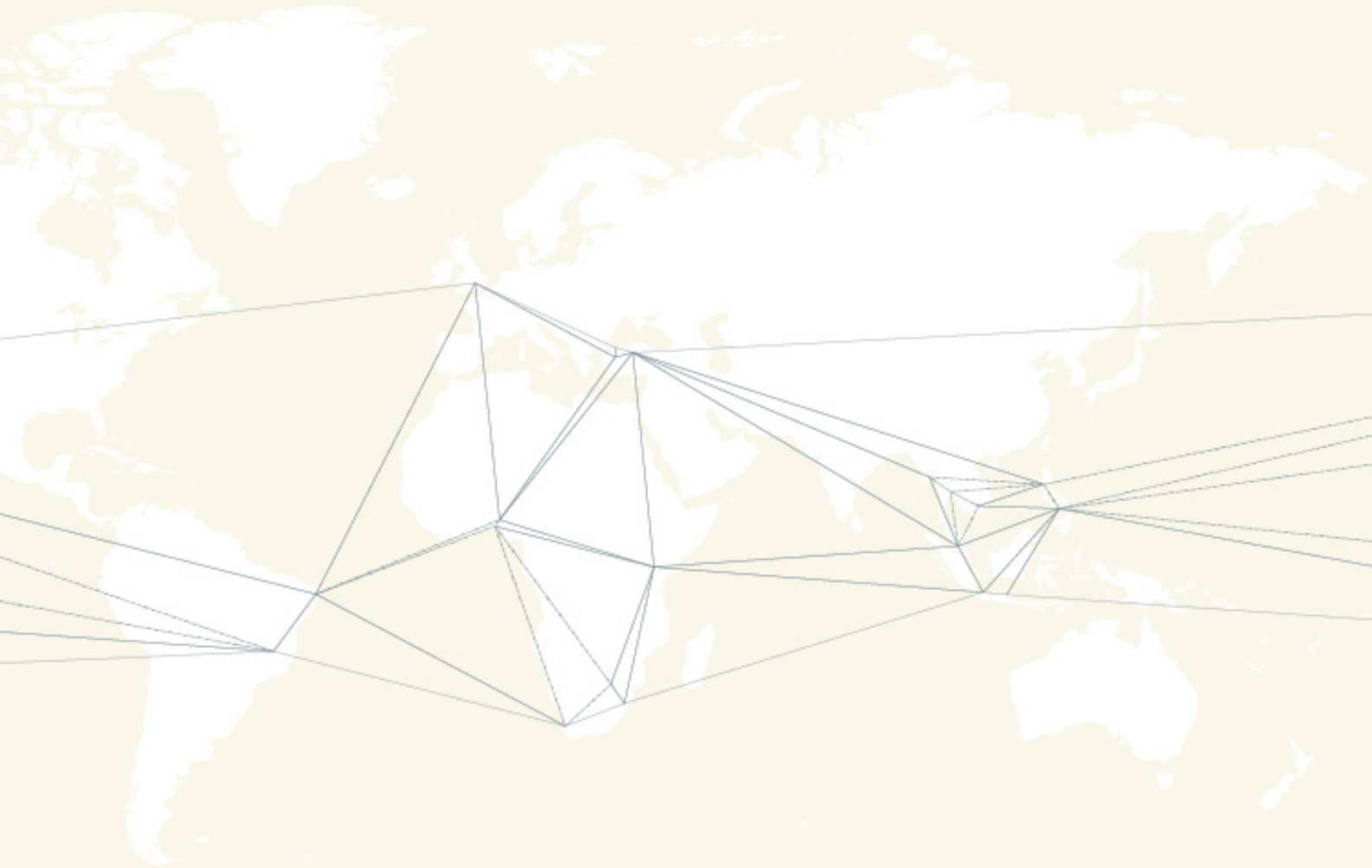
Evaluation Report 4/2019



Evaluation of the Strategic Development Phase for the Global Future Cities Programme

May 2019

Foreign & Commonwealth Office

UN HABITAT
FOR A BETTER URBAN FUTURE

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United Nations Human Settlements Programme (UN-Habitat)
P.O. Box 30030 00100 Nairobi GPO KENYA
Tel: +254-020-7623120 (Central Office)
www.unhabitat.org

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Acknowledgments

Author: Per Kirkemann

Design and Layout: Lucy Donnelly

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ABBREVIATIONS

AAAA	Addis Ababa Action Agenda
AFINUA	Action Framework for Implementation of the New Urban Agenda
CCPU	Climate Change Planning Unit
CCR	City Context Report
CSO	Civil Society Organisation
DAC	Development Assistance Committee (OECD)
ERG	Evaluation Reference Group
EQ	Evaluation Question
DFID	Department of International Development
DIT	Department of International Trade
GFCP	Global Future Cities Programme
IGC	International Growth Centre
LCS	Local City Specialist
MoU	Memorandum of Understanding
NGO	Non-Government Organisation
NUA	New Urban Agenda
O&M	Operation and Maintenance
OECD	Organisation for Economic Cooperation and Development
PDIA	Problem-Driven Iterative Adaptation
ROAP	Regional Office for Asia and the Pacific
ROLAC	Regional Office for Latin America and the Caribbean
SDGs	Sustainable Development Goals
ToC	Theory of Change
ToR	Terms of Reference
TVA	Technical Viability Assessment
UPD-Lab	Urban Planning and Design Lab
UEB	Urban Economy Branch
UK	United Kingdom
UKBEAG	UK Built Environment Advisory Group
UK FCO	UK Foreign & Commonwealth Office
ULLGB	Urban Legislation, Land and Governance Branch
UMU	Urban Mobility Unit
UNEG	United Nations Evaluation Group
UPD-Lab	Urban Planning and Design Lab
UPDB	Urban Planning and Design Branch
UN-Habitat	United Nations Human Settlements Programme

EXECUTIVE SUMMARY

BACKGROUND AND CONTEXT

The evaluation concerns the evaluation of the Strategic Development Phase for the Global Future Cities Programme (GFCP). The GFC P forms part of the Government of the United Kingdom (UK) Prosperity Fund programmes. The GFCP comprises two phases: a Strategic Development Phase (April 2018 – March 2019); and an Implementation Phase (mid 2019-2021/22). UN-Habitat was delegated the mandate to execute the Strategic Development Phase of the GFCP in due coordination with the UK Foreign & Commonwealth Office (UK FCO) and the involved city authorities. The original agreement set the duration of the assignment from April to November 2018 but was later extended to end of March 2019 with additional tasks. The Strategic Development Phase subsequently had two sub-phases: 1) the Identification and Validation Phase; and 2) the Transition Phase.

The purpose of UN-Habitat's assignment – termed the *Project* – was to translate the findings of the scoping phase conducted by UK FCO into defined and validated interventions which are relevant and ready for moving into the Implementation Phase. The GFCP is composed of 30 targeted interventions within three thematic pillars – urban planning, transport and resilience – in 19 cities across 10 countries.

GFCP targeted countries and cities.

Country	City
Brazil	Belo Horizonte and Recife
Turkey	Ankara, Bursa and Istanbul
Nigeria	Abeokuta and Lagos
South Africa	Cape Town, Durban and Johannesburg
Philippines	Cebu and New Clark City
Thailand	Bangkok
Myanmar	Yangon
Vietnam	Ho Chi Minh City
Malaysia	Iskandar and Melaka
Indonesia	Bandung and Surabaya

The *Programme* aims at: a) encouraging sustainable development, increasing prosperity, and alleviating high levels of urban poverty; and b) creating business opportunities in cities forecasted to be regional growth hubs in growing markets. While pursuing the overall Programme aims, the *Project* specifically aims at: a) assessing the viability and ensuring stakeholder ownership to derive clarity on executing the identified interventions; and b) encouraging a move towards developing sustainably, avoiding urban sprawl and slum development.

The Project is implemented by UN-Habitat's Urban Planning and Design Lab (UPD-Lab) in close collaboration with other UN-Habitat entities. The UK Foreign and Commonwealth Office (FCO) is the main partner for UN-Habitat including the FCO posts in the selected countries. UN-Habitat has associated with two strategic implementing partners: the International Growth Centre (IGC) and the UK Build Environment Advisory Group (UKBEAG). UN-Habitat has, furthermore, engaged local city specialists (LCS) – based in the 19 selected cities – to work closely with the city authorities and local stakeholders; and UK missions in 10 countries.

As part of the transition from the Strategic Development Phase to the Implementation Phase, it was agreed by UK FCO and UN-Habitat to conduct an evaluation of the results achieved during the Strategic Development Phase. The evaluation was undertaken to: 1) assess the performance of the Project, the extent to which it has been relevant, efficient and effective; 2) assess prospective changes at outcome level, emerging impact and sustainability during the Implementation Phase; and 3) to identify lessons to inform the implementation of next phase. The evaluation of the Strategic Development Phase is to provide UN-Habitat, UK FCO and partners with an independent and forward-looking appraisal of the Project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. The evaluation was conducted by an evaluator – selected through a competitive and transparent process – from mid-December 2018 to end of April 2019.

The independent Evaluation Unit of UN-Habitat managed the evaluation process. The UPD-Lab was responsible for providing information and documentation as required for the evaluation; and for coordination with relevant internal and external partners. The Evaluation Reference Group (ERG) was established at the start of the evaluation. The role of the ERG was to ensure credibility and quality of the evaluation. The ERG reviewed and endorsed the evaluation outputs including inception report and drafts of the evaluation report.

OVERVIEW OF THE GLOBAL FUTURE CITIES PROGRAMME

The GFCP was conceived by UK FCO and presented in the Scoping Paper that outlined the identified interventions. The conceptual framework for the GFCP

was expanded further through the UN-Habitat – UK FCO partnership as UN-Habitat was appointed the executing agency for the Strategic Development Phase. The overall policy development framework is constituted by the Sustainable Development Goals (SDGs), the Addis Ababa Action Agenda (AAAA), the New Urban Agenda (NUA), the Paris Agreement and the Sendai Framework for Disaster Risk Reduction. In addition to SDG 11 "Make cities and human settlements inclusive, safe resilient and sustainable" the GFCP is will contribute in meeting several of the SDGs. The performance of 'partnerships' is included as an evaluation criterion – referring to the UN-Habitat Partnership Strategy stating the importance of stakeholder participation and partnerships towards achieving sustainable development as expressed in the SDG 16 and 17 and in numerous NUA paragraphs.

The GFCP supports the UN-Habitat Strategic Plan 2014-2019 Focus Area 2 "Urban Planning and Design". The Final Draft Strategic Plan 2020-2025 reiterates the importance of 'urban planning and design' as one of the fundamental drivers for change: "UN-Habitat will promote well-planned cities and human settlements to optimize economies of agglomeration, infrastructure investments, increase densities when necessary, generate mixed land uses, protect the natural and built environment, promote public spaces with vibrant streets, and encourage social diversity, integration, cohesion and gender equality".

The Project delivery model as presented in the Project Document consists of three components: 1) The local component which comprises the identified interventions at city level; 2) The global component which synthesises the knowledge accumulated through the formulation of the city interventions; and 3: The transition training which will further develop capabilities and capacities of senior city officials to contribute to improvements of the 'built environment'. The Project objective is to identify strategic interventions in the selected 19 cities. The Project outputs are:

1. Context appropriateness validated, and technical accuracy of interventions tested.
2. Stakeholder buy-in documented and confirmed.
3. Capacity and capability of market to engage with and deliver the proposed interventions determined.
4. Confirmation of intervention is likely to deliver impact to support increased inclusive and equitable prosperity.
5. Global contribution of Future Cities Programme to prosperity, SDGs and NUA assessed.
6. Capacity for implementation improved.

Well-planned and managed urbanisation can drive prosperity, but poorly planned urbanisation leads to extreme poverty, overcrowding, congestion, pollution, and inadequate and inaccessible basic public services. Those living in slums are particularly vulnerable, as they usually work in the informal sectors of the economy and lack accessibility to other forms of employment. The four UN-Habitat cross-cutting issues of gender, youth, climate change and human rights are mainstreamed in the GFCP interventions.

The identification of the resulting 30 interventions/ projects has followed a step-wise approach in each of the 19 cities. The steps were not necessarily undertaken in a chronological order and some were conducted simultaneously. The main steps were:

a. Inception review and conduct of the identification and validation tasks within the three pillars with the aim of achieving substantial impact for the cities' residents;
b. Mapping of the professional capacity and market maturity in 19 cities;
c. Conduct of planning Charrettes involving high-level decisionmakers from the public and private sectors and civil society;
d. Conduct of customized training for senior city officials;
e. Conduct of Validation Workshops to assure consensus on the proposed projects and document endorsement by the relevant authorities;
f. Preparation of City Context Reports providing the necessary insights and situation analyses for the proposed projects;
g. Preparation of ToR for each of the proposed projects providing background, context and rationale, objectives, scope and implementation of services required for the further planning and detailed design of the projects;
h. Conduct of Technical Viability Assessments of the conditions needed for successful implementation of the projects throughout the three phases of the project cycle.

Assessments were made of the participating countries and cities with the aim to map and assess the capacity and calibre of the built environment professions, as well as the regulatory, policy and standards context related to the proposed interventions. The assessment included visit to each city, meeting with local government authorities/ agencies, professional bodies, academia and NGOs. As part of the GFCP Knowledge Management Strategy, the interventions were grouped into seven thematic clusters that were expanded from the urban planning and design, transport and resilience pillars. UN-Habitat and IGC analysed each cluster and offered evidence-based recommendations to ensure the interventions' successful implementation and maximized impact.

EVALUATION APPROACH AND METHODOLOGY

The thrust of the evaluation was on the Strategic Development Phase (ex-post), but was also to assess the prospects for outcomes, impact and sustainability during the Implementation Phase (ex-ante). The evaluation ToR states that the evaluation will be based on Theory of Change (ToC) approach, i.e. the sequence of the pathway: activities > outputs > outcomes > and impacts; supplemented with drivers and assumptions. The use of the ToC approach is also a requirement as stated in the UN-Habitat Evaluation Manual (2018). The Logical Framework as presented in the Project Document relates specifically to what can be accomplished within the one-year Strategic Development Phase but does not envision the longer-term outcomes and impact for elaborating a ToC.

While the ToC establishes a framework for the change process, changes are driven by stakeholders' views, perceptions and ultimately by decisions taken by the proper authorities and policy-makers. Accordingly, consultations with stakeholders that have been involved in the identification and validation process played an important role in the conduct of the evaluation. Stakeholder consultations have been undertaken through a questionnaire survey, case studies and interviews. Stakeholders' views may, however, change over time as a consequence of changed contexts, political priorities, etc. Except for the Project's outputs and the 'expected accomplishment', the Project Document presents limited information on the results chain.

A reconstructed 'results chain' was elaborated which was based on: a) the objective as stated in UN-Habitat's Final Draft Strategic Plan 2020-2025 and the UK FCO's aim of the GFCP; and b) the outputs and the expected accomplishment as presented in the Project Document. The revised project objective and outcomes were derived from the reconstructed results chain. The evaluation of the Strategic Development Phase was based on a revised 'immediate project objective' that reflect the warranted situation at the end of the Project and the ensuing outcomes, but which are fully consistent with the Project's intent. The immediate project objective was proposed as follows: "Project concepts and capacity developed for the transformation of the 'built environment' that will contribute to improved prosperity and quality of life for urban residents in programme cities and globally".
In connection with assessing the interventions long-term viability, the Implementation Phase was subdivided into three sub-phases: a) Planning and Design Phase with a duration of 2-3 years; b) Build Phase with a duration of 3-7 years; and c) and Operation and Maintenance Phase with a duration of 7-15 years. Generally, operation and maintenance (O&M) – and rehabilitation – would be required throughout the 'design life' of an intervention, the duration of which depends on the performance of O&M, which would be crucial for the intervention's sustainability. The duration for the specific city intervention/ project varies according to the nature and complexity of the intervention and the resource availability. The Planning and Design Phase will be funded by UK FCO, but the funding sources for the Build Phase have not yet been identified. ToCs for each of the identified 30 interventions can be reconstructed, but with much more information as generated during the Strategic Development Phase. The timeframe for the city ToCs is 12-25 years where outcomes will start to materialise during the Planning and Design Phase and impacts will emerge at the end of the Build Phase and beyond. Outcomes and impacts will vary significantly between the cities as a consequence of varying contexts (incl. barriers and drivers) and resource availability.

The 19 evaluation questions were structured under the basic five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability. The sequence of the criteria was arranged to reflect the Theory of Change (ToC) approach, i.e. output, outcome and impact. An evaluation matrix was developed with targets and means of verification for each of the evaluation questions. The evaluation methodology comprised: i) interviews with the Project team including Local City Specialists; ii) interviews with UK FCO HQ and posts; iii) a desk review; iv) a case study of eight selected interventions; and v) a questionnaire survey targeting the city authorities. A main limitation of the evaluation was that no visits were included to any of the selected cities.

FINDINGS ON PERFORMANCE AND ACHIEVEMENTS

Overall, the six outputs as defined in the Project Document have been achieved during the Strategic Development Phase, but the barriers and uncertainties for achieving the longer-term impact have also been pointed out. The Project outputs have generated the following outcomes:

Outcome 1, Enhanced understanding of solutions to urban challenges: The cities' active engagement during the identification and validation process has clearly demonstrated an increased understanding of how challenges can be addressed in relation to the proposed interventions.

Outcome 2, A validated strategic framework for city interventions: The strategic framework as outlined in the Project Document with the three pillars and further expanded with the cluster concept constitutes the overall

strategic framework which formed the basis for identifying and validating the city level interventions. Subsequently, all cities have validated their proposed interventions.

Outcome 3, Capability and capacity developed for participating cities: Capability among city staff officials has been consolidated and some capacity developed for their future role in implementing the interventions. There is a great variation in the cities' existing planning, management and implementation capacity with some cities having very competent staff and others in need of substantial capacity development.

Outcome 4, Global lessons learned: A first version of the lessons learned from implementing the Project were elaborated in December 2018. The intent of this version was to carry over the lessons learned to the Implementation Phase. These lessons mainly relate to the process and less to the substance of the three pillars. The policy papers deal with the global perspective, and elements from these papers combined with the practical experience from the city interventions could highlight the global lessons learned in relation to the GFCP – with due attention to how these could be replicated globally or inspire similar interventions in country.

Overall, the four outcomes were achieved within the tight timeframe of the Strategic Development Phase and have established the point of departure for the Implementation Phase. The strategic framework for the city interventions will over time be influenced by external factors – all of which cannot be controlled by the city authorities – indicating the need for regular review/ assessment of the evolving context with a view to ensuring the continued relevance of the interventions through corresponding amendments. Capacity development is a long-term endeavour and should be emphasised throughout the Implementation Phase. Consolidated lessons learned combining process and substance from the Strategic Development Phase would be a useful contribution to the further implementation process.

CONCLUSIONS

The Strategic Development Phase

The Project was efficiently and effectively executed and has achieved the conceived immediate outcomes, especially Outcome 1 and Outcome 2. Outcome 3 has been achieved to some extent bearing in mind that the interventions have not yet been planned and designed, but nonetheless awareness has been created about the importance of having and maintaining adequate capacity. Outcome 4 has been achieved, but the global lessons learned need to be consolidated. The interventions may well be replicated at either national, regional or local level as well as in other middle-income countries, especially so if drivers are in place to facilitate such initiatives.

Relevance: Overall the Project and its interventions were found to be relevant relating to the needs of the cities and their residents, although the relevance could had been further enhanced through a more direct involvement of the targeted beneficiaries. The relevance of the interventions is linked to prospects of these being implementable in terms of an enabling environment, resource mobilisation, public participation and that the anticipated impacts are likely to be achieved.

Efficiency: Overall, the Project was implemented efficiently – especially in light of the challenging circumstances with regards to the timing and resource mobilisation. The Project tasks were well phased and well distributed between international and national consultants/in-country staff and outputs achieved. Administrative challenges in relation to recruitment of staff and travel arrangements have been overcome – although these continue to exist. The implementation of Project tasks was cost-efficient and completed reasonably in relation to the work plan.

Effectiveness: The Project has generally been effective by achieving the main outcomes and by collaborating appropriately with city stakeholders and other partners, whose support and engagement will be essential in the further implementation process. The project management has not been confronted with major changes in the implementation approach but has among others recognised that inclusion of vulnerable groups should be given more attention, and that each intervention should be dealt with and implemented in each city's specific context. More attention should be paid to the proper integration of cross-cutting issues.

Impact: A major part of the identified interventions is likely to achieve their expected results. This will in particular be the case for cities that are assessed to have high or medium success rates for implementing the intervention, whereas cities with low success rates are likely to encounter a number of constraints which may require additional efforts to overcome. The interventions are likely to encounter a number of risks during the implementation process which will require mitigation efforts to combat – not all risks may be mitigated if they are outside the control of the city authorities. The city authorities are confident that the interventions will achieve the anticipated effects and that these will materialise within the set timeframe.

Sustainability: The cities' ownership and buy-in were facilitated through an inclusive and meaningful cooperation with city stakeholder during the

identification and validation process, which if maintained during the Implementation Phase would be an essential contributing factor to achieving sustainability. The degree of sustainability of the interventions depends among others on how the cities will be able to cope with the various barriers affecting the implementation – the cities' ability varies from low to high which requires differentiated approaches to capacity development and other support. Innovative measures that optimise outcomes and impact throughout the project-cycle could contribute to sustainability.

The Implementation Phase

Launch of the Planning and Design Phase: Ideally, the consultant being invited for the planning and design assignment for the specific interventions should review the ToR (both those prepared by the Project team and the contract-based prepared by UK FCO) and submit a technical and financial proposal; among others to ensure consistency with the intervention concept. Important conditions for launching the Implementation Phase would be: i) that documentation for initiation of the interventions is adequately in place; ii) the city authorities have the capacity to lead/guide the final formulation and implementation of the interventions; iii) consulting services are available as required for final formulation and implementation; and iv) M&E mechanisms are in place to account for drivers, barriers affecting implementation and the actual results achieved.

Theory of Change and results framework: Elaboration of a ToC and results framework for the GFCP interventions would be essential for monitoring and evaluating the results for each of the interventions' sub-phases both with a view to document results attributable to GFCP and lessons learned, but also to capture the need for amendments due to changing contexts and priorities or other circumstances. The transformative effects to which the GFCP have contributed should be reviewed on a regular basis to assess the extent to which the envisioned changes of the built environment are materialising.

Funding: The degree of autonomy and revenue generation capacity among the cities may have limitations on the scale and duration of the intervention. Funding options for: the Build Phase may include international, national and local sources; and the O&M Phase may include local revenues and user charges. These challenges will call for varying implementation approaches and balancing of the expected achievements in order to enhance the interventions' sustainability aspects. Financing requirements and funding sources for the Build and O&M phases should be identified during the Planning and Design Phase and negotiations undertaken with external and internal funders in order to tap these opportunities and facilitate uninterrupted implementation.

Coordination: Steering committees should preferably be established with regular sessions in which key stakeholder representatives can exchange their views and agree on modifications to the process and substance as deemed warranted. Consultative fora for wider stakeholder consultations could be held for general orientation if major issues need to be debated to reach consensus on amendments. Civil society organisations could be invited to interact with the targeted beneficiaries and advise on options for proper inclusion.

LESSONS LEARNED FROM THE EVALUATION

Some of the main lessons learned from undertaking the Project, which would also have a bearing on the Implementation Phase, are: i) More attention to the longer-term perspectives through a Theory of Change approach would be useful for determining the scope of the interventions and the continued dialogue with city authorities and city stakeholders; ii) More attention should be paid to vulnerable groups from the outset of the identification phase and more insight provided through application of community participatory approaches; iii) Cross-cutting issues should be better incorporated in the intervention design; iv) Facilitation of the city authorities' participation in the conceptualisation and identification process through an inclusive approach has proved useful for creating commitment and ownership; v) Context specific identification of the interventions related to the cities' current situation and warranted future scenario provides a more realistic background for workable solutions; vi) The cities' enabling environment and resource base – financial and human resources – varies considerably which call for differentiated development approaches.

RECOMMENDATIONS

Strategic Development Phase

The Project could be further accomplished by undertaking the following recommendations, which would be useful for the Implementation Phase and for replication of the GFCP identification process:

1. The City Context Reports should be consolidated by integrating complementary aspects from the interventions' ToR as well as from the Technical Viability Assessment reports. The consolidated City Context Reports would thus serve as a means of baseline information.

2. The cluster policy papers should be finalised by combining IGC and UN-Habitat inputs. The compendia of pillar and cluster policy papers should be assembled with an introduction of the papers' interlinkages and explain how the cluster policy papers complement the pillar policy papers.

3. A synthesis of experiences on how the Project's approach and methodology evolved compared to what was planned in the Project Document should be elaborated in a "Completion Report". Lessons learned on how issues related to the three pillars' substance have been tackled could be a useful contribution.

The Implementation Phase

The below recommendations concern the partners engaged in the Implementation Phase. UK FCO will be the lead partner and executing agency for the Implementation Phase; and be the signatory of the MoUs with city authorities and of consultancy contracts with consulting consortia:

4. MoUs between UK FCO and city authorities should ideally be finalised before the launch of the Planning & Design Phase to confirm the city authorities' commitment for carrying the interventions through to the O&M Phase; and for outlining the mutual obligations.

5. The consultants that will be invited to undertake the intervention assignments for the Planning & Design Phase should ideally before the award of the contract prepare technical and financial proposals that outline approach and methodology – following a ToC approach. Preferably, the consultant should liaise with the city authority in the process of preparing the proposal and cooperate with national consultants.

6. The design and planning of the cities' interventions should take the varying level of viability into consideration (i.e. viability assessment factors of professional capacity, market maturity and preparedness, spatial context, financial capacity and legal condition), as the viability will influence what can realistically be implemented. The factors could change over time either positively or negatively.

7. A ToC diagram and results framework for the Implementation Phase by sub-phase with indicators and targets should be developed for monitoring the results attributable to the GFCP interventions and the transformative effects – including integration of vulnerable groups and mainstreaming of the cross-cutting issues.

8. In cases where more than one intervention will be implemented in a selected city, potential synergies should be explored both as regards substance and sharing of team inputs to enable a holistic approach where feasible.

9. Budgets for the interventions should be prepared for the Build Phase and O&M Phase respectively. Internal and external funding sources should be identified and preliminary negotiations with development banks and potential development partners should be initiated – with a view to ensuring that financing will be available. In cases where this is not likely to happen fully, the scope of the intervention should be modified to correspond to the funding that realistically can be made available.

10. Coordination mechanisms should be put in place that ensure that the city authorities' ownership is fully respected, activities are well coordinated by implementing partners and city stakeholder, and if need be that conflicting views can be resolved.

11. The option to include local CSOs and NGOs should be considered when community participation is essential for finding appropriate solutions that meet the need of the targeted beneficiaries and achieving consensus. Agreements should be made with the city authorities on the right process to engage with the targeted beneficiaries.

12. The complementary role of the strategic partner should be clearly defined in relation to the Planning & Design consultant; and similarly, the mandate vis-à-vis UK FCO HQ and posts, design consultants/service provider and city authorities should be clearly spelled out in the MoU between the strategic partner and UK FCO.

13. Besides the complementary role, the strategic partner should monitor the change process prompted by the planning and design of the interventions as well as changes of the enabling environment and the general context – including capacity development.

14. The strategic partners should facilitate the knowledge management concerning results and implementation processes as derived from 'implementing' the interventions.

