

Corporate Unit Evaluation

Central Project Evaluation

KNOWING WHAT WORKS

Central project evaluation

Cities Finance Facility, Global Project

Project number 2018.2102.4

Evaluation Report

On behalf of GIZ by Joanna Kotowski (SUM Consult) and Dr Florian Steinberg (independent consultant)

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Contents

List of figures.....	4
List of photos.....	4
List of tables.....	4
Abbreviations	6
The project at a glance	9
1 Evaluation objectives and questions.....	10
1.1 Evaluation objectives.....	10
1.2 Evaluation questions	10
2 Object of the evaluation	11
2.1 Definition of the evaluation object.....	11
2.2 Results model including hypotheses	13
3 Evaluability and evaluation process.....	18
3.1 Evaluability: data availability and quality	18
3.2 Evaluation process	18
4 Assessment according to OECD/DAC criteria.....	22
4.1 Impact and sustainability of predecessor projects.....	22
4.2 Relevance.....	23
4.3 Coherence	31
4.4 Effectiveness	33
4.5 Impact.....	47
4.6 Efficiency	56
4.7 Sustainability	63
4.8 Key results and overall rating	68
4.9 Follow-on project	69
5 Conclusions and recommendations.....	71
5.1 Key findings and factors of success/failure	71
5.2 Recommendations.....	74
List of references	77
Annex A: CFF's contribution to the SDGs.....	101
Annex B: Evaluation matrix.....	104

List of figures

Figure 1: Stakeholder map.....	13
Figure 2: Current results model (March 2019), adapted during evaluation.....	17
Figure 3: Dar es Salaam: current situation	51
Figure 4: Dar es Salaam: future projection	51
Figure 5: Sustainability diagram.....	64

List of photos

Photo 1: River blocked by waste in Dar es Salaam	27
Photo 2: Cyclists using a bike lane in Bogotá	27
Photo 3: Electric bus being trialled in Jakarta	49
Photo 4: PV panels on a school in Quezon City	49

List of tables

Table 1: Overview of CFF programme finance and co-finance	11
Table 2: Partner cities and their projects supported by CFF	12
Table 3: List of evaluation stakeholders and selected interviewees	20
Table 4: Rating of OECD/DAC criterion: relevance	23
Table 5: Urban climate project preparation – transaction support	25
Table 6: Methodology for assessing OECD/DAC criterion: relevance.....	29
Table 7: Dividers/escalating factors in the project context.....	30
Table 8: Deescalating factors/connectors in the project context.....	30
Table 9: Rating of OECD/DAC criterion: coherence	31
Table 10: Methodology for assessing OECD/DAC criterion: coherence.....	33
Table 11: Rating of OECD/DAC criterion: effectiveness	33
Table 12: Assessed and adapted objective indicators (outcome level)	34
Table 13: Selected results hypotheses for effectiveness.....	42
Table 14: Methodology for assessing OECD/DAC criterion: effectiveness	46
Table 15: Rating of OECD/DAC criterion: impact	47
Table 16: Impact scenarios for the 17 partner cities	48
Table 17: Selected results hypotheses for impact	53
Table 18: Methodology for assessing OECD/DAC criterion: impact.....	56
Table 19: Rating of OECD/DAC criterion: efficiency.....	56
Table 20: CFF programme costs overview	57
Table 21: Allocation of CFF's costs to the outputs.....	58
Table 22: Output achievement.....	59

Table 23: Outcome achievement	59
Table 24: Distribution of CFF's costs between countries (2019, and 2021 projection); TA costs per project	60
Table 25: Methodology for assessing OECD/DAC criterion: efficiency	62
Table 26. Rating of OECD/DAC criterion: sustainability	63
Table 27: Methodology for assessing OECD/DAC criterion: sustainability	67
Table 28: Rating and score scales	68
Table 29. Overall rating of OECD/DAC criteria and assessment dimensions	69
Table 30: CFF's contribution to SDGs	101

Abbreviations

ADB	Asian Development Bank
AFD	Agence Française de Développement
BEIS	UK Department for Business, Energy and Industrial Strategy
BMU	German Federal Ministry of the Environment, Nature Conservation and Nuclear Safety
BMZ	German Federal Ministry for Economic Cooperation and Development
BRT	Bus rapid transit
C40	C40 Cities Climate Leadership Group
C40 CFF	C40 Cities Finance Facility
CAP	Climate Action Planning (C40)
CBO	Community-based organisation
CCFLA	Cities Climate Finance Leadership Alliance
CD	Capacity development
CFF	C40 Cities Finance Facility global project
CHP	Combined heat and power
CIFF	Children's Investment Fund Foundation
CO _{2e}	Carbon dioxide equivalent
CPE	Central Project Evaluations
CSO	Civil society organisation
DAC	Development Assistance Committee
DV	Durchführungsverantwortliche*r / Local Executive Manager (GIZ-CFF)
EIB	European Investment Bank
FGD	Focus group discussion
FS	Fragile state (marker)
GCF	Green Climate Fund
GG	Gender Equality (marker)
GHG	Greenhouse gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
ICLEI	Local Governments for Sustainability
KfW	German Development Bank
K&L	Knowledge and learning
LNOB	Leave No One Behind
LUCI	Leadership for Urban Climate Investment
M&E	Monitoring and evaluation
MDB	Multilateral development bank
MoU	Memorandum of understanding

MSC	Most significant change
NAP	National adaptation plans
NDC	Nationally Determined Contributions
NMT	Non-motorised transport
OECD	Organisation for Economic Co-operation and Development
PAG	Project Advisory Group (C40 CFF)
PBS	Public bike-share scheme
PD/GG	Participatory Development / Good Governance (marker)
PIU	Project Implementation Unit (city level)
PPF	Project preparation facility
PPP	Public-private partnership
PV	Photovoltaics
REM	Regional Engagement Manager (CFF)
RD	Regional Director (C40)
SDG	Sustainable Development Goal
seROI	Social and economic return on investment
SMART	Specific, measurable, achievable, relevant and time-bound (indicators)
SPA	Senior Project Advisor (CFF)
TA	Technical assistance
ToC	Theory of change
TRMP	Transformative Riverine Management Programme (eThekweni)
TWG	Technical Working Group (city level)
USAID	United States Agency for International Development
WRI	World Resources Institute



The project at a glance

Global Project: **C40 Cities Finance Facility**

Project number	2018.2102.4
Creditor reporting system (CRS) code(s)	43030 – Urban development and management (70%) 21010 – Transport policy and management (15%) 23210 – Energy production, renewable sources – different technologies (15%)
Project objective	To ensure that primary and secondary cities in developing countries and emerging economies are in a better position to access finance for sustainable climate action projects that contribute to the 2030 Agenda Sustainable Development Goals (SDGs) and their countries' Nationally Determined Contributions (NDCs) to the Paris Agreement.
Project term	August 2018 – March 2021
Project value	EUR 15,833,098.08 of which EUR 3.5 million was contributed by BMZ, EUR 11,303,953.66 was co-financed by the UK Department for Business, Energy and Industrial Strategy (BEIS), EUR 889,205.05 came from the Children's Investment Fund Foundation (CIFF) and EUR 139,939.37 from the US Agency for International Development (USAID). Note: EUR 12,306,627.81 was transferred from the Climate Action Planning (CAP) component of the Sector Project on Urbanisation, Municipal and Urban Development (PN 2017.2015.0) to the C40 Cities Finance Facility project (CFF). This was implemented separately by the C40 Cities Climate Leadership Group (C40) under a financing agreement. The total order value of the CFF programme was therefore EUR 28,139,725.89 .
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH in partnership with the C40 Cities Climate Leadership Group (C40)
Implementing organisations (in the partner country)	Municipal governments and city administrations of: <ul style="list-style-type: none"> • Rio de Janeiro and Curitiba in Brazil; Bogotá, Cali, Montería and Bucaramanga in Colombia; Quito in Ecuador; Guadalajara, Monterrey and Hermosillo in Mexico; • Dakar in Senegal; eThekweni (Durban) and City of Tshwane (Pretoria) in South Africa; Dar es Salaam in Tanzania; • Bangalore in India; Jakarta in Indonesia; Quezon City in the Philippines
Other development organisations involved	<ul style="list-style-type: none"> • Cities Climate Finance Leadership Alliance (CCFLA) • City Climate Finance Gap Fund • World Resources Institute (WRI) • Several other implementation and knowledge partners
Target group(s)	<ul style="list-style-type: none"> • Leaders and technical staff of climate-relevant infrastructure measures in participating city departments (direct target groups and intermediaries) • Inhabitants of the participating cities (indirect target groups and final beneficiaries)

Please note that throughout this report we will use the terms 'CFF programme' and 'CFF' as synonyms for the global CFF project to better distinguish it from the individual CFF projects at city level. Please also note that CFF is a synonym to C40 CFF, the C40 Cities Finance Facility. In this report, however, 'C40 CFF' mainly refers to the implementing body rather than the CFF programme as such.

1 Evaluation objectives and questions

This chapter aims to describe the purpose of the evaluation, the standard evaluation criteria, and additional stakeholders' knowledge interests and evaluation questions.

1.1 Evaluation objectives

Central project evaluations (CPEs) of projects commissioned by BMZ fulfil three basic functions: they support evidence-based decisions, promote transparency and accountability, and foster organisational learning within the scope of contributing to effective knowledge management. GIZ structures the planning, implementation and use of evaluations so that the contribution the evaluation process and the evaluation findings make to these basic functions is optimised (GIZ, 2018a).

This CFF final evaluation under Framework Agreement Lot 5: Urban and regional development has been selected as part of the GIZ Evaluation Unit's random sample while considering the current COVID-19 restrictions for remote evaluations. The evaluation focuses on the current term of CFF (08/2018 – 03/2021), but also considers the evaluability of the follow-on project Cities Finance Facility 3 (e.g. the results model and indicators), as well as the results and sustainability of the CFF predecessor pilot actions.

1.2 Evaluation questions

The project is assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This is based on the Organisation for Economic Co-operation and Development (OECD)/[Development Assistance Committee \(DAC\) evaluation criteria](#) (updated 2020) for international cooperation and the [evaluation criteria for German bilateral cooperation \(in German\)](#)¹: **relevance, coherence, efficiency, effectiveness, impact and sustainability**.

Specific assessment dimensions and analytical questions have been derived from this framework. These form the basis for all CPEs in GIZ and can be found in the **evaluation matrix** (Annex B).² In addition, contributions to the 2030 Agenda for Sustainable Development and its principles are taken into account as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation are included in all OECD/DAC criteria.

This CFF evaluation considers questions related to the global context, as well as questions regarding the pilot projects and follow-on programme. Questions relating to fragile contexts are taken into account in specific cases, as some of the cities covered by the CFF global programme are located in countries with potential for escalation. Moreover, the evaluators compiled additional specific evaluation topics identified in discussions with the project team, the previous head of the C40 Cities Finance Facility (CFF) and the Corporate Unit Evaluation representative. These additional questions specify some aspects and have been incorporated into the evaluation questions presented in the **evaluation matrix** (Annex B).

¹ See also BMZ 2020a.

² The Excel version of the evaluation matrix has been submitted separately to the GIZ CPE Unit and the CFF team.

2 Object of the evaluation

This chapter aims to define the evaluation object, including the theory of change (ToC), and results hypotheses.

2.1 Definition of the evaluation object

The object of the evaluation is the C40 Cities Finance Facility global Programme (CFF) (PN 2018.2102.4) implemented jointly by GIZ and C40 between August 2018 and March 2021. It was preceded by pilot actions in Latin American, African and Asian cities, financed by the Sector Project on Urbanisation, Municipal and Urban Development (PN 2017.2015.0), in 2015-2018. A three-year follow-on project started in April 2021.

The CFF programme presented a few changes with respect to the proposal to BMZ, mainly due to new co-financing arrangements (CIFF), the subsequent modification of the results matrix indicators (GIZ, 2019a), currency gains and the utilisation of residual funds from Sector Project PN 2017.2015.0 (GIZ, 2020a). The following table provides an overview of the CFF financing and co-financing status as of May 2021. Please note that a significant share of the CFF funds were channelled into the C40 CAP project and is not related to CFF programme outputs. The funds used to finance CFF activities amounted to just EUR 15,833,098.08.

Table 1: Overview of CFF programme finance and co-finance (including predecessor and follow-on measures)

CFF programme	Project term	BMZ	BEIS	CIFF	USAID	AFD	Total
CFF pilot measures (PN 13.2099.3) and as part of Sector Project PN 2017.2015.0	12/2015-07/2018	EUR 3.5 m			EUR 1.9 m		EUR 5.4 m
C40 Cities Finance Facility global programme (CFF) (PN 2018.2102.4)	08/2018-03/2021	EUR 3.5 m	EUR 11.3 m (GBP 10 m)	EUR 889,205 (USD 1.0 m)	EUR 139,939		EUR 15,833,098
CAP component under PN 2018.2102.4 channelled to C40 from residual funds from Sector Project PN 2017.2015.0	04/2020-03/2021		EUR 12,306,628			 [CFF + CAP: EUR 28,139,726]
C40 Cities Finance Facility follow-on project ³	04/2021-03/2024	EUR 4.0 m ⁴ EUR 2.5 m ⁵	TBC ⁶	Under negotiation	Under negotiation	Under negotiation	TBC

C40 CFF documents and website⁷ emphasise that addressing climate change is one of the most critical and urgent challenges we face today. Estimates suggest that cities are responsible for more than 70% of global energy-related carbon emissions (IPPC, 2014:25). International agreements such as the 2030 Agenda, the Paris Agreement and the New Urban Agenda (NUA) underline the role of cities in sustainable development.

³ Donor contributions still to be confirmed (TBC).

⁴ In addition, EUR 1 million currently held back (VE-Sperre).

⁵ Corona cash funds (BMZ-Barmittel).

⁶ Contribution of GBP 12 m (EUR 14.0 m) communicated verbally by the CFF team on 18 May 2021. Final confirmation is still pending.

⁷ See, for instance: www.c40.org/why_cities [19.02.2021] and www.giz.de/en/worldwide/75652.html [19.02.2021].

Developing countries need an estimated USD 4 trillion per year in infrastructure investments to leapfrog the fossil fuel-driven economic development of the past (C40 CFF, 2018:3; NCE, 2016:27). CFF addresses the finance gap by supporting cities in developing and emerging economies to formulate financially sound business proposals for projects identified as priorities. The evaluated CFF programme was implemented in 17 cities on three continents. The following table lists the participating partner cities and their local project focus. There are a total of 18 projects, as one city (Tshwane) developed two different measures.

Table 2: Partner cities and their projects supported by CFF

No.	Region	Country	City	Project name / focus	Response to climate change	Project sector
1	Latin America	Brazil +++)	Curitiba *)	Installing solar panels on bus terminals and deactivated landfill	Mitigation	Energy
2			Rio de Janeiro *)	Installing solar panels on a deactivated landfill	Mitigation	Energy
3		Colombia +++)	Bogotá *)	Creating financial models for public bike-share schemes (PBS)	Mitigation	Non-motorised transport (NMT)
4			Bucaramanga		Mitigation	
5			Cali		Mitigation	
6			Montería		Mitigation	
7		Ecuador ++)	Quito *)	a. Electrifying the Ecovía bus rapid transit (BRT) corridor	Mitigation	E-Mobility
				b. Extension of a trolleybus line		
8		Mexico +++)	Guadalajara *)	Electrifying local BRT corridors	Mitigation	E-Mobility
9			Hermosillo		Mitigation	E-Mobility
10			Monterrey		Mitigation	E-Mobility
11	Africa	Tanzania +)	Dar es Salaam *)	Flood-risk and community-based waste management	Resilience	Water and waste
12		Senegal +)	Dakar *)	Redevelopment of a stormwater retention basin	Resilience	Water
13		South Africa +)	eThekweni (Durban) *)	Transformative Riverine Management Programme	Resilience	Water
14			City of Tshwane*)	Combined heat and power (CHP) Zeekoegat wastewater to energy generation	Mitigation	Energy
15				Building cycling infrastructure on the K69 Solomon Mahlangu road	Mitigation	NMT
16	Asia	India ++)	Bangalore **)	Electrifying public transport	Mitigation	E-Mobility
17		Indonesia +)	Jakarta *)	Electrifying public transport	Mitigation	E-Mobility
18		Philippines ++)	Quezon-City *)	Grid-connected photovoltaic (PV) system	Mitigation	Energy
P1	Latin America (pilot)	Colombia +++)	Bogotá *)	Cycle Avenue Medio Milenio	Mitigation	NMT
P2		Mexico +++)	Mexico City *)	Eje 8 Zero Emission Corridor	Mitigation	E-Mobility

Notes: Fragility status according to BMZ: +++ red (acute), ++ yellow (elevated), + green (minor), *) C40 member city, **) C40 member Bangalore temporarily inactive.

Two other projects, in Bogotá (P1 in the list above) and Mexico City (P2), received support during the pilot phase and part of this support continued partly into the evaluated CFF programme. They are also important partners for knowledge and learning (K&L). The projects in Bangalore (#16) and eThekweni (#13) were also initiated in the pilot phase, but form part of the evaluated programme.

Several of the selected countries are listed in the BMZ Analysis on Escalation Potentials 2020 as red (acute) or yellow (elevated).⁸ All, except for Mexico, are marked as fragile in a warning state, according to the Fund for

⁸ List (internal document) shared with the evaluators by the Evaluation Unit.

Active stakeholders (located in the inner dark-grey circle on the map) included the 17 partner cities plus Mexico City (CDMX) and other cities as knowledge and capacity development partners, the CCFLA (C40 CFF is co-chair to the Project Preparation Action Group – PPAG – under CCFLA), the C40 Climate Action Planning (CAP) programme, international stakeholders that provided technical assistance (TA) and partners for knowledge exchange, and region or national stakeholders for specific aspects.

There were many other, less active partnerships in the areas of capacity development (CD), international knowledge sharing and specific project development activities in selected cities.

The **direct target groups** with which CFF worked were the leaders of climate-relevant infrastructure measures in partner city departments, municipal staff and other key stakeholders who participated in CD training and knowledge and exchange measures. **Indirect target groups** and final beneficiaries at impact level were the inhabitants of the partner cities, in particular the vulnerable ones.

Output level

The project encompassed the following four outputs:

- Output A: **Project Preparation and Access to Finance**
- Output B: **Capacity Development**
- Output C: **Knowledge, Learning and Policy Dialogues**
- Output D: **Partnerships and Fundraising**

Output A focused on the preparation of finance-ready climate action project proposals in the partner cities. The main **activities** supported by the CFF team at central and subnational level – guided by PAG – through CFF Senior Project Advisors (SPAs), Regional Engagement Managers (REMs), Regional Directors (RDs), Local Executive Managers (*Durchführungsverantwortliche*, DVs), short-term experts and consultants were: selection of cities and establishment of Project Implementation Units (PIUs) or Technical Working Groups (TWGs); guidance for city departments in the development of infrastructure project proposals and incorporation of gender and climate vulnerability analyses; and facilitation of exchanges between partner cities and potential investors. The **hypothesis (H1)** was that high-quality project proposals would be more likely to attract potentially interested investors. During the interaction process, potential investors would be made aware of the urgency of climate actions and city departments of the need to integrate socioeconomic and gender perspectives. The implemented projects, especially in the area of climate change mitigation, would help significantly reduce greenhouse gas (GHG) emissions, but also address vulnerability and gender issues. In addition, the dissemination of good proposals and practices would raise the interest of other actors in CFF approaches and lessons learned, e.g. other city departments, other cities, donors and financiers.

The **key underlying assumptions** referred mainly to the political and financial commitments of partner cities; risks were potentially mitigated by the involvement of C40 RDs and the establishment of strong PIUs in each partner city. A major **risk** to achieving the output also occurs when the development level of project proposals submitted to C40 CFF is too premature. In some cases, there are also legal barriers when cities are not in a position to take up loans or are bound by debt constraints.

Output B emphasised the development and implementation of tailored CD measures at different levels: individual (selected city officers), city administration (selected departments) and interorganisational (strengthening of coordination and cooperation systems, policy advice, networking) (refer also to C40 CFF's Capacity Development Framework: CFF, 2019f). The main **activities** supported by the CFF team at city level were: assessment of cities' financial and institutional capacities and needs; implementation of CD measures

from Latin America, dark to light blue Africa, and dark to light purple boxes Asia. The 17 CFF partner cities are highlighted in dark blue. Actors in blue letters are participating or interested municipalities that do not belong to the 17 partner cities.

(including technical, financial, organisational, gender and social topics); and monitoring of CD implementation. Experience sharing between cities and participation in knowledge platforms were included in output C. The **hypothesis (H2)** was that improved capacities would help improve the structuring of climate action projects, the integration of new concepts and technologies and the presentation of proposals to relevant parties (city councils, other cities, financial institutions, investors, service providers, etc.). Based on this, cities would better comply with financial institutions and investors, convince city councils, negotiate with service providers, share their experience with other cities and develop new climate actions in the future. The **key underlying assumption** was that cities are committed and receive political backing.

Output C concentrated on the improvement of the knowledge base and discourse on financing the climate action projects of cities. The main **activities** supported by the CFF team addressed both CFF partners and other cities: city knowledge gap assessments; preparation and dissemination of knowledge products and services, partly co-created with partners from city to international level; constant analysis; and sharing of CFF experiences and good practices. The **hypothesis (H3)** was that the dissemination of good practices, particularly by the CFF partner cities themselves, would motivate other cities to implement similar projects and relevant partners to adapt conditions to the needs of cities. This would increase the number of projects presented for funding. The **assumptions** and **risks** were the same as for output B.

Output D focused on strengthening the foundations for the medium-term establishment of CFF as a multi-partner and multi-donor initiative for cities' access to finance for climate actions. The main **activities** implemented by the CFF team were: identification of potential partners and development of options for collaboration or funding, and; development of a sustainability strategy for CFF, agreed with PAG. The **hypothesis (H4)** was that an enhanced C40 CFF would be able to access further finance for cities' climate action and to influence policies, as well as disseminate lessons learned more widely, thus increasing the contribution of cities to climate goals. The **key underlying assumption** was that new funding partners are willing to agree to a common set of rules and the established decision-making process. A major **risk** for achieving output D related to delays in decision-making within the multi-partner CFF PAG. An important risk also occurs when potential funding partners change their priorities and withhold contributions.

There are **additional results** that interested cities had to fulfil before they could participate in the CFF programme and that influenced the achievement of **output A** (see Figure 2): development of a basic project proposal (**R1**) and coordination with relevant stakeholders (**R2**). The specific pilot experience (**R3**) also influenced the CFF programme's outputs and outcome. Partnerships established through C40 (**R4**) and the CAP framework developed by C40 (**R5**) contributed to the achievement of **output D**. There were other, **additional results** related to **outputs C** and **D** concerning the support of CFF knowledge partners (**R11**, **R15**), knowledge replication (**R22**) and awareness-raising (**R8**, **R13**), and numerous relationships and peer-to-peer networks were established or strengthened (**R12** and **R14**).

Few potentially **unintended positive results** at output level were identified (such as **R16** and **R17**), as most results were potentially intended. Potentially **unintended negative results** were reported in the Mexico and Bogotá exit assessments (CFF, 2020k): delays and uncertainties due to changes in government (including developed capacities and visions that might get lost); some dissatisfaction during the financial modelling process (in one case, most of the financial options developed were not accessible; in another, the financial options available were met with resistance). CFF documents refer to several challenges faced by CFF, including the complex cooperation system, with more than 50 GIZ and C40 staff members, a multitude of affiliated actors and the decentralised structure across 10 project countries (plus Germany and the UK).

Outcome and impact level

Outcome level: the above-mentioned **outputs A to D** put the partner cities in developing countries and emerging economies in a better position to access finance for sustainable climate action projects, thus

contributing to the SDGs, in particular SDG 13 ('Take urgent action to combat climate change and its impacts') and SDG 11 ('Make cities and human settlements inclusive, safe, resilient and sustainable'), and their respective countries' NDCs (**module objective**). Other expected results (see Figure 2) at outcome level included increased awareness of gender issues in climate action projects (**R26**); dissemination of experiences to other cities by CFF partners and scaling-up and replication (**R22**); and leverage of additional contributions by CFF to enable (new) cities to access TA and finance (**R23**). More important results at outcome level, partly beyond the scope of CFF, are presented in the results model (Figure 2)

Impact level: The CFF programme will contribute to the mobilisation of financial resources for transformative actions by at least 12 partner cities and will lead to a substantial reduction in GHG emissions and increased resilience to climate change in urban agglomerations. Therefore, also at impact level, CFF contributes to the achievement of SDG 13 and SDG 11 and relates to key OECD-DAC topics ('markers'): 'Adaptation to Climate Change' (**KLA-1** marker) and 'Climate Change, Greenhouse Gas Mitigation' (**KLM-1**). By integrating new concepts, technologies (**R10**), and gender and vulnerability views (**R9**) in project proposals, CFF contributes to 'Gender Equality' (**GG-1**) and 'Poverty Orientation' (**AO-1**). By revising governance aspects during due diligence assessments (**R6**), establishing or strengthening current structures of PIUs that consist of key stakeholders (**R7**), integrating participatory development topics in CD activities (**output B**) and strengthening institutionalised and transparent negotiation processes (**R19** and **R20**), it also contributes to 'Participatory Development/Good Governance' (**PD/GG-2**). There may be further positive synergies with socioeconomic aspects due to its consideration of economic development, employment promotion and other co-benefits during city and project selection (**R6**) and the incorporation of these aspects into project proposals (**output A**). Moreover, there may be negative trade-offs with ecological aspects when proposed climate actions do not sufficiently consider the environmental footprint, or negative trade-offs when civil society is not sufficiently involved in project development.

There was an **attribution gap** between the module objective (outcome) and programme objective (impact). CFF supports the development of finance-ready projects, but is not responsible for financing them. However, only if the proposed climate actions are implemented can the expected changes be achieved. There are obviously many other players that contribute to the achievement of impacts.

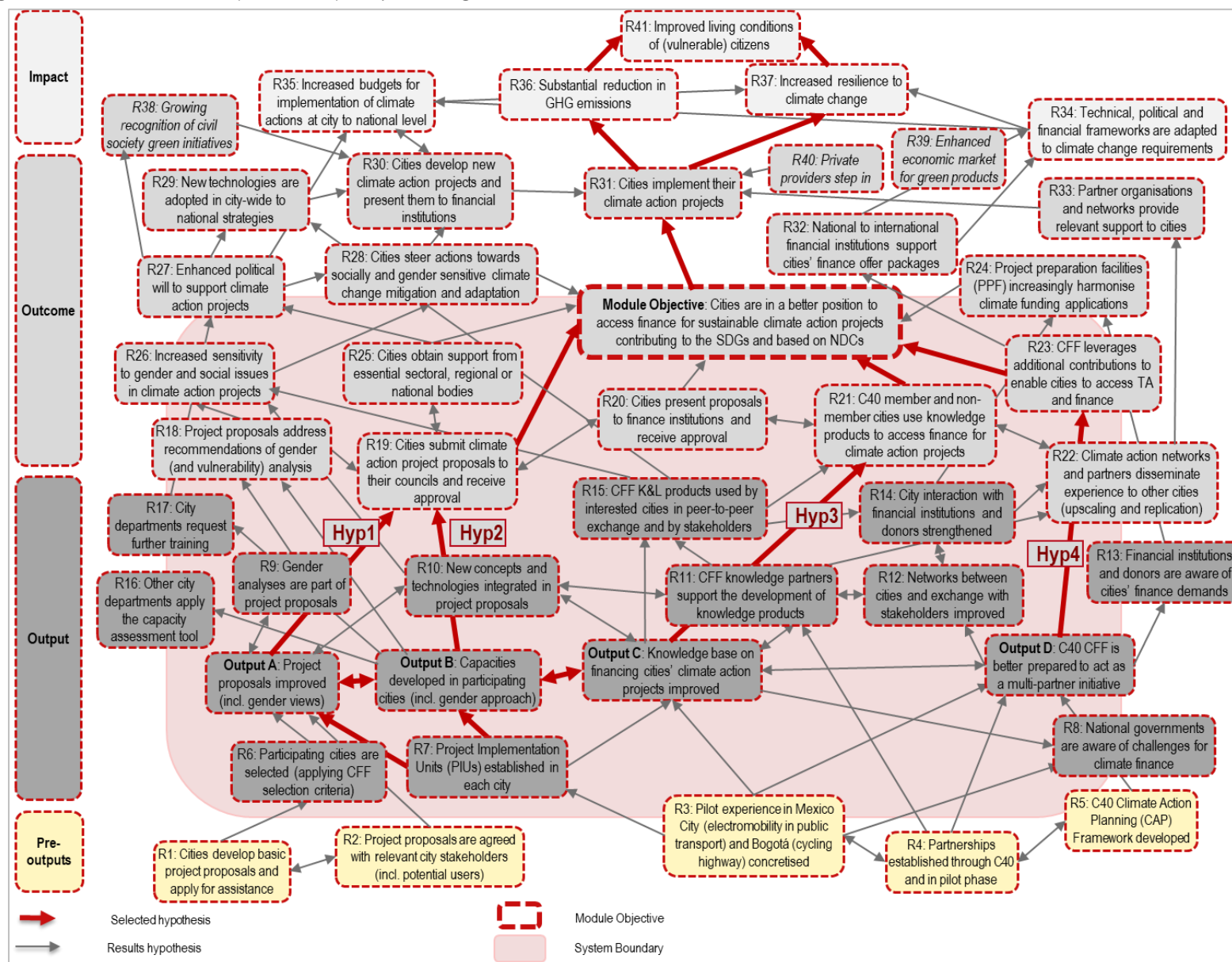
The **key underlying assumptions** were that CO₂e emission reduction agreements and targets at international and national level would remain reliable and stable throughout the project timeframe and that international climate finance resources to invest in city-level climate actions would be available, as well as other assumptions relating to government and donor commitment. **Risks** to achieving the outcome are related to other investment priorities and a lack of support or interest from financiers; a lack of political and institutional stability and political will; and delays in decision-making processes within PAG. These risks, which were identified during the CFF preparation process, were compounded by risks relating to the COVID-19 pandemic.

There were few potentially **unintended positive results** at outcome and impact level (such as **R33-35**, **R40**, see Figure 2), as most results were potentially intended. Potentially **negative results** at outcome and impact level have not yet been reported.

System boundary

The sphere of responsibility of the CFF programme ended with the establishment of favourable conditions for cities to access finance for sustainable climate action projects. The physical implementation of infrastructure and equipment, a prerequisite for achieving the expected impacts, fell entirely outside the system boundary, although it was still at outcome level; CFF focused on improving the parameters most likely to lead to the implementation of infrastructure, but could not guarantee this.

Figure 2: Current results model (March 2019), adapted during evaluation



Source: prepared by the evaluators on the basis of the CFF results model and discussions held with the CFF team during the inception mission workshop.

3 Evaluability and evaluation process

This chapter aims to clarify the availability and quality of data and the process of the evaluation.

3.1 Evaluability: data availability and quality

Availability of essential documents

All central documents necessary for the evaluation were made available to the evaluators (see the list of references: GIZ standard project documents and other documents, CFF programme progress reports and project documents, C40 CFF documents and context documents related to partner cities and projects).

Monitoring and baseline data including partner data

The CFF team established its own Excel tool for results-based monitoring system to measure changes. The results-based monitoring system was fed with data collected at city level by the SPAs in so-called 'City Tracker' Excel sheets and updated quarterly. Data on CD and K&L processes and on CFF partnerships were entered in CFF-own monitoring sheets. Baseline data was not collected, as the project started from zero in all indicator areas. However, the initial situation at city level is described in the due diligence reports. CFF's results-based monitoring system is outstanding and included all essential information related to project indicators and project risks. Progress data was reported to PAG in the CFF annual reports and in quarterly programme progress reports (PPR), which also describe lessons learned and signs of transformation, and assess risks at programme level. Recently, CFF carried out online interviews with selected city officials and outlined an online survey aimed at city staff and managers to assess the performance and efficiency of CFF. The CFF interview guide, survey questionnaire and interview results (videos) were shared with the evaluators. The CFF survey was discontinued and the CFF questions and responses were merged with the evaluation survey.

Secondary data

GHG emission status at country level is reported in the NDC documents (UNFCCC, 2016-2020). Most of the participating cities also have their own GHG inventories that can be used as a baseline.¹¹ In addition, city-level statistics were used by the evaluators to assess and compare socioeconomic and human development status. Good, up-to-date statistical information was available for most partner cities (see links to websites on city statistics in the list of references). Other secondary data included background information from local to global level, e.g. on development objectives, climate action projects and funds.

3.2 Evaluation process

Milestones of the evaluation process

The evaluation started in early December 2020 with the Inception Phase launch meeting. The remote inception mission took place in January and the remote evaluation mission was conducted in April 2021 (three weeks). The final report was submitted in August 2021.

¹¹ See, for instance, city inventories published by CDP (formerly the Carbon Disclosure Project): <https://data.cdp.net/Emissions/2020-City-Wide-Emissions/p43t-fbkj> [28.01.2021].

Involvement of stakeholders

The evaluation aimed to take a participatory approach. Due to the global nature of the CFF programme and the remote nature of the evaluation because of the pandemic, it was not possible to involve all relevant stakeholders and target groups. They were represented by selected organisations from the CFF partner cities up to global actors. The stakeholders actively involved in the evaluation process were the GIZ-C40-CFF core and extended expert teams based in Germany and the UK, CFF regional and city-based experts, and affiliated C40 RDs and GIZ DVs. PAG representatives and representatives from partner city departments participated in interviews and were informed about the evaluation process. Stakeholders' concerns and views were taken into account as far as possible.

The evaluators used the following remote data collection methods to address stakeholders:¹²

- online briefing and debriefing evaluation meetings with the CFF core team,
- online meetings and focus group discussions (FGDs) with CFF team members from the different global regions (Europe-based staff; Latin American, African and Asian teams),
- individual interviews (semi-structured) with key stakeholders, via video call, telephone or online,
- online interviews with partner city staff conducted by the CFF monitoring team between November 2020 and March 2021 (videos and transcription/citation of selected parts were provided by CFF in April),
- email enquiries (written questions) to request specific information,
- online survey (mainly closed questions) aimed at the CFF programme team (extended team, including RDs and DVs) and partner city staff (survey report in separate annex)¹³, and
- participatory observation through participation in selected CFF activities (e.g. handover ceremonies).

Selection of interviewees

The evaluators prepared a preliminary list of 174 stakeholder organisations, with 65 potential stakeholders prioritised for further screening and 200 potential respondents (individuals or groups). From this list, roughly 100 interview and FGD partners and email respondents were preselected. Moreover, 150 potential questionnaire respondents were identified (a total sample of approximately 100 partner city staff and 50 CFF-affiliated team members), thereby addressing all actively cooperating personnel.

