

Terminal Evaluation of the UNEP/GEF Project
“Promoting Sustainable Cities in Brazil through integrated
urban planning and innovative technologies investment”
GEF ID 9142
2018-2023



Evaluation Office of the United Nations Environment Programme

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Promoting Sustainable Cities in Brazil through integrated urban planning and innovative technologies investment

GEF ID 9142

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The evaluation consultants hope that the findings, conclusions and recommendations will contribute to the continuous improvement of similar projects in other countries and regions.

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Post-Doctoral Researcher at Fundação Getúlio Vargas /Brazil on Urban Development and Innovation. More than 15 years of experience with local governments in Brazil, Latin America, and the Caribbean in an entity representing local governments, as a specialist in Urban Development. Karla has also supported the design and implementation of courses and training on sustainable urban development for Brazilian local governments, acting as a facilitator with local, national, and international stakeholders in several countries in Latin America, among others. Internationally, Karla has experience supporting urban development cooperation projects funded by the European Union and international missions and projects.

About the Evaluation

Joint Evaluation: No

Report Languages: English and Portuguese (Executive Summary)

Evaluation Type: Terminal Evaluation

Brief Description: This report is a Terminal Evaluation of the UNEP/GEF project - Promoting Sustainable Cities in Brazil through integrated urban planning and innovative technologies investment (GEF ID 9142) implemented between 2018 and 2023. The project's overall development goal was to promote sustainability in Brazilian Cities through integrated urban planning and innovative technologies. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, and the relevant agencies of the project participating countries.

Source(s) of Funding by Country: Brazil

Source(s) of Funding by Institution Type:

Foundation/NGO	Yes
Private Sector	No
UN Body	Yes
Multilateral Fund	No
Environment Fund	No

Key words: Sustainable Urban Development; Resilient Cities; Governance; Climate Change; SGD's.

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List of acronyms and abbreviations

ARIES	Recife Agency for Innovation and Strategy
CAESB	Water and Environment Company – Federal District
CGEE	Centre for Management and Strategic Studies
CSA	Community-Supported Agriculture
EEZ	Ecologic-Economic Zoning
EOU	Evaluation Office of UNEP
EMATER	Agriculture Extension Corporation
FD	Federal District
FDG	Federal District Government
GE	Green Economy
GEF	Global Environment Facility
GPSC	Global Platform for Sustainable Cities
IMS	Integrated Management Systems
IPCC	Intergovernmental Panel on Climate Change
MCTI	Ministry of Science, Technology and Innovation
MoU	Memorandum of Understanding
MTR	Mid Term Review
NGO	Non-Governmental Organisation
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ProDoc	Project Document (must be reviewed by PRC before any project can be undertaken, with the approval of the managing division director)
SEMA	Secretariat of Environment – Brasilia
SEAGRI	Secretariat of Agriculture – Brasilia
SEPLAGDT	Secretariat of Planning, Management and Digital Transformation
SC-IAP	Sustainable Cities – Integrated Approach Pilot
SCIO	Sustainable Cities Innovation Observatory
SCP	Sustainable Cities Programme
SD	Sustainable Development
SDG	Sustainable Development Goals
SISDIA	District System of Environmental Information
SLU	Urban Waste Utility
ToC	Theory of Change
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNSDCF	United Nations Sustainable Development Cooperation Framework

UNEP United Nations Environment Programme

Project identification table

Table 1: Project Identification Table

GEF Project ID/SMA ID¹:	9142 / 37077		
Implementing Agency:	UNEP/ Climate Change Division / Mitigation Branch/ Climate Mitigation Unit	Executing Agency:	Ministry of Science, Technology and Innovation (MCTI), Aries, CGEE, SCP, GDF, UNEP
Relevant SDG(s) and indicator(s):	SDG goal 11: Target 11.3; Indicator 11.2.1 and Target 11.6; Indicator 11.6.1		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7²)	Improved management of landscapes and seascapes covering 300 million hectares – Total project target: 415 hectares 120 million hectares under sustainable land management – Total project target: 80 hectares 750 million tons of CO₂e mitigated (include both direct and indirect) – Total project target: 3,802,710 metric tons		
Sub-programme:	Climate Change	Expected Accomplishment(s) or Outcome(s):	MTS 2018-2021: Climate Change, EA2 MTS 2022-2025: Climate Action, Outcome 2
UNEP approval date:	November 2016	Programme of Work Output(s):	2018-2019 POW: (a)(i)(ii), (b)(i)(ii) 2020-2021 POW: (a)(i)(ii)(iii), (b)(i)(ii)
GEF approval date:	January 2017	Project type:	Full size project
GEF Operational Programme #:	1355	Focal Area(s):	IAP Sustainable Cities
<i>Expected</i> start date:	March 2017	Actual start date:	19 April 2018
<i>Planned</i> operational completion date:	19 April 2022	Actual operational completion date:	31 October 2023
<i>Planned</i> project budget at approval:	USD 218,286,438	Actual total expenditures reported as August 2024:	USD 321,631,453

¹ SMA refers to the ID provided by the Integrated Planning, Management and Reporting Solution (IPMR) system, which was introduced by UNEP in July 2023.

² This does not apply for Enabling Activities

GEF grant allocation:	USD 22,635,780	GEF grant expenditures reported as of August 2024:	USD 22,524,846
Project Preparation Grant - GEF financing:	USD 327,000	Project Preparation Grant - co-financing:	N/A
<i>Expected</i> Medium-Size Project/Full-Size Project co-financing:	USD 195,650,658	Secured Medium-Size Project/Full-Size Project co-financing as of August 2024:	USD 299,106,607
Date of first disbursement:	April 2018	Planned date of financial closure:	October 2024
No. of formal project revisions:	5	Date of last approved project revision:	21 September 2023
No. of Steering Committee meetings³:	24	Date of last Steering Committee meeting:	1 June 2023
Mid-term Review/ Evaluation (<i>planned date</i>):	December 2020	Mid-term Review/ Evaluation (actual date):	March 2021
Terminal Evaluation (<i>planned date</i>):	October 2023	Terminal Evaluation (actual date):	February 2024
Coverage - Country(ies):	Brazil	Coverage - Region(s):	Latin America and the Caribbean
Dates of previous project phases:	N/A	Status of future project phases:	GEF-7 project on Sustainable Cities in Brazil is under execution (CITinova 2)

³ This includes meetings of the Management Unit and Management Committee.

Executive Summary

Project background

1. The project “Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment” - GEF ID 9142 was a child project integrated in the GEF 6 Sustainable Cities Integrated Approach Pilot (SC-IAP). This was part of the integrated approach programming strategy of GEF-6 which aimed to promote the integration of environmental sustainability in planning and management initiatives for cities.

2. The project in Brazil, known as the CITinova project, aimed to develop innovative technical solutions and offer methodologies and tools for integrated urban planning to support public managers, foster citizen participation and promote more just and sustainable cities. The project was focused on addressing the problems faced by large and mid-sized Brazilian cities today. These problems include unsustainable patterns of urbanization that have produced social and economic disparities and environmental vulnerabilities that shaped the spatial configuration of Brazilian cities. These cities additionally faced increasing spatial segregation, poor infrastructure and climate impacts that are not solved adequately due to prevailing sectoral policies, lack of monitoring and data, among other things.

3. The project was approved by United Nations Environment Program (UNEP) in November 2016 and the GEF in January 2017 with the operational period from April 2018 to October 2023 (this includes an 18 month no-cost extension). It was implemented by UNEP’s Climate Mitigation Unit which sits under the Climate Change Division, Mitigation Branch. The primary executing agency was the Brazilian Ministry of Science Technology and Innovation (MCTI). The project had a total budget of USD 321,631,453 with a GEF contribution of USD 22,524,846 and co-financing from national and local government, local partners, and UNEP of USD 299,106,607.

This evaluation

4. In line with the UNEP Evaluation Policy and UNEP Programme Manual, the Terminal Evaluation is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

5. As this is a Terminal Evaluation and a follow-up project is already approved, particular attention was given to learning from the experience. Therefore, the “why?” question and the use of the Theory of Change (ToC) as the main methodological tool, supports a deeper understanding of “why” the performance was as it was (i.e. what contributed to the achievement or shortcomings of the project’s results). This provided the basis for the lessons that can be drawn from the project.

6. The Evaluation had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, MCTI, Aries/Recife, SEMA/Brasilia, CGEE, and SCP.

7. The Terminal Evaluation targeted various stakeholders involved in the CITInova project, including UNEP, at national, regional, and HQ levels, GEF, the Brazilian Government, the executing agency (MCTI), co-executing agencies (ARIES / Porto Digital, CGEE, SCP, SEMA), and project beneficiaries. The evaluation adopted a participatory approach, facilitating collective reflection on project implementation and lessons learned.

8. Terminal Evaluation was conducted between February and July 2024. This was done through extensive document reviews, virtual interviews in anticipation of and after the country visit, as well as site visits and in-person interviews during the field mission that took place from 24 March to 5 April 2024.

Key findings

9. The project was integrated in SC-IAP as a child project and was funded by the GEF to promote the integration of environmental sustainability in planning and management initiatives for cities. The project was perfectly aligned with the UNEP Medium Term Strategy 2018-2021 and with the different UNEP Programs of Work (PoW) during project implementation. It was aligned with the SDG goal 11: Make cities and human settlements inclusive, safe, resilient, and sustainable. It was fully aligned with the main guidelines of Brazilian national environmental, urban and innovation policies, including the National Climate Change Policy, the City Statute, the National Environment Policy and the National Innovation Policy. The project was also aligned with the local level legal frameworks, namely with the Brasilia Sustainability Law and Recife Strategic Guidelines.

10. Most project outputs were achieved, although some key outputs, such as the Integrated Management Systems (IMS) in Recife, were not effectively delivered⁴. Given the context and some delays in implementation, the project demonstrated a highly relevant capacity to deliver.

11. The project had a satisfactory level of outcome achievement, enabling the mobilization of resources and expertise that usually are not available within local governments. The project was complex, involving multiple implementation partners and covering different cities with significant territorial dispersion. Moreover, high turnover among project implementation partners, including changes in the overall governance structure of MCTI, resulted in partners pursuing different agendas and made it difficult to establish a shared vision toward project outcomes. Delays in implementation did not allow to build these connections as most of the activities and outputs were finalized in the last year of project implementation.

12. The project was implemented against the backdrop of government transitions, shifting political agendas, changes in the priority of the environmental and climate agendas. This context created significant challenges for the project, especially at the national level, in promoting inter-ministerial cooperation to strengthen a national agenda for integrated urban planning, innovation, and sustainability. Additionally, the challenges of transitions made it difficult to establish mechanisms for knowledge exchange

^{4 4} Under component 1, the project 75% of the project outputs were fully achieved, 12,5% were partially achieved and 12,5% were not achieved; Under component 2, 75% of the project outputs were totally achieved and the remaining were partially achieved and under component 3, 60% of the project outputs were totally achieved and the remaining were partially achieved.

between managers at different levels of government. The project was also affected by the COVID-19 pandemic which had relevant impacts on project implementation strategies. At the project management level, political and institutional changes in the governments in Brasilia and Recife and in the MCTI introduced different procedures in the execution and monitoring of the project, requiring time to adapt and resume effective execution

13. Despite these challenges, the project was able to promote evidence-based planning through powerful tools such as District System of Environmental Information (SISDIA) in Brasilia and climate mitigation and adaptation plans in Brasilia and Recife and also through the development of strategic documents such as Recife 500 years. These actions, under component 1, have contributed to greater institutional collaboration between local level technical institutions and greater capacity to mobilize financial resources for the municipalities. Under component 2 the project was able to develop a legal framework to promote photovoltaic energy shared production within public institutions and nature-based solutions were piloted and demonstrated. There are solutions that can be inspiring future interventions in both cities and at national level. Under component 3, the project was able to foster a culture of sustainable urban development in the country and to reinforce national networks towards urban sustainable development.

14. Although the project promoted various coordination mechanisms, project components lacked the necessary connection to consistently achieve intermediate states of impact. The most evident weakness in this connection was between the knowledge platforms and the interventions in Brasilia and Recife. Regarding the scaling up of interventions in Brasilia and Recife to other Brazilian cities, achieving this during the project's lifetime was always going to be challenging. Additionally, the institutional context and changes in political decision-makers at the federal level added complexity to an already complex situation.

15. During the project's design, main problems and challenges regarding urbanization in Brazil were clearly identified. However, there was a gap in establishing clear causal relationships in the logic framework and anticipating risks. A Theory of Change (ToC) was missing, and this could have provided a clearer illustration of these relationships, highlighting relevant causal pathways, assumptions and risks along with mitigation measures. It is important to acknowledge that the fact that the project was designed by the implementation partners contributed to the ownership of the process.

16. The financial management was satisfactory with the major constraints coming mainly from CGEE. Most of the required financial information was made available during the terminal evaluation. This included overall project budget, project expenditure sheets, reports on co-financing, audit reports, inventory of equipment and transfer of assets, project cooperation agreements. The project encountered significant challenges in Brasilia, including an unexpected 5% tax imposed on the entire budget of CGEE + SEMA, amounting to over USD \$500,000 in contributions, which were not originally budgeted for. Overall, the project was properly financially managed, there was a good systematization of financial information, the partners budget was properly managed and revised and there were good communication channels between technical and financial departments in place and with UNEP as the implementing agency.

17. The project efficiency was hindered by: i) an implementation model that required high operational and coordination costs; ii) permanent institutional changes at central and local government levels as also in implementing partners such as CGEE also contributed to some delays and inefficiencies in the project management; iii) the COVID pandemic that affected some aspects of project implementation; iv) coordination mechanisms that were in place, but staff turnover and institutional changes affected the project's strategic direction and operational effectiveness; and v) administrative burden added to delays in implementation and led to the partners to be focused on delivering their outputs and in this context, it was not simple to build a common understanding and a common path for project activities.

18. Although the project regularly reported the status of each indicator in the Progress Implementation Reports, a robust monitoring plan shared by all implementation partners was lacking. The project collected robust information on implementation, primarily focusing on outputs and deliverables. However, outcome monitoring was more complex and fragile due to weaknesses in the results framework and the absence of monitoring structures among the implementation partners. Additionally, the lack of baselines posed significant limitations. While Component 1 activities were mainly institutional, the pilot investments would have required baselines to effectively monitor the interventions' effects.

19. The project made significant contributions in areas such as low carbon development, climate change adaptation and mitigation, sustainable urban development, and resilient cities. The incorporation of CITinova as a strategic program by the MCTI ensures that the guiding principles of the project will continue to be implemented by this relevant Ministry. However, it is important to acknowledge that political instability could shift the political context and deprioritize sustainable development and climate change agendas in future governments. Project components are strongly embedded in the implementing partners institutional framework and are being integrated in their financial commitments.

20. The overall performance of the project is rated as Satisfactory and a full breakdown of performance ratings by evaluation criteria can be found in the Conclusions section.

Conclusions

21. The project was highly relevant, addressing some of the most pressing issues affecting Brazilian cities and the urban planning process. Overall, and even considering an unfavorable context, the project successfully promoted sustainable urban planning and management practices, contributing to significant policy advancements and stakeholder engagement, despite facing challenges in monitoring outcomes and dealing with political and institutional changes. Considering the social, political, and institutional context, as well as the delays in implementation, the project demonstrated a strong ability to deliver relevant outputs.

22. However, the project was too segmented, resulting in four highly relevant but different components. To achieve consistent outcomes and promote significant impacts, a more focused approach would have been necessary. However, it is important

to acknowledge that the project made a relevant contribution to reinforce the sustainable cities agenda in Brazil.

23. The project had a relevant contribution to intermediate states such as the greater institutional collaboration between local technical institutions and departments, the commitment to sustainable principles by mayors and city legislators, the use of evidence to inform cities development plans or the mainstreaming of nature-based solutions at national level.

24. The project achieved its targets in improved management of landscapes and seascapes and areas under sustainable use management. However, the reported metric tons of CO2 mitigated could not be assessed due to the lack of robust evaluation methods.

25. The project had a satisfactory level of stakeholder engagement, benefiting from some institutional changes during project implementation and promoting comprehensive engagement processes across its components. However, this engagement could have been more consistent with formal stakeholder coordination mechanisms in all of the intervention components and cities.

26. The project was also a good demonstration of the role of projects as innovation labs – the project promoted some interesting experiences at this level, namely with the pilot investments component and was able to develop quality knowledge platforms and publications that can inform future projects and public policies in the country.

27. The project leveraged and accelerated sustainable cities advocacy processes led by the SCP but missed those that reinforcement in a synergic way with other project components. Nonetheless, it's important to acknowledge the richness of the process and the contribution of the project through the SCP to the municipalization of the SDGs in Brazil.

28. It is also important to acknowledge the project's contribution to strengthening the sustainable cities agenda within the MCTI, as well as reinforcing the climate and urban sustainability agendas in Brazil.

Lessons Learned

Lesson Learned #1:	Constant changes in the project management structure and differing visions prevent the establishment of a unified long-term strategy.
Lesson Learned #2:	Need to balance the agility and flexibility of in project management with ownership by relevant decision-makers.
Lesson Learned #3:	Excessive decentralization leads to a loss of coherence among project components.
Lesson Learned #4:	Allocating funds for pilot projects can yield interesting results as one of the main constraints for many Brazilian cities is the difficulty in securing resources to implement sustainable urban development policies.
Lesson Learned #5:	Pilots should be robust enough, in size and data, to demonstrate their technical, social, environmental and financial viability.

Lesson Learned #6:	Advocacy for sustainable policies and programs can have an is important role but it needs to be complemented by technical and financial support to the Municipalities.
Lesson Learned #7:	Knowledge platforms should be designed with the active engagement of final beneficiaries.
Lesson Learned #8:	Implementing a sound knowledge management system is crucial for promoting project achievement and sustainability.
Lesson Learned #9:	Project budgeting must consider tax regulation in Brazil, particularly the Brasilia Federal District.

Recommendations

Recommendation #1:	The Recife Local Government and ARIES should promote the integration of the IMS developed within the project in the Capibaribe Park management structure
Recommendation #2:	MCTI and CGEE should develop a sustainability strategy for ensuring that SCIO is financially sustainable and maintained relevant and up-to-date.
Recommendation #3:	UNEP and its implementing partners should adopt a more focused approach in the design of future GEF sustainable city projects, targeting specific territorial or sectoral levels rather than overly decentralized and sectoral dispersed interventions.
Recommendation #4	UNEP and implementing partners should identify and include all the tax requirements in the budget of future GEF projects in Brazil during the project development phase or make timely requests for possible exemptions.
Recommendation #5	UNEP and implementation partners should develop and include stakeholder consultation and coordination mechanisms at the local level for future GEF projects.
Recommendation #6	UNEP and implementing partners should promote a closer connection between political advocacy activities (such as the ones promoted by the SCP) and with pilot project investment support to selected municipalities in future GEF projects.
Recommendation #7	UNEP and implementing partners should develop clear theory of change processes in GEF projects (including ToC diagrams) contributing for a better understanding of the project by relevant stakeholders.
Recommendation #8	UNEP should develop clear gender and social and environmental safeguards strategies and mechanisms in future GEF projects.

Sumário Executivo

Contexto do Projeto

29. O projeto " Promoção de Cidades Sustentáveis por meio de planejamento urbano integrado e investimento em tecnologias inovadoras" - Fundo Global para o Meio Ambiente , ID 9142 (conhecido pela sigla GEF em língua inglesa) ,foi um projeto integrado ao GEF 6 - Projeto Piloto de Abordagem Integrada de Cidades Sustentáveis (SC-IAP, na sigla em inglês). Este projeto se alinha à estratégia de programação de abordagem integrada do GEF-6, que busca promover a integração da sustentabilidade ambiental com iniciativas de planejamento e gestão urbana.~

30. No Brasil, o projeto é conhecido como CITinova (Planejamento Integrado e Tecnologias Inovadoras para Cidades Sustentáveis). Seu objetivo é desenvolver soluções técnicas inovadoras e fornecer metodologias e ferramentas para o planejamento urbano integrado, visando apoiar a gestão pública, estimular a participação cidadã e promover cidades mais justas e sustentáveis. O CITinova se concentrou em enfrentar os desafios urbanos atuais, especialmente nas cidades brasileiras de grande e médio porte. Entre esses desafios estão padrões insustentáveis de urbanização que geram disparidades sociais e econômicas e vulnerabilidades ambientais que moldam a configuração espacial das cidades brasileiras. Adicionalmente, as cidades enfrentam elevados índices de segregação espacial, infraestrutura urbana deficiente e desafios climáticos, não solucionados adequadamente por lacunas na integração das políticas públicas nos diversos níveis de governo, bem como fragilidades na implementação de mecanismos de monitoramento e na qualidade e acesso aos dados.

31. O projeto foi aprovado pelo Fundo Global para o Meio Ambiente em janeiro de 2017 e pelo Programa das Nações Unidas para o Meio Ambiente (PNUMA) em novembro de 2016, tendo o período operacional decorrido de abril de 2018 a outubro de 2023, incluso uma extensão do projeto em 18 meses sem custo adicional.

32. A implementação do projeto foi coordenada pela Unidade de Mitigação Climática do Programa das Nações Unidas para o Meio Ambiente (PNUMA), vinculada à Divisão de Mudanças Climáticas, no setor de Mitigação. A principal agência executora foi o Ministério da Ciência, Tecnologia e Inovação (MCTI) do governo brasileiro. O projeto teve um orçamento total de US\$ 218.286.437 (duzentos e dezoito milhões, duzentos e oitenta e seis mil, quatrocentos e trinta e sete dólares), com um aporte financeiro do GEF de US\$ 22.635.780 (vinte e dois milhões, seiscentos e trinta e cinco mil, setecentos e oitenta dólares) e cofinanciamento do governo nacional, distrital e local, parceiros locais e do PNUMA, totalizando US\$ 195.650.657 (cento e noventa e cinco milhões, seiscentos e cinquenta mil, seiscentos e cinquenta e sete dólares).

Avaliação

33. Em conformidade com a Política de Avaliação do PNUMA, a avaliação final foi conduzida ao término operacional do projeto, com o objetivo de avaliar o desempenho do projeto em termos de relevância, eficácia e eficiência, além de verificar os resultados e impactos, tanto reais quanto potenciais, e sua sustentabilidade.

34. Por se tratar de uma avaliação final e considerando que um novo Projeto (CITInova II) se encontra na sua fase inicial de implementação, esta avaliação priorizou a curva de aprendizado do projeto. Assim, a questão do "por que?" e o uso da Teoria da Mudança (ToC na sigla do nome em inglês), como principal ferramenta metodológica sustentam uma compreensão mais profunda dos fatores que influenciaram o desempenho do projeto, permitindo identificar o que contribuiu para o sucesso ou as deficiências dos resultados. A Teoria da Mudança forneceu a base para extrair lições valiosas do projeto.

35. A Avaliação teve dois propósitos principais: (i) fornecer evidências dos resultados para atender aos requisitos de responsabilização e (ii) promover a melhoria operacional, o aprendizado e o compartilhamento de conhecimento por meio dos resultados e das lições aprendidas entre o PNUMA, o Ministério da Ciência, Tecnologia e Inovação (MCTI), a Agência Recife para Inovação e Estratégia (ARIES), a Secretaria do Meio Ambiente de Brasília (DF), o Centro de Gestão e Estudos Estratégicos (CGEE) e o Instituto Cidades Sustentáveis (ICS).

36. A Avaliação Final foi realizada com a participação de diversas partes interessadas no projeto CITInova, incluindo o PNUMA, em suas instâncias nacional, regional e sede em Nairóbi, o GEF, o Governo Brasileiro, a agência executora - o Ministério da Ciência, Tecnologia e Inovação (MCTI)-as agências coexecutoras, incluindo a ARIES, a SEMA/DF, o CGEE e o ICS, bem como representantes das comunidades beneficiárias do projeto. A avaliação adotou uma abordagem participativa, facilitando a reflexão coletiva sobre a implementação do projeto e as lições aprendidas.

37. A Avaliação Final foi conduzida entre fevereiro e Julho de 2024, por meio de extensa análise técnica de documentos, entrevistas virtuais antes e depois das visitas técnicas presenciais nos territórios de intervenção do projeto, e entrevistas presenciais durante a missão técnica realizada no Brasil, que ocorreu de 24 de março a 5 de abril de 2024, nas cidades de Recife (PE), Brasília (DF) e São Paulo (SP).

Principais constatações

38. O projeto foi integrado ao Projeto Piloto de Abordagem Integrada de Cidades Sustentáveis (SC-IAP), um programa financiado pelo GEF com o objetivo de promover a integração da sustentabilidade ambiental em iniciativas de planejamento e gestão urbana. Estava alinhado com a Estratégia de Médio Prazo do PNUMA 2018-2021, bem como com os diversos Programas de Trabalho (PoW) do PNUMA durante sua implementação.

39. O projeto também estava em conformidade com o Objetivo de Desenvolvimento Sustentável (ODS) 11, que visa tornar as cidades e os assentamentos humanos inclusivos, seguros, resilientes e sustentáveis. Ele estava totalmente alinhado com as principais diretrizes das políticas nacionais brasileiras de meio ambiente, urbanas e inovação, incluindo a Política Nacional de Mudanças Climáticas, o Estatuto da Cidade, a Política Nacional do Meio Ambiente e a Política Nacional de Inovação. No âmbito local, o projeto estava em consonância com estratégias de desenvolvimento e quadros jurídicos existentes, nomeadamente com a Lei da Sustentabilidade do Distrito Federal e as orientações estratégicas para o desenvolvimento urbano no Recife.

40. A maioria dos resultados do projeto foi alcançada⁵, embora alguns resultados importantes, como o Sistema de Gerenciamento Integrado (Integrated Management System – IMS na sigla em inglês), em Recife, não tenha sido efetivamente entregue ao município. Considerando o contexto e os atrasos na implementação, o projeto demonstrou uma capacidade de entrega altamente relevante.

41. O projeto teve um nível satisfatório de obtenção de resultados, permitindo a mobilização de recursos e expertise que normalmente não estão disponíveis dentro dos governos locais. Contudo, a complexidade do projeto, que envolveu múltiplos parceiros de implementação e abrangeu diferentes cidades com variados padrões de urbanização, trouxe desafios significativos. A alta rotatividade entre os parceiros de implementação, incluindo mudanças na estrutura de governança do MCTI dificultou a coesão das agendas e o estabelecimento de uma visão compartilhada sobre os resultados do projeto. Adicionalmente, os atrasos na implementação comprometeram o fortalecimento das conexões entre diferentes componentes do projeto, uma vez que a maior parte das atividades e entregas foram concluídas apenas no último ano de execução .

42. O projeto foi implementado em um contexto de transições governamentais em todos os níveis, mudanças nas agendas políticas e alterações nas prioridades das agendas ambiental e climática. Esse cenário criou desafios significativos, particularmente na promoção da cooperação interministerial para fortalecer uma agenda nacional de planejamento urbano integrado, inovação e sustentabilidade. Além disso, as transições de governo dificultaram o estabelecimento de mecanismos de troca de conhecimento entre equipes gestoras em diferentes níveis de governo. A pandemia do novo coronavírus SARS-CoV-2 também impactaram de forma relevante as estratégias de implementação do projeto. No âmbito da gestão, mudanças políticas e institucionais nos governos de Brasília (DF) e Recife (PE) e no Ministério da Ciência, Tecnologia e Inovação introduziram procedimentos distintos na execução e monitoramento do projeto, exigindo tempo para adaptação e retomada para a execução efetiva.

43. Apesar desses desafios, o projeto conseguiu promover o planejamento baseado em evidências por meio de ferramentas eficazes, como o Sistema Distrital de Informações Ambientais (SISDIA) em Brasília, o diagnóstico de contaminação que possibilitou a testagem de soluções inovadoras para a área do antigo lixão em Brasília, e os planos de mitigação e adaptação climática em Brasília (DF) e Recife (PE). Foi desenvolvida também a segunda edição do Plano de Desenvolvimento da Cidade, Recife 500 Anos, além de estudos voltados para a operacionalização da política municipal de habitação de interesse social. Essas ações, na Componente 1 do projeto, contribuíram para uma maior colaboração entre instituições técnicas locais e para o aumento da

⁵ No âmbito da componente 1, 75% dos resultados do projeto foram totalmente alcançados, 12,5% foram parcialmente alcançados e 12,5% não foram alcançados; no âmbito da componente 2, 75% dos resultados do projeto foram totalmente alcançados e os restantes foram parcialmente alcançados e, no âmbito da componente 3, 60% dos resultados do projeto foram totalmente alcançados e os restantes foram parcialmente alcançados.

capacidade de mobilização de recursos financeiros pelos municípios. Na Componente 2, o projeto foi bem-sucedido no desenvolvimento de uma estrutura regulatória inovadora para promover a produção compartilhada de energia fotovoltaica dentro de instituições públicas e na implementação de soluções baseadas na natureza com alta capacidade demonstrativa para a incorporação nas políticas locais. As soluções implementadas têm o potencial de inspirar novas intervenções tanto nas cidades envolvidas quanto em nível nacional. Na Componente 3, o projeto promoveu uma cultura de desenvolvimento urbano sustentável no país e fortaleceu as redes nacionais voltadas para a promoção desse tipo de desenvolvimento. Essas iniciativas têm o potencial de influenciar significativamente a formulação da Política Nacional de Desenvolvimento Urbano (PNDU) e de aprimorar os instrumentos de monitoramento da eficácia das políticas públicas nacionais nas áreas ambiental, urbana e de inovação.

44. Embora o projeto tenha promovido vários mecanismos de coordenação, os componentes do projeto careciam da conexão necessária para alcançar consistentemente as etapas intermediárias de impacto. A fragilidade mais evidente nessa conexão foi observada entre as plataformas de conhecimento e as intervenções em Brasília (DF) e Recife (PE). A troca de conhecimentos entre Brasília, Recife e outras cidades brasileiras revelou-se frágil. No que diz respeito à expansão das intervenções em Brasília e no Recife para outras cidades brasileiras, a sua concretização durante a vigência do projeto foi sempre um desafio. No entanto, importa destacar que o contexto institucional e as mudanças nos tomadores de decisão política a nível federal acrescentaram complexidade a uma situação já de si complexa.

45. Durante o desenho do projeto, os principais problemas e desafios relacionados à urbanização no Brasil foram claramente identificados. No entanto, houve uma lacuna no estabelecimento de relações causais claras na estrutura lógica e na antecipação de riscos. A Teoria da Mudança estava ausente no desenho do projeto, e esta ferramenta poderia ter proporcionado uma ilustração mais clara das relações envolvidas, destacando os caminhos causais relevantes, as suposições e os riscos, bem como as medidas de mitigação correspondentes. No entanto, é importante reconhecer que o fato de o projeto ter sido concebido pelos parceiros de implementação contribuiu para a apropriação do processo.

46. A gestão financeira foi satisfatória, com as principais fragilidades advindas principalmente da gestão do Centro de Gestão e Estudos Estratégicos (CGEE). A maior parte das informações financeiras necessárias foi disponibilizada durante a avaliação final. Isso incluiu o orçamento geral do projeto, planilhas de despesas, relatórios sobre cofinanciamento, relatórios de auditoria, inventário de equipamentos e transferência de ativos, além dos acordos de cooperação do projeto. O projeto enfrentou desafios significativos em Brasília, incluindo um imposto inesperado de 5% sobre todo o orçamento do CGEE e da SEMA/DF totalizando mais de US\$ 500.000 (quinhentos mil dólares) em contribuições, que não estavam previstas no orçamento original. No geral, o projeto foi adequadamente gerenciado financeiramente, com uma boa sistematização das informações de gestão. O orçamento dos parceiros foi bem gerenciado e revisado, e foram mantidos canais de comunicação eficazes entre os departamentos técnico e financeiro, bem como com o PNUMA, como agência implementadora.

47. A eficiência do projeto foi comprometida por diversos fatores: i) Um modelo de implementação que demandou altos custos operacionais e de coordenação; ii)

Mudanças institucionais contínuas nos níveis de governo nacional e subnacionais, assim como com os parceiros de implementação, como o CGEE, contribuíram para alguns atrasos e ineficiências na gestão do projeto; iii) A pandemia da COVID-19 impactou negativamente a implementação do projeto; iv) Embora mecanismos de coordenação estivessem em vigor, a rotatividade das equipes e as mudanças institucionais prejudicaram a eficiência do projeto, afetando a direção estratégica e a eficácia operacional; v) A sobrecarga administrativa, que contribuiu para os atrasos na execução, levou a que os parceiros se concentrassem na entrega dos seus resultados e, neste contexto, não foi simples construir um entendimento comum e uma via comum para as atividades do projeto.

48. Embora o projeto apresentasse regularmente o status de cada indicador nos Relatórios de Implementação de Progresso, faltou um plano de monitoramento robusto que fosse compartilhado por todos os parceiros de implementação. O projeto coletou informações abrangentes sobre a implementação, com foco principal nas entregas contratualizadas. No entanto, o monitoramento dos resultados e efeitos da intervenção foi mais complexo e frágil devido a lacunas no quadro de resultados definido inicialmente e à ausência de sistemas de monitoramento integrados entre os parceiros de implementação. Além disso, a ausência de linhas de base representou limitações significativas à monitorização de efeitos, em especial na componente 2 associada aos investimentos piloto.

49. O projeto fez contribuições significativas em áreas como desenvolvimento de baixo carbono, adaptação e mitigação das mudanças climáticas, desenvolvimento urbano sustentável e cidades resilientes em articulação com as agendas globais de desenvolvimento urbano sustentável. A incorporação do CITInova como um programa estratégico pelo MCTI garante que os princípios orientadores do projeto continuarão a ser aplicados pelo ministério, como evidenciado pelo CITInova II. No entanto, é importante reconhecer que as transições política e institucional podem alterar o contexto e despriorizar as agendas de desenvolvimento urbano sustentável e mudanças climáticas em administrações futuras. As componentes do projeto estão fortemente integradas na estrutura institucional dos parceiros implementadores e estão sendo incorporados em seus compromissos financeiros e articulações interministeriais

50. O desempenho geral do projeto é classificado como satisfatório. Uma análise detalhada das classificações de desempenho por critérios de avaliação está disponível na seção de Conclusões do relatório.

Conclusões

51. O projeto foi altamente relevante, abordando algumas das questões mais urgentes que afetam as cidades brasileiras e o processo de planejamento urbano. De modo geral, e mesmo considerando um contexto desfavorável, o projeto promoveu práticas sustentáveis de planejamento e gestão urbana, contribuindo para avanços significativos nas políticas e no engajamento das partes interessadas, apesar dos desafios enfrentados na monitoração dos resultados e efeitos do projeto e no enfrentamento de mudanças políticas e institucionais. Considerando o contexto social, político e institucional, bem como os atrasos na implementação, o projeto demonstrou uma forte capacidade de implementação e entrega.

52. No entanto, a estrutura do projeto era complexa e segmentada, resultando em quatro ações altamente relevantes, porém distintas. Para alcançar resultados mais consistentes e promover impactos significativos, uma abordagem mais integrada teria sido necessária. No entanto, é importante reconhecer que o projeto fez uma contribuição significativa para reforçar a agenda de cidades sustentáveis no Brasil.

53. O projeto teve uma contribuição relevante para etapas intermediárias de impacto, nomeadamente promovendo o aumento da colaboração institucional entre instituições e departamentos técnicos locais, o comprometimento com princípios sustentáveis por prefeitos, governadores e legisladores municipais, o uso de evidências para orientar os planos de desenvolvimento urbano, e a inclusão de soluções baseadas na natureza em âmbito nacional.

54. O projeto alcançou suas metas para aprimorar a gestão de paisagens e áreas marinhas (indicadores chave do GEF), bem como áreas de uso sustentável. No entanto, não foi possível avaliar a quantidade de CO2 mitigada reportada, devido à falta de métodos de avaliação robustos.

55. O projeto alcançou um nível satisfatório de engajamento das partes interessadas, beneficiando-se de algumas mudanças institucionais no decorrer da implementação e promovendo processos abrangentes de engajamento em todos os seus componentes. No entanto, este engajamento poderia ter sido ainda mais consistente em caso de existência de mecanismos formais de coordenação de partes interessadas em todas as componentes e cidades de intervenção.

56. Adicionalmente, o projeto serviu como um laboratório de inovação, promovendo experiências valiosas, especialmente no componente de investimentos piloto. Desenvolveu plataformas de conhecimento e publicações de qualidade que podem informar futuros projetos e políticas públicas no país.

57. O projeto impulsionou e acelerou os processos de *advocacy* para cidades sustentáveis liderados pela Plataforma Cidades Sustentáveis (PCS), embora o processo não tenha sido integrado de forma sinérgica com outros componentes do projeto. No entanto, é importante reconhecer a riqueza do processo e a contribuição do projeto por meio da Plataforma Cidades Sustentáveis (PCS) para a municipalização da Agenda 2030 e seus 17 Objetivos de Desenvolvimento Sustentáveis, bem como para a Nova Agenda Urbana (NAU).

58. O projeto foi uma importante contribuição para o fortalecimento da agenda de cidades sustentáveis no âmbito do MCTI, além de exercer uma influência positiva nas agendas de clima e sustentabilidade urbana no Brasil.

Lições Aprendidas

Lição Aprendida #1:	Mudanças constantes na estrutura de gestão do projeto e visões divergentes impedem o estabelecimento de uma estratégia unificada de longo prazo.
Lição Aprendida #2:	É necessário equilibrar a agilidade e flexibilidade na gestão do projeto com a apropriação pelos tomadores de decisão relevantes.

Lição Aprendida #3:	A descentralização excessiva leva à perda de coerência entre os componentes do projeto.
Lição Aprendida #4:	Alocar recursos para projetos-piloto pode gerar resultados interessantes, já que uma das principais restrições para muitas cidades brasileiras é a dificuldade em garantir recursos para implementar políticas de desenvolvimento urbano sustentável.
Lição Aprendida #5:	Os projetos-piloto devem ser robustos o suficiente, em termos de tamanho e dados, para demonstrar sua viabilidade técnica, social, ambiental e financeira.
Lição Aprendida #6:	<i>Advocacy</i> para políticas e programas sustentáveis desempenha um papel importante, mas precisa ser complementada por suporte técnico e financeiro aos municípios.
Lição Aprendida #7:	As plataformas de conhecimento devem ser projetadas com a participação ativa dos beneficiários finais.
Lição Aprendida #8:	Implementar um sistema sólido de gestão do conhecimento é crucial para promover a realização e a sustentabilidade do projeto.
Lição Aprendida #9:	O orçamento do projeto deve considerar a regulamentação fiscal brasileira, especialmente em Brasília, DF.

Recomendações

Recomendação #1:	O município do Recife e a ARIES devem promover a integração do Sistema de Gerenciamento Integrado (IMS) desenvolvido no projeto à estrutura de gestão do Parque Capibaribe.
Recomendação #2:	O MCTI e o CGEE devem desenvolver uma estratégia de sustentabilidade para garantir que o Observatório de Inovação para Cidades Sustentáveis (OICS) seja financeiramente sustentável e se mantenha relevante e atualizado.
Recomendação #3:	O PNUMA e os parceiros de implementação devem promover uma abordagem mais focada em projetos futuros do GEF, visando níveis territoriais ou setoriais específicos, em vez de realizar intervenções excessivamente descentralizadas e dispersas por diversos setores.
Recomendação #4	O PNUMA e os parceiros de implementação devem identificar e incluir todos os requisitos fiscais no orçamento de futuros projetos do GEF no Brasil durante a fase de desenvolvimento do projeto ou efetuar solicitações oportunas para possíveis isenções.
Recomendação #5	O PNUMA e os parceiros de implementação devem desenvolver e incluir mecanismos de consulta e coordenação de partes interessadas formais e cariz permanente no âmbito local para futuros projetos do GEF.
Recomendação #6	O PNUMA e os parceiros de implementação devem promover uma conexão mais estreita entre as atividades de <i>advocacy</i> política (como as promovidas pelo ICS) e o suporte ao investimento em projetos-pilotos para municípios selecionados em futuros projeto do GEF.

Recomendação #7	O PNUMA e os parceiros de implementação devem desenvolver processos claros da Teoria da Mudança nos projetos do GEF, incluindo os diagramas da ToC, para contribuir com uma melhor compreensão do projeto pelas partes interessadas relevantes.
Recomendação #8	Desenvolver estratégias e mecanismos bem definidos de salvaguardas, sociais e ambientais e de gênero em futuros projetos do GEF.