UK FCO
London
Istanbul
Ankara
Bursa
Lagos
Abeokuta
UNH HQ
Nairobi
Recife
Belo Horizonte
Johannesburg
Durban
Cape Town

PROPOSED INTERVENTIONS WITHIN THE GLOBAL FUTURE CITIES PROGRAMME

STRATEGY & PLANNING

Abeokuta	Urban masterplan
Ankara	Quality and accessibility of streets
Bangkok	Transit Oriented Development Plan
Bursa	Sustainable urban transformation
Cebu	City Roadmap for SDG implementation
Durban	Governance coordination of plans
Istanbul	Training and capacity development programme
Johannesburg	Strategic area framework
Lagos	Urban renewal guidelines
NCC	Comprehensive sustainability plan
Surabaya	Urban transformation plan
Yangon	Revitalizing streetscapes

TRANSPORT

Abeokuta	Transport policy
Ankara	Non-motorized transport strategy
Bandung	Integrated public transport system
Belo Horizonte	Intelligent mobility
HCMC	Smart ticketing system
Iskandar	Mobility management system
Istanbul	Sustainable urban mobility plan
Johannesburg	Review effects of 4IR on mobility
Lagos	Water transport feasibility study
Melaka	Green corridor & heritage transport plan

RISK & RESILIENCE

Bangkok	Decision support system for flood management
HCMC	GIS Inventory of the drainage system
Surabaya	Earthquake Preparedness Strategy

DATA SYSTEMS

Cape Town	Implementation of city data strategy
Bangkok	Data hub roadmap for planning
Bursa	Smart city strategy
Durban	Data strategy for informal settlement action
Recife	Data ecosystem for urban governance

1. INTRODUCTION

1.1 BACKGROUND AND CONTEXT

This Evaluation Report concerns the evaluation of the Strategic Development Phase for the Global Future Cities Programme (GFCP). The GFCP forms part of the Government of the United Kingdom (UK) Prosperity Fund[1] programmes, which besides GFCP consist of global programmes dealing with the following themes: anti-corruption, better health, infrastructure, skills, and trade. The Prosperity Fund supports the UN Sustainable Development Goals (SDG) as well as the UK Aid Strategy. The Prosperity Fund focuses on middle-income countries that face considerable challenges such as rapid urbanisation, climate change, high and persistent inequality, and with large numbers of people living in poverty and where there is a potential for inclusive and sustainable growth. The spending of funds will meet the eligibility requirements of the Official Development Assistance ODA (ref. OECD/DAC: aid that promotes and specifically targets the economic development and welfare in developing countries).[2]

The GFCP comprises two phases: a Strategic Development Phase (April 2018 – March 2019); and an Implementation Phase (mid 2019-2021/22). UN-Habitat was delegated the mandate to execute the Strategic Development Phase of the GFCP in due coordination with the UK Foreign & Commonwealth Office (UK FCO) and the involved city authorities.[3] The original agreement set the duration of the assignment from April to November 2018, but was later extended to end of March 2019 with additional tasks. The Strategic Development Phase subsequently had two sub-phases: 1) the Identification and Validation Phase; and 2) the Transition Phase.[4]

UN-Habitat applied the term *'Project'* to distinctly define the scope of the Strategic Development Phase and associated roles and responsibilities of the implementing partners as elaborated in UN-Habitat's Project Proposal.[5] The thrust of GFCP will be on SDG 11: "Make cities and human settlements inclusive, safe, resilient and sustainable" while also contributing to other SDGs. The purpose of the Project was to translate the findings of the scoping phase conducted by UK FCO into defined and validated interventions which are relevant and ready for moving into the follow-up phase of bidding and implementation[6] – the Implementation Phase.

The Global Future Cities Programme is composed of 30 targeted interventions within three thematic pillars – urban planning, transport and resilience – in 19 cities across 10 countries, see Box 1.1. The *Programme* aims at: a) encouraging sustainable development, increasing prosperity, and alleviating high levels of urban poverty; and b) creating business opportunities in cities forecasted to be regional growth hubs in growing markets.[7]

Box 1.1: GFCP targeted countries and cities.

Country	City	No. of interventions
Brazil	Belo Horizonte (1) and Recife (1)	2
Turkey	Ankara (2), Bursa (2) and Istanbul (2)	6
Nigeria	Abeokuta (2) and Lagos (2)	4
South Africa	Cape Town (1), Durban (2) and Johannesburg (2)	5
Philippines	Cebu (1) and New Clark City (1)	2
Thailand	Bangkok (3)	3
Myanmar	Yangon (1)	1
Vietnam	Ho Chi Minh City (2)	2
Malaysia	Iskandar (1) and Melaka (1)	2
Indonesia	Bandung (1) and Surabaya (2)	3
Total		**30**

While pursuing the overall Programme aims, the *Project* specifically aims at: a) assessing the viability and ensuring stakeholder ownership to derive clarity on executing the identified interventions; and b) encouraging a move towards developing sustainably, avoiding urban sprawl and slum development.[8] The project team works with partner city governments and wider stakeholders to confirm the relevance of the interventions.

1 The Prosperity Fund was announced as part of the UK Government 2015 Strategic Defence and Security Review.
2 Source: GOV.UK. November 2018. Cross-Government Prosperity Fund: further information.
3 On 6 April 2018, FCO and UN-Habitat signed the Contribution Agreement and the MoU, in which FCO requested UN-Habitat to undertake the Strategic Development Phase of the Prosperity Fund Global Future Cities Programme. Furthermore, FCO requested UN-Habitat to collaborate with the UK Built Environment Advisory Group (UKEAG) and the International Growth Centre (ICG) a partnership between the London School of Economics (LSE) and Oxford University.
4 The duration of the Project was initially set to be from April to November 2018 but was extended to 31 March 2019 to allow for a continued process and smooth transition phase to the Implementation Phase.
5 UN-Habitat. March 2018. Prosperity Fund Global Future Cities Programme: Strategic Development Phase – UN-Habitat Project Proposal for the UK Foreign and Commonwealth Office. (NB: The first version of 1 February 2018 was replaced by an updated version of 21 March 2018). Subsequently, a Project Document was prepared, "UN-Habitat. March 2018. Strategic Development Phase for the Global Future Cities Programme: Project Document". Since the Project Proposal is attached to the UK FCO – UN-Habitat MoU for the execution of the Strategic Development Phase of the GFCP, it is assumed that the Project Proposal will override the Project Document if significant differences occur.
6 UN-Habitat. October 2018. Terms of Reference: Evaluation of the Strategic Development Phase for the Global Future Cities Programme.
7 Ibid., footnote 5, Section 1.1.
8 Terms of Reference: Section 1, Background and Context, 2nd para.

Project management: UN-Habitat is the executing agency of the Strategic Development Phase – termed the 'Project'. The Project is implemented by the Urban Planning and Design Lab (UPD-Lab) located in the Urban Planning and Design Branch (UPDB) in close collaboration with UN-Habitat's regional and country Offices, UPDB's Climate Change Planning Unit (CCPU), the Urban Mobility Unit (UMU) in the Urban Basic Services Branch (UBSB), Urban Economy Branch (UEB) and the Urban Legislation, Land & Governance Branch (ULLGB). The Project team coordinates and cooperates with the UN-Habitat Headquarters (HQ), regional and country offices as pertinent.

The UK FCO is the main partner for UN-Habitat. Liaison with the FCO posts in the selected countries took place on a regular basis (where relevant, FCO posts coordinated with embassy staff representing the Department for International Development (DFID) and the Department for International Trade (DIT). UN-Habitat has associated with two strategic implementing partners: the International Growth Centre (IGC) and the UK Build Environment Advisory Group (UKBEAG). Together with UN-Habitat the IGC has addressed knowledge management of the GFCP to create a good foundation for a 'strategic partner' for the Implementation Phase.[9] The UKBEAG has collaborated with UN-Habitat on assessment of professional capacities and market maturity in the selected cities. The Project has engaged local city specialists (LCS) – based in the 19 selected cities – to work closely with the city authorities and local stakeholders; and UK missions.

The Evaluation process: As part of the transition from the Strategic Development Phase to the Implementation Phase, it was agreed by UK FCO and UN-Habitat to conduct an evaluation of the results achieved during the Strategic Development Phase. UN-Habitat commissioned the evaluation which is characterised as 'centralised evaluation' managed by UN-Habitat's Evaluation Unit to assess the Project's relevance, performance and the likely contributions to the identified programme interventions.[10] The purpose, objectives and scope of the evaluation are as stated in the Terms of Reference (ToR) dated October 2018, attached as Annex 1. The evaluation covers the whole period of the project from April 2018 to March 2019 and is expected to assess achievements, performance, challenges and opportunities of the project through an in-depth evaluation of results achieved.

The evaluation consultant, Per Kirkemann[11] was selected through a competitive and transparent process and commenced the assignment on 10 December 2018. The launch meeting took place on 20 December with members from the Evaluation Reference Group (ERG) and staff from the UN-Habitat Evaluation Unit.
The evaluation's Inception Report was adopted at the ERG meeting on 13 February and concluded on 14 February 2019 with submission of the final Inception Report. The Evaluation Report takes its point of departure from the Inception Report. The List of Persons Consulted is attached as Annex 2 and the List of Documents Consulted as Annex 3.

Outline of the Evaluation Report: Chapter 1 outlines the background and context for the evaluation with Section 1.2 presenting the scope and objective. Chapter 2 presents a brief overview of the GFCP outlining UN-Habitat's mandate for executing the Strategic Development Phase and the implementation approach. Chapter 3 outlines the evaluation approach and methodology, including considerations on the application of a Theory of Change (ToC) approach and the elaboration of the Evaluation Matrix. Chapter 4 presents the findings based on the desk review, questionnaire survey and interviews with stakeholders. Chapter 5 presents the conclusions on achievements and performance and transition to the Implementation Phase. Chapter 6 elaborates on the lessons learned for replication and observations for the Implementation Phase. Finally, Chapter 7 presents the recommendations for concluding the Strategic Development Phase and transition to the Implementation Phase. The Case Study Report is submitted as a separate volume to Evaluation Report.

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

1.2 PURPOSE, OBJECTIVES AND SCOPE OF THE EVALUATION

Mandate and purpose: The evaluation was undertaken to: 1) assess the performance of the Project, the extent to which it has been relevant, efficient and effective; 2) assess prospective changes at outcome level, emerging impact and sustainability during the Implementation Phase[12]; and 3) to identify lessons to inform the

9 UN-Habitat. March 2018. Project Proposal, Programme Management Structure, p. 16.
10 Centralized evaluations are independent assessments managed by the UN-Habitat Evaluation Unit with support of external evaluators. Source: UN-Habitat Evaluation Manual (2018) p.14.
11 Per Kirkemann, Partner of Nordic Consulting Group, Denmark
12 The emerging impact in terms of transforming the cities' 'built environment' will only occur during and after the Implementation Phase. The GFCP is at the identification/ conceptualisation stage during which the emerging outcomes and impact are elaborated and thus form the baseline for the change process.

implementation of next phase. The evaluation will also use the criteria of *partnerships*[13] as well as assess how the cross-cutting issues of gender, human rights, youth and climate change were elements of the project. The sharing of findings from the evaluation will inform UN-Habitat, UK Foreign & Commonwealth Office/ Prosperity Fund Global Future Cities Programme, International Growth Centre, UK Built Environment Advisory Group and other key stakeholders, including governing bodies and Member States, on what was achieved and learned from the project.

Objective of the evaluation: The evaluation of the Strategic Development Phase is to provide UN-Habitat, UK FCO and partners with an independent and forward-looking appraisal of the Project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. What is learned from the evaluation findings are expected to be – one of various sources of information – informing UN-Habitat's future engagement in similar projects and the next phase of this Project, influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, replicating and up-scaling the implementation approach used, and generating credible value for targeted beneficiaries and addressing national sustainable urbanization priorities. The evaluation results will also contribute to UN-Habitat's planning, reporting and accountability.[14]

Key objectives of evaluation are:

a. To assess the achievement of the expected outcome and performance of the Project identifying strategic interventions in 19 cities. This will entail analysis of delivery of outputs, achievement of the outcome and viable 'pro-poor' projects identified in the 19 participating cities and this will entail an assessment of the stakeholder engagement process through charrettes and workshops.

b. To assess the extent to which the Strategic Development Phase has created 'value-for-money' supporting alleviation of poverty and if the participatory approach and tools used during the implementation have worked well or not in guiding national planning partners and private sector to identify viable project/ activities at city level.

c. To make recommendations based on the findings of the evaluation, on what needs to be done to effectively plan, implement, promote, monitor and replicate project activities, including new proposals for future collaboration.

Management and conduct of the evaluation: The independent Evaluation Unit of UN-Habitat managed the evaluation process. The UPD-Lab was responsible for providing information and documentation as required for the evaluation; and for coordination with relevant internal and external partners. The ERG was established at the start of the evaluation process with members representing the Project team, representatives from the UK FCO, and staff from the Urban Planning and Design Branch, Urban Economy Branch, Urban Basic Services Branch and the Urban Legislation, and Land and Governance Branch as well as the Evaluation Unit. The role of the ERG was to ensure credibility and quality of the evaluation. The ERG reviewed and endorsed the evaluation outputs including inception report and drafts of the evaluation report.

13 Reference is made to the UN-Habitat Partnership Strategy. March 2017. Promoting Strategic and Effective Partnerships towards the implementation of the New Urban Agenda. The key category of partnerships in relation to GFCP will be the city authorities.

14 Terms of Reference: Section 3, 1st para. The next phase of the Project is the Implementation Phase for which UK FCO will be the executing agency. The evaluation is an ex-post evaluation of the Strategic Development Phase and an ex-ante evaluation of the Implementation Phase – or as stated in the ToR 'a forward-looking appraisal'. The results of the planning and design of the 30 interventions may call for an in-depth appraisal of each intervention.

2. OVERVIEW OF THE GLOBAL FUTURE CITIES PROGRAMME

Project conception and policy framework: The GFCP was conceived by UK FCO and presented in the Scoping Paper.[15] The conceptual framework for the GFCP was expanded further through the UN-Habitat – UK FCO partnership as UN-Habitat was appointed the executing agency for the Strategic Development Phase. The overall policy development framework is constituted by the Sustainable Development Goals (SDGs)[16], the Addis Ababa Action Agenda (AAAA)[17], the New Urban Agenda (NUA)[18], the Paris Agreement[19] and the Sendai Framework for Disaster Risk Reduction[20]. References are made to specific SDG targets and NUA paragraphs in the ToR for the evaluation and project documents, see Table 2.1 and Table 2.2 respectively. The performance of 'partnerships' is included in the ToR as an evaluation criterion – referring to the UN-Habitat Partnership Strategy[21] stating the importance of stakeholder participation and partnerships towards achieving sustainable development as expressed in the SDG 16 and 17 and in numerous NUA paragraphs. In addition to SDG 11, the GFCP is likely to contribute in meeting several of the SDGs.

15 An overview of the proposed interventions identified by UK FCO as presented in the Scoping Paper is attached as Annex A to the Project Document.
16 United Nations. 2015. 2030 Agenda for Sustainable Development.
17 United Nations. 2015. Addis Ababa Action Agenda. The Action Agenda establishes the foundation to support the implementation of the 2030 Agenda for Sustainable Development by providing a new global framework for financing sustainable development.
18 United Nations. October 2016. New Urban Agenda – Habitat III.
19 United Nations Framework Convention on Climate Change. December 2015. Paris Agreement.
20 United Nations. March 2015. Sendai Framework for Disaster Risk Reduction 2015-2030.
21 UN-Habitat. April 2017. UN-Habitat Partnership Strategy: Promoting Strategic and Effective Partnerships towards the Implementation of the New Urban Agenda.

Table 2.1: Selected SDG 11 targets.

SDG 11	Make cities and human settlements inclusive, safe, resilient and sustainable
SDG 11.2	By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding pubic transport, with attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons.
SDG 11.3	By 2030, enhance inclusive and sustainable urbanisation and capacity for participatory, integrated and sustainable human settlement planning and management in all countries.
SDG 11.7	By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities.
SDG 11.a	Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning.
SDG 11.b	By 2020, Substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for disaster risk reduction 2015-2030, holistic disaster risk management at all levels.

Table 2.2: NUA paragraphs for selected purposes.

NUA purpose	NUA paragraphs
NUA paragraphs for 'global priorities' referred to in the Project Document[1]	13 (a-d), 13 (f-h), 14 (b-c), 15 (c iii-iv), 19, 32, 37, 44, 49-52, 54, 58, 59, 63, 65, 67-71, 77, 88, 95-103, 112-114 (a + c), 115, 117, 118, 123-125
NUA paragraphs referred to in the UN-Habitat Partnership Strategy[2]	1, 4-6, 11, 15, 21, 91, 96, 126, 128, 149, 153, 154, 162, 163, 165, 168, 169, 171 and 172

Notes: 1) Project Document, Section 2.4 Alignment, p.10. 2) UN-Habitat Partnership Strategy, Introduction, p.5.

The GFCP supports the UN-Habitat Strategic Plan 2014-2019 Focus Area 2 "Urban Planning and Design", see Table 2.3. The Final Draft Strategic Plan 2020-2025 reiterates the importance of 'urban planning and design' as one of the fundamental drivers for change: "UN-Habitat will promote well-planned cities and human

settlements to optimize economies of agglomeration, infrastructure investments, increase densities when necessary, generate mixed land uses, protect the natural and built environment, promote public spaces with vibrant streets, and encourage social diversity, integration, cohesion and gender equality".[22]

Table 2.3: Strategic Plan 2014-2019, Focus Area 2 "Urban Planning and Design".

Expected accomplishments	Indicator
EA 2.1: Improved national urban policies and spatial frameworks for compact, integrated and connected cities adopted by partner metropolitan.	Number of partner metropolitans, regional and national authorities that have adopted national urban policies or spatial frameworks that support integrated and connected cities.
EA 2.2: Improved policies, plans and designs for integrated and connected cities and connected neighbourhoods adopted by partner cities.	Number of partner cities that have adopted policies, plans and design for compact, integrated and connected cities and neighbourhoods.
EA 2.3: Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional and national authorities.	Number of partner city, regional and national authorities that have adopted policies, plans and strategies that contribute to climate change mitigation and adaptation.

The Project delivery model: The Project consists of three components: **1) The local component** which comprises the identified interventions at city level; **2) The global component** which synthesises the knowledge accumulated through the formulation of the city interventions and the associated partnerships, from which overarching programme recommendations will be derived and which in turn will inform the M&E architecture for the implementation phase; and **3) The transition training** which will further develop capabilities and capacities of senior city officials to contribute to improvements of the 'built environment' in relation to the short-term city interventions and the long-term transformation. The interventions will observe environmental safeguards, social safeguards, gender equality, youths and human rights.

A number of risks have been identified mainly related to the competence of city staff, organisational capacity, adequacy of policy instruments, adequacy of financial resources, unintended environmental impacts, and unforeseen political interferences.

Project objective, expected accomplishment and outputs:[23] The Project objective is to identify strategic interventions in 19 cities as part of the Strategic Development Phase of the GFCP (the Project objective indicates an activity as opposed to the situation to be achieved at the end of the Project). These interventions aim to encourage a move towards developing sustainably, avoiding urban sprawl and slum developments, and achieve inclusive prosperity whilst alleviating high levels of city poverty. The programme will contribute significantly to achieving the Sustainable Development Goals and implementation of the New Urban Agenda. The expected accomplishment – generated as a result of the six outputs is: *"Enhanced understanding of solutions to challenges for congestion, pollution, urban sprawl, lack of accessible services, poor planning and land management and inability to respond to the impacts of growth, climate change and natural disasters in selected cities".*[24] The Project outputs are:

1. Context appropriateness validated, and technical accuracy of interventions tested.
2. Stakeholder buy-in documented and confirmed.
3. Capacity and capability of market to engage with and deliver the proposed interventions determined.
4. Confirmation of intervention is likely to deliver impact to support increased inclusive and equitable prosperity.
5. Global contribution of Future Cities Programme to prosperity, SDGs and NUA assessed.
6. Capacity for implementation improved.

Cross-cutting issues:[25] Well-planned and managed urbanisation can drive prosperity, but poorly planned urbanisation leads to extreme poverty, overcrowding, congestion, pollution, and inadequate and inaccessible basic public services. Those living in slums are particularly vulnerable, as they usually work in the informal sectors of the economy and suffer from lack of access to other forms of employment. The four cross-cutting issues of UN-Habitat as mainstreamed in the GFCP are presented in Box 2.1.

22 UN-Habitat. 2018. The Strategic Plan 2020-2025: Final Draft (paragraph 150).

23 As elaborated in the Project Document.
24 UN-Habitat. March 2018. Project Document, Executive Summery, p. 2; and ToR. Background and Context, p. 1.
25 Excerpts from the Project Document, p. 23-26

Box 2.1: Cross-cutting issues.

Gender: Gender inequality is a crucial aspect to understand in urban contexts. Urbanisation does not impact genders equally. Women move to urban areas for a number of different reasons, such as to seek higher income, to flee conflict, to avoid environmental degradation, or to escape family and discrimination problems. While many of them hope to find economic stability in cities, a majority ends up in urban slums in which housing and living conditions are especially harsh. Gender neutral approaches to urban planning often lead to unequal gender outcomes which systematically disadvantage poor people and therefore, women. Adopting a gender sensitive approach is key to address the systemic constraints that contribute to persistent gaps in women's economic opportunities. The aim is to achieve gender equality and the empowerment of all women and girls in order to fully harness their vital contribution to sustainable development by readdressing the way cities and human settlements are planned, designed, financed, developed, governed and managed. Urban planning tools that are successfully applied and which includes gender mainstreaming can have the transforming power to positively impact the lives of women and girls. It is crucial to create public spaces that are safe and equal to all. Women and men have different mobility needs and women tend to have limited access to private motorisation due to cultural, social and economic reasons. Improvements to public transport, if designed based on gender specification, can bring disproportionate benefits to women.

Youth: It is estimated that by 2030, as many as 60% of all urban dwellers will be under the age of 18. Unfortunately, it is not often noted that youth are society's most essential and dynamic human resource. The potential of the youth is a major force for creating a better urban future. It is noted that youth needs open public spaces (e.g. parks, beaches, squares, plazas, sidewalks, public libraries, streets) where they can access freely and in which they can interact with each other and be active. Reserving space for open public space, including sport facilities and other public facilities is beneficiary especially for the youth. A good urban plan can also improve the economic opportunities and build better future for the youth. Moreover, compact, walkable cities with good public transportation system and cycle route network will give more freedom and will empower youth. Youth as stakeholders/ target group is an important part of the participatory planning process for example in the community workshops and town hall meetings. The aim is to empower and build capacity of the youth, as well to train local governments on the importance of engaging youths to implement real change.

Climate change: Some cities lack strategies to address increased flooding due to climate change. The aim is to support Climate Change resilience policies and plans including flood control. Some cities lack an integrated strategy to address climate change effects. The aim is to support development of a low carbon strategy roadmap, leading to reduction of traffic congestion, improvement of air quality, improvement in business environment, and adapted response to climate change events.

Human rights: The challenges of urbanization, such as rising inequality and the prevalence of slums, are symptoms of a larger deficit to respect human rights in cities, particularly the right to adequate housing and the right to safe drinking water and sanitation. Sustainable urban planning is the base of securing adequate housing for all. Moreover, right to safe water and sanitation can be secured through adequate urban planning. Planned cities and city extensions can reduce the scale of informal settlements and the lack of urban basic services. Urban planning can also secure land ownership rights and ensure that evictions or disruption of livelihoods are limited. The aim is to support to ensure participation of vulnerable groups in the planning process, as well the aim is to analyse the roles, relationships and capacities of rights-holders and duty-bearers.

Source: GFCP Project Documents, p. 23-26.

The Project partners: The two main GFCP partners were UN-Habitat and UK FCO. Two essential strategic partners were: 1) The International Growth Centre (**IGC)** which is operated by the London School of Economics and Oxford University. ICG is part of an international network of researchers and policy experts and has promoted the 'Cities that Work' initiative. IGC developed a policy-oriented 'knowledge management' guide that would facilitate better policy decisions on urban development issues and assisted with context analysis in the 19 cities; and 2) The UK Built Environment Advisory Group (**UKBEAG**) which is a collaboration between the Royal Institute of British Architects (RIBA), the Royal Town Planning Institute (RTPI) and the Institution of Structural Engineers (IStrucE). UKBEAG was created to transfer built environment expertise to professionals in developing countries. UKBEAG collaborated with UN-Habitat on assessment of professional capacities in the region/country and assisted with capacity development. UN-Habitat entered into 'Agreement of Cooperation' with IGC and UKBEAG respectively which defined their roles and responsibilities.

City level identification process: The identification of the resulting 30 interventions/projects has followed a step-wise approach in each of the 19 cities. The steps were not necessarily undertaken in a chronological order and some were conducted simultaneously. The main steps were:

a. Inception review and conduct of the identification and validation tasks within the three pillars with the aim of achieving substantial impact for the cities' residents;
b. Mapping of the professional capacity and market maturity in 19 cities;
c. Conduct of planning Charrettes involving high-level decisionmakers from the public and private sectors and civil society;
d. Conduct of customized training for senior city officials;
e. Conduct of Validation Workshops to assure consensus on the proposed projects and document endorsement by the relevant authorities;
f. Preparation of City Context Reports providing the necessary insights and situation analyses for the proposed projects;
g. Preparation of ToR for each of the proposed projects providing background, context and rationale, objectives, scope and implementation of services required for the further planning and detailed design of the projects;
h. Conduct of Technical Viability Assessments of the conditions needed for successful implementation of the projects throughout the three phases of the project cycle.

The technical viability of each intervention was assessed in three phases during the Strategic Development Phase: i) the UKBEAG city visits that took place between July and August 2018; ii) the intermediate evaluation of the Programme interventions during the IGC mission in Nairobi in October 2018; and iii) the final Technical Viability Assessment developed the final Terms of Reference for each city in December 2018.[26]

The viability assessments relate to five factors: professional capacity; market maturity and preparedness; spatial context; financial capacity; and legal conditions. The results of the assessment are ranked into low, medium and high barriers for implementation by factor and project cycle phase, which are then converted into a percentage for likelihood of success. The average of the percentages then indicates the 'overall likelihood of success. A percentage below 55% stands for overall 'high' barriers, 55-70% stands for 'medium' barriers, 71-77% stand for 'low' barriers.

26 Ibid., Footnote 24: Section 2.4, p. 11. The likely overall success rate for each intervention is presented in the Technical Viability Assessments. The assessments are based on the project team's professional opinion.

The partnerships with the 19 cities were crucial for developing, implementing and operating the proposed interventions – not only between GFCP and the cities but also within the cities. The city authorities will link up with their respective national and regional governments as well as cooperate with city level partners, amongst other the beneficiary communities, civil society, private sector[27], service providers and academia. The Strategic Development Phase was to be concluded with a Memorandum of Understanding (MoU) or some other form of agreement for each city/intervention between UK FCO and the city authority for implementing the Planning and Design Phase.

Knowledge Management: As part of the GFCP Knowledge Management Strategy, the interventions were grouped into seven thematic clusters that were expanded from the urban planning and design, transport and resilience pillars.[28] The seven clusters are:

1. Public space
2. Heritage and urban renewal
3. Urban strategies and plans
4. Data systems for integrated urban planning
5. Multi-modal mobility strategies and plans
6. Data Systems for multi-modal mobility
7. Flood management plans and systems

UN-Habitat and the Strategic Academic Partner of IGC analysed each cluster and offered evidence-based recommendations to ensure the interventions' successful implementation and maximized impact.[29] Finally, UN-Habitat drafted a 'potential impact framework' per cluster as an internal tool to ensure the interventions are aligned with the international frameworks and the programme objectives. The clusters relate to the GFCP pillars as shown in Table 2.4.

