



MAKING CITIES SUSTAINABLE AND RESILIENT, 2016-2020

End-of-project Evaluation Report

Evaluation Report 3/2020

MAKING CITIES SUSTAINABLE AND RESILIENT, 2016-2020

End-of-project Evaluation Report

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UN  **HABITAT**
FOR A BETTER URBAN FUTURE

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ACRONYMS AND ABBREVIATIONS

A4R	Action for Resilience
CCA	Climate Change Adaptation
CRPP	City Resilience Profiling Programme (now CRPP)
CRGP	City Resilience Global Programme (previously CRGP)
CRPT	City Resilience Profiling Tool
DG-DEVCO	Directorate-General for International Cooperation and Development
DRR	Disaster Risk Reduction
EC	European Commission
GWOPA	Global Water Operators' Partnership Alliance
LDCs	Least Developed Countries
MTE	Mid-Term Evaluation
OECD/ DAC	Organisation for Economic Co-operation and Development's Development Assistance Committee
RAP	Resilience Adaptation Plan
RAPT	Resilience Action Plan Toolkit
SIDS	Small Island Developing States
ToR	Terms of Reference
UCLG	United Cities and Local Governments
UNDRR	United Nations Office for Disaster Risk Reduction
UNEG	United Nations Evaluation Group
UN-Habitat	United Nations Human Settlements Programme
USD	United States Dollars

EXECUTIVE SUMMARY

INTRODUCTION

Evaluation is an integral component of programming and cycle management at United Nations Human Settlements Programme (UN-Habitat). This is a final evaluation report of the **“Making Cities Sustainable and Resilient”** project, which was jointly implemented by UN-Habitat and UN-Office for Disaster Risk Reduction (UNDRR) in the period of 2016-2020. The project aimed at improving the understanding of, and capacity to address disaster at local level, particularly in crisis cities to support national disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies. The project had a total of five components, UN-Habitat was responsible for the implementation of two components. It was implemented globally, covering countries of Mozambique, Paraguay, Senegal and Vanuatu in corresponding cities of Maputo, Asuncion, Dakar and Port Vila, hereinafter called “pilot cities”.

The project was funded by the European Commission Directorate – General for International Cooperation and Development (DG-DEVCO), with a total budget of USD6,144,558.65. Out of the total budget, USD 3,318,584 were allocated to UN-Habitat project to implement two components: (i) identification of key issues and challenges in linking early intervention in crisis-prone cities to long-term sustainable development (Result Area 3); and (ii) enhancing crisis-prone cities capacity to develop and implement plans to increase their resilient (Result Area 5). The project targeted local stakeholders in implementing cities, including city authorities, civil society, women, children and other vulnerable groups. It also targeted national urban development, disaster management

departments, non-state actors, including bankers.

In order to achieve the results related to the components of the project lead by UN-Habitat, hereinafter called “intervention”, UN-Habitat developed an integrated City Resilience Profiling Programme methodology, hereinafter called “CRGP methodology”, including the City Resilience Profiling Tool (CRPT) and the Resilience Action Plan Tool Kit (RAPT), which was developed in collaboration with the city of Barcelona. The CRGP methodology was continuously developed in parallel with its implementation in the four pilot cities: Maputo, Asuncion, Port Vila and Dakar. In each of the cities, data was collected and analysed, producing a diagnosis and delivering recommendations for action.

MANDATE, SCOPE, PURPOSE AND OBJECTIVES

The evaluation was mandated by the donor, the European Commission DG DEVCO) and undertaken in line with the UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016), which requires that programmes and projects of over USD1 million should be evaluated by external consultant by the end of the intervention. The evaluation provides an independent appraisal of the performance, in terms of achievements, challenges/risks and opportunities of the project focusing on two Result Areas 3 and 5, implemented by UN-Habitat, in line with the donor agreement, project investment and results chain (log frame), it builds on the mid-term evaluation that was jointly conducted by UN-Habitat and

UNDRR in 2018. The evaluation exercise was undertaken in the months of 4 April 2020 to August 2020, by independent external consultant, Prof. Nicola Tollin.

The evaluation serves purposes of accountability and learning for improved performance and results at various levels, including for policy revision. The intended audience of the evaluation report is UN-Habitat, the donor-European Commission DG-DEVCO, the implementing joint partner UNDRR and the evaluation community.

The specific objectives of this evaluation were provided in the ToR as follows:

- (i) Assess achievement of planned results and performance.
- (ii) Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project;
- (iii) Identify lessons learned and propose recommendation to scale-up or replication.

In addition, questions to assess cross-cutting issues including gender, youth, climate change and human rights were included.

APPROACH AND METHODOLOGY

The evaluation was carried out following the United Nations Evaluation Group norms and standards of the United Nations System and best practices in the evaluation field. Key evaluation questions as listed in the TOR (Annex 1) provided the analytic framework for the evaluation.

The evaluation methodology was summative, drawing together available evidence from various evidence sources. The data collection and analysis were realized through:

- Desk review of available relevant documents (Annex 4);
- Semi-structured interviews, (Annexes 5 and 7);
- Semi-quantitative survey (Annexes 5 and 6).

The desk review was based on the analysis of over 30 documents:

- main working documents, including also meeting minutes and internal preparatory documentation;
- official outputs of the project, including the city reports and midterm-evaluation.

The request for interview and survey was sent to a list of persons, populated in collaboration with CRGP, following a basic stakeholder's analysis and including UN-Habitat staff involved directly in the intervention, centrally or locally; beneficiaries in Barcelona and in the four pilot cities; representatives of the donor; and partners, including UNDRR staff and UN-Habitat staff not directly involved in the intervention.

A total of 25 semi-structured interviews were realized with 23 persons; the interviews were structured to be intensive and in-depth with a duration of 60-75 minutes each. Each interview was analysed, requiring a textual analysis time of 120-150 minutes each.

The semi-quantitative survey was responded by 17 persons, on the 25 originally listed, through a personal link to the online questionnaire, including open-end questions and ranking questions on a Likert scale from 1 (very low) to 5 (very high).

In total 25 persons took part in the evaluation through the interviews and/or the survey; at least two persons in each of the five cities, directly involved in the local implementation of the intervention, either beneficiaries or

UN-Habitat focal points, took part of the evaluation through the interview and/or the survey.

LIMITATIONS TO THE EVALUATION

The current Covid-19 pandemic crisis made impossible the planned field trip(s) and

reduced the expected return rate of the survey as well as the availability of interviewees, particularly among beneficiaries in the pilot cities, despite the effort made by CRGP to facilitate the contact.

The evaluation was also limited in terms of time to conduct the evaluation and resources, in relation to its complexity and scope.

KEY FINDINGS

SUMMARY OF THE MAIN ACHIEVEMENTS OF PLANNED RESULTS

Overall, the intervention achieved the planned expected accomplishments at a satisfactory level.

Achievement of Result 3 (satisfactory)

The CRGP methodology, integrating the CRPT and the RAPT, was developed as a process able to identify key urban issues and challenges, coupling early intervention and long term sustainability perspective; the general methodology that can be adapted to different local context, although requiring a certain initial level of resources, data and capacities, for the data collection.

Achievement of Result 5 (satisfactory)

The pilot cities (Dakar, Port Vila, Asuncion and Maputo), which are crisis-prone cities, have overall enhanced the capacities to increase their resiliency, through evidence-based data and information, and in prioritizing actions for resilience. The final achievement in each of the cities was dependent from initial contextual conditions, including political continuity and commitment, availability of data and information, and resource availability.

The development of the methodology was continuing side-by-side with the implementations of the pilots in the cities; this required an intensive use of human resources for the development of indicators, in parallel limiting the availability of human resources in the initial phases of the first two pilot cities (Maputo and Asuncion), the later development of a general procedure for action planning and the needed adaptation of the general methodology to the local context. Moreover, the delay accumulated in starting the action in the last two cities (Port Vila and Dakar) also compressed time and resources availability. Overall achieving the satisfactory results both for the development of the general CRGP methodology and the implementation of the pilots in the four cities.

SUMMARY OF ACHIEVEMENTS AGAINST EVALUATION CRITERIA

Relevance (satisfactory)

The objectives of the intervention were relevant, aligned and consistent with beneficiaries' requirements, country needs, global priorities, partners' and donors' policies. This particularly considering the constant improvement and learning process of the intervention through its development, for example, through the continuous development and improvement of CRGP methodology.

Effectiveness (satisfactory)

The intervention's objectives were overall achieved, resulting in the full development of the CRGP general methodology, and prioritization and recommendations for specific actions, adapted to local context and needs, in the four pilot cities.

Efficiency (satisfactory)

Overall, the achievement of the results was performed with appropriate use of resources. Some issues reported to have negatively impacted on efficiency were in the administration of contracts and payment of the consultants, mainly due to UN-Habitat central administrative procedures. Some issues were also reported, particularly at the beginning of the project, in relation to specific circumstances in the pilot cities, such as the political cycles, and in relation to the ambitious objective of the project, and those dealing with the development of tools/ methodology in parallel with the activities in the pilot cities.

Sustainability (satisfactory)

Capacities were overall well-built to guarantee the continuation of benefits in the long term, both at technical and institutional level. There were significant differences among the pilot cities; the institution of resilience units and/or observatory, as well as establishing city-to-city partnership, particularly with Barcelona, and with international actors as United Cities and Local Governments (UCLG), were particularly valid solutions for risk mitigation.

Impact (satisfactory)

The intervention had a significant impact on developing the CRGP methodology and in giving recommendations for actions, including prioritization, in the pilot cities. The intervention produced also very good impact supporting the establishment of resilience units/ departments/ observatory, for example in Dakar and Maputo, as well as in supporting the mainstreaming of urban resilience also at national level. Significant impact was also achieved in raising awareness, knowledge, data and in building local capacities.

Coherence/complementarity (satisfactory)

The project was coherent and well-aligned with the European Commission's policies and development programme, as well as with national policies and priorities. Further integration could

have been sought with the European Commission's specific country priorities and projects in the pilot cities. There is potential for complementary and integration between CRPT and other tools/methodologies within UN-Habitat, and with other agencies/programmes of the UN system, as well as with major international organizations active in the field, such as: C40 and The Global Resilient Cities Network.

Community added value (satisfactory)

The intervention overall added value to local communities, developing and applying thematic Enhancers to the CRGP general methodology; the enhancers were developed to strengthen the integration of cross-cutting issues. The following enhancers are of particular relevance and importance: Upgrading for Informality, Gender Equality, Social Resilience and Human Rights. Other cross-cutting issues were addressed appropriately by the Enhancers on: Climate Action, Infrastructure Improvement and Resource Efficiency.

Potential for replication (satisfactory)

The current potential for replication of CRGP methodology in other cities worldwide is very good, based on the activities already under implementation, for example in Yakutsk in Russia, and preparatory actions, including initial training activities, are already on-going in several cities worldwide. Some replication activities are currently on-going locally, in the pilot cities; for example in Dakar, where it is currently under consideration the use of CRGP methodology involving other local authorities, which are part of the metropolitan area of Dakar.

Potential for scaling-up (highly satisfactory)

The current potential for scaling-up of CRGP methodology, including the action planning, is overall good. The exploration of alternative modifications, to give CRGP an even higher degree of flexibility, is already ongoing, to meet better the specific local needs and capacities, and maintaining the overall level of complexity.

CONCLUSIONS

The success level in the pilot cities depended by both internal and external factors. The internal factors were the increasing level of maturity of CRPT methodology, and the city's ability to mitigate external variables. The external variable included specifically the level of political continuity, during and after the project, the level of data availability, and the level of local resources and capacities, and ultimately the ownership of the project by the different beneficiaries and stakeholders.

Urban resilience is a process, not a final state, for this reason, the results of this project are delivering a system for the dynamic understanding of current and future needs and support evidence-based decision making, in relation to risk and vulnerability of the urban systems, and the ability to increase its capacity in reducing, responding to risk and to reconstruct, when necessary.

The CRPG was able to develop a methodology that is complex, systemic and dynamically

adaptive, thereby able to specifically tackle the issue of urban resilience, facing multiple and concurrent hazards and shocks, in the wider frame on sustainable development; and it shall be understood as a continuous learning process to systemically enhance the adaptive capacity of urban systems, also in face of the high level of uncertainty regarding present and future challenges.

The CRGP methodology was also instrumental to raise awareness and capacity in understanding and defining the city needs; sometimes even beyond the specific requests of the local administrations themselves, but for the benefit of the cities and their inhabitants. The intervention gave to the pilot cities a clearer understanding about information and data availability, identifying data and information gaps, in a quantifiable and comparable manner, particularly through the urban resilience profiling, which created a much needed evidence-based information baseline, which is fundamental to track and monitor the progress for urban resilience transition.

The complexity and data requirements for the urban resilient profiling, and the resources necessary to realize it, may be a barrier for its usage particularly in context with low capacity and resource availability, for example in medium and small cities in the Global South. Thereby, it is important that CRGP continue the current effort for further developing the usability of the methodology, for example by phasing the profiling and/or prioritizing the selection of the profiling indicators, in accordance with local context and needs, specifically in cities with limited capacity and data availability, maintaining a balance between complexity and usability.

The intervention was instrumental for identifying and prioritizing urban resilience

actions in the pilot cities, including no-cost ones, that are currently under implementations, but can further benefit from accessing external financial resources, to achieve their full implementation. In this regard, the urban resilience profiling realized is instrumental for accessing finance, as it provides the necessary evidence-based information which is required in preparing bankable projects proposals, for example for the Adaptation Fund or the Green Climate Fund.

The intervention substantially contributed at overcoming knowledge, administrative and operational silos on urban resilience, at different levels, for example, by enhancing present and future strategic collaborations within UN system, particularly with UNDRR, and with key stakeholders as UCLG. Moreover, the intervention favoured the establishment of urban resilience units and/or focal points in the pilot cities, which role is to harmonize and to integrate the work of the different parts of the administration; this further strengthened by the engagement of other local stakeholders through the intervention. The intervention also produced some appreciable results in favouring the integration of efforts on urban resilience between national governments and local administrations, which is considered of strategic importance.

Ultimately the intervention was able to successfully achieve the expected results:

- developing a strong and well-structured methodology for urban resilience, coupling diagnostic with selection and prioritization of actions;
- realizing resilience diagnostic and give actionable recommendations for action, including actions not requiring additional and external resources, in the four pilot cities.

The methodology has a very good potential for replication and up-scaling, as proven by already on-going activities. The replication and up-scaling of the city actions have overall and appropriate potential for replication and up-scaling, although this potential varies from city to city, being dependent from external factors to the intervention, such as the political cycles of the policy priorities of the local administrations.

Replication and up-scaling requires also an effort to further harmonize an integrating CRGP methodology with other existing methodologies frameworks and tools currently available for urban resilience, within

UN-Habitat and UN system, as well as in relation to the work in this field developed by other international initiatives and actors, such as C40 Cities Climate Leadership Group and the World Bank. The harmonization and integration of the methodologies are needed in order to avoid replication of efforts, and to enhance the available support options to meet the very diverse context and needs of cities world wide, that may require different type of support along the phases of their urban resilience transition, from advocacy and awareness-raising to action planning and implementation.

SUCCESS FACTORS AND CHALLENGES

SUCCESS FACTORS

- Establishing a complex and measurable resilience profile of the cities.
- Coupling the statistical analysis of data with the local knowledge.
- The participatory feature of the methodology and the involvement of different stakeholders., including national governments.
- Establishing city-to-city partnerships to support the implementation of the intervention in the pilot cities.
- The development of capacity building activities that effectively strengthen capacity in the pilot cities.
- Selecting and prioritizing actions, including also no-cost actions, instead of the creation of new action plans that may have been redundant.
- Establishing urban resilience unit or focal point in the cities, strengthening the sustainability of the intervention.

CHALLENGES/RISKS

- The low or fluctuating institutional and political commitment and ownership.
- The limited technical and human initial capacities of the cities.
- The complexity of the tool itself and its ability to adapt to very different local contexts, circumstances and needs.
- The intensity of resources and capacities needed for the implementation of the methodology, specifically the data collection and diagnostic phases.
- The political cycles and the derived spoils-system at policy and technical level.
- The lack of dedicated resources for implementation or follow-up support.
- The rigid and sometimes not fully functional administrative requirements and related dysfunctionalities.
- Coupling the development of the methodology with the local activities in the cities and the derived trade-offs.

LESSONS LEARNED

1. The systemic and holistic approach is a key feature of the CRGP methodology, that was also particularly valued by the beneficiaries, and it is fundamental to address urban resilience challenges in a dynamically adaptive manner.
2. The integration of statistical data analysis with local knowledge, acquired through stakeholders' participation, is particularly valuable.
3. The implementation of the CRGP methodology is data and resource intensive, requiring clear institutional commitment and initial training / capacity building.
4. The CRGP methodology is useful to understand data-information needs and gaps, as well as for integrating existing data and knowledge, for example providing a comprehensive outlook of strategies, actions and policies in the city.
5. Documentation and information supporting the CRGP methodology are needed in the local language, particularly to facilitate the engagement of local technical staff.
6. City-to-city learning, and city-to-city support is extremely valuable and effective, with the possibility of allowing also South-South city partnerships and may support the replication and up-scaling of the intervention.
7. Local focal points, both at institutional and technical level, within the local administration, are a fundamental success factor.
8. The initial prioritization and selection of some key indicators, as an alternative to the use of the full set of indicators, based on specific local context and needs, is important to enhance local ownership and reduce the initial need of resources.
9. External resources, made directly available to the cities, may be necessary to provide the local administration with the basic capacity for applying the methodology and to guarantee its iterative use.
10. Time of administrative procedures, such as initial recruitment and hiring of staff, need to be accounted for in the planning of the project; as well as buffers need to be accounted for unforeseen extension of data collection, taking into account issues with data availability and data acquisition from other sources than the local administration.
11. The political cycles are often disrupting the process and its continuity, is therefore necessary either to start the intervention at the beginning of a political cycle or to plan for an intervention with a longer time frame, (e.g. 6 years) to guarantee the full institutionalization of the process and its full sustainability.
12. The full explicit commitment from the local administration, the time and resource requirements expected need to be defined in detail because they are fundamental to guarantee that appropriate resources are in place for the implementation of the intervention.



*Local city authority representatives attending workshop on building resilience held in Dakar, Senegal, 2019
@ CRGP / UN-Habitat*

RECOMMENDATIONS

- 1. Consider the phased CRGP methodology approach as a long-term incremental and iterative process.** Future projects should maintain complexity and use a systemic approach, by facilitating its use with regards for the availability of local resources, and the adaptability to the local context. The project approach should be adapted to accommodate and help defining further the specific needs and priorities of the cities were implemented, also being particularly sensitive to the importance of creating local ownerships by local municipality and stakeholders. Inclusion of specific support/phase for support in the development of bankable projects and/or the exploration of concrete opportunities for securing necessary financial resources for implementation of actions.
- 2. Integrate different tools and approaches to urban resilience,** already available within UN-Habitat. UN-Habitat should mainstream a coherent and integrated approach to urban resilience that would provide alternative but integrated methodologies and tools that could be selected and tailored based on the local context and circumstances. This can be done by structuring a dedicated process of dialogue, allocating necessary time and resources, between the actors already involved with urban resilience, that can

formalize such an approach, considering also to further the integration of resilience and climate workstreams in UN-Habitat. UN-Habitat should consider including urban resilience profiling in the design of all its projects.

