



# Interim Evaluation Urban-LEDS Project Synthesis Report

September 2015

**UN HABITAT**  
FOR A BETTER URBAN FUTURE

 **URBAN LEDS**  
URBAN LOW EMISSION DEVELOPMENT STRATEGIES

**I.C.L.E.I**  
Local  
Governments  
for Sustainability



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is funded by the  
European Union.



# Interim Evaluation **Urban-LEDS Project** Synthesis Report

Interim Evaluation  
**Urban-LEDS Project**  
Synthesis Report

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## Acronyms and Abbreviations

<b>APEKSI</b>	Indonesian Local Government Association
<b>AS</b>	ICLEI Africa Secretariat
<b>BAPPENAS</b>	Indonesia Ministry of National Development Planning
<b>BPLH</b>	Indonesia Environmental Agency
<b>CB27</b>	Capitals of Brazil 27 States
<b>cCR</b>	carbons Climate Registry
<b>CNG</b>	Compressed Natural Gas
<b>COMPACT</b>	Compact of Mayors
<b>COP</b>	Conference of Parties
<b>DEA</b>	Department of Environmental Affairs (South Africa)
<b>DNPI</b>	National Council for Climate Change of Indonesia
<b>EC</b>	European Commission
<b>ESCO</b>	Energy Service Company
<b>GCC</b>	ICLEI's GreenClimateCities programme
<b>GHG</b>	Greenhouse Gas
<b>GIZ</b>	German Cooperation Development Agency
<b>GIZ SUTIP</b>	German Cooperation Development Agency for Sustainable Urban Transport Improvement Project
<b>GPC</b>	Global Protocol for Community-Scale Greenhouse Gas Emission Inventories
<b>GRIP</b>	Greenhouse Gas Regional Inventory Process
<b>HEAT+</b>	Harmonized Emissions Analysis Tool
<b>IPCC</b>	International Conference on Climate Change
<b>ICLEI</b>	ICLEI-Local Governments for Sustainability
<b>IE</b>	Interim Evaluation
<b>ISOCARP</b>	International Society of City and Regional Planners
<b>LED</b>	Low Emissions Development
<b>LEDS</b>	Low Emissions Development Strategies
<b>LOCS</b>	Local Climate Solutions for African Congress
<b>LUMS</b>	Land Use Management System
<b>MRV</b>	Measurable Reportable Verifiable
<b>NAMAs</b>	Nationally Appropriate Mitigation Actions
<b>NGO</b>	Non-Governmental Organization
<b>PAG</b>	Project Advisory Group
<b>PPP</b>	Public-Private Partnership
<b>RLF</b>	Results Logical Framework
<b>SALGA</b>	South African Local Government Association
<b>SAMS</b>	ICLEI South American Secretariat
<b>SAS</b>	ICLEI South Asia Secretariat
<b>SEA</b>	Sustainable Energy Africa
<b>SEAS</b>	ICLEI South East Asia Secretariat
<b>SIER</b>	Synthesis Interim Evaluation Report
<b>SR</b>	Synthesis Report
<b>UFPE</b>	Federal University of Pernambuco
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>UN-Habitat</b>	United Nations Human Settlement Programme
<b>Urban-LEDS</b>	Urban Low Emission Development Strategies
<b>V-NAMAs</b>	Vertically Integrated NAMAs (see above)





## Executive Summary

### Brief findings, lessons and recommendations

#### 1. Introduction

The Urban-LEDS Project “Promoting Low Emission Urban Development Strategies in Emerging Economy Countries” (the Project) was initiated in partnership between United Nations Human Settlements Programme (UN-Habitat) and ICLEI – Local Government for Sustainability to support low emissions development and address climate change, funded by the European Commission (EC). ICLEI has the principal project implementation responsibilities working through its ICLEI country offices. ICLEI implemented the project in four countries (Brazil, India, Indonesia and South Africa). In each of those countries the team worked with two Model Cities that received intensive assistance, as well as between four and six Satellite Cities that engaged to a lesser degree. A handful of European cities served as resource cities. The team implemented the project through a set of seven “Work Packages”. UN-Habitat has administrative responsibilities and participated in focused technical activities providing project support.

The Objective of the Project is “to enhance the transition to low emission urban development in emerging economy countries.” This is to be accomplished through the preparation of LED strategies in Model Cities and where possible in Satellite Cities through capacity building, city-to-city exchanges, hands-on actions including emissions inventories to identify priority areas for interventions, and to understand, assess, design and implement LED technical and behavior change action activities in target cities. The total Project budget provided by the EC is 6,700,000.00 Euros for a 42 month period from March 2012 to August 2015.

This Urban-LEDS Interim Evaluation Synthesis Report (SR) to be submitted to the EC is the final step in carrying out an Interim Evaluation (IE) as part of the monitoring and evaluation process of the Urban-LEDS Project. UN-Habitat, ICLEI and the EC have agreed to regularly monitor the progress of the Project. As per the Agreement of Cooperation between UN-Habitat and ICLEI, UN-Habitat responsibilities include “coordinating... evaluation for the project.” As stated clearly in the Terms of Reference “as this is a mid-term evaluation, the study shall attempt to assess progress towards positive results, and whether the project appears to have embraced the appropriate strategy to achieve such results.” The present report fulfills that contractual requirement to assess the progress towards positive results and the preparedness of the programme structure to accomplish that purpose.

The SR provides an overview of the status of Project preparation and the Main Findings are organized per the Project’s Work Package structure presented below are followed by sections on Evaluative Assessment of Evaluation Criteria, Evaluative Conclusions, Lessons Learned and Recommendations. The SR provides references to the Results Logical Framework (RLF) (see Annex VIII) to mark progress made. During the period November 2014 to March 2015, one mission was carried out by the evaluator to each of the four participating countries in the Urban-LEDS Project - Indonesia, India, South Africa and Brazil - to gather information on each country programme. Country Mission Reports (available upon request) captured the pertinent information on the status of project preparation and served as the primary basis for the present SR.

#### 2. Main Findings

The Urban-LEDS Project is well on its way to successfully achieving its objective as a climate change mitigation project that addresses development issues in the selected fast-growing cities. Progress towards positive results is evident in each of the Project countries. While there are commonalities in the means, purpose and areas of interest of the Project Country Teams; each has created its own approach. This SR finds that the ways forward developed in each country programme interpreted and benefited from the clarity of purpose of the Project design that focused on strategy development to enhance the transition to low emissions urban development in the selected emerging economy countries. This transition is being accomplished through policy and practice - the preparation of LED city strategies and demonstration projects, with guidance provided by ICLEI methodologies, training and capacity building; the GreenClimateCities 27 step methodology; emissions inventory skills training, climate change awareness and understanding, and the Solutions Gateway; training in low carbon mobility, sustainable procurement and waste management; from the exchanges and study tours sponsored by and participated in nationally and internationally; and from understanding that, by design, the project was to function in a vertically integrated manner.

UN-Habitat contributed to Urban-LEDS awareness and development. UN-Habitat participated in the International City Networking Seminars and provided substantive inputs to the Solutions Gateway, city selection, thematic content in public venues, and through International Society of City and Regional Planners (ISOCARP). For UN-Habitat to extend its participation beyond its role of project management and coordination, along with focused technical input, a budget is required to engage more systematically on project implementation, particularly at the city-level.

In each of the Project countries the approaches are comprehensive and strategically designed to build the political and technical base for sustainable low emissions development initiatives by programmatically engaging mayors and local decision-makers, key personnel in local and national government and technical support organizations and civil society. The work programmes in each Urban-LEDS country are in an excellent position to be able to fulfill the Project's purpose of preparing city LED Strategies and implementing priority activities to lower greenhouse gas (GHG) emissions and change behaviors to reduce climate impacts and achieve energy efficient cities. Project Country Teams organized meetings, key-individual interviews, and activity site visits that introduced the players, policies and actions being undertaken to advance a Low Emissions Development agenda. The enthusiasm of Project partners for and engagement in developing the understanding, skills, policies and demonstration activities bodes well for the project and future growth of the Project Model Cities. The challenge resides in consolidating and scaling up the successes accomplished during this Phase 1 of the Project.

Study tours have broadened the perspective of partners and local officials through international travel to selected European cities and cities in their regions. The different approaches to strategy development are as varied as the different focus areas and activities being planned and implemented. The array of focus areas ranges significantly; from energy efficient and solar lighting for streets and public as well as private buildings, to green building materials, building codes and construction regulations. Another focus is low carbon urban mobility and non-motorized transport that offers bike lanes and sharing opportunities. Finally, focus is placed on spatial planning, addressing urban heritage, lagoon and river restoration to reduce the carbon footprint of cities and their climate impact. The UN-Habitat cross-cutting issues of gender and environment are addressed in the Project. The different country programmes have organized inclusive, national and international study tours, as well as training and capacity building events that implicitly address these two cross-cutting issues. City strategies could make explicit reference to these themes once defined and negotiated between the Project partners. By the very nature and purpose of the project to reduce emissions and reduce impacts on climate change the issue of environment is addressed in a variety of ways that include: green legislation on building design and materials, clean solar energy, improved public transport through green fuels and additional options to the automobile as in Recife and its river transport; the heritage area upgrading project

in Bogor with its green bus system; and the innovative waste water treatment pilot project in Rajkot India, among others. Women comprise a 30 % - 50 % of training participants as reported by Country Team estimates as well as fill important positions in LED implementation activities in government, civil society and technical support groups.

The Global Database on GHG emissions tracking – the carbon Climate Registry (cCR) – is active and used, while being further developed. It is the reporting platform promoted by the Urban-LEDS Project to collect information on commitments and emissions inventories' results to address emission reductions. (Work Package 6 Global Database).

The new Global Protocol for Community-Scale Greenhouse Gas Emission Inventories (GPC) is a standard that can support the integration of cities' data into national mitigation reporting. The Country teams are engaged in building the new Global Protocol and Climate Registry into their training and capacity building efforts, as they are with the Measurable, Reportable and Verifiable (MRV) methodology and the vertically integrated Nationally Appropriate Mitigation Actions (V-NAMAs).

The Urban-LEDS Project has established, by design, a focused, vertically integrated project. The explicit, vertical integration of Urban-LEDS was perceived by this evaluator as well as ICLEI Project Staff as value-added to country project initiatives for its broad audience, stimulus to document and communicate with others their issues and ideas in learning, exchanges, workshops and conferences, as well as a reward for those involved to know that their activities are being acknowledged locally, provincially, nationally and internationally that served as a prime motivator for local level officials. The vision of the project is to coordinate interests at the international, regional, national and local levels, prepare methods and guidance that supports low emission development (LED) and build capacity of Project staff, city and national government officials and civil society.

The present IE identifies the progress made to establish the programme structure, prepare the information base line through emission inventories for strategy preparation, and implement training and capacity building programmes to create awareness and skills to address low emissions development issues and programmes. The Project has satisfactorily accomplished its purpose in all of those areas.

### 3. Conclusions

The Project has successfully created opportunities to convene groups and support activities that address the political,

administrative, financial and technical aspects of a LED initiative. For example, Team South Africa organized the mayors from the seven Model and Satellite Cities in a leadership development programme to “Walk the Talk” where the mayors take the lead in improving their own homes (at their own expense) – helping improve their understanding of the practical implications and demonstrating practical, cost effective improvements for their constituencies.

In Indonesia the Mayors of the Model cities have contributed budget support to the preparation of LED strategies, training and pilot project development and emission reduction action planning and implementation.

That each country has identified secondary middle-sized cities as their Model and Satellite cities to broaden the awareness of LED is an important Project accomplishment. Secondary cities are now expected to grow rapidly, rather than the mega-cities that usually capture programme attention.<sup>1</sup> The selection of Satellite cities varied from country project to country project. In Indonesia, for example, the Satellite cities were associated with the Model Cities as “clusters” to support localized development. The Model City is to function as an “in-country test and mobilization case” and an inspiration for Satellite City engagement (two-way exchange is also encouraged as some Satellites were selected for their leadership in relevant sectors). In all countries outreach to Satellite Cities needs to be further developed if the Model City-as-Trainer is to work as planned. In Brazil and South Africa, Satellite Cities are highly motivated and engaging in LED through national network support like the Capitals of Brazil 27 States (CB27).

The Urban-LEDS project staff and partners benefited from participating in Global Climate Advocacy events. In addition to the ICLEI International Networking events that showcase pilot activities to the Urban-LEDS set of countries, the project contributes to the global dialogue through participation on international events including the Conference of Parties (COP) 20 in Lima, Peru and the upcoming COP-21 in Paris, France. The Country Teams are preparing case studies and reports on activities that the World Secretariat and UN-Habitat could use in their advocacy work as part of the Urban-LEDS website, shared in the Friends of Cities events and as input to the Local Government Climate Roadmap process. The quality of the Project’s Model Cities activities and the methods being devised are such that they are worth sharing at Global Climate Advocacy venues. The diversity of the Project’s activities offers an innovative set of themes and actions that will deepen and broaden the LED agenda.

That LED activities by the Project Model City Rajkot have been showcased at the international level attests to the quality of the initiatives being implemented. Targeted technical advice and project direction are provided to staff and partners that build confidence in the staff to carry forward concepts and projects as well as builds capacity with city professionals. It also attests to the ability of the Project to contribute innovation to the LED dialogue at an international level. The decentralized wastewater treatment project in Rajkot could be another project to benefit a global audience. Outside input would be useful, especially someone to document this innovative effort.

The Urban-LEDS Project offers an array of initiatives that can make contributions to a global audience. To be able to report on the improvements made and the impact on emissions by the actions taken is a strength of the project. The street lighting project in Recife can present impact information on energy reduction and document the process executed to accomplish the pilot effort. The fuel substitution programme for the municipal bus green line of Bogor, Indonesia; the innovative decentralized water treatment project at the Jilla Garden in Rajkot; and the scenario planning process employed in the South Africa Project are but a few of the examples that a global audience would benefit from.

## 4. Lessons Learned

**4.1** The positive results in the development of the processes to accomplish Project objectives are due in large part to the efforts by County Teams to identify and support Project “champions.” Country Teams need to carefully select and support project champions. Progress has been satisfactory in setting the Project on a trajectory to achieve, and in cases such as the number of emissions inventories, exceed, the expected accomplishments by the end of the Project period.

**4.2** The logic of ICLEI’s GreenClimateCities programme (GCC) and the process sequence country teams are following presents a useful model that establishes an information base for identifying priorities starting with emissions inventories to answer the question “How do you know what you think you know?” The training in emissions inventories to establish the information baseline and identify priority areas for action is needed to move the dynamic of leadership in city government from a “favorite project” mode to understanding and implementing a process for emissions reductions and climate change impacts to set priorities.

**4.3** Offering support in the local language needs to be considered as critical during implementation. The assumption

that English is understood and used in daily business in all countries is to be avoided. That each of the Urban-LEDS team members does speak English is useful at an international level but for LED and Climate Change educational and informational material and local level project development, awareness building, training and capacity building, local language is necessary. The ability of the Teams to employ the tools and methods in the local languages of Indonesia and Brazil was pointed out as important.

**4.4** The suggestive power of the Solutions Gateway can be used to support the translation of need into action, policy into practice, and ideas into practical examples of what can be done to address identified issues and themes. The Solutions Gateway influenced the understanding and ability of Model and Satellite City leadership and staff to identify focus areas for improvement. The strength of the Solutions Gateway is that it offers explicit project ideas and needs to be considered an organic document; one that grows to integrate ideas and experiences into its array.

**4.5** The lesson learned on sustainability of Project accomplishments, such as in the use of solar energy for water heating, energy efficient light bulbs in schools, municipal buildings and homes, and roof gardens, is that sustainability can be achieved by formalizing pilot activities into Construction Standards, Building Codes and Environmental and Land Development Law and Regulations. The new laws and regulations prepared as part of this Project or because of this Project in Rajkot, India; Recife, Brazil; KwaDukuza, South Africa; and Bogor, Indonesia are examples of national applications.

**4.6** Creating a “local government” face for the Urban-LEDS project at the COP-20 in Lima, and through the Local Government Climate Roadmap process made an important contribution to the value the cities put into the effort. The lesson is that recognition is a strong motivator and it makes an impact on the attitude and actions of the partners. Participation in international events by local officials and partners also provides exposure to other ideas and perspectives presented that are important to growing the information base and realm of possibilities of local leaders.

## 5. Recommendations

Support should be oriented to address outreach to satellite cities and a broader south-south exchange to advance the LED agenda in the remaining months of Phase I. National – Local dialogues and Model – Satellite City exchanges and learning have benefitted from the training that has occurred

in establishing an emissions database and the identification of priorities. With management and technical support in place, the task now is to identify experts from the support available and programme their participation. Reinforcing concepts in the final months of the Project is essential for the programme activities continuity and replication. Scheduling emissions inventories should happen in the final months of the Project. That will allow for review of methods and metrics used to measure, record and forecast them. Expert assistance could also be offered to the Model City initiatives to support their Satellite Cities through the Pool of Experts. The Solutions Gateway is an effective global knowledge-sharing platform of good practices. It is recommended that:

### Global Project Activities

**A.** The ICLEI World Secretariat should translate and/or include resources in country budgets for the translation into the main local languages of Urban-LEDS countries of tools and methodologies Country Teams employ in Project development. This would include the GCC, Solutions Gateway, the GPC and other training and substantive information.

**B.** Creating a two-tiered project of Model Cities and Satellite cities anticipates the scaling up of the project to a next set of cities prepared to engage in the LED agenda and produce results. For this to take place the Phase 1 activities of the Country Teams and their Model Cities should establish an explicit outreach initiative with the Satellite Cities. It will require time, staff and budget. The Satellite Cities represent a focus for a possible Phase 2 of the Urban-LEDS Project.

**C.** The Project’s International Exchange Events, including the International Networking Seminar to be held in Bogor, Indonesia, be organized to feed innovative activities into the Solutions Gateway. This would require that the World Secretariat receives County Team input as to the activities to be featured to allow for a diverse set of experiences to be presented.

**D.** The Urban-LEDS Project should take a leadership role in broadening the LED agenda to include not only energy and energy efficiency but also to address low emissions urban planning and management that includes housing, land use planning, urban environment improvement, green building construction specifications, integrated historic conservation initiatives and efficient urban service delivery. Urban-LEDS is one of the principal advocates for low emissions development and reporting. Innovation characterizes the implementation of the Project – the new GPC being one example. A broader LED

agenda would present a more integrated understanding of the LED concept and offer solutions to the broader concerns.

**E.** There should be clearer dialogue and understanding between the ICLEI World Secretariat and UN-Habitat on the UN-Habitat's interest in explicit reporting on gender, youth, human rights and environmental/climate change aspects of the Project. In the interview process for this IE, the ICLEI Country Teams were aware of the issues and clearly geared activities to address them but did not have explicit reporting sections in the monthly and other reporting documents carried out. If this is to be addressed as a "given" then agreement should be reached by the parties on definitions of the terms and their areas of importance.

**F.** The Solutions Gateway should include project ideas that support implementing the theme of energy efficient urban planning and environmental improvement for higher density housing development, basic service delivery, urban forestry and green spaces, and urban water body and river restoration, among others.

### **National Engagement**

**A.** The country teams should develop, with their national counterparts, a LED methodology based on the ICLEI methodologies and tools, reporting, and accounting guidance and pilot effort learning. The CB27 in Brazil, South African Local Government Association (SALGA) in South Africa, the Indonesian Local Government Association (APEKSI) and The Ministry of Urban Affairs in India (among others) are national level partners that can play important roles in advocating LED, providing specific guidance and methodologies for emissions inventories, reporting to scale up local climate action and reduce GHG emissions.

**B.** The Country Teams should establish Satellite City outreach programmes with their Model Cities to begin to fulfill expectations created in the Satellite Cities. One option is to include Model and Satellite City representatives in training and capacity building and in activities such as multi-city events and programmes that bring together the mayors of the Project's cities for advocacy, exchanges and networking as in the South Africa Project. The choice of location for events can also feature and be scheduled in Satellite cities as the event venue.

**C.** National counterparts of the Urban-LEDS Project should be called upon to cost share and to host seminars and workshops to advance LED in seminars and workshops and learning-by-doing demonstrations that create a demand for LED. Budget support from partner cities has been forthcoming.

Line-item support in local budgets and/or access to national budgetary support can be led by local government example. Demonstrating demand for LED by local governments and their willingness to cost share for local priorities identifies improvements to illustrate national policies and strengthens the case for national government support.

**D.** These should be dedicated staff to document and communicate new ideas and directions addressing climate change mitigation. Evidence-based material derived from field experiences is a start. The Urban-LEDS project has been and should continue to exercise its mandate to organize exchanges that brings local climate change mitigation to the attention of national agencies as they prepare their policies and programmes, serve as the institutional memory for a city of their initiatives as local government officials change, as well as, inform the local and international climate change community and beyond. Documentation to support advocacy is distinct from monitoring, evaluation and project documentation. For example, it does not include beneficiaries' experiences. A Programme Notes Series as an advocacy tool is recommended that would facilitate the capture of experiences to be presented on the global stage.

### **Local Engagement**

**A.** Model and Satellite Cities leadership should work with their Country Teams to identify national sources of financial support for LED innovations and initiate municipal finance measures in city budgets that identify own-source resource line-item support for LED as possible. Project continuity and sustainability is dependent on the ability of cities to finance their LED improvement programmes. Several Project Model Cities in India (Rajkot) and Indonesia (Balikpapan, Bogor) have already begun to provide financial resources towards scaling up pilot efforts.

**B.** There should be Model City outreach initiatives for Satellite City partners. The participation of Satellite City staff and partners in the different country Projects is currently limited by time, staff and budget. Being included in awareness and training programmes raises their expectations of future support. The Model City-as-Trainer should be a focus in the remaining period of Phase 1, as well as those Satellite Cities with expertise to share.

**C.** Country Teams should work with their partners to consolidate information and experiences on their innovative activities to formalize into policies and regulations. Information should also be consolidated on activities being carried out to present at the next International Networking Seminar to

be held in Bogor, Indonesia. Topics should be vetted with the World Secretariat to guide event preparation. The same material will be useful for reporting in upcoming international events like the COP-21 and the ICLEI World Congress to be held in Seoul, Korea.

### **Project Management**

**A.** Project documentation should be a priority in the remaining period of Phase 1 of the Urban-LEDS project. Guidance from the ICLEI World Secretariat on case study and report formats and terminologies will be useful. The UN-Habitat cross-cutting themes could also be built into the reporting format. A consistent approach to documentation will allow the Secretariat and UN-Habitat to produce multi-country documents that can compare and contrast approaches and results. (Responsibility: ICLEI and UN-Habitat)

**B.** Country Teams should review their staff requirements to implement the strategies and demonstration activities they have identified. Outside support is available for the asking and should be included on the last sprint to the end of Phase 1. (Responsibility: ICLEI with UN-Habitat support)

**C.** Project management should consolidate their lesson learned from the design and implementation of Phase 1 to guide a Phase 2 Project design. (Responsibility: ICLEI and UN-Habitat)

**D.** Country Project budget reviews should be carried out to plan and employ their remaining resources to fully fund priority activities already initiated. Budget expenditures to 31 December 2014 indicate that there are satisfactory amounts available to successfully complete Urban-LEDS Phase 1 as programmed.

### **Endnotes**

1. Cohen, Barney, "Urbanization in Developing Countries: Current Trends, Future Projections, and Key Challenges for Sustainability, Technology in Society, Volume 28, Issues 1-2, April 2006, pages 63 – 80.