27 The GFCP's second objective is concerned with creation of business opportunities.
28 UN-Habitat/ UK FCO. December 2018. Prosperity Fund, Global Future Cities Programme: Lessons Learned & Key Recommendations for Phase 2, Section 2.3, p. 9. References to the clusters are also made in the City Context Reports.
29 ICG. 2018. Policies for prosperity in middle-income cities: Planning, transportation and resilience. The clusters are presented the Appendix (Section 6) using a slightly different terminology; and includes an eights cluster "Project Procurement (Leveraging private capital for public investment)".

Table 2.4: Interrelationship between pillars and clusters.

GFCP Pillar	Clusters
Urban planning and design	1, 2, 3, and 4
Transport	5 and 6
Resilience	2, 3 and 7

Source: City Context Reports
Note: Transport planning and urban planning are intertwined, so cluster 5 could also relate to "Urban planning & design".

Overview of interventions: Table 2.5 presents the interventions' pillars, clusters and success rates. Intervention briefs are attached as Annex 4.

Table 2.5: Pillars, clusters and likely overall success rate by intervention.

Country	City	Pillar[1]	Cluster[1]	Success Rate[2]	Intervention Title
South Africa	Cape Town	Planning	4	69%	Supporting the Implementation of the City of Cape Town's Data Strategy
	Johannesburg	Transport	5	77%	A review of the Fourth Industrial Revolution (4IR) trends and effects on urban mobility in Johannesburg
	Johannesburg	Planning	3	66	Strategic Area Framework and Associated Implementation Tools for Soweto "Triangle" in Johannesburg
	Durban	Planning	4	74	Improved data integration, collection and analysis to facilitate collaborative informal settlement action
	Durban	Planning/ Transport	3 & 5	66	Enhanced institutional and governance coordination for supporting alignment of stakeholder plans working on Transit-Oriented Development
Brazil	Recife	Planning	4	71	Data Ecosystem for Urban Governance for Recife
	Belo Horizonte	Transport	6	71	Intelligent mobility in Expresso Amazonas
Philippines	Cebu	Planning	4	47	Data and Strategic Foundations for Long Term Planning in Cebu City
	New Clark City (NCC)	Planning	1 & 3	37	Integrated sustainability plan for New Clark City
Myanmar	Yangon	Resilience	2 & 7	42	Revitalising Streetscapes: unlocking the potential of Yangon City's assets
Vietnam	Ho Chi Minh	Transport	6	53	Development of Smart Ticketing System for Public Transportation Network in Ho Chi Minh City
	Ho Chi Minh	Resilience	7	42	Development of Geographical Information System for Drainage System in Ho Chi Minh City
Thailand	Bangkok[3]	Planning	4	-	Data Hub Roadmap for Integrated Planning
	Bangkok[3]	Transport	5	-	Transit-Oriented Development (TOD) Plan for the Khlong Bang Luang area
	Bangkok[3]	Resilience	7	-	Decision Support System (DSS) for Flood Management

Turkey	Istanbul	Planning	3	63	Urban Planning Training and Capacity Development Programme for Resilient Istanbul
	Istanbul	Transport	6	66	Sustainable Urban Mobility Plan for Istanbul
	Bursa	Transport	6	74	Sustainable Urban Transformation Approach for Bursa
	Bursa	Planning	2 & 4	66	Transforming Bursa into a Smart City
	Ankara	Planning	1	71	Increasing Quality and Accessibility of Streets in Çankaya Neighborhoods in Ankara
	Ankara	Transport	5	71	Bicycle Strategy, Master Plan and Pilot Implementation for Integrated Non-motorized Multimodal Transport in Ankara
Nigeria	Abeokuta	Transport	5	34	Development of Transport Policy and Capacity Building in Abeokuta
	Abeokuta	Planning	2 & 3	39	Abeokuta Master Plan and Guidelines for Urban Renewal
	Lagos	Transport	5	39	Feasibility Study for the development of water transport in Lagos
	Lagos	Planning	2	45	Development of Guidelines for Urban Renewal Programmes in Lagos
Indonesia	Surabaya	Planning	3	63	Urban Transformation Plan for Putat Jaya in Surabaya
	Surabaya	Resilience	1 & 3	61	Earthquake Preparedness Strategy for Surabaya
	Bandung	Transport	5	58	Development of an Integrated Public Transport System in Bandung
Malaysia	Iskandar	Transport	5 & 6	63	Implementation Strategy for Iskandar Malaysia's Smart Integrated Mobility Management System
	Melaka	Transport	5	55	Green Transport Corridor Implementation Plan Heritage Area Integrated Mobility Plan for Melaka

Source: City Context Reports and Technical Viability Assessments.
Notes:
1: City Context Reports, Introduction.
2: Technical Viability Assessments. Barriers for the project cycle implementation related to: Spatial context, Financial, Legal, Capacity and Market Maturity.

Market Maturity and Professional Capacity: Assessments were made of the participating countries and cities with the aim to map and assess the capacity and calibre of the built environment professions, as well as the regulatory, policy and standards context related to the proposed interventions. The assessment included visit to each city, meeting with local government authorities/ agencies, professional bodies, academia and NGOs. The assessments were undertaken with following aims: 1) Understand the context in which the proposed interventions were to be delivered; 2 Understand the key factors which may help enable and/or obstruct delivery; 3) Help to assess the technical professional capacity available and the maturity to deliver the proposed interventions; and 4) Work with the city leaders to establish training needs from the topics available. The assessment provided inputs for the 'Transition Training & Dialogue' week organised by UKBEAG in September 2018 in London, gathering representatives from key stakeholders from each city.[30]

Assessments were made for each city for each of the project cycle's phases, see the example in Table 2.6. Each city was given an overall rating combining market maturity and professional capacity, see Table 2.7.

30 UK FCO/ UN-Habitat/ UKBEAG. December 2018. Assessment of Market Maturity and Professional Capacity, Volume 1 & 2.

Table 2.6: Project cycle assessment of maturity and capacity in the selected cities

	Planning	Design	Implementation	Operation	Maintenance
Maturity	High	High	Low	Low	Low
Capacity	Medium	Medium	Low	Low	Low

Source: Assessment of Market Maturity and Professional Capacity Report, Volume 2.
Rating scale: 'Low', significant challenges appear to exist in one or more of the areas considered. 'Medium', issues may exist in one or more areas. 'High', no significant issues appear to exist that cannot be managed by an appropriately experienced client team.

Table 2.7: Overall rating of market maturity and professional capacity by city

Country	City	Rating
Brazil	Belo Horizonte	Medium
	Recife	High
Indonesia	Bandung	Medium
	Surabaya	Medium
Malaysia	Iskandar	Medium
	Melaka	Medium
Myanmar	Yangon	Low
Nigeria	Abeokuta	Medium
	Lagos	Medium
Philippines	Cebu	Low to Medium
	New Clark City	Medium
South Africa	Cape Town	High
	Durban	High
	Johannesburg	High
Thailand	Bangkok	Medium to High
Turkey	Ankara	Medium
	Bursa	Medium
	Istanbul	Medium
Vietnam	Ho Chi Minh City	Medium to High

Source: Assessment of Market Maturity and Professional Capacity Report, Volume 2.
Rating scale as in Table 2.6.

Project budget: The breakdown of the Project budget is shown in Table 2.8.

Table 2.8: Budget overview for the GFCP Project

Budget item	USD
Project staff: personnel and consultants	1,714,128
Operations costs: meetings, workshops, etc.	230,000
Equipment and supplies	25,000
Transfers to implementing partners (UKBEAG & IGC)	660,000
Staff travel	150,000
Subtotal	2,779,128
Support services 13%	415,272
Total budget	3,194,400
Addendum: travel to 9 extra cities*	116,501
Total	3,310,901

Note: *Include travel, personnel costs and support services.
Source: UN-Habitat Project Document and UN-Habitat, Request for Contribution Agreement.

3. EVALUATION APPROACH AND METHODOLOGY

3.1 APPROACH

General evaluation approach: The United Nations Evaluation Group's (UNEG) Norms and Standards for Evaluation[31] was applied. The evaluation approach and process related to the five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability (which are compatible with the OECD/ DAC criteria[32]; UN-Habitat Evaluation Policy (2013)[33]; the Revised UN-Habitat Evaluation Framework (2016)[34]; and the UN-Habitat Evaluation Manual (2018)[35]. The thrust of the evaluation was on the Strategic Development Phase (ex-post), but was also to assess the prospects for outcomes, impact and sustainability during the Implementation Phase (ex-ante).

The evaluation was conducted in four consecutive phases: 1) the inception phase; 2) the desk and field visit phase; 3) the analysis and synthesis phase – which included the findings, conclusions, recommendations and overall lessons learned; and 4) dissemination of the evaluation results to potential users. The desk phase included a visit to UN-Habitat to have interviews and consultations with the UN-Habitat management, project management, and to meet with Evaluation Unit staff (14-18 January 2019). Moreover, a visit was made to UK FCO, UKBEAG and IGC in London (4-5 March 2019) to have further interviews and consultations on the Strategic Development Phase and the transition to the Implementation Phase.

Theory of Change approach: The evaluation ToR states that the evaluation will be based on Theory of Change (ToC) approach, i.e. the sequence of the pathway: activities > outputs > outcomes > and impacts; supplemented with drivers and assumptions. The use of the ToC approach is also a requirement as stated in the UN-Habitat Evaluation Manual (2018). The Logical Framework as presented in the Project Document relates specifically to what can be accomplished within the one-year Strategic Development Phase but does not envision the longer-term outcomes and impact for elaborating a ToC. The Project is meant to produce all the necessary documentation and city level capacity for launching the Implementation Phase.

While the ToC establishes a framework for the change process, changes are driven by stakeholders' views, perceptions and ultimately by decisions taken by the proper authorities and policy-makers. Accordingly, consultations with stakeholders that have been involved in the identification and validation process played an important role in the conduct of the evaluation. Stakeholder consultations have been undertaken through a questionnaire survey, case studies and interviews, see Section 3.3 on methodology. Stakeholders' views may, however, change over time as a consequence of changed contexts, political priorities, etc.

Except for the Project's outputs and the 'expected accomplishment', the Project Proposal/ Document presents limited information on the results chain. A reconstructed 'results chain' is presented in Annex 5, which was based on: a) the objective as stated in UN-Habitat's Final Draft Strategic Plan 2020-2025 and the UK FCO's aim of the GFCP; and b) the outputs and the expected accomplishment as presented in the Project Document (ref. Chapter 2). The remaining text in the results chain was prepared by the evaluator and is inspired by the expressed intents in various documents and will be subject to further refinements.

Revised project objective and outcomes: The revised project objective and outcomes were derived from the reconstructed results chain presented in Annex 5. The evaluation of the Strategic Development Phase was based on a revised immediate project objective that reflect the warranted situation at the end of the Project and the ensuing outcomes, but which are fully consistent with the Project's intent. The immediate project objective was proposed as follows: "Project concepts and capacity developed for the transformation of the 'built environment' (see Box 3.1) that will contribute to improved prosperity and quality of life for urban residents in programme cities and globally". The project outputs as elaborated in the Project Document (ref. Chapter 2) are likely to generate other outcomes in addition to the Expected Accomplishment (see Figure 3.1). Outcome 1 is identical to the expected accomplishment.

31 UNEG. June 2016. Norms and Standards for Evaluation
32 The OECD/DAC criteria have specific definitions for each criterion.
33 UN-Habitat. January 2013. Evaluation Policy.
34 UN-Habitat. September 2015. Revised UN-Habitat Evaluation Framework.
35 UN-Habitat. 2018. Evaluation Manual.

Box 3.1: Built environment definition.

The term 'built environment' refers to the human-made surroundings that provide the setting for human activity, ranging in scale from buildings and parks or green space to neighborhoods and cities that can often include their supporting infrastructure, such as water supply, or energy networks. The built environment is a material, spatial and cultural product of human labor that combines physical elements and energy in forms for living, working and playing. It has been defined as "the human-made space in which people live, work, and recreate on a day-to-day basis". The "built environment encompasses places and spaces created or modified by people including buildings, parks, and transportation systems". In recent years, public health research has expanded the definition of "built environment" to include healthy food access, community gardens, "walkabilty", and "bikability".

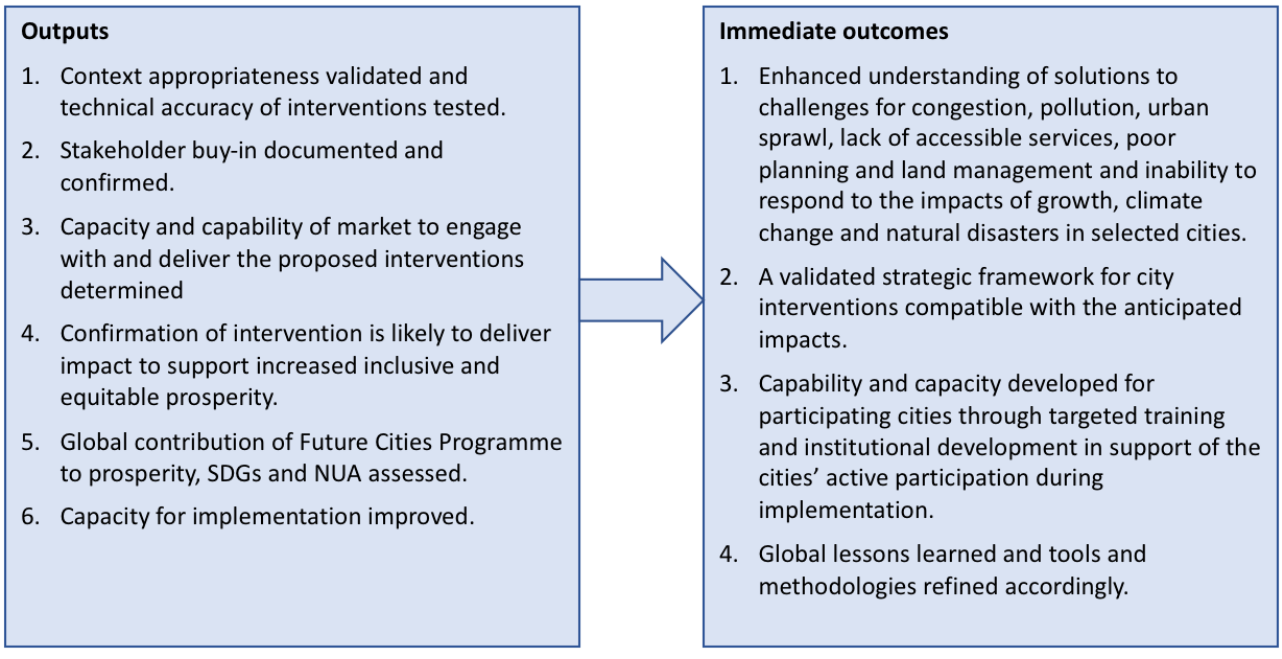
Source: Definitions & Translations.

Objectives are generally not indicated in the presentation of the ToC, which focuses on the results (outputs, outcomes and impacts). The objectives are, however, essential for describing the warranted development scenario which provide the framework for the results chain. It is thus important that the hierarchy of objectives (immediate and intermediate objectives for the Strategic Development Phase and the Implementation Phase respectively as well as the global development objective) correspond well to what can realistically be achieved with the given resources applied in the given context. For each set of outcomes there are a corresponding set of explicit outputs that are normally not shown in the ToC diagram.

Like the Global Future Cities Programme itself, the ToC has a global dimension and local dimensions. The timeframe for the global ToC is long-term where impacts are anticipated to gradually evolve over the next 10-15 years as consequences of the SDGs (2030), the Addis Ababa Action Agenda, the Paris Agreement, the Sendai Framework for Disaster Risk Reduction (2015-2030), and the New Urban Agenda (Habitat III 2016-2036). The global component of GFCP will contribute to the long-term process with the accumulated experience from the support to the 19 cities, which will be complemented with other global experiences.

The Implementation Phase for the selected interventions/ projects was subdivided into three sub-phases: a) Planning and Design Phase with a duration of 2-3 years; b) Build Phase with a duration of 3-7 years; and c) and Operation and Maintenance Phase with a duration of 7-15 years. Generally, operation and maintenance (O&M) – and rehabilitation – would be required throughout the 'design life' of an intervention, the duration of which depends on the performance of O&M, which would be crucial for the intervention's sustainability. The duration for the specific city intervention varies according to the nature and complexity of the intervention and the resource availability. The Planning and Design Phase will

Figure 3.1: Outputs' potential contributions to outcomes.



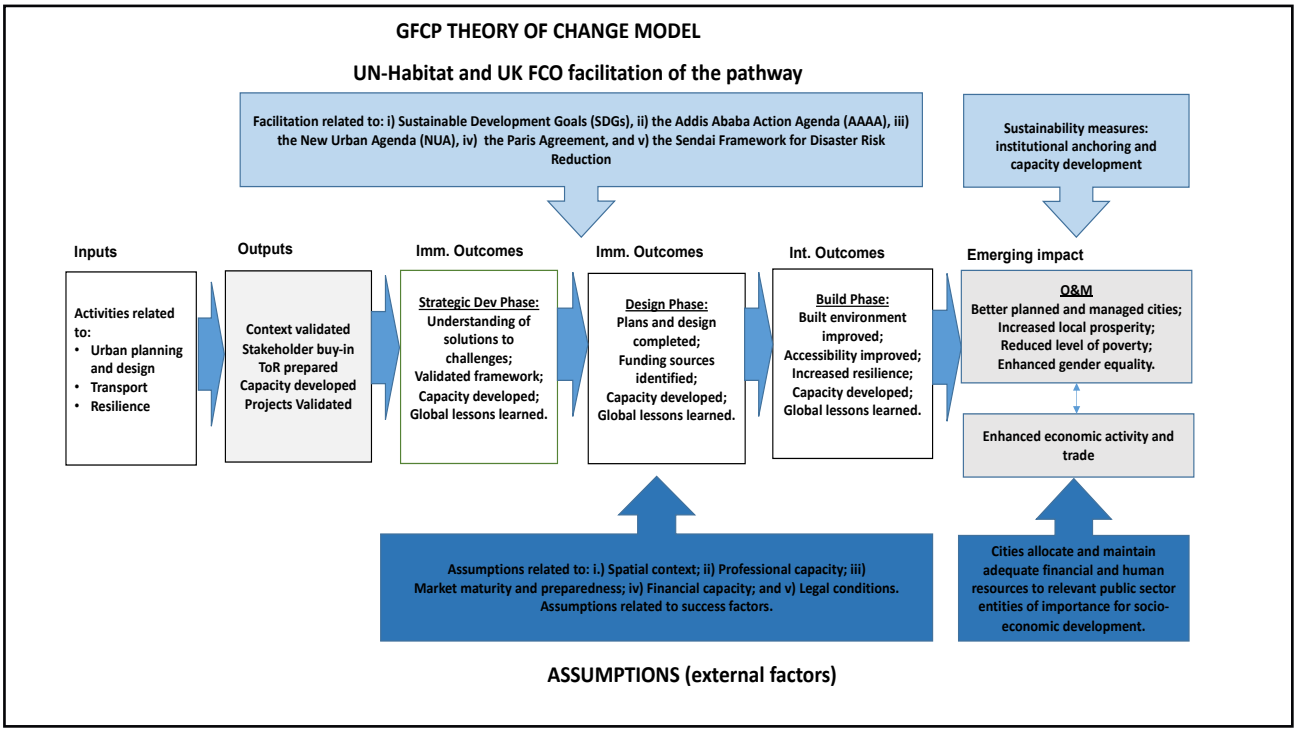
be funded by UK FCO, but the funding sources for the Build Phase have not yet been identified. Ideally, funding sources for the Build Phase should be identified during the Planning and Design Phase. It is anticipated that following the Build Phase, a formal handover of the completed intervention will be made to the proper city authority, which will then be responsible for operation and maintenance including the recurrent costs. The anticipated impact will begin to materialise after completion of the intervention. ToCs for each of the identified 30 interventions/project can correspondingly – like the global ToC – be reconstructed, but with much more information as generated during the Strategic Development Phase. A model for developing ToCs for the interventions is presented in Annex 5, which to a large extent can be prepared based on existing information in the CCR, ToR and TVA.

A simplified diagram for a ToC model for GFCP is presented in Figure 3.2. The GFCP is a complex programme that will be planned and implemented in different contexts, institutional set-ups and systems with diverse stakeholders and broad objectives not yet clearly defined. Each intervention will have its own causal pathway that will mainly consist circular feedback loops.

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

The timeframe for the city ToCs is 12-25 years where outcomes will start to materialise during the Planning and Design Phase and impacts will emerge at the end of the Build Phase and beyond. Outcomes and impacts will vary significantly between the cities as a consequence of varying contexts (incl. barriers and drivers) and resource availability. The city ToCs should ideally be seen as a continuum of the Strategic Development Phase and the Implementation Phase. Real changes of the built environment and citizens livelihood will mainly occur after the Build Phase. The Strategic Development Phase was important for mobilising the cities' engagement in and their commitment to the proposed interventions.

Figure 3.2: Theory of Change Model for GFCP



Note: Immediate (Imm.); Intermediate (Int.)

Impact projections: A paper on "Assessment framework for measuring economic success" was drafted to enable a wider set of policymakers to learn from the GFCP experiences and to guide the further preparation of identified city interventions in order to optimise the potential impacts expected to be achieved from the investments. The paper seeks to highlight 'key impact evaluation' best practices and key gaps of cities research and to provide a framework for strengthening the evidence base for policy change in middle-income countries. Building an assessment framework for measuring economic success prior to the interventions taking place is an essential first step in understanding which potential benefits the cities may receive from the interventions under the GFCP.[36]

3.2 EVALUATION QUESTIONS AND MATRIX

The evaluation questions were structured under the basic five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability. The sequence of the criteria was arranged to reflect the Theory of Change (ToC) approach, i.e. output, outcome and impact. The ToR presented 22 evaluation questions (EQs). Some of the EQs were found to be overlapping and the number was subsequently reduced to 19 EQs (see notes to the Evaluation Questions below) – with the intent of not changing the scope of the ToR EQs. The EQs were arranged in an 'evaluation matrix' with indicators and means of verification, see Annex 6.[37]

3.3 METHODOLOGY

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

- Evaluation Reference Group
- UN-Habitat HQ management
- UN-Habitat GFCP project management
- UN-Habitat regional and country offices
- UK FCO HQ and focal posts
- IGC staff
- UKBEAG staff
- Local City Specialists
- City authorities (and local stakeholders)

The methodology was composed of tasks that facilitated the validation of findings through a triangulation process. Based on the findings from the document review, the triangulation comprised findings from interviews/ questionnaire survey targeting stakeholders who drew the identification and validation process. The main features of these tasks were:

- Desk review of relevant GFCP documents;
- Semi structured interviews with UN-Habitat management, Project management, UK FCO, IGC and UKBEAG staff. Questionnaire surveys targeting city authorities;
- Focus group meetings with the Project staff to validate the evaluator's preliminary findings and to assess the degree of consensus on strategic issues;
- Discussions with the ERG concerning the draft Inception Report and the draft Evaluation Report to ensure the relevance of conclusions, lessons learned and recommendations for the Strategic Development Phase and the subsequent Implementation Phase;
- Questionnaire survey targeting the city authorities. A summary of the questionnaire survey is attached as Annex 7;
- Eight case studies selected among the 30 interventions, which included interviews with FCO posts and Local City Specialists. A synthesis of the eight case studies and interviews is attached as Annex 8.

A sample of eight interventions was selected for in-depth assessments. The criteria for the selection of the sample intervention relate to country/region, pillars, success rates, and market maturity and professional capacity, see Table 3.2.

3.4 LIMITATIONS TO THE EVALUATION

The evaluation of the Strategic Development Phase was characterised as a "Rapid Evaluation", suggesting a timewise limitation.[38] Except for the visit to UN-Habitat in Nairobi and to UK FCO, IGC and UKBEAG in London, the evaluation assignment did not include visits to any of the cities, which posed a limitation to acquisition of adequate evidence on outputs and outcomes at the city level stemming from the Strategic Development Phase, and the city authorities' expectations as regards benefits and impact. Except for group meetings with the ERG and the GFCP Project team, no other group meetings were held, which may limit the validation of findings.

36 IGC. November 2018. Assessment framework for measuring economic success in transport, land-use planning and resilience interventions.

37 Judgement criteria by question have not been developed as the questions are already quite detailed.

38 UN-Habitat Project Document, Section 3.9, p. 29; where it is also indicated that "The results will be used to design the much larger and long-term second phase of the Programme, which will be evaluated per UN-Habitat policy".

The lack of opportunity to meet with the primary target group – due to time and travel constraints[39] – was compensated by interviews on Skype/phone and a questionnaire survey – supported by information from the desk review – and thus helped generate useful circumstantial evidence. The desk study was based on draft versions of the documentation dated October and November 2018 or before.

39 The evaluation has been allocated 40 workdays for one evaluator.

Table 3.1: Evaluation Questions

Evaluation Questions	
Relevance	
1.	To what extent are the objectives of the project consistent with national goals, policies and strategies, and urban development plans?
2.	To what extent is the project implementation strategy responsive to SDGs, New Urban Agenda and strategies of UN-Habitat?
3.	To what extent are the project's intended outputs and outcome relevant to the needs of cities, local authorities and citizens?
4.	To what extent were vulnerable groups included in the project design and implementation?
Efficiency/ Outputs	
5.	How well was the project designed and implemented, and were resources efficiently utilized? NB: "Project" refers to UN-Habitat's assignment as opposed to the GFCP projects/interventions.
6.	To what extent were the institutional arrangements adequate for achieving the project's expected outputs and outcome?
7.[1]	To what extent have internal and external obstacles (administrative, financial and managerial) affected project delivery of outputs and achievement of the expected outcomes?
8.[2]	To what extent was the project delivered in a cost-effective manner?
9.[3]	To what extent has monitoring and reporting on the implementation of the project been timely, meaningful and adequate?
Effectiveness/ Outcomes	
10.	Did the project achieve the intended outcomes during the Strategic Development Phase as per the project design?
11.[4]	To what extent have city level stakeholders been involved in the identification of and reporting on the interventions?
12.	How has the project been able to partner and collaborate with other stakeholders to achieve the project objectives?
13.[5]	How well did the project management adapt to changes during the implementation and what were the main lessons learned?
14.	To what extent were cross-cutting issues of gender, youth, climate change, and human rights integrated into the identification and validation process and in the reporting and monitoring of the project?
Impact/ impact outlook	
15.[6]	To what extent are the identified interventions likely to attain or not their objectives and expected results – or even negative effects due to non-contained risks (short, medium and long-term) related to partners and targeted beneficiaries, whether citizens, participating cities and local authorities?
Sustainability and sustainability of approach	
16.	To what extent and in what ways has the ownership by city level stakeholders enhanced the project's sustainability?
17.	To what extent will the city-level activities be replicable or scaled up at national, regional or local levels or encourage further collaboration and exchange between stakeholders?
18.	Are the systems and capacities in place to ensure the project results are sustained?
19.[7]	Is the project seen as being innovative and would the project be replicable in other middle-income countries with support from development partners?

Comments to the evaluation questions in the Evaluation's ToR, Section 5:

1. The second question in bullet 2 (Efficiency) has been formulated as a separate question. EQ7 above was found to cover the bullet 2 question (Effectiveness) which is therefore not included.
2. EQ8 above was found to cover the bullet 3 question (Effectiveness) which is therefore not included.
3. The bullet 4 question (Efficiency) has been replaced by bullet 7 question in (Effectiveness).
4. EQ11 above was found to cover the bullet 1 question (Sustainability) which is therefore not included.
5. EQ13 above covers the bullet 6 question (Efficiency) but has been reformulated.
6. EQ15 above was found to cover the bullet 5 question (Effectiveness) which is therefore not included.
7. New EQ added related to the evaluation objectives (ref. ToR Section 3).

