



MIDTERM EVALUATION

The Rockefeller Foundation Initiative Asian Cities Climate Change Resilience Network

April 2011



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The Rockefeller Foundation fosters innovative solutions to many of the world's most pressing challenges by supporting work that strengthens resilience to acute crises and chronic stresses and promoting growth with equity so poor or vulnerable populations have more access to opportunities that improve their lives. Committed to supporting learning, accountability and performance improvements, the Evaluation Office of the Rockefeller Foundation works with staff, grantees and partners to strengthen evaluation practice and to support innovative approaches to monitoring, evaluation and learning.

The evaluation has been undertaken by Verulam Associates. Subsequently, the evaluation report was edited and designed for the Rockefeller Foundation by Maxtudio.

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Acronyms

ACCCRN	Asian Cities Climate Change Resilience Network
ACCRA	Africa Climate Change Resilience Alliance
ADB	Asian Development Bank
ADPC	Asian Disaster Preparedness Centre
AfDB	African Development Bank
APEKSI	Association Of Mayors (Indonesia)
AR4	Fourth Assessment Report (Of Ipcc)
AR5	Fifth Assessment Report (Of Ipcc)
BAPPEDA	City Development Board (Indonesia)
BAPPENAS	Development Planning Department (Indonesia)
BRICS	Brazil, Russia, India, China, South Africa
CAC	City Advisory Committee
CAP	Country Assessment Partner
CCA	Climate Change Adaption
CCCO	City Climate Change Office
CCR	Climate Change Resilience
CDIA	Cities Development Initiative For Asia
CDKN	The Climate And Development Knowledge Network
CENA	Climate Exchange Network For Africa
CEP	Center For Effective Philanthropy
CRS	City Resilience Strategy
CtC	Challenge To Change
CWG	City Working Group
DFID	Department For International Development (Uk)
DNPI	<i>Dewan Nasional Perubahan Iklim</i> (National Climate Change Body – Indonesian)
DoNRE	Department Of Natural Resources And Environment (Vietnam)
DRR	Disaster Risk Reduction
FTE	Full Time (Staff) Equivalents
GEAG	Gorakhpur Environmental Action Group
GIS	<i>Gesellschaft Für Internationale Zusammenarbeit</i> (Germany)
GTZ	German Development Cooperation (Now Giz)
HCVA	Hazard, Capacity And Vulnerability Assessments
ICLEI	International Association Of Local Governments For Sustainability
IDS	Institute Of Development Studies (Uk)
IFRC/RC	International Federation Of Red Cross And Red Crescent Societies
IMHEN	Institute For Meteorology, Hydrology And Environment (Vietnam)
IP	Intellectual Property
IPCC	Intergovernmental Panel On Climate Change
IRADe	Integrated Research And Development (India)
ISET	Institute For Social And Environmental Transition
JICA	Japan Funding for International Development

JLN	Joint Learning Network for Universal Health Coverage
JNNURM	Jawaharlal Nehru National Urban Renewal Mission
KM	Knowledge management
LAC	Local adaptive capacity
M&E	Monitoring and evaluation
MONRE	Ministry of Natural Resources and Environment (Vietnam)
MOU	Memorandum of understanding
NAPA	National Adaptation Program of Action
NGO	Non-governmental organization
NISTPASS	National Institute for Science and Technology Policy and Strategy Studies (Vietnam)
NIUA	National Institute of Urban Affairs (India)
NTP	National Target Programme [on Climate Change] (Vietnam)
OECD	Organisation for Economic Cooperation and Development
ONREP	Office of Nature, Resources, Environment and Planning (Thailand)
PEARL	Peer Experience and Reflective Learning network (India)
RBM	Results-based management
RF	Rockefeller Foundation
RPJMD	Five-year mid-term development plan (Indonesia)
SAG	Strategy and Alignment Group
SCR	Strengthening Climate Resilience Programme
SGCC	South Gujarat Chamber of Commerce
SLD	Shared learning dialogue
SMC	Surat Municipal Corporation
TA	Technical assistance
TARU	Consulting firm (India)
TEF	Thailand Environment Foundation
TEI	Thailand Environment Institute
UCCR	Urban climate change resilience
UCCRP	Urban Climate Change Resilience Partnership
UFPF	Urban Financing Partnership Facility
UN Habitat	United Nations Human Settlements Programme
UNCDF	United Nations Capital Development Fund
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
WB	World Bank
WMSC	World Mayors Summit on Climate

Preface

The Rockefeller Foundation is committed to learning through all its activities and promotes such learning for itself, its grantees and partners through Foundation-wide evaluation at strategy, initiative and grant portfolio levels, including the assessment of the impact of all the Foundation's work.

The Asian Cities Climate Change Resilience Network (ACCCRN) was the first Foundation initiative to take an integrated approach to monitoring and evaluation with a single grant covering both the regular monitoring of performance against the results framework and evaluation at midterm (formative) and final (summative) stages. That grant was awarded to Verulam Associates Ltd a company with a strong track record in evaluation and organizational learning across Asia.

We are pleased to present this report of the first evaluation conducted as part of that grant.

The success of this evaluation is due to the efforts of many people. Thanks are due to the Rockefeller Foundation ACCCRN Team and all the grantees and partners involved in ACCCRN for their participation in the evaluation. It has been a pleasure to manage the process and we are grateful for all the support and encouragement given to the evaluation. We think this report demonstrates that this has been a robust and effective process that has shown the value of independent and professional evaluation. We hope that all those involved will find the lessons and recommendations of use as they seek to improve their performance.

We would particularly like to thank Julian Barr for his leadership of the team, contribution to the design and methodology and not least for drafting a report that communicates the lessons, findings and recommendations in a clear and positive manner.

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The Rockefeller RF ACCCRN teams in Bangkok and New York were very accommodating of the evaluation team and responsive to all our requests.

The evaluation made good use of interviews, and thanks go to all our respondents in the ten ACCCRN cities, regional partner organizations, as well as experts on urban development and climate change, and the Rockefeller Foundation senior management team in New York.

Full responsibility for the text of this report rests with Verulam Associates and the authors. As with all evaluations commissioned by the Rockefeller Foundation, the views contained in this report do not necessarily represent those of the Foundation or any of the individuals or agencies consulted.



Initiative overview

In 2007, the Board of Trustees of the Rockefeller Foundation approved \$70 million in support of a Climate Change Initiative. It has three distinct and separate components: i) the Asian Cities Climate Change Resilience Network (ACCCRN), the subject of this evaluation, ii) the African Agriculture Climate Change Resilience component and iii) the US Climate Change Policy component.

The objectives of the overall Climate Change Initiative are to:

1. build climate change resilience of poor and vulnerable urban populations in the developing world through developing, promoting and disseminating models for community resilience
2. build climate change resilience of poor and vulnerable small-holder farmers in Africa through climate-change sensitive agricultural development practices
3. increase funding and support for climate change resilience of poor and vulnerable people in the United States and, potentially, in the developing world, by influencing US mitigation policy and practice.

The Asian Cities Climate Change Resilience Network (ACCCRN)

Of the total funds approved for the overall Climate Change Initiative, approximately \$42 million were set aside to implement the Asia Cities Climate Change Resilience Network (ACCCRN) component of the Initiative over a six-year period: 2007-2012.

ACCCRN intended outcomes

- *Capacity* – improve the capacity of ACCCRN cities to plan, finance, coordinate and implement climate change resilience.
- *Networking* – share practical knowledge on urban climate change resilience (UCCR) in order to deepen the quality of awareness, engagement, demand and application by ACCCRN cities and other stakeholders.
- *Scaling-up* – expand UCCR, with ACCCRN and new cities taking action through existing and additional support (finance, policy, technical) generated by a range of actors, particularly new donors.
- *Organization and management* – ensure that Rockefeller Foundation’s (RF’s) ACCCRN team operates effectively, efficiently and is relevant and accountable to stakeholders and the context in which it operates, providing leadership and contributing to the Foundation’s strategy and mission.

Evaluation objectives

The objectives of the evaluation were to:

1. assess the on-going relevance and rationale of the Initiative to the field of urban climate change resilience in developing countries, and to the needs of key stakeholders.
2. assess the underlying hypothesis of the Initiative that “demonstrating contextually appropriate models of urban climate resilience, combined with cross-learning and support for replication and scaling-up, can contribute to improved and more rapid development of urban climate resilience models throughout the developing world.”

3. assess the effectiveness of the Initiative in delivering its outputs and in making progress towards achieving its outcomes in the first phase of execution (2008–2010).
4. assess the policy influence of the Initiative in its first phase in stimulating and changing behaviour, attitudes and practice at local, regional, and national levels with government actors, civil society, donors, technical agencies and academic organizations to incorporate ACCCRN approaches and lessons into their work.
5. assess the cost effectiveness and efficiency of the Initiative in using its resources (human and financial) wisely in its first phase to achieve its outputs and outcomes.
6. assess the management and leadership of the Initiative in providing thought leadership in the Foundation and with its technical and donor partners and grantees, in the field of climate change resilience.
7. make recommendations for mid-course corrections to the Foundation on the approach of the Initiative (its strategies, results and work program) at city, country, regional and global levels; on further actions needed to nurture and sustain the work of ACCCRN in the field of urban climate change resilience and adaptation in Asia, and to have growing influence globally; and on the management and leadership of the Initiative, including grantee and country engagement, relationship management, team management and resource allocation.
8. reflect on the implications of ACCCRN's achievements, challenges and lessons to date for the strategy and work of the Rockefeller Foundation in the area of urban climate change resilience.
9. highlight the knowledge contributions and value added of both the Initiative and the on-going monitoring process.

Findings of the evaluation

1. Overall, the evaluation finds that ACCCRN is a pioneering and highly relevant initiative. It has been “in the right place at the right time”, enabling, supporting and exploring approaches and methodologies to vulnerability assessment and the design of city-level resilience plans. The Foundation deserves recognition for its timely identification of this important area for investment, and for making Asian cities a core part of the larger Building Climate Change Resilience Initiative that also includes another major component on resilience in African agriculture.
2. Urban climate change resilience represents a valuable and relevant concept for addressing urban climate change. However, it is complex and requires a strong systems orientation. At present, some people in ACCCRN cities understand the concept, and are using it to shape their work. All 10 cities have developed climate resilience strategies (CRSs), which exhibit a number of resilience features, but most cities and city stakeholders are still developing their understanding of the concept. The sustainability of a UCCR approach will depend on the success of continued reflection on the process, documentation and sharing of UCCR experiences, adoption of UCCR ideas, and the institutionalization of the city-level advisory committees and working groups.

Outcome 1 – Capacity

3. In Phase 1, the RF ACCCRN team commissioned a number of studies to help identify the cities that would participate in ACCCRN. These studies considered criteria including geographic and climatic exposure to climate risks and some governance-related factors. They also assessed cities' suitability to participate in the initiative. However, the findings were under-used in the selection process, because they were either rushed or not well implemented, and thus did not provide the information needed. Some of the country studies had to be repeated. Ultimately, under pressure to show progress, the selection of the 10 ACCCRN cities from across Asia was more pragmatic. City selection seems to have run counter to a "development venture capital" ethos which the Foundation appears to favor, as the selection factors were more strongly informed by geographic and bio-physical factors than by the presence of suitable catalytic partners and engagement with climate change issues by city governments.
4. Phase 2 involved engaging the 10 selected cities in the ACCCRN initiative and in the concept and development of a UCCR approach, and supporting them in developing CRSs through a process of iterative action-learning cycles, called *shared learning dialogues* (SLDs). These involved vulnerability assessments and a series of sector-specific studies and small-scale projects. They have proven to be successful processes for engaging a range of city stakeholders and developing inter-sectoral working practices. SLDs, which were facilitated by the *Institute for Social and Environmental Transition* (ISET) as a regional grantee and supported by country partners, were stronger on climate science and physical planning than on social aspects and governance.
5. Those involved in Phase 2 deserve credit for developing and implementing a process of city engagement, analysis and planning across sectors and departments that has resulted in CRSs in 10 cities. The next step is to move on from stand-alone strategies to strategies and processes that are integrated into city planning and development.
6. Many of the small-scale projects implemented in Phase 2 take a disaster risk reduction (DRR) approach. This is an appropriate entry point for city engagement as it is more familiar to cities and meets immediate demand. Cities that have experienced disasters – floods, disease epidemics, sea level surges – already grapple with some of the challenges presented by climate change risks and seek solutions. However, the initiative is missing a roadmap that identifies how interventions and partners evolve from their DRR orientation to the more complex UCCR approach.
7. The steps in undertaking the shared learning dialogues – studies, vulnerability assessments – and the climate resilience strategies have been documented by city partners and supporting grantees. While these documentary products from Phase 2 are of mixed quality, they do provide a body of experience on participatory, multi-stakeholder processes for initiating development of UCCR, which does not exist elsewhere. They are important and need to be widely shared as real-life examples of efforts to build UCCR, whether or not they meet peer-review publication standards.

8. Phase 3, which calls for implementation of a series of larger UCCR projects in the 10 cities, risks losing relevance and visibility if these implementation projects are too small in ambition, scope and funding. The projects need to be sufficiently large in scale and financing in order to invite citywide interest and generate attention at national and international levels.

Outcome 2 – Networks

9. ACCCRN initially aimed to establish a UCCR network among the 10 initiative cities. The evaluation finds there is no compelling value proposition for a network in the form of a 10 ACCCRN cities web, which risks becoming a club. There is certainly a demand and need to share experiences and information on UCCR, but the need is for *networking* – a system of sharing information and services among individuals and groups having a common interest – rather than a more structured network.
10. Cities already belong to a range of existing networks, such as the Association of Indonesian Municipalities (APEKSI) and the National Municipal League of Thailand. ACCCRN should therefore not attempt to duplicate established city networks nationally or internationally. ACCCRN's networking efforts would be much better concentrated on linking individuals and city organizations to existing networks and supporting them in promoting UCCR in these fora.
11. ACCCRN focuses on cities and works with elected officials, city managers, public sector departments, and the private and third sectors, without fully defining “city”. What emerges from interviews and the empirical evidence is that the few key individuals who “get” UCCR are driving success and could be critical in out-scaling – helping UCCR reach a tipping point.
12. ACCCRN should thus switch from a focus on cities to a focus on individuals – individuals who are in, and concerned with, cities. It should work with them to develop process skills to embed UCCR in city systems. Networking would encompass networking of these individuals as “champions” of the approach. These champions would be individuals in positions to have influence in cities, who have a solid appreciation of UCCR and what it takes for cities to adopt the approach, and who have the process skills to facilitate and build capacity on UCCR.

Outcome 3 – Scaling-up

13. ACCCRN intends for UCCR to reach well beyond the 10 cities with which it is working directly. There are two avenues for spreading the UCCR message to extend its reach: i) scaling-out – expanding to new cities, and ii) scaling-up – influencing the policy arena and thereafter public sector investment by donors and governments. Both avenues draw on, and are facilitated by, having a body of experience and empirical lessons on UCCR from ACCCRN projects in the 10 cities (Outcome 1). Scaling-out to new cities also links closely to the work on networking (Outcome 2).

14. Most progress in scaling-up has been made through mobilizing donor investment in UCCR – nationally and internationally. Building on the Foundation’s convening power, good progress has been made in brokering resources from donors at the national level. For example, in both Thailand and Vietnam, USAID has committed funds to an ACCCRN grantee to expand UCCR into two new cities in each country.
15. In late 2010, the RF ACCCRN team convened international donors to discuss UCCR at Rockefeller Foundation’s Bellagio Center, resulting in an agreement around shared interest to develop a multi-donor Urban Climate Change Resilience Partnership (UCCRP). This has potential commitments of over \$200 million from a group of donors, including the UK Department for International Development (DfID) and KfW (the German Development Bank), for funding larger scale city interventions on UCCR.
16. The proposal is for the UCCRP to be coordinated and managed by the Asian Development Bank (ADB), using its existing Urban Financing Partnership Facility financing mechanism and the Cities Development Initiative for Asia project development entity as a vehicle for establishing and managing the partnership. This provides a strong linkage for embedding UCCR ideas.
17. The multi-donor Urban Climate Change Resilience Partnership is a significant achievement. If it does get established, the Foundation can be confident that its venture capital investment in ACCCRN has delivered a substantial return, which will further influence other climate change finance. UCCRP therefore needs to be a major focus of attention for ACCCRN, bringing in skills on financial instruments, and operation and programming of basket funds, as necessary.
18. In contrast to the progress with donors, ACCCRN has had limited influence to date on national and sub-national governments in terms of their adopting, mainstreaming and investing in UCCR. The need to better address national policy actors and processes is now recognized and the RF ACCCRN team has started to put policy-focused grantees in place who understand and can work with the governance context. However, there is a need to ensure that such grantees are in place in all four countries where ACCCRN operates.
19. Communicating the lessons from Outcome 1 – Shared Learning Dialogues and city UCCR projects – is central to expanding the ACCCRN footprint, but progress on external communications has been slow. If the learning from ACCCRN on UCCR is going to reach beyond the direct grantees and 10 cities, there needs to be a website and a resource base of UCCR documents. At this point of the program, the lack of such a dedicated website is a deficiency, particularly given that partners have leapfrogged the Foundation and produced their own websites, which link to their own SLD working documents.
20. There is a paucity of published material on ACCCRN. Many of the partners, particularly at city level, do not have the institutional incentive to publish. There also has been some concern about the quality of Phase 2 documents and hence whether they are ready for the public domain. However, the initiative needs to

move to a more open-source approach to documentation, and avoid falling into the trap of the “best is the enemy of the good”. In this way, documents conveying the experiences of trying to implement UCCR reach the public domain in a timely way, even if they are not of publishable academic quality. City-level practitioners need and want live experience and examples.

Outcome 4 – Management and coordination

21. ACCCRN’s present management architecture is a hub-and-spoke model. The RF ACCCRN team is the hub of the initiative, with grantees and partners radiating out as spokes. This organizational model has the twin disadvantages that: i) it is not the optimum configuration to stimulate networking, and ii) it places the main management and coordination burden on the RF ACCCRN team. The model results in the RF ACCCRN team’s interactions with partners and grantees being predominantly bilateral, with a consequent higher opportunity cost for coordinating the initiative and sharing useful information and learning.
22. There is no encouragement or incentive for grantees and partners to engage in a more organic form of networking. Grantees and, to an extent, partners, generally have not sought to be more networked, and the RF ACCCRN team has not paid sufficient attention to achieving a more connected, inter-dependent cooperative way of working across ACCCRN as a whole.
23. Coordination and management was the area most frequently identified by respondents as one for improvement. The Foundation initially under-appreciated the complexity of the portfolio management task that ACCCRN represented. A coordination need still exists, which the RF ACCCRN team now proposes addressing by constituting a Strategy and Alignment Group (SAG), with the RF ACCCRN team and core grantees as members.
24. At the time of the evaluation, the SAG had yet to hold its first meeting. Looking ahead, its success will depend on all members taking responsibility for ACCCRN and appreciating the synergies among individual contributions. While a more collaborative approach to coordination can be effective, the RF ACCCRN team needs to lead the process, setting the overall boundaries and providing an integrated sense of direction, and holding grantees more accountable collectively at the impact and outcome level of ACCCRN. The role of the RF ACCCRN team in Phase 3 is not a trade-off between working at a high level or at city level, but about ensuring grantees do deliver reliably on their commitments.
25. To complement the SAG, there needs to be a change in behavior and orientation of all grantees. At present, the only obligations are those in the grant letters, bilateral agreements between individual grantees and RF. There is no mutual obligation among grantees and little sense of collegiality. ACCCRN will not succeed unless all grantees recognize their inter-dependent roles in achieving the initiative’s higher-level objectives and start to work more collaboratively.
26. RF is results-focused, but its results architecture and tools do not fully concur. Grant letters commit funds against deliverables at the lower end of the initiative’s results

chain. The Results Framework deals with the middle and upper ends of the results chain. There is insufficient connectivity between the two. In essence, Grantees own Activities, the RF ACCCRN team owns Outcomes and Impacts. Grantees are still uncertain as to how their grant fits with shared results in the larger initiative jigsaw, and the grant mechanisms draw their focus towards individual activities.

27. ACCCRN is routinely monitored on a six-month cycle by an M&E grantee, using the ACCCRN results framework as the basis for assessment and producing a report after each monitoring cycle. However, many of the other ACCCRN grantees perceive this as an exercise for the RF ACCCRN team and the M&E grantee alone. As a result, they have not engaged with it, nor has it been used in discussions between grantees and the RF ACCCRN team around grant performance and implementation. Better communication of monitoring findings could become a point of contact with grantees and a means to strengthen mutuality.
28. The SAG provides the RF ACCCRN team with a good opportunity to promote the results architecture and to build commitment among the core grantees to use monitoring information more widely across ACCCRN.
29. To date, the Rockefeller Foundation has issued 36 grants to 18 grantees for ACCCRN-related work, with one grantee receiving eight separate grants, and the largest ACCCRN grant being \$5.3 million. There have been a large number of small, overlapping grants, many of which have been of short duration. Some efficiencies are being achieved by Country Coordinator grantees sub-granting to city partners. In general, the Foundation might usefully consider how it could achieve better economies of scale in large grants and in multiple grants for individual grantees.

Intended impact

30. ACCCRN aims to achieve impact at three levels: i) individual – improving the lives of poor and vulnerable people; ii) city – improving cities’ resilience and (adaptive) capacities in relation to climate risks; and iii) national and global – influencing thinking, policy and practice in approaches to climate change adaptation in cities.
31. Given the need to for individual impact, citizens are surprisingly absent from ACCCRN at this stage. The evaluation thus flags a concern that the second half of ACCCRN should ensure that poor and vulnerable people are fully and meaningfully included in the implementation, within the context of different country and locally-specific governance systems.
32. It looks highly likely that ACCCRN’s high-level objective of “a diverse range of effective approaches, processes, and practices to build urban climate change resilience” will be demonstrated in the 10 cities, and that this will scale-out to other cities.
33. Impact measurement needs to be given due attention over the next year, so that data are accumulated for accountability, learning and wider replication. This effort particularly needs to pay attention to measuring changes in the lives of poor and vulnerable people, as current ACCCRN data collection systems do not address this aspect of the initiative’s planned impact.

Recommendations of the evaluators

ACCCRN is now halfway through its planned funding period. The global situation with regard to climate change and development has moved on since the Foundation first conceived of the Climate Change Initiative and ACCCRN was established. The evolution and organization of the climate change world has gathered pace and urban climate change is now an expanding field. These recommendations are designed to help the Foundation, the RF ACCCRN team and its grantees and partners ensure that ACCCRN delivers the best possible results in this growing field with the maximum impact.

The evaluation makes 14 recommendations, grouped into four main areas.

- A. Grant management for initiative-based philanthropy
- B. Implementing ACCCRN as a partnership
- C. Leveraging Rockefeller's investment
- D. Leaving a legacy

A. Grant management for initiative-based philanthropy

The Foundation, like many philanthropic organizations, is in transition from older style grant giving through investing in people and ideas, to a more focused, impact-targeted approach. In parallel, it has moved from funding projects and programs to an initiatives paradigm. These transitions affect the nature of the relationship the Foundation has with its grantees.



Recommendation 1

Rockefeller Foundation senior management

As a Foundation-wide exercise, should review how a results orientation affects grantee selection, initial negotiation of grantee roles, and the monitoring and management of grantee performance individually and across initiatives.

While grants architecture has been modified to better suit a results-oriented way of working, for example with initiative results frameworks, there remain aspects of older granting behavior with grantees often charged with fairly low-level activity-based deliverables, and initiative-wide synergies and objectives not always explicitly included in grant agreements or management processes.



Recommendation 2

Rockefeller Foundation senior management and the grants office

should review the content of grant letters ensuring i) that they articulate and develop grantees' ownership of initiative objectives, and ii) that grantees are obliged to collaborate with other initiative grantees in their delivery. They also should consider how financial resources can be better allocated to results rather than activity deliverables, with payment tranches linked to performance.

B. Implementing ACCCRN as a partnership

To address the management and coordination issues in ACCCRN, two main changes are needed: i) a mechanism for grant portfolio management and partner coordination,

and ii) an initiative-wide cultural change towards a more partnership-based way of working, with less reliance on functioning bilaterally. This is not simply a matter of introducing a new set of biannual partner meetings and a social network site – it implies and requires change management. The RF ACCCRN team and ACCCRN grantees must appreciate the changes to established ways of working that are required.



Recommendation 3

ACCCRN country coordinators, regional grantees and the Foundation ACCCRN team

should focus on developing the SAG as a platform for coordinating partnerships, information sharing and inter-dependence that, in turn, promotes and drives a cultural shift in ACCCRN. All partners should expect to change the way they work. ACCCRN will only succeed with a greater degree of collegiality.



Networking & Networks

Recommendation 4

Foundation ACCCRN team

should revise the concept of a “cities network” to target the networking of a growing cadre of UCCR champions (individuals) from a range of stakeholders in the 10 cities and beyond. Appropriate adjustments to the results framework will need to be made by the RF ACCCRN team supported by the M&E grantee.



Recommendation 5

Foundation ACCCRN team, country coordinators and regional grantees

should concentrate on linking champions and city organizations into existing national, regional and international networks on city development and urban climate change.

C. Leveraging the Foundation’s investment

Scaling-Out

The emphasis for the second half of the program must be on scaling-out and amplification. If pro-poor adaptation interventions are to have any impact, it is essential that they be planned and carried out “across scales”. Scaling ACCCRN may happen in a number of ways. The most likely are:

- horizontal city-to-city spread, e.g. through national city networks
- vertical transfer of concepts and approaches to the national level, which are then spread through their uptake in national programs, leveraging policy and national development budgets
- vertical influencing of international initiatives and conventions, and multi-lateral and bilateral donors, which will thereby achieve scale through leveraging their policies and investment.

There is also a hybrid of the second and third points – scaling-out through influencing donor spending at national level, i.e. within countries.



Recommendation 6

Foundation ACCCRN team

should initiate, with relevant grantees and partners, the development of a clear strategy for scaling and replication at city, national and international tiers, recognizing complementarity among tiers of activity.

If it is to achieve its design objectives, ACCCRN should avoid “mission creep”. Nonetheless, the Foundation already has an established presence in Africa through its health and agriculture work and its Nairobi office. There is also Foundation work in the urban sector. Thus:



Recommendation 7

Foundation senior management particularly those in the urban stream, should consider the opportunities in the remainder of the program to leverage ACCCRN lessons to benefit the Foundation’s engagement in Africa.

Evidence – The basis for adoption

Before being convinced of the effectiveness of the ACCCRN approach to UCCR and adopting and up-scaling it, donors and the private sector require quantitative evidence, ideally including cost-benefit analyses. Therefore:



Recommendation 8

Country coordinators and ARUP

A sample of city initiatives should be analyzed from a cost benefit perspective by country coordinators and respective cities, supported by technical assistance from Arup, a core grantee.

Monitoring of effectiveness and impact assessment should not fall to the center of ACCCRN alone.



Recommendation 9

Country coordinators

drawing on support from Verulam (the M&E grantee) and ISET, should engage the departments in partner cities that are responsible for monitoring and evaluating city development to promote and support their own assessment of their UCCR initiatives.

To make a summative evaluation of ACCCRN impact in 2014, data will be needed on, *inter alia*, the proportion of city populations vulnerable to climate change; the well-being status of citizens within ACCCRN cities; and the proportion of poor people within total city populations. These data are currently not being collected.



Recommendation 10

Foundation ACCCRN team

should devise a means to address the impact assessment gap, which appears to lie beyond both Verulam's routine monitoring grant and the work in ISET's grant on resilience indicators.

External communications – Stimulating uptake

With a body of field level experience in UCCR, ACCCRN must now focus on capitalizing on this knowledge to support out- and up-scaling. The remainder of the initiative therefore needs to increase attention to its amplification activities, of which external communications are central. Communications will not and should not all be centrally managed from Bangkok. ACCCRN needs to further mobilize the communications power of the partners, in a coordinated and supported way.



Recommendation 11

APCO and the Foundation ACCCRN team

APCO, the existing communications grantee, should work with the RF ACCCRN team to review and revise the overarching ACCCRN Communication Strategy, and agree to a means by which communications support can be provided to grantees, particularly country coordinators.

D. Leaving a legacy

Achieving impact

The Rockefeller Foundation mission relates to the well-being of humanity. ACCCRN's ultimate impact entails improving the lives of poor and vulnerable men and women. Yet, at present, citizens are not strongly visible in the initiative.



Recommendation 12

M&E grantees' monitoring team

An assessment of the participation of poor and vulnerable groups (both numbers engaged and quality of engagement) and the extent to which intervention projects incorporate the voices of those groups that ACCCRN aims to benefit should be conducted. This could be undertaken by the M&E grantees' monitoring team.

Exiting ACCCRN

A key ACCCRN legacy will be the body of practical experience amassed while trying to achieve UCCR in 10 cities. Critical to this will be ensuring:

- Phase 3 projects are sufficiently large in scale and financing to invite city-wide attention and achieve scale change;
- Phase 3 implementation projects are well supported and conducted, properly reflected upon, and suitably recorded and reported upon, with lessons shared.



Recommendation 13

Foundation ACCCRN team

should revise the approach to Phase 3 projects, funding fewer, larger implementation projects with sufficient capacity for reflection and learning.



Recommendation 14

The Foundation

should extend ACCCRN by one year to ensure Phase 3 lessons are fully reflected upon, documented and shared.

RF management response to the recommendations of the evaluators

The Foundation welcomes the findings and recommendations of the ACCCRN Mid-Term Evaluation, and commends the rigor with which the evaluation was conducted. We also thank the RF ACCCRN team for its willingness and openness to engage in a rigorous evaluation.

We are pleased to note the achievements of the Initiative and its grantees and partners in the first phase of its work as well as the timely and constructive suggestions for improvements. Recognizing that timely feedback is essential to mid-course corrections and fine tuning performance, the Foundation has considered the recommendations and proposes the following actions:

A. Grants management for initiative-based philanthropy

The management of the Foundation recognizes that the shift to a results orientation brings with it the need for more purposeful engagement of grantees in the planning, monitoring and evaluation of the work of the Foundation. The Foundation is committed to developing with grantees a shared vision of impact, measures of success, and respective roles in achieving outcomes, not just for ACCCRN, but for all Foundation Initiatives and partnerships into which the Foundation engages.

To achieve this, ACCCRN and other Initiative teams and regional offices will convene grantees to develop a shared understanding of desired outcomes, and to strengthen the collection and use of monitoring data. Initiative staff will also participate in ongoing training and coaching to strengthen their skills in managing toward results.

The Foundation is also committed to continuing to strengthen the processes and means through which grant agreements are developed and agreed with grantees. This includes clearer communication with grantees about initiative strategy to create stronger alignment between the grantees' work and initiative goals. The Foundation will review and update recently developed award letter addendums that describe initiative strategy and ensure they specifically describe how a grant is contributing to an initiative and the related deliverables expected of grantees. The Foundation's

improved due diligence process will enable us to better understand the ability and capacity of the grantee to deliver toward initiative outcomes.

The Foundation does not agree that tying payments to performance rather than specific deliverables is an appropriate route to pursue. Rather it prefers to continue to strengthen the clarity and specificity of deliverables linked to respective initiatives results frameworks. Further, the Foundation does not agree that where the Foundation makes multiple grants to the same grantee, it should always make a single grant. Where appropriate, the Foundation will strive to make fewer larger, longer-term grants; however circumstances often require distinct grants. The Foundation will closely review the role and performance of large intermediaries.

B. Implementing ACCCRN as a partnership

The Foundation finds the recommendations of the Evaluators helpful in strengthening the coordination aspects of ACCCRN work with external partners, as well as suggesting different models of operation to consider in evolving the management of ACCCRN. However we note that with respect to management performance the ACCCRN Team has a solid record of exemplifying good management practice within the Foundation (strong team processes, good use of management information, regular learning processes, etc). We note that the ACCCRN Team had already addressed a number of the concerns of the evaluators prior to the evaluation. For example, they have facilitated the establishment of a Strategy and Alignment Group (SAG) through which partners can work in a more coordinated manner, with greater collective ownership, and with greater clarity on the overall goals of the Initiative. The SAG is a platform for jointly-owned strategy development, information sharing and guidance to inform RF decision making. In future evaluations if management questions are addressed by the evaluators, we will ensure that the teams have a complete view of both the internal and external management practices of the Initiative team being evaluated.

NETWORKING AND NETWORKS. The Foundation will make a three-year grant award to support network strengthening in late 2011. A range of ACCCRN partners will be included to ensure collective buy-in to the objectives and activities, coordinated by a core grantee (Arup) that will have the capacity to play a strong role in vertical leveraging and linking with other networks and forums. This will build on earlier work to establish an ACCCRN Knowledge Forum, and will focus on promotion of horizontal knowledge and exchange among cities and practitioners, national policy engagement, and mobilization of new resources for urban climate change resilience. The network strategy will include an emphasis on sustainability through linking with additional donors and knowledge platforms so that its functions can be sustained beyond the timeframe of RF funding.

C. Leveraging the Foundation's investment

The Foundation agrees with the recommendation to initiate a strategy for replication and scaling-up. The Foundation has seen early successes in laying the groundwork for the emerging UCCR field and, thus, believes that now is an appropriate time in the



Initiative to devote greater focus and resources to leveraging the investments to date for greater impact. The ACCCRN team is developing a clearer strategy for scaling and replication which will link three streams of work: leveraging funds among donors, networking among key actors, and project funding at city level. This will include a number of key elements:

- Provision of high quality consultancy advice to country and city partners to leverage donor funding to scale city-level projects;
- Promotion of significant new financing for the field to scale projects through the Urban Climate Change Resilience Partnership (UCCRP);¹
- Investing in documentation through a new partnership with the International Institute of Environment and Development (IIED), capacity building, networking, communications and dissemination;
- Investing in country policy engagement and in a new partnership with the International Centre for Climate Change and Development (ICCCAD) to increase access to academic and practical training on urban climate change resilience across a larger cohort of government, civil society and private sector practitioners;
- Piloting tools based on the experience of the first ten cities that will enable a more rapid adoption of urban resilience practices in new cities in India.

