	Resistance from safety and security operators to accept new ideas and proposals of technologies.	Low	High
Natural	Extreme weather and/or geological events.	Medium	Medium
	COVID-19 or other outbreaks.	High	Medium

Gender Equality, Disability, and Social Inclusion (GEDSI) Framework

The GEDSI Framework puts forward an overarching strategic approach on gender equality and social inclusion aligned to the concept of transformation that facilitates a harmonized and integrated approach to gender and social inclusion. The GEDSI Framework has three dimensions:

- *Minimum compliance*: The intervention that addresses basic needs and vulnerabilities of women and marginalised groups.
- *Empowerment*: The intervention which builds assets, capabilities, and opportunities for women and marginalised groups.
- *Transformation*: The intervention which addresses unequal power relationships and seek legal, institutional, and societal level change.

The required actions will be identified through baseline assessments, consultations and implemented through awareness raising of and advocacy to the affected target groups of women and marginalised groups.

Monitoring

Progress monitoring under this intervention can be measured at three levels: performance indicators, output, and input. In all cases, data will be collected by city authorities. While indicators will be defined after consultation with local authorities before starting implementation. Other indicators for the intervention can be derived from ASUS, SDG and NUA as presented in Table 3.

Table 3: Alignment between potential Project Indicators and SDG & NUA monitoring frameworks

	SDG Alignment (SDG Framework & SDG Index)	NUA Alignment (NUA Monitoring Framework Indicators)
ASUS Performance Indicators for Priority Actions		
Share of city area with coverage from digital surveillance.	N/A	N/A
Change in crime rates (where solutions implemented).	5.2.2: Proportion of women and girls aged 15 years and older subjected to sexual violence by persons other than an intimate partner in the previous 12 months by age and place of occurrence.	N/A
Change in crime rates (in areas where solutions implemented). Number of convictions (through digital solutions)	11.7.2: Proportions of persons victim of physical or sexual harassment, by sex, age, disability status and place of occurrence, in the previous 12 months.	N/A
	16.1.1: Number of victims of intentional homicide per 100,000 population, by sex and age.	N/A
	16.1.4 Proportion of population that feel safe walking alone around the area where the live.	N/A
ASUS Potential Metrics at Subnational level		
Crime Victimization Rates	Same as Change in crime rates above	N/A
Malware Encounter Rates	N/A	N/A
Other Potential Project Indicators		
% Population with increased access to information and communication technology.	9.c.1: Proportion of population covered by a mobile network, by technology.	75: Percentage of cities utilizing e-governance and citizen-centric digital governance tools.
Increased use of geospatial information systems by the city authority.	N/A	44: Percentage of commuters using public transport.

	SDG Alignment (SDG Framework & SDG Index)	NUA Alignment (NUA Monitoring Framework Indicators)
Disaster Risk Reduction initiatives implemented.	1.5.1/11.5.1/13.1.1: Number of deaths, missing persons and directly affected persons attributed to disaster per 100,000 population	53: The number of cities that have per centage of urban population that is covered by multi-hazard early warning systems.
	1.5.4/11b.2/13.1.3: Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies.	49: Percentage of local governments (LG) that adopt and implement local disaster risk reduction strategies in line with national strategies.
	13.3.1: Extent to which (i) global citizenship and (ii) education for sustainable development are mainstreamed in (a) national education policies; (b) curricula; (c) teacher education; and (d) student assessment.	50: Percentage subnational/local government budgets dedicated to climate change mitigation and adaptation actions. 47: Annual number of vocational and technical education individuals trained.

Further information

Further and more detailed information on Hatyai's proposed intervention can be found in the listed documents below that were prepared in the process of formulating the intervention. The City Technical Proposal and the City Diagnostic Report are essential for getting insight into the considerations on Hatyai City's intervention.

- UN-Habitat. AADCP II. April 2022. City Technical Proposal: Improve Safety and Security through Digital Applications.
- UN-Habitat, AADCP II. July 2021. City Diagnostic Report.
- UN-Habitat, AADCP II. July 2021. City Consultation 2 Report.
- UN-Habitat, AADCP II. 2020? City Diagnostic Exercise – City Questionnaire.