Table 3.2: Case study sample

City	Country	Region	Pillar	Success Rate	Maturity/capacity
Belo Horizonte	Brazil	Latin America	Transport	71%	Medium
Durban	South Africa	Africa	Planning	74%	High
Abeokuta	Nigeria	Africa	Transport	34%	Medium
Ankara	Turkey	Asia	Planning	71%	Medium
Yangon	Myanmar	Asia	Resilience	42%	Low
Bandung	Indonesia	Asia	Transport	58%	Medium
New Clark City	Philippines	Asia	Planning	47%	Medium
Ho Chi Minh	Vietnam	Asia	Resilience	42%	Medium to High

4. FINDINGS ON PERFORMANCE AND ACHIEVEMENTS

This Chapter is informed by the desk review of documents consulted, the questionnaire survey, the case studies and interviews. In order to distinguish between the UN-Habitat Project and the city level projects/interventions the term 'intervention' is consistently applied for the city level. Section 4.1 summarise the achievements of outputs and outcomes and Sections 4.2 – 4.6 relate to the evaluation questions.

4.1 ACHIEVEMENTS OF THE STRATEGIC DEVELOPMENT PHASE

Outputs

The GFCP's outputs as defined in the Project Document (ref. Chapter 2) are: 1) Context appropriateness validated, and technical accuracy of interventions tested; 2) Stakeholder buy-in documented and confirmed; 3) Capacity and capability of market to engage with and deliver the proposed interventions determined; 4) Confirmation of intervention is likely to deliver impact to support increased inclusive and equitable prosperity; 5) Global contribution of Future Cities Programme to prosperity, SDGs and NUA assessed; and 6) Capacity for implementation improved. An overview of the achievements by output is presented below:

Re. 1: The elaboration of the interventions' context in the CCRs and ToRs has been validated by key city stakeholders through a consultative process. Correspondingly, the city stakeholders have validated the scope and substance of the interventions. The technical viability of the interventions has been assessed related to the conceived barriers for implementation – showing a large variation in success rates from low to high.

Re. 2: Stakeholder buy-in for the identified interventions is high among the city authorities and key city stakeholders as confirmed through the questionnaire survey and the validation process. The targeted beneficiaries have only been indirectly involved in the consultations.

Re. 3: The capacity and capability of the market have been determined, which was one of the factors of the technical viability assessment. Like the other factors, there is great variation indicating varying capacity from low to high. Low market capacity will in particular be a challenge during the Build and O&M phases.

Re. 4: A large majority of city authorities anticipate that the interventions will have the intended impact and thus contribute to increased inclusive and equitable prosperity. The level of impact will depend on the degree to which the low and partly medium barriers can be overcome through complementary measures, while also bearing in mind that population growth demands additional resources.

Re. 5: The GFCP contributions to prosperity, the SDGs and NUA have been assessed as elaborated in the CCRs and ToRs. The prospects for significant contributions will in all likelihood exist, especially for resourceful cities, which nonetheless could encounter unforeseen and negative external factors that may radically change the context and the impact.

Re. 6: The cities' awareness of the crucial importance of having adequate capacity and of maintaining this has been fully recognised through the dialogue with the UN-Habitat team (including the training week in London in September 2018). Capacity development will be an important component of the Planning and Design Phase for promoting the cities' active participation in planning and design and for the further implementation.

Overall, the six outputs have been achieved during the Strategic Development Phase, but the barriers and uncertainties for achieving the longer-term impact have also been pointed out.

Outcomes

In Chapter 3 it was argued that the Project has four immediate outcomes/ expected accomplishments: 1) Enhanced understanding of solutions to urban challenges; 2) A validated strategic framework for city interventions; 3) Capability and capacity developed for participating cities to enable their active participation during implementation; and 4) Global lessons learned. An overview of the achievements by outcome is presented below:

Re. 1: The cities' active engagement during the identification and validation process has clearly demonstrated an increased understanding of how challenges can be addressed in relation to the proposed interventions.

Re. 2: The strategic framework as outlined in the Project Document with the three pillars and further expanded with the cluster concept constitutes the overall strategic framework which formed the basis for identifying and validating the city level interventions. Subsequently, all cities have since then validated their proposed interventions.

Re. 3: Capability among city staff officials has been consolidated and some capacity developed for their future role in implementing the interventions. There is a great variation in the cities' existing planning, management and implementation capacity with some cities having very competent staff and others in need of substantial capacity development. The extent to which adequate capacity is in place needs to be assessed in the further implementation process – and should be further augmented if need be. The dialogue with city authorities on capacity development has created awareness of the importance of this matter.

Re. 4: A first version of the lessons learned from implementing the Project were elaborated in December 2018.[40] The intent of this version was to carry over the lessons learned to the Implementation Phase. These lessons mainly relate to the process and less to the substance of the three pillars. The IGC policy papers deal with the global perspective, and elements from these papers combined with the practical experience from the city interventions could highlight the global lessons learned in relation to the GFCP – with due attention to how these could be replicated globally or inspire similar interventions in country.

Overall, the four outcomes were achieved within the tight timeframe of the Strategic Development Phase and have established the point of departure for the Implementation Phase. The strategic framework for the city interventions will over time be influenced by external factors – all of which cannot be controlled by the city authorities – indicating the need for regular review/ assessment of the evolving context with a view to ensuring the continued relevance of the interventions through corresponding amendments. Capacity development is a long-term endeavour and should be emphasised throughout the Implementation Phase. Consolidated lessons learned combining process and substance from the Strategic Development Phase would be a useful contribution to the further implementation process.

40 UN-Habitat. December 2018. Lessons Learned & Key Recommendations for Phase 2.

4.2 RELEVANCE OF PROPOSED CITY INTERVENTIONS

Relevance to national and local policies, strategies and plans

The Project objective as stated in the Project Document is "to identify strategic interventions in 19 cities as part of the Strategic Development Phase of The Prosperity Fund Global Future Cities Programme". Expressed in this way there is no direct explicit reference to national and local policies, strategies and plans. The proposed interventions are, however, generally consistent with national and local policies, strategies and plans to the extent that such exist, are applicable to the interventions and are deemed appropriate.

The case study sample indicates that the interventions – to the extent possible – aim at being aligned with national, regional and local policies, strategies and plans. However, the governance contexts for the interventions are very diverse. Some cities have limited autonomy and are subject to the authority of national or regional bodies and have limited decision-making powers of their own, a situation which is further exacerbated when neither masterplans nor sector plans have been developed. In contrast, other cities have a high degree of autonomy and have masterplans and sector plans in place that provides the development framework for the interventions. In one case, a comprehensive sector plan has been developed and approved, but implementation suffers from complex coordination mechanisms and lack of funding.

All questionnaire respondents strongly agree (20/69%) or agree (9/31%) that the proposed interventions are consistent. So implicitly, the Project is overall consistent with national and local goals, policies and strategies. One respondent expressed that the intervention reflected what was most needed and had yielded the need for a cohesive, long-term and strategic approach. Another respondent expressed that economic and systematic solutions must be found to address the challenges of rapid urban growth.

Responsiveness to SDGs, the New Urban Agenda and strategies of UN-Habitat

The Project Document refers specifically to SDG 11 and selected targets (ref. Table 2.1). The Case Study Sample (eight interventions, ref. Table 3.2) presents many combinations of the SDGs with the implication that all SDGs are referred to at least once and up to eight times, see Table 4.1. The SDGs most frequently referred to are SDG 3, SDG 5, SDG 8, SDG 9, SDG 11, SDG 16 and SDG 17.

Table 4.1: GFCP contribution to the SDGs.

SDGs	Goal	No*
SDG 1	End poverty in all its forms everywhere.	4
SDG 2	End hunger, achieve food security and improve nutrition and promote sustainable agriculture.	1
SDG 3	Ensure healthy lives and promote well-being for all at all ages.	7
SDG 4	Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.	2
SDG 5	Achieve gender equality and empower all women and girls.	6
SDG 6	Ensure availability and sustainable management of water and sanitation for all	2
SDG 7	Ensure access to affordable, reliable, sustainable and modern energy.	2
SDG 8	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.	8
SDG 9	Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation.	8
SDG 10	Reduce inequality within and among countries.	4
SDG 11	Make cities and human settlements inclusive, safe, resilient and sustainable.	8
SDG 12	Ensure sustainable consumption and production patterns.	2
SDG 13	Take urgent action to combat climate change and its impacts.	5
SDG 14	Conserve and sustainably use the oceans, seas and marine resources for sustainable development.	1
SDG 15	Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss.	2
SDG 16	Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective and accountable and inclusive institutions at all levels.	6
SDG 17	Strengthen the means of implementation and revitalize the global partnership for sustainable development.	8

Note: *Number of times a reference has been made to the SDG in the CCRs and ToRs in the Case Study Sample, ref. Table 3.2.

The CCRs and ToRs relate to the "Action Framework for Implementation of the New Urban Agenda (AFINUA) rather than to the specific NUA paragraphs. The purpose of the AFINUA is to outline the basic ingredients for the implementation of NUA. The 35 AFINUA key elements are divided into five major groups: 1) National urban policies; 2) Urban legislation, rules and regulation; 3) Urban planning and design; 4) Urban economy and municipal finance; and 5) Local Implementation. The principles of participation and governance cut across all key elements. Virtually all key elements require political buy-in to be activated, without which they would only exist hypothetically. Transparency must serve as the guiding principle if they are to avoid the undermining influences of corruption." Each key element refers to a set of NUA paragraphs.[41]

The key element referred to in the CCRs and ToRs for the case study cities are listed in Table 4.2. The NUA paragraphs of the mentioned key elements covers more widely than those stated in the Project Document. It is mainly the key elements (3.3, 3.4, 3.5 and 3.6) of the AFINUA 'Urban planning and design group' that link up to the NUA paragraphs mentioned in the Project Document. (see Table A9.1 in Annex 9).

41 UN-Habitat. April 2017. Action Framework for Implementation of the New Urban Agenda.

Table 4.2: AFINUA key elements by case study city.

City	Pillar	AFINUA key elements
Belo Horizonte	Transport	3.1, 3.3, 3.4, 4.4, 4.5, 5.4 and 5.5
Durban	Planning	1.4, 1.6, 3.1, 4.2, 4.4, 4.5, and 5.4
Abeokuta	Transport	4.1, 4.2 and 4.4
Ankara	Planning	1.4, 1.6, 2.3, 3.1, 3.3, 3.4, 3.5, 4.5, and 5.6
Yangon	Resilience	2.2, 2.3, 2.4, 3.1, 3.5, 3.6 and 5.2
Bandung	Transport	2.3, 3.4, 4.2, 4.5 and 5.4
New Clark City	Planning	2.2, 2.3, 2.6 2.7, 3.1 3.3, 3.4, 3.5, 3.7 and 4.1.
Ho Chi Minh	Resilience	2.2, 2.9, 3.2 and 5.4

The ToR for the evaluation state that the criteria of partnerships will also be applied. The partnership criterion is indirectly mentioned in the Project Document: "Agenda 2030 and the New Urban Agenda provide a strong framework for ensuring sustainable development. The transition from formulation to implementation requires bold action which in turn requires coordinating policy on multiple fronts and forming of new partnerships

…" (ref. Project Document, Section 2.5, p.11). The UN-Habitat Partnership Strategy is not mentioned in the Project Document. The Partnership Strategy aims to: serve both as a vehicle for strategic pollical engagement with member states and the UN System; mobilise stakeholder engagement at various levels; be adopted as a tool for effective implementation; and scale-up UN-Habitat programmes and resource mobilisation among existing and prospective donors.[42] The NUA paragraphs mentioned in the Partnership Strategy are only partly covered by the chosen AFINUA key elements (see Table A9.1 in Annex 9).

The case study sample indicates that the responsiveness to SDGs and AFINUA key items is reflected differently in the CCRs and ToRs. Generally, the CCRs have a wider coverage of SDGs and AFINUA key items than in the ToRs. In some cases, the AFINUA key items are not mentioned in the ToRs. In one case reference is made to all 17 SDGs in the ToR. The CCRs have a quite deliberate overview of "Potential Impact and Programme Objectives Alignment" indicating potential benefits by sub-phase – that could be achieved hypothetically – with due reference to SDG targets, AFINUA key items, and Programme objectives and cross-cutting issues. Generally, the 30 city interventions relate more broadly to the SDGs and the NUA – by being 'referred' to in the CCRs and ToRs – than described in the Project Document.

Relevance of outputs and outcomes to the needs of cities, local authorities and citizens

The desk review of the intervention documents denotes that the interventions have been conceived based on a thorough analysis of the local contexts and consultations with city stakeholders confirming the relevance of the interventions in meeting local needs. The case study sample indicates that the identified interventions generally are relevant to the needs of the cities and its residents and the local authority. Some interventions have city-wide relevance, whereas others are area specific. The area specific interventions may be replicated in other parts of the city. The degree of relevance is relatively higher for low-income groups as their needs are greater. The continued relevance of the interventions will eventually be determined by the extent to which they are implemented, and potential benefits achieved, as all barriers may not be fully overcome – which in particular may be the case for cities having a high level of barriers.

The questionnaire respondents either strongly agree (22/76%) or agree (7/24%) that the interventions are relevant. So implicitly, the Project is overall relevant provided that resources can be adequately mobilised for implementation, which for some of the cities will be a challenge. One respondent expressed that the intervention will benefit a large proportion of the city's and the metropolitan region's citizens; another expressed that the intervention reflects the voice of the city stakeholders.

Inclusion of vulnerable groups in the project design and implementation

The vulnerable groups are included through due reference to SDGs, NUA paragraphs and the cross-cutting issues. The impression, however, is that the vulnerable groups have not participated directly in the identification process, which given the limitation of time during the identification process might be understandable. A further complication is that in some countries, the central government and local governments are hesitant about direct engagement of the target beneficiaries, unless procedures for doing so have been clarified and agreed in advance. Nonetheless, if the ultimate objective of sustainable urbanisation is to be met, a higher degree of beneficiary analysis and participation would be warranted throughout the interventions' lifecycle.

The case study sample confirms the inclusion of vulnerable groups in the intervention design, but this has been expressed to varying degrees in the intervention documents – from being very explicit to being somewhat implicit by referring to the relevant SDGs and AFINUA key items. It appears that limited direct consultations have been conducted with vulnerable citizens, so their needs and interests have mostly been expressed by the city key stakeholders and NGOs. The composition of the interventions' consulting teams for the Planning and Design Phase includes few social scientists and in three cases none, which may hamper a more optimal inclusion of the vulnerable groups.

4.3 EFFICIENCY OF THE STRATEGIC DEVELOPMENT PHASE

Project design, implementation and utilization of resources

The overall framework for the Project was determined by the UK FCO Scoping Study. Initially, 40 interventions were identified, which were narrowed down to 30 interventions in 19 cities in 10 countries. UN-Habitat made an initial review of the 40 indicative interventions in 2017 with the result that some were changed, amended, merged, replaced, etc. reducing the number to 30. The timeframe was initially 8 months (April to

42 UN-Habitat. March 2017. UN-Habitat Partnership Strategy.

November 2018), which has been extended to 12 months ending in March 2019 by adding the Transition Phase. The magnitude of the Project within the given timeframe has been quite a challenge for the Project team.

The phasing of the interactions between the Project team and city authorities – in mainly three batches – enabled the core team at UN-Habitat HQ to spread its inputs. The in-country staff could devote their inputs in a concentrated manner. The identification and validation process by city was planned to take four months, but due to the limited timeframe it was only planned to have one month of space before commencing the next batch – implying that the batches of cities were attended to in parallel for a major part of the Project duration. At the peak – mid-year 2018 – interactions with all cities took place simultaneously.

There were some variations in how the perspectives of the UK FCO scoping studies were contained in the subsequent identification process: in some cases, there were a continuation of the considerations, whereas in others the interventions deviated significantly from the initial scope. The charrettes were important for inviting stakeholders' views and establishing the interventions' framework and substance. Correspondingly, the validation workshop was important for the cities' acceptance and subsequent approval of the ToR. Some cases involved several categories of stakeholders with varying perceptions making the identification and validation more complex. In most cases the interaction with the city authority was constructive. However, in a few cases the city authority was hesitant and not immediately forthcoming – one reason being that they expected more tangible results than what was being proposed. In some cases, it took some time before the intervention concept was in place, leaving limited time for the preparation of the CCR and the ToR within a timeframe that was already tight.

The FCO posts were instrumental in contacting senior city officials, resolving critical issues in relation to the city authority and for facilitating the identification process. The local city specialists (LCSs) were essential for conducting the identification and concluding the intervention framework. The LCSs were mainly recruited in country/city with substantial knowledge of the local context, good professional networks and previous experience from assignments in the city. Understanding of the local political context was found to be essential for conceptualisation of the intervention and achieving consensus among political and administrative leaders. The Project team's tasks were intended to follow a structured sequence, but in some cases, this was not always achieved due to time constraints – creating some confusion about the respective roles of UN-Habitat, UKBEAG, IGC and the LCSs. More information on the set-up, division of tasks and required flexibility for the identification process early on might have provided the city authority with a better understanding of the adopted approach.

The general sentiment was that the identification and validation process was well conceived.
The identification and validation process applied a step-by-step approach enabling the city authorities to take ownership and contribute to the proposed intervention. Overall, the Project was satisfactorily designed and implemented, and resources were efficiently utilized.

Adequacy of the institutional arrangements for achieving the Project's outputs and outcomes

As a 'neutral agency', UN-Habitat's role for providing technical assistance was regarded as being objectivity based. In countries where UN-Habitat did not have country office it was seen as a disadvantage not being able to draw on national and institutional experience. In countries where UN-Habitat had offices, logistic support was provided to assist the Project core team, but in some cases more professional support within the thematic pillars was warranted. The GFCP Project team was composed of a core team at UN-Habitat HQ, UN-Habitat regional and country team members, local city specialists, UKBEAG professionals and IGC academics. The consortium partners were assigned specific tasks but attempted to complement one another when specific need for technical expertise was required. The cities had in some cases expressed that more IGC inputs on certain disciplines would have been desirable.

The conduct of the charrette and the validation workshop was considered a beneficial approach for achieving city stakeholders' buy-in. Buy-in from higher level officials was in some cases difficult to obtain as the handling of matters relating to the intervention was delegated to middle-level management, whereas delegation to the city level managers in a few other cases was limited. The cities generally assigned a technical department as the focal point for interaction with the Project team; however, some cities had initially difficulties in mobilising the right staff to be in charge of communicating the city's interest and in providing adequate technical back-up. The feedback to the Project team on the CCR and ToR was mainly provided by the technical departments – in some cases, the technical departments contributed significantly to the elaboration of the ToR. The interventions' CCR and ToR were mainly finalised by end of 2018. Some ToRs were refined during the Transition Phase.

The ToRs were approved by the 'proper authority', which could either be a state or regional government, a development authority, the local government authority or a technical department.

The Strategic Development Phase was intended to be concluded by facilitating a Memorandum of Understanding (MoU) between the city authority and UK FCO concerning the mutual responsibilities and obligations when the intervention progresses into the Implementation Phase. MoUs were prepared in some forms and with some level of detail. Some of the MoUs are likely to be reviewed and updated during the Implementation Phase reflecting the level of progress of the intervention. The consent from the central government in some form may be required in addition to the MoU/agreement made with the city authorities.

The composition of the Project team has enabled that the international experience has been combined with local experience and that an appropriate dialogue with city authorities has taken place to fine-tune the scope of the interventions. Having in-country personnel – FCO posts, UN-Habitat country officers and local city specialists in place has been a great advantage. The institutional arrangements have appropriately exploited the availability of local staff resources and promoted constructive interactions with the city authorities. The institutional set-up with a core team and in-country teams has been an efficient arrangement for delivering the Project outputs and achieving outcomes.

Effect of internal and external obstacles on delivery of outputs and achievement of outcomes

The nature of the Project required recruitment of a number of Project staff and frequent travel arrangements. The internal UN-Habitat procedures for recruitment and travel arrangements are not conducive for swift and flexible action for large and complex projects. The UN-Habitat procedures have a detailed approval system to ensure that funds are appropriately allocated and spent, but at the cost of flexibility for urgent and large-scale actions. The Project staff nonetheless coped with the bureaucratic challenges and compensated the challenges with their dedication and motivation for successful implementation of the Project. However, internal obstacles concerning contracts and travel arrangements have led to substantial frustrations among the Project team. Other internal barriers were mainly concerned with the tight time schedule and in mobilising the right type of expertise at the right time, which as mentioned above caused some confusion.

External barriers were in some cities mainly concerned with some initial hesitance on the intervention's scope, difficulties moving from abstract concepts to concrete interventions, and lack of adequate capacity to enter into a cooperating partnership. In cases with many stakeholders having different commercial and political interest it was a challenge to reconcile the differences pertaining to the intervention. In one case elections were held during the identification phase which disrupted the work that had to be taken up again. In other cases, the cities encountered communication problems among their various departments.

The delivery of outputs and achievement of outcomes have not to any large extent been affected by internal and external obstacles. The consistency of the evidence gathered on drivers and barriers for the intervention cycles has suffered somewhat from the limited time available for more in-depth analysis. Evidence-based planning and design remains essential for achieving sustainable impact. Despite the various shortcomings all ToRs were finalised and approved.

Cost-effectiveness of Project execution

The breakdown of the Project budget is shown in Table 2.8. The personnel costs are USD 2,374,128 if the transfer to implementing partners (UKBEAG and IGC) is included. The personnel cost is 71.7% of total budget, the operational costs USD 15.8%, and support services cost 12.5%.[43] The ratio of operational costs (operations, equipment and travel) is relatively low – one possible reason being the low travel costs in consequence of a high share in in-country staff. The average personnel costs per intervention is USD 79,138 and the average operational costs USD 17,383. The Project is found to be delivered in a cost-effective manner.

Adequacy of Project monitoring and reporting

Monthly Brief Narrative Reports have been submitted to UK FCO since May 2018. The Monthly Narrative Reports provide an overview of the main events including the conduct of charrettes, validation workshop reports, CCRs, ToRs and technical viability reports. All of these have been prepared and submitted. Monitoring of Project's progress relates to submission of city level reports. Global policy papers for the pillars and cluster have been prepared - although some of the cluster papers are incomplete. One cluster paper has recently been updated, basically the same text but with an improved and more readable layout.[44] The cluster papers

43 Since the addendum has not been broken down to staff, travel and support services the percentages are slightly distorted.

44 IGC. January 2019. Key considerations for integrated multi-modal transport planning.

are not formal deliveries but were prepared to form part of the knowledge generated during the Strategic Development Phase.

The charrettes and validation workshops were very important in moving the identification process forward. Whereas the charrette was attended by a wider group of stakeholders, the validation workshops were generally attended by smaller audiences of mainly key city stakeholders. Coordination sessions between UK FCO and the Project management took place on a weekly basis. The FCO posts and the LCSs had frequent sessions to resolve occurring issues. The LCSs had weekly conversations with core team members at UN-Habitat HQ; and FCO posts had monthly meetings with UK FCO HQ. Besides the regular meetings, ad-hoc meetings were held when urgent issues needed to be resolved. The reporting mechanisms were generally found to be appropriate; and monitoring and reporting were found to be satisfactorily conducted and meaningful.

4.4 EFFECTIVENESS IN CREATING THE PROGRAMME STRATEGIC FRAMEWORK

Achievement of the intended outcomes as per the Project design

As elaborated in Chapter 3, three more outcomes were added to the expected accomplishment due to the Project's output composition (ref. Figure 3.1). The achievement of outcomes is dealt with in Section 4.1. Overall, the Project has achieved the main outcomes of 'enhanced understanding' and a validated strategic framework. The extent to which adequate capacity is developed is for good reasons somewhat uncertain as the interventions still have to be finally formulated during the Planning and Design Phase. The case study sample indicates that the outcomes related to the cities have generally been achieved as follows: 1) Enhanced understanding of the challenges and solutions addressed by the intervention have been achieved; 2) Validated frameworks for the intervention have been developed; and 3) Awareness on the capabilities and capacity required to implement the intervention has been created. The prospects for further development of capacity depends among others on the cities' governance structure and degree of autonomy. In cases with a hierarchy of decision-makers and complex approval procedures, it may prove difficult to mobilise adequate capacity.

The 'Transition Training and Dialogue Week' in London was well appreciated – 20 of the respondents participated in the training week, 13 (65%) of whom strongly agree and 7 (35%) agree that the training proved valuable for sharing of experiences and exposing good practices (9 of the respondents did not participate in the training week in London and did thus not offer an opinion). The respondents expressed that new ideas were conceptualised and added to the proposed interventions; and that the training week was a valuable experience getting to know how challenges and solutions in one of the most diverse cities in the world.
The fourth outcome "Global lessons learned" has been largely achieved. The global lessons learned consist of: 1) what could be extracted from the Project specific lessons learned of global relevance; 2) the thematic policy papers; and 3) the cluster policy papers, some of which still needs to be finalised. The fourth outcome relates to the Global Component of the Project's delivery model which is intended to synthesise the knowledge accumulated during the Strategic Development Phase. As the Strategic Development Phase has come to an end it would be opportune to conclude this outcome.

City level stakeholders' involvement in the design of and reporting on the interventions

The city authorities have been fully involved in the identification process and in determining the scope of the interventions. All questionnaire respondents either strongly agree (17/59%) or agree (12/41%) that this has been the case. The city authorities have been substantially involved in the formulation of the draft ToR for their respective interventions. A number of respondents expressed that they in their respective interventions worked closely with city stakeholders as well as with key national and city stakeholder entities.

The case study sample indicates that in cities with a high degree of autonomy it has mainly been the city stakeholders that have been involved in the identification process, but frequently in due coordination with regional or national level administrations as appropriate. In cases where the regional administration has the jurisdiction over city affairs, the city stakeholders have been involved to a lesser extent. City sector managers and service providers have generally been involved to represent their respective areas of responsibility and to advise on the scope of the interventions.

The ability of the Project team to partner and collaborate with other stakeholders to achieve the Project objective

In the Project Document it is stated "The Project objective is to identify strategic interventions in 19 cities as part of the Strategic Development Phase of the GFCP". Using a results chain terminology, the Project immediate objective for the Strategic Development Phase has been reformulated to add some qualitative

substance as "Project concepts and capacity developed for the transformation of the 'built environment' that will contribute to improved prosperity and quality of life for urban residents in programme cities and globally" (ref. Section 3.1). Achievement of this objective requires multi-stakeholder consultations.

Other city level stakeholders (city service operators, the private sector, CSOs, NGOs and academia) were invited to the charrette and validation workshop sessions providing an opportunity for them to influence the scope of the interventions. Development partners were in some cases also invited if they had previously been involved in the intervention theme or shown an interest and could potentially have a role when it comes to funding of the interventions. The low-income and vulnerable beneficiaries have only been involved indirectly. Involvement of community leaders, CSOs, NGOs, academia and the private sector in the further implementation process could add value to reaching the overall objective.

The case study sample indicates that the charrette and validation workshop sessions have been an opportunity to include other city-level stakeholders (city service operators, the private sector, CSOs and academia) and in number of cases also central and regional government officials from which some cities are depending on their active involvement for implementing the proposed interventions. Interaction with other city stakeholders has also taken place in connection with the elaboration of CCRs and ToRs for the interventions. The questionnaire respondents either strongly agree (14/48%) or agree (12/41%) that the charrette session and the validation workshop were essential for the participatory process to achieve consensus among city stakeholders as regards intervention scope and substance (one respondent neither agreed nor disagreed, one disagreed, and one did not know). A number of respondents expressed that the discussions during the charrettes and validation workshops resulted in a common understanding and consensus among the participants. One respondent expressed that the validation workshop would have benefitted from more direct citizen participation.