# 1

## Introduction

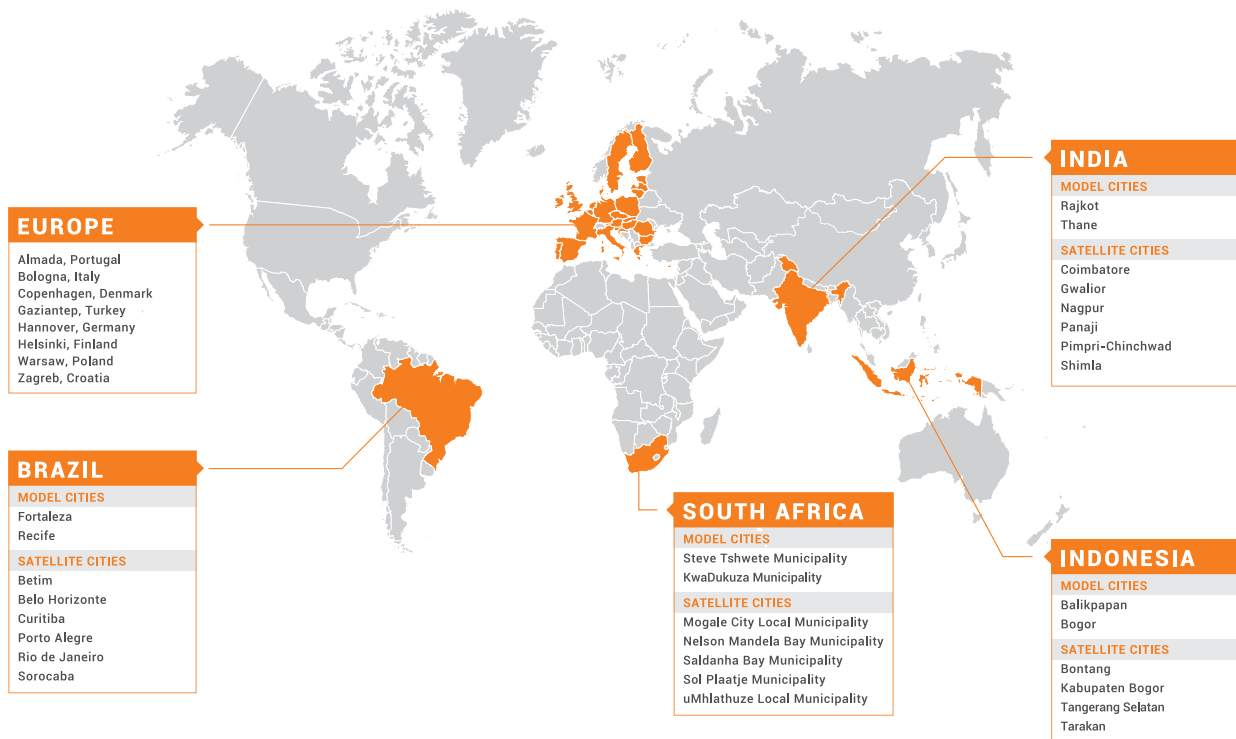
This Urban-LEDS Synthesis Report (SR) to be submitted to the EC is the final step in carrying out an Interim Evaluation (IE) as part of the monitoring and evaluation process of the “Promoting Low Emission Urban Development Strategies in Emerging Economy Countries” Project (Urban-LEDS) funded by the EC. Urban-LEDS was initiated in partnership between UN-Habitat and ICLEI – Local Government for Sustainability (ICLEI) to support low emissions development and address climate change. UN-Habitat, ICLEI and the EC have agreed to regularly monitor the progress of the Project. As per the agreement of Cooperation between UN-Habitat and ICLEI, “UN-Habitat responsibilities include ‘coordinating... evaluation for the project’”. The primary objective of this forward-looking IE is to assess overall progress being made to be able to achieve the expected results and deliver the programmatic activities and outputs within the personnel, financial and technical resources and timeframe available as well as assess the relevance, efficiency, and effectiveness of the Urban-LEDS Project.

As stated in the Terms of Reference “as this is a mid-term evaluation, the study shall attempt to assess progress towards positive results, and whether the project appears to have embraced the appropriate strategy to achieve such results.” This IE fulfills that contractual requirement to assess the progress towards positive results and the prepared-ness of the programme structures to accomplish that purpose. Country Missions were carried out to assess progress being made in establishing a project structure through which the Country Programmes are able to arrive at the desired strategies, priority activities to lower GHG emissions and change behaviors to reduce climate impacts and achieve energy efficient cities. The IE is designed to inform the EC of progress and to identify areas of accomplishment and areas that need to be addressed in the final period of the project.

The SR provides an overview of the status of Project preparation and the Main Findings articulated through the Project Work Package structure presented below and followed by sections on Assessment of Evaluation Criteria, Evaluative Conclusions, Lessons Learned and Recommendations. The

SR provides references to the RLF (see Annex VIII) to mark progress made. During the period November 2014 to March 2015, missions were carried out by this evaluator to each of the four participating countries in the Urban-LEDS Project - Indonesia, India, South Africa and Brazil (see Figure 1). Country Mission Reports captured the pertinent information on the status of project preparation to be able to fulfill the Project purpose of preparing city LED Strategies. Project Country Teams organized meetings, key individual interviews, and activity site visits that introduced the players, policies and actions being undertaken to advance a Low Emissions Development agenda. Project design called for each Urban-LEDS country to identify two Model Cities that are the focus of support from the Project, as well as four to six Satellite Cities that participate in the Urban-LEDS process and receive targeted assistance. The enthusiasm of Project partners for and engagement in developing the understanding, skills, policies and demonstration activities bodes well for the future growth of the Project Model Cities. The challenge lies in consolidating and then scaling up the successes of Phase 1 of the Project.

**Figure 1: Urban-LEDS countries and cities worldwide. © ICLEI**







# 2

## Overview

The Urban-LEDS Project “Promoting Low Emission Urban Development Strategies in Emerging Economy Countries” Project was initiated in partnership between UN-Habitat and ICLEI to support low emissions development and address climate change. ICLEI has the principal project implementation responsibilities working through its ICLEI country offices. ICLEI implemented the Project through a set of seven “Work Packages” that identify the purpose of each Work package in project implementation. UN-Habitat has administrative responsibilities and participated in focused technical activities through associated project support. The Urban-LEDS Project Teams are prepared to successfully implement the Urban-LEDS climate change mitigation project. Satisfactory progress towards positive results, as stated in the Terms of Reference of this IE, is evident in each of the Project Countries – Indonesia, India, South Africa and Brazil. The Project is to be carried out over a 42 month period starting 01 March 2012 – 31 August 2015. The Objective of the Project is “to enhance the transition to low emission urban development in emerging economy countries.” (ICLEI Project Brochure) This is to be accomplished through the preparation of LED strategies in Model Cities and where possible in Satellite Cities through capacity building, city-to-city exchanges, hands-on actions including emissions inventories to identify priority areas for interventions, and to understand, assess, design and implement LED technical and behavior change action activities in target cities. The total Project budget provided by the EC is 6,700,000.00 Euros. While there are commonalities in the means and areas of interest of the Project Countries, each has created its own version of the effort.

This Interim Evaluation Synthesis Report finds that the ways forward developed in each country programme benefited from the clarity of purpose of the Project to prepare city strategies that enhance the transition to low emissions urban development in emerging economy countries. This transition is being accomplished through policy and practice - preparation of LED city strategies and demonstration projects; guidance provided by the ICLEI methodologies, training and capacity building based on the GreenClimateCities 27 steps; training in emissions inventory skills, sustainable procurement and waste management, energy efficiency in street lighting and municipal buildings, low emissions mobility planning and building climate change awareness and understanding; employing the Solutions Gateway; sponsoring national and international exchanges and study tours; and from understanding that the project was to function in a vertically integrated manner.

The Urban-LEDS Project has established, by design, a focused, vertically integrated programme to promote and implement low emissions development as presented in the Project's Work Packages. The explicit, vertical integration of Urban-LEDS was perceived as value-added to country project initiatives by this evaluator and the Country Teams for its broad audience, as stimulus to document and communicate with others issues and ideas in and learning from workshops and conferences. The vertical integration provided rewards for those involved to know that their activities are being acknowledged locally, provincially and internationally that served as a prime motivator for local level officials. The vision of the project is to coordinate interests primarily at the international, national and local levels, prepare methods and guidance that support low emission development (LED) and build capacity of Project staff, city and national government officials and civil society. The methodology for the IE is based on the Work Packages structure and identifies the progress made to establish the programme structure to produce an LED city strategy; prepare the information baseline through emission inventories; and implement a training and capacity building programme to create awareness and to address low emissions development issues and activities. This has been satisfactorily accomplished.

In each of the Project countries the approaches are comprehensive and strategic, designed to build the political and technical base for sustainable low emissions development initiatives by programmatically engaging mayors, key personnel in local and national government and technical support organizations and the civil society. The cross-cutting issues of gender and environment of UN-Habitat are addressed in the Project. The different country programmes have organized inclusive,

national and international study tours, as well as training and capacity building events that implicitly address these cross-cutting themes.

The different approaches to strategy development are as varied as the different focus areas and activities being planned and implemented. The array of focus areas range from energy efficient and solar lighting for streets, schools, municipal buildings and homes to green materials, building codes and construction regulations to transport and urban mobility plans that offer bike lanes and sharing opportunities and spatial planning to address urban heritage and lagoons and river restoration to reduce the carbon footprint of cities on the climate. The Project has successfully created opportunities to convene groups to address the political, administrative, financial and technical aspects of an LED initiative. Team South Africa organized the mayors from the seven Model Cities and Satellite towns in a leadership development programme to "Walk the Talk" where the mayors take the lead in improving their own homes demonstrating practical, cost effective improvements for their constituencies. GHG emissions inventories in Model Cities are completed in each of the four country projects' Model Cities. In Brazil and South Africa additional emissions inventories are to be completed by the end of Phase 1 by interested Satellite Cities. An additional emissions inventory has been carried out by Curitiba, Brazil with its own resources, and also in Porto Alegre with project resources. The Brazil Model City emissions inventories were carried out by key staff assigned for this activity, supported by associated consultants, city staff, and Team Brazil's Igor Albuquerque. Team Brazil will now use the first inventory as the basis for an inventory update to become compliant with the GPC. In Balikpapan, Indonesia, the Model City Working Group is supported by the city budget. The mayor allocated IDR 150 million (USD 11,000) in the city budget for the emissions inventory, increasing the inventory budget with the Urban-LEDS budget, and next year IDR 250 million (USD19,000) will be provided to develop the emission reduction action plan. In India, the Rajkot Commissioner has recommended solar energy and environmental conservation be integrated into the Rajkot Urban Development Authority plan for peri-urban areas. His interest is in assessing the value of using solar pumps for pumping water in urban areas. This is also being explored under the pilot project initiatives to be implemented in Rajkot.

This IE finds that the Urban-LEDS Project Country Teams have successfully "made progress towards positive results, and the Project has embraced the appropriate strategy to achieve such results."



# 3

## Evaluation Approach and Methodology

This IE reflects on and consolidates the information gathered in the individual Urban-LEDS IE Country Mission Reports. The Urban-LEDS Annual Narrative Reports were reviewed as background and for continuity, as was the Urban-LEDS programme information to understand project purpose, definitions and terms used in the Project. The approach follows the Country Mission Reports that focus on the Work Package Structure of the Project. As stated clearly in the Terms of Reference “as this is a mid-term evaluation, the study shall attempt to assess progress towards positive results, and whether the project appears to have embraced the appropriate strategy to achieve such results.” This IE fulfills that contractual requirement to assess the progress towards positive results and the preparedness of the programme structure to accomplish that purpose. For the Country Missions, Project Country Teams organized meetings, key individual interviews, and activity site visits that introduced the players, policies and actions being undertaken to advance a Low Emissions Development agenda.

During the period November 2014 to March 2015, a Mission was carried out by the evaluator to each of the four participating countries in the Urban-LEDS Project - Indonesia, India, South Africa and Brazil. Country Mission Reports captured the pertinent information on the status of project preparation to be able to fulfill the Project purpose of preparing city LED Strategies. The field missions were guided by the evaluation criteria that stressed, in UN-Habitat terms, efficiency, effectiveness, and relevance, as well as aspects of human rights, gender and environmental impact and improvement, questions on programme progress and issues and methodology included in the Term of Reference (see Annex I). An Interview Protocol was prepared and approved by ICLEI

and UN-Habitat to guide fieldwork (see Annex IV). Interviews were targeted to ICLEI Country Team Staff, key partners in the public, private and civil society sectors.

### 3.1 Limitations

The IE would have reflected more explicitly the UN-Habitat reporting areas of interest of human rights, gender and environmental improvement had those sets of interests been negotiated with ICLEI, the principal implementing agency, to include them in their reporting programme. Evaluations, interim and otherwise, benefit from a team structure of at least a two-person team, to discuss ideas and findings. This IE was carried out by a single evaluator.



## Main Findings

The Urban-LED Project Country Teams have successfully “made progress towards positive results, and the Project has embraced the appropriate strategy to achieve such results.” The Country Teams have made a concerted effort and been successful in creating their programme structures. ICLEI is the principal implementing agency. UN-Habitat has provided support to several Country Programmes in the areas of urban spatial planning, presented at International Networking Seminars, and provided input to city selection and the Solutions Gateway.

Each of the Country Teams successfully followed a similar Project implementation start up process. The start up process focused on the following:

- a) Design of the LED programme and its implementation in the country;
- b) Selection of Urban-LEDS Model Cities and finalization of bilateral agreements;
- c) Identification of Satellite Cities;
- d) Recruiting and training key experts and advocates for each Model City;
- e) Researching existing Model City needs to establish priority pilot project start-ups;
- f) Assessing training and capacity building needs and designing and implementing training and capacity building programmes as support to local governments to implement the GCC methodology to carry out Urban-LEDS activities;
- g) Conducting a GHG emissions inventory and assessments of relevant context issues.

Urban-LEDS contributes to and takes advantage of global exchange opportunities. The concept of a vertically integrated project calls for country programmes to produce reports, carry out studies and inventories and create information on emissions and other aspects of low emissions development for a global audience in a form appropriate to it. Urban-LEDS successfully provided guidance and motivation through the Country Projects that take advantage of global exchange opportunities. The Urban-LEDS programme has sent national government and Model City representatives abroad to gain experience and exchange ideas on LED development. Study tours were conducted to European and African countries. These exchanges have been successful. The mayor of Recife was impressed by the bicycle lanes developed in Europe and bicycle lanes will be a significant part of the river restoration programme in Recife. The KwaDukuza staff that undertook the European study tour recognized the value of seeing the innovative projects in various cities – particularly taking home the importance of leadership from the top as demonstrated by Almada, Portugal, but also recognizing that European experiences need to be contextualized and made appropriate to local conditions, while reiterating the value also of local exchanges.

The Urban-LEDS Project supports county exchange networking seminars as part of the global exchange opportunities offered. The networking seminars are successful. Interviews carried out during the country missions highlight the utility of the networking seminars and the ability of the participants to engage. The South-South format was stated to be a preferred method for dialogue that resonates with them. South Africa



Image 1: **Mayor Wayile from Nelson Mandela Bay Metropolitan Municipality, accepting the Urban-LEDS project certificate from ICLEI Africa.** © ICLEI

hosted the first International City Networking Seminar in Nelson Mandela Bay in 2013 (see Image 1). It brought together Model and Satellite city representatives from the four Project countries and representatives from two European cities, to exchange ideas and experiences on addressing climate change, documenting emissions reductions and understanding LED future growth issues of spatial planning, mixed-use development and the densification and retrofit of the existing built environment and future urban growth resilient city design, among others. Programmatically, Urban-LEDS country staff and partners will be in a positive position to contribute useful and innovative experiences to a broad audience as its strategy development and pilot projects are implemented, documented in forms useful to international and national events and contribute to the Global Protocol emissions information system. The Project can provide a highly variegated agenda of activities that would benefit international events looking for practical experiences to showcase.

Urban-LEDS support is derived from the ICLEI World Secretariat guidance and from the Country Team technical, administrative and management capacities. The Country Teams established by the ICLEI World Secretariat and its Regional Offices have chosen highly competent staff who also learn as they instruct and benefit from train-the-trainer offers. The Teams employ their technical and managerial capacities to outstanding effect. Each Country Project has established an approach, project structure and agenda to arrive at an LED Strategy. Their process initiated activities with the GreenClimateCities methodology, emissions inventories and pilot efforts to demonstrate policy and practice. This experience is building in the partner local governments an interest in and an understanding of the utility of an LED strategy to scale up pilot activities and plan a greener future growth. The

establishment of short-, medium- and long-term activities as critical elements of the Project agenda builds local government experience and confidence in the city population that the local government can guide and improve energy-efficient service delivery and climate-friendly future growth.

The County Team support to the Model City working groups is important. Examples include: Commitments between Team India and the Model Cities to build on the award winning solar heating projects moved the dialogue to strategy development. This was accomplished during the Country Mission and Team India was quick to not miss the moment. The Indonesia Project Advisory Group (PAG), comprised of national environmental leaders, financial sector investors, national and international Non-Governmental Organizations (NGOs), and “green” advocates and entities, has coordinated institutions, shared project status and needs and identified interventions from PAG members that leveraged additional resources for project initiatives. Support has also brought private sector lending institutions into the PAG and interested them in participating in the programme (see Image 2). Funding has been leveraged through German Cooperation Development Agency (GIZ) for V-NAMA and MRV capacity building and documentation. The

South Africa Project supports national and municipal initiatives to improve reporting on emissions reductions through the Department of Environmental Affairs (DEA) Roadshow in South Africa to the provinces to engage in the new GPC reporting methods and implement energy efficient and environmental improvements at the local level in the KwaDukuza’s Hotbox cooker. In Brazil, energy efficient street lighting and the river restoration project in Recife represents effective models that address green building issues and integrate environmental amenities such as water bodies and rivers that had deteriorated back into green urban spatial development.

A summary of the progress made and the strategies employed is presented below through the Work Package format. A Work Package “purpose” is presented as the reference for the activities that have been accomplished and for those that need to be pursued in the remainder of Urban-LEDS Phase 1. An Urban-LEDS section contains status summary and presents key examples identified in the Country Mission Reports of the progress made to date in each of the Work Packages, with the similarities and differences of the different Country Team approaches, and areas for attention. References are made to the outputs of RLF. (For Logical Framework list of Outputs



Image 2: Project Advisory Group meeting in India consisting of leading private sector companies in the Renewable Energy and Energy Efficiency sector, GIZ, the German Development Bank (KfW) and the European Commission, paving the way for private sector cooperation. © ICLEI

see Annexes VII and VIII.) As indicated above this is an IE and therefore the emphasis is on the process as the major accomplishment to date of the project. The principal efforts made established the structures, methods for an in-depth understanding of LED and the means to identify and implement priority activities to enable the vertically integrated project as designed. The ICLEI Tool Kit and methodologies constitute a major pillar in the Project structures and guide partnership engagement and frameworks.

#### 4.1. Work Package 1: Project Management and Coordination Status Summary

*The purpose of Work Package 1: Project Management and Coordination is to establish the project structure, partnership frameworks and project management groups at the regional, national and local levels. This includes the ICLEI World Secretariat and Regional Offices, and UN-Habitat Coordinating Units and national offices. Important to the Project is the Project's visibility and the tools for communicating between global and regional offices and partners as well as between local, national and regional offices to assure programme continuity and consistency in endeavor. A knowledge management unit is to capture, document and assess project experiences and activities for exchanges and presentations in national and international events.*

#### Urban-LEDS Project Progress

The Urban-LEDS Project management and coordination offers positive reinforcement to the Country Projects. The four Project countries have established regular communications between the ICLEI World Secretariat and each other through monthly telephone conferences, the Networking Seminars and informally through the Urban-LEDS Website and emails. Communications with the ICLEI World Secretariat are purposeful and engage the Secretariat with the different Country Teams to monitor progress, provide input on Country Project design and development, partner relationships and critical tools to be employed as part of the Project, especially the ICLEI Tool Kit and the new GPC. The Country Teams prepare articles, reports and announcement material for their country and local newspapers, the Urban-LEDS Website and for national and international advocacy events that creates awareness of the Urban-LEDS activity. Examples include press releases in national and local press on events and happenings. Examples from the four countries include – announcements of the success of Rajkot at the COP-20 in Lima, the Kwadukuza entrance into the Urban-LEDS Project

in South Africa; the LED heritage activities in Indonesia, and the Caribaribe River restoration project in Brazil. Country Team reporting contributes to the visibility of the Urban-LEDS Project in international events like the Lima COP-20. The ICLEI World Secretariat will be reporting results on Urban-LEDS Phase 1 at the COP-21 in Paris to raise the visibility of LED in the climate change arena.

The Country Teams are especially successful at establishing substantive partnerships with national advisory groups, NGOs and national and municipal officials. Each contributes to the UN-Habitat cross-cutting issues of gender and environment by practicing an inclusive project design approach to bring in middle-sized cities and low income communities as partners; recruiting women and youth for the Core Teams, training initiatives, Model City Working Groups, National PAGs and implementation activities; and contract project development consultants (Federal University of Pernambuco (UFPE) River Restoration in Brazil, Case Study work in South Africa). The World Secretariat and Regional Offices of ICLEI have made useful contributions to Project development and implementation engaging in Project Advisory Group meetings and monitoring activities. UN-Habitat has provided support to urban heritage and mitigation activities through consultants and co-funding and could add additional value through their Regional Offices during the remaining period of Phase 1.

The ICLEI Tool Kit and methodologies constitute a major pillar in the Country Teams' Project structures as well as serve as a major support for training, capacity building and substantive input to the partnership frameworks that include government sector offices and departments, private sector entities, LED and Climate Change technical organizations and NGOs and community groups as per Output 2.2. The knowledge management unit in ICLEI offers support as it can but the Country Missions made it clear that Country Teams need a dedicated person to prepare in local languages and English the extensive documentation, reporting, promotion and advocacy work materials necessary if the Project is to fulfill its vertical flow of information from local to national to international.

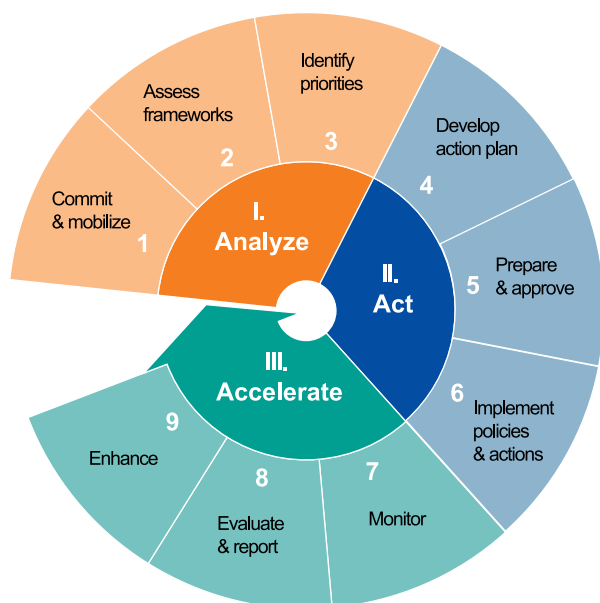
The annual Consolidated Narrative Reports prepared by ICLEI and UN-Habitat record the initial efforts made to establish an overall project structure through the GCC process methodology for local climate action (see Figure 2). The GCC process model, with its 9 steps (and 27 sub-steps, not shown in Figure), offered guidance on the key elements of country-level project structures – establishing Project Steering Committees, providing training in emissions inventories (an important



milestone), supporting priority setting, providing access to the global level Solutions Gateway and Pool of Experts, and so on.

The Project also provided guidance on other important tools: a process for measuring, reporting and verifying (MRV) local climate action, including through results tracking systems and by assembling and submitting data to national and international reporting platforms. Vertically integrated Nationally Appropriate Mitigation Actions (V-NAMAs) represent one way to vertically integrate Urban-LEDS priorities from local to international levels. Local-national dialogues likewise support the scaling up of the programme. The ICLEI guidelines, protocols, templates and formats for reporting have been incorporated into Country Team work, and are being adopted by national and local governments.

**Figure 2: The GreenClimateCities (GCC) Process Methodology.**  
© ICLEI



The Narrative Reports also make it clear that building the capacity of staff and country partners is a priority, and one that requires continued programming as cities’ staff change. For example, the city management rotations in India, and the local government elections in Brazil, Indonesia and South Africa, challenge Project continuity. The Country Teams understand the potential volatility of their political contexts and act accordingly, offering training and reporting methods to enhance Project continuity and the institutional memory of local government. This is to say that “context” plays an important role in strategy development, informed through understanding national and local political, administrative, technical and financial parameters.

The Country Missions organized as part of this IE provided first-hand information of process and progress. The face time interviews with Country Team leadership and staff as well as with project partners provided feedback on the approach, methods and satisfaction with the Project to date to support the LED interests in the Model and Satellite cities. The overwhelming opinion of Project partners is that the Urban-LEDS Project is successful in preparing cities to develop strategies that build LED into the policies, planning processes and priority programmes and projects. The expectations created have made it essential that the continuity and sustainability of LED development needs to be addressed in the remaining period of Phase 1. There are possibilities as well of a Phase 2 of the project that could support the Model Cities in their scaling up of pilot demonstration projects and in the integration of the Satellite Cities into the LED process.

Each Model City has a well-informed, enthusiastic leader to bring to successful conclusion the preparation and ratification of a Model City LED Strategy and Action Plan. Experts available through national entities, ICLEI, and UN-Habitat added value to project strategy development. This positions the Country Teams well to satisfactorily complete their Urban-LEDS agenda.