ANNEX 8: COMPILATION OF QUESTIONNAIRE RESPONSES FROM CITY AUTHORITIES

Table A: Questionnaire Score

Evaluation Criteria	Q#	Discussion Point/Question	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not know
Relevance	1	The City Technical Proposal is coherent with national goals, policies, strategies, and urban development plans.	5	2				
	2	The City Technical Proposal is relevant to the city authority and its citizens.	5	2				
	3	The City Technical Proposal is responsive to SDG 11 and NUA, and risks have been adequately considered.	4	3				
Efficiency	4	The project resources were used economically and led to the expected outputs.	4	1	2			
	5	The ASUS Toolkits greatly assisted in formulating the City Technical Proposal.	4	2	1			
	6	The set-up of the ASUS Project organisation greatly facilitated the project formulation process and results were achieved timely.	4	2	1			
	7	Monitoring and reporting were adequately flexible to cope with the delays the Covid-19 pandemic caused.	2	4	1			
	8	National and city authorities have been fully involved in the identification process and in determining the scope of the City Technical Proposal, which has resulted in a high degree of ownership.	3	4				
Effectiveness	9	The ASUS Project's outputs and objectives have been adequately achieved, which has contributed significantly to the understanding of ASUS long-term goals.	3	2	2			
	10	The City Technical Proposal contains services that are highly demanded and supported by the citizens.	4	2	1			
	11	Crosscutting issues of gender, human rights, climate change youth and people with disabilities have been appropriately integrated into the City Technical Proposal where relevant.	2	5				

Evaluation Criteria	Q#	Discussion Point/Question	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not know
Impact/Sus	12	The results, as stated City Technical Proposal are likely to materialise in the immediate future and will have the intended impact.	2	3	1			1
	13	The beneficiaries' expectations for improved services are fully integrated in the City Technical Proposal with a high probability of being met.	3	4				
	14	The implementation of the ASUS Project has developed ownership and capacity among city stakeholders which will benefit further actions generally and specifically implementation of the City Technical Proposal.	5	1				1
	15	The positive effect from the ASUS Project will be essential for the implementation of the City Technical Proposal and the further urbanisation process.	5	2				
	16	Financing for the implementation of the City Technical Proposal is likely to be funded by either local, national, or foreign sources.	1	4				2
	17	The ASUS Project has influenced the longer-term perspective on the city's development plans with a view to providing adequate land and services for the existing and growing population.	4	2	1			

Note: Mandalay City did not take part in the questionnaire survey

Table B: Questionnaire comments¹

Q#	Discussion Point/Question	Comments	
Relevance	1	The City Technical Proposal is coherent with national goals, policies, strategies, and urban development plans.	The TCP is aligned to the national goal of promoting Low Carbon Transport aligned also to the Electric Vehicle Industry Development Act (EVIDA) and the Public Utility Vehicle Modernization Program (PUMMP) of the Department of Transportation.
	2	The City Technical Proposal is relevant to the city authority and its citizens.	Priority development agenda of the city is sustainable transportation, hence the project is relevant.
	3	The City Technical Proposal is responsive to SDG 11 and NUA, and risks have been adequately considered.	Yes, its responsive.
	4	The project resources were used economically and led to the expected outputs.	The project resources are used in the alignment of budget from different sources, human resources, and relevant agencies.
Efficiency	5	The ASUS Toolkits greatly assisted in formulating the City Technical Proposal.	The ASUS toolkit was used and followed.
	6	The set-up of the ASUS Project organisation greatly facilitated the project formulation process and results were achieved timely.	Despite the pandemic, the project team was able to achieve its deliverables.
	7	Monitoring and reporting were adequately flexible to cope with the delays the Covid-19 pandemic caused.	There were instances where it was difficult to do follow up, gather data and coordination.
	8	National and city authorities have been fully involved in the identification process and in determining the scope of the City Technical Proposal, which has resulted in a high degree of ownership.	Most of the interaction were with steering committee, the project output was not presented to the legislative branch. It was however presented to the City Development Council consist of government, private and civil society organization.
Effectiveness	9	The ASUS Project's outputs and objectives have been adequately achieved, which has contributed significantly to the understanding of ASUS long-term goals.	
	10	The City Technical Proposal contains services that are highly demanded and supported by he citizens.	As transportation is a basic service and need of the citizens.
	11	Crosscutting issues of gender, human rights, climate change youth and people with disabilities have been appropriately integrated into the City Technical Proposal where relevant.	