The interviewee groups were suggested by the evaluators following an assessment (based on CFF documents) of the participation frequency of stakeholders in CFF tasks and activities and the representativeness and coverage of all central stakeholder groups to achieve as much variation as possible. Specific interviewees were suggested by the CFF team and reconfirmed by the evaluators, except for some stakeholders identified directly by the evaluators. Selection criteria for individual interviewees were based on their level of information, their role in the CFF programme, their importance for responding to critical evaluation questions, their gender and their availability, willingness and ability to respond. The final decision on selected key informants was taken by the evaluators in coordination and with the consensus of the CFF team, and after initial interactions with selected interviewees.¹⁴

The scope of the project combined with time constraints presented a huge limitation, in particular when trying to cover the diverse stakeholders participating in the CFF programme. The online survey conducted reduced potential bias through anonymity, by expanding the respondent base and reinforcing the triangulation method.

¹² The interview guidelines, survey questionnaire and survey summary report were submitted separately to the GIZ CPE unit (Annex 3.A and B).

¹³ Evaluators were aware that the required representativeness would not be achieved through the survey. However, it was important to reach out to as many partner city staff members as possible and to identify tendencies in their opinions. For more details, see the separate Survey Report (Annex 3.B to this Evaluation Report). The evaluators were committed to the German Data Protection Regulation (DSGVO).

¹⁴ The password-protected list of interview partners was submitted to the GIZ CPE and CFF team separately (Annex 5).

Table 3: List of evaluation stakeholders and selected interviewees¹⁵

Organisation/company/ target group	Overall number of persons involved	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of email responses	No. of survey participants
Funders	3 (2 m – 1 f)	3 (2 m – 1 f)				
Category G:	BMZ, BEIS, USAID.					
GIZ-C40-CFF	40 (22 m – 18 f – 55%:45%f)	7 (4 m – 3 f)	27 (56%:44%)	4 (3 m – 1 f)	2 (f)	38 (55%:45%)
Category A – B – C – D:	CFF core team in Germany and UK, other CFF staff in Germany and UK, CFF team in selected countries/regions, incl. CFF SPA, GIZ DV, C40 REM and C40 RD.					
Partner city staff (direct target group)	approx. 85 (67%:33%f)	61 in 49 GIZ-CFF interviews (64%:36%)				31 (58%:42%)
Category E – F – I – J:	Partner cities' counterparts (PIUs, staff, etc.) and cities' political counterparts; beneficiaries of CD and K&L processes (all cities except for Hermosillo and Dakar).					
Other active stakeholders	10 (7m – 3f) (70%:30%f)	7 (5m – 2f)			3 (2m – 1f)	
Category H – K – L – M – N:	GIZ sectoral projects, other relevant GIZ projects (e.g. TUMI, Urban Mobility, Euroclima+), KfW sector departments. Other stakeholders (Asian Development Bank – ADB, CCFLA, Green Climate Fund – GCF, MiBus Panama City).					
Civil society and private sector actors	12 (5m – 7f) (42%:58%f)	2 (1m – 1f)			11 (5m – 6f)	
Category O:	Civil society organisations (CSOs), urban sector professionals, academics and private actors from Guadalajara, Mexico City, Bogotá, Tshwane, eThekweni, Dar es Salaam.					
Final beneficiaries' organisations (indirect target groups)	1 (m)				1 (m)	
Category P:	Organisations of final beneficiaries (Fundación GERO – ciclismo urbano, Bogotá)					

Note: f = female; m = male; The extent to which interview and survey participants overlapped is not known.

Data analysis process

The following methods were used for the data analysis (see also the methodology overview after each chapter related to the OECD/DAC criteria assessment):¹⁶

- Analysis of documents: summary of major results in an Excel table, corresponding to evaluation dimensions and including context, conflict and potential risk data.
- Interviews (including video interviews conducted by CFF): summary of major results in an Excel table, corresponding to evaluation dimensions and questions.
- Analysis of qualitative data: no specific tools, tabular summary of major results in specific grids.
- Analysis of quantitative data: comparative analysis using SPSS and Excel, differentiated by subgroup (e.g. CFF internal staff vs city staff, global regions and male-female).
- Adapted most significant change (MSC) method for identifying unintended results (ADB, 2009; USAID, 2016).
- Follow-the-money approach in which the efficiency tool was applied to analyse production efficiency.
- Social and environmental return on investment (seROI) analysis when analysing allocation efficiency (Better Evaluation, 2013).
- Contribution analysis, which followed the six steps recommended by GIZ (with a focus on the first four) and analysed as precisely as possible why results did or did not occur, and the role played by the project and external factors in achieving the results (GIZ, 2015b).
- Assessment of the long-term likelihood of partners and beneficiaries making a sustainable contribution to mitigating climate change: sustainability diagram (Binder et al, 2020).

¹⁵ Categories A to P (defined by the evaluators) corresponded to categories in the interviewee list.

¹⁶ All data analysis results (interview and FGD summaries, summary tables, etc.) remained with the evaluators. See also Bond et al (2016): Choosing Appropriate Evaluation Methods.

- Results triangulation: cross-verification of correspondence, complementarity or inconsistency of results from documents, qualitative and quantitative data collected and evaluators' opinions (if variations occurred).

Roles of international and local evaluators

The evaluation team consisted of a female international evaluator (team leader) based in Germany and a male international co-evaluator based in Colombia, both architects and urban planners with extensive experience in international development cooperation and monitoring and evaluation (M&E). The team leader was responsible for the Inception Report and had primary responsibility for the Evaluation Report. The co-evaluator participated in all evaluation steps, was responsible for the comparative analysis of international climate funding approaches and contributed to relevant parts of the Evaluation Report. Both evaluators continuously shared and discussed their opinions to foster research triangulation, and followed the DeGEval standards for evaluations (DeGEval, 2017, 2018).

Remote evaluation

Due to the COVID-19 pandemic, the evaluation was conducted in a remote setting (i.e. the evaluators were not present in the partner cities). All data collection methods were adapted to this situation.

Context and conflict sensitivity within the evaluation process

Conflict sensitivity refers to the extent to which the interplay between the conflict/fragile context and the intervention was considered, including the evaluation, with the goal of mitigating negative and escalating effects and strengthening positive, deescalating effects. The evaluators considered conflict sensitivity ('Do No Harm') during the evaluation process to avoid unintended (indirect) negative results and to avoid harming partners and stakeholders unintentionally. All interviews with civil society informants, for instance, took into account the possibility of unintentionally touching on sensitive issues that could lead to conflicts with city representatives.

4 Assessment according to OECD/DAC criteria

This chapter explains the basis and design for assessing each OECD/DAC criterion. It presents the assessment results of the CFF global programme (sections 4.2 to 4.8) and also refers to the CFF predecessor project (section 4.1) and the CFF follow-on project (section 4.9).

4.1 Impact and sustainability of predecessor projects

This section analyses and assesses the impact and sustainability of the predecessor project, i.e. the CFF pilot measures (PN 13.2099.3) and the CFF component of the Sector Project on Urbanisation, Municipal and Urban Development (PN 2017.2015.0). The assessment of the predecessor phase was based on the impact hypotheses and impact indicators summarised in the summary evaluation report for the CFF pilot phase (GIZ, 2018b), the CFF impact briefs (CFF, 2020i) and exit strategies (CFF, 2020k), as well as relevant SDGs and city climate goals. Analysis was conducted through a review of documents and interviews or email exchanges with external stakeholders. Triangulation of methods, results and researchers was employed for cross-checking.

Summarising assessment of predecessor project¹⁷

During the CFF pilot phase (December 2015 to July 2018), two projects were carried out: the Cycle Avenue Medio Milenio cycling project in Bogotá and the Eje 8 Zero Emission Corridor e-mobility project in Mexico City. As previously mentioned, the projects Electrifying Public Transport in Bangalore and Transformative Riverine Management Programme (TRMP) in eThekweni were also initiated, but were not finalised during the term of CFF pilot and were transferred to the CFF global programme.

The finalised project proposals for Bogotá and Mexico City have not been implemented or have only partly been implemented. The Bogotá project is still at the final design stage and implementation could start towards the end of 2021. The approach of the Mexico project has been totally changed by the new government and is now being implemented as a trolleybus line elevated on stilts along the same Eje 8 high-speed road. Nonetheless, both actions might have substantial impacts, although they may be only partially attributable to CFF. Investments related to the Medio Milenio bicycle lane and the Eje 8 elevated trolleybus line and e-bus projects amounted to approximately USD 324 million and are at least eight times higher than the envisaged USD 40 million for climate change mitigation (impact indicator 1). They are expected to contribute to mitigating GHG emissions with a reduction of at least 352,000 t CO₂e within 10 years, which is close to five times higher than the envisaged 75,000 t CO₂e (impact indicator 2). As the eThekweni climate resilience project feasibility study could not be completed during the pilot phase, significant investments in climate change adaptation of at least USD 20 million (impact indicator 3) have not materialised. Other expected impacts include improved health conditions, economic development and increased inclusion of women and vulnerable groups in urban transport.

The prospects of further impact and sustainability are promising. Both cities (Mexico City and Bogotá) are mobilising more investments in climate actions. CFF played a pivotal role in preparing the projects, providing capacity development, fostering knowledge exchange and accelerating the introduction of new technologies. One important result has been achieved at the level of C40 CFF itself, as stated by the CFF pilot phase evaluators (GIZ, 2018a:14): '...CFF has established initial operational support, capacity development, plans for knowledge generation/sharing and partnership management systems which are the basis of such a global model for quality project development and financial linkage for climate change projects'.

¹⁷ A more detailed assessment with all information sources was submitted separately to the GIZ CPE and the CFF team (Annex 3.C).

4.2 Relevance

This section analyses and assesses the relevance of the CFF global programme. It is structured according to the assessment dimensions in the GIZ project **evaluation matrix** (see Annex B).

Summarising assessment and rating of relevance

Table 4. Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating ¹⁸
Relevance	Alignment with policies and priorities	28 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	27 out of 30 points
	Appropriateness of the design	18 out of 20 points
	Adaptability – response to change	18 out of 20 points
Relevance total score and rating		Score: 91 out of 100 points Rating: Level 2: successful

There was strong alignment with the policies and priorities of BMZ, stakeholders and other development partners, as well as with the priorities of direct beneficiaries (city departments). The support provided by CFF to cities was unique. CFF was the only ‘independent broker’ focused on urban problems. The programme reacted to the needs of cities, and project development was city driven. In three cases, the CFF projects focused on adaptation (e.g. flood management), but most interventions were mitigation related. Citizens’ needs in terms of better urban services and infrastructure and increased resilience against climate-related risks and disasters were not always the primary driving force; instead, climate-action criteria were the central focus. The CFF programme design was fairly appropriate, but many cities commented on the short duration of the support and the fact that CFF would not support cities until financial transactions were finalised. CFF sufficiently considered political and government changes. The monitoring system available successfully averted challenges due to external changes. Project relevance was also confirmed by the city administration officials, who appreciated the TA, CD and K&L activities provided by CFF, and by citizens, whose quality of life is expected to improve through the CFF investments, e.g. by reducing CO₂e emissions and improving the overall environmental quality of their cities.

In total, the relevance of the project is rated as Level 2: successful, with 91 out of 100 points. For details, see the following sections.

Analysis and assessment of relevance

The relevance criterion analyses the extent to which CFF was aligned with the policies and priorities of BMZ and CFF’s strategic partners, i.e. BEIS, other development partners and the partner cities. It also addresses the extent to which the intervention was in line with urban development and climate policies, as well as the 2030 Agenda and the Paris Agreement. The analysis examined the extent to which the context, needs and priorities of the project stakeholders, partner cities and other relevant groups (e.g. potential final beneficiaries and users of climate action projects) were taken into account in the projects’ preparation and implementation process. This section also assesses whether the programme was designed appropriately and how and if the programme adequately responded to any changes in the environment that occurred over time.

¹⁸ The maximum score for each criterion is always 100. Maximum points allocated to each assessment dimension defined by the GIZ CPE unit. See also section 4.8.

The basis for assessment was the overall CFF programme design (results matrix and programme proposal document) and, in particular, the programme's objective indicators (e.g. impact indicator 2, reduction of GHG emissions), as well as module objective indicators. In addition, expected results at the level of direct and indirect beneficiaries were considered. Data on the relevance of CFF was gathered mainly from project documents provided by CFF and other documents identified by the evaluation team (see the list of references). Stakeholder interviews, FGDs and survey results were also considered.

Relevance – Dimension 1: Alignment with policies and priorities

The CFF programme was relevant in the context of international strategy documents such as the UN 2030 Agenda with the underlying principles of Leave No One Behind (LNOB), human rights and gender equality (UN, 2015a; UN-Habitat, 2020; BMZ, 2013). CFF was conceived with a strong emphasis on gender, in accordance with international good practices (see BMZ's Gender Action Plan 2016-2020¹⁹), and gender aspects were introduced to all partner cities. As far as possible, CFF took the Do-No-Harm approach advocated by many international organisations, including BMZ (OECD, 2010). The CFF approach was also aligned with the 2015 Paris Agreement (UN, 2015b, UNFFC web). Various BMZ documents (BMZ, 2014a, 2015a-b, 2016a, 2016d-f, 2017b-c, 2019b, 2020d) demonstrate BMZ's commitment to sustainable urban development and climate change in general, and the decarbonisation of urban transport and the energy sector specifically. Green finance or climate finance plays a special role in BMZ's strategies (BMZ, 2015a, 2018, 2020c, BMZ web). Similar positions are also taken by GIZ (GIZ, 2018), funding partners' strategies (DFID, 2020; UK Gov, 2020?; CIFF, 2020; USAID, 2012, 2019, 2020) and various multilateral or bilateral development banks.

The programme was also aligned with national and local priorities. All of the CFF programme's partner countries and cities developed their own climate change targets (UNFCCC 2016-2020; 2016-2018). Except for India and Tanzania, all countries are members of the NDC Partnership, which is open to countries and international institutions that are committed to the ambitious implementation of NDCs under the Paris Agreement and the SDGs.²⁰ The 13 CFF partner cities, which are members of C40, are committed to the C40 Leadership Standards, to demonstrating global climate leadership and to inspiring others to act in support of the Paris Agreement (C40, 2021:19). Local conflict contexts were considered during project preparation and monitored during the implementation process. The process by which cities applied to join the CFF programme ensured consistency and shared development orientation (CFF, 2017-2019).

CFF played the role of an 'independent broker'; it set out to identify the appropriate financing for projects at an advanced stage of preparation and to generate the necessary documentation for financing arrangements. It showed flexibility and a commitment to the cities' needs. The cities observed that no other project preparation facility (PPF) performs such an independent role (Int_11, 13, Int_20ff).

CFF contributed specifically to international priorities related to the use of renewable energy, decarbonisation of public transport, expanded mobility through shared public bicycle use, improved municipal solid waste management and flood reduction or protection through improved river basin management in the participating cities. The relevance of these sectors and the climate actions supported through CFF's contributions to the participating countries' NDCs has been highlighted in publications by international technical think tanks like WRI, which reported, for instance, that Colombia increased its climate action leadership role in 2020/2021²¹ and that Quezon City has committed to deliver on the Paris Agreement through local actions²². In some cities, CFF generated local sector policies and regulatory instruments, and even influenced national policies and guidelines (see section 4.4. on Effectiveness). Positive comments were made about donor alignment in several interviews (Int_01- 03, 06, 10, 13, FGD_01, 04). However, Int_02 said, '...NDCs and NAPs [national adaptation

¹⁹ <https://donortracker.org/node/11141> [06.05.2021].

²⁰ See the NDC Partnership website: ndcpartnership.org [09.12.2020].

²¹ <https://www.wri.org/blog/2021/02/colombia-ndc-shows-climate-action-leadership> [06.05.2021].

²² <https://tripleline.com/insight/article/working-with-quezon-city-on-its-mission-to-deliver-on-the-paris-agreement-at-the-local-level> [06.05.2021].

plans] rather highlight the need for adaptation and resilience, and this is an aspect that is underfunded by the international donor community'. C40 has also pointed to cities' need for 'increasing climate resilience and equity' (C40, 2021:19).

CFF complemented many bilateral projects and programmes, particularly those implemented by GIZ and funded by BMZ or the Federal Ministry of the Environment, Nature Conservation and Nuclear Safety (BMU), but also those of other donors, as has been pointed out repeatedly (FGD_01-04, Int_01-19) and reviewed in many documents. Therefore, CFF focused on reinforcing and enhancing global efforts to mainstream climate actions into urban agendas, not only through feasibility studies, as with many other initiatives, but through transaction support with potential funding agencies and the strengthening of horizontal exchanges between cities. As shown in Table 5, CFF was among the few programmes that provide assistance from project scoping through finance-ready project documentation to transaction support vis-à-vis financing institutions.

Table 5: Urban climate project preparation – transaction support

Entity / project	Project identification	Prefeasibility and feasibility studies	Transaction support	Financing agreements
C40 CFF (GIZ – BMZ – UK BEIS – USAID – CIFF)	Through cities' project application process	YES	YES	NO – links to various financial institutions
FELICITY (GIZ – BMU)	YES	Partly	YES	Preferential links to the European Investment Bank (EIB)
CDIA (GIZ – ADB)	YES	Only for ADB projects	Only for ADB	NO – links to other MDBs
LUCI (CCFLA – UNFCCC – BMU)	YES – through its partners	YES – through its partners	YES – through its partners	YES – through its partners, including CFF, FELICITY, Gap Fund, Local Governments for Sustainability (ICLEI), etc.
NAMA (GIZ – BMU – UK BEIS – Denmark – EU)	YES	YES	YES	NO – links to MDBs or other finance institutions
EUROCLIMA+ (GIZ – EU – BMZ)	YES	YES	YES	NO – links to MDBs and national dev. banks
GCF (Green Climate Fund)	NO – receives applications	YES – only with firm funding from accredited entities	NO	YES
GCoM (Global Covenant of Mayors for Climate and Energy)	YES	NO	NO	NO
Global Fund for Cities Development (FMDV)	YES	YES	NO	NO – intermediates with donors and investors
City Climate Finance Gap Fund	YES	Limited to prefeasibility studies	Feasibility study support from MDBs	YES – preferential links to EIB and World Bank
AFD (Agence Française de Développement)	NO – receives project proposals	For own projects	For own projects	YES
KfW (German Development Bank)	YES – for own financing	For own projects	For own projects	YES
UN-Habitat	YES	NO	NO	NO
ICLEI (Local Governments for Sustainability)	YES	NO	NO	NO
Multilateral development banks (MDBs)	YES and receive project proposals from national governments	For own projects	For own projects	ADB, AfDB, AIIB, BOAD, CABEL, CAF, CDB, EBRD, EIB, IDB, NDB ²³ , WB ²⁴
US International Development Finance (DFC)	NO – receives project proposals	For own projects	For own projects	YES
United Nations Capital Development Fund (UNCDF)	NO – receives project proposals	For own projects	For own projects	YES

²³ Only for BRICS countries: Brazil, Russia, India, China and South Africa – NDB is a multilateral development bank established by the BRICS states.

²⁴ Asian Development Bank (ADB), African Development Bank (AfDB), Asian Infrastructure Investment Bank (AIIB), Banque Ouest Africaine de Développement (BOAD), Development Bank of Latin America (CAF), Central American Bank for Economic Integration (CABEL), Caribbean Development Bank (CDB), European Bank for Reconstruction and Development (EBRD), European Investment Bank (EIB), Inter-American Development Bank (IDB), New Development Bank (NDB), World Bank (WB).

Entity / project	Project identification	Prefeasibility and feasibility studies	Transaction support	Financing agreements
Cities Alliance	Yes	Yes	NO	NO
Bilateral donors	Partly	For own projects	For own projects	For own projects
Private sector	Partly	For own projects	For own projects	For own projects

Source: evaluators' direct knowledge of these projects and financing institutions (see also the list of references and websites; UN-Habitat, 2020:218f).

We concluded that there was strong alignment with global, regional and country-specific policies and the priorities of the project funders, stakeholders and other development partners, as well as the priorities of direct beneficiaries (municipal/city departments and planning sections), with a few areas for improvement (e.g. CFF's contribution to LNOB issues and reducing social and economic inequalities in cities, in particular related to informality and the informal sector; consideration of exposure to climate hazards and awareness of conflict and fragility in some of the partner cities/countries), although these were largely outweighed by the positive aspects of alignment, which was geared towards solving a global challenge.

Relevance dimension 1 – Alignment with policies and priorities – scores **28 out of 30 points**.

Relevance – Dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders

The main basis for assessment of this dimension was the Participatory Development / Good Governance (PD/GG) marker defined with PD/GG-2 in the CFF programme proposal. According to BMZ (2017d:6), a project marked as PD/GG-2 aims to promote elements of participatory development, democratisation, good governance or respect for human rights at impact level. CFF also had the AO-1 marker, which means that poverty reduction was a significant objective of the development intervention, and the GG-1 marker, which means that gender equality was also a significant objective (BMZ, 2017d: 6, 37, 4).

The urban poor face greater exposure to environmental hazards caused by climate change and suffer increased health risks as a result. Addressing inequalities is key to achieving sustainable urban development (UN DESA, 2019:3-4). The CFF programme implemented due diligence analyses in each of the participating cities and capacity assessments in almost all cities. The due diligence analyses considered the cities' own target group assessments, when available, but focused on cities' GHG emissions and institutional context and capacities. However, the CFF application process evaluated the social co-benefits of proposed projects in terms of inclusivity, gender equality, citizen health, job creation and economic development (CFF, 2018d: Annex 2). The partner cities incorporated the concerns of citizens and vulnerable groups into their initial project proposals (see, for instance GoK, 2019; C40 CFF, 2019c; C40 CFF, 2020a). In the CFF-conducted evaluation interviews, some city representatives commented that there would be a need to focus more on co-benefits, e.g. to get more national funding and provide evidence to the community (Int_20, 65). The CD analyses, which led to the formulation of CD plans and implementation of CD measures, included the financial, technical, institutional and organisational needs of city administrations. The capacity assessment reports available to the evaluators indicated the importance of the concerns of citizens or final beneficiaries in city-level CD strategies (e.g. Dar es Salaam).

The CFF programme reached out to the C40 members and other selected cities, the staff of partner city departments (direct beneficiaries) and other stakeholders, e.g. relevant government, private and donor institutions, and also some NGOs and selected representatives of final beneficiaries (expected project users). The FGDs and many interviews with leading CFF actors pointed to the fact that CFF was unique and highly relevant for the partner cities (FGD_01-04, Int_03, Int_05, Int_13, Int_20ff), since it engaged with cities directly to offer project formulation services that would otherwise not have been available to them (this was also widely confirmed by the survey, questions Q11, Q16-18). The CFF programme aimed to provide an enabling environment for innovative projects in strategic climate interventions. The gender concept was considered highly relevant, and for many cities it became a real 'eye opener' to gender needs (FGD_01, Int_12). The CFF

Photo 1: River blocked by waste in Dar es Salaam²⁵



Photo 2: Cyclists using a bike lane in Bogotá²⁶



programme was aligned with the needs of its beneficiaries and stakeholders with respect to introducing climate-relevant innovations and improving services in the fields addressed (Int_20ff).

In many cases, citizen participation was not high, as some municipalities did not feel it was necessary and some of the CFF teams did not feel they were authorised to take action in this regard; however, citizens were consulted in most projects (FGD_01-04). Alignment with the needs and capacities of particularly disadvantaged and vulnerable populations was often guided by the perspectives of municipal and project staff rather than directly by these groups. In the climate change adaptation projects, however, there was strong alignment with their organisations (e.g. waste pickers and cooperatives) and, in the case of the Tshwane NMT project, there was alignment with the priorities of the cycling association in Mamelodi (a poor neighbourhood). Moreover, Colombia's PBS projects demonstrated a high degree of demand orientation; the local SPAs were key to ensuring this. (FGD_03, Int_06, Int_21-23, 43-46, 59-60, EE_05, 09, 11, 13). Almost all formulated project proposals addressed gender and socioeconomic issues (CFF, 2021e).

We concluded that the support CFF provided to cities was unique. CFF was the only 'independent broker' focused on urban problems. CFF reacted to cities' needs, and project development was city driven. The needs and capacities of particularly disadvantaged groups may not have been the primary focus, but were addressed in the objectives of CFF and in most feasibility studies presented by the cities. Poverty reduction was tackled, at least indirectly, but could have been highlighted more explicitly. In terms of promoting good governance, more transparency towards citizens would have been advisable.

Relevance dimension 2 – Alignment with the needs and capacities of the beneficiaries and stakeholders – scores **27 out of 30 points**.

Relevance – Dimension 3: Appropriateness of the design

The assessment of the quality of the design (results or intervention logic) led to the following observations: (i) the assumed hypotheses were plausible, verifiable and captured in the CFF results matrix and monitoring tools, (ii) the extent and quality of the evidence base for the results model was strong, (iii) the results model was complete, and (iv) the assumptions were sufficiently presented and risks considered. This was further substantiated in some FGDs and interviews (FGD_01-04, Int_10). False expectations were sometimes raised due to the name of CFF ('finance facility') and the defined outcome ('cities are in a better position to access finance'). There were also comments that CFF had been spread too widely, thematically speaking (Int_01). Furthermore, some interviewees asked for a better mix of mitigation and adaptation (Int_02, 06, 08, 11). Several informants stated that some of the selected projects were very complex (e.g. Durban and Dar es

²⁵ Copyright: CFF, 2020, by CPR.

²⁶ Copyright: CFF, 2020, by GIZ.

Salaam). This complexity could not be anticipated during the programme planning process and thus could not be reflected in the indicator values. Moreover, the design did not sufficiently consider cities' 'handholding' and TA needs during tendering or when negotiating with concrete financiers, a process that is key to achieving finance readiness.

The evaluators observed that the system boundary was well defined and plausible; however, there was vagueness in terms of the responsibility for certain results, such as strengthening partnerships, improving policy frameworks, awareness-raising among financiers and harmonising PPFs (CFF document review).

The evaluators also observed that the module objective defining the programme's outcome could be stretched arbitrarily (e.g. when do cities achieve a 'better position to access finance?'), but was sufficiently limited by the indicators, except for the LNOB dimension. SDGs and NDCs were mentioned at outcome level but referred to expected changes at impact level. However, at impact level, CFF did not relate to the SDGs beyond the climate change dimension. Differentiation of the ToC regarding the expected results of CFF for different target groups under different contexts was not sufficient (e.g. final target groups were not explicitly considered). One of the survey participants stated, 'CFF needs a complete overhaul in terms of how it engages with cities and the value it brings. (...) Only using GHG reduction as a basis for measuring impact is not realistic or practical' (survey Q49). Neither the PD/GG-2 marker for good governance nor the AO-1 marker for poverty reduction was reflected at outcome or impact level, unlike the GG-1 marker for gender. However, the hypotheses on potential results were established (see Chapter 2.2).

CFF did not sufficiently highlight the living conditions of the urban poor or possible alternatives in terms of green infrastructure solutions as part of a holistic approach to urban development²⁷, as reflected in the city-level project documentation and expressed by some informants (Int_03, 05, 06, 11). However, there were also positive examples, as reflected in the integral approach of the adaptation projects and the incorporation of gender and social issues in the mitigation projects.

In conclusion, the design was appropriate, but the fact that CFF did not support all projects until transactions were finalised and that some CFF projects appeared more 'single-sector' focused than holistic, with limited emphasis on the needs (and feedback) of the intended beneficiaries, represented missed opportunities. However, in our view, the positive aspects of the CFF programme design largely outweighed the negative aspects.

Relevance dimension 3 – Appropriateness of the design – scores **18 out of 20 points**.

Relevance – Dimension 4: Adaptability – response to change

With regard to whether the conceptual and operational design of CFF was sufficiently adapted to changes and adjustments, the evaluators confirmed that CFF had detailed risk monitoring and an immediate risk response system, which led to positive results. A thorough risk analysis was integrated into the M&E system. The project team monitored and addressed risks appropriately and even adapted to the COVID-19 crisis (CFF City Trackers, CapDev and K&L trackers, Monitoring dashboard, 2021).

The risks relating to political changes were sometimes underestimated (see tables 7 and 8 in the section on conflict sensitivity below). In some cities, political changes were more drastic and challenging, and called for greater involvement of the C40 RDs (FGD_01, 04, Int_03, 05, 06, 08, 14, document review).

²⁷ See, for instance: holistic approaches (social inclusiveness, biodiversity, green infrastructure) of the regional development banks and other stakeholders (IDB-AfDB-ADB-EBRD, 2019; ADB, 2020; AFD, 2020a-b; IDB, 2020; UN Habitat, 2020; SCC, 2020; USAID, 2019-2020); inclusive and green city-oriented C40 approach (C40, 2019a-b; C40 and MMC, 2021); the 'right to the city' approach (www.hic-net.org/presenting-the-book-publication-towards-adherence-to-human-rights-and-the-right-to-the-city/).

In conclusion, the extent to which the CFF programme sufficiently considered political and government changes was assessed positively by the evaluators, although there were minor areas for improvement. The monitoring system, in particular the risk assessments built into the City Trackers, helped averted challenges posed by external changes, and C40 RDs managed the relationships with key stakeholders.

Relevance dimension 4 – Adaptability – response to change – scores **18 out of 20 points**.

Methodology for assessing relevance

Table 6: Methodology for assessing OECD/DAC criterion: relevance

Relevance assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Alignment with policies and priorities	<ul style="list-style-type: none"> • BMZ sector concepts and strategies • Partner strategies • Climate change strategies • GIZ frameworks 	Evaluation design: <ul style="list-style-type: none"> • Analytical questions from the evaluation matrix • Document/method triangulation Empirical methods: <ul style="list-style-type: none"> • Mainly analysis of documents 	Data quality: <ul style="list-style-type: none"> • Availability of data: strong • Collection of additional data: yes • Data triangulation: yes • Evidence strength: strong Possible limitations: <ul style="list-style-type: none"> • Huge number of publications vs. time constraints
Alignment with the needs and capacities of the beneficiaries and stakeholders	Marker PD/GG = 2, AO-1, GG-1; Module objective, expected outcome and outputs	Evaluation design: <ul style="list-style-type: none"> • Analytical questions from the evaluation matrix • Document/method triangulation Empirical methods: <ul style="list-style-type: none"> • Analysis of documents • Questions for stakeholders • FGDs with CFF staff • CFF interviews with city representatives • Online survey 	Data quality: <ul style="list-style-type: none"> • Availability of data: strong • Collection of additional data: yes • Representation of specific stakeholders/groups: moderate • Data triangulation: yes • Evidence strength: strong Possible limitations: <ul style="list-style-type: none"> • Limited/no access to indirect beneficiaries >> balanced through interviews with CSOs
Appropriateness of the design	Programme design documents, results matrix, results model	Evaluation design: <ul style="list-style-type: none"> • Analytical questions from the evaluation matrix Empirical methods: <ul style="list-style-type: none"> • Mainly analysis of documents 	Data quality: <ul style="list-style-type: none"> • Availability of data: strong • Collection of additional data: yes • Evidence strength: strong Possible limitations: <ul style="list-style-type: none"> • Not expected
Adaptability – response to change	Official change offers; assumptions and risks	Evaluation design: <ul style="list-style-type: none"> • Evaluation matrix, context analysis Empirical methods: <ul style="list-style-type: none"> • Same as above 	<ul style="list-style-type: none"> • Same as above

Conflict sensitivity in the project design

Categorised with a FS-0 marker, CFF did not focus on country fragility. However, cities' fragile political contexts, conflicts and project implementation risks were assessed and considered during project preparation and thoroughly monitored during implementation. More emphasis could have been placed on a Do-No-Harm approach (OECD, 2010:10) during implementation of the CFF programme, and the PD/GG-2 requirements could also have been addressed. The following tables present the relevant escalating and deescalating factors²⁸ and their inclusion in the project's design and implementation.

²⁸ Dividers and escalating factors are negative factors that increase tensions between people or groups, reduce their ability to resolve conflicts non-violently and may lead to violent conflicts. Connectors and deescalating factors are positive factors that reduce tensions between people or groups, improve cohesion and promote constructive collaboration (GSDRC, 2017:14). For more details, see: <https://gsdrc.org/topic-guides/conflict-analysis/core-elements/> [14.05.2021].

Table 7: Dividers/escalating factors in the project context

Which escalating factors/dividers were identified in the project context?	Addressed by the project? (yes/no)	If addressed, how is it considered by the project design?
Public opposition (e.g. in Quito over the government's removal of petrol subsidies, October 2019; groups that opposed the project in Monterrey, mentioned in the project risk monitoring matrix, Nov 2020).	Yes	Risk assessment and mitigation (e.g. risk monitoring, definition of an escalation route and adaptation of project activities to the specific situation; in Quito, CFF provided technical advice for adapting fare calculations and implementing conflict resolution processes; in Monterrey, CFF provided support through a negotiation strategy before communicating the project to local transport operators and neighbourhood groups).
Changes in local government priorities after elections; conflicts between political wings.	Yes	Risk assessment and mitigation (e.g. adapting the communication strategy, transmitting conflict resolution tools and renegotiating the specific project with new authorities, such as in Bogotá and Mexico City); direct communication with the mayor (in eThekweni); strong involvement of city council (in Tshwane).
Organised crime, urban violence; In the case of Bogotá, violence against female cyclists is a serious concern; Harassment of women on public transport is an issue in all public transport related projects; Accidents affecting cyclists are another example of safety risks in public spaces (e.g. Tshwane and Colombian cities).	Yes, to some extent	Risk assessment and mitigation in eThekweni (e.g. maintaining a clear boundary between the CFF business case-based project and municipal operations projects, so that no risk-generating dependencies were created). In Bogotá, the gender assessment aimed to understand and propose ways to address the issue of violence against female cyclists; during the 50-50 gender workshops, female-friendly design features were discussed; cycling-advocacy NGOs in particular are establishing mitigation measures. Measures against gender-based violence on public transport have been incorporated in several cities (e.g. Jakarta, Bangalore, Quito and the Mexican cluster). Improving the safety and security of cyclists and pedestrians was an issue in the Tshwane NMT project.

Table 8: Deescalating factors/connectors in the project context

Which deescalating factors/connectors were identified in the project context?	Addressed by the project? (yes/no)	If addressed, how is it considered by the project design?
Dialogue between city administrations and citizens	Yes	Incorporation of citizens' needs; good governance approach
Participation of vulnerable groups	Yes	Incorporation of vulnerable citizens' needs; good governance approach
Participation of women	Yes	Incorporation of gender perspectives

4.3 Coherence

This section analyses and assesses the coherence of the CFF programme. It is structured according to the assessment dimensions in the GIZ project **evaluation matrix** (see Annex B).