Correspondingly, questionnaire respondents either strongly agree (10/34%) or agree (9/31%) that the charrette session and the validation workshop were essential for achieving national level support to the proposed project (five neither agreed nor disagreed, three disagreed, and one did not know). The degree of the cities' autonomy varies significantly from a high to low dependency on central/regional government support. The cities with a low dependency on the national government for implementing their interventions would not render their consent to the questionnaire's statement. Some respondents expressed that national level organisations should participate in the charrette and validation workshops when their backing and support were needed – national level support may also facilitate local council approval and may also promote replication in the country. Some respondents expressed that national stakeholders were not involved as they were not deemed relevant for the intervention. The Project has been able to partner and collaborate with other stakeholders has largely achieved the reformulated Project objective.

Project management's ability to adapt to changes during the implementation and main lessons learned

No major changes have occurred in relation to what was conceived in the Project Document. The case study sample indicates that the interventions were subject to some adjustments in the course of the validation process, but the interventions' overall scope remained unchanged. Most of the milestones as outlined in the Project Document were achieved by end of 2018. A no-cost extension of the Project period was signed on 24 October 2018 to conclude the Strategic Development Phase by end of March 2019. The four-months extension period (December 2018 to March 2019) was termed the Transition Phase focusing on three key roles that are anticipated for the Implementation Phase: 1) Programme Management including a review of the ToC and Logical Framework for the GFCP; 2) Strategic and Knowledge Management including support to economic impact assessments; and 3) Capacity Building, Legacy and Normative Outputs including an outline of capacity building for partners and cities throughout the Programme's lifecycle.[45]

Key lessons learned include the following themes:[46]

- Ensuring a gender sensitive approach;
- Overcoming language barriers;
- Avoiding general discussions on political sensitive issues in larger fora;
- Identifying a specific methodology for each intervention context;
- Political awareness and sensitivity;
- Finding synergies; and
- Learning by doing.

The lesson learned concerning vulnerable groups and gender equality is captured in Box 4.1.

45 UN-Habitat. November 2018. Proposal Transition Phase.
46 UN-Habitat. December 2018. Lessons Learned & Key Recommendations for Phase 2.

Box 4.1: Ensuring a gender sensitive participatory approach.

The basic principle of the participatory process is to include all the concerned parties. However, experiences show that usually 'silent' members of a community remain excluded from the process. These are often the most vulnerable groups (e.g. youth and women), who have different opinions, concerns, needs and priorities. Though emphasis was made to ensure a gender parity in the key events of the GFCP, it was only achieved during the charrette in Belo Horizonte.

For the Implementation Phase, a gender perspective should be more substantially integrated in the participatory tools, and specific workshops and events. For example, some events could be limited to women and other vulnerable groups. It is recommended to conduct a gender analysis and to understand the gender roles and power relations in each of the selected cities. This would provide a more equal opportunity for women to participate in the process.

Source: UN-Habitat. December 2018. Lessons Learned & Key Recommendations for Phase 2.

The project management was not confronted with major challenges concerning implementation. Two major lessons learned, however, relate to the inclusion of vulnerable groups (see Box 1 above); and the need to be context specific. The participatory process was designed to be similar in each city, but it quickly proved that the same approach does not work globally. For example, some of the interventions were political sensitive so the multi-stakeholder workshops needed to be planned carefully to ensure a constructive dialogue.

Integration of cross-cutting issues into the design, planning and implementation of the Project

The four cross-cutting issues are appropriately presented in the Project Document. Correspondingly, proper references to SDG targets and AFINUA key items are made in the city context reports and terms of reference to indicate the intent to promote the proper mainstreaming of the cross-cutting issues. However, analysis of cross-cutting issues and consultations with the respective target groups seems not to have taken place adequately during the identification and validation process. Time constraints could be one explanation for this.

The cross-cutting issues and the corresponding SDG targets are generally embedded in the interventions. The cross-cutting issues were considered to varying degrees: some cities were observant of these and that development should be linked to the SDGs, whereas others were constrained by lack of accessibility to key informants and thus unable to collect adequate evidence – with the implication that the trust of the identification was mainly on technical aspects. The three GFCP pillars have the potential to incorporate all four cross-cutting issues but the relative emphasis of mainstreaming these depends on the interventions' specific context. Some of the cross-cutting issues referred to in relation to the three pillars were:

- Urban planning and design interventions promote better integration of low-income areas and improvement of public spaces which will implicitly benefit women and youth. Urban planning should take the risk of climate change hazards into account, especially flooding by avoiding development in flood-prone areas. Urban planning also contains human rights aspects by ensuring access to low-income housing and land rights when resettlement of residents is part of the intervention.

- Transport interventions improve mobility and access to employment, education and social services and enhance safety and thus address gender and youth. Transport infrastructure should be developed, and services delivered to mitigate climate change risks. Access to appropriate and affordable transport services is an essential human rights issue.

- Resilience interventions provides protection against flooding which is partly caused by climate change but also the absence of storm-water drainage systems and thus address: climate change, gender and youth. Proper protect against flooding and climate change health hazards is an essential human rights issue.

Urban planning and transport planning could be integrated processes – which would also facilitate a better mainstreaming of the cross-cutting issues. NGOs have in a number of cases been invited to take part in the identification and validation process to, among others, facilitate adequate mainstreaming of the cross-cutting issues. In some cases, it was stated that more inputs on the cross-cutting issues would have been useful. Mainstreaming of the cross-cutting issue were seen as a process that should continue into the Implementation Phase.

The case study sample indicates that gender equality is the most frequently mentioned cross-cutting issue in the intervention descriptions, whereas there is limited reference to youth, climate change and human rights. This is contrary to the intent of shaping the interventions under the mainstreaming of environmental safeguards, youth, gender equality and human rights. The UN-Habitat Safeguards Screening Report, Section 3 on the Strategic Development Phase states as follows:[47]

47 UN-Habitat. March 2018. UN-Habitat Safeguards Screening Report (Working Copy – Not Approved for Public Disclosure), Section 3. Environmental and Social Benefits. NB: The youth cross-cutting issue is not directly mentioned in Section 3.

- Human Rights: The project adopts human rights-based approach and promotes no lower than the international human rights standards in each intervention. Therefore, it will set the basis for the longer-term implementation phase;

- Gender Equality: The Global Future Cities Programme has a strong gender perspective, focus improving the resilience of the cities and to provide access to inclusive public transport;

- Climate Change Mitigation and Adaptation: The project aims to provide technical assistance to develop strategies to build resilience to climate change (e.g. flooding) and ensure that development is sustainable".

4.5 POTENTIAL IMPACT OF CITY INTERVENTIONS

Attainment of expected results or non-intended negative effects

A project-cycle approach has been applied for the interventions in order to relate results and their viability to a timeline. Following the completion of the Strategic Development Phase – in which the identification and validation of the interventions have been completed and consolidated – the Implementation Phase will be launched. The Implementation Phase for the GFCP interventions has been broken down to three sub-phases: 1) Planning and Design Phase refers to a short-term period of 2-3 years; 2) the Build Phase refers to a medium-term period of 3-7 years; and 3) the Operation and Maintenance (O&M) Phase refers to the long-term period of 7-15 years. The lifecycle for the interventions may thus vary from 12-25 years indicating that there may be a significant variation in the interventions' timeline.

The identification of interventions is the first phase of the lifecycle, so it is with a degree of uncertainty that result forecasts can be made. The contexts in which the interventions have been identified are likely to evolve significantly over time – either gradually or abruptly depending on the nature of the external factors. The initial results will mainly concern capacity development, whereas results concerning the built environment will only occur during or after the Build Phase. The intended impact will materialise during the O&M Phase. Potential short and medium-term outcomes and long-term impact are presented in the City Context Reports. These are well elaborated in the case study sample's CCRs and present the ideal development scenario. However, the achievement of outcomes and impacts is subject to how the identified barriers can be resolved. The viability by intervention varies significantly in the case study sample as is also the case for the entire portfolio. The viability assessment by intervention and implementation sub-phase is presented in the Technical Viability Reports. The viability assessments relate to five factors: professional capacity; market maturity and preparedness; spatial context; financial capacity; and legal conditions. An overview of the viability assessments by intervention and phase is presented in Annex 10, and by city in Table 4.3. The cities with low success rates have declining rates in the succeeding phases.

Table 4.3: Overall success rate by city.

Category of success rates	Intervention Cities
Cities with low success rates below 55%	Cebu, New Clark City, Yangon, Ho Chi Minh, Abeokuta, Lagos
Cities with medium success rates 56-70%	Cape Town, Istanbul, Surabaya, Bandung, Iskandar, Melaka
Cities with high success rates 71-77%	Johannesburg, Durban, Recife, Belo Horizonte, Bursa, Ankara

Source: Technical Viability Assessment Reports.
Note: Johannesburg and Durban have the second intervention at 66%; and Melaka is at 55%.

It is evident that the cities with low success rates have a lesser likelihood of achieving the expected result, unless specific measures are undertaken to improve the conditions of the five viability factors. Alternatively, the scope of the results should be reduced to correspond with viability assessment. The UK Government will provide funding for the Planning and Design Phase, but funding for the Build Phase is not yet secured. Although the 'development additionality' will be higher for the interventions with low success rates, it would correspondingly be more difficult to present bankable projects to development partners.

The interventions are subject to potential risks some of which could be foreseen and others not. The Project Document lists possible risk events and their: consequences, likelihood, implication, risk factor and mitigation strategy; an overview of the risk events is shown in Table 4.4. The ToR for the city interventions list specific potential risk that may affect intervention implementation. The CCRs list a number of success factors that are based on international best practices, the considerations of which should increase the robustness and quality of the interventions. There are no direct links between the risk events in the ToRs and the success factors in the CCRs.

Table 4.4: Potential risks events

Category	Risk events
Operational	• The intervention may be insufficiently implemented in the target countries, due to lack of political support or changes in the political situation; • Lack of administrative capacity and funding at the city level; • Lack of capacity to develop/implement plans further; • Delays in the estimated interventions timeline.
Technical	• Lack of planning and design capacity; • Lack of operation and management capacity; • The intervention is not adequately adapted to the evolving context.
Political	• Changes in the local and/or national governments; • Strikes/elections; • Armed conflict/security.
Financial	• Currency exchange losses are significant; • Corruption.
Environmental	• Natural disasters: earthquakes, hurricanes, flooding, etc.

Source: UN-Habitat Project Document, Section 3.4, Risk Register.
Note: The Risk register is slightly modified to be forward looking.

In the event that risks materialise it would certainly have corresponding negative consequences, which could limit the development results either seriously or less seriously. Some negative effects may occur even though the intervention is successfully implemented. One such negative effect could be displacement of people due to changes of the built environment. Generally, indirect negative effects are not mentioned specifically in the project documentation.

The questionnaire respondents either strongly agree (19/ 66%) or agree (9/ 31%) that the proposed interventions will have the anticipated effects on targeted beneficiaries when implemented (one respondent neither agreed nor disagreed). Some respondents expressed that the interventions include all citizens in the influence area, but the target group needs to be well defined; the proposed intervention will improve service delivery, budget allocation and project prioritization, which ultimately will impact on city residents; and that other derived effects of higher land value, rent rates, and home values sales will affect the existing residents. The project will become a benchmark for other municipalities and authorities. Furthermore, the questionnaire respondents either strongly agree (15/ 52%) or agree (13/ 45%) that the intended effects from the proposed interventions and positive changes on their cities are likely to materialise in the short, medium or long-term (one respondent neither agreed nor disagreed). Some respondents expressed that the interventions will have lasting effects and that effects from some interventions will already be felt in the short-term; and that a strategy needs to be put in place to achieve the envisioned changes as each phase requires different efforts. Other cities will be able to draw on the experiences.

4.6 SUSTAINABILITY PROSPECTS FOR CITY INTERVENTIONS

Influence of city level stakeholders' ownership on sustainability

The cities' ownership has been facilitated through an inclusive and meaningful cooperation with city stakeholder during the identification and validation process. The case study sample indicates that the city authorities generally have taken ownership of the interventions, which is likely to facilitate the interventions' sustainability, especially so for cities enjoying a high degree of autonomy and technical viability. There was some variation in the way community participation was sought: in some cases, an extensive process of consultations with NGOs, CSOs, academia and the private sector was applied providing a strong foundation for the implementation of the intervention; whereas in other cases community participation was constrained due to protocol issues and generally being problematic. Some interventions were not location specific and thus more targeted community participation was not an option.

The questionnaire respondents either strongly agree (16/ 55%) or agree (11/ 38%) that the ownership and engagement by city level stakeholders have enhanced the proposed interventions' sustainability (two respondents neither agreed nor disagreed). Some respondents expressed that the engagement of local stakeholders, including local NGOs, academia and community representatives mitigates the risk of government turn-over during elections, which ensures project sustainability by placing project ownership on a broad group of stakeholders; stakeholder participation in the identification and implementation processes will facilitate sustainability; and involvement of public authorities will ensure prioritisation and commitment.
Furthermore, the questionnaire respondents either strongly agree (19/ 66%) or agree (7/ 24%) that the UN-Habitat team[48] has played an important facilitation role in the formulation of the proposed interventions

48 The UN-Habitat team consists of members from: UN-Habitat HQ, UN-Habitat Regional and Country Offices, Local City Specialist, UKBEAG and IGC.

(one respondent neither agreed nor disagreed, one disagreed, and one disagreed strongly). Some respondents expressed that UN-Habitat had provided the needed guidance in developing the intervention concept and in drafting the ToR – their experience and perspective in working with various cities were valuable in articulating their needs. Two respondents expressed that the division roles and responsibilities among the UN-Habitat team members were not made clear upfront, which made the city authorities to lead the discussions.

The wider engagement of stakeholders and affected communities would require more time than what was allocated within the tight time schedule and thus community participation was mainly considered indirectly through stakeholders' views. A wider engagement of stakeholders and affected communities would, nonetheless, be a way of mainstreaming the cross-cutting issues into the interventions – the charrettes were one such means of inviting a broader group of city stakeholders and community groups.

It is evident from the questionnaire response that city stakeholders consider that the prospect of the interventions' sustainability has been positively influenced through their sense of ownership, as their further commitment will both contribute to the achievement of results and sustainability. The results materialise gradually during the implementation process, some of which will be some years away.

Replicability of city-level activities at national, regional or local levels

The case study sample indicates that there is considerable scope for collaboration within the city authorities themselves, but also with central government and development partners with a view to address overall policy and legal issues as well as funding issues. Furthermore, there is also substantial scope for collaboration with affected community groups – in particular the vulnerable groups, possibly through civil society organisations. In some cases, the interventions are city-wide, and can as such not be replicated in the city. In other cases, the interventions are related to specific communities and may thus be replicated in other communities having similar needs.

Similar city level concepts and associated activities may well be replicated at either national, regional or local level, especially so if drivers are in place to facilitate such initiatives – which could either be within the GFCP three pillars or other pillars. The intervention approach may have good prospects of being replicable in the selected cities if good results are demonstrated. Drivers could either be in the form of national or local interest in pursuing similar approaches and/or by development partners supporting similar initiatives. The degree of replicability will to a large extent depend on the interventions' positive outcomes during the Planning & Design and Build phases. The longer-term impact may be too many years away to inspire replicability, as contexts and challenges may well have evolved in different directions.

Adequacy of systems and capacity to ensure sustainability of achieved results

The case study sample indicates that while the policy and planning environment is adequate, they can be highly centralised, which may limit the capacity for executing the plans and programmes and enforcement of these. This is further accentuated when the city administration rests with an external body to the city and be even worse if the mandated body itself has limited capacity. Cities can have a good professional capacity, but planners may be rooted in traditional siloed fields and/or encounter systemic barriers making integrated planning a challenge.

Project results are – as mentioned – generated gradually as a chain of results, of which systems and capacities are integrated elements which should be developed simultaneously with the achievement of the results. As key results have yet to be generated it would be premature to forecast whether systems and capacities are in place to sustain the results. The cities which are assessed to have 'high success rates', there is a reasonable probability that systems and capacities will be developed to correspond to the sustainability requirements. The same may be the case for cities which are assessed to have 'medium success rates', but more emphasis on capacity development should be emphasised. Capacity and systems development will be crucial for cities that are assessed to have 'low success rates'.

Innovation and replicability in other middle-income countries

The Project is seen to be innovative in the sense that it addresses identified needs within a selected group of pillars simultaneously in a large number of cities while recognising the specific context for each individual intervention and pursuing the same overall global goals. The cooperation with academic institutions and professional associations also represents an innovative approach by drawing on multiple sources of knowledge and experiences. Innovative measures could correspondingly be adopted for the Implementation Phase to optimise outcomes and impact. As the Project is universal in its approach it could well be replicable in other middle-income countries provided appropriate drivers could be mobilised.

5. CONCLUSIONS

5.1 THE STRATEGIC DEVELOPMENT PHASE

Achievements and performance

The Strategic Development Phase/Project was efficiently and effectively executed and has achieved the conceived immediate outcomes, especially: Outcome 1: Enhanced understanding of solutions to urban challenges – among the city authorities; and Outcome 2: A validated framework for the identified city interventions – by key city stakeholders. Outcome 3: Capability and capacity developed for participating cities to enable their active participation during implementation – have been achieved to some extent bearing in mind that the interventions have not yet been planned and designed, but nonetheless awareness has been created about the importance of having and maintaining adequate capacity. Outcome 4: Global lessons learned – have been achieved, but these need to be consolidated.

Relevance: Overall the Project and its interventions were found to be relevant relating to the needs of the cities and their residents, although the relevance could had been further enhanced through a more direct involvement of the targeted beneficiaries. The relevance of the interventions is linked to prospects of these being implementable in terms of an enabling environment, resource mobilisation, public participation and that the anticipated impacts are likely to be achieved.

Efficiency: Overall, the Project was implemented efficiently – especially in light of the challenging circumstances with regards to the timing and resource mobilisation. The Project tasks were well phased and well distributed between international and national consultants/in-country staff and outputs achieved. Administrative challenges in relation to recruitment of staff and travel arrangements have been overcome – although these continue to exist. The implementation of Project tasks was cost-efficient and completed reasonably in relation to the work plan.

Effectiveness: The Project has generally been effective by achieving the main outcomes and by collaborating appropriately with city stakeholders and other partners, whose support and engagement will be essential in the further implementation process. The project management has not been confronted with major changes in the implementation approach but has among others recognised that inclusion of vulnerable groups should be given more attention, and that each intervention should be dealt with and implemented in each city's specific context. More attention should be paid to the proper integration of cross-cutting issues.

Impact: A major part of the identified interventions is likely to achieve their expected results. This will in particular be the case for cities having high or medium success rates, whereas cities with low success rates are likely to encounter a number of constraints which may require additional efforts to overcome. The interventions are likely to encounter a number of risks during the implementation process which will require mitigation efforts to combat – not all risks may be mitigated if they are outside the control of the city authorities. The city authorities are confident that the interventions will achieve the anticipated effects and that these will materialise within the set timeframe.

Sustainability: The cities' ownership and buy-in were facilitated through an inclusive and meaningful cooperation with city stakeholder during the identification and validation process, which if maintained during the Implementation Phase would be an essential contributing factor to achieving sustainability. The degree of sustainability of the interventions depends among others on how the cities will be able to cope with the various barriers affecting the implementation – the cities' ability varies from low to high which requires differentiated approaches to capacity development and other support. Innovative measures that optimise outcomes and impact throughout the project-cycle could contribute to sustainability.

The interventions may well be replicated at either national, regional or local level as well as in other middle-income countries, especially so if drivers are in place to facilitate such initiatives.

Theory of Change

The thrust in the Project Document has for obvious reasons been on the Strategic Development Phase, but the longer-term perspective of achieving the expected impact and transformative change would add value to the identification process. The GFCP is a very complex Programme, but the ToC approach overall and by intervention could help diluting the complexity and provide better oversight of the perceived change process. Elaboration of a ToC for each intervention would enhance the understanding of the intended long-term change process among city policymakers, planners and technical staff – as well as being a

means of conveying and debating the intervention's aim and purpose to the affected target population. The ToC diagram and the underlying details should gradually be expanded as more evidence, information and knowledge is gathered, including the details of potential drivers, identified barriers, assumptions and risk mitigation measures.

As the emerging impact in terms of transforming the cities' 'built environment' will only occur gradually during and after the Build Phase, the scope of the interventions may be adjusted and amended a number of times in the initial phases of identification and formulation (planning and design) either due to a growing level of evidence, change in context, or change of priorities as all needs cannot be accommodated and changed political interests (change in composition of local governments due to elections, etc.). The targets and principles as contained in the SDGs, AFINUA key items and cross-cutting issues should continue to guide the direction of the interventions. More concise references to SDGs, AFINUA key items and cross-cutting issues would help sharpen the focus, as just making the reference may not guarantee that the intention is properly integrated in the intervention. The AFINUA has been instrumental in operationalising the use of the NUA paragraphs by assembling groups of these into 'key items'. As reduction of poverty, prosperity and gender equality are the overriding themes, the involvement of the targeted beneficiaries through participatory processes remains essential.

Although the implementation of the Strategic Development Phase was well outlined in the Project Proposal/Project Document, certain aspects of the implementation process as it evolved could deserve some conclusive observations as regards the Logical Framework, Theory of Change, recurrent economic impact assessment, and long-term Knowledge Management.

GFCP documentation

The GFCP is at the identification/ conceptualisation stage during which the context, emerging outcomes and impact are elaborated and thus form the 'baseline' for the change process. The ambition and scope of the deliverables expanded during the course of the Strategic Development Phase.

Two sets of documents have been prepared: a) Intervention specific documents; and b) generic policy documents.

- The City Context Reports and the Terms of Reference contain important information on the general city context as well as the intervention specific context. The ToRs is likely to be replaced by more 'contractual like terms' with the risk of losing useful information contained in the ToRs. In order to preserve baseline information – which are of enduring value – the context and development perspectives could be assembled in one volume including elements from the Technical Viability Reports.

- Policy papers provide evidence and global experience to inform policy decisions related to the three pillars and associated clusters. The policy and cluster papers were only finalised at the end of the Strategic Development Phase but have like the context papers enduring value for the Implementation Phase and replications in the selected countries and elsewhere. The policy papers can enable the cities to make better informed decisions, FCO counterparts to provide better advice, and consultants to draw on the global experience.

Transition to the Planning and Design Phase

It is important that the cities' commitment to the proposed intervention(s) is confirmed and has the backing of the local government authority, as well as the national authorities to the extent this is required. Furthermore, that the financing arrangements and implications are clearly outlined including possible O&M costs where needed. Finally, that draft MoUs between UK FCO and the city authorities are in place indicating the way forward for each intervention and their respective obligations.

The MoU between UK FCO and city authorities should ideally be signed prior to launching the Planning and Design Phase, which clearly outlines the parties' respective obligations in making human and financial resources available, which also outlines the further financial consequences for the city during the Build and O&M phases. The MoUs may also require the consent of national or state/regional authorities which in that case could co-sign the MoU or vice versa. A further cooperation agreement may be required in cases where funds will be channelled to the city authority for supporting their activities during the Planning and Design Phase.

UN-Habitat's potential involvement in the Implementation Phase

UN-Habitat is currently in the process of preparing a proposal for its potential involvement in the Planning and Design Phase as the 'strategic partner'. Key themes of UN-Habitat's continued engagement could among others be: i) conduct of regular reviews related to the change process (ToC) concerning the trend of external factors and the promotion of the SDGs and NUA/ crosscutting issues; ii) conduct of 'rapid economic assessments' to see how the economic and social context evolves and what the consequences for the interventions may be; iii) identification of project specific and wider urban management capacity development needs for city stakeholders; and iv) accumulation of lessons learned for urban policy and management translated into 'good practices'.

5.2 THE IMPLEMENTATION PHASE

Launch of the Planning and Design Phase

UK FCO intends to procure international consulting consortia for the Planning and Design Phase which raises some cooperation issues: i) the interaction with the city authorities; ii) cooperation with local consultants; iii) interface with a possible M&E consultant/strategic partner; and oversight by UK FCO posts. Preferable, the international consulting consortia should associate with local professional firms in order to expand their experiences and capability, which would as well be useful for the succeeding project cycle phases – the "Assessment of Market Maturity and Professional Capacity" reports have outlined the availability and capacity of the local consulting industry. Cooperation with local professional firms will also be an advantage for the international consulting firms as they have in-depth knowledge of the local context.

Ideally, the consultant being invited for the planning and design assignment for the specific interventions should review the ToR (both those prepared by the Project team and the contract-based prepared by UK FCO) and submit a technical and financial proposal; among others to ensure consistency with the intervention concept. The composition of the consultant's team (qualifications and competence of team members) is an important aspect to ensure the resources are used effectively and correspond to the assignment at hand. The 'Project ToR' include a list of professional disciplines and team members – the number of team members is generally high, but few if any social scientists are included. In some cases, the cities have more than one intervention that are interrelated. In such cases synergies may be exploited both in terms of technical solutions and sharing of team members. In the event that the consultant should not submit a proposal, aspects of approaches, methodology and team composition should be dealt with in great detail during the consultant's inception phase.

Important conditions for launching the Implementation Phase would be: i) that documentation for initiation of the interventions is adequately in place; ii) the city authorities have the capacity to lead/guide the final formulation and implementation of the interventions; iii) consulting services are available as required for final formulation and implementation; and iv) M&E mechanisms are in place to account for drivers, barriers affecting implementation and the actual results achieved.

Theory of Change and results framework

Elaboration of a ToC and results framework for the GFCP interventions would be essential for monitoring and evaluating the results for each of the interventions' sub-phases both with a view to document results attributable to GFCP and lessons learned, but also to capture the need for amendments due to changing contexts and priorities or other circumstances. The transformative effects to which the GFCP have contributed should be reviewed on a regular basis to assess the extent to which the envisioned changes of the built environment are materialising.

Funding

The degree of autonomy and revenue generation capacity among the cities may have limitations on the scale and duration of the intervention. Funding options for: the Build Phase may include national, local and foreign sources; and the O&M Phase may include local revenues and user charges. These challenges will call for varying implementation approaches and balancing of the expected achievements in order to enhance the interventions' sustainability aspects. Financing requirements and funding sources for the Build and O&M phases should be identified during the Planning and Design Phase and negotiations undertaken with external and internal funders in order to tap these opportunities and facilitate uninterrupted implementation.

Coordination

Steering committees should preferably be established with regular sessions in which key stakeholder representatives can exchange their views and agree on modifications to the process and substance as deemed

warranted. Consultative fora for wider stakeholder consultations could be held for general orientation if major issues need to be debated to reach consensus on amendments. Civil society organisations could be invited to interact with the targeted beneficiaries and advise on options for proper inclusion.

In the event of a 'strategic partner' is assigned for the Implementation Phase, the MoU should clearly spell out the strategic partner's mandate vis-à-vis UK FCO HQ and posts, design consultants, and city authorities. The role of the strategic partner should be complementary to the planning & design consultants and deal with general urban management issues. A Knowledge Management system should be in place that collect and accumulate experiences and lessons learned across the 19 cities, which can be shared among the selected cities and globally.