## 4.2. Work Package 2: Designing Urban-LEDS Status Summary:

*The purpose of Work Package 2: Designing Urban-LEDS is to create a knowledge-based programme to reduce emissions and address climate change through low emissions development. This requires researching existing external, ICLEI and UN-Habitat sources and experiences to define the Urban-LEDS concept. Programme design is to be consultative and create a tool kit including the GCC methodology, indicators and metrics to measure success and technical applications such as measuring GHG emissions for the GHG inventory. Programme Design also built in the importance of outreach, dissemination of findings and experiences to satellite cities through reporting mechanisms, local-national dialogues including lessons and good practice derived from action activity implementation, and participation in international events to increase LED visibility and the experiences of Urban-LEDS. The programme design features an organic policy-to-practice learning model.*

## Urban-LEDS Project Progress

Each of the Country Teams has successfully built its programme structure to be able to prepare an urban low emissions development strategy. The LED programme design envisions



**Image 3: The first National Project Advisory Group (PAG) meeting in South Africa provided an opportunity for Urban-LEDS stakeholders from across South Africa to hear about progress and provide advice for effective further implementation. © ICLEI**

vertical relationships and the levels and kinds of support required to achieve programme goals, specifically guidance on Model City and Satellite City identification and programming as the vehicle through which the low emissions approach evolves. PAGs played an important role in Project development and monitoring (see Image 3). In Indonesia, The PAG has facilitated contacts with NGO and private sector groups, supported leveraging resources from donors, and served to disseminate LED out to a broader audience. In Brazil, two PAG meetings have been held to date and another is scheduled for the end of Phase 1 in November 2015 (provided a contract extension is approved) during the Third National Urban-LEDS Event in Fortaleza.

Each country has identified middle-sized cities as their Model Cities to broaden the awareness of LED in secondary cities now expected to grow more rapidly than the mega-cities that usually capture programme attention. The selection of Satellite Cities varied from country project to country project. In Indonesia, the Satellite Cities were associated with the Model Cities selected. The Model City is to function as a source for Satellite City engagement. Outreach by the other Country Teams to Satellite Cities needs to be further developed if the approach is to work as planned. Other Country Projects such as Brazil and South Africa have Satellite Cities that can and are engaging in LED through national network support like the Brazil's CB27 and South Africa's SALGA.

Each country understands the purpose of the project and has created an approach derived from national capacity and interests to arrive at LED strategies. Each Country Urban-LEDS Project

employs the tools and guidance provided from the ICLEI World Secretariat according to its context. The different countries have established their staff, orientation, approach and the use of its available budget to support local LED initiatives engaged in strategy development. In South Africa the decision was made to pool budget resources to share amongst the Model and Satellite cities. In the other country programmes the budgets focused on support for training to benefit the set of cities and Model City demonstration projects. The country approaches vary but each has the emissions inventory as a project anchor. India and Indonesia based their approaches on the emissions inventories and building awareness, understanding, capacity and strategy development through pilot activities which the Model Cities identified as their priorities. South Africa carried out emissions inventories as baseline information and followed on with an innovative scenario development exercise to lead to strategy development. Brazil focused on strategy development and emissions inventories illustrated through demonstration projects identified by Model City partners. Consultation and dialogue have been the keys to the success of the project structures.

This Work Package clearly states that the Urban-LEDS intent is to feed into international, national and local monitoring and accountability structures to explain, validate and account for low emissions reduction as a development strategy. The Country Projects are doing just that. The Project design includes training, tools and methods to follow and suggests activities as solutions, not as recipes, but illustrations of what is meant by its guidance so those engaged in the programme do not have to second-guess what is expected. The Solutions Gateway is successful in translating themes into actions. The Project encourages partners to determine their sets of priorities with the understanding of how it all relates to low emissions development. The training in Emissions Inventories has been effective in the use of the new Global Protocol and reporting through the Climate Registry is designed to support the vertical integration of the Project. Model Cities' officials recognize the value of and have benefited from the national and international study tours and exchanges supported by Urban-LEDS in Brazil and the others as part of project design to deepen understanding of climate resilient and energy efficient urban management and growth.

Key city personnel are able to carry out and update emissions inventories as per Output 1.4. The ICLEI tool kit needs translation to be able to integrate it into the city action planning process. CB27 in Brazil would be an excellent partner to promote an LED initiative that employs ICLEI methods and processes (see Image 4). Urban-LEDS in Brazil also features



Image 4: The national meeting on Climate Change in Belo Horizonte, Brazil was the stage for the 5th meeting of the CB27 Forum and the gathering of representatives of the Brazilian Urban-LEDS cities together with ICLEI and UN-Habitat. The meeting posed the opportunity for discussion and promoting of low-emission and resilient urban development issues for stakeholders relevant in the national context, shortly before the start of COP-20 in Lima, Peru. © ICLEI

South-South sharing and networking through exchanges and a Quarterly News Letter. Urban-LEDS is designed to provide expert assistance as needed.

In India, building regulations promulgated at the national level as policy for solar energy to be included in the building design process represent an example of the success of local-national dialogues designed into the programme. Project design builds on a consultative process that supports LED discussion and

advocacy to address larger issues like water conservation and fuel substitution in Rajkot, as well as, housing, spatial planning and urban climate impacts in Thane as components of the LED strategies to be prepared. Air quality is a critical health problem in Rajkot. The typical fuels used are petrol and diesel, which emit GHG. That Compressed Natural Gas (CNG) is not available in Rajkot does not mean the issue is to be left to its own devices. LED Strategy development can identify approaches and solutions; or, at the least, explain why CNG availability is an issue and the negative impacts it may have on LED future growth. The innovative decentralized wastewater treatment project requires clear documentation for dissemination to other cities in India and beyond. At the same time, other Urban-LEDS Satellite Cities in India have piloted other approaches (see Image 5).



Image 5: Zero bins for zero waste: a ward in India Urban-LEDS Satellite City Coimbatore becomes bin-free. © ICLEI

Team Brazil designed its Project to employ ICLEI’s guidance, including GGC, the emissions inventory and training guidance to outstanding effect. Project start up is successful. The process included establishing and training the Team Brazil staff; identifying Model Cities following a participatory process to assure that model-city designation is demand driven; and implementing the ICLEI GCC 27 steps guideline to organize, inform, prioritize and implement LED as per Output 1.1. Team Brazil project design supports work with local expert resources including universities and consulting groups contracted by cities to prepare plans and studies. Training is designed to

improve local capacity to monitor and report on emissions and to understand and increase awareness of climate change impacts and energy efficiency requirements. The Project design includes training, tools and methods that recognize context. The LED project design supports the vertical integration that Urban-LEDS calls for. Materials are prepared as press releases, status reports and case studies that contribute to national and international advocacy and information delivery. The Urban-LEDS Brazil Model Cities have committees to guide activities to internalize and promote the LED and GCC process through their organization, trainings, and outreach as per Output 1.4. Demonstration projects support evidence-based policy and project development. The interest in and identified priorities of the Model Cities feature a variegated agenda of energy efficiency, street lighting, urban environment improvements and spatial planning. The goal is for LED to be integrated into the local government policies, planning, methods, acquisitions and thinking about future urban growth. In Brazil and the other Project countries, the process to prepare an LED Strategy and Action Plan to realize that goal is being satisfactorily accomplished.

The Urban-LEDS South Africa Project structure is successfully employing the ICLEI methodologies including GGC, the Solutions Gateway and emissions inventory and training guidance to outstanding effect as per Output 1.1. The Project identified local methods and experts to lead the scenarios development initiative as a contribution to strategy development and carry out case studies. The Project design supports the vertical integration Urban-LEDS calls for. Project design includes identifying and supporting LED “champions.” The DEA is the “champion” of the V-NAMA initiative for building energy efficiency and emissions control. The DEA Monitoring and Evaluation Roadshow introduces the use of the cCR for reporting by the municipal level into the national reporting system – a solid result at the outcome level in terms of institutionalization as per Output 2.1. The Roadshow included training in the use of the cCR and was well received. Project training is designed to consolidate the understanding of the GHG inventory tool, HEAT+, and fine-tune the metrics of GHG to harmonize data collection for the Global Protocol on emissions and climate change planning. Project documentation is a design element. Materials are prepared as press releases, status reports and case studies that could benefit from an ICLEI reporting format. A Programme Notes series should be

prepared on themes and issues that documents the process to date and as it unfolds in the remaining period of the Project. The South Africa Model Cities have committees to guide activities that internalize and promote the LED and GCC process. Pilot projects support evidence-based policy and project development. An example is the pre-project survey for pilot activities such as the Hot Box – a passive insulated cooker that allows women to leave meal preparation for other activities. The Project encourages partners to engage in the innovative visioning and scenario development exercise to identify areas for improvement for strategy development.

The design of the Urban-LEDS structure in Indonesia builds on the Project Advisory Group to engage with national government and the Model City Working Groups to internalize and promote LED and the GCC processes through their trainings. The GHG inventory tool and HEAT+ fine-tuned the metrics of GHG to harmonize air emissions and climate change planning (see Image 6). National – Local dialogues are impacting national policy. The Indonesia Project includes priorities identified by their Model Cities and includes “urban spatial planning” as important to low emissions development. Using co-funding mobilized by UN-Habitat, the Project accessed short-term international planning professional support available through ISOCARP, to help with key planning bottlenecks. Project design plans scaling-up the Urban-LEDS approach to other cities and provinces in Indonesia through the International Committee on Climate Change (ICCC) and exploring this with external donor agencies.



Image 6: **The Urban-LEDS city practitioners at HEAT+ training in Indonesia: A tailor-made tool for managing emissions.** © ICLEI

### 4.3. Work Package 3: Implementing Urban-LEDS Status Summary:

*The purpose of Work Package 3: Implementing Urban-LEDS is to hire and train country programme management teams. With the Team in place, they are then to establish a project development plan, timeline, and budget; select Model Cities and reach agreements for their participation; develop working partnerships with UN-Habitat and EC regional representatives, PAGs of key stakeholders; and establish working exchanges with country programmes in other regions of the world. Implementation featured the preparation of GHG inventories through data collection with expert assistance as needed; application of the results of the inventories to establishing LED priorities; and the organization of national and local workshops to engage civil society and consult with local experts as a part of a learning-cities network related to selected Model Cities.*

#### Urban-LEDS Project Progress

The ICLEI World Secretariat and its Regional Offices are the principal implementing offices of the Urban-LEDS Project. UN-Habitat has provided support to several Country Projects in the areas of spatial planning and urban heritage. Each of the Country Teams successfully followed a similar Project implementation start up process.

Implementation focused on:

- a) Design of the LED programme and its implementation in the country
- b) Selection of Urban-LEDS Model Cities and finalization of bilateral agreements
- c) Identification of Satellite Cities
- d) Recruiting and training key experts for each Model City
- e) Researching existing Model City strategies and priorities to establish pilot project start-ups
- f) Assessing training and capacity building needs and designing and implementing training and capacity building programmes to support local governments to carry out Urban-LEDS activities starting with conducting an assessment of relevant context issues and a GHG emissions inventory.

#### Staffing

Staff recruiting was accomplished through existing ICLEI Regional Office staff and contracting additional personnel to fill positions in required areas of technical expertise. Urban-LEDS Staff is competent, dedicated and able. During each Country Mission the outstanding technical, management and people skills of

the staff were demonstrated in the discussions carried out and the advice provided. Women comprise a significant number of and fill leadership positions in the Project Country Teams. Women are also filling leadership positions in the consulting firms contracted for priority projects, including the River Restoration project in Recife, and for pilot activities including the South Africa Hotbox project (see Image 7). The community leader visited was proud to show us how her hot box worked and explain that she benefited from the training-of-trainers opportunity; the pilot's utility to women and the multiple tasks they carry out and indicated how the project was to proceed. Youth are contracted to participate as young professionals in Project implementation. Women and youth benefit from the opportunity to participate in locally made products such as the Hotbox and other solar energy products that can support small business development. What would be necessary to follow-up on is how to build quality controls into the manufacture of the products and the training required to those interested in purchasing them.

Staff levels vary from country to country and influenced the approach, coverage and content of the different Country Projects. Country Teams identified Model and Satellite City partners and counterparts to support in Project development. "Champions" have been identified and support is provided to them as the face of innovation and project development as per Output 1.2. Staff levels also influenced the development of Satellite City initiatives because of available time and budget. The Country Team managers are clear that LED is to be integrated into local government thinking about LED urban management, spatial development and planning process to



**Image 7: Train-the-Trainer course on, 'Introduction to the Hotbox' in South Africa. The workshop was intended to build skills, knowledge and capacity to champion the rollout of the new initiative and to introduce more energy efficient food preparation among other sustainable benefits. © ICLEI**

be energy efficient and reduce climate change impacts. The focus on Model Cities is to institutionalize the process in local government programmes and policies not create stand-alone strategies divorced from local activities. How it gets there is foremost in the minds of the Teams and the focus of the discussions held during this Mission. In discussions concerning strategy development, the vocabulary employed featured “LED”, as opposed to an “Urban-LEDS” strategy. This made it clear that its approach is not to create a stand-alone strategy, but that in fact, it is to build LED into national and local policies, strategies and priority action programmes, as an overall goal.

Country Teams have established well-managed programmes, ones that have built productive working relationships with partners; coordinated well with the Global Urban-LEDS programme guidance and staff; motivated staff in Model Cities and partner institutions; identified opportunities for and takes advantage of the tools, exchanges and training activities offered by ICLEI and partner entities; and followed a project sequence to strengthen national and municipal institutions to prepare LED city strategies and policies illustrated by pilot activities.

## Model and Satellite City Identification

The Model and Satellite Cities identified followed a demand driven method suggested by the ICLEI World Secretariat. An Expression of Interest (EOI) was addressed to ICLEI city partners in the different countries and open to other cities as well that espoused an interest in Climate Change and Energy Efficiency.

The Model Cities selection process included:

- a) Issuing a request for an Expression of Interest accompanied by a questionnaire designed and sent to all respondents (In India 15 cities responded; in South Africa 13 responded; In Brazil 14 cities responded; and in Indonesia 15 responded).
- b) The responses to the questionnaire were reviewed according to their interests, expressed issues, action programmes undertaken or being considered, and technical and financial resources to be dedicated to the programme as staff, budgetary support as needed and political will to implement change.
- c) The responses were analyzed and scored with the top two selected as the Model Cities and others varying in number selected to be Satellite Cities.

The selection process is completed. The Country Teams approached the Model City and Satellite City relationship differently. In Indonesia the project cities are organized as “clusters” with each model city having its set of satellite cities. How Model Cities perform their role as trainers is to be

addressed in the remaining period of Phase 1. Benefits accruing to Satellite Cities for their participation in the Project were mainly focused on training on the issues and understanding of climate change impacts and energy efficiency, capacity building to carry out emissions inventories and reporting emissions in the new GPC and cCR. Satellite city engagement remains an activity to be realized during the remaining period of Phase 1 and a focus of a potential Phase 2 Urban-LEDS Project.

Indonesia implemented a “Cluster” approach. The Cluster structure for the selected cities is a well-conceived method to organize outreach and responsibilities of Model Cities to share their learning and support Satellite City engagement. Each Country Team identified its best structure for their Model City and Satellite City partnerships. The selection process was demand driven with smaller cities given preferences. The urban contexts and city associations such as SALGA in South Africa and CB27 in Brazil played a role in identifying model and satellite cities according to their proposal presented. That Indonesia organized a “cluster” approach is an innovation that would be important to present in the Urban-LEDS Networking events for Country Programmes to consider as a successful way to implement their Satellite City outreach initiatives.

The Model and Satellite Cities selected are presented in Annex II.

## Training

Programme implementation has focused on capacity building and training to build a solid base for LED strategy development. Training and capacity building are key to programme buy-in to LED principals and understanding. The following core training has been carried out for ICLEI and Model City staff, national government, NGOs and private sector partners. Training events include:

- a) The new Global Protocol for Community - Scale Greenhouse Gas Emission Inventories (GPC) and cCR.
- b) HEAT+ training - *Harmonized Emissions Analysis Tools plus* - software to support local GHG & air pollution emission reduction planning, 23-24 September 2013 led by DNPI National Council for Climate Change, Jakarta, Indonesia for all ICLEI staff & city staff.
- c) GRIP training - *Greenhouse Gas Regional Inventory Process* - tool to help cities explore energy & GHG emission reduction scenarios, November 2013 in Nelson Mandela Bay, South Africa (ICLEI staff and interested cities).
- d) CLIMACT Prio - *Climate Actions Prioritization* - tool for screening and prioritizing local climate change actions, April 2014 in Hannover, Germany (ICLEI staff).

Team Indonesia reported the following training participation: Those participating in the training included LED partners and Model and Satellite City Working Group personnel as per Output 1.4:

- For HEAT+, participants included ICLEI staff and APEKSI's Climate Group members, and representatives from all 6 Urban-LEDS cities in Indonesia.
- In Bogor, training was led by BPLH (Environmental Agency) engaging other related agencies, including Public Works, Street Lighting, Building & Residential, Cleanliness & Park, Transport, Industry, Agriculture, State-owned Electricity Company, State-owned Oil Company, GIZ SUTIP.
- In Balikpapan, the process was led by BPLH (Environmental Agency) engaging agencies, including Public Works, Street Lighting, Agriculture, Building & Residential, Cleanliness & Park, Transport, Industry, Wastewater, State-owned Electricity Company, State-owned Oil Company.

In India, the training has been an on-going process to build a solid base of understanding, with city officials being trained on the development of GHG emissions inventories, development of city action plans with a focus on LED and development of specific pilot projects. All steps of the GCC that are implemented in the Model Cities are through participation of relevant city officials. Specific training was given on the use of HEAT+ as a GHG emissions inventory tool and both Model Cities were trained in the uploading of inventories and actions in cCR. Participation in the Better Air Quality conference in Sri Lanka also benefitted Thane Municipal Corporation in ascertaining the benefits of LED oriented transportation solutions. This information would be useful to the Rajkot team as well since air quality and fuel substitution is an issue.

The planned LED training workshop for strategy development will have two components – one on the process of including LEDS in regular planning and one on the actual preparation of a low emissions development strategy to highlight commonalities and differences. MRV systems for pilot implementation are being discussed and designed in consultation with specific technical staff of the Municipal Corporations as per Output 2.1. Thane City staff was also trained in the use of the GRIP - *Greenhouse Gas Regional Inventory Process* - tool to help cities explore energy and GHG emission reduction scenarios, November 2013 in Nelson Mandela Bay, South Africa. Team India successfully created a sound working relationship with the Rajkot local government structure to the point that the Commissioner has taken the reins of the solar water heater pilot project dedicating budget support to scale up the initiative. LED strategy development can open thinking to new areas to

pursue including solid waste collection and energy efficient future growth, rainwater harvesting and green building construction. ICLEI is being looked upon to provide technical support – and not capital - assistance for pilot and programme efforts. The engagement of the private sector in project design, implementation and financing is also an opportunity to be pursued that could be part of city LED training and strategies.

The Team South Africa Project approach focused on an innovative scenario building exercise carried out by local consultants to identify issues and priorities. Team South Africa decided to pool pilot project support funds and has proved to be a decision well taken. It allows Team South Africa to respond to the expectations it has created with the LED programme and provide assistance to the seven South African cities participating in the Project. This seed capital is expected to leverage additional resources from other agencies and local government budgets as line item support for scaling up training activities and initiating innovative efforts introduced through city-to-city exchanges and training already occurring. Benefits of particular note from these training and capacity building activities include:

- Seeing the prolific use of bicycles in Copenhagen, a KwaDukuza staff member from town planning has begun to explore how to prioritize bicycling infrastructure in local road and spatial plans
- Taking part in a week-long energy and sustainable urban development training course enabled one electrical service provider staff member from KwaDukuza to make links between electricity and wider energy issues, and prioritize three projects for the municipality based on case studies and learning at the course: solar water heaters, municipal buildings and street light retrofits.
- The attendance of multiple municipalities at urban energy network events has grown the national network of local energy champions, with Sustainable Energy Africa (SEA) commenting on the value of this. These interactions have enabled a new wave of staff to join this community of practice.
- The green building learning exchange, organized by Urban-LEDS to enable the two Model Cities to learn from the City of Tshwane as the only city in South Africa with a legally binding green building by-law, helped to shape the nature and concept for the development of green building policies/guidelines in the two Model Cities which is now underway - municipal officials that attended this seminar have now a solid basis with which to shape and engage in this process.
- A relationship was formed between Nelson Mandela Bay (South Africa) and Thane (India) on their net metering

experiences at the first International Networking Seminar. This experience has now been formalized into a case study that was to be published in February 2015.

Site visits and study tours to European support cities and to LED network cities will also support the remaining period's implementation efforts. Team South Africa has also produced specialist papers on critical issues advocating LED future growth for KwaDukuza and Steve Tshwete, especially densification, mixed use development plans, infrastructure, incentives for land use and shelter and resilient land development.

For Team Brazil training and capacity building were/are key to programme buy-in to LED principals and change. Benefits of particular note from these training and capacity building activities include:

- a) GHG Inventories using the GPC methodology
- b) Sustainable Waste Management
- c) Sustainable Procurement
- d) Resilience and Adaptation
- e) Low Carbon Urban Mobility

The international study and exchange events coming up in the last period of Phase 1 are seen as a means of consolidating the skills and understanding achieved to date. Team Brazil's support for national city-to-city exchanges can address the desires of other cities interested in LED to benefit from exchanges as demonstration projects are completed. Outreach to identify additional interested cities, their training and capacity building requirements to engage with their leadership can be organized as a project extension for a Phase 2. The focus on Model Cities is to build institutional capacity through an on-going process of training, study tours and the preparation of a city information base that includes emission inventories, scenarios for understanding strategy development priorities, climate change impact areas, land for development, built environment and heritage assets, infrastructure delivery systems and other key data that document special features of the city's context. Engaging with a local university in Recife is an innovation that could develop into a longer term relationship with the city for support and to build the university capacity to provide LED training on a continuing basis, create LED curricula in the University's course work and provide outreach to interested local governments, NGOs and individuals.

## Strategy Development

LED City Strategies are the goal for Phase 1 of the Urban-LEDS Project in the four participating country projects. Satisfactory progress has clearly been made as per Output 1.1 of the RLF. The implementation sequence cited above has been successfully

implemented to prepare Model Cities for strategy preparation. The process is articulated through support Country Teams provide including the training methods and the range of options included in the Solutions Gateway. The eight European cities identified as support cities represent potential support to be requested by Country Teams as needed as per Output 1.5 of the RLF. Those cities are: Almada, Portugal; Bologna, Italy; Copenhagen, Denmark; Gaziantep, Turkey; Hannover, Germany; Helsinki, Finland; Warsaw, Poland, and Zagreb, Croatia. Actions taken to prepare for strategy development are presented below. Discussions with staff, partners and stakeholders concerning strategy development focused on understanding the LED vocabulary, and building the context and priorities of the Model Cities into local policies, project design and priority action programmes. LED strategies in all the Project's Model Cities will be completed by the end of Phase 1. In Brazil the strategy in Recife is complete and Fortaleza's strategy will be completed by the end of Phase 1. Strategy development in South Africa follows a scenario development exercise unique to the Project. India negotiated the move to strategy development from successful pilot efforts and strategy development in Indonesia benefited from strong political will and budgetary support from the Model City Mayors.

The comprehensive array of implementation actions provides Country Teams and their partners with the tools, understanding and capacity to devise LED strategies and action plans to change policy, methods and behavior to plan, retrofit and develop energy efficient and climate resilient cities.

## Brazil

Team Brazil has the skills and is prepared to work with partners in participating Model and Satellite Cities (see Figure 3) to provide hands-on guidance to accomplish the ambitious schedule for project completion by the end of Phase 1. Training and capacity building in LED methods, emissions reporting and project documentation continue to be part of the Team Brazil Agenda as per Output 1.4 of the RLF. An educational process for reporting through the GPC, awareness building of climate change impacts and issues, emissions inventories, the Model City green building codes and regulations, and retrofitting existing and regulating new construction are actions and ideas that will require several iterations for the concepts to be understood by a wide range of stakeholders and the community at large. Team Brazil has been successful in integrating LED methods, design and products into city improvement initiatives that are part of strategy development. The approach demonstrated improvements that led to green regulation and construction laws that formalize LED into the development system.

