

**Organization of American States:  
Evaluation of the program Sustainable Communities in Central  
America and the Caribbean (SCCAC), phase I and II**

**Final report**

Prepared for the Organization of  
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## Table of contents

<b>Table of contents</b> .....	<b>2</b>
<b>Table of figures</b> .....	<b>4</b>
<b>List of acronyms and abbreviations</b> .....	<b>5</b>
<b>Maps of project sites</b> .....	<b>6</b>
<b>Executive summary</b> .....	<b>8</b>
<b>Summary of achievement of planned results</b> .....	<b>16</b>
<b>Acknowledgements</b> .....	<b>18</b>
<b>Section I: Introduction</b> .....	<b>19</b>
1.1 Project background.....	19
1.2 Evaluation background and purpose.....	20
1.3 Evaluation methodology and approach .....	21
1.4 Reconstructed SCCAC Theory of Change.....	24
<b>Section II: Findings and conclusions</b> .....	<b>26</b>
<b>2. Project relevance: was the program doing the right thing?</b> .....	<b>26</b>
2.1 Alignment to OAS mandates.....	27
2.2 Relevance for strategies of U.S. Department of State.....	27
2.3 Relevance for U.S.-funded initiatives .....	28
2.4 Relevance for project countries’ policy priorities .....	28
2.5 Consistency with Sendai 2015-2030, HABITAT III and World Urban Forum mandates.....	29
2.6 Consistency with United Nations Sustainable Development Goals and the 2030 agenda.....	30
2.7 Compatibility with existing locally funded initiatives to create sustainable communities .....	30
2.8 Compatibility with cross-cutting issue of gender .....	31
2.9 Relevance of project design.....	31
<b>3. Efficiency: were resources used appropriately to achieve project results?</b> .....	<b>33</b>
3.1 Validity of Theory of Change .....	33
3.2 Beneficiary selection criteria.....	36
3.3 Use of good practices and lessons learned for program design.....	36
3.3.1 Overall assessment.....	36
3.3.2 Grand sizes and implementation timeframe.....	37
3.3.3 Conceptual evolution of the program from phase 1 to phase 2.....	38
3.4 Tracking results of training activities.....	39
3.5 Roles and responsibilities in program implementation .....	39
3.6 Program team’s timeliness in program implementation .....	40
3.7 Co-financing and cost per beneficiary .....	40
<b>4. Effectiveness: were program results achieved and how?</b> .....	<b>45</b>
4.1 Achievement of program outcomes .....	46
4.1.1 “Green” employment opportunities .....	46
4.1.2 Communities and institutions fit for urban sustainability?.....	47
4.2 Achievement of outputs.....	48

4.3	Achievement of project results .....	50
4.3.1	Results for women .....	51
4.3.2	Effects of small grants on local communities.....	52
4.3.3	Partnerships among public, private and academic institutions .....	54
4.3.4	Sustainable Cities Course.....	54
4.3.5	Exchange for good practices and lessons learned.....	58
4.3.6	Factors affecting project performance.....	58
<b>5.</b>	<b>Sustainability: are results lasting? .....</b>	<b>60</b>
5.1	Policies, strategies, and frameworks for replication and up-scaling .....	61
5.1.1	How to facilitate sustainability of project results after end of project funding 64	
5.2	Examples for replication and up-scaling.....	65
<b>6.</b>	<b>Conclusions .....</b>	<b>67</b>
<b>7.</b>	<b>Recommendations .....</b>	<b>69</b>
<b>8.</b>	<b>Good practices and lessons learned.....</b>	<b>75</b>
<b>Annex 1:</b>	<b>Terms of Reference.....</b>	<b>77</b>
<b>Annex 2:</b>	<b>List of people interviewed.....</b>	<b>84</b>
<b>Annex 3:</b>	<b>Documents reviewed.....</b>	<b>85</b>
<b>Annex 4:</b>	<b>Evaluation framework .....</b>	<b>93</b>
<b>Annex 5:</b>	<b>Visual observations from the evaluation visits.....</b>	<b>128</b>