Summarising assessment and rating of coherence

Table 9. Rating of OECD/DAC criterion: coherence

Criterion	Assessment dimension	Score and rating
Coherence	Internal Coherence	46 out of 50 points
	External Coherence	46 out of 50 points
Overall score and rating		Score: 92 out of 100 points Rating: Level 1: highly successful

CFF's coherence is demonstrated by high levels of coordination and complementarity with German and international development cooperation instruments. It complemented and supported the cities' own efforts at local and regional level. This was ensured through the participation of GIZ DVs and C40 RDs. C40 CFF is currently a co-chair of the CCFLA Project Preparation Action Group and the fact that it receives strong donor support provides clear evidence of CFF's external coherence and acceptance. The coordination and complementarity could have been improved through more visibility; and PAG could have supported CFF in achieving a higher level of synergy with other cooperation projects.

In total, the coherence of the project is rated as Level 1: highly successful, with 92 out of 100 points. Refer to details in the following sections.

Analysis and assessment of coherence

The basis for the assessment of the coherence criterion included the actions carried out by German cooperation in the areas of climate change and urban development, mainly through BMZ, but also through BMU and the Federal Ministry of Economic Affairs and Energy (BMWi), as well as GIZ and KfW (internal coherence). In terms of external coherence, the activities of other important institutions and organisations were considered, including the relevant project partners and partner cities themselves. Relevant global commitments (e.g. the 2030 Agenda and the Paris Agreement) were taken into consideration, guided by the question of whether the CFF programme activities contributed to strengthening synergies between the different actors involved. Coherence analysis was conducted mainly through a review of documents, but also took account of information provided by relevant stakeholders.

Coherence – Dimension 1: Internal Coherence

The CFF programme demonstrated coordination and complementarity with German development cooperation and was consistent with the international and national norms and standards to which German cooperation is committed, as evidenced by its alignment with the 2030 Agenda (in particular SDGs 13 and 11), the Paris Agreement, the Convention on Human Rights and several BMZ strategies (BMZ 2007, 2013, 2014a-b, 2015a-b, 2016a-f, 2017a-c, 2018, 2019a-b, 2020a, c-d, GIZ 2018h, 2020d). It was in line with the basic principles of the German government's policy on climate change, i.e. to limit the rise in global temperature to 2°C while supporting developing and emerging countries in their adaptation efforts. It was coherent with other German cooperation projects funded by BMZ, BMU and the Federal Ministry of Economic Affairs and Energy (BMWi), and implemented by GIZ or KfW (Int_07, 09, 10, 11, 13, 14, 15, 19; FGD_01, 03).

The project's commitment to poverty reduction (SDG 1, among others) and the New Urban Agenda (NUA) in terms of quality of life and prosperity for all (UN-Habitat, 2017: iv) was less explicit. The due diligence reports

show that socioeconomic analysis of the target groups of the interventions was often lacking (CFF, 2017-2019). However, almost all project packages addressed social and gender issues; some related explicitly to the improvement of livelihoods for poor populations (CFF, 2021e).

The evaluation concluded that internal coherence was supported by a high level of coordination and complementarity at local, regional, national and international level; this was sustained through the presence of BMZ in PAG, and the participation of GIZ DVs and their interlinkage to other German cooperation projects in the project country or region. The coordination and complementarity could have been improved through more visibility and more commitment to poverty-related SDGs and the New Urban Agenda (NUA).

Coherence dimension 1 – Internal Coherence – scores **46 out of 50 points**.

Coherence – Dimension 2: External Coherence

Worldwide, a growing number of cities are committed to environmental action and the creation of corresponding initiatives²⁹. There is therefore an increasing need to finance the climate actions of cities, particularly in the Global South, and a growing willingness among donors to address this funding gap.³⁰ CFF is coherent and coordinating with these initiatives (see also Figure 1 and Table 5). CFF demonstrated a high level of subsidiarity and partner commitment, as revealed by comments from many interviews and online survey results, for instance: ‘C40 has a very close relationship with the political level of cities...; there is less bureaucracy; most of the other PPFs interact and establish agreements at national level, then address the cities...’ (Int_06). Nevertheless, the online survey results also seem to reflect some criticism concerning coherence at city level (online survey, Q11-15). A similar view was echoed in the following statement: ‘It is not clear how CFF city projects are embedded in the CAP process. There is a need for joint strategies and also integration of C40 and GIZ resources’ (Int_03). However, this kind of assessment represented a minority view.

There is strong documentary evidence that the design and implementation of the intervention were coordinated with other donors’ activities and with the partners (CFF programme proposal and progress reports, review of other donors’ projects). The harmonisation of climate funding applications by PPFs is one example of the synergies created (CFF progress reports). There was coherence with international project formulation, ToC, M&E instruments and common methods for calculating GHG emissions. The ToC approach and logframes were used as design and monitoring instruments, though one informant felt that logframe monitoring was not frequent enough (Int_12). One partner city even suggested that M&E measures be extended to post-CFF implementation ‘...to allow further mentoring (...), if needed.’ (survey, Q49). It was also commented that ‘the scientific methodology for calculating GHG reductions is still not finalised; more work needs to be done...’ (Int_13), and that ‘CFF should make clear that climate target calculations depend on many assumptions...’ (Int_09).

With reference to flood management in some African cities, it was mentioned that these essential adaptation investments, highlighted in the partner cities’ action plans, should be given greater priority (Int_02). Coordination with C40’s CAP programme seems not always optimal, as also noted by other stakeholders (Int_03, 05, 06, 11). It was also observed that ‘CFF delivery partners did not sufficiently cover the political advocacy of the programme vis-à-vis the British embassies’ (Int_12), and it was noted that political communication with the mayors through the ambassadors was not always fully exploited (Int_16). This poses the question of whether advocacy mechanisms could have been improved.

Common systems for M&E, learning and accountability were not always fully exploited with the C40 partner. One CFF group mentioned ‘some internal difficulties between GIZ and C40, mainly regarding differences in file

²⁹ See, for instance, www.cdp.net/en/cities/cities-scores [19.02.2021]; Global Covenant of Mayors for Climate & Energy, Cities Climate Finance Leadership Alliance, ICLEI, UCLG, Metropolis, among others (list of corresponding websites in the references section).

³⁰ See the respective websites in the list of references: Climate Investment Funds, City Climate Finance Gap Fund, Green Climate Fund, NAMA Facility, etc., as well as AFD, ADB, AfDB, BEIS, BMZ, CDIA, EBRD, EIB, EU, GIZ, IDB, KfW, UN-Habitat, World Bank, etc.

management' (FGD_02), while others experienced GIZ procurement procedures as 'too demanding' (Int_01, 08). On the other hand, the M&E system was considered good (Int_06) and the evaluators rated it as excellent.

The overall assessment of the external coherence of CFF was positive. C40 CFF is currently co-chair of the CCFLA Project Preparation Action Group, and always sought to connect other organisations and stakeholders to CFF outputs (EE_01). The fact that CFF maintained strong donor support provides clear evidence of its external coherence and acceptance. PAG could possibly have supported CFF in achieving a higher level of complementarity and synergy, particularly in view of the fact that the development cooperation landscape related to climate change changes daily.

Coherence dimension 2 – External Coherence – scores **46 out of 50 points**.

Methodology for assessing coherence

Table 10: Methodology for assessing OECD/DAC criterion: coherence

Coherence: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Internal coherence	<ul style="list-style-type: none"> German cooperation in relevant areas Division of tasks and synergies Cross-cutting issues 	Evaluation design: <ul style="list-style-type: none"> Analytical questions from the evaluation matrix Document/method triangulation 	Data quality: <ul style="list-style-type: none"> Availability of data: strong Additional data: strong Possibility of data/method triangulation: yes Evidence strength: strong
External coherence	<ul style="list-style-type: none"> Partner participation and ownership International cooperation and global commitments Division of tasks, synergies 	Empirical methods: <ul style="list-style-type: none"> Review of documents Interviews with stakeholders 	Possible limitations: <ul style="list-style-type: none"> Huge number of documents and available information vs. time constraints

4.4 Effectiveness

This section analyses and assesses the effectiveness of the CFF programme. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex B).

Summarising assessment and rating of effectiveness

Table 11. Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	Achievement of the (intended) objectives	28 out of 30 points
	Contribution to achievement of objectives	25 out of 30 points
	Quality of implementation	19 out of 20 points
	Unintended results	19 out of 20 points
Overall score and rating		Score: 91 out of 100 points Rating: Level 2: successful

CFF achieved the expected outcome (module objective) in several dimensions: 17 cities participated directly in the CFF programme and benefited from support for their project feasibility studies. They also received substantial CD support and participated in K&L exchanges. Around 174 other cities participated in the different K&L activities (workshops, webinars etc.). The evaluation results indicate that the 17 directly benefiting cities in particular are now in a much better position to receive funding, at least for the climate action projects supported by CFF. The contribution analysis suggests that the contribution of CFF to the outcome was decisive, but there were obviously significant inputs from the city officials themselves (and, in some cases, from representatives of other levels of government) and other stakeholders. The CFF programme team applied the six GIZ Capacity Works criteria, which led to a high quality of implementation. There was evidence of the contribution of CFF to

other important positive results that were not explicitly intended (e.g. orientation to political and legal frameworks, cooperation and coordination between different sectors and levels of government, as well as between city administrations and civil society organisations (CSOs), and development of ‘communities of practice’). Unintended negative effects that could have hampered the achievement of CFF’s outcomes were not identified.

In total, the effectiveness of the project is rated Level 2: successful, with 91 out of 100 points. More details are provided in the following sections.

Analysis and assessment of effectiveness

Effectiveness – Dimension 1: Achievement of the (intended) objectives

The basis for analysing the achievement of the (intended) objectives was the CFF results matrix with defined activities, outputs and outcome, the respective indicators and defined assumptions and risks. Results analysis was conducted mainly on the basis of CFF reports and the M&E system, cross-checked with information obtained from the review of other documents (e.g. current online news), interviews and FGDs with stakeholders, the online survey and study of selected city cases. The evaluators frequently exchanged opinions. This combination of different methods made it possible to carry out triangulation of documents, methods, data and research.

The objective of CFF was to enable the partner cities and other participating cities to better access funding for sustainable climate action projects, thus contributing to the SDGs and their countries’ NDCs. The outcome indicators of CFF were widely achieved as originally planned³¹ (CFF, 2021e, 2021c; K&L monitoring sheet in CFF, 2021h) – see Table 12. As summarised in Annex A, CFF also contributed to several SDGs.

Table 12: Assessed and adapted objective indicators (outcome level)

Objective indicators of the project according to the last change offer	Assessment according to SMART criteria	Specified objective indicator <i>[Red italics: specified by evaluators]</i>
<p>A: 12 cities, including three non-C40 cities as part of two city clusters, each submitted a robust climate action project, designed to contribute to the SDGs and NDCs, to prioritised public and financial institutions, and fulfilled their respective financial and sustainability requirements.</p> <p>Base value (08/2019): 0 Target value (03/2021): 12 project proposals Current value (05/2021): 13 sets of project proposal documents finalised Achievement in % (05/2021): 108% Source: CFF M&E system 05/2021</p>	<p>SMART:</p> <ul style="list-style-type: none"> • Specific: yes • Measurable: yes (assuming that finalised project proposals submitted to finance institutions are counted) • Achievable: yes • Relevant: yes • Time-bound: yes (assuming that achievement is expected at the end of CFF programme) 	<p>A: <i>[no change]</i></p> <p>Base value (08/2019): 0 Target value (03/2021): 12 project proposals <i>submitted to finance institutions, tendered on a private public partnership (PPP) basis, reflected in city budgets; three proposals from non-C40 cities.</i></p> <p>Current value (05/2021): 16 project proposals are completed and two almost completed (TOTAL: 18), of which 13 are likely to be implemented (three from non-C40 cities). Achievement in % (05/2021): 108% Source: CFF M&E system 05/2021</p>
<p>B: A total of 24 city officials from 12 CFF partner cities provided a specific example of how capacity gained through CFF engagement has helped them structure climate action projects outside of the projects in which CFF were directly involved.</p> <p>Base value (08/2019): 0 Target value (03/2021): 24 senior city officials (disaggregated by gender) gave one example each Current value (05/2021): 38 senior city officials from 15 partner cities Achievement in % (05/2021): 158% Source: CFF M&E system 05/2021</p>	<p>SMART:</p> <ul style="list-style-type: none"> • Specific: yes (assuming that ‘project structuring’ refers also to potential projects / project ideas) • Measurable: yes • Achievable: yes • Relevant: yes • Time-bound: yes (assuming that achievement is expected at the end of CFF programme) 	<p>B: <i>[no change]</i></p> <p>Base value (08/2019): 0 Target value (03/2021): 24 senior city officials <i>(at least 30% of whom were female) from at least 12 partner cities</i> gave one example each.</p> <p>Current value (05/2021): 38 senior city officials (24 m – 14/37% f) from 15 partner cities gave at least one example each. Achievement in % (05/2021): 158% Source: CFF M&E system 05/2021 [Note: Most of the quotes substantiating outcome indicator B refer to future plans and not to concrete new projects (Int_20-68; CFF CD monitoring, 2021g).]</p>

³¹ The project results matrix with the achievement of indicators was submitted separately to the GIZ CPE Unit and the CFF team (Annex 1).

Objective indicators of the project according to the last change offer	Assessment according to SMART criteria	Specified objective indicator <i>[Red italics: specified by evaluators]</i>
<p>C: Nine CFF-supported project concepts addressed the recommendations of their respective gender analysis.</p> <p>Base value (08/2019): 0 Target value (03/2021): nine supported project concepts addressed recommendations of their respective gender analysis. Current value (05/2021): 16 project concepts reflect the results of gender analyses</p> <p>Achievement in % (05/2021): 178% Source: CFF M&E system and project proposal packages 05/2021</p>	<p>SMART:</p> <ul style="list-style-type: none"> • Specific: yes • Measurable: yes (assuming that final project concepts are reviewed) • Achievable: yes • Relevant: yes • Time-bound: yes (by the end of the CFF programme) 	N/A
<p>D: 11 learning formats (e.g. workshops, webinars, online tutorials, conferences and exchange platforms) based on CFF experiences were found useful by 70% of the respective attendees from cities (50% of them from non-C40 cities), policymakers and development organisations for accessing finance for climate action projects in cities around the world.</p> <p>Base value (08/2019): 0 Target value (03/2021): 11 learning formats each found useful by 70% of respective attendees</p> <p>Current value (05/2021): 14 learning formats, at least 70% of which were found useful by participants Achievement in % (05/2021): 127% Source: CFF K&L monitoring 05/2021</p>	<p>Partly SMART:</p> <ul style="list-style-type: none"> • Specific: yes (assuming that 70% refers to those attendees who provided a response, and not to all participants) • Measurable: yes (but requires accurate participant records and brief evaluations at the end of each learning format, which is not always achievable at international conferences or webinars) • Achievable: yes • Relevant: yes • Time-bound: yes (assuming that achievement is expected at the end of the CFF programme) 	<p>D: <i>[no change]</i></p> <p>Base value (08/2019): 0 Target value (03/2021): 11 learning formats each found useful by 70% of respective attendees (<i>at least 30% of whom were female³² and 50% were from non-C40 cities, policymakers etc.</i>).</p> <p>Current value (05/2021): 14 formats found useful by an average of 98% of respondents (average response rate of 67%); attendees represented 67% of non-C40 cities and approximately 53% of attendees were women (compared to the overall percentage of female attendees in CD activities of 36%). Achievement in % (05/2021): 127% Source: CFF K&L monitoring 05/2021</p>
<p>E: To ensure long-term financial sustainability beyond the current phase of operations, the CFF leveraged an additional contribution in cash or kind of EUR 10 million to enable cities to access finance for climate action projects.</p> <p>Base value (08/2019): 0 Target value (03/2021): EUR 10 million</p> <p>Current value (04/2021): EUR 7.35 million (BMZ for CFF follow-on project and CIFF for the finalising CFF global programme) Achievement in % (04/2021): 74% Source: CFF M&E system 05/2021</p>	<p>SMART:</p> <ul style="list-style-type: none"> • Specific: yes • Measurable: yes (but potential in-kind contributions are difficult to quantify in euros) • Achievable: yes (previous experience with BEIS) • Relevant: yes • Time-bound: yes (at the end of CFF programme) 	<p>E: <i>[no change]</i></p> <p>Base value (08/2019): 0 Target value (03/2021): EUR 10 million (<i>in cash</i>)</p> <p>Current value (05/2021) for the follow-on project: BMZ funds of EUR 6.5 million; BEIS funding of EUR 14 million unofficially confirmed in May 2021; other contributions (AFD, USAID, EU) in negotiation; no information on contribution in kind yet. Achievement in % (05/2021): 205% Source: CFF M&E system 05/2021; CFF information early June</p>

The CFF programme had an FS-0 marker and did not need to follow the fragile states requirement. Nonetheless, it strengthened deescalating factors where relevant, e.g. in Quito and Durban (Int_06, FGD_01). The survey results also suggest that CFF participated in a few conflict mitigation processes (Q32).

The evaluation team came to the conclusion that project objective **indicators A to D were fully achieved** by the end of the programme. Project **indicator E was partly achieved** by the end of the programme, but fully achieved by mid-May 2021. The overall completion rate was 100%, with a slight delay (deduction of one point).

Effectiveness dimension 1 – Achievement of the (intended) objectives – scores **29 out of 30 points**.

³² This was proposed by the evaluation team to obtain an idea of participants' gender distribution. The evaluators' experience suggested that female and male respondents provide different perspectives on usefulness of knowledge. Whereas male respondents likely focus on technical knowledge and issues (e.g. related to infrastructure or hardware), female respondents might stress the application and practicability of the knowledge received (e.g. related to beneficiaries and soft components).

Effectiveness – Dimension 2: Contribution to achievement of objectives

The basis for the analysis of the CFF programme's contribution to the achievement of objectives were the CFF results hypotheses constructed by the evaluators and discussed with the project team during the inception phase. The contribution analysis assessed causal links between input, output and outcome and was fuelled by the information (evidence) received, including documents, interviews and FGDs with stakeholders, the online survey and study of selected city cases, including triangulation.

The following central questions guided the contribution analysis: 1) What are the key results of the programme? 2) Were the results (outputs) of the programme sufficient to achieve its objective (outcome), or were there other decisive contributions or external factors that contributed to its achievement? In terms of the specific CFF outputs (refer to the output indicators in Table 22 and section 4.6 on Efficiency), the questions led us to the answers presented below.

- **Output A – Project preparation and access to finance:**

Twelve C40 member cities and five non-member cities directly participated in the CFF programme and benefited from support for their project feasibility (14) or prefeasibility studies (2), or to the preparation of tender documents (1) (CFF, 2021e). The partner cities' project teams approved 15 climate action project proposal documents; two further documents are being finalised (**Dakar** and **Dar es Salaam**), so there were a total of 17 proposed projects (CFF, 2021e). These project proposals could not have been developed without support from CFF. In many cases, city officials confirmed the good quality of the work and expressed that CFF accelerated the development of their climate actions; they referred, for instance, to inputs in financial modelling, GHG calculation, technical aspects based on international experience, the gender perspective and social issues; some mentioned having a sort of a blueprint that could be used in similar interventions and shared with others (Int_20ff). The importance of the CFF programme's contribution was confirmed by the survey (e.g. Q20).

However, the project's implementation could not be ascertained in all cases. Only six cities will definitely implement their actions in due time: the **City of Tshwane** (NMT project) has already started road works and the cycle lane is now attached (EE_11 commented, however, that 'overall there is scepticism due to the poor track record of service delivery and regular road closures due to protests... – there are several indications of burned tyres on the construction site...'); the government of Jalisco completed the procurement of 38 e-buses for **Guadalajara**³³; **Curitiba** has initiated the procurement process for its PV panels; **Quezon City** will start the staggered tender process for its PV panels before the end of 2021; **Jakarta** will most likely procure the first 100 e-buses (20 arrived in the city this June) by the end of 2021; and in **Bangalore**, procurement of 300 e-buses is well on track (CFF interviews with city officials, CFF City Trackers, FGD_02). Four more cities are interested in implementing projects but require more time: **Rio de Janeiro** for the installation of its Solário Carioca and **Bogotá**, **Bucaramanga** and **Cali** for their PBS systems (CFF City Trackers, version May 2021). The Bangalore e-bus and Tshwane NMT projects, which were 'descaled' by CFF because the partner cities proceeded with their own means, show the importance of political will to move forward. Five partner cities delayed or postponed their implementation plans: **Tshwane** (CHP project), **Quito** (trolley and e-buses), **Montería** (PBS system) and **eThekweni** (TRMP, involving 7,400 km of rivers and streams). One partner city, **Monterrey**, finalised its feasibility study but decided to put it on hold due to COVID-19 and elections in June 2021. In addition, **Hermosillo** dropped out at the beginning of the CFF programme and participated in CD and K&L processes only (CFF City Trackers, Fact Sheets, 2021). The survey results indicated that several cities will require further support when securing finance for their projects over the next one to two years (questions Q22-24, Q34). The assistance provided by CFF to garner the required political commitment might not have been optimal (Q17) (evaluation survey report).

³³ www.portalambiental.com.mx/politica-ambiental/20210517/incorporan-38-autobuses-electricos-en-guadalajara 17-05-2021 [19.05.2021].

⇒ Our conclusion is that the **CFF programme's contribution to achieving output A and outcome-related results (outcome indicator A) was hugely important**, with many other stakeholders playing an essential role in helping cities access funding, especially the city administrations themselves, but also potential financial institutions and key political actors. The CFF consultants broadly contributed to technical, environmental, legal, financial, social and gender-related issues, but more time is needed for **in-depth financial analyses (and also legal analyses in some cases) and negotiations with potential financiers**. After having secured funding (for many cities this remains unclear), most cities will require additional time for the **preparation of sound tender documents**.

- **Output B – Capacity development:**

As planned, 15 partner cities carried out 16 capacity assessments (in the case of Tshwane, two assessments were conducted, as there were two different projects and sector departments), developed a CD plan and have implemented, with support from CFF, about 88% of the defined CD measures on average. Sixteen partner cities have also completed their gender analyses and incorporated them into their project proposals (output A). **Roughly 1,000 city officials participated in 328 CD activities, around 36% of whom were women** (CFF, 2021g).³⁴

The importance of the CFF programme's contribution (e.g. through SPAs) to strengthening institutional and individual capacities was confirmed by city officials in many interviews and during the survey. In addition to the aspects mentioned in output A (**financial modelling, GHG calculation, technical aspects, gender and social issues**), several city officials and other interview partners highlighted the **experience sharing and peer-to-peer learning with other departments and cities** (Int_20ff, Int_01-03, 13, FGD_01, FGD_04). The high quality of consultants was appreciated, although dissatisfaction was expressed in a few cases (Int_47, 64, Int_16). It was acknowledged that 'the studies and knowledge acquired will remain available for other projects...' (Int_29). Interviewees highlighted the importance of **interdepartmental cooperation and learning** and provided examples of how it was strengthened through guidance from CFF; they referred not only to technical departments, but also to financial, procurement, legal and, in some cases, social and gender departments or to the city treasury. City officials stressed that '...climate change is a crosscutting issue and goes beyond the mandate of one department' and that 'CFF was key to resolving institutional gaps' (Int_36, 44). Many interviewees also emphasised the significance of the **political, legal and regulatory frameworks** and the way CFF helped foster a better understanding of these aspects. However, others criticised the fact that CFF provided insufficient access to the political level, despite the strong engagement of GIZ and C40 through their DVs and RDs (Int_08, 09, 20, FGD_03). There was strong agreement among city officials that the CFF programme's contribution to guiding their **gender approach** was significant, even though several already had their own municipal gender policy (Int_20ff, FGD_02). The survey results broadly confirmed the importance of CFF in incorporating gender topics, although there was some disagreement (Q18, Q33): 'The gender perspective is becoming important for cities, there are compliance-related aspects when accessing international funds' (Int_05) and '... gender and LNOB perspectives... exist more on paper (analysis and policy) than in practice' (Int_03). The introduction to **calculation tools and digital applications for measuring GHG emission reductions** and fossil fuel saving was very much appreciated. There was recognition that it enabled cities to provide evidence to the public and government bodies (Int_20, 23, 32-37, 64-66, 68). In several cases, improved **procurement and management processes** were mentioned (Int_25-27, 33, 66).

The survey results suggested that some city officials would have liked the CFF programme's services to be improved (Q11-15). It was also commented that 'capacity development could be more strategic; (...) the activities should be spread across the whole process' (FGD_04). One stakeholder criticised the fact that

³⁴ A total of 4,247 people participated, which amounted to approximately 13 people per training session on average. The total of 1,000 participants is an estimate, as the same people often participated in different sessions.

‘experts (...) have not always been aware of cities’ unique conditions; more attention should be paid to local situations’ (Int_03). The **need to balance the business case with social issues** was raised, e.g. ‘Inclusion is certainly a door opener to development funding’ (Int_05). As a matter of fact, project proposal studies included not only the gender perspective but also socioeconomic analyses, poverty issues and good governance aspects (CFF, 2021e). Out of the 328 CD measures, however, only 17 explicitly addressed social or LNOB issues and 25 addressed gender issues in 13 cities (CFF CD Tracker, 2021g). In comparison, CD in **financial modelling** was a core issue; 48 CD sessions addressed this topic in 14 cities. Individual criticism was voiced by stakeholders concerning, for instance, the fact that the financial analysis was highly conventional and not sufficiently innovative to consider private investors (Int_07, 13, 16). On the other hand, CFF was ‘valued as a link to financiers and other actors in this field’ (Int_66), and ‘offered key support in addressing the lack of financial modelling’ (Int_20).

⇒ **The CFF programme’s contribution to achieving output B and outcome-related results (outcome indicator B and C) was also hugely important.** Other donors and organisations might offer CD to cities, but the **CFF approach was unique in terms of its strongly demand-oriented methodology** and its **combination of CD with specific project and financial planning, while incorporating the gender perspective.** There were still areas for improvement regarding, for instance, the more **explicit integration of social and poverty-related issues** into the process, a more **holistic approach to urban development** (e.g. combining electromobility with the green and socially oriented upgrading of public space), a more **innovative approach towards finance** (including private investors) and better intersectoral linkage.

- **Output C – Knowledge, learning and policy dialogues:**

The knowledge base and discourse on financing cities’ climate action projects have improved. At least 31 different knowledge products and learning formats have been produced and disseminated, partly with several K&L partners, including workshops, webinars, conferences, participation as speakers or hosts of sessions at international events, production of reports and guidance documents. **More than 2,200³⁵ city officials and experts participated in these events** (approximately 48% were women), **representing 192 cities, 174 of which were not direct CFF programme partners and 163 were not members of the C40 network.** CFF’s experience in supporting cities to access finance for climate action projects was fed into at least 12 national or international forums and support for initiatives, such as the Leadership for Urban Climate Investment (LUCI). In coordination with CCFLA, six practitioner dialogues on topics related to project preparation, climate finance and harmonisation of application forms were held (CFF, 2021h, Annex 1; CFF K&L monitoring data, authors’ own calculations).

Horizontal knowledge sharing is highly important for city officials: ‘Sharing of knowledge and data was a key component for the success of the project...’ (Int_66; see also Int_20, 57, 64, 68, among others). Unfortunately, the evaluators could not access other participants in the K&L processes, except for one non-partner city. The experience demonstrated the **importance of knowledge sharing for other cities** too: ‘This has been the first opportunity for our staff to learn about electromobility from specialists all over the world. (...) Now we are able to provide professional comments on the reports of the consultants who support us on this subject’ (Int_04). In Brazil, some 54 municipalities wanted to have their own decentralised PV energy projects (FGD_1). However, ‘Knowledge and learning activities could have started earlier’ to allow for even better exchanges...’ (FGD_02). A city official stressed the **crucial need for engagement with media and public opinion** (Int_66). CFF published several good practice reports in early 2021 (CFF, 2021h), but it was not clear whether they were widely disseminated. It seems that C40 CFF’s visibility could be improved (Int_09, 11). The target groups of the K&L processes might need revised to also include financiers such as national development banks (Int_01).

³⁵ Double counting is possible, as the same people may have participated in different events. On average, 73 people attended per event.

Roughly half the **K&L events were co-organised with other partners**, thus enhancing synergies and avoiding duplications (CFF, 2021b). There were many other players who needed to be considered to allow the private sector and civil society to also step in (Int_07-09, 11, 13-16, 19; see also sections 4.2 on Relevance and 4.3 on Coherence). One of many examples was the Dutch cooperation interest in supporting private investments in bicycle systems in Colombia (Holland House, 2020). 'The global component for knowledge exchange is quite important and complementary to the activities on the ground' (EE_01).

⇒ **The CFF programme's contribution to achieving output C and outcome related results (outcome indicator D) was very important**, with many other actors involved. CFF certainly played a key role in relating 'its own cities' with other cities worldwide. CFF made some contribution to international knowledge and learning platforms, and gained relevance through its **active participation in CCFLA** and its guidance of the process to **harmonise project finance application forms**.

- **Output D – Partnerships and fundraising:**

The CFF programme laid a solid foundation for C40 CFF to act as a multi-partner initiative to promote cities' access to finance for climate action projects. It is invited to international events, participates in relevant networks, is co-chair to PPAG under CCFLA (EE_01) and has established several partnerships with relevant stakeholders (see stakeholder map, Figure 1). In addition, it has established a few partnerships for knowledge sharing and dissemination at city and regional level. In October 2020, the UN Climate Change Secretariat announced that C40 CFF was winner of its 2020 Global Climate Action Award in the Financing for Climate Friendly Investment category.³⁶ Financial negotiations for the follow-on project are still ongoing, but CFF will at least secure funding from BMZ (and also BEIS mid-May 2021) and has started the project application process.

⇒ **CFF strongly contributed to achieving output D and outcome-related results (outcome indicator E)** in its establishment and maintenance of partnerships with different stakeholders, from local to global level, but it depends very much on the active involvement of C40 and the cities and the interest and priorities of other donors. Its potential to actively raise funds is limited and might require the support of a professional fundraiser. Fundraising under the current global pandemic was difficult.

Further observations regarding the **contribution of CFF to the achievement of objectives** were:

- **The outputs were delivered as planned, with a few modifications at city level**, such as the reduction in project scope due to high complexity (in adaptation projects), an inability to access finance (Hermosillo) and a lack of political commitment (e.g. in Bangalore). In Quezon City and Jakarta, support has been extended in response to the TA needs in the tender process (FGD_02, Int_03).
- **The delivered outputs and increased capacities are being used.** The projects of most partner cities are progressing to the final version, financing and implementation, although it can take time. Many consider their projects as models worthy of being replicated (this was explicitly mentioned in at least 13 interviews with city officials). There is 'increased understanding of nature-based green climate change solutions that are important for Africa; (...) the three adaptation projects (...) will (...) inspire other cities' (Int_06).
- CD measures enhanced the abilities of cities to share lessons learned with others and to replicate their experience. Almost all interviews conducted by CFF with city officials revealed examples of how the knowledge and learning are being used by city staff (Int_20ff, see also CFF, 2021h, Annex 4), a fact confirmed by several other stakeholders (Int_02, 04-09, 11-16; EE_01, 03, 13). The Quezon City PV project focused initially on schools, and now the city is expanding it to hospitals and other public buildings

³⁶ unfccc.int/news/winners-of-the-2020-un-global-climate-action-awards-announced; unfccc.int/climate-action/momentum-for-change/financing-for-climate-friendly-investment/c40 [18.03.2021]
www.c40.org/press_releases/cff-wins-un-global-award [18.05.2021].

(FGD_02, Int_03, 14). Energy efficiency is becoming an increasingly important topic, including insulation of public buildings and efficiency of climate control systems. (Int_14). The survey results confirmed this tendency; most respondents were certain that their city will continue replicating, scaling up and sharing the lessons learned (Q19-21, Q25), even when faced with problems accessing finance (Q22-24, Q34) or when they require further support for current or new projects (Q30).

- Knowledge and learning processes inspired other cities and other city departments to develop similar projects (Int_01, 06). With respect to the eThekweni project, for instance, eight other municipalities participated in knowledge sharing. Afterwards, four developed their own ToC and two approached financial institutions for support. In the Tshwane NMT project, 10 municipalities participated in talks on NMT. They met one morning per week, for six weeks, and established a sort of community of practice. (FGD_04). City of Tshwane representatives participated in an BMZ-supported virtual event in September 2020, and presented the Zeekoegat Co-Generation Plants (CHP) project.³⁷ The Latin American cities participated in the LATAM Mobility virtual meetings in February 2021,³⁸ and Brazilian and Filipino municipalities want to replicate the PV experience (FGD_01, 02).
- There are some examples of adaptation of legal or regulatory frameworks (e.g. road planning regulations in Gauteng province, transport policy in the greater Jakarta metropolitan area, instructions for improving Jakarta's environment, National Strategy for Active Mobility in Colombia, legal adjustments in Curitiba to allow the city to implement solar power plants on deactivated landfill sites and an updated guidebook on renewable energy in the Philippines); CFF made at least a partial contribution. Local gender strategies are improving after CFF's advice; this was mentioned in many interviews.
- We assume that many CFF knowledge products are being used by the relevant global professional community. It seems that many other cities that benefited from K&L processes will further apply the lessons learned (Int_04), but evidence of this is scarce.
- The international donor community, particularly German development cooperation, is paying more attention to the need for climate finance in cities, and we assume that CFF played a role in this.
- There are strong signs that private investors are stepping in (e.g. in relation to urban mobility).
- **The CFF programme contributed strongly to achieving the expected results at outcome level.** Some of the partner cities are very close to achieving their goals, while others require more time, support and handholding, not necessary from CFF. In its exit strategies, which were developed between 2019 and 2020 (CFF, 2020m), CFF defined exit steps and recommendations but did not always provide the cities with a clear roadmap for further project implementation, as also indicated by the survey results (Q34, 35). Many other actors contributed to the achievement of the expected outcome, not least the cities themselves. This could not have been achieved without support from CFF, however.
- By incorporating gender, LNOB and socioeconomic strategies into the projects and CD processes, the **CFF programme also contributed to the achievement of objectives in terms of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders.** A local informant told the evaluators, for example: 'The [flood protection] project ... brings education, skills and income to poor and remote communities that currently have few options...' (EE_13). The survey results suggest that the CFF programme's contribution to these crosscutting issues could have been improved (Q31, 33, 36). Although CFF had a strong focus on gender, 'only' 54% of survey respondents representing their city confirmed that the gender perspective was better incorporated in infrastructure project concepts (Q33).

The following **internal factors at GIZ-C40 CFF level**³⁹ were decisive for the achievement of CFF's intended objectives, thus substantiating its important contribution (evidence from different sources⁴⁰):

³⁷ www.connective-cities.net/en/details/veranstaltung/improving-efficiency-and-effectiveness-in-the-provision-of-water-wastewater-management-and-urban-mobility-services [19.05.2021].

³⁸ www.latamobility.com [19.05.2021].

³⁹ Factors within CFF programme's sphere of responsibility / system boundary, assuming that the programme was implemented jointly by GIZ, C40 and the partner city (responsible department).

⁴⁰ CFF interviews with city officials (Int_20-68), interviews with stakeholders (Int_01-19), FGDs, EE_01-16, CFF progress reports.