These investments will address both the generation of new financing, expertise and policy support (the supply side) as well as the expansion of city capacity to absorb such investments (the demand side), and account for the majority of additional resources that are being requested in order to maximize the full impact potential of this work. If successful, it would enable a significant scaling-up of efforts in existing ACCCRN cities plus initiation of UCCR work in approximately 40 new cities.

In late 2012, the Foundation will begin to explore how to leverage lessons from ACCCRN to benefit our engagement in Africa. The Foundation could facilitate meetings between ACCCRN grantees and mayors or ministers of local government in African cities in either a road show format or convening to discuss the work of ACCCRN with the aim of developing an action plan for similar work in Africa.

EVIDENCE - THE BASIS FOR ADOPTION. Given the methodological complexity and cost of undertaking climate change-sensitive cost-benefit analysis, the ACCCRN team will explore the opportunity to support high quality, accurate cost-benefit analyses of selected city initiatives that can be undertaken at relatively low cost, particularly in the context of the additional documentation resources being considered in the proposed IIED partnership to scale-up documentation and lesson-learning. The team also will consider a supplementary award to an existing ACCCRN grantee, the Institute for Environmental and Social Transition (ISET), to undertake such cost-benefit analysis case studies on, for example, the new Peri-Urban Agriculture Project in Gorakhpur, India.

¹ UCCRP, a multi-donor partnership that has been mobilized by the RF ACCCRN team, seeks to establish a \$100mn grant fund for the expansion of innovations in the field of urban climate change resilience. As described above, the Asian Development Bank has agreed to host the fund, and several prominent donors including the United Kingdom's Department for International Development have shown a strong commitment to providing resources for such a fund. This core fund would then be linked to parallel financing (debt, equity) from development banks and potentially the private sector, for which active interest has also been expressed.

The ACCCRN team will utilize the SAG mechanism to strengthen city-level monitoring and ensure alignment with ACCCRN results framework indicators. While there is a natural lag in terms of producing results, as an interim step the ACCCRN team will also engage grantees to generate new knowledge, evidence and documentation across the ACCCRN partnership on a more real-time basis.

The ACCCRN team will work with the M&E grantee, Verulam, to adjust data collection methods in order to link routine monitoring data more effectively to impact assessment needs. Verulam will explore the possibility of better utilizing the resilience indicators work of ISET. These indicators are being developed through a consultative process with city partners to reflect the characteristics of resilience at the level of households, communities and systems, and can serve as an important complement to the formal evaluation work.

EXTERNAL COMMUNICATIONS - STIMULATING UPTAKE. The RF ACCCRN team agrees that country coordinators and other stakeholders need more communications support, and will endeavor to provide it through enhanced investments in the existing communications grantee, APCO, and through integrating the work of a Communications Officer in the Asia regional office (proposed for 2012). We are increasingly confident of the capacity of APCO to step up its delivery in areas such as the ACCCRN website (launched in August 2011), generating new dissemination channels, providing media support and coordinating effective ACCCRN presence at critical regional and global forums. We will be discussing further support – to extend its grant beyond 2011 – and will use this to revisit the overall communications strategy.

D. Leaving a legacy

The Foundation fully appreciates the importance of having an impact on the lives of vulnerable communities, but feels that, in part, the evaluators have not made a sufficient distinction between participation and impact. Many of the early ACCCRN processes were not designed to include the participation of poor and vulnerable groups (e.g. technical studies on climate impacts) while others were (e.g. community vulnerability assessments). However, we do fully agree that specific interventions that emerge from these processes should benefit poor and vulnerable populations, either directly or indirectly. The ACCCRN team will work with Verulam, the M&E grantee, to clarify the ACCCRN theory of change and impact goals to carefully assess how our design processes need to be adjusted, and how M&E indicators can better capture progress in this regard.

EXITING ACCCRN. The Foundation sees the value in funding projects that are of large scale, or that are scalable. The ACCCRN team has been working with country coordinators to generate larger projects and the average project size has increased through 2011. The ACCCRN team also has been actively engaged in linking ACCCRN projects to larger donor investments, such as a water supply and hydrology assessment in Danang, Vietnam, that would enable the incorporation of a climate change perspective into an \$80 million water infrastructure investment by the Asian Development Bank. In addition, the Foundation strongly feels that the evidence and feedback from external stakeholders (technical experts, donors, and governments) suggests that the



variety of projects that are being generated under ACCCRN in this emerging field has considerable learning and leveraging value. As such, the Foundation sees merit in generating diverse projects as a critical contribution to the field and would not envisage always prioritizing scale over such diversity.

Through conducting a rigorous Mid-Term Evaluation, the Foundation is in a position to make a range of deliberate course corrections and new investments that would enable a high performing initiative to achieve significant influence and impact in a highly relevant field. Much of what has been described above in terms of proposed new strategies and investments around documentation, networking, training, policy engagement, dissemination, communications and resource leveraging are intended to enhance the impact of ACCCRN, but also enable more sustainability and a path through which the Foundation can exit. As such, the Foundation is requesting an additional appropriation of \$16.6 million, with a 2-year extension for making awards to 2014 and payout to 2016.



INDIA

Gorakhpur
Indore
Surat

INDONESIA

Semarang
Bandar Lampung

THAILAND

Chang Rai
Hat Yai

VIETNAM

Da Nang
Can Tho

According to recent studies, by 2025, nearly 2.5 billion Asians will live in cities, accounting for almost 54 percent of the world's urban population (Dobbs and Sankhje, 2010). This increased urbanization puts communities at increased risk of the impacts of climate hazards.

The Asian Cities Climate Change Resilience Network (ACCCRN) was launched in 2007 to test and demonstrate a range of actions to build climate change resilience in urban areas. It now works with 10 Asian cities across India, Indonesia, Thailand and Vietnam, supporting them in developing and implementing climate resilience strategies. ACCCRN is one of three components of the Foundation's *Developing Climate Change Resilience Initiative*, which, in addition to ACCCRN, has a component on Adapting African Agriculture for Climate Change Resilience, and a component for building new constituencies for climate change resilience policy in the United States.

City-level climate resilience strategies in developing countries are important since cities are considered, and promoted as, engines of economic growth, accounting for an increasing share of national income. Through the cities' resilience strategies, the Foundation hopes to improve the lives of poor and vulnerable men and women.

ACCCRN selected "second-tier" cities rather than Asia's very large metropolitan areas because larger cities have already attracted the attention of large donors and international financial institutions to support climate change mitigation and adaptation activities while second-tier cities, where urbanization is generally more rapid, have received much less support.

In linking its participating cities and other partners into a network, ACCCRN hopes to facilitate sharing of practical knowledge on urban climate change resilience (UCCR), a term coined by the project. This includes building a replicable base of lessons learned, successes and failures, assisting cities in developing climate change resilience-building processes, and also building their capacity to implement and continue them. Initiative goals also call for scaling-up and scaling-out to new cities, and enhancing sustainability through building an effective and efficient ACCCRN team that is relevant and accountable to stakeholders. However, in spite of the fact that all 10 cities have developed city resilience strategies (CRSs), which exhibit a number of resilience features, most are still grappling with the concept. Thus ACCCRN activities also focus on raising public understanding of the importance of factoring resilience goals into climate change activities.

Mid-term evaluation

This mid-term evaluation was conducted in March and April 2011, three years into the work of ACCCRN, which now is moving into a phase dominated by city-level implementation projects. This is a formative evaluation, meant to provide learning for mid-course corrections and improvements in the strategy and implementation of ACCCRN by assessing how ACCCRN is performing against its results framework. A summative evaluation will be undertaken at the completion of ACCCRN.

1. **CHAPTER 1** of the evaluation presents the background and context for ACCCRN's work and outlines the methods used in this evaluation.
2. **CHAPTER 2** considers the relevance of the initiative and its central concept of UCCR, vis-à-vis other approaches to tackling the effects of climate change and what other donors are doing or planning to do in this field. It also discusses the evolution of ACCCRN through the Foundation's stages of initiative development and ACCCRN's deepening engagement with cities.

The next four chapters consider the ACCCRN Outcomes 1–4 in turn.

CHAPTER 3 focuses on Outcome 1 – building the capacity of cities to plan, finance, coordinate and implement climate change resilience strategies. This takes ACCCRN's learning-by-doing model and considers how this learning relates to other approaches to climate change. It then reviews the process used to select the participating cities, the development of the cities' resilience strategies, and the selection and implementation of UCCR projects in the cities.

CHAPTER 4 concerns Outcome 2 – knowledge networking on climate change resilience. This mainly considers different types of, and approaches to, networking to support ACCCRN's goals.

CHAPTER 5 covers Outcome 3 – scaling-up UCCR, particularly to new cities and new donors. This chapter reflects on the two main avenues for increasing the adoption of a UCCR approach: scaling-out to new cities through expansion, and scaling-up through influencing the policy arena and, thence, public sector investment by donors and governments. It also reviews ACCCRN's use of communications as part of its efforts to increase awareness and use of the UCCR approach.

CHAPTER 6 focuses on Outcome 4 – the organization and management of ACCCRN. It considers the architecture of ACCCRN, the structural relationship among the main organizations involved, the coordination and management of the initiative, efficiency of resource use, the use of a results-based management approach in a grant-based initiative, the M&E of ACCCRN, and ACCCRN's risk analysis.

CHAPTER 7 considers ACCCRN's impact and sustainability within the results framework.

In the three concluding chapters:

CHAPTER 8 draws together the lessons emerging from the findings in the previous chapters,

CHAPTER 9 responds directly to the evaluation questions in the evaluation's terms of reference, under five standard evaluation headings, and

CHAPTER 10 presents formative recommendations to help the Foundation, the Foundation ACCCRN team and its partners ensure that ACCCRN delivers the best possible results which have a maximum impact. The recommendations are presented under four headings:

- Grant management for initiative-based philanthropy
- Implementing ACCCRN as a partnership
- Leveraging Rockefeller's investment
- Leaving a legacy

Annexes 1–7 can be found at www.rockfound.org

Annex 1	Terms of Reference
Annex 2	Definitions
Annex 3	Grant Summary Sheet
Annex 4	Status of Phase 2 Engagement Projects
Annex 5	ACCCRN Work Stream Framework
Annex 6	Evaluation Matrix
Annex 7	People Interviewed



ACCCRN background

The Rockefeller Foundation developed the *Developing Climate Change Resilience Initiative* in 2006 and 2007, when the Intergovernmental Panel on Climate Change (IPCC) had produced its Fourth Assessment Report (AR4) emphasizing the likely extent of climate change. At that time, major developed countries had yet to ratify the Kyoto protocol, although the 2007 G8 Summit had set a goal of halving global CO₂ emissions by 2050. The major industrialized and BRICS² countries agreed in principle to a global cap-and-trade system for emissions as the basis for a replacement to Kyoto. It was these implications for the future as laid out by the IPCC, together with a general lack of action and a general bias towards mitigation, which provided the context for a Foundation initiative on climate change adaptation.

The Foundation sees resilience as a core and highly relevant approach to addressing the uncertainties of climate change, due to the uncertain nature of climate impacts. A 2009 Foundation White Paper expressed the importance of resilience, pointing out that no one individual or institution can possibly prepare for or recover from all of the potential climate change scenarios, while resilient systems survive a greater range of situations when faced with extreme or unexpected impacts, because they “fail gracefully, giving time to recover key functions” (Rockefeller Foundation, 2009). Under this approach, systems emerge from combining the resources, institutions, individuals and processes needed to accomplish a set of specific functions, which in the case of resilience, also includes building redundancies of resources, multiple response paths and safety nets.

Urban development brings increased vulnerability to climate hazards, but the impact of climate change results from more than exposure of urban settlements to climate risks. Understanding urban climate change resilience (UCCR) also requires recognizing that socio-economic issues, gender equity and governance structures are key determinants of adaptive capacity. For example, in terms of the socio-economic dimension, evidence suggests that women, the elderly, children, minority groups and the urban poor are particularly vulnerable to climate risks.

² Brazil, Russia, India, China and South Africa

1.1 Intersection of urbanization and climate change

In combining urbanization with climate change, ACCCRN brings together two of the Foundation's areas of work – urbanization and climate change. According to Satterthwaite *et al.* (2007) Asia was 31.9 percent urban in 1990, 37.1 percent urban in 2000, and reached 42.5 percent urban in 2010. Dobbs and Sankhe (2010) predicted that by 2025, nearly 2.5 billion Asians would live in cities, accounting for almost 54 percent of the world's urban population. Additionally, while very large metropolitan cities already attract the attention of large donors and international financial institutions to support climate change mitigation and adaptation, second-tier cities, where urbanization is generally more rapid, have received much less attention.

Urbanization is not just about population growth. It is about economic growth and the demand that increased population places on the services cities provide and, in turn, about cities' abilities to respond. This varies across the region. China has invested heavily in urban planning and has made powerful political appointees as mayors, whereas India has underinvested, devolved little real power and accountability to its cities, and has an urban-planning system that has largely failed to address competing demands for space. Thus "India is still waking up to its urban reality and the opportunities that its cities offer for economic and social transformation" (Dobbs and Sankhe, 2010).

ACCCRN has been a pioneer in highlighting the seriousness of the combined effects of urbanization and climate change. Recent strategy papers from two multilateral organizations, the World Bank (2010) and UN-HABITAT (2011), support the rationale for ACCCRN.

The ACCCRN approach, illustrated in the intersecting circles of Figure 1, is operationalized through urban systems analysis, climate change assessment and vulnerability assessments. Resilience operates at the intersection of these three areas.

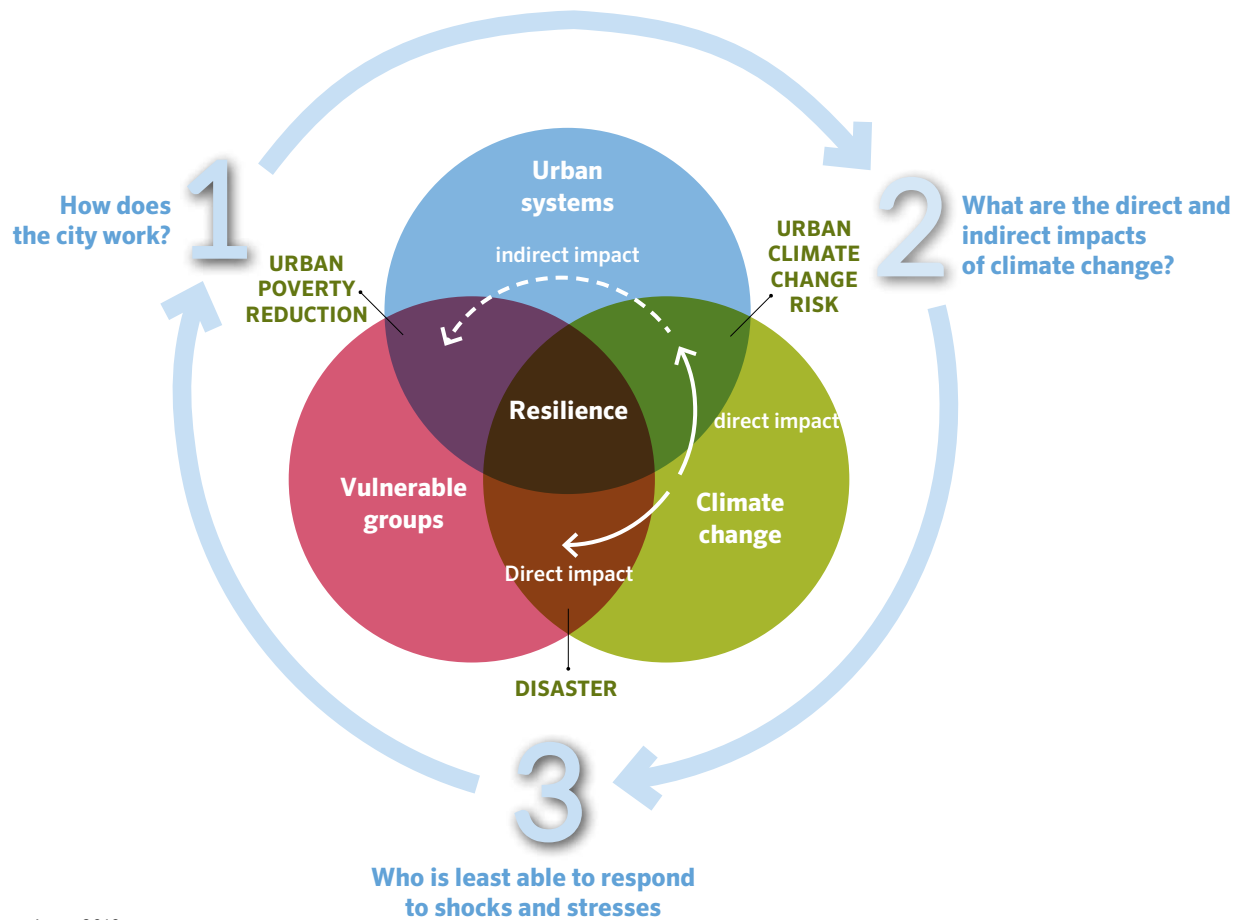
1.2 Methods

The evaluation, conducted by a team of five consultants over a period of about four weeks, used a combination of document review and semi-structured interview techniques. Structured around an evaluation matrix (shown in Annex 6), it used the evaluation criteria of the OECD Development Assistance Committee (DAC) to develop a set of evaluation questions and sub-questions to address the Terms of Reference (shown in Annex 1) and to guide the interviews. The main evaluation questions focused on areas of relevance, effectiveness, efficiency, sustainability and impact.

RELEVANCE – *an assessment of the rationale, niche, role, comparative advantage and value added of ACCCRN.*

- To what extent is ACCCRN based on a sound rationale that fits with need?
- To what extent does ACCCRN have a clear role and comparative advantage in the field of UCCR in developing countries?
- What is ACCCRN's value proposition, and to what extent is it adding this value?

FIGURE 1: **The ACCCRN approach**



SOURCE: Arup, 2010a.

EFFECTIVENESS – an assessment of the products and services planned and provided, the changes or outcomes that have occurred, as well as the impact ACCCRN has had on the capacity of individuals, institutions and networks, policies and resources.

Effectiveness in achieving high quality results:

- To what extent has ACCCRN achieved its planned outcomes?
- To what extent have the capacities of individuals, institutions and networks, policies and resources been increased, and to what extent has ACCCRN contributed to these changes?

Effectiveness at the formative stage:

- How effective has ACCCRN been in developing a shared vision for the program with key stakeholders?
- To what extent is ACCCRN based on clear and shared program logic, theory of change and results framework?



- To what extent has ACCCRN provided the planned products and services³ (outputs)?
- To what extent are the products and services:
- of high quality?
- of sufficient quantity to bring about change?
- What unexpected direct and indirect positive and negative UCCR changes have occurred as a result of ACCCRN, and what are the lessons derived for this?

EFFICIENCY – An assessment of the use of resources to obtain results, including the extent to which the Rockefeller Foundation uses best management and governance practices, and to what extent are those practices providing good value for money.

- Has ACCCRN used program funds efficiently to obtain results and demonstrate value for money?
- To what extent are the human and financial resources appropriate to deliver the ACCCRN strategy?
- To what extent has the Rockefeller Foundation demonstrated best management and governance practices in the oversight and guidance of ACCCRN?

SUSTAINABILITY – An assessment of the extent to which ACCCRN develops both financial and/or institutional support to continue the work initiated by ACCCRN.

- To what extent has ACCCRN developed both financial and/or institutional support to continue its work after project funding terminates?
- To what extent are the results ACCCRN has achieved likely to be sustained?

IMPACT – An assessment of the changes in the state and condition of people and the environment in which they live as a direct or indirect result of the work of the Foun-

³ Principally conceptual frameworks for UCCR and resilience strategies

dition, its grantees and partners. It is generally understood that in most instances impact will not be achieved by the Foundation and its grantees alone, but that many others will contribute to this level of change.

- To what extent has ACCCRN achieved its planned outcomes and contributed to its intended impact?
- What unexpected direct and indirect positive and negative UCCR changes have occurred as a result of ACCCRN, and what are the lessons derived from this?

Informed by theory-based approaches, this formative evaluation was organized around the ACCCRN Results Framework, and concerned with the causative relationships among outputs, outcomes and impact. As a mid-term evaluation less attention was paid to impact. The approach was also informed by process evaluation approaches in order to understand how, and how well, the initiative was being implemented and to make recommendations for mid-course corrections.

The evaluation included four main components:

- **COMPONENT 1:** analytical review of the portfolio of all grants funded under the ACCCRN Initiative
- **COMPONENT 2:** field visits to ACCCRN grantees and partners in the 10 Asian cities of the Initiative
- **COMPONENT 3:** stakeholder interviews with:
 - climate change leaders, policy-makers and practitioners in Asia and globally
 - partner organizations and other climate change funders in Asia and globally
 - RF staff in Asia and New York, including the President; Vice President, Foundation Initiatives (VPFI); Vice President, Strategy & Evaluation (VPSE); Chief Operating Officer (COO); all ACCCRN and Climate Change Initiative team members other relevant Initiative and operations staff.
- **COMPONENT 4:** desk review of documents – including grant documentation, regional trip reports, work plans, conference reports, financial reporting, budgets and monitoring reports.

For Component 2, the field visits, the evaluation team included a team leader and two pairs of consultants from India, Indonesia, Vietnam and South Africa (Durban is a pioneering city in the field of urban climate change) to cover the country- and city-level assessments. The country pairs were India and Indonesia, and Vietnam and Thailand. Each pair of consultants visited both countries, spending two to three days in the capital cities interviewing the country coordinators, government representatives, donors and NGOs. They then visited the participating cities together or separately for up to three days, to interview city coordinators, members of the ACCCRN city advisory committee and city working groups, and other stakeholders, particularly in city government. The team leader joined each pair in one country and undertook most of the stakeholder interviews (Component 3).



Strategy and relevance

This chapter considers the relevance of ACCCRN and urban climate change resilience (UCCR) in the context of other approaches to addressing climate change, as well as what other donors are doing or planning to do in this field.

The Rockefeller Foundation has identified what it considers the three stages of an initiative, while ACCCRN is working through four phases of development and implementation. This chapter superimposes ACCCRN's activities over the Rockefeller Foundation's initiative stages to show their close relationship, and then discusses ACCCRN's deepening engagement with cities.

2.1 Relevance of urban climate change resilience

The Rockefeller Foundation has made resilience a core concept of its work. In light of the “dynamic, systemic transformation that is needed to respond to the consequences of climate change, especially future impacts that are difficult to predict,” the Foundation considers resilience a more accurate, positive and comprehensive term than adaptation (Rockefeller Foundation, 2009). ACCCRN itself refers to climate change resilience as “the capacity over time of a system, organization, community, or individual to create, alter, and implement multiple adaptive actions.”⁴

The Foundation has identified a number of basic elements required for climate change resilience – elements that, as shown in Box 1, can be integrated to produce a systems response to climate change. UCCR is a conceptually appropriate and robust approach to climate change in cities, albeit a complex one.

A recent review under the DFID-funded Strengthening Climate Resilience (SCR) Programme (Bahadur *et al.*, 2010) found that the term “resilience” is increasingly used within policies, practical programming and thinking around both climate change adaptation (CCA) and disaster risk reduction (DRR). There is increased recognition of the value of mainstreaming climate change adaptation into disaster risk reduction activities to reduce vulnerability and increase resilience (Harris and Bahadur, 2011). In particular, the term “climate resilient development” is increasingly used to describe

⁴ See Annex 2 for definitions of common climate change terms

BOX 1

Features of climate change resilience

Flexibility at individual, organizational and systemic levels, with each level able to respond and contribute to each situation, and to respond to shifting and unpredictable circumstances.

Multi-faceted skill set including skills needed for preparation, such as comprehensiveness and detail-orientation; for survival, such as quick decision-making and resourcefulness; and for rapid recovery, such as innovation and diligence.

Redundancy of processes, capacities and response pathways within an institution, community or system, which allows for partial failure within a system or institution without complete collapse.

Collaborative multi-sector approaches to planning execution, and recovery. No one sector has a monopoly on a particular impact and thus understanding the overlaps and gaps between sectors is critical.

Planning and foresight to prepare for identified impacts and risks. While it is impossible to plan for every possible set of impacts, and in many cases the cumulative effect of impacts is unknown, the planning process itself brings learning, builds skills and helps create resilience.

Diversity and decentralization of planning, response and recovery activities. A diversity of options has greater potential to match the particular scenario of impacts that occurs, while decentralization allows for parts of the system to continue operations even if other parts of the system are down.

Plans for failure. Break-downs happen gracefully, not catastrophically

SOURCE: Rockefeller Foundation, 2009.

where climate change adaptation and disaster risk reduction intersect with poverty and development, and is now becoming a phrase to describe tackling climate change impacts in a development context.

While the various approaches to climate change response may be somewhat blurred or overlapping, distinctions remain. As shown in Table 1, the resilience approach has the highest degree of complexity, as it includes polycentric governance and is multi-scale, long term and calls for self-organization.

The review of the SCR Programme also found that the increased recognition of “resilience” in the climate change adaptation, disaster reduction risk and development fields perhaps was due, in part, to the fact that, semantically, it represents a readily recognizable concept – the ability to return quickly to a previous (and good) condition. It also found “resilience” used across a range of disciplines with multiple and diverse meanings.

While UCCR is a relevant concept, and ACCCRN has developed a sound approach through which to operationalize UCCR, three issues emerge for ACCCRN in relation to UCCR:

- the extent to which cities understand the complexity of urban climate change resilience
- the extent to which cities distinguish between disaster risk management, urban climate change adaptation, and urban climate change resilience

- the extent to which the differences between adaptation and resilience have wider implications in the field of climate change.

TABLE 1: **Policy attributes of different climate change approaches**

POLICY ATTRIBUTE	ADAPTATION APPROACH	VULNERABILITY APPROACH	RESILIENCE APPROACH
Governance system to manage process	Democratic decentralization	Centralize, based on social contract with public sector	Keep approach polycentric, participatory
Spatial scale of implementation	Sector focus	Identify places, communities, groups	Emphasize the interaction of multiple scales & need to act at all scales
Temporal emphasis of implementation	Short- and medium-term risks	Identify past and present vulnerabilities	Plan for long-term future
Actors	Public-private partnerships	Include public sector, vulnerable groups	Involve civil society, public sector, resource managers
Policy goal	Address known & evolving risks	Protect populations most likely to experience harm	Enhance systematic capacity for learning, self-organization, recovery
Desired outcome	Maximum loss reduction at minimal cost	Minimize social inequity in current impacts; maximize capacities of disadvantaged groups	Minimize probability of rapid, undesirable and irreversible change

SOURCE: Miller *et al.*, 2008.

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- the extent to which the differences between adaptation and resilience have wider implications in the field of climate change.

IS THE CONCEPT BEHIND THE PHRASE UNDERSTOOD AND SPREADING? There is evidence that some people understand the concept and are using it to shape their work. While all 10 cities have developed city resilience strategies (CRSs), most are still grappling with the concept. Whether resilience becomes embedded as a planning approach in cities will depend on the success of continued reflection and learning dialogues (the Phase 2 Shared Learning Dialogues [SLDs]) in Phase 3, and the institutionalization of city advisory committees (CACs) and city working groups (CWGs).

At an ACCCRN Workshop held in Bali in 2011, there was debate, led by the ACCCRN Advisory Board on terminology, i.e. adaptation vs. resilience (Rockefeller Foundation, 2011a). Two key points were made:

- ACCCRN should use the term “climate change adaptation”, at the very least for strategic reasons in the adaptation funding arena
- resilience is the desired outcome of actions taken to *adapt* to climate change, meaning that resilience is the desired “end state of adaptation” (Rockefeller Foundation, 2011a).

Although the idea of resilience as an “end state” does not seem to cohere with the Foundation’s “dynamic systems” definition or with a number of the resilience models reviewed by the SCR Programme, it does resonate with the fact that resilience is an impact-level objective in the ACCCRN results framework.

The concern about terminology and climate finance is pertinent and relates to ACCCRN’s Outcome 3 – scaling-up – and associated resource brokering activities. The Advisory Board view was that primary funding streams identify with “climate adaptation” finance, and that the Foundation needs to avoid exclusion from replication opportunities due to semantics. However, the Advisory Board also noted that adaptation is still a young and evolving field, and that ACCCRN has the potential to refine and re-define what climate change adaptation is. ACCCRN therefore needs to consult with partners and take a considered decision over terminology – finding a way to stay with its stated definition of resilience but also align with a more fluid and evolving use of terminology in the field. It is worth noting that as of April 2011, Internet searches revealed very few hits for “UCCR” that were not in some way related to ACCCRN.

To add to this discussion, the evaluation found some enthusiasm among donors for resilience rather than adaption. They saw resilience as supporting cities in planning for an uncertain future, while adaptation was viewed as trying to address better quantified risks, which was driving a demand for down-scaling climate models and data to a resolution at which accuracy was severely compromised.

2.2 ACCCRN relevance

DID, AND DOES, ACCCRN RESPOND TO A NEED? This question operates at a number of levels – from citizens’ needs through cities’ needs to the global need to prepare for climate change. The following looks at how ACCCRN addresses UN-HABITAT’s recommended approach to incorporating climate change into urban planning.

Realizing that national climate change commitments agreed through international negotiations require local action, yet according to UN-HABITAT, most of the mechanisms within the international climate change framework primarily address national governments and “do not indicate a clear process by which local governments, stakeholders and actors may participate” (UN-HABITAT, 2011), ACCCRN directly targets this local demand for mechanisms.

Only a handful of city-wide initiatives – such as in London, Durban and New York – have begun to grasp the need to address some of the complex linkages between

mitigation, adaptation and development, and have launched programs accordingly. According to UN-HABITAT (2011), “The challenge, and it is an immense one, is to knit together a global response to urban needs and potentials, in which a wide variety of partners each contribute what they do best”. ACCCRN is expanding the elite group of cities addressing this complex area.

For the local level, UN-HABITAT suggests that urban policy-makers should begin from an awareness of local development aspirations and preferences, local knowledge of needs and options, local realities that shape choices and local potential for innovation. In this context, urban local authorities should:

- develop a vision of where they want their development to go and find ways to relate climate change responses to urban development aspirations
- expand the scope of community participation and action by representatives of the private sector, neighborhoods (especially the poor) and grassroots groups, as well as opinion leaders of all kinds
- conduct vulnerability assessments using an inclusive, participatory process to identify common and differentiated risks to their urban development plans and their different demographic sectors, and decide on objectives and ways to reduce those risks.

ACCCRN directly addresses this recommended approach to incorporating climate change into urban planning, and thus addresses local need, as expressed on the global stage.

The urban focus is highly relevant. City-level climate resilience strategies in developing countries are very important since cities are considered, and promoted as, engines of economic growth, accounting for an increasing share of national income (Vliet, 2002; HPEC, 2010). While demographic growth has slowed in metropolises and capital cities, it has increased in middle-level cities – although the increase has taken place in an unplanned way. Larger cities and metros with a concentration of economic and political power are able to increase infrastructure investment, both from public and private sources, thereby prioritizing investment in both climate mitigation and adaptation.

Thus, it is appropriate to focus on medium-level cities, where the twin pressures of absorbing a growing population (due to higher natural growth and migration) and providing services and economic infrastructure combine. Yet these cities have paid less attention to long-term planning (Kundu, 2009).

Taking this macro context into consideration, ACCCRN is very relevant, with a distinct comparative advantage, able to add significant value in the national urban development field.

The ACCCRN team members have simultaneously shaped the field of urban climate change resilience and responded to the needs of that field. At the outset of ACCCRN, understanding of climate change resilience was new. While cities, particularly coastal cities, were planning for disaster risk reduction, planning for the uncertain effects of climate change remained novel for many.

ACCCRN has presented a carefully balanced blend of supply-push of climate change awareness (field building) and demand-pull (responding to needs for information and approaches).

As ACCCRN moves into implementation of resilience projects (its Phase 3), there is evidence that for many cities, pull is now stronger than push – ACCCRN cities are “getting it”, and looking for approaches, models and information. For example, ACCCRN is clearly understood in Indonesia, where the city advisory committees always look at climate change in terms of resilience during their regular meetings and shared learning dialogues (SLDs). ⁵However, awareness is currently limited to the city advisory committees.

At city level, the situation varies slightly with respect to national context. However, in general the view of the evaluation and peers is that ACCCRN is “in the right place at the right time”, enabling, supporting and exploring approaches and methodologies to vulnerability assessment and the design of city-level adaptation plans.

In Vietnam, ACCCRN, through its lead facilitation partner, the Institute for Social and Environmental Transition (ISET) and the international NGO, Challenge to Change (CtC), is acknowledged and respected for having been in the right place at the right time to provide selected cities with important foundation support at the outset. Vietnam’s National Institute for Science and Technology Policy and Strategy Studies (NISTPASS) has played an important role in linking across some key national, provincial and city stakeholders.

This pioneering work has contributed to informing the design of Vietnam’s national adaptation and mitigation template for development of 63 province-level plans requested by the National Target Program (NTP). Six of these plans have been completed, and contracts for development of 20 more awarded by the Ministry of Natural Resources and Environment (MONRE). There is strong social capital and reputation established as the program is so well aligned in support of the objectives of the NTP.

The Vietnamese government is preparing a national climate change response strategy that reflects how Vietnam’s structured governance system works. The needs of the cities – determined through provincial and national coordination initiatives within the framework of the National Target Program and the National Socio-economic Development Strategy – are closely linked. The other countries do not express national-level need as well as Vietnam. Thus, while there is need, ACCCRN is not yet aligned to particular policy directives or investment programs.

In Thailand, there is good evidence of buy-in from the city of Chiang Rai. Even though city funds have yet to be directly allocated to UCCR work, there is substantial in-kind contribution in terms of staff attention and time.