## Table of figures

Figure 1: Dashboard of key findings by evaluation criteria and questions .....	14
Figure 2: Dashboard of key program results.....	15
Figure 3: Summary of achievement of planned results: phase 1.....	16
Figure 4: Summary of achievement of planned results: phase 2.....	17
Figure 5: Overview of main evaluation features .....	20
Figure 6: Legend for color coding used.....	23
Figure 7: Reconstructed Theory of Change for the Sustainable Communities Program .....	24
Figure 8: Comparison of Theory of Change elements for projects visited during the evaluation .....	35
Figure 9: Involvement of project partners .....	40
Figure 10: Cost per beneficiary of programs across sectors.....	41
Figure 11: Follow-up funding and economic value of results of selected grant-funded projects of the Sustainable Communities Program, including the use of theoretical attribution for cost-benefit analysis.....	42
Figure 12: Number of direct “green” jobs created in OAS-funded grant projects.....	46
Figure 13: Results of the Sustainable Cities Course on participant’s employment and work environment .....	47
Figure 14: Project managers’ self-assessment of achieving project results.....	51
Figure 15: Results of the Sustainable Communities program as perceived by project managers.....	52
Figure 16: Sustainable Communities projects: Benefits and number of beneficiaries	53
Figure 17: Profile of survey respondents, number per category .....	54
Figure 18: Employment-related changes of sustainable cities course participants.....	55
Figure 19: Changes related to participants’ engagement in the topic of sustainable cities and communities.....	56
Figure 20: Results of pre-course and post-course questionnaire for Sustainable Cities Course in Lima, 2017: high to very high ratings for knowledge .....	57
Figure 21: Results of pre-course and post-course questionnaire for Sustainable Cities Course in Lima, 2017: medium and low to very low ratings for knowledge.....	58
Figure 22: Likely sustainability of project results .....	61
Figure 23: Use of political leverage to facilitate up-scaling of project results .....	65
Figure 24: Overview of the logical flow from key findings to conclusions and recommendations .....	71

## List of acronyms and abbreviations

APG	Agency Priority Goals
D.C.	District of Columbia
DPE	Department of Planning and Evaluation
ECPA	Energy and Climate Partnership of the Americas
EU	European Union
GCCA	Global Climate Change Alliance
HHO	Hydrogen
IREAN	International Renewable Energy Agency
JICA	Japan International Cooperation Agency
KfW	Kreditanstalt fuer Wiederaufbau (German Development Bank)
m	Million
M&E	Monitoring and evaluation
NGO	Non-government organization
OAS	Organization of American States
SCCAC	Sustainable Communities in Central America and the Caribbean
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNEG	United Nations Evaluations Group
U.S.	United States of America
USAID	United States Agency for International Development
USD\$	United States Dollar
WRI	World Resources Institute

## Maps of project sites

Map of the project site visited in the Dominican Republic



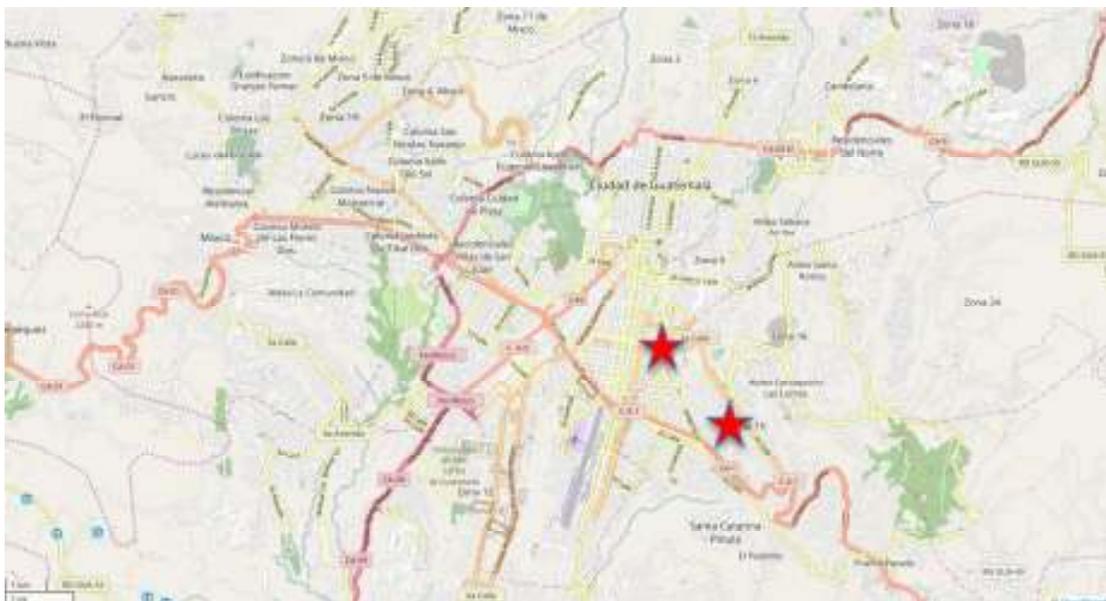
Map of the project site visited in Grenada