Both the political and the techno-administrative city leadership



**Figure 3: Urban-LEDS Model and Satellite Cities in Brazil.**  
© ICLEI



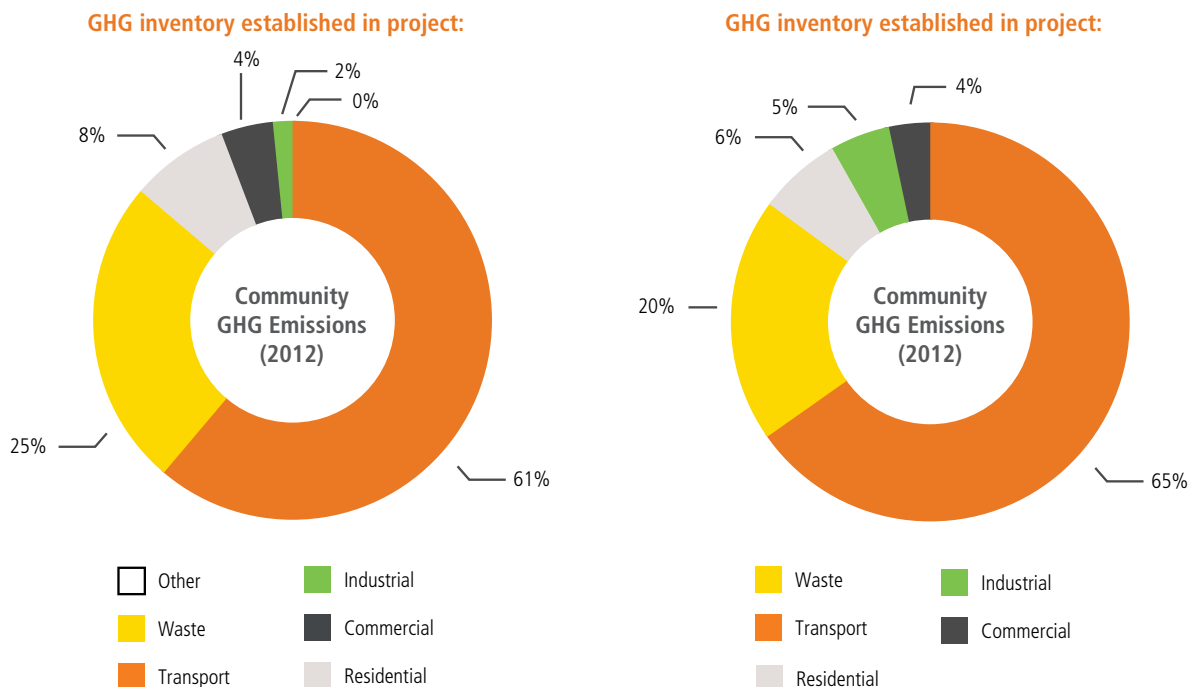
have engaged in significant ways to improve their ability to formulate and implement LED strategies. The strategy development process has become demand driven supported by Team Brazil. Innovative initiatives elaborated on below include the integration of the cities’ water bodies in the city

development plans and strategies, green building policies and product development, awareness of the politics and science of climate change, training to carry out emissions inventories to comply with the new GPC (see Figure 4), the diversification of the public transport systems in Recife to include river transport, bike lanes, bus corridors and bike sharing stations to reduce emissions and change behavior. The variegated projects demonstrate LED improvements and provide examples to local governments and entities that can scale up LED development such as CB27 as per Output 1.2.

Preparing for strategy development has produced the following set of comprehensive results:

1. City profiles gathered through the Model City selection process giving contextual information on the participating cities.
2. GHG inventories in Model Cities completed in each of the four country projects as per Output 1.1. In Brazil and South Africa additional emission inventories will be completed by the end of Phase 1. An additional emissions inventory has been carried out by Curitiba with its own resources, and also in Porto Alegre with project resources. The Model City emission inventories were carried out by key staff assigned for this activity supported by associated consultants, city staff, and Team Brazil’s Igor Albuquerque. Team Brazil will now use the first inventory as the basis for an inventory update to become compliant with the GPC.

**Figure 4: Greenhouse Gas Inventory of the Model Cities Fortaleza (left) and Recife (right).** © ICLEI



3. The Recife LED Strategy and Action Plan is completed. It will now be reviewed and passed by the city council to make it official. The effort in Fortaleza is moving albeit slower but it is to be completed during the remainder of Phase 1.
4. Priority project implementation has been addressed in Recife through the contracting of the Federal University of Pernambuco as per Output 1.3. The work of the UFPE is attracting attention for the engagement of students in the process to contribute and learn; the quality of information being developed to guide project design and implementation; the overall phased structure of the river restoration programme to take best advantage of the available budget; the sensitive evolution of the LED lighting plan for the parks and paths; and the participation of the private sector in the process as park participants.
5. Innovative examples developed of the use of green building materials and eco-friendly design in a demonstration park; solar water heaters, heat pumps, photovoltaic panels, energy efficient lighting, ceiling insulation, water management and saving devices, recycling systems and native plant policies and practice as per Output 1.2.
6. Focused training events, study tours and exchanges that present the wide array of potential LED activities for consideration by municipalities depending on their individual contexts have been successfully carried out including:
  - a) GHG Inventories using the GPC methodology
  - b) Sustainable Waste Management
  - c) Sustainable Procurement
  - d) Resilience and Adaptation
  - e) Low Carbon Urban Mobility
7. International study tours and networking events were held
  - a) The European Study tour was attended by Mauricio Guerra, Evelyne Labanca, Eugenia Simões, Delio Malheiros, Wigor Florencio and Magda Maia officials from Recife, Belo Horizonte and Fortaleza to Copenhagen, Hannover and Almada as per Output 1.5.
  - b) First International Networking Seminar held in Nelson Mandela Bay. At the Networking Seminar a Brazilian participant benefited from a twinning programme between Recife and Almada, Portugal and ISOCARP urban planning technical assistance.
  - c) The Second International Networking seminar to be held in Bogor, Indonesia. Team Brazil will sponsor Recife, Fortaleza, Belo Horizonte, Rio de Janeiro, Betim, Sorocaba, Porto Alegre and Curitiba participant Igor Albuquerque.
  - d) The Metropolitan Solutions in 2013
  - e) COP-19 and COP-20

- f) The Seventh Session of the World Urban Forum in Medellin, Colombia, 5-11 April 2014.
8. Support for contracting for specific focus areas included:
9. Technical Experts for Developing Green Building Policies in the Urban- LEDS Model Cities
10. Support the preparation of and approval by model city councils of green building laws and building codes, and incentives for solar panel installations
11. Urban Mobility Planning
12. Sustainable Waste Management

## South Africa

Team South Africa has established a successful multifaceted approach that focuses on local government institutional capacity building and its ability to prepare and implement evidence-based policies and projects. The approach is for the illustrative actions to translate concepts and policies into priority activities in the Model and Satellite Cities (see Figure 5). Training and capacity building were/are key to programme buy-in to LED principals and understanding. The Solutions Gateway proved to be a useful tool that provided ideas. The Solutions Gateway could also benefit from the innovative activities being carried in South Africa. Site visits and study tours to European support cities and to LED network cities will

**Figure 5: Urban-LEDS Model and Satellite Cities in South Africa. © ICLEI**



also support the remaining period's implementation efforts. Team South Africa has also produced specialist papers on critical issues advocating LED future growth for KwaDukuza and Steve Tshwete, especially densification, mixed use development plans, infrastructure, incentives for land use and shelter and resilient land development. Preparing for strategy development includes addressing both the political and techno-administrative leadership and its ability to formulate and

implement LED strategies. It also includes identifying partners to support the process. Innovative initiatives elaborated on below include the Leadership Programme of Mayors from the seven participant cities, green building policies development, awareness of the politics and science of climate change, training to carry out emissions inventories to comply with the new GPC, reducing emission and changing behavior in energy use at the household level.

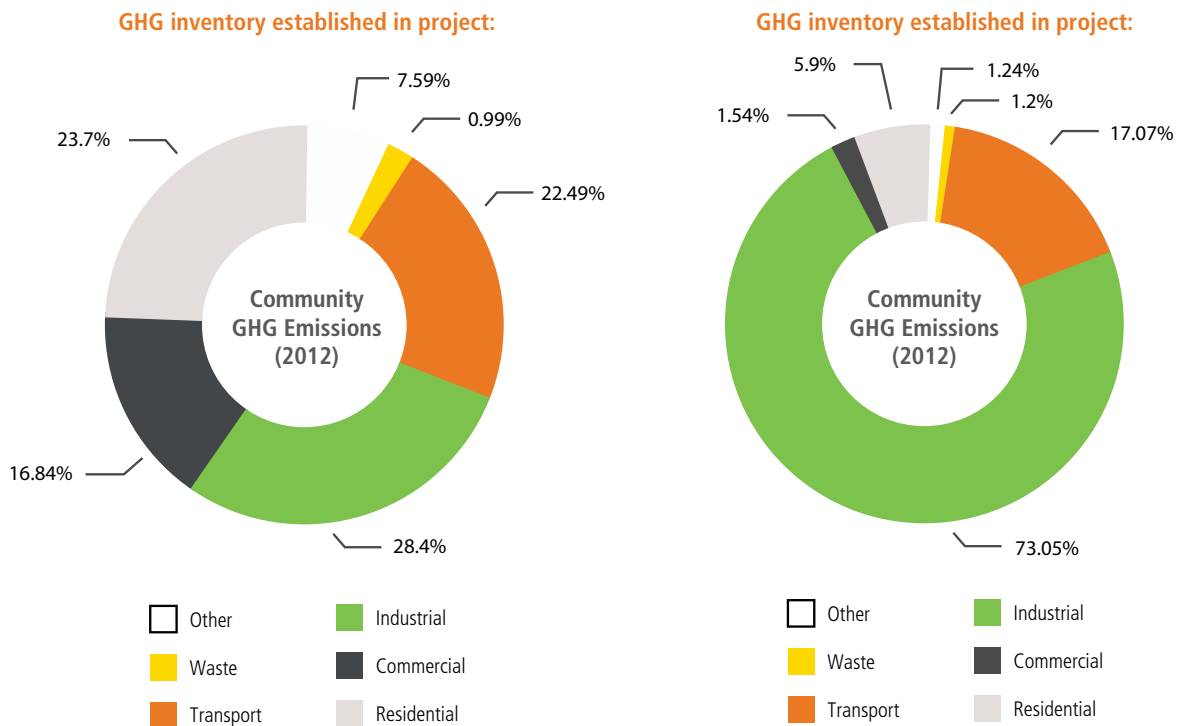
Setting the scene for strategy development has produced the following set of comprehensive results:

1. City profiles have been developed for all seven cities – giving contextual information on the cities.
2. GHG inventories have been completed in three municipalities – KwaDukuza, Steve Tshwete and Nelson Mandela Bay as per Output 2.2 (see Figure 6). These inventories were carried out by Team South Africa staff and peer reviewed by SEA, and with the results Team South Africa expert staff will now train city staff in the GHG inventory update in KwaDukuza to comply with GPC reporting.
3. A staff questionnaire on understanding of climate change and municipal capacity to implement LED was completed in three municipalities - KwaDukuza, Steve Tshwete and Saldanha.
4. Scenario planning involving local interviews and two workshops to develop a strategic vision and objectives

developed for Steve Tshwete and KwaDukuza leading to LED strategies through identified “Transition” areas.

5. A Local Leadership Initiative involving the mayors of the seven participating cities to “Walk-the-Talk” on energy efficiency in the home as per Output 1.2. This will involve the mayors in an eco-audit done in their homes, recommendations and training for retrofit plans and guidance on implementation and outreach to their communities. Examples of interventions they can consider are solar water heaters, heat pumps, PV panels, energy efficient lighting, ceiling insulation, efficient cook stoves, water harvesting and saving devices, recycling systems and could include home gardens, urban forestry, composting and energy efficient house plans.
6. Focused training events, study tours and exchanges that present the wide array of potential LED activities for consideration by municipalities, depending on their individual contexts, have been successfully carried out including:
  - a) The University of Cape Town Urban Energy certified course on sustainable urban energy development (in both 2013 and 2014) that focused on context, specific issues of revenue loss by municipalities due to energy efficiency and proposed solutions to the issue of decoupling tariffs, renewable energy sources and Smart Metering, retrofitting and energy efficient municipal buildings, LED

**Figure 6: Greenhouse Gas Inventory of the Model Cities KwaDukuza (left) and Steve Tshwete (right). © ICLEI**



- and Solar LED street lighting, and LED streetlight retrofits among others and the I-Shack project carried out by the students of the University of Stellenbosch.
- b) The South Africa Climate Change Response Monitoring and Evaluation System Road-Shows led by the DEA (nine scheduled, one completed so far) as per Output 1.4.
- c) Workshops carried out with the Steve Tshwete Municipality on low carbon and municipal planning and green buildings - a topic that UN-Habitat could support in the future phases of Urban-LEDS.
- d) Officials from Steve Tshwete and KwaDukuza attended exchange of experiences with Tshwane city officials on green building policies as per Output 1.5.
- e) Low carbon planning and actions focused on spatial development frameworks that include the use of air quality buffers in the land use management systems (LUMS) to define town planning and controls in support of lowering emissions by industries located in identified pollution hotspots and excluding polluting industries and noxious land uses within cities to compliment the climate change and energy efficiency training carried out by the Steve Tshwete Local Municipality.
- f) Facilitating the attendance of staff from uMhlathuze, Sol Plaatje and Nelson Mandela Bay to attend network meetings of the South Africa urban energy network.
- 7. International study tours and networking events were held
  - a) The European Study tour by two KwaDukuza officials to Copenhagen, Hannover and Almada as per Output 1.5.
  - b) First International Networking Seminar held in Nelson Mandela Bay and now to be followed by a Networking Seminar in Bogor, Indonesia.
  - c) Low Carbon Urban Settlements training at the Local Climate Solutions for Africa Conference (LOCS) in Dar es Salaam, Tanzania which focused on the understanding of built environment sustainability that was presented in terms of Human Development and Ecological Footprints as input to strategy development.
- 8. Requests for Proposals for specific focus areas included:
  - a) Technical Experts for Developing Green Building Policies in the Urban-LEDS Model Cities managed by Team South Africa to build capacity on the National Building Regulations. Green Building Regulations are to be prepared in the participating model municipalities. This work is now underway with consultants hired to support the process in February 2015.
  - b) Case study on small scale embedded generation in Nelson Mandela Bay, in partnership with SALGA/GIZ as per Output 1.3.

- c) A marketing video of KwaDukuza this is to promote the city as a low emission urban center that is interesting for green economic development.

## India

The design of the Urban-LEDS structure in India is an outstanding example of a programme that understands its context, moves at the pace of the partners to create and build on their comfort levels, visualizes its outcomes and then proceeds to instrument its vision with discrete guidance, institutional development and awareness building among partners. Urban-LEDS Model and Satellite Cities are shown in Figure 7.

The Urban-LEDS India Model City Working Groups have internalized and promoted the LED and GCC process through

**Figure 7: Urban-LEDS Model and Satellite Cities in India.**

© ICLEI

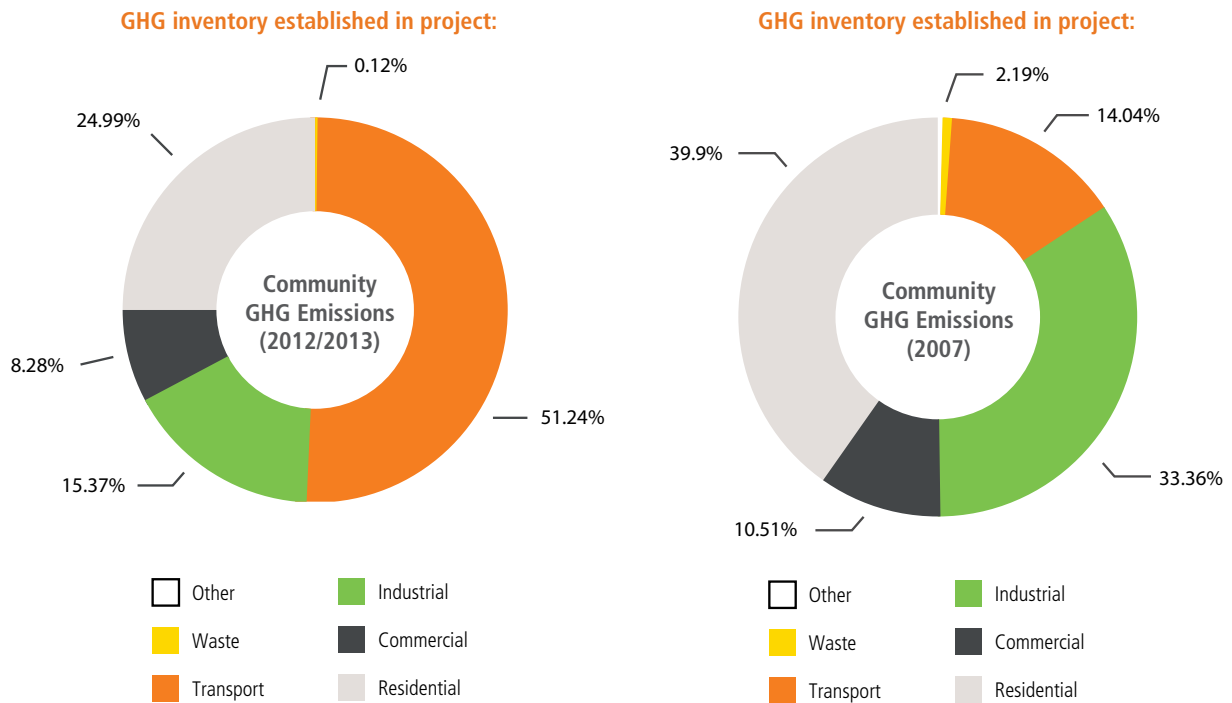


their organization, trainings, and outreach. Pilot projects support evidence-based policy and pilot project development as per Output 1.1.

Setting the scene for strategy development has produced the following set of comprehensive results:

1. City profiles have been developed for the 8 Model and Satellite cities – giving contextual information on the cities.
2. GHG inventories have been completed in Thane and Rajkot (see Figure 8).
3. In Thane discussions promoting an Energy Savings Company (ESCO) with private sector companies are well under way

**Figure 8: Greenhouse Gas Inventory of the Model Cities Rajkot (left) and Thane (right). © ICLEI**



as per Output 1.3. This positions the LED programme to demonstrate useful and innovative local management concepts including Public-Private Partnerships (PPP) and local government prerogatives to contract for services. Team India is providing support to the ESCO initiative with advice including model tender documents.

4. The Thane green building initiative is a focus area of importance to the Commissioner and the programme is to be designed by the Corporation with support from ICLEI under the Urban-LEDS initiative.
5. The planned LED strategy workshop will have two components – one on the process of including LED in regular planning and on the actual preparation of LEDS. MRV systems for pilot implementation are being discussed and designed in consultation with specific technical staff of the Municipal Corporations as per Output 2.1.
6. Focused training events, study tours and exchanges that present the wide array of potential LED activities for consideration by municipalities depending on their individual contexts have been successfully carried out as per Output 1.4, to name a few including:
  - a) Thane City staff were trained in the use of the GRIP - *Greenhouse Gas Regional Inventory Process* - tool to help cities explore energy & GHG emission reduction scenario, November 2013 in Nelson Mandela Bay,

South Africa.

- b) Participation in the Better Air Quality conference in Sri Lanka also benefitted Thane Municipal Corporation in ascertaining the benefits of LED oriented transportation solutions.
  - c) Specific training was given in the use of HEAT+ as a GHG emissions inventory tool (subsequent to city level meetings in both cities in 2014) and both Model Cities were trained in the uploading of inventories and actions in cCR.
  - d) The Commissioner has recommended solar energy and environmental conservation be integrated into the Rajkot Urban Development Authority plan for peri-urban areas. His interest is in assessing the value of using solar pumps for pumping water in urban areas. This is also being explored under the pilot project initiatives being implemented.
  - e) Decentralized Waste Water Treatment to be tested in Wokla, an open drain that borders Jilla Garden identified as in need of upgrading.
  - f) A national workshop/seminar in April 2015 at the national level where the approaches and experiences from the LEDS strategy development and pilot project implementation will be shared with satellite cities and model cities.
7. International study tours and networking events were held and planned

- a) The European Study tour by officials to Copenhagen, Hannover and Almada.
- b) First International Networking Seminar held in Nelson Mandela Bay and now to be followed by a Networking seminar in Bogor, Indonesia as per Output 1.5.
- c) Planning for the Second International Networking Seminar to be held in Bogor, Indonesia.

Output 1.3. GIZ support for NAMA and MRV capacity building and documentation is one such example.

Setting the scene for strategy development has produced the following set of comprehensive results:

1. Model Cities designation is completed and was demand driven. The identification of their Satellite Cities followed similar procedures. Model Cities, with Team Indonesia support, apply the GCC 27 steps to organize, inform, prioritize and implement LED.
2. The GHG Inventory in Bogor is completed as per Output 2.1. In Balikpapan the emissions inventory is in its final stages of development and will serve as the basis for determining the city's needs and mapping out priority mitigation activities. There is a preliminary analysis for potential mitigation action activities being built into the city's planning documents (see Figure 10).
3. The Mayor of Balikpapan issued the programme Working Group decree to assure that the Working Group has a suitable legal basis.
4. In Bogor, the fuel substitution programme was initiated with the municipal vehicle fleet. A green bus route is to be formed to connect the different green amenities in Bogor
5. In Balikpapan, the Model City Working Group is supported by the city budget. The Mayor allocated IDR 150 million (USD11,000) in the city budget for the emissions inventory, increasing the inventory budget with the Urban-LEDS budget, and next year IDR 250 million (USD19,000) will be provided to develop the emission reduction action plan as per Output 1.3.
6. Focused training events, study tours and exchanges that present the wide array of potential LED activities

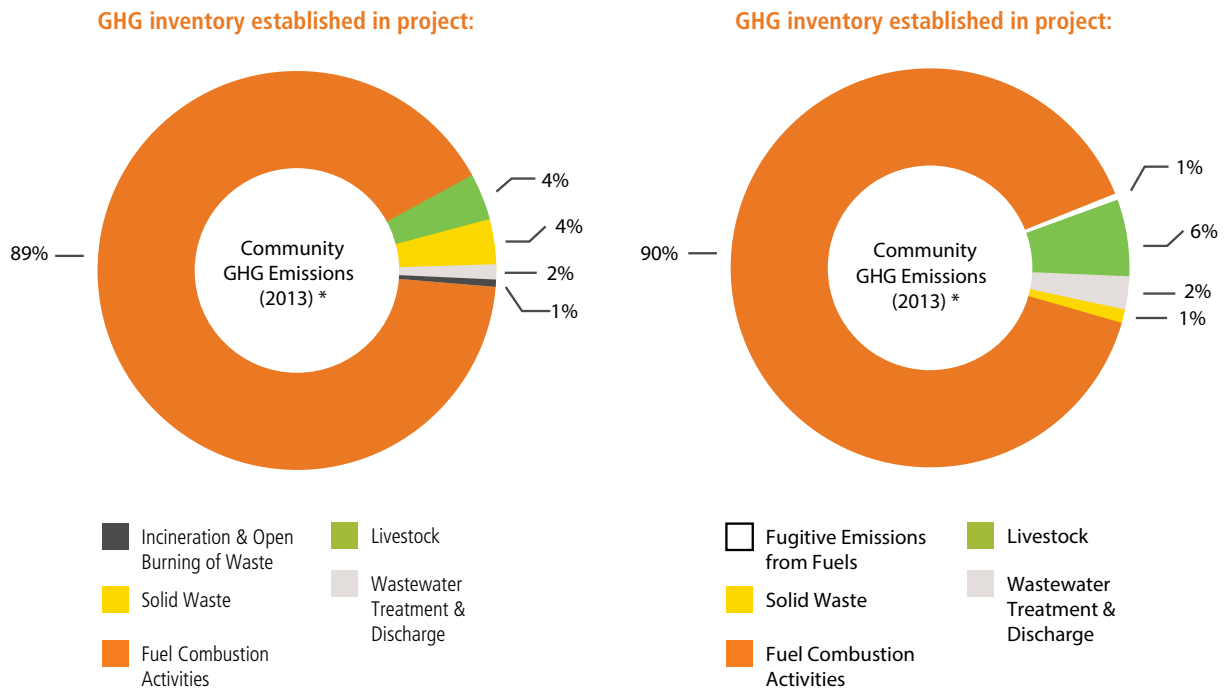
## Indonesia

As designed, Model Cities have availed themselves of support opportunities to the benefit of the programme. Activities addressed include partnership building that has resulted in national (PAG) and local working groups (Model City Working Groups) that contribute to an informed programme implementation. Team Indonesia (see Figure 9) understands and promotes the GCC method and applies its guidance in its work in project development, especially with Working Groups in the Model and Satellite Cities (see Figure 9). Support has been provided in the use of tools and in the preparation of the Indonesia Country and Model City profiles. Model City and Satellite City action activities are being designed that will feed into the Global Knowledge Sharing Platform and good practices as per Output 2.2. Team Indonesia recognizes the need to bring in expert assistance in the heritage spatial planning project. National – Local dialogues and Model – Satellite City exchanges and learning have benefitted from the training that has occurred in establishing an emissions database and the identification of priorities. The Indonesia PAG has coordinated institutions, shared project status and identified interventions from PAG members that leveraged additional resources for project initiatives. Private sector lending institutions and technical service organizations in the PAG are interested in participating in the programme as per

**Figure 9: Urban-LEDS Model and Satellite Cities in Indonesia. © ICLEI**



**Figure 10: Greenhouse Gas Inventory of the Model Cities Bogor (left) and Balikpapan (right). © ICLEI**



for consideration by municipalities, depending on their individual contexts, have been successfully carried out including:

- a) HEAT+, included Team Indonesia and most of APEKSI's Climate Group members. This included representatives of all six Urban LEDS cities in Indonesia.
  - b) Training in emissions inventories methodologies
  - c) Training in the new GPC and Climate Registry is planned
  - d) The Public Works Department, Ministry of National Development Planning (BAPPENAS), and the Project Advisory Group are investigating municipal development funds
  - e) Expert support has been provided to the emissions inventory activities as well as training in the ICLEI GreenClimateCities programme.
7. International study tours and networking events were held:
- a) The European Study tour by officials to Copenhagen, Hannover and Almada.
  - b) The First International Networking Seminar held in Nelson Mandela Bay.
  - c) The Second International Networking Seminar in Bogor, Indonesia (see Image 8).
8. Requests for Proposals for specific focus areas included:
- a) Technical Experts for the heritage area improvement.
  - b) GHG Surveys.
  - c) Emission Inventories updates.