- Demand orientation (e.g. cities' priorities and specific conditions), adaptation of TA and CD to the specific needs of each city and a thorough analysis of the local stakeholder network (high CFF contribution).
- Quality of the technical work and well-structured project proposals, including incorporation of the gender perspective (e.g. in urban mobility concepts) (high CFF contribution).
- Interrelation of single projects with overall urban development and mobility plans (moderate contribution).
- Professional guidance of city teams by SPAs (high CFF contribution).
- Strategic orientation of regional K&L processes by REMs and orientation and guidance provided to SPAs (high contribution).
- Political involvement and intermediation by C40 RDs and GIZ DVs from municipal to national level; involvement of German or British ambassadors (high to moderate contribution).
- Good coordination between GIZ and C40 staff (high contribution).
- Low bureaucracy (national approval not required) and direct access to cities through C40 (high contribution).
- Effective programme management and progress monitoring (high CFF contribution).
- Identification of potential financial institutions and interrelation and communication with financiers at the earliest stage possible (moderate contribution).
- Utilisation of digital tools for calculating GHG emissions and technical project planning, thus providing evidence to city authorities (high CFF contribution).
- Focus on co-benefits to access national and donor funding (high contribution, particularly by C40).
- Incorporation of C40 non-member cities (high contribution).
- Support for the cities' procurement processes (high contribution).

Internal factors that created barriers or led to delays:

- Stringent GIZ procurement process that led to delays (not attributable to CFF).
- Name of the CFF, which created false expectations that the finance facility would provide money (also confusion between 'bankability', 'finance readiness' and 'financial close') (room for improvement).
- Financial and TA volumes and project scopes per city were not known at the CFF planning stage; allocation of budgets to cities was difficult (well managed by CFF).

Internal factors at city level decisive for the achievement of the CFF programme's intended objectives:

- Establishment of a strong PIU or TWG (high contribution by CFF).
- Consideration of local governance and vertical power structures (e.g. having a management team that communicates with the higher city levels) (weakness of CFF in some cases).
- Consideration of the different levels of participating stakeholders who are not at the same level as the city government (weakness of CFF in some cases).
- Learning in digital formats was helpful, but also presented a barrier for many participating city officers, thereby contradicting the LNOB approach (well managed by CFF and the cities, however).
- Intersectoral linkage between different city departments and interlinkage between different government levels (municipal, metropolitan, provincial/state, national); the clear establishment of tasks and responsibilities was equally as important as technical knowledge (high contribution).
- Competition with another project or megacity can push the project forward (high contribution by cities).
- Awareness-raising of cost savings through solar power (e.g. in PV projects) (moderate contribution).
- Addressing of safety concerns in case of e-bus batteries (moderate contribution).
- General awareness-raising among citizens to enhance ownership (low contribution).

External factors⁴¹ decisive for the achievement of the CFF programme's intended objectives:⁴²

- Commitment of mayors and city councils (moderate influence of CFF, high influence of partner cities).

⁴¹ Factors outside the CFF's sphere of responsibility / system boundary, assuming that the programme is implemented jointly by GIZ, C40 and the city partner.

⁴² Different sources: CFF interviews with city officials (Int_20ff), interviews with stakeholders (Int_01-19), FGDs, EE_01-16, CFF progress reports.

- Local political support; projects must be visible at a high enough level of the city's administrative structure (low influence of CFF, moderate influence of partner cities).
- Cities' financial capacity and loan conditions (low influence).
- Cities' constitutional and legal frameworks (e.g. Memorandum of Understanding (MoU) requires eventual approval from the city council; restricted investments in public space) (moderate influence).
- Involvement of the national government to avoid slow implementation due to pending government decisions (low influence of CFF, moderate influence of partner cities).
- Engagement with media and public opinion, publicity (could be improved).
- Interest from financial institutions and donors in climate actions (moderate influence).
- Rising interest of private investors, e.g. JPMorgan Chase bank⁴³ (could be improved).

External factors that created barriers or led to delays:

- Restrictions imposed by the pandemic that led to delays (low possibility of influence).
- Transition to new governments and new priorities that also led to delays (high influence of C40).

The following table **summarises our contribution analysis based on the selected results hypotheses** (see also the results model in Figure 2).

Table 13: Selected results hypotheses for effectiveness

Hypothesis 1 (activity – output – outcome) >> Confirmed (strong positive relationship)	If partner cities develop high-quality climate action infrastructure projects, they will be able to convince local politicians/councils, attract potential investors and tap into financing schemes (including city and national budgets). <ul style="list-style-type: none"> • By receiving TA in the development of finance-ready climate action proposals, the participating cities are able to draft high-quality projects to attract potential investors (e.g. Bogotá pilot project, Bangalore and Jakarta e-bus projects, and PV projects in Curitiba, Rio and Quezon City). • It is assumed that developed and financed projects contribute to climate change mitigation or adaptation and therefore to the SDGs and the countries' NDCs. CD of cities contributes to several SDGs (outcome and impact level). See also Annex A to this Evaluation Report.
Main assumption	Cities are willing and committed to actively develop climate action projects and receive political backing from the city council and related provincial/state or national governments.
Preconditions	<ul style="list-style-type: none"> • Good TA and CD, combined with strong city ownership, are important. • Cities' political will and commitment are essential. • Interaction with relevant stakeholders from local to national level (even up to global level) is a must. • Close interaction with potential financiers at an early stage is helpful.
Risks	In several cities, the risk of insufficient political support can be observed, thus leading to non-approval of city funds (C40 membership helps prevent this). The COVID-19 pandemic could lead to the reassignment of budgets to other priorities. Examples: Guadalajara, Monterrey and Quito.
Potentially unintended results	<ul style="list-style-type: none"> • Unintended positive results have not been identified. • A potentially negative unintended effect for the CFF programme can occur when trained city staff members leave their department and do not apply the acquired knowledge to municipal projects (the 'gentrification' effect). It is assumed, however, that knowledge will not disappear but will be applied to other areas.
Alternative explanations	<ul style="list-style-type: none"> • On-the-job training is sufficient to develop finance-ready project proposals; additional capacity building is not necessary. >>> Disproved. Cities very much appreciated additional inputs by consultants and exposure to other international experience. The contribution of CFF to the achievement of outcomes has been crucial. • Cities receive finance for their projects because of a government that is open to the problems of climate change and can agree on appropriate contracts with financial institutions, regardless of CFF support. >>> Confirmed, possible parallel path or additional government contributions (e.g. in Bangalore, Mexico City, possibly KZN municipalities). Government support is highly important. Nonetheless, in the majority of partner cities, CFF's contribution to the achievement of outcomes through TA and CD measures has been crucial; causal links can be established.

⁴³ <https://fortune.com/2021/04/15/jpmorgan-sustainable-green-investment-2021/> [17.05.2021].

Hypothesis 2 (activity – output – outcome) >> Confirmed (positive relationship)	Sharing knowledge acquired in planning climate action project investments and accessing finance through peer-to-peer learning and CFF stakeholders' networks and partnerships beyond CFF partner cities will help improve expertise, raise political awareness and mobilise resources, so that more cities will be able to make sustainable investments in urban climate actions. <ul style="list-style-type: none"> By developing different knowledge products and learning formats, inviting C40 cities and other cities and partners to participate in K&L processes and disseminating knowledge at different events, CFF raised political awareness, mobilised resources and unfolded further initiatives, thus enabling additional cities to mobilise sustainable investments in urban climate actions. Examples: the Mexican and Colombian cluster projects, Kwa Zulu Natal (KZN) municipalities, further PV projects in the Philippines and in Brazil (<i>evidence moderate, to be confirmed</i>). Partner organisations and networks (R33), as well as governments (R27), increasingly provide relevant support to cities in terms of guidance, CD, TA and finance (<i>weak relationship</i>). In this way, cities (C40 partners and other cities) are in a better position to access funds for climate actions (outcome).
Main assumption	Cities take a leading role in the development of climate action investments and secure their own resources for peer-to-peer learning and further project formulation.
Preconditions	<ul style="list-style-type: none"> Good examples (models) from a core city are required. Many cities need support in project structuring. Cities' political will and commitment are essential. Interaction with relevant stakeholders at local to global level is a must.
Risks	Political changes in the local government and the current COVID-19 pandemic might lead to the reassignment of budgets to other priorities.
Potentially unintended results	There are additional, not explicitly intended, results at the level of stakeholders or target groups, e.g. strengthened female cycling associations due to more discussions about NMT (e.g. in Tshwane and Bogotá); increased production of electric buses due to public awareness and increased demand; rising demand for flood protection projects due to dissemination of lessons learned (e.g. in Kwa Zulu Natal). Negative effects were not detected.
Alternative explanation	<ul style="list-style-type: none"> The knowledge base on finance products for cities' climate action investments is improving due to increased international discussions and conferences, promoted by international financial institutions and donors. <p>>>> Confirmed, possible parallel path or additional contributions. Examples: Leadership for Urban Climate Action (LUCA) and LUCI funded by BMU; JPMorgan Chase bank; Dutch investments in urban mobility; global commitment to climate change. However, to be successful and achieve the expected outcomes, good examples (models) that show cities' progress towards the climate goals are required – crucial for peer-to-peer exchange. Therefore, CFF's contribution to the achievement of outcomes through TA, CD and K&L measures has been important; causal links can be established.</p>

Hypothesis 3 (activity – output – outcome) >> Confirmed (weak relationship)	If a multi-partner platform for partnerships between cities, investors, TA providers and other supporters is established through CFF, more resources can be mobilised for planning and financing investments in urban climate action. <ul style="list-style-type: none"> By strengthening and formalising existing and new partnerships, negotiating with donors and establishing a financial sustainability strategy, C40 CFF is becoming better prepared to act as a multi-partner initiative and is helping strengthen relevant networks, thus leading to the scaling-up and replication of urban climate actions. Examples: CFF multi-partner platform in South Africa (participation of USAID, UK agencies, C40 partner cities, GLZ projects, international think tanks); participation of CFF in CCFLA activities; CFF won a UN Global Climate Action Award. >>> But CFF needs to show concrete results (supported projects) to achieve its outcome (and has done so). A multi-partner platform alone is not sufficient for the achievement of outcomes. Partner organisations and networks increasingly provide relevant support to cities in terms of guidance, CD, TA and finance (R33) (<i>weak relationship</i>). Private investors increase their interest and provide finance (R39), private providers increasingly offer products (R40). >>> Only when there are project proposals presented by cities. Donors pay more attention to the need for climate finance in cities (R32, R33). In this way, cities (C40 partners and other cities) are in a better position to access funds for climate actions (outcome).
Main assumption	Donors and financing institutions are willing to support the CFF multi-partner initiative.
Preconditions	<ul style="list-style-type: none"> Cities' political will and commitment are essential. Support from national governments is important. CFF requires visibility and marketing (including strong C40 RD and REM engagement). A compilation of good examples from different cities to provide evidence of CFF's success must be created.
Risks	International funding priorities might change as a result of the COVID-19 pandemic and may shift to less developed countries or rural areas.

Potentially unintended results	<ul style="list-style-type: none"> Due to the increased attention, new initiatives are emerging (e.g. LUCI and the Leadership for Urban Climate Action – LUCA) and might compete with C40 CFF (this might be a negative effect for CFF, but is very positive for urban climate investments). However, the demand is so high that these would be complementary rather than providing competition. To increase synergies, CFF has to coordinate with these initiatives.
Alternative explanation	<ul style="list-style-type: none"> C40-CFF is becoming a strong multi-partner institution due to the increased commitment, support and contributions from C40 member cities and pressure from influential cities on donors. >>> Possible, but not evidenced so far. CFF's contribution to the achievement of outcomes through the established multi-partner platform has been important; causal links can be traced. However, substantial outcomes can be achieved only when a compilation of good examples from different cities to provide evidence of CFF's success has been built.

The evaluation team assessed the contribution of CFF to the achievement of outcomes as substantial at approximately 80-85%.

Effectiveness dimension 2 – Contribution to achievement of objectives – scores **25 out of 30 points**.

Effectiveness – Dimension 3: Quality of implementation

The basis for analysing the quality of implementation were GIZ Capacity Works considerations. Our results were evidenced by CFF's M&E system information and additional comments made in different interviews. Our assessment was as follows:

- Results-oriented monitoring** was established by CFF and frequently updated, at both programme level (Monitoring Dashboard, CD Tracker, K&L indicators tracker) and city project level (City Tracker).
- The **project strategy** was developed by GIZ and C40, agreed with PAG and pursued (CFF Governance Structure, PAG meetings). The project strategy was agreed with city partners and pursued (due diligence reports, MoU with each city).
- All **relevant actors were involved and cooperated**, as far as possible and feasible; cooperation was not always optimal with stakeholders at city level and with C40 RDs, but improved substantially throughout the process; coordination with responsible city departments was very good in most cases; there was some room for improvement at political level (to involve city mayors and councils more).
- Steering**: decisions influencing the results of CFF were made on time and were evidence-based and transparent; there was very good project management by GIZ-C40's Europe-based CFF core team, including management, technical and financial responsibilities; GIZ DVs had supervisory responsibility over the locally based SPA and the appointment of consultants and budgets; it was observed that some consultants did not work as expected (e.g. in Bogotá and Jakarta), but CFF was able to resolve the problems; regular donor steering was conducted through PAG (steering 'light').
- Processes**: relevant change processes were incorporated into the cooperation system, with the GIZ-C40 CFF core team having overall responsibility; development of project proposals and guidance of CD processes were SPA's responsibility; enhancement of K&L processes were C40 REM's responsibility and included monitoring of risks at both city and CFF programme levels.
- Learning and innovation**: the culture of learning and innovation promoted the exchange of experiences, e.g. through the CD and K&L components; context-specific adjustments were considered.

Effectiveness dimension 3 – Quality of implementation – scores **19 out of 20 points**.

Effectiveness – Dimension 4: Unintended results

The basis for the analysis of unintended results was again the CFF results matrix, which was assessed against the results that were observed but had not been planned. The results analysis was conducted using an adapted and simplified MSC method (ADB, 2009), and differentiated between the intended results and the results that were achieved through opportunity or by coincidence, mainly on the basis of interviews, FGDs and the survey results. This also allowed method triangulation to be carried out.

The evaluators did not identify unintended positive results but rather results that had not been explicitly intended (i.e. further **results triggered by CFF**) and that contributed to CFF outcome and also to the broad achievement of impacts:

- Orientation to political and legal frameworks (see above) – partly intended or further supported with CFF's own resources, partly developed in parallel.
- Involvement of the state, province or metropolitan levels in the preparation of city projects, thereby expanding the scope of CFF to other cities/municipalities in the respective region: Gauteng in South Africa, Jalisco and Nuevo León in Mexico, Paraná in Brazil, Karnataka in India, Metro Manila in Philippines and Greater Jakarta in Indonesia – partly a result of CFF's inputs, partly a parallel track.
- Improvement of city management and budgeting processes by involving financial, treasury and procurement departments – partly a result of CFF's inputs, mainly developed further by the cities.
- Strengthening of the role of city departments in international cooperation while involving them in CD and K&L processes (e.g. in Quito, Rio de Janeiro and Curitiba) – mainly a parallel path.
- Improvement of project marketing abilities at city level (e.g. in Tshwane) – cities' own contribution.
- Developing 'communities of practice' (e.g. in South Africa, Brazil, Colombia and Mexico) – partly a result of CFF's inputs, partly the additional contributions of cities.
- Strengthening of cooperation between different city departments and different levels of government (municipal, metropolitan, provincial/state, national) – partly a result of CFF's inputs, partly in parallel.
- Strengthening of the intention of city councils to approve budgets for climate action projects and national governments and banks to provide support to cities – partly a result of CFF's inputs.
- Increasing the involvement of private sector actors – mainly a parallel path.
- Increasing the participation of 'green' product providers in emerging markets (e-buses, solar panels, bicycles) – mainly a parallel path.
- Improvement of communication between city administrations and citizens or CSOs and community-based organisations (CBOs) (e.g. by involving cycling CSOs/CBOs in Tshwane and Bogotá; coordinating with local cooperatives and CSOs in eThekweni and Dar es Salaam; consulting neighbourhoods in PV projects in Curitiba, Rio and Quezon City; and considering the needs and priorities of women, people with special needs and disadvantaged groups in bus projects); as a result, cities are increasingly recognising the added value of citizen participation and are potentially better prepared to address the needs of different target groups (e.g. vulnerable groups) – partly a result of CFF's inputs, partly developed in parallel.
- Emergence of cycling organisations by and for women (in Colombia) – partly a result of CFF's inputs, partly developed in parallel.

Unintended negative effects that could hamper the achievement of CFF outcomes have not been identified, but there are **risks and challenges that could lead to negative effects**:

- Cities could become dependent on TA, instead of being instructed to develop their projects on their own and to replicate the knowledge acquired (Int_05, SWOT analysis with CFF staff).
- In such a large and complex programme, there is a danger of losing sight of cities' uniqueness; it is one programme but, at the same time, 18 completely different projects that cannot be lumped together.
- MDBs face the problem that the governments of their member countries may be in constant conflict with city mayors, and this affects central governments' endorsement of city project proposals (Int_01).
- During implementation, key stakeholders can be better defined, policy documents adapted and cities can push boundaries (e.g. by influencing national policies) (Int_03).
- In the case of adaptation projects, the scope has become so wide (especially in eThekweni) that implementation might pose a challenge and lead to frustration, which means that the city's interest might decline when financing problems arise (Survey Q46).
- Many electric bus systems are based on BRT concepts with long distances between stops; they should be integrated into modal and user-adapted solutions, otherwise the problem would be solved informally (taxis, motorbikes, minibuses), thereby leading to increased GHG emissions (EE_02).

- The combination of BRT bus lanes with bicycle transport or a combination of cycle lanes with normal traffic at roundabouts can increase safety risks for cyclists (EE_02, Int_17).
- Similarly, if cycle lanes do not appropriately connect poor neighbourhoods with areas of employment opportunities, cyclists could be exposed to additional risks or forego the use of the new cycle lanes (as seems to be the case in Mamelodi, Tshwane, EE_09).

CFF monitored risks and conflicts during implementation of the CFF programme and reacted with flexible and direct responses to potential positive or negative effects, as far as possible, by taking advantage of opportunities (e.g. supporting policies or regulations, strengthening interdepartmental cooperation) or counteracting the risks (see also tables 7 and 8). Due to the complexity of the programme, potentially unintended effects may not always have been visible to the CFF management team.

Effectiveness dimension 4 – Unintended results – scores **19 out of 20 points**.

Methodology for assessing effectiveness

Table 14: Methodology for assessing OECD/DAC criterion: effectiveness

Effectiveness: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Achievement of the (intended) objectives	<ul style="list-style-type: none"> • Results matrix • Indicator SMART criteria 	Evaluation design: <ul style="list-style-type: none"> • Results analysis, triangulation Empirical methods: <ul style="list-style-type: none"> • Review of documents • Interviews and FGDs, online survey 	Data quality: <ul style="list-style-type: none"> • Availability of data: strong • Collection of additional data: good • Representation of specific stakeholders/groups: access to indirect target groups limited • Response rates: strong (interviews, FGDs) to weak (survey) • Possibility of data/method triangulation: good • Evidence strength: good Possible limitations: <ul style="list-style-type: none"> • Programme scope vs. time constraints • Access to respondents outside CFF programme scope is limited (in some cases good)
Contribution to achievement of objectives	CFF results hypotheses (from activities via outputs to outcome level)	Evaluation design: <ul style="list-style-type: none"> • Contribution analysis Empirical methods: <ul style="list-style-type: none"> • Same as above 	
Quality of implementation	GIZ Capacity Works considerations	Evaluation design: <ul style="list-style-type: none"> • Results and contribution analysis Empirical methods: <ul style="list-style-type: none"> • Same as above 	
Unintended results	<ul style="list-style-type: none"> • Results matrix • Results hypotheses • Perceived or observed additional achievements 	Evaluation design: <ul style="list-style-type: none"> • Adapted MSC method Empirical methods: <ul style="list-style-type: none"> • Same as above 	

4.5 Impact

This section analyses and assesses the impact of the CFF programme. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex B).

Summarising assessment and rating of impact

Table 15. Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	25 out of 30 points
	Contribution to higher-level (intended) development results/changes	33 out of 40 points
	Contribution to higher-level (unintended) development results/changes	24 out of 30 points
Impact score and rating		Score: 82 out of 100 points Rating: Level 2: successful

CFF likely contributed to the achievement of the expected impact concerning enhanced investments in climate mitigation and adaptation projects and substantial CO₂e emission reductions. Twelve of the supported projects will possibly start implementation by 2022, including six projects whose implementation has already started or is due to start soon. By developing the capacities of the partner cities, CFF also contributed to much higher projected GHG emission reductions in several cities that plan to expand their projects or replicate the experience, e.g. related to electromobility, solar energy and PBS. It also contributed to many other expected results that link CFF to the SDGs, such as reduced exposure to climate-related vulnerabilities; improved health; introduction of sustainability topics in curricula; reduced discrimination of women; improved economic development; urban services and infrastructure investment in cities; mobilisation of domestic and international financial resources; improved research orientation towards sustainability; and improvement of the global partnership for sustainable development. Unintended negative effects that could hamper the achievement of impacts were not identified. However, the current pandemic poses a high risk to the achievement of impacts. Due to uncertainties in the actual project implementation and the lack of clarity regarding the CFF programme's contribution to improving the living conditions of vulnerable target groups, we scored the impact criterion at roughly 80%.

In total, the impact of the project is rated Level 2: successful, with 82 out of 100 points.

Analysis and assessment of impact

Impact – Dimension 1: Higher-level (intended) development changes/results

The basis for analysing the achievement of the (intended) development changes (impacts) was the CFF programme objective with the respective impact indicators, as well as relevant international commitments, such as the 2030 Agenda and the Paris Agreement. Analysis of (potential) changes was conducted on the basis of CFF reports and the M&E system, crosschecked with information obtained from the review of other documents, interviews and FGDs with stakeholders, the online survey and a study of selected city cases. The evaluators frequently exchanged opinions. The combination of data collection methods allowed a robust triangulation.

The CFF programme aimed to support selected primary and secondary cities to **mobilise financial resources for transformative actions, which would significantly reduce their GHG emissions and build climate resilience**. Two indicators, formulated by GIZ-C40-CFF jointly with BMZ during preparation of the programme, defined the expected achievements at impact level GIZ, 2018c-d, 2020b):

1. CFF supported climate action projects (including both adaptation and mitigation projects) that are projected to leverage 20 times the value of CFF's TA to its partner cities, as evidenced by the investment capital

made available by financing institutions or private investors.⁴⁴ Target value: **EUR 316.7 million** (20 times the CFF TA of EUR 15.8 m) – not clear when this will be achieved.

2. It is expected that 2 million tonnes of CO₂ equivalent GHG emissions will be reduced, sequestered and/or avoided by approved CFF partner city climate action projects that are climate resilient and have reached financial close. Target value: **2 million tonnes of CO₂ equivalent** (t CO₂e) – the period is not clear, but CFF calculates 30 years (2020-2050).

These indicators are only partly suitable to assess all relevant impact dimensions. Indicator 1 measures the achievement of the environmental impact and a successful indicator 2 is a precondition for achieving indicator 1. Indicator 2 also relates to economic impact. The social impact dimension, however, is missing. The evaluators suggested the following additional proxy indicators to better assess the economic and social impacts:

3. CFF-supported climate action projects boost local economic development. Target: each project unlocks funds for climate actions that result in at least three times the initial investment, on average.
4. CFF-supported climate action projects contribute to the relevant SDGs when reducing exposure to climate change-induced risks, improving health conditions and enhancing access to urban services for all. Target: each implemented project addresses gender and LNOB-related issues.

According to current projections and calculations, the results targeted by CFF at impact level will only be achieved under an optimistic scenario. As mentioned in the previous section, six projects are very likely to be implemented (although it is not certain if this will happen in 2021) and four projects could start implementation in 2021 or 2022. For the other projects, implementation scenarios vary. The following table provides an overview of the probability of impact indicators 1 and 2 being achieved under different scenarios.

Table 16: Impact scenarios for the 17 partner cities

Scenario	City / project	Financial impact ⁴⁵	GHG emissions impact ⁴⁶
1. Implementation is assured or has started already ('pessimistic scenario') (6 projects)	<ul style="list-style-type: none"> • Tshwane NMT • Guadalajara e-buses • Jakarta e-buses • Curitiba PV • Quezon City PV • Bangalore e-buses 	EUR 102,023,000	510,326 t CO ₂ e
2. Implementation likely before end 2021 (6 + 4 = 10 projects)	6 projects + 4: <ul style="list-style-type: none"> • Rio de Janeiro PV • Bogotá PBS • Bucaramanga PBS • Cali PBS 	EUR 117,956,300	599,261 t CO ₂ e
3. Implementation likely before end 2022 (10 + 2 = 12 projects)	10 projects + 2: <ul style="list-style-type: none"> • Quito e-buses (phase 1) • Montería PBS 	EUR 162,581,343	875,567 t CO ₂ e
4. Implementation likely to start in 2023 (12 + 3 = 15 projects)	12 projects + 3: <ul style="list-style-type: none"> • Monterrey e-buses • Tshwane CHP • eThekweni TRMP adaptation 	EUR 607,448,000	1,347,317 t CO ₂ e
5. Implementation possible in next 5-10 years ('optimistic scenario') (15 + 4 = 19 projects; 17 cities)	15 projects + 4: <ul style="list-style-type: none"> • Dakar adaptation • Dar es Salaam adaptation • Hermosillo e-buses • Quito e-buses (phase 2 + 3) 	EUR 898,573,010	2,178,917 t CO₂e

⁴⁴ Indicator slightly reformulated by the evaluation team, as CFF does not provide investment capital. Original version from CFF's results matrix: 'CFF supported climate action projects (including both adaptation and mitigation projects) are projected to leverage 20 times the value of technical assistance (TA) in investment capital, including private finance provided by the CFF to its partner cities.'

⁴⁵ Source: CFF (2021f+c); approximate amount, exchange rate fluctuations possible (authors' own calculations).

⁴⁶ Source: CFF (2021f, h +c).

The projections indicate that **only under scenario 4 (probability likely) would CFF meet the financial indicator**, possibly in 2023. **Only under the optimistic scenario 5 would it also achieve the GHG emissions target.** However, under the current pandemic conditions, some projects could be further delayed or discontinued; currently, we have evidence that six projects will be implemented for certain ('pessimistic scenario'), four of which are already being implemented (Guadalajara e-buses procured and also first 20 have been procured in Jakarta; Curitiba PV tendered; Tshwane NMT under construction). In our calculation, we divided the Quito project into two parts: i) phase 1 (88 buses) is likely to start in 2022 (procurement has been delayed); ii) phase 2 (91 buses) is projected for 2027 and phase 3 (166 buses) for 2033 (CFF Finance Factsheet Quito, 2021). We included Monterrey under scenario 4; the city just inaugurated its third metro line in February 2021 after a delay of five and a half years⁴⁷, and it is possible that the city will postpone funding of the e-buses. Scenario 5 also includes the Hermosillo project, since we assume it will be able to procure e-buses in the next five to 10 years in light of Mexico's very favourable political context with respect to promoting electromobility and Hermosillo's sustainability-oriented municipal policy.⁴⁸

Photo 3: Electric bus being trialled in Jakarta⁴⁹



Photo 4: PV panels on a school in Quezon City⁵⁰



A **much higher environmental impact might even be achieved** in the next five to 10 years. Bangalore plans, for instance, to transition its current bus fleet of 6,700 vehicles to e-buses and would reach its GHG emissions reduction target of approximately 5.4 million t CO₂e (within 30 years). However, 'securing finance is still a challenge' (Int_66; also Int_13). Due to the pandemic, there are currently huge gaps between the operational costs and expenditure associated with the e-buses that are already running, which is prompting officials to cut schedules to minimise losses.⁵¹ In Jakarta, the city-owned TransJakarta presented an electrification scenario for 83% of its fleet, a total of 10,100 e-buses, by 2030 (CFF, 2021e-17). Quezon City wants to expand its PV installation to all public buildings and could increase its GHG mitigation potential to 5 million t CO₂e. Several other cities could rapidly move forward, replicate and scale up. Higher GHG mitigation is also generally expected in the other cities that benefited from the CFF programme's K&L processes due to the increased awareness and additional projects. This could boost replication and scaling-up.

At this point, the evaluators would like to note that all figures mentioned above were imputed approximations. Calculation of investment amounts was based on assumptions that may have changed during the tendering and implementation process. Buses procured in Guadalajara, for instance, are now eight metres long instead of 12 metres. In the procured e-buses in Bangalore, costs for air-conditioning systems were cut due to the pandemic (see media articles in the list of references). Bicycle user figures might be too high (e.g. fewer female students at the University of Pretoria's Mamelodi Campus are travelling by bike due to non-continuous road

⁴⁷ www.urban-transport-magazine.com/monterrey-mexiko-eroeffnet-dritte-u-stadtbahnlinie/ [20.05.2021].

⁴⁸ www.reutersevents.com/sustainability/hermosillo-and-belo-horizonte-make-cdp-grade-two-latin-americas-greenest-cities [18.05.2021].

⁴⁹ Copyright: CFF, 2020, www.c40cff.org/projects/jakarta-electric-bus.

⁵⁰ Copyright: CFF, 2020.

⁵¹ <https://bangaloremirror.indiatimes.com/bangalore/others/bmtc-cuts-raw-deal-to-go-on-eco-friendly-bus-ride/articleshow/81233960.cms>.

connections and life-threatening situations). Algorithms for calculating GHG emissions were based on different assumptions that could have led to different results depending on temperature, climate and other contextual data entered (Int_09, 13). The figures may therefore be both overestimated and underestimated.

All effects described in the effectiveness section can trigger further results (↑ = very likely):

- ↑ More climate actions in partner and other cities (early signs: Kwa Zulu Natal and Gauteng municipalities in South Africa, Metro Manila and other municipalities in the Philippines, Paraná state and Rio in Brazil, other Colombian municipalities interested in PBS solutions, Panamá City, etc.).
- ↑ Municipal and state governments develop joint mobility plans and will likely extend the experience to other urban areas in their jurisdictions (e.g. Guadalajara and Jalisco >> Zapopan⁵²; Monterrey and Nuevo León >> Greater Monterrey municipalities⁵³; Tshwane and Gauteng >> Johannesburg⁵⁴).
- ↑ Governments from municipal to national level further adjust their political and legal frameworks to climate change mitigation and adaptation requirements (see respective examples in the section on effectiveness).
- ↑ Many international institutions have become more attentive to the urban problems of implementing climate action projects; cities were seen as polluters and not as independent contributors to CO₂e reduction and have been subsumed in the national NDC and NAP context; now support for cities' climate actions is expected to increase substantially (for instance, through the Gap Fund).
- ↑ CFF will have a strong demonstrative effect if the planned business models are implemented.

In many cases, subject to the projects' implementation, developmental changes are expected in **economic and social areas**, not only in terms of investments in climate action projects, but also regarding job creation, social cohesion and health issues (↑ = very likely, → = likely):

- → Job creation resulting from improved connectivity, new jobs in transport and the PV sector, through waste collection and recycling; ↑ short-term employment during construction.
- ↑ Health benefits due to better air quality, less pollution, improved road safety (see, for instance, C40 Health & Air Quality Impact Assessment in the Jakarta proposal, CFF, 2021e-17).
- ↑ Socioeconomic benefits through reduced flooding, less infrastructure damage and reduced climate risks in the long run.
- ↑ Improved capacities in municipalities (direct beneficiaries), not only in terms of climate project planning but also regarding managerial and governance issues.
- ↑ Increased participation of women in project planning and implementation (not always due to CFF).
- → Improved social cohesion (early signs: joint municipality and civil society planning in eThekweni; consideration of informal waste pickers' needs in Dar es Salaam; sensitised urban road planners in Tshwane and Colombia's consultation of cycling activists; small private transport entrepreneurs coordinating with municipal bus companies in Quito).
- ↑ Increased private sector involvement and PPPs (private sector investors getting involved in PV energy projects, providing e-buses, coordinating with cities on PBS).

It is very likely that proxy indicator 3 will be achieved in the mobility and PV projects (leading to overall investments of EUR 1.25 billion) and the achievement of indicator 4 is on track: out of the 17 project proposals formulated so far, 16 include the gender perspective, 13 incorporate socioeconomic analysis and 11 explicitly address poverty issues (CFF, 2021e). The programme strongly interrelates and contributes to several SDGs at impact level (see Annex A). Unfortunately, data on the number of future indirect beneficiaries (infrastructure users) is scarce and imprecise. It varies from 20,000 households in the case of Curitiba PV and 40,000 cyclists

⁵² <https://pa.steergroup.com/es/projects/plan-integral-de-movilidad-urbana-sustentable-del-area-metropolitana-de-guadalajara>; <https://mimacro.jalisco.gob.mx/>; www.cideu.org/proyecto/plan-de-movilidad-no-motorizada/ [05.06.2021].

⁵³ www.ni.gob.mx/campanas/programa-monterrey-metropolitano-2040 [05.06.2021].

⁵⁴ www.environment.gov.za/projectsprogrammes/nonmotorizedtransport_southafrica [05.06.2021].

per day in Cali, to about 750,000 bus users per day in Quito. No differentiation was made between social strata or gender. In total, the number of users could be in the millions (CFF, 2021d).

The following two figures show the environmental and social effects expected from the Dar es Salaam flood-risk and community-based waste management project. Not only is resilience to climate change expected to improve, but housing and living conditions in poor neighbourhoods should improve due to the anticipated resettlement (negative effects still to be assessed).

Figure 3: Dar es Salaam: current situation⁵⁵



Figure 4: Dar es Salaam: future projection⁵⁶



Although it is impossible to prove, we adopted a rather optimistic projection of future impact achievement in the following score, which also took favourable external factors and the positive answers provided in the survey into consideration: more than 80% of respondents from the cities considered it likely to very likely that, within the next 20 years, the CFF programme's activities would result in a reduction in GHG emissions in their city, less environmental damage and fewer vulnerable people affected by climate change, and that legal or regulatory frameworks would be adapted to appropriately address climate change at city level (evaluation survey results, Q41-44).

Impact dimension 1 – Higher-level (intended) development changes/results – scores **25 out of 30 points**.

Impact – Dimension 2: Contribution to higher-level (intended) development results/changes

The basis for the analysis of the CFF programme's contribution to the achievement of objectives were the CFF results hypotheses from outcome to impact level, constructed by the evaluators and discussed with the project team during the inception phase. The contribution analysis assessed existing causal links and was based on the information received (including documents, interviews and FGDs with stakeholders, the online survey and study of selected city cases), analysis of the relationship with and contribution to the SDGs, and triangulation of the information received.