1 INTRODUCTION

59. The project “Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment” - GEF ID 9142 was financed by the Global Environmental Facility (GEF) which allocated a grant of USD 22,635,780. The project secured co-finance of USD 195,650,658 provided by national, state and local governments. The project was approved by UNEP in November 2016 and had an initial implementation period of four years, from 2018 to 2022 but it was extended until October 2023 (no cost extension). It was implemented by United Nations Environment Programme (UNEP) Climate Mitigation Unit which sits under Climate Change Division, Mitigation Branch. The main Executing Agency was the Brazilian Ministry of Science Technology and Innovation (MCTI). Executing partners of the project were the Secretariat of Environment of the Government of the Federal District (SEMA/Brasilia) supported by the Centre for Strategic Management Studies (CGEE), the Recife Agency for Innovation and Strategies of the Municipality of Recife (ARIES) supported by the Administration of the Porto Digital, and the São Paulo-based Sustainable Cities Institute (ICS), host of the Sustainable Cities Programme (SCP). CGEE was also the executive agency for the implementation of the Sustainable Cities Innovation Observatory (SCIO) (component 3), beyond its administrative role supporting SEMA in the implementation of components 1 and 2.

60. CGEE/SEMA have a Project Cooperation Agreement (PCA) signed with UNEP and UNEP Brazil an Internal Cooperation Agreement with UNEP Climate Change Division (ex-Economy Division) and thus are direct recipients of funds.

Purpose / scope of the evaluation and target audience for evaluation findings

61. In line with the UNEP Evaluation Policy and the UNEP Programme Manual, the Terminal Evaluation is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

62. As this is a Terminal Evaluation and a follow-up project is already approved, particular attention was given to learning from the experience. Therefore, the “why?” question and the use of the theory of change (TOC) as the main methodological tool support a deeper understanding of “why” the performance was as it was (i.e. what contributed to the achievement or shortcomings of the project’s results). This provided the basis for the lessons that can be drawn from the project.

63. The Evaluation had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, MCTI, ARIES/Recife, SEMA/Brasilia, CGEE, and SCP.

64. The Terminal Evaluation targeted various stakeholders involved in the CITinova project, including UNEP, at national, regional, and HQ levels, GEF, the Brazilian Government, the executing agency (MCTI), co-executing agencies (ARIES / Porto Digital,

CGEE, ICS, SEMA), and project beneficiaries. The evaluation adopted a participatory approach, facilitating collective reflection on project implementation and lessons learned.

65. Moreover, the evaluation aims to contribute to the implementation of a project funded under GEF-7, titled “Promoting integrated metropolitan planning and innovative urban technology investments in Brazil.” This project's objective is to assist Brazilian metropolitan regions in reducing greenhouse gas emissions, conserving biodiversity, and achieving economic, social, and environmental co-benefits through integrated urban planning. Implemented by MCTI, CGEE, and UNEP, the lessons learned from CITinova are deemed highly relevant for informing the implementation of the new project. By leveraging the insights and experiences gained from CITinova, the new project can benefit from experiences, good practices and lessons learned from the GEF-6 project, ultimately contributing to its success and the achievement of its objectives.

2 EVALUATION METHODS

66. Evaluation is an instrument that shall promote reflection and the collective analysis of a project's performance. The Terminal Evaluation promoted a participatory approach whereby key stakeholders were kept informed and consulted throughout the evaluation process. The consultants maintained close communication with the project team and exchanged information throughout the evaluation implementation phase in order to increase their ownership of the evaluation findings.

67. The evaluation included an assessment of a set of evaluation questions⁶ including five strategic questions defined in the evaluation terms of reference (ToR):

- Q1: In what ways, and to what extent, have the needs and interests of differentiated groups been considered in the implementation and monitoring of the project?
- Q2: In what ways, and to what extent, were the recommendations from the Mid Term Review actioned upon?
- Q3: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?
- Q4: How has this project integrated lessons from other sustainable cities initiatives and what lessons can be drawn for other similar initiatives?
- Q5: What key barriers to building sustainable cities in Brazil are remaining after implementation of the project? What recommendations could be made to remove them?

68. Considering that the project was a child project integrated in GEF 6 Cities IAP, a set of additional strategic questions were defined during the evaluation process:

- Q6: To what extent, and in what ways, has the project contributed to the Cities IAP programme's objectives?
- Q7: What are, if any, the additional benefits and costs of the project being part of a programmatic approach? This should include whether benefits accrued from the project being part of a programme rather than a standalone project.
- Q8: To what extent was systems thinking used to maximize the potential for integration of this child project within its programmatic framework?
- Q9: How well did UNEP, as the GEF Agency, collaborate with other Agencies involved in the Program?
- Q10: How well was the project's M&E design aligned with that of the programme? How did the M&E arrangements of the project contribute to the programme level M&E and results reporting?

69. The evaluation was based on the following methodological instruments, used as catalysts for collective reflection:

⁶ Annex 1 Evaluation Framework

70. **Theory of Change:** Based on the analysis of all the relevant documentation in the inception stage, a matrix of change (Annex VIII) was developed from the ToC developed during the Mid-term Review (MTR) and from available documents and initial discussions with the project team. The use of this instrument allows: i) to engage all relevant players in assessing the intended and actual change; ii) to navigate from the intervention outputs to the outcomes, intermediate states and impacts; iii) to represent the change processes based on evidence and facts; iv) to reflect on the integration between activities and strategies; and v) to attribute the effective impact to the intervention held.

71. **Desk review** of relevant background documentation, including project design documents, logical framework and its budget, annual work plans, project half-yearly and annual implementation reports, financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool, project study reports (needs assessments, vulnerability profiles, etc.), training materials, Mid-Term Review, and other project documents.

72. **Individual and/or group interviews** with major stakeholders including executing agencies, UNEP's project team, project coordination unit, local and central government officials, civil society representatives and final beneficiaries. These included a combination of in-person and virtual semi-structured interviews. The list of individual and group interviews was defined after a mapping of relevant stakeholders with the project team. An extensive process of stakeholder consultation was conducted in anticipation of and after the country visit, as well as in-person interviews during the field mission that took place from 24 March to 5 April 2024

73. **Focus-groups:** Considering the complexity of the project and the fact that it was implemented in different cities with a vast number of engaged stakeholders, the evaluation conducted two focus groups with key stakeholders in each of the cities (Brasilia and Recife) to collectively discuss project achievements, constraints, lessons learned and challenges to future actions. These discussions were based on the Theory of Change matrix. All of the institutions with a relevant role in the project implementation process were invited and most of them were actively engaged in the focus group discussions (detailed information on the stakeholders consulted can be found in Annex III).

74. **Field visits:** The consultants visited the major project interventions in Recife and Brasilia during the field mission in Brazil (24th March – 5th April 2024). This allowed the evaluation team to collect first-hand information and observe the results of the project implementation to better assess the results and impacts of the interventions on the cities' urban planning and citizens' quality of life. The most relevant project interventions were visited, and sites were selected according to their relevance to the project goals, accessibility and availability of key personnel during the visits. Field visits included Caiara, Vila Vintém, Graças, Baobá, Jaqueira (Recife), Aguas Claras, Bacia do Paranoá, Riacho Fundo (Brasilia).

75. The field mission also included travel to São Paulo to discuss the project implementation process with the Sustainable Cities Institute, the implementing partner for Component 3.

76. The evaluation team triangulated information by collecting data from various sources, including stakeholder interviews, project documents, and databases. The evaluation team also conducted a qualitative analysis based on discussions about the project's theory of change. This approach provided diverse perspectives and reduced bias in the evaluation process. The data was analysed identifying common patterns in the qualitative data collected from documents, interviews and focus groups.

77. Data were collected with respect for ethics and human rights issues. All pictures were taken, and other information gathered after prior informed consent from people, all discussions remained anonymous, and all information was collected according to the UN Standards of Conduct. Throughout this evaluation process and in the compilation of the Final Evaluation Report, efforts have been made to represent the views of both mainstream and more marginalized groups.

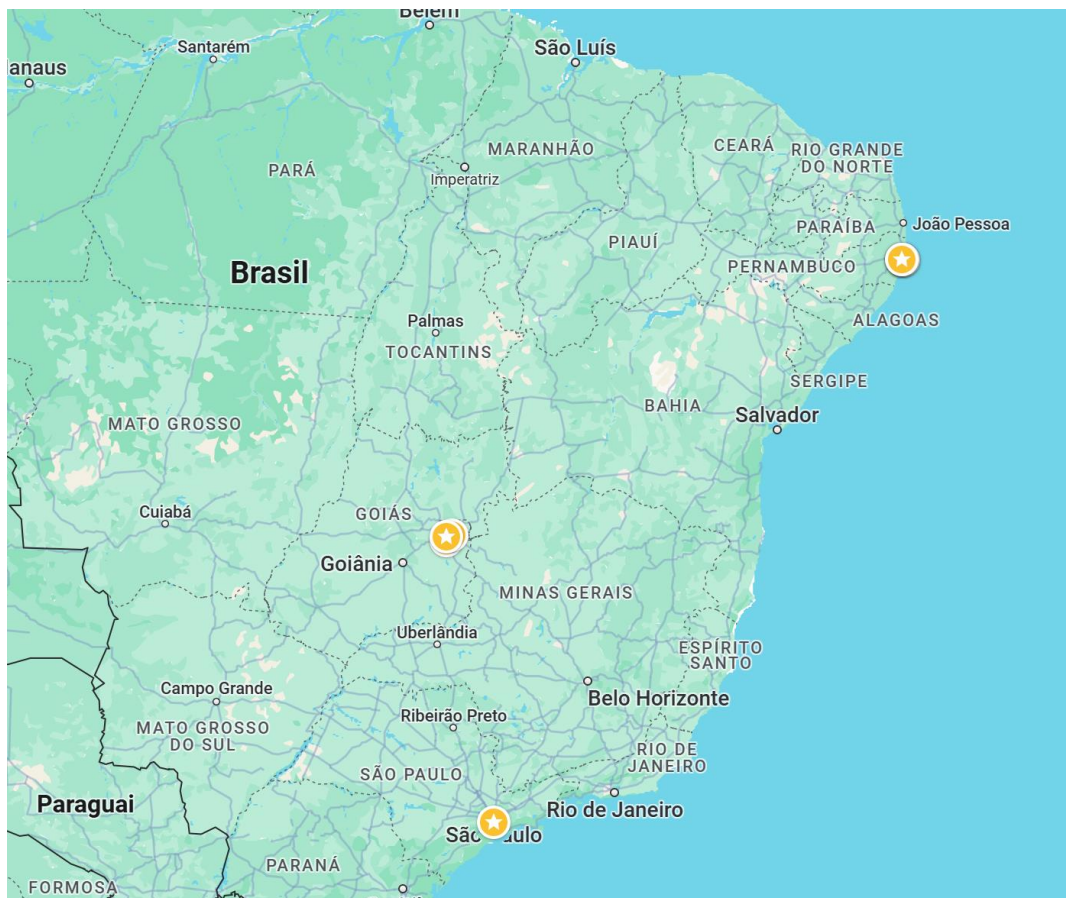


Figure 1. Map of the field visit sites

78. **Analysis of Knowledge Platforms database:** Considering the intended reach of the knowledge platforms and the high number of municipalities engaged in the process, it was necessary to assess the platforms databases. Information on users, monthly access, key performance indicators and signatory cities was made available by the SCP. Moreover, information on Sustainable Cities Innovation Observatory (SCIO) monthly accesses was also provided.

79. After this assessment and considering that the Sustainable Cities Innovation Observatory (SCIO) was in the initial stage of reaching out to the municipalities, it was decided not to implement any questionnaire focusing on this project component. The primary reasons were the lack of a unified strategy between SCP and SCIO, the event-based nature of most interactions with municipalities, and the time constraints of the evaluation process, which prevented the development of a consistent survey process

80. **Follow-up interviews:** Considering the high number of project implementation partners and the fact that many of them were not working at the institutions during the terminal evaluation, there was a need to implement a set of follow-up interviews during the months of April and May. This allowed the evaluation team to interview the most relevant project managers, project directors and key staff that were engaged in the project during decisive moments of its implementation. The evaluators adopted methodological procedures and protocols based on evaluation questions focused on the ToC, addressing aspects of project management, project results, social participation, gender, vulnerable communities, as outlined in the inception report.

81. Overall, 56 individuals were consulted during the terminal evaluation process, with some consulted multiple times. This provided the evaluators with a comprehensive understanding of the project's implementation across different periods, enabling them to gather diverse perspectives on the project's achievements and challenges.

Table 2: Table of respondents

Stakeholder	Virtual or in-person interview	Roles and responsibilities	# of interviewees (#M/#F)
Ministry of Science Technology and Innovation (MCTI)	In-person Brasília	MCTI was the Executing Agency of the project.	2 (1/1)
Secretariat of Environment of the Government of Brasilia (SEMA/GDF) and Technical Coordinator	In-person Brasília/Brazil	SEMA was the leading agency for the implementation of the project in Brasilia.	7 (5/2)
The Recife Agency for Innovation and Strategy (ARIES)	In-person Recife/Brazil	ARIES was the leading agency for project implementation in Recife, under the auspices of Porto Digital and in close cooperation with Recife Secretary of Environment and Secretary of Planning.	4 (1/3)
Vice mayor of Recife	In-person Recife/Brazil	Focal Point in the Municipality	1 (0/1)
Management Centre and Strategic Studies (CGEE)	In-person Brasília/Brazil	CGEE leads the establishment of the Sustainable City Innovation Observatory, embedded in Component 3.	7 (5/2)
Sustainable Cities Institute (ICS)	In-person and virtual – São Paulo/Brazil	It leads SCP under component 3	2 (1/1)
Portfolio Manager and Project Manager / UNEP Brazil Office	In-person Brasília/Brazil	Executing Agency	3 (1/2)

Stakeholder	Virtual or in-person interview	Roles and responsibilities	# of interviewees (#M/#F)
Former Project Managers and Technical Coordinators	In-person Brasília and remotely	Project coordination team	2 (0/2)
Secretariat of Planning, Management and Digital Transformation (SEPLAGDT)	Virtual	Most relevant secretariat within Recife Municipality regarding project implementation and follow-up	1 (1/0)
Instituto da Cidade Pelópidas Silveira (ICPS) – urban planning Department	In-person Recife/Brazil	The ICPS is an entity belonging to the municipal administration, linked to the Secretariat of Urban Planning. It is closely associated with the formulation and implementation of the master plan and the urban mobility plan	1 (0/1)
Local communities in Brasília and Recife	In-person Recife/ and Brasília/	Final beneficiaries of pilot project interventions	5 (3/2)
Secretariat of Urban Development and Housing of the Government of the Federal District / Brasília (SEDUH/GDF) Agriculture and Rural Development Secretary (SEAGRI) and the State Extension Corporation (EMATER) Water and Environmental Sanitation Company – Federal District (CAESB) Federal District Research and Statistics Institute – IPEDF Urban Cleaning Services (SLU)	Focus Group in Brasília	The role in the project, use of the system (SISDIA), indicators, pilot initiatives, articulation of the project with local strategies and policies and interface with SCP and OICS, lessons learned, difficulties	7 (4/3)
The Secretariat of Environment and Sustainability (SMAS) – Recife Municipal Secretariat of Urban Planning of Recife (SEPLAN) Recife Municipality, Parque Capibaribe / Recentro, Emlurb	Focus Group Recife/Brazil	The role in the project, use of the system (IMS), indicators, pilot initiatives, articulation of the project with local strategies and policies and interface with SCP and OICS, lessons learned, difficulties.	5 (5/0)
OXY Social	In-person Recife/Brazil	Service Provider – Impact Research	2 (1/1)
Casa das Asas (NGO) Local Communities,	In-person Recife/ Brazil	Engagement in project implementation / Perception of changes after project implementation	1 (0/1)

Stakeholder	Virtual or in-person interview	Roles and responsibilities	# of interviewees (#M/#F)
URBAN BIOCONEXÃO ALLIANCE – Executive Secretariat Fundação Boticário	Virtual interview	The institution was an essential partner in the dissemination of the OICS initiative.	1 (0/1)
ICLEI	Virtual interview	The institution was an essential partner for the project.	1 (1/0)
National Front of Mayors (FNP)	Virtual interview	The National Front of Mayors (FNP) is an association representing local governments in Brazil. This organization has an agreement to cooperate with the SCP and the OICS.	1 (0/1)
Brazilian Municipal Association (ABM)	Virtual interview	The Brazilian Municipal Association is an association representing local governments in Brazil. This organization has an agreement to cooperate with the OICS	1 (0/1)
Government of the State of Paraná.	Virtual interview	The institution was an essential partner in the dissemination of the SCP initiative	1 (1/0)
Finance and Administration IC / UNEP	Virtual interviews	Project team	1 (1/0)
Climate Expert UNEP / MCTI	Virtual interview	Project team	1 (1/0)
Former Director for Climate and Sustainability/ Ministry of Science Technology and Innovation (MCTI)	Virtual interview	Project team	1 (1/0)
Former National Director/ Ministry of Science Technology and Innovation (MCTI)	Virtual interview	Project team	1 (1/0)
Research and Innovation for Cities - INCITI The Federal University of Pernambuco - UFPE	Virtual interview	The INCITI is the research group responsible for developing the project Capibaribe Park.	1 (0/1)
			56 (34/22)

82. The evaluation process faced some constraints due to many original project team members and executing partners having left the project, coupled with the completion of project activities some time ago, resulting in a gap in institutional memory. This required an extended period of remote interviews to ensure all relevant stakeholders and individuals with strategic influence over the project implementation were consulted. Given the project's complexity and territorial dispersion, a longer evaluation period in Brazil would have been desirable. Nonetheless, a comprehensive overview of the project achievements and challenges was achieved, and the evaluation process was not negatively impacted by these factors.

3 THE PROJECT

3.1 Context

83. The project “Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment” - GEF ID 9142” was a child project integrated in GEF 6 Sustainable Cities Integrated Approach Pilot (IAP). This was part of the integrated approach programming strategy of GEF-6 which aimed to promote the integration of environmental sustainability in planning and management initiatives for cities. The Integrated Approach Pilot (IAP) program operated through two interrelated and complementary components: (i) direct investments in innovative sustainability solutions in 2 cities across 11 countries; and (ii) a Global Platform for Sustainable Cities (GPSC) as a global convening space for developing and sharing knowledge to promote integrated urban planning.

84. The project, known as the CITinova Project, aimed to develop innovative technical solutions and offer methodologies and tools for integrated urban planning to support public managers, foster citizen participation and promote more just and sustainable cities. The project focused on the problems faced by large and mid-sized Brazilian cities today. These includes unsustainable patterns of urbanization have produced social and economic disparities and environmental vulnerabilities that shape the spatial configuration of Brazilian cities, faced with increasing spatial segregation, poor infrastructure and climate impacts that are not solved adequately due to prevailing sectoral policies, lack of monitoring and data, among other things.

85. The project was built upon three components:

Component 1: Integrated Urban Planning

86. Knowledge building and tools for integrated administration of public policies and social participation towards sustainable cities in Brazil, piloted by Brasilia (Federal District) and Recife (the capital of Pernambuco). Promoting innovative systems accessible to public officers and citizens, to support, facilitate and strengthen local governance. In Brasilia, the component aimed to strengthen the environmental Information System (SISDIA), the local environmental and climate regulations and public participation. In Recife, it aimed to support integrated and participatory long-term plans – Recife 500 years, plans for housing and climate sectors and develop an integrated management system (IMS) for the local government.

Component 2: Investments in innovative technologies

87. Test pilot projects in Brasilia and Recife to face historical challenges of the population and the public administration in the fields of water, solid waste, energy, climate change and mobility. The results would provide a blueprint to be replicated on a large scale around the country. In Brasilia, best practices for spring’s preservation and land restoration were to be implemented, as well as the development and dissemination of models of photovoltaic energy. In Recife, the urban interventions would tackle active mobility and the sustainable use of public space, including a filtering garden.

Component 3: Platform for sustainable cities

88. Virtual spaces to support and promote integrated and sustainable public administration. Two platforms to be built at a national level. The Sustainable City Innovation Observatory (SCIO) and the new Platform of the Sustainable Cities Program (SCP). The cooperation between these platforms aims to build competences, generate, and register knowledge, and mobilize local decision makers towards sustainable and integrated urban planning solutions.

3.2 Results Framework

89. The CITinova project aimed to foster evidence-based, integrated, and sustainable urban planning and management practices in Brazil, focusing on the cities of Recife and Brasilia as centres for pilot initiatives. Its objective is to develop sustainable, resilient, and inclusive urban environments. The initiative aimed to promote efficiency and effectiveness in urban planning and management practices within local governments.

90. In both Recife and Brasilia, the project facilitates the formulation and execution of pilot projects showcasing approaches to urban sustainability guided by evidence-based, multi-dimensional, and inclusive planning processes. These processes consider economic, social, environmental, and spatial factors. The project supports the development of data-driven decision-making through digital platforms drawing on primary and secondary data, promoting transparency in urban development monitoring and reporting, and fostering citizen participation and multi-stakeholder engagement.

91. With a focus on climate change mitigation and adaptation, the project implements demonstration pilots in both cities to reduce greenhouse gas emissions. These pilots include initiatives such as solar energy adoption and nature-based solutions for housing and transit-oriented developments. The project aims to generate evidence and lessons learned, which will be systematized into knowledge products for dissemination to other Brazilian cities. It sponsors the establishment of a knowledge platform providing access to experiences and solutions for municipal officials, promoting scalable solutions nationwide and supporting capacity building and institutional strengthening at the local government level.

92. Although Recife and Brasilia represent diverse settings, they share common challenges typical of large metropolitan areas in Brazil. Recife, as the urban core of Brazil's sixth-largest metropolitan area, with approximately 4 million people, faces critical social and environmental vulnerabilities, along with significant social and economic inequalities within its compact city form, traversed by a major river and several streams. The city occupies 16th position in the Intergovernmental Panel on Climate Change (IPCC) ranking of the cities' most vulnerable to climate change globally.

93. Brasilia, located in the Central-West region, is the third most populous city in the country, with approximately 2.8 million inhabitants. It has the largest slum in the country, Sol Nascente, and faces challenges similar to those of Recife.

94. The project document was clear in presenting its main objectives, components and activities. Nonetheless, the fact that a clear ToC was not presented during project formulation may have hindered the capacity to coordinate and create synergies between different project components. As mentioned in the Mid Term Review Report: "the project document could have been more explicit in articulating the different actions in a more

coherent manner and present the relationships and inter-dependency of the outcomes and outputs in a clear logframe diagram. The expected national-local policy changes driven by the project towards integrated and sustainable planning and management at the city level and the mainstreaming of its sustainable cities propositions into the government structures responsible for urban policy, planning and implementation could have been more explicit and articulated into a project implementation strategy and institutional arrangements for its implementation “.

95. Therefore, minor adaptations to the project results framework were done during the evaluation inception, to support the definition of a clear theory of change that can support the project evaluation process.

Table 3: Original Project Results Statements and Reformulation During Evaluation

Results as in ProDoc	Reformulated Statement	Justification for Reformulation
Project Objective		
<i>To promote sustainability in Brazilian Cities through integrated urban planning and innovative technologies</i>		
Impact		
	Cities in Brazil adopt and implement sustainable, integrated, and climate resilient national plans	The statement was phrased to align with UNEP’s definition of “impact” as “long-lasting results arising, directly or indirectly from a project.”
Intermediate states (changes beyond the project outcomes that are required to contribute to impacts)		
Missing	Greater institutional collaboration between local level technical institutions and departments Mayors and city legislators commit to sustainable cities principles and adopt legally bound sustainable urban plans Cities development plans are informed by IMS, citizen engagement and evidence collected by thematic research and studies	During the Theory of Change design, there was the need to define intermediate states. These are causal pathways that need to be achieved in order to contribute to the overall project impacts.

Results as in ProDoc	Reformulated Statement	Justification for Reformulation
	Nature-based solutions, renewable energy, green technologies and carbon neutral solutions are mainstreamed in government and scaled-up in local, state and national levels. Resilient territorial land use and food security are enhanced Pilot investments improve the quality of live for local citizens and use of public spaces by women and children	
Project Outcomes		
1.B - A comprehensive evidence-based integrated and sustainable planning approach is adopted by Brasilia	No change	
1.R A comprehensive evidence-based integrated and sustainable planning approach is adopted by Recife	No change	
2.B - Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Brasilia	2.B. Investments from integrated and sustainable planning in Brasilia result in increased land sustainability, decreased dumpsite activities, and a framework for increasing energy efficiency in public buildings.	The statement was reformulated to be more specific about the observed changes in the behaviour or condition as a result of the outputs (as stated in the outcome indicators). As originally stated ("demonstrate the benefits"), the statement was too vague about the observed change.
2R. Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Recife	2.R. Investments from integrated and sustainable planning in Recife result in the city agreeing to replicate the pilot projects.	The statement was reformulated to be more specific about the observed changes in the behaviour or condition as a result of the outputs (as stated in the outcome indicators). As originally stated ("demonstrate the benefits"), the statement was too vague about the observed change.

Results as in ProDoc	Reformulated Statement	Justification for Reformulation
The tested integrated and sustainable planning solutions are promoted by the National Platform for Sustainable Cities to up to 300 Brazilian cities as the reference for integrated urban planning	The National Platform for Sustainable Cities promotes the tested integrated and sustainable planning solutions to up to 300 Brazilian cities, as the reference for integrated urban planning	The statement was reformulated to better align with UNEP's definition of an "outcome".
Project Outputs		
1.1.B Environmental Information System (SISDIA) including EEZ guidelines and data is completed, online and available for FDG sustainable planning and public access.	No change	
1.2.B New data and studies to populate SISDIA are collected, developed and included in SISDIA.	No change	
1.3.B. Climate risk assessment and scenarios are completed and 'climate bill' is drafted.	1.3.B. Climate risk assessment and scenarios are complete and "climate bill" is drafted to heighten the awareness of and for the adoption by Brasilia policy-makers.	The statement was edited to include the intended users of the output.
1.4.B. Citizens' are engaged in FDG public policy making	1.4.B. Citizens are provided the opportunity for engagement in FGD public policy making.	The statement was reformulated to align with UNEP's definition of "output" which emphasizes the "availability of new products and services and/or gains in knowledge, abilities and awareness" for intended beneficiaries/users.
1.5.B. Lessons learned are collected and structured to feed the local and national platforms.	No change	
1.1.R. Integrated and resilient Plans for Recife through enhanced popular participation, more evidence and live and open data	No change	

Results as in ProDoc	Reformulated Statement	Justification for Reformulation
1.2.R. Geo-referenced Integrated Management System (IMS) is tested	1.2.R Geo-reference Integrated Management System (IMS) is developed and tested for Recife	This was originally stated more like an “activity” because it only referred to an action being performed. It was unclear what the new service or product was or for whom. The statement was reformulated to align with UNEP’s definition of “output” which emphasizes the “availability of new products and services and/or gains in knowledge, abilities and awareness” for intended beneficiaries/users.
1.3.R. Lessons learned collected and structured to serve as input to the national platform	No change	
2.1.B. Springs preservation completed, best practices implemented, and open dumpsite monitored towards decommissioning.	2.1.B. Springs preservation is completed, best practices are implemented, and open dumpsites are monitored towards decommissioning in Brasilia	The statement was edited to include the intended users of the output.
2.2.B. Solar energy pilots and promotion are completed	2.2.B. Completion of solar energy pilots and promotion in Brasilia	The statement was reformulated to align with UNEP’s definition of “output” which emphasizes the “availability of new products and services and/or gains in knowledge, abilities and awareness” for intended beneficiaries/users.
2.3.B. Lessons learned are collected and structured to feed the local and national platforms.	No change	
2.1.R. The financial and technical viability of operating 2 Solar boats across the Capibaribe river is assessed	2.1.R Assessment of the financial and technical viability of operating 2 solar boats across the Capibaribe River in Recife	The statement was reformulated to align with UNEP’s definition of “output” which emphasizes the “availability of new products and services and/or gains in knowledge, abilities and awareness” for intended beneficiaries/users.
2.2.R. Banks of the Capibaribe River urbanized in two sections.	2.2.R. Urbanization of the banks of the Capibaribe River in two sections in Recife	The statement was reformulated to align with UNEP’s definition of “output” which emphasizes the

Results as in ProDoc	Reformulated Statement	Justification for Reformulation
		"availability of new products and services and/or gains in knowledge, abilities and awareness" for intended beneficiaries/users.
2.3.R. Filtering Garden cleaning the water through the use of vegetation.	2.3.R Filtering Garden cleaning the water through the use of vegetation for Recife	The statement was edited to include the intended users of the output.
2.4.R. The City tracks and generates information and lessons on the experiences with the pilots for the national platform.	No change	
2.5 R Non-motorized transport connectivity is promoted across the Capibaribe river through the establishment of bike lanes and government commitment to construct two pedestrian/cyclist bridges	2.5 R The promotion of non-motorized transport connectivity across the Capibaribe river through the establishment of bike lanes and the government's commitment to construct two pedestrian/cyclist bridges in Recife	The statement was reformulated to align with UNEP's definition of "output" which emphasizes the "availability of new products and services and/or gains in knowledge, abilities and awareness" for intended beneficiaries/users.
3.1. An operational Knowledge Platform online	An operation Knowledge Platform developed for the use of various cities	The statement was reformulated to align with UNEP's definition of "output" which emphasizes the "availability of new products and services and/or gains in knowledge, abilities and awareness" for intended beneficiaries/users.
3.2. Operational modules for the Knowledge Platform portal online	No change	
3.3. Skills Development Training designed and delivered	Skills development training delivered to users of the Knowledge Platform	The statement was reformulated to align with UNEP's definition of "output" which emphasizes the "availability of new products and services and/or gains in knowledge, abilities and awareness" for intended beneficiaries/users.
3.4. Mayors and politicians mobilised to join the sustainable cities platform	No change	

Results as in ProDoc	Reformulated Statement	Justification for Reformulation
3.5. Sustainable solutions to six urban planning and investment challenges identified and delivered to Brasilia, Recife and SCP	No change	
3.6. Solutions for urban planning and investments promoted to other cities.	No change	

96. The project established specific targets related to GEF Core Indicators:

Table 4: GEF Core Indicator Targets

Indicator	Target
Improved management of landscapes and seascapes covering 300 million hectares	415 hectares
120 million hectares under sustainable land management	80 hectares
750 million tons of CO ₂ e mitigated (include both direct and indirect)	3,802,710 metric tons

3.3 Stakeholders

97. During the project's design phase, key stakeholders were identified, encompassing various sectors such as public, private, community, academic, and non-governmental organizations. These stakeholders hold direct responsibility, interface, and/or interest in the project's activities and outcomes, with some being potential recipients of project outputs. While a comprehensive list of institutions is provided in the CEO Endorsement, not all are directly relevant to the project. However, some institutions have specific interfaces with the core subjects addressed by the project, making their involvement critical for its success. Considering the high number of stakeholders mapped in the GEF CEO Endorsement, the evaluation consultants have used MTR stakeholder analysis as a tool from which stakeholder analysis at the inception of the terminal evaluation is made.⁷ In this evaluation we focus on the main stakeholders:

⁷ MTR rates the stakeholders in 3 categories: i) Main stakeholders - has a position of power and mandate in the project. Or it is a stakeholder that holds a vested authority within government in the core thematic area(s) of the project, and whose role is considered critical for mainstreaming outcomes of the project within public administration ; ii) Secondary Stakeholders - has a secondary importance and not fully engaged in the project, its role in fostering public policy making is relative, it may have interface with the project planning and implementation

Table 5: Main Project Stakeholders, by Type and Role

Stakeholder	Stakeholder Type	Role
Main Stakeholders – Implementation partners		
Ministry of Science Technology and Innovation (MCTI)	Executing Agency / Central Government	MCTI was the Executing Agency of the project. It coordinates and oversees project implementation, appoints national director, national coordinator and project manager, provides co-financing to the project and hosts the national project management team.
Secretariat of Environment of the Government of Brasilia (SEMA/GDF)	Co-executing agency / Local Government	SEMA was the leading agency for the implementation of the project in Brasilia. SEMA hosted the environmental information system SISDIA.
The Recife Agency for Innovation and Strategy (ARIES)	Co-executing agency / CSO	ARIES was the leading agency for project implementation in Recife, under the auspices of Porto Digital and in close cooperation with Recife Secretary of Environment and Secretary of Planning. The Porto Digital is one of the main technology parks and innovation environments in Brazil focusing on software, information and communication technology (ITC) as well as the creative economy.
Management Centre and Strategic Studies (CGEE)	Co-executing agency / CSO	CGEE led the establishment of the Sustainable City Innovation Observatory, embedded in Component 3.
Sustainable Cities Institute (ICS)	Co-executing agency / CSO	It led the Knowledge Platform Component
Main stakeholders who are not implementation partners		
Secretariat of Urban Development and Housing of the Government of the Federal District / Brasilia (SEDUH/GDF)	Local Government	The mission of SEDUH, as officially stated, was to develop and manage urban policy in order to provide everyone with the right to the city. It had a key role in the territorial and spatial dimension of the project's pilot interventions and in its broader integrated and sustainable urban planning practices. According to the MTR SEDUH "has important digital portals relevant for the project such as the Geo-Portal through which several services and mapping facilities are provided. SEDUH also foments citizen participation in the master plan of the city (PDOT); it has online tools to establish dialogue with civil society and connects directly with the CONPLAN, the Council of the Territorial and Urban Planning of the Federal District which is the highest collegiate

but its role is considered not so essential for project impact - iii) Passive Stakeholders - part of the network of institutions that have some interest in the project and may get the benefit of its outcomes but it is not engaged with the project and have little or no impact on public policies

Stakeholder	Stakeholder Type	Role
		body of the Federal District's Territorial and Urban Planning System (SISPLAN)" – This is a relevant stakeholder, initially mentioned in the ProDoc as one of the agencies in Brasilia that would be active members of SISDIA, either as data providers or as data users.
Secretary of Planning, Management and Digital Transformation	Local Government	Engaged in the operationalization of SISDIA – Brasilia
Secretary of Economy of the Government of the Federal District (SEEC)	Local Government	This stakeholder was identified in the ProDoc as a potential active used of SISDIA. It was mentioned that it would work in close cooperation with SEMA on budget allocation for the PPA 2020-2024, to include actions emanating from the Mitigation and Adaptation Plans.
Ministry of Environment, Minister of Regional Development and Ministry of Cities	Central Government	According to the project document, these institutions would be invited to participate in all relevant meetings during project implementation. There was not a clear strategy to engage them but they we mentioned.
The Secretariat of Environment and Sustainability (SMAS)	Local Government	According to the ProDoc - The role of SMAS is central to the project. SMAS was actively involved in project formulation and is committed to integrating project results in the city planning processes (social housing policy, resilience plan, successful pilots related to the Capibaribe river Park). SMAS would review project products and would be actively consulted in their development. SMAS would join the Integrated Management System as one of the three pilot departments.
Municipal Secretariat of Urban Planning of Recife (SEPLAN)	Local Government	The main task of SEPLAN was the integration of the dimensions of the organization of the city, promoting the articulation of interventions that impact the urban space. The agency was not mentioned in the stakeholders list during project design.
Instituto da Cidade Pelópidas Silveira (ICPS) – urban planning Department	Local Government	The ICPS is an entity belonging to the municipal administration, linked to the Secretariat of Urban Planning. It is closely associated with the formulation and implementation of the master plan and the urban mobility plan.
Research and Innovation for Cities - INCITI The Federal University of Pernambuco - UFPE	Research Institute	The INCITI is the research group responsible for developing the project Capibaribe Park. They designed the reurbanization pre-project during the PPG phase. During the project implementation phase, they were responsible for the whole pilot

Stakeholder	Stakeholder Type	Role
		related to the re-urbanization of the Capibaribe river stretches, according to the ProDoc.
Local communities in Brasilia and Recife	CSO	Final beneficiaries of project interventions – mentioned but not properly mapped / identified during project design. A clear stakeholder engagement strategy would have been helpful in this context.

Other relevant stakeholders mapped / identified in the Project Document, Project Implementation Reports and MTR are:

Table 6: Other Project Stakeholders, by Type and Role

Stakeholder	Stakeholder Type	Role
Secondary Stakeholders		
Recife Observatory Observatório do Recife (ODR)	CSO	According to the ProDoc, the Recife Observatory collects and shares the population city indicators. They get this data from City Hall. They cooperate with ARIES and will agree and track an indicators framework for the city.
Secretary of Planning, Management and Digital Transformation	Local Government	They engaged in the operationalization of SISDIA – Brasilia.
Various Association of Municipalities and Mayors: ANP, FNP, ABM, CNM	Associations of Municipalities	Brazilian Association of Municipalities (ABM), Brazilian Confederation of Municipalities (CNM), National Mayors and Vice-Mayors Association (ANPV), National Front of Mayors (FNP) are associations representing local governments in Brazil. These organizations had an agreement of cooperation with the SCP and the SCIO. They are clients and facilitators of the Knowledge Platform of the project, but are also partners in capacity building and best practice dissemination amongst municipalities
Agriculture and Rural Development Secretary (SEAGRI) and the State Extension	Government	Cooperation Agreement with SEMA to implement activities focused on low carbon agriculture, training in sustainable agriculture and a workshop focused on future joint sustainable actions in the Descoberto Watershed.

Stakeholder	Stakeholder Type	Role
Corporation (EMATER)		
Water and Environmental Sanitation Company – Federal District (CAESB) Urban Cleaing Services (SLU)	Local Government	Engagement into activities focused on operation and maintenance of the new landfill, composing plans, civil works and equipment for water supply units, among others
Institute of Research and Statistic	Research Institute	Partnership to develop SISDIA

3.4 Project Implementation Structure and Partners

98. The project was implemented by an arrangement formed by UNEP, MCTI and four co-executing governmental and non-governmental agencies. The collaboration among partners was promoted by the adoption of national project strategies, such as regular meetings on monitoring and information sharing, workshops for partners integration on cross-cutting themes, including platforms and systematization of lessons learned, site visits to Brasilia and Recife by the partners and organization of joint events.

99. The project Implementing Agency was UNEP who was responsible to the GEF for the use of project resources as written in the CEO endorsement document, or any amendments agreed to by all donors. The functions of UNEP as Implementing Agency included tasks such as: i) ensuring the timely disbursement/sub-allotment to executing agency, based on agreed legal document and in accordance with UNEP and GEF fiduciary standards; ii) follow-up with Executing agency for progress, equipment, financial and audit reports; partners; iii) technically assessment and oversee quality of project outputs, products and deliverables; iv) regularly monitoring project progress and performance and rates progress towards meeting project objectives, project execution progress, quality of project monitoring and evaluation, and risk; v) monitor reporting by project executing partners and provides prompt feedback on the contents of the report; vi) clearance of cash requests, and authorization of disbursements once reporting found to be complete; vii) approve budget revision, certify fund availability and transfer funds; viii) ensure that GEF and UNEP quality standards are applied consistently to all projects, including branding and safeguards

100. The main project Executing Agency was MCTIC who was responsible to the Brazilian Cooperation Agency (ABC) for execution of the project, and for the approvement of all project expenditures. The project was implemented by 4 implementing partners: 2 city partners (SEMA and Porto Digital / ARIES); a national civil society organization (Sustainable Cities Programme by Sustainable Cities Institute) who was responsible for managing an advocacy platform as part of Component 3; and a think tank (CGEE). Considering legal difficulties with the management of funds by SEMA, CGEE was responsible for the financial and administrative management of SEMA's activities.

101. SEMA was the executing agency for components 1 and 2 in Brasilia, while ARIES was the executing agency for the components 1 and 2 in Recife. Component 3 was led by the ICS and CGEE.

102. A project coordination unit was located in MCTI, promoting the coordination between the different parts of the project.