2.3 ACCCRN evolution

This section outlines the phases and summarizes the evolution of ACCCRN, which will be further expanded upon in the following chapters. It also shows the correspon-

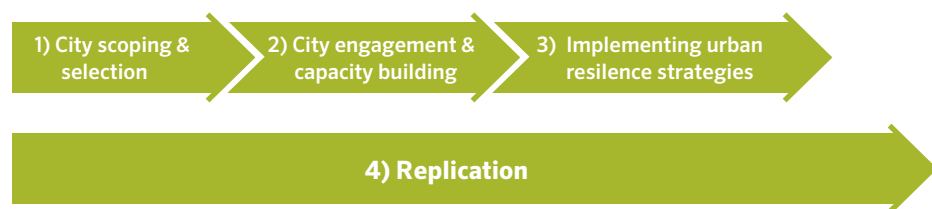
⁵ SLDs are explained in detail in Chapter 3.

dence between the three stages for establishing an initiative identified by the Rockefeller Foundation (Figure 2) and the four stages of development and implementation identified by ACCCRN (Figure 3).

FIGURE 2: **The three stages of an initiative**



FIGURE 3: **Four phases of development and implementation**

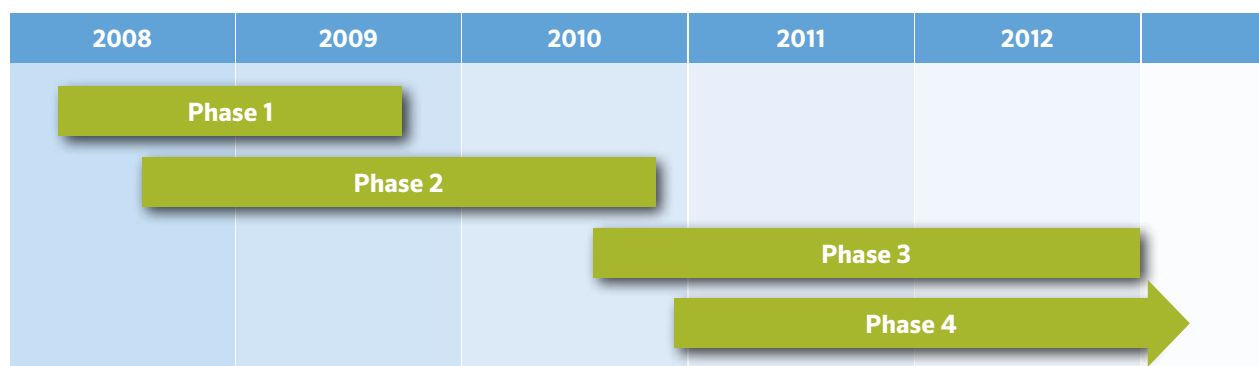


Comparing the two sets of stages, the evaluation found:

- search was part of the larger process of forming the Developing Climate Change Resilience Initiative, and thus occurred prior to city selection,
- development occurred during city selection and the early development of an approach for city engagement,
- execution included major elements of city engagement and the implementation of resilience strategies.

Replication was intended to parallel all three stages, however mapping the stages onto a real-time frame, illustrated in Figure 4,⁶ showed that replication had shifted and paralleled only the later phases.

FIGURE 4: **ACCCRN phases**



⁶ Arup (2010d), ACCCRN: Phase 3 Grant Proposal (Rev A).

Specifically:

- Phase 1, City Selection – completed in late 2009.
- Phase 2, City Level Engagement and Capacity Development – completed in 2011.
- Phase 3, Implementation of urban resilience projects – has commenced with the selection of intervention projects from cities in three countries for the first funding round announced in March 2011.
- Phase 4, Replication – builds on the knowledge and process models generated through Phases 1, 2 and 3.

Table 2 shows the approximate correspondence between the Foundation’s generic initiative formation stages and ACCCRN’s phases:

TABLE 2: **Development of ACCCRN and Rockefeller Foundation initiatives**

RF INITIATIVES	SEARCH	DEVELOPMENT	EXECUTION
ACCCRN	Shaping RF Building Climate Change Resilience Initiative	Shaping ACCCRN and evolving the UCCR concept	City scoping: developing city selection criteria, city long & short lists, final selection
			City engagement and capacity building
			Implementing urban resilience strategies and projects
			Replication

SOURCE: constructed from interview notes and Rockefeller/ACCCRN documents.

In mapping ACCCRN grants onto the Foundation’s three initiative stages, Table 3⁷ shows that ACCCRN’s search phase commenced with a scoping grant to Dr Rumbiatis del Rio (grant 207 SRC 102) in early 2007 and continued with grants to Stratus Consulting (2007 CLI 202) and the Institute of Development Studies (IDS) (2007 CLI 206) to provide schemes by which cities could be selected for ACCCRN. It concluded with an internal grant (2007 CLI 101) to host a partners meeting.

The development phase involved grants to Arup (2008 CLI 304), ICLEI (2008 CLI 302), and TARU through ISET (2008 CLI 306) (Table 3) to undertake city assessments in Thailand and Vietnam, Indonesia, and India respectively. The city assessments in Thailand and Indonesia did not identify suitable cities and partners, and were done again with other local partners. Mercy Corps undertook the Indonesia assessment (grant 2008 CLI 2011), and TEI and the Asian Disaster Preparedness Centre (ADPC) undertook further studies in Thailand (grants 2009 CLI 303 and 304 respectively). The city assessments did not take full advantage of the search phase studies, and city selections were made quickly, moving into execution before development was fully complete.

In execution, Phase 2 commenced with larger grants to partners, notably 2008 CLI 327 of over \$5 million to ISET to develop and lead the Phase 2 methodology – the Sustain-

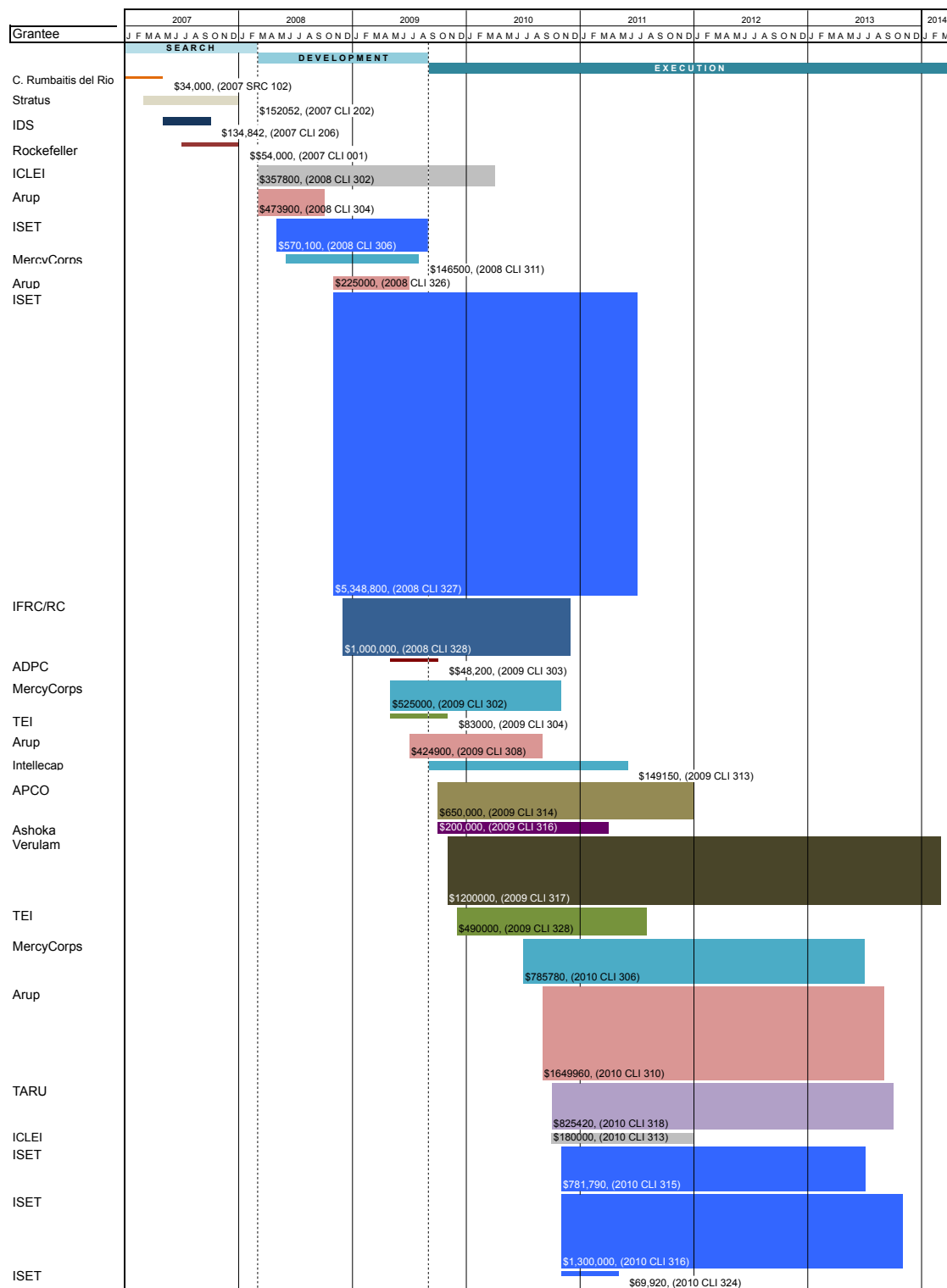
⁷ Although ACCCRN is part of the large *Building Climate Change Resilience Initiative*, its budget was not fixed within the larger initiative envelope until recently. In addition to ACCCRN grants, a few thematically related grants were funded out of a special opportunities budget in the larger initiative, such as a documentary series on the challenges that cities face with respect to climate change produced by Rockhopper Production. These are not considered ACCCRN grants, and are the subject of a separate evaluation being conducted of non-ACCCRN components of the *Building Climate Change Resilience Initiative*. Table 3 only includes cross-initiative grants dedicated to ACCCRN, while Annex 3 includes all grants.

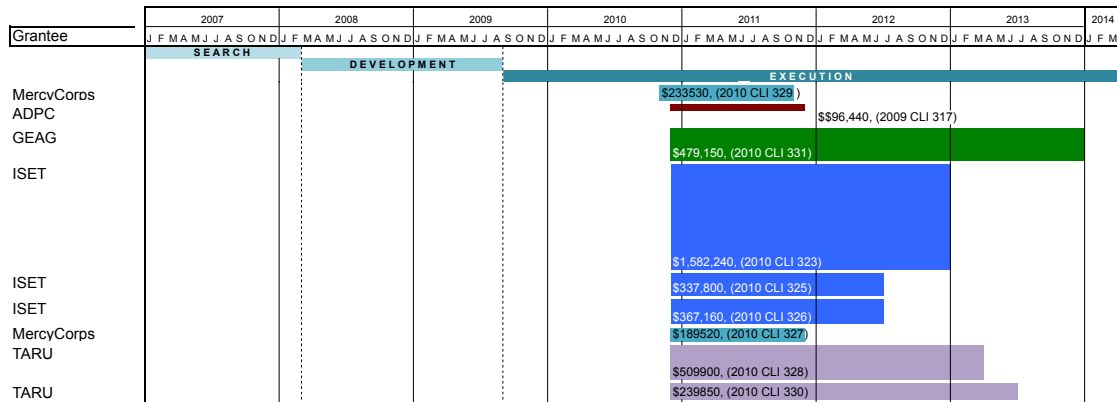
able Learning Dialogues (SLDs). During execution, ACCCRN made a set of country coordinator grants, and a number of specialist grants (e.g. Verulam for M&E (2009 CLI 317) and APCO for communications (2009 CLI 314)). The most recent, a 2010 grant to country coordinators, included significant grant elements for on-granting to cities for Phase 3 implementation projects.

The overall impression from the grants table (Table 3) is the number of medium-sized grants (\$400,000–\$800,000) running simultaneously to several partners and a small number of dominating large grants. This means a large amount of grant activity to coordinate.

Summary			
<p>ACCCRN addresses an important high-level issue at the conjunction of climate change and urbanization.</p> <p>ACCCRN is expanding the elite group of cities addressing this complex area.</p> <p>The focus on second-tier cities is relevant, as is the aim of developing and testing practical approaches to responding to climate change.</p> <p>The inclusive, participatory shared learning dialogue</p>	<p>process addresses UN-HABITAT's recommended approach to incorporating climate change into urban planning, and thus addresses local need, as expressed on the global stage.</p> <p>ACCCRN introduced the concept of UCCR, which represents a valuable and relevant concept for addressing urban climate change. However, resilience involves polycentric governance, and is multi-scalar, multi-stakeholder, long-term and self-organizing, giving it the</p>	<p>highest degree of complexity of the approaches to climate change.</p> <p>In a number of cities, some people understand the UCCR concept and are using it to shape their work. All 10 cities have developed city resilience strategies (CRSs), which exhibit a number of resilience features. This is an important achievement. However, most cities and many city stakeholders are still grappling with the concept.</p>	<p>The sustainability of a UCCR approach depends on the success of continued reflection on the process and the institutionalization of city advisory committees and city working groups (CACs and CWGs).</p> <p>Overall, ACCCRN is “in the right place at the right time”, enabling, supporting and exploring approaches and methodologies for undertaking vulnerability assessments and designing city-level adaptation plans.</p>

TABLE 3: ACCCRN grants by duration and size







Outcome 1

Outcome statement: Capacity

There is improved capacity to plan, finance, coordinate and implement climate change resilience strategies within ACCCRN cities.

This chapter discusses the conceptualization and implementation of Outcome 1: Capacity. It calls for selected cities to employ a multi-stakeholder, participatory process to produce and update their climate resilience strategies and plans to include poor and vulnerable populations. It assumes these resilience strategies and plans will be incorporated into medium-term planning frameworks, based upon viable revenue streams, and that they will be technically sound and developed in a coordinated fashion among key stakeholders, including government entities, the private sector, NGOs and local communities.

The Outputs underlying Outcome 1 relate to engaging with city partners so they own and institutionalize an approach to UCCR by building new skills to deal with uncertainty, implementing activities based their own, technically sound resilience strategies, and identifying lessons from reflecting on practice. Using ACCCRN's learning-by-doing model, this chapter considers how this learning is consistent with different approaches to climate change. It then reviews the process used for selecting the 10 cities in which ACCCRN is taking place, the development of the cities' resilience strategies, and the selection and implementation of UCCR pilot-scale and subsequently larger projects in these cities.

3.1 Learning and capacity building

Much of what is evident as ACCCRN activity in the 10 ACCCRN cities is closer to disaster risk reduction (DRR) than climate change resilience (CCR). Even though those with a solid UCCR grounding can identify CCR elements in the projects, city partners more often view them through a DRR lens. The critical question for ACCCRN is whether and how cities will progress from DRR to CCR in both thinking and practice.

DRR is certainly an appropriate entry point, especially effective in cities with fairly recent experience of disasters, such as the 1994 outbreak of plague and 2006 flood in Surat, India, which left people and organizations keen to take steps to avoid the effects of potential disasters. There is evidence from outside ACCCRN that DRR can progress to thinking about climate change.

The missing element in this appears to be a model or a roadmap for moving interventions, and the local understanding of the interventions, from DRR to CCR, encompassing much higher degrees of uncertainty, the need for more multisectoral planning and response, and probably longer time spans.

It is understandable that disaster planning and immediate service delivery concerns are high priorities for cities and their citizens. For example, solid waste management in Gorakhpur is discussed only in terms of current waste volumes and current disease loads.⁸ Nonetheless, there is a concern that such projects may only demonstrate single-loop (first order) learning about how to solve the problem, and not generate transformative thinking about climate change and building resilience to it.

Argyris and Schon (1995) argued that double-loop learning is necessary for organizations and their members to manage problems that originate in rapidly changing and uncertain contexts, such as climate change resilience. They defined single loop, or adaptive, learning as incremental and focused on solving problems in the present without examining the appropriateness of current learning behaviors. Single-loop learning uses knowledge to solve problems based on existing assumptions, often based on what has worked in the past. Double-loop, or generative learning, focuses on transformational change of the status quo, using feedback from past actions to question assumptions underlying current views and to create new insights.

Their work regarded individuals as the key to organizational learning and was based on the belief that people's tacit mental maps guide how they act when planning, implementing and reviewing their actions. People's behavior is consistent with their mental models, and single-loop learning does not lead to an examination of these.

Thus, because climate change resilience requires a new way of thinking and acting, it demands double-loop learning techniques, which help people in organizations learn together and helps organizations change to meet uncertain futures.

Outcome 1, capacity-building, aims to build city capacity to plan, finance, coordinate and implement climate change resilience strategies. In other words, this is about cities behaving differently. Most evaluations of capacity building use an approach based to some degree on the four-stage Kirkpatrick (1998) model, which considers:

- how people reacted to the capacity-building intervention(s) – was the customer satisfied?
- what they learned – was the desired learning outcome achieved?
- what they did differently (in their job) as a result of the capacity building intervention(s) – what change in job behavior resulted from the capacity building?

⁸ www.geagindia.org/Solid_waste_management.html

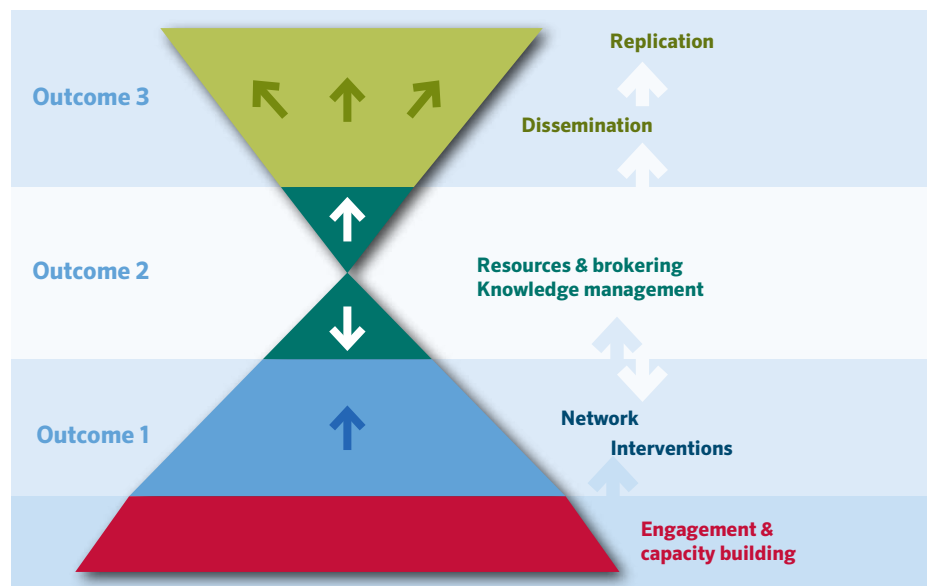
- what results were achieved (the most important stage) – what organizational changes were effected as a result of the capacity building?

Some models also include a fifth step.

- what the return was – what was the return on investment in capacity building?

This coheres with a model in which individuals learn, but people act collectively, normally in some form of organization. It is also broadly consistent with ACCCRN's explanation of how work streams combine over time to deliver the outcomes (Fig.5), wherein capacity is built and put into practice in intervention projects, learning is shared and lessons are disseminated, leading to replication.

FIGURE 5: **Summary mapping new work streams against results framework**



SOURCE: Arup, 2009.

The key aspect of the Kirkpatrick model is that individuals' capacities are built, but this is only really successful if it leads to higher order organizational and systems changes. However, according to Simister and Smith (2010), the time from capacity building to systems changes can be as long as 15 years.

ACCCRN provides both direct capacity building and, through implementation projects, the opportunities to put new behaviors and systems changes into practice. At present, it is too early in Phase 3 to determine whether implementation projects will lead to systems changes, rather than first order problem solving. There are good indications that capacity building has resulted in some individuals behaving differently which is likely to affect organizational changes, but this will require good monitoring of both individuals whose capacities have been built, and systems changes they are able to catalyze.

Capacity development through training and awareness programs and hands-on shared learning dialogues will require more than a one-off cycle in Phase 2. It will require repeated on-going application and expansion, and on-going learning support and reflection for the innovators and ACCCRN management team and leaders through the Strategy and Alignment Groups (SAGs). ACCCRN recognizes this and is providing further capacity building through: i) supplementary support for capacity development to country coordinators and ii) \$250,000 of dedicated technical assistance to support shared learning dialogues, project development and climate science support in ISET's Phase 3 grant. There is also a plan for a major investment in a climate and development training centre in the region that can provide cycles of follow-on support to ACCCRN stakeholders and beyond.

3.2 City Selection

In 2007, ACCCRN awarded a grant to Stratus Consulting to undertake a detailed desk-based study of the candidate cities' exposure to climate-related risks (Smith *et al.*, 2007). The risks analyzed were:

- increase in temperature
- change in precipitation
- heat stress
- infectious diseases
- air pollution
- glacial melt
- sea level rise
- coastal storms.

These risk indicators were used to develop a preliminary ranking of relative risks across 50 Asian cities to eight potential climate change impacts in 2030 and 2080.

The UK Institute of Development Studies (IDS) was then given a grant to work with a group of Asian research partners to complete a rapid governance and capacity assessment of ten South and Southeast Asian cities (Tanner *et al.*, 2009). This assessment was designed to address the ability and willingness of the cities to plan and implement integrated climate change resilience programs, elaborating some of the key governance issues mediating this capacity, and informing more detailed vulnerability analyses and the development of pilot projects prior to scaling-up in priority cities.

The 10 cities studied in this desk-top rapid governance and capacity assessment were: Bangkok, Chennai, Chittagong, Cochin, Dalian, Da Nang, Hangzhou, Ho Chi Minh City, Ningbo and Surat. These cities were chosen using criteria such as the current and future climate hazard burden, coastal or tide-influenced location, very high rates of urban population growth, a track record of disaster management efforts, and an even geographical spread across the region. They were assessed using an "Asian good governance framework" for their "ability to plan and implement an integrated climate change resilience program".

These significant studies, with grants totaling nearly \$300,000, essentially concluded the search phase, providing ACCCRN with a list of 50 cities, ranked by exposure to climate risk, and a separate list of 10 cities, assessed for the governance-related capacity to implement a climate change program, as well as findings on the importance of governance in climate change resilience.

The next step was to make country assessments of the readiness of these cities to engage with the project on resilience and, finally, to develop an analysis of each of the selected cities with respect to their physical, social, political and economic contexts. In addition, the IDS researchers noted: “A more detailed analysis of the political economy of decision-making in the final set of cities chosen as part of the Foundation’s program will help to expedite the implementation of climate resilience programs, as it will aid targeting of individuals and institutions with the power and resources to overcome barriers.”

Grants were then awarded to organizations that would serve as Country Assessment Partners (CAPs) with the role of selecting a small number of potential ACCCRN cities in their countries, and undertaking city visits to build support for possible ACCCRN involvement in the city. The chosen CAPs included the International Association of Local Governments for Sustainability (ICLEI) for Indonesia, TARU for India, and Arup for Vietnam and Thailand.

ICLEI’s grant letter (2008 CLI 302) set indicators for the CAPs’ project deliverables and milestones:

- develop criteria for selection of Indonesian cities
- identify 5 to 10 cities and implement desktop reviews of relevant information as stated in the proposal
- visit each city to:
 - build the political momentum for involvement in the RF Resilience Network (and potentially Phase II)
 - develop personal relationships with key stakeholders locally, regionally and nationally
 - assess the capacity of local stakeholders to work on climate vulnerability
 - re-configure the desktop review as needed.

Arup and ISET visited all four countries during July and August 2008, and the CAPs’ assessments were reviewed in a partners’ meeting in London in late August 2008. The country assessments recommended cities for ACCCRN engagement as follows:

- **INDIA:** Gorakhpur or Surat (on the basis of flood risk), Hubli-Darwhad or Indore (on the basis of water stress, and Kakinda (on the basis of cyclone/storm surge/ sea level rise)
- **INDONESIA:** in an order of priority that factored in government capacity and city-level partners: Bandung, Palembang, Bogor, Makassar and Surabaya
- **THAILAND:** based on factors including exposure to climate risks, existence of potential partners, responsive government, and stakeholder recommendation: Samut Prakarn and Cha Am (though Arup was not convinced by either of these choices and recommended further work, to include Hua Hin, Rayon and Chiang Mai)
- **VIETNAM:** based on factors including city responsiveness, technical partners and INGO activity: Can Tho, Hue and Quy Nhon.

It is evident that the final ACCCRN cities only bear a partial resemblance to those proposed by the CAPs prior to the end of Phase 1. After this first round of scoping,

ACCCRN completed selection for India and Vietnam in 2008, engaging with Gorakhpur, Surat and Indore (India) and Can Tho, Quy Nhon and Da Nang (Vietnam). However, Indonesia and Thailand conducted a second round of scoping, with Indonesia selecting the cities of Bandar Lampung and Semarang by mid-2009 and Thailand selecting Chiang Rai and Hat Yai at the end of 2009. It is noted that there was limited reference to the national policy and public sector investment context as it relates to climate change in the above selection.

For Thailand, the choice of an ACCCRN partner was a much debated and protracted process among various players, including the RF ACCCRN team⁹ in Bangkok. Being the initiative's "late starter" has meant having reduced time-frames to catch up with process and funding cycles.

The Asian Disaster Preparedness Centre (ADPC, 2008) produced an extensive evaluation of anticipated climate hazard impacts and vulnerabilities for Thailand's five short-listed cities, and the Thailand Environment Institute (TEI) contributed an analysis of the human, social and economic aspects of vulnerability. Some of the highly vulnerable cities identified were tourist-oriented and consequently not sufficiently interested in engaging in ACCCRN. The final choice of Chiang Rai and Hat Yai was made by TEI, which had become the designated country coordination partner. Both cities had worked with TEI previously, and had been identified as vulnerable to climate change impacts. Hat Yai scored highest in the ADPC report on combined ranking of vulnerability factors (37 out of a possible 40 points); while Chiang Rai was third (24 points out of 40) behind Udon Thani (26 points out of 40).

The evaluation found only limited documentary evidence for how the specific cities were eventually chosen. The Mercy Corps Indonesia City Selection Report (2009) provides some clarity on the methods as well as the criteria. However, many of those interviewed for the evaluation reported that, having spent well over a year developing selection criteria, consulting, discussing and trying – not entirely successfully in the case of Thailand and Indonesia – to select cities with which ACCCRN could engage, there was pressure brought to bear from the Foundation to move quickly into engagement (Phase 2). The selection process appears ultimately to have been pragmatic. This is further illustrated by consideration in the final selection of new factors (such as presence of the World Bank in Semarang). Ultimately this raises questions about the extent to which the criteria can be used as a baseline for assessing outcome achievement in monitoring and evaluation.

THE EVALUATION FINDING is that Phase 1 was not managed as efficiently as it might have been. Much of the desk and field study work from this period was not ultimately used in forwarding the initiative, although the thinking, especially around governance and capacity, continues to be relevant.

Although the Stratus and IDS scoping grants of almost \$300,000 and Phase 1 grants of over \$1 million produced most of their required deliverables, these deliverables were not drawn-on in the subsequent phases of the initiative. Reasons for this appear to be either:

⁹ The RF ACCCRN team includes Rockefeller professional staff members based in Bangkok, plus one team member in New York, who make significant inputs to ACCCRN.

- weaknesses in study design – the IDS study was rushed, had little input from the region and was based on a sample of cities chosen in New York, or
- execution – initial city assessments in Thailand and Indonesia.

Nonetheless, it may be that in the Foundation’s initiative model, this type of learning-by-doing, whereby some initial work is inevitably a victim of the evolving understanding of the initiative, is the price the Foundation is willing to pay for this approach.

With the benefit of hindsight, it now appears that ACCCRN labored unduly over the process of city selection. UCCR was a new concept and there were a large number of potential second-tier cities in Asia in which to pilot its application. Coastal, estuarine or riverine, and drought-prone second-tier cities represent those with most urgent need to consider climate change. Cities capable of working with ACCCRN were likely to be those with some activity already. Suitable cities could have been identified more rapidly and cost effectively with a lighter study that had better focus on enabling environment.

The Bumblebee report found that there were low levels of awareness and interest in climate change adaptation issues among candidate cities. It also found that, in general, generating sufficient awareness became a priority that was elevated above that of making an analysis of the governance and administration context of these cities – factors taken more into consideration in the second round selection studies in Thailand and Indonesia. ACCCRN had anticipated the likely low levels of awareness and interest, but it supported a rationale for purposively selecting cities with some DRR or CCA work already in hand.

Finally, in relation to city selection, the above processes led to a question about the fundamental way in which the Foundation decides on its work and strategy for investment. Its approach has been described as “development venture capitalism” – investing in new, innovative areas with a time- and resource-bound initiative, to generate substantive momentum that can be scaled by attracting other investors. This requires having partners that can take the model to success quickly and efficiently, for example, proactive cities with partners engaged in the topic. While the level of engagement was given greater prominence in city selection in the second round countries (Thailand and Indonesia), this was as part of a matrix of other, more geographic and bio-physical factors. It is not clear that the presence of suitable catalytic partners was a major factor in selection, which seems to run counter to a development venture capital ethos.

3.3 Governance context

Choosing “cities” as the unit of analysis implicitly assumes an engagement with governance and administration. According to ISET, governance issues are central to the adaptive capacity of cities and communities, and for enabling adaptive strategies of individuals. Vulnerabilities are exacerbated by poor provision of infrastructure and services, poor land-use management or urban planning, and inadequate disaster preparedness or response. ... Issues of governance cut across all vulnerabilities and capacities” (ISET, 2009).

In reflecting upon lessons learned, ISET (Opitz-Stapleton *et al.*, 2010; Tyler *et al.*, undated) notes that successful interventions require inter-departmental support and are predicated upon executive-level commitment in cities. It was originally anticipated that Phase 1 also would include an analysis of the social, political and economic context of the selected cities, and considering governance factors, which meant:

- mapping key actors and their inter-relationships (including city and regional officials)
- mapping the informal and formal systems of control and accountability
- identifying how poor and marginalized groupings might be supported to influence policy-making in the city
- describing the policy-making process in the city, with practical examples.

This did not happen because the process of developing and implementing a methodology for identifying partner cities in Phase 1 took much longer than anticipated, resulting in a “compressed time-frame” for the rest of the envisaged process of Phase 1. In effect, the unanticipated length of time taken to complete the first steps of Phase 1 meant that short-cuts or exclusions had to be made for the other planned steps.

ISET CONCLUDED, and the evaluation concurs, that had the governance-based analyses occurred, Phase 1 would have resulted in:

- a shorter list of cities
- a sense of the relative importance of the climate change agenda at national and local levels
- clarity on which cities are worth engaging with more deeply
- acknowledgement that raising awareness is fundamental to making anything happen.

THE EVALUATION CONCLUDES that the development phase of ACCCRN was rushed. This seems to have been in response to a Foundation desire to move to action, and can be seen in that light when five-to-seven-year Foundation initiatives are considered. This calls into question whether the timeframe for this type of initiative risks compromising quality in some areas. A five-year initiative in a new field, with a limited number of partners, faces a difficult task forming a conceptual field, building partners’ capacities and demonstrating progress on the ground. As is now evident from mid-term perspective at the start of Phase 3, city projects require sufficient time for implementation and reflection. Putting time pressure on earlier phases may not be the best solution to this problem. Although, in a fairly adaptive management environment where understanding is continually evolving, it is not always clear how long different stages will take.

A FURTHER CONCLUSION, reached from assessing the current progress towards national-level scaling-up, is that, with the light level of city governance assessment, there was little attention paid to the national-level governance and policy context. National policy was not prioritized, as the ACCCRN theory of change emphasized building a body of credible practice in cities as a driver for UCCR. An assessment

of the political economy of climate change and the key policy actors might have led to a different choice of country coordinators or, as has now happened in India, selection of additional partners better placed to operate in national policy circles than the country coordinators, who can take advantage of policy windows as they arise. It is recognized that this is a tall order – finding country partners simultaneously well located in city and national policy is difficult. The RF ACCCRN team now has advised country partners to seek complementary relationships, or ACCCRN has brokered these directly.

3.4 Phase 2

Phase 2 had a threefold objective: i) increase cities' awareness of climate change issues, ii) develop an approach by which cities could start to develop resilience; and iii) engage cities to undertake actions to develop climate change resilience. ISET received a significant \$5.35 million grant (2008 CLI 327) to lead this process in Phase 2. Its grant letter specified milestones and deliverables as follows:

- develop high-quality, multi-stakeholder resilience proposals for at least eight cities
- host four ACCCRN partner meetings
- produce shared learning dialogue (SLD) workshop reports from at least six cities
- conduct vulnerability analyses, resilience assessments and two sectoral studies for at least six cities.

These objectives were addressed through the SLD process, which included a series of activities interspersed with reflective workshops including: exploratory workshops, vulnerability assessments, sector studies and engagement projects. In the 10 cities, country coordinators have supported the successful establishment of city advisory committees (CACs) and city working groups (CWGs) as the focal point and implementing agent in each city.

3.5 Shared learning dialogues

Shared learning dialogues are an “approach to participatory planning and problem solving in complex situations, characterized by non-extractive, mutual learning among participants” (ISET, 2010b). As practiced by ISET, SLDs have specific key attributes.