### Map of the project site visited in Saint Lucia



### Map of the project sites visited in Guatemala City, Guatemala



## Executive summary

**Purpose:** this document constitutes the evaluation report of the final external evaluation of the Organization of American States' (OAS) program titled "Sustainable Communities in Central America and the Caribbean" ("Sustainable Communities Program" or the "program," as used in this evaluation report).

In line with the approach of the OAS' Department of Planning and Evaluation (DPE), this final evaluation has the goal of capitalizing on experiences of the Sustainable Communities Program for the improvement of future project and program formulations and designs. Besides, the final evaluation aims to systematize and documenting the results of the Sustainable Communities Program.

**Program Background:** The program was implemented in two phases by the Organization of American States between 2012 and 2017 and funded by the United States Department of State with a budget of USD \$ 2.05m. 12 Member States benefitted from grants provided by the program. 1200 people from 13 Member States (including 6 additional countries who did not receive grants: Colombia, Barbados, Ecuador, Jamaica, Panama, Peru) benefitted from the 13 Sustainable Cities Courses where outputs from the grants were disseminated. Participants included 45 scholarship students from 21 countries.

Hemispheric Meetings benefitted from the side meetings to the General Assembly, the World Urban Forum, and the Florida International University's Mayors meeting in Miami, and 3 experts meetings.

The objective of the program was to strengthen the capacities of government agencies, community associations and Non-government organizations (NGOs) in Central America and the Caribbean to build sustainable cities/communities. The thematic focus was on i) sustainable transport solutions; ii) recycling, waste management (including e-waste) and improved wastewater management; iii) increased resilience to natural disasters; and iv) energy efficiency.

**Methodology:** The final evaluation used a theory-based approach, as further specified in the evaluation framework (see Annex 4). The latter contains the evaluation matrix including the sampling approach and project selection criteria, workplan, reconstructed logframe, evaluation questionnaire, evaluation survey and main program stakeholders. Suggested indicators at the outcome level include the co-financing ratio, number of people with access to basic socioeconomic infrastructure, metric tons of e-waste recycled, cubic meters of waste water managed, people benefitting directly from resilience to natural disasters and the number of "green" jobs created.

The final evaluation benefitted from a document review, interviews with key stakeholders, including during four field visits to five project sites and a consultative reporting process with two visits to the OAS General Secretariat. Overall, 21 out of 24 projects were evaluated, 60 stakeholders interviewed and 154 out of 842 participants of the program's Sustainable Cities Courses reached through a survey.

**Limitations:** In the absence of a program logframe, baselines, and targets, assessing the level of achievements is challenging and affects the evaluability of the program.

While the evaluation can make judgments about whether change happened for specific outputs and outcomes, the extent of change is often not measurable. For the program outcome and three outputs related to *capacities, knowledge or dialogue*, the evaluation had to rely on the methodologically less robust technique of memory recall. Points of comparison at the beginning of the interventions, the baselines, were a missing prerequisite. Qualifying the changes detected as part of this evaluation is also challenged by the lack of any specific targets in the project profiles for both phases of the program.

The final evaluation is organized by internationally agreed evaluation criteria of the Organization for Economic Development and Cooperation (OECD): relevance, efficiency, effectiveness, and sustainability. The Criterion of impact was not assessed, in line with the Terms of Reference (ToR) for this evaluation. Related evaluation questions show the following results summarized below and also presented in an evaluation results dashboard in Figure 1 after this executive summary.