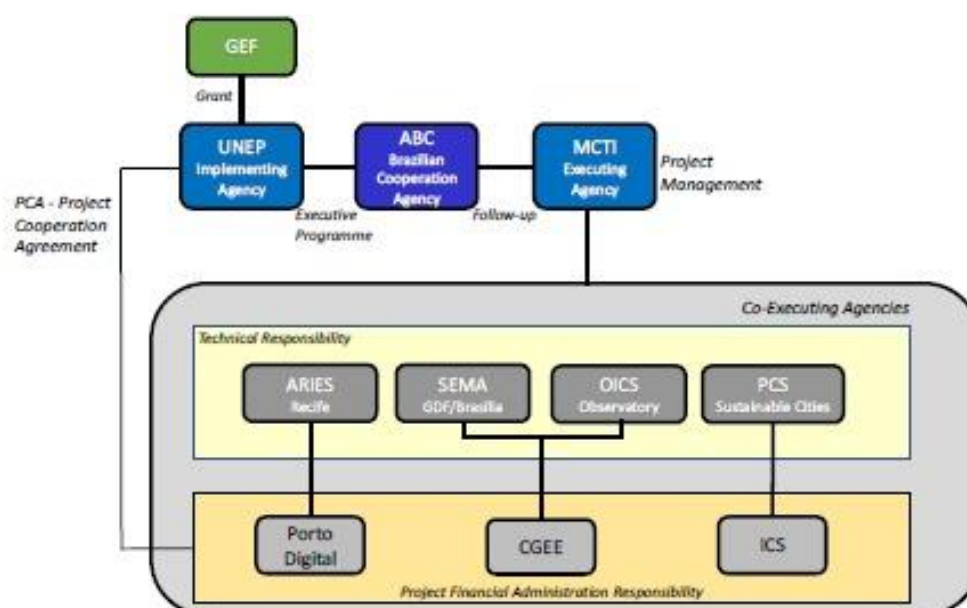


Figure 2. Organigram of the Project with key project key stakeholders

3.5 Changes in Design during Implementation

103. Each of the co-executing partners revised their budgets during the reporting period, with UNEP approving them. Some minor adaptations were also promoted by implementing partners, such as:

- creation of deliverable 1.1.7 – study for the regulation of special interest properties in Recife, the increase of the budget for the filtering gardens or the creation of floating piers
- creation of an additional output - 2.5 R Non-motorized transport connectivity is promoted across the Capibaribe river through the establishment of bike lanes and government commitment to construct two pedestrian/cyclist bridges also in Recife.
- SEMA and CGEE also promoted minor adaptations to the initially approved budget and activities such as the adjustment on staff costs, consultancies or SCIO dissemination costs (CGEE). In March 2022, an amendment extending the technical completion date from November 2022 to October 2023 was approved.

3.6 Project Financing

104. The project was implemented through a decentralized model, with 4 implementation partners. The following table illustrates the initial budget and the expenditure by outcome and partner:

Table 7: GEF Grant Expenditures by Component (in USD)

Component/sub-component/output <i>All figures as USD</i>	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
Component 1 – Integrated Urban Planning – SEMA / CGEE		2,794,328	
Component 1 – Integrated Urban Planning – ARIES / Porto Digital		2,553,206	
Component 1 - Total	5,411,225	5,347,534	99%
Component 2 – Investment Pilots – SEMA / CGEE		3,652,190	
Component 2 – Investment Pilots – ARIES / Porto Digital		4,376,429	
Component 2 - Total	7,997,010	8,028,619	100%
Component 3 – Knowledge Platforms – SCP / ICS		4,078,809	
Component 3 – Knowledge Platforms - CGEE		3,384,921	
Component 3 - UNEP		836,503	
Component 3 - Total	7,877,545	8,300,233	105%
M&E	100,000	58,648	58,6%
PMC	1,250,000	789,813	63%
	22,635,780	22,524,846	99.5%

105. The final co-finance amount is 53% larger than the planned value. During the project, MCTI invested in staff working for CITinova and national initiatives related to the project components, including support to development of technologies for sustainable cities, sanitation, management of water resources, digital Inclusion, recycling of urban solid residues, renewable energies, and food security. In Recife, COMPESA invested in infrastructure services in Capibaribe Basin that is an object of intervention of CITinova and PCR (the Municipality) contributed to staff working at the institutions engaged in the project implementation. In Brasilia, FDG cofinance included: the investments from the Water and Environmental Sanitation Company of the Federal District (CAESB) and the Urban Waste Utility (SLU), including operation and maintenance of the new landfill,

composing plans, civil works and equipment for water supply units, among others; resources to additional actions to reinforce the project initiatives and SEMA's contribution, including a working space for CITinova team in its premisses and the proportional salaries of its staff from three different departments directly engaged with the CITinova execution. All executing partners (UNEP, SCP, CGEE, SEMA, ARIES and MCTI) made in-kind contributions beyond what was initially committed.

Table 8: Co-Financing (in USD)

No.	Co-finance partner name	Type of co-finance	<i>Planned Total</i>	Actual Total
1	Ministry of Science, Technology and Innovation	Public Investment	<i>57,500,000</i>	88,934,596
2	Recife Compesa	Public Investment	<i>76,000,000</i>	117,457,407
3	Recife PCR	Public Investment	<i>47,524</i>	1,804,926
4	Recife ARIES	In-Kind	-	102,450
5	Brasilia - Federal District Government (FDG)	Public Investment	<i>57,660,277</i>	84,477,037
6	Sustainable Cities Program (SCP)	In-Kind	<i>4,192, 856</i>	5,743,178
7	CGEE (SCIO project)	In-Kind	-	37,500
8	CGEE (SEMA project)	In-Kind	-	32,500
9	UNEP Cities Unit	In-Kind	<i>151,409</i>	151,409
10	UNEP Industry and Economy Division	In-Kind	<i>98,591</i>	10,000
11	UNEP Brazil Office	In-Kind	-	355,604
Total			<i>195,650,657</i>	299,106,607

4 THEORY OF CHANGE AT EVALUATION

106. The project document (CEO Endorsement) did not contain a Theory of Change (ToC). The problem analysis was consistent but the causal relationship between outputs and expected outcomes was not totally explored. Considering the need to assess outcomes and impacts generated by the project, it would have been advisable to establish a planning and monitoring tool that would support the alignment of executing partners towards common objectives and the coordination between different project components. This would have been highly relevant to support project effectiveness.

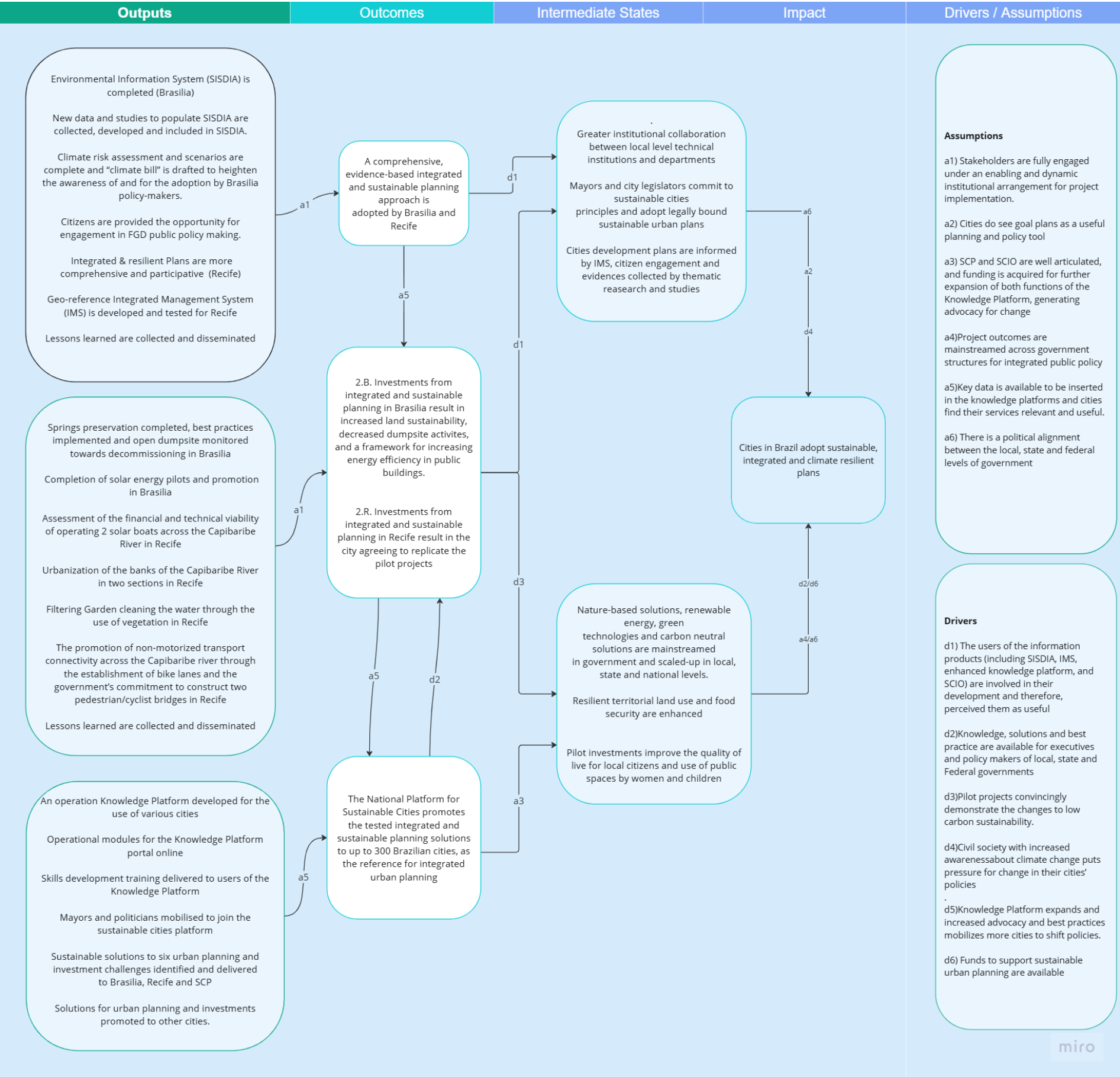
107. The project addresses a multi-dimensional problem identified during the design phase through consultations with different stakeholders: “Unsustainable urbanization has led to social and economic inequalities, as well as environmental vulnerabilities that affect the layout of Brazilian cities. These cities are dealing with growing spatial segregation, inadequate infrastructure, and climate impacts that have not been effectively addressed due to sector-specific policies, lack of monitoring, data, etc.”. It’s important to acknowledge the fact that the project was designed by the implementation agencies, contributing to the ownership of the process. One of the most important identified challenges was to improve the institutional capacity and governance practices prevalent in local, state, and national governments. These practices often lack holistic approaches that integrate environmental, social, and economic dimensions into decision-making processes. Instead, they are characterized by siloed thinking, sector-oriented approaches, and inadequate coordination and cooperation among government stakeholders, compounded by a lack of reliable information and data for monitoring urban development.

108. Another dimension of the problem concerns land use, infrastructure, services, social disparities, and spatial inequalities, all contributing to a poor quality of life. The Mid-Term Review (MTR) mission summarized the problem statement in a ToC: Unsustainable urbanization patterns fuel urban sprawl, informal land occupation, and significant social and economic disparities, alongside environmental vulnerabilities that undermine sustainable development and city sustainability. In the process of the project terminal evaluation this statement was kept.

109. The project addresses this problem by developing an intervention focused on three components that should be coordinated and feed each other: 1) Integrated Urban Planning; 2) Investments in innovative technologies; 3) Knowledge Platform for Sustainable Cities.

110. During the evaluation inception phase, a revised TOC was developed by the evaluation team. The basis was the TOC drafted during the MTR. Most of the casual pathways, assumptions and drivers were kept, but the information was re-arranged and intermediate states were added. This allows to better understand the intervention logic, the causal pathways that would lead to project outcomes and impacts and to define key evaluation questions that drove the evaluation process.

Figure 3. Reconstructed Theory of Change at Evaluation



111. The **first causal pathway** (Component 1) includes outputs and outcomes for Brasilia and Recife separately. In Brasilia, the causal pathway begins with the development of SISDIA and collection of data to input into the system for use by the Federal District Government (FDG) for sustainable planning. In addition, a climate bill is drafted for adoption by the city legislation, and citizens are engaged in FDG public policy making. Lessons learned are collected to feed local pilot initiatives and national platforms. If these outputs are successfully made available, the expected outcome is that the city of Brasilia adopts a comprehensive, evidence-based integrated and sustainable planning approach. For this to happen, it is assumed that legislators are fully engaged under the institutional arrangement of the project. The following drivers should also be in place: city planners and other users of SISDIA are consulted in the development of the system and therefore, see the system as useful, and mayors and legislators are convinced and committed to sustainable cities policies.

112. In Recife, the causal pathway begins with the implementation of a Geo-referenced Integrated Management System (IMS) as a significant step towards evidence-based urban planning. This system will facilitate the integration of various data sources and information streams, providing a comprehensive view of the city's dynamics and challenges. In addition, integrated and resilient plans are developed which would be crucial for addressing the complex and interconnected challenges facing urban areas, such as Recife. The use of the IMS can facilitate greater civic participation in the urban planning process if the system is designed as an open source. By providing access to relevant data and information in a transparent and accessible manner, residents and stakeholders can contribute meaningfully to decision-making processes. If these outputs are successfully made available, the expected outcome is that the city of Recife adopts a comprehensive, evidence-based integrated and sustainable planning approach.

113. The successful adoption of a comprehensive, evidence-based planning approach hinges on several factors. Firstly, stakeholders must be fully engaged in the planning process, actively contributing their insights and expertise. An enabling and dynamic institutional arrangement is crucial for fostering collaboration and coordination among various stakeholders, including government agencies, private sector entities, NGOs, and community groups. The Recife Municipality must recognize the IMS and evidence-based research as valuable tools for informed decision-making. This involves not only investing in the technological infrastructure needed to support these tools but also building the capacity of city staff to effectively utilize them. Furthermore, there should be mechanisms in place to ensure that the insights generated from these tools are integrated into policymaking processes, thereby driving tangible improvements in urban development outcomes.

114. In summary, the successful implementation of a Geo-referenced IMS in Recife, coupled with the development of integrated and resilient plans and active engagement of stakeholders, holds the potential to transform the city's approach to urban planning and pave the way for more sustainable and inclusive development.

115. The **second causal pathway** (Component 2) emphasizes the importance of implementing pilot investments to demonstrate the benefits of integrated urban planning, particularly focusing on nature-based solutions and sustainable development practices.

116. In Brasilia, pilot investments focused on springs and river basin preservation, conservation efforts, and the promotion of nature-based solutions to combat soil and water pollution. In Recife, the pilot investments concentrate on urbanizing the Banks of Capibaribe River, implementing nature-based solutions such as filtering gardens, and enhancing non-

motorized connectivity. These investments serve as tangible examples of how integrated urban planning can lead to positive outcomes in terms of environmental sustainability, public health, and community well-being.

117. **Lessons Learned and Dissemination:** By sharing experiences and best practices, Brasilia and Recife can contribute to knowledge-sharing platforms, inspiring other Brazilian cities to adopt similar nature-based urban development strategies. This dissemination of knowledge fosters collaboration and accelerates progress towards more sustainable urban futures nationwide.

118. If these pilot investments (Outputs) are successfully made available, and the assumption all stakeholders are fully engaged holds, the expected outcomes are that investments from integrated and sustainable planning result in increased land sustainability, decreased dumpsite activities, and a framework for increasing energy efficiency in public buildings. In Recife, it is expected that investments from integrated and sustainable planning in Recife result in the city agreeing to replicate the pilot projects.

119. The **third causal pathway** (Component 3) focuses on developing and reinforcing the knowledge platforms, Sustainable Cities Program Platform (SCP) and the Observatory for Innovation and Sustainable Cities (SCIO), with a goal of providing training and capacity-building initiatives to municipalities across Brazil.

120. The SCP and SCIO serve as key mechanisms for disseminating knowledge, sharing best practices, and fostering collaboration among municipalities in Brazil. By reinforcing these platforms, cities can access resources, tools, and expertise to support their sustainable urban development efforts.

121. The components outputs include the development of operational modules for the SCP and SCIO. Through targeted training and capacity-building programs, Brazilian municipalities can enhance their ability to implement sustainable urban planning practices. Mobilizing mayors and politicians to join the Sustainable Cities Platform is essential for driving widespread adoption of sustainable urban solutions. By engaging political leaders, the importance of sustainability in urban planning can be emphasized, leading to increased support and commitment at the municipal level. Moreover, sustainable solutions to six urban planning challenges would be identified and delivered to Brasilia, Recife, and SCP, and solutions for urban planning and development would be promoted to other Brazilian cities.

122. Main assumptions on this causal pathway are: i) key data is available to be inserted in the knowledge platforms; ii) Cities see goal plans as a useful planning and policy tool and ii) SCP and SCIO are well articulated. Main drivers are: i) Knowledge, solutions and best practice are available policy makers and knowledge Platform increase capacity for advocacy and best practices' dissemination

123. To achieve project impact of having **Cities in Brazil adopting and implementing sustainable, integrated, and climate resilient national plans**, there are a set of intermediate outcomes that must be considered.

- Greater institutional collaboration between local level technical institutions and departments
- Mayors and city legislators commit to sustainable cities principles and adopt legally bound sustainable urban plans
- Cities development plans are informed by IMS, citizen engagement and evidence collected by thematic research and studies

- Nature-based solutions, renewable energy, green technologies & carbon neutral solutions are mainstreamed in government and scaled-up in local, state & national levels
- Resilient territorial land use and food security are enhanced
- Pilot investments improve the quality of life for local citizens and use of public spaces by women and children

124. For this to happen, project outcomes must be mainstreamed across government structures for integrated public policy. At this level, it will be important to assess the achievement of project goals at local and national level and both the integrated urban planning tools developed in Brasilia and Recife and the knowledge platforms will have an important role in this.

125. SCIO serves as a hub for disseminating sustainable solutions and best practices in urban planning and nature-based solutions. By showcasing successful initiatives tested in cities like Brasilia and Recife, municipalities can learn from real-world examples and adapt proven strategies to their own contexts. As solutions are tested and implemented in different cities, the project will generate a reference database of best practices and lessons learned in sustainable urban development. This database serves as a valuable resource for municipalities seeking to adopt sustainable commitments, providing guidance and inspiration for their own initiatives.

126. The successful implementation of pilot investments in Brasilia and Recife represents a critical step towards demonstrating the benefits of integrated urban planning and nature-based solutions. By engaging stakeholders, disseminating lessons learned, and leveraging key data, these cities can serve as catalysts for sustainable urban development across Brazil.

127. In summary, through the reinforcement of platforms like the SCP and SCIO, along with targeted training, mobilization of political leaders, and dissemination of sustainable solutions, the project aims to create a supportive environment for sustainable urban development across Brazil. By building capacity, sharing knowledge, and fostering collaboration, the project can catalyze widespread adoption of sustainable commitments among Brazilian municipalities.

5 EVALUATION FINDINGS

5.1 Strategic Relevance

5.1.1 Alignment to UNEP MTS, POW and Strategic Priorities

128. The project was perfectly aligned with UNEP Medium Term Strategy 2014-2017, Climate Change Sub-programme, and contributing to expected accomplishment 1, Climate resilience: Ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts.

129. The challenge of UNEP in the 2030 Agenda is to develop and enhance integrated approaches to sustainable development – approaches that will demonstrate that improving the health of the environment will bring social and economic benefits. In this document, priorities such as transitioning to low-emission economic development, enhancing adaptation and building resilience to climate change were mentioned as strategic priorities. Moreover, urbanization was identified as a major driving force for environmental change as by 2050, greenhouse gas and global waste from cities would be 75% of the global total (at current rates). Therefore, by supporting Brazilian cities to reinforce their capacities to promote sustainable urban planning and climate change adaptation, the project was highly relevant. Moreover, the project responded to one of the regional priorities identified for Latin America - Sustainable and inclusive cities, air quality and waste management.

130. The project was also aligned with the different UNEP's Programs of Work (PoW) during project approval and implementation. Under the PoW 2016-2017, the project was expected to contribute to the following indicators under the Climate Change Subprogramme: (a) (i) (i) Increased number and percentage of countries implementing concrete ecosystem-based and other supporting site-based adaptation initiatives, with the assistance of UNEP; (a) (ii) Increased number and percentage of countries that have progressed in integrating ecosystem-based and other adaptation approaches into sectoral and national development strategies, with the assistance of UNEP.

131. Regarding the PoW 2022-2023, the project was aligned with the Climate Action sub-programme, contributing to the following indicators:

- i) Number of national, subnational and private-sector actors that adopt climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support: 302 cities committed to SDG targets through registration at SCP;
- ii) Amounts provided and mobilized in US\$ per year in relation to the continued existing collective mobilization goal of the US\$100 billion commitment through to 2025 with UNEP support: a co-finance amount of US\$ 299.106.607 mobilized through partners;
- iii) Number of national, subnational and private sector actors reporting under the enhanced transparency arrangements of the Paris Agreement with UNEP support: Approval of eligibility of the Secretary of Environment of the Brazilian Federal District Government by the National REDD+ Commission (CONAREDD+) to receive financial resources based on results-based payments for REDD+ according to the

Warsaw Framework of the United Nations Framework Convention on Climate Change (UNFCCC);

- iv) Positive shift in public opinion, attitudes and actions in support of climate action as a result of UNEP: the project implemented a participatory approach in the development of strategic planning instruments such as Recife 500 years, sectoral adaptation plans or environmental education activities.

Rating for Alignment to UNEP MTS, POW and Strategic Priorities: Highly Satisfactory

5.1.2 Alignment to UNEP/GEF/Donor Strategic Priorities

132. The project was integrated in the GEF-6 Sustainable Cities - Integrated Approach Pilot program (SC-IAP) as a child project. The SC-IAP was funded by the GEF to promote the integration of environmental sustainability in planning and management initiatives for cities. The rationale behind this program was that cities are the engines of the global economy which concentrate more than 50 percent of the world's population, while accounting for over 70 percent of its greenhouse gas (GHG) emissions. By 2050, two-thirds of the world's population will live in cities and nearly all urban growth will occur in developing countries. According to an IAP document, "This concentration of people and assets also means that the impacts of stresses and shocks, such as the challenges of climate change and natural disasters, will be even more devastating and especially affect the urban poor. If managed well, cities that strive to become compact, resilient, inclusive, and resource-efficient can become the drivers of sustainable development"⁸

133. The IAP's objective was to promote an approach to urban sustainability guided by evidence-based, multi-dimensional, and broadly inclusive planning processes that balance economic, social, and environmental resource considerations. The program included the following components: i) Enhancing integrated sustainable urban planning and management; ii) monitoring local and globally relevant performance frameworks for improved performance; iii) catalysing investments in sustainable cities; and iv) enhancing partnerships for sustainable cities at local, national, and global levels (through knowledge management, capacity building, global coordination). The child project in Brazil was totally aligned with these principles and priorities.

134. In addition, the project contributes to GEF Core Indicator Targets. The following targets were identified for this project, as it was approved prior to GEF-7 when the targets were established.

- *GEF Core Indicator - Terrestrial protected areas created or under improved management for conservation and sustainable use (target: 200 million hectares).* The project aimed to improve the management of 415 hectares of landscapes. *GEF Core Indicator - Marine protected areas created or under improved management for conservation and sustainable use (target: 8 million hectares).* The project aimed to contribute 80 hectares under sustainable land management.

⁸ *Emerging Lessons for the Global Partnership for Sustainable Cities*, GEF

- *GEF Core Indicator - Greenhouse Gas Emissions Mitigated (target: 1500 million metric tons of CO₂e).* The project aimed to mitigate 3,802,710 metric tons of CO₂e.

Rating for Alignment to UNEP/GEF/Donor Strategic Priorities: Highly Satisfactory

5.1.3 Relevance to Global, Regional, Sub-regional and National Priorities

135. The project was aligned with the SDG goal 11: Make cities and human settlements inclusive, safe, resilient, and sustainable. The project makes a significant contribution to the following targets and indicators:

- i) Target 11.3: By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries - Indicator 11.3.2: Proportion of cities with a direct participation structure of civil society in urban planning and management that operate regularly and democratically;
- ii) Target 11.6: 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 - Indicator 11.6.1: Proportion of urban solid waste regularly collected and with adequate final discharge out of total urban solid waste generated, by cities;
- iii) Target 11.b: By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015 –2030, holistic disaster risk management at all levels - Indicator 11.b.2: Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies.

136. The project is also aligned with UNDAF Brazil 2017-2021, Outcome 3: Strengthened institutional capacity to promote and implement coherent public policies for the sustainable management of natural resources and ecosystem services, and for combating climate change and its adverse effects. The project made a relevant contribution at this level in all of its three components.

137. The project is also aligned with UNSDCF Brazil 2023-2027, Outcome 3.2: By 2027, Brazil will have advanced in the implementation of actions to mitigate climate change and adapt to its effects, reduce deforestation, risks of disasters, considering groups and people in situations of vulnerability, including forcibly displaced people, with a generational, gender, racial and ethnic equality approach, and protection of the territories of indigenous peoples, traditional peoples and communities, and rural, forest and riverside populations, aiming at promoting a resilient and decarbonized economy, considering national legislation and regulations and aligned with prevailing international commitments. The project interventions in Capibaribe river in Recife, the studies and pilot actions in Paranoá and Descoberto rivers and the actions focused on sustainable disposal or in photovoltaic energy are some examples of this alignment.

138. At the national level, the project was fully aligned with the main guidelines of national environmental, urban and innovation policies, including the National Climate Change Policy,

the City Statute, the National Environment Policy and the National Innovation Policy. The project was also aligned with the local level legal framework, namely with the Brasília Sustainability Law and Recife Strategic Guidelines for the city.

Rating for Relevance to Global, Regional, Sub-regional and National Priorities: Highly Satisfactory

5.1.4 Complementarity with Existing Interventions/ Coherence

139. The project was well integrated within the MCTI, the executing agency, and exhibited a strong capacity to coordinate with other ongoing projects and diverse stakeholders. It effectively participated in sustainable urban development events and successfully disseminated project results to relevant stakeholders at both central and local government levels, while also engaging civil society in these processes. The project demonstrated strong alignment with the long- and medium-term planning strategies in both Brasília (DF) and Recife (PE). In Recife, it was in sync with the Recife 500 Years Plan, while in Brasília, it adhered to the Multi-Year Plans focused on enhancing SISDIA as the district system for environmental information. At the national level, the project's initiatives were integrated into the Sustainable Urban Development Network (REDUS), a key digital platform that promotes sustainable urban development and facilitates the exchange of knowledge, experiences, and best practices across local, state, district, and federal governments. The project also fostered partnerships to support events and initiatives led by the Ministry of Regional Development (currently the Ministry of Cities), particularly in collaboration with the SCIO.

140. Despite the political and institutional context characterized by constant changes at national and local levels, which pose significant constraints on establishing coherent and long-lasting public policies on sustainable urban development, the project remained coherent and synergistic with other ongoing initiatives in the country, without duplicating existing efforts.

Rating for Complementarity with Existing Interventions/Coherence: Satisfactory

Rating for Strategic Relevance: Highly Satisfactory

5.2 Quality of Project Design

141. At the inception phase the evaluators reviewed the performance of project design for 12 critical areas determining the soundness of the design (the in-depth assessment of the project design is in Annex B of the Inception Report). These areas with their scores and weights are summarized in the below table, and the total weighted score shows that the overall quality of the project's design is rated as satisfactory.

142. During the project's design, main problems and challenges were identified. The project addresses the pressing challenges confronting cities and municipal governments, including escalating demographic pressure and the growing need for housing, land, basic infrastructure, services, and employment opportunities. These challenges unfold amidst deteriorating urban environmental conditions, traffic congestion, informal urbanization, violence, and profound spatial and social inequalities. Problems, root causes and barriers that need to be addressed are clearly identified.

143. Yet, there's a gap in establishing clear causal relationships in the logic framework and anticipating risks. The Logic Framework could have provided a clearer illustration of these

relationships, highlighting relevant causal pathways, assumptions and risks along with mitigation measures. Engaging stakeholders in developing and accessing a Theory of Change (TOC) approach at the design phase or at inception could have facilitated project implementation and a focus on project outcomes and objectives. The project structure is complex and there is the risk of implementing each project component as an independent project. Thus, it is important to assess project coordination and articulation between project components and relevant stakeholders.

144. It is important to acknowledge the fact that the project was developed by the implementation partners contributing to the ownership of the process. Nonetheless, the project design could have anticipated challenges in institutionalizing and mainstreaming project outcomes across all government levels. Complimentary actions focused on project and stakeholder coordination could have been introduced during the design phase to demonstrate horizontal collaboration for improved integrated and sustainable planning and project sustainability. At this level, a clearer stakeholder engagement strategy (complementing a clearer TOC) would have been relevant to support project implementation.

145. The project design includes specific activities and components to collect and share lessons learned and disseminate them and scale-up to other municipalities at national level. At this level, the project design was highly satisfactory.

Table 9: Summary table for project design quality assessment

	Section	Rating ⁹	Weighting	Total
A	Operating Context	5	0,4	0.2
B	Project Preparation	5	1.2	0.6
C	Strategic Relevance	5	0.8	0.4
D	Intended Results and Causality	4	1.6	0.64
E	Logical Framework and Monitoring	3	0.8	0.24
F	Governance and Supervision Arrangements	5	0.4	0.2
G	Partnerships	4	0.8	0.32
H	Learning, Communication and Outreach	6	0.4	0.24
I	Financial Planning / Budgeting	5	0.4	0.2
J	Efficiency	5	0.8	0.4
K	Risk identification and Social Safeguards	4	0.8	0.32
L	Sustainability / Replication and Catalytic Effects	6	1.2	0.72
M	Identified Project Design Weaknesses / Design	4	0,4	0,16
Total Weighted Score				4.64

⁹ Rating scores: 6=highly satisfactory, 5=satisfactory, 4=moderately satisfactory, 3=moderately unsatisfactory, 2=unsatisfactory, 1=highly unsatisfactory, 0=not applicable

Rating for Project Design: Satisfactory

5.3 Nature of the External Context

146. The political and institutional context of the Brazilian national government during the 2018-2022 period was marked by significant institutional, and technical challenges for multilateral organizations dealing with environmental and climate issues. This resulted in a decreased focus on these agendas in the formulation, implementation, and financing of integrated public policies. The environmental and climate sustainability component played a central role in the project's design and the results to be achieved.

147. Additionally, the SARS-CoV-2 pandemic had profound social and economic impacts. The main effects on the project were the increasing of virtual commitments due to remote work and the postponement of field and social mobilization activities. In order to mitigate these impacts, the partners took several measures such as renegotiating contract terms, postponing field activities, anticipating office work and organizing virtual meetings, events. The project was implemented against this backdrop of government transitions, shifting political agendas, changes in the priority of the environmental and climate agenda, and the pandemic's effects.

148. Institutionally, the Ministry of Cities was dissolved and replaced by the Ministry of Regional Development (MDR), aligning urban policies and urban development more closely with regional development. Several programs such as the capacity building program in cities (Capacidades) were brought to a standstill and underwent changes before being restarted. The Ministry of Environment went through significant changes affecting core development areas of GEF such as environmental preservation, biodiversity, climate change. As mentioned in the MTR report: *"several measures were adopted to ease the environmental license regulations, inspections and regulations and a lot of controversies emerged around the preservation of the Amazon river basin, deforestation and the commitment of Brazil to the Accord of Paris on climate change"*. During this period, there was a reduction in transparent and participatory mechanisms for monitoring global targets for reducing deforestation and carbon emissions, as well as a decrease in public investment towards the sustainability agenda. Moreover, many ongoing climate and environmental projects faced delays or were halted during this period, significantly impacting their implementation.

149. During this period, two significant electoral processes took place: the 2018 elections, which elected the President, Governors, and Federal and District Deputies, and the 2020 elections for municipal governments.

150. The 2018 and 2020 elections mobilized all levels of government, impacting the project's components, especially in Brasília (FD) and Recife (PE), which faced government transitions in 2018 and 2020, respectively, along with changes in secretariats. In 2022, new national and state elections impacted project implementation, resulting in institutional changes at both the national and state levels.

151. This context created significant challenges for the project, especially at the national level, in promoting inter-ministerial cooperation to strengthen a national agenda for integrated urban planning, innovation, and sustainability. Additionally, the challenges of transitions made it difficult to establish mechanisms for knowledge exchange between managers at different levels of government.

152. At the project management level, political and institutional changes in the governments in Brasilia and Recife and also in the MCTI introduced different procedures in the execution and monitoring of the project, requiring time to adapt and resume effective execution. Changes in the project management within the MCTI also led to different visions and perspectives on the project implementing methodologies and priorities and this led to a constant need for adaptation. Regarding the pandemic, all the implementation partners were asked to present adaptation plans and all of them implemented adaptative strategies to respond to this unexpected challenge.

153. The fact that most of the implementation partners were civil society organizations, even with delegation agreements with local or central governments, helped to mitigate some institutional challenges. However, these challenges inevitably affected the project.

Rating for Nature of the External Context: Moderately Unfavourable

5.4 Effectiveness

5.4.1 Availability of Outputs

154. Despite the moderately unfavorable external context and delays in implementation, the project demonstrated a very good capacity to achieve the proposed outputs.

Component 1 – Evidence-based sustainable planning

Output 1.1B - Environmental Information System (SISDIA) including EEZ guidelines and data is completed, online and available for FDG sustainable planning and public access / 1.2 B New data and studies to populate SISDIA are collected, developed and included in SISDIA.

155. These outputs were fully delivered. SISDIA had more than 6,000 daily accesses in 2023, demonstrating the huge success and acceptance of this spatial planning tool and geospatial repository. These accesses came from 432 Brazilian cities and 45 different countries. This is an open platform, being used to promote environmental licensing, giving support to territorial planning and allowing for a better understanding of regulation requirements in each zone in accordance with the Ecological-Economic Zoning Law (EEZ/DF) that already foresaw the creation of SISDIA. The majority of searches are related to territorial occupation, territorial protected areas and land division.

156. SISDIA has now a fully equipped situation room with all the required software and equipment. A set of key indicators were developed in a participatory methodology, engaging different district level departments. Seventy-four indicators were defined covering 4 dimensions: i) environmental and ecological structure; ii) economic development; iii) infrastructure to promote competitiveness and well-being; iv) governance for sustainable development. All of these indicators are linked to the SDG's and will allow a sustainability monitoring process in the Federal District (FD) in accordance with the EZZ FD law. Four expert modules are now available: spatialization of norms (Enormas) and urban projects sustainability were developed with project support and Monitoring and Spatial data repository were developed after project closure. More than 180 public technicians were trained in the SISDIA functionalities. It's important to acknowledge the development of legal instruments for the regulation and operation of SISDIA, that is now a national reference inspiring other municipalities in the country to develop similar spatial planning tools.

157. Sectoral climate scenarios were developed and included in SISDIA, namely data from studies conducted were included in the SISDIA repository. This includes data from the following sources: Study on Climate Projections for the Federal District and Surrounding Integrated Development Region (RIDE); Climate Inventory; Mitigation and Adaptation Plans; Diagnosis of contamination at the landfill site; Diagnosis of areas to be restored in the Descoberto and Paranoá Watersheds. Other data sources included in SISDIA were Climate Inventory Update; Diagnosis of the Dumpsite, and maps of vegetation cover and land use.

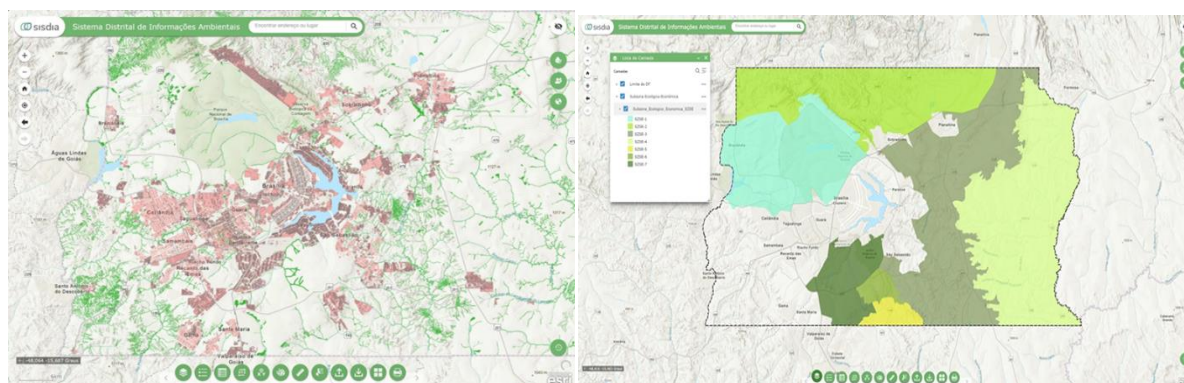


Figure 4: SISDIA layout and example from available maps

1.3.B. Climate risk assessment and scenarios are completed and 'climate bill' is drafted.

158. The project surpassed the proposed output regarding climate assessment and legislation in Brasilia. A Study on Climate Projections for the Federal District and Surrounding Integrated Development Region (RIDE) was developed. The Climate Act Regulation was drafted and completed with the approval of the decree 43.403 in June 2022. In addition, the Carbon Neutral local plan includes the district determined contribution (an innovative local version of the National Determined Contribution). Moreover, the project supported the development of climate scenarios including the development of FD carbon emissions inventory and local level mitigation and adaptation plans. These were highly participatory processes, engaging different institutional stakeholders. The process allowed the FD to be granted eligibility to access funds from REDD+ in the Cerrado by the National Commission for REDD+ (CONAREDD+), which is an entity coordinated by the Ministry of Environment. The approval was based on an assessment that concluded that the FD implements policies and measures deliveries of REDD+ results in compliance with criteria and requirements established by the UNFCCC, known as REDD+ Safeguards.

159. A temporary climate chamber was established, and 17 meetings were held during project implementation. This chamber is now in the process of being reactivated as a permanent committee. The project resources were also used to develop mitigation strategies for emissions from the transportation sector in the FD (currently being discussed with the Federal District Mobility Secretary) and in the agriculture sector. At this level a proposal for mobilization, restructuring, and planning the District's ABC+ Plan (Low Carbon Agriculture), aligned to Federal ABC+, was developed and approved.

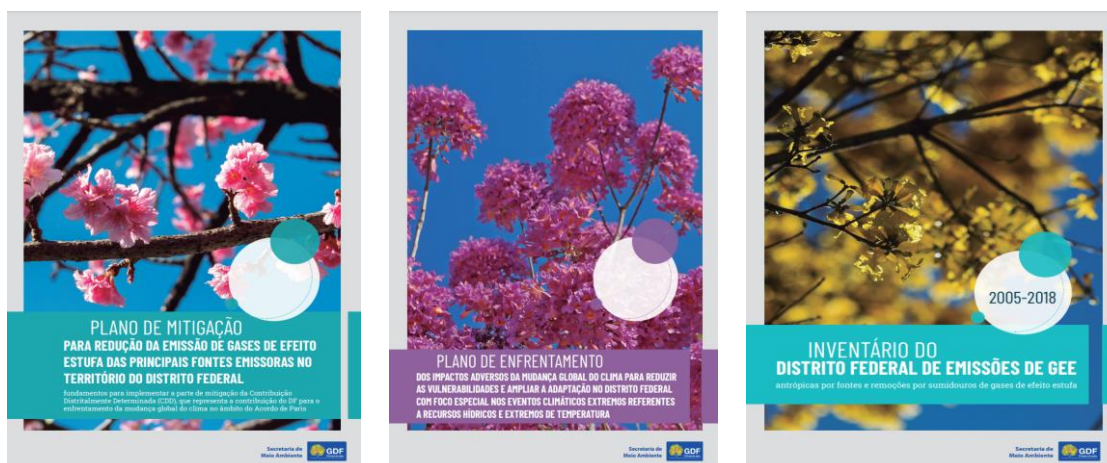


Figure 5. Project publications - Brasilia

1.4.B. Citizens are engaged in FDG public policy making

160. The Climate Forum to engage citizens and policy makers in FDG sustainable policy making was not formally established. However, a series of relevant actions were implemented, particularly those engaging local schools, which included the creation of a sustainability youth committee in 10 schools. Unfortunately, these initiatives were developed near the project's end, limiting their sustainability and effectiveness.

161. It's important to acknowledge that SEMA adopted a participatory approach during the project development, promoting 18 public events and conducting 2 public consultations while developing the adaptation plans. With the implementation of SISDIA, indicators and monitoring data are now publicly available. Stronger engagement of citizens and policymakers in policymaking is a long-term process that will require continuous effort.

1.5.B. Lessons learned are collected and structured to feed the local and national platforms.

162. All the project activities are well documented. SEMA developed relevant publications demonstrating the process and project achievements and lessons learned were collected and included in the knowledge platform SCIO. In the case of Brasilia, these lessons learned factsheets were produced by SEMA's team without technical revision from CGEE.