- **THE INFORMATION SHARING IS MULTI-DIRECTIONAL.** Local stakeholders representing disparate sectors, scales or perspectives should learn from each other, leading to mutual understanding.
- **THE PROCESS INVOLVES STAKEHOLDERS IN AN OPEN MANNER.** Participants contribute their views and experiences, and have time to absorb and think about the information and perspectives of different groups before they interact again.
- **THE PROCESS CROSSES SCALES, COMMUNITIES, AND ORGANIZATIONAL AND DISCIPLINARY BOUNDARIES.** Shared learning dialogues bring together local, regional, national and global scientific perspectives and seek to overcome knowledge system divides typical of sectors.
- **THE PROCESS IS ITERATIVE.** Participants have multiple opportunities to share, generate and understand new knowledge (Fig. 6). Multiple iterative sessions

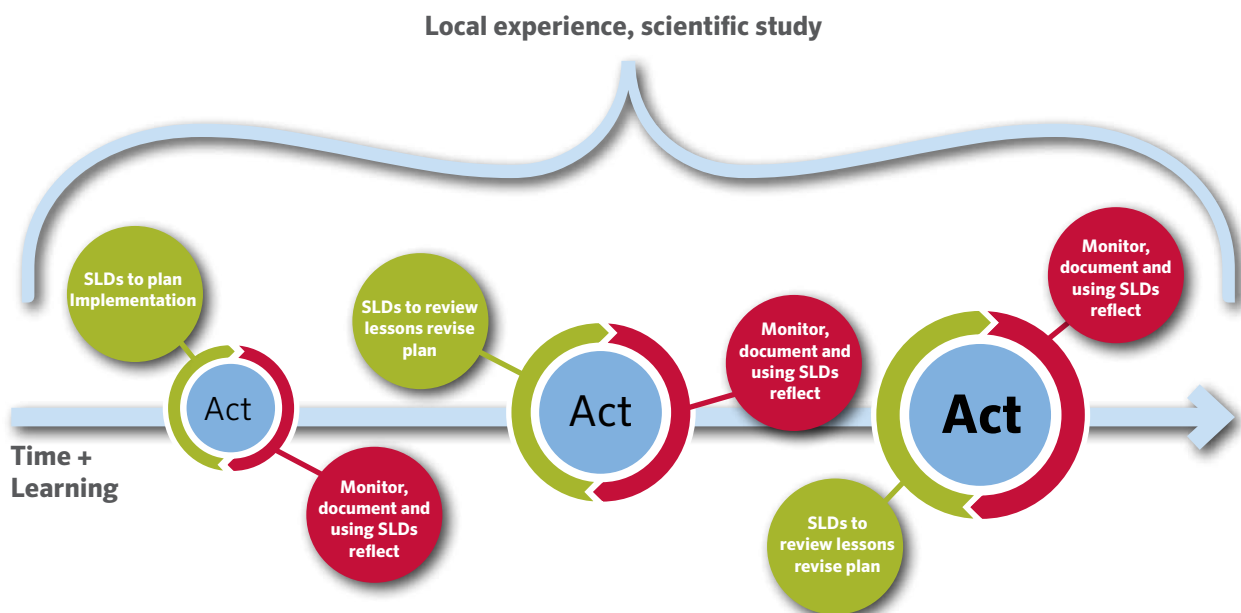
allow for sequential growth in understanding and typically lead to increased levels of comfort and more meaningful dialogue among participants. Each iteration typically introduces new or enhanced knowledge into the process (ISET, 2010b).

The iterative learning cycles have revolved around sets of analyses, namely vulnerability analyses, resilience assessments and sectoral studies, which were followed by pilot/engagement projects and reflection on the analyses, and production of city resilience strategies. The country coordinators have brought both process facilitation skills and technical knowledge. For example, TARU brought knowledge of climate projections and geographic information system (GIS) tools for vulnerability mapping that were highly appreciated by Indore and Surat. Nonetheless, the evidence from the SLD materials is that they were stronger on climate science and physical planning than they were on social aspects and the governance context.

Shared learning dialogues are not dedicated climate change planning tools, but rather a structured, multi-stakeholder, participatory planning approach. ISET (2010b) found that the dialogues benefitted from highly skilled, active meeting facilitation. Partners recognized the advantage of engaging facilitators with an adequate working knowledge of the subject matter – in this case, climate change – so that they would feel comfortable presenting on the topic and not risk misinforming or confusing the participants.

The SLDs have proven successful, engaging a range of city stakeholders across a range of institutions, to work together in non-silo fashion on cross-sectional issues. The value

FIGURE 6: **SLD - iterative learning and action research**



cities give to their city advisory committees and city working groups is indicated by moves to institutionalize them. For example, Surat changed its constitution to a trust¹⁰ which will enable it to engage more formally with city government and manage funds, and in Vietnam, City Climate Change Offices (CCCOs) are being funded with Phase 3 grants. Those involved in Phase 2 deserve credit for developing and implementing a process of engagement, analysis and planning across sectors and departments that has resulted in city resilience strategies in 10 cities.

ACCCRN is pioneering, and all partners have had to feel their way in defining and determining need. The initial lack of definition provided space for government agencies and cities themselves, supported by SLDs and other interventions, to further develop their own capacities for determining their needs. It was found that the initial ACCCRN rationale and approach meshed well with the need in the Vietnam context.

Nonetheless, a question remains of the replicability of SLDs in the absence of significant inputs from one of only a few partners. ISET managed successful SLD processes in India (as did TARU), Indonesia and Vietnam. However in Thailand, which started later and had very little ISET input, the SLDs and their outputs were not to the same standard as the others. As the initiative starts to look at replication, it is not yet clear if, or how, the support to SLDs will be secured so that the process achieves institutional sustainability. While CACs and CCCOs are becoming institutionalized, they will need evidence of impacts and successful outcomes, plus cost benefit analyses, to secure resources to invest in and facilitate such extensive processes.

3.6 Engaging vulnerable groups

The ACCCRN experience indicates that learning with vulnerable groups requires a multi-layered approach, in which SLDs, vulnerability assessments and pilot projects each play a role. In all four countries, representatives of vulnerable communities participated in the large multi-stakeholder SLDs. It is difficult to assess the level of community engagement in the SLDs. The city resilience strategies have little process information about their production, and they are strongly oriented towards physical planning, although they do examine social impacts of physical changes. For the TARU-led SLDs in Indore, 1250 households from 125 settlements were interviewed to generate income, education and social capacity indices, which were geo-referenced for the vulnerability analyses. However, this is a more data-extractive than participatory approach.

Community-based surveys and focus groups conducted through vulnerability assessments allowed much greater insight and participation for these groups. Such interactions were especially extensive and successful in Gorakhpur, where the NGO Gorakhpur Environmental Action Group (GEAG) has a long-term presence and connection to those communities and was therefore able to engage at a deeper level. Partners indicated that the interactions were helpful, not only for GEAG and the City Advisory Committee's analysis of climate vulnerabilities in the city, but for stimulating

¹⁰ In Surat, the high level of engagement and activity of the CAC is largely due the strong involvement and commitment of the South Gujarat Chamber of Commerce (SGCC). The overall success of the SLD and Phase 2 process can also be attributed to a committed city government and dynamic commissioner.

long-term community engagement (evinced by the appearance of participants months later at GEAG offices for follow up conversations) and assisting community members in approaching elected officials as informed citizens. In Indonesian cities, ACCCRN also represented an unprecedented opportunity for NGOs to work on an equal basis with city government community representatives. In Vietnam, existing government and party-led structures provided a conduit for effective discussions and decision-making in identifying and targeting vulnerability at local level. Overall however, in a pioneering initiative such as this and no matter what the structures, there needs to be incremental and on-going building of leadership, awareness and reflection processes to enable progression through DRR approaches towards developing resilient systems.

The functions of the CCCOs in Vietnam include:

- encouraging social-political organizations, institutions, NGOs and companies to invest in climate change resilience activities such as research, education and data communication
- supporting and promoting community participation
- sharing experiences of efficient climate change resilience activities
- participating in climate change projects and plans of city departments and other districts.

This model of an institutional requirement to promote community participation is to be commended, given the evaluation's concern that some Phase 2 implementation projects approached vulnerability reduction as a planning task carried out *for* poor and vulnerable communities, rather than *with* them. There were exceptions. For example, ward-level solid-waste management planning in Gorakhpur was very inclusive. But where communities are not well represented on City Advisory Committees and City Working Groups, there is an enduring need to ensure inclusivity is maintained into Phase 3.

Community participation helped ensure that the experiences of these communities were included in the growing body of knowledge and understanding; that design of vulnerability assessments, sector studies, and pilot projects reflected their priorities; and that community representatives developed a greater understanding of their vulnerabilities to take back to their communities.

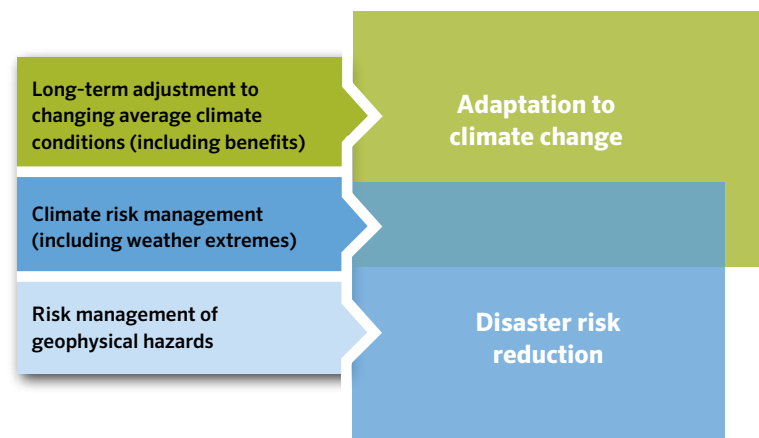
Many partners were conscious of the limitations of multi-stakeholder meetings for engaging populations that are poor and/or marginalized. They identified the significance of unequal power dynamics during interactions leading to dominance of certain perspectives and marginalization of others. Unequal power dynamics can be mitigated to some degree by skilled facilitation and alternative communication tools such as mapping exercises, note cards and small break-out sessions. Large meetings promote multi-directional knowledge sharing by gathering all parties in one place – yet they may also constrain knowledge sharing of certain partners who cannot attend these meetings or feel uncomfortable in that setting, such as many women, marginalized groups, and representatives of poor communities. This points to the need for excellent facilitation if the voices of the poor and vulnerable are not to be lost in the process. Structures and processes are needed to ensure on-going participation (rather than just consultation of) poor and vulnerable communities.

3.7 Entry points

From both the city resilience strategies (CRSs) and interviews with city stakeholders, it is evident that, as identified early in ACCCRN, the “now” issues are crowding out “next” issues for many people and organizations in cities, and concerns relate more to disasters than climate change (Arup, 2008a). ACCCRN’s entry point into cities has commonly been through disaster risk reduction (DRR) rather than climate change resilience (CCR).

There are many overlaps in concept and objective between DRR and climate change response (Fig 5, Table 4), but also some key distinctions. The 2006 Stern Review stated that about two-thirds of disasters are caused by climate hazards which are increasing in number and severity due to climate change. The main overlap between DRR and climate change adaptation (CCA) is in reducing the risk of weather extremes and the management of hydro-meteorological hazards, because “DRR needs to take account of changing hazards, and adaptation needs to build resilience to their impacts” (Mitchell and van Aalst, 2008). Both approaches share the objective of reducing the impacts of shocks by anticipating risks and uncertainties and reducing vulnerabilities. However a key distinction is that climate adaptation considers long-term changes in climatic conditions whereas DRR is predominantly interested in extremes. DRR is not the same as building resilience to climate change, and practicing DRR in a changing climate requires new and different thinking.

FIGURE 7: **Overlap between disaster risk reduction and climate change adaptation**



SOURCE: Mitchell and van Aalst, 2008.

While there has been increasing convergence of DRR and climate response globally, national barriers remain, due to separate DRR and National Adaptation Programs of Action (NAPA) platforms, access to funding and separate communities of policy-makers, practitioners and researchers (Mitchell and van Aalst, 2010).

TABLE 4: **Conceptual and practical differences between disaster risk reduction and climate change adaptation**

DIFFERENCES		CONVERGENCES
DRR	ADAPTATION	
Origin and culture in humanitarian assistance following a disaster event	Origin and culture in scientific theory	Climate change adaptation specialists now being recruited from engineering, water and sanitation, agriculture, health and DRR sectors
Most concerned with the present – i.e. addressing existing risks	Most concerned with the future – i.e. addressing uncertainty/new risks	DRR increasingly forward-looking. Existing climate variability is an entry point for climate change adaptation
Full range of established and developing tools	Limited range of tools under development	Increasing recognition that more adaptation tools are needed and must learn from DRR
Incremental development, low to moderate political interest	New, emerging agenda, high political interest	None, except that climate-related disaster events are now more likely to be analyzed and debated with reference to climate change

SOURCE: Adapted from Mitchell and Aalst, 2008.

In relation to this, the evaluation found that DRR is close enough to CCR to be a pragmatic and effective entry point for ACCCRN. This is particularly true of the Phase 2 engagement projects, which have aspects of field shaping and demand creation. However, the distinction between DRR and CCR has not been made clear to partners, particularly the advisory committees and working groups at city level. This is more of a concern as ACCCRN moves into Phase 3 implementation projects. It would be useful to see a narrative or theory of change whereby city partners progress from a DRR orientation to a CCR modality.

Resilience, especially urban resilience, is a multi-scalar concept. There is a need for a macro view that considers matters at city and higher levels. It is also clear from social and ecological systems approaches to resilience that there should be engagement at the local, community or even household level – to the extent that this school of resilience considers that “any program or project aiming to build resilience should engage locally or, possibly, use the community as an entry point” (Bahadur *et al.*, 2010). This acknowledges the “importance of community participation in policy processes and decentralized institutions, and conceptualization of resilience often uses the community as the unit of analysis rather than only an individual or community context.”

This aspect of resilience – social systems and community engagement – is less prominent in ACCCRN than might be expected from an organization such as Rockefeller Foundation with a strong social orientation. Urban systems inevitably encompass planning for large-scale infrastructure and service delivery, which needs central co-ordination. This is to some extent in contrast with rural systems wherein farmers can act more individually in adapting to climate change on their smallholdings (ACCRA, n.d.).¹¹ Nonetheless, top-down urban physical systems do need to be balanced with urban social systems.

¹¹ ACCRA’s bottom-up approach offers an example: community.eldis.org/accra

3.8 Engagement projects

Phase 2 included a set of small-scale pilot projects to demonstrate how a multi-stakeholder project identified through an SLD might be implemented, how different stakeholders would approach project implementation, or where there might be demand for further projects, possibly at a larger scale. During Phase 2, these projects were re-named “engagement projects”, to manage cities’ expectations that the pilots would all be scaled up in Phase 3. This re-orientation of the projects explains how they might fit in the overall SLD process. However, for the cities, the name is largely immaterial, they are small-scale projects designed to reduce risk and vulnerability. Some are cross-sectoral and others at a larger scale but most are small scale and single sector (Annex 4). The projects have largely achieved their design aim – to show how a multi-stakeholder project identified through an SLD might be implemented.

These projects have enabled a closer working relationship among and with city partners, demonstrating that UCCR is more than studies and workshops, and providing an opportunity to support cities in addressing pressing urban management issues that are likely to be exacerbated by climate change. Whether they have deepened the engagement with city partners and improved the level of understanding of UCCR is less certain. As is shown in the following section, the extent to which the projects have catalyzed buy-in and UCCR-orientation has been variable. It has certainly occurred with stakeholders in some cities, but in other cities, they are seen more as another donor project. It will be important that as ACCCRN reaches the end of Phase 2, the experience of implementing small-scale projects with a UCCR orientation is reflected upon and written up as part of the continuous learning that the SLDs represent, and that these reflections are also shared.

3.9 Phase 2 outputs

The SLDs produced a raft of products from all 10 cities: vulnerability assessments, sector studies, and ultimately, city resilience strategies. This is an important achievement. As discussed later under Outcome 3, although these products have been discussed at city workshops facilitated by ISET, they have not been made widely available. Although there were claims that these were not produced for publication, most cities or country coordinators now provide links to the documents on their websites, so they are in the public domain. Arup (2010f), under its Phase 2 grant, quality assured a sample of these Phase 2 products.

They concluded that quality was mixed. Strengths included:

- strong methodologies for health in Surat
- good vulnerability analysis supported by TARU in Surat and Indore
- good health capacity and vulnerability assessments in the three Vietnam cities
- strong summary report on climate change impacts and vulnerability assessment in Can Tho
- good case studies on water supply, demand, and flooding in Surat, linking to climate change projections, and vulnerability in Vietnam, breaking down who and why.

However, there were also gaps, such as sector studies missing the perspective of the most vulnerable, as they focused on adaptive capacity, determining how to tackle city-wide infrastructure issues while remaining focused on the most vulnerable, establishing a comparison of research tools used for the SLDs, and generally producing more description than analysis and diagnosis.

Some evaluation respondents were also concerned that, as identified in the early Stratus report, techniques for down-scaling climate change projects are not yet sufficiently robust or of fine enough resolution to make accurate city-level projects. The danger is that Phase 2 planning is based around a projected future that seems more certain than it really is, because it is based on scientific data, which are in fact not as dependable as they seem. The danger, which does not appear to have been made clear to cities, is that they might adapt for a situation indicated by city-level downscaled data, rather than becoming resilient against an uncertain future.

Overall, while the Phase 2 city-level products are of mixed quality, they offer a body of experience on participatory, multi-stakeholder processes for initiating UCCR. This does not exist elsewhere, and there is no single or right answer. Cities need to continue to be reflective, and ACCCRN partners need to ensure that the Phase 2 documents are shared in the way they have been produced, as real life examples of trying to do UCCR.

3.10 Phase 2 traction

The level of traction that ACCCRN achieved in Phase 2, working with cities to institutionalize UCCR, has been variable. Some aspects of Phase 2 have had better traction than others, and some cities have had better traction than others. The scale of the task should not be underestimated and, indeed, although Outcome 1 calls for “improved capacity to plan, finance, coordinate, and implement climate change resilience strategies within ACCCRN cities,” the cities are unlikely to be resilient by the end of the initiative. In designing resilience strategies, there has been very positive feedback about the technical competence of ACCCRN regional and country partners who have facilitated Phase 2.

To start with the challenges, the ACCCRN rationale and UCCR concepts have been understood and adopted by some individual actors in cities, but they have not been widely absorbed among partner cities, and ACCCRN has had particularly limited impact in shaping a UCCR field in Thailand. In Thailand, ACCCRN outputs are pursued to the extent they are contained in the grant memorandum. Key city stakeholders do not engage with ACCCRN at the level of the theory of change and to a very limited extent with ACCCRN results.

In Vietnam, the ACCCRN rationale is not clear or of significant importance to partners. Most view this engagement primarily as an opportunity to mobilize resources (as required by Vietnam’s National Target Programme on Climate Change) in order to promote achievement of their own local provincial and national immediate work objectives. The theory of change and results sought by ACCCRN are well understood by the Phase 2 in-country national partner, NISTPASS, though it may take some time

for the newly employed national coordinator for Phase 3 (via ISET) to understand and own the results framework and theory of change. At the city and provincial level, the ACCCRN intervention is perceived as another donor intervention. The theory of change and results framework is not understood or owned by the city partners. More important to them is that ACCCRN provides opportunities for some activities that are beneficial to their cities and are in alignment with the NTP.

In Indonesia, the ACCCRN rationale is not yet clear, or even important to some partners or at central levels. It will require repeated application and reflection to stick. Here, despite considerable local engagement, it would be ambitious to expect the ACCCRN cities to have an inclusive resilience strategy in place. Cities' knowledge on climate change and capacity development has been increased through training and awareness programs and the SLDs. They value the experiments carried out under the project, and the resilience documents. The developments in the two cities are at a stage when they would like to consolidate their learning from the past experience but also to take assistance from ACCCRN in preparing future development plans, reflecting climatic concerns. There are good avenues for this. In Bandar Lampung, one city advisory committee member also heads the committee for the local Mid-Term Development Plan, which has been approved by the mayor and is awaiting approval by the legislative council. Thus the key messages from ACCCRN are entering the formal planning process through informal channels established at the city level.

ACCCRN is considered by evaluation respondents to have been timely and valuable in enabling, supporting and exploring approaches and methodologies to vulnerability assessment and the design of city-level adaptation plans. In Vietnam, this pioneering contributed to informing the design of a national template (adaptation and mitigation) which is to be implemented for the development of 63 province-level plans as required by the NTP. This is an important achievement. Six of these plans have been completed, with the contracts for the development of 20 plans awarded through the Ministry of Natural Resources and Environment (MONRE). The government is preparing a climate change response strategy to be applied for the whole country.

ACCCRN, through ISET and Challenge to Change (CtC), is acknowledged and respected for having been at the right place at the right time to provide cities with important support at the outset. NISTPASS has played a key "access" role in linking across key national, provincial and city levels.

In Indonesia, there are several positive developments.

- The cities have considered the Phase 2 outputs in the process of their plan preparations, which reflects some kind of ownership of the pilot projects by the local government. The cities have proposed and adopted some of the experiments and instruments of intervention in their own plans. They are associating with and seeking help from Mercy Corps in developing some of their projects. Nonetheless, to some of the partners at local, state and central levels, the ACCCRN rationale is not very clear, or considered important. Despite considerable local



engagement, it would be ambitious to expect the ACCCRN cities to already have an inclusive resilience strategy in place. A few of the concerned officials do not consider the outputs of ACCCRN or the decisions at CAC as binding and, thus, cannot accept these for immediate implementation in their departmental work, unless backed up by follow-up instructions.

- The SLD has worked well and achieved results in terms of capacity building related to the climate change adaptation with stakeholders. Networking and dialogue has improved, and the linked learning process and a knowledge management system has been implemented through the pilot projects.
- The City Development Board (BAPPEDA) as well as the mayor have committed to use the output in the city development plans, and have signed MOUs committing to use it.
- In Bandar Lampung and Semarang, the resilience interventions and strategies are included in the city development budget plan. In Semarang, the city is discussing whether to include this in Indonesia's five-year mid-term development planning (RPJMD), starting in 2012.

In India, the establishment of City Advisory Committees in participating ACCCRN cities, and their functioning, even as advisory bodies to the existing planning and administrative system, has been limited, with the exception of Surat. In Gorakhpur, the key functionaries of the city government have often attended the CAC meetings, but as guests of honor or to preside, rather than being fully engaged. They have not carried any messages from the CAC into their day-to-day functioning or in planning their future activities.

The results of the vulnerability assessments and sectoral studies conducted under ACCCRN have been presented and discussed in the CACs, often as a formality, especially in the Indian cities. Their recommendations have not been used formally in the on-going planning process or even discussed at important fora to obtain comments from formal planning bodies or local civil society organizations, although a few issues have received mention in policy documents. The expectation of outputs being given weight in policy-making or used by key change agents at the city and higher levels is, therefore, ambitious at this time. There has yet to be significant impact in sensitizing cities or, importantly in India, state-level planners. City-level ACCCRN coordinating agencies have not been associated with the committees or deliberations for preparing the spatial plan at local level. This is indicative of a need for CACs and city and country coordinators to understand and engage with governance processes at city, state and national levels.

Notwithstanding this, the real outcomes of Phase 2 must be recognized in terms of their high level of technical competence and for initiating a participatory process of negotiation and decision-making. In Indonesia, the CAC has had semi-formal status as there is some kind of ownership by the city governments. The members attend the meetings with considerable seriousness and consider these to be a part of their official responsibility. The concerned local departments are aware of the agreement of ACCCRN with the central government and always look to the country coordinator of ACCCRN to play an effective role in policy mobilization at all levels. In Surat, the CAC is being formalized, but otherwise there is generally no formal recognition.

A general issue in India, expressed most clearly in Gorakhpur, is the unwillingness of the planning agencies to become a part of, or lead, an initiative launched by an NGO. There is reluctance to accept ACCCRN or its CAC, as a tool of planned intervention, without sponsorship or administrative support from the relevant line department or even an informal indication of approval from higher authorities. A civil society organization, on its own, can find only limited space in local governance and finds it hard to create a spirit of ownership. The local partners in all three Indian cities look to the national and international partners to create a higher level support system but the design of the framework does not explicitly stipulate this role for any agency. This is still missing, although inclusion of TERI and IRADe as national policy-level partners now goes some way to address this. Inclusion of the National Institute of Urban Affairs (NIUA), through partnering it with Peer Experience and Reflective Learning network (PEARL) would add further support, as NIUA is a parastatal body.

The change in capacity of the individuals, institutions and multi-stakeholders fora for designing programs and plans to achieve ACCCRN outcomes have to be examined in terms of short- and long-term goals. The country coordinators have shown innovative thinking, resourcefulness and dedication in designing and implementing specific schemes in Phase 2 projects for micro-environmental improvement and tackling current problems of water and environmental sanitation. These indeed provide scope for up-scaling, certainly in the selected cities, if not at higher levels.

The key issue is not just to get a technically sound city resilience strategy prepared, but to make it integral to the planning process at the city level. The ability of ACCCRN to influence the city planning processes will be difficult in India and Indonesia, unless the higher levels of government are formally taken as partners. In India, state governments play an important role since urban development is a “state subject” as per the Constitution. In Indonesia, local-level officials in the cities strongly desired more substantial engagement of provincial governments in the project.

In Vietnam, this is less of a concern. In Vietnam’s structured governance systems, the needs of cities are closely linked and determined through provincial and national co-ordination initiatives within the framework of Vietnam’s National Target Programme on Climate Change (NTP) and its 2011–2020 development strategy.

However, at the city level elsewhere, the major issue concerning planning is insufficient coordination among the different agencies that function at central, state and local levels, and their interaction with private actors. In Surat, for example, the state irrigation department is associated with ACCCRN, while the pollution control officials, located in the city, have no knowledge of it.

There is thus plenty of scope for ACCCRN and its city advisory committees and working groups to continue to expand their membership. This needs to be a clear aim for Phase 3. As it stands, the aim of being “citywide” is mainly ACCCRN’s, and this needs to be a common objective for city partners.

A second issue at the micro level is scaling-up to the whole city. The linkages between the current problems of vulnerability and climate change are accepted by ACCCRN’s

national and regional partners, select members of civil society organizations, the academic community and a few enlightened members of industrial and commercial organizations. This, unfortunately, is not adequate to scale-up to the city those initiatives launched through pilot projects in a couple of wards. In both India and Indonesia, these pilots on waste management and water supply have generally been successful and commercially viable. Yet, there is no effective demand to prepare and adopt climate resilience strategies at the community or city level. In designing and implementing specific schemes for micro environmental improvement, the concerned agencies have shown innovative thinking and commitment, and have addressed the problems of inadequate capacity at the city level. This has created a scope for up-scaling, but the inter-sectoral integration of the schemes for creating a framework for a resilience strategy is yet to take shape.

3.11 Phase 3

Phase 3 has only just commenced. The decision on which Phase 3 projects to fund in the initial implementation project funding round was taken while the evaluation was in the field. Hence it is not possible to say much about the progress of Phase 3. However, findings about the Phase 3 process to date are presented below.

ACCCRN has produced a clear and well-conceived process and set of criteria for selecting Phase 3 implementation projects (Rockefeller Foundation and Arup, 2010). However, the evaluation notes that the criteria are an illustration of “planning for” rather than “planning with” thinking. The criteria (Fig 8) include *impact on* poor and vulnerable populations, but not the extent of their *involvement in* the project. It is also not clear from these criteria whether the extent to which projects draw on and emerge from the city resilience strategies was part of the selection process, though it was a required element of the project template.

There are many typologies of participation, going back to Arnstein’s ladder (Arnstein, 1969), but they generally have asymmetric forms of engagement at one pole (inform, consult) and more inclusive ones at the other (partnership, citizen delegation). Urban planning has traditionally been a city function, but it has become increasingly inclusive (i.e. beyond consultative). The concern in ACCCRN is that, despite the strong social systems dimension of resilience thinking, citizen participation is not as evident as it might be, as illustrated in these criteria.

The RF ACCCRN team and Arup have developed a good process and set of criteria, and the country coordinators have worked with city partners to develop funding submissions to secure project funding from the Phase 3 fund.

ACCCRN has earmarked \$20 million of its overall budget¹² for Phase 3 projects. While not sufficient to fund major infrastructure development across the 10 cities, it is considered that this corpus will support city-scale interventions, rather than the more micro-scale engagement interventions in Phase 2. There is a risk of losing relevance and visibility if the Phase 3 projects are too small in ambition, scope and funding. The

¹² Recently agreed with Rockefeller Foundation to be \$38 million

approach of various other donors in addressing both mitigation and adaptation opportunities at city level will receive increasing attention, and the ACCCRN interventions need to demand attention since UCCR is not yet a city-wide priority.

FIGURE 8 : **Implementation project selection criteria**

PRINCIPLES		
Ecologically sustainable development	Contributes to urban climate change without negatively straining or degrading ecological systems or resulting in environmentally unsustainable practices	
Do no harm	Contributes to urban climate change without generating negative consequences or producing tradeoffs that would yield detrimental impacts on poor and vulnerable populations and ecosystem integrity while attempting to achieve a wider-scale solution	
CRITERIA		CRITERIA WEIGHT
Credibility	1. Contribution to building urban climate change resilience	GATEWAY
	2. Impact on lives of poor and vulnerable populations	GATEWAY
	3. Potential to integrate with other resilience building measures at city level	PRIMARY
	4. Scale of impact	PRIMARY
Viability and sustainability	5. Technically and operationally viable	PRIMARY
	6. Financially viable and sustainable	PRIMARY
	7. Prospects for timely implementation	PRIMARY
	8. Local ownership	PRIMARY
Leverage capacity	9. Ability to leverage other resources (financial, human, technical)	PRIMARY
Replicable and scalable	10. Prospects for replication in other places	GATEWAY
	11. Ability to achieve scale	GATEWAY
	12. Ability to contribute new urban climate change resilience knowledge and practice	SECONDARY
Innovation	13. Innovative	SECONDARY
Portfolio balance	14. Contribution to a diverse and balanced set of projects and interventions ACCCRN-wide	SECONDARY

SOURCE: Rockefeller Foundation and Arup, 2010.

For this reason, “depth-versus-breadth” questions emerge in relation to project selection. Single projects need to be sufficiently large in scale and financing to: i) invite city-wide attention, and ii) demonstrate sufficient impact for poor and vulnerable communities to have potential to generate attention at national and international levels. The project selection criteria already identify scale as a key criterion. This might be broadened to include visibility. Therefore ACCCRN needs to reassess its guidance and funding plans for Phase 3 projects. Fewer, larger interventions will progress the Initiative from Phase 2 to Phase 3 more clearly and better support the achievements of Outcome 1 and Outcome 3.

With fewer, larger intervention projects, ACCCRN needs to be assured that it has the necessary support systems in place. Country coordinators' systems for ACCCRN have been established to help implementation of small grant projects. However, it is not entirely clear if they have themselves scaled-up to support the larger Phase 3 projects, although staff in most countries,¹³ as dedicated city coordinators, is a start. Larger projects are going to be technically and managerially more demanding. City advisory committees and working groups will need to step up to this challenge, and more specialized technical assistance is likely to be required. The three regional partners have drawdown funds for technical assistance to support Phase 3, but this appears small in relation to the scale of the challenge.

Larger projects are only going to be meaningful in the context of ACCCRN, if they are able to complete a full action-research/action-learning loop during the life of the initiative. As it stands, they *should* complete the physical aspects of the project while ACCCRN is live (although this may be tight for projects in the last round of funding in 2012), but it is doubtful that full reflection loops will be completed and learning shared and disseminated within the available time. Therefore, to gain the maximum value from the Phase 3 implementation projects, **ACCCRN SHOULD BE EXTENDED FOR ONE YEAR TO COMPLETE THIS PHASE OF WORK ADEQUATELY.**

So far, \$4.01 million has been awarded to nine “soft” projects” (World Bank, n.d.)¹⁴ across three countries:

VIETNAM (\$2.36 MILLION)

- city climate resilience coordination offices
- hydrological modeling for urban planning – Da Nang
- feasibility study for reducing vulnerability of poor female-headed households
- climate impacts on urban planning for Nhon Binh

INDIA (\$1.23 MILLION)

- conjunctive management of water supply systems in Indore
- end-to-end early warning system for Ukai and local floods – Surat
- developing, testing and institutionalizing ward-level micro-resilience planning – a model for replication – Gorakhpur

INDONESIA (\$0.42 MILLION)

- integrated urban solid waste management master plan to increase resilience to climate change in Bandar Lampung City
- pre-feasibility study of rainwater harvesting to reduce climate change vulnerability

The selection of the first batch of implementation projects was an involved process, following the agreed process. City partners and national coordinators felt that the funding procedure was intensive and put them under strong time pressure to complete their funding submissions. They were then disappointed that the process seemed to

¹³ In Vietnam, ISET has opted for one national coordinator.

¹⁴ “Hard” adaptation measures usually imply the use of specific technologies and actions involving capital goods, such as dikes, seawalls and reinforced buildings, whereas “soft” adaptation measures focus on information, capacity building, policy and strategy development, and institutional arrangements.

slow down once submissions were with the RF ACCCRN team for appraisal. At the time of writing, cities and country coordinators had not received feedback on why their proposals had succeeded – or failed. They need this, as it is part of the learning process. Without a solid engagement with all applicants, the process risks being gamed and becoming a means for cities to obtaining standard donor funding.

Recognizing that ACCCRN approval procedures are perceived as slow by partners, the RF ACCCRN team has subsequently modified the review and feedback process, having learned significantly from the initial funding window. It has also negotiated a unique and special provision with Rockefeller Foundation headquarters, whereby once a concept is approved for taking to a full proposal, senior Foundation management in New York commit that they will not reject the final proposal, except on legal or due diligence grounds.

The selection process also has been intensive and placed quite a burden on the RF ACCCRN team, and will continue to do so throughout 2011 as further funding rounds occur. This intensity of project-level engagement may be a facet of the hub-and-spoke structure of ACCCRN (see Outcome 4 section), which leads the decision-making and coordination back to the center – back to the RF ACCCRN team. It may similarly be a facet of the RF ACCCRN team believing that only it has sufficient command of the overall initiative picture to decide what complementary set of Phase 3 projects would be to best deliver Outcome 1. The evaluation finds that this level of direct RF ACCCRN team orchestration of Phase 3 projects is not necessary, and the time investment carries a high opportunity cost in regard to other tasks that only the RF ACCCRN team can perform, as opposed to project selection, which could equally be done by a grantee, possibly working with an expert panel. **A MEANS BY WHICH FURTHER ROUNDS MIGHT CARRY A LOWER BURDEN FOR THE RF ACCCRN TEAM SHOULD BE SOUGHT.**

Summary

Disaster risk reduction (DRR) is the entry point for much of the city engagement.