The evaluators' observations regarding the **CFF programme's contribution** to higher-level (intended) development changes were as follows:

- The interview results indicate a **high degree of probability** that CFF made an **important contribution to transformational processes** by guiding city officials on how to formulate sound climate action projects, introducing digital tools for project planning and GHG emission calculation, and strengthening not only technical skills but also cities' management practices and relationships with other departments, cities, government levels and civil society (see the previous section on effectiveness). More than 80% of the survey respondents representing the cities confirmed that they are now in a better position to deliver

⁵⁵ Source: CFF Flood Management Feasibility Study for the Msimbazi Middle Catchment Area, April 2021, drawing by CPR.

⁵⁶ Ibid.

similar projects in the future, to replicate and scale up their experiences, to share lessons learned and to inspire other cities (Q20, 21, 25, 26, 30), although they still require further support (Q27, 28). Many cities considered their project to be an important model worth replicating. Several cities had already started to proactively share their experiences or to develop other projects on their own (CFF interviews with city officials). CFF also helped participating cities become key players in the sector (survey question Q27), but many cities already assumed this role due to their status as members of the C40 network and their commitment to the C40 Cities Climate Leadership Group 'Leadership Standards' (C40, 2021:20), thus also reflecting their commitment to the Paris Agreement and being scored on the CDP A list (Hermosillo, Rio de Janeiro, Quezon City) or competing for the Sustainable Transport Award (Jakarta was the 2021 winner).⁵⁷

- As already mentioned, governments from municipal to national level are further adjusting their political and legal frameworks to climate change mitigation and adaptation requirements; CFF sowed many seeds to make this happen (refer to examples in Brazil, Colombia, the Philippines and South Africa).
- The partner cities and other participating cities are expected to further contribute to several SDGs (see Annex A) and to scale up the initial changes induced by CFF.

CFF played an important role in the utilisation and enhancement of **factors** – both internal and external – **that were decisive for the achievement** of the intended development objectives:

- Demand orientation and adaptation to the specific local conditions (high CFF contribution).
- Creation of 'communities of practice' through peer-to-peer approaches and by enhancing competition between cities (e.g. megacities) (high to moderate CFF contribution).
- Closeness to political decision-makers (high to moderate CFF contribution).
- Interdisciplinary and holistic approaches that integrated technical with economic and social aspects (relating to the SDGs) (high to moderate CFF contribution).
- Broad dissemination of successful experiences (some weaknesses remain).
- Climate action plans at city level (influence of CFF low).
- National NDCs and NAPs that call for climate orientation (e.g. increased climate targets in Colombia, NDC in the Philippines presented in April 2021) (influence of CFF low).
- International context currently very favourable to addressing climate targets (influence of CFF low).
- Again, political will and commitment (influence of CFF low to moderate).

A decisive factor was also CFF's combination of manageable procurement activities (such as e-buses and PV panels) with complex approaches to urban development (e.g. the three adaptation projects in Africa). In procurement activities, success can be achieved quickly, especially in terms of the contribution to GHG mitigation. By contrast, adaptation projects require long coordination and planning processes, but probably have a much higher impact in relation to poor and vulnerable groups who are particularly affected by climate change. Another important factor related to project timeframes was mentioned by one of the stakeholders and might be decisive for the achievement of higher-level results: 'BMZ should develop more understanding of the long-term nature of large transactions. (...). The two-year time horizons for CFF cities is definitely too short to reach project maturity' (Int_13).

How would the situation have developed without the intervention of the CFF programme?

- The partner cities, the majority of which were C40 members, would have sought support for their climate actions from other donors. Given the wide range of TA and financing schemes available and the growing market for private suppliers of e-buses, solar panels and PBS operators, many would certainly have been successful. However, statements from city representatives indicated that many cities had previously tried and were unsuccessful (e.g. Bogotá, Monterrey, eThekweni and Tshwane) because of, for instance, legal barriers when trying to directly access international funding and insufficient technical capacities to assess

⁵⁷ www.cdp.net/en/cities/cities-scores#46f3ea056caa3126b91f3f70beea068c [19.05.2021]

www.thejakartapost.com/news/2020/10/31/jakarta-wins-global-2021-sustainable-transport-award-for-integrated-public-transportation.html [25.05.2021].

the different offers. CFF's city-focused and demand-driven approach facilitated and accelerated project development. This was also possible because CFF acted as an 'independent broker' with a 'finance-agnostic' approach, which allowed it to seek out financing alternatives suited to the local conditions.

- As mentioned previously, several of the partner cities already had their own gender policies. However, thorough implementation was lacking in many cases. Statements by city officials indicated that CFF opened their eyes and raised awareness; this was also the case with vulnerable groups and LNOB issues. An important indicator in this context was the fact that most of the cities' project proposals addressed socioeconomic and poverty-related issues, the gender perspective and even good governance topics.

The following table presents a final **review of the selected results hypotheses for impact** (see also the ToC in Figure 2).

Table 17: Selected results hypotheses for impact

Hypothesis 1 (outcome – impact) >> Confirmed (strong positive relationship)	As cities increasingly implement climate action infrastructure projects, GHG emissions will decrease and resilience will increase. In the long term, this will improve the living conditions of future generations. <ul style="list-style-type: none"> • Cities receive technical and financial support from diverse institutions (R24-30, R32-34, R40) and can implement their climate action projects (R31). These projects substantially contribute to reducing GHG emissions (R36). • Investments in climate action projects are likely to contribute to economic development and job creation; exposure to health risks is likely to reduce (R41). • Resilience to climate change is likely to increase in the adaptation projects (R37). • The living conditions of future generations are expected to improve, in general terms, due to reduced climate change risks (e.g. fewer floods, less air pollution, less environmental and infrastructure damage and, as a consequence, public expenditure savings).
Main assumption	Cities are committed to moving their projects towards the tender and implementation phase. National and international financial institutions are willing to adapt their financial offer packages to cities' requirements.
Preconditions	<ul style="list-style-type: none"> • Cities' political will and commitment are essential. • Support from national governments is important. • A compilation of good examples (models) from different cities to demonstrate the success of climate action projects must be created and disseminated.
Risks	Governments from local to national level might not support cities' climate change-related infrastructure projects (the risk exists mainly in the case of government change, but is mitigated by C40).
Alternative explanation	<ul style="list-style-type: none"> • GHG emissions decline more rapidly due to the COVID-19 pandemic restrictions and/or private initiatives as compared to bureaucratic approval at government level. <p>>>> Not confirmed in the case of the pandemic; although emissions decreased substantially during lockdown, they might remain similar or increase in the long term (Le Quéré et al, 2020).⁵⁸ In addition, implementation of projects oriented towards GHG mitigation stalled in many cases and reduced the prospects of GHG mitigation. This confirms the importance of the CFF programme's contribution to achieving impact, but shows its sensitivity to unexpected external influences and disasters.</p> <p>>>> Confirmed in the case of private initiatives; possible parallel path or additional contributions (e.g. Mexico City e-bus procurement, pilot project). Nonetheless, in the majority of participating cities, the importance of CFF's contribution to achieving impact by accelerating cities' project preparation can be confirmed, and causal links can be established.</p>

⁵⁸ www.carbonbrief.org/global-carbon-project-coronavirus-causes-record-fall-in-fossil-fuel-emissions-in-2020; www.iea.org/articles/global-energy-review-co2-emissions-in-2020; www.iea.org/news/after-steep-drop-in-early-2020-global-carbon-dioxide-emissions-have-rebounded-strongly [05.06.2021]; www.cnbc.com/2020/12/11/covid-record-drop-global-carbon-emissions-2020.html [05.06.2021].

Hypothesis 2 (outcome – impact) >> Confirmed (strong positive relationship)	As cities increasingly implement socially and gender-sensitive climate actions, the living conditions of (disadvantaged) city dwellers and future generations will substantially improve, in parallel with a reduction in GHG emissions and strengthened resilience. <ul style="list-style-type: none"> • Due to increased sensitivity to gender and social issues (R26) and respective guidance from international and civil society institutions (R24, R33), particularly CFF, cities are increasingly steering actions towards socially and gender-sensitive climate actions (R28). • Cities are increasingly supported by department officials and citizens (R38) (in particular, young and female individuals) and are implementing innovative climate action projects (R30-31). • The socially and gender-sensitive climate actions steer investments towards socially balanced economic development and job creation (e.g. eThekweni TRMP, Tshwane NMT, Bogotá pilot). • Exposure to health and insecurity risks is likely to reduce in disadvantaged neighbourhoods and for vulnerable groups (e.g. Dar es Salaam resilience project, Bangalore e-buses adapted to the specific needs of women and other groups). • Resilience to climate change is likely to increase in both adaptation and mitigation projects, as more awareness of the particular problems of specific groups is raised. • The projects implemented contribute in particular to improving the living conditions of disadvantaged city dwellers (R41), thus balancing the risks for different socioeconomic groups.
Main assumption	Governments (local to national) support gender- and socially sensitive climate action initiatives.
Preconditions	<ul style="list-style-type: none"> • Cities' political will and commitment to climate change and social justice are essential. • Support from national governments and guidance from the international donor community in relation to the SDGs are important. • A compilation of good examples (models) from different cities to demonstrate the success of climate action projects that create socioeconomic co-benefits is highly important. • Many other stakeholders support the holistic approach (e.g. Jakarta won the global 2021 Sustainable Transport Award for integrated public transportation; GIZ and AFD provided TA).
Risks	Governments from local to national level might reject gender- and socially sensitive approaches (the risk is very low during CFF-supported project development at city level due to commitments to C40).
Alternative explanation	<ul style="list-style-type: none"> • GHG emissions decline more rapidly due to pressure from civil society (e.g. Fridays for Future, Women Fighting Climate Change or Women4Climate) as compared to slow, bureaucratic approval processes at government level. <p>>>> Not confirmed, although pressure from citizens or civil society can be substantial.</p> <p>The importance of the CFF programme's contribution to achieving impact in social and economic dimensions by steering cities' towards LNOB, poverty and gender issues during project preparation can be confirmed, and causal links can be established, particularly in the adaptation projects. However, there is still room for improvement.</p>

Impact dimension 2 – Contribution to higher-level (intended) development results/changes – scores **33 out of 40 points**.

Impact – Dimension 3: Contribution to higher-level (unintended) development results/changes

The basis for analysing the unintended results were again the CFF results matrix and results hypotheses, assessed against observed or reported results that had not been planned. The analysis differentiated between the intended results and results that were achieved through opportunity or by coincidence, mainly on the basis of interviews, FGDs and the survey results, as well as CFF programme documents.

In the context of the broad CFF approach and the diverse topics it encompassed, it is difficult to comment on 'unintended' positive development results. The changes that were observed and expected were all somehow intended and the contribution of CFF can be tracked (see also the impact dimensions above and the SDG assessment in Annex A). There were certain challenges that were mentioned during the evaluation process that could increase the impacts of CFF if properly considered, or hamper further CFF programmes and project development if not addressed, and could lead to unintended positive or negative results (Int_01, 09, EE_02):
(↑ = addressed during CFF, → = partly addressed, ↓ = not addressed)

- ↑ CFF should be extended to more cities to better address CD and K&L needs (if not properly addressed, the impact on CFF's beneficiaries, i.e. the cities, could slow down).
- → Capacity and knowledge of national development banks should be strengthened to better involve them in financing climate actions (if not addressed, the openness of potential financiers could be lower).

- ↑ The cluster model could be more effective and provide outreach and knowledge transfer to a new generation of cities (if not addressed, the broad impact will be reduced).
- ↓ In the context of e-mobility, negative unintended results may occur when energy production comes from fossil fuels. The expected effects on CO₂e reduction might not be achieved.
- ↓ Digitalisation (including virtual workshops and the use of computer technologies) can have a negative impact on CO₂e emissions. Awareness-raising on the digital carbon footprint is necessary.⁵⁹

At city project level, there were some contentious topics that could lead to negative effects if not properly managed:

- ↑ Resettlement of citizens living near riverbanks is an issue in the Flood Management for the Msimbazi Middle Catchment Area project in Dar es Salaam. In principle, this sensitive topic was included in the long-term project strategy but could lead to conflicts and delays if not properly addressed, e.g. consideration of the proposed compensation strategies (CFF, 2021e.15).
- → Criticism has been voiced by cycling organisations regarding the PBS approach, which could lead to non-acceptance and opposition. They feel that a more accurate assessment of the benefits of these systems is needed, in terms of their environmental and social benefits, but also regarding the benefits of private systems as opposed to public bike schemes (EE_03).
- ↓ The positive impacts of mass bicycle use on road safety need to be confirmed. A recent study in Bogotá shows that, while there was a marked reduction in road traffic deaths in 2020 due to less mobility as a result of the pandemic, there was an 8% increase in fatalities among cyclists.⁶⁰

Involvement of communities in the Dar es Salaam project has been high and will help mitigate potential conflicts in the future. In the case of Bogotá and the Colombian cluster, involvement of CSOs and CBOs might not have been optimal. The CFF team may have been overburdened by the need to consider the specific contexts in the respective countries and cities given the broadness and complexity of the issues. We scored the potential contribution of CFF to the above-mentioned higher-level, less-intended development changes at approximately 80%.

Impact dimension 3 – Contribution to higher-level (unintended) development results/changes – scores **24 out of 30 points**.

⁵⁹ See, for instance Obringer et al (2021); <https://reset.org/knowledge/der-digitale-fussabdruck> [21.05.2021].

⁶⁰ www.eltiempo.com/opinion/editorial/editorial-sobre-la-medida-anunciada-por-claudia-lopez-sobre-la-bicicleta-569793 – 26-02-2021 [20.05.2021].

Methodology for assessing impact

Table 18: Methodology for assessing OECD/DAC criterion: impact

Impact: assessment dimensions	Basis for Assessment	Evaluation design and empirical methods	Data quality and limitations
Higher-level (intended) development changes/results	Programme objective (impact) and indicators; connection to international to national strategies (2030 Agenda, SDGs); climate goals at city level, national NDCs and NAPs	Evaluation design: <ul style="list-style-type: none"> • Results analysis Empirical methods: <ul style="list-style-type: none"> • Review of documents • Interviews, FGDs, survey • Study of selected city cases 	Data quality: <ul style="list-style-type: none"> • Good Possible limitations: <ul style="list-style-type: none"> • Programme scope vs. time constraints • Selection of key respondents might be biased • Access to final beneficiaries limited
Contribution to higher-level (intended) development results/changes	CFF results hypotheses (from outcome to impact level)	Evaluation design: <ul style="list-style-type: none"> • Contribution analysis • What would have happened without the project? Empirical methods: <ul style="list-style-type: none"> • Same as above 	
Contribution to higher-level (unintended) development results/changes	CFF results hypotheses (from outcome to impact level); assessment of unintended results	Evaluation design: <ul style="list-style-type: none"> • Adapted MSC method • Contribution analysis Empirical methods: <ul style="list-style-type: none"> • Same as above 	Same as above

4.6 Efficiency

This section analyses and assesses the efficiency of the CFF programme. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex B).

Summarising assessment and rating of efficiency

Table 19: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	Production efficiency (Resources/Outputs)	68 out of 70 points
	Allocation efficiency (Resources/Outcome)	24 out of 30 points
Efficiency score and rating		Score: 92 out of 100 points Rating: Level 1: highly successful

CFF demonstrated a high level of production efficiency. All funds have been disbursed by the end of March 2021, except for residual funds of an estimate of EUR 500.000. All outputs agreed in the results matrix were achieved within the planned timeframe, except for one, which has been achieved with a delay (related to C40 CFF's own strategy and development partnerships). The costs were distributed comprehensibly among the outputs. The share of CFF's TA costs for the development of prefeasibility and feasibility studies in the projected investments demonstrates high cost efficiency. The evaluators rated allocation efficiency as successful, subject to the projects' implementation. On average, each tonne of CO₂e expected to be mitigated over the next 30 years required CFF's TA worth seven euros; and each euro of TA could lead to investments at city level amounting to project costs that are 59 times higher. Alternative approaches could have been possible, but would not necessarily have improved efficiency. CFF could have focused on electromobility projects only, for instance, to achieve greater environmental impacts. Moreover, it could have focused more on adaptation projects to achieve greater effects in terms of the resilience of vulnerable groups. However, it is precisely this mixture of different approaches and different city development levels, oriented towards the needs of the cities

and a global partnership of cities, that makes this facility special, although there is room for improvement in terms of reaching out to vulnerable groups.

In total, the efficiency of the project is rated Level 1: highly successful, with 92 out of 100 points.

Analysis and assessment of efficiency

Efficiency – Dimension 1: Production efficiency

The basis for the analysis of production efficiency was the GIZ efficiency tool in which costs have been retrospectively assigned to outputs.⁶¹ The evaluation design applied the follow-the-money approach, which benchmarks the resources implemented against the outputs achieved.

The overall cost of the CFF programme was EUR 16.7 million, with donor financing (BMZ and co-financing) of EUR 15.8 million (Table 20). In February 2021, GIZ reported disbursement of 83%, with residual funds of EUR 2.75 million; after programme's financial close, residual funds are estimated at EUR 500.000. The CFF funds were utilised in the form of a basket fund by the co-financing partners. Partner cities' inputs in the 18 projects were quantified by the evaluators at approximately EUR 900,000 (a rough estimate), assuming that 90 senior officials dedicated 25% of their time to CFF for 16 months, on average, with an average monthly gross salary of EUR 2,500.⁶² The costs of office use by the SPAs (another partner cities' input) were negligible and were not taken into account separately. The costs of knowledge partners' inputs (K&L) could not be quantified.

Table 20: CFF programme costs overview

Module objective	Primary and secondary cities in developing countries and emerging economies are in a better position to access finance for sustainable climate action projects contributing to the Sustainable Development Goals of the 2030 Agenda and their country's Nationally Determined Contributions to the Paris Agreement.
BMZ costs	3,500,000.00 €
Co-financing	12,333,098.08 €
Partner inputs	900,000.00 €
Total costs	16,733,098.08 €
Residual funds (BMZ costs and co-financing)	2,749,173.49 €

Source: GIZ efficiency tool.

The following table shows the allocation of CFF inputs (financial, human and material resources) to its four outputs. The allocation is a rough estimate calculated on the basis of staff involvement and approximate assignment of other costs to outputs.

As expected, the highest expenditure corresponded to output A, the TA provided for the development of project proposals (52% of costs); this was followed by output B, CD for city project staff (28%). Expenditure on K&L processes (output C) represented 16% of the CFF funds (more if the K&L partner input was counted), and strengthening of CFF as a multi-partner initiative (output D) was the lowest at just 5%. Resources were distributed in a reasonable way between the outputs and there was sufficient flexibility to react to urgent needs at city level (Int_18).

⁶¹ The password-protected efficiency tool (Excel) was submitted to the GIZ CPE unit separately (Annex 4).

⁶² 86 city staff members who participated in the project were listed. Some are former employees, but not all participating staff members are on the list; therefore, we estimate the staff number to be 90, this is five people per city on average. The survey results suggest an average staff involvement of approximately 25% (Q48). The project duration at city level was 18-24 months; we assumed 21 months on average, with approximately 25% on holiday or leave. Gross salaries in the government sector might range from approximately EUR 1,500 per month in Indonesia to EUR 4,500 in South Africa. <https://businesstech.co.za/news/government/447056/this-is-what-the-average-government-worker-gets-paid-in-south-africa/> [21.05.2021] <http://www.salaryexplorer.com/salary-survey.php?loc=101&loctype=1&job=30&jobtype=1> [21.05.2021]

Table 21: Allocation of CFF's costs to the outputs⁶³

	Output A	Output B	Output C	Output D
Outputs	Primary cities and secondary cities (as part of city clusters anchored around a C40 city) in developing countries and emerging economies have prepared climate action project proposals including financial models.	Primary and secondary cities (as part of city clusters anchored around a C40 city) in developing countries and emerging economies implement capacity development measures with regard to the preparation of bankable climate action projects according to agreed respective strategies.	The knowledge base and discourse on financing cities' climate action projects has improved with regard to identified knowledge gaps.	The foundation for the (medium-term) establishment of CFF as a multi-partner initiative for cities' access to finance for climate action projects is in place.
Individual costs incl. commitment (Obligo) (incl. cofinancing)	6,305,887.25 €	3,496,929.55 €	2,094,284.28 €	662,861.86 €
Overheads	826,306.12 €	443,411.64 €	254,863.38 €	78,969.97 €
Partner inputs	630,000.00 €	225,000.00 €	45,000.00 €	0.00 €
Total costs	7,762,193.36 €	4,165,341.19 €	2,394,147.66 €	741,831.83 €
Total costs in %	52%	28%	16%	5%
Plan for residual funds (residual value)	1,513,389.09 €	9,798.08 €	1,168,336.01 €	57,650.31 €

Source: GIZ efficiency tool.

With regard to overarching costs, CFF decided not to disclose these explicitly for reasons of efficiency; the estimated share would be less than 1% of the order value. Overheads made up approximately 10% of the total costs, however, and were more than justified by the programme's complexity. 'The financial-administrative implementation has its specific challenges due to the implementation in different countries. (...) There is no "one right standard". One problem is that the GIZ system SAP is not designed for such complex joint financing. The project has to generate its own solutions' (Int_18).

When the expenditure was compared against output achievement level (Table 22), it was confirmed that CFF's production efficiency was high. Outputs A to C showed over-performance in all indicators; only output D indicated some delays. The latest figures from May 2021 report two rather than three additional partners (BMZ and BEIS – indicator D1) and the medium- and long-term financial sustainability strategy for CFF was not finalised (indicator D2). However, these two indicators should also be achieved soon.

⁶³ Note: there were planned costs that could not be reflected in the commitments (e.g. rental costs, IT licences and contracts not yet signed). This resulted in a difference between the total costs in Table 21 (EUR 14,163,514.05) and the total programme costs of EUR 15.8 million (without partner contributions) shown in Table 20.

Table 22: Output achievement

	Output A	Output B	Output C	Output D
Output Indicators	A1: Project proposal documents incl. technical, financial and funding options, environmental, gender and social aspects, climate risks' estimated emissions reduction and/or resilience predictions, as well as business model options, have been approved by each of the 12 partner cities' project teams.	B1: 12 partner cities' financial and institutional capacities to prepare climate action projects have been assessed jointly with the partner cities.	C1.a. 25 knowledge products targeting C40 and non-C40 cities (e.g. guidelines, handbooks, good practice documentation) and learning formats (workshops, training, webinars) based on CFF experiences and knowledge gap analyses have been developed	D1: Three additional potential partners have expressed their interest in a cash or in-kind contribution to the CFF.
Achievement	108%	125%	124%	67%
Output Indicators	A2: 12 projects meet industry-accepted financial requirements measured against pre-determined standards or tools (e.g. SOURCE).	B2: Capacity Development (CD) strategies to strengthen the capacity to prepare bankable climate action projects (incl. measures not relating to the specific CFF project) with the city's own allocated resources have been produced with 12 partner cities.	C1.b. ...of which 8 have been co-created with partners.	D2: A medium and long-term financial sustainability strategy for the CFF, prepared by the CFF management team, has been agreed by the CFF's Project Advisory Group (PAG).
Achievement	108%	125%	200%	50%
Output Indicators	A3: For each of the 12 partner cities, interactions (meetings, networking events, etc.) with potential financiers have been held on their project proposals, including private sector representatives.	B3: 50% of the CD measures agreed on with CFF in the CD strategy per partner city have been implemented.	C2: CFF knowledge products have been discussed during 5 practitioner dialogues, conferences or meetings, with organisations having a similar mandate to the CFF.	D3: 5 additional partnerships with diverse actors (e.g. national and international city networks, academic institutions, think tanks, other development organisations) have been established.
Achievement	108%	176%	120%	140%
Output Indicators	A4 NEW: 12 partner cities are conducting a gender analysis on their respective climate action project.		C3: CFF experiences in supporting cities to access finance for climate action projects have been fed into 10 national and/or international dialogues on the design of national and international climate, infrastructure finance or urban development agendas.	
Achievement	133%		120%	

Source: GIZ efficiency tool.

The achievements at output level are reflected in the achievement of outcome level indicators A to E (Table 23), with the achievement of outcome indicator E delayed but overachieved in May 2021.

Table 23: Outcome achievement

	Outcome A	Outcome B	Outcome C	Outcome D	Outcome E
Module objective indicators	A: 12 cities, including 3 non-C40 cities as part of 2 city clusters, have each submitted a robust climate action project that contributes to the SDGs and NDCs, and to prioritised public and financial institutions, thus meeting their respective financial and sustainability requirements.	B: A total of 24 city officials from 12 CFF partner cities have given specific examples of how the capacity gained through CFF engagement has helped them to structure climate action projects outside of the projects they had direct CFF engagement on.	C: 9 CFF-supported project concepts address the recommendations of their respective gender analysis.	D: 11 learning formats (e.g. workshops, webinars, online tutorials, conferences, exchange platforms) based on CFF experience have been found useful by 70% of the respective attendees from cities, 50% of whom were from non-C40 cities, policymakers and development organisations for accessing finance for climate action projects in cities around the world.	E: To ensure its long-term financial sustainability beyond the current phase of operations, the CFF has leveraged an additional contribution in cash or kind of EUR 10 million to enable cities to access finance for climate action projects.
Achievement	108%	158%	178%	127%	205%

Source: GIZ efficiency tool.

Average costs for the development of prefeasibility and feasibility studies (output A, EUR 7.762 million; Table 21) made up 0.9% of the expected total investments of roughly EUR 900 million (see Table 16). This is very cost efficient; experience in the Global South suggests that costs for a feasibility study are between 1% and 5% of the expected investment sum, depending on the complexity of the project. Under pessimistic scenario 1 (only six projects implemented), the share of costs for the expected investment of EUR 102 million

for these six projects would jump to 7.6%; this would still be acceptable in light of the highly innovative perspective.

The evaluators also received figures regarding the approximate distribution of CFF costs between the partner countries, estimated on the basis of 2019 cost allocations and displayed in Table 24. The total CFF expenditure for outputs A and B in 2021 is projected to be EUR 11.9 million (production costs related to project development at city level), with an average cost per project of EUR 627,765 (470,267 Euro in 2019). TA provided for the adaptation projects in Dar es Salaam and Dakar, and also probably the TA for eThekweni (not reflected in the South African average), were at the higher end due to its complexity. TA inputs for the Asian cities were also higher, which could be explained by the three Asian cities' particular circumstances.

Table 24: Distribution of CFF's costs between countries (2019, and 2021 projection); TA costs per project

Country	Partner city	Total CFF TA costs in EUR, in 2019 (input)	Distribution between countries in %	Number projects	CFF TA costs per project in EUR (input)	Total CFF TA costs in EUR, in 2021 (input <u>projection</u> for outputs A + B)	CFF TA costs in EUR, in 2021 (input <u>projection</u> for outputs A + B + C)
Mexico	Hermosillo, Guadalajara, Monterrey	1,159,570	13%	3	386,523	1,547,925	1,741,097
Colombia	Bogota, Bucaramanga, Cali, Monteria	1,510,400	17%	4	377,600	2,016,252	2,267,869
Brazil	Curitiba, Rio de Janeiro	578,072	6%	2	289,036	771,676	867,977
Ecuador	Quito	985,244	11%	2	492,622	1,315,215	1,479,346
Tanzania	Dar Es Salaam	831,705	9%	1	831,705	1,110,254	1,248,807
Senegal	Dakar	625,594	7%	1	625,594	835,113	939,331
South Africa	Tshwane, eThekweni	1,103,238	12%	3	367,746	1,472,727	1,656,515
Indonesia	Jakarta	633,454	7%	1	633,454	845,606	951,133
Philippines	Quezon City	693,030	8%	1	693,030	925,135	1,040,586
India	Bangalore	814,759	9%	1	814,759	1,087,632	1,223,363
TOTAL		8,935,066	100%	19	470,267	11,927,535	13,416,024
projected for 2018-2021, output A and B only:					627,765		

Source: GIZ CFF, authors' own calculations.

The outputs were produced within the planned timeframe, with a few delays, which were mainly due to the pandemic. CFF focused on projects that had already been defined by cities, therefore both mitigation and complex adaptation projects were included. During the process, CFF also learned that there might be differences between local situations (in terms of legal, financial, political, climate, social, geographical and geological aspects) and each project ended up being unique.

CFF concentrated on the development of individual projects (output A). CD processes were directly related to city projects and respective technologies (output B) and effectively combined theory with practice. K&L addressed additional cities and focused on the technologies developed, but also included discussions on finance options (output C). The peer-to-peer approaches ended up being very effective and could have been increased, for example, by reducing inputs to output A or reallocating output C resources to less expert-dominated training. A broader incorporation of financial institutions might have led to a higher level of understanding of urban financial needs, probably with a minimum shift in resource distribution (e.g. from output A to output C). More virtual workshops could have helped address a higher number of city officials; these are cost efficient, although face-to-face workshops may lead to greater knowledge sharing and learning quality. Workshops with communities in particular cannot be replaced by virtual events. CD could have been less ad hoc and more process-oriented and could have started before the capacity assessment results were available. Higher resource allocation to output B would have led to even better CD results, thereby better enabling city officers to act on their own in the future, and possibly increasing the incorporation of LNOB issues. Involvement of civil society actors (e.g. in K&L process), including private sector representatives, and better guidance for city officials on the needs of vulnerable groups could have led to a higher level of acceptance of the projects.

An increase in resource allocation to output D would probably have led to better results for C40 CFF. However, donors' willingness to provide funds is highly dependent on the external conditions. They can't be convinced by, for instance, targeted promotional actions. More efficient are the outcomes and impacts that are achieved and can be demonstrated. Therefore, CFF was right to focus on the first three outputs.

In general terms, it was observed in some interviews that the intensive coordination between GIZ and C40 required a lot of time and resources, as did the intensive stakeholder coordination. In view of the outputs and outcomes achieved, we feel it was worth it. The joint implementation through the GIZ and C40 partnership led to the comparative advantage of having direct access to cities and being closer to the cities' political level, which was identified as one of decisive factors for success. This also made it possible to accelerate the establishment of PIUs/TWGs in the cities, which are not only factors for success, but also serve as an important bridge towards sustainability. Moreover, direct access to cities' power structures also made it possible to successfully integrate SPAs and connect them with relevant city-level technical counterparts.

There was room for improvement concerning stakeholder coordination from local to international level, e.g. ownership at local level could be enhanced and the visibility and presence of CFF in international discussions could be increased, and concerning coordination between GIZ and C40 processes, e.g. the city-level CAP led by C40. In summary, the evaluators' opinion was that the CFF programme delivered its services efficiently, with few areas for improvement.

Efficiency dimension 1 – Production efficiency – scores **68 out of 70 points**.

Efficiency – Dimension 2: Allocation efficiency

The analysis of allocation efficiency was based on a reflection of whether CFF could have achieved better outcomes and impacts if resources had been allocated differently or increased, or if an alternative design had been applied. In terms of seROI (see Fleming, 2013), the advantages and disadvantages of the possible alternatives are briefly assessed here.

With respect to the environmental return on investment, we can state that each tonne of CO₂e expected to be mitigated in 30 years (of the expected total of 2.2 Mt CO₂e; see Table 16) required an average of six euros of TA provided by the CFF staff (projected TA costs at city level related to output A to C, EUR 13.4 million; see Table 24). Each euro of TA could lead to investments at city level that are 67 times higher. Under pessimistic scenario 1, the figures would change to 26 euros per tonne of CO₂e and investments of eight times TA, respectively, which is still acceptable in our view. The social return on investment of CFF is assumed to be high, in light of the fact that each euro of TA will potentially benefit thousands of people, particularly the vulnerable groups in the three adaptation projects, but a more thorough analysis has not been possible during this evaluation.

Alternative approaches were possible but may have exceeded CFF management capacities (too many regions and topics). They could have included, for instance:

- Greater orientation towards the needs and priorities of citizens and disadvantaged groups, thus leading to better achievement of socioeconomic results and possibly more awareness in terms of ecological problems (transport needs, waste, energy consumption, etc.).
- The creation of more national, regional and sectoral clusters of cities could have enhanced peer-to-peer exchange in 'communities of practice'.
- The strengthening of peer-to-peer CD and knowledge sharing in general terms could have increased the replication, scaling-up and visibility of CFF's outputs.

- The number of supported projects could have been reduced, possibly with a focus on a few sectors and more efforts on fostering 'communities of practice' with several municipalities around a key project (successful examples: Tshwane NMT, eThekweni TRMP, and Brazilian PV projects).
- Virtual learning could have led to cost reduction; it would not necessarily have increased cost effectiveness, since the quality of CD could have suffered leaving some cities or groups behind.
- Greater orientation towards finance readiness in addition to a focus on the development of feasibility studies could probably have increased access to finance.
- Involvement of the private sector in the development of climate action projects could have increased the preparedness of companies to finance cities' climate actions.
- The establishment of CFF as a fund, a focus on a Green Cities Development Bank (GCDB) or green bonds proposed at the initial stage of CFF could have resulted in a better institutional response for unlocking finance for cities at scale (Int_01; ODI, 2019).

In conclusion, we assessed allocation efficiency as high, with some room for improvement with respect to reaching out to vulnerable groups (social return on investment was not appropriately visualised by CFF, as opposed to the environmental and economic return on investment).

Efficiency dimension 2 – Allocation efficiency – **scores 24 out of 30 points.**

Methodology for assessing efficiency

Table 25: Methodology for assessing OECD/DAC criterion: efficiency

Efficiency: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and Limitations
Production efficiency (Input/Outputs)	The analysis of this assessment dimension was based on the efficiency tool in which costs are retrospectively assigned to outputs	Evaluation design: <ul style="list-style-type: none"> • Follow-the-money approach Empirical methods: <ul style="list-style-type: none"> • Application of efficiency tool • Benchmarking against outputs • Assignment of costs to outputs 	Data quality: <ul style="list-style-type: none"> • Availability of data: good • Collection of additional data: good • Evidence strength: good Possible limitations: <ul style="list-style-type: none"> • Assignment of CFF costs to outputs is only a rough estimate • Limited access to other donors' expenditure reports
Allocation efficiency (Input/Outcome)	Analysis of potential alternative designs and their cost efficiency as compared to the current CFF design	Evaluation design: <ul style="list-style-type: none"> • Return on investment Empirical methods: <ul style="list-style-type: none"> • Comparison of alternatives 	

4.7 Sustainability

This section analyses and assesses the sustainability of the CFF programme. It is structured according to the assessment dimensions in the GLZ project evaluation matrix (see Annex B).

Summarising assessment and rating of sustainability

Table 26. Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Capacities of the beneficiaries and stakeholders	17 out of 20 points
	Contribution to supporting sustainable capacities	22 out of 30 points
	Durability of results over time	42 out of 50 points
Sustainability score and rating		Score: 81 out of 100 points Rating: Level 2: successful

Sustainability represented the greatest challenge for CFF. Although the evaluation assumes that many of the expected impacts can occur, it is uncertain whether they can be broadly sustained in the long term. According to the evaluators, this was due mainly to the insufficient incorporation of social dimensions, but also to uncertainty concerning whether individuals will sufficiently understand and contribute to the changes. Exchanges with other projects and the scientific community on technological standards and dissemination could also have been improved. The evaluators were therefore cautious in their assessment and rating of sustainability.