1.1.R. Integrated and resilient Plans for Recife through enhanced popular participation, more evidence and live and open data

163. The project performed very well in implementing this component and achieving the associated outputs. A particularly noteworthy contribution was the project's role in revising the strategic document "Recife 500 Years" (deliverable 1.1.1) - the strategic development plan for Recife. This included support for the consultation process, community engagement, consultants, and publications. This guiding document for the city is highly relevant and of excellent quality. The completion of the Recife 500 Years Plan indicator panel was achieved (1.1.2R) but apparently there is not a great ownership on this deliverable by the municipality. It is seen as highly relevant, but it is still not used as a guiding and operational document by the city, according to interviews with municipal officials. The water and air quality micro stations (1.1.3) are installed and in operation but are still managed and operated by ARIES. The sectoral adaptation plan (1.1.4) was developed and delivered to the municipality. Under the Integrated social housing policy (1.1.5R), the Feasibility Study on Social Housing for Recife

(EVTEA) was completed and delivered to the municipality, and it represented an important contribution to develop a new credit scheme to support PROMORAR – one of the most important credit schemes in Latin America, supported by the Interamerican Development Bank with an overall budget of USD 200 million. The study on the viability of the Carbon Market for the City of Recife (1.1.6) was also completed and delivered to the municipality, but the conclusion was that the carbon market would only be feasible in a larger scale. Studies and proposition of regulation on Social Interest Properties - IEIS (1.1.7R) were prepared and delivered to the municipality and this information was used by the municipality to identify private unutilized housing as an instrument to implement its social housing policy.

1.2.R. Geo-referenced Integrated Management System (IMS) is tested

164. This output was not achieved. Although the software was developed by the project, it was never prioritized by the municipality and is not being used by any municipal department. The municipality stated that it was not a priority since they were developing an ArcGIS spatial data monitoring tool. However, some municipal departments acknowledged that the IMS developed by the project could be useful if properly adapted – the Capibaribe Park and Recentro project mentioned this during the project evaluation. A more coherent approach was hindered by changes in government departments. Nonetheless, it is surprising that such a relevant tool was not developed with clear objectives and identified beneficiaries.

1.3.R. Lessons learned collected and structured to serve as input to the national platform

165. All project activities are well documented. ARIES developed relevant publications that demonstrate the process, project achievements, and lessons learned, which were collected and included in the knowledge platform SCIO. Additionally, ARIES created a website that serves as a repository for all project products.

Component 2 – Investment Pilots

166. The project made significant investments in pilot activities in both Brasília and Recife. Similar to Component 1, most of these activities were concluded near the project's end. Despite this, the project demonstrated a strong capacity to deliver, especially considering the complexity of many of the pilot projects.

2.1.B. Springs preservation completed, best practices implemented, and open dumpsite monitored towards decommissioning.

167. The project achieved all targets for this output. Regarding the *Estrutura/Dumpsite*, the diagnosis was concluded, and mitigation tests were carried out. Currently, the dumpsite is only receiving construction waste. Pilot mitigation experiments were conducted, including two pilots focused on phytoremediation by planting and verifying the accumulation capacity of native and exotic plants from the dumpsite and the Brasília University Campus. Another mitigation pilot focused on the stabilization of metals in soils to minimize the levels of heavy metals typically found in high concentrations in soils adjacent to solid waste accumulation areas. Another pilot focused on plume remediation. The FD has promoted a cooperative to employ waste collectors with funds from the BNDES – the National Development Bank. According to SEMA's leadership, the project was decisive to provide the FD with relevant technical data to support decision making and the process had a strong engagement of all the relevant institutions working with waste management in the FD.

168. Regarding watershed restoration activities, the project conducted a diagnosis of priority areas for forest restoration to increase water availability in the Paranoá and Descoberto river basins (mapping of 91.000 hectares). Moreover, a study on the improvement of water governance in the FD was developed and presented at District Water Resources Council. As a result, the project promoted the restoration of 80 hectares of Permanent Preservation Areas (APPs) of springs, water recharge areas and other degraded or altered APPs in the 2 river basins, benefiting 72 rural producers and two ecological parks. These were relevant small-scale activities but there is no robust monitoring information to assess the contribution of this pilot to inform public policy. Moreover, the project developed a Watershed Sustainability Index, a rainwater harvesting pilot Project at a local school (including the methodological guide to replicate the technology).

169. Mechanized agroforestry systems were implemented on 20 hectares (ha) and two community supported agriculture. (CSA networks were created. Workshops and sustainable agriculture training were promoted engaging the Agriculture Extension Corporation EMATER. This was a small-scale activity with some fragilities. There is no robust data to assess results on production, the criteria for the selection of beneficiaries were not always clear and the partnerships with governmental institutions such as EMATER or SEAGRI were not consistent. This led to a situation where the machinery management model is still to be defined and the investments are not in use by the beneficiaries since 2022. Nonetheless, it is important to acknowledge the relevance of the support to small scale agriculture as a political priority in the FD.

170. Regarding citizen engagement, the project supported different events such as workshops on water and sustainable agriculture and engaged 5 youth committees in watershed restoration activities and environmental education actions during the project timeline. A total of 618 students were engaged in this process.



Figures 6 and 7. Agroforestry Pilot Investments in Brasilia

2.2.B. Solar energy pilots and promotion are completed

171. The solar energy pilot was completed but was not fully operational during the evaluation mission. The Águas Claras photovoltaic system required minor technical adjustments to become fully operational and was awaiting its official inauguration. The project investment

included the installation of 4 photovoltaic systems benefiting 80 public buildings, 1 substation, 1 protective fence with fencing, security system with cameras, safety signage, and the installation of 2 charging stations for electric vehicles. The mock-up of the photovoltaic power plant was also supported by the project and is now available in Aguas Claras Ecological Park Facilities for environmental education purposes. During the project lifetime, more than 500 students visited the photovoltaic energy plant. This pilot was highly relevant by promoting a co-generating legal and institutional framework that can be replicated.



Figure 8. Solar energy pilot in Brasilia

2.3.B. Lessons learned are collected and structured to feed the local and national platforms

172. All the project activities are well documented. SEMA developed relevant publications demonstrating the process and project achievements and lessons learned were collected and included in the knowledge platform SCIO. In the case of Brasilia, these lessons learned factsheets were produced by SEMA's team without technical revision from CGEE. All the pilot activities in Brasilia included studies and publications that are now available to be consulted and can inspire future interventions.

2.1.R. The financial and technical viability of operating 2 Solar boats across the Capibaribe river is assessed

173. The technical and financial viability study was conducted, but the pilot investment was discontinued due to the conclusion that the solar boats would not be financially viable. Risks related to high initial investment, high operational costs, and uncertainty about the governance model led to the abandonment of the initially planned investment. An alternative involving local small-scale boatmen could have been designed, but a new mobility proposal, including bike lanes and pedestrian bridges, was proposed and approved instead. Most of the viability risks associated with this activity could have been better assessed during project design, considering past experiences from the municipality regarding river mobility promotion.

2.2.R. Banks of the Capibaribe River urbanized in two sections

174. The project supported the development of the Parque Capibaribe project, a strategic municipal initiative to engage citizens with one of the city's most important rivers. The interventions in Caiara and Vila Vintém included the construction of piers, playgrounds, resting areas and public illumination in an area of 2.500m². These high-quality interventions complemented ongoing municipal initiatives significantly. Notably, the intervention in Caiara took place on the least advantaged margin of the river, highlighting the need for an equitable approach to urban development. While there were some issues, such as the absence of public bathrooms (as noted by the final impact evaluation conducted by ARIES), the quality of the interventions was generally very good. The project correctly identified the need for an activation strategy but failed to implement it consistently. Such a strategy would have been crucial to build on the pilot interventions' results and achieve long-term outcomes.



Figures 9 and 10. Caiara Park in Recife

2.3.R. Filtering Garden cleaning the water through the use of vegetation

175. The filtering gardens are 100% complete and operational, having been inaugurated in 2023 as part of the Caiara Park rehabilitation. The initiative has garnered significant interest from various national institutions, attracting numerous visits from students and researchers. It plays a crucial role in demonstrating the effectiveness of nature-based solutions. Although the investment costs were significant (around 2 million USD) and the technology is not easily replicable, addressing the river pollution problem would require substantial additional

investments. Nonetheless, the initiative has important demonstration and environmental awareness effects that should be acknowledged.



Figure 11. Filtering Gardens

2.4.R. The City tracks and generates information and lessons on the experiences with the pilots for the national platform.

176. All project activities are well documented. ARIES developed relevant publications that demonstrate the process, project achievements, and lessons learned, which were collected and included in the knowledge platform SCIO. All the investment pilots in Recife have a factsheet in SCIO with the most relevant lessons learned,. Additionally, ARIES created a website that serves as a repository for all project products.

2.5 R Non-motorized transport connectivity is promoted across the Capibaribe river through the establishment of bike lanes and government commitment to construct two pedestrian/cyclist bridges

177. The project supported the national design competition for the pedestrian bridges, following the political commitment to build them. The executive projects have been completed and delivered to the municipality, which is now reviewing them and plans to launch the construction processes in 2024. According to the municipality, the financial resources are already available, and the process is being coordinated by the Capibaribe Park staff, in line with other ongoing investments from this strategic municipal project. Additionally, bike lanes continue to be developed by the municipality in coordination with the investments along the Capibaribe River margins.

Component 3 – Knowledge Platforms

178. The initial project target of developing a knowledge platform integrating the Sustainable Cities Program (SCP) and CGEE was substituted by the support to two different platforms:

SCP (promoted by the Sustainable Cities Institute) and SCIO (promoted by CGEE), although the project tried to promote links and connections between them.

3.1. An operational Knowledge Platform online

179. The project supported the scaling up of the Scaling up Sustainable Cities Program (SCP) and its platform. As an already existing program, SCP demonstrated a very good implementation capacity and the project support allowed it to leverage the process, reaching out to a significant number of municipalities. SCP uses a set of 260 indicators associated with the SDGs in a process of municipalization of these goals in Brazil. SCP uses metrics and indicators to monitor targets and draw up local diagnosis and studies, to develop publications and thematic guides to guide public managers and includes a GIS system. The program also develops mechanisms to encourage social participation and social control over urban planning processes and a bank of good practices in public policies in Brazil and worldwide (<https://www.cidadessustentaveis.org.br/>). SCP also launched the Sustainable Cities Index that ranks all the 5.570 Brazilian Municipalities in the achievement of the SDGs. There is a link between the SCP platform and SCIO website but there is not a strong synergy between both platforms as they ended up having different objectives and structures.

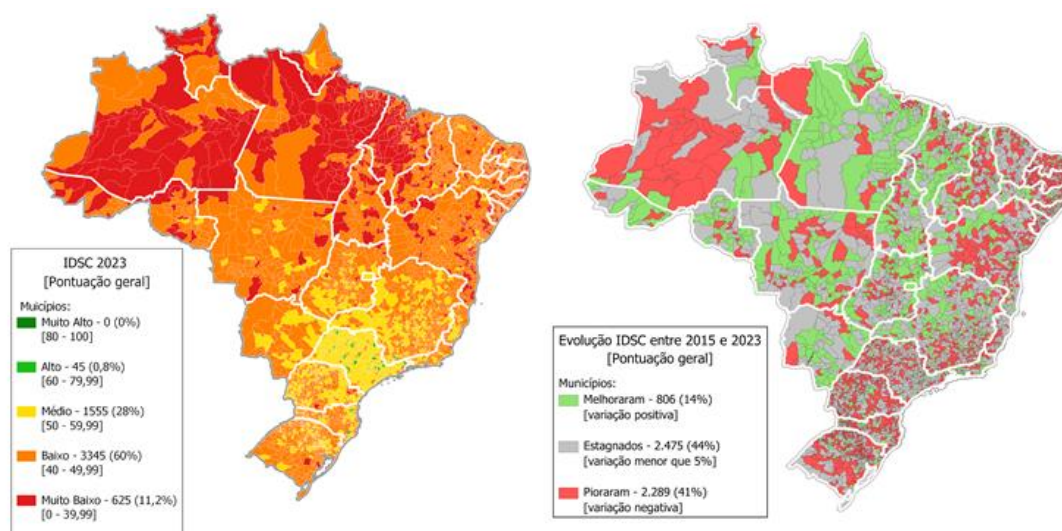


Figure 12. General Ranking 2023 – Sustainable Cities Index and Evolution from 2015 to 2023 in all the Brazilian municipalities (source: SCP)

3.2. Operational modules for the Knowledge Platform portal online

180. SCP implemented this component accordingly to the project document. The SCP platform includes the following modules: i) Indicators: methodologies and guidelines for monitoring the performance of public policies, dashboards for monitoring indicators, comparison of cities, dashboard to monitor de implementation of the City Target Plan and maps; ii) geo-references urban planning tools; iii) best practices database; iv) public participation in planning – guidelines, software and technical guidance for Brazilian municipalities; v) Potential partnerships with academic institutions; vi) Private sector partnerships; vii) training and capacity building – resources; viii) financial management; ix) Federal, state and municipal Plans, Laws, Regulations and Public Policies; and x) events. SCIO access is included in SCP modules section.

3.3. Skills Development Training designed and delivered

181. According to the project available data, 25 face-to-face workshops were held regarding the inequality maps, integrated urban planning tools, and SCP indicators. Around 400 municipal managers and technicians and 161 municipalities were engaged in training sessions and 123 virtual meetings with municipal leaders and staff were conducted during project implementation. Besides the training sessions, SCP promoted dissemination events and the International Sustainable Cities Conference, partnering with different institutions and local governments to promote this annual event that aims to increase visibility on best practices integrating SGDs in cities planning and management.

3.4. Mayors and politicians mobilized to join the sustainable cities platform

182. Currently, 304 municipalities have signed the partnership agreement with SCP. The strategy of developing partnerships with the National Front of Mayors and Regional Municipal Associations has proven to be an effective approach for reaching a significant number of municipalities, helping to successfully disseminate SCP objectives and methodologies.

3.5. Sustainable solutions to six urban planning and investment challenges identified and delivered to Brasília, Recife and SCP

183. The development of SCIO by CGEE encountered challenges due to staff turnover, including within the IT development team, and delays in implementation. However, by the end of the project, the platform was online, featuring 295 solutions, 462 case studies, and 18 identified typologies of territory. The connection between SCIO and Brasília, Recife, and the SCP was limited, preventing the full realization of the project rationale. Despite these challenges, each identified solution is ranked according to a sustainability index, and this information is publicly available. Additionally, CGEE developed 17 thematic publications focused on sustainability, urban planning, and nature-based solutions. Since SCIO became operational only near the project's end, it did not establish a stronger connection with the municipalities. Moreover, the platform's development had limited engagement from municipalities, the final users, which also constrained this output.



Figure 13. SCIO layout

3.6. Solutions for urban planning and investments promoted to other cities.

184. The target of establishing an online database of solutions was successfully achieved. However, as previously mentioned, the delayed development of the platform limited stronger engagement from municipalities. CGEE, being a think tank without a technical assistance profile, faced challenges in guiding municipalities on the consultation and utilization of SCIO.

185. One of the project's most promising tools within SCIO was a multi-level ranking system designed to prioritize solutions based on municipalities' profiles. Unfortunately, this feature was not included in the final version of the platform, representing a missed opportunity. Nonetheless, SCIO held 63 events, including face-to-face workshops, seminars, webinars and training sessions with municipal staff and officials. Some of the event highlights include the second, third and fourth International Seminars on Nature-Based Solutions organized by SCIO and the fact that SCIO team attended more than 40 events promoting the platform. SCP was a relevant partner to facilitate contacts with the municipalities and by the end of the project, SCIO had an average of 2,000 monthly accesses. A relevant activity was the partnership with ReDus project and the project's inclusion of training modules on using SCIO. Seventy-two users took the 25-hour 5-module course, and this course is being expanded to the "Capacities Programme" aimed at public managers at national level and managed by the Ministry of Cities and the National School of Public Administration.

Rating for Availability of Outputs: Satisfactory

5.4.2 Achievement of Project Outcomes

186. Assessing the achievement of outcomes is challenging due to the poor formulation of some indicators. It is crucial to emphasize that the absence of a clear ToC in the ProDoc hindered a better and shared understanding of the project goals. The project was complex, involving multiple implementation partners and covering different cities with significant territorial dispersion. Moreover, high turnover among project implementation partners, including changes in the overall governance structure of MCTI, resulted in partners pursuing different agendas and made it difficult to establish a common understanding of the project goals. In this context, better coordination would have facilitated decision making and agility in implementation. As illustrated in the ToC diagram, project outcomes were interconnected but during project implementation these connections between different components were not always achieved. For instance, Recife and Brasilia activities had a reduced interaction with the knowledge platforms and these did not feed the process of pilot investments under component 2. Also important to mention is the fact that delays in implementation hindered these connections as most of the activities and outputs were finalized in the last year of project implementation.

187. Nonetheless, the project had a satisfactory level of outcome achievement, enabling the mobilization of resources and expertise that usually are not available within local governments.

Table 10: Achievement of Outcomes

1.B - A comprehensive evidence-based integrated and sustainable planning approach is adopted by Brasilia
The project made a significant contribution to evidence-based, integrated, and sustainable planning in Brasilia. While this is a long-term process, the project provided the Federal District

(FD) with essential planning tools that can enhance the territorial planning process in the future. SISDIA is a powerful asset in this endeavor, along with the various studies on climate change adaptation and mitigation supported by the project. All project outputs will be incorporated into the PPA 2024-2027, demonstrating ownership of the project results and the importance of its achievements. Given the complexity of the planning process in Brasilia and the need to engage various institutional stakeholders, continuous coordination and engagement at the political level are crucial. The key assumption for achieving this outcome was the full engagement of stakeholders within an enabling and dynamic institutional arrangement. Although the project's technical committee made efforts to coordinate institutional agendas, ongoing coordination must continue with strong political leadership prioritizing sustainability and climate adaptation.	
# of secretaries out of the 10 that use SISDIA for at least 50% of their planning or zoning decisions (target: 5)	The indicator is poorly formulated, and it is not objectively verifiable. It does not capture the operability of SISDIA as the decision-making process is complex and does not depend on access to an information system. According to the project data, SISDIA integrates spatial data (environmental, social-economic, and territorial) from 26 local government institutions. Moreover, there is demonstrates the use of SISDIA for planning purposes namely regarding illegal land use occupation. SISDIA is definitely a powerful tool for urban planning, but its full potential is yet to be explored. However, the project made a decisive contribution to leverage SISDIA and implement a strategic political decision coming from the EZZ law.
Mitigation and adaptation plans and regulation of Climate Bill elaborated and approved with the incorporation of a revised target reduction of emissions. (target: 1)	The target was 100% achieved. Climate Adaptation and Mitigation Plans were published and SEMA carried out several initiatives aimed at strengthening the climate agenda and consolidating the legal framework such as the establishment of the temporary Technical Chamber of Climate, the establishment of the FD Government's Neutral Carbon Plan, and the District Determined Contribution (CDD), the approval of SEMA's eligibility by the National REDD+ Commission (CONAREDD+) to receive financial resources based on results-based payments for REDD+ . The project also supported the development of two sectoral plans: mobility and transportation plan (still to be approved) and low-carbon agriculture plan – ABC+ Plan. In addition, the Climate Act Regulation was approved in June 2022.

% of the 2020-2024 PluriAnnual Plan - PPA (in R\$) impacted by the adaptation and mitigation plans (target: 30%)	This was not the most suitable indicator to measure the achievement of outcomes as it could be difficult to measure during project lifetime. As the project reports mention: <i>"The target of the indicator is unfeasible because project started after the deadline for preparation of PPA 2020-2024..."</i>. Regarding the PPA 2024-2027, the following priorities are already identified by SEMA: SISDIA – Develop 2 additional modules and publish the FD ecological catalogue Agro-forestry – 2 campaigns to promote agro-forestry mechanized systems and CSAs Watersheds– develop the district level watershed revitalization plan Dumpsite – implementation of the district level solid waste management plan, following CITinova studies' conclusions and recommendations Citizen engagement – environmental education activities
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1.R A comprehensive evidence-based integrated and sustainable planning approach is adopted by Recife	
The project made a significant contribution to sustainable urban planning in Recife by developing various studies that support the city's sustainable development efforts. This included support for long-term strategies such as Recife 500 Years, sectoral adaptation plans, and housing policy studies. Regarding evidence-based sustainable planning, the development of the IMS was a key component of the initial project strategy. However, the project missed an opportunity to develop and deliver an IMS that aligned with municipal priorities. It is surprising that the software was developed without clearly defining the beneficiaries, as the municipality never recognized the IMS as useful. Given CITinova's connection to strategic projects such as the Capibaribe Park, the IMS could have been tailored to support this specific municipal initiative, but as it stands, this investment represents a missed opportunity. It is also important to acknowledge the citizen engagement approach employed throughout the interventions in Recife.	
% of decisions taken by the urban planning agency using the Integrated Management System (IMS) (target: MPT: 5%; EPT: 30%)	The indicator was poorly formulated, as assessing the percentage of political decisions influenced by the IMS is impractical. Additionally, the complexity of urban decision-making cannot be effectively captured by a single indicator. In Recife, ICPS and SEPLAGDT should have been involved from the outset in the design of the IMS, but this activity was never prioritized by the municipality. Changes

	in municipal departments following local elections added further complexity to the process. Consequently, the project supported the development of an IMS without clearly identifying the final beneficiaries and users.
The city development plan uses the results of the Housing Policy and Resilience Strategy (target: 100%)	The review of the Master Plan and the development of the Land Management Plan by the Recife Municipality was carried out before the finalization of the project products and therefore, the indicator was not the most suitable to measure outcome achievement. Nonetheless, the project made a significant contribution to public policy: Recife Sector Adaptation Plan had a significant influence on the municipality's environmental strategy. According to the different stakeholders, it was a highly participatory process engaging different municipal institutions and the civil society. The feasibility study on social housing and the studies on social interest properties were decisive to support the development of the municipal social rental housing public-private partnership. Moreover, the studies supported the municipality developing PRO-Morar, one of the biggest credit schemes in Latin America supporting urban social housing policy with a value of over USD 200 Million.

2.B. Investments from integrated and sustainable planning in Brasilia result in increased land sustainability, decreased dumpsite activities, and a framework for increasing energy efficiency in public buildings

The pilot investments in Brasilia had varied impacts. While collective co-generating solar systems have the potential to influence future public sector initiatives, other efforts, such as the agro-forestry systems for watershed restoration, were too small or were poorly monitored to consistently demonstrate effects that could inform territorial planning public policy or be replicated. Nonetheless, from the environmental perspective, the project's initiatives were relevant. Specifically, regarding the dumpsite, the project conducted highly pertinent pilot research, with results now informing the Federal District's decommissioning and restoration of the dumpsite area.	
% of the 179,660 hectares of the Descoberto and Paranoá watershed under the Sustainability Pact (target: 80%)	From the beginning, this indicator was not adequately defined. The target was set at 80%, but the project did not clearly specify what was meant by the Sustainability Pact. This target was not realistically considering the project timeline and structure. The project conducted

	a diagnosis of areas to be restored (covering 91,000 hectares) and selected 80 hectares for restoration efforts. While the diagnosis can support the Federal District in defining environmental public policy, the pilot initiatives were small-scale and did not allow for the collection of consistent data to inform future actions within the project timeline.
% of decrease in dumpsite activities (target: 75%)	The dumpsite decreased its activities by 53% according to SLU information, failing to reach the 75% reduction target but having a significant positive result. In 2023, the Estrutural city landfill received 1,485,884 tons of construction waste, with daily average of 4,070 tons/day during that year. The recycling volume amounted to 373,792 tons, which represents 25.1% of the total waste received. Therefore, the volume of shredded waste accounts for 74.9% of the total, amounting to 1,112,092 tons or 3,046 tons/day. In 2010 the waste volume was of 6,525 ton/day.
A legal framework to promote PV distributed power generation in public buildings ready for adoption (target: 1)	The target for this indicator was achieved. The legal framework for co-generating activities by different government institutions was prepared and was waiting for final signatures at the time of terminal evaluation. The project supported the installation of photovoltaic systems with a total capacity of 812,6 kWp (with the possibility of expansion in the future), providing power to 80 public buildings and representing savings of 185.000 USD / year. The legal framework was innovative and can be further used in other national cities.

2.R. Investments from integrated and sustainable planning in Recife result in the city agreeing to replicate the pilot projects

The pilot projects in Recife demonstrated tangible changes and served as an innovation laboratory, producing significant demonstration effects that can inform and influence public policies. The project outcome was not well formulated, as the goal of the pilots was not necessarily to replicate the interventions but to create demonstration effects that could guide the municipality towards sustainable planning. Nature-based solutions, such as the filtering gardens, played a crucial role in raising citizen awareness and promoting environmental education, even though they may not be easily replicable due to high investment costs or patent restrictions.

The most innovative pilots in Recife reinforced the Capibaribe Park municipal interventions, highlighting the river as a central element of urban planning. These pilot interventions acted as

microcells of activation, targeting the less advantaged margin of the river, unlike the broader Capibaribe Park project, which mainly focused on the more advantaged margin. This approach demonstrated a valuable spatial justice perspective. The pilot projects were fully integrated into the municipal strategy and provided relevant resources for its implementation.	
If the pilots prove successful, the city agrees to replicate them (target: Letter of intent covering any or all of the successful pilots)	The target for this indicator was the existence of a letter of intent from the municipality demonstrating the will to invest in the replication of successful pilots. As mentioned in the MTR report: "There are multiple pilots in Recife such as the filtering gardens, solar boats, emission monitoring station. Their realization is not a straightforward conclusion that integrated and sustainable planning are being adopted and implemented in Recife. The time for these pilots to be realized and feed-in into the municipal policy will take much longer than originally anticipated". The municipality invested in bike lanes and submitted a letter of intention recognizing the project investments and committing to build the pedestrian bridges based on the studies developed. The total investment cost will be around USD 16 Million, much higher than the USD 4,000,000 initially indicated by the project. Regarding the interventions in Caiara and Vila Vintém, the municipality is assuming the maintenance of these public infrastructures. The maintenance of the filtering gardens is still being assumed by ARIES. There is no official commitment to replicate the pilot interventions, but the municipality is designing interventions using nature-based solutions, inspired by the filtering gardens initiative.

3. The National Platform for Sustainable Cities promotes the tested integrated and sustainable planning solutions to up to 300 Brazilian cities, as the reference for integrated urban planning

The initial targets and indicators were not suitable for monitoring this outcome achievement. However, it is important to acknowledge that the project had a highly relevant role in fostering a culture of sustainable development in the country. SCP and SCIO did not have a robust coordination and the linkage between knowledge platforms and components 1 and 2 was almost absent, with the exception of project coordination meetings and events. There was not a common agenda in place. One of the drivers related to outcome 3 was that knowledge solutions and best practices are available for executives and policy makers of local, state and federal level. This was not entirely achieved which limited a more consistent achievement of the outcome.

The project made a significant contribution for the municipalization of SDGs in Brazil and it gave SCP a greater outreach. The 304 signatory cities prove this but there is a need to assess the effective commitment of cities and the passage from being a SCP signatory to effective and long-term sustainability policies. At this level it is important to mention that 216 of the SCP signatories are small cities. Only 29 of them are currently providing minimum information requirement on SCP indicators. The situation is the same for medium-sized cities (69) from which only 18 are providing the minimum information required. Another relevant indicator is the fact that only 60 of the signatory cities have developed goal plans but this demonstrated that this is a long process that requires further actions to mobilize and provide resources and technical assistance to the municipalities. The Sustainability Index is also a very powerful advocacy instrument that can illustrate current level of different indicators at national level and compare cities, allowing for decision makers to take action based on the provided information. Regarding SCIO, an interesting database was developed, offering a long list of solutions to inspire municipalities. While the platform is scientifically robust, its outreach is limited because connections with municipal decision-makers and managers are still in the early stages. CGEE did not have the profile to work directly with municipalities, and this engagement was not established at the project's outset. Moreover, it is important to mention that innovative ideas are not always a best practice and there is a need to adapt tools to the reality and capacities of final beneficiaries.	
# of city policy recommendations found relevant by Federal Ministries	This indicator was inadequate. Assessing the number of policy recommendations deemed relevant by the federal ministries is not feasible. Additionally, political changes, including the replacement of the Ministry of Cities with the Ministry of Regional Development (from 2018 to 2022) and the re-establishment of the Ministry of Cities in 2023, hindered the creation of the necessary political integration for the project implemented by MCTI with the ministries responsible for Urban Planning and the Environment. Nonetheless, it is important to acknowledge that the project allowed to reinforce the urban agenda within MCTI and the integration with relevant Ministries is now being implemented in CITInova 2.
# of solutions identified by Sustainable City Innovation Observatory (SCIO), applied by Brasília and Recife	The target for this indicator was to have four solutions identified and tested. The initial idea of having SCIO inform pilot interventions in Brasília and Recife was not implemented. SCIO assessed 20 solutions for potential applications, but this was done after the pilot selection and with limited engagement from the municipalities and implementing partners in Recife and Brasília. As a result, it became an artificial exercise with no relevant outcomes for the project.,

# of cities looking in SCIO and National Platform for solutions to their planning and investment related problems	This indicator is not the most suitable for assessing outcome achievement. While it is possible to evaluate the engagement of some Brazilian municipalities working with SCP and to assess the outreach of SCP and SCIO through various events and training sessions, the lack of a login mechanism for SCIO prevents robust data collection on platform usage. More robust technical assistance and resource provision to municipalities would be needed to establish a direct relationship between access to these knowledge platforms and sustainable investments in cities. Nevertheless, the availability of information is valuable in itself.
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Rating for Achievement of Project Outcomes: Satisfactory

5.4.3 Likelihood of Impact

188. The project was overly segmented into four parts, with each partner implementing different agendas. Although the project promoted various coordination mechanisms, the segments lacked the necessary connection to consistently achieve intermediate states of impact. The most evident weakness in this connection was between the knowledge platforms and the interventions in Brasilia and Recife. While some relevant information from the pilot interventions was included in SCIO, the idea of using these platforms to inform the interventions in Brasilia and Recife was not achieved. Regarding the scaling up of interventions in Brasilia and Recife to other Brazilian cities, achieving this during the project's lifetime was always going to be challenging. Additionally, the institutional context and changes in political decision-makers at the federal level added complexity to an already complex situation. For this to happen, an institutional coordination mechanism including MCTI, the Ministry of Cities (or the Ministry of Regional Development) and the Ministry of Environment should have been established and it was not. The more favorable current political institutional context and the fact that MCTI is now member of the National Cities Council can support a better coordination between relevant national level stakeholders in Citinova II. The MCTI is also part of the "Green and Resilient Cities Program", together with the Ministry of Environment and the Ministry of Cities and CITinova made a significant contribution for the reinforcement of this sustainability agenda within the MCTI.

189. As previously mentioned, some of the ToC assumptions did not materialize consistently as they are related to long-term processes. The most relevant are:

a3) SCP and SCIO are well articulated, and funding is acquired for further expansion of both functions of the Knowledge Platform, generating advocacy for change. The project leveraged the SCP and this platform is continuing its advocacy role with the support of different partners. Nonetheless, the SCIO is still in its initial stage of maturation and will need to reinforce its capacity to connect with the municipalities. At this level, the connection between both platforms was not strategically achieved, as they have different purposes, and the implementation agencies have different profiles and objectives.

a4) Project outcomes are mainstreamed across government structures for integrated public policy. The project promoted relevant events and project partners participated in

national level conferences and workshops disseminating project results. The institutional context and the constant changes in decision making government structures at national and local level represents a serious constraint in this mainstreaming process. The project had a relevant contribution at this level but there is a need to build on the project experience and lessons learned in the upcoming years.,

a6) There is a political alignment between the local, state and federal levels of government. As mentioned before, the project was implemented during a complex period when the climate agenda was not a priority of the national government. Therefore, the institutional framework was not the best one to consistently achieve project outcomes and intermediate states. Nonetheless, the project had a relevant contribution fostering a culture of urban sustainable development in the country.

190. It is also important to assess whether the ToC drivers held:

d1) The users of the information products (including SISDIA, IMS, the enhanced knowledge platform, and SCIO) were involved in their development and therefore perceived them as useful. SISDIA and SCP demonstrated strong engagement of final beneficiaries in their development process. However, the IMS in Recife and SCIO faced development problems, leading to the IMS not being perceived as useful by the Recife Municipality and SCIO not reaching the municipal level in a consistent manner.

d2) Knowledge, solutions and best practice are available for executives and policy makers of local, state and Federal governments. Best practices and innovative solutions are not always translated into realistic and affordable solutions to the Brazilian Municipalities. The project has developed relevant sources of information demonstrating innovative ideas for sustainable urban development but there would be a need to provide resources (d5) and technical assistance to support Brazilian municipalities, reinforcing the stronger advocacy capacity promoted by the SCP (d4) and these were not secured as part of the project.

d3) Pilot projects convincingly demonstrate the changes to low carbon sustainability. The pilot projects were relevant and fulfilled the role of demonstrating the benefits and possibilities of using nature-based solutions to address urban development problems. This demonstration effect was related to the availability of funds (d5) to apply to urban innovation addressing sustainability and this is one of the most important aspects to inform future interventions.

Analysis of the intermediate states defined at inception and included in the reconstructed ToC

191. Greater institutional collaboration between local technical institutions and departments – The project made a significant contribution by fostering strong connections between municipal departments and technical institutions through the processes developed under components 1 and 2. In Brasilia, the establishment of a local technical committee improved dialogue between the parties. In Recife, the collaboration between ARIES and the Municipality worked smoothly, despite the absence of a local coordination or steering committee. Such a committee could have been helpful in defining strategies for incorporating the IMS into municipal priorities. However, institutional and political changes once again affected project implementation. This intermediate state was achieved.

192. Mayors and city legislators commit to sustainable cities principles and adopt legally bound sustainable urban plans. The project leveraged the SCP which now reaches more than 300 cities as program signatories. There is need to assess the movement from being a SCP signatory to effective commitments towards sustainability. Currently 60 cities have developed goal plans which represent a strong political commitment, but this needs to be monitored in the future. SCP reinforced its capacity to do it and CITinova had a decisive role at this level. This intermediate state was partially achieved.

193. Cities development plans are informed by IMS, citizen engagement and evidence collected by thematic research and studies. SISDIA is an open platform being used for urban planning and Brasilia and that is accessible to all the citizens. On the contrary, the IMS in Recife was not delivered as it was not seen as useful by the municipality. This intermediate state was partially achieved.

194. Nature-based solutions, renewable energy, green technologies and carbon neutral solutions are mainstreamed in government and scaled-up in local, state and national levels. The project supported relevant pilot investments and knowledge platforms are important tools to collect and share good practices that can inform public policy. Nonetheless, this is a long-term process that needs strong institutional coordination. Considering the Brazilian political and institutional context, the project made a relevant contribution. This intermediate state was partially achieved.

195. Resilient territorial land use and food security are enhanced. The pilot interventions in Brasilia, in the promotion of agro-forestry production systems had a symbolic role as they were small scale activities. There is no robust information about the results of the pilot project but from an environmental and activist perspective, they are relevant activities to demonstrate the need for a better balance between territorial development and environmental preservation. However, to scale up and inform public policies, better monitoring processes would be decisive. This intermediate state has not been reached,

196. Pilot investments improve the quality of live for local citizens and use of public spaces by women and children. The interventions in Capibaribe river in Recife made a highly relevant contribution towards enhancing the quality of life of local citizens. These interventions complemented an ongoing strategic municipal project and allowed this program to benefit least advantaged communities, namely in the Caiara Park. At this level, the project made a relevant contribution to putting spatial justice at the core of the urban policy agenda in Recife. This intermediate state was achieved.

Rating for Likelihood of Impact: Moderately Likely

Rating for Effectiveness: Satisfactory

5.5 Financial Management

5.5.1 Adherence to UNEP's Financial Policies and Procedures

197. The project's adherence to UNEP's Financial Policies and Procedures was satisfactory. The evaluation team was not made aware of any delays in the availability of funds that had any impact on project implementation. Project implementation partners had made budgetary adjustments during the project lifetime, demonstrating a good adaptative management capacity. All these adjustments were approved by UNEP and were needed to implement the project strategy. Regular analysis of expenditure by each partner were made available during

the terminal evaluation. All the final expenditure reports (from each partner) were made available during the terminal evaluation with the exception of UNEP's financial maps. Moreover, the approval of expenditures related to positive budgetary balances near the end of the project, were not clearly included in the project budget by component. Evidence of timely approval and disbursement of cash advances to partners, project expenditures and budget revisions were provided during project evaluation.

198. The CGEE audits revealed issues regarding the financial administration of this partner, which were resolved in the final year of project implementation. However, some expenses were included in the budget only after they had already been incurred. The audits identified problems such as incomplete adoption of accounting practices prescribed for nonprofit entities in Brazil, documentation non-compliance, insufficient linkage of project-related expenses, and absence of information and internal controls for financial reconciliations.

199. Additionally, a 5% tax imposed by the Government of the Federal District of Brasilia was charged on the entire budget of CGEE + SEMA, totaling over USD 500,000, which was not accounted for in the initial budget. This led to a budget revision and underscores the importance of identifying this issue at the design stage of future projects.

200. These problems were focused on CGEE and did not affect other implementing partners as they were not located in the Federal District of Brasilia. Moreover, CGEE carried out extensive work to organize the project accounts and the final audits had positive results.

Rating for Adherence to UNEP's Financial Policies and Procedures: Satisfactory

5.5.2 Completeness of Financial Information

201. Most of the required financial information was made available during the terminal evaluation. This included overall project budget, project expenditure sheets, reports on co-financing, audit reports, inventory of equipment and transfer of assets, project cooperation agreements. At the time of the terminal evaluation, only UNEP Brazil's final financial execution sheets were not made available. Although all the expenditures from all the implementation partners were made available, the project did not have systematized information on expenditure by project component with some approved expenditures not being allocated to any of the project components in the financial sheets provided.

Rating for Completeness of Financial Information: Satisfactory

5.5.3 Communication Between Finance and Project Management Staff

202. Evidence resulting from project management documentation and interviews with key staff suggests that the project manager has strong awareness of the current financial status of project and the financial staff had awareness of overall project progress. During the terminal evaluation it was possible to determine that there was regular contact between project technical and financial staff. Considering the high turnover during the project implementation period, it was not possible to determine if this adequate communication was always in place. It was however possible to determine that technical and financial staff worked together in resolving financial issues and that all the technical and financial reports were usually revised by the relevant staff members prior to submission

Rating for Communication Between Finance and Project Management Staff: Satisfactory

Table 11: Financial Management Assessment Table

Financial management components:		Rating	Evidence/ Comments
1. Adherence to UNEP's/GEF's policies and procedures:		S	
Any evidence that indicates shortcomings in the project's adherence ¹⁰ to UNEP or donor policies, procedures or rules		No	There is evidence of a satisfactory adherence to UNEP procedures. The CGEE audits revealed issues regarding the financial administration. The audits identified problems such as incomplete adoption of accounting practices prescribed for nonprofit entities in Brazil, documentation non-compliance, insufficient linkage of project-related expenses, and absence of information and internal controls for financial reconciliations. Additionally, a 5% tax was charged on the entire budget of CGEE + SEMA, totalling over \$500,000 USD, which was not accounted for in the initial budget. No problems regarding the remaining partners financial execution.
Was first disbursement carried out within 9 months of UNEP's project approval date.		No	The project was approved in January 2017, the agreement with the Brazilian Foreign Ministry/Brazilian Cooperation Agency and MCTI was signed in March 2017 and first disbursements to implementation partners were made in April / May 2018.
2. Completeness of project financial information¹¹:			
Provision of key documents to the evaluator (based on the responses to A-H below)		S	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	All the requested information was provided.
B.	Revisions to the budget	Yes	All project revisions were made available.
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	All legal agreements with partners were made available.
D.	Proof of fund transfers	No	Not requested by the evaluator as no issues on transfer of funds were raised.
E.	Proof of co-financing (cash and in-kind)	Yes	Relevant information was made available.
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	Expenditure tables by component were not completed.
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	Yes	Copies of all audit and management responses made available
H.	Any other financial information that was required for this project (list):	N/A	

¹⁰ If the evaluation raises concerns over adherence with policies or standard procedures, a recommendation maybe given to cover the topic in an upcoming audit, or similar financial oversight exercise.