This is an appropriate entry point, especially where cities have fairly recent experience of disasters, but also where there is increasing convergence of DRR and climate change adaptation approaches.

ACCCRN is currently missing a roadmap that progresses interventions and partners from DRR to climate change resilience (CCR), which involves higher degrees of uncertainty, more multi-sectoral planning and response, and probably longer time spans.

The selection of ACCCRN cities was ultimately pragmatic. Although it followed a number of studies on city selection criteria and scoping cities' eligibility, those findings were under-used in the selection process, because they were rushed or not well executed and, thus, were not sufficiently fit for purpose.

The scoping exercises found low levels of awareness and interest in climate change adaptation issues among candidate cities. Thus, generating sufficient awareness became a priority. Consequently, governance and the national policy environment were not well considered in the selection process. Overall, the development

phase of ACCCRN was rushed.

A five-year initiative in a new field, with a limited number of partners is faced with a difficult task that combines forming a conceptual field, building partners' capacity and demonstrating progress on the ground. Putting a time pressure on earlier phases may not be the best solution to this problem. However, in an adaptive management environment where understanding is continually evolving, it is not always clear how long different stages will take.

The SLDs have been successful processes through which to engage a range of city stakeholders across a range of institutions, and develop inter-sectoral working practices. However, SLD materials were stronger on climate science and physical planning than on social aspects and the governance context. Those involved in Phase 2 deserve credit for developing and implementing a process of engagement, analysis and planning across sectors and departments that has resulted in city resilience strategies in 10 cities. The next step is to move to strategies and processes that are integrated into city planning and development.

Community groups were involved in SLDs, but structures and processes

are needed to ensure the on-going participation, rather than just consultation, of poor and vulnerable communities. There is a need to ensure inclusivity in Phase 3.

The value which cities place in the city advisory committees and working groups (CACs and CWGs) is indicated by moves to institutionalize them. For example, Surat is changing its constitution to a trust and Vietnam City Climate Change Offices (CCCOs) are being funded with Phase 3 grants.

Phase 2 engagement projects have enabled a closer working relationship with city partners, demonstrating that UCCR is more than studies and workshops, and providing an opportunity to support cities in addressing pressing urban management issues that are likely to be exacerbated by climate change.

Documentary products from Phase 2 are of mixed quality, but provide a body of experience on participatory, multi-stakeholder processes for starting to develop UCCR which does not exist elsewhere. Cities need to continue to reflect on these processes and ACCCRN partners need to ensure that the Phase 2 documents are shared in the way they have been produced, as real life examples of trying to do UCCR.

The ACCCRN rationale and UCCR concepts have been understood and adopted by some individual actors in cities, but they have not been widely absorbed among partner cities, and ACCCRN has had limited impact in shaping a UCCR field in the cities generally. There are, however, some very encouraging areas of traction, such as with the National Target Programme on Climate Change (NTP) in Vietnam.

In Phase 3, there is a risk of losing relevance and visibility if the implementation projects are too small in ambition, scope and funding. Projects need to be sufficiently large in scale and financing to invite city-wide attention, and demonstrate sufficient impact to generate attention at national and international levels.

The intensity of RF ACCCRN team involvement in selection of second-tier grants is not the only, or necessarily best, model for project selection. It carries a high opportunity cost and indicates some under-performance of country coordinators. A means by which further selection rounds might carry a lower burden for the RF ACCCRN team should be sought.

Outcome 2

Outcome statement: Network for knowledge, learning and engagement

Shared practical knowledge to build urban climate change resilience deepens the quality of awareness, engagement, demand and application of ACCCRN by cities and other stakeholders

Outcome 2 concerns creating a network for knowledge exchange. Knowledge exchange does not necessarily need to occur through a network vehicle. However, ACCCRN is titled as a network, and Output 2.2 depends upon the existence of a functional network. Therefore, this chapter mainly considers different types of, and approaches to, networking and their fitness for purpose in ACCCRN.

Work Stream 2 is presently focused on networking among the 10 ACCCRN cities, although the intent of the networking component appears to have changed over time. The ground is now shifting to discussion of other network formulations, including ones possibly centered around individuals in cities rather than cities per se.

4.1 Networking *vs* networks

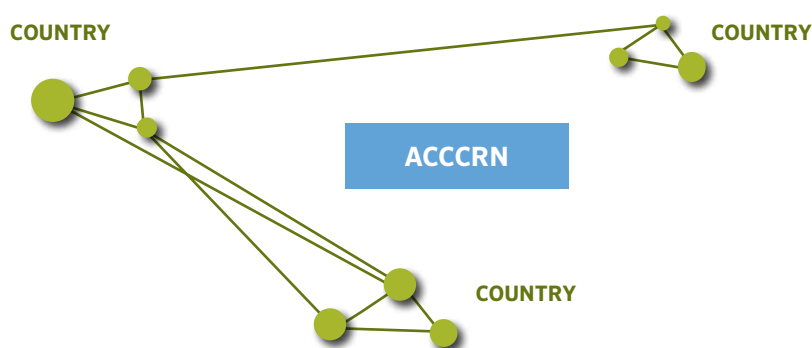
The Foundation sees networks as an important part of the way it works, recognizing them as an “inherently powerful means of bolstering global resilience” (Rockefeller Foundation, 2009). However, capacity and ability to network were not evidently part of the selection criteria for cities.

Networking can work at many levels and among many agents. Already, many networks relevant to ACCCRN themes are in existence. Thus, the formation of a formal network of 10 Asian cities working with Rockefeller Foundation funding on urban climate change resilience may not provide the functions that ACCCRN, its partners and wider audiences most require in terms of learning, sharing and scaling-up. This begs the question of “why network?” At a general level, this is fairly self-evident (learning, sharing, supporting), but a 2011 review by J. Raynor, an ACCCRN advisor of networking options for ACCCRN questions the value of an ACCCRN network over and above

other networks out there. It is unclear the extent to which the network is designed to form part of the knowledge sharing and then scale-up aspects of the ACCCRN theory of change, or serve as a key sustaining element of ACCCRN once funding ceases.

Raynor's review of ACCCRN's current and potential network functions identifies a number of network options. Of these, he states that, as this evaluation has found, a network in the form of a 10 ACCCRN cities web (Fig 9) seems to have been the initial intent of ACCCRN, though it is not clear that such a network offers "a compelling value proposition for cities across the region."

FIGURE 9: **An ACCCRN cities web**



A risk of an ACCCRN 10 cities web is that the cities become more insular, if they face internally towards the network, have less incentive to expand the network outside its direct ACCCRN membership, and thus less able to support achievement of Outcome 3. The network essentially becomes a club. It also risks that Rockefeller Foundation might become proprietorial about "its 10 cities". Ownership of the network is clearly with its membership. The evaluation was made aware that UN-HABITAT and ICLEI had both fallen in a trap of having "their cities".

However, what is starting to emerge is a hybrid cities-within-countries network model (Fig 10), facilitated by country partners who have a relationship with ACCCRN (Fig 11). As Raynor (2011) notes, a cities-within-countries arrangement seems to be where there is traction and where the country and regional partners can best act to support networking.

A range of networking configurations is possible:

- between stakeholders within ACCCRN cities
- between ACCCRN cities within each country (outlined above)
- between all ACCCRN cities
- between ACCCRN partners (different levels, especially national partners)
- between ACCCRN cities and non-ACCCRN cities within countries
- between ACCCRN cities and non-ACCCRN cities globally

Cities are looking to learn from each other. In the first instance this is most practical for networking within countries, because it facilitates knowledge sharing among cities

FIGURE 10: **Cities within a country partnership**

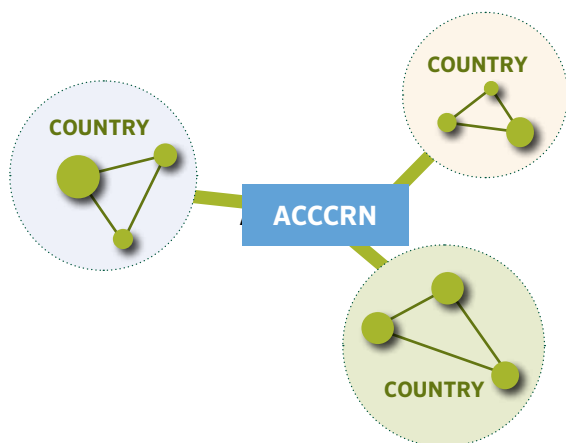
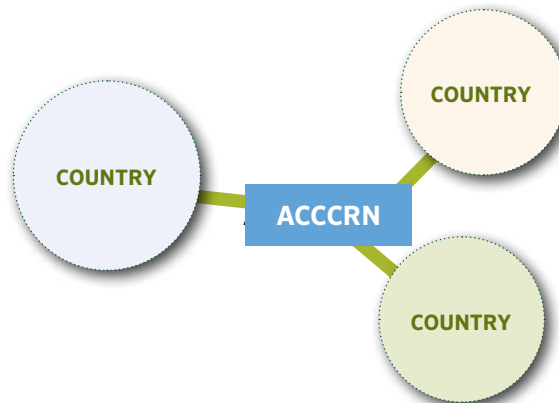


FIGURE 11: **A country-partner-led network**



with common or similar governance regimes and a common language. “Networking” refers to a system of sharing information and services among individuals and groups having a common interest, rather than a more structural “network”. This networking supports the capacity-building aims of Outcome 1, rather than the dissemination aims of Outcome 3. ACCCRN needs to ensure that its emerging knowledge management system is supportive of city-to-city knowledge sharing, particularly within country. A good example of city-to-city knowledge exchange is the recent national Sustainable Cities Conference hosted by Surat, and at which the Surat Municipal Corporation (SMC) promoted its city resilience strategy (CRS).

The city interviews conducted by the evaluation revealed evidence of the development of intra-city network relationships. Strong and common comments from those interviewed indicated that the committees formed in response to the ACCCRN opportunity have provided valuable neutral spaces for the development and nurturing inter-departmental communities of practice. There is also some evidence of inter-city communications occurring in relation to ACCCRN, with emerging examples of practical planning and implementation solutions being shared.

ACCCRN’s recent internal review (Raynor, 2011) of its networking and potential ways forward for Outcome 2 asks some fundamental “what, why, who” questions of the intentions behind Outcome 2, which, even at the mid-point of the initiative, are unclear.

- What is the purpose of a network? This is not yet clear, though ACCCRN has identified a number of objectives for the network, such as building relationships between cities and groups of cities, improving awareness and interest in UCCR issues for a range of stakeholders, and improving ability to implement UCCR activities and, then, to disseminate best practices on this.
- Why would members join the network? What is its value to them, in relation to other possible affiliations? Here ACCCRN identified a number of challenges,

which the evaluation also heard from partners, including insufficient commonality among stakeholders to drive network development organically, and language barriers that require a heavy moderating input.

- Who is the network aimed at? The narrative has been around a “cities network”. However, it is questionable whether a city entity is the most useful unit for network membership or for networking. Membership is likely to be either institutions, which may present problems with staff turnover but still can engage substantively, or individuals who can maintain engagement and act as champions within city systems. It is increasingly apparent that aiming to connect a number of dynamic, engaged and influential individuals is likely to be a better value proposition for ACCCRN than trying to establish a 10-city or wider network, which would duplicate other existing networks.

ACCCRN focuses on cities, and works variously with elected officials, public sector departments, and the private and third sectors, without fully defining “city”. What emerges from interviews and the empirical evidence is that a few key individuals who “get” UCCR are driving success and could be critical in out-scaling.

ACCCRN already talks about tipping points, but might make more use of Gladwell’s tipping point “Law of the Few” (Gladwell, 2000), an analysis of types of individuals that help drive expansion. Using his terminology for types of people that help ideas spread and stick, “connectors” are clearly important in developing an integrated approach to resilient city systems; “mavens”¹⁵ are the type of people Rockefeller needs (in addition to its own maven behaviors) to amplify and spread the UCCR concept; and “salesmen” are likewise part of the spread. ACCCRN should thus switch its focus from cities to individuals – individuals who are in, and concerned with, cities and work with them to develop process skills that will support embedding UCCR in city systems.

The resulting group also could be promoted as a cadre or community of practice, or as a directory of resource experts, such as the Asian Development Bank – Cities Development Initiative for Asia (CDIA) and the Rockefeller Foundation Health Systems Initiative’s Joint Learning Network (JLN). For example, JLN says: “At the heart of the Joint Learning Network are the people who are involved. Country practitioners, and the knowledge and experience they hold, represent the network’s single greatest resource. Practitioners from JLN member countries have made a commitment to exchange ideas, share experiences and problem-solve around key challenges for the benefit of any and all other participants. An ever-growing number of technical experts and advisers, representing a variety of backgrounds and geographies, also contribute to the knowledge base and practitioner-based learning activities”.¹⁶

DFID’s flagship support to responses to climate change in developing countries – the Climate and Development Knowledge Network (CDKN),¹⁷ held a week-long climate Action Lab, to develop a series of innovative prototype ideas for dealing with climate compatible development. One of the prototypes – smart cities – called for intelligent engagement to support development of climate-smart local leaders and urban

¹⁵ A person who is a trusted expert in a particular field, who seeks to pass knowledge on to others

¹⁶ jointlearningnetwork.org/content/practitioners-and-experts

¹⁷ cdkn.org

planners to build smart cities. According to CDKN, “The prototype suggests a pilot test of an eco-leadership model based on a two-way network between city departments, knowledge institutions, leaders, climate champions, a collaborative committee and a community support design group.” ACCCRN has been piloting models with many of these features. There is a good opportunity for ACCCRN to explore synergies with CDKN on this prototype which is consistent with a “network of individuals” model.

As indicated above, other networks relevant to UCCR exist. ACCCRN should certainly not attempt to duplicate established city networks nationally and internationally. Its networking efforts would be much better concentrated on linking ACCCRN cities to existing networks and supporting them in promoting UCCR in these fora, than establishing a parallel and probably less sustainable structure.

ACCCRN’s own work (Nachuk, 2010) has identified the existence of a number of networks at different levels of which cities either are, or could potentially become, members. These include:

- Internationally: Local Governments for Sustainability/World Mayors Council on Climate Change (ICLEI);¹⁸ UN-HABITAT Sustainable Urban Development Network – SUD-Net; Inclusive Cities¹⁹
- Cities alliances focused on larger cities and mainly mitigation (covering issues such as waste and water): C40 cities climate leadership group;²⁰ the Clinton Climate Initiative²¹
- Donor initiatives: Asian Development Bank - Cities Development Initiative for Asia (CDIA);²² World Bank Institute – Urban Knowledge Exchange²³
- India: The Ministry of Urban Development’s Peer Experience and Reflective Learning (PEARL) network,²⁴ managed by the National Institute of Urban Affairs (NIUA) and linked to the Jawaharlal Nehru National Urban Renewal Mission (JNNURM)
- Indonesia: Indonesia Association of Mayors (APEKSI)²⁵
- Thailand: National Municipal League of Thailand²⁶

DFID’s CDKN has likewise planned to work with existing networks, empowering cities as climate change actors at an international level, gearing up leaders to debate climate change effectively at the World Mayors Summit on Climate (WMSC) II in November 2011. ACCCRN has targeted the ICLEI Resilient Cities 2011, a world congress on cities and adaptation to climate change in Bonn in a similar manner.

It is notable that other Rockefeller initiatives have succeeded in establishing active networks. The prime example is the Joint Learning Network for Universal Health

¹⁸ www.worldmayorscouncil.org

¹⁹ inclusivecities.ning.com

²⁰ c40cities.org

²¹ www.clintonfoundation.org/what-we-do/clinton-climate-initiative

²² cdia.asia/about-cdia/background

²³ wbi.worldbank.org/wbi/content/urban-knowledge-exchange-and-connectivity

²⁴ www.indiaurbanportal.in

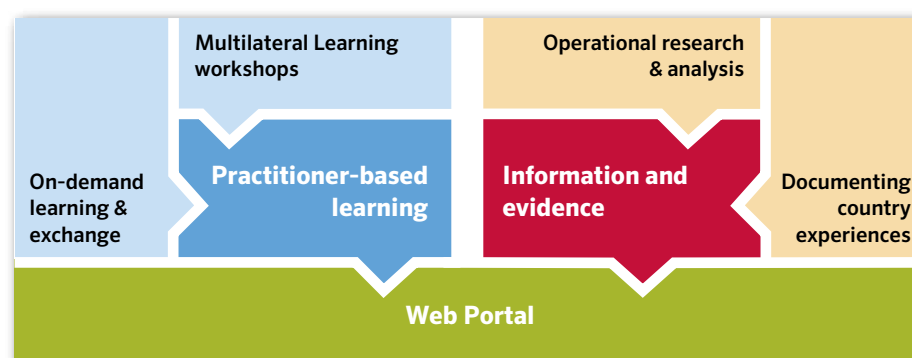
²⁵ www.apekti.or.id

²⁶ www.nmt.or.th

Coverage (JLN),²⁷ which has five key functions (Fig 12): on-demand learning and exchange, multilateral learning workshops, operational research and analysis, documenting country experiences, and an online Web portal that is JLN's virtual home. These functions and their relationships are all very similar to those required to make the ACCCRN knowledge network function work. There is a clear opportunity for ACCCRN to find out more about how and why JLN works.

ACCCRN's sister project on adaption in rural Africa, Adapting African Agriculture for Climate Change Resilience, is funding the recently established Climate Exchange Network for Africa (CENA),²⁸ whose website is currently in development, but has a dynamic, rather than static, flavor. Again, there may be opportunities for experience sharing here too.

FIGURE 12: **Joint learning network activities**



SOURCE: Joint Learning Network for Universal Health Coverage.

Summary

There is not a compelling value proposition for a network in the form of a 10 ACCCRN cities web. Although this was the initial intent of ACCCRN, it risks becoming a club.

A hybrid of a "cities within country" network model is starting to emerge, facilitated by country partners that have a relationship with ACCCRN

Networking, which means a system of sharing information and services among individuals and groups having a common interest, is needed more than a structured network.

The few key individuals who "get" UCCR are driving success and could be critical in out-scaling. ACCCRN should thus switch its focus from cities to

individuals who are in, and concerned with, cities to act as champions, and work with them to develop process skills that will support UCCR embedding in city systems.

ACCCRN should not attempt to duplicate established city networks nationally and internationally. Its networking efforts would be better served by concentrating on linking ACCCRN cities to

existing networks and supporting them in promoting UCCR in these fora, than by establishing a parallel and probably less sustainable structure.

There is a clear opportunity for ACCCRN to find out more about the RF Health Systems Initiative – about how and why it works.

²⁷ www.jointlearningnetwork.org

²⁸ cenafrica.net

Outcome 3

Outcome statement: Expansion, deepening of experience, scaling-up

Urban climate change resilience (UCCR) is expanded with ACCCRN and new cities taking action through existing and additional support (finance, policy, technical) generated by a range of actors.

This chapter considers ACCCRN's approaches to increasing the adoption of a UCCR approach. It also reviews ACCCRN's use of communications as part of increasing the awareness and use of the UCCR approach.

Outcome 3 envisages expansion, deepening of experience and scaling-up occurring through a number of channels:

- new cities using knowledge generated in ACCCRN
- more cities working on UCCR
- ACCCRN UCCR concept influencing donor and government policy and practice
- additional funding being mobilized for UCCR.

Outcome 3 is thus about spread, i.e. increasing impact via two avenues: scaling-out by expansion to new cities, and scaling-up by influencing the policy arena and, thence, public sector investment by donors and governments. Beneath these sit four work streams: communications and knowledge management, resources brokering, dissemination and replication. As per the 2010 Work Stream Framework (Annex 5), the RF ACCCRN team leads the latter three of these streams.

From the phasing of ACCCRN (Fig 3), this cluster of work streams and the successful achievement of Outcome 3 were meant to run parallel to the city-level work from the outset, though in reality, it has only recently started (Fig 4). With the city work stream (Outcome 1, Work Stream 1) now well underway, ACCCRN needs to adjust the balance of attention towards Outcome 3.

Conceptually, the scaling-out (expansion) and scaling-up model works. However, a review of scaling approaches (Hancock and Poate, 2002) suggests that additional avenues and some segregation of approaches may be useful.

- Building on the Foundation's convening power, good progress has been made in brokering resources from donors. However, the aim to influence national and sub-national governments in developing countries to adopt, mainstream and invest in UCCR approaches is much less well progressed. Scaling at the national level, through donors and governments, should be separated into two distinctive areas, with dedicated communications and dissemination strategies.
- Scaling starts at home. There is negligible evidence that the ACCCRN approach and the UCCR concept have been taken up in other Rockefeller Foundation initiatives, particularly grants and search phase work under the urban stream. While there is a clear desire for initiatives to connect, it may be that the incentives to have distinctive initiatives militate against this.
- Climate policy has a very significant global dimension and scaling-out can be used to influence international policy processes such as the IPPC Fifth Assessment Report. There is a grant to support two authors of the urban chapter of AR5, but it might be useful to identify global policy influencing as a separate strand of work with dedicated resources.
- Scaling can occur downwards as well. This is not downscaling, but rather decentralization and devolution. The centralized nature of ACCCRN, and the RF ACCCRN team leading on most of Outcome 3, implicitly lays the onus of scaling on the RF ACCCRN team. As will be seen in relation to communications, a centralized structure increases the burden on the team and undervalues the power of a distributed network. More could be done to support partners as scaling agents.
- There may be option to increase the institutionalization and mainstreaming of UCCR concepts and practices through co-funding strategic posts in target organizations and through secondments in ACCCRN partners, for example funding a UCCR post in a city government or funding a short secondment of a city staff member into a partner organization.

The ACCCRN theory of change involves developing an approach to UCCR and building practical experience with implementing in cities, so that there is empirical evidence to support efforts to expand and scale-up the use of UCCR. There is thus a designed link between Outcome 1 (learning and empirical evidence) and Outcome 3 (expansion and scaling-up). This link is less evident in practice. The field is developing rapidly, and ACCCRN rightly chose not to postpone its resource brokering and replication activities until the delivery of Outcome 1. However, with this body of evidence in progress, there is a need to ensure connection among the Outcomes. The evaluation found that the main utility of Outcome 1 for Outcome 3 so far has been to strengthen ACCCRN's convening power by providing the credibility of an active field program. It has yet to provide a bank of practice lessons from city-level experience.

5.1 Scaling-up

ACCCRN's strategy for scaling-up has three broad components:

- identifying donor priorities and networking and engaging with individual donors on UCCR related issues

- facilitating coordination among donors
- developing a concept for a multi-donor UCCR partnership.

ACCCRN has undertaken a thorough study of donor policy and investment in regard to climate finance (Sjögren, 2010). This provided an overview of donor strategy and of specific country-level strategy, and mapped existing and future funding mechanisms suitable for ACCCRN partners. It also assessed alignment of adaptation investments through pooled resources, as it is believed that more structured collaboration would enable amplification of the knowledge and awareness of what effective practice looks like, through greater experimentation with resilience building approaches, and would promote a more shared vision for expanded programming in the future.

ACCCRN (Rumbaitis del Rio, 2011) reports that its team and the donor engagement consultant “maintained dialogue with key donors on potential options to build off of the investment made by the Rockefeller Foundation in ACCCRN.” This engagement contributed to a number of “new areas of support for ACCCRN partners and greater collaboration in selected cities” including the following.

- ISET received grant from USAID for ~ \$2 million to expand UCCR activities into two new cities in both Thailand and Vietnam.
- Mercy Corps received grant from USAID Indonesia for ~ \$1.5 million to support CCA and DRR in four provinces.
- RF, AFD and the ADB are actively coordinating their climate change funding programs in Da Nang, to leverage local capacity development and resilience planning efforts supported through ACCCRN. An MOU is being developed between the three organizations.
- RF and UNCDF are developing potential collaboration in Quy Nhon, to support further local government-led resilience-building efforts. Quy Nhon was selected for work by UNCDF in part because of ACCCRN’s presence there.
- RF and DFID held a joint workshop in India on climate change and cities, in order to raise policymakers’ awareness of the vulnerabilities that Indian cities face as a result of climate change, urban growth and poverty. Collaborating on this meeting improved the visibility of the event, which highlighted ACCCRN’s progress to date.

In addition to these funding commitments, there are on-going opportunities to leverage synergies, coordination and complementary actions with other donors who are increasingly active in climate change. In Vietnam, a number of evaluation respondents considered that ACCCRN’s Vietnam intervention would be strengthened by allocating at least one additional networking/knowledge management/facilitation post for coordination with other donors.

In relation to donor coordination, the Foundation is well connected and has convening power that is founded on more than operating a field program under Outcome 1. In November 2010, at the Foundation’s Bellagio Conference Center, ACCCRN convened a meeting for donors working on, or interested but not yet active in, UCCR in Asia. Participants – including ADB, AFD, DFID, GIZ, JICA, UNCDF, World Bank and Swiss Re – discussed ways for donor organizations to align their investments and resources for building climate change resilience at the city level. The meeting resulted in an agreement



around shared interest in developing a multi-donor Urban Climate Change Resilience Partnership (UCCRP), with ACCCRN taking the lead in developing the concept for the partnership, with substantive inputs from the ADB and DFID. UCCRP will help address the issue identified by UN-HABITAT (2011) that there is little clarity about how “international funding for adaptation (particularly integrated into development) can work with and serve local governments and civil society groups” in urban centers.

ACCCRN produced a discussion draft of the UCCRP concept in February 2011 (Rockefeller Foundation and ADB, 2011) with a proposed Outcome statement: “Local champions have increased capacity and resources to take actions to build climate change resilience for poor and vulnerable communities in an increasing number of rapidly growing cities in Asia, and diverse range of actors globally have a deeper base of knowledge on urban climate change resilience building approaches, based on empirical practice and learning.” Its Outputs would be in the areas of:

- **KNOWLEDGE:** initiating generation, utilization and spread of knowledge on UCCR
- **CAPACITY:** improving local capacity to plan, finance, coordinate, and implement climate change resilience strategies within rapidly growing medium-sized cities in Asia
- **IMPLEMENTATION:** improving and implementing UCCR practices in an expanded number of cities through improved harmonization of existing sources of support and from additional support (finance, policy, technical) generated by a range of actors
- **FINANCE:** provide early-stage or seed capital investment financing to help create financing confidence and build a credible investment pipeline so that adaptation, in particular, and climate change, in general, are better able to attract private sector and additional development partner finance in scale.

The proposal is for the UCCRP to be coordinated and managed by the ADB, using its existing Urban Financing Partnership Facility (UFPF) financing mechanism, and using the Cities Development Initiative for Asia (CDIA) demand-driven project development entity as a vehicle for establishing and managing the partnership. To date, indicative donor commitments to UCCRP are: ADB in-kind of contribution staff resources for fund management as part of the Urban Financing Partnership; KfW: \$100 million in parallel loan financing and some grant funding, DFID: £65 million as grant fund, Rockefeller Foundation: \$5 million; plus, potentially, a significant tranche of parallel funding from AFD and possibly the World Bank. There are still many details to be worked out on modality, but this level of donor commitment at this stage is extremely encouraging. If UCCRP does get established, as signs indicate it will, then the Foundation can be confident that its venture capital investment in ACCCRN has delivered a significant return, which will further influence other climate finance. In addition, ACCCRN can be confident that its Outcome 3 objectives at the supra-national level are entirely met. ACCCRN, therefore, needs to make UCCRP a major focus of its attention and, as necessary, bring in the skills on financial instruments, and operation and programming of basket funds.

5.2 Scaling-out

Scaling-out horizontally can occur through a number of mechanisms, including: networks, networking (e.g. in conferences), leveraging national and sub-national

policy, and spontaneously from city to city. Networks and networking are dealt with under Outcome 2, and spontaneous replication is obviously difficult to plan for. This section thus focuses on scaling-out by influencing the policy environment for climate change, at both country and international levels²⁹.

The scoping of cities, Phase 1, took cities as the unit of analysis and the primary point of entry. While seemingly obvious, this meant it dealt with the national level in only a shallow, descriptive level of detail – looking at the structure of government and the main relevant national policies. A key means for leveraging funding for UCCR is through influencing national policy. These funds can be substantial. For example, in India, the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), an urban modernization initiative, aims to spend \$20 billion in 65 cities over seven years, to fast track planned development of efficient urban infrastructure and service delivery mechanisms, and support community participation and accountability of local agencies.

Until recently, ACCCRN paid little direct attention to influencing national policy and thence domestic public sector investment. In India, there has been recent work by the Foundation in this area, with new, dedicated partners. While the Foundation can, as in Bellagio, convene bilateral donors, as a Foundation its approach is different to that of a bilateral donor, which is by default government-to-government. National government is not a mandatory starting point for Foundations.

Thus, when the evaluation asked whether the Foundation “does government”, the broad answer was “yes”. However, specifically in ACCCRN, it has had a lower priority, particularly early on, when the focus has been on city activity. Similarly, ACCCRN’s choice of partners for all phases has tended not to feature those with strong national policy orientation.

- In India, evaluation respondents felt that TARU, as a private sector consultancy, was not the right type of organization. While well connected, TARU did not have the level of connection in the policy sphere to be effective in policy processes.
- In Thailand, TEI was engaged in drafting the first national climate change strategy, but this draft was not accepted and TEI subsequently withdrew from the national climate change policy arena. It has continued to focus on local-level interventions, and may therefore not have the political capital for policy engagement at the national level. The evaluation found that the Arup Country Report on Thailand (ARUP, 2008b) highlighted a primary need for the national institutional framework and policy on adaptation to be strengthened in order to enable more effective interventions at local level. At that time (January 2008), the Cabinet had just approved Thailand’s first four-year strategy for climate change, and there was opportunity for engagement at the national level to assist in promoting a national approach to adaptation. Compared to the national focus on mitigation, there has since been limited guidance and support to adaptation issues at the national level, and this would have been an opportunity for ACCCRN to identify and partner with a nationally engaged organization with a focus on adaptation issues.

²⁹ ACCCRN addressed international donor policy and funding in its Bellagio meeting, and it is also evident in UC-CRP; hence this is not covered again here.

- Clearly, policy processes operate differently in the ACCCRN countries. Vietnam is led from the center and has a national adaptation policy that it drives down to provinces and cities, with investments following through its National Target Program. India is federal and thus the policy environment is felt differently in cities in different states. However, generally cities have flexibility to develop their own approaches and opportunities to loop their experience back up to the policy arena. Indonesia has a similar level of city level flexibility, with a strong mayoralty, and Thailand has a mix of top-down and bottom-up policy processes, with the monarchy playing an important role.

ACCCRN now recognizes the need to address national policy actors and processes. This is most evident in India, which has provided grants, through the TARU Country Coordinator's head grant, to TERI and IRADe to host policy events in Delhi (ISET, 2010c). In Vietnam, NISTPASS plays this role, but ACCCRN needs similar well-placed policy-focused grantees in place in all countries, who understand and work with the governance grain in their countries. These are most likely to be policy-oriented think tanks.

The initiative should not overlook indirect influence channels at the national level. In Vietnam, donors indicated they would welcome ACCCRN's participation in donor coordination meetings in relation to climate change. ACCCRN has these links across the program, and should realize the opportunities. In Thailand, TEI does not appear to be engaged in taking UCCR issues through to the national level. It is not clear how much the RF ACCCRN team expects this of TEI. In this respect, there does not appear to be a uniform description of roles and responsibilities for national coordinating partners. Rather, it appears that each agreement between the Foundation and partners is different.

In its grant memo, TEI sought to bring together representatives of Samut Sakhon and Udan Thani into a round-table meeting with the Hat Yai and Chiang Rai partners in the second half of 2010. The TEI project extension memo scheduled a national policy roundtable meeting for January 2011. By the time of interview, this meeting had not occurred. Further information was requested but has not been received – it cannot be confirmed that learning and knowledge sharing processes have been established. There has been some spontaneous horizontal expansion in Indonesia, to Blitar.

It is also important not to overlook second-tier government – states and provinces. In India and Indonesia, scaling-out within ACCCRN cities and thence to other cities in the state, province or nationally necessitates a more formal approval – such as signing an MOU with state and provincial authorities and mainstreaming community advisory committee activities into the system of preparing spatial plans. This is required as a priority in both the countries, particularly India. In Indonesia, Mercy Corps has given very good support, linking across some key national, provincial and city levels, but similar vertical linking is less evident in other countries.

In India, ICLEI has a new scaling-out grant (2010 CLI 313) to develop and test a set of calibrated tools, materials and processes for engaging new cities and begin to replicate

the successes of ACCCRN. This also will integrate other approaches to assessing climate risk and planning adaptive approaches, including the World Bank Resilient Cities Primer and GTZ Environment and Climate Change Program (PAKLIM). Three Indian cities have been selected for the dissemination of this tool. The selected cities would receive training in the process of formulating climate resilience strategy plans.

5.3 Communications

The broad area of “communications” covers a number of related activities: communicating ACCCRN’s lessons, disseminating knowledge, supporting partners in sharing knowledge and employing public relations about the initiative. These are closely related and link tightly to networking and resource brokering, as well as to knowledge management (internal communications). The focus in this section is on communications that support scaling-up, but it also touches networking.

The communications grantee, APCO, produced a draft communications strategy in 2010, after having intensive interaction with the RF ACCCRN team but little consultation with regional partners who, consequently, had little ownership of it. The level of detail was fairly rough, but it covered the main elements of a communication strategy: audience and stakeholders, key messages, and tools and tactics. However, the strategy itself was not formally adopted. Instead, APCO presented a three-point plan for 2011: developing a website, facilitating ACCCRN’s presence at the ICLEI conference in Bonn,³⁰ and facilitating a meeting of private sector actors concerned about UCCR in the developing world. A small amount of support is being provided to TEI for publicity in Thailand, but there is very little draw-down resource in the communications grant for country or city partners.