Q#	Discussion Point/Question	Comments
12	The results, as stated City Technical Proposal are likely to materialise in the immediate future and will have the intended impact.	This is dependent on the current LGU administration's capacity to implement.
13	The beneficiaries' expectations for improved services are fully integrated in the City Technical Proposal with a high probability of being met.	The City has organized the civil society organization to ensure peoples participation in program implementation, monitoring and evaluation.
14	The implementation of the ASUS Project has developed ownership and capacity among city stakeholders which will benefit further actions generally and specifically implementation of the City Technical Proposal.	While there were movement of personnel, there were still personnel retained to undertake the project.
15	The positive effect from the ASUS Project will be essential for the implementation of the City Technical Proposal and the further urbanisation process.	Yes, particularly in improving transport services, reduction in GHG emission and urban development.
16	Financing for the implementation of the City Technical Proposal is likely to be funded by either local, national, or foreign sources.	We hope that ASUS will help direct to Kep Municipality. With the EVIDA and low carbon transport, some components maybe funded. Recent engagement with UNIDO will also increase likelihood. National and local funds can be tapped. Now, CTP receives funding from Southern Border Provinces Administrative Centre (SBPAC), a Thai national agency on peace and security in Southern border provinces.
17	The ASUS Project has influenced the longer-term perspective on the city's development plans with a view to providing adequate land and services for the existing and growing population.	

Note 1: It was optional to provide comments to the questionnaire statements. All comments from the City Authorities team questionnaire are presented in Table 4.B

Note 2: EVIDA Philippines: On 15 April 2022, Republic Act (R.A.) No. 11697 or the Electric Vehicle Industry Development Act (EVIDA) lapsed into law without being approved or vetoed by the President.

ANNEX 9: COMPILATION OF QUESTIONNAIRE RESPONSES FROM THE PROJECT TEAM

Table A: Questionnaire Score

Q#	Discussion Point/Question	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not know
1	The City Technical Proposal is coherent with national goals, policies, strategies, and urban development plans.	7	1				
2	The City Technical Proposal is relevant to the city authority and its citizens.	7	1				
3	The City Technical Proposal is responsive to SDG 11 and NUA, and risks have been adequately considered.	7	1				
4	The project resources were used economically and led to the expected outputs.	4	3				1
5	The ASUS Toolkits greatly assisted in formulating the City Technical Proposal.	3	4	1			
6	The set-up of the ASUS Project organisation greatly facilitated the project formulation process and results were achieved timely.	3	5				
7	Monitoring and reporting were adequately flexible to cope with the delays the Covid-19 pandemic caused.	3	4	1			
8	National and city authorities have been fully involved in the identification process and in determining the scope of the City Technical Proposal, which has resulted in a high degree of ownership.	4	3			1	
9	The ASUS Project's outputs and objectives have been adequately achieved, which has contributed significantly to the understanding of ASUS long-term goals.	4	4				
10	The City Technical Proposal contains services that are highly demanded and supported by the citizens.	6	1	1			
11	Crosscutting issues of gender, human rights, climate change youth and people with disabilities have been appropriately integrated into the City Technical Proposal where relevant.	5	3				
12	The positive effects from the 1st Phase ASUS Project will be essential for the implementation of the City Technical Proposal and the further urbanisation process.	5	2	1			
13	The ASUS Project has influenced the longer-term perspective on the city's development plans with a view to providing adequate land and services for the existing and growing population.	5	1	1			1