¹¹ See also document 'Criterion Rating Description' for reference

3. Communication between finance and project management staff	S	
Project Manager and/or Task Manager's level of awareness of the project's financial status.	HS	Good understanding of the financial status of project implementation.
Fund Management Officer's knowledge of project progress/status when disbursements are done.	S	Consistent understanding of progress status by the FMO.
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.	S	No evidence of problems in the articulation between technical and financial staff.
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.	S	
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process	HS	FMO was always available to provide requested information during the evaluation process.
Overall rating	S	

Rating for Financial Management: Satisfactory

5.6 Efficiency

203. The project had one no cost extension of 18 months from April 2022 to October 2023. This was justified by the impacts of COVID-19 and the need to conclude some of the most relevant infrastructure works and to recover some delays in implementation. As illustrated in the graph below, a significant percentage of the project budget was spent during this period:

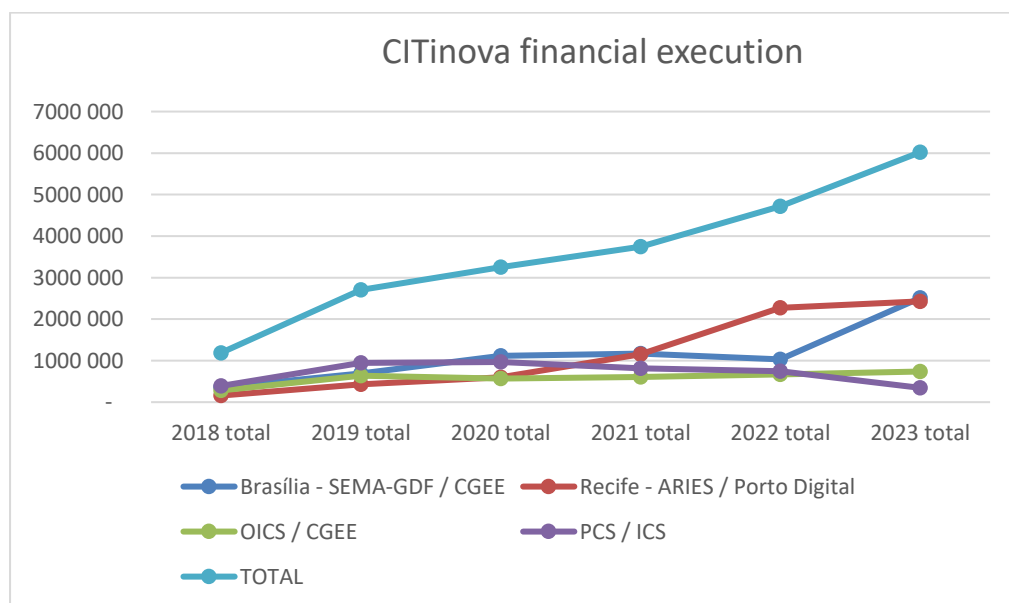


Figure 14: Financial Execution During the Project Lifetime

204. Justified amendments to the formally approved results framework were also made during the project lifetime and these amendments were approved as required. Nonetheless, project efficiency was one of the most critical elements of project implementation. Project delays and inefficiency were mainly due to: i) An implementation model that required high operational and coordination costs. The decentralized implementation model allowed the project to reach different cities, to mobilize a vast number of stakeholders and demonstrated a good deliverable capacity. Nonetheless, this model required a large number of coordination and management staff and a relevant investment in coordination meetings including travel and events; ii) Continuing institutional changes at central and local government levels, including due to Federal, state and local elections, and also in implementing partners such as CGEE also contributed to some delays and inefficiencies in the project management; iii) The COVID-19 pandemic also affected project implementation. At this level, the implementation partners were asked to develop adaptation plans and managed to continue their activities; iv) Coordination mechanisms were in place, but staff turnover and institutional changes hindered project efficiency. These changes affected the project's strategic direction and operational effectiveness. v) The administrative burden adding to delays in implementation led to the partners to be focused on delivering their outputs and in this context, it was not simple to build a common understanding and a common path for project activities.

Cost-effectiveness

205. There are some specific activities that were not fully thought through and that reduced the project's cost-effectiveness ratio. One clear example is the development of IMS in Recife. The final beneficiaries and users of the platform should have been clearly identified prior to the development of the system. Without this, the investment is questionable. Another example is the technical assistance provided by Deloitte to develop a monitoring system in Recife. Despite the quality of the work, ARIES never implemented this monitoring framework.

206. A particularly questionable investment in terms of cost-effectiveness is the SCIO platform. While the platform has undeniable merits, its high cost, does not align with its current operational status and reach. Institutional changes in CGEE and high turnover in CGEE staff, including the IT development team, led to high development costs for this knowledge platform, according to stakeholder interviews. The final expenditure report from CGEE lists 38 staff members and consultants as having contributed to the establishment of SCIO, with combined fees of over USD 2.7 million over the project's 5-year period. As previously mentioned, SCIO was well developed but it has not been used to inform the interventions in Brasilia and Recife, as planned. In Brasilia, the investment in agro-forestry machinery, presented as a pilot innovation, has yet to prove its value. It was only used at the project launch and has not been in use since 2022.

Coordination mechanisms and stakeholder engagement

207. Regarding coordination mechanisms, MCTI did not develop a steering committee engaging the Ministry of Cities / Ministry of Regional Development or the Ministry of Environment. This is somehow understandable in the institutional and political context at the time of project implementation but explains some difficulties in promoting synergies in a political period where the sustainability agenda was not a national priority.

208. The project tested various implementation models that warrant analysis, as they contributed to both efficiencies and inefficiencies.

209. In Recife, the project was implemented by ARIES, a start-up social organization with a social contract with the municipality. The municipality is one of ARIES's founders, and this implementation model allowed for greater flexibility in project management. Leveraging ARIES as one of the municipality's strategic partners is one of the project's most significant achievements as today ARIES has an institutional experience and expertise that turns this institution in a strategic partner for the municipality. While choosing an implementation partner outside the official municipal structure allowed for a more flexible project management approach and greater efficiency in project management, it also brought challenges. First of all, the need for strong coordination between ARIES and the municipality structures, namely, with ICPS (the urban planning institute in Recife) and SEPLAGDT (the city strategic planning secretariat). In the absence of a formal local technical committee, coordination was handled more informally. While ARIES proved capable of successfully implementing the project, this approach posed challenges and led to missed opportunities. This setup also resulted in a slow start to the activities in Recife due to ARIES being a fledgling organization. Nonetheless, overall, ARIES engaged municipal institutions very well and most of these risks were minimized.

210. It's worth noting that, although well integrated with the municipal strategic priorities and the Capibaribe Park project, there were missed opportunities in the project implementation. Capibaribe Park was designed by INCITI, a research center from the Federal University of Pernambuco focused on urban innovation. During this process, a consistent citizen engagement process was developed, priority actions were mapped, and monitoring and evaluation tools were created. While INCITI was engaged in the initial stages of CITInova, its participation was limited. The selection of additional service providers for activities such as the pedestrian bridges open competition, the selection of sites for the pedestrian bridges, and the impact assessment of the pilot interventions could have been much stronger with greater INCITI involvement. Internal disagreements within INCITI led to a separation of researchers, with only some continuing to work with the municipality outside of INCITI's institutional framework. Nevertheless, some of the methodological work from the original project could have been scaled up as development projects should reinforce existing processes and contribute to their sustainability. At this level, the project approach was not the most efficient.

211. In Brasilia, the project was implemented by SEMA. Although a local technical committee with the engagement of numerous relevant institutions was established, a higher-level coordination mechanism could have been implemented to better facilitate the follow-up of strategies. This includes those stemming from the plan for emission mitigation in the transport sector and the coordination between SISDIA and Geoportal, a georeferenced information system managed by SEDUH. This would greatly facilitate the project coordination and decision-making as SEMA, being focused on environmental issues, does not have the responsibility to implement some of the results coming from the project.

212. The engagement of institutional partners such as SEAGRI and EMATER followed a service provider logic rather than an institutional partnership approach. This strategy limited the project's ability to develop robust support for local producers and hindered the implementation of a strong pilot project with agro-forestry mechanized systems. Prioritizing external providers over relevant public institutions was not always the best option during project implementation.

Project management

213. Regarding the administrative and financial management in Brasilia, it's important to mention that SEMA was affected by problems with the CGEE management. CGEE did not have the institutional profile to administratively manage SEMA's activities, and this led to delays and inefficiencies that include financial and audit problems.

214. Regarding the knowledge platforms, SCIO had relevant objectives and produced a valuable research tool but failed to reach its final beneficiaries and had a problematic cost-benefit ratio. The project invested USD 3.5 million in this platform, but most of the CGEE staff during the project focused on IT development, lacking a robust team with an institutional focus on municipal decision-makers. According to stakeholder interviews and CGEE's final expenditure report, three consultant positions that were planned to build "the capacity of city managers to use SCIO", "promote the dissemination of SCIO with city managers", and "support meetings and capacity-building workshops with city managers" were never filled. This led to the creation of an academic database that still needs adaptation to be effectively used by municipalities.

215. Throughout the process, CGEE experienced significant turnover, with four coordinators, four supervisors, various IT development teams, and different approaches, all of which impacted project implementation and efficiency. Some of the most innovative aspects of SCIO, such as the multilevel ranking for identifying innovative solutions for different territorial profiles, were not included in the final version of the platform. Additionally, without a technical assistance structure to guide municipalities in using SCIO, questions remain about the platform's future usage. The project developed a ranking system with solutions theoretically adapted to Brasilia and Recife. This process was only made after the pilots were already identified and during the terminal evaluation, the teams from ARIES and SEMA did not demonstrate knowledge of this process. This is one additional example of a questionable cost-benefit ratio with some of the project activities.

216. Although the above-mentioned problems with project efficiency in some specific components or activities, the project had an overall implementation that can be considered as moderately satisfactory. The knowledge platforms (SCP and SCIO) participated in a series of national events, creating synergies with various other interventions and programs and, at this level, they promoted an efficient level of resources.

Rating for Efficiency: Moderately Satisfactory

5.7 Monitoring and Reporting

5.7.1 Monitoring Design and Budgeting

217. Although the project regularly reported the status of each indicator in the Progress Implementation Reports, a robust monitoring plan shared by all implementation partners was lacking (including data collection methods and data collection frequency protocols). Project monitoring was the responsibility of the project manager and project assistant, who coordinated with the implementation partners to collect the required information. As mentioned in the effectiveness section, some proposed indicators were not the most suitable for measuring project outcomes. Despite these challenges, the project maintained a consistent database of all deliverables and outputs resulting from the implementation.

218. Given that the outcome indicators were not the most suitable, a revision of the project's results framework should have been undertaken. This would have allowed for a better understanding of the project's effects across its different components. Moreover, the project results framework did not include clear indicators and targets on outputs, focusing only on outcomes.

219. At mid-term, the project decided to implement a project management reinforcement plan. According to the MTR report, "the project management reinforcement plan helped to strengthen monitoring and reporting and triggered the preparation of a monitoring plan with indicators derived from the CEO endorsement... Regular monthly meetings with all partners, teams, and coordinators helped keep monitoring active and responsive to externalities." The terminal evaluation confirmed the existence of coordination and monitoring mechanisms. However, these measures did not resolve the original problems in the design of the monitoring system. The absence of a dedicated monitoring and evaluation officer resulted in the monitoring system primarily collecting information from each partner to update the results framework, rather than addressing systemic issues in its design.

220. Additionally, as part of the reinforcement plan, a service provider was contracted to develop a monitoring plan for ARIES and SEMA (assessment was only possible for the proposals to ARIES/Recife). This work provided a thorough assessment and review of the project indicators and proposed methodologies and a work plan for implementation. Unfortunately, ARIES never implemented this investment from the project.

221. Regarding the initial project results framework, the indicators were not disaggregated by relevant stakeholder groups or disadvantaged groups, and no gender-specific indicators were developed.

222. The initial project document included a specific budget for M&E activities, but this was likely reduced due to challenges associated with the dispersion of project activities and implementing partners.

Rating for Monitoring Design and Budgeting: Moderately Unsatisfactory

5.7.2 Monitoring of Project Implementation

223. The project management faced challenges due to high turnover at the coordination level and within the MCTI national direction. The reinforcement plan adopted in mid-2020 increased the staff allocated to project management across the various implementation partners and the project coordination team. This led to an improved capacity to implement and monitor project results.

224. However, the project monitoring structure was significantly affected by weaknesses in the results framework, which did not accurately reflect the project's theory of change. It is also important to note that the project monitoring was primarily focused on deliverables and outputs rather than on outcomes. At this level, the project developed robust information and evidence on outputs achievement. On the contrary, some indicators were either not measurable or not suitable for assessing project outcomes and this it was not possible to collect adequate data during project implementation. The complexity of the project and its territorial dispersion made this balance between output and outcome monitoring difficult since the project design.

225. In Recife, as mentioned previously, the decision not to implement the robust monitoring plan proposed by Deloitte is difficult to understand. Project delays and the need for ARIES to prioritize deliverables over outcome measurement may provide some insight into this decision. ARIES conducted a final impact assessment covering the interventions in Component 2 in Caiara and Vila Vintém, as well as other interventions under the Capibaribe Park project. This was a valuable process, but it only provided information on specific activities without comparing them to a baseline.

226. Nonetheless, this effort demonstrates ARIES' commitment to assessing project impacts, although most of the evaluation criteria do not align with the project results framework. This misalignment highlights the framework's weakness, which was overly focused on outputs and deliverables rather than on changes and outcomes resulting from pilot investments and impacts on beneficiary communities. The impact assessment conducted by ARIES is a valuable attempt to collect relevant information at this level. However, it would have been more beneficial to test instruments such as the well-being index previously developed by INCITI to measure the effects of the Capibaribe Park project. This strategic municipal project needs to develop a minimum set of monitoring indicators to inform the next stages of intervention. At this level, there was a missed opportunity to build sustainable monitoring instruments for the city.

227. In Brasilia, the pilot interventions in mechanized agro-forestry systems and watershed preservation also faced limitations in collecting outcome indicators. While there is adequate information to report on project indicators, there is insufficient data to assess the effects of some project interventions and inform public policy decisions. The limited engagement of key governmental institutions such as SEAGRI and EMATER, due to some pilots being implemented by service providers, further constrained outcomes monitoring. Conversely, SISDIA has robust information on access and other key indicators, which not only inform project impacts but also support territorial planning processes.

228. Regarding the knowledge platforms, monitoring outcomes is challenging because they primarily function as advocacy and learning tools. SCP, as a mature program, has a better capacity to monitor the effects of its interventions. In contrast, SCIO is in the initial stages and lacks the structure needed to effectively monitor platform outcomes.

229. In summary, the project collected robust data on implementation, primarily focusing on outputs and deliverables. However, outcome monitoring was more complex and fragile due to weaknesses in the results framework and the absence of monitoring structures among the implementation partners. Additionally, the lack of baselines posed significant limitations. While Component 1 activities were mainly institutional, the pilot investments would have required baselines to effectively monitor the interventions' effects.

230. Regarding GEF Core Indicators reporting, the project achieved its targets for improved management of landscapes and seascapes (1,428 hectares reported) and areas under sustainable use management (80 hectares). Both indicators relate to watershed management and agroforestry in Brasília, which are small-scale activities that should not be presented as large areas under improved management. The indicator of 3,872,710 metric tons of CO₂ mitigated cannot be assessed. Although the project contributed to enhancing climate agendas in Recife and Brasília and promoted investments in clean energy and green mobility that will surely have future impacts, there was no robust assessment for this indicator. The progress implementation reports included information on each GEF core indicator, but they

cannot be used as a project monitoring tool as they are the most suitable to monitor project progress and achievements.

Rating for Monitoring of Project Implementation: Moderately Satisfactory

5.7.3 Project Reporting

231. The project provides comprehensive and high-quality documentation of its implementation, with progress reports developed on time. Communication between UNEP, MCTI, and implementation partners was highly satisfactory despite the institutional changes and staff turnover that occasionally hindered project implementation.

232. While some project indicators were not the most suitable, the project reports consistently presented adequate and detailed information on each component. In addition to implementation reports, the project produced a significant number of knowledge management publications detailing the processes involved in implementing project activities. SEMA and ARIES produced high-quality publications, with ARIES developing a web repository to house all project-related materials. MCTI also published a final report on CITInova, summarizing the experience and disseminating lessons learned.

233. Although more information and disaggregated data on some pilot investment indicators would have been desirable, the project reporting was as detailed as possible given the available information. Additionally, there was a commendable focus on data transparency throughout the project.

Rating for Project Reporting: Satisfactory

Rating for Monitoring and Reporting: Moderately Satisfactory

5.8 Sustainability

5.8.1 Socio-political Sustainability

234. The project outcomes are strongly embedded in the sustainable development goals and Brazil's urban development strategies. The project made significant contributions in areas such as low carbon development, climate change adaptation and mitigation, sustainable urban development, and resilient cities. The incorporation of CITInova as a strategic program by the MCTI ensures that the guiding principles of the project will continue to be implemented by this relevant Ministry. However, it is important to acknowledge that political instability could shift the political context and deprioritize sustainable development and climate change agendas in future governments. Despite this, the project's achievements and contributions to the political agenda are strongly embedded in government institutions at various levels, and it successfully mobilized citizens and civil society organizations to continue advocacy actions towards sustainable urban development. In this context, the role of the SCP will remain crucial.

235. The engagement of civil society in activities in Brasília and Recife was decisive in shaping better public policies. Additionally, the participatory approach promoted by the implementation partners significantly enhanced social participation in decision-making. Almost all project outputs under Component 1 have been integrated into municipal public policies and are undergoing follow-up actions.

236. At the political level, it is important to acknowledge that the Brazilian reality does not favor long-term sustainable development strategies. Regular elections at federal and local

levels often lead to short governance cycles and significant institutional changes in municipal governance structures. Additionally, as demonstrated during the project, changes at the national government level can hinder synergies between relevant ministries. This is particularly relevant because the management of territorial policies and institutional coordination with subnational governments are not part of the MCTI's operational agenda and there's a need to coordinate and create synergies with the Ministry of Cities (of the former Ministry of Regional Development).

237. As mentioned in the MTR report: *"This is a structural problem that ought to be recognized at the project design phase and can be addressed through active management and institutional arrangements for greater integration and collaboration between the line ministry responsible for urban development."* The MTR report also highlighted this political instability and its impacts on project sustainability, exemplified by the dissolution of the National Commission for Sustainable Development (CNODS) in 2019, known popularly as the SDG Commission.

238. The project demonstrated the potential for sustainably reinforcing urban development public policies by providing technical and financial resources for pilot initiatives and by mobilizing technical expertise to support local governments in developing evidence-based urban planning policies. At the same time, it also highlighted the limitations imposed by political instability on project implementation and political sustainability.

239. At the local level, the actions in Recife and Brasilia were totally integrated into the municipal priorities and have significantly contributed to the ongoing sustainability and climate adaptation political agendas.

Rating for Socio-political Sustainability: Moderately Likely

5.8.2 Financial Sustainability

240. The project financial sustainability analysis must be disaggregated by component and implementation partner:

Component 1 – Evidence-based urban planning

241. In Brasilia, the project was technically implemented by SEMA and was fully integrated in the government institutional framework. One of the most innovative achievements of the project was the successful implementation of SISDIA, the District Environmental Information System. The initial investment was supported by the project, but the government already supported the investment of SISDIA's situation room and in some equipment. Moreover, all the staff working in SISDIA are governmental staff. The operational costs are currently being supported by SEMA's annual budget and the renewal of software licenses will require additional investments. Nonetheless, considering the relevance of this territorial planning tool, it is expected that all the operational costs will continue to be supported by SEMA's budget. At this level, it's relevant to mention the capacity of this system to improve the daily work of the Federal District Institutions and their capacity to promote better public management including better capacity to promote environmental licensing and collect related taxes.

242. Also in Brasilia, regarding the climate change studies and plans, it is important to mention the approval of SEMA's eligibility by the National REDD+ Commission (CONAREDD+) to receive financial resources based on results-based-payments. This will allow to continue developing climate change pilot initiatives in Brasilia. The project also supported the development of sectoral adaptation plans, one related to low-carbon agriculture (already

approved) and the other related to mobility and transportation plan (this one due to institutional changes was currently being discussed with the new leadership from the mobility department).

243. In Recife, the IMS was not delivered to the municipality as described in previous sections. This can result in technical and financial unsustainability, reflecting a missed opportunity and a methodological failure in developing this planning tool without clearly defining its objectives and final users. However, the various studies promoted by the project have informed public policy and provided valuable information for new municipal programs. For example, the feasibility study on social housing and the studies and proposals for regulating social interest properties have significantly contributed to municipal planning. Additionally, the study on the carbon market was completed, though it demonstrated the infeasibility of the municipality accessing the carbon market independently, highlighting the need for a broader, metropolitan approach.

Component 2 – Pilot Investments

244. Regarding the pilot investments in Brasília, the project supported relevant studies that generated remediation proposals and economic analyses for the reutilization of waste. These proposals are scheduled for implementation in 2026, the date set for the complete closure of the dumpsite, which is currently only receiving construction waste.

245. Watershed management and recovery, mechanized agro-forestry, and CSA (community-supported agriculture) activities are included in SEMA's pluriannual plan. Within the project, small-scale pilot activities were implemented, and SEMA is committed to continuing the dissemination of these interventions. It would be beneficial to have robust data on the results of these experiments to effectively support public policy.

246. Regarding the solar energy pilots, they will be self-sustaining as the project's investment of around USD 1,000,000 in solar energy infrastructure is expected to generate annual savings of USD 180,000 for the 80 public beneficiary buildings. The maintenance costs will be supported by SEMA and the consortium members, which consist of public institutions.

247. In Recife, the pilot interventions in the Capibaribe River were delivered to the municipality as part of the Capibaribe Park project. The municipal services are ensuring the maintenance of the infrastructures. Regarding the filtering gardens and meteorological stations, ARIES is still supporting the maintenance costs under its contract with the municipality. The pedestrian bridges are expected to undergo their first public procurement process in 2024, according to Capibaribe Park staff.

Component 3 – Knowledge platforms

248. The SCP is fully embedded in the corporate strategy and mission of its host institution, ICS. It is central to the institute's operations and normative activities, effectively mobilizing its administration and human resources. The project has provided an opportunity to leverage SCP's capacity to engage local governments across Brazil and increase the number of cities involved in the program. Additionally, SCP demonstrates a high capacity to mobilize national and international partners to fund their operations, securing significant support from new projects financed by the European Union and other public and private donors. Although reliant on a continuous flow of financial support, like any civil society organization, SCP and ICS exhibit a strong capacity for resource mobilization. A highly relevant partnership with Caixa

Económica Federal, the most relevant public bank in Brazil, was signed in 2024. The central objective of the agreement is to provide strategic information related to collecting, analysing, interpreting and making available data on the SDGs, to create customized indices to monitor municipalities' compliance with the SDGs, to train the bank managers on the Sustainable Development Index for Cities (IDSC-BR) and to monitor the results of financing provided by Caixa to municipalities. Considering the relevance of this financial institution to the Brazilian Municipalities, this partnership is highly relevant.

249. The sustainability of SCIO will depend on the role that CGEE and MCTI define for the platform. In 2024, MCTI, the main donor for CGEE, provided around \$100,000 to SCIO. This funding will cover the minimum maintenance of the system and some outreach events by the sole human resource currently allocated to the platform. A greater capacity to leverage SCIO and align it more closely with the realities and needs of municipalities would require a larger investment. Additionally, updating the solutions included in the platform will necessitate significant additional investments. Given the uncertainties about SCIO's future, it is not possible to positively assess its financial sustainability, even considering the current support from MCTI.

Rating for Financial Sustainability: Likely

5.8.3 Institutional Sustainability

250. In Brasilia and Recife, the project was fully implemented by government-level institutions (SEMA) or civil society organizations with institutional links to governmental bodies (ARIES). This approach ensured a good integration of the project's activities and results into the institutional governance of each project component.

251. In Brasília, the project was implemented by SEMA's staff with the support of technical assistance and consultants to reinforce institutional capacities. The project facilitated institutional coordination with other relevant district-level departments through the local technical committee and SISDIA activities. Although the technical committee was discontinued after project completion, the project strengthened territorial planning instruments that require institutional coordination at various levels. In this context, SISDIA represents the fulfilment of an instrument outlined in the District-level ZEE law. Currently, SISDIA includes data from 24 different institutions and is integrated into the Metadata Catalogue of the National Directory of the National Spatial Data Infrastructure (INDE).

252. The project reinforced the climate agenda in Brasilia, supporting the development of relevant studies and strategic plans that have informed the development of public policies on climate change mitigation and adaptation. All the products developed with the project support have now follow-up actions in SEMA's pluriannual plan 2024-2027.

253. Regarding the agro-forestry activities, a stronger engagement of SEAGRI and EMATER should have been promoted during pilot investments. Support to local farmers is the responsibility of these institutions and as a pilot to inform public policy, they should have been seen as a strategic partner and not as a service provider engaged in specific training actions.

254. In Recife, the project faced institutional challenges regarding the fact that ARIES is a social organization with a social contract with the municipality (one of ARIES founders). Being outside the municipality structure there were risks regarding institutional sustainability. Although a local technical committee was not implemented, the relation with the current municipal administration was very positive. All the project activities were totally aligned with the municipal priorities, had a strong engagement of municipal institutions and staff and were

transferred to the municipality by the end of the project. Moreover, all the studies developed during the project informed the definition of public policies and new municipal programs. The exception was the development of the IMS, which was not seen as a priority by the municipality and was not delivered. If political and institutional alignment was granted, there could have been a stronger technical alignment with city institutions engaged in the design of Capibaribe Park project, namely with INCITI. The project could have tested some monitoring instruments developed by this academic institution and a stronger institutional engagement would have been positive to promote greater institutional sustainability and the development of monitoring instruments to be used after the project closure.

255. In Recife, reinforcing ARIES as a strategic partner of the municipality was one of the major project achievements. However, in future interventions, it will be necessary to balance ARIES's attributions with other municipal institutions involved in urban planning to avoid potential duplications.

256. Regarding the knowledge platforms, the project enhanced the SCP and reinforced the ICS's capacity to advocate for sustainable urban development and resilient cities, being a relevant accelerator of an ongoing process. The SCP continues its work with Brazilian municipalities, promoting powerful advocacy tools such as the Cities Sustainable Development Index or the Inequality Maps, while mobilizing various partners and donors to support this process.

257. The SCIO is integrated into the CGEE, a think tank primarily supported by the MCTI. Although the platform has the potential to become a reliable source of information on nature-based solutions for urban sustainable development, its management is not yet fully defined. The CGEE does not have the institutional profile to provide technical assistance to municipalities, and the MCTI has yet to define its strategic vision for the platform. Nonetheless, the MCTI continues to finance the CGEE and the SCIO in 2024.

258. The MCTI is currently implementing the GEF7 project, "Promoting Integrated Metropolitan Planning and Innovative Urban Technology Investments in Brazil," building on the results and lessons learned from the CITInova project. The objective of this project is to promote integrated urban planning approaches to achieve economic, social, and environmental co-benefits and reduce greenhouse gas emissions in Brazilian metropolitan areas. Although covering different regions, the project includes components on governance and evidence-based planning (inspired by the work developed with SISDIA in Brasilia), investments in low-carbon emission pilots, innovative financing mechanisms, and knowledge exchange and capacity building. The project document mentions the strengthening of SCIO as one of the project activities with the objective of creating a National System of Innovation and Solutions for Sustainable Urban Planning. However, it is not yet clear if the MCTI will follow this methodological approach and what the effective participation of CGEE and SCIO will be in the ongoing project.

Rating for Institutional Sustainability: Likely

Rating for Sustainability (Likelihood): Moderately Likely

5.9 Factors Affecting Performance and Cross-Cutting Issues

5.9.1 Preparation and Readiness

259. The project was GEF approved in January 2017, the agreement with the Brazilian Foreign Ministry/Brazilia Cooperation Agency and MCTI and then with implementing partners were signed in March 2018 and first disbursements to implementation partners were made in April / May 2018. A summary report on the project inception was provided and all the implementing partners were engaged in the project design from the beginning and there was a relevant stakeholder engagement process.

260. Steering mechanisms were in place. A consistent environmental and social safeguards strategy was not in place and a robust stakeholder engagement plan was not developed at the inception.

261. As mentioned in the MTR report, *"project management was not well structured during the first 20 months of the project...it was not until beginning of 2020 that the MCTI filled all the national project management positions allowing the project to operate with a rather loose management and coordination due to inadequately filled national project management that affected project implementation oversight."* Other relevant factor affecting readiness were the elections that took place in 2018 (national and state governments) and 2020 (local elections). Changes in government administration and staff turnover resulting from these processes contributed to the loss of institutional memory as some senior officers left the institutions. These institutional changes had obvious impacts in project management at central and local levels.

Rating for Preparation and Readiness: Moderately Satisfactory

5.9.2 Quality of Project Management and Supervision

5.9.2.1 UNEP/Implementing Agency:

UNEP had a highly satisfactory role as implementing agency. UNEP had a permanent task manager in the UNEP Brasilia office with a specific role on project follow-up. This person did not change during the project implementation period and that was decisive for the project results, as many institutional changes occurred within project partners and government institutions. UNEP, as the implementation agency, also established a small finance team with native Portuguese speakers based in the UNEP Brazil office.

262. Overall supervision and project management were established at the MCTI with support and technical assistance from UNEP Brazil. There were significant changes in the MCTI's national project direction and coordination during the implementation period. These changes introduced different visions, perspectives, and procedures, which did not contribute to a stable project management process. On the other hand, the stability of UNEP Brazil's key staff was decisive in keeping the project on track. The role of UNEP's Brazil office as key for the project management was mentioned by all implementing partners and relevant stakeholders.

5.9.2.2 Partners/Executing Agency:

263. The implementing partners demonstrated a strong capacity in executing project activities.

264. In Brasília, SEMA effectively mobilized its resources to implement the project, although the financial and administrative management of their activities was handled by CGEE. CGEE faced challenges, as it was responsible for administratively managing nearly half of the project budget without having the necessary structure or profile to do so. The CGEE also faced some

difficulties in the implementation of the SCIO platform as it did not have the technical expertise to directly work with the municipalities.

265. In Recife, ARIES initially encountered difficulties as a start-up emerging from Porto Digital in its early operational stages. However, during the project, ARIES experienced significant institutional strengthening and successfully implemented all project activities. Today, ARIES is a key player in Recife's territorial development and is already providing urban innovation services and technical assistance to other cities and regions in Brazil.

266. The SCP was already a strategic program within ICS at the project's inception, and the project significantly enhanced SCP's outreach. ICS, with its dynamic and robust structure, implemented project activities smoothly and on time.

267. The project management demonstrated a strong communication strategy, effectively mobilizing various partners and promoting regular coordination meetings. Steering mechanisms were established at different levels, providing strategic and operational guidance throughout the project. Meeting records were made available during the evaluation process, showcasing a constructive management approach. The project management exhibited a good capacity for adaptive management, responding flexibly to challenges and changes as the project progressed.

Rating for Quality of Project Management and Supervision: Satisfactory

5.9.3 Stakeholders Participation and Cooperation

268. Stakeholder engagement was a key pillar of the project throughout its implementation. Although some risks and problems were signed at the MTR, the project was able to promote a good engagement process in all its components, benefiting in some cases of the institutional changes. That was the case in Recife. ARIES managed to engage various stakeholders, municipal secretaries and departments and their technical staff as well as social organizations working in the project related themes. Recife's mayor and deputy mayor had a strong participation in project implementation since they were elected in 2020, demonstrating political support and using the project as a tool to complement their vision for the city. At this level, the project had a relevant contribution for stakeholder engagement and integrated urban planning in the city. The filtering gardens are a pilot that is attracting interest from different local and national level institutions and Recife 500 years strategic plan, was a process that strongly engaged the population and the city strategic institutions. In Recife, the project was definitely an opportunity to improve the institutional dialogue mechanisms and the municipality-citizen relationship.

269. In Brasília, SEMA engaged various district-level departments; however, some of these departments did not play as significant a role in the project implementation as initially intended. This was the case for the Secretary of Agriculture (SEAGRI) and the State Extension Corporation (EMATER). In contrast, other departments such as the State Secretariat for the Protection of the Urban Order (DF Legal), the Federal District Sanitation Company (CAESB), and the Urban Cleaning Service (SLU) had a significant participation in project activities. A local project committee was established, comprising representatives from 11 governmental institutions and 4 non-governmental organizations. This mechanism promoted stakeholder engagement and project ownership. On the climate agenda, greater engagement came from academic institutions and the Technical Committee on Climate, created by the project under the Federal District Council of Environment, which included 10 members representing government and non-government agencies. In developing the District Environmental

Information System (SISDIA), the main partnerships were with the University of Brasilia (UnB), the Institute of Research and Statistics (IPE/DF), DF Legal, the local Court of Justice (judicial body), and the Federal District House of Representatives (legislative body). Through the project, SCP expanded its network by strengthening the relationship.

270. The SCP reinforced its capacity to promote advocacy and dialogue with Brazilian municipalities. At this level, the strategy to engage municipal associations / federations at national and regional level was decisive to reach additional municipalities to be SCP signatories. The SCP also partnered with the SDG Strategy, a coalition of civil society, the private sector, local governments, and academia. As CGEE extensively supports decision-making processes on science, technology, and innovation through coordination with experts and institutions within the National System of Science, Technology, and Innovation, the research for SCIO was conducted in partnership with research institutes from some of Brazil's leading public universities. The solutions mapped by the Observatory was the result of the work of more than 30 researchers from different universities. SCIO also engaged six Brazilian municipal representative organizations (FNP, ABM, CNM, ICLEI, ABEMA and ANAMA) to assess the perception of municipal institutions in relation to the platform.

Rating for Stakeholders Participation and Cooperation: Satisfactory

5.9.4 Responsiveness to Human Rights and Gender Equality

271. The project did not develop a gender plan although the implementing partners have implemented some gender-related strategies. During the terminal evaluation a consistent gender approach or gender guidelines were not visible.

272. In Brasilia, the project promoted women participation, especially in the pilot projects under component 2. According to SEMA and the project documents, a gender strategy was adopted to select families for agroforestry implementation and the CSA's (consumer-supported agriculture) and capacity building / training actions. The project publication: "Sustainable Federal District: Innovative and Integrated Policies for the Present and the Future" describes this process. In Recife, ARIES have included gender requirements in the clauses for service contracts, valuing gender parity. Consultation processes regarding the pilot interventions had a stronger participation from women and the impact evaluation survey on the pilot interventions demonstrated a reduction in the perception of insecurity in the parks. Moreover, the study on social housing in Recife was developed based on existing data on low-income families led by black women which are the main group affected by the housing deficit. Other strategic documents such as the Sectoral Adaptation Plans were based on social engagement processes and community narratives with emphasis on gender.

273. The SCP includes gender indicators on its platform and the Sustainable Development Index of Cities in Brazil incorporate indicators for the SDG 5 focused on gender with data from the 5,570 Brazilian municipalities.

274. The SCP Guide on Introduction to Integrated Urban Planning contains information on urban planning and women's empowerment. The Guide on Citizen Participation encourages cities to develop policies to fight structural inequalities related to gender, income and race. Signatory mayors to SCP assumed as one of the commitments the creation of Municipal Commission for the Sustainable Development Goals (SDGs) with gender equity and participation of government and civil representatives. SCP adopted strategies focused on strengthening the participation of women in politics, such as meetings with women mayors associated with the National Front of Mayors (FNP) and, women candidates in elections.

Rating for Responsiveness to Human Rights and Gender Equality: Moderately Satisfactory

5.9.5 Environmental and Social Safeguards

The project was not classified as having moderate or high social risk impacts and did not develop an ESMS strategy or action plan.

275. In the project document, an environmental and social safeguards checklist was presented but there was no consistent monitoring of safeguards besides the information provided in the project implementation reports under section 2.7. During the terminal evaluation, no information on complaints or grievances was provided.

Rating for Environmental and Social Safeguards: Unsatisfactory

5.9.6 Country Ownership and Driven-ness

276. The project demonstrated highly satisfactory country ownership and drive. It was designed by the implementing partners and was institutionally well integrated. The project made a significant contribution to defining urban sustainable development and reinforcing the climate agenda at the local level. Moreover, it contributed meaningfully to the municipalization of the SDGs through the advocacy efforts of the SCP.

277. At the central level, the project faced constraints due to institutional and political changes, which hindered the integration of the Ministry of Cities, Ministry of Regional Development, and the Ministry of Environment in the steering committee discussions and dialogue. This integration would have been crucial for using the project's achievements to inform public policy at the central level. Nonetheless, it is highly relevant that the project made a decisive contribution to strengthening the sustainable cities agenda within the MCTI. Fostering innovation and evidence-based decisions in urban planning is essential, and the fact that CITInova is now presented as a strategic program by the MCTI demonstrates strong ownership.

Rating for Country Ownership and Driven-ness: Highly Satisfactory

5.9.7 Communication and Public Awareness

278. Although some problems regarding the communication strategy were mentioned in the MTR report, the project managed to develop a consistent and coherent communication strategy. Initially the communication strategy was within the responsibility of the SCP/ICS but this was transferred to the MCTI in one of the institutional changes in the national direction of the project. The brand "CITInova" was strongly disseminated and used in different events and is now associated with innovative / sustainable urban development. The project developed a significant number of knowledge management instruments and publications of high quality that systematize the implementation of the project at different levels (local and national) and that are able to demonstrate the project achievements, methodologies and lessons learned.

279. Communication activities and channels were well-targeted towards key audiences, fostering strong and comprehensive experience sharing between project partners and other interested groups and stakeholders.

Rating for Communication and Public Awareness: Highly Satisfactory

Rating for Factors Affecting Performance and Cross-Cutting Issues:	Satisfactory
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Table 12: Responses to the Strategic Questions posed in the Terminal Evaluation Terms of Reference:

In what ways, and to what extent, have the needs and interests of differentiated groups been considered in the implementation and monitoring of the project?
As mentioned in previous sections of this report, the project successfully engaged a large number of relevant stakeholders and government institutions at both local and central levels. It provided significant technical and financial resources to develop evidence-based urban planning policies in Recife and Brasília. The pilot interventions were well integrated into municipal political priorities and strategic programs. Although regular steering committees were not always in place at local level. There was good interaction between project implementing partners and all relevant municipal institutions. The project also promoted relevant participatory processes, involving local citizens in the definition of strategic documents for urban and environmental planning. However, the late implementation of some key actions hindered the capacity to develop activation strategies fully. In most project interventions, there was awareness of the need to engage different groups in the project design. Exceptions include the development of the IMS in Recife, which did not align with a priority of the municipality, and the SCIO, where municipalities, the final users of the platform, should have been more strongly engaged in the design process. The intervention in the Capibaribe riverbanks demonstrated a commitment to benefiting the least advantaged communities. It included investments in the less favored margin of the river, and the planned pedestrian bridges to be implemented by the municipality will help bring different social groups closer together, contributing to spatial justice.
In what ways, and to what extent, were the recommendations from the Mid Term Review actioned upon?
The recommendations were accepted by the project implementation partners but many of them were not easy to implement in the existing political and institutional context, namely the recommendation to establish a national multi-stakeholder committee for sustainable cities and the one to establish a national capacity building partnership for sustainable cities. In the current political context there is a better alignment between different Ministries and some strategic dialogue mechanisms were reactivated. At that level, the fact that MCTI is a member of the National Cities Council facilitates the coordination with key Ministries such as the Ministry of Cities. The project developed an action plan to monitor the implementation of the MTR recommendations, but it was not regularly updated. In Recife, the MTR recommended to define business operational models for the solar boats, but this activity was replaced by the support to develop the pedestrian bridges. Moreover, the recommendation to establish a governance system to consolidate the IMS in Recife was not implemented and the risks did materialize. The recommendation to implement a data sharing pact to support SISDIA in Brasília was not fully implemented but SISDIA is systematically working together with 24 government level institutions. As duly signed in the MTR, there is a need to coordinate SISDIA with other IMS in use by SEDHU but the coordination is not a major concern at the moment. Regarding the knowledge platforms, recommendations were made to implement a system-based monitoring of the SCP. Although the SCP monitors municipalities, it lacks a robust monitoring framework focusing on outcomes. Assessing effective political commitments, beyond merely being an SCP signatory, remains highly desirable. For SCIO, the MTR recommended creating a compliance and validation committee. Despite initial design issues and mobilizing numerous research institutions to develop the database, no compliance committee is currently in place. The MTR also recommended developing an outreach strategy for SCIO. This strategy was not developed, primarily due to the system's late completion, although numerous outreach events were promoted. The SCP supported the CGEE in this process, but this support came only in the final stage of project implementation. Regarding project management, several recommendations were successfully implemented, including developing a framework to capture lessons learned, establishing the national project team, developing a framework for risk assessment, and requesting a no-cost extension. The objective of reinforcing the framework for better coordination among partners was also pursued. However, the revision of the results framework was never implemented, and the problems identified during the MTR at this level persisted.