The lack of a dedicated website is a deficiency at this point of the program. ACCCRN has a page within the Foundation website, with links to partners’ websites and a limited number of documents. The absence of a more “resource-full” website or a functioning Intranet militates against the twin aims of scaling-out and networking.

APCO produced a draft version of an ACCCRN website in 2010, but it did not meet requirements. It suffered a number of problems in development, including multiple editors and contact points in the RF ACCCRN team, lack of involvement by ACCCRN partners, lack of agreement on which documents should be uploaded to the publications section, outdated sections, problems with accessing content, and ultimately – though late in the process – feedback from the RF ACCCRN team that the design was unsuitable.

It is understood that the new website will be a traditional Web 1.0 model, meaning it is static, rather than a Web 2.0 interactive approach. It is unclear how ACCCRN’s three proposed electronic presences – the ACCCRN website and the proposed social networking site for partners and its related knowledge repository under Arup’s Phase 3 knowledge management grant – will inter-relate and if they will build in sufficient

³⁰ Resilient Cities 2011: ICLEI 2nd World Congress on Cities and Adaptation to Climate Change. Bonn, Germany, 3-5 June 2011 resilient-cities.iclei.org/bonn2010

cross-linkages. The website will link to a number of ACCCRN resources that have been quality assured by the RF ACCCRN team. It is right that the Foundation should have a website for the initiative, but this should recognize and build upon the fact that cities and partners have leapfrogged the Foundation and produced their own websites, which link to their own working documents (Box 2).³¹

BOX 2

ACCCRN websites hosted by cities and partners

In India: www.suratclimatechange.org/page/13/acccrn-and-surat.html

In India: www.suratmunicipal.gov.in/content/climate_change/main.shtml (hosted by Surat Municipal Government)

In India: www.imagineindore.org (Indore ACCCRN site, including a resources page and links to Indore's Phase 2 documents)

In Indonesia: ACCCRN Indonesia Facebook page: www.facebook.com/pages/Asian-Cities-Climate-Change-Resilience-Network-Indonesia/141972125826132, and Semarang ACCCRN Facebook page: www.facebook.com/media/set/fbx/?set=a.166105060079505.32348.141972125826132&comments=1.

In Indonesia: Semarang ACCCRN YouTube channel: www.youtube.com/watch?v=b53MDS1YAwc. There is also a twitter feed: twitter.com/#!/ACCCRNINDONESIA

In Indonesia: ACCCRN Indonesia blog site: acccrnindonesia.wordpress.com/about/

In Thailand: www.thaicity-climate.org/index_en.html (hosted by TEI)

In Vietnam: ACCCRN Vietnam website: www.vietnamcityclimatechange.net/En/Home/All/

The evaluation heard the expert view that climate change adaption and UCCR are “works in progress”, (Bahadur et al., 2010) with concepts and terms still being defined. As awareness of climate change adaptation and resilience grows, understanding of the concepts will change. ACCCRN’s own learning about UCCR has been organic, reflective and iterative in Phase 2 and the shared learning dialogues (SLDs) have been based on this. However, this sits in contrast with the apparent desire to concentrate effort on a relatively small number of well-polished publications for ACCCRN’s communications portfolio.

Initial planning for ACCCRN’s website identified over 80 initiative documents for the “resources” section. This was reduced by the RF ACCCRN team to 20 documents that needed to pass a high editorial bar.

A number of factors apparently contributed to this, including the desire to present a good external face, some lack of clarity about whether Phase 2 documents were

³¹ Hosted by the Surat chapter of ACCCRN, “a coalition of organizations and individuals with shared vision of climate resilient Surat city by fostering synergies, leveraging competencies and networking. We are a budding coalition, a coalition of open minded organizations and individuals. We believe in out of box ideas and welcome new partnerships.”

intended for publication (partners argue they were not written to publication standard as this was not communicated as the intention), that ISET – as the academic partner and Phase 2 architect – held the mandate for publishing, particularly towards the peer-reviewed end of the spectrum, and some tension among partners over intellectual property (IP). The result is a paucity of material on ACCCRN, exacerbated because many partners are “execution partners” with less institutional incentive to publish.

ACCCRN is shaping a field and needs to be an open learning program. This means moving to a more open source approach to documentation, not falling into the trap of the “best is the enemy of the good”. In promoting a learning systems approach to UCCR, ACCCRN needs to encourage risk-taking, experimentation and the acceptance that mistakes will be made and can be learned from. The risk is giving a misleadingly polished representation of the cities’ approaches to UCCR that is skewed towards a single “right way” of doing this. ACCCRN thus needs to mobilize the strength that exists in what might be seen as a distributed network of partners (identified in Box 2), who can report on and communicate their own experiences.

ACCCRN needs to target international and national discussions and debates on urban climate change. UCCR is currently ACCCRN’s and its underlying concepts need more promotion to gain wider acceptance. ACCCRN has targeted the ICLEI Bonn conference and has the intention to support UCCR contributions to the IPCC AR5. This is the right set of activities, and more are needed. However, it is hard for ACCCRN to contribute if it has only limited documentation. ACCCRN needs to put into place means by which to better document itself. Many partners are execution focused, and documentation is not core business. The RF ACCCRN team is thus pursuing a sound strategy of involving a dedicated writing partner.

Branding, another dimension of communications, is mentioned in Output 2.2 related to the “brand” of UCCR. However, the Rockefeller Foundation is concerned about its own brand and receiving due recognition for its initiatives. The arrangement of partners, particularly national partners, can obscure the RF/ACCCRN brands and the identity of the partners.

For example, in Indonesia, ACCCRN is known as a Mercy Corps program rather than a Rockefeller Foundation one. Cities are aware that the Foundation provides funding support, but identify with Mercy Corps as the one responsible for its implementation. However, with the ACCCRN relationship being mediated through a country coordinator, the city level is two steps removed from the Foundation. Hence, identities can get blurred. This has consequences for the Foundation capitalizing on city-level work and also may result in confused messages.

Nonetheless the evaluation found that all grantees have been quite diligent in acknowledging ACCCRN funding and including the initiative logo on papers, presentations and websites. As communication channels further develop and ACCCRN moves into a scaling and amplification phase, the Foundation should guide grantees as to where and how it would expect the RF and ACCCRN logos to be used, while recognizing that, to improve sustainability, it is UCCR rather than ACCCRN that needs to endure, and that cities also need to own the concept and results.

Summary

Outcome 3 is about spreading UCCR through avenues: scaling-out through expansion to new cities and scaling-up through influencing the policy arena and, thence, public sector investment by donors and governments.

Building on the Foundation's convening power, good progress has been made in brokering resources from donors at national level.

ACCCRN convened international donors on UCCR at Bellagio, resulting in an agreement around shared interest in developing a multi-donor Urban Climate Change Resilience Partnership (UCCRP). This has potential commitments of over \$200 million from a group of donors.

UCCRP is a significant achievement. If it does get established, as signs indicate it will, then

the Foundation can be confident that its venture capital investment in ACCCRN has delivered a significant return, which will further influence other climate finance.

Scaling-out needs to influence international policy processes (e.g. IPCC AR5). This should be identified as a separate strand of work with dedicated resources.

ACCCRN has had limited influence on national and sub-national governments adopting, mainstreaming and investing in UCCR. Scaling through donors and governments should be separated into two distinctive areas, with dedicated communications and dissemination strategies.

ACCCRN now recognizes the need to address national policy actors and processes. This is most evident in India, with

grants, through the TARU Country Coordinator's head grant, to TERI and IRADe. NISTPASS plays this role in Indonesia. ACCCRN needs to ensure that it has similar well-placed policy-focused grantees in all countries, who understand and work with the national governance grain.

There is negligible evidence that the ACCCRN approach and the UCCR concept have been taken up in other Rockefeller Foundation initiatives, particularly other urban programs.

Progress on external communications has been slow. The lack of a dedicated website is a deficiency at this point of the program.

ACCCRN needs a website, but should recognize and build upon the fact that cities and partners have leapfrogged the Foundation and produced their own websites, which

link to their own working documents.

There is a paucity of material on ACCCRN. Many of the partners do not have institutional incentive to publish, and there has been concern about the quality of Phase 2 documents. The initiative needs to move to a more open-source approach to documentation, and avoid falling into the trap of the "best is the enemy of the good".

ACCCRN is promoting a learning systems approach to UCCR and needs to encourage risk-taking, experimentation and the acceptance that mistakes will be made and can be learned from. The risk is that a misleadingly polished representation of the cities' approaches to UCCR is given, and one that is skewed towards a single "right way" of doing this.

Outcome 4

Outcome statement: Organizational excellence, management, accountability and learning

The RF ACCCRN team operates effectively, efficiently, and is relevant and accountable to stakeholders and the context in which it operates; and provides leadership in RF, contributes to the Strategy and Mission of RF.

This chapter relates to the organization and management of ACCCRN. The topics under review include the architecture of ACCCRN and the structural relationship among the main organization involved, the coordination and management of the initiative, its efficiency of resource use, the use of a results-based management approach in a grant-based initiative, the M&E of ACCCRN and ACCCRN's risk analysis.

Outcome 4 is assessed with three indicators:

- partners' and grantees' performance
- satisfaction of partners, donors and networks with the responsiveness of the RF ACCCRN team
- the influence of RF initiatives and management practices by ACCCRN.

While not precisely specifying, these indicators identify the overarching leadership and management roles of the RF ACCCRN team.³² The work stream framework also shows that the RF ACCCRN team has lead technical functions in the areas of resource brokering, dissemination and replication. As the work streams mapped to outputs and outcomes in the results framework shows, the activity areas which the RF ACCCRN team leads primarily contribute to Outcome 3.

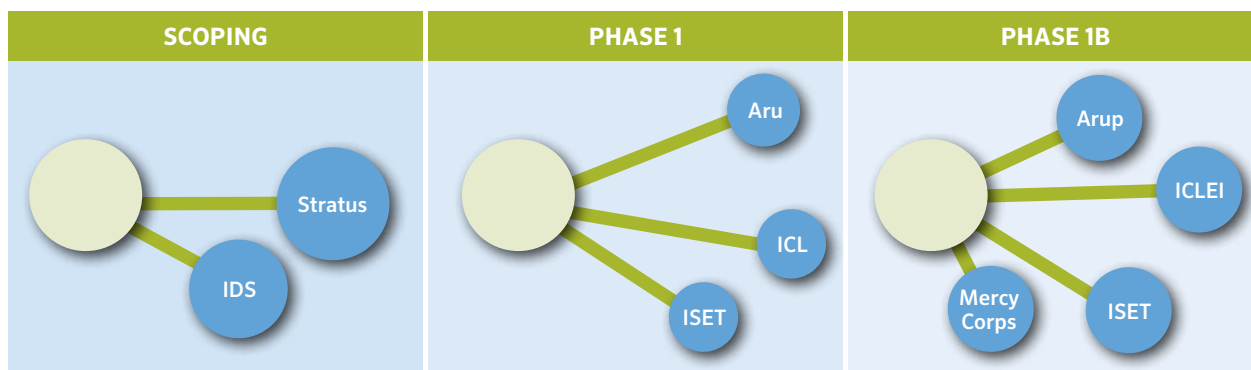
6.1 Architecture

ACCCRN has evolved its partner architecture over a number of arrangements to arrive at its present structure. During scoping Phase 0 (Search), the structure was very

³² ACCCRN does not have a term to describe "the RF ACCCRN team + implementing partners", which is perhaps illustrative of the hub-and-spoke culture in the initiative.

simple: the RF ACCCRN team connected to two research institution grantees (Fig. 13). In Phase 1, this evolved to a hub-and-spoke model, which served the purpose.

FIGURE 13: **Early ACCCRN Structures**

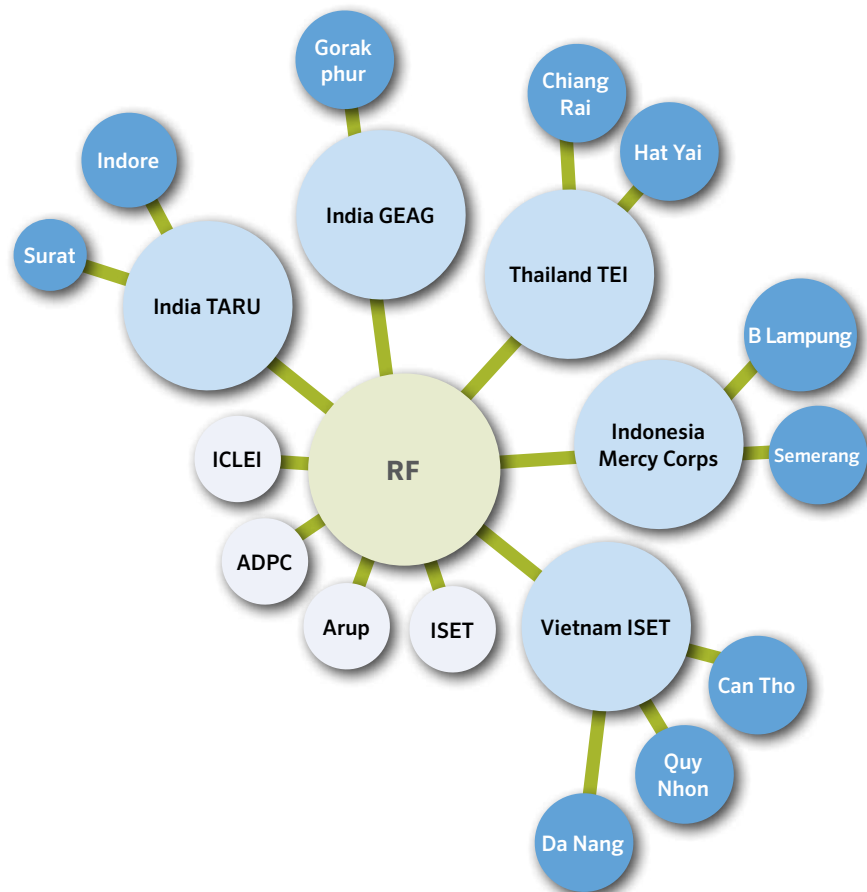


For Phase 2, and moving into Phase 3, the hub and spoke model has expanded with new branches – notably country coordinators in each of the four countries, and a second tier of city-level partners for implementation projects with branching spokes where country coordinators support more than one city (Fig. 14).

Introducing country coordinators has been a positive step, bringing more proximal country-specific knowledge and support to cities. They provide a conduit for ACCCRN funds to partners in the country, coordinate country activities, provide technical assistance to city partners, support knowledge management and resource brokering in the country, and are the channel for submitting intervention projects to ACCCRN. They are also meant to be the “face of ACCCRN” in-country, providing clarity for national government (Arup, 2010f). The evaluation found that while all country coordinators can play this national face role, they are not equally motivated to do so or equally placed to lead the national policy engagement role. Country coordinators are a relatively recent innovation of the RF ACCCRN team, which means it has not been possible to make a full assessment of the extent to which this tier of grants has addressed past weaknesses in supporting city partners.

The initial partners, now termed regional partners (Arup, ADPC, ISET), exist to provide support to the RF ACCCRN team and to country coordinators. ICLEI was also an early partner. For Phase 3, the regional partners provide a supporting role to country coordinators (ISET is the country coordinator for Vietnam), for which each has a small drawdown fund for technical assistance that city partners can access. However, their major roles as regional partners are in reflection, documentation, knowledge management, dissemination and replication, i.e. in Outcome 3, although the separation between their individual roles is not entirely clear for Phase 3. Arup will also continue to provide support to program management.

FIGURE 14: ACCCRN – hub-and-spoke schematic



Grantees providing one-off deliverables, Ashoka and Intelicap, and communications grantee, APCO, are not represented in Fig 14. Nor is Verulam, the M&E grantee, which cuts across tiers and countries and provides feedback across the initiative, based on the results framework. The aim of the schematic is to show the overall shape of ACCCRN’s present architecture, and to show the hub dependency. The only point at which one can view the whole is from the center. This has twin disadvantages: it is not the optimum configuration to stimulate networking and it places the main coordination role on the RF ACCCRN team.

A particular manifestation of the hub-and-spoke model is what a number of partners identified as bilateralism in the way ACCCRN interacts with partners and grantees. ACCCRN, under the auspices of ISET, brings partners and grantees together periodically at international ACCCRN city meetings, and the RF ACCCRN team convenes regional partner meetings. But between these events, partners express a missing sense of “network” and inclusiveness. ISET held a large Phase 2 grant and thus had a significant role in the way Phase 2 was implemented. The evaluation found that the opportunity

and necessity to align partners funded under this grant were not well realized. Likewise, technical assistance to partners and second-tier partners may have been improved if the regional partners, Arup and ISET, had had better role clarity and more coordination.

There is insufficient flow of multi-lateral information and knowledge among set events to create strong cross-links among partners beyond the hub. Part of this is a lack of mechanisms for knowledge sharing and part is ACCCRN-wide behavior. ISET and TARU have brought cities within countries together, and some regional partners, e.g. Verulam and Arup, talk regularly under their own initiative. Facilitating networking among partners was part of ISET's Phase 2 remit, but this does not appear to have occurred consistently or to the extent that it stimulated networking outside events. However, there is little encouragement or incentive for this more organic form of networking, and it may be argued that some of the grey areas and overlaps at the margins of grants militate against it. Partners generally have not sought to be more networked. The RF ACCCRN team has allowed a bilateral grant-based culture to dominate, and has not offset this with sufficient attention to achieving a more connected, interdependent, cooperative style of working.

Contractually, the grantor-grantee relationship will maintain a hub-and-spoke structure, but over the remainder of the initiative, it should evolve towards a more web-like structure in which the RF ACCCRN team takes a less prominent role. This is necessary to improve sustainability, and it will enable inner-tier partners to provide better support to city partners. Cities may not network across the whole structure, but promoting inter-city relationships within countries should be an aim.

6.2 Results orientation

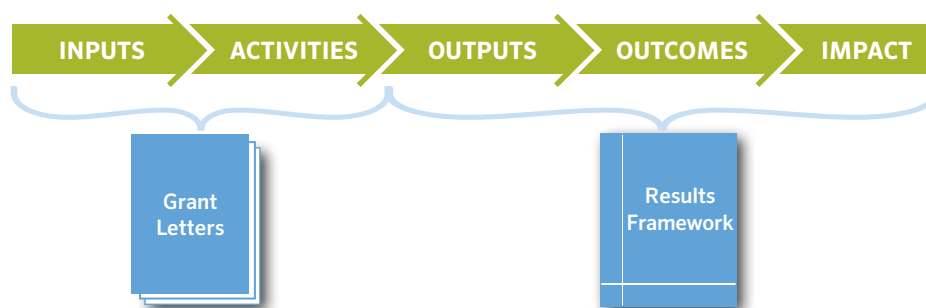
The Rockefeller Foundation is results focused and strongly committed to delivering impact. It supports results architecture and tools, such as results frameworks, for initiatives and internal pre-approval bundles. However, a review of ACCCRN grant letters reveals that this architecture may not yet be complete. For ACCCRN, there is certainly a gap between the results orientation that the Foundation and the RF ACCCRN team bring to the initiative, and the way in which ACCCRN and the Foundation deal with grants. Whether this is true more widely for the Foundation would require reviewing other initiatives' modus operandi, which was not within the scope of this evaluation.

To explain this more, ACCCRN grant letters which commit funds against deliverables, the "hard" part of the relationship between ACCCRN and its grantees, deal with the lower end of the results chain. The results framework deals with the middle and upper ends, but there is insufficient connectivity between the two (Fig. 15). The consequence is that grantees do not own the upper level results and the RF ACCCRN team has to provide the glue, which is partly where the current management and coordination gap exists. Simply put, grantees own activities and the RF ACCCRN team owns outcomes, with some fuzziness in the middle for outputs. There is no common ownership of results.

ACCCRN has acknowledged this missing link in the results chain, and tried to address it in two ways: i) with the work stream framework and ii) with a grant letter addendum.

³³The work stream framework was developed as a management tool to cluster the RF ACCCRN team and grantees' activities (although not grants) and objectives into coherent work streams for management purposes. The 2009 version of the work stream framework did not feature the outcomes until revision in 2010.

FIGURE 15: **ACCCRN results architecture**



The grant letter addendum explains the Rockefeller Foundation strategy and the ACCCRN strategy and theory of change. This is useful, but it has only a high-level context for grants. Grantees are still left uncertain how their grant fits into the larger initiative. And with that continuing uncertainty, the RF ACCCRN team, at the hub of the ACCCRN wheel, is the only player able to see the whole.

As an illustration of this, Table 5 shows the milestones and deliverables from a sample Phase 2 grant, next to the outputs to which this grant is designed to be delivering. The grant language is somewhat blurred as the grant deliverables are the progress reports, while the milestones (which would normally be considered steps towards the deliverables) are the project activities, and are not explicitly time bound (which one would normally expect to be a milestone property).

The milestones are almost entirely activities: identify stakeholders, organize workshops, conduct assessment, implement studies, etc. This attention to activity in grants is closer to implementation management – which focuses on ensuring the proper use of inputs and completion of activities, than to results-based management (RBM), which is more concerned with the higher-level objectives (Binnendijk, 2000). To facilitate a more a connected results orientation throughout the initiative the Foundation might usefully consider a number of changes to the grant letter format in addition to the addendum letter. This might include the following.

- Distinguish between deliverables (what the grant produces) and reporting obligations.
- Distinguish between deliverables (what the grant produces) and milestones (progressive steps towards the deliverable).

³³ A third means to improve alignment to results is the proposed Strategy and Alignment Group, which is discussed in the proceeding section

- Adjust the language of granting, from present-tense activities (e.g. *initiate engagement with city partners*) to past-tense completed states (e.g. *city partners engaged*);
- Adjust the level of achievement upwards from micro-level activities to meso-level outputs (e.g. from: “*organize a workshop on climate risks, consequences and resilience in urban contexts for city stakeholders*” to “*city stakeholders’ awareness and understanding of climate risks, consequences and resilience in urban contexts increased*”). This implies grantees taking responsibility for results at a higher level, which can be attributed back to their agency. To illustrate further, in one grant, against a \$275,420 payment tranche, there are four milestones:
 - develop proposals and provide coordination assistance to city project proposals and stakeholders
 - consult with state and national government actors as well as donors on opportunities to leverage ACCCRN experience
 - create an e-group to share ideas and knowledge among ACCCRN-partners; and
 - organize at least one training event.

This payment could be made against: x number of city proposals submitted (of which at least y% are funded); ACCCRN ideas and process adopted in at least z other donor or government projects; an e-group is operational with at least xx active members sharing knowledge; yy new government officials trained in UCCR approaches.

- Introduce a very simple results framework with indicators within each grant letter, to support the output focus.
- expecting and requiring grantees to undertake a certain level of monitoring of their own Output delivery.

These points are made in recognition of the fact that foundations mainly receive proposals rather than issuing contracts for services, which ACCCRN claims impacts upon its ability to both ensure alignment and drive performance. Nonetheless, requests for proposals can still communicate the need for – and require – a stronger results orientation that connects to the grant. Also, the above recommendations are made for a grant letter context, not a sub-contract. It is noted that several of these recommendations concern the language of granting; results language uses words in a very specific way – the Foundation would need an M&E glossary to support these change.

The evaluation recognizes that the results framework was only developed by the RF ACCCRN team in 2009 and rolled out to partners in mid-2010, having been further developed by the M&E grantee. Thus the alignment of grants, prior to Phase 3, to results, as per results framework, is not expected. However, this does not detract from observing that results-oriented portfolio management is difficult without a unified results framework. Nonetheless, the alignment of recent grants to the results framework should be increasingly apparent, and it is not. Very few partners, even those closely involved with ACCCRN since the beginning, are aware of the results framework, let alone using it. One partner, Arup, has attempted to align its Phase 3 proposal with the results framework.

Biannual monitoring by the M&E grantee has increased awareness of the results framework, which partners and the RF ACCCRN team are finding useful. But, there are few incentives for grantees to change grant implementation since, as outlined above, grants focus on deliverables not Outcomes.

TABLE 5: **Illustrative grant deliverables**

GRANT LETTER (2009 CLI 328)		RESULTS FRAMEWORK
MILESTONES	REPORTS/DELIVERABLES	OUTPUTS FOR OUTCOME ¹
<p>Identity and form stakeholders and partners</p> <p>Organize a first meeting with national-level stakeholders to understand project objectives and approaches, clarify roles and responsibilities expected from national-level stakeholders and provide recommendations and advice for project activities and adjustments</p> <p>Initiate engagement with city partners</p> <p>Refine the strategy for “network partners” engagement, national engagement, and initiate work plans</p> <p>Organize a workshop on climate risks, consequences and resilience in urban contexts for city stakeholders</p> <p>Initiate shared learning dialogue (SLD) 1 to develop a consensus regarding current climate change risks and issues faced by the city and identify preliminary vulnerable groups and areas an entry point for vulnerability assessments</p> <p>Conduct city-level climate change and vulnerability assessments</p> <p>Participate in a resilience planning workshop with other Asian City Climate Change Resilience Network (ACCCRN) partners</p> <p>Initiate shared learning dialogue (SLD) 2 to communicate with the city working groups results of the initial city-level climate change assessments, identify and implement specific sector studies of climate impact and generate pilot project ideas and guidelines</p> <p>Implement sector studies to map linkages across different sectors and an in-depth analysis of specific climate impacts</p> <p>Organize meeting #2 with national-level stakeholders to provide input and recommendations on findings of SLDs, climate and vulnerability assessments, pilot project ideas, design, development and selection, and identify and engage key agencies and actors</p>	<p>1. Interim narrative and financial reports, covering Dec 1, 2009 – Dec 31, 2009, due shortly after December 31, 2009</p> <p>2. Inception memo that outlines an updated work plan, initial activities, and priorities to be taken through March 2010, due January 31, 2010</p> <p>3. Interim narrative and financial reports, covering the period January 1, 2010 to June 30, 2010, due June 30, 2010 and including:</p> <ul style="list-style-type: none"> • synthesis of findings from each SLD • identification and selection of pilot projects in each city • synthesis of national-level engagement and an assessment of priority opportunities • synthesis assessment of the Thailand “network partner” city activities to date and planned next steps to continue to engage these cities <p>4. Final narrative and financial reports, covering July 1, 2010 to October 31, 2010, due within 2 months after October 31, 2010</p>	<p>1.1 City partners institutionalize ownership, commitment and engagement</p> <p>1.2 City partners build skills (new, innovative, more appropriate) to deal with uncertainty</p> <p>1.3 City partners implement activities based on owned and technically sound (climate-informed) resilience strategies</p> <p>1.4 City partners identify lessons from reflecting on practice and demonstrate learning</p>

The evaluation did hear counter-arguments to a more results-based management approach, in that ACCCRN is i) working organically, and needs to “allow the good things that are happening to happen,” and ii) that urban climate change is a wicked

problem and thus resists a strategic approach. Many features of urban climate change are indeed wicked, for example:

- the solution depends on how the problem is framed and vice-versa
- stakeholders have different world-views and frames for understanding the problem
- the problem is subject to constraints that change over time, as do the resources needed to solve it
- the problem is never solved definitively.

But this does not mean a collaborative strategy (Binnendijk, 2000) to tackling climate change, which ACCCRN essentially is, cannot identify a number of process steps and behavioral changes to deliver such a strategy. Likewise for an experimental approach – ACCCRN is about learning, sharing and developing capacity which all fit within an experimenting and organic approach to developing a UCCR approach.

6.3 The M&E system

Closely related to a results-orientation is the M&E system. The M&E grantee, appointed in December 2009, had two main roles – to design and implement biannual monitoring of outputs, outcomes and impacts, and to conduct mid-term and final evaluations. Included in this was the refinement of the results framework originally developed by the ACCCRN team, including developing a theory of change and mapping outcomes on to the work stream framework, to ensure ACCCRN had a comprehensive set of results tools.

However, the evaluation found relatively little partner buy-in to these tools, including the biannual reports. One comment, “What is the results framework? Rockefeller came up with it in a dark room with Verulam,” was illustrative of a number of situations, including the draft communication strategy, in which ACCCRN developed tools and products bilaterally with a partner, which were subsequently less well received by the wider partnership, who felt excluded. The fact that grantees do not necessarily see the results framework as relevant to their “day job” of getting on with grant implementation is indicative of the disconnect between the deliverables orientation of grant letters and the results framework.

The ACCCRN monitoring process does not appear to be supporting performance improvements. It is effective in getting partners to report on activities – but it does not appear effective in aligning activities and management towards achieving ACCCRN-determined objectives and outcomes. In many cases, there is broad alignment, but this alignment with the results framework is secondary to alignment with city and national imperatives. While the RF ACCCRN team has used monitoring reports to respond to weaknesses in performance, it has followed a bilateral approach – intervening with individual grantees, rather than sharing feedback in a more dynamic way, such as using it as the focus for issue-based conference calls or on-line discussions.

In Thailand, the evaluation was informed that no one within the RF ACCCRN team has discussed these reports, their findings or implications with TEI, and TEI certainly has not raised these with city coordinators, or with city partners. In travelling around

the four ACCCRN countries, the evaluation did not find any partners that had read the monitoring reports, or received feedback or had any discussion with the RF ACCCRN team with respect to these reports. Partners are meant to follow up with Verulam if they want to discuss monitoring findings, but this has rarely occurred. One country coordinator recalled possibly having received monitoring reports, but if that was the case, had been too busy to read them. However, distilled key lessons from the latest monitoring report were shared with partners at the 2011 Bali workshop.

The process is by default owned by the RF ACCCRN team and Verulam, and is seen by partners as extractive and serving only the central hub. Better communication of monitoring findings could see this being a point of contact with partners and a means to strengthen mutuality. The RF ACCCRN team recognizes that more could be done to ensure the monitoring findings are heard by partners but efforts have been limited by resource availability. The desire was for the Verulam monitoring team to present findings to different partners physically, but their grant resources did not allow this.

The results framework is also currently a management tool, largely internal to the RF ACCCRN team. The Strategy and Alignment Group (SAG) provides a good opportunity to promote the results architecture and the use of monitoring information more widely across the initiative.

ACCCRN M&E also needs to link into and support cities' own M&E. City governments have M&E approaches to assess activities funded from local and higher levels of government budgets. Likewise NGOs and private sector organizations have their own monitoring systems. As part of developing a learning culture for building resilience, country coordinators should ensure that city partners include ACCCRN-funded activities in their M&E systems or, where city advisory committees and working groups are being institutionalized, that they develop monitoring systems.

Current monitoring focuses primarily on ACCCRN implementation processes, with the M&E grantee and some partners (e.g. Arup) undertaking quality assessment of some Outcome 1 products. The focus has also been on the 10 cities. As ACCCRN progresses, there will be an increasing need to broaden coverage to other cities and, as the next monitoring round proposes to do, start to consider quantitative improvements in impact measures.

6.4 Efficiency

The Foundation perceives, in part, that ACCCRN is inefficient its use of resources or at least it is relatively intensive on financial and human resources because of its operational approach. The evaluation has not made a detailed comparison across Foundation initiatives, but a simple two-way comparison with the Health Systems Initiative shows human resource use per dollar granted to be approximately equivalent, with a ratio of \$17.5 million in grants per staff full time equivalent (FTE) in the Health Systems Initiative and \$14.2 million in grants per staff FTE in ACCCRN (Tables 6 and 7). This is approximately an 18 percent efficiency difference. However, without examining the Health Systems Initiative and other Foundation initiatives more closely, it is not possible to ascribe this to economies of scale, differences in implementation

modality or other factors, although it is understood that the Health Systems Initiative includes some global agenda-setting work that is less staff intensive and is able to rely on a few high performing grantees.

Efficiency or, as is becoming increasingly common usage among in bilateral donors, value for money, is not just about input costs. Other considerations are the transformation of inputs into outcomes, the opportunity costs of different levels of input, and the level of transaction costs.

TABLE 6: **Resource use comparison: health systems and climate change**

INITIATIVE	FULL TIME STAFF EQUIVALENTS (FTES)			
	MANAGING DIRECTORS	ASSOCIATE DIRECTORS	RESEARCH ASSISTANTS	TOTAL
Health systems	1.0	2.35	2.35	5.7
Climate	1.45	1.85	1.2	4.5
ACCCRN	0.45	1.5	0.7	2.65

DATA SOURCE: Stefan Nachuk email, March 2011.

TABLE 7: **Resource use efficiency: health systems and climate change**

INITIATIVE	TOTAL FTES	BUDGET (\$ MILLION)	GRANT \$M / FTE
Health systems	5.7	100	17.5
Climate	4.5	70	15.6
ACCCRN	2.65	38	14.3

DATA SOURCE: Stefan Nachuk email, March 2011.

In regard to both opportunity and transaction costs, the RF ACCCRN team has developed quite an operational approach to the program with, for example, a degree of hands-on involvement in selection of city grant projects. With a center-facing structure, some grantees have felt closely managed and as a corollary, uncertain in balancing innovation and initiative with seeking ACCCRN approval.

A hands-on approach at the level of individual grants is time consuming, and begs the question whether the skills and positioning of ACCCRN staff is optimally used in some of these activities, compared with having them undertaken by a partner through a grant and using ACCCRN time for more upstream activity. The RF ACCCRN team orchestration of Phase 3 grant selection was an area where a partner and an expert panel could have freed up ACCCRN staff time. As this did not occur, the process was dependent on the availability of ACCCRN human resource, and was delayed by a number of months.

In relation to transaction cost, ACCCRN issued 36 grants to 18 grantees, with one grantee receiving eight separate grants, and the largest ACCCRN grant being \$5.3 million. As Figure 5 shows, ACCCRN has a large number of small, overlapping grants,

many of which are short duration. Some efficiencies are now being achieved, with country coordinators on-granting to city partners but, in general, the Foundation might consider how it could achieve better economies of scale in large grants and with grantees who receive multiple grants.

The use of many short grants confuses partners. When the initiative was young, the approach was evolving and partners developing a relationship with the Foundation. For these reasons, shorter grants were issued – tightly defined activities in grant letters make an adaptive approach more difficult to cope with, thus leading to a series of short grants. During the “forming-norming” stages of building relationships with grantees, non-renewal of short grants is one of the Foundation’s few levers in situations of poor performance.