3. **Integrate the different tools and approaches to urban resilience within UN system**, starting from the collaboration and further integration of approaches, methodologies and tools between UN-Habitat and UNDRR. This integration could potentially result in structuring a joint approach that could adapt better to very different local contexts, circumstances and requirements, particularly in relation to initial capacities and resources available within the cities, with the aim of strengthening replication and up-scaling.
4. **Explore the integration and harmonization of CRGP methodology with other methodologies and tools developed by other lead organizations** (e.g. the C40 Cities Climate Leadership Group, UCLG, the World Bank and the Global Resilient Cities Network). This would facilitate establishing ad-hoc partnerships and harmonization of actions among lead organizations, sometimes operating in the same cities, with the objective to avoid duplication and redundancy of efforts.
5. **Refine further the CRGP methodology** in order to reduce the entry-level requirements in terms of resources and capacities needs, taking into account the lack of data availability. This would entail strengthening the methodology as an interactive and long-term process, but maintaining the original systemic, holistic and complex approach that is one of the main features of the methodology itself.
6. **Strengthen further the capacity building component of the methodology**, in collaboration with other entities in UN-Habitat and within the UN system, starting with UNDRR. This should take into consideration the possibility to enhance the initial training of technical and policy focal points in the municipality, as well as the development of training the trainers' dedicated activities.
7. **Explore and pilot alternative options for establishing an ecosystem of urban resilience observatories**. This would also enhance the replication and up-scaling potential, including local, national and global observatories, possibly considering the articulation of an ecosystem of observatories that can also facilitate the transfer of knowledge, monitoring of resilience challenges, trends and best practices, as well as the maximization of efforts globally through an economy of scale, avoiding duplication of efforts.
8. **Systematize further the use of city-to-city partnerships**, through the entire life cycle of the use of the CRGP methodology and interventions. South-South partnerships and the further development of city-to-city stewardship should also be strengthened.
9. **Explore further the potential and operability of urban resilience unit and focal points within the local administration**, as an effective instrument to strengthen the sustainability of the intervention in the long term, and the replication of results within the municipality.

10. **Strengthen the partnership with third parties**, e.g. UCLG and national association of cities. Such partnerships can significantly support the achievement of the full potential for replication and up-scaling, which may require levels of commitments and resources beyond the capacity of an individual program or agency.
11. **Strengthen further the collaboration with national governments**, in view of enhancing capacities at national level and secure adequate level of national support to local action. It would entail enhancing vertical integration of governance for urban resilience and facilitating the replication of the intervention at the national level.
12. **Strengthen the functions of CRGP in mainstreaming urban resilience work in**

UN-Habitat, also having and higher and more transversal position within UN-Habitat's organizational structure. The CRGP could be structured following the organizational principles of the Global Water Operators' Partnership Alliance (GWOPA), for example, allowing its rotational hosting by different cities, potentially allowing also in-kind contributions from the host cities, for developing specific activities. CRGP could then better focus on providing functions related to the use of CRPT methodology, further harmonized and integrated with other tools and methodologies, and expanding its function on capacity building, also enabling cities and third parties in utilizing the CRGP methodology, and having an oversight on progress on urban resilience worldwide as a global observatory of urban resilience.

1. INTRODUCTION

Evaluation is an integral component of programming and cycle management at UN-Habitat. This is a final evaluation report on: **“Making Cities Sustainable and Resilient”** project, which was jointly implemented by UN-Habitat and UNDRR in the period of 2016-2020. The project aimed at improving the understanding of, and capacity to addressing disaster at local level, particularly in crisis-prone cities to support national disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies. The project had five components, of which UN-Habitat was responsible for the implementation of two components. It was implemented globally, covering countries of Mozambique, Paraguay, Senegal and Vanuatu in the corresponding pilot cities of Maputo, Asuncion, Dakar and Port Vila.

The project was funded by the European Commission Directorate-General for International Cooperation and Development (DG-DEVCO), with a total budget of USD 6,144,558.65. Out of the total budget, USD 3,318,584 was allocated to UN-Habitat project to implement two components of: (i) identification of key issues and challenges in

linking early intervention in crisis-prone cities to long-term sustainable development (Result Area 3); and (ii) enhancing crisis-prone cities capacity to develop and implement plans to increase their resilient (Result Area 5). The project targeted local stakeholders in pilot cities, including: city authorities, civil society, women, children and other vulnerable groups. It also targeted national urban development, disaster management departments, non-state actors, including bankers.

In order to achieve the intervention’s main results, namely the identification of issues and challenges in crisis-prone cities and their increased capacity to develop resilience plans, UN-Habitat developed an integrated methodology, hereinafter called “CRGP methodology”, including the City Resilience Profiling Tool (CRPT) and the Resilience Action Plan Tool Kit (RAPT), which was developed in collaboration with the city of Barcelona. The CRGP methodology was continuously developed in parallel with its use in four pilot cities: Maputo, Asuncion, Port Vila and Dakar. In each of the cities, data was collected and analysed, producing a diagnosis and delivering recommendations for action.

1.1 BACKGROUND AND OVERVIEW OF THE PROJECT

‘Making Cities Sustainable and Resilient: Implementing the Sendai Framework for Disaster Risk Reduction 2015-2030 at the Local Level’ was a joint project between the UN Office for Disaster Risk Reduction (UNDRR) and United Nations Human Settlements Programme (UN-Habitat), supported and funded by the European Commission Directorate-General for International

Cooperation and Development (DG DEVCO). Table 1 shows the five result areas covered by the initiative and the two respective implementing partners.

The overall objective of the initiative was to build more sustainable and resilient cities, by strengthening the capacity of key public, private and civil society stakeholders to assess and address risk, to ensure that public and

private investments are risk-informed and that early interventions in crisis-prone cities were aligned to longer-term development.

The project aimed at improving the understanding of, and the capacity to, address disaster risks at the local level, including in crisis-prone cities, to support national and local disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies. It had a global focus, however, particular attention was given to Least Developed Countries (LDCs) and Small Island Developing States

(SIDS) as the areas where most gains stood to be made.

The initiative was to contribute directly to achieving Sustainable Development Goal 11 ‘Make cities inclusive, safe, resilient and sustainable’, specifically targets 11.5 and 11.b, and built on the achievements of the Hyogo Framework for Action 2005-2015, and paved the way toward the implementation of the Sendai Framework for DRR 2015-2030 at the local level, and the recently adopted New Urban Agenda.

Table 1: The five result areas implemented by UNDRR and UN-Habitat

Result 1 {UNDRR}	Increased commitments to build local-level resilience
Result 2 {UNDRR}	Local Resilience and investments measured
Result 3 {UN-Habitat}	Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs
Result 4 {UNDRR}	Capacity is built in cities and local governments to develop and implement integrated local climate and disaster resilience action plans
Result 5 {UN-Habitat}	Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency

The causal pathways of change of the project linked the tool development and the development of action plans in the pilot cities, with the delivery of analysis and recommendations.¹

The overall project duration was planned for 48 months from 15 April 2016 to 14 June 2020 with a total budget for the project of USD 6,144,558.65.

Out of the total programme budget, USD 3,318,584 was allocated to UN-Habitat.

This evaluation focused on Results 3 and 5, referred to as the UN-Habitat intervention, results 1,2 and 4 were evaluated separately under UNDRR coordination.

UN-Habitat worked with the following four pilot cities:

Maputo in Mozambique; Asuncion in Paraguay; Port Vila in Vanuatu and Dakar in Senegal.

The city of Barcelona in Spain was used as initial trial in the early stages of development of the intervention, as the point of reference

¹ The results chain of the project is described in 3.1 Approach using the Theory of Change, Figure 1, page 6 of this report.

for the development of CRPT and RAPT, and further collaborated with UN-Habitat in the implementation of the project in some of the four pilot cities.

The evaluation is built on the results and recommendations of the mid-term evaluation (MTE), which was realized for the entire project by an external evaluator, through the joint effort of UN-Habitat and UNDRR.

The MTE stated that UN-Habitat made satisfactory progress in completing its planned targets under Result 3 and 5. Table 2 lists the specific MTE recommendations to be addressed by UN-Habitat. The City Resilience Profiling Tool (CRPT) advanced version 2.0 was under its final stage of fine-tuning. Strong progress was made in completing the CRPT in two out of four pilot cities - Asunción (Paraguay) and Maputo (Mozambique) - to implement the CRPT under Result 5.

UN-Habitat's implementation stream focused on developing its intervention with an 'urban

system' perspective, aiming at building transformative change in urban context overcoming silos in conceptualizing urban resilience across different sectors and functions within cities.

THE MTE stated also that UN-Habitat's work was realized in close partnership with the Municipality of Barcelona, since 2012. The development of the methodology/tool was going on in parallel with initial piloting in four selected cities, Asunción (Paraguay) and Maputo (Mozambique), and it made significant progress in developing their cities' resilience profiles and providing lessons learned for the fine-tuning of the tool. Meanwhile, Dakar and Port Vila have completed the first step in data collection and were about to proceed to the next step. The UN-Habitat developed two Enhancers, which are thematic add-ons to the general methodology, addressing cross-cutting issues on gender and climate.

Table 2: Specific mid-term evaluation recommendations for UN-Habitat

-Set up an Expert Council to fine-tune and complete the CRPT by the end of the project, allowing its further application in the pilot cities.

-Consider no-cost extension to complete the profiling tools in all four pilot cities.

-Contract Risk Governance expert to support with finalization of the CRPT.

-Explore opportunities of mobilizing the resource created within UN-Habitat through Global Urban Observatories.

-Develop Social Inclusion Enhancer.

-Specific recommendations related to the CRPT (as provided in the CRPT analysis):

- a) Simplify the tool
- b) Reduce cities' dependency on CRPP team for the analysis of the data received from the CRPT in the longer run
- c) Consider modular approach to CRPT
- d) Avoid 'challenges' and 'internal/external' dichotomy in CRPT
- e) Revise the approach to scenario-building within the CRPT to develop risk scenarios.

Adequate actions were taken by UN-Habitat to address all the MTE recommendations, achieving overall positive results and outcomes.

2. MANDATE, PURPOSE AND SCOPE

2.1 MANDATE

This evaluation is mandated by the donor, the European Commission DG DEVCO and undertaken in line with the UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016), which requires that programmes and projects of over USD 1 million should be evaluated by external consultant by the end of the intervention.

2.2 PURPOSE AND OBJECTIVES

The final evaluation is carried out for accountability and learning purposes at various levels (including for policy revision). It provides the donor, European Commission DG DEVCO, and UN-Habitat with an independent appraisal of the performance of the project and achievement of Results based on the agreement, intervention resources (budget) and results-chain (logframe), United Nations Evaluation Group (UNEG)/ Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) standard evaluation criteria of relevance, efficiency, effectiveness, sustainability, impact and coherence were used to assess the project. The evaluation identifies key lessons learned and proposes recommendations for improving interventions of similar nature or for scaling-up / replicating this project.

The objectives of the evaluation, with respect to the UN-Habitat-led Results 3 and 5, were provided in the Evaluation ToR as follows:

1. Assess achievement of planned Results and performance (Annex 2 Project Agreement);
2. Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project;
3. Identify lessons learned and propose recommendation to scale-up or replication.

2.3 SCOPE

The end-of-project evaluation assesses the UN-Habitat Project in terms of achievements, performance, risks/challenges and opportunities through an in-depth evaluation of the project. The TOR also included questions to address cross-cutting issues of gender, human rights, youth and climate change. The evaluation took place in early 2020 at a time when the project was near completion. The scope of the evaluation review was to gather evidence for Results 3 and 5 and cross-cutting issues. The evaluation took note of the evaluation that was being conducted by UNDRR of Results 1, 2 and 4 of the project.

The evaluation methodology sought to include direct beneficiary consultation to the extent the time and resource limitations of the evaluation allowed.

3. APPROACH AND METHODOLOGY

3.1 APPROACH USING THE THEORY OF CHANGE

As per the terms of reference, the evaluation applied the theory-of-change to evaluate the project (Annex 1). The construction of the theory-of-change was based on the logical framework of the project that defined results-chain, including activities, indicators at output level and results of the project (see figure 1). The TOC further improved on the causal model, to provide a useful framework around which the evaluation design and questions

were structured. It identified inputs, activities and processes through which the intended output and expected accomplishments (outcomes) were to be achieved, identified performance indicators and critical assumptions to help understand how the project was supposed to work to achieve its desired results. The TOC was approved in the inception report of this evaluation.

The theory of change was based on the following assumptions from the logical framework (Annex 3. Indicative Logframe):

-
- all relevant stakeholders at the local level are engaged;
 - local authorities provide access to data and reliable information;
 - risk scenarios are dully taken into consideration.

Moreover, several other assumptions were made implicit:

-
- the local administration would have clarity regarding their needs for increasing resilience;
 - the cities would have, and allocate adequately, basic human and other resources to facilitate the data gathering;
 - political commitment and its stability/continuity, even in case of change administration
 - actual need for developing further action plan and/or intention to give full normative approval for the recommended actions
 - availability of all necessary resources, human and financial, for implementation of recommended actions

In addition to the application of the theory-of-change approach, analytic data collection techniques were applied, comprising desk review of documents, semi-structured interviews, and semi-quantitative survey with the key stakeholders, including implementers, beneficiaries, partners, and donors.

The data collection and the result-based analysis was performed starting from the definition of indexes, composed by a series of indicators, which were used to identify general and specific results, the latest with direct reference to the pilot cities.

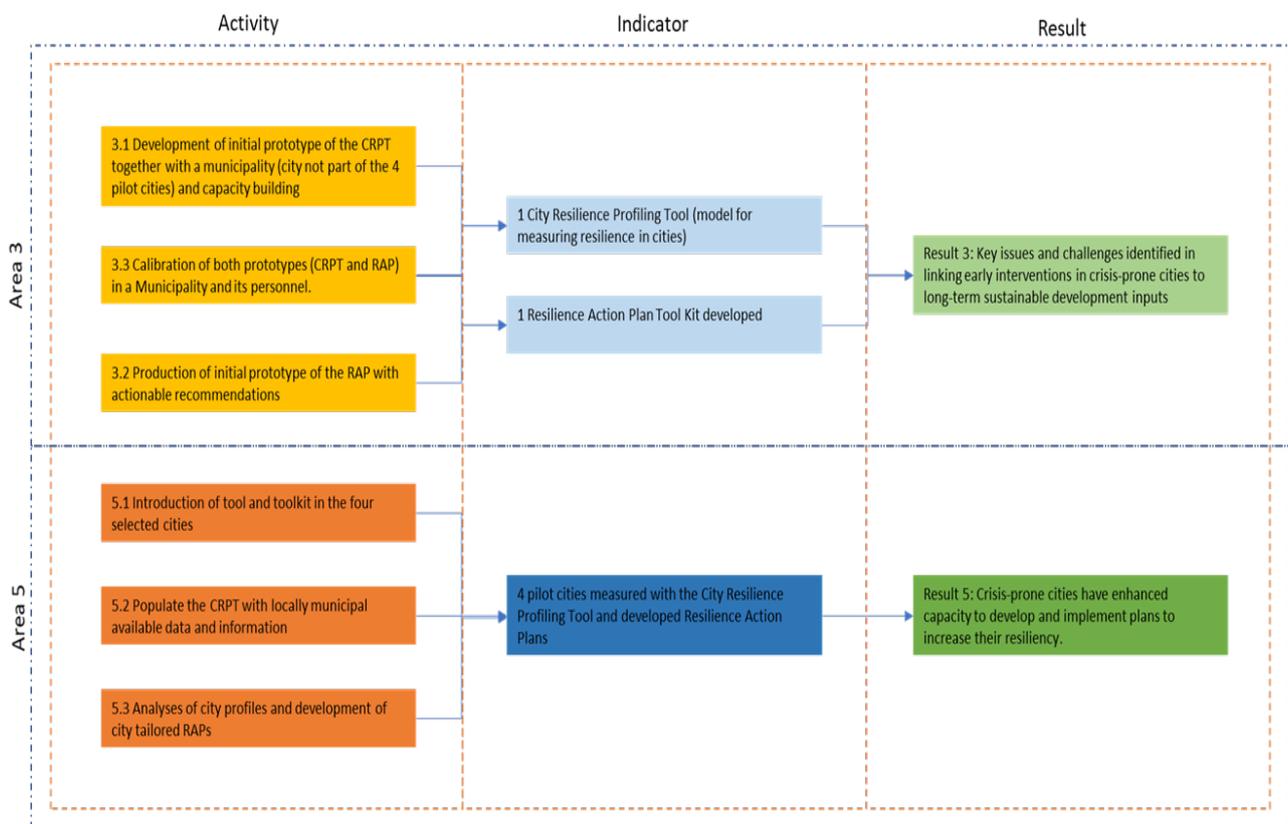


Figure 1: Result chain for the project

The project, consisting of two main components, Focus Area 3 & Focus Area 5 (Figure 1), ultimately aimed at increasing disaster risk reduction and resilience on cities both globally and locally. This was going to be achieved by the specific project results:

(Result 3) identification of key issues and challenges in crisis-prone cities

(Result 5) enhanced capacity to develop and implement plans to increase the resilience of four plus one cities.

The impact and results were achieved by activities clustered in two main lines of intervention developed in full integration:

A) The development of tools for enhancing city resilience, realized by:

The development of a City Resilience Profile tool aimed at identifying key issues and challenges for urban resilience

The development of a Resilient Action Planning Toolkit, aimed at giving recommendation and prioritizing the development of local actions

This included specific activities as:

Activity 3.1	Development of initial prototype of the CRPT and capacity building together with the city of Barcelona;
Activity 3.2	Production of initial prototype of the RAP with actionable recommendations;
Activity 3.3	Calibration of both prototypes (CRPT and RAP) in the city of Barcelona and its personnel.

B) Action in five cities to increase the local capacity and overall resilience, realized by:

The use of the City Resilience Profiling Tool and development of Resilience Action Plans recommendations in the cities of Maputo, Asuncion, Port Vila and Dakar.

This included specific activities as:

Activity 5.1	Introduction of CRPT and RAP tools in the four selected cities;
Activity 5.2	Populate the CRPT with locally municipal available data and information, and identification of data gaps;
Activity 5.3	Analyses of city profiles and development of city tailored RAPs recommendations.

CRGP contracted and assigned a focal point for each city, in collaboration with the centrally located staff, which were in charge both to develop the methodology/tools and to support the city actions. The project was implemented in liaison with the local administration in all the five cities, engaging with both technical and political staff. Collaboration was sought and established with local stakeholders and with national governments for the four pilot cities.

The city of Barcelona also collaborated in the development of the project with some of the other cities, e.g. Dakar.

A Project Steering Committee composed of project leads from UNDRR, UN-Habitat and the European Commission DG DEVCO were to meet at least once a year to discuss progress, establish objectives and identify synergies between the results and wider actions of all partners.

3.2 METHODOLOGY

The evaluation methodology was summative, drawing together available evidence from various evidence sources that apply to the period of the project. The Terms of Reference for the Evaluation are attached in Annex 1.

The three evaluation objectives:

Objective 1

Assess achievement of planned results and performance

Objective 2

Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project

Objective 3

Identify lessons learned and propose recommendation to scale-up or replication



*Discussion of participants during April 2019 Workshop held in Port Vila, Vanuatu.
@ CRGP / UN-Habitat*

The evaluation questions used for this evaluation were developed in line with the OECD-DAC evaluation criteria. In order to answer the questions, the evaluation used a

mixed-methods approach combining primary and secondary data sources in both a quantitative and qualitative form.

For the evaluation, a series of indexes and indicators were defined based on the evaluation criteria and evaluation questions of the ToR. The indicators were clustered and resumed through the indexes that gave a synthetic overview of the results, in direct relation to the evaluation objectives.

For the survey, a Likert scale was added for each indicator, and complemented by free text fields for expanding, on a qualitative form, the data collected through the survey.

3.3 EVALUATION CRITERIA

The evaluation was structured following the logical framework, as per Project Agreement [Objective 1], and the evaluation guidelines set by UN-Habitat [Objective 2], as well the specific requirements regarding the potential for up-scaling and replicating the intervention and synthesis of lessons learned [Objective 3].

The evaluation criteria of relevance, effectiveness, efficiency, sustainability, impact, coherence and community added value, including cross-cutting issues, were used as direct reference to define the key objectives and the indexes. A series of indicators were developed by the evaluator to capture in detail all the different aspects of the assessment.

The indexes were then translated into questions that were used to define with further detail all aspects to be tackled by the evaluation, and used as a reference to structure the semi-structured interview and the surveys.

The questions were clustered in three groups on the base of their relevance: General, Barcelona and pilot cities (Maputo, Asuncion, Port Vila and Dakar).

Cross-cutting issues were assessed jointly with community added value, as aspects of the cross-country issues are related to adding value for the local communities.