What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?
CITinova partners were asked to reflect upon the impact of the Covid-19 pandemic on the project. The main effects verified during a first analysis were the increasing of virtual commitments due to remote work and the postponement of field and social mobilization activities. In order to mitigate these impacts, the partners have taken several measures such as renegotiating contract terms, postponing field activities, anticipating office work and organizing virtual meetings, events and webinars on thematic areas to promote exchanges between public managers, companies and society. The pandemic had obvious impacts on project implementation, but all the implementing partners developed adaptation and mitigation plans, and the project was able to implement all of its activities. At this level, the project demonstrated a very good adaptative management capacity.
How has this project integrated lessons from other sustainable cities initiatives and what lessons can be drawn for other similar initiatives
This was an innovative project integrated in the GEF-6 Sustainable Cities Integrated Approach Pilot. Therefore, it had the objective of piloting new approaches in the support for sustainable urban planning and collect lessons learned from the program experiences to inform future actions. At this level, the project was an opportunity to test different approaches, different implementation models and from these rich experiments, there are relevant lessons learned to inform future projects. These are present in the "lessons learned" section in this report.
What key barriers to building sustainable cities in Brazil are remaining after implementation of the project? What recommendations could be made to remove them?
Key barriers to building sustainable cities in Brazil continue to be identical to the ones already identified in the project document, as it would have not been possible for a single project to overcome them, especially in a complex context with more than 5.700 municipalities all over the country. As mentioned in the project document, the unsustainable urbanization process has led to social and economic inequalities that persist, as long as environmental vulnerabilities that affect the layout of Brazilian cities. Spatial segregation, inadequate infrastructure, climate impacts that are not properly addresses by sector-specific policies, lack of monitoring data continue to be barriers to a sustainable process of urban development and to promote resilient cities. Poor access to financing for the municipalities to implement sustainable development policies is also a strategic barrier to building sustainable cities in Brazil. Moreover, , discontinuities in public policies between mandates strongly conditions the possibility of developing sustained urban development policies in the country. At this level, the reinforcement of the advocacy role of civil society and citizen engagement will continue to be decisive.

Table 13: Responses to the Strategic Questions focused on the GEF-6 Sustainable Cities Integrated Approach Pilot:

To what extent, and in what ways, has the project contributed to the Cities IAP programme's objectives
Regarding the program's components, CITinova made a substantial contribution to enhancing integrated urban sustainable planning and management. This was achieved through initiatives such as SISDIA in Brasília, the reinforcement of the climate agenda in Brasília, and the development of sectoral adaptation plans, social housing policy, and the city strategic plan in Recife. The project also played a crucial role in catalyzing investments in sustainable cities in both Recife and Brasília through pilot investments made under component 2. Moreover, the project significantly enhanced partnerships for sustainable cities at national and local levels through knowledge platforms, training sessions, and other dissemination events. A notable achievement is the incorporation of CITinova as a strategic program by MCTI, underscoring its importance and impact.
What are, if any, the additional benefits and costs of the project being part of a programmatic approach? This should include whether benefits accrued from the project being part of a programme rather than a standalone project.
The programmatic approach included the creation of the Global Platform for Sustainable Cities (GPSC), a partnership and knowledge platform that promotes integrated solutions and cutting-edge support for cities seeking to improve their urban sustainability. While the GPSC presented a significant learning opportunity, its rapid development in 2017/2018 coincided with a slow start for the child projects, which limited the support the global program could provide to the Brazilian child project. By the time the global program concluded (2021-2022), CITinova was engaged in its most significant activities and investments. Therefore, the programmatic approach did not make significant contributions to the Brazilian child project as initially planned. Current platform under the GEF-7 (UrbanShift) continues to promote learning and knowledge events and all the project implementation partners have been regularly participating in these events. According to the GEF Brazil office, this experience has provided valuable insights that UNEP and GEF Agencies are now applying to global programs in GEF-7 and GEF-8. These insights include extending the duration of the global platform to ideally six years and initiating its technical activities more gradually to better align with the activities of country-specific child projects. Furthermore, UNEP's country office and project implementation partners noted that the technical support from the World Bank/global program was top-down defined, resulting in limited engagement and participation from the beneficiary cities in Brazil.
Q3: To what extent was systems thinking used to maximise the potential for integration of this child project within its programmatic framework?
The misalignment between the global and child projects' timeframes hindered stronger integration. During the project evaluation process, there was no evidence of using systems thinking to maximize this integration process.
Q4: How well did UNEP, as the GEF Agency, collaborate with other Agencies involved in the Programme?
According to UNEP's country office, there was a regular collaboration with the World Bank as the leader of the global programme. Interactions with other agencies occurred in events organized by the World Bank.
Q5: How well was the project's M&E design aligned with that of the programme? How did the M&E arrangements of the project contribute to the programme level M&E and results reporting?
The project objectives, components and indicators were well aligned with the overall program M&E system. Nonetheless, the misalignment between the global and child project timeframes hindered systems integration as most of the project indicators in Brazil were only achieved in 2022/2023. During the project evaluation, it was not possible to assess the global program M&E system or results reporting.

6 CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

280. Overall, and considering the moderately unfavorable external context, the project successfully promoted sustainable urban planning and management practices, contributing to significant policy advancements and stakeholder engagement, despite facing challenges in monitoring outcomes and dealing with political and institutional changes. Considering the social, political, and institutional context, as well as the delays in implementation, the project demonstrated a strong ability to deliver relevant outputs.

281. The project was very segmented, resulting in four highly relevant but different components. To achieve consistent outcomes and promote significant impacts, a more focused approach would have been necessary. However, it is important to acknowledge that the project made a relevant contribution to reinforce the sustainable cities agenda in Brazil.

282. Most of the project outputs were achieved (70% of the project outputs were fully achieved and 26% were partially achieved)¹² although some key outputs such as the IMS in Recife were not effectively delivered to the municipality. Given the context and some delays in implementation, the project demonstrated a highly relevant capacity to deliver.

283. The project had a satisfactory level of outcome achievement, enabling the mobilization of resources and expertise that usually are not available within local governments. The project was complex, involving multiple implementation partners and covering different cities with significant territorial dispersion. Moreover, high turnover among project implementation partners, including changes in the overall governance structure of MCTI, resulted in partners pursuing different agendas and made it difficult to establish a shared vision toward project outcomes. Delays in implementation did not allow to build these connections as most of the activities and outputs were finalized in the last year of project implementation.

284. The project had a relevant contribution to intermediate states such as the greater institutional collaboration between local technical institutions and departments, the commitment to sustainable principles by mayors and city legislators, the use of evidence to inform cities development plans or the mainstreaming of nature-based solutions at national level.

285. The project achieved its targets in improved management of landscapes and seascapes and areas under sustainable use management. However, the reported metric tons of CO₂ mitigated could not be assessed due to the lack of robust evaluation methods.

286. The project's contributions to low-carbon development, climate change adaptation, and sustainable urban development are likely to be sustained. However, political instability poses a potential risk to the continuity of these efforts as constant changes in the leadership of Brazilian municipalities represent a serious constraint on the ability of projects to promote long-term changes in urban planning. Financial and institutional sustainability is strong, with project components embedded in the implementing partners' frameworks.

¹² This assessment is the result of the qualitative analysis of each of the project outputs. As there were no specific indicator targets for the output in the results framework, the evaluation team rated each output as fully achieved, partially achieved or not achieved based on level of delivery.

287. The project was highly relevant, aligning perfectly with UNEP's Medium-Term Strategy and various environmental and climate policies at both national and local levels. The project also demonstrated strong complementarity with existing interventions and coherence within the MCTI and other stakeholders.

288. This was a child project integrated in the Sustainable Cities Integrated Approach (SC-IAP). The Pilot program was funded by the GEF to promote the integration of environmental sustainability in planning and management initiatives for cities and as a pilot program it was an opportunity to promote innovative approaches towards sustainable urban planning.

289. During the project's design, the main problems and challenges were identified, making the project highly relevant as it addressed some of the most pressing issues affecting Brazilian cities and the urban planning process. However, there was a gap in establishing clear causal relationships in the logical framework and in anticipating risks. The logical framework could have provided a clearer illustration of these relationships, highlighting relevant causal pathways, assumptions, and risks, along with mitigation measures. Engaging stakeholders in developing and assessing a Theory of Change (TOC) approach during the design phase or at inception could have facilitated project implementation and maintained a focus on project outcomes and objectives. The project structure was complex, with a risk of each component being implemented as an independent project. This risk ultimately materialized.

290. The project was implemented against a backdrop of government transitions, shifting political agendas, changes in the priority of the environmental and climate agenda, and the pandemic's effects. This context created significant challenges for the project, especially at the national level, in promoting inter-ministerial cooperation to strengthen a national agenda for integrated urban planning, innovation, and sustainability. Additionally, the challenges of transitions made it difficult to establish mechanisms for knowledge exchange between managers at different levels of government. Moreover, the project was also affected by the COVID-19 pandemic which had relevant impacts on project implementation strategies

291. Project efficiency was one of the most critical elements of project implementation. At the project management level, political and institutional changes in the governments in Brasilia and Recife and also in the MCTI meant that different procedures were introduced during implementation in the execution and monitoring of the project. Some aspects of the project required time to adapt to these new procedures and resume effective execution. This had implications for project efficiency which was not optimal. Project delays and inefficiencies were mainly due to: i) An implementation model that required high operational and coordination costs – The decentralized model allowed the project to reach different cities and to mobilize a vast number of stakeholders and demonstrated a good deliverable capacity. Nonetheless, this model required a large number of coordination and management staff and a relevant investment in coordination meetings including travel and events; ii) Permanent institutional changes at central and local government levels and also in implementing partners such as CGEE also contributed to some delays and inefficiencies in the project management; iii) The COVID pandemic also affected project implementation. At this level, the implementation partners were asked to develop adaptation plans and managed to continue their activities; iv) Coordination mechanisms were in place, but staff turnover and institutional changes hindered project efficiency. These changes affected the project's strategic direction and operational effectiveness. v) administrative burden adding to delays in implementation led to the partners to be focused on delivering their outputs and in this context, it was not simple to build a common understanding and a common path for project activities.

292. The project's complexity and territorial dispersion made outcome monitoring challenging, with significant gaps in the results framework and baseline data. The project's outcome monitoring was hampered by a lack of baseline data and an overly complex and fragmented results framework. The monitoring was primarily focused on deliverables and outputs rather than transformational changes. There was a missed opportunity to develop sustainable monitoring instruments for cities like Recife and Brasilia.

293. The project had a highly satisfactory level of stakeholder engagement, benefiting from institutional changes and promoting comprehensive engagement processes across its components. The project also made significant contributions to public policy, especially in Recife, by influencing environmental strategies and social housing policies.

294. The project was well-managed and supervised, with strong capacity demonstrated by implementing partners. However, the project's monitoring and evaluation structures were significantly affected by weaknesses in the results framework and the lack of a robust monitoring plan, especially in Recife.

295. The project was also a good demonstration of the role of projects as innovation labs – the project promoted some interesting experiences at this level, namely with the pilot investments component and was able to develop quality knowledge platforms and publications that can inform future projects and public policies in the country.

296. The project leveraged and accelerated sustainable cities advocacy processes led by the SCP but missed using that reinforcement in a synergic way with other project components. Nonetheless, it's important to acknowledge the richness of the process and the contribution of the project through the SCP to the municipalization of the SDGs in Brazil.

297. The project fostered a valuable reflection on the social production of space, viewing space not merely as a container but as a product of social and political relations. In Recife, the Capibaribe Park project can spark an interesting debate in this context, as it involves interventions on the river margins—one predominantly inhabited by the middle-upper class and the other by the most vulnerable groups. The way the city defines its public policy and constructs space can lead to significant research opportunities in the future

Table 14. Summary of project findings and ratings¹³

Criterion	Summary assessment	Rating
Strategic Relevance		HS
1. Alignment to UNEP MTS, POW and Strategic Priorities	The project was perfectly aligned with UNEP Medium Term Strategy 2018-2021. The project was also aligned with the different UNEP's Programs of Work (PoW) during project implementation. Regarding the PoW 2022-2023, the project was aligned with the climate action sub-programme	HS

13 Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated, also on a six-point scale, from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

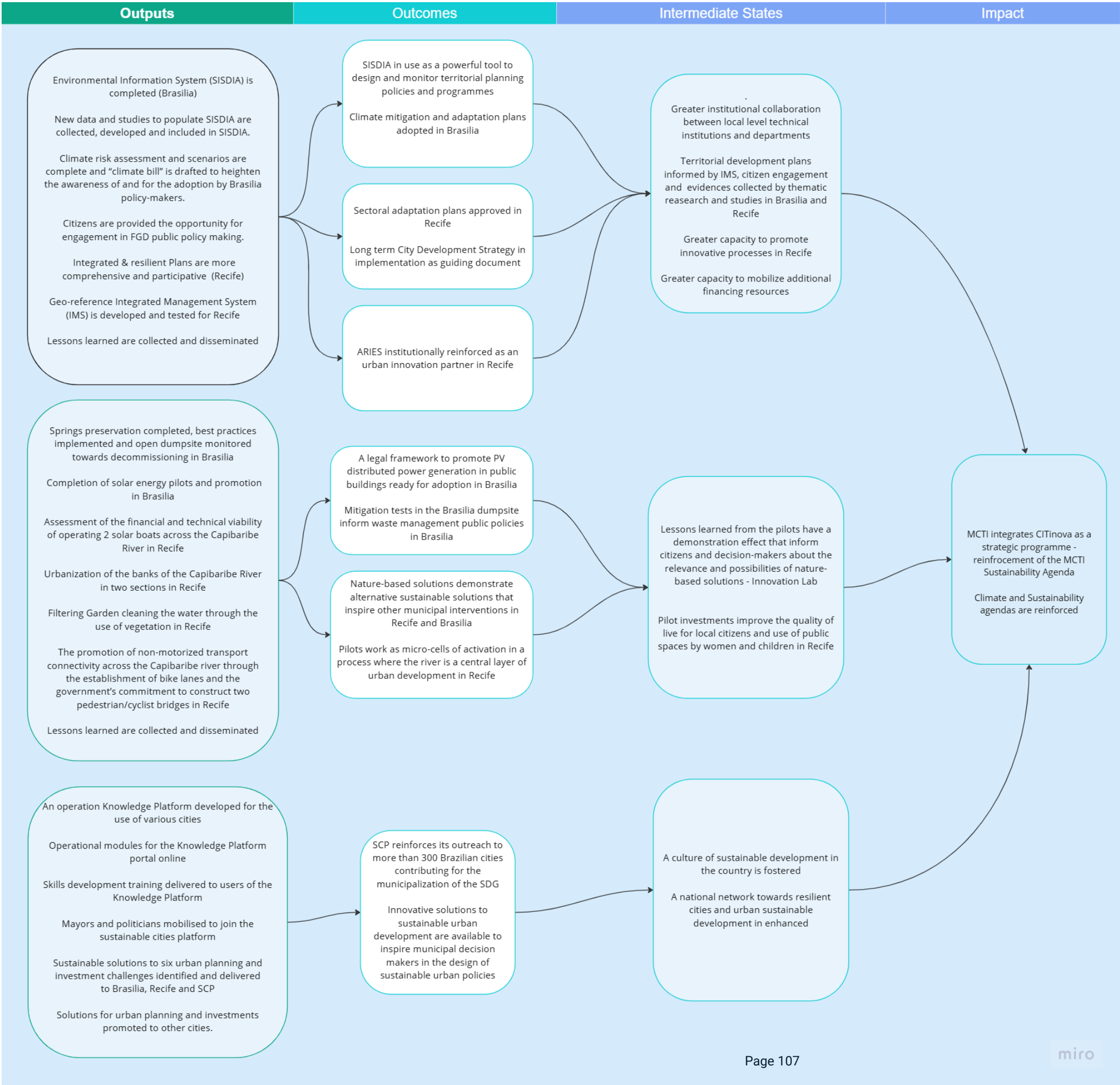
Criterion	Summary assessment	Rating
2. Alignment to UNEP Donor/GEF/Partner strategic priorities	The project was integrated in Sustainable Cities Integrated Approach Pilot (SCP-IAP) as a child project. The SC-IAP was funded by the GEF to promote the integration of environmental sustainability in planning and management initiatives for cities.	HS
3. Relevance to global, regional, sub-regional and national environmental priorities	The project was aligned with the SDG goal 11: Make cities and human settlements inclusive, safe, resilient, and sustainable The project was also aligned with UNDAF Brazil 2017-2021, with UNSDCF Brazil 2023-2027 and was fully aligned with the main guidelines of national environmental, urban and innovation policies, including the National Climate Change Policy, the City Statute, the National Environment Policy and the National Innovation Policy. The project was also aligned with the local level legal framework, namely with the Brasilia Sustainability Law and Recife Strategic Guidelines for the city.	HS
4. Complementarity with existing interventions/ Coherence	The project was well integrated within the MCTI, the executing agency, and exhibited a strong capacity to coordinate with other ongoing projects and diverse stakeholders. It effectively participated in sustainable urban development events and successfully disseminated project results to relevant stakeholders at both central and local government levels, while also engaging civil society in these processes.	S
Quality of Project Design	During the project's design, the main problems and challenges were identified. However, there's a gap in establishing clear causal relationships in the logic framework and anticipating risks. The Logic Framework could have provided a clearer illustration of these relationships, highlighting relevant causal pathways, assumptions and risks along with mitigation measures. It is important to acknowledge the fact that the project was developed by the implementation partners contributing to the ownership of the process. Project design includes specific activities and components to collect and share lessons learned and disseminate them and scale-up to other municipalities at national level.	S
Nature of External Context	The project was implemented against the backdrop of government transitions, shifting political agendas, changes in the priority of the environmental and climate agendas. This context created significant challenges for the project, especially at the national level, in promoting inter-ministerial cooperation to strengthen a national agenda for integrated urban planning, innovation, and sustainability. Additionally, the challenges of transitions made it difficult to establish mechanisms for knowledge exchange between managers at different levels of government. The project was also affected by the COVID-19 pandemic which had relevant impacts on project implementation strategies At the project management level, political and institutional changes in the governments in Brasilia and Recife and also in the MCTI introduced different procedures in the execution and monitoring of the project, requiring time to adapt and resume effective execution. unexpected challenge.	MU
Effectiveness		S
1. Availability of outputs	Most of the outputs were achieved, although some key outputs such as the IMS in Recife were not effectively delivered to the municipality. Given the context and some delays in implementation, the project proved a highly relevant capacity to deliver.	S

Criterion	Summary assessment	Rating
2. Achievement of project outcomes	The project had a satisfactory level of outcome achievement, enabling the mobilization of resources and expertise that usually are not available within local governments. The project was complex, involving multiple implementation partners and covering different cities with significant territorial dispersion. Moreover, high turnover among project implementation partners, including changes in the overall governance structure of MCTI, resulted in partners pursuing different agendas and made it difficult to establish a common understanding of the project goals. Delays in implementation did not allow to build these connections as most of the activities and outputs were finalized in the last year of project implementation.	S
3. Likelihood of impact	The project had a relevant contribution to some of the intermediate states defined at the revised ToC. Some were fully reached such as greater collaboration between local technical institutions and departments and pilot investments improving the quality of live for local citizens and use of public spaces by women and children. Nonetheless, the project was overly segmented into four parts, with each partner implementing different agendas. Although the project promoted various coordination mechanisms, the segments lacked the necessary connection to consistently achieve intermediate states of impact. The most evident weakness in this connection was between the knowledge platforms and the interventions in Brasilia and Recife Achieving the scaling up of interventions in Brasilia and Recife to other Brazilian cities, during the project's lifetime was always going to be challenging. Additionally, the institutional context and changes in political decision-makers at the federal level added complexity to an already complex situation	ML
Financial Management		S
1. Adherence to UNEP's financial policies and procedures	The evaluation team was not made aware of any delays in the availability of funds that had any impact on project implementation. Project implementation partners had made budgetary adjustments during project lifetime, demonstrating a good adaptative management capacity. The financial management of CGEE led to some constraints at financial level.	S
2. Completeness of project financial information	Most of the required financial information was made available during the terminal evaluation. This included overall project budget, project expenditure sheets, reports on co-financing, audit reports, inventory of equipment and transfer of assets, project cooperation agreements. At the time of the terminal evaluation, only UNEP's final financial execution sheets were not made available	S
3. Communication between finance and project management staff	Evidence suggests that the project manager has strong awareness of the current financial status of project , the financial staff had awareness of overall project progress and technical and financial staff worked together in resolving financial issues.	S

Criterion	Summary assessment	Rating
Efficiency	The project efficiency was hindered by: i) an implementation model that required high operational and coordination costs ii) permanent institutional changes at central and local government levels as also in implementing partners such as CGEE also contributed to some delays and inefficiencies in the project management; iii) The COVID pandemic also affected project implementation; iv) Coordination mechanisms were in place, but staff turnover and institutional changes hindered project efficiency. These changes affected the project's strategic direction and operational effectiveness; v) administrative burden adding to delays in implementation led to the partners to be focused on delivering their outputs and in this context, it was not simple to build a common understanding and a common path for project activities.	MS
Monitoring and Reporting		MS
1. Monitoring design and budgeting	Although the project regularly reported the status of each indicator in the Progress Implementation Reports, a robust monitoring plan shared by all implementation partners was lacking Given that the outcome indicators were not the most suitable, a revision of the project's results framework should have been undertaken. This would have allowed for a better understanding of the project's effects across its different components	MU
2. Monitoring of project implementation	The project collected robust information on implementation, primarily focusing on outputs and deliverables. However, outcome monitoring was more complex and fragile due to weaknesses in the results framework and the absence of monitoring structures among the implementation partners. Additionally, the lack of baselines posed significant limitations. While Component 1 activities were mainly institutional, the pilot investments would have required baselines to effectively monitor the interventions' effects.	MS
3. Project reporting	The project provides comprehensive and high-quality documentation of its implementation, with progress reports developed on time. Communication between UNEP, MCTI, and implementation partners was highly satisfactory despite the institutional changes and staff turnover that occasionally hindered project implementation.	S
Sustainability		ML
1. Socio-political sustainability	The project made significant contributions in areas such as low carbon development, climate change adaptation and mitigation, sustainable urban development, and resilient cities. The incorporation of CITinova as a strategic program by the MCTI ensures that the guiding principles of the project will continue to be implemented by this relevant Ministry. However, it is important to acknowledge that political instability could shift the political context and deprioritize sustainable development and climate change agendas in future governments	ML
2. Financial sustainability	Project components are strongly embedded in the implementing partners institutional framework and are being integrated in their financial commitments.	L
3. Institutional sustainability	In Brasilia and Recife, the project was fully implemented by government-level institutions (SEMA) or civil society organizations with institutional links to governmental bodies (ARIES). This approach ensured a good integration of the project's activities and results into the institutional governance of each project component.	L
Factors Affecting Performance		S

Criterion	Summary assessment	Rating
1. Preparation and readiness	The project was approved in January 2017, the agreement with MCTI and implementing partners were signed in March 2018 and first disbursements to implementation partners were made in April / May 2018. A summary of the consultations during the project inception was provided and partners were engaged in the project design from the beginning and there was a relevant stakeholder engagement process	MS
2. Quality of project management and supervision		S
<i>2.1 UNEP/Implementing Agency:</i>	Overall supervision and project management were established at the MCTI with support and technical assistance from UNEP Brazil. the stability of UNEP Brazil's key staff was decisive in keeping the project on track	S
<i>2.2 Partners/Executing Agency:</i>	<i>The implementing partners demonstrated strong capacity in executing project activities.</i>	S
3. Stakeholders' participation and cooperation	Stakeholder engagement was a key pillar of the project throughout its implementation. Although some risks and problems were signed at the MTR, the project was able to promote a good engagement process in all its components, benefiting in some cases of the institutional changes	S
4. Responsiveness to human rights and gender equality	The project did not develop a gender plan although the implementing partners have implemented some gender-related strategies. During the terminal evaluation a consistent gender approach or gender guidelines were not visible	MS
5. Environmental and social safeguards	In the project document, an environmental and social safeguards checklist was presented but there was no consistent monitoring on safeguards besides the information provided in the project implementation reports under section 2.7.	U
6. Country ownership and driven-ness	The project demonstrated highly satisfactory country ownership and drive	HS
7. Communication and public awareness	Communication activities and channels were well-targeted towards key audiences, fostering strong and comprehensive experience sharing between project partners and other interested groups and stakeholders	HS
Overall Project Performance Rating		S

At the project closure, we can re-assess the project's theory of change. The chart below illustrates the results chain of the project implementation, providing a clearer reflection of the project's achievements and implementation process.



6.2 Lessons learned

Lesson Learned #1:	Constant changes in the project management structure and differing visions prevent the establishment of a unified long-term strategy
Context/comment:	The project was complex, and the institutional and political context added additional layers of complexity. Political and institutional changes in the governments of Brasília and Recife, as well as in the MCTI, introduced different procedures for project execution and monitoring, requiring time for adaptation and resumption of effective execution. Changes in project management within the MCTI led to varying visions and perspectives on project implementation methodologies and priorities, necessitating constant adaptation. In contexts of institutional and political instability, the implementation model should include a robust and participative steering committee and some level of technical assistance to the project coordination to ensure alignment of procedures and strategic options throughout the project timeframe. At this level, the guidance of UNEP's office in Brazil was crucial in counterbalancing the changes in the MCTI. Nonetheless, this instability did not allow to build a strategic orientation toward a unified objective and contributed to the project segmentation according to the implementation partners agendas.
Lesson Learned #2:	Need to balance the agility and flexibility of project management with ownership by relevant decision-makers
Context/comment:	The project had 4 implementation partners, each of them with their own institutional profile. In Brasília, SEMA was the technical implementation partner, as the government department with the responsibility to define environmental policies. The decision for CGEE to handle financial and administrative roles led to delays and inefficiencies. As a think tank, CGEE lacked the institutional profile needed for these responsibilities. CGEE also faced challenges in implementing the SCIO platform due to a lack of technical expertise in direct collaboration with municipalities. In Recife, ARIES initially faced challenges as a startup emerging from Porto Digital during its early operational stages. However, throughout the project, ARIES experienced substantial institutional growth. While there are risks associated with operating outside municipal structures, the ARIES model demonstrates the benefits of agility as a civil society organization and ownership through establishing a social contract with municipalities. This model requires robust capacity to engage various municipal departments. At this level, the project achieved positive outcomes but could have been more integrated into municipal institutions in activities such as the IMS development or the monitoring system for Capibaribe Park. The SCP was implemented by ICS, a robust civil society organization that effectively executed its project activities. Regardless of the implementation model, there is a clear necessity for functional and regular steering committees at the local level, in addition to central and political levels.

Lesson Learned #3:	Excessive decentralization leads to a loss of coherence among project components
Context/comment:	While highly relevant and successful, the project's various components were not implemented synergistically, resulting in an approach similar to four separate projects under a common umbrella. The most notable weakness was the inability to foster synergies between knowledge platforms and urban interventions, even in the case where Recife was a SCP signatory. Additionally, territorial dispersion and delays in the project led to a coordination focused more on outputs than outcomes. Even in Recife and Brasilia, a more targeted intervention in a specific area or sector could have potentially yielded stronger outcomes, despite the project's quality and contribution to the cities' sustainable development strategies

Lesson Learned #4:	Allocating funds for pilot projects can yield interesting results, as one of the main constraints for many Brazilian cities is difficulty in securing resources to implement sustainable urban development programs and policies
Context/comment:	The project was successful at piloting nature-based solutions and climate adaptation actions demonstrating that projects can leverage public policy through access to relevant resources for research, technical expertise, and opportunities to test innovative practices. However, infrastructures completed near the project end do not allow for the testing of social, economic, and cultural activation processes and this needs to be considered to inform public policy.

Lesson Learned #5:	Pilots should be robust enough, in size and data, to demonstrate their technical, social, environmental and financial viability.
Context/comment:	The objective of a pilot investment is to demonstrate the viability and benefits or effects of a certain innovative idea or project and from there collect information and lessons learned to scale-up or inform related policies and programs. At this level, SEMA's implementation of the agro-forestry systems or watershed preservation activities were small-scale interventions without consistent and robust data that can lead to an evaluation of their effectiveness and their contribution to public policies. In contrast, actions under component 1 have significantly contributed to public policy and have developed central planning instruments such as SISDIA. Also, in Recife, the pilot activities are embedded in the municipal priorities and can bring additional experiences to feed the process.

Lesson Learned #6:	Advocacy for sustainable policies and programs can have an important role, but it needs to be complemented by technical and financial support to the Municipalities
Context/comment:	The project missed the opportunity to integrate the efforts of knowledge platforms with the implementation of components 1 and 2 in Brasilia and Recife. Tools such as the SCP Sustainable Cities or inequality rankings could be employed in the future to pilot targeted investments in priority areas within selected cities. The recent partnership approval between SCP and the national bank "Caixa Econômica Federal" aligns with this objective. Given the challenges many Brazilian municipalities face in mobilizing resources for urban sustainability policies and programs, connecting advocacy efforts with technical and financial support could mark a significant transition from merely endorsing

	political declarations, such as those in SCP, to making effective commitments and policies toward sustainable development.
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Lesson Learned #7:	Knowledge platforms should be designed with the active engagement of the final beneficiaries
Context/comment:	Investments in knowledge platforms should prioritize the needs of their ultimate beneficiaries. The SCIO encountered difficulties in operationalizing its knowledge platform due to IT issues, deepened by CGEE's lack of institutional capacity to engage with municipalities. The absence of a technical coordinator with relevant expertise further hindered progress. The effectiveness and adoption of such tools hinge on their ongoing updates and ability to deliver actionable insights to end users. To successfully adapt nature-based or other technical solutions to each municipality's local reality, these processes must include technical assistance that can support municipalities in both consultation and implementation phases. Moreover, information management systems should be designed with active engagement from the end users. In Recife, however, the IMS development failed to foster this engagement, resulting in limited buy-in from the municipality.

Lesson Learned #8:	Implementing a sound knowledge management system is crucial for promoting project achievement and sustainability
Context/comment:	The project created high-quality communication materials that emphasized significant accomplishments and documented the project's implementation, key challenges, and lessons learned. At this stage, the project's performance was highly satisfactory, with MCTI and its implementation partners producing highly relevant documentation. This documentation is crucial for informing subsequent actions, and in the case of CITinova, many project achievements are already being realized. This will support institutional and citizen engagement as also contributes for the transparency of development cooperation projects.

Lesson Learned #9:	Project budgeting must consider tax regulation in Brazil
Context/comment:	The project encountered significant challenges in Brasilia, including an unexpected 5% tax imposed on the entire budget of CGEE + SEMA, amounting to over USD 500,000 in contributions, which were not originally budgeted for. This necessitated a revision of the budget and highlights the importance of addressing such issues in future projects. It is crucial to include required taxes in the project budget or promptly seek exemptions to avoid unforeseen financial burdens.

6.2 Recommendations

Recommendation #1:	The Recife Local Government and ARIES should promote the integration of the IMS developed within the project in the Capibaribe Park management structure
Challenge/problem to be addressed by the recommendation:	The IMS in Recife was not seen as a priority by the municipality and was not delivered. The Capibaribe Park would benefit from using the IMS developed by the project and this could be used as a planning and monitoring tool. At this

	level, the definition of a set of strategic indicators for the Capibaribe Park project should be developed and the initial framework designed by INCITI can be used or adapted.
Priority Level:	Important
Type of Recommendation	Partners
Responsibility:	UNEP project staff should pass the recommendation effectively to ARIES / Recife Municipality
Proposed implementation time-frame:	1 year

Recommendation #2:	MCTI and CGEE should develop a sustainability strategy for ensuring that SCIO is financially sustainable and maintained relevant and up-to-date
Challenge/problem to be addressed by the recommendation:	The SCIO was completed near the end of the project and lacked a strong connection with Brazilian municipalities. To ensure its continued relevance, the platform must be regularly updated, with solutions ranked according to the municipalities' profiles. Given that CGEE is a think tank, it is essential to establish a dedicated management structure and staff responsible for maintaining the connection and providing technical assistance to the municipalities, the platform's end users.
Priority Level:	Important
Type of Recommendation	Partners
Responsibility:	UNEP project staff should pass the recommendation effectively to CGEE / MCTI
Proposed implementation time-frame:	1 year

Recommendation #3:	UNEP and its implementing partners should adopt a more focused approach in the design of future GEF sustainable city projects, targeting specific territorial or sectoral levels rather than overly decentralized and sectoral dispersed interventions.
Challenge/problem to be addressed by the recommendation:	The project achieved significant milestones despite challenges such as territorial dispersion, a high number of implementation partners, and political instability. However, a more focused approach could have facilitated more consistent progress toward outcomes. Thus, better coordination and a concentrated focus on either territorial or sectoral levels would be beneficial for future projects.
Priority Level:	Opportunity for improvement
Type of Recommendation	UNEP wide and partners
Responsibility:	UNEP / MCTI
Proposed implementation time-frame:	continuous

Recommendation #4	UNEP and implementing partners should identify and include all the tax requirements in the budget of future GEF projects in Brazil during the project development phase or make timely requests for possible exemptions
Challenge/problem to be addressed by the recommendation:	The project implementation in Brazilia was affected by the charge of a 5% tax was charged on the entire budget of CGEE + SEMA, totalling over USD \$500,000 in contributions, which were not accounted for in the initial budget. This led to a budget revision and underscores the importance of addressing this issue in future projects. Moreover, there's a need to assess implementing partners

	capacity to manage these processes, as CGEE demonstrated fragilities in the project management that affected project implementation.
Priority Level:	Opportunity for improvement
Type of Recommendation	UNEP wide and partners
Responsibility:	UNEP / MCTI
Proposed implementation time-frame:	1 year

Recommendation #5	UNEP and implementing partners should include stakeholder consultation and coordination mechanisms at the outset of project implementation
Challenge/problem to be addressed by the recommendation:	The project tested various implementation models, ranging from direct implementation by government institutions to partnerships with civil society organizations. It is crucial to balance agility and flexibility at the project level with ownership and political leadership by government institutions. Technical committees, like the one promoted by the project in Brasilia, should be established at the outset of project implementation to align activities with local public priorities and promptly identify any necessary adjustments.
Priority Level:	Opportunity for improvement
Type of Recommendation	UNEP wide and partners
Responsibility:	UNEP / MCTI
Proposed implementation time-frame:	1 year

Recommendation #6	UNEP and implementing partners should promote a closer connection between political advocacy activities (such as the ones promoted by the SCP) and with pilot project investment support to selected municipalities in future GEF projects
Challenge/problem to be addressed by the recommendation:	One of the major setbacks of the project was the inability to connect the actions under components 1 and 2 with the advocacy work under component 3, particularly by the SCP. There are significant opportunities to link political commitments to urban sustainability with financial support for testing innovative solutions. This could enhance innovation processes in urban development. Although the project achieved relevant results in this area, it failed to promote this connection, even in Recife, which was a SCP signatory.
Priority Level:	Opportunity for improvement
Type of Recommendation	Partners
Responsibility:	UNEP / SCP
Proposed implementation time-frame:	1 year

Recommendation #7	UNEP and implementing partners should develop clear theory of change processes in GEF projects (including ToC diagrams) contributing to a better understanding of the project by relevant stakeholders
Challenge/problem to be addressed by the recommendation:	The project lacked a clear theory of change at the outset, and the logical framework included poorly designed indicators. These deficiencies hindered the use of these instruments as effective planning and monitoring tools to guide project implementation. Additionally, they failed to foster a common understanding and shared vision for the project. In future projects, a well-defined theory of change and high-quality logical frameworks should be developed as essential tools for the project monitoring process.
Priority Level:	Opportunity for improvement

Type of Recommendation	UNEP wide and partners
Responsibility:	UNEP / implementing partners
Proposed implementation time-frame:	1 year

Recommendation #8	UNEP and implementing partners should develop clear gender and social and environmental safeguards strategies and mechanisms
Challenge/problem to be addressed by the recommendation:	The project did not develop a gender plan although the implementing partners have implemented some gender-related strategies. During the terminal evaluation a consistent gender approach or gender guidelines were not visible. Moreover, there were not clear guidelines for social and environmental safeguards management in place.
Priority Level:	Opportunity for improvement
Type of Recommendation	UNEP wide and partners
Responsibility:	UNEP / implementing partners
Proposed implementation time-frame:	1 year

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Response to stakeholder comments received but not (fully) accepted by the evaluators

Page Ref	Stakeholder comment	Evaluator(s) Response
par.14 – executive summary UNEP Brazil	“It is not so clear to me why the connections between C1/C2 with C3 are a central aspect to achieve the intermediate states of impact”	This description comes from the reconstructed ToC presented in the inception report. In the project design there was a connection between C1/C2 and C3 - knowledge platforms would inform the identification of pilot actions to be implemented and their implementation would feed the knowledge platforms demonstrating best practices and lessons learned. During the inception and considering that a ToC was not clearly defined during project design, intermediate states were included. To achieve most of them, there would be a need for stronger coordination between components, otherwise we could be looking at 4 different projects. In this section, we were analysing the project theory of change and not evaluation findings and in the evaluation team perspective, it is important to demonstrate the relevance of having a synergic approach between components. This process of ToC definition was instrumental for the evaluation process.
Recommendation 5 UNEP Brazil	“Don’t you think this project did that really well (stakeholder coordination and coordination mechanisms)? I thought that was one of the strengths of the project. i.e. Or is this recommendation to encourage other projects to do so, based on the success of this project?”	Although the project was successful, we believe it would have been beneficial to establish a formal consultation and coordination mechanism in Recife. This could have led to more consistent outcomes, even in light of the project's positive achievements. The varying experiences from the project suggest that formal consultation mechanisms, like the one in Brasília, are more effective than informal coordination. Overall, stakeholder participation was highly satisfactory. However, certain weaknesses, such as the IMS in Recife, and missed opportunities, like the non-use of monitoring tools developed by INCITI, could have been addressed through a formal dialogue and coordination mechanism similar to the one established in Brasília. This is discussed and evaluated under efficiency—coordination mechanisms, which serves as the basis for the recommendation.
Recommendation 4 UNEP Brazil	“I would argue this is a more important recommendation than tax issue, which is a rarity. i.e. in 30 GEF projects we have in LAC, this is the only one with a tax issue. But issues on the capacity of implementing partners is unfortunately common”	Given the impact of this issue on the project in Brasília, we believe it is necessary to retain the recommendation: “UNEP and implementing partners should identify and include all tax requirements in the budget of future GEF projects in Brazil during the project development phase, or make timely requests for possible exemptions.” However, it's important to revisit the recommendation's description. In this context, we are also addressing the partners' implementation capacity and the need for a more

Page Ref	Stakeholder comment	Evaluator(s) Response
		thorough assessment of their project management abilities.