### Demonstration Projects

Demonstration projects were identified and represent important “progress towards positive results, and whether the project appears to have embraced the appropriate strategy to achieve such results” as per Output 1.2. Demonstration projects are a key tool of the Country Teams to illustrate ideas and engage in learning-by-doing with their Model Cities. The Project budgets are set up to support pilot efforts. Country Teams have utilized their budgets in varying ways. Team/ South Africa has pooled resources to be shared as needed among the selected project cities.

In Indonesia, the Heritage Area Retrofit Programme received Urban-LEDS support. The idea of retrofitting the area is quite interesting and mirrors in many ways the interest in river and



**Image 8: City officials together with ICLEI and UN-Habitat experts at the 2nd Urban-LEDS International Networking Seminar in Bogor, Indonesia May 2015. © ICLEI**

lagoon restoration being carried out in Brazil as part of the Urban-LEDS project there. What Brazil is doing has important lessons and guidance for the Heritage Area Project in Bogor that can be shared in the up-coming Urban-LEDS International Networking Seminar to be held in Bogor as per Output 1.5. These projects are interesting examples of LED urban and environmental spatial planning for their potential to develop integrated, multi-sector improvements into project design. In Bogor, what will make the project work is not so much the few historic buildings there, but the way it integrates the historic area with the river that borders it as in Recife, setting up a “Green Route” that sends the new CNG buses up the historic street to connect to the Archeology Park and botanical garden. Suggestions for the historic area project also include:

- a) Integrate/retrofit the historic streets, bike lanes and pedestrian paths into the area.
- b) Link the area to amenities especially the green amenities like the archeological park and the botanical garden in a green route. This promotes the benefits of fuel conversion in the mini-buses raising their visibility.
- c) Incorporate the rivers into the plan as parks ripe for an urban forestry effort. Building a wall to separate them from the area as proposed is poor project planning and turns its back on a potential amenity. The riverbank area development requires design skills. It may encourage the city to clean up its act as well and collect waste and treat sewage!

The physical revitalization of the programmes in Recife and Bogor needs to be complimented by economic revitalization that the private sector can do with a little support and leverage their resources into the activity.

In Brazil, the Urban-LEDS budget is sufficient to allow Team Brazil to help support Model City priority activities. This seed capital is expected to leverage additional resources from other agencies and local government budgets as line item support for scaling up activities. As part of the Capibaribe river restoration project, amenities along the way such as restaurants and convenience shops have agreed to open their services to the path created for bike lanes and walking as per Output 1.2. The Mission site visit included a section of the river where a restaurant will remove its walls to open access for clients.

In Brazil, support to existing demonstration projects includes, among others

- a) LED street lighting initiatives
- b) Support to model park restorations
- c) Phase 1 river front development with bike lanes and

- pedestrian paths
- d) Expanding the bike sharing station programme
- e) Green construction materials usage in park restoration programmes.

Proposed demonstration projects, among others

- a) Roof garden development
- b) Energy efficiency improvements at schools and municipal buildings
- c) Solar water and LED lights
- d) Support to pilot urban water body restoration projects
- e) Development of a green building materials market

In India, UN-Habitat has provided support to Panaji on urban spatial planning and its support could be useful to the local government in Panaji on LED urban heritage issues. This is to be followed up in the remaining part of Phase 1. The pilot activities being carried out in Rajkot include:

1. Decentralized Waste Water Treatment to be tested in Wokla, an open drain that borders Jilla Garden identified as in need of upgrading.
2. Roof top solar panel installation on Sarojini Naidu high school.
3. Replacement of sodium vapor street lighting with LEDS (see Figure 11).
4. Maintenance of the Energy Park as part of an awareness campaign among the local population regarding energy efficient appliances and renewable energy.

**Figure 11: Energy Saver Units (ESU) for Street Light in Rajkot – a Urban-LEDS pilot project implemented in Rajkot, India. © ICLEI**

<p><b>Energy Saver Units (ESU) for Street Lights</b></p> <p><b>Number of Units:</b> 27 (1 unit = approx. for 100 lights)</p> <p><b>Capacity:</b> 24kWH Load</p> <p><b>Year of Establishment:</b> 2011</p> <p><b>Total Cost:</b> INR 3.5 million</p> <p><b>Investment:</b> Rajkot Municipal Corporation (RMC)</p> <p><b>Duration:</b> 10 years</p>	<p><b>Impacts / Results</b></p> <ul style="list-style-type: none"> <li>- Energy savings of 30% &amp; above</li> <li>- Alteration of light has ceased. No dark spots on road</li> <li>- Intelligent control</li> <li>- Minimum maintenance cost</li> </ul>
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The Rajkot Commissioner has recommended solar energy and environmental conservation be integrated into the Rajkot Urban Development Authority plan for peri-urban areas as per Output 1.4. His interest is in assessing the value of using solar pumps for pumping water in urban areas. This is also being explored under the pilot project initiatives to be implemented.

The pilot activities to be carried out in Thane include:

1. Energy efficient street lighting in Thane city through an ESCO: This mainly includes an investment grade audit for selection of 10,000 streetlights along with GPS/GIS mapping.
2. A demonstration test area for LED Street Lighting using LED fixtures on a selected road. This will support the ESCO project.
3. Installation of energy efficient LED lighting in low income areas.
4. An Energy Audit of Water Supply pumping systems with a focus on improving pump efficiency.
5. Developing a green building policy and implementation framework for Thane.

In Thane discussions promoting an Energy Saving Company (ESCO) with private sector companies are well under way as per Output 1.3. This positions the LED programme to demonstrate useful and innovative local management concepts including PPP and local government prerogatives to contract for services. Team India is providing support to the ESCO initiative with advice including model tender documents.

The local government engagement in Thane has benefitted from Team India support as technical and programme development back up for the initiatives it has identified. The Mayor, Deputy Mayor and councilors present in our meeting agreed to move into LED strategy development and understand its purpose as per Output 1.1. The Thane green building initiative is a focus area of importance to the Commissioner and the programme is to be designed by the Corporation with support from ICLEI under the Urban-LEDS initiative. Documenting the ESCO effort is an important activity to be carried out as part of the knowledge exchange mandate of the Urban-LEDS programme.

In South Africa, existing demonstration projects include:

- e) Roll-out of 500 Hot Boxes (passive insulated cookers); proposed demonstrations projects as part of "Community showcases"
- f) 20 Care Homes for foster children in the KwaDukuza district to be solar water heaters, roof insulation and food gardens
- g) Energy efficiency improvements at the Environmental Education Center in Nelson Mandela Bay
- h) Solar water and LED lights at a school or clinic in Mogale

Demonstration projects continue to be an educational process that translates concepts and policies into an action agenda the cities are carrying out. The range of options included in the Solutions Gateway represents a potential set of actions that can inform strategy development.

## Budget Expenditures

The total Urban-LEDS budget provided by the EC is 6,700,00 Euros. According to agreements made to date, ICLEI will receive 5,430,984 Euros (out of which 3,274,348 euros will go to four ICLEI Regional Secretariats addressing in-country support in the 4 target countries, UN-Habitat receives 1,269,016 Euros, ICLEI World Secretariat and ICLEI Europe receive the rest.) As of 31 December 2014, ICLEI had disbursed 1,647,599 Euros to the offices addressing the 4 target countries and 1,480,886 Euros was spent by those project offices. UN-Habitat had spent 495,672 Euros on operating expenditures.

The Urban-LEDS budget process was that ICLEI has set up the original budget which was then confirmed by the EC. UN-Habitat, the main contract partner to the EC, confirmed this budget with minor modifications and confirmed most of it to be managed and spent by ICLEI. ICLEI requested an allocation and UN-Habitat would provide it against the amount established for ICLEI.

Katharina Rossberg, Head of Administration at the ICLEI World Secretariat supporting the Urban-LEDS project in terms of administrative and financial matters, explained that:

*"The Urban-LEDS project is split into different (contractual) Phases (Phases I to III) between UN-Habitat and ICLEI. Although the total budget and duration of the project have been agreed to at the beginning of the project, ICLEI receives contracts (or to be more specific contract amendments) for the separate phases identified. The ICLEI World Secretariat coordinated the project in this way - and also works with its Regional Offices using this system.*

*Each Phase is linked to a specific budget and tasks linked to the work, as part of the overall work plan.*

*Phase I started on 1 March 2012 and ended on 30 April 2014, when the ICLEI World Secretariat had spent all the funds for Phase I and respective tasks were implemented.*

*As the Regional Offices were at different points of their project implementation and related spending, and all partners wanted a reference date for accounting and being able to start the new phase, the decision was taken that for Regional Offices, Phase I*

would end on 31 Dec 2013 and remaining funds from this phase – for the Regional Offices - were allocated to Phase II (meaning that costs of this value would still be covered by funds from Phase I). Phase II followed a similar process. It started on 1 January 2014 and ended on 31 March 2015 for the Regional Offices.

So far we have only finalized the financial accounting until 31 December 2014. ...

Kindly note, that the budget for Budgetary Phase III is not yet finalized for the Regional Offices and we thus only added preliminary amounts - although the overall budget will stay the same. There may be a reallocation request between cost categories to UN-Habitat later this year, should this be needed to adapt budget categories according to the needs and spending of the offices."

Out of the total project budget of 6,700,00 euros, 3,274,349 Euros (49%) is directly allocated to the four country programmes. The World Secretariat provided the four country programmes relatively similar amounts with which to work (see Table 1). As of December 2014, after 36 months of the project, the countries had spent 22%-32% of allocated funds. According to ICLEI's financial planning, Brazil receives the most with a budget of 955,406 euros, followed by South Africa with 848,482 euros, India with 753,824 euros and Indonesia with 716,637 euros. As of 31 December 2014 Brazil had spent 465,139 euros followed by India with 348,071 euros, Indonesia 347,286 euros and South Africa with 320,389 euros.

In the country interviews each Country Team stated that the resources were adequate for the envisioned programme and expected outputs. Funds were leveraged as well. In Balikpapan, Indonesia, the Model City Working Group is supported by the

**Table 1:** Project budget for the four country programmes. (Breakdown of expenditures by country as of 31 December 2014 is presented in Annex VI.)

	COUNTRY BUDGET ALLOCATION/€/%	EXPENDITURES BY 31 DECEMBER 2014 €/%
Brazil	955,406€ (29 %)	465,139 € (32 %)
South Africa	848,482€ (26%)	320,389 € (22%)
India	753,824€ (23%)	348,071 € (24 %)
Indonesia	716,637€ (22%)	347,286 € (24%)
<b>Total</b>	<b>3,274,349 € (100%)</b>	<b>1,480,885 € (100%)</b>

**Table 2:** Sectorial-specific expenditures until 31 December 2014 for the four ICLEI Offices

EXPENDITURES UNTIL 31 DECEMBER 2014 <sup>2</sup>	TOTAL (IN EURO) TO 4 ICLEI OFFICES ADDRESSING THE FOUR TARGET COUNTRIES
Subcontracts/Grants to Institutions	1,129,828.00
Training/Workshops and Seminars	316,265.00
Equipment and Furniture	16,560.00
Miscellaneous	18,233.00
<b>Total</b>	<b>1,480,886.00</b>

city budget. In Bogor, the mayor allocated IDR 150 million (USD 11,000) in the city budget for the emissions inventory, increasing the inventory budget with the Urban-LEDS budget, and next year IDR 250 million (USD19,000) will be provided to develop the emission reduction action plan. In India, the Rajkot Commissioner has recommended solar energy and environmental conservation be integrated into the Rajkot Urban Development Authority plan for peri-urban areas. He stated that the Rajkot budget will have line item support for scaling up the solar programmes. In Brazil funds were leveraged from local partners to cover travel expenses for study tours. The different countries have established their staff, orientation, approach and the use of its available budget to support local LED initiatives engaged in strategy development. In South Africa the decision was made to pool budget resources to share amongst the Model and Satellite cities. In the other country programmes the budgets focused on support for training to benefit the set of cities and Model City demonstration projects.

This IE concludes that there are satisfactory levels of resources to successfully conclude project activities in the remaining period of the Project.

#### 4.4. Work Package 4: Global Exchange Framework Status Summary:

The purpose of Work Package 4: Global Exchange Framework is to establish contacts and create mechanisms for the exchange of LED experiences, information and problem solving. Direct contacts are to be established between Model Cities to share their programmes and issues, to broaden and deepen understanding of LED concepts and to gain insights into priority setting and action programme design. Contacts are also sought between national programme Model Cities and European cities

*and their experts to provide international experiences into the learning process. Contacts are encouraged through online mechanisms, seminars, newsletters and staff exchanges on an intra-national and intra-regional basis including sharing with Latin America and other regions and countries.*

## Urban-LEDS Project Progress

Urban-LEDS contributes to and takes advantage of Global Exchange opportunities. The concept of a vertically integrated project calls for country programmes to produce reports, carry out studies and inventories and create information on emissions and other aspects of low emissions development for a global audience and in a form appropriate to it. Urban-LEDS successfully provides guidance and motivation through Country Projects that build in global perspectives and experiences.

The Urban-LEDS programme has sent national government and Model City representatives abroad to gain experience and exchange ideas on LED development as per Output 1.5. Study tours to European and African countries were undertaken. These exchanges have been successful. The Recife Mayor was impressed by the bicycle lanes developed in Europe and bicycle lanes will be a significant part of the Recife river restoration programme. The KwaDukuza staff that went to Europe on study tour recognized the value of seeing the exciting and innovative projects in various cities – particularly taking home the importance of leadership from the top as demonstrated by Almada, Portugal, but also recognizing that European experiences need to be contextualized and made appropriate to local conditions, and reiterating the value of local exchanges.

The Urban-LEDS Project supports international and country networking seminars as part of the global exchange opportunities offered. The networking seminars are successful. Interviews carried out during the country missions highlighted the utility of the networking seminars and the ability of the participants to engage. The South-South format was stated to be a preferred method for dialogue that resonates with them. South Africa hosted the first International City Networking Seminar in Nelson Mandela Bay in 2013 (see Image 9). It brought together Model and Satellite City representatives from the four Project countries and representatives from two European cities, to exchange ideas and experiences as per Output 1.4. Exchanges included addressing climate change, documenting and reporting on emissions reductions and understanding LED future urban growth issues of spatial planning, resilient design, mixed-use development and the densification and retrofit of the existing built environments.

As indicated above, both during the study tours to Europe as well as in the international networking seminars, Urban-LEDS model and satellite cities were able to extract valuable lessons and inspiration from the European resource cities. Several of those European resource cities (e.g., Almada, Copenhagen, Helsinki, and Zagreb) have participated actively in the EC-sponsored Compact of Mayors (COMPACT), and were able to share lessons gleaned from that experience on energy-efficient urban development with the cities from the Global South. At the same time, the GreenClimateCities approach used by the Urban-LEDS Project as a core process is an accepted methodology in the Covenant of Mayors, which is methodology-neutral<sup>3</sup>.

Programmatically, Urban-LEDS country staff and partners will be in a positive position to contribute useful and innovative experiences to a broad audience as its strategy development and pilot projects are implemented; documented in forms useful to international and national events; and contribute to the Global Protocol emissions information system as per Output 1.3 of the RLF. The Project could provide a highly variegated agenda of activities that would benefit international events looking for practical experiences to showcase.

In South Africa, as with the other Project countries, the activities being implemented offer interesting input to a global platform. The scenario development method is a different



**Image 9: Robert Kehew, UN-Habitat outlining recommendations for addressing the urban sector in national climate change policy at the 1st Urban-LEDS International Network Seminar in South Africa, November 2013. © ICLEI**

approach to strategy preparation that could be of interest to a broader audience. Engaging with the Mayors from the Model and Satellite Cities in the Leadership Programme is a unique effort other country programmes could benefit from. A Programme Notes Series developed to consolidate project information documented to date in a format negotiated with the ICLEI World Secretariat and consistent with other country documentation could lead to useful multi-country documents available to other countries and cities interested in LED for cities through global platform outreach programmes as per Output 2.2. The International City Networking Seminar in South Africa was the first of such exchanges to encourage and facilitate inter-regional exchanges of issues and opportunities. Global Exchanges can open dialogues on LED urban planning as well as energy efficiency and fuel substitution initiatives.

Urban-LEDS Brazil supported Global Exchange opportunities. The principal international activity of the project was the European Study Tour attended by Mauricio Guerra, Evelyne Labanca, Eugenia Simões, Delio Malheiros, Wigor Florencio and Magda Maia who are officials from Recife, Belo Horizonte and Fortaleza to Copenhagen, Hannover and Almada. Team Brazil was represented by Igor Albuquerque. Indonesia will host the next Networking Seminar in Bogor. Team Brazil will sponsor Recife, Fortaleza, Belo Horizonte, Rio de Janeiro, Betim, Sorocaba, Porto Alegre and Curitiba participants and Igor Albuquerque as per Output 2.2 of the RLF. The Seminars will feature country presentations and Brazil has experiences to share. The work done on street lighting, parks and river restoration, recycled and green building materials and the legal framework for LED are all potential contributions to be made at these international events by Model City champions. Urban-LEDS Brazil could benefit from deepening its understanding of LED future growth issues of spatial planning, mixed-use development and the densification and retrofit of the existing built environment.

Urban-LEDS Indonesia also participated in Global Exchange opportunities. Global exchange opportunities include the 1<sup>st</sup> International City Networking Seminar in South Africa and in the European study tour in 2014. Exchanges can be established between Bogor, Indonesia and Recife, Brazil on river restoration and integration into urban spatial planning. Country programmes with similar interests and issues can be consolidated for input to the Urban-LEDS Website and prepare presentations for and participate in side events at international events. As the Project evolves it can share its experiences and reflect on those of others in support of the continued need for capacity building. Team Indonesia has not yet approached the EC for support from one of the selected EC cities. It was suggested during this Mission

that a Programme Notes Series be developed to document and monitor progress that can serve as an information base for presentations and international emissions accounting and programme development efforts.

Urban-LEDS India engages in, contributes to and takes advantage of Global Exchange opportunities. Training outside of India has proved to be effective. Partners have benefitted from the exposure to different ways of thinking and technical solutions seen and discussed at the 1<sup>st</sup> International City Networking Seminar in South Africa and the European Study Tour. Programmatically, Urban-LEDS India can provide benefit to international events presenting its decentralized wastewater treatment pilot effort and its application to the river and water body restoration pilots in Bogor, Indonesia and Recife and Fortaleza, Brazil.

Exchange events being considered to participate in and contribute to as per output 2.2 of the RLF include:

1. The ICLEI World Congress to be held in Seoul, Korea April 2015
2. Local Climate Solutions for Africa Congress (LOCS), Durban, South Africa, August 2015
3. The upcoming International City Networking Seminar to be held in Bogor, Indonesia in May 2015 for project cities of the Global Urban-LEDS project, where key issues of interest to the project cities will be identified ahead of the exchange and discussed.
4. COP-21 in Paris.

#### 4.5. Work Package 5: Urban-LEDS Support Status Summary:

*The purpose of Work Package 5: Urban-LEDS Support is to offer guidance on LED to the Work Groups established in the Model and Satellite Cities as well as to the national advisory groups and project partners. Support is comprised of the Solutions Gateway that offers organizational, technical and policy action areas and financial models, as well as, the Solutions Website available to project partners with tools that address metrics and guide emissions inventory efforts; experts identified and organized into the Pool of Experts; and case study good practices.*

#### Urban-LEDS

Urban-LEDS support is derived from ICLEI World Secretariat guidance and from Country Team technical, administrative and management capacities. Support for training and capacity building presented above is a critical element to strategy

development. The Country Teams established by the ICLEI World Secretariat and its Regional Offices have chosen highly competent staff that can learn as they instruct. The Teams employ their technical and managerial capacities to outstanding effect. Each Country Project has established a project structure and an agenda to arrive at an LED Strategy. Their approach initiated activities with the GreenClimateCities method, emissions inventories and pilot efforts to demonstrate policy and practice. This experience is building in the partner local governments an interest in and an understanding of the utility of an LED strategy to scale up pilot activities and plan a greener future growth. The establishment of short-, medium- and long-term activities as critical elements of the Project agenda builds local government experience, and confidence in the city population that the local government can guide and improve energy-efficient service delivery and climate-friendly future growth. The eight European cities identified as support cities represent potential support to be requested by the Country Team as needed – e.g. through case studies, sharing knowledge at peer-to-peer exchanges and potentially hosting a staff person from the Model Cities.

The LED support role with the Model City working groups is important. Commitments between Team India and the Model Cities to move to strategy development were accomplished during our Mission meetings. Team India was quick not to miss the moment. TeamIndonesia support to training and technical support to the Project PAG, with BAPPENAS, built a knowledge base for building regulations and environmental law that promotes non-elevator, low-rise, high density construction as substantive input to green housing policy and projects. Support to the building materials industry is to be provided to produce components manageable through self-help and small contractors. The PAG has coordinated institutions, shared project status and needs and identified interventions from PAG members that leveraged additional resources for project initiatives. Support has brought private sector lending institutions into the PAG as well and interested them in participating in the programme. Funding has been leveraged through GIZ for V-NAMA and MRV capacity building and documentation as per Output 2.2 of the RLF. Team South Africa support to LED champions has created advocates for LED with impacts at the city and national levels. Energy efficiency and LED policy development as well as training in emissions reporting are important contributions to the Project. Team Brazil support to the street lighting and river restoration initiatives in Recife has been identified by partners as critical.

Team India employs its technical capacity to outstanding effect. Team India has no issues with bringing in outside support to

compliment the excellent set of technical and management skills Team India does have. That capacity is complimented by additional ICLEI World Secretariat Urban-LEDS support as needed. The solar programme is one such example. The decentralized wastewater treatment project could be another example to benefit from outside input, especially someone to document this innovative effort. Programme management in each of the countries has been clear that they do not pretend to be all things to all activities.

Support needs to be oriented to address outreach to satellite cities and a broader south-south exchange to advance the LED agenda. National – Local dialogues and Model – Satellite City exchanges and learning have benefitted from the training that has occurred in establishing an emissions database and the identification of priorities. With the management and technical support in place, the task now for the Urban-LEDS Indonesia Team is to identify experts from the support available and programme their participation. Reinforcing concepts in the remaining period of Phase 1 is essential for the programme activities continuity and replication. Scheduling emissions inventories should happen in the next period. That will allow for review of methods and metrics used to measure, record and forecast them. Expert assistance could also be offered to the Model City initiatives to support their Satellite City outreach through the Pool of Experts as per Output 1.2. The Solutions Gateway is a global knowledge-sharing platform of good practices. Support is available as well through the Low Emissions Action Plan Wizard to guide cities with appropriate measures.