The Center for Effective Philanthropy (CEP) conducted a perception survey of Rockefeller grantees (CEP, 2011), including climate change initiative grantees,³⁴ in May and June 2010. CEP polled 524 grantees and received 326 responses (62 percent), 23 from the climate change initiative. The CEP survey found that climate change grantees’ ratings place the Foundation at or above the 75th percentile of funders’ average ratings in CEP’s “large, private funder” dataset for a number of parameters. The Climate Change Initiative is in the top 25 percent of 10 parameters and significantly better rated than all other Rockefeller grantees, with a 90 percent confidence level.

TABLE 8: **Perception rating of Rockefeller Foundation performance by grantees**

PARAMETER	ROCKEFELLER FOUNDATION RATING (N=326)	CLIMATE CHANGE INITIATIVE RATING (N=23)	LARGE PRIVATE FUNDER, MEDIAN RATING
Understanding of grantees’ goals and strategy	5.5	6.1	5.6
Impact of funding on grantee ability to continue work	5.3	5.9	5.7
Grantee satisfaction	6.4	6.6	6.3
Funder-grantee relationships summary	6.0	6.3	6.0
Proportion of grantees that had a change in primary contact	23%	4%	-
Proportion of grantees that had a site visit	41%	65%	49%
Clarity of the funder’s communication of its goals and strategy	5.4	6.1	5.5
Extent to which Rockefeller is a thought partner	5.5	6.0	-
Building capacity	5.3	5.9	-
Bring other investors into your program to create leverage of existing work	48%	30%	-

SOURCE: CEP, 2010.

NOTE: The rating is on a seven point Likert scale. The CEP survey data show that, although climate change initiative grants are larger than average, they are also proportionately more administrative heavy (Table 9).

³⁴ This included ACCCRN and grantees of the other components of the climate change initiative, such as African agriculture and climate change – the survey cannot distinguish between these components.

As can be seen in Table 8, the climate change initiative scores better than the Foundation as a whole on grantee relationships. This may be partly accounted for by the greater amount of contact through site visits, which may be facilitated by having most of the RF ACCCRN team based in the region. The Foundation is seen as a thought partner in climate change. This was also seen by the evaluation, though the concept of UCCR has yet to be fully appreciated and adopted by a wide set of stakeholders. Two CEP results do not cohere with the evaluation findings, and may possibly be accounted for by data coming from across the climate change initiative, not just ACCCRN. These are: i) a high score for clarity of communications on goals and strategy – the evaluation found communications an area for improvement and that the results framework was not widely used; and ii) a low rating for bringing other funding into the program – the evaluation did find this was occurring, but it may be that the funding is going to ACCCRN partners (e.g. city governments) rather than the ACCCRN direct grantees.

TABLE 9: Administration burden of Rockefeller Foundation Grants

	ROCKEFELLER FOUNDATION (N=326)		CLIMATE CHANGE INITIATIVE (N=23)		LARGE PRIVATE FUNDER	
	Hrs/\$k		Hrs/\$k		Hrs/\$k	
Median grant size (\$k)	227		430		253	
Median administrative hours spent by grantees on funder requirements over grant lifetime (hrs)	62	3.7	100	4.3	62	4.1
Median administrative hours spent by grantees on proposal and selection (hrs)	40	5.7	60	7.2	40	6.3
Median administrative hours spent by grantees on monitoring, reporting, and evaluation processes (annualized hrs)	17	13.4	28	15.4	12	21.1

Efficiency not only relates to the Foundation and the RF ACCCRN team, it needs to be considered across the whole of ACCCRN. With partners in 10 cities and four countries to coordinate, there will inevitably be significant transaction costs. Nonetheless, the evaluation found that country coordinators appear to have established effective project management systems and procedures for working with and supporting the city coordinators they have engaged, and thence city partners. There are, however, areas where cascaded management might be more effective. For example, the following two areas are identified and are both evident in the grants table (Table 3):

- In general, for a city-focused initiative, spending is top-heavy on partners from outside the region, with over 56 percent of grant value to date awarded to four grantees: Arup, ICLEI, ISET and Verulam. It is recognized that for ISET particularly, funds are channeled to country and city partners. These four are all relatively expensive organizations, and where they are serving a management and on-granting role, and where this is outside their core expertise, it is worth reviewing whether this is the most efficient approach.

- The grants table shows a profusion of Phase 3 grants, for example, 2010 CLI 323, 325 and 326 to ISET in relation to implementation projects in Vietnam. These parallel grant letters would not seem to be efficient from a transaction cost angle. This would be one of the cases in which the Foundation might argue for economies of scale to come into play in relation to management costs for on-granting.

At the country and city levels, the country coordinators have spent limited funds in Phase 2 to organize a city-level platform, hold participatory dialogues and to conduct studies, which have been used as a basis for capacity building. The studies have engaged the best persons available at national and international levels, which has enhanced their scientific value and made them effective tools for intervention in scientific debates. The funding is not lavish but adequate to conduct the studies with research credibility and provide the activities around city advisory committees with proper logistic support. A certain amount of coordination and reconciliation of the methodological and data-related differences, as emerging from the studies in the case of Gorakhpur, would have increased the quality of the products from the studies.

6.5 Coordination and management

Coordination and management was the area most frequently identified by respondents as one for improvement. This resonates with discussions at the 2010 workshop in Bellagio, which concluded that the issue of governance and coordination of ACCCRN was challenging “due to numerous factors including the number of actors involved, the limited scope for “managing” them, and the change in requirements for each phase” (Arup, 2010e). Evaluation respondents reported a lack of clarity regarding direction in the initiative, grantees not understanding the big picture, decision-making occurring one-to-one with partners rather than jointly in a network context as a feature of partnership working, and limited flow of information to partners between larger meetings. These add up to a coordination deficit.

It is important here to distinguish between coordination and management. Partners are not seeking close central management – an activity focus – with several already contending there is too much central control of detailed matters. Rather they are seeking higher-level portfolio management with the appropriate strategy, planning and review tools, including the coordination of partners through inclusive communications and decision-making.

Arup has provided good support to this area through its program management support grant. However, there is some reservation as to whether Arup can and should facilitate a change management process for the new Strategy and Alignment Group (SAG) since it would be simultaneously a core actor in the group and a change facilitator. Arup’s support has provided useful portfolio management tools, such as the work stream framework, conceptual models to make sense of ACCCRN, and facilitation of biannual strategy review meetings. ACCCRN management has appreciated this input, and current management is much more aware of portfolio management issues than was evident in the early part of the initiative.

The evaluation found that the Foundation under-appreciated the complexity of ACCCRN's portfolio management task, which needed dedicated coordination – either internally or with external support. It is not clear that the necessary skills existed internally at the early stages, and although Arup and ISET submitted a joint proposal to establish a project management office (though not a formal grant proposal) to the RF ACCCRN team in Phase 2, it was not adopted. With the benefit of hindsight, this was probably the wrong decision at that period of the initiative, as it would have enabled the RF ACCCRN team to concentrate on higher level strategy and coordination issues. However, it is recognized that the subtleties of managing grantee relations in a philanthropic initiative differ from straightforward project management.

A shift upstream moves the RF ACCCRN team further from city projects. However the monitoring team's reports, contact with regional partners and analysis of grant reports should provide good intelligence of whether projects remain on track. Working better through grantees is at the core of developing an improved and more coordinated approach for the second half of the initiative. Currently, the RF ACCCRN team directly implements a number of high-level work streams, illustrated best by the successful resource brokering work, and they have a close level of oversight on city implementation projects. This is indicative of a lack of confidence in first-tier grantees (regional partners and country coordinators) or that the engagement with these grantees is not leading to the desired level of performance from their grants. The lack of confidence stems partly from some large Phase 2 grants in which coordination of lower level partners did not work very well, such as the relationship with TARU in ISET's India country coordination role. For the RF ACCCRN team, Phase 3 is not a trade-off between working at a high level or at city level, but about ensuring grantees deliver reliably on their commitments.

The coordination and portfolio management need that still exists is different from the early stages of the project, when relationships were being established, understanding of UCCR was being developed, and a more central model by the RF ACCCRN team or a Project Management Unit was needed. The situation has evolved to a set of competent partners that needs coordination to deliver the initiative together. The RF ACCCRN team recognizes the need to address this area and has proposed a Strategy and Alignment Group (SAG). The rationale for the SAG is that: "with ACCCRN now having entered the next phase of its development, there is a growing need for the application of collective leadership over the direction of the work. With an increased number of partners involved in the network, a growing volume of activity at city, country and global levels, and the emergence of new players in the field of urban climate change resilience (e.g. donors, new city networks, governments) there are new challenges, pressures and opportunities to address" (Rockefeller Foundation, 2011b). Its objectives would be:

- "to strengthen the level of alignment among key ACCCRN partners in relation to overall program goals, progress towards achievement of results, key emerging lessons, priorities, opportunities and challenges; and
- to provide collective strategic guidance to ACCCRN, informing, advising and guiding decisions on program priorities."

Now is certainly the time to address coordination and results alignment, because in Phase 3 the initiative becomes significantly more complicated, and the external environment has become more active in ACCCRN theme areas. This need for coordination and results alignment is not new. Partners have not experienced ACCCRN as a partnership or a network. Much of what the evaluation found may be interpreted as a lack of information flow and two-way communication, manifest in complaints such as: decisions being made in Bangkok and received by partners as directives, and information silences following Phase 3 concept submissions. As such, Phase 3 represents a complex program portfolio that requires a commensurate set of portfolio management tools and processes that work in real time, coordinating inputs and monitoring outputs. The evaluation heard that “the Foundation does not own projects; money and influence are its tools.” With a theory of change that depends on projects creating the experience and an empirical basis for evidence-based policy influencing, this will only work if grant projects are well coordinated.

The proposal is to address this through the SAG, which will meet biannually. ACCCRN already has biannual strategy reflection sessions with Arup, and approximately annual larger “set piece” meetings with a wider group of partners. Yet, the inclusivity and flow of information among the set pieces is missing. Having all partners involved in closer interaction between biannual meetings, albeit mainly electronically, will undoubtedly lead to information overload for some partners on some themes. Thus, some form of subcommittee or working group structure is suggested, although ACCCRN is still evolving the SAG governance structure. The evaluation supports the aim to establish coordination clusters as working groups to coordinate work within coherent service areas. While the SAG proposal envisages these as only occurring “where essential”, it is recommended that they become the default means by which the initiative is coordinated.

Various clusters have been identified, and the evaluation agrees that the following (Table 10) are the main areas in which working groups are needed. The eventual shape of the SAG will be negotiated at its first meeting, but the RF ACCCRN team needs to continue to show leadership on this. All those involved must focus on developing the SAG as a platform for coordinating partnership, information sharing and inter-dependence, driving a cultural shift in ACCCRN, to ensure partners coordinate more, with the RF ACCCRN team leading efforts to ensure Outputs and Outcomes are achieved and aligned with others. For each working group, the people developing the SAG will need to establish membership – an RF ACCCRN team focal person, a lead partner and the wider membership of partners – as well as meeting frequency and modality. The RF ACCCRN team member does not necessarily need to be a lead for the working group, and indeed the team may not necessarily have the skills to be best placed to play this role. The RF ACCCRN team needs to allocate clear individual responsibilities for different working groups, as current overlapping roles have been difficult for partners to navigate. Working groups do not need to meet simultaneously or necessarily with the same frequency – for example, the resource-brokering group may meet less frequently, or the Knowledge Management (KM) group may want to hold monthly online meetings.

TABLE 10: **Suggested SAG working groups**

WORKING GROUP	ORIENTATION
Portfolio management, including M&E	Internal facing
KM and reflection	Internal facing
TA and capacity building	City facing
Communications and UCCR uptake	External facing
Resource brokering	Donor facing

Along with the SAG and working groups, there needs to be a change in behavior and orientation of all partners. At present, the only obligations are those in the grant letters, between the grantees and the Foundation. There is no mutual obligation between partners and, while this would be difficult to make contractually binding, it is required to make ACCCRN succeed. This requires facilitation and change management, as the organizations involved in ACCCRN are culturally diverse. They include scientific institutes, private sector consultancies, donors, NGOs and government agencies, and each has its own language and work view. The evaluation heard the interface between different types of partners described as the “oil-water boundary”, and bringing them together better may be more effective with outside facilitation.

6.6 Roles and relationships

The evaluation found a variable picture in relation to how well different actors in ACCCRN understood their intended roles. In Indonesia, the lead team has clear roles and responsibilities, and has shown understanding of climate change issues at grass-roots level. The City Advisory Committee members have had a positive experience and gained knowledge through the clear guidelines from the city coordinator. At each level, stakeholders are aware of their roles and want the initiative to sustain. This has influenced city development planning through a bottom-up approach, and the stakeholders have contributed to fulfill their roles, by regularly attending shared learning dialogue sessions, other meetings and workshops.

In Thailand, all actors have limited awareness of their “intended” roles in ACCCRN. The ACCCRN brand in Thailand is not strong with national or local government, or with other players in the climate change field. In Vietnam, the Phase 3 roles are clearer, with the country coordination role going to ISET. In Phase 2, the national partners played complementary roles in relating to the cities, with NISTPASS providing an important “translation of national and local context role”, and with CtC respected by the cities for its knowledge and approach. But it was noticeable from evaluation interviews that there is no uniform agreement among national partners on ACCCRN priorities or how to approach their implementation.

The SAG needs to make the respective communications roles explicit between partners at national, subnational and city levels, and with stakeholders including donors, as this is currently unclear.

Grants

Grants are designed to form particular types of relationships with grantees. In a bilateral donor program, ACCCRN's grantee partners are contractors or service providers, and although grant letters are contractual documents, the overall ethos is to develop a trust-based relationship with grantees. This comes into play in performance management, where the contractual and management levers at the RF ACCCRN team's disposal are quite short. Having a stronger tie with grantees offers the potential to apply others sorts of performance pressure, based on mutuality. However, particularly in early stages of grants, where this type of relationship has not been established, there can be a tendency for the RF ACCCRN team to manage closely and at a detailed level.

In an organic, innovative initiative such as ACCCRN, tension arises because, in terms of grants, the road was not clearly mapped from the start. Even though activities are specified in the grant letter, they may prove not to be relevant once that point of implementation is reached. Experienced grantees are willing and able to use judgment on the room for maneuver in grants, and, importantly, having a trust relationship with the RF ACCCRN team permits a certain degree of *laissez faire* to exist, which supports flexibility and innovation in grant delivery. Where trust has yet to be established, the grant letter can provide a level of granularity that enables close RF ACCCRN team supervision.

ACCCRN uses grants of short duration that do not extend to the initiative's end point, which enables dealing with changes in direction between phases. It also provides a control lever because it offers an opportunity for non-renewal if there are serious problems with performance. However, this runs counter to building partnership and commitment, and points to a need for greater coordination between the Foundation's implementation team (ACCCRN) and the grants office. Analysis of grant durations shows that the RF ACCCRN team has recognized this, and that short grants were primarily a feature of the early part of the initiative.

6.7 Knowledge management

Knowledge management (KM) is a process for optimizing the effective application of intellectual capital to achieve objectives. It involves:

- the design, review and implementation of both social and technological processes to improve the application of knowledge, in the collective interest of stakeholders
- a process of systematically and actively managing and leveraging stores of knowledge – both tacit knowledge (held in an individual's brain in the form of know-how and experience) and explicit knowledge (recorded independently of humans in books and computers)
- ensuring that the intellectual capabilities of an organization are shared, maintained and institutionalized
- ensuring lessons from the past and from elsewhere are made available and that the boundaries on knowledge imposed by time and space are overcome.

KM calls for more than making data and information available to others – it entails presenting it in such a way that people can make sense of it for their situations. KM

involves the management of information and documents, but also calls for people to meet, pool their knowledge and learn mutually and from one another. These two dimensions need to be balanced.

ACCCRN recognizes two main advantages of KM: i) sharing practical knowledge as an aim for Outcome 2 (also discussed under networks and networking), and ii) as a means for keeping partners informed and coordinated.

Taking a “stocks and flows” perspective on sharing practical knowledge, participants have appreciated city and partner meetings which help exchange tacit knowledge, and many respondents mentioned the cities meeting in Da Nang. However, between events, ACCCRN lacks a central knowledge repository (the stock of explicit knowledge) and mechanisms to support knowledge exchange between set events (flows).

ACCCRN’s commissioned analysis of networking options (Raynor, 2011) identified a “resource repository network” or a “passive knowledge management network” as a low case scenario for Outcome 2 networking. ACCCRN had tried earlier to establish a repository through creating a SharePoint site, hosted on the Foundation’s servers. It is understood that this was beset with technological problems and its usefulness was not sufficiently self-evident for partners to invest the effort in persisting with trying to use it, and it never took off. There thus remains a need for a stock of explicit, documented information and knowledge. The Arup Phase 3 proposal, explained below, aims to address this.

In relation to stocks of explicit knowledge, ACCCRN is somewhat light. The evaluation received a significant collection of background documentation on urban development and climate change, and a body of formal grant documentation. However, there is much less documentary output from the initiative in relation to the work that has been conducted at city, country and regional levels. Of the documentation that exists, the little that is in the public domain is mainly due to efforts of city and country coordinators, rather than a planned ACCCRN strategy.

In relation to KM as a means of keeping partners informed and coordinated, ACCCRN does not document its decisions well. This is part of the consistent message about needing to keep partners jointly and collectively informed to strengthen partnership, but it is also about keeping a process narrative of the initiative. For example, the evaluation found it difficult to locate a record of precisely how the 10 cities were ultimately chosen. ACCCRN, and from the little evidence the evaluation found, the Foundation more widely also, favors an oral culture. This means that people need to be present in meetings to know what decisions are made. A theme in a number of interviews was along the lines of “this may not be written down, but this is what happened...”. Where there is good documentation, it tends to be around set piece workshops and meetings. Much of it is produced by Arup under its program management support grant.

The Arup proposal for Phase 3 targets “keeping partners informed and coordinated” through KM. It has three components: i) a document management system (see above), ii) reviewing city and country level products as they are produced, and iii) convening and facilitating a practitioner knowledge network of key individuals from ACCCRN partners to catalyze a wider community of practice. The latter will be based

on a knowledge forum, and Arup is developing a Ning-based social networking site for this. This would appear to address the significant gap in this area, but culturally this is not how ACCCRN has been working, and careful consultation, co-development and facilitation will be needed to ensure the soft aspects are in step with the potential that the technology offers. The site will require good moderation to overcome the obstacles that have been identified to forming a formal ACCCRN Network.

6.8 Internal communications

The evaluation found a consistent set of concerns about internal ACCCRN communications. Some have been discussed above in relation to structure and partner networking, specifically that too much of the communication between the RF ACCCRN team and partners is bilateral, which militates against partnership and produces surprises for partners, which may then meet with resistance.

Other concerns are about responsiveness, including: i) awareness of others' information needs and expectations and ii) clarity over devolution of communication responsibilities to partners. In terms of awareness, the evaluation found a number of instances in which partners had been left waiting to hear feedback, and several partners found that the Phase 3 project selection process exhibited an asymmetry in the relationship and catered only to the donor perspective. The process applied strong time pressure to the applicants, and then was drawn-out by the donor, followed by an absence of feedback on reasons for success or failure of funding applications. There are reasons for the timing issues, but there is a need to address the lack of empathy for partners' information needs.

As for ensuring there is clarity in devolution of communication responsibilities, at the city level, it is unclear whether messages are coming from the RF ACCCRN team or country coordinators. While ACCCRN does not seek to stamp all city processes into one mold, it is important that cities receive consistent messages. The evaluation found cases where communications from the RF ACCCRN team and regional partners were at odds with communications from country coordinators.

6.9 Risk

The ACCCRN Risk Register identifies and rates a comprehensive set of risks, and proposes mitigation measures. Although the last update was 13 November 2009, there is evidence of consistent strategic appreciation and tracking of risks and opportunities by the Bangkok office. Most of the risks in the register have not affected progress. However, as shown in Table 11, there are a small number of risks that have affected the initiative or may yet be significant.

The main risk factors are: under-developed communication between partners, lack of direct engagement with the federal government in India, insufficient time for dissemination and replication, lack of clarity about the “network”, and insufficient engagement with national policy domains. These points have all been identified separately in the course of the evaluation, despite being stated as risks in 2009. The evaluation recommendations aim to help mitigate them further.

TABLE 11: **Extract from ACCCRN risk register**

ACCCRN AREA	RISK	MITIGATION MEASURE
Programmatic issues	<p>There needs to be open to feedback and learning among partners.</p> <p>RF's lack of direct engagement at a central government level in India may result in resistance.</p> <p>Timeline of ACCCRN may be too short to maximize impact, i.e. for dissemination and replication.</p>	<p>Effective coordination and communication options, e.g. principals call, working groups.</p> <p>Ensure direct approaches by RF to national governments in all countries.</p> <p>Maintain a realistic program that responds to budget, resources and timeframe; establish processes to enable ACCCRN to self-sustain.</p>
Outcome 2	No agreed concept of what "the network" is.	Develop options for network building on result areas and budget; use demand-driven approaches.
Outcome 3	RF does not commit enough energy or resources to national policy and engagement, which affects replication.	Develop a national policy and engagement strategy with local partners that is tailored to the specific country context.

Summary

ACCCRN's present architecture is a hub-and-spoke model. This has the twin disadvantage that it is not the optimum configuration to stimulate networking and it places the main management role on the RF ACCCRN team.

Partners identified the way ACCCRN interacts with partners and grantees as predominantly bilateral. Partners meet at ACCCRN events, but between these events there is insufficient communication and flow of information to create strong cross-links among partners. Likewise, core grantees have a low level of interaction between events.

The concept of country coordinators is a positive introduction, bringing more proximal country-specific knowledge and support to cities. They provide a conduit for ACCCRN funds to partners, and coordinate country activities, but not all are well placed to fulfill the national policy engagement role.

The ACCCRN results framework was rolled out in mid-2010. As yet, few partners, even those closely involved with ACCCRN since the outset, are aware of the framework, let alone using it.

Grant letters commit funds against deliverables and deal with the lower end of the results chain. The results framework deals with the middle and upper ends, but there is insufficient connectivity between the two. Simply put, grantees own activities, the RF ACCCRN team owns outcomes. There is no common ownership of results.

Monitoring is seen by partners as owned by the RF ACCCRN team and Verulam, and its feedback is not used bilaterally with partners. Better communication of monitoring findings could see this as a means to strengthen mutuality.

ACCCRN has a large number of small, overlapping grants, many of which are of short duration. Some efficient-

cies are being achieved by country coordinators on-granting to city partners, but in general, the Foundation might usefully consider how it could achieve better economies of scale in large grants and from grantees receiving multiple grants.

ACCCRN has a hands-on approach at the level of individual grants, particularly Phase 3 project selection. This is time consuming and raises questions over opportunity cost and best use of team skills sets.

Respondents identified coordination and management as the area in which improvement was most needed. The evaluation finds that the Foundation under-appreciated the complexity of the portfolio management task. The need to address this area is recognized by the RF ACCCRN team and a Strategy and Alignment Group (SAG) is proposed to address it.

Along with the SAG, a change in behavior and

orientation of all partners is needed. At present, the only obligations are those in the grant letters, between the grantees and the Foundation. There is no mutual obligation among partners, and this behavior change – to become a partnership – will require facilitation and change management expertise.

In order for the RF ACCCRN team to focus on a leadership and coordination role, grantees must cooperate and support their partners to align to higher level ACCCRN objectives.

In relation to stocks of explicit knowledge, ACCCRN is somewhat light. There is relatively little documentary output from the initiative of work conducted at city, country and regional levels. Of the documentation available, what little is in the public domain is mainly due to efforts of cities and country coordinator, rather than a planned ACCCRN strategy.

Impact and sustainability

Intermediate impact statement: A diverse range of effective approaches, processes and practices to build urban climate change resilience that incorporate the priorities of poor and vulnerable communities is demonstrated in ACCCRN cities that generate additional actions by more institutions in current and new geographies.

Ultimate impact statement: The resilience and capacity of a growing number of developing country/Asian cities in relation to current and future climate risks is enhanced and through this work the lives of poor and vulnerable (men and women) are improved.

ACCCRN is just moving from its Phase 2 to Phase 3. So it is early in the initiative to expect to see extensive impacts.

The ultimate impact of ACCCRN is itself at two levels: i) focus on cities – their resilience and (adaptive) capacity in relation to climate risks, and ii) focus on improvement of the lives of poor and vulnerable people. The intermediate impact concerns city-level processes to build UCCR, while incorporating the priorities of the poor and vulnerable, and going to scale. Here the evaluation focuses on the resilience of cities and the incorporation of the priorities of poor and vulnerable citizens.

7.1 People

The design of ACCCRN targets vulnerability rather than poverty. There is a well-established link between vulnerability and poverty in developing countries including their cities. However the implementation modality does not specifically address differential segments of society by, for example, gender, age, ethnicity or income level. This has led to a finding that citizens are surprisingly absent from ACCCRN. A similar point was raised in the Second Monitoring Report (Verulam, 2011), which expressed concern regarding “the extent to which ACCCRN is working for poverty alleviation and effectively engaging with poor communities”.

UN-HABITAT expresses very strongly that it is so important to have this poverty orientation because it is interwoven with resilience: “The building of resilience can be understood as a way of enabling not only coping with added shocks and stresses, but also addressing the myriad challenges that constrain lives and livelihoods. Thus, a key part of building resilience is facilitating poverty reduction and more general improvements to the quality of human lives. Many interventions being undertaken in urban areas around the world – by local, municipal, national and international stakeholders – contribute to building this resilience through improving housing, infrastructure and services, particularly for the urban poor. Indeed, for many cities in developing countries, poverty alleviation and other pro-poor policies at the urban level are likely to be the single most important component of an overall adaptation strategy” (UN-HABITAT, 2011).

The design of Phase 2 aims to include vulnerable groups in resilience planning through multi-layered engagement across shared learning dialogues (SLDs), vulnerability assessments, sector studies and pilot projects (ISET, 2010b). Nonetheless, while the process is explicitly multi-stakeholder, it is primarily built around stakeholders from formal bodies – local governments, NGOs and the private sector – rather than community groups. The SLD process therefore experienced the “paradox of participation”, in that large all-inclusive participatory meetings create a forum where everyone’s voice may be heard, but because it is largely socially comprehensive, it also recreates normal social dynamics in which the disenfranchised do not voice their views. This may be overcome by holding linked inclusive and socially stratified meetings. For example, the SLD in Gorakhpur used an intermediary who was well-versed in engaging marginalized populations.

ACCCRN’s approach may be contrasted, for example, with that of the Africa Climate Change Resilience Alliance (ACCRA).³⁵ ACCRA is based on a local adaptive capacity (LAC) framework that, in turn, draws on the sustainable livelihoods framework. The Alliance argues that climate change adaptation requires more than an integrated programmatic approach. It also requires creating the enabling environment so that communities can continue to adapt beyond programmatic intervention timeline. This means the approach is explicitly focused on community capacity, although there are parallel streams of activity on pilot research to create an evidence base, capacity building for local government, and policy influence of governments and development partners. The evaluation thus flags a concern that the second half of ACCCRN should ensure that poor and vulnerable people are fully included in implementation projects. This means going beyond design-phase consultation because they need to be part of the implementation and M&E of projects if they are to have their priorities heard, their adaptive capacity increased and their lives improved. This statement recognizes that the extent of, and means by which, greater participation can be achieved will vary according to the context of different country and locally-specific governance systems.

7.2 Cities

In relation to cities, there are positive signals of impact. Methodologically, in Vietnam, ACCCRN was one of the first initiatives to attempt implementing an approach of devel-

³⁵ community.eldis.org/.59d66929. ACCRA is funded by DFID through CDKN.

oping a bottom-up UCCR strategy with city stakeholders, in contrast to the Vietnam's traditional and currently accepted planning process. UCCR issues are expected to be mainstreamed in the revision of Vietnam's urban master plan, which is in its final stages of preparation at the Ministry of Construction. In other countries, ACCCRN has yet to succeed to this level of policy mainstreaming. It looks highly likely that "a diverse range of effective approaches, processes, and practices to build urban climate change resilience" will be demonstrated in ACCCRN cities, and that there is likely to be uptake of these approaches in more than the 10 ACCCRN cities. However, ACCCRN has some way to progress before it becomes citywide in the 10 cities and, without that internal spread, it will not be possible to discuss the cities being resilient.

Part of becoming resilient and sustainable calls for integrating ACCCRN approaches in existing governance systems. UN-HABITAT (2011) observed that "urban adaptation planning is intrinsically linked with local governance. This includes decentralization and autonomy, accountability and transparency, responsiveness and flexibility, participation and inclusion, and experience and support. Urban governance systems that exhibit these characteristics are better able to build resilience through having more effective financial and technical management capacities in 'climate-sensitive' sectors such as waste, water and disaster management. Responsiveness and flexibility are also crucial, given the limited predictability of the consequences of climate change. At the same time, the involvement of the poor and marginalized groups in decision making, monitoring and evaluation is key to improving the living conditions of these groups." Becoming resilient and thus achieving impact will entail increased attention to governance *and* involvement of the poor.

7.3 Impact measurement

There is a need to collect impact data for the Foundation's own performance assessment for the final evaluation and to tell a convincing story for replication. In terms of using information gathered through M&E for influencing other donors to invest in urban climate change resilience, it will help the cause if impact indicators are tied to international agreed standards. As 2015 approaches, tying results to MDG areas and UN indicators, such as UN-HABITAT Agenda Indicators (UN-HABITAT, 2004), will have strong currency with other donors. An increasing number of climate resilience entities, including cities, and global initiatives aim to quantify progress towards low carbon and climate resilience, through efforts such as the carbon_n Cities Climate Registry (cCCR).³⁶

ISET has recently produced draft guidance and a tool for assessing urban climate resilience (ISET,2010), which draws on the ACCCRN Urban Resilience Framework. The tool includes a component for assessing the capacities of key vulnerable agents, considering their responsiveness and re-organization, resourcefulness and capacity to learn.

The ACCCRN Results Framework encompasses indicators coherent with the Foundation's goal of the well-being of humanity:

³⁶ citiesclimateregistry.org

- proportion of city population vulnerable to climate change (disaggregated by gender and poverty)
- well-being of citizens in ACCCRN cities (disaggregated by gender, poverty and climate vulnerability)
- proportion of poor men and women in the ACCCRN and network cities' populations.

However, according the Second Monitoring Report, the ACCCRN M&E baseline “is not robust enough to capture some of the changes, i.e. decrease in ... proportion of poor population.” The intention is to address this in the next biannual monitoring report. Nonetheless, there are methodological challenges at this level, particularly in relation to ACCCRN contribution, rather than attribution. The overall message is that impact measurement needs to be given due attention over the next year, so that data are accumulated for accountability, learning and replication.

7.4 Sustainability

Sustainability is entirely dependent on cities and city stakeholders buying into the UCCR concept, investing in its processes and in the systems changes identified through its diagnostic. The evidence to date is encouraging.

Some of the selected cities in Vietnam, an emerging middle-income country, have relatively large operating budgets compared to the funds coming from ACCCRN. In a number of cases observed, cities and communes or associations contributed up to half the funds required for implementing pilot projects (e.g. boat winch and casuarina planting in Da Nang). Both of these initiatives could have been funded and executed without any external assistance, but the partnership with ACCCRN helped deepen UCCR thinking.

There are a number of motivators for Da Nang to absorb the relatively high staffing opportunity cost of facilitating the engagement with Rockefeller.

- Government directives. The National Target Program to Respond to Climate Change (Government Resolution 60/2007/NQ-CP) sets out a comprehensive agenda with timeframes. It requires all levels of government to engage in establishing coordination structures, engage in wide-spread awareness-raising, mobilize resources and implement measures aimed at mitigation and adaptation. The Ministry of Natural Resources and the Environment is the lead coordinating agency. The NTP and associated structures appear to be gathering increasing political importance in Vietnam, with two recent instances of government staff engaged in climate change issues being promoted.³⁷
- Prestige of being part of an international program. In 2008, ACCCRN chose Da Nang as a partner and, despite various uncertainties in the relationship, it accepted readily. As the fourth largest city in Vietnam, Da Nang noted that some smaller cities were attracting support and interest from donor agencies.
- Opportunity for additional support and technical assistance in key activities as required by the NTP.

³⁷ ISET Project Management Report (CLI 323), 31 January 2011.

Other facets of sustainability in Vietnam include the extent to which the cities' resilience strategies strongly support the NTP implementation at city level, which helped cities mobilize additional funding for UCCR activities from different sources (state budget and donors), and the establishment of the city climate change offices is expected to be a good model for coordinating actions by different city departments.

In both India and Indonesia, the evaluation found that any impact of the project on the living conditions and adaptive capacities of the poor and vulnerable communities in the ACCCRN cities is not visible, except in the pilot project areas. For example, in Indonesia, people are sensitized to the problems, understand the urgency of adaptive and resilience measures but do not have the capacity to take up the challenge on their own, at the community or ward level. However, there are many more poor and vulnerable men and women outside of the initiative's pilot areas who are not yet aware of climate change.

Two concerns about sustainability are that i) the engagement projects are too small to make considerable changes to poor and vulnerable people's lives, and ii) there is little evidence yet of an exit strategy by RF from ACCCRN and its partners once the funding is all utilized. However, substantial changes can be expected when the city's UCCR action plan/strategy is implemented, and the larger ACCCRN implementation projects start to level additional funding.

Summary

ACCCRN aims to achieve impact at two levels: i) cities – their resilience and (adaptive) capacity in relation to climate risks, and ii) people – improving the lives of poor and vulnerable people

Citizens are surprisingly absent from ACCCRN at this stage. The evaluation thus flags a concern that the second half of ACCCRN should ensure that poor and vulnerable people are fully included in implementation projects. This requires more than a design-phase consul-

tation; they need to be part of the implementation and M&E of projects if they are to have their priorities heard, their adaptive capacity increased and their lives improved.