3.4 DATA COLLECTION AND ANALYSIS

The data collection and analysis were carried out through:

- Desk review of available documents (Annex 4);
- Semi-structured interviews, (Annexes 5 and 7);
- Semi-quantitative survey (Annexes 5 and 6).

The desk review was based on the analysis of over 30 documents, which included:

- main working documents, including also meeting minutes and internal preparatory documentation
- official outputs of the project, including the city reports and midterm-evaluation report.

Other types of documents were also consulted, in order to expand the understanding of context and interlinkages of the project with international policies, UN-Habitat policy and strategic documents and EU policies.

A basic stakeholders' analysis was conducted to ensure that all key stakeholders would be invited to participate in the evaluation process and have the possibility to share their experience and views regarding the intervention. A list of 32 individuals was

prepared in liaison with the CRPG staff. All individuals were requested to give availability for the interviews and/or respond to the survey.

The key stakeholders included:

- beneficiaries (in the five cities);
- implementers (central unit);
- implementers (local units);
- partners;
- donor.

The full list of persons involved in the evaluation is in Annex 8.

A total of 25 semi-structured interviews were realized with 23 persons; the interviews were structured to be intensive and in-depth with a duration of 60-75 minutes each. Each interview results were analysed, requiring a textual analysis time of 120-150 minutes each.

The semi-quantitative survey was responded by 17 persons, on the 25 originally listed, through a personal link to the online questionnaire, including open-end questions and ranking questions on a Likert scale from 1 (very low) to 5 (very high).

The request for interview and survey was sent to the persons, identified in stakeholders analysis and including: UN-Habitat staff involved directly in the intervention, centrally or locally; beneficiaries in Barcelona and in the four pilot cities; representatives of the donor; partners, including UNDRR staff and UN-Habitat staff not directly involved in the intervention.

In total 25 individuals took part to the evaluation through the interviews and/or the survey; at least two persons in each of the five cities, directly involved in the local implementation of the intervention, either beneficiaries or UN-Habitat focal points, took part of the evaluation through the interview and/or the survey.

All the persons interviewed, and the recipients of the survey, were informed that the data collected was recorded and accessible only by the external evaluator, in order to guarantee the full anonymity of the respondents, giving explicit guarantee that the answers given will be aggregated and anonymized.

The gender perspective in the evaluation reflects the gender balance in the implementation and partners organization of the project.

3.5 LIMITATIONS OF THE EVALUATION

There were a number of limitations to the evaluation. These included:

Due to COVID-19 and related travel restrictions, it was not possible to organize on-site meetings in Barcelona with UN-Habitat staff and the focal-points face-to-face.

Due to COVID-19 and related travel restrictions, it was not possible to organize the planned field visit to one of the project sites.

Due to COVID-19 and current crisis management in the pilot cities, it was that expected the return rate of the survey, as well as the availability of interviewees, would have been low, particularly among beneficiaries in the pilot cities.

Based on the experience of the Mid-term evaluation, which had a 30% return rate for the survey, it was here assessed that with a similar return rate and/or an overall limited number of respondents, the information would have very limited statistical validity.

The response to the limitations includes: The evaluation increased the number of on-line interviews to supplement the lack of face-to-face contact (limitations 1 and 2).

The semi-structured interviews included a series of questions in form of a short questionnaire, to be asked at the end, that will

allow to gather semi-quantitative data, using a five-steps Likert scale (limitation 3).

CRGP provides dedicated support in facilitating the contact with potential interviewees and in sending the survey, and reminders, to the potential respondents. (limitation 3)

A systematic stakeholder analysis was carried out to give further support to the evaluation and validity of its results (limitations 1, 2 and 3).

The findings are fully reported using direct and indirect sources of information collected and analysed during the evaluation. The rating is based on the semi-quantitative results of the survey, the short comments following the rating are primarily based on the responses to the open questions in the survey. The extended qualitative assessment following each evaluation criteria is primarily based on the semi-structured interviews. The overview of the key outputs is primarily based on the individual report for each of the pilot cities. The lessons learned and recommendations are primarily based on the survey and interviews. The rating follows UN-Habitat standards, and include five categories from highly unsatisfactory to highly satisfactory.²

² The scale is 'Highly unsatisfactory', 'Unsatisfactory', 'Partially satisfactory', 'Satisfactory', and 'Highly satisfactory'. 'Highly unsatisfactory' is for the project that has negative factors with severe default or

weaknesses and 'Highly satisfactory' is for the project that has several significant positive factors with no defaults or weaknesses. UN-Habitat Evaluation Unit (2015).

4. FINDINGS

4.1 ACHIEVEMENT OF PLANNED RESULTS

This evaluation assessed the project specific results and presented in table 3 for result 3 and 5 with indicators, activities and achievements.

Table 3: Performance at Activity Indicator level

Scale	Not Achieved	Partially Achieved	Achieved
Result 3: Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs			
Indicator	Activity	Actual Achievements	Assessment/ Rating
1 City Resilience Profiling Tool (model for measuring resilience in cities) developed and 1 Resilience Action Plan Tool Kit developed	3.1 Development of initial prototype of the CRPT together with a municipality (city not part of the 4 pilot cities) and capacity building.	3.1 The CRPT, now fully integrated with the RAP, is a methodology able to identify key issues and challenges, coupling early interventions and long term sustainability perspective; through a general methodology that can be adapted to different local contexts, although requiring a certain initial level of resources, data and capacities.	Achieved
Result 5: Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency.			
Achievement 5.1			
Indicator	Activity	Actual Achievements	Assessment/ Rating
Four pilot cities measured with the City Resilience Profiling Tool and developed Resilience Action Plans	5.1 Introduction of tool and toolkit in the four selected cities	5.1 The CRPT and RAP were introduced in the four selected cities (Maputo, Asuncion, Port Vila and Dakar) despite some limitation given to the local political commitment as well as the political continuity	Achieved

		of the city administration.	
Achievement 5.2			
	5.2 Populate the CRPT with locally municipal available data and information	5.2 The CRPT was overall populated with local information and available data, despite quite some differences among the pilot cities, principally due to the specificity of the local context and conditions, as well as limitations of the local human, technical and financial capacity.	Achieved
Achievement 5.3			
	5.3 Analyses of city profiles and development of city tailored RAPT	5.3 The cities profiles were analysed, and the city tailored RAPT developed in the four cities: showing some limitation in defining action priorities by harmonizing somehow divergent results of the evidence-based data analysis and the participatory stakeholders process, highlighting potential issues of ownership.	Achieved

Box 1: Partner story

“Making cities sustainable and resilient: implementing the Sendai Framework for Disaster Risk Reduction 2015-2030 at the local level” project has provided a number of lessons and practices. Especially valuable has been the understanding that the resilience journey of each city is unique and interventions need to be adaptable and custom made to be of relevance to different cities at different stages of resilience, based on their in-house capacity. Cities also need to be able to understand where they are along the resilience journey, and what tools and support from partners are available to suit their unique needs. The project also demonstrated the importance of the national governments in promoting local level resilience. These insights from the project have been invaluable to inform the design of the successor to the Making Cities Resilient Campaign, the Making Cities Resilient 2030 (MCR2030), and are fully integrated into the initiative which will operate for the next 10 years.

UNDRR officer

The initial prototype of the CRPT and the first implementation of the methodology was developed in collaboration with the Barcelona City Council following an agreement entered in 2012. UN-Habitat developed the initial concept into a methodology and then realized the first version of the Implementation Manual. As a result of the collaboration and related activities, the Municipality of Barcelona established in 2014 the Resilience Department, which coordinated the realization of the Resilience Strategy, launched in 2016.

The first data collection process in Barcelona, which achieved the collection for 83% of the necessary data for realizing the resilience analysis, led to the reduction of the overall number of indicators, and the prioritization of data collection efforts, aware that the pilot cities would have faced even more issues in data collection than Barcelona. The first data collection and analysis were coupled with the first stakeholders' diagnosis, graphic and narrative, leading to the incorporation of stakeholders mapping in the CRPT.

Though the collaboration, UN-Habitat highlighted the need for realizing some key modifications related, inter alia, to: include data quality considerations; strengthen visualization of data; realize benchmarking; develop working and provide a cleared definition of key terms. Moreover, UN-Habitat realized that the RAP shall also be developed through full engagement of stakeholders, on the basis of a common understanding of resilience and on the data/knowledge provided by the resilience profiling. The action plan was considered of limited use for the Municipality of Barcelona, as several other plans and actions were already in place; determining as more appropriate the identification and prioritization of actions and their interaction.

Moreover, the collaboration was instrumental for the Municipality of Barcelona to integrate the resilience plan with sectorial plans, as well as to harmonize the resilience work across departments. The profiling, intended as a continuous process, was very useful for the Municipality, also because it provided a systematic analysis of current plans and actions, and supported their integration.

Overall achievement of Result 5

The pilot cities, which are crisis-prone cities, have overall enhanced the capacities to increase their resiliency, through evidence-based data and information, and in prioritizing actions for resilience. The final achievement in each of the city was dependent from initial contextual conditions, including political continuity and commitment, data and information availability, and resource availability.

In all four cities, the intervention interacted with the local authorities at both policy and technical level, in order to create the conditions for giving appropriate level of commitment and to ensure continuity. Moreover, local stakeholders and national government were engaged through the the overall CRPT and RAP processes, also through workshops, aimed specifically to increase both capacities and participation. Most of the cities requested explicitly to define and give recommendations for action more than establishing an action plan, that in most of the cases was already existing in different extent. For all cities the creation and enhancement of the capacities was considered the most important added value of the project; the continuation of the data collection, the profiling and the full implementation of action, instead remains, for all cities with different nuances, an issue much related to specific space of political opportunity and availability of resources.

The depository of information, including the overview of current plans and actions, and the creation of resilience focal point and/or unit, were also prominent achievements of the project. The length and intensity of the data gathering process was considered overall quite demanding, and the overall ownership and appropriation of the profiling process in same case quite challenging. The diverse level of achievement in the different cities was also influenced by the level of growing maturity of the tool/process itself that was constantly co-developed side-by-side with the city activities. The accessibility of the data sometimes was challenging due also to the fact that data was not owned nor managed directly by the local authorities, and the quality of the data available, was a common constraint faced in all four cities.

The CRPT methodology evolved organically throughout the project becoming more appropriately a process than a tool, *stricto sensu*, fully incorporating also the resilience action planning function coupled with data collection, analysis and diagnosis phases. Thereby making the process dynamically adaptive, better fitted to address the constantly changing dynamics of resilience, and favouring constant learning of the system and capacity building. Overall, the CRPT process and the intervention become increasingly more effective in co-defining local needs and recommend prioritization of actions accordingly.

4.2 OVERALL PERFORMANCE ON RESULTS 3 & 5

Table 4: Overall performance on Results 3 and 5 based on indicators

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
Indicator 6					
Time and resource performance in the development and use of CRPT and RAP					
Satisfactory					
The development of the tools/process was continuing side-by-side with the city activities, this increased the use of human resources dedicated for the development of indicators and limiting time availability for the pilots, particularly at the beginning of the intervention, affecting particularly the first two cities. This also impacted in the later development of a general procedure for action planning and the its adaptation to the local context. The delay accumulated in starting the action in the last two cities also compressed time and resources availability.					
Indicator 7					
Time and resource performance in the development, production and calibration of the prototype of CRPT and RAP in the municipality of Barcelona [3.1., 3.2. and 3.3.]					
Satisfactory					
The use of time and resources in the development, production and calibration of the process was overall appropriate, despite the constant updating of the CRPT, following the learning process in all the cities, which was considered too be a bit too extensive, and the relative interest of the Municipality of Barcelona for the RAP component.					
Indicator 8					
Time and resource performance in the introduction, population and analysis of CRPT and development of RAP in the Maputo, Asuncion, Port Vila and Dakar [5.1., 5.2. and 5.3.]					
Satisfactory					
The use of time and resources in the introduction, population and analysis of CRPT, and the development of the RAP was overall appropriate. Despite the delay of the activities in the first two cities (Maputo and Asuncion) due to the particularly extensive recalibration of CRPT indicators and reflections on the development of RAP.					

The need of continuous development and refinement of the CRPT, jointly with the RAP, side-by-side with the activities in the four pilot cities, has affected the performance in the use of time and resources of the project. The CRPT overall methodology went through a process of constant improvement along the entire project with a necessary trade-off that impacted particularly the first two cities (Maputo and Asuncion). The critique, raised by some of the interviewees, regarding the intensity of the use of time and resources in refining the indicators and the CRPT at a

conceptual level, versus the local action is understandable, but the course of action taken is considered overall appropriate by most of the persons involved in the evaluation for the successful achievement of the project's results.

Some issues regarding time use were also affecting the second two cities (Port Vila and Dakar) due to the late start of the local activities and the need to fast track the process phases. Local conditions also affected the timely development of the project, for example, administrative elections in Maputo,

that required significant time and resources to “re-start” the local activities under the new administration. Finally, the need of better understanding the local context, in the

implementation of the CRGP methodology, and the need for translation into local languages of the entire project information, also affected the use of time and resources.



*Field visit, Maputo, Mozambique, 2019
@ CRGP / UN-Habitat*

4.3 ASSESSMENT USING THE EVALUATION CRITERIA

Relevance

Relevance was assessed in terms of the extent to which the objectives of a development intervention were consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Table 5: Relevance of the intervention

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
Indicator 9	The extent to which the objectives of the development intervention are relevant for beneficiaries' requirements (beneficiary cities, national governments and other partners)				
	Satisfactory				
	The objectives of the intervention were overall relevant and aligned with the beneficiaries' requirements (including beneficiary cities, national governments and partner organizations); also considering that not all requirements were explicitly defined at the inception of the intervention's activities.				
Indicator 10	The extent to which the objectives of the development intervention are relevant for city and country needs.				
	Satisfactory				
	The objectives of the intervention were overall relevant for the needs of the pilot cities and their respective countries' needs, considering that an integral part of the intervention was exactly to improve the understanding of needs and the identification of challenges. The main trade-off was between the complexity of the general methodology and its level of adaptability to the local context, avoiding over-simplifications.				
Indicator 11	The extent to which the objectives of the development intervention are consistent with global priorities.				
	Highly satisfactory				
	The objectives of the intervention were very well aligned and consistent with the main global priorities and policies, inter alia: the 2030 Agenda for Sustainable Development, Paris Agreement, Sendai Framework for Disaster Risk Reduction and New Urban Agenda. The intervention is also very well aligned with UN-Habitat Strategic Plan 2014-2019.				
Indicator 12	The extent to which the objectives of the development intervention are consistent with partners' and donors' policies.				
	Highly satisfactory				
	The objectives of the intervention were very well aligned and consistent with partners' and donors' policies and priorities, namely considering the European Commission and DG DEVCO, as the donor, and UN-Habitat and UNDRR as partners.				
Overall assessment	Satisfactory				
	The objectives of the intervention were relevant, aligned and consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. This particularly considering the constant improvement and learning process of the intervention through its development, for example, through the continuous development and improvement of CRGP methodology.				

The overall relevance of the intervention was satisfactory, with some difference among the pilot cities, and it is considered overall appropriately aligned and consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. This considering particularly the constant improvement and learning process

of the intervention through its implementation. The intervention is well aligned with the 2030 Agenda for Sustainable Development, specifically Sustainable Development Goals 11 Sustainable Cities and Communities, 13 Climate Action and 17 Partnership for the Goals.



*The CRPP Correspondent with the participants of the workshop on building resilience, Dakar, Senegal, 2019
@ CRGP/ UN-Habitat*

The intervention is also well aligned with the Sendai Framework for Disaster Risk Reduction, particularly Priority 1: Understanding disaster risk, and Priority 2: Strengthening disaster risk governance to manage disaster risk. The intervention also contributes directly to the Paris Agreement and its objectives, particularly contributing to increasing the ability to adapt to climate change and enhance climate resilience, and

also enhancing capacity building for climate action.

The intervention is also well aligned with UN-Habitat's Strategic Plan 2014-2019, contributing primarily to Focus area 6: risk reduction and rehabilitation and to Climate Change, listed as key cross-cutting issue. The relevance was strengthened through the participatory nature of the intervention through workshops, involving all relevant

stakeholders, that achieved a twofold objective: from one side it helped to clarify the current concerns, needs and priorities of the stakeholders, to better integrate them within the interventions, and from the other side, it was instrumental for advocacy and to raise awareness among the stakeholders, regarding current and future shock and stresses, and the importance of establishing a holistic approach to tackle them.

This human-centred and holistic approach was ultimately instrumental to raise the ownership of the intervention locally, and created the basis for being able to select and prioritize actions appropriately. Moreover, the relevance was also insured by the relation established by the intervention with present and perspective national policies and strategies, and further linking local action with national policies, as well as retrofitting national policies through the experience and action supported in the city by the intervention.

An important feature of the intervention was to establish resilience focal points or units, that was also instrumental for initiating the

integration of urban resilience across departments, within the local administration of the pilot cities, highly contributing to enhance horizontal governance of resilience.

Overall, the relevance could be further enhanced both at local and national level in future interventions: locally, strengthening even further the mapping and alignment with current projects and policies, and at national level further strengthening the direct involvement of national governments, and also guaranteeing further support in enhancing national policies, also on the base of the result achieved locally.

The relevance of the intervention with global priorities and partners & donor policies and priorities, was very high as this was made by design since the very first discussion about the possibility of realizing such intervention; moreover, the collaboration between UNDRR and UN-Habitat with an intervention financed by the European Commissions, representing itself an excellent opportunity for fostering collaboration on resilience.

Effectiveness

Effectiveness was assessed in terms of the extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.

Table 6: Effectiveness of the intervention

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
Indicator 13					
The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 3]					
Satisfactory					
The intervention's objectives were achieved well, by the end of the project; developing the general CRPT methodology, including the RAP toolkit, which substantially contributes to identifying key issues and challenges in cities and linking early interventions to long-term urban resilient transition, in the wider frame of sustainable development.					

Indicator 14
The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 5]
Satisfactory
The intervention's objectives were achieved well, ultimately contributing to enhance the local capacity, as well as developing recommendations for actions and giving support the implementation of plans aimed at increasing the resilience of the four pilot cities. The results were achieved with a different level among the four cities, also partially due to factors external to the project.
Indicator 15
The extent to which the development intervention's objectives planned and achieved are aligned. [Result 3 and 5]
Satisfactory
The intervention's objectives planned and achieved were overall aligned. There were some partial changes regarding the delivered results, namely: the CRPT and RAP tools are now integrated in the overall CRPT methodology, the RAP took the form of prioritizations and recommendations of actions, following requirements and needs of some of the pilot cities.
Overall assessment
Satisfactory
The intervention's objectives were overall well achieved, resulting in the full development of the CRPG general methodology, and prioritization and recommendations for specific actions, adapted to local context and needs, in the four pilot cities.

The overall effectiveness of the intervention was satisfactory, resulting in the full development of the CRPT general methodology, and prioritization and recommendations of specific actions in the four pilot cities., well adapting to local priorities.

Some modifications were made through the development of the intervention: the first integrating in an overall methodology the profiling and the action planning tools; the second in opting for realizing action recommendations, selecting and prioritizing actions to be implemented, including also no-cost actions readily implementable, versus the definition of an action plan. This last modification was induced by the importance of the relevance criteria, in meeting the real local needs, in contexts where strategic and action plans were already present and an additional plan would have been considered redundant, meanwhile prioritization of actions and recommendations for

implementation were considered more needed and appropriate by the end-users.

It was important for the implementation of the intervention and also for this evaluation to realize that the starting point and local condition in the pilot cities were very different in terms of initial commitment, level of local capacities and resources available and made available for the intervention. On the basis of these considerations, it is not surprising that there would be a difference in the final results achieved in each of the pilot cities.

To assess the effectiveness of the project, it was fundamental to understand that the development of the tools and the implementation of the intervention in the city were partially conflicting. It could not be expected to have both full project implementation in the four cities and, at the same time, a methodology developed and fully tested. This was due also to the fact that at the inception of the intervention the CRPT methodology was an idea but was not clear, as

normally to expect, how exactly it would have been once completed. Thereby, there were some trade-offs between methodology development and implementation activity in the city. Given these considerations, it is particularly commendable the level of achieved by the intervention, particularly in relation to the continuous improvement of the methodology on the base of lessons

constantly learned through the activities in the pilot cities.