6. LESSONS LEARNED FROM THE EVALUATION

The main key aspects of the evaluation were that: 1) the outcomes of the Strategic Development Phase appropriately reflect the cities' warranted development scenario and the evolving context; 2) the transition to the Implementation Phase is well planned to enable well-coordinated mobilisation; and 3) assuring the Implementation Phase's development path with outcomes, impact and sustainability is well conceived. Some of the lessons learned from undertaking the Project, which would also have a bearing on the Implementation Phase, are:

- Mobilisation of large UN-Habitat teams for complex assignments with short response time require flexible recruitment procedures and travel arrangements.
- Teaming up with academic institutions and professional associations provides a broader professional resource base and competence increasing the quality of inputs for complex assignments.
- More attention to the longer-term perspectives through a Theory of Change approach would be useful for determining the scope of the interventions and the continued dialogue with city authorities and city stakeholders.
- Assessment of the local authorities' governance structure, degree of autonomy and urban management capacity are essential entry points for scoping interventions.
- More attention should be paid to vulnerable groups from the outset of the identification phase and more insight provided through application of community participatory approaches.
- Cross-cutting issues should be better incorporated in the intervention design; and the significance and relative importance of each of the four issues for the intervention should be stressed.
- More focussed and better argued references to SDGs and AFINUA key items would provide better policy and strategic development directions. Overall policy considerations for thematic pillars should be made early on to facilitate the conceptualisation of the interventions.
- Facilitation of the city authorities' participation in the conceptualisation and identification process through an inclusive approach has proved useful for creating commitment and ownership.
- Context specific identification of the interventions related to the cities' current situation and warranted future scenario provides a more realistic background for workable solutions.
- The cities' enabling environment and resource base – financial and human resources – varies considerably which call for differentiated development approaches.

The OECD/DAC Guidelines *"The Challenge of Capacity Development: Working Towards Good Practice (2006)"* sum up what has been learned about capacity development (CD) over the past decades. The international CD praxis has for some time involved three levels of intervention: the enabling environment (national/sector framework), the organisational level, and the individual level – the levels are interdependent. Appreciating the interactions between the three levels of CD means recognising the important role of systemic factors in enabling or blocking change. This approach entails a concern with the wider political economy of change but continues to treat CD as a distinct challenge at entry point. The table below illustrates capacity development levels, elements and approaches.

The change process is not always linear but rather cyclic with a number of circular feedback loops (ref. Section 3.1). The Problem-Driven Iterative Adaptation (PDIA), for example advocates for changes to happen through incremental steps, especially when operating in uncertain and complex contexts where reformers are unsure what the problems and solutions actually are. Such process is termed 'muddling through', which implies taking a gradual approach to addressing particular problems.[49]

49 Source: Matt Andrews et al. 2012. Escaping Capability Traps through Problem-Driven Iterative Adaptation.

Table 6.1 Capacity Development Results Framework.

CD level	Some elements that define capacity	Main CD approaches
Enabling environment	• Socio-political interests and linkages • Social and economic factors • Policy frameworks • Strategies and plans • Laws and regulatory mechanisms • Institutional landscapes • Resource allocation among public sector functions	Reform processes
Organisational level	• Mandate, legitimacy, credibility • Values, political autonomy • Organisational structure and processes • Planning and approval procedures • Systems and tools including M&E • Knowledge management • Staff levels, qualifications and delegated authority	Organisational development
Individual level	• Skills and knowledge • Experience • Attitude • Competences	Human resources development

7. RECOMMENDATIONS

7.1 STRATEGIC DEVELOPMENT PHASE

It well recognised that the Strategic Development Phase/ Project has come to an end and thus further improvements of the identification and validation process are no longer possible. The lessons learned as elaborated in Chapter 6 could be incorporated if similar interventions were to be replicated. However, the Project could be further accomplished by undertaking the following recommendations, which would be useful for the Implementation Phase and for replication of the GFCP identification process:

1. The City Context Reports should be consolidated by integrating complementary aspects from the interventions' ToR as well as from the Technical Viability Assessment reports. The consolidated City Context Reports would thus serve as a means of baseline information.

2. The cluster policy papers should be finalised by combining IGC and UN-Habitat inputs. The compendia of pillar and cluster policy papers should be assembled with an introduction of the papers' interlinkages and explain how the cluster policy papers complement the pillar policy papers.

3. A synthesis of experiences on how the Project's approach and methodology evolved compared to what was planned in the Project Document should be elaborated in a "Completion Report". This synthesis could be merged with the lessons learned on the process as presented in the "Lessons Learned & Key Recommendation" document that touches upon some of these issues. Lessons learned on how issues related to the three pillars' substance have been tackled could be a useful contribution.

7.2 IMPLEMENTATION PHASE

The below recommendations concern the partners engaged in the Implementation Phase. UK FCO will be the lead partner and executing agency for the Implementation Phase; and be the signatory of the MoUs with city authorities and of consultancy contracts with consulting consortia. UN-Habitat has submitted a proposal to UK FCO for its continued role as a 'strategic partner' with some likelihood of being accepted. The recommendations for the Implementation Phase remain valid independently of the selection of the strategic partner. The recommendations are:

4. MoUs between UK FCO and city authorities should ideally be finalised before the launch of the Planning & Design Phase to confirm the city authorities' commitment for carrying the interventions through to the O&M Phase; and for outlining the mutual obligations.

5. The consultants that will be invited to undertake the intervention assignments for the Planning & Design Phase should ideally before the award of the contract prepare technical and financial proposals that outline approach and methodology (following a ToC approach) and team composition to ensure that the consulting services are well aligned to the GFCP objectives, including poverty aspects, inclusion of vulnerable groups, cross-cutting issues and capacity development needs. Preferably, the consultant should liaise with the city authority in the process of preparing the proposal. Ideally the international consultants should associate with national consultants in order to draw on the local expertise as well as contributing to its further development.

6. The design and planning of the cities' interventions should take the varying level of viability into consideration (i.e. viability assessment factors of professional capacity, market maturity and preparedness, spatial context, financial capacity and legal condition), as the viability will influence what can realistically be implemented. The factors could change over time either positively or negatively. Local governance, degree of autonomy and capacity are important aspects for ensuring ownership and sustainability. The interventions could include elements that could have positive effects on the viability factors.

7. A ToC diagram and results framework for the Implementation Phase by sub-phase with indicators and targets should be developed for monitoring the results attributable to the GFCP interventions and the transformative effects – including integration of vulnerable groups and mainstreaming of the cross-cutting issues.

8. In cases where more than one intervention will be implemented in a selected city, potential synergies should be explored both as regards substance and sharing of team inputs to enable a holistic approach where feasible.

9. Budgets for the interventions should be prepared for the Build Phase and O&M Phase respectively. Internal and external funding sources should be identified and preliminary negotiations with development banks and potential development partners should be initiated – with a view to ensuring that financing will be available. In cases where this is not likely to happen fully, the scope of the intervention should be modified to correspond to the funding that realistically can be made available.

10. Coordination mechanisms should be put in place that ensure that the city authorities' ownership is fully respected, activities are well coordinated by implementing partners and city stakeholder, and if need be that conflicting views can be resolved.

11. The option to include local CSOs and NGOs should be considered when community participation is essential for finding appropriate solutions that meet the need of the targeted beneficiaries and achieving consensus. Agreements should be made with the city authorities on the right process to engage with the targeted beneficiaries in relation to the intervention's specific context and for achieving its objectives.

12. The complementary role of the strategic partner should be clearly defined in relation to the Planning & Design consultant; and similarly, the mandate vis-à-vis UK FCO HQ and posts, design consultants/service provider and city authorities should be clearly spelled out in the MoU between the strategic partner and UK FCO.

13. Besides the complementary role, the strategic partner should monitor the change process prompted by the planning and design of the interventions as well as changes of the enabling environment and the general context – including capacity development. The monitoring of the change process could among others be conducted through 'rapid' strategic economic and social impact assessments with regular intervals, the result of which should feed into the ToC analysis and subsequent considerations on the need for adjusting the interventions' scope.

14. The strategic partners should facilitate the knowledge management concerning results and implementation processes as derived from 'implementing' the interventions.

ANNEXES

ANNEX 1: TERMS OF REFERENCE

Evaluation of the Strategic Development Phase for the Global Future Cities Programme

Terms of Reference

October 2018

1. Background and Context

The United Nations Human Settlements Programme, UN-Habitat, is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities. It is the focal point for all urbanization and human settlement matters within the UN system. The agency is to support national and local governments in laying the foundation for sustainable urban development.

The United Kingdom Prosperity Fund the "Global Future Cities Programme" has two phases; a strategic development phase (2018), followed by an implementation phase (2019-2021). The strategic phase of the programme aims to assess the viability and ensure stakeholder ownership to derive clarity on carrying out a coherent series of strategic and targeted interventions in 19 cities in 10 countries. The interventions to be identified aim to encourage a move towards developing sustainability, avoiding urban sprawl and slum developments, and to achieve inclusive prosperity whilst alleviating high levels of city poverty. The programme contributes to achieving the Sustainable Development Goals and implementation of the New Urban Agenda, in particular target 11.2, 11.A and 11.B, the Sendai Framework for DRR and the Paris Agreement on Climate Change. UN-Habitat supports implementation of the strategic development phase to ensure that sustainable urban development is safeguarded and to shape conditions for a possible strategic partnership in the second implementation phase.

The Global Future Cities Programme supports the Strategic Plan 2014-2015 sub-programme 2: EA 2.2 Improved policies, plans and designs for compact, integrated and connected, socially inclusive cities and neighbourhoods adapted by partner cities, EA 2.1: Improved national urban policies or spatial frameworks for compact, integrated, connected and socially inclusive cities adopted by partner metropolitan, regional and national authorities, and EA 2.3 Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional and national authorities.

1.1 The Project

The project pertains the strategic development phase of the Global Future Cities Programme, which is a specific component of the larger Prosperity Fund and aims to carry out targeted interventions to encourage sustainable development, increase prosperity whilst alleviating high levels of urban poverty. As a secondary objective, the programme will also create significant short and long-term business opportunities in growing markets forecast to be regional growth hubs, including for UK exporters in the field of future cities.

The project document specifies that strategic development phase focuses on 42 projects/activities in19 cities:

Brazil: Belo Horizonte, Recife
Indonesia: Bandung, Surabaya
Malaysia: Iskandar, Melaka
Myanmar: Yangon
Nigeria: Abeokuta, Lagos
Philippines: Cebu, New Clark City
South Africa: Cape Town, Durban, Johannesburg
Thailand: Bangkok
Turkey: Ankara, Bursa, Istanbul
Vietnam: Ho Chi Minh City

The programme aims to develop the 42 projects/activities in 3 thematic pillars: urban planning, transport, resilience with a strong component on data and smart technologies.

The project has one expected accomplishment: *Enhanced understanding of solutions to challenges for congestion, pollution, urban sprawl, lack of accessible services, poor planning and land management and inability to respond to the impacts of growth, climate change and natural disasters in selected cities.*

The purpose of this project is to translate the findings of the scoping phase conducted by the UK FCO into defined and validated interventions which are relevant and ready for moving into the follow-up phase of bidding and implementation. Specifically, the aim of the project is to work with partner city governments and wider stakeholders to confirm proposed programme interventions are the right ones and with the local strategic context and needs; engage with stakeholders from all relevant segments of the economy and wider society; future refine and document details of the individual interventions.

The project was planned for a nine-month period starting in April 2018 and ending in December 2018. The project has a budget of USD3,194,220.

1.2 Project Management

The project is implemented by The Urban Planning and Design Lab located in the Urban Planning and Design Branch in close collaboration with UN-Habitat's Regional and Country Office, Urban Planning and Design Branch's Climate Change Unit, the Urban Mobility Unit of the Urban Basic Services Branch, Urban Economy Branch and the Urban Legislation, Land & Governance Branch.

The main external partner is UK Foreign & Commonwealth Office/ Prosperity Fund Global Future Cities Programme with implementing partners the International Growth Centre and the UK Built Environment Advisory Group (UKBEAG). The International Growth Centre's Cities that Work imitative works alongside UN-Habitat's knowledge management team, as a knowledge partner in the project. The role of the UK Built Environment Advisory Group is to assess, as professional partner, the professional capacity and market maturity in respective countries for a successful implementation of the proposed projects.

2. Mandate and Purpose of the Evaluation

This evaluation is undertaken in accordance with the project agreement with the UK Foreign & Commonwealth Office/ Prosperity Fund Global Future Cities Programme, and the UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016) requiring for programmes and projects over USD 1million should be evaluated by external evaluation consultant by the end of the intervention.

UN-Habitat is undertaking this evaluation of the project to assess the performance of the project, to what extent it has been relevant, efficient and effective, and sustainable, as well as assess changes at outcome level and emerging impact to identify lessons to inform the implementation of next phase and future projects. The evaluation will also use the criteria of partnerships as well as assess how gender, human rights, youth and climate change were elements of the project.

The evaluation is included in the 2018 UN-Habitat Evaluation Plan and will synthesize achievements, results and lessons learned from the project. The sharing of findings from this evaluation will inform UN-Habitat, UK Foreign & Commonwealth Office/ Prosperity Fund Global Future Cities Programme, International Growth Centre, UK Built Environment Advisory Group and other key stakeholders, including governing bodies and Member States, on what was achieved and learned from the project.

3. Objectives of the Evaluation

The evaluation of the Strategic Development Phase for Global Future Cities Programme is to provide UN-Habitat and partners with an independent and forward-looking appraisal of the project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. What will be learned from the evaluation findings are expected to be—one of various sources of information—informing UN-Habitat's future engagement in similar projects and the next phase of this project, influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, replicating and up-scaling the implementation approach used, and generating credible value for targeted beneficiaries and addressing national sustainable urbanization priorities. The evaluation results will also contribute to UN-Habitat's planning, reporting and accountability.

Key objectives of evaluation are:

a. To assess the achievement of the expected outcome and performance of the project identifying strategic interventions in 19 cities. This will entail analysis of delivery of outputs, achievement of the outcome and viable 'pro-poor' projects identified in the 19 participating cities and this will entail an assessment of the stakeholder engagement process through charrettes and workshops.
b. To assess the extent to which the strategic phase has created 'value-for-money' supporting alleviation of poverty and if the participatory approach and tools used during the implementation have worked well or not in guiding national planning partners and private sector to identify viable project/ activities at city level.
c. To make recommendations based on the findings of the evaluation, on what needs to be done to effectively plan, implement, promote, monitor and replicate project activities, including new proposals for future collaboration.

4. Evaluation Scope and Focus

The evaluation will cover the whole period of the project from April to December 2018 and is expected to assess achievements, performance, challenges and opportunities of the project through an in-depth evaluation of results achieved.

The evaluation will take place in the latter part of 2018 at a time when most of the project's activities have been completed or are near completion.

5. Evaluation Questions Based on Evaluation Criteria

The evaluation is based on criteria of relevance, efficiency, effectiveness, impact outlook and sustainability and satisfactoriness of criteria. It is in line with standards and norms of evaluation in the United Nations system. Delivery towards the expected outcome will be rated.

The evaluator should develop an evaluation matrix with evaluation questions, key stakeholders and data collection sources. They may expound on the following issues, as necessary, to carry out the objectives of the evaluation.

Relevance

- To what extent are the objectives of the project consistent with national goals, policies and strategies, and urban development plans?
- To what extent is the implementation strategy responsive to SDGs, New Urban Agenda and strategies of UN-Habitat?
- To what extent are the project's intended outputs and outcome relevant to the needs of cities, local authorities and citizens?
- To what extent were vulnerable groups included in the project design and implementation?

Efficiency

- How well was the project designed and implemented, and were resources efficiently utilized?
- To what extent were the institutional arrangements adequate for achieving the expected outcome? What type of (administrative, financial and managerial) internal and external obstacles did the project face and to what extent has this affected project delivery of outputs and achievement of the expected outcome?
- To what extent was the project delivered in a cost-effective manner?
- What mechanisms for monitoring and reporting have been built into the project?

Effectiveness

- Did the project achieve what it was intended to during the strategic development phase as per the project design?
- What were the major factors that influenced the achievement of the expected outcome?
- To what extent were the resources used to implement the project justified in terms of delivering on the expected outcome?
- To what extent have city level stakeholders and UK implementing partners been involved in the design and implementation of the project?
- What types of products and services did the project provide to beneficiaries through activities implemented?
- To assess how well the Management of the project has learned from and adjusted to changes during implementation?
- To what extent monitoring and reporting on the implementation of the project has been timely, meaningful and adequate?
- To what extent were cross-cutting issues of gender, youth, climate change, and human rights integrated into the design, planning and implementation, reporting and monitoring of the project?
- How as the project able to partner and collaborate with other stakeholders to achieve the project objectives?

Impact Outlook

- To what extent has the project attained or not (or is expected to attain) its objective and expected outcome (short, medium and long-term) to partners and targeted beneficiaries, whether citizens, participating cities and local authorities?

Sustainability

- To what extent did the project engage the participation of city level stakeholders in design, implementation, monitoring and reporting?
- To what extent and in what ways has the ownership by city level stakeholders impacted sustainability of the project?
- To what extent will the city-level activities be replicable or scaled up at national, regional or local levels or encourage further collaboration and exchange between stakeholders?
- Are the systems and capacities in place to ensure the project results are sustained?

6. Stakeholder involvement

It is expected that this 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 for the evaluation and enhance its utilization. Relevant entities from UN-Habitat, UK Foreign & Commonwealth Office/ Prosperity Fund Global Future Cities Programme, International Growth Centre, UK Built Environment Advisory Group, local authorities, and citizens may participate through a questionnaire, interviews or focus group discussions.

7. Evaluation methods

The evaluation shall be independent and carried out following the evaluation norms and standards of UN-Habitat and the United Nations System.

The evaluation analysis will be based on the Theory of Change of the project and its logical framework and will outline the results chain and pathways as well as risks and assumptions.

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

a. **Review of documents relevant to the project.** Documents to be provided by relevant UN-Habitat entities and partners, and documentation available with stakeholders and beneficiaries (such documentation shall be identified and obtained by the evaluator). The evaluator is expected to review all relevant information sources, including but not limited to the following documents:

    - Project document, results framework and implementation plans;
    - Monitoring and Mission Reports;
    - Publications;
    - Tools;
    - Training and workshop reports;
    - Reviews;
    - Strategic plans, as deemed relevant, such as UN-Habitat's Strategic Plan (2014-2019), relevant national and city development plans, and other relevant policy documents;
    - Outreach and communication material.

b. **Key informant interviews and consultations,** including focus group discussions will be conducted with implementing partners, key national stakeholders and others, including project staff of UN-Habitat. The principles for selection of stakeholders to be interviewed as well as evaluation of their performance shall be clarified in advance (or at the beginning of the evaluation). The informant interviews will be conducted to obtain qualitative information on the evaluation issues, allowing the evaluators to assess relevance, efficiency and effectiveness.

c. **Surveys,** *if deemed feasible, t*o obtain quantitative information on stakeholders' views and perceptions.

The evaluator will describe expected data analysis and instruments to be used in the inception report. Presentation of the evaluation findings should follow the standard format of UN-Habitat Evaluation Reports (evaluation purpose and objectives, evaluation methodology and approach, findings (achievements and performance rating assessments), conclusions, lessons learned, recommendations).

8. Accountability and Responsibilities

UN-Habitat will commission the evaluation. It will be managed as a centralized evaluation by the Evaluation Unit. The project team located in the Urban Planning and Design Lab will provide logistical support on day-to-day basis. The Evaluation Unit will guide the recruitment and ensure that the evaluation is contracted to suitable candidates. The Evaluation Unit will advise on the code of conduct of evaluation, provide guidance and technical support throughout the evaluation process. The Evaluation Unit will have overall responsibility of ensure that contractual requirements are met and approve all deliverables (Inception Report with work plan, Draft and Final Evaluation Reports).

An evaluation reference group will be established at the start of the evaluation process with members representing the project team, representatives from the UK Foreign & Commonwealth Office/ Prosperity Fund Global Future Cities Programme, International Growth Centre, UK Built Environment Advisory Group and from the Urban Planning and Design Branch, Urban Economy Branch, Urban Basic Services Branch and the Urban Legislation, and Land and Governance Branch as well as the Evaluation Unit. The role of the reference group is to ensure credibility and quality of the evaluation. It will review and endorse all the evaluation outputs including TORs, inception report and drafts of the evaluation report.

The evaluation will be conducted by one evaluator. The consultant should have both substantive and evaluation expertise. The evaluator is responsible for meeting professional and ethical standards in planning and conducting the evaluation and producing the expected deliverables in accordance with UN-Habitat evaluation policy and norms and standards for evaluation in the UN system.

The evaluator will receive overall guidance from the reference group, technical support from the Evaluation Unit, and the project team is responsible for providing logistical support.

9. Qualifications and Experience of the Evaluators

The evaluation shall be carried out by one international consultant. The consultant is expected to have:

a. Extensive evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.
b. Specific knowledge and understanding in the field of Urban Planning, Transport and Resilience and UN-Habitat and its mandate.
c. 8-10 years of programme management experience in results-based management working with projects/ programmes in the field of urban planning, urban legislation, governance and capacity building.
d. Advanced academic degree in political sciences, social economy, public administration, or similar relevant fields.
e. Recent and relevant experience working in developing countries.
f. It is envisaged that the consultant would have a useful mix of experience and familiarity with public administration in various parts of the world.
g. Fluent in English (understanding, reading and writing) required.

10. Work Schedule

The evaluation will be conducted over the period of three months, from December 2018 to February 2019 with eight weeks paid for the consultant. The evaluator is expected to prepare an inception report with a work plan that will operationalize the evaluation. In the inception report, Theory of Change, understanding of the evaluation questions, evaluation matrix, methods to be used, limitations or constraints to the evaluation as well as schedule and delivery dates to guide the execution of the evaluation, should be detailed. The provisional timetable is as follows in section 13.

11. Deliverables

The three primary deliverables for this evaluation are:

a. Inception Report with evaluation work plan. Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat's expectations throughout the performance of contract. The draft inception report is reviewed and approved by the evaluation reference group.
b. Draft Evaluation Reports. The evaluation team will prepare evaluation report draft(s) to be reviewed by UN-Habitat. The draft should follow UN-Habitat's standard format for evaluation reports. The draft report is shared with the evaluation reference group for review and comments. The evaluation reference group will review and provide comments on draft reports.
c. Final Evaluation Report (including Executive Summary and Appendices) will be prepared in English and follow the UN-Habitat's standard format of an evaluation report. The report should not exceed 45 pages (excluding Executive Summary and Appendices). The report should be technically easy to comprehend for non-specialists. The final report is approved by the reference group.

12. Resources

The funds for the evaluation of the project are made available from the project's budget. The remuneration rate of the consultant will be determined by functions performed, qualifications, and experience of the consultant.

The consultancy is output based and payments will be based on deliverables over the consultancy period. The fees will be paid upon satisfactory delivery of outputs as per agreement.

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

13. Provisional Time Frame

#	Task Description	Oct 18				Nov 18				Dec 18				Jan 19				Feb 19		
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3
1	Development of TOR for the Evaluation	X	X	X																
2	Call for expression of interest and recruitment of consultant				X	X	X	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	X								
5	Data collection including document reviews, interviews, consultations, group meetings and field visits										X	X	X	X	X					
6	Analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat													X	X	X				
7	Presentation of preliminary Findings to UN-Habitat and Evaluation Reference Group															X	X			
8	Draft Evaluation Report																X			
9	Review of Evaluation Report																X	X	X	
10	Delivery of Final Evaluation Report																			X

ANNEX 2: LIST OF PERSONS CONSULTED

UN-Habitat HQ

Dr Martin Barugahare, Chief Evaluation Unit
Ms Susanne Bech, Evaluation Officer, Evaluation Unit
Mr Raf Tuts, Director Programme Division
Mr Joerg Weich, Director Management & Operations Division

GFCP Team

Mr Rogier van den Berg, Team Leader, Head of Urban Lab
Mr Klas Groth, Deputy Team Leader, Urban Lab, Focal Point for Myanmar, Turkey and support to South Africa
Ms Niina Rinne, Support Management, Focal Point for South Africa, Indonesia, Support to Vietnam and the Philippines
Ms Charlotte Mohn, Mobility and Focal Point for Malaysia and partially Nigeria
Ms Sara Thabit, Urban Planner SDGs and NUA Alignment, Focal Point for Turkey
Ms Gabriela Aguinaga, Urban Economy & Municipal Finance, Technical Viability Assessment, Focal Point for the Philippines and Thailand
Mr Riccardo Maroso, Urban Planner, Focal Point for Brazil and support to Nigeria
Local City Specialists
Mr Mark de Castro, New Clark City
Mr Sinan Ozden, Ankara
Mr Sola Adepoju, Abeokuta
Ms Magdala Satt Arioli, Belo Horizonte
Mr Sandile Mbatha, Durban
Mr Pham Thai Son, Ho Chi Minh City
Mr Jean-Paul Hitipeuw, Yangon
Mr Yoga Adiwinarto, Bandung

Ms Shipra Narang-Suri, Branch Coordinator UPDB
Ms Laura Petralla, Leader City Planning, Extension and Design Unit (UPDB)
Mr Robert Lewis-Lettington, Unit Head Urban Legislation Unit (ULLGB)
Mr Marcus Mayr, Associate Human Settlements Officer, Climate Change Planning Unit (UPDB)
Ms Stephanie Holzwarth, JPO, Urban Mobility Unit (UPDB)
Ms Angela Mwai, Unit Leader, Gender Coordination and Support Unit, Programme Division
Mr David Thomas, Consultant Programme Division
Mr Marco Kamiya, Branch Coordinator Urban Economy Branch

UN-Habitat Regional Offices

Mr Alain Grimard, Senior Human Settlements Officer, ROLAC Rio de Janeiro (Skype)
Mr Christopher Rollo, Habitat Programme Manager, ROAP, Located in the Philippines (Skype)
Mr Bruno Dercon, Senior Human Settlements Officer, ROAP Fukuoka (Skype)
Mr Bernard Barth, Human Settlement Officer, ROAP Fukuoka (Skype)
Mr Sri Popuri, Senior Human Settlements Officer, ROAP Fukuoka (Skype)
Mr Tam Hoang, Sustainable Urbanisation Specialist, ROAP, Located in Bangkok (Skype)

UKBEAG
Mr Peter Oborn, Chartered Architect
Mr Adrian Malleson, Head of Research, Analysis and Forecasting at NBS

IGC

Mr Oliver Harman, Economist
Mr Shahrukh Wani, Economist

UK FCO

Dr Elizabeth Milsom, GFCP Programme Lead, London
Ms Camille Soriano, GFCP Programme Manager, British Embassy Manila
Mr Zeynep Karamanli, GFCP Programme Manager, British Embassy Ankara
Mr Fuloso Aboderin, GFCP Programme Manager, British Embassy Lagos
Mr Jonathan Daniel, GFCP Programme Manager, British Embassy Pretoria
Ms Shwe Yi Myo Hein, GFCP Programme Manager, British Embassy Yangon
Ms Maria Herdanti, GFCP Programme Manager, British Embassy Jakarta
Mr Le Minh Than, GFCP Programme Manager, British Embassy Hanoi

ANNEX 3: LIST OF DOCUMENTS CONSULTED

Compendia of GFCP City Documents:

- City Context Report
- Terms of Reference
- Charrette Report
- Validation Workshop Report
- Technical Viability Assessment

GFCP Cluster Papers:

Cluster 1: Public Space
Success factors: The planning & design, legal and financial enabling conditions for quality public space.

Cluster 2: Heritage and urban renewal
Integrated public transit: Urban renewal key points
Success factors for heritage and urban renewal.

Cluster 3: Urban strategies and plans
IGC. 2018. Development of urban strategies and master plans.
Key Messages: Urban planning success factors and other benefits.

Cluster 4: Data systems for integrated urban planning
UN-Habitat. 2018. Data Systems for Urban Planning and Land Management.

Cluster 5: Multi-modal mobility strategies and plans
IGC. 2018. Key considerations for integrated multimodal transport planning.