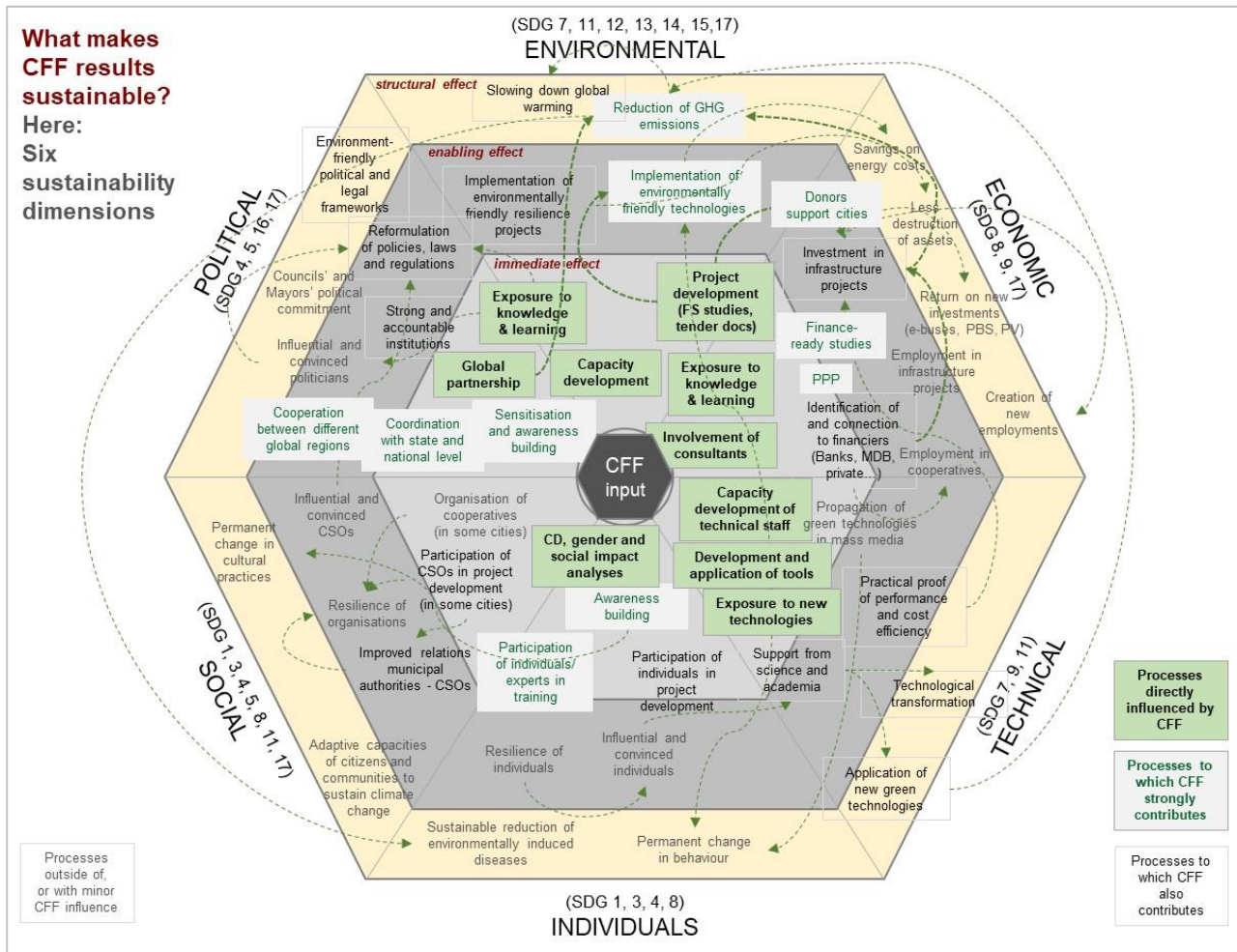
In total, the sustainability of the project is rated Level 2: successful, with 81 out of 100 points.

Analysis and assessment of sustainability

Sustainability is related to impacts. It reflects the likelihood of the results having a long-term perspective. The following diagram (Figure 5) summarises the relevant contribution of CFF to six sustainability dimensions and also reveals the strengths of CFF when contributing to impacts.

The analysis draws on recommendations from academic discussions on urban sustainability (Binder et al, 2020:10ff), which identify three main pillars of sustainable development: environmental protection, economic growth and social progress (see also BMZ, 2020d). In the context of CFF, we have added three further dimensions: policy (important for structural change), individuals (important for changes in attitudes – ‘Put people at the heart of climate actions’ [C40, 2019b:16]) and technologies (important for adaptation of product supply markets). The equally important ‘financial markets’ dimension is subordinated to the economic dimension. The ‘culture’ dimension proposed by the Sustainable Cities Collaboratory (SCC, 2020) is subordinated to our ‘social’ and ‘individuals’ dimension (see also Seghezze, 2009; Dempsey et al., 2009; Horlings, 2015). The relevant SDGs (see also Annex A) are assigned to the six dimensions. Two main concepts guided our analysis reflected in this diagram: 1) There are immediate, enabling and structural effects that contribute to long-term sustainability (similar to inputs> outputs> outcomes> impacts); and 2) Sustainability is more likely to be achieved when all dimensions are addressed.

Figure 5: Sustainability diagram⁶⁴



Sustainability – Dimension 1: Capacities of the beneficiaries and stakeholders

The basis for the analysis were the capacities of city-level infrastructure project development departments and PIUs/TWGs to continue with climate actions, the capacity of CFF to sustainably act as a multi-partner organisation, and the capacities of local, national and international partners to contribute to urban climate actions. The evaluation was conducted in accordance with the analytical questions in the evaluation matrix (see Annex B) and established evidence for causal links from documents, interviews and FGDs with selected stakeholders, the online survey and the study of selected city cases.

The approach of CFF is interrelated with partner cities' objectives and policies. It is reflected in the PIUs and TWGs created, many of which will continue and were institutionalised, e.g. in Jakarta and eThekweni. However, it is too early to provide a clear answer to the question concerning the extent to which beneficiaries and stakeholders from the partner cities and other participating cities have the institutional, human and financial resources and the willingness (ownership) required to sustain the positive results of the intervention over time. The interviews with stakeholders and city officials definitely suggest increased capacities and ownership (Int_04, 07, 14; CFF, 2021h, Annex IV), although a need for further CD and exposure to K&L was also expressed (Int_20-68). The survey results (Q30) seem rather modest and cautious: 79% of survey respondents representing the cities were confident (62%) or very confident (17%) that they could formulate finance-ready climate action projects after the support of CFF, but around one fifth (21%) were not confident.

⁶⁴ Prepared by the authors and inspired by: www.researchgate.net/figure/Sustainability-Analysis-Diagram-of-the-Foodie-Project_fig5_321228295 [01.02.2021].

CFF's indirect beneficiaries, i.e. the citizens of partner cities and their organisations, have only been partly involved in selected projects. Their capacities were not substantially enhanced (or not yet anyway, in the case of the adaptation projects); therefore, the question regarding their resilience and ownership cannot yet be answered. The link with the CSOs/CBOs that participated in the bicycle projects in Colombia was discontinued and, therefore, they might be reluctant to support the projects in the future (e.g. in neighbourhood initiatives for maintenance). The Tshwane NMT was not broadly disseminated and 'it is possible that stakeholder engagement is insufficient to ensure that everyone is on board'. By contrast, the participation of residents in the adaptation projects has been very high so far (Int_17, EE_03-05, 09, 11, 13, 15).

On the other hand, CFF and its partners certainly have the willingness, and most probably also the capacity and resilience, to move the initiated processes forward. Regarding CFF's institutional sustainability, some respondents were rather pessimistic, while others gave it 'at least 30 years, as there is a lot of potential to support sustainable investments' (Int_01-03, 05-16, 18-19). There were exchanges with scientific institutions and academia, but this could have been improved. However, this area seems to be sufficiently covered through CFF's relationship with WRI.

CFF built an important basis for improved capacities and increased government acceptance with respect to certain technologies. However, public acceptance of the technologies promoted is not clear, and more focus could have been placed on this aspect (e.g. e-bus batteries, PBS, and combined cycle and bus lanes).

Sustainability dimension 1 – Capacities of the beneficiaries and stakeholders – scores **17 out of 20 points**.

Sustainability – Dimension 2: Contribution to supporting sustainable capacities

The basis for the analysis of the CFF programme's contribution to supporting sustainable capacities was, again, the capacities of the different stakeholders involved. The evaluation analysis was based, firstly, on the analytical questions in the evaluation matrix (see Annex B) and, secondly, on established evidence for causal links from documents, interviews and FGDs with selected stakeholders, the online survey and the study of selected city cases. The main findings are presented in a diagram (see Figure 5).

The analysis suggests that CFF made an important contribution to supporting sustainable capacities in the environmental, economic and political dimensions and, to some extent, in the technical dimension, but had less influence on processes related to the sociocultural and individual dimensions. Through K&L, it strongly contributed to enhancing the vision of a global intercity partnership. The following contributions made by the CFF programme to the six dimensions were identified (CFF, 2021e, i; Int_06, 20-68; EE_05, FGD_01-04):

- **Environmental dimension:** the CFF programme made a high contribution through the provision of CD, knowledge and support for formulating climate actions; cities were committed to their political obligations; selected cities were provided with further 'handholding' support for the preparation of tender documents and initiation of funding processes. The majority of city officials confirmed that they were able to continue with the changes initiated (61%), saw their city as a key player in the sector (68%), and expected a significant reduction in GHG emissions in their city (77%) and less environmental damage caused by climate change (86%) as a result of the support from CFF (survey, Q21, 27, 42-43). Reduced CO₂e emissions will improve the air quality and reduce environmentally induced diseases and exposure to climate change disasters and hazards.
- **Economic dimension:** CFF made a high contribution by supporting climate actions focused on future investments, guiding cities' financial structuring and cost recovery, tapping into public and private funds (15 of 17 project packages included respective recommendations) and incorporating socioeconomic and poverty issues into project proposals (14 and 11 project packages, respectively). Project implementation will lead to short-term employment and could boost economic development. Moreover, cities are expected to reduce public expenditure through reduced air pollution and green electricity inputs. The adaptation projects included income generation for disadvantaged groups.

- **Technical dimension:** CFF contributed to CD and knowledge transfer on new technologies and introduced the partner and other participating cities to a range of climate-friendly technologies and related tools. The responsibility for further technological change lies with the cities themselves; they will decide on the suppliers to contract and the solutions to implement. The cities will likely take over responsibility for further promotion of the chosen solutions. Private suppliers will contribute with product marketing and universities and think tanks will participate with scientific studies.
- **Political dimension:** CFF supported the participating bodies with several inputs to political frameworks and regulatory documents, not only at city level, but also at other government levels. It contributed to raising the awareness and commitment of participating governments, with respect to both climate action and transversal perspectives. It strengthened cooperation between municipal, district, state and national institutions and, by supporting exchanges between different cities, enhanced cooperation between the global regions. In eight of 17 project proposal documents, it explicitly incorporated good governance questions. However, the influence of CFF on mid- to long-term political and governance frameworks was limited.
- **Social dimension:** social sustainability refers to job creation and poverty alleviation, as well as social equity, cultural diversity and quality of life. CFF guided and influenced city officials concerning social issues, thus contributing to strengthening social values in the partner institutions. The majority of survey respondents (71%) confirmed that their cities are now better addressing social vulnerabilities to climate change after having received support from CFF (Q31). CFF's interaction with civil society representatives was scarce, however, and therefore its influence to enhancing the adaptive capacities of citizens and communities to sustain climate change (e.g. by improving social cohesion and strengthening the human capital of citizens) was limited.
- **Individual dimension:** CFF contributed to the individual sustainability dimension by carrying out gender and social impact analyses and providing CD to individuals and experts, and also partly by carrying out awareness-raising in communities (e.g. in adaptation projects). Its influence on changes to the individual behaviour of the final beneficiaries (i.e. infrastructure users) was very limited.

Fifteen of the 17 CFF-supported project packages included general exit recommendations, e.g. marketing proposals, implementation risk assessments, monitoring of the inclusion of gender and socioeconomic issues, handover ceremonies, presentation of benefits (including GHG emission mitigation impact and health benefits), procurement and contract structuring and detailed construction plans. In Dar es Salaam, an additional work plan and timeline were developed to finalise project preparation, potentially with support from new partners. (CFF, 2021e, h, i). Exit strategies were developed, but lacked recommendations in terms of the concrete definition of processes after CFF's withdrawal, with timeframes and responsibilities at city level. (CFF, 2020m)

By following a demand-oriented approach and developing project proposals jointly with the responsible city departments, by transmitting knowledge, tools and training materials to the cities to be applied in the development of future projects, and by enhancing learning and exchange between cities and city departments, CFF made an important contribution to strengthening ownership and developing capacities. However, maintaining ownership and resilience to climate change at city level will very much depend on the further efforts and political commitment of cities. It will also depend on citizens' awareness and commitment and on the willingness of individuals to move the initiated processes forward and to support the projects proposed to mobilise finance and ensure they are implemented.

Sustainability dimension 2 – Contribution to supporting sustainable capacities – scores **22 out of 30 points**.

Sustainability – Dimension 3: Durability of results over time

The basis for the analysis was the assessment of the extent to which partners and beneficiaries are expected to continue to use the results. The evaluators looked at the external context of CFF and discussed the long-term likelihood of partners' and beneficiaries' contribution to mitigating climate change. The results of the impact assessment and the diagram developed (Figure 5) represented our starting points for discussion.

The sustainability of the CFF programme's results will strongly depend on the implementation of projects, whether the planned investments will materialise and whether dissemination of the projects and the partners' proactivity will continue. It is too early to provide a clear answer on sustainability prospects. Sustainability of some investments or technologies might be questionable, e.g. e-buses (too costly, CO₂e mitigation not clear if energy sources are not renewable, alternatives floating the market such as methane technologies, cableways and hybrid solutions) and PBS (too costly, high chance of vandalism and theft, individual e-bikes as alternatives). However, the durability prospects in the environmental, economic and technical dimensions were rated as likely to be positive, as CFF provided a robust basis for scaling-up and replication. CFF and city governments need to ensure that civil society actors are more strongly on board, however: 'If city responses to climate change do not acknowledge and respond to the social and economic barriers that feed inequities, mayors may suffer politically, losing public support and the power to deliver on their wider agenda' (C40, 2019b:6). The durability prospects in the social and individual dimensions were viewed with reservation by the evaluators, yet many citizens will welcome and continue the changes that have been introduced.

Political changes or a reduction in the commitment of cities to climate change may affect the achievement of impacts and the durability of the results. However, C40 has options to guide the cities, i.e. to keep them motivated to stay with C40 and to follow the agreed criteria. In addition, current external conditions influence sustainability positively, including the commitment of most partner cities to the Paris Agreement and the SDGs, national commitments to the NDCs, international climate change discussions and awareness-raising, C40 actions, the global projects of BMZ-GIZ and other donors, and the increasing interest of donors to support projects in urban contexts. Therefore, the political context will have a positive influence on the long-term durability of the results.

Sustainability dimension 3 – Durability of results over time – scores **42 out of 50 points**.

Methodology for assessing sustainability

Table 27: Methodology for assessing OECD/DAC criterion: sustainability

Sustainability: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Capacities of the beneficiaries and stakeholders	<ul style="list-style-type: none"> City-level capacity to continue with climate actions CFF's capacity to act as a multi-partner organisation Capacities of local, national and international partners to contribute to urban climate action projects 	Evaluation design: <ul style="list-style-type: none"> Evaluation matrix Empirical methods: <ul style="list-style-type: none"> Review of documents Interviews and FGDs; survey 	Data quality: <ul style="list-style-type: none"> Good Possible limitations: <ul style="list-style-type: none"> Access to vulnerable groups / final beneficiaries limited
Contribution to supporting sustainable capacities		Evaluation design: <ul style="list-style-type: none"> Contribution analysis Empirical methods: <ul style="list-style-type: none"> Same as above 	Same as above
Durability of results over time	Extent to which partners and beneficiaries are expected to continue to use the results (long-term likelihood of partners and beneficiaries contributing to mitigating climate change)	Evaluation design: <ul style="list-style-type: none"> Context and risk assessment Prospect assessment Empirical methods: <ul style="list-style-type: none"> Same as above 	Same as above

4.8 Key results and overall rating

GIZ-CPE rating system

The evaluators applied the GIZ-CPE rating system based on the OECD/DAC criteria. The CFF programme's overall score was derived from the average points awarded for each of the six DAC criteria rated on a scale of 1 to 100 (percentage system). All DAC criteria were equally weighted for the overall score (maximum 100). The maximum score for each assessment dimension within the OECD/DAC criteria was determined by GIZ-CPE (see Table 28), as were the score scales (Table 29). The evaluators carefully analysed each assessment dimension and assigned points to the best of their knowledge.

Overall rating of the CFF programme

The overall rating of the CFF programme's key results (as successful) was a complex exercise. The rating shows that coherence, effectiveness and efficiency were highly successful and relevance was successful, but very close to a 'highly successful' rating. Impact and sustainability were rated as successful (close to 'moderately successful') and obviously seem to be the weakest elements of the CFF programme. Concerning impacts, it is too early to reach definitive conclusions about aspects that will evolve over time and whose key elements for success are still being worked on, particularly the closing of financial transactions for several of the subprojects. The closure of the CFF programme in several cities and an ambiguous position regarding CFF's continued support to selected cities have certainly influenced the sustainability prospects of the CFF programme's results. While highly appreciative of the value of CD, several cities seem not fully convinced that they will be in a position to sustain or replicate similar climate initiatives to achieve complete business models and financial transactions.

Table 28: Rating and score scales

100-point scale (score)	6-level scale (rating)
92–100	Level 1: highly successful
81–91	Level 2: successful
67–80	Level 3: moderately successful
50–66	Level 4: moderately unsuccessful
30–49	Level 5: unsuccessful
0–29	Level 6: highly unsuccessful
<u>Overall rating:</u> the criteria of effectiveness, impact and sustainability are knock-out criteria; if one of the criteria is rated at level 4 or lower, the overall rating cannot go beyond level 4, although the mean score may be higher.	

Table 29. Overall rating of OECD/DAC criteria and assessment dimensions

Evaluation criteria	Dimension	Max	Score	Total (max.100)	Rating
Relevance	Alignment with policies and priorities	30	28	91	Level 2: successful
	Alignment with the needs and capacities of the beneficiaries and stakeholders	30	27		
	Appropriateness of the design*	20	18		
	Adaptability – response to change	20	18		
Coherence	Internal Coherence	50	46	92	Level 1: highly successful
	External Coherence	50	46		
Effectiveness	Achievement of the (intended) objectives	30	29	92	Level 1: highly successful
	Contribution to achievement of objectives	30	25		
	Quality of implementation	20	19		
	Unintended results	20	19		
Impact	Higher-level (intended) development changes/results	30	25	82	Level 2: successful
	Contribution to higher-level (intended) development results/changes	40	33		
	Contribution to higher-level (unintended) development results/changes	30	24		
Efficiency	Production efficiency	70	68	92	Level 1: highly successful
	Allocation efficiency	30	24		
Sustainability	Capacities of the beneficiaries and stakeholders	20	17	81	Level 2: successful
	Contribution to supporting sustainable capacities	30	22		
	Durability of results over time	50	42		
Mean score and overall rating		100	88		Level 2: successful

4.9 Follow-on project

In November 2020, GIZ presented the proposal for the follow-on CFF project to BMZ, prepared jointly with C40 (GIZ, 2020b). Meanwhile, BMZ accepted the offer and confirmed funding; additional funders are in the process of stepping in. The proposal builds on the learning experience of the previous programme and the pilot actions. In general terms, the structure of the follow-on CFF project is similar to that of the finalising CFF programme, but some adjustments have been introduced to reflect the lessons learned. The results model of the follow-on project is plausible. Risks are adequately considered. Contrary to the evaluated CFF, the follow-on project is oriented less towards a functional, output-oriented approach to individual project elements and more towards cross-functional outcomes of holistic project support.

Impact level

The CFF follow-on project puts more emphasis on measuring the impacts on vulnerable groups in adaptation projects and enhancing their resilience. Impact indicator 1 of the follow-on project focuses on GHG mitigation, in a similar way to the CFF pilot actions and the evaluated CFF. Impact indicator 2, however, puts the spotlight on the expected beneficiaries of adaptation projects. The evaluators welcomed this addition, as it will force the project management team to pay more attention to the impacts on marginalised city dwellers.

Outcome level

- The major social dimension of the CFF follow-on project results is also reflected in outcome indicator 2, which involves not only the establishment of an intersectoral PIU in each city, but also the participation of an officer responsible for gender and equality issues in each PIU.
- Contrary to the evaluated CFF, the results related to project finance (the amount of investment cities are expected to mobilise) are now reflected at outcome level (indicator 2) rather than at impact level. There will be a much higher requirement for CFF management to demonstrate that finance has been secured for the formulated projects. This confirms that the CFF team acknowledges the weaknesses of CFF. The expected amount (investment in additional projects = 10 times TA) corresponds to CFF's potential to bring city projects to finance readiness before the finalisation of the CFF programme and is realistic.
- The third outcome indicator of the CFF follow-on project focuses on regulations or policies, from subnational to national level, to support the financing of climate adaptation or mitigation projects in cities. This indicator introduces the important political dimension, which was implicitly introduced in the evaluated CFF programme, and responds to the need to adapt legal and political frameworks.

Output level

The CFF follow-on project now has three pillars instead of four: 1) Cities and their partners have prepared finance-ready climate action project proposals that contribute to a green and just recovery from the COVID-19 pandemic; 2) Cities and finance providers link projects to finance; 3) CFF partner cities and other cities have improved the individual and organisational capacity needed to scale up or replicate climate action projects that contribute to a green and just recovery from the COVID-19 pandemic. The CFF follow-on project takes up processes from the finalising CFF programme and carries them forward. It explicitly includes previous CFF partner cities in these new processes (12 projects as a baseline), in addition to addressing new cities (currently 14 cities in total, considering the available BMZ funds only). There is no longer a separate K&L component. CD of partner cities is combined with CD and K&L processes in other cities. Peer-to-peer exchanges between different cities are explicitly mentioned under the activities related to output 3.

5 Conclusions and recommendations

5.1 Key findings and factors of success/failure

Here, the evaluators present the success factors only and, in addition, any challenges and shortcomings. There were certainly also failures in the CFF programme, but these were integrated as learning experiences into further implementation processes.

Findings regarding factors of success

Successful coordination: the coordination of donors at the design stage between BMZ, BEIS and USAID, and later also ClIFF, was smooth during project preparation and implementation. The frequent coordination between the two partners GIZ and C40, the involvement of GIZ DVs, C40 RDs and the engagement in CCFLA were key elements in the CFF managerial structure.⁶⁵ There was strong joint project management through the GIZ CFF Head and the C40 CFF Head. Regular donor steering was achieved through PAG (steering 'light'); and, on a day-to-day basis, there was intensive coordination between GIZ and C40. Intensive stakeholder coordination at global level was achieved through CCFLA and participation in relevant events. Responsibility for stakeholder coordination and communication at regional level was placed in the hands of the C40 REMs and achieved by SPAs at city level.

CFF cities expected to succeed: all funding agencies assume that all CFF cities covered so far will succeed in getting access to funding, and that all projects are moving ahead and can be implemented (Int_12). The evaluators learned from many CFF stakeholders that CFF accelerated the project preparation process (access to MDBs, contact with national development banks, improved technical quality of climate action plans, etc.), although similar results would eventually have been achieved, albeit with much greater effort, much more slowly and probably with lower quality. Bogotá and Bangalore, where the cities tried to implement the projects with their own resources but failed after several attempts, are characteristic examples.

The tailor-made approach worked in CFF cities: CFF's city-specific and sector-specific approach to finance-ready project development was the most appropriate. This helped adequately develop projects aimed at the vulnerable and specific target groups. CFF had a good initial risk assessment, and applied detailed risk monitoring during project implementation; CFF managed to provide immediate responses to risks, for instance when there were changes in government, delays in the implementation of activities, a lack of commitment from stakeholders and even public unrest or protests. To initiate climate actions and ensure a bigger buy-in, smaller demonstration projects, for starters, can have a very motivating impact and should be promoted as part of the scaling-up concept. This can also go hand-in-hand with an incremental approach to CD for project preparation.

Good communication has been a key factor: SPAs were extraordinarily important at local level. They knew how to manoeuvre the political context and helped maintain good communication with political leaders (mayors, city councils, etc.), in coordination with C40 RDs, GIZ DVs and REMs. The SPAs helped generate commitment and a sense of project ownership at city or regional level and were key to establishing links with local CSOs and communities. It is evident that publicity was important. Citizens needed to witness initiatives becoming reality, pilot measures taking place, work being done and citizens getting involved. Urban transport and mobility projects were the most visible projects. Engagement with the media was a crucial factor to generate visibility.

Interdepartmental coordination and support from other government levels: cities expressed their appreciation of the role of PIUs and TWGs and the important role SPAs played in coordination and fostering sustainability after handover. Beyond these entities, coordination with and between other government bodies was crucial in most projects; such interdepartmental coordination is seen as important for successful project

⁶⁵ It is surprising, however, that there were other C40 activities, e.g. CAP, which were less well known and not optimally incorporated into CFF.

development. Division of responsibilities and technical, budgetary and political buy-in are just as important as technical knowledge.

From political commitment to financing: the level of political commitment often translated into viable strategies for project funding, either through cities' own resources, partnerships with private sector investors or financing institutions from national to international level. By the time the CFF programme came to a close, there was a good likelihood that at least 15 of the 18 projects would be financed and implemented. This in itself is a remarkable success of CFF and compares very well with other project facilities. However, earlier identification of potential financial institutions, closer links and communication with financiers (including from the private sector), broader incorporation of financial institutions and selective support in the tendering phase (as demonstrated in Bangalore, Jakarta, Quezon City and Guadalajara) might have led to a higher level of awareness and understanding of cities' financial needs and options and to even better implementation results.

Cooperation agreements with cities: while some cities may have complained about the challenges of the application process, most praised the low levels of bureaucracy involved in joining CFF. Since CFF has direct political access to cities through the C40 membership concept, MoUs were sufficient. However, some regions felt that MoUs were too cumbersome and simpler 'letters of commitment' might have been easier to handle than MoUs, which often require approval from the city council.

Peer-to-peer learning and cluster building (communities of practice): these were universally seen as one of the project's successes, an achievement overwhelmingly cited as a positive takeaway. Many lessons were learned. Technical teams appreciated learning about new technologies and the techniques used to measure expected GHG reductions. The importance of project lessons for local regulations and national legislations was highly appreciated, as demonstrated by the e-bus project in Jakarta and the PV project in Quezon City.

Incorporation of gender and social perspectives: many cities expressed their positive perception of the CFF programme's gender and LNOB approaches. The gender analysis was an 'eye-opener', since it proved relevant even for the design of sectoral projects and was demonstrated to help raise awareness in terms, for instance, of energy saving, thus providing justification for CFF investments. The inclusion of gender dimensions is expected to make CFF projects more inclusive and sustainable.

Multilevel and multi-partner approach: CFF was not the sum of individual projects spread across several cities. The interaction between the different levels and involvement of many partners increased the effectiveness and sustainability of the results, in particular through K&L exchanges.

C40 CFF as an institution: C40 CFF has been working on ideas to operate without money from overseas development assistance (ODA). One option may be for C40 CFF to become a sort of consultancy operation for banking transactions, paid for by cities. However, it is highly unlikely that cities will ever be willing (or allowed) to pay for the services of an international consultancy-style transaction service. The overall stakeholder feedback was that there is very little support for the idea to institutionalise C40 CFF, as it would lose its 'independent broker' status, which should be retained. The idea that C40 CFF could be paid on the basis of results, from closed/negotiated financial transactions, might be an alternative, but this is not easy to implement either and the costs may limit the feasibility of this model.

Challenges and shortcomings

It should be noted that the following comments are considered important, but do not apply to all project locations. Hence, specific references to some project locations are provided to highlight the context.

Underestimation of risks in a few cases: due to political changes (in city governments and the administration), risks were underestimated in some cities (e.g. in the two pilot projects in Mexico City and Bogotá). Some of the selected projects were very complex (e.g. eThekweni, Dar es Salaam and Dakar) and could not have been anticipated during the CFF planning phase. It did not result in the resources earmarked for the projects being stretched, as CFF was sufficiently flexible to shift the budget according to local needs. However, the project formulation might have led to more concrete funding options if more of CFF's money (and time) had been available for the studies.

Duration of support to cities: views differ on the issue of the length of support. One view from Bogotá was that support from the CFF programme should not have ended with the handover of feasibility studies as the only final product, but that there should have been a commitment to see projects through to the completion of financing agreements. In the case of the Colombian intermediary cities, they were left to organise funding through national sources (Int_16). Many municipal officials stated that they would have liked to see the support extended. While one of the donors stated that it did not want to finance a facility where handholding support needs to be extended until every last detail of the financial transactions is settled or the final physical works are completed. Once business cases are established, a funding agency prefers to withdraw (Int_12). Another stakeholder stated that it was more empowering for cities to continue on their own until financial close of the individual project (Int_03).

C40 CFF is seen as a funding agency: the name of the CFF programme suggests that it has its own money. This was misleading and led to false expectations. During the current phase for new project applications, C40 CFF prepared explanations to better provide the cities with clarity on its role. As there was some confusion regarding terminology, CFF should also clearly define and communicate what 'finance readiness' means and what level of formulation city projects are expected to achieve.

CFF as an independent broker to access financing: C40 CFF initially hoped that it would encounter a lot of projects ready for financing; however, this was not the case, and the capacity to develop bankable projects was rather low at city level. Criticism has been voiced about some of the financial analysis work. On the other hand, CFF was recognised as the only independent broker reaching out to different financial sources adapted to cities' legal and financial contexts.

Longer-term strategies for engagement: CFF, together with its donors, should rethink the timeframes for project development at city level. The usual two-year timeframes for CFF cities are considered too short for projects to reach maturity.

Private sector partnerships will offer additional innovation potentials: CFF experienced a good deal of potential for private sector involvement. The feedback provided suggested that more could have been done to attract private sector funding. Innovative communication and direct contact (roadshows), for instance, were recommended.

CD could have started earlier: CD could have been more process-oriented and could have started at the beginning, instead of when the capacity assessment results were available. One funding agency questioned whether sufficient skills had been developed within cities to build business models and financial structuring for future projects through, for example, PPPs or concession models. In the case of Dakar and Dar es Salaam, it was questioned whether the cities had the skills to implement their projects, since they lack an experienced technical agency to lead the investments.

Did CFF measure GHG impacts correctly? It is not certain that GHG reduction impacts were adequately assessed. One funding agency emphasised that it would like to see whether the GHG results could reach the expected targets. Scientific methodologies for calculating GHG reductions are still awaiting final approval. On the other hand, the Greenhouse Gas Protocol, which is supported by BMU, C40 and many other public and private donors, makes tools publicly available to cities.

Political and donor advocacy: CFF delivery partners did not sufficiently cover the political advocacy of the programme vis-à-vis the British embassies in the participating countries. Changes in city administrations highlighted the possibility of cities dropping out. Political turnover can put project investments at risk. Regarding donor advocacy, it was recommended that the BMU also be involved and that BMZ support alone should not be relied upon, since this can broaden political outreach and the budgetary framework available.

Findings regarding the 2030 Agenda

The CFF programme contributed to the implementation of the Paris Agreement and the 2030 Agenda, in particular SDGs 13 and 11, in addition to several other SDGs. Most regions in the Global South are, however,

way behind their commitments in terms of achieving the SDGs.⁶⁶ However, it is fortunate that large private financing agencies such as JPMorgan, which promised USD 2.5 trillion through to the end of 2030, are getting ready to invest in sustainability initiatives. This could offer new perspectives for the work of C40 CFF.⁶⁷

Universality, shared responsibility and accountability of CFF. CFF contributed to achieving the SDGs where possible, not only in relation to climate change and sustainable urban development. Project documents stressed the specific contributions expected by sector and city, e.g. to improved health, economic participation, domestic finance and international SDG partnerships.

Interplay of economic, environmental and social development. CFF concentrated on the environmental and economic dimensions of sustainability. The social dimension was relevant in specific projects and in relation to the gender perspective, but was not considered an important cross-sectoral issue.

Inclusiveness / LNOB. Support for particularly vulnerable groups and their participation were topics in the adaptation projects. The other projects introduced gender and LNOB issues in their training and also incorporated these topics into project documents. Several project officers highlighted the shift in mindset concerning these topics, while others said that it was a ‘theoretical’ discussion. After the projects are implemented, it will become clear whether these approaches were taken seriously. The statements of the city officials interviewed show that more awareness was created.

Findings regarding the follow-on project

The evaluators welcomed the adjustments reflected in the CFF follow-on project offer, e.g. the continuation of processes initiated in CFF, the more explicit focus on social issues and vulnerable and disadvantaged beneficiary groups and the improved clarity concerning what finance readiness should achieve. They were concerned, however, that important knowledge exchange processes between cities might be reduced, particularly in view of the multilevel approach of CFF, which strengthened global urban initiatives and south-south, north-south and inner- to intercity exchanges. The evaluators also felt that CFF should challenge itself more by reaching out to as many cities as possible, while responding to the available funds.

5.2 Recommendations

Conceptual issues

- **Try to better balance mitigation, adaptation or resilience with green infrastructure or green urban development.** A more holistic approach to green urban development is recommended, including actions related to GHG sequestration in cities (e.g. tree planting in parks, green roofs and façades and urban forestation).
- **Highlight intended contributions to SDGs.** Introduce beneficiary profiling into the project preparation process. Consider social and economic inequalities in cities, problems related to informality / the informal sector and LNOB more explicitly.
- **Define up front the expected climate results at city and country level, for instance in terms of reduced GHG emissions.** Projects will contribute to countries’ NDCs and improve cities’ environmental performance. CFF city projects should be better incorporated into the CAP process at city level. CFF should be presented much more as a programmatic project formulation facility for cities that intend to implement global green development objectives.

⁶⁶ See, for instance: <https://www.eltiempo.com/vida/medio-ambiente/latinoamerica-rezagada-en-los-objetivos-de-desarrollo-sostenible-508040> [17.05.2021]; <https://datatopics.worldbank.org/sdgoalatlas/goal-13-climate-action/> [17.05.2021].

⁶⁷ <https://fortune.com/2021/04/15/jpmorgan-sustainable-green-investment-2021/> [17.05.2021]. A similar message was circulated in June 2021, conveying that private investors are demanding more investment opportunities for climate action: www.cnn.com/2021/06/10/investing/climate-change-g7-investors/index.html [10.06.2021]; <https://www.scmp.com/comment/opinion/article/3133552/why-world-awash-green-investments-cant-find-money-sustainable> [17.05.2021].