It appears highly likely that “a diverse range of effective approaches, processes, and practices to build urban climate change resilience” will be demonstrated in ACCCRN cities, and that this will scale-out to other cities.

There needs to be further expansion of UCCR within

the 10 cities in order for them to be resilient. Becoming resilient and thus achieving impact will entail increased attention to governance and involvement of the poor.

Impact measurement needs to be given due attention over the next year, so that data are accumulated for accountability, learning and replication.

Sustainability is entirely dependent on cities and city stakeholders buying into the UCCR concept, investing in its processes and in the

systems changes identified through its diagnostic. The evidence to date is encouraging.

Two concerns about sustainability are that i) the engagement projects are too small to make considerable changes to poor and vulnerable people's lives, indicating that Phase 3 projects need to be large enough to lever change; and ii) there is little evidence of an exit strategy by RF from ACCCRN and its partners once the funding is all utilized.



Lessons

This section draws together the lessons emerging from the findings in the previous chapters.

8.1 Lessons for Rockefeller Foundation Senior Management

An initiative at the intersection of climate change and urbanization was novel and timely – the right topic in the right place at the right time. However, taking a resilience approach has been challenging. Of all the available responses to climate change, resilience is the most complex as it involves polycentric governance, is self-organizing, multi-scalar, multi-sectoral and long-term.

The Foundation has convening power at an international level that, if well used, can deliver real gains for initiatives. Bringing together key donors at the Rockefeller Foundation Conference Center in Bellagio, Italy, proved instrumental in achieving commitments of approximately \$200 million by a group of donors to a UCCR basket fund. If this fund is established, the Foundation can be confident that its venture capital investment in ACCCRN has delivered a significant return.

Results orientation

The Foundation's results architecture and tools do not yet fully achieve a system of results-based management. Grant letters commit funds against deliverables – which are mostly specified as activities at the lower end of the results chain. The results framework deals with the middle and upper ends of the results chain, particularly outcomes. Even with grant letter addenda, there is a disconnect between the two, with grantees owning activities, and the Foundation owning outcomes and impact.

A portfolio of grants based on activity-level deliverables presents a coordination challenge. It fosters a bilateral relationship with grantees over their deliverables, rather than a portfolio-wide multi-grantee relationship based around outcomes and impact. Performance management is difficult in this scenario, not least as grant tranches are not tied to high-level objectives.

Insights for evaluation

ACCCRN monitoring is seen by partners as a stand-alone activity that is owned by the RF ACCCRN team and Verulam. Better communication of monitoring findings could help strengthen performance management and partnership working. A results culture would be strengthened by linking with M&E processes of cities and city stakeholders.

Reflecting on the evaluation process to date, the following lessons emerge for the ACCCRN final evaluation and may be relevant for other Foundation evaluations.

- At this stage, it was correct to visit all 10 cities, but it made a disproportionate demand on resources relative to the parts of the initiative covered. For the final evaluation, it will be possible to sample the cities and allocate more resources to evaluating scaling-up and interviewing a wider set of stakeholders.
- The process involved initial document review, then field visits with extensive stakeholder interviews, and then further document review. It would have been more effective to have followed an alternative three stage process: extensive document review leading to a set of initial paper-based findings, then a Web survey and phone interviews of a wide set of respondents, and finally field work.
- The final evaluation should make more use of self-evaluation
- By the time of the final evaluation, it is expected that there will be more progress on achieving impact. Evaluating impact will require that impact data have been collected as the evaluation team will not be able to invest heavily in data collection. This will require the Monitoring Team and ISET (if ISET pursues its resilience indicators work) to commence work on documenting impacts.

8.2 Lessons for RF ACCCRN team

City selection

City selection was a slow and iterative process that involved a number of studies whose outputs did not significantly affect selection decisions. These studies had weaknesses either in design or execution. The decisions, while based on a set of criteria, were ultimately pragmatic, and hastened by a desire from senior management to progress to Phase 2. A pragmatic, quick and dirty, purposive selection process would have achieved the same result more quickly and cheaply. City selection attempted to achieve a representative sample, which seems to run counter to the Foundation's "development venture capital" ethos.

Part of the delay in Phase 1 can be attributed to the twin aims of scoping/selecting cities and trying to engage with them for Phase 2. Early engagement may lead to better partnering with cities in subsequent phases, but it also builds expectations, which the cities' selection may then deflate. Scoping and engagement are in tension and better run separately.

Achieving UCCR

Disaster risk reduction is a practical entry point for city engagement on climate change. However it does not progress beyond a focus on projects to solve "here and now" urban management problems. The shared learning dialogues provided a road map to get from scratch to city resilience strategies. A similar road map is needed to

get cities from DRR to UCCR, which involves higher degrees of uncertainty, more multi-sectoral planning and response, and probably longer time spans than DRR.

The urban resilience framework conceptualizes clearly how UCCR combines urban systems, climate change and social systems (poor and vulnerable people). In an area as complex as this, it is very useful to have such a clear conceptual model.

The SLDs have been successful processes through which to engage a range of city stakeholders across a range of institutions, and develop inter-sectoral working practices. Nonetheless, the evidence from the SLD materials is that they were stronger on climate science and physical planning than they were on city systems, social aspects and the governance context.

Scope

The complexity of UCCR already presents a challenge, which has proven even greater when trying to achieve it in 10 cities across four countries. The original plan was to work with as few as two cities in implementation. ACCCRN was right not to reduce the number of cities post-engagement, as the weight of evidence would have been too little, and the opportunity to distil general lessons too few (with the chance both cities might be seen as exceptions). Abandoning cities after Phase 2 also would have meant that progress in those cities dropped might not have been sustained.

If two cities would have been too few, what would be the optimum number to produce a credible evidence base of practical approaches to climate change resilience? There is no right answer to this, but it is the view of the evaluation that the similar results would have been achieved by working in only three countries and two to three cities in each. One fewer country would have reduced transaction costs and the management burden, and slightly fewer cities (6–9) would have increased investment per city.

ACCCRN architecture

ACCCRN, established with a hub-and-spoke form, now has branched spokes. However, the center (the RF ACCCRN team) is the only point at which one can view the whole. This structure has a twin disadvantage: it is not the optimum configuration to stimulate networking and it places the main coordination burden on the RF ACCCRN team.

ACCCRN interaction with partners and grantees is predominantly bilateral. Culturally, ACCCRN has not evolved as a partnership with a sense of mutuality among partners (one of which is the Foundation). Partners generally have not sought to be more networked, and the RF ACCCRN team has not strongly encouraged formation of an inter-dependent cooperative with mutual obligations. It has thus felt a heavier management burden than it might have had with other configurations, with its available human resources stretched. This, in turn, has affected where the RF ACCCRN team has applied its human resources. This means the proposed Strategy and Alignment Group should provide a means for the RF ACCCRN team to shift its attention up the results chain, in order to focus on providing the coherence and coordination needed across ACCCRN for achieving outcomes and impact. This will require first-tier grantees (regional partners and country coordinators) to ensure city-level commit-

ments align with, and perform against, overarching ACCCRN objectives.

The role of country coordinators is critical to the success of ACCCRN. They support cities and link into national policy process. When selecting country coordinators, the Foundation needs to consider the capacity of organizations to provide technical assistance and practical facilitation for cities and to build understanding and respect in the policy domain.

Networking

ACCCRN does not need to form a formal network, but networking – sharing information and services among individuals and groups with a common interest – is a high priority. In its networking efforts, ACCCRN should not duplicate established city, national or international networks but should concentrate on linking ACCCRN cities to existing networks and supporting them in promoting UCCR in these fora.

ACCCRN has made little progress with either a network or networking to date. There is a clear opportunity for ACCCRN to find out more about how and why the Foundation’s Health Systems Initiative’s Joint Learning Network (JLN) works.

A focus on a “cities network” misunderstands how change works, because capacity is built in individuals, who then make changes in systems, and who learn and share. ACCCRN should thus switch its capacity building and networking focus from cities to individuals who are in, and concerned with, cities. They will need process skills to support their embedding UCCR in city systems.

Evidence-based replication

The ACCCRN theory of change involves generation of experience and empirical evidence from 10 cities and using this as a basis for scaling-up. The evidence requires documentation of the cities’ experiences of trying to achieve UCCR. However, there is a paucity of material on ACCCRN. There are a number of lessons here.

- Most partners were not selected for their ability to produce written materials and reflections on experience – they were focused on “doing projects”. The exceptions to this are ISET and the ProVention Consortium, which were selected based on their publications and their potential ability to function as thought leaders in the field and distil lessons learned from field experience.
- Partners were not made aware that ACCCRN would wish to publish the materials that they produced.
- UCCR is a new and evolving field and thus needs “work in progress” outputs, an open source approach to documentation, and avoidance of falling into the trap of the best is the enemy of the good (enough).
- The main writing partner has an academic orientation and is focused on quality rather than quantity.

Responses to the evaluation questions

This chapter relates directly to the evaluation questions in the evaluation's terms of reference. It provides response under five standard evaluation headings: relevance, effectiveness, efficiency, sustainability and impact.

9.1 Relevance

An assessment of the rationale, niche, role, comparative advantage and value added of ACCCRN

- To what extent is ACCCRN based on a sound rationale that fits with need?
- To what extent does ACCCRN have a clear role and comparative advantage the field of urban climate change resilience in developing countries?
- What is ACCCRN's value proposition, and to what extent is it adding this value?

At a macro level, ACCCRN addresses a real need at the conjunction of climate change and urbanization in the developing world. The urban resilience framework developed by ACCCRN presents a clear conceptual model for dealing with this need by considering city systems, vulnerable people and climate effects, and is based on a sound rationale.

At city level, the need is more complicated. ACCCRN has been a pioneer in developing the field of UCCR and the concept of UCCR. The need for climate resilience was not a need cities uniformly expressed during the scoping of ACCCRN. ACCCRN has had to work with cities to build awareness of climate change and its implications, and to then meet the need that heightened awareness and understanding has created. This was an iterative process through the SLDs, and will continue to be so through Phase 3. ACCCRN thus meets a need increasingly felt at city level.

ACCCRN's role and advantage in UCCR is founded on two main strengths. First, development of the shared learning dialogue, a facilitated approach to support cities in

incorporating climate change resilience into the way they think and work. As a multi-stakeholder, spiral (progressive action learning loops) approach, the shared learning dialogue helps cities learn and understand the systems dimensions of climate change. Second, practical studies and pilot projects on climate change risk and response in 10 cities which provide a body of learning and evidence stands to inform UCCR much more widely. It will be critical that this body of experience is well documented, evaluated, distilled and communicated if ACCCRN's comparative advantage in the field is to be properly realized.

9.2 Effectiveness

An assessment of the products and services planned and provided, the changes or outcomes that have occurred, as well as the impact ACCCRN has had on the capacity of individuals, institutions and networks, policies and resources.

Effectiveness in achieving high quality results:

- To what extent has ACCCRN achieved its planned outcomes?
- To what extent have the capacities of individuals, institutions and networks, policies and resources been increased, and to what extent has ACCCRN contributed to these changes?

Effectiveness at the formative stage:

- How effective has ACCCRN been in developing a shared vision for the program with key stakeholders?
- To what extent is ACCCRN based on clear and shared program logic, theory of change and results framework?
- To what extent has ACCCRN provided the planned products and services³⁷ (outputs)?
- To what extent are the products and services:
 - of high quality?
 - of sufficient quantity to bring about change?
- What unexpected direct and indirect positive and negative UCCR changes have occurred as a result of ACCCRN, and what are the lessons derived for this?

In regard to results, this evaluation comes at ACCCRN's chronological mid-point, but planned progress is lagging. This is largely due to a slow and somewhat repetitive phase of city selection. Although the results framework does not give planned achievement dates for outcomes, it is assumed that they are all statements of end-of-project status. It is thus early in ACCCRN's life to see many impacts.

At this formative stage, in relation to effectiveness, it is not clear who "key stakeholders" are. Are they regional partners, country partners, cities, and/or wider donor and government outreach stakeholders? Developing a shared vision among such a diverse group is difficult since, as with the proverbial elephant, the initiative feels different depending on where one is. The vision for a city partner, concerned with developing a resilient city, is different from a thought partner, concerned with developing models

³⁸ Principally, conceptual frameworks for UCCR and resilience strategies.



for UCCR. Nonetheless, most of those involved with ACCCRN would recognize a vision that approximates the aim to “catalyze attention, funding, and action on building climate change resilience for poor and vulnerable people by creating robust models and methodologies for assessing and addressing risk through active engagement and analysis of various cities”.³⁹ The vision of what resilience is may be less clear to many at this stage.

ACCCRN is based upon a clear logic chain, theory of change and results framework. These design, management and monitoring tools are not common currency in the initiative. The use extends only to the RF ACCCRN team and the M&E grantee, with a recent regional grantee grant application aligning itself to the results framework. Most grants were issued before the results framework was formally adopted, and its use by grantees is further hindered by grant letters contracting grantees to deliver activities and some outputs, establishing a disconnect with the results framework.

Good progress has been made on delivering most of the Outcome 1 Outputs. While there has been lesson and knowledge sharing among various actors, progress in delivering Outcome 2 Outputs is limited at this stage. ACCCRN has made progress in expansion through new donor commitments to UCCR, which will lead to new cities addressing climate change resilience themes. They are not yet at a stage where it is possible to say whether they are using ACCCRN-generated knowledge. ACCCRN has yet to gain traction on national funding priorities, although there are cases of good policy alignment, for example the National Target Programme on Climate Change Vietnam.

The main products that ACCCRN has produced so far are from the cities’ Phase 2 shared learning dialogue processes, and documents for the donor meeting in Bellagio. The Bellagio documents, including the Urban Resilience Framework, are clear, concise and appropriate for the audience. ACCCRN should ensure they receive wider circulation, for example through the new website. In making a quality review of a sample of Phase 2 documents, Arup (2010f) found areas of real strength: the capacity and vulnerability assessments in Indore and Surat were comprehensive, using a well-defined and well-applied methodology, and the Hazard Capacity and Vulnerability Assessments in Indonesia were good at identifying areas of urban vulnerability, but also areas of weakness, such as sector studies with generic recommendations that did not link to ACCCRN. In general, they found that documents were not easily accessible, that information sources were lacking, and that there was limited critical analysis.

An absolute judgment on quality is less useful than an assessment of the utility of the products for ACCCRN. Cities have been able to use the products to develop implementation plans and tools. They have yet to be used more widely as part of the

³⁹ www.rockefellerfoundation.org/what-we-do/current-work/developing-climate-change-resilience/asian-cities-climate-change-resilience.

knowledge base on how to approach and achieve UCCR. For this, it is important that process strengths and weaknesses are acknowledged, which means there is need for reflections to accompany the documents.

9.3 Efficiency

An assessment of the use of resources to obtain results including the extent to which the Rockefeller Foundation uses best management and governance practices, and to what extent are those practices providing good value for money.

- Has ACCCRN used program funds efficiently to obtain results and demonstrate value for money?
- To what extent are the human and financial resources appropriate to deliver the ACCCRN strategy?
- To what extent has the Rockefeller Foundation demonstrated best management and governance practices in the oversight and guidance of ACCCRN?

As indicated above, it is quite early in the program to expect results. Thus, efficiency in the use of resources in progressing the initiative to its current status is considered. Fund efficiency was not achieved in the early stages of the initiative, particularly Phase 0/Phase 1. City selection did not make full use of studies from the initial rounds of grants, and some scoping had to be repeated by other grantees. There is a sense that this phase was over-thought, when a more pragmatic selection process would have resulted in a selection equivalent to that taken.

Fund efficiency appears to have been better in Phase 2. Although from an efficiency perspective, it is questionable whether the same results might not have been achieved from eight or nine cities across three countries. Three countries would still have supported the basis for an Asian regional program, but with a lower transaction cost.

Top line figures show that ACCCRN use of Foundation human resources is approximately in proportion to that found in the Health System Initiative. The slightly lower efficiency may be, in part, due to economies of scale. Use of ACCCRN staff time is influenced by the architecture of the initiative, which currently places an operational burden on it as the center of the hub.

While cities seemed to be relatively content with the management of the initiatives, other partners were much more critical. Cities receive relatively close attention and support from country coordinators (a role established relatively recently by the RF ACCCRN team), whereas most other partners interface directly with the RF ACCCRN team. The main critique is one of bilateralism; the RF ACCCRN team working with partners singularly rather than as an execution network, which entails joint decision-making and assessment. ACCCRN has held a series of useful partner meetings, the latest in Bali involving cities, country coordinators and regional partners. However, the coordination with and between partners has been event driven – around these types of meetings – with less multilateral interactivity in the periods between them. The proposed Strategy and Alignment Group aims to address these issues.

9.4 Sustainability

The extent to which ACCCRN develops both financial and/or institutional support to continue the work initiated by ACCCRN.

- To what extent has ACCCRN developed both financial and/or institutional support to continue its work after project funding terminates?
- To what extent are the results ACCCRN has achieved likely to be sustained?

In late 2010, ACCCRN convened a meeting at Bellagio of donors concerned with urban climate change. The outcome of the meeting was an agreement to try to develop a basket fund for UCCR, which would be administered by the ADB. At the time of writing this evaluation report, the fund had indicative commitments of approximately \$200 million. There is significant work to complete to arrive at an operational climate fund, but if and when this occurs, this will be a major achievement. There are also a number of new donor commitments to funding country and city level work, which ACCCRN has helped broker. It has yet to make a mark through policy influence on mobilizing countries' own domestic development budgets for UCCR.

The multi-donor UCCR fund is designed to run beyond the life of ACCCRN, but the real issue is whether the ideas and practices of UCCR will sustain. At the mid-point, it is unclear whether resilience will widely endure as a concept and an aim, or whether it will become subsumed into adaptation. In the 10 ACCCRN cities, a structure that supports a consultative, multi-sectoral approach is likely to be institutionalized – for example Climate Change Coordination Offices in Vietnam, and constituting the City Advisory Committee in Surat as a trust. Accessible public domain knowledge about UCCR will also contribute to sustainability. This depends on the production and dissemination of practical and conceptual materials, active knowledge networks, and involvement at knowledge sharing events. These will be central to the second half of ACCCRN, but at present only limited amounts of documents are in the public domain and the knowledge network is still in conception.

9.5 Impact

The changes in the state and condition of people and the environment in which they live as a direct or indirect result of the work of the Foundation, its grantees and partners. It is generally understood that, in most instances, impact will not be achieved alone by the Foundation and its grantees, but that many others will contribute to this level of change.

- To what extent has ACCCRN achieved its planned outcomes and contributed to its intended impact?
- What unexpected direct and indirect positive and negative UCCR changes have occurred as a result of ACCCRN, and what are the lessons derived from this?

ACCCRN has improved the capacity of some actors in some of the 10 cities to plan climate change resilience strategies. It is too early to say whether their capacity to finance and implement them has been improved. The focus on city capacity may need

revision in light of more recent thinking by ACCCRN about how change happens and is sustained in cities. Cities are administrative and legal entities, building the capacity of a city entity is both hard to measure and overly ambitious within the time and resource envelope available to ACCCRN. A more realistic focus would be on individuals and improving the capacity of a cadre of UCCR champions.

Formative recommendations

ACCCRN is now halfway through its funding period. The global situation with regard to climate change and development has moved on since the Foundation first conceived of the climate change initiative and ACCCRN was established. The evolution and organization of the climate change world has been gathering pace and is catching up to ACCCRN with regard to UCCR. Strategic choices thus need to be made now with respect to where and how to adapt in what is now an expanding field. These recommendations are designed to help the Foundation, the RF ACCCRN team and its partners ensure that ACCCRN delivers the best possible results which have a maximum impact.

10.1 Grant management for initiative-based philanthropy

The Foundation, as with many philanthropic organizations, is in transition from traditional grant-giving – investing in people and ideas – to a more focused, impact-targeting approach. In parallel, it has moved from funding projects and programs to an initiatives paradigm. These transitions affect the nature of the relationship the Foundation has with its grantees. This is not always acknowledged or reflected in the management approach.

Grants architecture has been modified to better suit a results-oriented way of working, for example with initiative results frameworks. However, aspects of older granting behavior remain, with grantees often charged with fairly low-level activity-based deliverables and initiative-wide synergies and objectives not always explicitly included in grant agreements or management processes. The challenge for the Foundation in a results-based management world is to avoid relationships becoming based entirely around performance-based contracts, as this loses the richness of the grantor-grantee association. The aim should be for partnership, with shared, high-level goals at impact and outcome level; the art is balancing results and partnership. The Foundation needs to reflect on how its changing culture and results-orientation affects the relationship with individual grantees and groups of grantees working together through initiatives. It is recommended that:



Recommendation 1

RF senior management should, as a Foundation-wide exercise, review how a results-orientation affects grantee selection, initial negotiation of grantee roles, and the monitoring and management of grantee performance individually and across initiatives; and



Recommendation 2

RF senior management and the grants office should review the content of grant letters to ensure, i) that they articulate and develop grantees' ownership of initiative objectives, and ii) that grantees are obliged to collaborate with other initiative grantees in their delivery. They should also consider how financial resources can be better allocated to results rather than activity deliverables, and payment tranches linked to performance.

10.2 Implementing ACCCRN as a partnership

To address the management and coordination issues in ACCCRN, two main changes are needed – a mechanism for grant portfolio management and partner coordination, and an initiative-wide cultural change towards a more partnership-based way of working, with less reliance on functioning bilaterally. This is not simply a matter of introducing a new set of biannual partner meetings and a social network site. It implies and requires change management. The RF ACCCRN team and ACCCRN grantees must appreciate the changes that established ways of working require.

The culture of the initiative needs to shift towards a greater level of partnership, information sharing and inter-dependence around the shared objectives. One of the strengths of an initiative grant funded by a philanthropic foundation is that, in contrast with government-funded and contract-managed projects, it should support and promote this style of working. The high level of activity orientation in individual grants has perhaps not promoted this.

Clarity is required around roles and the behaviors needed to fulfill these roles. The role of the RF ACCCRN team as an “initiative team” is to provide leadership, to be a custodian of coherence across the initiative, and to monitor progress and achievement towards shared objectives. This role for RF should hold true across initiatives generally. Partners need to own the initiative objectives; understand how their work contributes, inter-dependently with other partners' work, to these shared objectives; and interact and collaborate with other partners in delivering their grant outputs. A platform is required to develop inter-grant synergies and a common approach.

The proposal for an ACCCRN Strategy and Alignment Group (SAG) is therefore timely, but the SAG should avoid becoming a set-piece biannual event. A strong, coordinated partnership will succeed or fail depending on what happens in the interstices. It is therefore recommended that:



Recommendation 3:

ACCCRN Country Coordinators, Regional Grantees and the RF ACCCRN team should focus on developing the SAG as a platform for coordinating partnership, information sharing and inter-dependence that promotes and drives a cultural shift in ACCCRN. All partners should expect to change the way they work; ACCCRN will only succeed with a greater degree of collegiality.

Networking and networks

ACCCRN is not a network; it currently operates more like a program. The theory of change of forming a network of 10 cities across four countries has not proved robust and has not resulted in an active community of practice. Thus, ACCCRN should not target the establishment of a 10-city “ACCCRN network”. Instead, a number of complementary approaches to networking are recommended, to better realize the potential of partners to exchange information and share their learning to promote UCCR approaches.

Supporting better exchange of knowledge between cities within countries should be the main objective for country coordinators. This is already occurring, but learning loops within and between cities need to be reinforced in Phase 3 through a significant face-to-face component, with electronic knowledge management alongside. In particular it is recommended that:



Recommendation 4

The RF ACCCRN team should revise the concept of a “cities network” to target the networking of a growing cadre of UCCR champions (individuals) from a range of stakeholders in the 10 cities and beyond. Appropriate adjustments to the results framework will need to be made by the RF ACCCRN team supported by the M&E grantee

ACCCRN should thus switch its networking focus from cities to individuals in, and concerned with, cities, and work with them to develop process skills that will support embedding UCCR in city systems.



Recommendation 5

The RF ACCCRN team, country coordinators and regional grantees, rather than creating a closed, or ACCCRN-facing, network, should concentrate their efforts on linking champions and city organizations into existing national, regional and international networks on city development and urban climate change.

The RF ACCCRN team can continue to use its brokering and convening powers to do this, and use this brokering and the ACCCRN cities’ membership of other networks to set UCCR agendas for them.

10.3 Leveraging the Rockefeller Foundation's investment

Scaling-Out

The emphasis for the second half of the program must be on scaling-out and amplification. An essential element for pro-poor adaptation interventions to have any impact is for them to be planned and carried out “across scales” (Kuriakose *et al.*, 2009). Scaling ACCCRN may happen in a number of ways. The most likely are:

- horizontal city-to-city spread, e.g. through national city networks
- vertical transfer of concepts and approaches to the national level, which are then spread through their uptake in national programs, leveraging policy and national development budgets
- vertical influencing of international initiatives and conventions, and multi-lateral and bilateral donors, and thereby achieving scale through leveraging their policies and investment.

There is also a hybrid of the second and third points – scaling-out through influencing donor spending at national level, i.e. within country. Some national partners are well placed to lead country-level scaling work, but in other countries, ACCCRN needs to involve specialist policy partners, as it has done in India. There is also space to add value in some structured national-level engagement with respect to emerging donor coordination potential – the potential value-addition would be in influencing the donors with lessons and examples from the cities. These donors might adopt ACCCRN approaches in their own programs or inform government of successful models and approaches through their formal dialogue platforms.⁴⁰ However, there is a need for an overview of scaling and a means to share scaling lessons among partners. It is recommended that:



Recommendation 6

The RF ACCCRN team with relevant grantees and partners initiates the development of a clear strategy for scaling and replication at city, country and international tiers, recognizing complementarity between tiers of activity.

If it is to achieve its design objectives, ACCCRN should avoid mission creep. Nonetheless, the Foundation already has an established presence in Africa through its health and agriculture work and the Nairobi office. There is also Foundation work in the urban sector.⁴¹ The African Development Bank (2011) has just published its Urban Development Strategy which includes as cross-cutting themes: “knowledge generation ... environmental protection and adaptation and resilience to climate change ... and the empowerment of vulnerable segments of the population, as well as the strength-

⁴⁰ Both UNDP and Danida in Hanoi indicated they would encourage and welcome the input of the ACCCRN city experiences into regular dialogues held by donors in the Vietnam CC arena. Through such engagement ACCCRN could contribute to shaping the thinking and coordination of other donors working in the adaptation arena, within Vietnam and beyond.

⁴¹ E.g. *The African Cities Reader*, funded under a Rockefeller Foundation grant. www.rockefellerfoundation.org/news/publications/african-cities-reader-ii-mobilities

ening of the urban-rural linkages.” While ACCCRN should not be distracted from its Asian focus, there is potential for senior management to explore some replication in Africa. The relationship built with the ADB for UCCRP may provide lessons for influencing the AfDB. It is therefore recommended that:



Recommendation 7

Foundation senior management, particularly those in the urban stream, should consider the opportunities in the remainder of the program to leverage ACCCRN lessons to benefit the Foundation’s engagement in Africa.

Evidence – the basis for adoption

Interviewees from both donors and the private sector have said clearly that, before being convinced of the effectiveness of the ACCCRN approach to UCCR and adopting and up scaling it, they would require quantitative evidence, ideally including cost-benefit analyses. There are approaches to cost benefit analysis of adaptation measures (Economics of Climate Change Working Group, 2009), that have been used successfully, even in locations where climate and economic data is sparse. They have developed robust models and quantified the economic costs and benefits of a wide range of adaptation measures. Cost benefit analysis was used in some city resilience strategies (e.g. Semarang), and these and other quantification and monetization techniques could usefully be trialed in ACCCRN’s on-going assessment. It is recommended that:



Recommendation 8

Country coordinators and respective cities, supported by technical assistance from Arup analyze a sample of city initiatives from a cost benefit perspective.

However, monitoring of effectiveness and impact assessment should not fall to the center of ACCCRN alone. It needs to be utilization-focused and of use to city stakeholders as well as the RF ACCCRN team, ACCCRN and more widely, so that cities own the process and the findings. It is recommended that:



Recommendation 9

Country coordinators, drawing on support from Verulam and ISET, should engage the partner cities’ departments charged with monitoring and evaluating city development to promote and support their own assessment of their UCCR initiatives.

This would include engaging with the cities’ approaches and methods (Cities Alliance, 2005), as well as with fora at which civil society and private sector entities are involved in city M&E activity. The ACCCRN city advisory committees and working groups would be an entry point.

Impact measurement needs to be given due attention over the next year, so that data are accumulated for accountability, learning and replication purposes. It was intended that ACCCRN impact assessment would utilize monitoring frameworks from cities’

resilience strategies, but these do not appear to have appropriate monitoring frameworks. It is therefore recommended that:



Recommendation 10

The RF ACCCRN team should devise a means to address the impact assessment gap, which appears to lie beyond both Verulam's routine monitoring grant and the work in ISET's grant on resilience indicators.

To make a summative evaluation of the initiative's impact, data will be needed on, *inter alia*, the proportion of city populations vulnerable to climate change; the well-being status of citizens within ACCCRN cities; and the proportion of poor people within total city populations.

External communications – stimulating uptake

With a body of field-level experience in UCCR, ACCCRN must now focus on capitalizing on this knowledge to support out- and up-scaling. Phase 3 implementation projects should add value to the empirical evidence on UCCR. The remainder of the initiative therefore needs to increase attention to its set of amplification activities, of which external communications are central. Communications will not and should not all be centrally managed from Bangkok. ACCCRN needs to further mobilize the communications power of the partners, but in a coordinated and supported way. This requires both a coordinating device and provision of advice and capacity building. It is thus recommended that:



Recommendation 11

APCO and the RF ACCCRN team should work together to review and revise the overarching ACCCRN Communication Strategy, and agree upon a means by which communications support can be provided to grantees, particularly country coordinators.

10.4 Leaving a legacy

Achieving impact

Most definitions of resilience encompass a social systems dimension. The Rockefeller Foundation mission relates to the well-being of humanity. ACCCRN's ultimate impact entails improving the lives of poor and vulnerable men and women. Yet *citizens* are not at present strongly visible in the initiative. There has been consultation with, and some involvement of, poor communities in Phase 2, though they are less evident in city advisory committees and working groups. Many of the engagement and implementation projects are focused on reducing vulnerability, though not always poverty.

ACCCRN should ensure that communities are involved in implementation projects, and that projects are inclusive and promote the participation of ACCCRN's target groups. Consultation alone, or "planning for" is not deep enough. Just measuring the number of people affected by interventions at project completion will not be sufficient either. It is thus recommended that:



Recommendation 12

The M&E grantees' monitoring team could undertake an assessment of the participation of poor and vulnerable groups (both numbers engaged and quality of engagement) and the extent to which intervention projects incorporate the voices of those groups that ACCCRN aims to benefit.

Exiting ACCCRN

Climate change is not going away. Neither is urbanization. How, or should, the Foundation exit from such a pressing area? Of course, it should not exit from work at the conjunction of climate change and urbanization – two of its priority themes. Rather, it needs to consider how to move on from ACCCRN to other work on urban climate change. This needs to reflect both ACCCRN's assumed successes (its outcomes) and the Foundation's comparative strengths: brokering partnerships and convening stakeholders, agenda setting and influencing policy discourse, and innovation.

The current architecture of ACCCRN is antithetical to an exit that leads to sustainability. The designed reliance on the RF ACCCRN team as the orchestra conductor is a key factor limiting sustainability. The three foci for a sustainable exit must be capacity, access to knowledge, and the presence of other donors capitalizing on the venture capital that the Foundation's investment in ACCCRN represents.

A key ACCCRN contribution to the field will be a body of practical experience from trying to achieve UCCR in 10 cities. Critical to this will be ensuring:

- Phase 3 projects are sufficiently large in scale and financing to invite city-wide attention and achieve scale change
- Phase 3 implementation projects are well supported and conducted, properly reflected upon, suitably recorded and reported upon, with lessons shared.

Therefore, it is recommended that:



Recommendation 13

The RF ACCCRN team should revise its approach to Phase 3 projects, to fund fewer, larger implementation projects with sufficient capacity for reflection and learning.

Part of this will be continued support from country and regional partners – the Phase 3 architecture supports this, although only small amounts of technical assistance are available to cities from the regional partners. To ensure that implementation projects do complete well and are well written up, sufficient time is needed.

The RF ACCCRN team has made a case for additional funding for ACCCRN, requesting a further \$10 million. Already, \$20 million is allocated to the Phase 3 projects, which is appropriate. The RF ACCCRN team says it requires these funds to properly fund its resource brokering, knowledge management, national policy engagement, and communications and dissemination works streams. The ultimate success of ACCCRN is heavily dependent on these outreach and amplification activities. Although the evaluation reviewed individual grant budgets, it did not closely inspect ACCCRN's overall

budget, and is thus not in a position to judge whether \$10 million is a realistic amount to cover more intensive and better quality outreach and amplification.

However in principal, the evaluation is in support of a budget increase. ACCCRN requires both more time and an increase in funding to deliver its objectives. With this extension, the Foundation will have made a knowledge contribution that, if well managed, will be an important public good. It is recommended that:



Recommendation 14

The Foundation extends ACCCRN by one year to ensure Phase 3 lessons are fully reflected upon, documented and shared

This will require the RF ACCCRN team to produce a fully costed proposal for the year's extension and additional activities associated with scaling-up, for scrutiny by Foundation senior management, well in advance of the next Board meeting.

As outlined above, if networking support is refocused on individual champions, then post-ACCCRN, the Foundation may center its investment to UCCR on continued support to this cadre or community of practice, together with drawing on its convening power to continue to influence donor spend on the urban climate change agenda. ACCCRN should aim to leave behind an open source suite of approaches, tools and experiences, and a cadre of resource people with a high degree of climate literacy and a systems orientation. One scenario might be a knowledge hub and an expert cadre, plus limited on-going support to targeted partners and events on the promotion of UCCR.

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