The level of understanding of LED in India has established a sound base for pilot and larger programme development such as the Energy Service Companies project and solar technology, water management and planning concerns. The dialogue carried out during the India Mission demonstrated a supportive approach with partners that respected their technical understanding without being patronizing. With management and technical support in place, the task now for Urban-LEDS India is to identify experts for strategy development and programme their participation as per Output 1.2 of the RLF. Emission inventories can be revisited that will allow for review of methods and metrics used to measure, record and forecast them. Expert assistance could also be offered to the Model Cities to support their Satellite City outreach. Programme and pilot project documentation will be an important activity that may require a dedicated staff person to address the task. The information prepared will contribute to the validation of Phase 1 and could lead to a Phase 2.

Partnership building in Indonesia has resulted in national (PAG) and local working groups (Model City Working Groups) that contribute to an informed project implementation. The ICLEI support systems, tools and methods are clear and useful in support provided to its partners. Expert support has been provided to the emissions inventory activities as well as training in the ICLEI GreenClimateCities programme. UN-Habitat developed materials for the Urban-LEDS urban climate solutions knowledge gateway on the topic of urban spatial planning. The Indonesia Project features retrofitting historic areas through cross-sectoral low emissions urban planning. Expert spatial planning support is to be arranged. Attention to implementation of Model City and Satellite City action activities is necessary as part of the Phase 1 effort. Experiences are to be documented with support that will feed into the Global Knowledge Sharing Platform and good practices.

Team South Africa operates with a hands-on approach and employs its technical capacity to outstanding effect. That capacity is complimented by additional ICLEI World Secretariat support as needed. Team South Africa has identified expert staff to support its project activities to compliment the excellent set of technical and management skills Team South Africa demonstrates. Team South Africa prepared the emission inventories for the Model Cities of KwaDukuza and Steve Tshwete. The idea was to have an example of what an emissions inventory looks like to build capacity based on the illustrative example as per Output 2.1. During the remaining period of Phase 1 Team South Africa staff plan to go step-by-step with Model and Satellite City staff to transfer the capacity to carry out emissions inventories themselves; prepare Green Building Policies in the Model Cities; prepare strategies and action plans for Model Cities and update the GHG inventories among others. The dialogue carried out during the meetings held during this Mission demonstrated Team South Africa's supportive approach validated by the level of successful engagement of senior political and technical officials in the project. With the management and technical support in place, the task now for the Urban-LEDS South Africa is to focus on implementation. In this sprint to the finish line of Phase 1 Team South Africa should contract additional staff to accomplish the ambitious set of activities identified in the Model and Satellite cities. During the remaining period of Phase 1, reinforcing LED concepts and understanding the methods used in emissions inventories, policy development and priority identification for action is essential for the sustainability of programme activities' diversity, continuity and replication. Team South Africa has

the capacity to accomplish this. Emissions inventories can be revisited that will allow for review of methods and metrics used to measure, record and report them. Programme and pilot project documentation will be an important activity that may require a dedicated staff person to undertake the task. The information prepared will contribute to the validation of Phase I and lead to a Phase II.

Team Brazil is proactive; it maintains a continual dialogue with its Model and Satellite City partners to identify priority activities within the framework of the Urban-LEDS project. In the meetings carried out during the Country Mission, city counterparts made it clear that they valued the input of Team Brazil and sought information and support for their priority projects. Team/ Brazil is able to listen and suggest approaches to accomplish the results sought. Its budget supported training and demonstration projects. Recife partners benefited from the study tours, capacity building and identification of implementation requirements. It built capacity for emission inventories and green development concepts to demonstrate policy and practice for urban forestry to increase tree cover and to retrofit their existing built environment. This experience builds on the vision statements of the Model Cities to develop sustainable, efficient cities. City counterparts state that Urban-LEDS is building their understanding of LED to plan and implement a greener future growth.

Team Brazil worked with city staff to prepare the emissions inventories for the Model Cities. Support to Strategy Action Plan development allows for inclusive input to consolidate Model City capacity to update emission inventories; prepare Green Building Policies and Sustainable Construction Codes and Regulations that feature LED including low income communities as per Output 1.3. The dialogue carried out during the meetings held during the Brazil Mission demonstrated Team Brazil's successful engagement with senior political and technical officials to advance an LED agenda. Expert assistance could also be offered to the Model Cities to support their Satellite City outreach through national technical support. The Solutions Gateway can be translated into Portuguese to become the useful tool it can be. Programme and pilot project documentation will be an important activity that may require a dedicated staff person to undertake the task. Support is provided to address and orient outreach to satellite cities and a broader South-South exchange to advance the LED agenda working with CB27. The information prepared will contribute to the validation of Phase I and the Solutions Gateway.

## 4.6. Work Package 6: Global Database of Urban NAMAs

### Status Summary:

*The purpose of Work Package 6: Global Database of Urban NAMAs is to harmonize the methods of verification of GHG accounting. That includes identifying globally and nationally acceptable definitions and methods that do not overwhelm local government capacity to carry out and report their emissions inventory results. The result will be a global database comprised of consistently gathered and measured information that will serve as the starting point for emissions reduction activities. Vertically integrated NAMAs are vertically integrated initiatives between local and national levels. A Measurable, Reportable and Verifiable (MRV) framework is being drafted to facilitate local government reporting.*

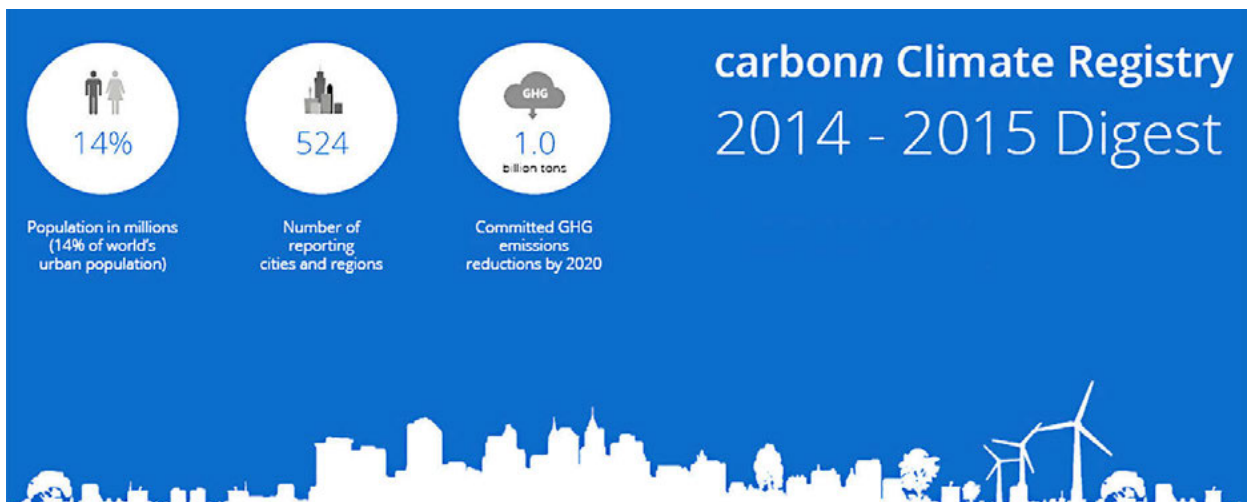
### Urban-LEDS Project Progress

The Global Database on GHG emissions is a work in progress – enhancing the cCR. The new GPC was developed as a standard that can support the integration of local government reporting into national mitigation reporting. Urban-LEDS emissions inventories can now be reviewed to test for full GPC compliance. The cCR is the reporting platform promoted by the Urban-LEDS project to collect information on commitments and emissions inventory results and activities to address emission reductions (see Figure 12). The Country Teams are engaged in building the new Global Protocol and Climate Registry into their training and capacity building efforts as per Output 2.1 of the RLF, as they are with the MRV methodology and the V-NAMA.

In South Africa GHG inventories were compiled during the initial phase of the new GPC and peer-reviewed by one of the premier local energy organizations in South Africa, SEA. Team South Africa is intimately involved in the roll out of the cCR – almost all municipalities are now reporting their actions, commitments and performance to the platform. The cCR was a focus of the DEA South Africa Climate Change Response Monitoring and Evaluation System Roadshow. A consistent reporting format is key to data consolidation and Urban-LEDS is at the forefront of the effort. The DEA workshop attended during this Mission demonstrated the intent of the DEA, with Team South Africa support, to integrate a standard format into the reporting of GHG emission information as part of a global effort to gather the data. The workshop included a group exercise to fill out the cCR form. During the wrap-up of the first day of the training event on the use of the cCR an interesting comment was offered that summarized the attitude of the event and the acceptance by the participants to work with it. It was noted that the cCR was a positive document in that it allowed local governments to record what they were doing as opposed to documenting what they were not doing.

Team Indonesia established a partnership with the GIZ, a principal sponsor of the V-NAMA initiative. The partnership with GIZ is the principal Team Indonesia activity to promote V-NAMAs and the Measurable Reportable Verifiable (MRV) methodology. Both V-NAMAs and MRV efforts are integral to the verification process necessary to build the comfort level of politicians and civil society in LED. From the perspective of the evaluator, the stage of emissions measure is an art not yet a science. During the

**Figure 12:** The carbonnClimateRegistry is designed as the global response of local and subnational governments towards measurable, reportable, verifiable (MRV) climate action. © carbonn Climate Registry



Indonesia Mission discussion brought out the issues encountered in the emissions inventory process there that requires judgment to weigh emissions sources and levels in inventory programmes.

The design of the Urban-LEDS India programme is purposefully vertically integrated. The LED strategy to be done needs to include V-NAMA and MRV as tools if the programme is to contribute to the Global Database. Training on metrics for emissions measurement needs to be an on going activity in the remaining period of Phase 1. It is recommended that workshops be carried out with a broad array of participants to enhance understanding and measurement methods to build capacity to sustain measurement initiatives.

In Brazil, GHG emissions inventories were compiled before the roll out of the new GPC. Team Brazil will be carrying out inventory updates that will use the existing inventory as a tool for training in the new reporting formats as per Output 1.4. The hands-on approach discussed will feature city staff able to guide the inventory update and, with Team Brazil support, engage with the reporting requirements of the cCR. While some elements of the test GPC were incorporated into inventory design, these inventories can now be reviewed to test for full GPC compliance. Team Brazil is in the process of identifying entities to peer-review the GHG inventories.

## 4.7. Work Package 7: Global Climate Advocacy Status Summary:

*The purpose of Work Package 7: Global Climate Advocacy is to advance the position and participation of local government in the global dialogue on climate change. Urban-LEDS, by design, is a specific contribution to that effort. Its activities represent specific local government events that need to be documented.*

### Urban-LEDS Project Progress

The Urban-LEDS Project staff and partners participate in Global Climate Advocacy events. In addition to the ICLEI International Networking events that showcase pilot activities to the Urban-LEDS set of countries, the project contributes to the Global dialogue through participation in international events including the COP-18 (Doha), COP-19 (Warsaw), COP-20 (Lima) and (assuming a contract extension) the upcoming COP-21 (Paris) as per Output 2.2 (see Image 10), as well as the mid-year Bonn Climate Talks (see Image 11). The Country Teams are preparing case studies and reports on activities that the World Secretariat and UN-Habitat could use in their advocacy work as part of the Urban-LEDS Website, shared in the Friends of Cities events and as input to the Local Government Climate Roadmap, a



Image 10: Urban-LEDS participants at COP-19 in Warsaw, Poland: Multi-level partnerships for promoting advocacy, scaling up local action and mainstreaming Climate Action towards a low carbon economy. © ICLEI





Image 11: ICLEI's Maryke van Staden introducing the 'carbonn Cities Climate Registry' (CCR) at the Bonn Climate Change Conference, 2013. 'It is a global response of local governments to measurable, reportable and verifiable climate action and is the world's largest global database of local climate action.' © ICLEI

process that helps the voice of local officials to be heard in the context of the global climate negotiations. The quality of the Project's Model Cities action activities and the methods being devised and followed are worth sharing at Global Climate Advocacy venues. The diversity of the Project's activities offers an innovative set of themes and actions that will deepen and broaden the LED agenda.

The ability to communicate new ideas and directions to address climate change mitigation requires dedicated staff to prepare. Evidence-based material derived from field experiences is a start. The Urban-LEDS project has been and should continue to exercise its mandate to organize exchanges that brings climate change mitigation to the attention of national agencies. Documentation in the form of advocacy is a different animal than monitoring, evaluation and project documentation. A Programme Notes Series would facilitate the capture of experiences to be presented on the global stage and to bring to the attention of national and international agencies as they prepare their policies and programmes, serve as the institutional memory for a city of the initiatives as local government officials change as well as inform the international Climate Change community and beyond.

Some of the global and regional events on the agenda are:

1. Urban-LEDS Second International Networking Seminar, mid-February 2015, in Bogor, Indonesia.

2. The ICLEI World Congress in Seoul, Korea (April 2015).
3. Local Climate Solutions for Africa Congress (LOCS), in Durban, South Africa (August 2015).
4. COP-21 in Paris, France (December 2015; assuming a contract extension).

In Indonesia it was deemed essential that an additional communications staff person be hired to prepare materials to document project implementation, for presentations for city exchanges in Bahasa Indonesia and for global events which the Indonesia Team are scheduled to participate in. The Regional ICLEI Office in Manila has contributed to the efforts of documentation through its communications staff person but there is a need for a budget to hire an Indonesia staff person with Bahasa Indonesia language capability.

The Team Brazil Urban-LEDS project is comprised of innovative activities that illustrate an aggressive urban environment improvement approach that would be a significant contribution to Global Climate Advocacy work. Specifically the integration of the Capibaribe River into the city of Recife represents a turnaround in perception, policy and practice that other cities with deteriorated rivers could benefit from. The inclusive programme features river transport, habitat protection for the flora and fauna and energy efficient lighting sensitive to the requirements of the park and its people and wildlife as per Output 1.2. The river programme is being implemented through the Federal University of Pernambuco. This opportunity is staffed with faculty and students each with opportunities to contribute and learn through the experience. The local governments of the Model Cities are engaged in the programme and have become advocates of energy efficiency and addressing Climate Change issues as a means of lowering urban impacts on climate and in the preparation of regulations and laws that consolidate LED guidance into requirements for building permits and planning approvals.

The Rajkot Commissioner was invited to represent Urban-LEDS India, but was unable to participate. However, the Urban-LEDS project developed a brochure for dissemination at the COP-20 in Lima, Peru to raise the visibility of the project and low emission development in general. A case study on Rajkot's solar programme is being developed for use in the international climate negotiations. When this is released and has the attention and requests from other cities for information, Rajkot will have the responsibility to respond to queries on *what* was done, but more importantly *how* it was done politically, socially, technically and financially as per Output 1.2. Of special interest is the decentralized wastewater treatment project now being

implemented - a real innovation in wastewater treatment systems thinking.

Urban-LEDS South Africa has created a process, products and illustrative demonstration activities that can contribute to climate change advocacy and are worth sharing. Team South Africa has documented the Urban-LEDS project in handouts and presentations that clearly contribute to addressing and understanding the broad issues, activities and accomplishments as well as critical specifics that can change individual and institutional behavior for a more climate friendly world. These materials range from documenting the cooking efficiency of the Hotbox project mentioned above, to the DEA materials on its National Climate Change Response Monitoring and Evaluation System Roadshow, to the preparation of a case study on small scale embedded generation in Nelson Mandela Bay in partnership with GIZ and the SALGA - important partners in the project.

South Africa, as with other countries, would benefit from global advocacy recommendations for a diverse LED agenda to build out from the energy focus now operating. The sharing of South African V-NAMA experiences at the COP-20 was a useful development in this case. Regional advocacy work is also important; and Urban-LEDS city representation at the first LOC in Dar es Salaam (October 2013) and at the LOCS Durban,

South Africa, August 2015 helped to shape the voice of South African local government to the COP-21 in December.

Team South Africa has provided support to national and local officials that have become champions for LED in national and local government. The DEA is taking a leadership role to be the champion for the new global standardized emissions reporting system. Sikhumbuzo Hlongwane, Executive Director, Economic Development and Planning, of the KwaDukuza Municipality has taken up the challenge to become the champion for LED at the local level. Press coverage that KwaDukuza was included in the Urban-LEDS South Africa project validated his efforts and been a real support to the Executive Director in his efforts to make the city energy-efficient. His experiences presented at international events would be a local government face willing and able to articulate his efforts to the benefit of a global audience. Team South Africa support is provided as technical and content input and should continue to be offered.

The Urban-LEDS country teams are to continue to participate in upcoming international events as they should. The diversity of their activities offers a useful set of themes and actions that will deepen and broaden what is understood about what the Urban-LEDS Project is doing and broaden the areas of activity beyond the energy focus of mitigation considerations.

## Endnotes

2. Expenditures were tracked in four categories as shown in the following table. Subcontracts/Grants to Institutions is the Implementation Budget, which contains staff costs as well as costs for implementation in cities, studies, research and assessment, audits, institutional support and trainings. The Training/Workshops and Seminars category is actually the travel budget where all flights, per diems and other related travel expenses go in, as well as costs for visibility actions (website development, etc).
3. At the same time discussions continue between the EC (DEVCO Unit 5) and the Covenant of Mayors on the one hand, and the Management Committee of the COMPACT on the other hand, on harmonizing methodologies for inventorying city-wide GHG emissions and avoiding double reporting. For GHG inventory purposes the Urban-LEDS Project utilized the Global Protocol for Community-Scale Greenhouse Gas Emission Inventories (GPC), which is also embraced by the COMPACT. Further discussion of this topic lies outside the scope of the present Evaluation.

# 5

## Evaluative Assessment of the Evaluation Criteria

### 5.1 Progress of Cities' Achievements to Date

The progress of cities in meeting the objectives of the Urban-LEDS Project is satisfactory. The GreenClimateCities process is being followed. In each of the Country Programmes the GCC process provided a roadmap for project development laying out programmatic results to be accomplished within the different country contexts and capacities. The clarity of the Project purpose keeps the country team focus on LED strategy development organizing training, capacity builds and pilot efforts to move the process to satisfactory conclusion.

## 5.2 Progress of normative/global level engagement

Vertical integration is one of the keystones of the Project. Progress of normative/global level engagement is satisfactory. The participation of Country Team partners and staff in international and regional events is accomplished by Project design and the enthusiasm of the partners to present their efforts to a broader audience. The ICLEI World Congress to be held in Seoul Korea, the Urban-LEDS Networking Seminar to be held in Bogor, Indonesia and COP-21 are targeted for Urban-LEDS participation. The materials to be presented on the innovative activities being carried out are value-added to these events as well as to the city-to-city exchanges that will occur.

Global engagement is also accomplished through the training and advocacy work being carried on the GPC for emissions reporting. These are important contributions to establishing a global reporting method and protocol.

## 5.3 Relevance

The relevance of the Urban-LEDS Project to its purpose is strategic and accomplished. The Project directly impacts the issues of climate change and urbanization, creates an information base for awareness building and decision making on priorities and offers illustrative solutions through the Solutions Gateway. The issue of climate change is addressed through solutions for energy efficiency in buildings and urban lighting, the creation of energy efficient mobility systems, support to a transport typology that moves mobility away from fossil fueled vehicles, and offers training to increase capacity to innovate. With the world now urban and with the realization that it will be medium and smaller cities that will grow exponentially in the future, energy efficient green urbanization is captured and addressed in the Project. Project guidance to select medium sized cities as Model Cities and Secondary Cities anticipates the predicted urban growth. Climate change will reshape cities to reflect policies and development guidelines that promote higher density and mixed-use development. Urban-LEDS actively promotes new urbanization parameters and green technology solutions at a critical moment for towns on the cusp of rapid expansion. The Solutions Gateway offers cutting edge advice and examples for cities to follow and adapt to their different contexts.

## 5.4 Efficiency

The Urban-LEDS Project operates in a satisfactorily efficient manner. Budget levels militate for strategic use of funds. The Project is accomplishing that. Staffing has been prudent. With a core staff serving as the anchor of the Project, additional staff is

brought on as focused, intermittent support. Additionally interns are part of the South Africa implementation team assigned and/or located in the Model Cities. The use of interns offers young professionals the opportunity to gain useful experiences and deepen their understanding of LED development. The budget transfer system from the UN-Habitat financial management unit to ICLEI established for the Project is an efficient means of tracking resource flows and expenditures to be able to anticipate cash needs for pilot and training activities. International study tours, training and networking are a judicious use of funds sending selected individuals to targeted events. The results have proved the use of funds. Exposure to new ideas complimented by South-South exchanges deepens understanding and confidence as expressed with the leaders interviewed during the Country Mission for this IE.

## 5.5 Effectiveness

Effectiveness, including the effectiveness of partnerships, is satisfactorily achieved through the clear Project purpose to prepare city LED strategies informed through emissions inventories and pilot activities. Key results indications of just how effective the Project has been towards achieving its objective include:

1. The political buy-in of national and local level officials - the LED champions mentioned above have taken a leadership role that builds on the training and capacity building of the Project to integrate LED into local policy and practice. The green regulations, incentives for fuel conversion and the environmental improvements of rivers and water body assets are but a few of the results.
2. The training and promotion in utilizing the GPC by national and local entities attests to the understanding and advocacy of the GPC emissions inventory accounting system and
3. The networking events and exchanges between cities supported by the programme have produced results. The array of activities has created a variegated agenda of solutions articulated in the Solutions Gateway and country Project reports. The focus on local leadership strengthens the sustainability of the activities and the future engagement.

Urban-LEDS Country Programmes have engaged with international, national and local partners to outstanding effect. The partnerships created reflect the different focus areas of the Project and provide support and guidance to impact policy, provide technical and political support for pilot project design and implementation and behavior change, and financial resources to the different county projects. Working relationships, including the GIZ, SEA, SALGA and the University

of Pernambuco are facilitated by Country Team outreach and the Urban-LEDS PAGs - a result of Project design.

## 5.6 Integration of gender and environmental aspects

The integration of gender and environmental aspects into the Urban-LEDS project is satisfactory. The different country programmes have organized inclusive, national and international study tours, as well as training and capacity building events in which women comprise a significant number of training participants. Women also fill important positions in Urban-LEDS implementation activities in government, civil society and technical support groups. By the very nature and purpose of the project to reduce GHG emissions and impacts on climate change, the issue of environment is successfully addressed. Examples of environmental actions include: GHG emission inventories to establish an environmental context and identify priorities; the insulated passive cooker in KwaDukuza South Africa; green

legislation on building design and materials, solar water heaters and clean energy; improved public transport through green fuels and a green bus system in Bogor, Indonesia and additional mobility options to the automobile as in Recife, Brazil and its river transport; and the innovative waste water treatment pilot project in Rajkot India, among others.

The Integration of the UN-Habitat areas of interest requires attention. For the priority aspects of human rights, gender and environment to be addressed *explicitly* they need to be negotiated with project partners at the outset of the project, especially since ICLEI had the principal implementation responsibility. Necessary for a proper integration is a clarity of terms and definitions as what is meant, especially by “human rights” to be included in the Terms Of Reference reporting requirements. Without this, while programmatically these themes are integrated into the project, the reporting may not reflect this nor respond explicitly to the UN-Habitat reporting requirement.





# 6

## Evaluative Conclusions

**A.** The Urban-LEDS Project has established, by design, a focused, vertically integrated programme to promote and implement low emissions development as presented in the Programme Work Packages. That the Project is vertically integrated becomes a marker for how Country Teams report their progress on activities, carry out their emissions inventories and train and build capacity of their staff, partners and counterparts. The focus on the new standard for GHG reporting and accounting GPC is one example of the importance given to the vertical nature of the Project. The Director of Mitigation and Emissions of the DEA South Africa has prepared a “Provincial Roadshow” to create an awareness of and train government and civil society staff to employ the new protocol. The Brazil Country Team is to update emissions inventories already carried out to comply with the GPC as well; and the India and Indonesia Projects are providing training in the GPC.

**B.** The vision of the programme is to coordinate interests at the international, regional, national and local levels, prepare methods and guidance that supports LED and build capacity of country teams. ICLEI staff and partners are applying and implementing their overall approaches that will result in city strategies. What is required for the remaining phase of the Project is that the staff, partners and expert advisors work to consolidate the progress made and to internalize and institutionalize the substance and methods of LED development. Important to consolidating results is a concerted effort to document Urban-LEDS activities as input to Global Exchanges, national initiatives to scale up LED and continued local engagement. Project management at the country level was the responsibility of ICLEI World Secretariat. Direction from the UN-Habitat Urban-LEDS Team/Nairobi to UN-Habitat regional and country representatives on working at the country team level is necessary to establish the importance of the Project, even with a limited budget and/or with guidance to additional funding sources, to support Project ideas in areas that would be value-added to the array of actions.