**Relevance: the Sustainable Communities Program is doing the right thing.**

**Strategic fit:** The Program took a strategic approach by focusing on sustainable settlements even before the 2030 agenda with SDG goal 11 on sustainable cities emerged. The OAS was dovetailing the program in the Rio+20 sustainable development process and formed part of new urban agenda of Habitat III and Sendai. The program was linked to the mandates of the OAS and to some extent to the U.S. Department of State. Relevance shows for the Department of State and USAID's Agency Priority Goals (APGs) on advancing low emissions climate resilient development. However, the APG had no specific focus on issues of urban or community sustainability.

The final evaluations finds that the program was compatible with local and international initiatives and policy priorities in many countries such as Antigua and Barbuda, Belize, Costa Rica, El Salvador, Honduras, Guatemala, Nicaragua and Trinidad and Tobago. Policy frameworks were often not in place in the program countries during project implementation and OAS was "ahead of its time." At sub-national level, however, cases show were councils were well beyond national policy and legislative requirement.

The **program design** was good overall but for the lack of a logframe and results framework. Having 13 Sustainable Cities Courses across the sub-regions and even in Colombia and Ecuador served as a vehicle to share experiences between grant-funded projects. This knowledge sharing and capacity building element proved to be one of the design strengths of the program. The grant sizes of USD \$ 50.000 (phase 1) and USD \$ 40.000 (phase 2) were sufficient for piloting innovations, given the limited absorption capacity of many of the counterparts managing the grants in the Member States. The one-year timeframe for grant implementation was tight, particularly to establish tripartite partnerships in phase 2. The transition between phase 1 and 2, however, was suboptimal with options for projects funded under phase 1 to apply for scaling pilots insufficiently communicated. While up-scaling was not the main focus of phase, it fitted well conceptually and also reflects the expectations of the current U.S. mission to the OAS.

**Efficiency: the evaluation finds that the program used resources appropriately to achieve project results**

The program is strongest in the development of a competition-based matching-grant selection process and criteria with clear roles and responsibilities for timely program implementation.

The co-financing ratio of USD \$ 1: USD \$ 1.49 for grant projects due to co-financing by project partners and other donors appears high. A grant scheme without a matching approach would have likely resulted in a ratio of USD \$ 1\$: USD \$ 0. The cost per beneficiaries of USD \$ 7.19 compares favorably to USD \$ 50 per beneficiary for USAID nonemergency food aid, USD \$ 80 for conditional cash transfer programs mainly in Latin America or USD \$ 206 to USD \$ 354 for World Bank development projects in Asia. In average the program managed to save 63% of costs per Sustainable Cities course (spending \$12.750 instead of \$35.000 per each of the 12<sup>1</sup> courses).

*Efficiency of program concept and management:* the validity of the program's theory of change is mainly given, and the program design is comprehensive. The only main elements missing from the project design are an overarching logframe and accompanying results framework to facilitate monitoring. Both are standard tools for international development cooperation interventions. However, those tools were not OAS requirements at the time of program design and the project team did not consider to include them either. The conceptual evolution from phase 1 to phase 2 was well designed, but implementation through ambiguous communication and political challenges was suboptimal concerning the scaling of pilots supported in phase 1. The final evaluation finds that results of training activities were not systematically tracked.

**Effectiveness: project results were largely achieved, with tripartite partnerships playing an important role as a success factor**

At the *outcome level*, at least 48% of projects (ten out of 21) show stronger capacities of their respective community associations, NGOs or municipalities (Phase 1: 33% (4 out of 12); phase 2: 67% (6 out of 9)). This compares to 71% project teams reporting strong to very strong results for institutional capacity strengthening in a self-assessment (15 out of 21).

Green employment opportunities constitute one measurable outcome level indicator and results are moderate. Communities and institutions however benefitted from program support through the grant projects resulting in institutional strengthening. The latter finding is particularly valid for phase 2 with its tripartite partnership approach and through the Sustainable Cities Courses for sharing experiences where the evaluation showed high levels of institutional strengthening than for projects supported in phase 1.

At the *output level*, the project documentation foresaw the funding of 20 grant-funded projects in total while 24 received funding (output 1, phase 1 and output 4, phase 2).

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<sup>1</sup> By the time of the main evaluation phase, 12 courses had been implemented and are covered in this evaluation report. A thirteenth course was held in May/June 2017 in St. Kitts and Nevis.