In all pilot cities the expected results were well achieved, including: formal agreements, data collection, data analysis, diagnosis and action planning, with recommendation of actions, and in some cases also follow-up with extra support in facilitation access to additional financial resources for implementation.

Efficiency

Efficiency was assessed in terms of the extent to which the achievement of results was performed with good use of resources (financial, human, etc) and in a timely fashion.

Table 7: Efficiency of the intervention

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
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Indicator 16
The extent to which the achievement of results was performed with good use of financial resources.
Satisfactory
Overall, the achievement of the results was performed with appropriate use of financial resources. This despite some delays in payment of consultants due to central administrative procedures of UN-Habitat that were not always timely nor fully functional.
Indicator 17
The extent to which the achievement of results was performed with good use of human resources (partnerships, staff and consultants, both local and central).
Satisfactory
Overall, the achievement of the results was performed with quite appropriate use of human resources. Some issues were raised regarding contractual conditions and overall management of consultants, particularly in more remote pilot cities.
Indicator 18
The extent to which the achievement of results was performed in a timely fashion.
Satisfactory
Overall, the achievement of the results was performed with quite appropriate use of time. Delays were experienced in the initial recruitment of consultants and the delay to start the work in some pilot cities, this leading to a no-cost extension of the project.
Overall assessment
Satisfactory
Overall, the achievement of the results was performed with appropriate use of resources. Some issues reported to have negatively impacted on efficiency were in the administration of contracts and payment of the consultants, mainly due to UN central administrative procedures. Some issues were also reported, particularly at the beginning of the project, in relation to specific circumstances in the pilot cities, such as the political cycles, and in relation to the ambitious objective of the project, and those dealing with the development of tools/methodology and activities in the pilot cities.

Overall, the use of financial and human resources was good, and with an appropriate timely deliver, considering the level of complexity and ambition of the intervention. There were some issues related to administrative delays in managing the contracts, and their renewal, as well as the payments of the consultants contracted. These issues were largely due to the limited autonomy of CRGP and the centralized management of contracts and payments by UN-Habitat headquarters.

The dual, and sometimes, conflicting objective of developing both the methodology and activities in the pilot cities, lead to a very intensive use of human resources, particularly at the beginning of the project, in developing the indicator set and for the necessary improvement of the methodology, that partially reduced the human resource dedication to the city-specific activities. This trade-off was un-avoidable and was appropriately managed.

The project encountered some issue regarding its timely development, particularly at the inception of the project when the recruitment of the consultant was quite lengthy, as it can be normally expected. Moreover, the planning of the project did not account sufficiently for delays due to limited resources made available in some of the pilot cities, which resulted in further extended data collection time.

The political and administrative change in some of the pilot cities, for example, Maputo, created a substantial delay in the development of the intervention, reducing the level of possible activities for quite an extended period, and also requiring time and resources allocation for re-establish the needed conditions to continue the normal work flow.

The use of focal point staff for each of the pilot cities was a very appropriate decision that guaranteed continuity of the work and the ability to face any emerging issue during the entire implementation of the intervention. Resource allocation for follow-up activities, such as the support to cities to better identify realistic option to attract financial resources necessary for the implementation of some of the recommended actions, would have been very beneficial for the intervention; such support was in any case guaranteed by CRGP with its own resources.

The ability of CRGP to attract other resources during the implementation of the intervention, for activities in any case related to the intervention itself, was very beneficial for raising the level and quality of the achieved results, and for delivering additional results, for example in terms of outreach and communication.

Sustainability

Sustainability was assessed in terms of the extent to which the continuation of benefits is likely to continue after the intervention is completed, including long-term benefits and considering factors for possible risk mitigation.

Table 8: Sustainability

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
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Indicator 19
The extent to which technical capacities were built for the continuation of benefits after the project completion.
Satisfactory
Technical capacities were overall appropriately built to guarantee the continuation of benefits after the project completion, with some quite substantial differences among the pilot cities. This was realized particularly through establishing resilience units and/or resilience observatory within the pilot cities.
Indicator 20
The extent to which institutional capacities were built for the continuation of benefits after the project completion.
Partially Satisfactory
Institutional capacities were overall quite appropriately built to guarantee the continuation of benefits after the project completion, with some substantial differences among the pilot cities. The continuation of benefits in the pilot cities is strongly dependent on local context conditions in relation to the continuity of policy and politics.
Indicator 21
The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion.
Satisfactory
Partnerships were overall appropriately built to guarantee the continuation of benefits after the project completion. Specifically, city to city partnerships, for example, the Barcelona partnership with Maputo and Dakar, as well as partnerships with international stakeholders as UCGL, were established and are further expanding and strengthening.
Overall assessment
Satisfactory
Capacities were overall well-built to guarantee the continuation of benefits in the long term, both at technical and institutional level. There were significant differences among the pilot cities; the institution of resilience units and/or observatory, as well as establishing city-to-city partnership, particularly with Barcelona, and with international actors as UCGL, were particularly valid solutions for risk mitigation.

The long-term sustainability, of the benefits created by the intervention, is overall good; especially considering that capacities were built both at technical and institutional levels, and several initiatives were initiated and other are currently under development to

strengthen further the sustainability of the interventions' benefits.

The four pilots showed different levels of sustainability of the benefit in the long-term; this is mainly due to the specific local context,

and specifically referring to the level of political continuity, ownership and commitment, both during the project and in the near future. This is a high impact external variable that is rather difficult to control, although it is noted that the intervention acted appropriately, developing measures that would limit the negative impact of such occurrence, e.g. the capacity building of stakeholders external to the local administration, and the training and capacity building of technical staff, normally less affected by the spoil-system.

The institutions of resilient units and/or of urban resilience focal point within the local administration is considered a very positive initiative that can guarantee a solid continuation and improvement of the benefits generated by the intervention; this also favouring the cross-departmental integration of urban resilience and breaking down silos or sectorial approaches.

The city-to-city partnership, as in the partnership of Barcelona with Maputo and Dakar, can also be considered a very positive initiative that can also guarantee the sustainability of the benefits in the long term; as well as the currently on-going dialogue with third parties as UCLG and national association of cities, can further strengthen the sustainability of the intervention's results.

A key feature of the intervention, responsible of the positive achievements in terms of long-

term sustainability, was given by the participatory approach used, that resulted in an increased capacity building of local stakeholders, that can substantially mitigate inherent risk of political discontinuity and related negative effects on prolonging the benefits of the intervention in the future.

A certain level of expectations management was required in all cities, in some more than in others, particularly in relation to the availability of financial resources to fully implement the recommended actions. In some cases, the lack of such resources, not foreseen within this intervention, have created some barriers regarding the support of the local administration to the intervention. The intervention was able to mitigate this circumstance by recommending actions that would be implementable without the need of securing additional financial resources.

The data collection, the data analyst and the diagnostic, jointly with the identification and prioritization of actions is to be considered a real asset, that the four pilot cities could really use to support strongly securing external financial resources for the implementation of action; moreover, the pilot cities are now having the basic conditions and increased capacity that would allow them a continuous use of the CRPT methodology for monitoring current a perspective challenges, as well as to assess the effectiveness of plans, strategies and policies.



Field visit, Asuncion, Paraguay, 2019
@ CRGP/ UN-Habitat

Impact

The impact outlook was assessed in terms of positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Table 9: Impact brought by the intervention

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
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Indicator 22
The outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project beneficiaries and partners.
Satisfactory
The project achieved significant outcomes, and it had overall a positive impact on the pilot cities, particularly in terms of capacity building (technical and institutional), enhancing local knowledge through resilience profiling, mainstreaming resilience within local authorities. The medium-long term impact is also subject to specific external factors and local conditions.
Indicator 23
The extent to which the project has contributed to positive changes for international, national and local partners and stakeholders.

Satisfactory
The project overall contributed well to positive change, particularly through creating a highly systemic CRPT tool/methodology, and substantially contributing to mainstream urban resilience at an international level, also through strengthening collaboration with both local and international stakeholders.
Indicator 24
The extent to which the project has influenced the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements.
Satisfactory
Specific actions were well identified and prioritized, and recommendations produced for all pilot cities, including zero-cost actions that can be implemented in the short-term. Moreover, the project succeeded , particularly in some pilot cities, at harmonizing and strengthening the local and national urban resilience awareness, knowledge base, action and policies.
Overall assessment
Satisfactory
The intervention produced a significant impact in developing the CRPG methodology and in giving recommendations for actions, including prioritization. In some pilot cities, the project produced also very good impact supporting the establishment of resilience units/departments/observatory, as well as in supporting the mainstreaming of urban resilience also at national level. Significant impact was also achieved in raising awareness, knowledge, data and in building local capacities.

The project produced significant impacts through the development of the CRPT methodology, that will have further impacts at global level, and both creating local technical/institutional capacities and developing recommendations for action, based on the selection and prioritization of actions to be implemented locally.

In some of the pilot cities, such as Maputo and Dakar, a positive impact was produced by establishing a resilience unit/focal point, that would give continuity to the intervention and support the integration of resilience as a cross-cutting issue within the local administration. Significant impact was generated by the participatory approach adopted by the intervention, through the constant involvement of local stakeholders and the activities realized for their capacity building, that ultimately achieved awareness-raising, ownership and commitment building and enhanced capacities.

Impacts were also significant at national level, from one side enhancing the level of collaboration and vertical integration of governance, starting from sharing data and information, to better coordinate policies and actions; from another side initiating and/or supporting the further development of national policies related to urban resilience, such as urban adaptation policies, and ultimately mainstreaming urban resilience also at national level.

An important impact of the intervention is that it has given a clearer understanding of data availability and data/knowledge gap, and a systematic review of current policies, plans and actions, that can substantially enable a sustainable transition of the pilot cities, and strengthen evidence-based decision and policy-making.

Most importantly, the intervention achieved a very high impact in increasing awareness related to current and future challenges and hazards, ultimately increasing the adaptive

capacities of the cities, for which is fundamental to have a systemic, integrated and collaborative approach, based on improving vertical and horizontal governance.

Coherence/complementarity

The coherence/ complementarity was assessed in terms of the extent to which the project is coherent and/or complementary with the European Commission’s development programme, partner countries’ policies and other donors’ interventions.

Table 10: Coherence/ complementarity

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
Indicator 25					
The extent to which the project is coherent and/or complementary with the European Commission’s development programme.					
Satisfactory					
The project is well coherent and well-aligned with the European Commission’s policies and development programme. Further integration and alignment of the project results, with specific priorities of the European Commission for specific development priorities at the country level, could be exploited and strengthened in the future.					
Indicator 26					
The extent to which the project is coherent and/or complementary with partner countries’ policies and with other donors’ interventions.					
Satisfactory					
The project succeeded well in achieving a good level of alignment and integration with national policies and priorities. Moreover, the use of CRPT and the recommendations for action are a solid base to seek further collaboration and appropriate financial resources for the implementation of additional complementary projects.					
Overall assessment					
Satisfactory					
The project is well coherent and well-aligned with the European Commission’s policies and development programme, as well as with national policies and priorities. Further integration can be sought with the European Commission’s specific country priorities and projects in the pilot cities. Further complementarities and integrations shall be sought between CRPT and other tools/methodologies within UN-Habitat, as well with other agencies/programmes of the UN system, as well as with major international organizations active in the field.					

The intervention is very well aligned and coherent, by design, with European Commission’s policies and development programme, further integration may be sought with European Commission’s specific

country priorities and projects in the countries of the four city pilots.

High level of coherence was ensured with national policies and priorities, in all the four countries of the pilot cities, not only in a

responsive manner but also in a proactive one, promoting the further development of resilience centred and dedicated national policies, leveraging the progress made and the results achieved at local level. Successful efforts were made also to enhance the coherence between local actions and national policies.

The coherence and complementarity of the intervention in relation to the policies and strategies of UN-Habitat and UNDRR were already good at the inception of the project; the intervention further strengthened and amplified the complementarity, integration and coherence of urban resilience action among the two UN agencies.

Coherence and complementarity can be further expanded understanding the level of integration and collaboration that can be

established between UN-Habitat, through the use of CRPT methodology, and other actors operating at international level in the same field and through the use of alternative and complementary approaches and methodologies, such as the World Bank, C40 Cities Climate Leadership Group and 100 resilient cities.

The intervention is coherent with UN-Habitat policies and strategic plan 2014-2019; specific actions may be developed in the future in order to enhance the coherence and complementarity of all interventions on urban resilience, as well as strengthening the complementarity of approaches and tools on urban resilience, both at normative and operational levels, to further strengthen UN-Habitat intervention and impact in this field.

Community value added

The community value added was assessed in terms of the extent to which the intervention added value to local and/or national communities, for example, in relation to gender equality, vulnerable and informal segments of the population.

Table 11: Community value added

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
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Indicator 27
The extent to which the intervention added value to local and/or national communities, in relation to gender equality.
Satisfactory
The intervention overall integrated well gender issues, developing also a specific enhancer of CRPT methodology on gender equality, and adding specific gender considerations in developing the recommendations for action. Gender equality in some cities was more central and cross-cutting than in others.
Indicator 28
The extent to which the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population.
Satisfactory

The intervention overall integrated well issues related to vulnerable and informal segments of the population, developing also specific enhancers of CRPT methodology on informalities, social resilience and human rights; and adding considerations on informalities in developing the recommendations for action.
Overall assessment
Satisfactory
The intervention overall added value to local communities developing and applying dedicated enhancers to the CRGP general methodology; the enhancers were developed to strengthen the integration of cross-cutting issues. The following enhancers are of high relevance and importance: Upgrading for Informality, Gender Equality, Social Resilience and Human Rights. Other cross-cutting issues were addressed by the Enhancers on: Climate Action, Infrastructure Improvement and Resource Efficiency.

The intervention added a good value to several cross-cutting issues, directly and indirectly affecting local communities: Climate Action, Upgrading for Informality, Gender Equality, Social Resilience, Infrastructure Improvement, Human Rights and Resource Efficiency. Some additional effort may be required for further integrating these cross-cutting issues, as a full and integral part of the entire methodology more than additional enhancers.

The focus on informal settlements and vulnerable groups was particularly valuable and well received in all the pilot cities, also giving the possibility to realize the high-level of vulnerability of these segments of the local

population, ultimately raising awareness regarding the very existence of informal settlements and their current and prospective condition in face of shocks and hazards. These results were very much based on the human-centred and on the collaborative approaches and principles of the CRPT methodology. Some further improvement may be necessary to refine some of the indicators related to specific segments of the local population, as women, children and elderly people, as some of the indicators used were considered too “western” and not fully applicable in the local context in the global south: e.g. the understanding of access to care and social protection of the elderly population.

4.4 POTENTIAL FOR REPLICATION OR SCALING-UP AND LESSONS LEARNED

POTENTIAL FOR REPLICATION

The potential for replication was assessed by identifying current and prospective potential for replication, including opportunities and barriers.

Table 12: Potential for replication

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
Indicator 32					
Identify replication activities that are currently under development.					
Satisfactory					
Currently, there are several activities on-going for replicating the CRPT methodology in other cities worldwide: Teresina in Brazil, Yakutsk in Russia, Cluj in Romania, San Jose in Costa Rica. Moreover, there is also the possibility to replicate the process in the same countries of the pilot cities.					
Indicator 33					
Identify potential for replication, including opportunities and barriers.					
Satisfactory					
There are several opportunities, for replication, beyond the cities already listed above, also in the countries of the pilot cities. The main opportunities are given by city-to-city partnerships and involvement of national governments in the countries of pilot cities and/or cities currently using CRPT. Main limitations include the local capacities and the local political support and continuity.					
Overall assessment					
Highly Satisfactory					
The current potential for replication of the CRGP methodology in other cities worldwide is very good, based on the activities already under implementation in Yakutsk in Russia, for example, and preparatory actions, including initial training activities already on-going in several cities worldwide. Some replication activities are currently on-going locally, in the pilot cities; for example, in Dakar the use of CRGP methodology is currently under consideration involving other local authorities, which are part of the metropolitan area of Dakar.					

Replication of the CRPG methodology is satisfactory, as proven by the cities that are already working with this methodology, and cities currently initiating training activities or at an early stage of engagement. The replication within the countries of the pilot cities is showing also good potential, specifically through the involvement of national governments, as in the case of Senegal and potentially Paraguay. Moreover, replication at a local level is considered realistic, for example in the case of Dakar,

where plans currently under development to expand the use of the methodology to the whole metropolitan area including other local administrations at the board with the city of Dakar.

The replication can be further strengthened by enabling more city-to-city partnerships, as very positively experimented through the collaboration between the city of Barcelona and the pilot cities of Maputo and Dakar. Moreover, the city-to-city partnership has the

potential to be further expanded favouring partnership among cities in the global south, and enhancing the role of cities, were the CRPT is already in use, as mentors, starting from neighbouring cities and cities in the same country, with a target regional and/or national focus, for example in the case of Asuncion.

It is important to highlight that the potential for immediate replication, particularly locally and nationally, has been negatively affected by the current pandemic crises, that due to the necessary shift of priorities to counteract COVID-19, may have temporally stopped and or delayed already initiated replication activities.

Barrier for replication are the same already mentioned earlier, including the lack of local capacities, and the difficulties to find and or allocate necessary resources for undertaking the process of implementing CRPT methodology; although, as mentioned previously, focused efforts are already on-going to define the appropriate way to make easier and more manageable the entry level in the use of the methodology.

It is also important to mention that replication of actions in the pilot cities, with quite some differences among the four cities, has a quite good replication potential, particularly considering the enabling characteristic of the capacity building activities, and a more clear overview on data availability and projects/plans under implementations. The pilot cities have the possibility to use the resilience profiling realized as a base to more appropriately request, in a justified and quantifiable manner, with the need of specific support and aid from bilateral and multilateral donors.

The establishment of resilience focal point and/or resilient units in the cities has proven to be a very important factor in allowing continuation and replication of both the action and the iterative process of data collection and diagnosis. This is also enhancing radically the ownership of the project and activities both at policy and at technical level within the local administrations involved.

POTENTIAL FOR SCALING-UP

The potential for replication was assessed by identifying current and prospective potential for scaling-up, including opportunities and barriers.

Table 13: Potential for scaling-up

Scale	Highly satisfactory	Satisfactory	Partially satisfactory	Unsatisfactory	Highly unsatisfactory
Indicator 30					
Identify scaling-up activities that are currently under development					
Satisfactory					
Currently, there are some options under consideration for scaling-up, both at national and international level, principally including the linkage with the cities part of Making Cities Resilient Campaign, the partnership with UCLG and UNDRR; as well as possible strengthened collaboration with national associations of local governments.					
Indicator 31					
Identify potential for scaling-up, including opportunities and barriers.					
Satisfactory					
The CRGP methodology has a high potential for scaling-up, some adjustments are required, and already under development, to facilitate an iterative process in phases that would allow the more flexible use of the methodology on the basis of local needs and capacities, without reducing its complexity, which is considered very valuable.					
Overall assessment					
Satisfactory					
The current potential for scaling-up of CRGP methodology, including the action planning, is overall good. The exploration of alternative modifications, to give CRGP an even higher degree of flexibility, is already ongoing, to meet better the specific local needs and capacities, and maintaining the overall level of complexity.					

The potential for scaling-up the use of CRGP methodology at global level, and the four steps including data collection, analysis, diagnosis and actions is overall satisfactory; particularly considering the on-going continuous effort to refine further the methodology, enhancing its flexibility and ability to adapt to a wider range of local context, needs and capacities. The main barriers for up-scaling are related to the availability of capacity, specifically within the local administrations, to dedicate significant resources particularly for the data collection and analysis phase; for which it would be necessary to give the possibility to local

administration to focus, in earlier stages on a subset of indicators that are considered a priority for the local context, and still having the opportunity to expand the analysis to the whole system of indicators in following phases while maintaining the complexity of the systemic approach of CRPT, which is a unique and fundamental feature of the methodology.