- **Stay relevant and ensure that projects are transformational.** Ensure that the commitments of cities are maintained and develop long-term visions of the sectoral transformations triggered by the investment projects. Develop longer-term funding strategies for multi-year and multi-donor investments. Undertake regular risk assessments to ensure the continuity of the projects.
- **Enhance peer-to-peer learning.** Institutionalise and strengthen exchange mechanisms through 'clusters' of cities or 'communities of practice'. C40 CFF should reach beyond C40 members. K&L processes should involve a higher number of cities, particularly in Asia. Experiences of the cluster approach should be built on and the cluster model expanded.
- **Act locally but think globally.** Continue the multilevel approach by transmitting global visions and international exchanges to cities.

Managerial issues

- **Selection of cities.** Selection criteria for partner cities should be more transparent to avoid burdening the applicant cities unnecessarily.
- **Making projects more participatory.** Cities should decide on their participatory approaches; this is not the mandate of CFF. However, CFF could highlight inclusiveness more in climate projects, thus improving cities' capacities to carry out socially balanced planning.
- **K&L.** Internal learning and innovation of projects (capacity development for SPAs, etc.) could possibly be improved to achieve more convergence and horizontal information sharing.

Communication and coordination

- **Knowledge sharing.** Communication and knowledge sharing with other relevant programmes / projects could still be improved, including advocacy vis-à-vis embassies. Also, lessons learned should be disseminated and sector-focused and intersectoral exchanges of experience between different cities should take place.
- **Clarity in the communication of CFF services.** Cities should be clearly informed about the services and project packages they will receive. CFF provides TA to cities for free. However, municipal officers must invest their valuable time, which means that cities must take resources from other processes. The cities therefore need to know exactly what they are getting in return.
- **Information about donor funding.** PAG could help CFF frequently update information on other relevant donor-financed projects; there could be a strategically oriented scoping related to key projects / programmes.
- **Visibility.** Coordination and complementarity could be improved through more visibility; PAG could support CFF in achieving a higher level of complementarity. Communication and coordination between the different levels of government (municipal, metropolitan, provincial, national, etc.) can be crucial and should be enhanced.
- **Dissemination of results.** The results of the CFF pilot actions and the CFF global programme should be broadly disseminated at city level, nationally and internationally, and knowledge products should be developed and disseminated.

CFF strategies

- **Support all cities to complete financial transactions.** CFF support to cities has been limited to two years. This seems too short given the fact there can be delays and transaction support vis-à-vis financial institutions may require additional time. Consider providing cities with further CFF assistance ('handholding') until financing agreements are complete. Support should not end with the handover of feasibility studies.

- **Strengthen transformational contribution to cities.** In addition to individual project development at city level, more attention should be paid to the strategic orientation of CFF. There could be, for instance, smaller demonstration projects to engage cities and city mayors in positive actions, to be scaled up later. From the initial stage (during the presentation of project proposals by the cities), there should be clarity about possible financing options, with reference not only to multilateral development banks but also to national banks, regional/global green bonds and other financiers, including from the private sector. Cities should be aware of national and cities' own finance options when preparing their initial project proposals. When seeking finance, many cities are not able to borrow money directly; they need a state guarantee and have to coordinate with the national level.
- **Scale up access to finance.** There needs to be more reflection on how CFF could engage more with national institutions, in particular national financing institutions and national development banks, if CFF is aiming to scale up access to financing. Many cities prefer national financial institutions due to their accessibility and use of national currencies, which allows them to avoid exchange rate risks. At the same time, collaboration with more international or regional financial institutions is necessary.
- **Make private sector a bigger player in CFF.** CFF should develop more innovative investment approaches, work more directly with private investors and bring private sector project developers into the CFF team. This could be achieved, for instance, by considering the participation of private sector representatives in project development and CD processes, undertaking roadshows to present business and investment models and meet potential private investors, and opening a major new private sector transaction window for city-level projects to be paid on the basis of results. Certainly, the private sector would have to play a much bigger role than they currently do to address the current investment gap.
- **Attract new funding agencies and seek more visibility.** CFF stakeholders should also involve BMU and other German ministries, rather than BMZ alone. CFF should try harder to increase its group of funders and to gain sufficient independence from BMZ. The amount of money needed for city climate action is so vast that it cannot be addressed by a programme like CFF. The existing (generous) allocations are no match for the demand. C40 CFF should communicate with the EU as a potential donor; there could be a link to the current EU seven-year plan.

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Annex A: CFF's contribution to the SDGs

Table 30: CFF's contribution to SDGs

SDG / target	Expected impact (SDG target)	Evidence from data (project proposals, interviews)	Strength of contribution
SDG 1, target 1.5	<ul style="list-style-type: none"> By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events (...) 	<ul style="list-style-type: none"> eThekwini, Dar es Salaam and Dakar projects, all addressing vulnerable communities 	<ul style="list-style-type: none"> High (provided they are implemented)
SDG 3, target 3.6	<ul style="list-style-type: none"> [By 2020], halve the number of global deaths and injuries from road traffic accidents 	<ul style="list-style-type: none"> Bogotá, Bucaramanga, Cali and Montería PBS projects addressing women safety issues Tshwane NMT project addressing road safety Bogotá pilot 	<ul style="list-style-type: none"> Moderate (on the contrary, bicycle and pedestrian's accidents could increase >> to be monitored)
SDG 3, target 3.9	<ul style="list-style-type: none"> By 2030, substantially reduce the number of deaths and illnesses from (...) air, water (...) pollution and contamination 	<ul style="list-style-type: none"> All e-bus projects (Guadalajara, Monterrey, Quito, Bangalore, Jakarta, possibly also Hermosillo) improve air quality, reduce noise pollution, health benefits and the quality of life of users and nearby residents; reduce premature deaths and increase life years gained Tshwane CHP will produce biogas, refurbish and improve the existing Wastewater Treatment Works (WWTW) and lead to cleaner rivers eThekwini, Dar es Salaam and Dakar projects reduce water pollution caused by waste and wastewater PBS and NMT projects will further reduce air and noise pollution and improve urban livability 	<ul style="list-style-type: none"> High (e-bus projects) High (CHP project, provided it is implemented) Moderate (waste management projects) Moderate (PBS and NMT)
SDG 4, Target 4.7	<ul style="list-style-type: none"> By 2030, ensure that all learners acquire the knowledge and skills needed to promote sustainable development (...) 	<ul style="list-style-type: none"> PV project in Quezon City: public school teachers will learn how to integrate renewable energy material in their lesson plans and to effectively teach the content to their students; students will learn first-hand about solar PV 	<ul style="list-style-type: none"> Expected to be high (although initial scope limited; implementation of the teaching component still pending, due to COVID-19; training to be realised by CSOs)
SDG 5, target 5.1, target 5.2	<ul style="list-style-type: none"> End all forms of discrimination against all women and girls everywhere Eliminate all forms of violence against all women and girls in the public (...) spheres (...) 	<ul style="list-style-type: none"> PBS projects enhance women bicycle participation, also Tshwane NMT to some extent All e-bus projects address female needs (safety and intimidation, consider access to toilets, etc.) 	<ul style="list-style-type: none"> High
SDG 7, targets 7.2, 7.a	<ul style="list-style-type: none"> By 2030, increase substantially the share of renewable energy in the global energy mix By 2030, enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, (...) 	<ul style="list-style-type: none"> PV projects in Curitiba, Rio de Janeiro and Quezon City (implementation of the Rio project will lead to a 13% capacity increase; the Brazilian projects can provide a boost to country-wide solar power development, which in 2020 only contributes 1.7% to Brazil's national energy supply) 	<ul style="list-style-type: none"> High (although initial scope limited)
SDG 8, target 8.2	<ul style="list-style-type: none"> Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, (...) 	<ul style="list-style-type: none"> All projects: introducing digital tools for project planning and GHG emission measurement PV projects and CHP project in Tshwane: cost savings for municipalities 	<ul style="list-style-type: none"> Moderate (impact on improved productivity to be assessed)

SDG / target	Expected impact (SDG target)	Evidence from data (project proposals, interviews)	Strength of contribution
SDG 8, target 8.3	<ul style="list-style-type: none"> Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, (...) 	<ul style="list-style-type: none"> The three adaptation projects (eThekweni, Dar es Salaam and Dakar) projects, all addressing job creation for vulnerable groups and local cooperatives 	<ul style="list-style-type: none"> Moderate (impact on job creation to be assessed)
SDG 9, target 9.1	<ul style="list-style-type: none"> Develop quality, reliable, sustainable and resilient infrastructure, (...), to support economic development and human well-being, with a focus on affordable and equitable access for all 	<ul style="list-style-type: none"> All infrastructure and urban mobility projects Colombian PBS projects (travelling by bicycle will help save money, e.g. for fuel, parking fees; it saves space as motorised road traffic takes up ten times more space as cycling) 	<ul style="list-style-type: none"> High (impact on economic development and human well-being to be further assessed and confirmed)
SDG 9, target 9.5	<ul style="list-style-type: none"> Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries (...) 	<ul style="list-style-type: none"> Particularly the PV projects further boosting photovoltaic research and technology development (Int_28: 'we are moving the whole market around the production of solar energy, we are bringing the discussion to the people') Tshwane CHP: increases deployment of CHP technology in Tshwane and beyond 	<ul style="list-style-type: none"> High (upgrade of local technological capabilities very likely; impact to be assessed and confirmed)
SDG 9, target 9.a	<ul style="list-style-type: none"> Facilitate sustainable and resilient infrastructure development (...) through enhanced financial, technological and technical support to African countries (...) 	<ul style="list-style-type: none"> Five sustainable and resilient infrastructure projects in Africa (Dakar, Dar es Salaam, eThekweni, 2x Tshwane) 	<ul style="list-style-type: none"> High
SDG 11, target 11.2	<ul style="list-style-type: none"> By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons 	<ul style="list-style-type: none"> All e-bus projects: address problems of exclusion; improve connection of low-income neighbourhoods to the transit system; provide a blueprint for future electric public transport projects, encouraging the implementation of further electric routes in the region and beyond 	<ul style="list-style-type: none"> High
SDG 11, target 11.5	<ul style="list-style-type: none"> By 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses (...) caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations 	<ul style="list-style-type: none"> eThekweni, Dar es Salaam and Dakar projects, all addressing vulnerable communities exposed to flooding All projects contributing to mitigation of GHG emissions 	<ul style="list-style-type: none"> High (provided it is implemented) High (indirect impact of mitigation projects on vulnerable groups)
SDG 11, target 11.6	<ul style="list-style-type: none"> By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management 	<ul style="list-style-type: none"> All projects 	<ul style="list-style-type: none"> High
SDG 11, target 11.b	<ul style="list-style-type: none"> [By 2020], substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change (...) 	<ul style="list-style-type: none"> All 17 participating CFF cities Other cities (about 190) that have been included in the CFF K&L process 	<ul style="list-style-type: none"> High Moderate to high (impact on other cities' policies and plans to be further assessed)
SDG 12, target 12.5	<ul style="list-style-type: none"> By 2030, substantially reduce waste generation through prevention, reduction, recycling and reuse 	<ul style="list-style-type: none"> eThekweni, Dar es Salaam and Dakar projects, all addressing waste generation problems 	<ul style="list-style-type: none"> High (provided it is implemented)
SDG 13, all targets	<ul style="list-style-type: none"> Goal 13: Take urgent action to combat climate change and its impacts 	<ul style="list-style-type: none"> All projects and cities, including impacts from capacity building, awareness raising and K&L 	<ul style="list-style-type: none"> High

SDG / target	Expected impact (SDG target)	Evidence from data (project proposals, interviews)	Strength of contribution
SDG 14, target 14.1	<ul style="list-style-type: none"> By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, (...) 	<ul style="list-style-type: none"> The Tshwane CHP to produce biogas will refurbish and improve the existing WWTW and lead to cleaner effluent discharged into the rivers and then to the ocean eThekwini, Dar es Salaam and Dakar projects, all addressing waste generation problems in flood prone areas 	<ul style="list-style-type: none"> Moderate (to be assessed) Low (to be assessed)
SDG 15, target 15.1	<ul style="list-style-type: none"> [By 2020], ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services 	<ul style="list-style-type: none"> eThekwini TRMP: establishment of hydro-ecological systems, which generate sustained flows of life-supporting and risk-mitigating ecosystem services 	<ul style="list-style-type: none"> Moderate (to be assessed)
SDG 16, target 16.6	<ul style="list-style-type: none"> Develop effective, accountable and transparent institutions at all levels 	<ul style="list-style-type: none"> All cities: strengthening of planning and managerial capacities, enhancing of inter-departmental coordination and communication and between different government levels Some cities: strengthening of coordination and communication with civil society (Tshwane, eThekwini, Dar Es Salaam, Dakar, Colombia cluster, Quezon City) 	<ul style="list-style-type: none"> Moderate (to be assessed, scope limited)
SDG 17, target 17.1	<ul style="list-style-type: none"> Strengthen domestic resource mobilization, (...) 	<ul style="list-style-type: none"> Majority of projects to be financed from PPP agreements with municipal participation of from city/ state own budgets; open new financing opportunities to collaborate with the private sector 	<ul style="list-style-type: none"> High (provided finance is concretised)
SDG 17, target 17.3	<ul style="list-style-type: none"> Mobilize additional financial resources for developing countries from multiple sources 	<ul style="list-style-type: none"> CFF programme as such Selected projects that tap international donor funds (eThekwini, Dakar, Dar es Salaam, Montería) 	<ul style="list-style-type: none"> High (provided grants to CFF are concretised) High (provided funding is concretised)
SDG 17, target 17.6, target 17.7	<ul style="list-style-type: none"> Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge-sharing (...) Promote the development, transfer, dissemination and diffusion of environmentally sound technologies to developing countries (...) 	<ul style="list-style-type: none"> Particularly the K&L component of the CFF programme with participation of experts and academics and fostering horizontal exchange Exchange between cities from the Global South with cities from the Global North (Berlin, London, Madrid, New York, Tokyo, other C40 cities) 	<ul style="list-style-type: none"> High (to be further assessed, scope limited?)
SDG 17, target 17.14	<ul style="list-style-type: none"> Enhance policy coherence for sustainable development 	<ul style="list-style-type: none"> All cities, but particularly Tshwane/Gauteng province, Jakarta metropolitan area, Colombia, Curitiba 	<ul style="list-style-type: none"> Moderate (to be assessed, scope and possibilities of CFF limited)
SDG 17, target 17.16	<ul style="list-style-type: none"> Enhance the Global Partnership for Sustainable Development, complemented by multi-stakeholder partnerships (...) 	<ul style="list-style-type: none"> CFF programme as such 	<ul style="list-style-type: none"> High
SDG 17, target 17.17	<ul style="list-style-type: none"> Encourage and promote effective public, public-private and civil society partnerships (...) 	<ul style="list-style-type: none"> Majority of projects to be financed from PPP agreements; CFF opened new financing opportunities to collaborate with the private sector 	<ul style="list-style-type: none"> High (provided finance is concretised)

Annex B: Evaluation matrix

OECD-DAC Criterion Relevance – Is the intervention doing the right things? (max. 100 points) The 'relevance' criterion focuses on the intervention's design. It refers to the extent to which the objectives and design of a development intervention are consistent with the (global, country and institution-specific) requirements, needs, priorities and policies of beneficiaries and stakeholders (individuals, groups, organisations and development partners). It also identifies the ability of the intervention's design to adapt to a change in circumstances. "Relevance" is assessed in relation to 1) the time of the intervention design ¹ and 2) from today's perspective ² .								
Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources ¹	Data Quality and limitations	Data Quality Assessment
Alignment with policies and priorities	Standard	To what extent are the intervention's objectives aligned with the (global, regional and country specific) policies and priorities of the BMZ and of the beneficiaries and stakeholders and other (development) partners? To what extent do they take account of the relevant political and institutional environment?	<ul style="list-style-type: none"> • Orientation at BMZ country strategies and BMZ sector concepts • Strategic reference framework for the project (e.g. national strategies including the national implementation strategy for Agenda 2030, regional and international strategies, sectoral and cross-sectoral change strategies, in bilateral projects especially partner strategies, internal analytical framework e.g. safeguards and gender⁴ • Orientation of the project design at the (national) objectives of Agenda 2030 • Project contribution to certain Sustainable Development Goals (SDGs) • Explanation of a hierarchy of the different policies, priorities (especially in case of contradictions) 	Programme objective: <ul style="list-style-type: none"> • Reduction of GHG emissions (impact indicator 2) Module objective: <ul style="list-style-type: none"> • Contribution to SDGs/ Agenda 2030 and countries' NDCs to the Paris Agreement (outcome indicator 1) • Strengthening of gender equality (outcome indicator 3) Specifically: <ul style="list-style-type: none"> • BMZ sector concepts and strategies • Partner strategies of BEIS and C40 CFF • Regional and international strategies, sectoral and cross-sectoral climate change strategies – see Agenda 2030 SDGs, UNFCCC, UN-Habitat, UNEP, URBANET, New Urban Agenda, Talanoa Dialogue, etc. • National strategies including the national implementation strategy for Agenda 2030 • Partner strategies of the participating cities • GIZ internal analytical framework, e.g. safeguards and gender 	Document analysis Further interviews with key informants (cat. A, E, F, G, H, M) if necessary	<ul style="list-style-type: none"> • BMZ sector concepts and strategies • partner strategies of BEIS and C40 CFF • regional and international strategies, ... • national strategies ... • partner strategies of the participating cities • GIZ internal analytical framework AND • GIZ project team and Evaluators' analysis • Specific questions to stakeholders cat. F, G, M 	Time limit: A multitude of excellent documents that can only be examined quickly. A deeper analysis is hardly possible.	strong
	and Fragility	To what extent was the (conflict) context of the project adequately analysed and considered for the project concept?	<ul style="list-style-type: none"> • Key documents: (Integrated) Peace and Conflict Assessment (I)PCA, Safeguard Conflict and Context Sensitivity documents 	Marker FS = 1 ! TOPICS: Political and financial support to prepared projects and strong partnership with participating cities; Sustainability	Verification of country/city level analyses (due diligence) Further interviews with key informants if necessary	Country/city level documents, e.g. initial analyses during selection process (due diligence); project progress docs	Country fragility has not been in the focus; Problems at city level (e.g. corruption, changes in political leadership) are not reflected in country level PCAs	weak
	and SV/GV	To what extent does the project complement bilateral or regional projects? To what extent does it complement other global projects?	<ul style="list-style-type: none"> • Please use CPE factsheet on SV / GV / IZR 	Module objective: <ul style="list-style-type: none"> • Contribution to SDGs/ Agenda 2030 and countries' NDCs to the Paris Agreement (outcome indicator 1) • Strengthening of gender equality (outcome indicator 3) • International partnerships and access to finance (outcome indicator 5) • Knowledge, Learning and Policy Dialogues (outcome indicator 4) 	Document analysis; List of relevant national/international projects Further interviews with key informants E-Mail questionnaire?	National/international project documents E-Mail questionnaire to AV and national project managers	No limitations at global (CFF programme) level. Time limit; lack of presence in all participating countries/cities: A multitude of documents that can only be examined quickly. Limited access to available information on ongoing/planned local, national and international projects.	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	and SV/GV	To what extent is the project geared towards solving a global challenge that cannot only be effectively addressed bilaterally/ regionally?	• Please use CPE factsheet on SV / GV / IZR	Programme objective: • CFF supported climate action projects leverage 20 times the value of TA (impact indicator 1) • Reduction of GHG emissions (impact indicator 2) >> Global finance; global exchange & learning	Document analysis Further interviews with key informants (cat. H, K, L) if necessary	SDG - international goals	Review of SDGs and national to international commitments is not a problem	strong
	Knowledge interest	What is the added value of a global project, as compared to bilateral cooperation?	BMZ knowledge interest transmitted through the CPE unit and CFF team	Same as above	Same as above	Same as above	Same as above	strong
Alignment with the needs and capacities of the beneficiaries and stakeholders	Standard	To what extent are the intervention's objectives aligned with the development needs and capacities of the beneficiaries and stakeholders involved (individuals, groups and organisations)?	• Also: consideration of stakeholders such as civil society and private sector in the design of the measure	Marker PD/GG = 2 (participatory development, good governance, vulnerable groups' concerns and voice) Module objective, expected outcome and outputs: • Project Preparation and access to finance - developed projects are needed, useful and will be used • Strengthening of gender equality - Gender analyses are useful and used • Capacity Development - improvement of capacities of (senior) city officials to structure climate action projects • Knowledge, Learning and Policy Dialogues - learning formats are useful • National to international partnerships, access to finance - increasing interest among (potential) partners and financiers	Document analysis Interviews (online, e-mail) with: • Representatives of participating cities (political representatives and technical staff) • Selected NGO/ civil society representatives, national professionals • Selected representatives of private sector, financiers FGD with beneficiaries of CD and K&L activities Review of press articles on potential local/national conflicts with regard to project topics Online survey (specific questions) (Contribution analysis)	Capacity assessment documents Personalised interviews with stakeholders cat. E, F, G, M, N, O, P FGD with beneficiaries of CD and K&L activities cat. I+J Press articles: see links to project related articles Survey questions answered by city officers	Access to project/ evaluation participants could be biased by project management (support in identification of interviewees); Limited access to civil society representatives in countries/cities where international consultant / evaluator is not experienced (e.g. Ecuador, Tanzania, Senegal) - will be solved through access to NGO networks	good
	and Fragility	How were deescalating factors/ connectors ⁵ as well as escalating factors/ dividers ⁶ in the project context identified and considered for the project concept (please list the factors)? ⁷	• e.g. see column I and II of the (Integrated) Peace and Conflict Assessment	N/A - Not possible / not relevant during concept preparation TOPICS: Political and financial support to prepared projects and strong partnership with participating cities; Sustainability	Verification of country/city level analyses: have DNH factors been considered? Further interviews with key informants if necessary	Country/city level documents, e.g. initial analyses during selection process; project progress docs	Country fragility has not been in the focus; Problems at city level (e.g. corruption, changes in political leadership) are not reflected in country level PCAs	weak
	and Fragility	To what extent were potential (security) risks for (GlZ) staff, partners, target groups/final beneficiaries identified and considered?		N/A - Not possible / not relevant during concept preparation Does the security topic have any relevance in the project context?	Interviews (online, e-mail) with: • Senior project advisors • Representatives of participating cities (technical staff)	Personalised interviews with stakeholders cat. C, D, E	Country fragility has not been in the focus; Problems at city level (e.g. corruption, changes in political leadership) are not reflected in country level PCAs; High violence rates at city level are not necessarily reflected	weak

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources /	Data Quality and limitations	Data Quality Assessment
	Standard	To what extent are the intervention's objectives geared to the needs and capacities of particularly disadvantaged and vulnerable beneficiaries and stakeholders (individuals, groups and organisations)? With respect to groups, a differentiation can be made by age, income, gender, ethnicity, etc. ?	<ul style="list-style-type: none"> Reaching particularly disadvantaged groups (in terms of Leave No One Behind, LNOB) Consideration of potential for human rights and gender aspects Consideration of identified risks 	Marker PD/GG = 2 (participatory development, good governance) Module objective, expected outcome and outputs: <ul style="list-style-type: none"> Project Preparation and access to finance - developed projects are needed, useful and will be used Strengthening of gender equality - Gender analyses are useful and used ASSUMPTIONS & RISKS	Context document analysis; Interviews (online, e-mail) with: <ul style="list-style-type: none"> Selected NGO/ civil society representatives, national professionals Review of press articles on potential local/national conflicts with regard to project topics Review of online documents on vulnerability aspects in projects' cities Online survey (specific questions) (Contribution analysis)	Press articles on potential local/national conflicts with regard to project topics Online documents on vulnerability aspects in projects' cities; Interviews with stakeholders cat. E, O, P Survey questions answered by city officers Websites: socio-economic data at city level	Limited access to civil society representatives in countries/cities where international consultant / evaluator is not experienced (e.g. Ecuador, Tanzania, Senegal) - will be solved through access to NGO networks; limited access to indirect target groups	moderate
Appropriateness of the design³	Standard	To what extent is the intervention's design appropriate and realistic (in terms of technical, organisational and financial aspects)?	<ul style="list-style-type: none"> Realistic project goal from today's perspective and in view of the available resources (time, finances, partner capacities) Consideration of potential changes in the framework conditions Dealing with the complexity of framework conditions and strategic reference frameworks and with possible overloading Strategic focusing 	Programme design; results matrix; Programme objective (realistic?): <ul style="list-style-type: none"> CFF climate action projects are projected to leverage 20 times the value of TA in investment capital (impact indicator 1) Reduction of GHG emissions (impact indicator 2) Module objective (realistic?): <ul style="list-style-type: none"> Contribution to SDGs/ Agenda 2030 and countries' NDCs to the Paris Agreement (outcome indicator 1) Strengthening of gender equality (outcome indicator 3) 	Analysis of TOC and results model (jointly with project team); verification of causal links; verification of context conditions and risks; Interviews (online, e-mail) with: <ul style="list-style-type: none"> Representatives of selected participating cities Selected civil society representatives, national professionals, financiers Representatives of central and city level project team (on technical, organisational and financial aspects) (Contribution analysis)	Programme proposal document; results matrix and results model; project progress reports; project monitoring data Interviews with stakeholders cat. A to G, M, N, O, P	No limitations when analysing CFF programme design. Expected attribution gap between project outputs (bankable project proposals) and outcomes (contribution to SDGs and NDCs) and impacts (GHG reduction); at the end of the project the realisation of developed proposals cannot be guaranteed	strong
	Standard	To what extent is the intervention's design sufficiently precise and plausible (in terms of the verifiability und traceability of the system of objectives and the underlying assumptions)?	Assessment of the (current) results model and results hypotheses (Theory of Change, ToC) of the actual project logic: <ul style="list-style-type: none"> Adequacy of activities, instruments and outputs in relation to the project objective to be achieved Plausibility of the underlying results hypotheses Clear definition and plausibility of the selected system boundary (sphere of responsibility) Appropriate consideration of potential influences of other donors/ organisations outside the project's sphere of responsibility completeness and plausibility of assumptions and risks for the project results How well is co-financing (if any) integrated into the overall concept of the project and what added value could be generated for the ToC/project design? 	Programme design; results matrix; PROGRAMME OBJECTIVE (impact): Primary and secondary cities worldwide mobilise financial resources for transformative actions, which significantly reduce their greenhouse gas emissions and build climate resilience. MODULE OBJECTIVE (outcome): Primary and secondary cities in developing countries and emerging economies are in a better position to access finance for sustainable climate action projects contributing to the Sustainable Development Goals of the 2030 Agenda and their country's Nationally Determined Contributions to the Paris Agreement.	Review of results matrix, Theory of Change and results model (jointly with project team); verification of causal links and possible alternative explanations; verification of context conditions and risks; verification of indicators (SMART?) Interviews (online, e-mail) with: <ul style="list-style-type: none"> Representatives of selected participating cities Selected civil society representatives, national professionals Representatives of central and city level project team (on monitoring and traceability aspects) (Contribution analysis)	Results matrix and results model; project progress reports; project monitoring data Interviews with stakeholders cat. A to G, M, N, O, P	No limitations when analysing CFF programme design. Expected attribution gap between project outputs (bankable project proposals) and outcomes (contribution to SDGs and NDCs) and impacts (GHG reduction); at the end of the project the realisation of developed proposals can not be guaranteed. Plausibility analysis possible	strong

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources /	Data Quality and limitations	Data Quality Assessment
	Standard	To what extent is the intervention's design based on a holistic approach to sustainable development (interaction of the social, environmental and economic dimensions of sustainability)?	• Presentation of the interactions (synergies/trade-offs) of the intervention with other sectors in the project design - also with regard to the sustainability dimensions in terms of Agenda 2030 (economic, ecological and social development)	TOPIC: Sustainability dimensions of Agenda 2030 (economic, ecological and social development); participation of relevant stakeholders (e.g. civil society, private sector); leave no-one behind (LNOB) agenda:	Consideration of context conditions and national priorities	Document review; Interviews with civil society representatives (incl. Academia)	No limitations when analysing CFF programme design. Time limitations when analysing data of 10 countries/ 18 cities Access to project/ evaluation participants could be biased by project management (support in identification of interviewees); Limited access to civil society representatives in countries/cities where international consultant / evaluator is not experienced (e.g. Ecuador, Tanzania, Senegal)	strong
Adaptability – response to change	Standard	To what extent has the intervention responded to changes in the environment over time (risks and potentials)?	• Reaction to changes during project including change offers (e.g. local, national, international, sectoral changes, including state-of-the-art sectoral know-how)	Programme change offers; MODULE OBJECTIVE (outcome), expected outputs ASSUMPTIONS & RISKS	Review change offers; Review (new) risks and emerging potentials; SWOT analysis; Interviews/ focus group discussions with project team and other key informants	Document review (project proposal & change offers; project progress reports; context documents) Interviews with civil society representatives (incl. Academia) Interviews (if possible SWOT analysis) with participating city and GIZ-CFF programme team representatives	none	strong

(1) The 'time of the intervention design' is the point in time when the offer/most recent modification offer was approved .
(2) In relation to the current standards, knowledge and framework conditions.
(3) The design of an intervention is usually assessed by evaluating its intervention logic. The intervention logic depicts the system of objectives used by an intervention. It maps out the systematic relationships between the individual results levels. At the time an intervention is designed, the intervention logic, in the form of a logical model, is described in the offer for the intervention both as a narrative and generally also on the basis of a results framework. The model is reviewed at the start of an evaluation and adjusted to reflect current knowledge. Comprehensive (re)constructed intervention logics are also known as "theories of change". In GIZ the 'project design' encompasses project objective (outcome) and the respective theory of change (ToC) with outputs, activities, TC-instruments and especially the results hypotheses as well as the implementation strategy (e.g. methodological approach, Capacity Development (CD) strategy). In GIZ the Theory of Change is described by the GIZ results model as graphic illustration and the narrative results hypotheses.
(4) In the GIZ Safeguards and Gender system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in separate checks.
(5) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.
(6) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.
(7) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective.