Output 2, phase 1: The concept of Sustainable Cities Courses served as a plan for knowledge exchange, learning and enhancing technical capacities of institutions, as foreseen in output 2. However, the implementation of the plan only started in phase 2 reaching over 1000 participants during 13 courses in Central America, the Caribbean, Colombia and Ecuador.

Output 3, phase 1, output 5, phase 2: On the program management side, the evaluation confirms that phase 1 underwent an internal review of projects with all project partners involved to analyze results and share lessons. An external evaluation was not foreseen in the project profile.

At the beginning of phase 2 the program disseminated results from phase 1.

Project administration was strong, tracking disbursements and budgets while at the same time of seeking successfully opportunities for cost-savings. On the planning and monitoring side, the lack of a program logframe and accompanying results framework inhibited results-based management and affected the evaluability of the program.

Output 1, phase 2: The Sustainable Cities Course had this output at its heart and strengthened “Sub national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance”. Besides, all projects of phase 2 were conceptualized to use a tripartite approach, resulting in sub-national dialogue.

Output 2, phase 2: The program successfully facilitated knowledge sharing and lessons learning from the grant-funded projects. Case studies from the 14 projects funded in phase 1 were documented, underwent internal review and got disseminated. Case studies were also systematically used in Sustainable Cities courses. Participation in high-level dialogue for example in Municipal Dialogue on Urban Sustainability and Governance in coordination with Florida International University also contributed to this output.

Output 3, phase 2: To showcase and demonstrate the utility of advanced technologies that contribute to urban sustainability, the program supported the eco-citizen map of Medellin, Colombia. While this served for the program to keep engaging in high-level dialogue on sustainable cities, the grant-funded projects benefitted to a lesser extent. With ten out of 19 project teams unable to comment on the output.

Project outputs were largely achieved in 22 out of 24 projects, according the project reporting with high to very high satisfaction rates in 17 out of 19 projects.

The positive results of projects on local communities seem mainly limited to the project given the comparatively small grant sizes. Results for women are moderate are not yet scaled or replicated beyond project areas. In Phase 2 the set-up of tripartite partnerships took time, but efforts paid off to embed projects in the local or national institutional and policy frameworks.

The ***Sustainable Cities Course*** seems particularly successful for knowledge increase (for example 80.5% high to very high ratings for building sustainable cities and communities) but also in changing practices: 66.2% of surveyed participants do things differently in their jobs after the Sustainable Cities Course based on learning from grant funded projects. 96.7% of participants would recommend the course to a colleague.

**Sustainability: in the absence of political engagement the sustainability of project results is still weak, despite a more positive self-assessment by project managers**

The evaluation finds that to date the sustainability of the Sustainable Communities Program is unsatisfactory in most areas. Exceptions are i) the scaled and self-sustaining operations of EMPRESOL in Honduras; ii) Fundación Solar developing the engagement with the Municipality of Guatemala City gradually beyond the Department of Innovation; and iii) CAREL replicating its community-based micro-hydroelectric initiative in 42 villages in the Dominican Republic. The evaluation also found the potential for replication of the Grenada Project in St. Kitts and Nevis. The majority of project managers are confident that policies, strategies, and frameworks are in place to sustain projects results and that results are likely to last. Field visits showed that this self-assessment might be overly positive while the **potential for sustainability** is certainly given in many projects. The sustainability of project results can be facilitated through political engagement (for example in Grenada, Guatemala, and Saint Lucia), but this is not on the agenda of the program towards the end of funding.

**Recommendations**

Based on the above key findings, the evaluation draws conclusions, leading to a set of targeted, actionable and time-bound recommendations. The logic between key findings, conclusions, and recommendations is transparently mapped in Figure 24. The evaluation recommendations are listed below:

R 1: OAS General Secretariat: With Sustainable Cities now being part of the 2030 agenda and the SDG's it is recommended for the OAS to keep engaging in the topic and not to lose its seat on the front benches of discourse and action in the Western Hemisphere. **Priority: Very high** (next 3 months).

R 2: OAS General Secretariat: Any grant-funded program dealing with innovation need to be embedded in an institutional framework. Tripartite partnerships serve as a good practice for this purpose. While engaging the public sector can initially slow down pioneers pushing the frontiers of sustainable development, it is public institutions, policy frameworks and rules and regulations that need to be considered for innovation to be scalable or replicable. **Priority: Medium** (next 12 months).