A full up-scaling of the CRPT methodology globally will need to address the definition of the role, capacity and mandate of UN-Habitat and CRGP; in-fact for an upscaling in hundreds of cities the exact replication of the model and

process used in the four pilot cities, may prove challenging particularly in terms of availability of human resources to dedicate for each single city. A way forward, already under exploration, is the direct involvement of third parties such as UCLG, and or national associations of cities. It gives the possibility to UN-Habitat to maintain oversight of the different project-cities, but without requiring a too intensive dedication of its human resources. Further possibilities to achieve a full global up-scaling may include a more independent use of the CRPT methodology by the cities with a high level of independence, and the possibility of having also third parties, such as consultancies and NGOs, that could act as agents for the use of CRPT methodology, although these options will

require specific mechanism for oversight, and quality and consistency insurance.

Following these principles, the importance of training, including training of trainers, and a further enhancement of capacity building activities, eventually with the support of UN-Habitat as a whole, would be extremely important. Establishing a network of Urban Resilience Observatories could also be very useful in maintaining oversight and ensuring quality and consistency in the use of CRGP, and at the same time favour also city-to-city learning and exchange, as well as the direct involvement of third parties in a structured and appropriate way.

4.5 OVERVIEW OF KEY OUTPUTS AT PILOT CITY LEVEL

Table 14: Intervention Overview Maputo

INTERVENTION OVERVIEW MAPUTO	
Timeline:	
Signature of letter of interest October 2016	
Official start of implementation September 2017	
Action for Resilience (A4R) official launch and start of CRPP “Giving back process “March 2019	
Data collection and analysis:	
44.7% Completed, 9,8% Alternative, 45.5% Not available.	
Cities stresses identified as a result of the statistical analysis and following the CRPP methodology:	
Rapid and unregulated urbanisation (including informal settlements, inadequate structures and infrastructures, and inefficient mobility)	
Socioeconomic inequity (including spatial segregation, insecurity of tenure, informal economy and lack of social inclusions)	
Inefficient management of urban metabolism (including waste, water cycles and ecosystem services)	
Shocks negatively affecting the city:	
Drought	
Heatwaves	
Foods	
Cyclones	
Malaria	
Main actions recommended:	
Revitalization of the municipal archive	
Review of the urban structure plan (PEUMM)	
Creation of an urban resilience unit	
Critical lines of action proposed:	
Urban Informality	
Transport and urban mobility	
Management of urban metabolism	
Management and recovery of critical ecosystems	

Table 15: Intervention Overview Asuncion

INTERVENTION OVERVIEW ASUNCION	
Timeline:	
Signature of agreement: April 2017	
Official start of implementation: November 2017	

Action for Resilience (A4R) official launch and start of CRPP “Giving back process “: April 2019
Data collection and analysis:
60.3% Completed, 4.9% Alternative, 34.8% Not available.
Cities stresses identified as a result of the local knowledge:
Water cycle disruption
Inefficiency and mismanagement of urban mobility system
Lack of quality urban planning regulations and mechanism of implementation
Cities stresses identified as a result of the statistical analysis:
Dependency on unsustainable energy sources for mobility and lack of alternative energy policies
Poverty: absence of mechanisms of poverty prevention and lack of citizens social protection
Inefficient solid waste management
Shocks negatively affecting the city:
River flood
pluvial flood
Storms
Dengue
Soil and water pollution
Main actions recommended:
Water: basins, coastal strip and historical center
Spatial urban structure and pendulum: basins, coastal strip and historical center
Economy: basins, coastal strip and historical center

Table 16: Intervention Overview Port Vila

INTERVENTION OVERVIEW PORT VILA
Timeline:
Signature of agreement October 2018
Official start of implementation October 2018
Final report submission April 2020
Data collection and analysis (using a series of indicators grouped in eight thematic groups).
76.6% Completed, 1.6% Alternative, 21.8% Not available.
City stresses identified as a result of the statistical analysis and following the CRPP methodology.
Geographic isolation
Legal structure in Vanuatu
Climate change
High cost of doing business
Shocks negatively affecting the city.
Floods
Droughts
Cyclones
Earthquakes

Food and fuel supply crises
Main actions recommended:
Land and Property Data Collection and Management
Solid Waste and Sanitation Management
Youth Employment and Economic Development

Table 17: Intervention Overview Dakar

INTERVENTION OVERVIEW DAKAR
Timeline:
Signature of agreement February 2019
Official start of implementation February 2019
Recommendations for action and start of CRPP “Giving back process “April 2020
Data collection and analysis
56.0% Completed, 16.6% Alternative, 27.4% Not available.
Cities stresses identified as a result of the statistical analysis
Management of the urban metabolism
economics growth and unemployment
fragility of infrastructures
urban sprawl
ecosystem losses
Cities stresses identified as a result of the local knowledge
Illegal occupation of public spaces
inadequate mobility
exposure to industrial hazards
lack of communication and awareness-raising
Shocks negatively affecting the city
Floods
coastal erosion
water cycle
industrial hazards
Main actions recommended:
Dakar by foot
Dakar and its coast: focus on the harbour
Critical lines of action proposed
Management and use of public spaces
environmental risk associated with urban sprawl
social protection mechanism
communication
awareness-raising and exchange of good practices

5. CONCLUSIONS

The results achieved in the pilot cities depended on both internal and external factors. The internal factors were the increasing level of maturity of CRPT methodology, and the city's ability to mitigate external variables. The external variables included specifically the level of political continuity, during and after the project, the level of data availability, and the level of local resources and local capacities, and ultimately the ownership of the project by the different beneficiaries and stakeholders.

Urban resilience is a process, not a final state, for this reason, the results of this project will need to address the fundamental issues of understanding current and future needs, in relation to risk and vulnerability of the urban systems, and the ability to increase its capacity in reducing, responding to risk and when necessary to reconstruct.

The CRPG was able to develop a methodology that is complex, systemic and dynamically adaptive, thereby able to specifically tackle the issue of urban resilience, facing multiple and concurrent hazards and shocks, in the wider context of sustainable development; and it shall be understood as a continuous learning process to systemically enhance the adaptive capacity of urban systems, also in view of the high level of uncertainty regarding present and future challenges.

The CRGP methodology was also instrumental to raise awareness and capacity in understanding and defining the city needs; sometimes even beyond the specific requests of the local administrations themselves, but for the benefit of the cities and their inhabitants. The intervention gave to the pilot cities a clearer understanding about information and data availability, identifying data and information gaps, in a quantifiable

and comparable manner, particularly through the urban resilience profiling, which created a much needed evidence-based information baseline, which is fundamental to track and monitor the progress for urban resilience transition.

The complexity and data requirements for the urban resilient profiling, and the resources necessary to realize it, may be a barrier for its usage particularly in contexts with low capacity and resource availability, for example, in medium and small cities in the Global South. Thereby, it is important that CRGP continue the current effort for further developing the usability of the methodology, for example by phasing the profiling and/or prioritizing the selection of the profiling indicators, in accordance with local context and needs, specifically in cities with limited capacity and data availability, maintaining a balance between complexity and usability.

The intervention was instrumental for identifying and prioritizing urban resilience actions in the pilot cities, including no-cost ones, that are currently under implementation; although these actions can further benefit from access to external financial resources, for their better implementation. In this regard, the urban resilience profiling realized is instrumental for accessing finance, as it provides the necessary evidence-based information required in preparing bankable project proposals, for example, for the Adaptation Fund or the Green Climate Fund.

The intervention substantially contributed at overcoming knowledge, administrative and operational silos on urban resilience, at different levels, for example, by enhancing present and future strategic collaborations

within the UN system, particularly with UNDRR, and with key stakeholders as UCLG. Moreover, the intervention favoured the establishment of urban resilience units and/or focal points in the pilot cities, which role is to harmonize and integrate the work of the different parts of the administration; this was further strengthened by the engagement of other local stakeholders through the intervention. The intervention also produced some appreciable results in favouring the integration of efforts on urban resilience between national governments and local administrations, which is considered of strategic importance.

Ultimately, the intervention was able to successfully achieve the expected results:

- developing a strong and well-structured methodology for urban resilience, coupling diagnostic with selection and prioritization of actions;
- realizing resilience diagnostic and give actionable recommendations for action, including actions not requiring additional and external resources, in the four pilot cities.

The methodology has a very good potential for replication and up-scaling, as proven by

already on-going activities. The replication and up-scaling of the city action have overall and appropriate potential for replication and up-scaling, although this potential vary from city to city, being dependent from external factors to the intervention, such as the political cycles of the policy priorities of the local administrations.

Replication and up-scaling will require efforts to further harmonize and integrating the CRGP methodology with other existing methodologies frameworks and tools currently available for urban resilience, within UN-Habitat and UN system, as well as in relation to the work in this field developed by other international initiatives and actors, such as the C40 Cities Climate Leadership Group and the World Bank. The harmonization and integration of the methodologies is needed in order to avoid duplication of efforts, and to enhance the available support options to meet the very diverse context and needs of cities word wide, that may require different type of support along the phases of their urban resilience transition, from advocacy and awareness-raising to action planning and implementation.

SUCCESS FACTORS

The key success factors identified are:

- 1 The set-up of complex and measurable resilience profiling of the cities.
- 2 The statistical analysis of data was coupled with the local knowledge.
- 3 The participatory feature of the methodology and the involvement of different stakeholders, including national governments.
- 4 The city-to-city partnerships were established to support the implementation of the intervention in the pilot cities.
- 5 The capacity building activities were developed to effectively strengthen capacity in the pilot cities.

- 6 The selection and prioritization of actions, including also no-cost actions, instead of the creation of new action plans that may have been redundant.
- 7 The set-up of an urban resilience unit or focal point in the cities, strengthening the sustainability of the intervention.

CHALLENGES/RISKS

The key challenges/risks identified are:

- 1 The low or fluctuating institutional/political commitment and ownership.
- 2 The limited technical and human initial capacities of the cities.
- 3 The complexity of the tool itself and its ability to adapt to very different local context, circumstances and needs.
- 4 The intensity of resources and capacities needed for the implementation of the methodology, specifically the data collection and diagnostic phases.
- 5 The political cycles and the derived spoils-system at policy and technical level.
- 6 The lack of dedicated resources for implementation or follow-up support.
- 7 The rigid and sometimes not fully functional administrative requirements and related dysfunctionalities.
- 8 The development of the methodology is coupled with the local activities in the cities and the derived trade-offs.

6. LESSONS LEARNED

1. The systemic and holistic approach is a key feature of the CRGP methodology that was also particularly valued by the beneficiaries, and it is fundamental to address urban resilience challenges in a dynamically adaptive manner.
2. The integration of statistical data analysis with local knowledge, acquired through stakeholders' participation, is particularly valuable.
3. The implementation of the CRGP methodology is data and resource intensive, requiring clear institutional commitment and initial training / capacity building.
4. The CRGP methodology is useful to understand data-information needs and gaps, as well as for integrating existing data and knowledge, for example, providing a comprehensive outlook of strategies, actions and policies in the city.
5. Documentation and information supporting the CRGP methodology are needed in the local language, particularly to facilitate the engagement of local technical staff.
6. City-to-city learning and city-to-city support are extremely valuable and effective with the possibility of allowing also South-South city partnerships and may support the replication and up-scaling of the intervention.
7. Local focal points, both at institutional and technical levels, within the local administration, are a fundamental success factor.
8. The initial prioritization and selection of some key indicators, as an alternative to the use of the full set of indicators, based on specific local context and needs, is important to enhance local ownership and reduce the initial need of resources.
9. External resources, made directly available to the cities, may be necessary to provide the local administration with the basic capacity for applying the methodology and to guarantee its iterative use.
10. Time of administrative procedures, such as initial recruitment and hiring of staff, need to be accounted for in the planning of the project; as well as buffers need to be accounted for unforeseen extension of data collection, taking into account issues with data availability and data acquisition from other sources than the local administration.
11. The political cycles are often disrupting the process and its continuity, is therefore necessary either to start the intervention at the beginning of a political cycle or to plan an intervention with a longer time frame (e.g., six years), to guarantee the full institutionalization of the process and its full sustainability.

12. The full explicit commitment from the local administration, the time and resource requirements expected, need to be defined in detail and is fundamental to

guarantee that appropriate resources are in place for the implementation of the intervention.

7. RECOMMENDATIONS

1. Consider the phased CRGP methodology approach as a long-term incremental and iterative process. Future projects should maintain complexity and use a systemic approach, by facilitating its use with regards for the availability of local resources, and the adaptability to the local context. The project approach should be adapted to accommodate and help defining further the specific needs and priorities of the cities were implemented, also being particularly sensitive to the importance of creating local ownerships by local municipality and stakeholders. Inclusion of specific support/phase for support in the development of bankable projects and/or the exploration of concrete opportunities for securing necessary financial resources for implementation of actions.
2. Integrate different tools and approaches to urban resilience, already available within UN-Habitat. UN-Habitat should mainstream a coherent and integrated approach to urban resilience that would provide alternative but integrated methodologies and tools that could be selected and tailored based on the local context and circumstances. This can be done by structuring a dedicated process of dialogue, allocating necessary time and resources, between the actors already involved with urban resilience, that can formalize such an approach, considering also to further the integration of resilience and climate workstreams in UN-Habitat. UN-Habitat should consider including urban resilience profiling in the design of all its projects.
3. Integrate the different tools and approaches to urban resilience within UN system, starting from the collaboration and further integration of approaches, methodologies and tools between UN-Habitat and UNDRR. This integration could potentially result in structuring a joint approach that could adapt better to very different local contexts, circumstances and requirements, particularly in relation to initial capacities and resources available within the cities, with the aim of strengthening replication and up-scaling.
4. Explore the integration and harmonization of CRGP methodology with other methodologies and tools developed by other lead organizations (e.g. the C40 Cities Climate Leadership Group, UCLG, the World Bank and the Global Resilient Cities Network). This would facilitate establishing ad-hoc partnerships and harmonization of actions among lead organizations, sometimes operating in the same cities, with the objective to avoid duplication and redundancy of efforts.
5. Refine further the CRGP methodology in order to reduce the entry level requirements in terms of resources and capacities needs, taking into account the lack of data availability. This would entail strengthening the methodology as an interactive and long-term process, but maintaining the original systemic, holistic and complex approach that is one of the main features of the methodology itself.

6. Strengthen further the capacity building component of the methodology, in collaboration with other entities in UN-Habitat and within the UN system, starting with UNDRR. This should take into consideration the possibility to enhance the initial training of technical and policy focal points in the municipality, as well as the development of training the trainers' dedicated activities.
7. Explore and pilot alternative options for establishing an ecosystem of urban resilience observatories. This would also enhance the replication and up-scaling potential, including local, national and global observatories, possibly considering the articulation of an ecosystem of observatories that can also facilitate the transfer of knowledge, monitoring of resilience challenges, trends and best practices, as well as the maximization of efforts globally through an economy of scale, avoiding duplication of efforts.
8. Systematize further the use of city-to-city partnerships, through the entire life cycle of the use of the CRGP methodology and interventions. South-South partnerships and the further development of city-to-city stewardship should also be strengthened.
9. Explore further the potential and operability of urban resilience unit and focal points within the local administration, as an effective instrument to strengthen the sustainability of the intervention in the long term, and the replication of results within the municipality.
10. Strengthen the partnership with third parties, e.g. UCLG and national association of cities. Such partnerships can significantly support the achievement of the full potential for replication and up-scaling, which may require levels of commitments and resources beyond the capacity of an individual program or agency.
11. Strengthen further the collaboration with national governments, in view of enhancing capacities at national level and secure adequate level of national support to local action. It would entail enhancing vertical integration of governance for urban resilience and facilitating the replication of the intervention at the national level.
12. Strengthen the functions of CRGP in mainstreaming urban resilience work in UN-Habitat, also having and higher and more transversal position within UN-Habitat's organizational structure. The CRGP could be structured following the organizational principles of the Global Water Operators' Partnership Alliance (GWOPA), for example, allowing its rotational hosting by different cities, potentially allowing also in-kind contributions from the host cities, for developing specific activities. CRGP could then better focus on providing functions related to the use of CRPT methodology, further harmonized and integrated with other tools and methodologies, and expanding its function on capacity building, also enabling cities and third parties in utilizing the CRGP methodology, and having an oversight on progress on urban resilience worldwide as a global observatory of urban resilience.

ANNEXES

Annex 1: Terms of Reference

TERMS OF REFERENCE

END-OF-PROJECT EVALUATION OF MAKING CITIES SUSTAINABLE AND RESILIENT: UN-HABITAT Result 3 and 5

January 2020

1. Background and Context

‘Making Cities Sustainable and Resilient: Implementing the Sendai Framework for Disaster Risk Reduction 2015-2030 at the Local Level’ is a joint initiative between the UN Office for Disaster Risk Reduction (UNDRR) and United Nations Human Settlements Programme (UN-Habitat), supported by the European Commission DEVCO. The overall objective of the initiative is to build more sustainable and resilient cities, by strengthening the capacity of key public, private and civil society stakeholders to assess and address risk to ensure that public and private investments are risk-informed and that early interventions in crisis-prone cities are lined to longer-term development. The project aims to improve the understanding of, and capacity to, address disaster risks at the local level, including in crisis-prone cities, to support national and local disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies. It has a global focus however particular attention is given to Least Developed Countries (LDCs) and Small Island Developing States (SIDs) as the areas where most gain stands to be made.

The initiative contributes directly to achieving Sustainable Development Goal 11 ‘Make cities

inclusive, safe, resilient and sustainable’, specifically targets 11.5 and 11.b, and builds on the achievements of the Hyogo Framework for Action 2005-2015, and paves the way toward the implementation of the Sendai Framework for DRR 2015-2030 at the local level, and the recently adopted New Urban Agenda.

The initiative covers five result areas with two respective implementing partners (UNDRR and UN-Habitat).

- (i) Result 1 {UNDRR}: Increased commitments to build local-level resilience
- (ii) Result 2 {UNDRR}: Local Resilience and investments measured
- (iii) Result 3 {UN-Habitat}: Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs
- (iv) Result 4 {UNDRR}: Capacity is built in cities and local governments to develop and implement integrated local climate and disaster resilience action plans
- (v) Result 5 {UN-Habitat}: Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency.

The overall project duration was planned for 36 months from 15 April 2016 to 14 April 2019 with a total budget for the project of US\$6,144,558.65. The UN-Habitat project was

extended to 48 months with a new planned end date of April 2020. Of the budget, US\$3,318,584 was allocated to UN-Habitat.

2. United Nations Human Settlement Programme (UN-Habitat)

The United Nations Human Settlements Programme (UN-Habitat) is the specialized programme for sustainable urbanization and human settlements in the United Nations system. Its mission is to ‘support governments and local authorities, in line with the principle of subsidiarity, to respond positively to the opportunities and challenges of urbanization by providing normative or policy advice and technical assistance on transforming cities and other human settlements into inclusive centres of vibrant

economic growth, social progress and environmental safety’ (Strategic Plan 2014-2019) . Pursuant to its mandate, UN-Habitat aims to achieve impact at two levels. At the operational level, it undertakes technical cooperation projects. At the normative level, it seeks to influence governments and non-governmental actors in formulating, adopting, implementing and enforcing policies, norms and standards conducive to sustainable human settlements and sustainable urbanization.

3. Project Structure

In the initiative, the UN-Habitat project focuses on building local capacities in crisis-prone cities and supporting humanitarian partners through results 3 and 5, while UNDRR

addresses resilience in locations that are highly exposed and have institutional capacity gaps, such as LDCs in results 1,2 and 4 (see table below).