Cluster 6: Data systems for multi-modal mobility
IGC. 2018. Data-oriented urban transport reform in middle-income and developing countries.
Key Messages: Data-oriented urban transport reform in middle-income and developing countries – Success factors and other benefits

Cluster 7: Flood management plans and systems
IGC. 2019. How can cities become more resilient? Improving flood management through better governance, private sector partnerships and open data.
Key Messages: Resilience & Flood Management Success Factor and Other Benefits.

Procurement
IGC. 2018. Strategies for effective procurement and public-private partnerships in the transport sector.
Key Messages: Strategies for effective procurement and public-private partnerships in the transport sector – Success factors and potential benefits.

GFCP Policy Papers:

IGC. November 2018. Assessment framework for measuring economic success in transport, land-use planning and resilience interventions.

IGC. November 2018. Urban planning for productive and liveable cities.

IGC. November 2018. Access to opportunity: Urban mobility for prosperous cities.

IGC. November 2018. Embedding resilience: City responses to acute shocks and chronic stresses.

ICG. 2018. Policies for prosperity in middle-income cities: Planning, transportation and resilience.

Other documents:
UK FCO/ UN-Habitat/ UKBEAG. December 2018. Assessment of Market Maturity and Professional Capacity, Volume 1 & 2.

UN-Habitat. December 2018. Prosperity Fund, Global Future Cities Programme: Transition Training and Dialogue.

UN-Habitat/ UK FCO. December 2018. Prosperity Fund, Global Future Cities Programme: Lessons Learned & Key Recommendations for Phase 2.

GOV.UK. November 2018. Cross-Government Prosperity Fund: Further information.

UN-Habitat. November 2018. Prosperity Fund, Global Future Cities Programme: Proposal Transition Phase for the UK Foreign and Commonwealth Office.

UN-Habitat. October 2018. Terms of Reference: Evaluation of the Strategic Development Phase for the Global Future Cities Programme.

UN-Habitat. March 2018. Prosperity Fund Global Future Cities Programme: Strategic Development Phase – UN-Habitat Project Proposal for the UK Foreign and Commonwealth Office.

UN-Habitat. March 2018. Strategic Development Phase for the Global Future Cities Programme: Project Document.

UN-Habitat. 2018. The Strategic Plan 2020-2025: Final Draft.

UN-Habitat. 2018. Evaluation Manual.

UN-Habitat. April 2017. Action Framework for Implementation of the New Urban Agenda.

UN-Habitat. March 2017. UN-Habitat Partnership Strategy: Promoting Strategic and Effective Partnerships towards the implementation of the New Urban Agenda.

UNEG. 2016. Norms and Standards for Evaluation.

United Nations. October 2016. New Urban Agenda – Habitat III.

United Nations. 2015. 2030 Agenda for Sustainable Development.

United Nations. 2015. Addis Ababa Action Agenda.

United Nations Framework Convention on Climate Change. December 2015. Paris Agreement.

United Nations. 2015. Sendai Framework for Disaster Risk Reduction 2015-2030.

UN-Habitat. 2013. Evaluation Policy.

ANNEX 4: GFCP INTERVENTION BRIEFS

Intervention briefs by country and city

Country	City	Pillar	Intervention Description
South Africa	Cape Town	Planning	Supporting the implementation of the City's Big Data Strategy: provide technical support to the City of Cape Town to give effect to the City of Cape Town's Data Strategy through data use and application case studies related to transport, economic analysis, resilience, and human settlements.
	Johannesburg	Transport	Review the fourth industrial revolution trends and effects on urban mobility in Johannesburg: Provide technical assistance to the City's Transport Department to review the existing Strategic Integrated Transport Plan Framework (SITPF) of the city of Johannesburg.
	Johannesburg	Planning	Strategic Area Framework and Associated Implementation Tools: Provide technical assistance to the Johannesburg Planning Department for the development of a Strategic Area Planning Framework and Implementation Tools for Soweto area.
	Durban	Planning	Data integration, collection and analysis for informal settlement planning and management: Provide technical support to Durban's Chief Resilience Office Team to develop an integrated data system for the city.
	Durban	Planning	Enhance institutional and government coordination for supporting the alignment of stakeholder plans on Transit-Oriented Development: Technical support to the eThekwini Transport Authority in the development of a coordination tool and change management process with the focus on urban regeneration and transport corridor development.
Brazil	Recife	Planning	Data Eco-system for Urban Governance in Recife: Provide technical assistance and capacity building to: i) Develop a Municipality Data Governance Framework with the Municipality ICT Company (EMPREL); ii) Set-up an Urban Information Hub with the Strategy and Innovation Recife Agency (ARIES); iii) Prepare a Society Engagement Action Plan with the group of main stakeholders led by Porto Digital.
	Belo Horizonte	Transport	Intelligent Mobility in Expresso Amazonas: Provide technical assistance to BH-TRANS (the Public Transport Agency) to develop a strategy and implementation plan for adding smart technology and analytics to the Expresso Amazonas bus corridor
Philippines	Cebu	Planning	City Roadmap for the SDGs' Implementation and Evidence-based Planning in Cebu: Provide technical assistance and capacity building to the Office of the City Administrator of Cebu to develop a city-wide strategy, a data center roadmap, and the identification of catalytic projects for Cebu.
	New Clark City (NCC)	Planning	Comprehensive Sustainability Plan for New Clark City (CSP-NCC): Provide technical assistance and capacity building to BCDA (Bases Conversion and Development Authority) to develop: i) A participatory design for NCC Central Park; ii) A Sustainable Integrated Housing and Livelihood Strategy; iii) A strategy for setting up a Sustainability Unit within BCDA
Myanmar	Yangon	Resilience	Revitalizing Streetscapes-unlocking the potential for Yangon's city assets: Provide technical assistance to the Yangon City Development Committee (YCDC) for the development and implementation of pilot projects in the downtown area of Yangon, based on participatory processes.
Vietnam	Ho Chi Minh	Transport	Establish a Smart-Ticketing System for the public transport network and provide technical assistance and capacity building to the Management Centre of Public Transport (MCPT).

	Ho Chi Minh	Resilience	Developing a Digitalised Inventory of the Drainage System in Ho Chi Minh City: Provide technical assistance and capacity building for the Urban Flood Control Centre to develop a digitalised inventory of the drainage system.
Thailand	Bangkok	Planning	Data Hub Roadmap for Integrated Planning: Provide technical assistance to the Bangkok Metropolitan Administration to develop a strategy for a data Hub that enhances integrated solutions for urban development
	Bangkok	Transport	Transit-Oriented Development (TOD) Plan for the Khlong Bang Luang area: Development of an integrated Site Plan for the Khlong Bang Luang area for the Traffic and Transportation Department, thereby enhancing the socio-economic benefits of the upgrading of transport infrastructure in the area.
	Bangkok	Resilience	Decision Support System (DSS) for Flood Management: Technical assistance to the Drainage and Sewerage Department for the set-up of a DSS to improve Bangkok Metropolitan Administration's ability to identify solutions for flood adaptation and mitigation and facilitate evidence-based decision-making
Turkey	Istanbul	Planning	Training and Capacity Development Programme: Implement a capacity development programme for the Istanbul Metropolitan Municipality civil servants, and provide technical assistance to prepare plans and strategies on transport management, urban resilience, and urban transformation
	Istanbul	Transport	Sustainable Urban Mobility Planning for Istanbul: Provide technical assistance and capacity building for developing a city-wide Sustainable Urban Mobility Plan for the Istanbul Metropolitan Municipality
	Bursa	Transport	Bursa Smart City Strategy: Provide technical assistance and capacity building to the Bursa Metropolitan Municipality to develop a city-wide Strategy for transforming Bursa into a Smart City, and preparing the implementation of a pilot project in transport management
	Bursa	Planning	Sustainable Urban Transformation Approach for Bursa: Provide technical assistance to the Bursa Metropolitan Municipality to prepare a comprehensive urban renewal plan in a central neighborhood in Bursa
	Ankara	Planning	Increasing Quality and Accessibility of Streets in Çankaya Neighborhoods: Provide technical assistance and capacity building to develop urban designs, implementation plans, and replicable methodologies for Çankaya District Municipality.
	Ankara	Transport	Multimodal Transport and Bicycle Strategy for Ankara: Provide technical assistance to Ankara Metropolitan Municipality for the preparation of a city-wide Bicycle Strategy and Master Plan and a pilot implementation in a prioritized neighborhood.
Nigeria	Abeokuta	Transport	Transport Policy for the City of Abeokuta: Capacity building and technical assistance to the Ogun State Bureau of Transportation for the development of a Transport Policy for the City of Abeokuta, with potential for expansion to the state-level.
	Abeokuta	Planning	Urban Masterplan for the City of Abeokuta: Technical assistance to Ogun State Ministry of Urban and Physical Planning (MUPP) for the development of an Urban Masterplan for the City of Abeokuta and the preparation of an urban renewal pilot scheme
	Lagos	Transport	Water Transport Feasibility Study: Technical assistance to the Lagos State Waterways Authority (LASWA) in the form of a Water Transport Feasibility Study for Lagos State
	Lagos	Planning	Urban Renewal Guidelines for Lagos: Technical assistance to the Lagos State Urban and Renewal Authority (LASURA) and the Ministry of Physical Planning and Urban Development (MPPUD) to develop state-wide Urban Renewal Guidelines

Indonesia	Surabaya	Planning	Urban Transformation Plan for Putat Jaya: Provide technical assistance to the Surabaya Planning Department to develop Urban Planning and Design Guidelines for the neighbourhood of Putat Jaya.
	Surabaya	Resilience	Earthquake Preparedness Strategy: Provide technical assistance to Surabaya Planning Department to create an Earthquake Preparedness Strategy including an implementation plan, an awareness campaign, and capacity building of departments and institutions
	Bandung	Transport	Development of an Integrated Public Transport system in Bandung: Provide technical assistance and capacity building to Bandung City Transport Agency to develop a city-wide Integrated Transport Plan including planning and design, legal and financial models and an implementation roadmap
Malaysia	Iskandar	Transport	Iskandar Malaysia Smart Integrated Mobility Management System (IMSIMMS): Provide technical assistance to the Iskandar Regional Development Authority for the design of the IMSIMMS (management system; operational management centre and pilot project) and capacity building for using data in urban and transport planning
	Melaka	Transport	Heritage Area Mobility Plan and Green Transport Corridor Feasibility Study: Provide technical assistance to the Malaysia Industry Government Group for High Technology (MIGHT) and the Melaka Green Tech Corporation in the form of the development of a Heritage Area Mobility Plan for the UNESCO heritage area in Melaka and a feasibility study of a green transport corridor connecting the city center to the strategic road network

Source: GFCP - Interventions Description in the Dropbox's Folder 7 (draft 16 November 2018).

ANNEX 5: RECONSTRUCTED RESULTS CHAIN FOR THE GFCP

Preliminary outline of the reconstructed Results Chain for the GFCP

Global Development Objective The objective for the UN-Habitat Final Draft Strategic Plan 2020-2025 is: "to advance sustainable urbanisation as a driver of development and peace to improve living conditions for all". The aim of the Global Future Cities Prosperity Fund programme is to work with a selected number of cities in middle income countries. Over a three-year period to improve the way their cities are planned and managed, resulting in increased local prosperity and quality of life, including a reduction in levels of poverty and gender inequality, together with creating mutually beneficial trade opportunities.[1]
Emerging impact during the Operation and Maintenance Phase 1. Improved prosperity for the urban resident with spill over effects to the peri-urban and rural areas; 2. Reduced poverty and enhanced gender equality; 3. Reduced susceptibly to natural disasters; 4. Improved economic activity and trade.
Programme intermediate objective end of the Build Phase Programme interventions implemented according to plans and capacity developed and have contributed to improved prosperity and quality of life for urban residents in programme cities and globally - while also providing the foundation for further transformation of the 'built environment' (see Box 2) to achieve the SDGs, NUA, etc.
Intermediate outcomes end of the Build Phase 5. The urban planning and design interventions have resulted in significantly improvements of the built environment and made the foundation for further improvements; 6. The transport interventions have improved accessability and reduced travelling time, costs and GHGs and have the potential to be replicated in other parts of the cities; 1. Disaster risk reduction measures and climate mitigation and adaptation interventions have significantly enhanced the cities' resilience towards natural disasters and the preparedness for effective response; 2. Capability and capacity development interventions within the programme's three thematic pillars have significantly improved the cities' planning and management capacity; 3. Global lessons learned; and tools and methodologies refined accordingly.
Programme immediate objective end of the Design Phase Interventions/projects have been planned and designed and are ready for implementation in accordance with the conceived development scenario for the 'built environment'; and local authorities and entities have acquired to monitor and supervise the implementation and to make adjustments if need be.
Immediate outcomes end of the Design Phase 1. Regulatory aspects clarified, plans for and design of selected interventions/projects completed. 2. Further technical assistance for the Build Phase identified as required. 3. National, local and external funding sources identified for implementation and O&M. 4. Capability and capacity developed for implementation and O&M. 5. Global lessons learned; and tools and methodologies refined accordingly.
Project immediate objective end of the Strategic Development Phase[2] Project concepts and capacity developed for the transformation of the 'built environment that will contribute to improved prosperity and quality of life for urban residents in programme cities and globally.

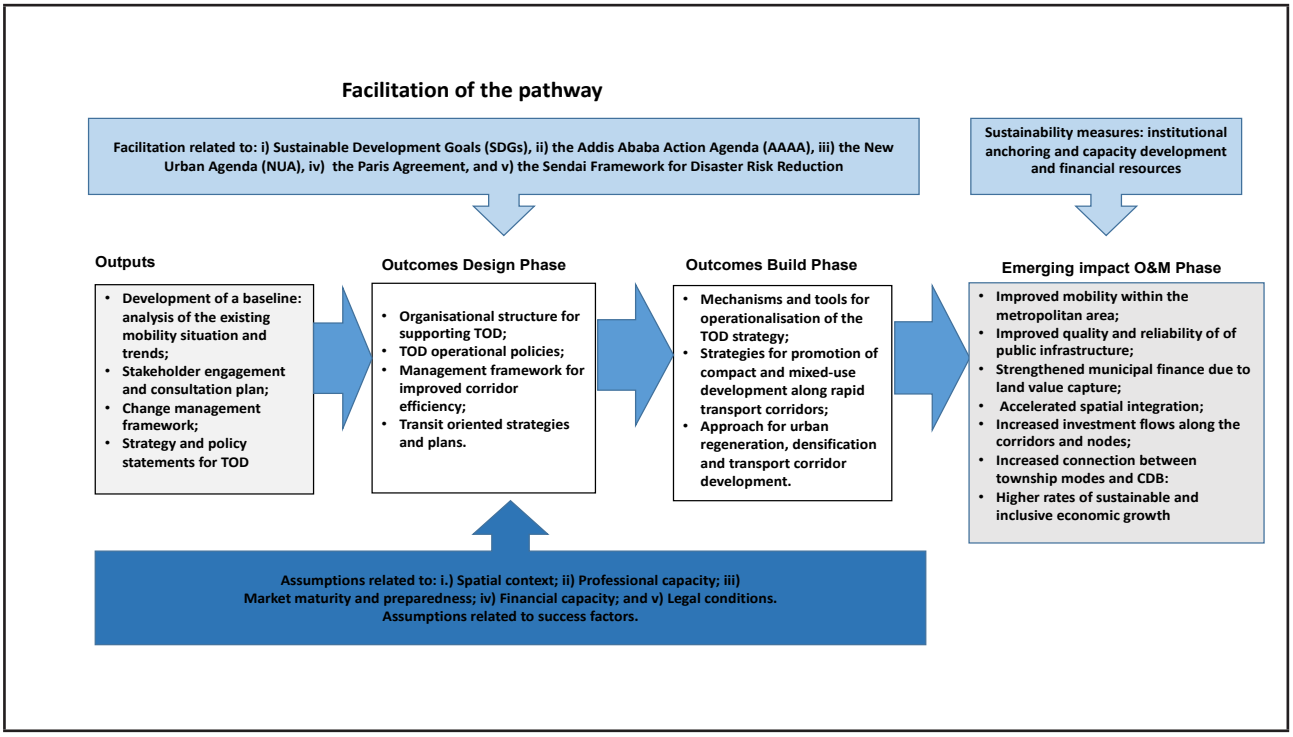
Immediate outcomes end of the Strategic Development Phase[3] 1. Enhanced understanding of solutions to challenges for congestion, pollution, urban sprawl, lack of accessible services, poor planning and land management and inability to respond to the impacts of growth, climate change and natural disasters in selected cities.[4] 2. A validated strategic framework for city interventions compatible with the anticipated impacts. 3. Capability and capacity developed for participating cities through targeted training and institutional development in support of the cities' active participation during implementation. 4. Global lessons learned; and tools and methodologies refined accordingly.
Outputs 1. Context appropriateness validated and technical accuracy of interventions tested. 2. Stakeholder buy-in documented and confirmed. 3. Capacity and capability of market to engage with and deliver the proposed interventions determined. 4. Confirmation of intervention is likely to deliver impact to support increased inclusive and equitable prosperity. 5. Global contribution of Future Cities Programme to prosperity, SDGs and recommendations paper. 6. Capacity for implementation improved.

Notes:
1. UK FCO Policy paper. November 2018. Prosperity Fund FCO programme summaries: global.
2. No project objective has neither been defined in the Project Proposal nor in the Project Document.
3. No outcomes have been formulated except the 'expected accomplishment' in the Project Document. The outcomes stated in the Project Proposal are identical to the outputs formulated in the Project Document, and as such they are not outcomes.
4. This outcome is identical to the 'Expected Accomplishment' stated in the Project Document.

Model for the reconstructed Results Chain and ToC for interventions/projects

Objectives and results	Source
Global development objective	Same as global programme
Emerging impact during the Operation and Maintenance Phase	ToR, Section 3.4 City Context Report, Potential Impact: Long-term Outcome
Intervention/project immediate objective - end of the Build Phase	To be conceived
Intermediate outcomes end of the Build Phase	City Context Report, Potential Impact: Mid-term Outcome
Intervention/project immediate objective – end of the Design Phase	To be conceived
Immediate outcomes end of the Design Phase	City Context Report, Potential Impact: Short-term Outcome
Intervention/project immediate objective - end of the Strategic Development Phase	ToR, Section 3.1
Immediate outcomes end of the Strategic Development Phase	Technical Viability Assessment, Chapter2: Transformative potential
Outputs	ToR, Section 3.2

ToC Diagram Durban case: Enhanced institutional and governance coordination for supporting alignment of stakeholder plans working with Transit Oriented Development (TOD)



Theory of Change explanation

Theory of Change is essentially a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context. It is focused in particular on mapping out or "filling in" what has been described as the "missing middle" between what a program or change initiative does (its activities or interventions) and how these lead to desired goals being achieved. It does this by first identifying the desired long-term goals and then works back from these to identify all the conditions (outcomes) that must be in place (and how these related to one another causally) for the goals to occur. These are all mapped out in an Outcomes Framework.

The Outcomes Framework then provides the basis for identifying what type of activity or intervention will lead to the outcomes identified as preconditions for achieving the long-term goal. Through this approach the precise link between activities and the achievement of the long-term goals are more fully understood. This leads to better planning, in that activities are linked to a detailed understanding of how change actually happens. It also leads to better evaluation, as it is possible to measure progress towards the achievement of longer-term goals that goes beyond the identification of program outputs.

Source: Center for Theory of Change, The Center has been established by ActKnowledge, a leader in the development of Theory of Change, based in New York City.

Results framework explanation

A results framework is an explicit articulation (graphic display, matrix, or summary) of the different levels, or chains, of results expected from a particular intervention—project, program, or development strategy. The results specified typically comprise the longer-term objectives (often referred to as "outcomes" or "impact") and the intermediate outcomes and outputs that precede, and lead to, those desired longer-term objectives. Although the World Bank has used the term "results framework" over the last decade, similar conceptual tools, also designed to organize information regarding intended outcomes and results, are used across different agencies: logical frameworks, logic models, theories of change, results chains, and outcome mapping. Thus, the results framework captures the essential elements of the logical and expected cause-effect relationships among inputs, outputs, intermediate results or outcomes, and impact.

A **results framework** is therefore a useful management tool, with program implementation assessed in direct relationship to progress in achieving results, at the outputs, outcomes, and impact levels. It helps achieve strategic objectives. The strategic objective is the ultimate driver of a program.

Source: WB Independent Evaluation Group.

The outcome framework as mentioned in the ToC explanation share similar principles as the results framework.

ANNEX 6: EVALUATION MATRIX

Evaluation Questions		Indicator	Means of Verification
Relevance			
1.	To what extent are the objectives of the Project consistent with national goals, policies and strategies, and urban development plans?	Degree of interventions' alignment to national and local policies.	Case study. CCR and ToR. Questionnaire survey*
2.	To what extent is the project implementation strategy responsive to SDGs, New Urban Agenda and strategies of UN-Habitat?	Degree to which interventions are responsive to SDG targets, NUA, etc.	Case study. CCR and ToR for city interventions
3.	To what extent are the Project's intended outputs and outcome relevant to the needs of cities, local authorities and citizens?	Beneficiaries appreciation of the project interventions.	Case study. CCR and ToR. Questionnaire survey
4.	To what extent were vulnerable groups included in the Project design and implementation?	Degree to which the vulnerable groups are included.	Case study. CCR and ToR. Questionnaire survey.
Efficiency/ Outputs			
5.	How well was the Project designed and implemented, and were resources efficiently utilized? NB: "Project" refers to UN-Habitat's assignment as opposed to the GFCP projects/interventions.	Project team's and UK FCO staff's perception of the efficiency.	Interviews with project team members, UK FCO HQ & posts and LCSs. Questionnaire survey.
6.	To what extent were the institutional arrangements adequate for achieving the Project's expected outputs and outcomes?	Project team's and UK FCO staff's perception of the delivery mechanisms.	Interviews with project team members, UK FCO HQ & posts and LCSs.
7.[1]	To what extent have internal and external obstacles (administrative, financial and managerial) affected Project delivery of outputs and achievement of the expected outcomes?	Project team's and UK FCO staff's perception of encountered obstacles.	Interviews with project team members, UK FCO HQ & posts and LCSs.
8.[2]	To what extent was the Project delivered in a cost-effective manner?	Ratio of manpower input to anticipated investments	Cost-efficiency assessment
9.[3]	To what extent has monitoring and reporting on the implementation of the Project been timely, meaningful and adequate?	Deadlines have been met timely and deliverables are consistent with the partners expectation and live up to good professional standards.	Scrutiny of project documentation. Interviews with project team members, UK FCO HQ & posts and LCSs.
Effectiveness/ Outcomes			
10.	Did the Project achieve the intended outcomes during the Strategic Development Phase as per the project design?	Rate of achievements by volume and substance.	Case study. Comparison of Project Proposal with actual achievements, incl. MoUs**.
11.[4]	To what extent have city level stakeholders been involved in the identification of and reporting on the interventions?	Degree of city level stakeholders' acceptance and appreciation of the project interventions.	Charrette reports, validation reports and MoUs. Case study. Questionnaire survey

12.	How has the project been able to partner and collaborate with other stakeholders to achieve the Project objectives?	Extent of consultations with national level stakeholders, academia, CSOs, etc.	Charrette reports, validation reports and MoUs. Case study. Questionnaire survey
13.[5]	How well did the project management adapt to changes during the implementation and what were the main lessons learned?	Number and type of deviations	Monthly progress reports and interviews with the project team. Case study.
14.	To what extent were cross-cutting issues of gender, youth, climate change, and human rights integrated into the identification and validation process and in the reporting and monitoring of the Project?***	Actual and meaningful inclusion of the cross-cutting issues in project documentation.	CCR and ToR, charrette reports, validation reports and MoUs. Case study. Interviews with project team members, UK FCO HQ & posts and LCSs.
Impact/ impact outlook			
15.[6]	To what extent are the identified interventions likely to attain or not their objectives and expected results – or even negative effects due to non-contained risks (short, medium and long-term) related to partners and targeted beneficiaries, whether citizens, participating cities and local authorities?	Extent to which short-term outcomes have been achieve by city and are likely to contribute to long-term impact.	Global papers, charrette reports, validation reports, technical validation assessments and MoUs. Interviews with project team. Case study. Questionnaire survey.
Sustainability and sustainability of approach			
16.	To what extent and in what ways has the ownership by city level stakeholders enhanced the Project's sustainability?	The degree of city stakeholders' engagement during the strategic phase and likely participation in the programme implementation phase	Charette reports, validation reports, technical validation assessments and MoUs. Interviews with project team members, UK FCO HQ & posts and LCSs. Case study. Questionnaire survey
17.	To what extent will the city-level activities be replicable or scaled up at national, regional or local levels or encourage further collaboration and exchange between stakeholders?	Donor willingness to support the urban agenda; and national level enabling environment and support.	Interviews with UN-Habitat, UK FCO HQ, IGC and UKBEAG. Case study.
18.	Are the systems and capacities in place to ensure the project results are sustained?	City authorities' evolving capacity for urban planning and management.	Technical validation assessments. Interviews with UN-Habitat, UK FCO HQ, IGC and UKBEAG. Case study.
19.[7]	Is the Project seen as being innovative and would the project be replicable in other middle-income countries with support from development partners?	Degree of appreciation of the project's future potential.	UN-Habitat and UK FCO HQ

Comments to the evaluation questions in the Evaluation's ToR, Section 5:

1. The second question in bullet 2 (Efficiency) has been formulated as a separate question. EQ7 above was found to cover the bullet 2 question (Effectiveness) which is therefore not included.
2. EQ8 above was found to cover the bullet 3 question (Effectiveness) which is therefore not included.
3. The bullet 4 question (Efficiency) has been replaced by bullet 7 question in (Effectiveness).
4. EQ11 above was found to cover the bullet 1 question (Sustainability) which is therefore not included.
5. EQ13 above covers the bullet 6 question (Efficiency) but has been reformulated.
6. EQ15 above was found to cover the bullet 5 question (Effectiveness) which is therefore not included.
7. New EQ added related to the evaluation objectives (ref. ToR Section 3).

Notes:

*The questionnaire survey is addressed to the city authorities.

**The MoUs between UK FCO HQ and city authorities were in the process of being prepared at the time of conducting the evaluation and could thus not be included as evidence.

*** The evaluation question has been amended to correspond to the actual situation.

ANNEX 7: QUESTIONNAIRE SUMMARY AND SYNTHESIS

Questionnaire Summary (29 responses)

	Statement	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not know
1.	The proposed project is consistent with national goals, policies, strategies and urban development plans.	20	9				
2	The proposed project is relevant to the city authority and its citizens.	22	7				
3,	The city authority has been fully involved in the identification process and in determining the scope of the proposed project.	17	12				
4.	The charrette session and the validation workshop were essential for the participatory process to achieve consensus among city stakeholders as regards project scope and substance.	14	12	1	1		1
5.	The charrette session and the validation workshop were essential for achieving national level support to the proposed project.	10	9	5	3		2
6.	The proposed project will have the anticipated effects on targeted beneficiaries when implemented.	19	9	1			
7.	The intended effects from the proposed project and positive changes on our city are likely to materialise in the short, medium or long-term.	15	13	1			
8.	The ownership and engagement by city level stakeholders have enhanced the proposed project's sustainability.	16	11	2			
9.	The UN-Habitat team* has played an important facilitation role in the formulation of the proposed project.	19	7	1	1	1	
10.	The Transition Training and Dialogue week held in London by UKBEAG proved valuable for exchanging of experiences, exposing good practises, and providing inputs to the project scope and substance for your City.	13	7	2			7

The questionnaire responses covered 25 (83%) of the identified interventions. In five cases two city officials responded to the same intervention – making the number of respondents 29. Not all respondents offered additional comments. The score of the statements indicates the respondents' overall opinion, but the additional comments made may not be entirely representative, as not all respondents made additional comments. Nonetheless, the additional comments provide useful positions. The additional comments are synthesised as follows:

Statement 1: One respondent expressed that the intervention reflected what was most needed and had yielded the need for a cohesive, long-term and strategic approach. Another respondent expressed that economic and systematic solutions must be found to address the challenges of rapid urban growth.