R 3: OAS General Secretariat: For piloting innovation the program concept can be used again without major changes. For the replication or up-scaling of innovation, a longer time horizon (2 years) and twice the grant size might be required per project (about USD 100.000), given the difference in resource requirements between developing and innovating and scaling and replicating an innovation. **Priority: Very high** (next 3 months).

R 4: Department for Sustainable Development: showcase in the OAS the program concept of the Sustainable Communities Program for grant selection processes as a good practice worth replicating. **Priority: High** (next 6 months).

R 5: U.S. Department of State: It is recommended to maintain investments at similar levels in OAS programming on sustainable settlements, both urban and rural. **Priority: Very high** (next 3 months)

R 6: Department for Planning and Evaluation: DPE should make the use of logframes and results frameworks as a mandatory requirement with the aim to improve results-based management of projects/programs and to facilitate evaluations. **Priority: Very high** (next 3 months)

R 7: Project team: Every new project should use a logframe and results framework while DPE works on making those tools mandatory in the OAS **Priority: Very high** (next 3 months)

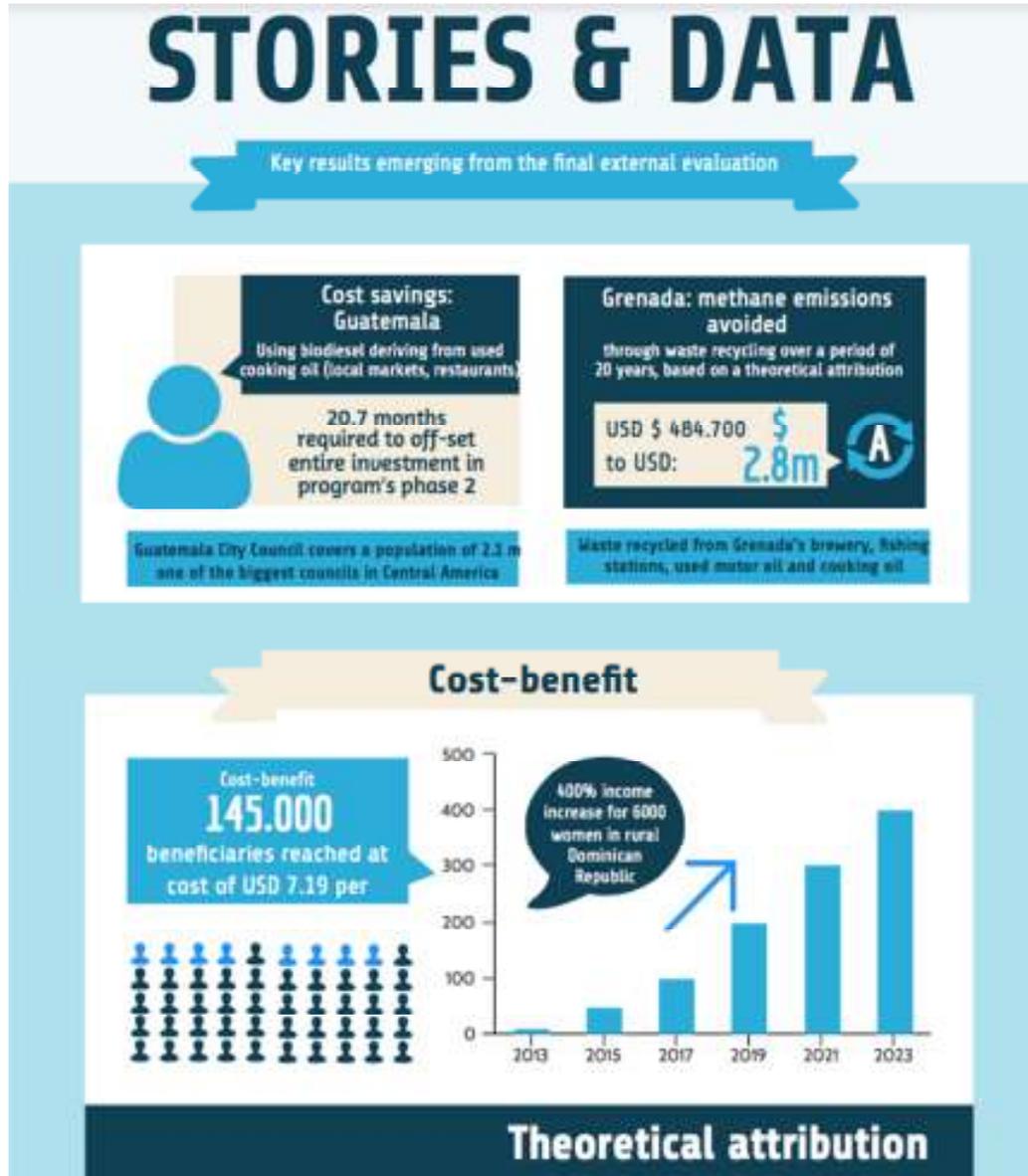
R 8: Department for Planning and Evaluation: Guidelines including a semi-standardized pre-test/ post-test assessment template with a standardized assessment scale for all OAS training activities should be made mandatory as part of good program management practices. **Priority: Very high** (next 3 months)