ANNEX II. EVALUATION FRAMEWORK/MATRIX

EVALUATION QUESTIONS		METHODS	SOURCES OF INFORMATION
Strategic Questions			
SQ1: In what ways, and to what extent, have the needs and interests of differentiated groups been considered in the implementation and monitoring of the project? SQ2: In what ways, and to what extent, were the recommendations from the Mid Term Review actioned upon? SQ3: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance? SQ4: How has this project integrated lessons from other sustainable cities initiatives and what lessons can be drawn for other similar initiatives? SQ5: What key barriers to building sustainable cities in Brazil are remaining after implementation of the project? What recommendations could be made to remove them?		Interviews, Focus-groups, Field visits, Theory of Change analysis	Stakeholders, project team, beneficiaries
Strategic relevance			
1	To what extent is the project in alignment with UNEP's MTS and Programme of Work (POW)?	Document review, Interviews, Focus Groups	Project documents, UNEP MTS – /2018-2021 / 2022-2025 , and Programme of Work, SDGs, UNEP staff, government agencies, project executing agencies
2	To what extent is the project aligned with the Brazilian national development priorities, specifically regarding urban development and related SDG's?		
3	To what extent are project's objectives and implementation strategies consistent with global, regional and national environmental priorities?		
4	To what extent has the project explored and built complementarity with other existing initiatives? (Assessment of coherence/Level of alignment with initiatives by national and local government agencies and donor funded projects)		
Quality of Project Design			
See Annex 2 of this report		Desk review, interviews	Project document; Progress reports, MTR report Project team
Nature of External Context			
5	How did the political, environmental, social, institutional, and financial context change, if at all, and how did it affect project implementation? In particular, were there any climatic events, security situations, unfavourable economic changes, or significant political change or unrest? How did the	Desk review, interviews	Project documents, project team, interviews with key stakeholders

EVALUATION QUESTIONS		METHODS	SOURCES OF INFORMATION
municipal elections in 2020 and the national and Brasilia Federal District Elections affected project implementation?			
6	What were, if any, the adaptive management measures planned and implemented in response?		
Effectiveness			
Availability of Outputs			
7	How successful was the project in delivering the planned outputs and in a timely manner? In case of delays or modifications to the outputs, what were the reasons?	Desk review, interviews, Focus groups, field visits	Project documents, project team, interviews with key stakeholders
8	What were the factors influencing the delivery of outputs – both facilitating and hindering factors, such as quality of project management and supervision, preparation and readiness, etc.?		
9	How useful and relevant were the delivered outputs to intended beneficiaries? How were women and marginalized involved in implementation and what were the impacts on the women/ marginalized groups who were involved in the project either as beneficiaries or in other capacities?		
10	How satisfactory was the quality of generated knowledge products content-wise in terms of communicating clearly key findings?		
11	What is the operational status of the information management systems promoted by the project? Who are their users? How these systems inform local urban policy and plans?		
12	How did the project engage government and civil society stakeholders in project implementation?		
13	What's the operational status of the supported pilot interventions?		
14	What was the level of stakeholder engagement in pilot initiatives design and implementation?		
15	How did the project enhanced SCP and how does this platform coordinates it's approach with OICS?		
Achievement of Project Outcomes			
16	To what extent where the interventions in Brasilia and Recife coordinated? Was there some knowledge sharing mechanism to support and enhance this coordination?	Desk review, interviews, field visits, analysis of Theory of Change	Project documents, project team, interviews with key stakeholders
17	How did the different project components contribute to implement each other? How did the integrated urban planning systems inform project pilot initiatives and future interventions? How did the pilot initiatives fueled the knowledge platforms? How did the knowledge platforms inform the development or urban monitoring systems at the local level in Brasilia and Recife?		
18	To that level the Knowledge Platform expanded and increased capacity to promote advocacy and disseminate best practices?		
19	To what extent institutional changes have impacted the project?		
20	To what extent have the project promoted a comprehensive, evidence-based integrated and sustainable planning approach in Brasilia and Recife? What are the main changes at this level?		
21	To what extent have pilot investments demonstrated the benefits resulting from integrated and		

EVALUATION QUESTIONS	METHODS	SOURCES OF INFORMATION
sustainable planning in Brasilia and Recife? Were these changes properly monitored and documented? How were women and marginalized involved in implementation and what were the impacts on the women/ marginalized groups who were involved in the project either as beneficiaries or in other capacities? 22 To what extent the tested integrated and sustainable planning solutions were promoted by the National Platform for Sustainable Cities? To what extent did the assumptions and drivers from the project outputs to project outcomes hold?		
Likelihood of impact		
23 How did the project establish greater collaboration between key government stakeholders? How has this collaboration translated into the enhancement of urban planning in Brasilia and Recife? 24 Are there clear mayors and city legislators commitments to the sustainable cities principles? Are these commitments translated into legally bound sustainable urban plans? 25 Are there evidences of cities development plans being informed by IMS? How did project intervention enhanced citizen engagement? Are evidences collected by thematic research and studies available for open consultation? 26 Are there evidences of scaling up pilot initiatives promoted by the project at local, state and national levels? What was the project strategy at this level? 27 Did project intervention enhanced resilient territorial land use and food security? How? 28 Did pilot investments improve the quality of live for local citizens and use of public spaces by women, children, and marginalized groups? How where these impacts monitored? 29 How did project intervention impacted the development and adoption of sustainable, integrated and climate resilient plans in Brasilia and Recife? 30 How did project intervention contributed to an enhanced capacity to support Brazilian cities at national level regarding sustainable urban planning? 31 Did the project promoted urban planning governance models that can be scaled-up? 32 Where there any significant unintended side effects resulting from project intervention? To what extent did th assumptions and drivers from project outcomes to intermediate states hold?	Desk review, interviews, Focus-groups, collective analysis of the theory of change	Project documents, project team, interviews with key stakeholders,
Financial Management		
33 To what extent did the financial management of the project adhere to UNEP's financial policies and procedures? 34 How complete was the financial information of the project? 35 To what extent was the communication between financial and project management staff effective? 36 How adequate was the amount of financing for achieving stated outcomes/project objective?	Desk review, interviews	Project documents, project team, interviews with key stakeholders

EVALUATION QUESTIONS	METHODS	SOURCES OF INFORMATION
37 How sound was the budget planning and execution? (Did expenditures match the approved budget / work-plan? What were the reasons for under/overspent budget, if any?) 38 To what extent did the financial management issues affect the timely delivery of the project or the quality of its performance? 39 What levels of co-financing did the project obtain?		
Efficiency		
40 To what extent was the implementation of project activities compliant with the original plan, both with regards to time and financial budgets? Were the project extensions reasonable and justifiable? were there any impacts on planned outputs and outcomes? 41 To what extent was the project cost-effective? 42 To what extent did the project utilize/build on the existing institutions, partnerships, data sources, information and communication channels, networks? 43 To what extent the partnerships/synergies were established with similar initiatives?	Desk review, interviews,	Project documents, project team, interviews with key stakeholders
Monitoring and Reporting		
Monitoring design and budgeting		
44 How adequate was the project's M&E plan in terms of completeness of indicators, indicator definitions (SMART), frequency of data collection, and resource allocation (both human and financial). 45 To what extent were the project's indicators and methods for data collection relevant and appropriate for tracking progress?	Desk review, interviews	Project documents, project team, interviews with key stakeholders
Monitoring of project implementation		
46 To what extent was the monitoring system operational - indicators measured timely, with indicated frequency and methods of data collection - throughout the project's implementation? 47 To what extent is the gathered baseline data relevant, accurate and appropriately documented? 48 To what extent was the monitoring the representation and participation of disaggregated groups (incl. women, marginalized, vulnerable groups) in project activities conducted? 49 What was the quality of the information generated by the monitoring system and how it was used to adapt and improve project execution, achievement of outcomes and for ensuring sustainability? 50 What was the performance at the project's completion against Core Indicator Targets? 51 For the GEF Portal: 52 What was the performance at the project's completion against Core Indicator Targets?	Desk review, interviews	Project documents, project team, interviews with key stakeholders

EVALUATION QUESTIONS		METHODS	SOURCES OF INFORMATION
Project reporting			
53	To what extent were the reporting requirements fulfilled - vis a vis the taken obligations (PIR, progress reports, financial reports, etc.) and with respect to the effects of the project on disaggregated groups?	interviews	Project documents, project team, interviews with key stakeholders
Sustainability			
Socio-political sustainability			
54	To what extent do social and political factors support the continuation and further development of project outcomes?	Desk review, interviews, collective discussion of the theory of change	Project documents, project team, interviews with key stakeholders
55	What is the level of readiness of national government stakeholders to continue work on the project's initiated policy and legal changes, and on strengthening the institutional arrangements.		
Financial sustainability			
56	To what extent are the project outcomes financially sustainable?	Desk review, interviews, collective analysis of the theory of change	Project documents, project team, interviews with key stakeholders
Institutional Sustainability			
57	To what extent the sustainability of project outcomes (esp. policies and laws) dependent on issues related to institutional frameworks and governance?	Desk review, interviews, collective analysis of the theory of change	Project documents, project team, interviews with key stakeholders
58	Are institutional governance structures and processes robust enough to continue delivering the benefits associated with the project outcomes after project closure?		
Factors affecting project performance and cross cutting issues			
Preparation and readiness			
59	What changes were made to the project design after the project approval and in response to changes in the social and political context?	Desk review, interviews,	Project documents, project team, interviews with key stakeholders
60	To what extent the documents promised in the design were developed: e.g. communication and stakeholder engagement plan?		
61	What was the extent and quality of engagement of the project team with all the relevant stakeholder		

EVALUATION QUESTIONS	METHODS	SOURCES OF INFORMATION
groups (how well those groups were identified)?		
Quality of project management and supervision		
62 How effective was the project management in terms of: - Planning and implementing activities for delivering the stated results, supervising the project performance? - Ensuring the participation of all the relevant stakeholders in project activities? - Ensuring coordination, knowledge sharing among the involved parties / similar initiatives - Responding to and overcoming challenges, managing risks?	Desk review, interviews	Project documents, project team, interviews with key stakeholders
Stakeholder participation and cooperation		
63 To what extent a clear stakeholder engagement plan was available and was implemented? 64 To what extent did the project involve all the relevant stakeholders in its implementation? 65 How effective were the mechanisms for stakeholder participation and cooperation ? 66 To what extent was the engagement of different - gendered, marginalized groups, etc. – was ensured? 67 For the GEF Portal: 68 What were the progress, challenges and outcomes regarding engagement of stakeholders in the project as evolved from the time of the MTR?	Desk review, interviews, case studies	Project documents, project team, interviews with key stakeholders
Responsiveness to human rights and gender equity		
69 To what extent has project implementation and monitoring taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation? 70 Did the project have a clear gender strategy? What are the main results its implementation. For the GEF Portal: 71 What were the completed gender-responsive measures and, if applicable, actual gender result areas?	Desk review interviews,	Project documents, project team, interviews with key stakeholders
Environmental and social safeguards		

EVALUATION QUESTIONS	METHODS	SOURCES OF INFORMATION
72 To what extent did the project address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage? 73 To what extent did the project assess and manage risks (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project activities? How the identified risks were addressed? 74 To what extent UNEP requirements¹⁴ were met to: review risk ratings on a regular basis; monitor project implementation for possible safeguard issues; respond (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and report on the implementation of safeguard management measures taken? 75 To what extent were the pilot projects screened for any safeguarding issues and environmental and social risk assessments conducted? 76 To what extent did the project management management of the project minimize the project's environmental footprint? For the GEF Portal: 77 What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed.	Desk review, interviews	Project documents, project team, interviews with key stakeholders
Country ownership and driven-ness		
78 What is the quality and degree of engagement of government / public sector agencies in the project? 79 How committed are the stakeholders to implement integrated and participative planning models focused on the sustainable cities principles?	Desk review, interviews	Project documents, project team, interviews with key stakeholders
Communication and public awareness		
80 Where lessons learned collected and disseminated (namely through SCP and OICS)? 81 How the Knowledge Platform expanded and increased capacity to promote advocacy and disseminate best practices? 82 What was the effectiveness of communication of learning and experience sharing between project	Desk review, interviews,	Project documents, project team, interviews with key stakeholders

¹⁴ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

EVALUATION QUESTIONS	METHODS	SOURCES OF INFORMATION
partners and interested groups arising from the project during its life? 83 What is the sustainability of the communication channels established under the project? 84 What was the effectiveness of public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behavior among the target stakeholders? For the GEF Portal: What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions?		

ANNEX III. PEOPLE CONSULTED DURING THE EVALUATION

People consulted during the Evaluation

Organisation	Name	Position	Role in the project	Gender
UNEP Brazil	Asher Lessels	Portfolio Manager	Overall supervision	M
MCTI / UNEP	Isabela Melo	Project Assistant	Project Management	F
MCTI / UNEP	Tatiane Vieira de Jesus	Project Manager	Project Management	F
MCTI / UNEP	Régis Rathmann	Climate Consultant	Component 3 - SCIO	M
MCTI / UNEP	Angelica Griesinger	Project Manager/Technical Coordinator	Project Management	F
UNEP	Renato Machado	Financial Officer	Project Management	M
UNEP	Taina Mattos	Financial Assistant	Project Management	F
MCTI	David Peixoto	National Coordinator	Execution Agency	M
MCTI	Marcela Raposo	National Director	Execution Agency	F
MCTI	Savio Raeder	Former National Director	Execution Agency	M
MCTI	Luiz Mourão Pereira	Former National Director	Execution Agency	M
MCTI	Ana Stival	Former National Coordinator	Execution Agency	F
ARIES	Mariana Pontes	Technical Coordinator	Co-execution agency	F
ARIES	Amanda Matos	Financial Assistant	Co-execution agency	F
ICPS	Mariana Asfora	Director	Component 1	F
Recife Municipality	Noé Sérgio	Special Projects Department	Component 2	M
Recife Municipality	Roberto Lins	Special Projects Department	Component 2	M
Recife Municipality	Wesley Moraes	Special Projects Department	Component 2	M
EMLURB	José Carlos Vidal	Focal Point	Component 2	M
ARIES	Dayse Vital	Technical staff	Co-execution agency	F
ARIES	Maxwell Vieira	Technical staff	Co-execution agency	M
Recife Municipality	Isabella de Roldão	Vice-Mayor	Beneficiary municipality	F
Secretariat of Planning, Management and Digital Transformation SEPLAGTD	Felipe Matos	Secretary	Beneficiary Municipality	M
Iputinga community based association	Ismael	member	Pilot investments beneficiaries	M
Iputinga Community based association	Canindé	member	Pilot investment beneficiaries	M
INCITI	Raquel Meneses	Coordinator	Pilot investments – component 2	F

Organisation	Name	Position	Role in the project	Gender
SEMA	Nazaré Soares	Technical Coordinator	Co-execution agency	F
SEMA	Genilson Soares	Sub-secretary of Strategic Affairs (from October 2023)	Co-execution agency	M
SEMA	Flavia Iliada	Chief Advisor (from October 2023)	Co-execution agency	F
SEMA	Andre Souza	Project assistant	Co-execution agency	M
SEMA	Suzzie Valladares	Special Assistant	Co-execution agency	F
SEMA	Leonel Pereira	Technical Assistant	Co-execution agency	M
SEMA	Hamilton Neto	Technical Assistant	Co-execution agency	M
SEMA	Glauco Amorim	Technical Assistant	Co-execution agency	M
IPEDF	Aline Oliveira		Governmental Institution – member of the technical committee	F
SEDUH	Daniela Carvalho			F
SGEDF	Jose Ricardo Neto			M
SLU	Andreia Almeida			F
SEAGRI	Jose Voltaire			M
EMATER	Daniel Oliveira			M
SEMA	Rogério Silva	SISDIA coordinator	Co-execution agency	M
	Gizelma Assis	Beneficiary	SAF – component 2	F
	Ricardo Rosa	Beneficiary	SAF – component 2	M
	Gedilene Lustosa	Beneficiary	SAF – component 2	F
SEMA	Tereza Oliveira	SISDIA	Co-execution agency	F
CGEE	Raiza Fraga	Technical Coordinator	Co-execution agency	F
CGEE	Patricia Reis	Technical Advisor	Co-execution agency	F
CGEE	Carlos Fortner	Financial Diretor	Co-execution agency	F
CGEE	Fernando Assunção	President	Co-execution agency	M
CGEE	Anderson Gomes	Director	Co-execution agency	M
CGEE	Caetano Penna	Director	Co-execution agency	M
ICS	Zuleica Goulart	Project Coordinator	Co-execution agency	F
ICS	Jorge Abraão	ICS Director	Co-execution agency	M
ABM	Valentina Falkenstein	Director	Partner – component 3	F
FNP	Miriam Licnerski	Director	Partner – component 3	F
Urban Alliance / Boticario Foundation	Juliana Baladelli Ribeiro	Director	Partner – component 3	F
ICLEI	Rodrigo Perpétuo	Executive Diretor – Latin America	Partner – component 3	M
Government of Paraná state	Filipe Braga Farhat	International Project Coordinator	Partner – component 3	M

ANNEX IV. KEY DOCUMENTS CONSULTED

Most relevant documentation was provided through a shared folder. Other relevant documents were provided as requested during the project evaluation process. The shared folder was organized between financial and technical management and a separate folder was provided with all of the project deliverables relevant documentation. Additional financial information was provided as requested by the evaluation consultants.

Project planning and reporting documents

- Project Design Documents: Formal Revisions
- Financial Documentation (Audits; Co-financing; Expenditure Reports; Inventory Reports; Legal Agreements; Project Revision; Technical Notes)
- Progress Implementation Reports
- Technical Final Report
- Key agreements and amendments
- Minutes from the Project Review Committee
- Steering Committee Minutes
- Monitoring Plans from implementing partners

Project outputs work package Component 1.

- Recife 500 years plan, Recife 500 years Indicator Panel, Water and air quality stations data, Municipal Climate Change Adaptation Strategy, Integrated Social Housing Policy, Carbon Market Study for Recife, Urban study on properties of social interest.
- SISDIA documentation and reports; Mitigation and Adaptation Plans in Brasília, SEMA's CONAREDD resolution; Federal District PluriAnnual Plan Brasília 2024-2027; Paranoá and Descoberto Watersheds Sustainability Plan; SLU Annual reports;

Project outputs work package Component 2:

- Financial and technical feasibility studies for the solar boats in Recife, projects and reports for the urbanizations of the banks of the Capibaribe River, Filtering gardens documentation and project, Documentation related to the pedestrian bridges in Recife.
- Dumpsite studies and technical proposals, Report on the implementation of pilot initiatives, contracts, training reports , monitoring reports and data - Brasília

Project outputs work package Component 3

- SCP reports, access reports, SCP modules documentation, training reports, campaigns and events reports, SCP database, publications;
- SCIO reports, access reports, reports and campaigns reports, SCIO publications, SCIO solutions database

Previous evaluations

- Mid-Term Review Report

Reference documents

- Final Publication on CITinova – ARIES
- Final Publications SEMA
- CITinova final publication - MCTI
- INCITI planning and monitoring documents for the Capibaribe Park project
- Lessons Learned factsheets
- Law 6.229 - Brasília

ANNEX V. EVALUATION ITINERARY

Date	Local	Time	Stakeholders to engage	Methodology	Main topics
March 2024	Preliminary Meetings with UNEP, UNEP Brazil and implementation partners				
March 24th	Travel to Recife				
March 25th	Recife	9.00-11:00	ARIES	Interview	Project design, Project implementation, coordination with relevant stakeholders, pilot investments, main achievements and lessons learned Focus on project governance and management
March 25th	Recife	11:00-12:30	Instituto da Cidade Pelópidas / SEPLAGDT	Interview	Implementation of Component 1
March 25th	Recife	14:00-17:00	Recife Municipality, Parque Capibaribe / Recentro, ISCP, Emlurb	Focus group with institutional representatives and technical staff	Project implementation, IMS, pilot investments, coordination with component 3, main achievements, challenges and Lessons learned
March 26th	Recife	9.00-12:00	ARIES, Recife Municipality and Parque Capibaribe	Technical visit – filtering gardens Caiara, Vintém	Assessment of the impacts of the pilot investments. Focus on the project Theory of Change
March 26th	Recife	14:00-18:00	ARIES / Recife Municipality / Parque Capibaribe	Technical visit - Baoba Park / Graças Park	Piloto investments and alignment with the overall intervention of the Capibaribe Park
March 27th	Recife	9.00-12:00	Local Communities, Casa das Asas (NGO)	Focus group	Engagement in project implementation / Perception of changes after project implementation
March 27th	Recife	14:00-16:00	OXY Social Local Communities, Casa das Asas (NGO)	Meeting	Analysis of the impact assessment produced by Oxy Social – focus on pilot investments
March 27th	Recife	16:00-17:00	ARIES	Interview	Collective analysis or preliminar findings
March 27th	Travel Recife - Brasília				
March 28th	Brasília	10:00 – 12:00	MCTI	Interview	Project design, Project implementation, coordination of different implementation partners

Date	Local	Time	Stakeholders to engage	Methodology	Main topics
					– main achievements, challenges and lessons learned Focus in project management and governance
March 28th	Brasilia	14:00 – 17:00	CGEE	Interview	Project implementation, Knowledge Platform current status (OICS), articulation with actions in Recife and Brasilia, analysis of technical and financial sustainability of OICS, current capacity to work with Brazilian Municipalities
March 29th	Public holiday – internal work by the evaluation team and potential meetings with individuals who were engaged in the project implementation				
March 30th	Weekend – project implementation partners are not available to meet or to have technical visits during these days				
March 31th					
April 1st	Brasilia	09:30 – 12:00	SEMA	Interview	Project design, Project implementation, coordination with relevant stakeholders, pilot investments, main achievements and lessons learned Focus on project governance and management
April 1st	Brasilia	14:00 – 16:00	Focus group with local government institutions who were engaged in CITInova implementation	Focus group	Engagement of different stakeholders in project implementation, role of the local committee in project supervision, lessons learned
April 1st	Brasilia	16:00 – 18:00	SISDIA	Meeting	Assessment of SISDIA implementation / current status of operation
April 2nd	Brasilia	09:00 – 12:00	SEMA	Technical Visit – Watershed conservation actions	Assessment of pilot activities implementation, main results and challenges – coordination with other ongoing activities and projects
April 2nd	Brasilia	14:00 - 18:00	SEMA / SEAGRI / EMATER	Technical Visit – Agroforestry systems	Assessment of pilot activities implementation, main results and challenges – coordination with other ongoing activities and projects Meeting with project beneficiaries

Date	Local	Time	Stakeholders to engage	Methodology	Main topics
April 3rd	Brasilia	09:00-12:00	SEMA / SISDIA	Technical visit	Visit to Aguas Claras solar power station
April 3rd	Brasilia	14:00-16:00	SEMA	Meeting	Climate Change Adaptation, governance model of power stations
April 3rd	Brasilia	16:00-17:00	SEMA	Meeting	Preliminary Debriefing
April 4th	Brasilia	09:00-12:00	UNEP	Meeting	Discussion of preliminary findings with the Portfolio Manager
April 4th	Travel Brasilia – S. Paulo				
April 5th	S. Paulo	09:00-12:00	ICS / SCP	Interview	Project Implementation Coordination of SCP with OICS and with other project components Technical and financial sustainability of the SCP Mapping of relevant stakeholders to engage in project evaluation
April / May	Remote meetings with key stakeholders				
June 11th	Preliminary debriefing with UNEP Brazil office				

ANNEX VI. EVALUATION TORS (WITHOUT ANNEXES)

TERMS OF REFERENCE

Terminal Evaluation of the UNEP/GEF project

"Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment" - GEF ID 9142

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

GEF Project ID:	9142		
Implementing Agency:	UNEP/ Economy Division / Energy and Climate Branch/ Climate Mitigation Unit	Executing Agency:	Ministry of Science, Technology and Innovation (MCTI), Aries, CGEE, SCP, GDF, UNEP
Relevant SDG(s) and indicator(s):	SDG goal 11: Target 11.3; Indicator 11.2.1 and Target 11.6; Indicator 11.6.1		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7 ¹⁵)	Improved management of landscapes and seascapes covering 300 million hectares – Total project target: 415 hectares 120 million hectares under sustainable land management – Total project target: 80 hectares 750 million tons of CO ₂ e mitigated (include both direct and indirect) – Total project target: 3,802,710 metric tons		
Sub-programme:	Sustainable Cities	Expected Accomplishment(s):	MTS 2018-2021: Climate Change EA2 MTS 2022-2025: Climate Action, outcome 2
UNEP approval date:	March 2017	Programme of Work Output(s):	2018-2019 POW: (a)(i)(ii), (b)(i)(ii) 2020-2021 POW: (a)(i)(ii)(iii), (b)(i)(ii)
GEF approval date:	January 2017	Project type:	Full size project
GEF Operational Programme #:	1355	Focal Area(s):	IAP Sustainable Cities
		GEF Strategic Priority:	
Expected start date:	March 2017	Actual start date:	19 April 2018
Planned operational completion date:	19 April 2022	Actual operational completion date:	31 October 2023
Planned project budget at approval:	\$ 218,286,438	Actual total expenditures reported as of June 2023:	\$254,026,192+20,308,609 = \$ 274,334,801

¹⁵ This does not apply for Enabling Activities

GEF grant allocation:	\$ 22,635,780	GEF grant expenditures reported as of June 2023:	\$ 19,700,085 + 608,524 = \$20,308,609
Project Preparation Grant - GEF financing:	\$ 327,000	Project Preparation Grant - co-financing:	N/A
<i>Expected</i> Medium-Size Project/Full-Size Project co-financing:	\$ 195,650,658	Secured Medium-Size Project/Full-Size Project co-financing as of June 2022:	\$ 254.026.192
Date of first disbursement:	April 2018	Planned date of financial closure:	October 2024
No. of formal project revisions:	5	Date of last approved project revision:	21 September 2023
No. of Steering Committee meetings¹⁶:	24	Date of last/next Steering Committee meeting:	Last: 1 June 2023
Mid-term Review/ Evaluation (<i>planned date</i>):	December 2020	Mid-term Review/ Evaluation (<i>actual date</i>):	March 2021
Terminal Evaluation (<i>planned date</i>):	October 2023	Terminal Evaluation (<i>actual date</i>):	January 2023
Coverage - Country(ies):	Brazil	Coverage - Region(s):	Latin America and the Caribbean
Dates of previous project phases:	N/A	Status of future project phases:	GEF-7 project on Sustainable Cities in Brazil is under execution (CITinova 2)

2. Project Rationale

Brazil's urban population has been increasing steadily, resulting in numerous social and environmental challenges. Over 85 percent of Brazil's population currently lives in urban areas, an increase from 30 percent in the 1940s. This has largely been the result of rural-urban migration. Over the years, people have been leaving the country's interior and rural areas due to slow development and lack of opportunities and choosing to settle in medium-sized and large cities that benefit from industrialization and a concentration of income.

This urban influx of people has generated a growing demand for jobs, housing, public services, among other goods, and has accentuated the lack of planning, integrated management systems, and sustainability in Brazilian cities. Cities have been unable to meet the needs of all their inhabitants and this has contributed to a multitude of challenges such as public good shortages, urban sprawl, and illegal settlements. For example, Brasília is currently facing increased risk of water and energy shortage, and the potential of economic and human losses from natural hazards is being exacerbated by the rate of unplanned urban expansion and influenced by the quality of urban management. Much of the new urban population growth has been occurring in city outskirts, in very poor conditions, with little or no infrastructure or public services, and exposed to various illegal and informal markets. Brazil has a total housing deficit of approximately 4.7 million urban households, this includes replacing and increasing the supply (João Pinheiro Foundation, 2015).

In addition to insufficient resources and services, Brazil's current urban environment has created such a critical situation that in 2015 over 25% of the country's cities declared a public emergency or calamity linked to extreme weather events or hazardous urbanization related to improper planning. Climate change brings additional challenges with a growing number and variety of impacts on the ecosystems and citizens livelihoods. Urban sprawl in peri-urban areas and informal settlements are particularly vulnerable to

¹⁶ This includes meetings of the Management Unit and Management Committee.

natural hazards due to their tendency of residing in high-risk areas and faulty shelters, having limited access to basic and emergency services, and a general lack of resilience. City management is often reactive to disasters, with little consideration given to reducing or managing risk in a comprehensive and preventive manner.

In the last 15 years, Brazil has advanced significantly in creating legislation that requires planning and management of sustainability plans and a national plan for climate change. However, not all cities have adopted sustainability plans. In addition, there is a lack of national guidance for integrated urban planning and lack of awareness about the benefits of such planning. Cities have begun to consider long-term vision plans to provide strategic direction to and support for integrated planning. In addition, there are several civil society organizations (CSO) that are starting to promote this and support cities with their long-term strategic plans.

The project intended to use this momentum to test integrated and sustainable urban planning approaches in two Brazilian cities, and foster uptake by other cities through the establishment of a Knowledge Platform to be hosted by the CSO Sustainable Cities Programme. The project targeted Recife and Brasilia as both cities were receptive to the concepts of sustainability and integration and were in the process of reviewing several of their urban plans. The project aimed to help these cities expediate their integrated urban planning process and promote this in other urban areas throughout the country. The project is part of the GEF's Integrated Approach Pilots Programme (IAPs) under its Sustainable Cities IAP Programme covering 28 cities in 11 countries which "promotes among participating cities an approach to urban sustainability that is guided by evidence-based, multi-dimensional, and broadly inclusive planning processes that balance economic, social, and environmental resource considerations".¹⁷

3. Project Results Framework

The project objective was to promote sustainability in Brazilian Cities through integrated urban planning and innovative technologies. It was built upon three components:

- Integrated Planning Pilots
- Integrated Investment Pilots
- Knowledge Platform

Each component was associated with at least one outcome and different outputs as presented in the Results Framework at design below (Project Document). Some changes were made to the Results Framework during the project implementation; see the Implementation Issues section.

Table 2. Results Framework as presented in the Project Document

Component	Outcomes	Outputs
Component 1	A comprehensive evidence-based integrated and sustainable planning approach is adopted by Brasilia	1.1.B Environmental Information System (SISDIA) including EEZ guidelines and data is completed, online and available for FDG sustainable planning and public access.
		1.2.B New data and studies to populate SISDIA are collected, developed and included in SISDIA.
		1.3.B. Climate risk assessment and scenarios are completed and 'climate bill' is drafted.
		1.4.B. Citizens' are engaged in FDG public policy making
		1.5.B. Lessons learned are collected and structured to feed the local and national platforms.
	A comprehensive evidence-based integrated and sustainable planning	1.1.R. Integrated and resilient Plans for Recife through enhanced popular participation, more evidence and live and open data

¹⁷ <https://www.thegef.org/topics/sustainable-cities>

	approach is adopted by Recife	1.2.R. Geo-referenced Integrated Management System (IMS) is tested
		1.3.R. Lessons learned collected and structured to serve as input to the national platform
Component 2	Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Brasilia	2.1.B. Springs preservation completed, best practices implemented, and open dumpsite monitored towards decommissioning.
		2.2.B. Solar energy pilots and promotion are completed
		2.3.B. Lessons learned are collected and structured to feed the local and national platforms.
	Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Recife	2.1.R. The financial and technical viability of operating 2 Solar boats across the Capibaribe river is assessed
		2.2.R. Banks of the Capibaribe River urbanized in two sections.
		2.3.R. Filtering Garden cleaning the water through the use of vegetation.
		2.4.R. The City tracks and generates information and lessons on the experiences with the pilots for the national platform.
Component 3	The tested integrated and sustainable planning solutions are promoted by the National Platform for Sustainable Cities to up to 300 Brazilian cities as the reference for integrated urban planning	3.1. An operational Knowledge Platform online
		3.2. Operational modules for the Knowledge Platform portal online
		3.3. Skills Development Training designed and delivered
		3.4. Mayors and politicians mobilised to join the sustainable cities platform
		3.5. Sustainable solutions to six urban planning and investment challenges identified and delivered to Brasilia, Recife and SCP
		3.6. Solutions for urban planning and investments promoted to other cities.

4. Executing Arrangements

UNEP was the Implementing Agency through its GEF Climate Change Mitigation Unit (Economy Division, Energy and Climate Branch). The Unit was responsible for the supervision of project execution to ensure consistency with GEF and UNEP policies and procedures and was responsible for overall project reporting.

The Brazilian Ministry of Science, Technology and Innovation (MCTI) was the Executing Agency. MCTI, under the Brazilian Cooperation Agency (ABC), was responsible for the execution of the project and approval of all project expenditures. The UNEP Brazil office provided provide execution support to the project.

The project worked with three co-executing partners and a partner institution: (1) Aries (through the Nucleo de Gestao do Porto Digital) to manage the project activities in Recife; (2) the Center for Strategic Management Studies (CGEE) to manage the project activities related sustainable solutions and provide execution support to the project activities in Brasilia; (3) Government of the Federal District ("the Partner Institution") through the Environment Secretariat (SEMA) to implement the activities in Brasilia; and (4) Sustainable Cities Programme (SCP) (through the Instituto Sao Paulo Sustentavel) to manage project activities related to the knowledge platform. The co-executing partners (Aries, CGEE and SCP) would receive their funds from UNEP through Project Cooperation Agreements (PCAs), and conduct their own funds management, procurement, recruitment, and travel, etc.

The Project Management Unit (PMU) was responsible for day-to-day management of the project and was composed of a Project Director, Project Officer, a Project Technical Coordinator, and Project Managers (for Recife, Sustainable Cities Programme, and Brasilia and CGEE), and met monthly.

The Project Executive Committee, chaired by the Project Director, oversaw the entire project and was composed of the Project Officer, and representatives from MCTI, UNEP, and each of the co-executing partners. The committee met annually to provide strategic project direction.

The Project Steering Committee was composed of the National Project Director of MCTI and UNEP representatives and met annually to discuss project activities, and discuss and validate annual workplans and progress reports, among other things.

Figure 1 below, presented in the Project Document, Annex H, describes the project governance structure.

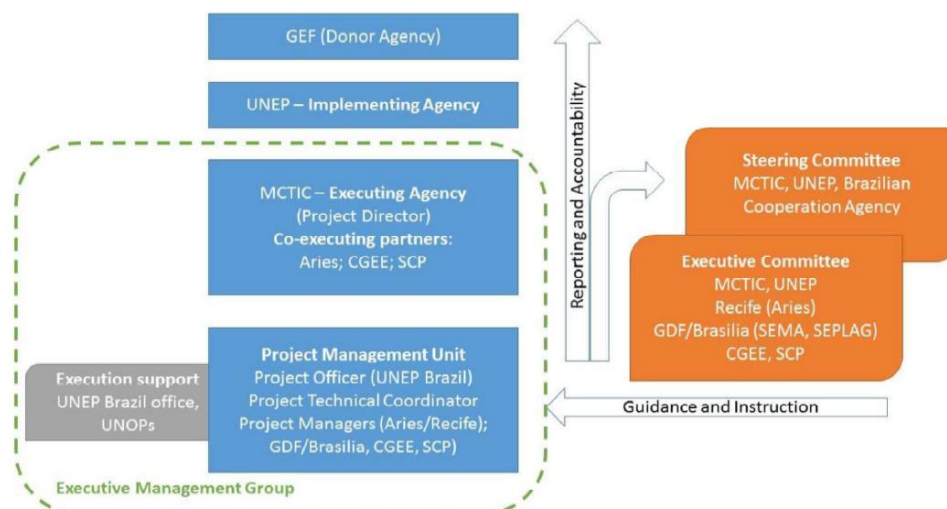
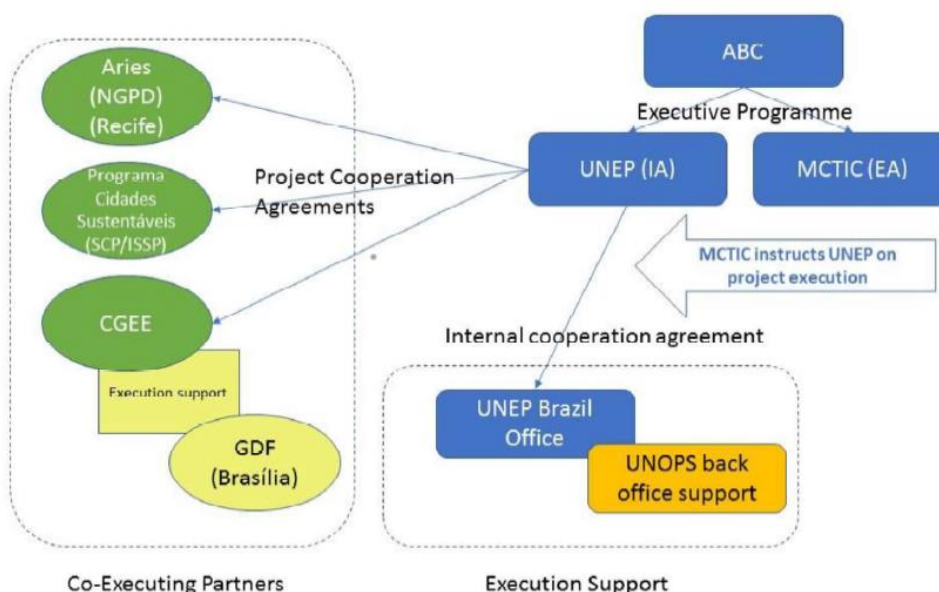


Figure 2 below, presented in the Project Document, Annex H, describes the project's implementation arrangements and legal agreements.



5. Project Cost and Financing

The project has a total budget at design of USD 218,286,438, consisting of a GEF grant of USD 22,635,780 and USD 195,650,658 in co-financing.

Table 3 below presents the breakdown of the project budget at design per project component. All amounts are in USD.

Component	GEF Grant	Co-financing	Total
Component 1	5,411,225	28,000,000	33,411,225
Component 2	7,997,010	141,087,658	149,084,668
Component 3	7,877,545	19,000,000	26,877,545
M&E	100,000	63,000	163,000
Project Management Cost	1,250,000	7,500,000	8,750,000
Total	22,635,780	195,650,658	218,286,438

The co-financing sources at design are presented in Table 4 below. All amounts are in USD.

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount
Federal Government	Ministry of Science, Technology and Innovation	In-kind	57,500,00
Federal District	Government of Federal District (FDG)	Investment	57,660,277
Municipal Government	Municipality of Recife	In-kind	47,524
State Government	Compesa	Investment	76,000,000
Civil Society Organization	Sustainable Cities Programme	In-kind	4,192,852
International Organization	UNEP	In-kind	250,001
Total Co-financing			195,650,658

6. Implementation Issues

The project experienced several challenges throughout its implementation. These included the national elections in 2018 that introduced a new presidential regime in 2019; municipal elections that also introduced new leadership in various cities; technical challenges as it took some time for cities to uptake some of the project's innovation solutions; and the coordination of multiple executing agency partners. There were also some financial challenges.

The Mid-term Review identified the following issues as factors that affected project performance to as of April 2021:

- the slow staffing of the national project management;
- the national, state and municipal elections;
- the turn-over of staff in government and executing agencies;
- the reinforcement plan;
- delays in preparation of Terms of Reference and procurement steps;
- the currency devaluation of the Real; and
- the Covid-19 pandemic

The project had 2 changes to the Project Workplan that affected the Results Framework:

- A revision, signed in May 2022, modified output 2.2B, "Solar energy pilots and promotion are completed". The original output statement foresaw the installation of a photovoltaic energy generation unit for 10 schools with the ability to sale the surplus energy generated. However, after some analysis, it was determined that it was more economical and efficient to invest in the installation of a plant with greater capacity to supply the energy demands of the 10 schools and all

environment agencies in the Federal District. The budget was modified to allocate USD 902,138 to the implementation of the photovoltaic energy pilot projects and training in installation of the photovoltaic panels.

- A revision, undated, replaced output 2.1R with a new output. The original output 2.1R was “The financial and technical feasibility of operating 2 Solar boats across the Capibaribe river is proven”. However, this was cancelled prematurely due to the conclusion that the solar boats would not be financially viable. This was replaced with a new output (2.5R): “Non motorized transport connectivity is promoted across the Capibaribe river through the establishment of bike lanes and government commitment to construct two pedestrian/cyclist bridges”. This new output was said to acknowledge the non-viability of operating the solar boat, and instead presented a new proposal for active mobility in Recife.

There were 4 amendments to bilateral agreements that resulted in a no-cost extension of the project’s technical completion date by 12 months to 30 October 2023. Some amendments included revisions to funds allocations:

- An amendment to the Internal Cooperation Agreement between the UNEP Climate Mitigation Unit and the UNEP Brazil Office signed in March 2022, extended the project technical completion date to 30 October 2023 and increased the total funds allocated to the UNEP Office for Brazil by USD 111,718 to a total allocation of USD 949,263 (which is GEF financing).
- An amendment to the Project Cooperation Agreement between UNEP and the Center for Strategic Studies and Management, and the Government of the Federal District of Brasilia, through the Environment Secretariat, signed in March 2022 extended the project technical completion date to 30 October 2023, reduced the amount funds allocated to outputs 2.5 and 3.6, and called for the transfer of USD 111,718 from these outputs to the UNEP Office for Brazil.
- An amendment to the Project Cooperation Agreement between UNEP and Nucleo de Gestao do Porto Digital, signed in March 2022 extended the project technical completion to 30 October 2023 to allow for receipt of all terminal reporting including the final audit report.
- An amendment to the Project Cooperation Agreement between UNEP and Instituto Cidades Sustentaveis, signed in April 2022 extended the project technical completion to 30 October 2023 to allow for contingency and receipt of all terminal reporting including the final audit report.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Objective of the Evaluation

In line with the UNEP Evaluation Policy¹⁸ and the UNEP Programme Manual¹⁹, the Terminal Evaluation is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, MCTI, Aries/Recife, SEMA/Brasilia, CGEE, and SCP. Therefore, the Evaluation will identify lessons of operational relevance for future project formulation and implementation, especially where a second phase of the project is being considered. Recommendations relevant to the whole house may also be identified during the evaluation process.