OECD-DAC Criterion Coherence – How well does the intervention fit? (max. 100 points)

This criterion refers to the intervention's compatibility with other interventions in a country, sector or institution as well as with international norms and standards. **Internal coherence** addresses the synergies and division of tasks between the intervention and other interventions of German development cooperation and also the intervention's consistency with the relevant international norms and standards to which German development cooperation adheres. **External coherence** considers the intervention's complementarity, harmonisation and coordination with the interventions of other partners, donors and international organisations. The "coherence" criterion relates both to the intervention's design as well as to the results it achieves.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Internal coherence	Standard	Within German development cooperation, to what extent is the intervention designed and implemented (in a sector, country, region or globally) in a complementary manner, based on the division of tasks?	• Also analysis of whether the project takes the necessary steps to fully realize synergies within German development cooperation	German cooperation in the areas of climate change and urban development; Project proposal ("Programmvorschlagn") part B.3.4.3; Project output D: Partnerships and Fundraising Division of tasks in German cooperation: FC - TC - PC	Review of project design document vs project progress reports; Review of documents and websites related to other German cooperation projects with similar topics or in similar contexts; Interviews with key informants: • Representatives of other sectoral or climate change related projects (in Germany and/or in partner countries/cities), including GIZ and KfW • GIZ-CFF programme team, incl. regional/ local level (REM, SPA, LEM)	Project proposal. PPRs; Urban development and climate change related project documents (GIZ, KfW), especially implemented in partner countries/cities and at global level; Interviews with other projects' team leaders; Interviews/ focus group with GIZ-CFF programme team (see Excel sheet: evaluation questions X interviewees)	Time limits; access to all relevant project documents might be limited. Opinions of other projects' representatives are expected to be qualified and very professional.	good
	Standard	To what extent are the instruments of German development cooperation (Technical and Financial Cooperation) meaningfully interlinked within the intervention (in terms of both design and implementation)? Are synergies leveraged?	• if applicable, also take into account projects of different German ressorts/ministries	same as above	Review of project design document vs project progress reports; Interviews with key informants: • Representatives of KfW (in Germany and/or in partner countries/cities), including GIZ and KfW • GIZ-CFF programme team, incl. regional/ local level (REM, SPA)	Project proposal. PPRs; Interviews with KfW projects' team leaders; Interviews/ focus group with GIZ-CFF programme team	All relevant project documents can be accessed. Opinions of other projects' representatives are expected to be qualified and very professional.	strong
	Standard	To what extent is the intervention consistent with international and national norms and standards to which German development cooperation is committed (e.g. human rights)?		Cross-cutting issues (incl. human rights, gender, poverty alleviation, and climate change)	Review of project design document vs BMZ commitments	Document review	No limitations	strong
External coherence	Standard	To what extent does the intervention complement and support the partner's own efforts (principle of subsidiarity)?		Project proposal ("Programmvorschlagn") part B.3.2 + B.3.3 + B.3.4; Cooperation agreements with selected cities; Project outputs A - C: Joint project preparation, CD, K&L	Review of project progress reports; review of local policies; Interviews with local partners (city representatives) Anonymised Survey with city representatives and project team	Project progress reports; policy documents; Interviews with local partners (city representatives) Anonymised Survey with city representatives and project team	Expected to be good; Limitations might exist if only few informants answer the survey	good
	Standard	To what extent has the intervention's design and implementation been coordinated with other donors' activities?	• Also: To what extent could synergies be achieved through co-financing (where available) with other bilateral and multilateral donors and organizations and how did co-financing contribute to improved donor coordination?	Project proposal ("Programmvorschlagn") part B.3.4.3; Project output D: Partnerships and Fundraising	Review of project design document vs project progress reports; Review of documents and websites related to other international cooperation projects with similar topics or in similar contexts or in the CFF partner cities; Interviews with key informants	Project proposal. PPRs; Country Websites and available documents of other donors; Interviews with key informants; • Representatives of other donors in partner countries/cities, if possible; Interviews/ FGD: • GIZ-CFF programme team, incl. regional/ local level (REM, SPA)	Time limits; access to all relevant project documents might be limited. Opinions of donor and project representatives are expected to be very professional.	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	Standard	To what extent has the intervention's design been designed to use existing systems and structures (of partners/other donors/international organisations) for implementing its activities? To what extent are these systems and structures used?	<ul style="list-style-type: none"> Also analysis of whether the project is taking the necessary steps to fully realize synergies with interventions of other donors at the impact level 	Project proposal ("Programmvorschlag") part B.3.4.3; Project output D: Partnerships and Fundraising; existing systems and structures at C40 and city level	Review of project design document vs project progress reports; Interviews with key informants: <ul style="list-style-type: none"> • GIZ-CFF programme team, incl. regional/ local level (REM, SPA) Online survey?	Project proposal. PPRs; Interviews/ focus group with GIZ-CFF programme team (interviewees list); Online survey	Quality expected to be good; no limitations	strong
	Standard	To what extent are common systems (together with partners/other donors/international organisations) used for M&E, learning and accountability?		Project proposal ("Programmvorschlag") part B.3.4.3; Project output C: Knowledge & Learning; Project output D: Partnerships and Fundraising; existing systems and structures at C40 and city level	Review of project design document vs project progress reports; Review of M&E and K&L system; Interviews with key informants: <ul style="list-style-type: none"> • GIZ-CFF programme team, incl. regional/ local level (REM, SPA) Online survey?	Project proposal. PPRs; Interviews/ focus group with GIZ-CFF programme team (interviewees list); Online survey; Project monitoring and evaluation data	Quality expected to be good; limitations might exist when analysing survey results	good

OECD-DAC Criterion Effectiveness - Is the intervention achieving its objectives? (max. 100 points)

'Effectiveness' refers to the extent to which the intervention has achieved, or is expected to achieve, its objectives (at outcome level), including any differential results across beneficiary and stakeholder groups. It examines the achievement of objectives in terms of the direct, short-term and medium term results.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Achievement of the (intended) objectives ¹	Standard	To what extent has the intervention achieved, or is the intervention expected to achieve, the (intended) objectives as originally planned (or as modified to cater for changes in the environment)?	<ul style="list-style-type: none"> Assessment based on the project objective indicators (agreed with BMZ) Check whether more specific or additional indicators are needed to adequately reflect the project objective 	Results matrix; All project indicators (including the unofficial ones related to gender)	Review of project monitoring data; Interviews with key informants (e.g. project participants at city level; C40-CFF representatives, direct and indirect beneficiaries); FGD with CFF local staff and with city representatives and direct beneficiaries; Online survey; Study of selected city cases (document review, conversation with PIU members); Contribution analysis	Project monitoring sheet; available evaluation data; Interviews: stakeholders cat. E, F, H, M; FGD with stakeholders cat. C-D and I-J; Case studies results; Survey results	Expected to be good-strong.	strong
	and Fragility	For projects with FS1 or FS2 markers: To what extent was the project able to strengthen deescalating factors/ connectors? ^{2, 4}		Assumptions and risks	Review of project monitoring and PPR data; Interviews with key informants (e.g. project participants at city level; C40-CFF representatives); Online survey; Contribution analysis	Project monitoring and PPR data; Interviews with key informants (e.g. project participants at city level; C40-CFF representatives); Online survey	Fragility was not in the project focus and therefore not monitored. Some information in PPRs. Information from interviews expected to be good-moderate	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Contribution to achievement of objectives	Standard	To what extent have the intervention's outputs been delivered as originally planned (or as modified to cater for changes in the environment)?		Results matrix; project output indicators (including the unofficial ones related to gender)	Review of project monitoring data	Project monitoring sheet; available evaluation data;	Expected to be good-strong.	strong
	Standard	To what extent have the delivered outputs and increased capacities been used and equal access (e.g. in terms of physical, non-discriminatory and affordable access) guaranteed?		Project output indicators (including the unofficial ones related to gender)	Review of project monitoring data Interviews with key informants (e.g. project participants at city level; C40-CFF representatives) FGDs Online survey Study of selected city cases (document review, conversation with PIU members) Analysis of output utilisation (results chains analysis) Contribution analysis	Project monitoring sheet; available evaluation data; Interviews: stakeholders cat. E, F, H, M FGD with stakeholders cat. C-D and I-J Case studies results Survey results	Expected to be good-strong.	strong
	Standard	To what extent has the intervention contributed to the achievement of objectives?	<ul style="list-style-type: none"> Assessment based on the activities, TC-instruments and outputs of the project (contribution-analysis as focus of this assessment dimension and minimum standard, see annotated reports) What would have happened without the project? (usually qualitative reflection) 	Project output and outcome indicators (including the unofficial ones related to gender)	Review of project monitoring data Interviews with key informants (e.g. project participants at city level; C40-CFF representatives; civil society representatives) FGDs Online survey Results chains analysis Contribution analysis Qualitative reflection: What would have happened without the project?	same as above	Expected to be moderate-strong.	good
	Standard	To what extent has the intervention contributed to the achievement of objectives at the level of the intended beneficiaries?		All project outcome indicators (including the unofficial ones related to gender); results matrix	Review of project monitoring data Interviews with key informants (e.g. project participants at city level; civil society representatives) Online survey? Study of selected city cases (document review, conversation with PIU members) Results chains analysis Contribution analysis Qualitative reflection: What would have happened without the project?	same as above	Expected to be moderate-strong. Limitations might exist in receiving the final beneficiaries' perspective	good
	Standard	To what extent has the intervention contributed to the achievement of objectives at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)?		All project outcome indicators (including the unofficial ones related to gender); results matrix	same as above	same as above	Expected to be moderate-strong. Limitations might exist in receiving the perspective of particularly disadvantaged or vulnerable groups	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	Standard	<i>Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended objectives?</i>	• Internal factors = within the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s).	All project outcome indicators (including the unofficial ones related to gender); results matrix	Review of project monitoring data and PPRs; Interviews with key informants (e.g. project participants at city level; C40-CFF representatives; co-donors); SWOT analysis Contribution analysis Qualitative reflection: What would have happened without the participation of C40-CFF and co-donors?	Project monitoring sheet; available evaluation data; PPRs; Interviews: list of interviewees; SWOT analysis results	Expected to be good-strong.	strong
	Standard	<i>Which external factors were decisive for achievement/non-achievement of the intervention's intended objectives (taking into account the anticipated risks)?</i>	• External factors = outside the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s).	All project indicators (including the unofficial ones related to gender); results matrix; assumptions and risks	Review of project monitoring data and PPRs; verification of major risks; Interviews with key informants (e.g. project participants at city level; C40-CFF representatives; civil society representatives); SWOT analysis Contribution analysis	Project monitoring sheet; available evaluation data; PPRs; context data; Interviews: list of interviewees; SWOT analysis results	Expected to be good-strong.	strong
	Quality of implementation	What assessment can be made of the quality of steering and implementation of the intervention in terms of the achievement of objectives? What assessment can be made of the quality of steering and implementation of, and participation in, the intervention by the partner/executing agency?	Capacity Works considerations: - Results-oriented monitoring (RoM / WoM) is established and used, e.g. for evidence-based decisions, risk management. Data are disaggregated by gender and marginalized groups. unintended positive and negative results are monitored. Conflict-sensitive monitoring and explicit risk-safety monitoring are particularly important for projects in fragile contexts. - A bindingly communicated strategy agreed with the partners is pursued - Involvement and cooperation of all relevant actors (including partners, civil society, private sector) - Steering : decisions influencing the projects's results are made in time and evidence-informed. Decision processes are transparent. - Processes : Relevant change processes are anchored in the cooperation system; project-internal processes are established and regularly reflected and optimised. - Learning and innovation : There is a learning and innovation-friendly work culture that promotes the exchange of experience; learning processes are established; context-specific adjustments are possible	Capacity Works considerations: • Results-oriented monitoring (RoM / WoM) is established and used. • Project strategy is agreed with partners and pursued. • All relevant actors are involved and cooperate. • Steering: decisions influencing CFF results are made in time, evidence-informed and transparent. • Processes: relevant change processes are anchored in the cooperation system. • Learning and innovation: learning and innovation culture promotes exchange of experience; context-specific adjustments are possible.	Review of project monitoring data and PPRs; Interviews with key informants (e.g. C40-CFF representatives; PAG members; city representatives); Participation of Project Advisory Group (PAG); participation of city administrations; consideration of Capacity Works elements. Results analysis; (Contribution analysis)	Project monitoring sheet; available evaluation data; PPRs; PAG minutes of meeting; Interviews: list of interviewees	Expected to be good-strong.	strong

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Unintended results	Standard	To what extent can unintended positive/negative direct results (social, economic, environmental and among vulnerable beneficiary groups) be observed/anticipated?	• The focus is on the outcome level, but for the analysis the unintended effects can also be included on the output level	Results matrix: activities, outputs and outcome; respective indicators; defined assumptions and risks; results hypotheses	Review of project monitoring data and PPRs; development of results hypotheses; Interviews with key informants (e.g. city representatives; civil society; project team); FGD with informants cat. C-D and I-J; study of selected city cases (document review, conversation with PIU members); online survey ; Evaluation design: <ul style="list-style-type: none"> • adapted 'Most Significant Change' method, simplified for rapid assessment • differentiation between what was intended and what was additionally achieved by opportunity or coincidence (Contribution analysis) 	Project monitoring sheet; available evaluation data; PPRs; Interviews, FGDs and case studies: see list of interviewees and Excel sheet with evaluation questions X interview groups; Survey results	Expected to be moderate to strong.	good
	and Fragility	To what extent was the project able to ensure that escalating factors/ dividers ³ have not been strengthened (indirectly) by the project ⁴ ? Has the project unintentionally (indirectly) supported violent or 'dividing' actors?		same as above	same as above	same as above	Fragility was not in the project focus and therefore not monitored. Some information in PPRs and City Trackers. Information from interviews expected to be moderate	moderate
	Standard	What potential benefits/risks arise from the positive/negative unintended results? What assessment can be made of them?	• also check whether the risks were already mentioned and monitored in the design phase	same as above	same as above	same as above	Expected to be moderate to strong.	good
	and Fragility	To what extent have risks and unintended-negative results in the context of conflict, fragility and violence ⁵ been monitored (context/conflict-sensitive monitoring) in a systematic way?		same as above	same as above	same as above	Fragility was not in the project focus and therefore not monitored. Some information in PPRs and City Trackers. Information from interviews expected to be moderate	good
	Standard	How has the intervention responded to the potential benefits/risks of the positive/negative unintended results?	• Check if positive results at the outcome level have been monitored and set in value	same as above	same as above	same as above	Expected to be moderate to strong.	good

(1) The first and second assessment dimensions are interrelated: If the project's contribution to achieving the objective is small (2nd assessment dimension), this must also be taken into account when evaluating the first assessment dimension.
(2) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.
(3) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.
(4) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective?
(5) Risks in the context of conflict, fragility and violence: e.g. contextual (e.g. political instability, violence, economic crises, migration/refugee flows, drought, etc.), institutional (e.g. weak partner capacity, fiduciary risks, corruption, staff turnover, investment risks) and personnel (murder, kidnapping, medical care, etc.). For more details see: GIZ (2014): 'Context- and conflict-sensitive results-based monitoring system (RBM). Supplement to: The 'Guidelines on designing and using a results-based monitoring system (RBM) system.', p.27 and 28.

OECD-DAC Criterion Impact (higher-level development results) – What difference does the intervention make? (max. 100 points)

Based on recognisable higher-level development changes (at impact level), the criterion of "higher level development results (at impact level)" relates to the extent to which the intervention has already produced significant positive or negative, intended or unintended results at the overarching level (contributions to the observed changes), or is expected to do so in the future. This includes any differential results across different stakeholders and beneficiaries. This criterion refers to the results of the development intervention.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Higher-level (intended) development changes¹	Standard	To what extent can the higher-level development changes (social, economic and environmental dimensions and the interactions between them) to which the intervention will/is designed to contribute be identified/foreseen? (Specify time frame where possible.)	<ul style="list-style-type: none"> Consider module proposal for suggested impact and program objective indicators (program proposal), if it is not an individual measure Potential basis for assessment: program objective indicators, identifiers, connection to the national strategy for implementing 2030 Agenda, connection to SDGs 	Programme objective (impact) and indicators; connection to international to national strategies for implementing 2030 Agenda, connection to SDGs; climate goals at city level	Evaluation design: <ul style="list-style-type: none"> results analysis contribution analysis Empirical methods: <ul style="list-style-type: none"> document review interviews with stakeholders cat. E, F, H, M FGD with stakeholders cat. C-D and I-J online survey study of selected city cases (document review, conversation with PIU members) 	<ul style="list-style-type: none"> documents: project monitoring data, relevant SDGs, city goals and statistics, etc. interviews with stakeholders cat. E, F, H, M FGD with stakeholders cat. C-D and I-J online survey study of selected city cases (document review, conversation with PIU members) 	Data quality: <ul style="list-style-type: none"> availability of data: good collection of additional data: good lack of representation of specific stakeholders/ groups: access to indirect target groups limited response rates: expected to be good possibility of data/method triangulation: good evidence strength: good Possible limitations: <ul style="list-style-type: none"> programme scope vs. time constraints selection of key respondents might be biased 	good
	Standard	To what extent can the higher-level development changes (social, economic, environmental dimensions and the interactions between them) be identified/foreseen at the level of the intended beneficiaries? (Specify time frame where possible.)		same as above	same as above	same as above	same as above	good
	Standard	To what extent can higher-level development changes to which the intervention will/is designed to contribute be identified/foreseen at the level of particularly disadvantaged/vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.) (Specify time frame where possible.)		same as above	same as above	same as above & interview with potential final beneficiaries (cat. O-P)	Data quality: <ul style="list-style-type: none"> availability of data: good collection of additional data: limited lack of representation of specific stakeholders/ groups: access to indirect target groups limited response rates: expected to be weak possibility of data/method triangulation: moderate evidence strength: weak Possible limitations: <ul style="list-style-type: none"> access to potential final beneficiaries limited 	moderate
Contribution to higher-level (intended) development changes	Standard	To what extent has the intervention actually contributed to the identified and/or foreseeable higher level development changes (social, economic, environmental dimensions and their interactions, taking into account political stability) that it was designed to bring about?	<ul style="list-style-type: none"> Contribution analysis (evaluation design) as minimum standard and focus of this assessment dimension, further approaches are possible and welcome, see also annotated reports Evaluation of the project's contribution to impacts based on an analysis of the results hypotheses from outcome to impact level 	CFF results hypotheses (from outcome to impact level)	Evaluation design: <ul style="list-style-type: none"> contribution analysis Empirical methods: <ul style="list-style-type: none"> document review interviews with stakeholders cat. E, F, H, M FGD with stakeholders cat. C-D and I-J online survey study of selected city cases (document review, conversation with PIU members) 	<ul style="list-style-type: none"> documents: project monitoring data, relevant SDGs, city goals and statistics, etc. interviews with stakeholders cat. E, F, H, M FGD with stakeholders cat. C-D and I-J online survey study of selected city cases (document review, conversation with PIU members) 	same as above	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	Standard	To what extent has the intervention achieved its intended (original and, where applicable, revised) development objectives?	• This question can already be assessed in Dimension 1 Question 1, the contribution to impact is assessed in Dimension 2, Question 1	same as above	same as above	same as above	same as above 'Data availability considered to be strong when assessing if intended objectives have been already (partly) achieved.	strong
	Standard	To what extent has the intervention achieved its (original and, where applicable, revised) development objectives at the level of the intended beneficiaries?		same as above	same as above	same as above	same as above 'Data availability considered to be strong when assessing if intended objectives have been already (partly) achieved.	strong
	Standard	To what extent has the intervention contributed to higher-level development changes/changes in the lives of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders that it was designed to bring about? (These may be broken down by age, income, gender, ethnicity, etc.).		same as above	same as above	same as above & interview with potential final beneficiaries (cat. O-P)	Data quality: • availability of data: good • collection of additional data: limited • lack of representation of specific stakeholders/ groups: access to indirect target groups limited • response rates: expected to be weak • possibility of data/method triangulation: moderate • evidence strength: weak Possible limitations: • access to potential final beneficiaries/ vulnerable groups limited	moderate
	Standard	<i>Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended development objectives?</i>	• Internal factors = within the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s)	same as above	same as above	same as above	same as above: see first dimension, first line	good
	Standard	<i>Which external factors were decisive for the achievement/non-achievement of the intervention's intended development objectives?</i>	• External factors = outside the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s). • Take into account the activities of other actors or other policies, framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)	same as above	same as above	same as above	same as above: see first dimension, first line	good
	Standard	To what extent has the intervention achieved structural or institutional changes (e.g. for organisations, systems and regulations)?		same as above	same as above	same as above	same as above: see first dimension, first line	good
	Standard	To what extent did the intervention serve as a model and/or achieve broad-based impact?	• Scaling-up is a consciously designed process to anchor changes in organisations and cooperation systems (e.g. concepts, approaches, methods) to generate broad impact • There is vertical scaling-up, horizontal scaling-up, functional scaling-up or a combination of	same as above	same as above	same as above	same as above: see first dimension, first line	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
			these ² • also analyse possible potential and reasons for not exploiting it					
	Standard	<i>How would the situation have developed without the intervention?</i>	• usually qualitative reflection, quantitative approaches welcome	same as above	same as above & • qualitative reflection: What would have happened without the project?	same as above	same as above: see first dimension, first line	good
Contribution to higher-level (unintended) development changes	Standard	To what extent can higher-level, unintended development changes (social, economic and environmental dimensions and their interactions, taking into account political stability) be identified/foreseen? (Specify time frame where possible.)		CFF results hypotheses (from outcome to impact level); assessment of unintended results	Evaluation design: • adapted 'Most Significant Change' method • differentiation between what was intended and what was additionally achieved • contribution analyses Empirical methods: • document review • interviews with stakeholders cat. A to G, I-J and M to P • FGD with stakeholders cat. C-D and I-J • online survey • study of selected city cases (document review, conversation with PIU members)	• documents: project progress reports, relevant SDGs, city goals and statistics, reports of other projects and donors, etc. • interviews with stakeholders cat. A to G, I-J and M to P • FGD with stakeholders cat. C-D and I-J • online survey • study of selected city cases (city documents, conversation with PIU members)	same as above	good
	and Fragility	To what extent did the project have (unintended) negative or escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? To what extent did the project have positive or deescalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)?		FS 0 marker; same as above & assumptions and risks	same as above	same as above	Fragility was not in the project focus and therefore not monitored. Some information in PPRs. Information from interviews expected to be good-moderate	good
	Standard	To what extent has the intervention brought about foreseeable/identifiable unintended (positive and/or negative) higher-level development results?	• Analyse whether the risks were already known in the design phase • Check how the assessment of risks in connection with (unintended) negative or (not formally agreed) positive results at the impact level in the monitoring system has been carried out (e.g. use of 'compass') • measures taken to avoid or counteract the risks/ negative effects/ trade-offs ³ • Determine relevant framework conditions for negative results and the project's reaction to them • Examine to what extent potential (not formally agreed) positive results and synergies between the ecological, economic and social development dimensions have been monitored and exploited	same as above & assumptions and risks	same as above	same as above	same as above: see first dimension, first line	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	Standard	To what extent has the intervention contributed to foreseeable/identifiable unintended (positive and/or negative) higher-level development results at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)		same as above	same as above	same as above & interview with potential final beneficiaries (cat. O-P)	Data quality: • availability of data: good • collection of additional data: limited • lack of representation of specific stakeholders/ groups: access to indirect target groups limited • response rates: expected to be weak • possibility of data/method triangulation: moderate • evidence strength: weak Possible limitations: • access to potential final beneficiaries limited	moderate

(1) The first and second assessment dimensions are interrelated: If the project's contribution to achieving the objective is small (2nd assessment dimension), this must also be taken into account when evaluating the first assessment dimension.
(2) See GIZ 2016 'Guidelines on scaling-up for programme managers (AV) and planning officers'
(3) Risks, negative effects and trade-offs are separate aspects that should be discussed individually at this point.

OECD-DAC Criterion Efficiency – How well are resources being used? (max. 100 points)

This criterion describes the extent to which the intervention delivers results in an economic and timely way (relationship between input and output, outcome and impact level). The evaluation dimension "production efficiency" refers to the appropriateness of the relationship between inputs and outputs. The evaluation dimension "allocation efficiency" refers to the appropriateness of the relationship between the inputs and the results achieved (project/development objective; outcome/impact level) by the intervention. The "efficiency" criterion relates both to the intervention's design and implementation and to the results it achieves.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Production efficiency	Standard	<i>How are the intervention's inputs (financial, human and material resources) distributed (e.g. by instruments, sectors, sub-interventions, taking into account the cost contributions of partners/executing agencies/other beneficiaries and stakeholders etc.)?</i>	<ul style="list-style-type: none"> Description of the data: Costs per output, type of costs, agreed and provided partner contributions Description of the deviations between original planned costs and actual costs (with comprehensible justification, changes are certainly desirable for increased efficiency) 	The analysis of this assessment dimension is based on the efficiency tool in which costs are retrospectively assigned to outputs.	Evaluation design: • follow-the-money approach Empirical methods: • application of efficiency tool • benchmarking of implemented resources against achieved outputs • assignment of the most important cost items to outputs	GIZ efficiency tool; data provided by CFF	Data quality: • availability of data: expected to be good • evidence strength: good Possible limitations: • assignment of costs to outputs is only a rough estimate	strong
	Knowledge interest	How are project costs attributed to outputs?	BMZ knowledge interest transmitted through CPE unit	same as above	same as above	same as above	same as above	strong
	Standard	To what extent have the intervention's inputs (financial, human and material resources) been used economically in relation to the outputs delivered (products, investment goods and services)? If possible, refer to data from other evaluations in a region or sector, for instance.	<ul style="list-style-type: none"> Use of 'Efficiency tool' including instructions and use of the follow-the-money approach as evaluation design (may be combined with other high-quality approaches) Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)¹ compared to possible alternatives with a focus on the minimum principle 	same as above	same as above	same as above	same as above	good

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
			(use of comparative data if available) • The project is oriented on internal or external benchmarks in order to achieve its effects economically • Regular reflection of the resources used by the project with focus on economically use of resources and cost risks • The overarching costs of the project are in an appropriate proportion to the costs of the outputs					
	Standard	To what extent could the intervention's outputs (products, investment goods and services) have been increased through the alternative use of inputs (financial, human and material resources)? If possible, refer to data from other evaluations of a region or sector, for instance. (If applicable, this question adds a complementary perspective*) * This case is always applicable in the technical cooperation (TC), please answer the question bindingly	• Use of 'Efficiency tool' including instructions and use of the follow-the-money approach as evaluation design (may be combined with other high-quality approaches) • Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment) ¹ compared to possible alternatives with focus on output maximization (use of comparative data if available) • Analysis of alternative options for allocating resources and shifts between outputs for output maximisation • saved resources can and should be used to maximise outputs • Reflection of the resources during the design phase and regularly during the implementation of the project with focus on output maximisation (with comprehensible justification, changes are certainly desirable for increased efficiency) • 'imaximising outputs' means with the same resources, under the same conditions and with the same or better quality	same as above	same as above	same as above	same as above	good
	Knowledge interest	How could cooperation with financial sector institutions be improved to better prepare them for investments in infrastructure?	C40 knowledge interest	same as above	same as above	same as above	same as above	good
	Standard	Were the outputs (products, investment goods and services) produced on time and within the planned time frame?		same as above	same as above	same as above	same as above	good
Allocation efficiency	Standard	<i>By what other means and at what cost could the results achieved (higher-level project objective) have been attained?</i>		Analysis of potential alternative designs and their cost-efficiency, as compared to the current CFF design	Evaluation design: • follow-the-money approach • social and environmental Return on Investment (seROI) Empirical methods:	qualitative assessment by the evaluators on basis of quantitative data; comparison of CFF costs (efficiency tool)	Data quality: • availability of data: good (report on expenditure and cost commitments) • collection of additional data:	moderate

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
					<ul style="list-style-type: none"> • comparison of alternatives: how more social and environmental results could have been achieved with the available budget, e.g. by allocating resources differently • if possible: comparison with alternative experience from other projects/donors (for instance: Green Climate Fund) 	with other projects' costs (if possible)	possible • evidence strength: good Possible limitations: • assignment of CFF costs to outputs is only a rough estimate • limited access to other donors' expenditure reports	
	Standard	To what extent – compared with alternative designs for the intervention – could the results have been attained more cost-effectively?	<ul style="list-style-type: none"> • Outcome level: Analysis of approaches and activities as well as TC-instruments in comparison to possible alternatives with focus on minimum principle (use of comparative data if available) • Regular reflection in the project of the input-outcome relation and alternatives as well as cost risks • The partner contributions are proportionate to the costs for the outcome of the project 	same as above	same as above	same as above	same as above	moderate
	Standard	To what extent – compared with alternative designs for the intervention – could the positive results have been increased using the existing resources? (If applicable, this question adds a complementary perspective*) * This case is always applicable in the technical cooperation (TC), please answer the question bindingly	<ul style="list-style-type: none"> • Outcome level: Analysis of applied approaches and activities as well as TC-instruments compared to possible alternatives with focus on maximizing the outcome (real comparison if available) • The project manages its resources between the outputs in such a way that the maximum effects in terms of the module objective are achieved • Regular reflection in the project of the input-outcome relation and alternatives • Reflection and realization of possibilities for scaling-up • If additional funds (e.g. co-financing) have been raised: Effects on input-outcome ratio (e.g. via economies of scale) and the ratio of administrative costs to total costs • Losses in efficiency due to insufficient coordination and complementarity within German DC are sufficiently avoided 	same as above	same as above	same as above	same as above	moderate
	Knowledge interest	How could cooperation with financial sector institutions be improved to better prepare them for investments in infrastructure?	C40 knowledge interest	same as above	same as above	same as above	same as above	good

(1) see GIZ 2015: 'Integration of TC Instruments – Key Elements', based on BMZ 2014: Handbuch der bilateralen TZ Verfahrensinformation Nr. VI0362014 'Eckpunkte zur Instrumentenintegration'

OECD-DAC Criterion Sustainability – Will the benefits last? (max. 100 points)

The 'sustainability' criterion relates to continued long-term benefits (at the outcome and impact level) or the probability of continued long-term benefits – taking into account observed or foreseeable risks – over time, particularly after assistance has ended.

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation Indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment	
Capacities of the beneficiaries and stakeholders	Standard	To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the institutional, human and financial resources as well as the willingness (ownership) required to sustain the positive results of the intervention over time (once assistance has drawn to a close)?	<ul style="list-style-type: none"> • Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation). 	<ul style="list-style-type: none"> • capacities of city-level infrastructure project development departments and Project Implementation Units (PIUs) – technical, organisational, social, financial, communicational – to continue with climate actions • capacity of C40 CFF to sustainably act as a multi-partner organisation • capacities of local, national and international partners to contribute to urban climate action projects 	Evaluation design: <ul style="list-style-type: none"> • the analysis follows the analytical questions from the evaluation matrix (see annex) Empirical methods: <ul style="list-style-type: none"> • document review, e.g. capacity assessment reports and CFF CD strategy • interviews with stakeholders cat. E, G, I, J, M and N • FGD with stakeholders cat. I-J • online survey • study of selected city cases (capacity assessment & CD documents, conversation with PIU/ city staff members) 	<ul style="list-style-type: none"> • document review, e.g. capacity assessment reports and CFF CD strategy • interviews with stakeholders cat. E, G, I, J, M and N • FGD with stakeholders cat. I-J • online survey • study of selected city cases (capacity assessment & CD documents, conversation with PIU/ city staff members) 	Data quality: <ul style="list-style-type: none"> • availability of data: good • collection of additional data: good • response rates: expected to be good • possibility of data/method triangulation: yes • evidence strength: good Possible limitations: <ul style="list-style-type: none"> • selection of key respondents might be biased 	good	
	Standard	To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the resilience to overcome future risks that could jeopardise the intervention's results?		same as above	same as above	same as above	same as above	good	

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment	
Contribution to supporting sustainable capacities	Standard	To what extent has the intervention contributed to the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) having the institutional, human and financial resources as well as the willingness (ownership) required to sustain the intervention's positive results over time and to limit the impact of any negative results?	<ul style="list-style-type: none"> • Analysis of the preparation and documentation of learning experiences • Description of the anchoring of contents, approaches, methods and concepts in the partner system • Reference to exit strategy of the project • If there is a follow-on project, check to what extent the results of the evaluated project are taken up; the anchoring of the effects in the partner's organisation should be pursued independently of a follow-on project, since sustainability should be achieved even without donor funds • Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation). 	same as above	Evaluation design: <ul style="list-style-type: none"> • contribution analysis Empirical methods: <ul style="list-style-type: none"> • interviews with stakeholders cat. E, G, I, J, M and N • FGD with stakeholders cat. I-J • online survey • study of selected city cases (document review, conversation with PIU members) 	<ul style="list-style-type: none"> • interviews with stakeholders cat. E, G, I, J, M and N • FGD with stakeholders cat. I-J • online survey • study of selected city cases (document review, conversation with PIU members) 	same as above	good	
	Standard	To what extent has the intervention contributed to strengthening the resilience of the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies)?		same as above	same as above	same as above	same as above	good	
	Standard	To what extent has the intervention contributed to strengthening the resilience of particularly disadvantaged groups? (These may be broken down by age, income, gender, ethnicity, etc.)		same as above	same as above	same as above & potential beneficiaries (cat. O-P)	Data quality: <ul style="list-style-type: none"> • availability of data: good • collection of additional data: limited • lack of representation of specific stakeholders/ groups: access to indirect target groups limited • response rates: expected to be weak • possibility of data/method triangulation: moderate • evidence strength: weak Possible limitations: <ul style="list-style-type: none"> • access to potential final beneficiaries/ vulnerable groups limited 	moderate	

Assessment dimensions	Filter - Project Type	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
Durability of results over time	Standard	<i>How stable is the context in which the intervention operates?</i>		Extent to which continued use of the results by partners and beneficiaries can be foreseen	Evaluation design: • context analysis • risk assessment • assessment of the long-term likelihood of partners' and beneficiaries' contribution to mitigating climate change (probability grid, spider diagram) Empirical methods: • document review (e.g. NDC and NAP, climate change reports) • interviews with stakeholders cat. E, F, G, M, N and O • study of selected city cases	• documents (e.g. NDC and NAP, climate change reports) • interviews with stakeholders cat. E, F, G, M, N and O • study of selected city cases	Data quality: • availability of data: good • collection of additional data: good • response rates: expected to be good to strong • possibility of data/method triangulation: yes • evidence strength: good Possible limitations: • selection of key respondents might be biased • access to vulnerable groups/ final beneficiaries limited	good
	Standard	<i>To what extent is the durability of the intervention's positive results influenced by the context?</i>	• Consideration of risks and potentials for the long-term stability of the results and description of the reaction of the project to these	same as above	same as above	same as above	same as above	good
	Standard	<i>To what extent can the positive (and any negative) results of the intervention be deemed durable?</i>	• Consideration of the extent to which continued use of the results by partners and beneficiaries can be foreseen • Reference to conditions and their influence on the durability, longevity and resilience of the effects (outcome and impact) • In the case of projects in the field of Transitional Development Assistance (TDA), at least the continuity of the measure must be examined: To what extent will services or results be continued in future projects (of GIZ or other donors/organizations) or their sustainability ensured? (Clarification in the inception phase)	same as above	same as above	same as above	same as above	good

Predecessor project, follow-on project and further evaluation questions							
	Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	Impact of the predecessor project (if predecessor project exists)	Which results were envisaged at the impact level of the predecessor project and which were achieved?	Impact indicators pilot phase; SDGs; city climate goals	Design: (contribution analysis), context assessment, data triangulation Methods: document analysis: evaluation reports, impact briefs, recent media articles & publications; As far as possible: interviews with Bogotá and Mexico City	Documents: Evaluation reports (GIZ 2018a-b), Impact briefs (CFF 2020i), CFF Exit Assessments (CFF 2020k); media reports; Interviews with stakeholders cat. A to E and O-P from Bogotá and Mexico City, partly also Durban and Bangalore; FGD with city officers and city based	Quality is expected to be good; limitations: time constraints	good

Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
			municipal officers and civil society representatives focus group discussions with CFF city-based staff	staff from Bogotá and CDMX (cat. C and E)		
	Which results of the predecessor are still visible today at impact level?	Impact indicators and result hypothesis pilot phase <i>"Which results of the predecessor are still visible today at impact level?" refers to those impacts that were already assessed in a previous evaluation or the last progress report of the predecessor project: are these results still present?</i>	same as above	same as above	Quality is expected to be good; limitations: time constraints	good
	Which results of the predecessor are only visible today at impact level?	Impact indicators and result hypothesis pilot phase <i>"Which results of the predecessor are only visible today at impact level?" refers to additional impacts that may have taken more time to develop and were not visible at the time of project end - but are today.</i>	same as above	same as above	Quality is expected to be good; limitations: time constraints	good
	How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the impact of the predecessor as well as the current project until today? How?	Exit strategy	same as above	same as above	Quality is expected to be good; limitations: time constraints	good
	What were factors for success / failure for the impact of the predecessor? <i>[What were major lessons learnt from the pilot project?]</i>	Lessons learnt	same as above	same as above	Quality is expected to be good; limitations: time constraints	good
	Further expected/ possible impacts of pilot project...					
Sustainability of the predecessor project (if predecessor project exists)	<i>Which results were envisaged at the outcome level of the predecessor project and which were achieved?</i>	Impact indicators pilot phase; SDGs; city climate goals	Design: (contribution analysis), context assessment, data triangulation Methods: document analysis: evaluation reports, impact briefs, recent media articles & publications; <i>As far as possible:</i> interviews with Bogotá and Mexico City municipal officers and civil society representatives focus group discussions with CFF city-based staff	Documents: Evaluation reports (GIZ 2018a-b), Impact briefs (CFF 2020i), CFF Exit Assessments (CFF 2020k); media reports Interviews with stakeholders cat. A to E and O from Bogotá and Mexico City, partly also Durban and Bangalore; FGD with city officers and city based staff from Bogotá and CDMX (cat. C and E);	Quality is expected to be good; limitations: time constraints	strong
	Which results at outcome level (and important outputs) are still present or have been further developed by the partners? (without external funding vs. with external funding)	Outcome indicators pilot phase	same as above	same as above	Quality is expected to be good; limitations: time constraints	strong
	How were the results of the predecessor anchored in the partner structure?	Exit strategy and partner cooperation framework/ networks; Ownership	same as above	Interviews with stakeholders cat. E from Bogotá and Mexico City, partly also Durban and Bangalore; FGD with city officers from Bogotá and CDMX (cat. E);	Quality is expected to be good; limitations: time constraints	good
	How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the sustainability of the predecessor and the current project until today? How?	Exit strategy and partner cooperation framework/ networks; Ownership	same as above + context assessment	same as first line in this dimension	Quality is expected to be good; limitations: time constraints	good

Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assessment
	What were factors for success / failure for the sustainability of the predecessor?	Lessons learnt	same as above	same as first line in this dimension	Quality is expected to be good; limitations: time constraints	good
Follow-on project: Analysis of the design and recommendations for implementation (if a follow-on project exists)	Evaluability and design of the successor: Are the results model for the follow-on project including the results hypotheses, the results-oriented monitoring system (WoM) and the project objective indicators plausible (and in line with current standards)? Are there - also based on the evaluation of the current project - recommendations for improvements in the further course of the follow-on project?	Project proposal and results matrix	Assessment of project proposal and results matrix	Project proposal and results matrix	Quality strong, no limitations	strong
	Based on the results of the evaluation of the current project: Which recommendations can be derived for the implementation of the follow-on project?	same as above	Assessment of project proposal and results matrix against evaluation results	Project proposal and results matrix; evaluation results	same as above	strong
	...					



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