Table: Overview of results, indicator, activity and implementing partner

Result	Indicator	Activity	Implementing Partner
Result 1: Increased commitments to build local-level resilience	At least 560 cities & local governments join the Making Cities Resilient Campaign and endorse the “10 Essentials”	Advocacy and outreach events in every sub region for multiple stakeholders Development of new Handbook for Local Governments to implement the Sendai Framework for DRR 2015-2030	UNDRR

		Development and promotion of new “Essentials” based on the Sendai Framework for DRR 2015-2030	
Result 2: Local Resilience and investments measured	At least 200 cities & local governments assess their gaps and progress in addressing local resilience	2.1 Development and testing of new local indicators to support implementation of Sendai Framework for DRR 2015-2030 at local level 2.2 Support 200 cities and local governments in conducting their self-assessments.	UNDRR
Result 3: Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs	1 City Resilience Profiling Tool (model for measuring resilience in cities) and 1 Resilience Action Plan Tool Kit developed	3.1 Development of initial prototype of the CRPT together with a municipality (city not part of the 4 pilot cities) and capacity building 3.2 Production of initial prototype of the RAPPT with actionable recommendations 3.3 Calibration of both prototypes (CRPT and RAPPT) in a Municipality and its personnel.	UN-Habitat
Result 4: Capacity is built in cities and local governments to develop and implement integrated local climate and disaster resilience action plans	At least 20 local governments have a Resilience Action Plan and several begin implementation of Action Plans	4.1 Capacity building programmes in 20 Cities identified based on the criteria 4.2 Support the 20 cities in implementation of local loss databases 4.3 Develop Local Resilience action plans and initiate implementation of the plans in 20 cities	UNDRR

<p>Result 5: Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency.</p>	<p>4 pilot cities measured with the City Resilience Profiling Tool and developed Resilience Action Plans</p>	<p>5.1 Introduction of tool and toolkit in the four selected cities</p> <p>5.2 Populate the CRPT with locally municipal available data and information</p> <p>5.3 Analyses of city profiles and development of city tailored RAPT's</p>	<p>UN-Habitat</p>
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The figure below outlines the intervention logic, or theory of change of the initiative.

Figure 1: Results Chain



For the pilots, beneficiary cities were to be selected based on specific criteria including level of risks, demand and interest shown, involvement of other partners and the level of institutional capacity to assess and address disaster risks, prior experience and other factors. UN-Habitat is working with the following cities: Asuncion, Paraguay; Dakar, Senegal; Maputo, Mozambique; and Port Vila, Vanuatu.

A Project Steering Committee composed of project leads from UNDRR, UN-Habitat and European Commission DEVCO were to meet at least once a year to discuss progress, establish objectives and identify synergies between the results and wider actions of all partners.

4. Mandate of the Evaluation

This evaluation is mandated by the donor, the European Commission DEVCO and undertaken in line with the UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016), which requires that programmes and projects

of over USD 1 million should be evaluated by external consultant by the end of the intervention. The evaluation will focus on Results 3 and 5, hereafter referred to as the UN-Habitat project.

5. Purpose and Objectives of the Evaluation

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

The evaluation is to provide the donor, European Commission DEVCO and UN-Habitat with an independent appraisal of the

performance of the project ‘Making Cities Sustainable and Resilient’ Results 3 and 5 based on the agreement, log frame, activities and budget. The evaluation will identify key lessons and propose recommendations for scaling up or replication.

The objectives of the evaluation with respect to the UN-Habitat-led Results 3 and 5 are:

- a) Assess achievement of planned Results and performance (Annex Project Agreement Document);
- b) Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project;
- c) Identify lessons learned and propose recommendation to scale-up or replication.

7. Scope and Focus

The end-of-project evaluation will assess project results 3 and 5 implemented by UN-Habitat in terms of achievements, performance, risks/challenges and opportunities through an in-depth evaluation of the project.

The evaluation will take place in early 2020 at a time when the project is near completion.

An end-of-project evaluation of results 1, 2 and 4 of the initiative will be carried out by UNDDR as agreed with the donor.

8. Evaluation Questions based on Evaluation Criteria

THE EVALUATION WILL CONSIDER, FOR UN-HABITAT RESULTS 3 AND 5:

RELEVANCE

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies

- Is the project relevant to the outcome of global frameworks such as SDGs, Sendai Framework for Disaster Risk Reduction, Paris Agreement and the New Urban Agenda?
- Does the rationale of the project and its objective support target beneficiaries to achieve these global frameworks and respond to their needs and priorities?
- Are the project approach, design and methodology applied by UN-Habitat relevant to needs and challenges at city-level?
- Is the project responsive to opportunities and demands that arise from beneficiary cities, national governments and other partners during implementation?

EFFECTIVENESS

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.

- Did the activities and outputs contribute to the achievement of the expected outcomes/results?
- Is there a difference in the actual or expected achievement of results? If no, what were the key factors affecting the achievement of results?
- What is the quality of outputs delivered and perceived usefulness by target users?
- Are youth, gender and human rights considerations addressed in the project approach, design, implementation, monitoring and reporting?

EFFICIENCY

A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

- Were the activities and outputs implemented in a cost-efficient and timely manner to deliver the results?
- How appropriate were the different types of partnerships employed to achieve expected results?
- Was the use of consultants and experts vis a vis delivery of outputs, workshops and peer processes, etc. cost-efficient in view of the multi-county methodology?

SUSTAINABILITY

The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

- To what extent are capacities in place so the benefits of the project continue after the end of implementation?
- To what extent has the target beneficiaries institutionalized the processes of developing action plans?
- Has any network or connection between cities and partners been established to support the continued dialogue and learning beyond the project's period?
- Are the structures that the project helped create to be maintained after end of project, be it inside city administrations, links to other stakeholders, and others?

IMPACT

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

What are the outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project's target beneficiary cities, local governments and their stakeholders?

What are the outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project's partners including academia, NGOs/CSOs partners, and national governments?

What real difference has the project made to the international, national and local partners and stakeholders?

What is the extent to which the project has contributed to positive changes?

How did it influence the work of the national and local institutions?

How are action plans being integrated into urban plans, investment plans, DRR arrangements?

COHERENCE/COMPLEMENTARITY

Is the project coherent and implemented in synergy within the Commission's development programme?

Is the project coherent or complement with partner countries' policies and with other donors' interventions?

COMMUNITY VALUE ADDED

The extent to which the intervention adds benefits to what would have resulted from Member States' interventions in the same context.

Has the project brought added value to the target cities by involving UN-Habitat and partners?
What impact has this project made that would not have been possible without the intervention?

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

9. Stakeholder Involvement

The evaluation will be participatory and involving key stakeholders. Stakeholders will be kept informed of the evaluation processes including design, information, collection and evaluation reporting and results dissemination to create a positive attitude towards the evaluation and enhance its

utilization. The donor, relevant United Nations entities, partners, including UNDRR, national government/ local authorities, beneficiaries and other stakeholders may participate through interviews, focus group discussions or survey.

10. Evaluation Approach and Methodology

The evaluation approach will be a results-based approach. Further, it shall be independent and carried out following the evaluation norms and standards of the United Nations System. Evaluation criteria guides the evaluation process. The evaluation will be based on Theory of Change of the 'Making Cities Sustainable and Resilient' project and will outline the results chain and pathways as well as assumptions.

- (i) The main emphasis is placed on project delivery and results, lessons learned and recommendations. Findings in the evaluation should be exemplified with evidence-based data emanating from specific contributions and triangulation.
- (ii) A variety of methods will be applied to collect information during the mid-term evaluation. These methods include the following elements:

- (iii) Desk review of relevant documents, including project document, work plans, progress and monitoring reports, cooperation agreements, activity reports, training and capacity building reports and materials, publications, outreach and communication materials, website, etc.
- (iv) Key informant interviews and consultations, including semi-structured interviews and focus group discussions with key stakeholders, including donor, partners, beneficiaries and UN-Habitat staff:
- (v) Surveys, if deemed feasible, to obtain quantitative information on stakeholders' views and perceptions.
- (vi) Field visits to assess selected activities, if feasible within the time schedule and budget of the evaluation, should provide insight into both the scope (time), depth and range of activities carried out.

11. Qualifications of the Evaluator

Impartiality is an important principle of evaluation because it ensures credibility of the evaluation and avoids a conflict of interest. For this purpose, officers responsible for design and implementation of the project should not manage the evaluation process. The Independent Evaluation Unit will manage the evaluation process, ensuring that the evaluation is conducted by a suitable evaluator, providing technical support and advice on methodology, explaining evaluation standards and ensuring they are respected, ensuring contractual requirements are met, approving all deliverables (TOR, Inception Report; draft and final evaluation reports), sharing the evaluation results, supporting use and follow-up of the implementation of the evaluation recommendations.

The UN-Habitat City Resilience Profiling Programme and Project Team in Barcelona will be responsible for supporting the evaluation by providing information and documentation required as well as providing contacts of stakeholders to engage with for provision of evaluation information. The

Evaluation Reference Group, established as a consultative arrangement and having representatives of European Commission DEVCO and UN-Habitat will oversee the evaluation process to maximize the relevance, credibility, quality, uptake and use of the evaluation.

Responsibilities of the ERG will include:

- Acting as source of knowledge for the evaluation;
- Acting as informant of the evaluation process;
- Assisting in identifying other stakeholders to be consulted during the evaluation process;
- Playing a key role is promoting use of evaluation findings;
- Participating in meetings of the reference group;
- Providing inputs and quality assurance on the key evaluation products: TOR, Inception report and draft evaluation report; and
- Participating in validation meeting of the final evaluation report.

12. Qualifications of the Evaluator

EDUCATION

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

WORK EXPERIENCE AND OTHER REQUIREMENTS

- Extensive evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.
- A minimum of ten years' professional practical experience in results-based

management working with projects/ programmes in the field of risk reduction, disasters, conflict and other urban shocks or stresses in transition countries.

- Very good knowledge of international experience and best practices regarding institutional change management and human resource development, planning, sustainable urban development, and local governance.
- Understanding of and experience with demand-driven processes and methodologies of capacity building required.

- Good understanding of planning, development and governance and the associated responsibilities at municipal and national level.
- Familiarity with and loyalty to the goals of the United Nations, UN-Habitat's mandate
- Knowledge of municipal legal, spatial and economic drivers.

LANGUAGE

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

13. Work Schedule

The evaluation will be conducted over a period of three months from February to April 2020. A negotiated lumpsum will be paid upon satisfactory delivery of specified deliverables. The evaluator is expected to

prepare a detailed work plan that will operationalize the evaluation. The provisional timetable as follows. The consultancy will include work from home office with some travel to meet with project partners.

14. Deliverables

The three primary deliverables for this evaluation are:

a) Inception Report /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 and standards for evaluation reports. The inception report shall include background and context, evaluation purpose and objectives, theory of change, evaluation matrix, approach and methods to be used, limitations or constraints to the evaluation, proposed outline of the evaluation report, as well as work schedule and delivery dates of key evaluation deliverables.

b) Draft Evaluation Report

The evaluator will prepare a draft evaluation report. The draft should follow UN-Habitat's standard format for evaluation reports (the format will be provided). The format is intended to help guide the structure and main contents of evaluation reports formulated by UN-Habitat. This deliverable includes a PowerPoint presentation that presents the key findings of the evaluation to European Commission DEVCO and UN-Habitat.

c) Final Evaluation Report

A final evaluation report of not more than 50 pages, including Executive Summary, but

excluding Annexes, will be prepared in English. The report should be technically easy to comprehend for non-evaluation specialists.

15. Resources

The consultant will be paid an evaluation fee based on the level of expertise and experience. DSA will be paid only when

travelling on mission outside official duty stations of the consultant. Travel costs will be covered by UN-Habitat.

16. Provisional Time Schedule

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

Annex 2: Evaluation objectives, indexes and indicators

EVALUATION OBJECTIVE 1

Assess achievement of planned results and performance (Annex Project Agreement Document)

Index A: overall achievement of Result 3

Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs

Indicator 1

Development of initial prototype of the CRPT, including identification of key challenges for measuring urban resilience and capacity building (together with the municipality of Barcelona) [3.1.]

Indicator 2

Production of initial prototype of the resilience adaptation plans RAPT and with actionable recommendations [3.2.] (together with the municipality of Barcelona)

Indicator 3

Calibration of both prototypes (CRPT and RAPT) in the municipality of Barcelona and its personnel [3.3.]

Index B: overall achievement of Result 5

Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency

Indicator 4

Introduction of tool and toolkit in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.1.]

Indicator 5

Populate the CRPT with locally municipal available data and information in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.2.]

Indicator 6

Analyses of city profiles and development of city tailored RAPTs in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.3.]

Index C: performance in the overall achievement of the planned Results 3 and 5

Time and resource performance in the development and use of CRPT and RAPT

Indicator 7

Time and resource performance in the development, production and calibration of the prototype of CRPT and RAPT in the municipality of Barcelona [3.1., 3.2. and 3.3.]

Indicator 8

Time and resource performance in the introduction, population and analysis of CRPT and development of RAPT in the four cities [5.1., 5.2. and 5.3.]

EVALUATION OBJECTIVE 2

Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project.

Index D: Relevance

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Indicator 9

The extent to which the objectives of the development intervention are relevant for beneficiaries' requirements (beneficiary cities, national governments and other partners)

Indicator 10

The extent to which the objectives of the development intervention are relevant for city and country needs.

Indicator 11

The extent to which the objectives of the development intervention are consistent with global priorities.

Indicator 12

The extent to which the objectives of the development intervention are consistent with partners and donors' policies.

Index E: Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.

Indicator 13

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 3]

Indicator 14

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 5]

Indicator 15

The extent to which the development intervention's objectives planned and achieved are aligned. [Result 3 and 5]

Index F: Efficiency

The extent to which the achievement of results was performed with good use of resources (financial, human, etc) and in a timely fashion.

Indicator 16

The extent to which the achievement of results was performed with good use of financial resources.

Indicator 17

The extent to which the achievement of results was performed with good use of human resources (partnerships, staff and consultants, both local and central).

Indicator 18

The extent to which the achievement of results was performed in a timely fashion.

Index G: Sustainability

The extent to which the continuation of benefits is likely to continue after the intervention is completed; including long-term benefits and considering factors for possible risk mitigation.

Indicator 19

The extent to which technical capacities were built for the continuation of benefits after the project completion.

Indicator 20

The extent to which institutional capacities were built for the continuation of benefits after the project completion.

Indicator 21

The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion.

Index H: Impact

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.'

Indicator 22

The outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project beneficiaries and partners.

Indicator 23

The extent to which the project has contributed to positive changes for international, national and local partners and stakeholders

Indicator 24

The extent to which the project has influenced the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements.

Index I: Coherence/complementarity

The extent to which the project is coherent and/or complementary with the European Commission's development programme, partner countries' policies and other donors' interventions.

Indicator 25

The extent to which the project is coherent and/or complementary with the European Commission's development programme.

Indicator 26

The extent to which the project is coherent and/or complementary with partner countries' policies and with other donors' interventions.

Index L: Community value added

The extent to which the intervention added value to local and/or national communities, for example in relation to gender equality, vulnerable and informal segments of the population.

Indicator 27

The extent to which the intervention added value to local and/or national communities, in relation to gender equality.

Indicator 28

The extent to which the intervention added value to local and/or national communities, in relation to **vulnerable and informal segments of the population**.

EVALUATION OBJECTIVE 3

Identify lessons learned and propose recommendation to scale-up or replication.

Index M: Identification of lessons learned

Identify key lessons learned during the development and the piloting of the intervention.

Indicator 29

Identify key lessons learned during the development and the piloting of the intervention.

Index N: Identification of potential for scaling-up

Identify current and perspective potential for scaling-up, including opportunities and barriers.

Indicator 30

Identify scaling-up activities that are currently under development.

Indicator 31

Identify potential for scaling-up, including opportunities and barriers.

Index O: Identification of potential for replication

Identify current and perspective potential for replication, including opportunities and barriers.

Indicator 32

Identify replication activities that are currently under development.

Indicator 33

Identify potential for replication, including opportunities and barriers.

Annex 3: Indicative log-frame

	Intervention logic	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	Improvement of disaster risk reduction and resilience building in cities in all regions through increased risk-informed investments and deeper understanding of risks locally (contributes to SDG Goal 11).	Socioeconomic losses from disasters (contributes to SDG Target 11.5).	\$ 1.4 trillion losses and 700 million people killed in the last decade (Sendai Framework for DRR 2015-2030 and GAR13).	Substantial increase in the number of countries with national and local disaster risk reduction strategies by 2020 that reduce socio-economic losses (Sendai Framework for DRR 2015-203 ¹).	<ul style="list-style-type: none"> Number of national and local DRR strategy documents National & local reporting against the Sendai Framework for DRR 2015-2030. Global risk models and disaster risk and climate change assessment reports. 	<ul style="list-style-type: none"> National authorities adopt, implement and report on the Sendai Framework for DRR 2015-2030. More local authorities continue to join the MCR campaign, adopt and implement local resilience action plans. Global risk models and disaster risk and climate change assessment reports continue to be developed.
Specific objective(s): Outcome(s)	Improved understanding of and capacity to address disaster risks at the local level, including crisis-prone cities.	Increased number of local action plans addressing short, medium and long-term disaster risk and resilience building based on proper diagnosis of their situation.	631 comprehensive LGSAT and 1 city resilience profiles (1/1/15).	880 comprehensive LGSAT reports & 25 city resilience profiles (1/1/18).	Comprehensive LGSAT reports & city resilience profiles based on reliable data and indicators publicly available.	Local authorities will provide reliable data and have access to accurate information.
		Increase local measurement of risk sensitive investments to ensure that cities are resilient, safe and sustainable.	1 city has measured risk sensitive investments (1/1/15).	At least 24 cities have measured risk sensitive investments (1/1/18).	Detailed Scorecard and City Resilience Profiles.	Local authorities will provide reliable data and have access to accurate information.

Results/Outputs	Result 1: Increased commitments made towards implementation of a Sendai Framework for DRR 2015-2030.	At least 560 cities & local governments join the Making Cities Resilient Campaign and endorse the "10 Essentials".	2,441 cities & local governments join the Making Cities Resilient Campaign and endorse the "10 Essentials" (1/1/15).	3,001 cities & local governments join the Making Cities Resilient Campaign and endorse the "10 Essentials" (1/1/18).	List of cities & local governments that join the Making Cities Resilient Campaign and endorse the "10 Essentials" on the UNISDR Campaign website.	Cities continue to join the Making Cities Resilient Campaign at a similar rate as in the past 4 years.
	Result 2: Local Resilience and investments measured.	At least 200 cities & local governments assess their gaps and progress in addressing local resilience	631 Detailed LGSAT report on file with UNISDR (1/1/15).*	831 Detailed LGSAT reports on file with UNISDR (1/1/18).*	Detailed LGSAT reports on file with UNISDR.	All relevant stakeholders at local level are fully engaged.
	Result 3: Identified key issues and challenges in linking early interventions in crisis-prone cities to long-term sustainable development inputs.	1 City Resilience Profiling Tool (model for measuring resilience in cities) and 1 Resilience Action Plan Tool Kit developed.	0 City Resilience Profiling Tool (model for measuring resilience in cities) and 0 Resilience Action Plan Tool Kit developed (1/1/15).*	1 City Resilience Profiling Tool & 1 Resilience Action Plan Tool Kit openly available for decision taking and action (1/1/18).*	City Resilience Profiling Tool & Resilience Action Plan Tool Kit openly available for decision taking and action.	All relevant stakeholders at local level are fully engaged.
	Result 4: Capacity is built in cities and local governments to develop and implement integrated climate and disaster resilient action plans.	At least 20 local governments have a resilience action plan that results in resilient infrastructure and potential increased economic investments.	1 local government has designed detailed Climate and Disaster Resilient Action Plan (1/1/15).*	21 local governments have designed detailed Climate and Disaster Resilient Action Plans (1/1/18).*	Detailed Climate and Disaster Resilient Action Plans published on Prevention Web.	All relevant stakeholders at local level are fully engaged.
	Result 5: Crisis-prone cities are capacitated to develop and implement plans to increase their resiliency.	4 pilot cities measured with the City Resilience Profiling Tool and developed Resilience Action Plans.	0 city profiles (in-depth measurement and analysis of resilience) and 0 Resilience Action Plans available for local authorities' decision taking and benchmarking for improvement (1/1/15).*	4 city profiles (in-depth measurement and analysis of resilience) and 4 Resilience Action Plans available for local authorities' decision taking and benchmarking for improvement (1/1/18).*	Comprehensive City profiles (in-depth measurement and analysis of resilience) and Resilience Action Plans both publicly available.	Risk scenarios are duly taken into consideration.
	Gender Marker (Cross cutting)	Resilience action plans and assessment tools systematically incorporate gender consideration	none	24 action plans consider gender aspects of the city	Detailed Scorecard and City Resilience Profiles.	Local Authorities actively contribute

*Note: Gender is systematically assessed through the assessment tools and incorporated into the resilience action plans.