Table B: Questionnaire comments¹

Q#	Discussion Point/Question	Comments
1	The City Technical Proposal is coherent with national goals, policies, strategies, and urban development plans.	<ul style="list-style-type: none"> The City Technical Proposal is well aligned to the National Physical Plan 4 and the 12th Malaysia Plan. With the stakeholders guided through the UN-ASUS Toolkit, the UN-ASUS project of General Santos City is aligned with the national and local plans and programs. The City Technical Proposal (CTP) for Sa Pa is aligned with Urban Law, Socio-Economic Development Plan (SEDP) for Sa Pa Town, Spatial Master Plan for Sa Pa Tourism City in 2016 and The Master Plan for Sa Pa Tourism toward 2040.
2	The City Technical Proposal is relevant to the city authority and its citizens.	<ul style="list-style-type: none"> The City Technical Proposal is well aligned to the Shah Alam Local Plan 2035. Yes. Each sector has been well-represented in the consultations and through the City Steering Committee. Their concerns have been channelled through the representative/s. Throughout the development of the CTP, several meetings and questionnaires were undertaken to collect feedback. In 2021, the People Committee of Sa Pa Town accepted the CTP.
3	The City Technical Proposal is responsive to SDG 11 and NUA, and risks have been adequately considered.	<ul style="list-style-type: none"> The goal and objectives are aligned with the SDG 11 and NUA. Risks have been properly considered using the Theory of Change. The project is responsive to SDG 11 and NUA with its key objectives to provide access to safe, affordable, accessible, and sustainable transport systems for all.

Q#	Discussion Point/Question	Comments
4	The project resources were used economically and led to the expected outputs.	<ul style="list-style-type: none"> • There was lot of in-kind support from the UN-Habitat Lao PDR office. It is requested that in future such project formulation such costs are considered and budgeted. • Resources were maximized. • Some of the meetings have been switched over to virtual modes because of the Covid-19 outbreak. However, I believe ASUS handled the funds well to achieve the desired results, despite certain operations being delayed.
5	The ASUS Toolkits greatly assisted in formulating the City Technical Proposal.	<ul style="list-style-type: none"> • The ASUS Toolkits document requires thorough individual study by the LPOs to understand and apply the concept and assist the cities as the experts. Although the toolkit was introduced by ASUS developers previously to the cities during the Socialisation Forum, a formal training was not provided to the LPOs once the project commenced. Strong collaborations between LPOs (internal UN-Habitat ASUS team), as well as between LPOs and cities are essential in formulating the City Technical Proposal by means of sharing sessions and peer reviews. • The sub-project in Lao PDR benefitted from the regional support and oversight. • The ASUS Toolkit is a very useful reference document, except that it is too long. An abridged version would be helpful for the document to be practically used by more stakeholders. • Through the Toolkits, the stakeholders and participants have been guided in the ASUS planning process. • ASUS Toolkit is helpful in helping Hayvai to form their initial proposal with great details. This information has been used in developing CTP. • The ASUS toolkits are helpful for certain particular areas (solid waste management or safety and health) but not at the degree of depth required for Sa Pa CTP concentrating on the development of sustainable transport.
6	The set-up of the ASUS Project organisation greatly facilitated the project formulation process and results were achieved timely.	<ul style="list-style-type: none"> • The Project Manager had played a great role in managing and guiding the team. • There have been some challenges in accommodating the availability of the participants. • The organization of the ASUS project is efficient with LPO for each city. If there can be any improvement, communications of the project progress (on UN-Habitat's and ASEAN's websites) can be more advocated. • The successful cooperation of several organisations and stakeholders was evident throughout the execution of the ASUS project in Vietnam.
7	Monitoring and reporting were adequately flexible to cope with the delays the Covid-19 pandemic caused.	<ul style="list-style-type: none"> • Adjustments have been made through online meetings. There have been some challenges in accommodating the availability of the participants. • There were regular meetings with the ASUS manager and LPO for reporting and discussing developments during the project's execution. The project teams' internal and external communications with each other, with the ASUS project management board, were well-maintained and adaptable to any changes.