**C.** That LED activities by the Project Model City Rajkot have been showcased at the international level attests to the quality of the initiatives being implemented. It also attests to the ability of the Project to contribute innovation to the LED dialogue at an international level. The Urban-LEDS Project offers an array of initiatives that can make contributions to a global audience. The strength of the project is being able to report on the improvements made and the impact on emissions by the actions taken. The street lighting project in Recife can present information on the impact of energy reduction and document the process executed to accomplish the pilot effort. The fuel substitution programme for the municipal green bus line of Bogor, Indonesia; the innovative decentralized water treatment project at the Jilla Garden in Rajkot; and the scenario planning process employed in the South Africa Project are but a few of the examples that a global audience would benefit from.

**D.** The logic of the GCC and the process sequence country teams are following prepares an information base for emissions and presents a useful model to answer the question “How do you know what you think you know?” The training in emissions inventories to establish the information baseline

and identify priority areas for action moves the dynamic of leadership in city government from a “favorite project” mode to understanding and implementing a process for emissions reductions and reducing climate change impacts to set priorities. The waste mountain conversion to urban park issue in Fortaleza and the solar water heater focus to strategy development in Rajkot are examples of more systematic strategy action planning.

**E.** The participation of the ICLEI World Secretariat and its Regional Offices through Monthly Reports, Webinars, Skype calls and information exchanges was value added to the Countries’ programme development process. The face time of senior Secretariat personnel during the South Africa Mission was useful to the Project and to the Secretariat in understanding guidance and offering the opportunity for exchanges on institutional and substantive issues. The participation of UN-Habitat in the International City Networking Seminars, as well as substantive inputs to the Solutions Gateway, city selection, topical content by senior UN-Habitat Officials in public venues, and through ISOCARP contributed to LED awareness and development. A more robust participation by UN-Habitat would benefit the process, especially in the development of LED future growth issues of green urban spatial planning, mixed-use development and the densification and retrofit of the existing built environment; and participation in the heritage improvement programme in Bogor, Indonesia; the river and water body recovery programmes in Recife and Fortaleza, Brazil and the decentralized wastewater treatment pilot in Rajkot, India. For UN-Habitat to extend its participation beyond its current project management and focused technical roles<sup>4</sup>, a budget is required to engage more systematically on project implementation. The city-level technical support provided by UN-Habitat was accomplished by leveraging resources from sources outside the Project.

**F.** County Team Staff size is a factor in Project implementation and varied in the different Project countries. In the Project countries where the ICLEI regional office is located the availability of staff to engage in the programme was an asset. For the remaining period of Phase 1 and for a possible Phase 2 of the Urban-LEDS Project budget for staff needs to be increased.

## Endnotes

<sup>4</sup> Per the Urban-LEDS ‘Description of Project Work Packages’, incorporated by reference into the Master Contract, UN-Habitat is leading implementation of Work Package 1, “Project management and coordination”, while playing a supporting role with limited inputs on all other Work Packages. Those other Work Packages are led by the ICLEI World Secretariat and (in certain cases) ICLEI Regional Offices.



# 7

## Lessons Learned

**A.** Offering support in the local language need to be considered critical for implementation. The presumption that English is understood and used in daily business in all countries is to be avoided. That each of the Urban-LEDS team members does speak English is useful at an international level but for LED and Climate Change educational and informational material and local level project development, awareness building, training and capacity building local language is necessary. This requires that the tools such as the Solutions Gateway be translated into local languages, which is planned for Bahasa and Portuguese. The ability of the Teams to employ the tools and methods in the local languages of Indonesia and Brazil was pointed out as important.

**B.** The suggestive power of the Solutions Gateway can be used to support the translation of need into action, policy into practice, and ideas into practical examples of what can be done to address identified issues and themes. The Solutions Gateway influenced the understanding and ability of Model and Satellite City leadership and staff to identify focus areas for improvement. The Solutions Gateway identifies themes that are articulated through sections including:

1. The issue to be addressed - Why the activity is important - The Motivation/Relevance;
2. The main impacts – positive results from the activity;
3. Benefits and co-benefits;
4. Solutions/Project ideas and
5. Additional information to delve deeper into the issue and activity.

As an example, the opportunities to address efficient energy as a theme are articulated in the Solutions Gateway through project examples ranging from solar water heaters and LED street lighting and light bulbs to public transportation. The strength of the Solutions Gateway is that it offers explicit project ideas. It is an organic document; one that grows to integrate ideas and experiences into its array.

**C.** The lesson learned on sustainability of Project accomplishments, such as in the use of solar energy for water heating, energy efficient light bulbs in schools, municipal buildings and homes, and roof gardens, can be achieved by formalizing pilot activities into Construction Standards, Building Codes and Environmental

and Land Development Law and Regulations. The new laws and regulations prepared as part of this Project and/or because of this Project in Rajkot, India; Recife, Brazil; KwaDukuza, South Africa; and Bogor, Indonesia are examples of national applications.

**D.** Creating a “local government” face for the Urban-LEDS project at the Lima COP-20, and through the Local Government Climate Roadmap process made an important contribution to the value the cities put into the effort. Model City LED “Champions” have taken a leadership role and, if asked, are ready and able to represent the Urban-LEDS Project in international and regional events. The lesson is that recognition is a strong motivator and it makes an impact on the attitude and actions of the partners. Participation in international events by local officials and partners also provides exposure to other ideas and perspectives presented that are important to growing the information base and realm of possibilities of local leaders.

**E.** The positive results in the development of the processes to accomplish Project objectives are due in large part to the efforts by County Teams to identify and support Project “champions.” Country Teams need to carefully select and support Project “champions”. Each Model City has a champion that has taken the leadership role in preparing a city strategy, implementing Pilot Projects and working on their sustainability. Progress has been satisfactory in setting the Project on a trajectory to achieve and, in cases such as the number of emissions inventories, exceed the expected accomplishments by the end of the Project period.



# Recommendations

The following recommendations are provided in part as input to Country Teams' efforts during the remaining time period of the Project. At the same time, several of these recommendations lie within the purview of the ICLEI World Secretariat and the UN-Habitat Urban-LEDS Project management unit. These latter recommendations would provide useful orientation to guidance provided by those offices to Country Teams, should a Phase 2 of the Project be approved.

**It is recommended that:****Global Project Activities**

**A.** The ICLEI World Secretariat should translate and/or include resources in country budgets for the translation into the main local languages of Urban-LEDS countries of tools and methodologies Country Teams employ in Project development. This would include the GCC, Solutions Gateway, the GPC and other training and substantive information.

**B.** Creating a two-tiered project of Model Cities and Satellite cities anticipates the scaling up of the project to a next set of cities prepared to engage in the LED agenda and produce results. For this to happen the Phase 1 activities of the Country Teams and their Model Cities should establish an explicit outreach initiative with the Satellite Cities, one that requires time, staff and budget. The Satellite Cities represent a focus for a possible Phase 2 of the Urban-LEDS Project.

**C.** The Project's International Exchange Events, including the International Networking Seminar to be held in Bogor, Indonesia, should be organized to feed innovative activities into the Solutions Gateway. This would require that the World Secretariat receive County Team input as to the activity/ies to be featured to allow for a diverse set of experiences to be presented.

**D.** The Urban-LEDS Project should take a leadership role in broadening the LED agenda to include not only energy and energy efficiency but to address low emissions urban planning and management that includes housing, land use planning, urban environment improvement, green building construction specifications, integrated historic conservation initiatives and efficient urban service delivery. Urban-LEDS is one of the principal advocates for low emissions development and reporting. Innovation characterizes the implementation of the Project – the new GPC being one example. A broader LED agenda would present a more integrated understanding of the LED concept and offer solutions to the broader concerns.

**E.** There should be clearer dialogue and understanding between the ICLEI World Secretariat and UN-Habitat on the UN-Habitat's interest in explicit reporting on gender, youth, human rights and environmental/climate change aspects of the Project. In the interview process for this IE the ICLEI Country Teams were aware of the issues and clearly geared activities to address them but did not have explicit reporting sections in the monthly and other reporting documents carried out. If this is to be addressed as a "given" then agreement should be reached by the parties on definitions of the terms and their areas of importance.

**F.** The Solutions Gateway should include project ideas that support implementing the theme of energy efficient urban planning and environmental improvement for higher density housing development, basic service delivery, urban forestry and green spaces, and urban water body and river restoration, among others. This would provide illustrative examples of what can be done to address a broader LED agenda.

**National Engagement**

**A.** The country teams should develop, with their national counterparts, an LED methodology based on the ICLEI methodologies and tools, reporting, and accounting guidance and pilot effort learning. The CB27 in Brazil, SALGA in South Africa, APEKSI in Indonesia and The Ministry of Urban Affairs in India (among others) are national level partners that can play important roles in advocating LED, providing specific guidance and methodologies for emissions inventories, reporting to scale-up local climate action and reduce GHG emissions.

**B.** The Country Teams should establish Satellite City outreach programmes with their Model Cities to begin to fulfill expectations created in the Satellite Cities. One option is to include Model and Satellite City representatives in training and capacity building and in activities such as the multi-city events and programmes that bring together the mayors of the Project's cities for advocacy, exchanges and networking as in the South Africa Project. The choice of location for events can also feature and be scheduled in Satellite Cities as the event venue.

**C.** National counterparts of the Urban-LEDS Project should be called upon to cost share and to host seminars and workshops to advance LED in seminars and workshops and learning-by-doing demonstrations that create a demand for LED.

**Local Engagement**

**A.** Model and Satellite Cities leadership should work with their Country Teams to identify national sources of financial support for LED innovations and initiate municipal finance measures in city budgets that identify own-source resource line-item support for LED as possible. Project continuity and sustainability is dependent on the ability of cities to finance their LED improvement programmes. Several Project Model Cities in India (Rajkot) and Indonesia (Balikpapan, Bogor) have already begun to provide financial resources towards scaling up pilot efforts.

**B.** Model City outreach initiatives to Satellite City partners are required. The participation of Satellite City staff and partners in the different country Projects is currently limited by time, staff and

budget. Being included in awareness and training programmes raises their expectations of future support. The Model City as Trainer should be a focus in the remaining period of Phase 1, as well as those Satellite Cities with expertise to share.

**C.** Country Teams should work with their partners to consolidate information and experiences on the innovative policies and activities being carried out to present at the next International Networking Seminar to be held in Bogor, Indonesia. Topics should be vetted with the World Secretariat to guide event preparation. That same material will be useful for reporting in upcoming international events like COP-21 and the ICLEI World Congress to be held in Seoul, Korea.

## Project Management

**A.** Project documentation should be a priority in the remaining period of Phase 1 of the Urban-LEDS project. Guidance from the ICLEI World Secretariat on case study and report formats and terminologies will be useful. A consistent approach to documentation will allow the Secretariat and UN-Habitat

to produce multi-country documents that can compare and contrast approaches and results. (Responsibility: ICLEI and UN-Habitat)

**B.** Country Teams should review their staff requirements to implement the strategies and demonstration activities they have identified. Outside support is available for the asking and should be included in the last sprint to the end of Phase 1. (Responsibility: ICLEI with UN-Habitat support)

**C.** Project management should consolidate their lesson learned from the design and implementation of Phase 1 to guide a Phase 2 Project design. (Responsibility: ICLEI and UN-Habitat)

**D.** Country Project budget reviews should be carried out to plan and employ their remaining resources to fully fund priority activities already initiated. Budget expenditures as of 31 December 2014 indicate that there are satisfactory amounts available to successfully complete Urban-LEDS Phase 1 as programmed.



# Annexes

# Annex I: Terms of Reference

## Terms of Reference

*Promoting Low Emission Urban Development Strategies  
In Emerging Economy Countries (Urban-LEDS) Project  
Mid-Term Evaluation  
20 June 2014*

### 1. Background

Climate change is now recognized as one of the key challenges of the 21st century. To address climate change mitigation by cities in developing countries UN-Habitat and ICLEI--Local Governments for Sustainability (ICLEI), with the support of the European Commission (EC), launched the 'Promoting Low Emission Urban Development Strategies in Emerging Economy Countries' (Urban-LEDS) Project. The Project began in March 2012 and will run for 42 months, with a total budget of 6.7 million euros.

The development of low emission development strategies (LEDS) has emerged from the United Nations Framework Convention on Climate Change (UNFCCC) climate negotiation processes as a promising approach for reducing GHG emissions. This present Project seeks to adapt that (originally national-level) approach to city-level applications. The Project also addresses sustainable development and exploring vertical integration addressing climate change between different levels of government. The Urban-LEDS Project fits within the broader strategic approach supported by UN-Habitat, ICLEI and the EC to encourage urban green growth strategies that can enable technological and job opportunities, de-risk investments, reduce vulnerability of the poor to natural disasters, protect critical ecosystems, and foster efficient ways of consuming and managing natural resources.

Per the Project Document (an Annex to the EC/UN-Habitat Agreement), the overall Objective of the Urban-LEDS Project is:

- To enhance the transition to low emission urban development in emerging economy countries.

It is doing so by offering selected local governments, through a comprehensive methodological framework (ICLEI's GreenClimateCities methodology), a mechanism to integrate low-carbon strategies into all sectors of urban planning and development, and institutionalize the approach in municipal processes.

The Urban-LEDS project has started work in four emerging economies: Brazil, India, Indonesia, and South Africa. In each of those countries there are two "model" cities that are the

primary focus of attention, and four to six "satellite" cities that are following the experiences in the Model Cities, learning and pooling their own knowledge. Additionally experienced cities in eight European countries (Croatia, Denmark, Finland, Germany, Italy, Poland, Portugal, and Turkey) are supporting work as technical and political resources.

The Urban-LEDS Project is supporting Model and Satellite cities' implementation process through a combination of capacity building and the provision of resources, tools and guidance to assist local governments in quantifying, monitoring and mitigating their communities' GHG emissions. The Project also includes normative activities in the way of climate advocacy and policy guidance, for example, through establishing South-South-North exchanges among Project cities, and advancing advocacy efforts for climate change mitigation in international fora. Further information can be found at [www.urban-LEDS.org](http://www.urban-LEDS.org).

Per the terms of the agreement between UN-Habitat, ICLEI and the EC, a Project Steering Committee and Project Management Group are regularly monitoring the progress of the initiative. To facilitate this work, UN-Habitat and ICLEI are producing periodic reports on the implementation of activities and delivery of outputs against work plans, and progress in meeting performance targets according to the logistical framework.

With regards to evaluation, under the Agreement of Cooperation signed between UN-Habitat and ICLEI to execute the Urban-LEDS Project, UN-Habitat responsibilities include "coordinating... evaluation for the project" (Article IV.d). Additionally, per the 'Description of project work packages' (which formed Annex C to the master agreement between the EC and UN-Habitat), Task 1.11 in Work Package 1 included "project evaluation (UN-Habitat)". The present external evaluation is being undertaken per those contractual elements and this evaluation mandate<sup>5</sup>.

### 2. Purpose and Objectives

The primary objective of this forward-looking mid-term evaluation is to assess overall progress, including delivery of activities and outputs according to the Project's time schedule, and assess budget status to ensure the efficiency, effectiveness, and relevance of the Urban-LEDS Project. This evaluation will also seek to ensure accountability and quality of deliverables set out in the Agreement

<sup>5</sup> For a complete description of the respective responsibilities of ICLEI and UN-Habitat in implementing the Urban-LEDS Project, see Articles V and IV of the ICLEI/UN-Habitat Agreement of Cooperation for that Project.



of Cooperation, as well as to improve performance and gather lessons. The evaluation will also consider an assessment of human rights and gender related aspects, and identify issues that may need corrective action to ensure delivery of results as planned. The evaluation further aims to present recommendations for improvement and guidance on the implementation of the remainder of the Project, along with possible future directions. The evaluation will serve as the basis for the discussions with the Project Steering Committee (EC, UN-Habitat, ICLEI), the Project Management Group (UN-Habitat and ICLEI) and the four National Project Advisory Committees (comprised of ICLEI and UN-Habitat Regional/Country Offices, and key external organizations).

### 3. Scope and Focus

The evaluation will take place over a period of five and a half months (see below). During that period the Consultant will undertake site visits to the four Urban-LEDS countries (Brazil, India, Indonesia and South Africa) as part of the research contributing to the evaluation, as well as visits to the following cities: Brussels (EC), Bonn (ICLEI), Nairobi (UN-Habitat).

Some of the expected outputs from the evaluation are:

1. Identification of the successes of the Project to date, including ongoing city-level activities, which are contributing to planning and implementing low emission urban development
2. Clear understanding of the relevance of the Project, including in the context of the post-2015 discussions on Sustainable Development and Climate Change;
3. Identification of the Project's weaknesses and gaps
4. Identification of its success to date in offering guidance and support to the local governments, promoting North-South-South exchange, in addressing global advocacy, as well as human rights, gender and environmental issues

Recommendations will address both how to improve Project activities during the remaining period of the existing Project, as well as to consider possible next steps to consolidate and/or upscale the advances and results of the Project. This includes consideration of alternative future approaches, such as recommendations for follow-up work in existing cities, and expanding activities in existing countries versus expanding to new countries, etc.

### 4. Evaluation Criteria

To the degree possible for a mid-term evaluation, the evaluation will assess project performance in terms of:

1. *Achievements of cities to date.* It will identify the different stages cities are in toward achieving low emissions strategies, and illustrate these through review of progress in representative Urban-LEDS cities, including with reference to their progress in the GreenClimateCities methodology.
2. *Achievements of the Project's normative/global level engagement* according to the seven Work Packages: (1) Project management and coordination; (2) Designing low emissions urban development strategies; (3) Implementing Urban-LEDS; (4) Global exchange framework; (5) Urban-LEDS support; (6) Global database; (7) Global climate advocacy.
3. *Efficiency, effectiveness, and relevance,* further to UN-Habitat's evaluation policy. As this is a mid-term evaluation, the overall impact and sustainability of the Project would not be relevant; exceptions could apply if there is clear evidence of results to date pursuant to the aims of the Urban-LEDS Project.
4. *Human rights, gender and environmental aspects* to be assessed based on focus of project document and/or log indicators (e.g. Project beneficiaries disaggregated by gender).
5. It will examine *effectiveness of the Project's partnerships,* including the LEDES Global Partnership, and the Urban European and Latin American and Caribbean cities initiative of the Inter-American Development Bank (URBELAC/IADB).

Again given that this is a mid-term evaluation, the study shall attempt to assess progress towards these results, and whether the project appears to be following the best strategy possible to achieve such results.

### 5. Evaluation Questions

To the extent possible given that this is a mid-term evaluation, key evaluation questions include analysis of:

1. How has the Urban-LEDS project influenced decisions, including impact on subnational and national level policies (e.g. Indonesia)?
  - Developments in dialogue to explore improved integration between different levels of government, including regarding National Appropriate Mitigation Actions (NAMA), advancement of green future planning, etc.?
  - How effective is the Urban-LEDS project's implementation methodology at helping *Model Cities* to develop low emissions development strategies? What methodological gaps (if any) must be filled in order to achieve the intended results, which will ultimately be assessed in the ex-post evaluation?

1. Given available resources, how effectively is the project meeting the needs of the *satellite cities*? Is the relation between the model and satellite cities optimal, and is it generally working as anticipated?
1. Are the *European cities* that are supporting Urban-LEDS being engaged effectively?
  - Is the project strengthening participating cities to identify priorities, explore relevant Low Emission options and to start taking effective climate action, as well as leading towards the formulation of prioritized projects that are bankable? Does the Urban-LEDS project appear to be leading towards actual sectoral, government operations and/or city-wide reductions in GHG emissions?
  - Is the ongoing monitoring of the project adequate, and to what extent are issues of gender, human rights and environment taken into consideration?

Again, given that this is a mid-term evaluation, the study shall attempt to assess progress towards positive results, and whether the project appears to have embraced the appropriate strategy to achieve such results.

## 6. Evaluation Methodology

Using various tools and methodologies for collecting data, the evaluator will carry out the following tasks:

1. *Interview relevant Project staff/leads within UN-Habitat, ICLEI, and the EC, and review the ToR to identify all necessary materials required for the evaluation, and discuss the approach and evaluation methodology, primarily via audio conferences or telephone interviews. Prepare inception report (see below for content).*
2. *Carry out an initial desk review of Urban-LEDS materials.* Review key programme documents, outputs and deliverables, and relevant UN-Habitat-wide materials, including:
  - The 2012-13 and 2013-14 Narrative Reports on progress of the Urban-LEDS Project;
  - Urban-LEDS Project website and online materials;
  - Work packages supporting the Urban-LEDS implementation;
  - Financial evaluations/reports available to date;
  - Minutes from Project Steering Group and Project Advisory Group meetings
  - UN-Habitat Strategic Plan 2014-19 and associated 2014-15 Work Programme.
3. *Gather information on Urban-LEDS support to global processes and structures.* This will include a visit to Bonn to

meet with ICLEI and review the cCR, the Local Government Climate Roadmap, and potentially engage with the UNFCCC Secretariat about the role of the Local Governments and Municipal Authorities (LGMA) Constituency focal point and the status of local and subnational governments in international climate negotiations. This mission will also facilitate coordination with ICLEI on the four country missions.

4. *Conduct four country missions.* The consultant will visit all four Urban-LEDS countries. (The consultant will include a stop-over in Nairobi to meet with UN-Habitat with the mission to South Africa.) For each country visit it is anticipated that the consultant will visit both Model Cities, and ascertain LEDS progress with reference to the GreenClimateCities methodology. Additionally, schedule permitting in each country the consultant will lead a one-day workshop, with representatives of Model and Satellite cities invited to participate. At the conclusion of the four country missions the consultant will file a report on the same.
5. *Assess the effectiveness of the major capacity-building tools used, including the GreenClimateCities process.* Recommendations here may include whether the methodologies and tools used should be modified or whether other tools should also be applied.
6. *Attend relevant calls and events where there is an opportunity to interact with key partners.* This may include teleconferences of the LEDS Global Partnership's working group on subnational integration.
7. *Examine effectiveness of the Project's management structures, including its Project Steering Committee, Project Management Group, and national-level Project advisory mechanisms.*
8. *Develop conclusions and recommendations.* Recommendations will address both how to improve Project activities during the remaining period of the existing Project, as well as to consider possible next steps to consolidate and/or up-scale the advances and results of the Project. This includes consideration of alternative future approaches, such as recommendations for follow-up work in existing cities, and expanding activities in existing countries versus expanding to new countries, etc.

## 7. Stakeholder Participation

Stakeholders at various levels will be engaged in the evaluation process, including as follows:

- *City-level* – the evaluator will meet with local stakeholders (civil society, private sector, local officials) as part of the site visits of representative Urban-LEDS cities. At the same time

the evaluator will meet with representatives of both model and satellite cities.

- *National-level* – during visits to representative Urban-LEDS countries, the evaluator will meet with members of the National Project Advisory Committees or their equivalent, as well as with relevant ministries.
- *Global-level* – the evaluator will consult with various key stakeholders at the global level, including representatives of the EC, users of city-level emissions data reported via the carbonn Cities Climate Registry, members of the LEDS Global Partnership, IADB on URBELAC cooperation, potentially the Secretariat of the UN Framework Convention on Climate Change, and others.

The inception report will provide further details on the evaluator’s proposed methodology for engaging, interviewing and consulting with key stakeholders.

### 8. Evaluation Team

The mid-term evaluation will be carried out by a senior international consultant.

In consultation with ICLEI and per UN rules and regulations, the consultant will undertake an in-depth national/city-level review of the Urban-LEDS Project to date. To help ensure independence and the credibility of the exercise, the Consultant will have no prior association with the operational or normative activities of the Urban-LEDS Project.

### 9. Responsibilities

The **consultant** will be responsible for delivering all outputs. The consultant will report directly to the **Unit Leader of the Climate Change Planning Unit** of UN-Habitat’s Urban Planning and Design Branch. Both **ICLEI and the UN-Habitat Project Managers** will meet (virtually) periodically with the evaluator to discuss progress, review draft deliverables, and so on. Additionally a **representative of the UN-Habitat Evaluation Unit** (which has supported development of the present Terms of Reference) will provide additional technical support in the review of key deliverables, including the inception report and draft evaluation reports.

### 10. Timeline, Period of Performance and Level of Effort

The timeline for carrying out the above-mentioned tasks is as follows:

The Period of Performance for this assignment thus is **five and**

TASK 2014	JUL	AUG	SEPT	OCT	NOV	DEC
1 Interview project staff / prepare inception report	xxxx	◇•				
2 Initial desk review	xxxx	xx				
3 Global information gathering	xxxx	xxxxxx	xxxxxx	Xxxxx		
4 Four country missions		xxxxx	xxxxx◇	•		
5 Assess effectiveness of capacity-building tools		xxxxxx	xxxxxx	Xxxxx		
6 Attend relevant calls and events		x	x	x		
7 Examine effectiveness of project’s management structures	xxxx	xxxxxx	xxxxxxx	Xxxxx		
8 Mid-term evaluation					xxx◇	xx•

**Key:**

- ◇ - draft deliverable
- - final deliverable

**a half months** (from mid-July to end December 2014). Within that period the Level of Effort is **75 days**. The consultant should anticipate working full time or nearly full time between mid-July and end September, and then part time for the remainder of the assignment.