Annex 4: List of documents reviewed

ID	Title	Author	Date	Pages (printed/file)	File Name
City Resilience Profiling Tool					
01	CITY RESILIENCE PROFILING TOOL IMPLEMENTATION MANUAL	UN-Habitat	2019	458/468	City Resilience Profiling Tool Implementation Manual
02	CITY RESILIENCE PROFILING TOOL (Guide+)	UN-Habitat	2018	95/49	CRPT Guide
Mid-term Evaluation					
03	Joint Mid-Term Evaluation of The Making Cities Sustainable and Resilient Project, 2016 – 2019	UNISDR UN-Habitat Magda Stepanyan	09/2018	106/106	Joint MTE Making Cities Sustainable and Resilient evaluation report
Project Progress Report 2016-2017					
04	Making Cities Sustainable and Resilient INTERIM REPORT FOR RESULTS 3 AND 5: JUNE 2016-JUNE 17	UN-Habitat	2017	28/28	DEVCO UN-Habitat Interim Report Sept 2017 FINAL
05	Interim Financial report 30 June 2017	UN-Habitat	2017	1/1	Financial report 2017
Project Progress Report 2017-2018					
06	Making Cities Sustainable and Resilient INTERIM REPORT FOR RESULTS 3 AND 5: JUNE 2017-JUNE 18	UN-Habitat	2018	43/43	1. DEVCO UN-Habitat Interim Report July 2018
07	CITY RESILIENCE PROFILING TOOL (Guide+)	UN-Habitat	2018	94/90	Annex 1. CRPT Guide+
08	Sample A4R Mobility	UN-Habitat	2018	4/4	Annex 2. Sample A4R Mobility
09	Barcelona Resilience Preliminary City Profile and Diagnosis CRPT V0.0	UN-Habitat	2018	18/18	Annex 3. BCN Preliminary Diagnosis
10	City Resilience Profiling Tool Update in Barcelona	UN-Habitat	2018	6/6	Annex 4. Progress Report Barcelona
11	CRPT INDEX OF INDICATORS	UN-Habitat	2018	40/39	Annex 5. CRPT Index of Indicators
12	Gender Equality Enhancer	UN-Habitat	2018	37/21	Annex 6. Gender Equality Enhancer
13	Climate Action Enhancer	UN-Habitat	2018	41/46	Annex 7. Climate Action Enhancer

ID	Title	Author	Date	Pages (printed/file)	File Name
14	Maputo Data Assessment	UN-Habitat	2018	4/4	Annex 8. Sample Maputo Data Assessment
15	Asuncion Ecology	UN-Habitat	2018	4/4	Annex 9. Sample Asuncion Ecology
16	CRPT Mobility Element	UN-Habitat	2018	/21	Annex 10. CRPT Mobility Element
17	Annual Report 2017 Urban Resilience Programme Risk Reduction Unit	UN-Habitat	2017	26/26	Annex 11. Annual Report 2017
18	MID-TERM REPORT Asunción, Paraguay - May 2018	UN-Habitat	05/2018	/9	Annex 12a. Progress Report Asuncion ENG
19	City Resilience Profiling Program. Progress report. Maputo	UN-Habitat	06/2018	9/9	Annex 12b. Progress Report Maputo
Project Progress Report 2018-2019					
20	Interim certified financial statement 30/09/2019	UN-Habitat	10/2019	1/1	DEVCO Interim FS as at 30 Sept 2019
21	Making Cities Sustainable and Resilient INTERIM REPORT FOR RESULTS 3 AND 5: JUNE 2018-JUNE 19	UN-Habitat	2019	35/35	DEVCO UN-Habitat Interim Report Sept 2019
Resilience Action report Asuncion					
22	Recommendations of Actions for Resilience and Sustainability Asuncion	UN-Habitat	2019	495/504	(EN) Recommendations of Actions for Resilience and Sustainability - Asunción
23	Recomendaciones de Acciones para la Resiliencia y la Sostenibilidad Asuncion	UN-Habitat	2019	501/479	(SP) Recommendations of Actions for Resilience and Sustainability (Asunción)
Resilience Action Report Maputo					
24	Recommendations of Actions for Resilience and Sustainability Maputo	UN-Habitat	2019	393/203	(EN) Full Version - Recommendations of Actions for Resilience and Sustainability (Maputo)
25	Recomendações de Ações para a Resiliência e a Sustentabilidade Maputo	UN-Habitat	2019	395/406	(PT) Recommendations of Actions for Resilience and Sustainability (Maputo)

ID	Title	Author	Date	Pages (printed/file)	File Name
Resilience Action Report Port Vila					
26	Recommendations of Actions for Resilience and Sustainability Port Vila	UN-Habitat	2019	443/452	Recommendations for Actions for Resilience Port Vila
Steering Committee meetings					
27	MEETING MINUTES 27 November 2017	UN-Habitat	11/2017	8/8	Dec steering committee DEVCO clean
28	Steering Committee Meeting of the Action: Making Cities Sustainable and Resilient: Implementing the Sendai Framework for Disaster Risk Reduction 2015-2030 at the Local Level	UN-Habitat	10/2018	6/6	DEVCO Urban SC Mtg notes 20181116
Agreement					
29	EUROPEAN UNION GRANT AGREEMENT FOR PILLAR ASSESSED ORGANISATIONS (PA GRANT AGREEMENT)	UN-Habitat	05/2015	/72	1. Phase 1 Agreement
30	Annex 1 Action Document for "Making cities sustainable and resilient": Implementing the Sendai Framework for DRR 2015-2030 at the local level	UN-Habitat	2017	24/24	Annex I - Action
31	Annex 2 General Conditions for PA Grant or Delegation Agreement	UN-Habitat	12/2014	29/29	Annex II - General Conditions
32	Annex III—BUDGET	UN-Habitat	2015	1/1	Annex III—BUDGET
33	Annex 6 Communication and Visibility Plan	UN-Habitat	2015	7/7	Annex VI - Communication and Visibility Plan 26.10.15
34	Extension request	UN-Habitat	10/2018	2/2	Extension request UN-Habitat_1

Annex 5: Interviews and survey protocol

The personal data and information acquired within the interviews and the survey will be treated confidentially and will be accessible only by the evaluator and kept; the results of interviews and survey will be reported anonymously and/or in aggregated form. A copy of the survey forms and of the recorded video of the interviews is kept by the

evaluator and stored in a secured server/cloud with sole access right by the evaluator.

The total number of persons interviewed and responding to the survey is limited, given the scope of the evaluation, and the limitations in terms of time and resources.

5.1 Interview protocol

A total of 25 persons will be interviewed, including: beneficiaries, implementers, partners and donors.

The interviewed persons will give specific insights regarding the five cities involved in the development of the activity.

A reserve list of 5 more persons was created. Each interview will be realized in a semi-structured form, using a series of key questions referred directly to the identified Indexes and objectives of the evaluation.

Each interview session is of circa 60 minutes duration, and it is recorded in video, live

written notes are also taken during the interview.

The interviews will be later analysed, and the anonymized and aggregated information will be used for the final report.

The key persons in charge of the development of the project may be interviewed more than once in order to have an initial understanding of the overall genesis of the project and / or to discuss specific evaluations aspects highlighted through the other interviews, desk review and surveys.

5.2 Survey protocol

A total of 35 persons will receive the survey. The survey comprises 32 sections, one for each indicator, including both semi-quantitative questions, with a Likert scoring scale from 1 to 5, and the possibility to give qualitative answers through open text fields. The open text fields will serve particularly to gather data regarding Objective 3, including: lessons learned and potential for replication and up-scaling.

The semi-quantitative information will be analysed and reported through gRAPThics

and charts accompanied by a written interpretation of data.

The qualitative information will be analysed and reported, also merging the data and information with the analysis of the interviewees.

The respondents are requested to respond all general questions, and only the city specific questions depending from their direct involvement and knowledge of the pilots.

Given the complexity and length of the survey, a limited number of stakeholders will be receiving it, but expecting a very high return rate. The number of respondents and the mix of stakeholders is considered

sufficient to collect information on all the key aspects of the evaluation, although the number of interviews and the stakeholder mix does not consent to give full statistical validity to the results.

Annex 6: Survey questions

Any interview tools e.g., interview protocol and questionnaire, as available.

EVALUATION OBJECTIVE 1

Assess achievement of planned results and performance (Annex Project Agreement Document)

Index A: overall achievement of Result 3

Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs

Indicator 1

Development of initial prototype of the CRPT, including identification of key challenges for measuring urban resilience and capacity building (together with the municipality of Barcelona) [3.1.]

Question [Barcelona]

Did the project succeed in developing the prototype of the city resilience profiling tool CRPT, identifying key issues and challenges in measuring urban resilience and building adequate capacity (technical, financial, institutional, governance)?

[Specify issues and challenges] & [Specify capacity building: technical, financial, institutional, governance]

Indicator 2

Production of initial prototype of the resilience adaptation plans RAPT and with actionable recommendations [3.2.] (together with the municipality of Barcelona)

Question [Barcelona]

Did the project succeed in developing the prototype of resilience adaptation plan RAPT and developing actionable recommendations?

[specify recommendations]

Indicator 3

Calibration of both prototypes (CRPT and RAPT) in the municipality of Barcelona and its personnel [3.3.]

Question [Barcelona]

Did the project succeed in calibrating the city resilience profiling tool CRTP in Barcelona?

[Specify]

Index B: overall achievement of Result 5

Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency

Indicator 4

Introduction of tool and toolkit in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.1.]

Question [Asuncion, Dakar, Maputo and Port Vila]

Did the project succeed in introducing the city resilience profiling CRPT need and use in the city?
[specify needs] [define current level of use]

Indicator 5

Populate the CRPT with locally municipal available data and information in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.2.]

Question [Asuncion, Dakar, Maputo and Port Vila]

Did the project succeed in populating the CRPT with the necessary data?

[highlight limitations, barriers and opportunities regarding the data availability].

Indicator 6

Analyses of city profiles and development of city tailored RAPT in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.3.]

Question [Asuncion, Dakar, Maputo and Port Vila]

Did the project succeed in analysing the city profiles with the necessary data and in developing the resilience adaptation plan RAPT?

[highlight limitations, barriers and opportunities in analysing the CRP] & [highlight limitations, barriers and opportunities in developing the RAPT].

Index C: performance in the overall achievement of the planned Results 3 & 4 5

Time and resource performance in the development and use of CRPT and RAPT

Indicator 7

Time and resource performance in the development, production and calibration of the prototype of CRPT and RAPT in the municipality of Barcelona [3.1., 3.2. and 3.3.]

Question [Barcelona]

How did the project perform regarding the appropriate use of resources and time, during the development, production and calibration of CRPT?

How did the project perform regarding the appropriate use of resources and time, during the development, production and calibration of RAPT?

Indicator 8

Time and resource performance in the introduction, population and analysis of CRPT and development of RAPT in the four cities [5.1., 5.2. and 5.3.]

Question [Asuncion, Dakar, Maputo and Port Vila]

How did the project perform regarding the appropriate use of resources and time, during the development, production and calibration of CRPT?

How did the project perform regarding the appropriate use of resources and time, during the development, production and calibration of RAPT?

EVALUATION OBJECTIVE 2

Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project.

Index D: Relevance

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Indicator 9

The extent to which the objectives of the development intervention are relevant for beneficiaries' requirements (beneficiary cities, national governments and other partners)

Question [Asuncion, Dakar, Maputo and Port Vila]

Was the project responsive to specific requirements of cities, national governments and other partners during implementation?

[specify opportunities and demands]

Indicator 10

The extent to which the objectives of the development intervention are relevant for city and country needs.

Question [Asuncion, Dakar, Maputo and Port Vila]

Were the project approach, design and methodology relevant to needs and challenges at city-level and country level?

[specify needs and challenges]

Indicator 11

The extent to which the objectives of the development intervention are consistent with global priorities.

General questions: [Overall]

Is the project relevant to the outcome of the Sustainable Development Goal and Agenda 2030?

Is the project relevant to the outcome of the Sendai Framework for Disaster Risk Reduction?

Is the project relevant to the outcome of the Paris Agreement?

Is the project relevant to the outcome of the New Urban Agenda?

Indicator 12

The extent to which the objectives of the development intervention are consistent with partners and donors' policies.

General questions: [Overall]

Does the rationale of the project and its objective relevant for EU and DG-DEVCO policies? [specify]

Does the rationale of the project and its objective relevant for UN-Habitat policies? [specify]

Index E: Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.

Indicator 13

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 3]

General questions: [Overall]

By which extent did the project activities contribute to identify key issues and challenges in linking early interventions to long-term sustainable development inputs? [specify: current and future]

Indicator 14

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 5]

General questions: [Overall]

By which extent did the project activities contribute to enhance capacity for developing and implementing plans to increase the resilience of crisis-prone cities? [specify: current and future]

Indicator 15

The extent to which the development intervention's objectives planned and achieved are aligned. [Result 3 and 5]

General questions: [Overall]

Was there any misalignment between the expected and the actual achievement of the project? [specify: contributing factors]

Index F: Efficiency

The extent to which the achievement of results was performed with good use of resources (financial, human, etc) and in a timely fashion.

Indicator 16

The extent to which the achievement of results was performed with good use of financial resources.

General questions: [Overall]

Were the results achieved with good use of financial resources?
[if not, specify the main misalignments/reasons]

Indicator 17

The extent to which the achievement of results was performed with good use of human resources (partnerships, staff and consultants, both local and central).

General questions: [Overall]

Were the results achieved with good use of human resources?
[if not, specify the main misalignments/reasons]

Indicator 18

The extent to which the achievement of results was performed in a timely fashion.

General questions: [Overall]

Were the results achieved in a timely fashion?

[if not, specify the main misalignments / reasons]

Index G: Sustainability

The extent to which the continuation of benefits is likely to continue after the intervention is completed; including long-term benefits and considering factors for possible risk mitigation.

Indicator 19

The extent to which technical capacities were built for the continuation of benefits after the project completion.

General questions: [Overall]

To which extent technical capacities and structures were built for the continuation of benefits after the project completion?

[specify: risk mitigation and long term perspectives]

Indicator 20

The extent to which institutional capacities were built for the continuation of benefits after the project completion.

General questions: [Overall]

To which extent institutional capacities were built for the continuation of benefits after the project completion?

[specify: risk mitigation and long term perspectives]

Indicator 21

The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion.

General questions: [Overall]

The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion.

[specify: risk mitigation and long term perspectives]

Index H: Impact

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Indicator 22

The outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project beneficiaries and partners.

General questions: [Overall]

What are the outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project's target beneficiary (cities, local governments and their stakeholders) and the project's partners (including academia, NGOs/CSOs partners, and national governments)?

[Specify]

Indicator 23

The extent to which the project has contributed to positive changes for international, national and local partners and stakeholders

General questions: [Overall]

To which extent the project has contributed to positive changes for international, national and local partners and stakeholders?

[Specify]

Indicator 24

The extent to which the project has influenced the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements.

General questions: [Overall]

How did the project influence the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements?

[Specify]

Index I: Coherence/complementarity

The extent to which the project is coherent and/or complementary with the European Commission's development programme, partner countries' policies and other donors' interventions.

Indicator 25

The extent to which the project is coherent and/or complementary with the European Commission's development programme.

General questions: [Overall]

Is the project coherent and implemented in synergy within the Commission's development programme?

[Specify]

Indicator 26

The extent to which the project is coherent and/or complementary with partner countries' policies and with other donors' interventions.

General questions: [Overall]

Is the project coherent or complement with partner countries' policies and with other donors' interventions?

[Specify]

Index L: Community value added

The extent to which the intervention added value to local and/or national communities, for example in relation to gender equality, vulnerable and informal segments of the population.

Indicator 27

The extent to which the intervention added value to local and/or national communities, in relation to gender equality.

General questions: [Overall]

To which extent the intervention added value to local and/or national communities, in relation to gender equality?

[Specify]

Indicator 28

The extent to which the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population.

General questions: [Overall]

To which extent the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population?

[Specify]

EVALUATION OBJECTIVE 3

Identify lessons learned and propose recommendation to scale-up or replication.

Index M: Identification of lessons learned

Identify key lessons learned during the development and the piloting of the intervention.

Indicator 29

Identify key lessons learned during the development and the piloting of the intervention.

General questions: [Overall]

Which are the key lessons learned during the development and the piloting of the intervention?

[Specify]

Index N: Identification of potential for scaling-up

Identify current and perspective potential for scaling-up, including opportunities and barriers.

Indicator 30

Identify scaling-up activities that are currently under development.

General questions: [Overall]

Which scaling-up activities are currently under development?

[Specify]

Indicator 31

Identify potential for scaling-up, including opportunities and barriers.

General questions: [Overall]

Which is the potential for scaling-up activities, including opportunities and barriers?

[Specify]

Index O: Identification of potential for replication

Identify current and perspective potential for replication, including opportunities and barriers.

Indicator 32

Identify replication activities that are currently under development.

General questions: [Overall]

Which replication activities are currently under development?

[Specify]

Indicator 33

Identify potential for replication, including opportunities and barriers.

General questions: [Overall]

Which is the potential for replication activities, including opportunities and barriers?

[Specify]

Annex 7: Interview questions

EVALUATION OBJECTIVE 1

Assess achievement of planned results and performance (Annex Project Agreement Document)

Index A: overall achievement of Result 3

Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs.

Indicator 1

Development of initial prototype of the CRPT, including identification of key challenges for measuring urban resilience and capacity building (together with the municipality of Barcelona) [3.1.]

Indicator 2

Production of initial prototype of the resilience adaptation plans RAPT and with actionable recommendations [3.2.] (together with the municipality of Barcelona)

Indicator 3

Calibration of both prototypes (CRPT and RAPT) in the municipality of Barcelona and its personnel [3.3.]

Question [Barcelona]

Did the project succeed in developing the initial city resilience profiling tool CRPT and resilience adaptation plan RAPT prototypes and actionable recommendations?

Index B: overall achievement of Result 5

Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency

Indicator 4

Introduction of tool and toolkit in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.1.]

Indicator 5

Populate the CRPT with locally municipal available data and information in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.2.]

Indicator 6

Analyses of city profiles and development of city tailored RAPTs in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.3.]

Question [Asuncion, Dakar, Maputo and Port Vila]

Did the project succeed in populating and analysing the CRPT with the necessary data? And in developing the resilience adaptation plan RAPT?

Index C: performance in the overall achievement of the planned Results 3 and 5

Time and resource performance in the development and use of CRPT and RAPT

Indicator 7

Time and resource performance in the development, production and calibration of the prototype of CRPT and RAPT in the municipality of Barcelona [3.1., 3.2. and 3.3.]

Indicator 8

Time and resource performance in the introduction, population and analysis of CRPT and development of RAPT in the four cities [5.1., 5.2. and 5.3.]

CFR INDEX F

EVALUATION OBJECTIVE 2

Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project.

Index D: Relevance

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Indicator 9

The extent to which the objectives of the development intervention are relevant for beneficiaries' requirements (beneficiary cities, national governments and other partners)

Indicator 10

The extent to which the objectives of the development intervention are relevant for city and country needs.

Indicator 11

The extent to which the objectives of the development intervention are consistent with global priorities.

Indicator 12

The extent to which the objectives of the development intervention are consistent with partners and donors' policies.

Question [Asuncion, Dakar, Maputo and Port Vila]

To which extent the intervention is consistent with

- beneficiaries' requirements,
- country needs,
- stakeholders needs.

General questions: [Overall]

Is the project relevant to the outcome of the:

- Sustainable Development Goal and Agenda 2030? [specify]
- Sendai Framework for Disaster Risk Reduction? [specify]
- Paris Agreement and the New Urban Agenda? [specify]
- New Urban Agenda? [specify]

General questions: [Overall]

Does the rationale of the project and its objective relevant for:

- EU and DG-DEVCO policies? [specify]
- UN-Habitat policies? [specify]

Index E: Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.