8. Key Evaluation Principles

Evaluation findings and judgements will be based on sound evidence and analysis, clearly documented in the Evaluation Report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

¹⁸ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

¹⁹ <https://wecollaborate.unep.org>

The “Why?” Question. As this is a Terminal Evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant(s) needs to go beyond the assessment of “what” the project performance was and make a serious effort to provide a deeper understanding of “why” the performance was as it was (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

Attribution, Contribution and Credible Association: In order to attribute any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the contribution made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A credible association between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

Communicating evaluation results. A key aim of the Evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the Main Evaluation Report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an Evaluation Brief or interactive presentation.

9. Key Strategic Questions

In addition to the evaluation criteria outlined in Section 10 below, the Evaluation will address the strategic questions listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TE.

Q1: In what ways, and to what extent, have the needs and interests of differentiated groups been considered in the implementation and monitoring of the project?

Q2: In what ways, and to what extent, were the recommendations from the Mid Term Review actioned upon?

Q3: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project’s performance?

Q4: How has this project integrated lessons from other sustainable cities initiatives and what lessons can be drawn for other similar initiatives?

Q5: What key barriers to building sustainable cities in Brazil are remaining after implementation of the project? What recommendations could be made to remove them?

Address the questions required for the GEF Portal in the appropriate parts of the report and provide a summary of the findings in the Conclusions section of the report:

a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project’s completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided²⁰).

²⁰ This is not applicable for Enabling Activities

b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*

c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*

d) Under Factors Affecting Performance/Environmental and Social Safeguards:

What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)*

e) Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. A weightings table in excel format will be provided by the Evaluation Manager to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The Evaluation Consultant(s) can propose other evaluation criteria as deemed appropriate.

Strategic Relevance

The Evaluation will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The Evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

Alignment to the UNEP Medium Term Strategy²¹ (MTS), Programme of Work (POW) and Strategic Priorities

The Evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building²² (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

²¹ UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

²² <http://www.unep.fr/ozonaction/about/bsp.htm>

Alignment to Donor/GEF/Partner Strategic Priorities

Donor, including GEF, strategic priorities will vary across interventions. GEF priorities are specified in published programming priorities and focal area strategies. The Evaluation will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

Relevance to Global, Regional, Sub-regional and National Environmental Priorities

The Evaluation will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: UN Development Assistance Frameworks (UNDAF), national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no one behind.

Complementarity with Relevant Existing Interventions/Coherence²³

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization²⁴, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The Evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equality
- Country ownership and driven-ness

Quality of Project Design

The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Evaluation Inception Report. Later, the overall Project Design Quality rating²⁵ should be entered in the final evaluation ratings table (as item B) in the Main Evaluation Report and a summary of the project's strengths and weaknesses at design stage should be included within the body of the report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equality

Nature of External Context

²³ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

²⁴ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

²⁵ In some instances, based on data collected during the evaluation process, the assessment of the project's design quality may change from Inception Report to Main Evaluation Report.

At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval²⁶). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

Effectiveness

i. Availability of Outputs²⁷

The Evaluation will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in achieving milestones as per the project design document (ProDoc). Any *formal*/modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

Preparation and readiness

Quality of project management and supervision²⁸

Achievement of Project Outcomes²⁹

The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed³⁰ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of

²⁶ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team. From March 2020 this should include the effects of COVID-19.

²⁷ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

²⁸ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

²⁹ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

³⁰ All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

Quality of project management and supervision

Stakeholders' participation and cooperation

Responsiveness to human rights and gender equality

Communication and public awareness

Likelihood of Impact

Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the Evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The Evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

The Evaluation will consider the extent to which the project has played a catalytic role³¹ or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long-lasting impact.

Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-lasting or broad-based changes. However, the Evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

Factors affecting this criterion may include:

Quality of Project Management and Supervision (including adaptive management)

Stakeholders participation and cooperation

Responsiveness to human rights and gender equality

Country ownership and driven-ness

Communication and public awareness

³¹ The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

Financial Management

Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The Evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The Evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The Evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

Preparation and readiness

Quality of project management and supervision

Efficiency

Under the efficiency criterion the Evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

Focusing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The Evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The Evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The Evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities³² with other initiatives, programmes and projects etc. to increase project efficiency.

The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

Preparation and readiness (e.g. timeliness)

Quality of project management and supervision

Stakeholders participation and cooperation

Monitoring and Reporting

The Evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

³² Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

i. Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART³³ results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities.. In particular, the Evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The Evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for Mid-Term and Terminal Evaluation/Review should be discussed if applicable.

Monitoring of Project Implementation

The Evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups (including gendered, marginalised or vulnerable groups, such as those living with disabilities) in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Evaluation should confirm that funds allocated for monitoring were used to support this activity.

The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

Project Reporting

UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The Evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

Quality of project management and supervision

Responsiveness to human rights and gender equality (e.g disaggregated indicators and data)

Sustainability

Sustainability³⁴ is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

³³ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

³⁴ As used here, 'sustainability' means the long-lasting maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

i. Socio-political Sustainability

The Evaluation will assess the extent to which social or political factors support the continuation and further development of the benefits derived from project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the Evaluation will consider whether individual capacity development efforts are likely to be sustained.

Financial Sustainability

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new natural resource management approach. The Evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where a project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

Institutional Sustainability

The Evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the Evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

Stakeholders participation and cooperation

Responsiveness to human rights and gender equality (e.g. where interventions are not inclusive, their sustainability may be undermined)

Communication and public awareness

Country ownership and driven-ness

Factors Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above. If these issues have not been addressed under the evaluation criteria above, then independent summaries of their status within the evaluated project should be given.)

i. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The Evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the Evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. *(Project preparation is included in the template for the assessment of Project Design Quality).*

Quality of Project Management and Supervision

In some cases 'project management and supervision' may refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded

projects³⁵, it may refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Partner/Executing Agency) and the overall rating for this sub-category established as a simple average of the two.

The Evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

Stakeholder Participation and Cooperation

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the Executing Agency. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval).*

Responsiveness to Human Rights and Gender Equality

The Evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the Evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment³⁶.

In particular the Evaluation will consider to what extent project-implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

Note that the project's effect on equality (i.e. promoting human rights, gender equality and inclusion of those living with disabilities and/or belonging to marginalised/vulnerable groups) should be included within the TOC as a general driver or assumption where there is no dedicated result within the results framework. If an explicit commitment on this topic is made within the project document then the driver/assumption should also be specific to the described intentions.

The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent).*

Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks

³⁵ For GEF funded projects, a rating will be provided for the Project Management and Supervision of each of the Implementing and Executing Agencies. The two ratings will be aggregated to provided an overall rating for Quality of Project Management and Supervision

³⁶ *The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time.* https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

and impacts associated with project and programme activities. The Evaluation will confirm whether UNEP requirements³⁷ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

The Evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

Country Ownership and Driven-ness

The Evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Evaluation will consider the engagement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long-lasting impact to be realised. Ownership should extend to all gendered and marginalised groups.

Communication and Public Awareness

The Evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The Evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the Evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant maintains close communication with the project team and promotes information exchange throughout the Evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation

³⁷ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

findings. Where applicable, the consultant will provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.).

The findings of the Evaluation will be based on the following:

(a) A **desk review** of:

Relevant background documentation;

Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;

Project deliverables: Environment information systems, guidelines, and data; training programs, Climate Management Regulatory Studies; strategic plans; solar energy pilot projects; Knowledge Platform, among others;

Mid-Term Review of the project;

Evaluations/reviews of similar projects.

Interviews (individual or in group) with:

UNEP Task Manager (TM);

Project management unit, including the Project Officer within UNEP Office for Brazil;

Representatives from MCTI, the three co-executing agencies (Aries, CGEE, and SCP) and the partner institution (SEMA/FDG);

UNEP Fund Management Officer (FMO);

Project Steering Committee members;

Portfolio Manager and Sub-Programme Coordinator, if deemed necessary and appropriate;

Local, regional, and national policymakers and government representatives;

Representatives from civil society and specialist groups, such as non-governmental organizations and universities.

Surveys:

Surveys may be utilized to reach users of the Knowledge Platform as part component 3, and/or other stakeholders.

Field visits:

Field visits will be organized to visit sustainable development pilot projects that were implemented in Brasilia and Recife.

Other data collection tools, as necessary.

11. Evaluation Deliverables and Review Procedures

The Evaluation Team will prepare:

Inception Report: (see Annex 1 for a list of all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.

Preliminary Findings Note: typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.

Draft and Final Evaluation Report: containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

An **Evaluation Brief**, (a 2-page overview of the evaluation and key evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.

Review of the Draft Evaluation Report. The Evaluation Consultant(s) will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward the revised draft report (corrected by the Evaluation Consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the Evaluation Consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

Based on a careful review of the evidence collated by the Evaluation Consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager will prepare a **quality assessment** of the first draft of the Main Evaluation Report, which acts as a tool for providing structured feedback to the Evaluation Consultant(s). The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 12 months.

12. The Evaluation Consultant

For this Evaluation, the Evaluation Team will consist of an Evaluation Consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager, Karen Villafana, in consultation with the UNEP Task Manager Asher Lessels, Fund Management Officer Fatma Twahir and Renato Machado, and the Sub-programme Coordinators of the Climate Action Sub-programme, Niklas Hagelberg. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the Evaluation, including travel. It is, however, each consultant's individual responsibility (where applicable) to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the Evaluation as efficiently and independently as possible.

The Evaluation Consultant will be hired over a period of 8 months from January 2024 to September 2024 and should have the following: a university degree in environmental sciences, urban planning, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 5 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of sustainable development and urban planning is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English and Portuguese is a requirement. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the Evaluation and timely provision of its outputs, described above in Section 11

Evaluation Deliverables, above. The consultant will ensure together that all evaluation criteria and questions are adequately covered.

In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the Evaluation and timely provision of its outputs, data collection and analysis and report-writing. More specifically:

Inception phase of the Evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the Evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- (where appropriate and agreed) conduct an evaluation mission(s) to selected countries, visit the project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the Evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluation and the key evaluation findings and lessons)

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

13. Schedule of the Evaluation

The table below presents the tentative schedule for the Evaluation.

Table 3. Tentative schedule for the Evaluation

Milestone	Tentative Dates
Evaluation Initiation Meeting	January 2024
Inception Report	February 2024
Evaluation Mission	March – April 2024

Milestone	Tentative Dates
E-based interviews, surveys etc.	March – May 2024
PowerPoint/presentation on preliminary findings and recommendations	June 2024
Draft report to Evaluation Manager (and Peer Reviewer)	July 2024
Draft Report shared with UNEP Project Manager and team	August 2024
Draft Report shared with wider group of stakeholders	August 2024
Final Report	September 2024
Final Report shared with all respondents	September 2024

14. Contractual Arrangements

Evaluation Consultants will be selected and recruited by the Evaluation Office of UNEP under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP /UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the [Evaluation Consultant]:

Deliverable	Percentage Payment
Approved Inception Report (as per annex document #9)	30%
Approved Draft Main Evaluation Report (as per annex document #10)	30%
Approved Final Main Evaluation Report	40%

Fees only contracts: Where applicable, air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultants may be provided with access to UNEP’s information management systems (e.g PIMS, Anubis, Sharepoint etc) and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP’s quality standards.

If the consultant(s) fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants’ fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard³⁸.

³⁸ This may include contract cancellation in-line with prevailing UN Secretariat rules.

ANNEX VII. GEF PORTAL INPUTS

Question: What was the performance at the project's completion against Core Indicator Targets? (For projects approved prior to GEF-7³⁹, these indicators will be identified retrospectively and comments on performance provided⁴⁰).
The project achieved its targets for improved management of landscapes and seascapes (1,428 hectares reported) and areas under sustainable use management (80 hectares). Both indicators relate to watershed management and agroforestry in Brasília, which are small-scale activities that should not be presented as large areas under improved management. The indicator of 3,872,710 metric tons of CO2 mitigated cannot be assessed. Although the project contributed to enhancing climate agendas in Recife and Brasília and promoted investments in clean energy and green mobility that will surely have future impacts, there was no robust assessment for this indicator. The progress implementation reports included information on each GEF core indicator, but they cannot be used as a project monitoring tool as they are the most suitable to monitor project progress and achievements.
Question: What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? <i>(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)</i>
<i>Stakeholder engagement was a key pillar of the project throughout its implementation. Although some risks and problems were signed at the MTR, the project was able to promote a good engagement process in all its components, benefiting in some cases of the institutional changes. That was the case in Recife. ARIES managed to engage various stakeholders, municipal secretaries and departments and their technical staff as well as social organizations working in the project related themes. In Brasília, SEMA engaged various district-level departments; however, some of these departments did not play as significant a role in the project implementation as initially intended. A local project committee was established, comprising representatives from 11 governmental institutions and 4 non-governmental organizations. This mechanism promoted stakeholder engagement and project ownership. The SCP reinforced its capacity to promote advocacy and dialogue with Brazilian municipalities. At this level, the strategy to engage municipal associations / federations at national and regional level was decisive to reach additional municipalities to be SCP signatories. As CGEE extensively supports decision-making processes on science, technology, and innovation through coordination with experts and institutions within the National System of Science, Technology, and Innovation, the research for SCIO was conducted in partnership with research institutes from some of Brazil's leading public universities. SCIO also engaged six Brazilian municipal representative organizations to assess the perception of municipal institutions in relation to the platform.</i>
Question: What were the completed gender-responsive measures and, if applicable, actual gender result areas? <i>(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)</i>
The project did not develop a gender plan although the implementing partners have implemented some gender-related strategies. During the terminal evaluation a consistent gender approach or gender guidelines were not visible.
Question: What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. <i>(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)</i>

³⁹ The GEF is currently operating under the seventh replenishment period of the GEF Trust Fund covering the period July 1, 2018 to June 30, 2022. The GEF Portal Reporting Guide for FY20 Reporting Process indicates that GEF-6 projects that have yet to map existing indicators to GEF-7 Core Indicators need to do so at MTR stage or (if already there) at the time of the TE. (i.e. not GEF projects approved before GEF-6)

⁴⁰ This is not applicable for Enabling Activities

The project was not classified as having moderate or high social risk impacts and did not develop an ESMS strategy or action plan.

In the project document, an environmental and social safeguards checklist was presented but there was no consistent monitoring on safeguards besides the information provided in the project implementation reports under section 2.7. During the terminal evaluation, no information on complaints or grievances was provided.

Question: What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? (This should be based on the documentation approved at CEO Endorsement/Approval)

Although some problems regarding the communication strategy were mentioned in the MTR report, the project managed to develop a consistent and coherent communication strategy. The brand "CITInova" was strongly disseminated and used in different events and is now associated with innovative / sustainable urban development. The project developed a significant number of knowledge management instruments and publications of high quality that systematize the implementation of the project at different levels (local and national) and that are able to demonstrate the project achievements, methodologies and lessons learned.

Communication activities and channels were well-targeted towards key audiences, fostering strong and comprehensive experience sharing between project partners and other interested groups and stakeholders..

Question: What are the main findings of the evaluation?

The main findings of the project can be summarized as follows:

The project was implemented against the backdrop of government transitions, shifting political agendas, changes in the priority of the environmental and climate agendas. This context created significant challenges for the project, especially at the national level, in promoting inter-ministerial cooperation to strengthen a national agenda for integrated urban planning, innovation, and sustainability.

Most of project outputs were achieved. Given the context and some delays in implementation, the project proved a highly relevant capacity to deliver.

The project had a satisfactory level of outcome achievement, enabling the mobilization of resources and expertise that usually are not available within local governments. High turnover among project implementation partners, including changes in the overall governance structure of MCTI, resulted in partners pursuing different agendas and made it difficult to establish shared vision for the project implementation. Delays in implementation did not allow to build connections between different project components as most of the activities and outputs were finalized in the last year of project implementation. Nonetheless, the project made a significant contribution for evidence-based planning and for the reinforcement of the climate and sustainability agendas in Recife and Brasilia. Under component 2 it was possible to pilot nature-based solutions that were able to demonstrate solutions that can inspire future interventions in both cities and at national level. Under component 3, the project was able to foster a culture of sustainable urban development in the country and to reinforce national networks towards urban sustainable development.

The project made significant contributions in areas such as low carbon development, climate change adaptation and mitigation, sustainable urban development, and resilient cities. The incorporation of CITInova as a strategic program by the MCTI ensures that the guiding principles of the project will continue to be implemented by this relevant Ministry.

The overall performance of the project is rated as Satisfactory.

ANNEX VIII. KEY EVALUATION QUESTIONS FOCUSED ON THE THEORY OF CHANGE

Intervention Level	Key questions
Component 1 – Integrated Urban Planning 	Were the key outputs achieved? What is the operational status of the information management systems promoted by the project? Who are their users? How these systems inform local urban policy and plans? How did the project engage government and civil society stakeholders in project implementation? How did the project engage women or marginalized groups during implementation? Were lessons learned collected and disseminated? How?
Component 2 – Pilot innovative investments 	Were the key outputs achieved? What's the operational status of the supported interventions? What was the level of stakeholder engagement in pilot initiatives design and implementation? How did the project engage women or marginalized groups during implementation? Are institutional and financial mechanisms in place that can support project sustainability? Were these pilot initiatives well documented and the experience disseminated?
Component 3 – Knowledge Platforms	Were the key outputs achieved? How did the project enhanced PCS? What's the operational status of both platforms? How do they coordinate? How did the project engage women or marginalized groups during implementation?

Intervention Level	Key questions
	How are these platforms supporting Brazilian Cities in the pathway to sustainable cities planning?
Outcomes	To what extent were the interventions in Brasília and Recife coordinated? Was there some knowledge sharing mechanism to support and enhance this coordination? How did the different project components contribute to implement each other? How did the integrated urban planning systems inform project pilot initiatives and future interventions? How did the pilot initiatives fueled the knowledge platforms? How did the knowledge platforms inform the development or urban monitoring systems at the local level in Brasília and Recife? To that level the Knowledge Platform expanded and increased capacity to promote advocacy and disseminate best practices? To what degree have institutional changes affected the project? To what extent has the project promoted a comprehensive, evidence-based integrated and sustainable planning approach in Brasília and Recife? What are the main changes at this level? To what extent have pilot investments demonstrated the benefits resulting from integrated and sustainable planning in Brasília and Recife? Were these changes properly monitored and documented? To what extent the tested integrated and sustainable planning solutions were promoted by the National Platform for Sustainable Cities? Did the identified assumptions and drivers necessary to get from outputs to outcomes hold?
Intermediate States	How did the project establish greater collaboration between key government stakeholders? How has this collaboration translated into the enhancement of urban planning in Brasília and Recife? Are there clear mayors and city legislators' commitments to the sustainable cities principles? Are these commitments translated into legally bound sustainable urban plans?

Intervention Level	Key questions
	Are there evidence of cities development plans being informed by IMS? How did project intervention enhance citizen engagement? Are evidence collected by thematic research and studies available for open consultation? Are there evidences of scaling up pilot initiatives promoted by the project at local, state and national levels? What was the project strategy at this level? Did project intervention enhance resilient territorial land use and food security? How? Did pilot investments improve the quality of live for local citizens and use of public spaces by women and children? How where are these impacts monitored? Did the identified assumptions and drivers necessary to get from the outcomes to the intermediate states hold?
Impact	How did the project intervention impact the development and adoption of sustainable, integrated and climate resilient plans in Brasilia and Recife? How did project intervention contributed to an enhanced capacity to support Brazilian cities at national level regarding sustainable urban planning?

ANNEX IX. PROJECT RESULTS FRAMEWORK

Project Objective		Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP MTS reference*
<i>Lasting and significant changes to which the project is expected to contribute</i>		<i>How contributions to the objective will be measured including quantity, quality, time</i>	<i>Initial Baseline for Objective indicator(s)</i>	<i>End of project Target Mid-Point Target</i>	<i>How the information required to measure the indicator will be collected, when, and by whom</i>	<i>Assumptions and Risks that affect objective level</i>	<i>The Subprogramme under which the project objective can be fitted</i>
<i>To promote sustainability in Brazilian Cities through integrated urban planning and innovative technologies</i>	<i>O-1</i>	# of cities that join the Sustainable Cities Programme and adopt an enhanced goal plan with SDG indicators	0	EPT: 300	Copies of signed SCP agreements and enhanced goal plans	Cities do not see goal plans as a useful planning or policy tool	UNEP MTS 2014-2017: Climate Change EA1 and EA2 ⁴¹ UNEP MTS 2017-2021: Climate Change EA1 and EA2 ⁴²

⁴¹ UNEP Medium Term Strategy 2014-2017

Climate Change Expected Accomplishment (EA) 1: EA1 Climate resilience: Ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts;

Climate Change EA2 Low emission growth: Energy efficiency is improved and the use of renewable energy is increased in partner countries to help reduce greenhouse gas emissions and other pollutants as part of their low emission development pathways;

⁴² UNEP MTS 2018-2021

Climate Change EA1 Countries increasingly advance their national adaptation plans, which integrate ecosystem-based adaptation

Climate Change EA2 Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies

Project Objective		Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP MTS reference*
Project Outcomes	N°	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	MTS Expected Accomplishment
A comprehensive evidence-based integrated and sustainable planning approach is adopted by Brasilia	B-1	# of secretaries out of the 10 that use SISDIA for at least 50% of their planning or zoning decisions	0	EPT: 5	Surveys	The Secretariats do not see the full benefits of SISDIA and do not keep it up to date with data and information.	MTS 2014-2017: Climate Change EA2 MTS 2018-2021: Climate Change EA2
	B-2	Mitigation and adaptation plans and regulation of Climate Bill elaborated and approved with the incorporation of a revised target reduction of emissions	0	EPT: 1	Climate Bill documents	The bill may not be adopted in its original form by the FDG.	
	B-3	% of the 2020-2024 Pluri-Annual Plan - PPA (in R\$) impacted by the adaptation and mitigation plans	0	EPT: 30%	Adaptation and mitigation plans, 2020-2024 PPA	City planner do not understand the impacts of the mitigation and adoptions plans, and reflecting them in the city PPA. Budgetary constraints and short term problems take precedence in the PPA.	
A comprehensive evidence-based integrated and sustainable planning approach is adopted by Recife	R-1	% of decisions taken by the urban planning agency using the Integrated Management System (IMS)	0 0	MPT: 5% EPT: 30%	Surveys	The platform is created with the relevant data, (projects, actions, laws, decrees, etc.) but does not have a	MTS 2014-2017: Climate Change EA2

Project Objective		Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP MTS reference*
						control centre able to maintain the operation of the system. The key data is not made available to be inserted in the platform.	MTS 2018-2021: Climate Change EA2
	R-2	The city development plan uses the results of the Housing Policy and Resilience Strategy	0	EPT: 100%	Land Use Management Plan (POT)	The POT is not revised to reflect the project results during the implementation of the GEF project	
Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Brasilia	B-4	% of the 179,660 hectares of the Descoberto and Paranoá watershed under the Sustainability Pact	0	EPT: 80%	Written Sustainability Pact agreements (the number of stakeholders signing the pact will be disaggregated by gender).	It is not possible to forge a Sustainability Pact with land users in the watersheds that meet planning targets and meet local needs.	MTS 2014-2017: Climate Change EA1 and EA2 MTS 2018-2021: Climate Change EA1 and EA2
	B-5	% of decrease in dumpsite activities	6,200 – 8,700 ton/day (2010 and includes residential, commercial, construct	EPT: 75%	Data records of SLU on incoming waste to the Estrutural Dumpsite	The new landfill is not completed and recycling activities have not started.	

Project Objective		Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP MTS reference*
			ion waste)				
	B-6	# a legal framework to promote PV distributed power generation in public buildings ready for adoption	0	EPT: 1	Draft legal framework	Pilots are successful and show benefits from distributed generation for public facilities	
Cities investments demonstrate the benefits resulting from integrated and sustainable planning in Recife	R-3	If the pilots prove successful, the city agrees to replicate them	0	Letter of intent covering any or all of the successful pilots (in addition to the ones funded by the project): 2 solar boats; 1 filtering garden; 4.38 ha of re-urbanization; 2 docking stations; 5 resting areas, 2 bikes stations 2 electric car park stations; 0.3 km of bike lanes and walking	Letter of intent from the Executive Secretary of the Secretariat of Environment and Sustainability of Recife.	Pilots are not successful. The Secretary of planning does not allocate funding for scale up.	MTS 2014-2017: Climate Change EA1 and EA2 MTS 2018-2021: Climate Change EA1 and EA2
The tested integrated and sustainable planning solutions are promoted by the National Platform for Sustainable Cities to up to 300 Brazilian cities as the	KP - 1	# of city policy recommendations found relevant by Federal Ministries	0	EPT: 5	Letters of support for policy from Secretary of appropriate Federal Ministry	Policies are not found relevant by the Federal Ministries.	MTS 2014-2017: Climate Change EA2
	KP-2	# of solutions identified by Sustainable City Innovation Observatory	0	EPT: 4	Letters of confirmation from Secretaries of Environment/ Planning	Brasilia and Recife did not find the solutions appropriate.	MTS 2018-2021: Climate Change EA2

Project Objective		Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP MTS reference*
reference for integrated urban planning.		(SCIO), applied by Brasilia and Recife					
	KP-3	# of cities looking in SCIO and National Platform for solutions to their planning and investment related problems	0	EPT: 100 cities find and apply solutions to their planning or investment problems	50 active SCIO city accounts. Survey to identify which cities have applied a solution from or used a service of the National Platform.	Cities do not find the services of the National Platform or SCIO as being relevant or useful to their work.	

ANNEX X. QUALITY ASSESSMENT OF THE EVALUATION REPORT

Evaluand Title:

Terminal Evaluation: Sustainable Cities Brazil

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
Quality of the Executive Summary <u>Purpose:</u> acts as a stand alone and accurate <u>summary</u> of the main evaluation product, especially for senior management. To include: • concise overview of the evaluation object • clear summary of the evaluation objectives and scope • overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria • reference to where the evaluation ratings table can be found within the report • summary response to key strategic evaluation questions • summary of the main findings of the exercise/synthesis of main conclusions • summary of lessons learned and recommendations.	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): It clearly and concisely describes the evaluand and evaluation objectives. It effectively summarizes the key evaluation findings, conclusions, lessons, and recommendations.	6
Quality of the 'Introduction' Section <u>Purpose:</u> introduces/situates the evaluand in its institutional context, establishes its main parameters (time, value, results, geography) and the purpose of the evaluation itself. To include: • institutional context of the project (sub-programme, Division, Branch etc) • date of PRC approval, project duration and start/end dates • number of project phases (where appropriate) • results frameworks to which it contributes (e.g. POW Direct Outcome) • coverage of the evaluation (regions/countries where implemented) • implementing and funding partners • total secured budget • whether the project has been evaluated in the past (e.g. mid-term, external agency etc.) • concise statement of the purpose of the evaluation and the key intended audience for the findings.	Final report (coverage/omissions): It is missing the UNEP results framework to which the project contributes and whether the project was reviewed in the past. Final report (strengths/weaknesses): It clearly introduces the evaluand, the purpose of the evaluation, the key intended audience, and its expected impact on a follow-on project.	5
Quality of the 'Evaluation Methods' Section <u>Purpose:</u> provides reader with clear and comprehensive description of evaluation methods, demonstrates the <u>credibility</u> of the findings and performance ratings. To include: • description of evaluation data collection methods and information sources • justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face) • number and type of respondents (<i>see table template</i>)	Final report (coverage/omissions): All required elements are covered, except methods used to include the voices of different groups. Final report (strengths/weaknesses): It clearly describes the various methods and tools used to conduct the evaluation comprehensively.	5

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• selection criteria used to identify respondents, case studies or sites/countries visited • strategies used to increase stakeholder engagement and consultation • methods to include the voices/experiences of different and potentially excluded groups (e.g. vulnerable, gender, marginalised etc) • details of how data were verified (e.g. triangulation, review by stakeholders etc.) • methods used to analyse data (scoring, coding, thematic analysis etc) • evaluation limitations (e.g. low/ imbalanced response rates across different groups; gaps in documentation; language barriers etc) • ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected. Is there an ethics statement? E.g. <i>'Throughout the evaluation process and in the compilation of the Final Evaluation Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made.'</i>		
Quality of the 'Project' Section <u>Purpose:</u> describes and <u>verifies</u> key dimensions of the evaluand relevant to assessing its performance. To include: • <i>Context:</i> overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses) • <i>Results framework:</i> summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders:</i> description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners:</i> description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation:</i> any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing:</i> completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The Context section could have more thoroughly described how the problems faced by large and mid-sized Brazilian cities negatively impact the environment and human health. However, it does outline the project's efforts to address many of the key problems through the results framework. The stakeholder descriptions could have been more nuanced, as they focus solely on the level of project involvement rather than other defining or common characteristics. Nonetheless, the stakeholder table provides a clear description of each stakeholder's role. Additionally, the Project Financing section is clear and comprehensive	5
Quality of the Theory of Change <u>Purpose:</u> to set out the TOC at Evaluation in diagrammatic and narrative forms to support consistent project performance; to articulate the causal pathways with drivers and assumptions and justify any reconstruction necessary to assess the project's performance. To include:	Final report (coverage/omissions): The reconstruction of results according to UNEP definitions is in the <i>Project, Results Framework</i> section. Final report (strengths/weaknesses): The articulation of the causal pathways, in both narrative and diagrammatic forms, is very clear and effective. The Intermediate States could have been better integrated in the narrative.	6

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- description of how the <i>TOC at Evaluation</i>⁴³ was designed (who was involved etc) - confirmation/reconstruction of results in accordance with UNEP definitions - articulation of causal pathways - identification of drivers and assumptions - identification of key actors in the change process - summary of the reconstruction/results re-formulation in tabular form. <i>The two results hierarchies (original/formal revision and reconstructed) should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i> This table may have initially been presented in the Inception Report and should appear somewhere in the Main Evaluation report.		
Quality of Key Findings within the Report <u>Presentation of evidence:</u> nature of evidence should be clear (interview, document, survey, observation, online resources etc) and evidence should be explicitly triangulated unless noted as having a single source. <u>Consistency within the report:</u> all parts of the report should form consistent support for findings and performance ratings, which should be in line with UNEP's Criteria Ratings Matrix. <u>Findings Statements (where applicable):</u> The frame of reference for a finding should be an individual evaluation criterion or a strategic question from the TOR. A finding should go beyond description and uses analysis to provide insights that aid learning specific to the evaluand. In some cases a findings statement may articulate a key element that has determined the performance rating of a criterion. Findings will frequently provide insight into 'how' and/or 'why' questions.	Final report (coverage/omissions): The report does not explicitly contain "findings statements", but it does contain statements akin to high-level findings in the Output and Outcome sections. These provide an analytical perspective that go beyond a description of the evidence. Final report (strengths/weaknesses): The statements and findings are rooted in evidence and are consistent throughout the report.	6
Quality of 'Strategic Relevance' Section <u>Purpose:</u> to present evidence and analysis of project strategic relevance with respect to UNEP, partner and geographic policies and strategies at the time of project approval. To include: Assessment of the evaluand's relevance vis-à-vis:	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): It provides comprehensive evidence of the project's strong relevance to the key organizations, policies, and priorities.	6

⁴³ During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

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- Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities - Alignment to Donor/GEF/Partners Strategic Priorities - Relevance to Regional, Sub-regional and National Environmental Priorities - Complementarity with Existing Interventions: complementarity of the project at design (or during inception/mobilisation⁴⁴), with other interventions addressing the needs of the same target groups.		
Quality of the 'Quality of Project Design' Section <u>Purpose:</u> to present a summary of the strengths and weaknesses of the project design, on the basis that the detailed assessment was presented in the Inception Report.	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section adequately presents and describes of some of the project design's strengths and weaknesses.	5
Quality of the 'Nature of the External Context' Section <u>Purpose:</u> to describe and recognise, when appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval⁴⁵), and how they affected performance. While additional details of the implementing context may be informative, this section should clearly record whether or not a major and unexpected disrupting event took place during the project's life in the implementing sites.	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section addresses some unexpected external factors that impacted the project, such as the COVID-19 pandemic and the dissolution of a key government ministry. However, it also focuses on the effects of political elections, which are neither unexpected events nor indicative of unanticipated unrest or disruption.	5
Quality of 'Effectiveness' Section (i) Availability of Outputs: <u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the outputs made available to the intended beneficiaries. To include: - a convincing, evidence-supported and clear presentation of the outputs made available by the project compared to its approved plans and budget - assessment of the nature and scale of outputs versus the project indicators and targets - assessment of the timeliness, quality and utility of outputs to intended beneficiaries - identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The project lacked specific output level indicator targets, which made it challenging to gauge the scale of delivery accurately. Despite this, the report successfully employs evidence to clearly assess the level, nature, and quality of the planned output deliverables. It provides only minimal analysis of the outputs' effects on women and disadvantaged groups.	6

⁴⁴ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

⁴⁵ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

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ii) Achievement of Project Outcomes: <u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the uptake, adoption and/or implementation of outputs by the intended beneficiaries. This may include behaviour changes at an individual or collective level. To include: - a convincing and evidence-supported analysis of the uptake of outputs by intended beneficiaries - assessment of the nature, depth and scale of outcomes versus the project indicators and targets - discussion of the contribution, credible association and/or attribution of outcome level changes to the work of the project itself - any constraints to attributing effects to the projects' work - identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section adequately analyzes the achievement of outcomes, including by assessing the adequacy of the indicators, which in many cases is not ideal. Nonetheless, the analysis focuses on the uptake of project outputs by beneficiaries that contributed to the intended outcome level changes. In this manner, it effectively describes the nature and level of outcome achievement and the project's role or contribution to the achievements, as well as the project's shortcoming in reaching intended achievements. However, there is little identification of the effects of the project on women or disadvantaged groups.	6
(iii) Likelihood of Impact: <u>Purpose:</u> to present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact, including an assessment of the extent to which drivers and assumptions necessary for change to happen, were seen to be holding. To include: - an explanation of how causal pathways emerged and change processes can be shown - an explanation of the roles played by key actors and change agents - explicit discussion of how drivers and assumptions played out - identification of any unintended negative effects of the project, especially on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).	Final report (coverage/omissions): Most required elements are covered. Final report (strengths/weaknesses): The section presents an integrated analysis of the presence of key assumptions and drivers, and the level of achievement of the intermediate states, and why and/or how these did or did not materialize. However, it could have benefitted from a more detailed description of the how the causal pathways actually emerged.	5
Quality of 'Financial Management' Section <u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table (may be annexed). Consider how well the report addresses the following: <i>adherence</i> to UNEP's financial policies and procedures <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used <i>communication</i> between financial and project management staff	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section provides an integrated analysis of all three dimensions of financial management. Some statements could benefit from additional detail and elaboration.	5

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Quality of 'Efficiency' Section <u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under efficiency (i.e. the primary categories of cost-effectiveness and timeliness). To include: - time-saving measures put in place to maximise results within the secured budget and agreed project timeframe - discussion of making use, during project implementation, of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. - implications of any delays and no cost extensions - the extent to which the management of the project minimised UNEP's environmental footprint.	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section provides a comprehensive and evidence-based analysis of the different dimensions of efficiency. The section was focused on three major categories: cost-effectiveness, coordination, and project management. But timeliness and other key efficiency issues were integrated in these analyses.	6
Quality of 'Monitoring and Reporting' Section <u>Purpose:</u> to present well-reasoned, complete and evidence-based assessment of the evaluand's monitoring and reporting. Consider how well the report addresses the following: - quality of the monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>) - quality of monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) - quality of project reporting (<i>e.g. PIMS and donor reports</i>)	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section provides a well-reasoned analysis of the three dimensions of monitoring and reporting well. It assesses the project's strengths and shortcoming in the three areas, and their effect on project implementation.	6
Quality of 'Sustainability' Section <u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under sustainability (i.e. the endurance of benefits achieved at outcome level). Consider how well the report addresses the following: - socio-political sustainability - financial sustainability - institutional sustainability	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section presents a comprehensive and integrated analysis of the three dimensions of sustainability. It provides detailed, evidence-based analysis for each dimension, and for financial sustainability it thoroughly disaggregates the analysis by project component.	6
Quality of Factors Affecting Performance Section <u>Purpose:</u> These factors are not always discussed in stand-alone sections and may be integrated in the other performance criteria as appropriate. However, if not addressed substantively in this section, a cross reference must be given to where the topic is addressed and that entry must be sufficient to justify the performance rating for these factors. Consider how well the evaluation report, either in this section or in cross-referenced sections, covers the following cross-cutting themes: preparation and readiness	Final report (coverage/omissions): All required elements are covered. Final report (strengths/weaknesses): The section provides a clear and compelling presentation of each factor, and the findings track well with findings in the previous sections.	6

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- quality of project management and supervision⁴⁶ - stakeholder participation and co-operation - responsiveness to human rights and gender equality - environmental and social safeguards - country ownership and driven-ness - communication and public awareness		
Quality of the Conclusions Section (i) Conclusions Narrative: <u>Purpose:</u> to present summative statements reflecting on prominent aspects of the <u>performance of the evaluand as a whole</u>, they should be derived from the synthesized analysis of evidence gathered during the evaluation process. To include: - compelling narrative providing an integrated summary of the strengths and weakness in overall performance (achievements and limitations) of the project - clear and succinct response to the key strategic questions - human rights and gender dimensions of the intervention should be discussed explicitly (e.g. how these dimensions were considered, addressed or impacted on)	Final report (coverage/omissions): The key strategic questions are presented in a table just before the conclusions section. Final report (strengths/weaknesses): The conclusions section provides a high-level summary of the project's contribution to the intended results, offering a compelling narrative of the overall trajectory. It includes some insightful statements that synthesize the extensive evidence gathered during the evaluation. However, certain discussions, such as the summary of project efficiency, could have been more concise and focused on key high-level points. Additionally, there is no discussion of the project's impact on human rights or gender. The section concludes with a reconstruction of the Theory of Change (TOC), clearly illustrating the project's causal pathways as they emerged.	5
ii) Utility of the Lessons: <u>Purpose:</u> to present both positive and negative lessons that have potential for wider application and use (replication and generalization) Consider how well the lessons achieve the following: - are rooted in real project experiences (i.e. derived from explicit evaluation findings or from problems encountered and mistakes made that should be avoided in the future) - briefly describe the context from which they are derived and those contexts in which they may be useful - do not duplicate recommendations	Final report (strengths/weaknesses): The lessons presented are well thought-out, are rooted in real project experiences, and can be applicable to other projects. However, some are duplicative of the recommendations.	5
(iii) Utility and Actionability of the Recommendations: <u>Purpose:</u> to present proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. Consider how well the lessons achieve the following:	Final report (strengths/weaknesses): The recommendations address key project challenges identified during the evaluation. While they are feasible, achieving measurable performance targets for some recommendations may	5

⁴⁶ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP. This includes providing the answers to the questions on Core Indicator Targets, stakeholder engagement, gender responsiveness, safeguards and knowledge management, required for the GEF portal.

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- are feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when - include at least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions - represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations. NOTES: (i) In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance. (ii) Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.	be challenging within the proposed one-year timeframe.	
Quality of Report Structure and Presentation (i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office structure and formatting guidelines? Are all requested Annexes included and complete?	Final report (coverage/omissions): Brief CVs of the evaluator Annex is missing. Final report (strengths/weaknesses): The report follows the EOU structure and formatting guidelines very well.	6
(ii) Writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information?	Final report (strengths/weaknesses): The report is clearly written and grammatically correct throughout. The language is adequate in quality and tone. The report contains many visual aids to support project context and findings, including a map of intervention sites visited, photos taken during the field mission, graphs and tables.	6
OVERALL REPORT QUALITY RATING		5.5

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.