### 11. Expected Outputs / Deliverables

- *Inception report (draft and final)*: The brief inception report will summarize the review of documentation undertaken, specifying the evaluation methodology and focus, including evaluation questions, questionnaires, templates for case study reviews of Urban-LEDS cities, and generic outlines of in-country workshops. It will serve to provide an updated and more detailed timeline of activities, including of site visits, and to clarify any questions on the present Terms of Reference.

- *Consolidated report on missions to Urban-LEDS countries (draft and final)*. This report filed with UN-Habitat and ICLEI, by **25 September 2014**. (Should the consultant not have completed all country visits by that date, the document will report on missions carried out by that date.)
- *Synthesized mid-term evaluation (draft, draft final, and final)*: The draft mid-term review will be based on synthesis of findings from desk review, and country consultations and interviews with stakeholders. (It is anticipated that the consolidated mission report prepared earlier will form an annex to the final evaluation.) **The draft-final mid-term evaluation report** will be based on feedback received on the draft SR. The Consultant will prepare the draft-final mid-term review. The **final mid-term evaluation report** will be based on feedback received on the draft-final report.

## 12. Selection Criteria for Evaluator

### Competencies

The international Consultant will possess competencies in:

- Evaluating development programmes/projects at the international level
- Managing multi-national teams engaged in international development activities

### Education

Masters in urban planning, international development, public administration or equivalent

### Work Experience

- In addition to the evaluation/management experience suggested above, the consultant will have:
- At least 10 years of experience in urban issues and international development (UN P4 level or equivalent). Experience in urban environmental and climate change issues is highly preferred
- Experience working in or with more than one developing region
- Experience with international donors and/or UN agencies
- Knowledge of national-level climate policies/initiatives/processes
- Experience/familiarity with European Commission projects is a bonus

### Language Skills

Excellent written and oral communication and presentation skills in English are essential.

Working knowledge of another UN language and Portuguese is helpful.

## 13. Remuneration & Payment Schedule

Remuneration of the international consultant will be based upon United Nations rules and regulations; rates will reflect experience. Additionally, the consultant will be compensated based upon levels of effort as indicated above. Daily Subsistence Allowance will be paid only when travelling on mission outside of the official duty station of the consultant.

## Annex II: Model and Satellite Cities

The Urban-LEDS Model and Satellite Cities are:

**In Indonesia**, the model cities and satellite cities are identified with their working and stakeholder groups and organized as a Java Cluster and a Kalimantan Cluster. The cities include:

### A. Java Cluster

- Model City:
  - Bogor City
- Satellite Cities:
  - Bogor Regency
  - Tangerang Selatan City

### B. Kalimantan Cluster

- Model City:
  - Balikpapan City
- Satellite City:
  - Bontang City
  - Tarakan City

**In South Africa**, the Model Cities and Satellite Cities are identified with their working and stakeholder groups. The cities include:

### A. Model Cities:

- KwaDukuza
- Steve Tshwete

### B. Satellite Cities:

- Nelson Mandela Bay
- uMhlathuze
- Sol Plaatje
- Mogale
- Saldanha Bay

**In Brazil**, the Model Cities and Satellite Cities are identified with their working and stakeholder groups. The cities include:

### A. Model Cities:

- Recife
- Fortaleza

### B. Satellite Cities:

- Betim
- Belo Horizonte
- Curitiba
- Porto Alegre
- Rio de Janeiro
- Sorocaba

**In India**, The Model Cities and Satellite Cities are identified with their working and stakeholder groups. The cities include:

### A. Model Cities:

- Thane
- Rajkot

### B. Satellite Cities:

- Shimla
- Coimbatore
- Gwalior
- Panaji
- Pimpri-Chinchwad
- Nagpur

## Annex III: Questions to be addressed

### Interim Evaluation Questions

#### 1. Global Project Activities

- Is there an interest in improved integration between different levels of government regarding National Appropriate Mitigation Actions (NAMA), advancement of green future planning and is the set of partners created comprised of entities and skills to support programmatic sustainability?
- Are the European cities that are supporting Urban-LEDS being engaged effectively? What outreach is required to inform cities of the skills available from the European cities?
- How are current programmes, such as those that focus on resilience, related or can be integrated with LED initiatives?

#### 2. National Engagement

- How has the Urban-LEDS project influenced decisions, including impact on subnational and national level policies?
- Have the project guidelines successfully created an administrative and technical structure to support LED strategy development and implementation?
- How effective is the Urban-LEDS project's implementation methodology at helping model cities to develop low emissions development strategies and actions?
- Is there a method in place that facilitates learning from the activity experience? Given available resources, how effectively is the project meeting the needs of the satellite cities?
- Is the relation between the model and satellite cities optimal, and promoting learning examples of actions and insights into the LED concept.
- Does the strategy lead to programmatic thinking to identify short-, mid-, and long-term activities? Is the project strengthening participating cities to identify priorities, explore relevant Low Emission options and to start taking effective climate action?
- Is project guidance and support available to formulate prioritized projects that are bankable?

#### 3. Local Engagement

- Has capacity building created the understanding of the LED issues to be able to identify critical activities and the reason for their importance?
- Are the tools for the metrics of LED available and understood?
- Is there a method in place that facilitates learning from the activity experience? Given available resources, how

effectively is the project meeting the needs of the satellite cities? Is the relation between the model and satellite cities optimal, and promoting learning examples of actions and insights into the LED concept.

- Does the strategy reflect the variegated stakeholder priorities? What methodological gaps (if any) must be filled in order to achieve the intended results, which will ultimately be assessed in the ex-post evaluation?
- Does the Urban-LEDS project appear to be leading towards actual sectoral, government operations and/or city-wide reductions in GHG emissions? Are the metrics understood to determine if progress is being made?
- Is connectivity being considered between the key components of programme development and implementation – finance, technical, social, economic and political?
- Does the strategy lead to programmatic thinking to identify short-, mid-, and long-term activities? Is the project strengthening participating cities to identify priorities, explore relevant Low Emission options and to start taking effective climate action?
- Is project guidance and support available to formulate prioritized projects that are bankable?

#### 4. Project Management

- Is the ongoing monitoring of the project adequate, and to what extent are issues of gender, human rights and environment taken into consideration?
- Is project staff evaluation part of the process and recognized for outstanding performance?
- Does the Urban-LEDS project appear to be leading towards actual sectoral, government operations and/or city-wide reductions in GHG emissions?
- Are the metrics understood to determine if progress is being made?
- Is the project budget structured to accomplish the tasks required? Is there sufficient budget for staff travel; event participation; and materials?
- Given available resources, how effectively is the project meeting the needs of the satellite cities? Is the relation between the model and satellite cities optimal, and promoting learning examples of actions and insights into the LED concept?
- Is project documentation adequate to create a record useful for scaling up the LED programme?

## Annex IV: Interview Questions

These Interview Questions support the above Mid-Term Evaluation Questions to be answered during this MTE.

### a) Implementing Global Activities

- 1) What is the expected contribution of the different partners in your programme- administrative, financial, technical, and political?
- 2) Are the European cities that are supporting Urban-LEDS being engaged effectively? What outreach is required to inform cities of the skills available from the European cities?
- 3) How are current programmes, such as those that focus on resilience, related or can be integrated with LED initiatives?

### b) National Engagement

- 1) Was the city selection a constructive exercise?
- 2) What will be done with those not selected?
- 3) With the status of project development as it is, do you feel that staff understanding will lead to continued LED programming and implementation, and if not why?
- 4) What is the expected contribution of the different partners in your programme- administrative, financial, technical, political?
- 5) What is the expected contribution of the different partners in your programme- administrative, financial, technical, political?
- 6) How did the process of programme development go for you – What obstacles were encountered and which overcome?
- 7) How did cities manifest their interest?
- 8) What will be done with those not selected?
- 9) What is your view of staff understanding of the LED concepts?
- 10) Has the project team created a reporting and information collection process and are they engaged with it?
- 11) Are human rights, gender, and environment serious considerations and if so how?
- 12) Is the information base for the city and for LED adequate?
- 13) Are the metrics understood to determine if progress is being made?

### c) Local Engagement

- 1) Was the city selection a constructive exercise?

- 2) What will be done with those not selected?
- 3) What are the areas of support that are most needed to address implementation and identify short-, mid- and long-term activities?
- 4) What is the expected contribution of the different partners in your programme- administrative, financial, technical, political?
- 5) How did cities manifest their interest?
- 6) What will be done with those not selected?
- 7) What is your view of staff understanding of the LED concepts?
- 8) With the status of project development as it is, do you feel that staff understanding will lead to continued LED programming and implementation, and if not why?
- 9) Are human rights, gender, and environment serious considerations and if so how?
- 10) Is the information base for the city and for LED adequate?

### d) Project Management

- 1) What areas of support were/are the most important to successfully conclude your LED strategy?
- 2) How did the process of programme development go for you – What obstacles were encountered and which overcome?
- 3) How did cities manifest their interest?
- 4) What is your view of staff understanding of the LED concepts?
- 5) What are the areas of support that are most needed to address implementation and identify short-, mid- and long-term activities?
- 6) With the status of project development as it is, do you feel that staff understanding will lead to continued LED programming and implementation, and if not why?
- 7) Has the project team created a reporting and information collection process and are they engaged with it?
- 8) Are human rights, gender, and environment serious considerations and if so how?
- 9) 10 Is the information base for the city and for LED adequate?
- 10) Is the project budget structured to accomplish the tasks required? Is there sufficient budget for staff travel; event participation; and materials?
- 11) Are the metrics understood to determine if progress is being made?

## Annex V: List of people interviewed and consulted

### Global

- Robert Kehew, Leader, Climate Change Planning Unit, UN-Habitat
- Maryke Van Stadan, Low Carbon Cities Programme Manager/Director of the Carbnonn Center, ICLEI World Secretariat

### Indonesia

#### ICLEI

- Irvan Pulungan, Country Manager, ICLEI Indonesia Programme Office
- Gina Karina, Programme Officer, ICLEI Indonesia Programme Office
- Steven Gawler, Senior Urban-LEDS Advisor
- Victorino E. Aquitania, Regional director, Southeast Asia Secretariat, ICLEI

#### Jakarta

- Farhan Helmy, Manager, Indonesian Climate Change Center
- Yono Reksoprodjo, Head of Permanent Committee for Energy and Sustainable Resources, Indonesian Chamber of Commerce
- Sri Indah Wibinastiti, Director of Programme Development and Advocacy, Indonesian Local Government Association (APEKSI)
- Zaenal Arifin, Deputy director, Urban Affairs, BAPPENAS
- Duan Tri, Urban Studies Center

#### Bogor

- Hari Sutjahjo, BAPPEDA Director Bogor Working Group
- Bima Arya Sugiarto, Mayor, Bogor
- Surya Kencana Community Leader, Heritage Improvement Project, Bogor

### India

#### ICLEI

- Soumya Chaturvedula, Regional Manager, ICLEI South Asia Southern Center
- Rashmi Sinha, Manager – Maharashtra Operations, India Programme
- Ankit Makvana, City Project Associate, Rajkot, India Programme

#### Rajkot

- Rakshaben Raghubhai, Mayor, Rajkot Municipal Corporation
- V. Nehra, Commissioner, Rajkot Municipal Corporation
- B. H. Rupani, Former Town Planner, ICLEI Programme Advisor
- M. D. Sagathia, Town Planning Officer, Rajkot Municipal Corporation
- Mahendrasinh Kamalia, Addl. City Engineer, Rajkot Municipal Corporation

### Thane

- Sanjay More, Mayor, Thane Municipal Corporation
- Aseem Gupta Commissioner, Thane Municipal Corporation
- Ashokkumar Rankha, Additional Municipal Commissioner, Thane
- Sunil D. Pote, Urban-LEDS Programme Leader, Deputy City Engineer, Thane Municipal Corporation
- Rahul Agnihotri, Meghra Capital Advisors Private Limited

### South Africa

#### ICLEI

- Steven Bland, Urban-LEDS Programme Manager
- Stephen Davis, Technical Specialist
- Sarah Birch, Manager: Climate change, Energy and DRR, ICLEI Africa
- Kobe Brand, Regional Director, ICLEI Africa
- Ryan Fischer, Programme Assistant
- Mbali Mpanza, Programme Assistant
- Grace Stead, Implementation Specialist
- Maryke Van Stadan, Low Carbon Cities Programme Manager/Director of the Carbnonn Center, ICLEI World Secretariat

#### Cape Town

- Megan Euston-Brown, Project Manager, Sustainable Energy Africa, (SEA)
- Ashley Hemraj, Senior Architect, Human Settlements: Development and Delivery, City of Cape Town

#### Johannesburg

- Telly Chauke, Specialist: Environment and Climate Change, South African Local Government Association,(SALGA)
- Aurelie Ferry, Renewable Energy Technical Advisor, South Africa German Energy Programme (SAGEN)

#### KwaDukuza

- Sikhumbuzo Hlongwane, Executive Director, Economic Development and Planning, KwaDukuza Municipality
- Mava Ntanta, KwaDukuza LED Project Team Leader

#### Durban

- Thapelo Letete, Director: Mitigation and Emissions, Climate Change Monitoring and Evaluation (MRV), Department: Environmental Affairs, Republic of South Africa
- Reitumetse Molotsoane, Director: Climate Change Monitoring and Evaluation, Climate Change Flagships Programmes, Department: Environmental Affairs, Republic of South Africa
- Tsepang Makholela, Director: Adaptation and Impact, Climate Change Monitoring and Evaluation, Department: Environmental Affairs, Republic of South Africa



- Mthobeli S. Kolisa, Strategic Executive Director, Environmental Services Tshwane Municipality

## Brazil

### ICLEI

- Igor Reis de Albuquerque, Climate Change Manager, South America Secretariat (SAMS), ICLEI
- Bruna Cerqueira, Manager, Policy and Strategy, South America Secretariat (SAMS), ICLEI

### Fortaleza

- Águeda Muniz, Secretary, Urbanism and Environment, Fortaleza Municipality
- Wigor Florêncio, Manager Environmental Sustainability, Secretariat of Urbanism and Environment, Fortaleza Municipality

## Recife

- Mauricio Guerra, Executive Secretary, Secretariat of Environment and Sustainability, Recife Municipality
- Luis Roberto Oliveira, Director, Low Carbon Office, Secretariat of Environment and Sustainability, Recife Municipality
- Circe Monteiro, Project Manager, Capibaribe River Improvement Project, INCITI
- Roberto Montezuma, Capibaribe River Improvement project, INCITI
- Luiz Vieira, Capibaribe River Improvement project, INCITI
- Rafael Vaisman, Eco-Materials, ECOHUS
- Bruno Simões, Manager, Public Lighting Division, Recife Municipality

## Annex VI: Country Programmes Expenditures until 31 December 2014 (in Euro)

### Indonesia/SEA

Expenditures until 31 December 2014	Total (€)	Phase II (€)	Phase I (€)
Subcontracts/Grants to Institutions	258,875.00	68,355.00	190,520.00
Training/Workshops and Seminars	79,103.00	34,037.00	45,066.00
Equipment and Furniture	4,326.00	1,487.00	2,839.00
Miscellaneous	4,982.00	3,600.00	1,382.00
<b>Total</b>	<b>374,286.00</b>	<b>107,479.00</b>	<b>239,807.00</b>

### India/AS

Expenditures until 31 December 2014	Total (€)	Phase II (€)	Phase I (€)
Subcontracts/Grants to Institutions	261,707.00	140,818.00	120,889.00
Training/Workshops and Seminars	80,814.00	25,554.00	55,260.00
Equipment and Furniture	4,472.00	215.00	4,257.00
Miscellaneous	1,087.00	46.00	1,032.00
<b>Total</b>	<b>348,071.00</b>	<b>166,633.00</b>	<b>181,438.00</b>

### South Africa

Expenditures until 31 December 2014	Total (€)	Phase II (€)	Phase I (€)
Subcontracts/Grants to Institutions	229,147.00	85,408.00	143,739.00
Training/Workshops and Seminars	81,027.00	27,678.00	53,349.00
Equipment and Furniture	3,228.00	312.00	2,916.00
Miscellaneous	6,987.00	3,344.00	3,643.00
<b>Total</b>	<b>320,389.00</b>	<b>116,742.00</b>	<b>203,647.00</b>

### Brazil/SAMS

Expenditures until 31 December 2014	Total (€)	Phase II (€)	Phase I (€)
Subcontracts/Grants to Institutions	380,098.00	150,26.00	229,673.00
Training/Workshops and Seminars	75,321.00	40,499.00	34,822.00
Equipment and Furniture	4,534.00	0.00	4,534.00
Miscellaneous	5,186.00	2,216.00	2,970.00
<b>Total</b>	<b>465,239.00</b>	<b>193,141.00</b>	<b>271,999.00</b>

## Annex VII: Project's Logical Model

<b>Project's Overall Budget</b>	<b>USD</b> <b>Habitat: \$</b> <b>Donors: Euros 6,700,00</b>	<b>Project's Duration / Time Frame</b>	<b>42 months</b>
<b>Goal/ Objective</b>	To enhance the transition to low emission urban development in emerging economy countries.		
<b>Project's expected Accomplishments</b>	Cities in emerging economy countries adopt Urban Low Emissions Development Strategies (Urban-LEDS)		
<b>Project's Sub-Expected Accomplishments</b>	<b>SUB-E.A. 1.</b> Selected model cities adopt Urban-LEDS, and share experiences with a wider group of satellite cities	<b>SUB-E.A. 2.</b> The promotion, recognition, recording, verification and integration of actions by cities in reducing global emissions within the global climate regime is enhanced.	
<b>Outputs</b>	Expected Results Concept of Urban-LEDS developed, including processes for interaction with national governments.	<b>2.1.</b> Up to 4 national verification models and a public record of at least 28 verified local climate change records of participating cities (8 model cities, 20 satellite cities) established to increase the visibility of local climate action at the national and international levels, and linkages to UN climate negotiations.	
	Feasible solutions identified for the implementation of low emission development, and a pool of up to 50 technical experts is established, drawing from local governments, research institutions and the business sector.	<b>2.2.</b> Intensified interaction between local governments and global climate actors to ensure that local governments are appropriately integrated in the design and implementation of global climate regime for the post-2012 period.	
	Up to 15 appropriate technological and finance-related models identified for selected priority measured and packaged into investment portfolios, as well as increased engagement of local governments with the private sector.		
	Capacity developed and information shared amongst up to 5 satellite cities in each country (up to a total of 20), as well as with other actors in additional countries so as to scale up and multiply the impact.		
	North-South and South-South flow of information, exchanges, resources, contacts and knowledge facilitated both within and between focus countries and globally, including up to 8 European cities linked to the model cities, as well as European officials and experts participating in URBELAC activities and exchanges involving URBELAC cities.		



Project's OUTPUTS	Handbook is developed, includes gender component	March 2012 - 0	March 2013 – 1	Project Website	Updates to website	End of first year	Monitoring focal point to collect data Project Manager reports on progress
<b>1.1</b> Concept of Urban-LEDS developed, including processes for interaction with national gov'ts.  <b>1.2</b> Feasible solutions identified for the implementation of low emission development, and a pool of up to 50 technical experts created.	Number of Solutions per sector in Solutions Gateway  No. of technical experts involved	March 2012 - 0  March 2012 - 0	March 2013 – tbd August 2013 – tbd March 2014 - tbd  March 2013 – 10 August 2013 – 20 March 2014 - 50	Solutions Gateway webpage  Profiles of experts (electronic)	Review of website  Updates to website	End of first year  Quarterly	Monitoring focal point to collect data  Project Manager reports on progress
	No. of technology and financial models  No. of solutions incorporated in municipal workplans  No. of interactions of cities with organizations from business community	March 2012 - 0  March 2012 - 0  March 2012 - 0	Aug 2013- 5 March 2014- 10 Aug 2014- 15  Dec 2013- 2 Jun 2014- 4 Dec 2014- 8  Dec 2013- 4 Jun 2014- 8 Dec 2014- 16	Inclusion of models in Solutions Gateway Municipal planning documents External meeting minutes  TBD	Review of website  Review of planning documents  ICLEI Regional offices provide	Bi-annually  Bi-annually  Bi-annually	Monitoring focal point to collect data  Project Manager reports on progress  Project Manager reports on progress
<b>1.3</b> Up to 15 appropriate technological and finance-related models identified for selected priority measures and packaged into investment portfolios, as well as increased engagement of local gov'ts. w/ private sector  <b>1.4</b> Capacity developed and info shared to allow up to 5 satellite cities for each country (up to 20); multipliers and actors in further countries to scale up.	No. of local officials from satellite cities who attend capacity bldg../networking events (disaggre-gated by gender)	March 2012 - 0	Jun 2013 – 40 Dec 2014- 80	Event reports	Review of planning documents and event reports	Bi-annually	Monitoring focal point to collect data  Project Manager reports on progress

## Annex VIII: Results Logical Framework and Performance Tracking Matrix (continued)

PROGRAMME TITLE: PROMOTING LOW EMISSIONS URBAN DEVELOPMENT STRATEGIES IN EMERGENT ECONOMY COUNTRIES			APPROVAL PERIOD: MARCH 2012 – AUGUST 2015			PROGRAMME TEAM MEMBERS:		
BUDGET: EUR 6.7 MILLION			PROJECT MANAGER:			PARTNERS STAKEHOLDERS INVOLVED: ICLEI – LOCAL GOVERNMENT FOR SUSTAINABILITY		
EXPECTED START DATE: 1 MARCH 2012			TARGETS (INCLUDING THE TIME RANGE WHERE POSSIBLE)	DATA SOURCES FOR VERIFYING PROGRESS OF INDICATORS	DATA COLLECTION METHODS	FREQUENCY OF DATA COLLECTION AND COST	RESPONSIBILITY FOR DATA COLLECTION AND REPORTING PROGRESS?	
RESULTS STATEMENTS	INDICATORS (INCLUDING GENDER AND YOUTH WHERE POSSIBLE)	BASELINE						
<b>PROJECT'S OBJECTIVE</b>								
<b>1.5</b> North-South and South-South flow of info, exchange, resources, contacts and learning facilitated both within and between focus countries and globally, including up to 6 European cities linked to Model Cities.	No. of networking seminars	March 2012 – 0	Jun 2013 – 1 Dec 2014 – 2	Municipal council proposals, invitation letters	Key informant interviews, review of correspondence	Bi-annually	Monitoring focal point to collect data	
<b>2.1</b> Up to 4 national verification models and a public record of up to 120 verified local climate data of participating cities established to increase the visibility of local climate action at the nat'l. and internat'l. levels, and linked to UN climate negotiations.	No. of model cities twinning with European cities	March 2012 – 0	Jan 2013 – 3 Dec 2014 – 8	Municipal council legal department	Key informant interviews, review of legal agreements	Bi-annually	Project Manager reports on progress	
	No. of national verification models	March 2012 – 0	Jan 2013 – 1 Jan 2014 – 4	Coor website	Review of data	Annually	Climate change specialist/consultant to guide monitoring focal point to collect data	
	No. of verified local climate data of participating cities	March 2012 – 0	Dec 2013 – 25 Dec 2014 – 75 Jun 2015 – 120	Coor website	Review of data	Bi-annually	Project Manager reports on progress	

<p><b>2.2</b> Intensified interaction between local gov'ts. and global climate actors to ensure that local gov'ts are appropriately integrated in the design and implementation of global climate regime for the post-2012 period</p>	<p>No. of networking meetings attended by local government officials at UNFCCC sessions &amp; Rio+20</p>	<p>March 2012 – 0</p>	<p>Dec 2012 –2 Dec 2013 –3 Dec 2014 –4</p>	<p>Meeting organizers</p>	<p>Meeting attendance figures</p>	<p>Annually</p>	<p>Monitoring focal point to collect data</p>
	<p>No. of submissions to UNFCCC from local governments</p>	<p>March 2012 – 0</p>	<p>Dec 2013 –2 Dec 2014 – 8 Jun 2015 –10</p>	<p>UNFCCC</p>	<p>Review of UNFCCC documents</p>	<p>Annually</p>	<p><b>Project Manager reports on progress</b></p>









# Interim Evaluation Urban-LEDS Project Synthesis Report

## Implementing partners

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