Indicator 13

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 3]

Indicator 14

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 5]

Indicator 15

The extent to which the development intervention's objectives planned and achieved are aligned. [Result 3 and 5]

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

By which extent did the project activities contribute to identify key issues and challenges in linking early interventions in increase the resiliency of crisis-prone cities and enhancing local capacities? And there were any deviations from planed and realized objectives?

Index F: Efficiency

The extent to which the achievement of results was performed with good use of resources (financial, human, etc) and in a timely fashion.

Indicator 16

The extent to which the achievement of results was performed with good use of financial resources.

Indicator 17

The extent to which the achievement of results was performed with good use of human resources (partnerships, staff and consultants, both local and central).

Indicator 18

The extent to which the achievement of results was performed in a timely fashion.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

Were the results achieved with good use of:

- financial resources?
- human resources?
- Time and timely fashion?

Index G: Sustainability

The extent to which the continuation of benefits is likely to continue after the intervention is completed; including long-term benefits and considering factors for possible risk mitigation.

Indicator 19

The extent to which technical capacities were built for the continuation of benefits after the project completion.

Indicator 20

The extent to which institutional capacities were built for the continuation of benefits after the project completion.

Indicator 21

The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

To which extent the continuation of benefits is likely to continue after the intervention is completed; including long-term benefits, in relation to e.g.:

- technical capacities and structures
- institutional capacities and structures
- established partnerships (networks, city to city and with other stakeholders)

Index H: Impact

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Indicator 22

The outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project beneficiaries and partners.

Indicator 23

The extent to which the project has contributed to positive changes for international, national and local partners and stakeholders.

Indicator 24

The extent to which the project has influenced the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

What are the outcomes/impact on:

- target beneficiary (cities, local governments and their stakeholders)
- the project's partners (including academia, NGOs/CSOs partners, and national governments)?
- international, national and local partners and stakeholders?
- integrated into urban plans, investment plans, DRR arrangements

Index I: Coherence/complementarity

The extent to which the project is coherent and/or complementary with the European Commission's development programme, partner countries' policies and other donors' interventions.

Indicator 25

The extent to which the project is coherent and/or complementary with the European Commission's development programme.

Indicator 26

The extent to which the project is coherent and/or complementary with partner countries' policies and with other donors' interventions.

General questions: [Overall]

Is the project coherent and implemented in synergy within the Commission's development programme?

Specific Question [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

Is the project coherent or complement with partner countries' policies and with other donors' interventions?

Index L: Community value added

The extent to which the intervention added value to local and/or national communities, for example in relation to gender equality, vulnerable and informal segments of the population.

Indicator 27

The extent to which the intervention added value to local and/or national communities, in relation to gender equality.

Indicator 28

The extent to which the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

To which extent the intervention added value to local and/or national communities, in relation to:

- gender equality
- vulnerable population
- informal segments communities

EVALUATION OBJECTIVE 3

Identify lessons learned and propose recommendation to scale-up or replication.

Index M: Identification of lessons learned

Identify key lessons learned during the development and the piloting of the intervention.

Indicator 29

Identify key lessons learned during the development and the piloting of the intervention.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

Which are the key lessons learned during the development and the piloting of the intervention?

Index N: Identification of potential for scaling-up

Identify current and perspective potential for scaling-up, including opportunities and barriers.

Indicator 30

Identify scaling-up activities that are currently under development.

Indicator 31

Identify potential for scaling-up, including opportunities and barriers.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

Which scaling-up activities are currently under development?

Which is the potential for scaling-up activities, including opportunities and barriers?

Index O: Identification of potential for replication

Identify current and perspective potential for replication, including opportunities and barriers.

Indicator 32

Identify replication activities that are currently under development.

Indicator 33

Identify potential for replication, including opportunities and barriers.

General questions: [Overall] [Barcelona] [Asuncion, Dakar, Maputo and Port Vila]

Which replication activities are currently under development?

Which is the potential for replication activities, including opportunities and barriers?

Annex 8: List of stakeholders for interview and survey

A preliminary list of potential interviewees was given by UN-Habitat and further expanded by request of the evaluator, to specifically including beneficiaries in all the five cities.

Name	interview	survey	TYPE	Location	Organisation
Amaya Celaya Alvarez	YES	YES	implementer / central	CRGP	CRGP / UN-Habitat
Gemma Noguera Gimenez		YES	implementer / central	CRGP	Seconded from Barcelona City Council
Marcia Guambe	YES	YES	implementer / local	Maputo/Mozambique	CRGP / UN-Habitat
Maria Buhigas San Jose	YES	YES	implementer / central	CRGP	CRGP / UN-Habitat
Maria Salazar	YES	YES	implementer / local	Maputo/Mozambique	CRGP / UN-Habitat
Mutarika Pruksapong	YES		partner	UNDRR	UNDRR
Olivia Jonhson	YES	YES	implementer / local	Port Vila/Vanuatu	CRGP / UN-Habitat
Rosa Suriñach	YES	YES	implementer / central	CRGP	CRGP / UN-Habitat
Amadou Lamine Cisse	YES	YES	implementer / local	Dakar/Senegal	CRGP / UN-Habitat
Andre Dzikus	YES		partner	UN-Habitat	UN-Habitat
Ares Gabas Masip	YES	YES	beneficiary	Barcelona/Spain	Barcelona city
Cesar Cunguara	YES		beneficiary	Maputo/Mozambique	Maputo city
Cheikh Oumar Ba	YES		beneficiary	Dakar/Senegal	Dakar city
Craig Laird	YES	YES	implementer / central	CRGP	CRGP / UN-Habitat
Cristian Eick Decormis Chavez	YES		implementer / local	Asuncion/Paraguay	CRGP / UN-Habitat

Dan Lewis	YES		implementer / central	UN-Habitat	CRPP/CRGP
Esteban Leon Vacaflor	YES	YES	implementer / central	CRGP	CRGP / UN-Habitat
Jozias Blok	YES	YES	donor	EC	DG DEVCO
Lars Gronvald	YES		donor	EC	DG DEVCO
Marcos Caceres		YES	beneficiary	Asuncion/Paraguay	Asuncion city
Mathias Spaliviero	YES	YES	partner	UN-Habitat	UN-Habitat
Miguel Corral	YES	YES	implementer / local	Barcelona/Spain	CRGP / UN-Habitat
Mourade Dieye	YES	YES	beneficiary	Dakar/Senegal	Dakar city
Sanjaya Bhatia	YES		partner	UNDRR	UNDRR
Walker Toma	YES	YES	implementer / local	Port Vila/Vanuatu	CRGP / UN-Habitat

Annex 9: Evaluation questions

EVALUATION OBJECTIVE 1

Assess achievement of planned results and performance (Annex Project Agreement Document)

Index A: overall achievement of Result 3

Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs

Indicator 1

Development of initial prototype of the CRPT, including identification of key challenges for measuring urban resilience and capacity building (together with the municipality of Barcelona) [3.1.]

Question [Barcelona]

- A) Did the project succeed in developing the initial city resilience profiling tool CRPT prototype?
- B) Did the project succeed in identifying key issues and challenges in measuring urban resilience coupling short and long-term perspectives? [specify key issues and challenges]
- C) Did the project succeed in building adequate capacity? [technical, financial, institutional, governance]

Indicator 2

Production of initial prototype of the resilience adaptation plans RAPT and with actionable recommendations [3.2.] (together with the municipality of Barcelona)

Question [Barcelona]

- A) Did the project succeed in developing the prototype of resilience adaptation plan RAPT?
- B) Did the project succeed in developing actionable recommendations? [list key recommendations, and list key actions taken]

Indicator 3

Calibration of both prototypes (CRPT and RAPT) in the municipality of Barcelona and its personnel [3.3.]

Question [Barcelona]

- A) Did the project succeed in calibrating the city resilience profiling tool CRTP in Barcelona? [Specify]

Index B: overall achievement of Result 5

Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency

Indicator 4

Introduction of tool and toolkit in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.1.]

General questions: [Overall]

- A) Did the project succeed in introducing the CRPT its need/use? [specify needs] [define current level of use]
- B) Did the project succeed in introducing the RAPT and its need/use? [specify needs] [define current level of use]

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Did the project succeed in introducing the CRPT its need/use? [specify needs] [define current level of use]
- B) Did the project succeed in introducing the RAPT and its need/use? [specify needs] [define current level of use]

Indicator 5

Populate the CRPT with locally municipal available data and information in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.2.]

General questions: [Overall]

- A) Did the project succeed in populating the CRPT with the necessary data? [highlight limitations, barriers and opportunities regarding the data availability].

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Did the project succeed in populating the CRPT with the necessary data? [highlight limitations, barriers and opportunities regarding the data availability].

Indicator 6

Analyses of city profiles and development of city tailored RAPT in the four selected cities: Asuncion, Dakar, Maputo, Port Vila [5.3.]

General questions: [Overall]

- A) Did the project succeed in analysing the city profiles with the necessary data? [highlight limitations, barriers and opportunities in analysing the city profiles].
- B) Did the project succeed in developing the RAPT? [highlight limitations, barriers and opportunities in developing the RAPT].

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Did the project succeed in analysing the city profiles with the necessary data? [highlight limitations, barriers and opportunities in analysing the city profiles].
- B) Did the project succeed in developing the RAPT? [highlight limitations, barriers and opportunities in developing the RAPT].

Index C: performance in the overall achievement of the planned Results 3 & 5

Time and resource performance in the development and use of CRPT and RAPT

Indicator 7

Time and resource performance in the development, production and calibration of the prototype of CRPT and RAPT in the municipality of Barcelona [3.1., 3.2. and 3.3.]

Question [Barcelona]

- A) how did the project perform regarding the appropriate use of resources and time, during the development, production and calibration of CRPT?
- B) how did the project perform regarding the appropriate use of resources and time, during the development, production and calibration of RAPT?

Indicator 8

Time and resource performance in the introduction, population and analysis of CRPT and development of RAPT in the four cities [5.1., 5.2. and 5.3.]

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) how did the project perform regarding the introduction, population and analysis of CRPT?
- B) how did the project perform regarding the introduction, population and development of RAPT?

EVALUATION OBJECTIVE 2

Examine the relevance, effectiveness, efficiency, sustainability, impact and coherence of the project.

Index D: Relevance

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Indicator 9

The extent to which the objectives of the development intervention are relevant for beneficiaries' requirements (beneficiary cities, national governments and other partners)

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Is the project responsive to opportunities and demands that arise from beneficiary cities, national governments and other partners during implementation? [specify opportunities and demands]

Indicator 10

The extent to which the objectives of the development intervention are relevant for city and country needs.

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Are the project approach, design and methodology applied by UN-Habitat relevant to needs and challenges at city-level and country level? [specify needs and challenges]

Indicator 11

The extent to which the objectives of the development intervention are consistent with global priorities.

General questions: [Overall]

- A) Is the project relevant to the outcome of the Sustainable Development Goal and Agenda 2030? [specify]
- B) Is the project relevant to the outcome of the Sendai Framework for Disaster Risk Reduction? [specify]
- C) Is the project relevant to the outcome of the Paris Agreement and the New Urban Agenda? [specify]
- D) Is the project relevant to the outcome of the New Urban Agenda? [specify]

Indicator 12

The extent to which the objectives of the development intervention are consistent with partners and donors' policies.

General questions: [Overall]

- A) Does the rationale of the project and its objective relevant for EU and DG-DEVCO policies? [specify]
- B) Does the rationale of the project and its objective relevant for UN-Habitat policies? [specify]

Index E: Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance.

Indicator 13

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 3]

General questions: [Overall]

- A) By which extent did the project activities contribute to identify key issues and challenges in linking early interventions in crisis-prone cities to long-term sustainable development inputs? [specify: current and future]

Questions: [Barcelona]

- A) By which extent did the project activities contribute to identify key issues and challenges in linking early interventions in Barcelona to long-term sustainable development inputs? [specify: current and future]

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) By which extent did the project activities contribute to identify key issues and challenges in linking early interventions in crisis-prone cities to long-term sustainable development inputs? [specify: current and future]

Indicator 14

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance. [Result 5]

General questions: [Overall]

- A) By which extent did the project activities contribute to enhance capacity for developing and implementing plans to increase the resiliency of crisis-prone cities? [specify: current and future]

Specific questions: [Barcelona]

- A) By which extent did the project activities contribute to enhance capacity for developing and implementing plans to increase the resiliency of Barcelona? [specify: current and future]

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) By which extent did the project activities contribute to enhance capacity for developing and implementing plans to increase the resiliency of crisis-prone cities? [specify: current and future]

Indicator 15

The extent to which the development intervention's objectives planned and achieved are aligned. [Result 3 and 5]

General questions: [Overall]

- A) Was there any misalignment between the expected and the actual achievement of the project? [specify: contributing factors]

Specific questions: [Barcelona]

- A) Was there any misalignment between the expected and the actual achievement of the project? [specify: contributing factors]

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Was there any misalignment between the expected and the actual achievement of the project? [specify: contributing factors]

Index F: Efficiency

The extent to which the achievement of results was performed with good use of resources (financial, human, etc) and in a timely fashion.

Indicator 16

The extent to which the achievement of results was performed with good use of financial resources.

General questions: [Overall]

- A) Were the results achieved with good use of financial resources? [if not, specify the main misalignments/reasons]

Specific question: [Barcelona]

- A) Were the results achieved with good use of financial resources? [if not, specify the main misalignments/reasons]

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Were the results achieved with good use of financial resources? [if not, specify the main misalignments/reasons]

Indicator 17

The extent to which the achievement of results was performed with good use of human resources (partnerships, staff and consultants, both local and central).

General questions: [Overall]

- A) Were the results achieved with good use of human resources? [if not, specify the main misalignments/reasons]

Specific questions: [Barcelona]

- A) Were the results achieved with good use of human resources? [if not, specify the main misalignments/reasons]

Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Were the results achieved with good use of human resources? [if not, specify the main misalignments/reasons]

Indicator 18

The extent to which the achievement of results was performed in a timely fashion.

General questions: [Overall]

- A) Were the results achieved in a timely fashion? [if not, specify the main misalignments / reasons]

Specific questions: [Barcelona]

- A) Were the results achieved in a timely fashion? [if not, specify the main misalignments / reasons]

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Were the results achieved in a timely fashion? [if not, specify the main misalignments/reasons]

Index G: Sustainability

The extent to which the continuation of benefits is likely to continue after the intervention is completed; including long-term benefits and considering factors for possible risk mitigation.

Indicator 19

The extent to which technical capacities were built for the continuation of benefits after the project completion.

General questions: [Overall]

- A) To which extent technical capacities and structures were built for the continuation of benefits after the project completion? [specify: risk mitigation and long term perspectives]

Specific questions: [Barcelona]

- A) To which extent technical capacities and structures were built for the continuation of benefits after the project completion? [specify: risk mitigation and long term perspectives]

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) To which extent technical capacities and structures were built for the continuation of benefits after the project completion? [specify: risk mitigation and long term perspectives]

Indicator 20

The extent to which institutional capacities were built for the continuation of benefits after the project completion.

General questions: [Overall]

- A) To which extent institutional capacities and structures were built for the continuation of benefits after the project completion? [specify: risk mitigation and long term perspectives]

Specific questions: [Barcelona]

- A) To which extent institutional capacities and structures were built for the continuation of benefits after the project completion? [specify: risk mitigation and long term perspectives]

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) i, ii, iii, iv) To which extent institutional capacities and structures were built for the continuation of benefits after the project completion? [specify: risk mitigation and long term perspectives]

Indicator 21

The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion.

General questions: [Overall]

- A) The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion. [specify: risk mitigation and long term perspectives]

Specific questions: [Barcelona]

- A) The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion. [specify: risk mitigation and long term perspectives]

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) The extent to which partnerships (networks, city to city and with other stakeholders) were established that can support the continuation of benefits after the project completion. [specify: risk mitigation and long term perspectives]

Index H: Impact

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Indicator 22

The outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project beneficiaries and partners.

General questions: [Overall]

- A) What are the outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project's target beneficiary (cities, local governments and their stakeholders) and the project's partners (including academia, NGOs/CSOs partners, and national governments)?

Specific questions: [Barcelona]

- A) What are the outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project's target beneficiary (cities, local governments and their stakeholders) and the project's partners (including academia, NGOs/CSOs partners, and national governments)?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- B) What are the outcomes/impact (positive/negative, direct/indirect, tangible/intangible) on the project's target beneficiary (cities, local governments and their stakeholders) and the project's partners (including academia, NGOs/CSOs partners, and national governments)?

Indicator 23

The extent to which the project has contributed to positive changes for international, national and local partners and stakeholders

General questions: [Overall]

- A) What is the extent to which the project has contributed to positive changes for international, national and local partners and stakeholders?

Specific questions: [Barcelona]

- A) What is the extent to which the project has contributed to positive changes for international, national and local partners and stakeholders?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) What is the extent to which the project has contributed to positive changes for international, national and local partners and stakeholders?

Indicator 24

The extent to which the project has influenced the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements.

General questions: [Overall]

- A) How did it influence the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements?

Specific questions: [Barcelona]

- A) How did it influence the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) How did it influence the work of the national and local institutions, e.g. by action plans being integrated into urban plans, investment plans, DRR arrangements?

Index I: Coherence/complementarity

The extent to which the project is coherent and/or complementary with the European Commission's development programme, partner countries' policies and other donors' interventions.

Indicator 25

The extent to which the project is coherent and/or complementary with the European Commission's development programme.

General questions: [Overall]

- A) Is the project coherent and implemented in synergy within the Commission's development programme?

Specific questions: [Barcelona]

- A) Is the project coherent and implemented in synergy within the Commission's development programme?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Is the project coherent and implemented in synergy within the Commission's development programme?

Indicator 26

The extent to which the project is coherent and/or complementary with partner countries' policies and with other donors' interventions.

General questions: [Overall]

- A) Is the project coherent or complement with partner countries' policies and with other donors' interventions?

Specific questions: [Barcelona]

- A) Is the project coherent or complement with partner countries' policies and with other donors' interventions?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) Is the project coherent or complement with partner countries' policies and with other donors' interventions?

Index L: Community value added

The extent to which the intervention added value to local and/or national communities, for example in relation to gender equality, vulnerable and informal segments of the population.

Indicator 27

The extent to which the intervention added value to local and/or national communities, in relation to gender equality.

General questions: [Overall]

- A) To which extent the intervention added value to local and/or national communities, in relation to gender equality?

Specific questions: [Barcelona]

- A) To which extent the intervention added value to local and/or national communities, in relation to gender equality?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) To which extent the intervention added value to local and/or national communities, in relation to gender equality?

Indicator 28

The extent to which the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population.

General questions: [Overall]

- A) To which extent the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population?

Specific questions: [Barcelona]

- A) To which extent the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population?

Specific Question [Asuncion, Dakar, Maputo and Port Vila]

- A) To which extent the intervention added value to local and/or national communities, in relation to vulnerable and informal segments of the population?

EVALUATION OBJECTIVE 3

Identify lessons learned and propose recommendation to scale-up or replication.

Index M: Identification of lessons learned

Identify key lessons learned during the development and the piloting of the intervention.

Indicator 29

Identify key lessons learned during the development and the piloting of the intervention.

General questions: [Overall]

- A) Which are the key lessons learned during the development and the piloting of the intervention?

Index N: Identification of potential for scaling-up

Identify current and perspective potential for scaling-up, including opportunities and barriers.

Indicator 30

Identify scaling-up activities that are currently under development.

General questions: [Overall]

- A) Which scaling-up activities are currently under development?

Indicator 31

Identify potential for scaling-up, including opportunities and barriers.

General questions: [Overall]

- A) Which is the potential for scaling-up activities, including opportunities and barriers?

Index O: Identification of potential for replication

Identify current and perspective potential for replication, including opportunities and barriers.

Indicator 32

Identify replication activities that are currently under development.

General questions: [Overall]

- A) Which replication activities are currently under development?

Indicator 33

Identify potential for replication, including opportunities and barriers.

General questions: [Overall]

- A) Which is the potential for replication activities, including opportunities and barriers?

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