Q#	Discussion Point/Question	Comments
8	National and city authorities have been fully involved in the identification process and in determining the scope of the City Technical Proposal, which has resulted in a high degree of ownership.	<ul style="list-style-type: none"> The city was very much involved during the process. Although a certain level of ownership is achieved, the city does not have enough capacity to fully understand how to utilise the Proposal without assistance and expertise. The City Consultation process was instrumental in engaging with key stakeholders from various levels, and to set a well-aligned vision for the project. The ASEAN Sustainable Urbanisation Forum (ASUF) further strengthened ownership of the City towards the project. Please add comments: After the event of 1st February 2021, due to the political situation in Myanmar and following Myanmar UN Country Team's (UNCT's) engagement guidelines, the city authorities could not be involved in the project. Therefore, the technical proposal was independently developed by UN-Habitat. Sectors have been well-represented in the consultations and through the City Steering Committee. The recommendations of the plan have integrated all the stakeholders' concerns. The ASUS project in Vietnam has engaged the participation of the Ministry of Planning and Investment, Lao Cai Provincial People's Committee, relevant agencies, and Sa Pa Town People's Committee, among others.
9	The ASUS Project's outputs and objectives have been adequately achieved, which has contributed significantly to the understanding of ASUS long-term goals.	<p>The stakeholders and participants have been guided in the UN-ASUS planning process. The project goal is aligned with the UN-ASUS long term goal.</p> <p>The city used ASUS in the process.</p>
10	The City Technical Proposal contains services that are highly demanded and supported by the citizens.	<p>There wasn't any involvement of citizens in the formulation of the technical proposal, therefore saying whether it is fully supported by citizens may not be fully correct. However, Solid waste management is a highly demanded and needed intervention for the city and is aligned with the city and national strategies.</p> <p>As mentioned, sectors have been well-represented in the consultations and through the City Steering Committee. The recommendations of the plan have integrated all the stakeholders' concerns.</p> <p>Hatyai has security risks from 3-border provinces. So, safety-related projects are in need.</p>
11	Crosscutting issues of gender, human rights, climate change youth and people with disabilities have been appropriately integrated into the City Technical Proposal where relevant.	<p>A dedicated section on gender equality, diversity, and social inclusion (GEDSI) was included, together with a clear GEDSI framework to ensure crosscutting issues were addressed.</p> <p>As mentioned, each sector has been well-represented in the consultations and through the City Steering Committee. Crosscutting issues were presented according to the GEDSI framework.</p>

Q#	Discussion Point/Question	Comments
12	<p>The positive effects from the 1st Phase ASUS Project will be essential for the implementation of the City Technical Proposal and the further urbanisation process.</p>	<p>Extensive supports are required for the city on the implementation. Key issues were identified following the completion of the Proposal, such as difficulty in acquiring the fund from grants, loans, and limited financial supports from local government. Public Private Partnership is one of the considered approaches that is also unprecedented in Tomohon. Further pre-feasibility study both on financial and implementation capacity is required.</p> <p>Due to the political environment in Myanmar and without the engagement of the local authorities, it is difficult to say if and when the technical proposal can be implemented.</p> <p>The phasing of the project is "ladderized." Hence, the initial impacts will trickle down as the project phasing progresses.</p> <p>The project is endorsed and likely to be implemented. But the endorsement from the national government is also a major factor, along with ASUS.</p> <p>Strongly agree since the positive impact of the first phase will leave a favourable impression on the participating cities.</p>
13	<p>The ASUS Project has influenced the longer-term perspective on the city's development plans with a view to providing adequate land and services for the existing and growing population.</p>	<p>The project would have had a higher impact if there were resources available for some pilots besides the study.</p> <p>Due to the sudden political situation no engagement with the city authorities could be achieved and hence the city could not benefit from the ASUS project directly. However, in the future if the situation improves and engagement is reinstated, the city can use the city technical proposal and knowledge from UN-Habitat to work towards the future of an inclusive and resilient Mandalay city.</p> <p>There has been a realization of the City for the ASUS Project to be aligned with the national and local plans and programs.</p> <p>Hatyai's project covers the City and the other 4 adjoining municipalities which shall cover the growing population.</p> <p>Since early 2021, the ASUS project has been undertaken in Sa Pa. Therefore, it would take time for participating cities to adopt/integrate into their land and service planning strategy.</p> <p>In my opinion, the city will need further support in terms of capacity building and implementation of some CTP sectors.</p>

Note 1: It was optional to provide comments to the questionnaire statements. All comments from the LPO project team questionnaire are presented in Table 5.B

**A better quality of life for all
in an urbanizing world**

Regular updates on UN-Habitat's work are available on
www.unhabitat.org



United Nations Human Settlements Programme (UN-Habitat)
P.O.Box 30030, 00100 Nairobi GPO KENYA
infohabitat@unhabitat.org

UN HABITAT
FOR A BETTER URBAN FUTURE