Statement 2: One respondent expressed that the intervention will benefit a large proportion of the city's and the metropolitan region's citizens; another expressed that the intervention reflects the voice of the city stakeholders.

Statement 3: A number of respondents expressed that they in their respective interventions worked closely with

city stakeholders as well as with key national and city stakeholder entities. The ToRs were finetuned during the identification and validation process. In one case it was observed the UN-Habitat team's knowledge did not match the substance of the intervention.

Statement 4: A number of respondents expressed that the discussions during the charrettes and validation workshops resulted in a common understanding and consensus among the participants. One respondent expressed that the validation workshop would have benefitted from more direct citizen participation.

Statement 5: Some respondents expressed that national level organisations should participate in the charrette and validation workshops when their backing and support are needed – national level support may also facilitate local council approval and may also promote replication in the country. Some respondents expressed that national stakeholders were not involved as they were not deemed relevant for the intervention.

Statement 6: Some respondents expressed that the interventions include all citizens in the influence area, but the target group needs to be well defined; the proposed intervention will improve service delivery, budget allocation and project prioritization, which ultimately will impact on city residents; and that other derived effects of higher land value, rent rates, and home values sales will affect the existing residents. The project will become a benchmark for other municipalities and authorities.

Statement 7: Some respondents expressed that he interventions will have lasting effects and that effects from some interventions will already be felt in the short-term; and that a strategy needs to be put in place to achieve the envisioned changes as each phase requires different efforts. Other cities will be able to draw on the experiences.

Statement 8: Some respondents expressed that the engagement of local stakeholders including local NGOs, academia and community representatives mitigates the risk of government turn-over during elections, which ensures project sustainability by placing project ownership on a broad group of stakeholders; stakeholder participation in the identification and implementation process will facilitate sustainability; and involvement of public authorities will ensure prioritisation and commitment.

Statement 9: Some respondents expressed that UN-Habitat had provided the needed guidance in developing the intervention concept and in drafting the ToR – their experience and perspective in working with various cities were valuable in articulating their needs. Two respondents expressed that the division roles and responsibilities among the UN-Habitat team members were not made clear upfront, which made the city authorities to lead the discussions.

Statement 10: The respondents expressed that new ideas were conceptualised and added to the proposed interventions; and that the training week was a valuable experience getting to know how challenges and solutions in one of the most diverse cities in the world.

ANNEX 8: SYNTHESIS OF CASE STUDIES

A8.1 Synthesis of desk review of eight case studies

The case studies comprised a desk review of the City Context Reports, the Terms of Reference, Technical Viability Reports, Charrette Reports and Validation Workshop Reports. The observations have been synthesised and are related to a number of the evaluation questions (ref. Evaluation Matrix, Annex 6).

EQ1: *Relevance of national and local policies, strategies and plans*

The case study sample indicates that the interventions where possible aim at being aligned with national, regional and local policies, strategies and plans. However, the governance contexts for the interventions are very diverse. Some cities have limited autonomy and are subject to the authority of national or regional bodies and have limited decision-making powers of their own, a situation which is further exacerbated when neither masterplans nor sector plans have been developed. In contrast, other cities have a high degree of autonomy and have masterplans and sector plans in place that provides the development framework for the interventions. In one case, a comprehensive sector plan has been developed and approved, but implementation suffers from complex coordination mechanisms and lack of funding.

EQ2: *Responsiveness to SDGs, the New Urban Agenda and strategies of UN-Habitat*

The case study sample indicates that the responsiveness to SDGs and AFINUA key items is reflected differently in the CCRs and ToRs. Generally, the CCRs have a wider coverage of SDGs and AFINUA key items than in the TORs. In some cases, the AFINUA key items are not mentioned in the ToRs. In one case reference is made to all 17 SDGs in the ToR. The CCRs have a quite deliberate overview of "Potential Impact and Programme Objectives Alignment" indicating potential benefits by sub-phase – that theoretically could be achieved – with due reference to SDGs and target, AFINUA Key items, and Programme objectives and cross-cutting issues.

EQ3: *Relevance of outputs and outcomes to the needs of the cities, local authorities and citizens*

The case study sample indicates that the identified interventions generally are relevant to the needs of the cities and its residents and the local authority. Some interventions have city-wide relevance, whereas others are area specific. The area specific interventions may be replicated in other parts of the city. The degree of relevance is relatively higher for low-income groups. The continued relevance of the interventions will eventually be determined by the extent to which they are implemented, and potential benefits achieved, as all barriers may not be fully overcome – which in particular may be the case for cities having a high level of barriers.

EQ4: *Inclusion of vulnerable groups in the project design and implementation*

The case study sample confirms the inclusion of vulnerable groups in the intervention design, but this has been expressed to varying degrees in the intervention documents – from being very explicit to being somewhat implicit by referring to the relevant SDGs and AFINUA key items. It appears that limited direct consultations have been conducted with vulnerable citizens, so their needs and interests have mostly been expressed by the city key stakeholders. The composition of the interventions' consulting teams for the Planning and Design Phase hardly includes social scientists, which may hamper a more optimal inclusion of the vulnerable groups.

EQ10: *Achievement of the intended outcomes as per the Project design*

The case study sample indicates that the outcomes related to the cities have generally been achieved as follows: 1) Enhanced understanding to the challenges and solutions addressed by the intervention have been achieved; 2) Validated frameworks for the intervention have been developed; and 3) Awareness on the capabilities and capacity required to implement the intervention has been created. The prospects for further development of capacity depends

among others on the city governance structure and degree of autonomy. In cases with a hierarchy of decision-makers and complex approval procedures, it may prove difficult to mobilise adequate capacity.

EQ11: *City level stakeholders' involvement in the design of and reporting on the interventions*

The case study sample indicates that in cities with a high degree of autonomy it has mainly been the city stakeholders that have been involved in the identification process, but frequently in due coordination with regional or national level administrations as appropriate. In cases where the regional administration has the jurisdiction over city affairs, the city stakeholders have been involved to a lesser extent. City sector managers and service providers have generally been involved to represent their respective areas of responsibility and to advise on the scope of the interventions. Other city level stakeholders (city service operators, the private sector, CSOs and academia) were invited to the charrette and validation workshop sessions providing an opportunity for them to influence the scope of the interventions. Development partners were in some cases also invited if they had previously been involved in the intervention theme or shown an interest and could potentially have a role when it comes to funding of the interventions. The low-income and vulnerable beneficiaries have only been involved indirectly. Involvement of community leaders and NGOs in the further implementation process could add value to reaching the overall objective.

EQ12: *The ability of the Project team to partner and collaborate with other stakeholders to achieve the Project objective*

The case study sample indicates that the charrette and validation workshop sessions have been an opportunity to include other city-level stakeholders (city service operators, the private sector, CSOs and academia) and in number of cases also central and regional government officials from which some cities are depending on their active involvement for implementing the proposed interventions. Interaction with city stakeholders has also taken place in connection with the elaboration of context reports and ToR for the interventions.

EQ13: *Project management's ability to adapt to changes during the implementation and main lessons learne*d

The case study sample indicates that the interventions were subject to some adjustments in the course of the validation process, but the interventions' overall scope remained unchanged.

EQ14: *Integrating of cross-cutting issues into the design, planning and implementation of the Project*

All three pillars of urban planning, transport and resilience have implicit prospects for mainstreaming of the cross-cutting issue, for example:

- Urban planning: Access to safe public spaces; mitigation of disaster risk through appropriate location; access to employment and public services for women and youth; and right to proper and safe housing areas and landownership.
- Transports: Increased mobility and access to work places and education institutions for women and youth; rights to affordable transport; and reduction of greenhouse gases.
- Resilience: Adaptation to and mitigation of climate change, rights to proper protection for flooding and other weather hazards for women and vulnerable groups.

The case study sample indicates that gender equality is the most frequently mentioned cross-cutting issue in the intervention descriptions, whereas there is limited reference to youth, climate change and human rights. This is contrary to the intent of shaping the interventions under the mainstreaming of environmental safeguards, youth, gender equality and human rights.

EQ15: *Attainment of expected results or non-intended negative effects*

These are well elaborated in the case study sample' CCRs and present the ideal development scenario. However, the achievement of outcomes and impacts is subject to how the identified barriers can be resolved. The viability by intervention varies significantly in the case study sample as is also the case for the entire portfolio. It is evident that the cities with low success rates have a lesser likelihood of achieving the expected result, unless specific measures are undertaken to improve the conditions of the five viability factors. Alternatively, the scope of the results should be reduced to correspond with viability assessment.

EQ16: *Influence of city level stakeholders' ownership on sustainability*

The case study sample indicates that the city authorities generally have taken ownership of the interventions, which is likely to facilitate the interventions' sustainability, especially so for cities enjoying a high degree of autonomy and technical viability.

EQ17: *Replicability of city-level activities at national, regional and local levels*

The case study sample indicates that there is considerable scope for collaboration within the city authorities themselves, but also with central government and development partners with a view to address overall policy and legal issues as well as funding issues. Furthermore, there is also substantial scope for collaboration with affected community groups – in particular the vulnerable groups, possibly through civil society organisations. In some cases, the interventions are city-wide, and can as such not be replicated in the city. In other cases, the interventions are related to specific communities and may thus be replicated in other communities in the city having similar needs.

EQ18: *Adequacy of systems and capacity to ensure sustainability of achieved results*

The case study sample indicates that while the policy and planning environment is adequate, they can be highly centralised, which may limit the capacity for executing the plans and programmes and enforcement of these. This is further accentuated when the city administration rests with an external body to the city and be even worse if the mandated body itself has limited capacity. Cities can have a good professional capacity, but planners may be rooted in traditional siloed fields making integrated planning a challenge.

A8.2 Synthesis of interviews with FCO posts and Local City Specialist

Interviews of FCO posts and Local City Specialists were conducted to complement the desk study of the eight case studies. A total of 15 interviews out of 16 possible were conducted. The interviews were semi-structured. The interview answers have been generalised and related to a number of the evaluation questions (ref. Evaluation Matrix, Annex 6).

EQ5: *Design and implementation of the Project and use of resources*

The further identification of the interventions was based on the UK FCO scoping studies. There were some variations in how the perspectives of the scoping studies were contained in the subsequent identification process: in some cases, there were a continuation of the considerations, whereas in others the interventions deviated significantly from the initial scope. The charrettes were important for inviting stakeholders' views and establishing the interventions' framework and substance. Correspondingly, the validation workshop was important for the cities' acceptance and subsequent approval of the Terms of Reference (ToR). Some cases involved several categories of stakeholders with varying perceptions making the identification and validation more complex.

The general sentiment was that the identification and validation process was well conceived. In most cases the interaction with the city authority was constructive. However, in a few cases the city authority was hesitant and not immediately forthcoming – one reason being that they expected more tangible results than what was being proposed. In some cases, it took some time before the intervention concept was in place, leaving limited time for the preparation of the City Context Report (CCR) and the ToR within a timeframe that was already tight.

The FCO posts were instrumental in contacting senior city officials, resolving critical issues in relation to the city authority and for facilitating the identification process. The Local City Specialists (LCSs) were essential for conducting the identification and concluding the intervention framework. The LCSs were mainly recruited in country/city with substantial knowledge of the local context, good professional networks and previous experience from assignments in the city Understanding of the local political context was found to be essential for conceptualisation of the intervention and achieving consensus among political and administrative leaders. The Project team's tasks were intended to follow a structured sequence, but in some cases, this was not always achieved – creating some confusion about the respective roles of UN-Habitat, UKBEAG, IGC and the LCSs. More information on the set-up and division of tasks for the identification process early on might have provided the cities a better insight of the adopted approach.

EQ6: *Adequacy of the institutional arrangements for achieving Project output and outcomes*
Being a 'neutral agency', UN-Habitat's role for providing technical assistance was regarded as objectivity based. In countries where UN-Habitat did not have country office it was seen as a disadvantage not being able to draw on national and institutional experience. In countries where UN-Habitat had offices, logistic support was provided to assist the Project core team, but in some cases more professional support within the thematic pillars was warranted. The cities had in some cases expressed that more IGC inputs on certain disciplines would have been desirable. The consortium partners (UN-Habitat HQ, IGC, UKBEAG and the LCS) were assigned specific tasks but attempted to complement one another when specific need for technical expertise was required. The training week organised by UKBEAG in London was regarded very effective by those having the opportunity to participate – providing interesting showcases and demonstrating potential effects.

The conduct of the charrette and the validation workshop was considered a beneficial approach for achieving city stakeholders' buy-in. Buy-in from higher level officials was in some cases difficult to obtain as the handling of matters relating to the intervention was delegated to middle-level management, whereas delegation to the city level managers in a few cases was limited. The cities generally assigned a technical department as the focal point for interaction with the Project team; at times, however, some cities had initially difficulties in mobilising the right staff to be in charge of communicating the city's interest and in providing adequate technical back-up. The feedback to the Project team on the CCR and ToR was mainly provided by the technical departments; and in some cases, the technical departments contributed significantly to the elaboration of the ToR. The interventions' CCR and ToR were mainly finalised by end of 2018. Some ToRs were refined during the Transition Phase. Generally, the ToRs were aligned with cities' development plans when feasible and when these were found appropriate. The ToRs were approved by the 'proper authority', which could either be a state or regional government, a development authority, the local government authority or a technical department.

The Strategic Development Phase was intended to be concluded by facilitating a Memorandum of Understanding (MoU) between the city authority and UK FCO concerning the mutual responsibilities and obligations when the intervention progresses into the Implementation Phase. MoUs were prepared in some forms and in some level of detail. Some of the MoUs are likely to be reviewed and updated during the Implementation Phase reflecting the level of progress of the intervention. The consent from the central government in some form may be required in addition to the MoU/agreement made with the city authorities.

EQ7: *Encountered internal and external obstacles affecting the delivery of the interventions' outputs and achievement of outcomes*

Internal barriers were mainly concerned with the tight time schedule and in mobilising the right type of expertise at the right time, which as mentioned above caused some confusion. External barriers were in some cities mainly concerned with some initial hesitance on the intervention's scope, difficulties moving from abstract concepts to concrete interventions, and lack of adequate capacity to enter into a cooperating partnership. In cases with many stakeholders having different commercial and political interest it was a challenge to reconcile the differences pertaining to the intervention. In one case elections were held during the identification phase which disrupted the work that had to be taken up again. Despite the various shortcomings all ToRs were finalised and approved.

EQ9: *Timeliness and meaningfulness of monitoring and reporting on the interventions' progress*

The charrettes and validation workshops were very important in moving the identification process forward. Whereas the charrette was attended by wider groups of stakeholders, the validation workshops were generally attended by smaller audiences of mainly city key stakeholders. The FCO posts and the LCSs had frequent sessions to resolve occurring issues. The LCSs had weekly conversations with core team members at UN-Habitat HQ; and FCO posts had monthly meetings with UK FCO HQ. The reporting mechanisms were generally found to be appropriate. Besides the regular meetings, ad-hoc meetings were held when urgent issues needed to be resolved.

EQ14: *Extent of integrating mainstreaming the cross-cutting issues of gender, youth, human rights and climate change during the identification and validation process*

The cross-cutting issues and the corresponding SDG targets are generally embedded in the interventions. The cross-cutting issues were considered to varying degrees: some cities were observant of these and that development should

be linked to the SDGs, whereas others were constrained by lack of accessibility to key informants and thus unable to collect adequate evidence – with the implication that the trust of the identification was mainly on technical aspects. The three GFCP pillars have the potential to incorporate all four cross-cutting issues but the relative emphasis of mainstreaming these depends on the interventions' specific context. Some of the cross-cutting issues referred to in relation to the three pillars were:

- Urban planning and design interventions promote better integration of low-income areas and improvement of public spaces which will implicitly benefit women and youth. Urban planning should take the risk of climate change hazards into account, especially flooding by avoiding development in flood-prone areas. Urban planning also contains human rights aspects by ensuring access to low-income housing and land rights when resettlement of residents is part of the intervention.

- Transport interventions improve access to employment, education and social services and enhance safety and thus address gender and youth. Transport infrastructure should be developed, and services delivered to mitigate climate change risks. Access to appropriate transport services is an essential human rights issue.

- Resilience interventions provides protection against flooding which is partly caused by climate change but also the absence of storm-water drainage systems and thus address: climate change, gender and youth. Proper protect against flooding and climate change health hazards is an essential human rights issue.

Urban planning and transport planning could be integrated processes – which would also facilitate a better mainstreaming of the cross-cutting issues. NGOs have in number of cases been invited to take part in the identification and validation process to, among others, facilitate adequate mainstreaming of the cross-cutting issues. In some cases, it was stated that more inputs on the cross-cutting issues would have been useful. Mainstreaming of the cross-cutting issue were seen as a process that should continue into the Implementation Phase.

EQ16: *Extent of community participation during the identification and validation process*

There was some variation in the way community participation was sought: in some cases, an extensive process of consultations with NGOs, CSOs and academia was applied providing a strong foundation for the implementation of the intervention; whereas in other cases community participation was constrained due to protocol issues and generally being problematic. Some interventions were not location specific and thus more targeted community participation was not an option.

The wider engagement of stakeholders and affected communities would require more time than what was allocated within the tight time schedule and thus community participation was mainly considered indirectly through stakeholders' views. A wider engagement of stakeholders and affected communities would, nonetheless, be a way of mainstreaming the cross-cutting issues into the interventions – the charrettes was one such means of inviting a broader group of city stakeholders and community groups.

ANNEX 9: AFINUA KEY ITEMS REFERRED TO IN GFCP INTERVENTIONS

Principles and Values

The 'New Urban Agenda (NUA) is universal in scope, participatory and people-centred; protects the planet; and has a long-term vision, setting out priorities and actions at the global, regional, national, subnational and local levels that governments and other relevant stakeholders in every country can adopt based on their needs.' The city it envisages offers '(1) [the] right to adequate housing as a component of the right to an adequate standard of living, without discrimination, (2) universal access to safe and affordable drinking water and sanitation…(3) equal access for all to public goods and quality services…such as food security and nutrition, health, education, infrastructure, mobility and transportation, energy, air quality and livelihoods, (4) participatory, civic engagement [and] social cohesion and inclusion, (5)…women's full and effective participation and equal rights in all fields and in leadership at all levels of decision-making, (6) [reduced] disaster risk…(7) sustained, inclusive and sustainable economic growth [and] … (8) protection, conservation, restoration and promotion of their ecosystems, water, natural habitats and biodiversity.' The NUA also has a preeminent commitment to inclusion, innovation and integration. Indeed, these values are both a cause and consequence of the principles above.

The purpose of the AFINUA is to outline the basic ingredients for the implementation of NUA. The 35 AFINUA key elements are divided into five major groups: 1) National urban policies; 2) Urban legislation, rules and regulation; 3) Urban planning and design; 4) Urban economy and municipal finance; and 5) Local Implementation. The principles of participation and governance cut across all key elements. Table A7.1 provides an overview of AFINUA key items that are referred to in the GFCP City Context Reports and Terms of Reference.

Table A9.1: AFINUA key items referred to in CCRs and ToRs

No.	Key Item	Links to NUA paragraphs
1	**National Urban Policies**	
1.4	Align national urban policies with national and sectoral development plans and policies at all territorial levels to harness the transformative power of urbanization with urban plans (e.g. energy, water, transportation and other infrastructural corridors)	Paras 13(e), 13(g), 14(c), 15(c)i, 15(c)ii, 50, 63, 64, 86, 96, 136
1.6	Promote jurisdictional coordination and coherence	Paras 13(e), 14(a), 15(c)ii, 87, 88, 90, 91, 96, 99, 105, 117
2.	**Urban Legislation, Rules and Regulations**	
2.2	Establish a legal basis for the urban plan and distinguish public space from buildable urban land	Paras 31, 41, 72, 90, 114, 138, 155, 156
2.3	Enact effective law for the definition, acquisition and protection of public space	Paras 13(b), 15(c)iii, 37, 53, 54, 67, 99, 100, 109, 113, 114, 116, 118
2.4	Recognize and regulate urban development, i.e. buildability rights	Paras 15(c)ii, 86, 104
2.6	Develop equitable and legal instruments to capture and share the increase in land and property value generated as a result of urban development processes, infrastructure projects and public investments, ensuring that these do not result in unsustainable land use and consumption.	Paras 53, 69, 132, 135, 152

2.7	Develop inclusive, adequate and enforceable regulations in the housing and economic sectors, including resilient building codes, standards, development permits, land use by-laws and ordinances, and planning regulations, combating and preventing speculation, displacement, homelessness and arbitrary forced evictions.	Paras 13(a), 14(b), 105, 111, 121, 124
2.9	Establish impact assessment, monitoring, inspection, correction and enforcement tools.	Paras 117, 151, 159, 161
3	**Urban Planning and Design**	
3.1	Set up a planning and design process that is evidence based, integrated and participatory	-
3.2	Plan and define the urban area as well as agricultural and natural protection areas.	Paras 13(a), 13(f), 14(c), 49, 51, 69, 88, 95-98, 101, 113, 114, 115, 117
3.3	Define connectivity and the quantity and quality of urban space including the structuring layout of streets, blocks and plots	Paras 37, 50, 54, 99, 100, 114(c), 118
3.4	Promote sustainable density and mixed use to attain the economies of agglomeration	Paras 13(a), 13(b), 13(c), 13(d), 13(f), 13(h), 14(b), 15(c)iii, 32, 37, 44, 51, 52, 67, 69, 70, 97, 98, 99, 100, 112, 113, 114, 115, 118
3.5	Make effective use of urban design to provide livable spaces, walkability and a sense of place	Paras 37, 100, 102, 103, 113, 114(a)
3.6	Protect and preserve natural resources and cultural heritage	Paras 13(a), 13(g), 13(h), 14(c), 15(c)iii, 19, 49, 51, 63, 65, 67, 68, 69, 71, 77, 95, 101, 123, 124, 125
3.7	Promote housing as an integrating element of urban planning.	Paras 13(a), 13(f), 14(b), 25, 31, 32, 33, 35, 104, 105, 106, 107, 109, 111, 112, 114, 119
4	**Urban Economy and Municipal Finance**	
4.1	Establish principles for enhancing the role of local government in fostering inclusive, equitable and sustainable urban development and strengthen local leadership capacity for inclusive municipal finance	Paras 5, 15(a), 15(c)iv, 86, 134, 135, 138
4.2	Help local authorities design and implement a more inclusive, sustainable, equitable local financial and economic framework to operationalize municipal finance principles	Paras 15(c)iv, 53, 58, 132, 133, 134, 135, 138, 139
4.4	Design and implement tools for fostering inclusive local economic development (e.g. job creation, entrepreneurship, microfinance, etc.)	Paras 40, 47, 49, 58, 77, 95
4.5	Help local authorities design and implement systems that ensure social, economic and safe physical access to quality basic services by all, and local economic development platforms that support community-led initiatives in service delivery	Paras 15(c)iv, 90, 104, 132, 133, 135, 137, 145, 151, 152
5	**Local Implementation**	
5.2	Use tools for urban regeneration of derelict and/or obsolete areas (e.g. brownfield redevelopment)	Paras 13(a), 15(c)iii, 38, 97, 103, 107, 109, 110, 119, 120
5.3	Plan for urban infill of planned, built areas and control of urban land price speculation	Paras 13(a), 14(b), 15(c)iii, 52, 54, 97, 98
5.4	Provide integrated, efficient and equitable urban service frameworks, particularly in unplanned, built urban areas	Paras 14(a), 55, 70, 99, 107
5.6	Establish and support community-led groups that liaise between citizens and government.	Paras 13(a), 15(c)iv, 90, 91, 100, 159

Source: UN-Habitat. April 2017. Action Framework for Implementation of the New Urban Agenda.

ANNEX 10: SUCCESS RATES BY INTERVENTION AND PHASE

Assessment of overall success rate by intervention and phase

City	Pillar1	Intervention Title	P&D %	Build %	O&M %	Over-all %
Cape Town	Planning	Supporting the Implementation of the City of Cape Town's Data Strategy	74	66	66	69
Johannesburg	Transport	A review of the Fourth Industrial Revolution (4IR) trends and effects on urban mobility in Johannesburg	82	74	74	77
Johannesburg	Planning	Strategic Area Framework and Associated Implementation Tools for Soweto "Triangle" in Johannesburg	82	58	58	66
Durban	Planning	Improved data integration, collection and analysis to facilitate collaborative informal settlement action	74	74	74	74
Durban	Planning/ Transport	Enhanced institutional and governance coordination for supporting alignment of stakeholder plans working on Transit-Oriented Development	66	66	66	66
Recife	Planning	Data Ecosystem for Urban Governance for Recife	74	74	66	71
Belo Horizonte	Transport	Intelligent mobility in Expresso Amazonas	74	74	66	71
Cebu	Planning	Data and Strategic Foundations for Long Term Planning in Cebu City	58	34	50	47
New Clark City (NCC)	Planning	Integrated sustainability plan for New Clark City	42	34	34	37
Yangon	Resilience	Revitalising Streetscapes: unlocking the potential of Yangon City's assets	58	34	34	42
Ho Chi Minh	Transport	Development of Smart Ticketing System for Public Transportation Network in Ho Chi Minh City	58	50	50	53
Ho Chi Minh	Resilience	Development of Geographical Information System for Drainage System in Ho Chi Minh City	58	34	34	42
Bangkok	Planning	Data Hub Roadmap for Integrated Planning	-	-	-	-
Bangkok	Transport	Transit-Oriented Development (TOD) Plan for the Khlong Bang Luang area	-	-	-	
Bangkok	Resilience	Decision Support System (DSS) for Flood Management	-	-	-	-
Istanbul	Planning	Urban Planning Training and Capacity Development Programme for Resilient Istanbul	58	66	66	63
Istanbul	Transport	Sustainable Urban Mobility Plan for Istanbul	58	66	74	66
Bursa	Transport	Sustainable Urban Transformation Approach for Bursa	66	66	66	66
Bursa	Planning	Transforming Bursa into a Smart City	82	74	66	74

Ankara	Planning	Increasing Quality and Accessibility of Streets in Çankaya Neighborhoods in Ankara	91	66	58	71
Ankara	Transport	Bicycle Strategy, Master Plan and Pilot Implementation for Integrated Non-motorized Multimodal Transport in Ankara	66	74	74	71
Abeokuta	Transport	Development of Transport Policy and Capacity Building in Abeokuta	50	34	18	34
Abeokuta	Planning	Abeokuta Master Plan and Guidelines for Urban Renewal	50	42	26	39
Lagos	Transport	Feasibility Study for the development of water transport in Lagos	58	34	26	39
Lagos	Planning	Development of Guidelines for Urban Renewal Programmes in Lagos	58	42	34	45
Surabaya	Planning	Urban Transformation Plan for Putat Jaya in Surabaya	74	58	58	63
Surabaya	Resilience	Earthquake Preparedness Strategy for Surabaya	66	58	58	61
Bandung	Transport	Development of an Integrated Public Transport System in Bandung	74	50	50	58
Iskandar	Transport	Implementation Strategy for Iskandar Malaysia's Smart Integrated Mobility Management System	74	58	58	63
Melaka	Transport	Green Transport Corridor Implementation Plan Heritage Area Integrated Mobility Plan for Melaka	50	58	58	55

Source: Technical Viability Assessments Reports.

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UNITED NATIONS HUMAN SETTLEMENTS PROGRAMME
P.O. Box 30030 00100 Nairobi GPO KENYA
Tel: +254-020-7623120 (Central Office)
Email: updb@unhabitat.org