R 9: OAS General Secretariat and Missions to the OAS: Grant-funded programs should be accompanied by some level of political support to complement OAS' technical expertise. Strategically, this can be provided by the OAS representation in a Member State, Missions of Member States from beneficiary countries to the OAS or the U.S. Mission to the OAS. Opportunities include the presentation of project results to national/local authorities to discuss practical steps of replication or up-scaling. **Priority: Very high** (next 3 months)

Figure 1: Dashboard of key findings by evaluation criteria and questions

Criteria	Assessment	Rationale
Relevance		<p><b>The Sustainable Communities Program is doing the right thing.</b></p> <ul style="list-style-type: none"> <li>• Strategic approach focusing on sustainable settlements even before the SDG's with goal 11 on sustainable cities emerged;</li> <li>• Dovetailing in Rio+20 process and formed part of new urban agenda of Habitat III and Sendai;</li> <li>• Linked to the mandates of the OAS and to some extent to the U.S. Department of State;</li> <li>• Compatible with local and international initiatives in at least eight countries.</li> </ul>
Efficiency		<p><b>Overall, the program used resources appropriately to achieve results</b></p> <ul style="list-style-type: none"> <li>• The program is strongest in the development of grant selection process and criteria with clear roles and responsibilities for timely program implementation;</li> <li>• Co-financing appears high with a 1\$: 1.49\$ co-financing ratio for grant projects by project partners and other donors; cost per beneficiaries of USD \$ 7.19 compares favorably to programs of USAID and World Bank;</li> <li>• The validity of the program's theory of change is mainly given, and the program design is comprehensive;</li> <li>• The conceptual evolution from phase 1 to phase 2 was well designed, but implementation was suboptimal concerning facilitating scaling of pilots supported in phase 1;</li> <li>• Results of training activities were not systematically tracked.</li> </ul>
Effectiveness		<p><b>Program results were largely achieved, with tripartite partnerships playing an important role as a success factor</b></p> <ul style="list-style-type: none"> <li>• <b>Outcome level:</b> at least 48% of projects (ten out of 21) show strong capacities of their respective community associations, NGOs or municipalities; green employment opportunities are moderate while institutional capacities of communities and institutions jointly benefitted from program support through the grant projects. The latter is particularly valid for phase 2 with its tripartite partnership approach and through the Sustainable Cities Courses for sharing experiences;</li> <li>• <b>Output level:</b> Out of the total of seven outputs, 4 were fully achieved and 3 partly achieved. The positive effects of projects on local communities seem mainly limited to the project sites given the comparatively small grant sizes. Results for women are moderate.</li> <li>• Project outputs were largely achieved in 22 out of 24 projects, with high to very high satisfaction rates in 17 out of 19 projects;</li> </ul>
Sustainability		<p><b>In the absence of political engagement, the sustainability of project results is still weak, despite more positive self-assessment by project managers</b></p> <ul style="list-style-type: none"> <li>• The majority of project managers are confident that policies, strategies, and frameworks are in place to sustain projects results and that results are likely to last. Field visits showed that this self-assessment might be too positive;</li> <li>• The sustainability of project results can be facilitated through political engagement, but this is not on the agenda of the program towards the end of funding;</li> <li>• To date, three examples emerge of replication or up-scaling of projects funded under the Sustainable Communities Program with sustainability of project results possible in 22 of 24 projects</li> </ul>

Figure 2: Dashboard of key program results



## Summary of achievement of planned results

In line with recent good practices of the OAS' Department for Planning and Evaluation, this section highlights the achievement of planned program results.

Figure 3 and Figure 4 below summarize the achievements of the program for phase 1 and 2 at the outcome and output level. Section 3 "effectiveness" of this report further analyzes program performance.

**Figure 3: Summary of achievement of planned results: phase 1**

Planned results	Achievements
<p><b>Phase 1:</b></p> <p><b>Purpose (outcome):</b> Community associations and NGOs in Central America and the Caribbean have strengthened their capacities to build sustainable cities/communities based on (i) improved access to basic socioeconomic infrastructure; (ii) recycling of e-waste and improved wastewater management; (iii) increased resilience to natural disasters; (iv) energy efficiency and (v) "green" employment opportunities</p>	<p>The evaluation validated increased capacities in four out of the 14 projects. 6 out of the 10 projects teams reached made a positive or very positive self-assessment.</p> <p>(i) Out of the three projects addressing sustainable transport solutions, two projects struggled to achieve the desired results (in St. Kitts and Nevis and Trinidad and Tobago) and one project team was not reached; (ii) Two out of the four projects on waste management showed positive results for institutional strengthening Grenada and Honduras and with one project in Belize encountering challenges and another project team not reached for the evaluation; (iii) the evaluation was unable to verify institutional strengthening in the three projects on resilience to natural disasters with two out of the three projects providing positive self-assessments and one project team not reached; (iv) Two out of the four projects on clean energy and energy efficiency show institutions strengthened (Dominican Republic and Guatemala), while another two projects provided a positive self-assessment; (v) Green employment opportunities seem limited and field visits showed little evidence.</p>
<p><b>Output 1:</b> Matching grants awarded to civil society organizations (community associations, NGOs, etc.) in Central America and the Caribbean to finance implementation of 12 subprojects and community collaborative partnerships for socioeconomic analysis of infrastructure and services, and productive, market-oriented investments and tools in sustainable cities/communities, energy efficiency and eco-efficiency.</p>	<p>14 instead of 12 grant matching projects were implemented in phase 1 given the available budget. Initially 25 projects were planned at USD \$ 25.000 per projects but this budget was deemed too low and was revised in dialogue with the U.S. Mission to the OAS.</p> <p>The total operational budget was USD \$ 902,260, with USD \$ 421,072 spent on grants.</p>
<p><b>Output 2:</b> Institutional Capacity building plan implemented in Central America and the Caribbean resulting in knowledge exchange, technical assistance and capacity building on sustainable cities/communities, energy efficiency, and eco-efficiency delivered through related meetings held by key players in urban renewal.</p>	<p>The concept of Sustainable Cities courses served as a plan for knowledge exchange, learning and enhancing technical capacities of institutions. Subsequently, in phase 2 of the program the plan was implemented and 13 such courses were undertaken reaching over 1000 participants.</p>
<p><b>Output 3:</b> M&amp;E, Dissemination of Results, and Project Administration (procurement, disbursement, and audits).</p>	<p>Phase 1 underwent an internal review of projects with all project partners. An external evaluation was not foreseen in the project profile. On the planning and monitoring side, the lack of a program logframe and accompanying results framework inhibited results-based management. Ultimately this limitation also affected the evaluability of the program.</p>

**Figure 4: Summary of achievement of planned results: phase 2**

Planned results	Achievements
<b>Phase 2:</b>	
<b>Purpose (outcome):</b> Community associations and municipalities have strengthened their capacities to build sustainable cities/communities	Capacities of community associations or municipalities seem stronger in six out of the ten projects <sup>1</sup> , as externally validated. All 9 project teams reached state strong to very strong results based on a self-assessment.
<b>Output 1:</b> Sub national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance strengthened.	This output was achieved, being part and parcel of the processes planned for projects under phase 2. All projects were conceptualized to use a tripartite approach, resulting in sub-national dialogue. Capacities were built through “learning by doing” and involvement in sustainable cities courses. Both processes enabled also peer-learning.
<b>Output 2:</b> Knowledge sharing facilitated and lessons learned from U.S.-supported sustainable city demonstration projects in the Americas disseminated. Case studies and lessons learned from 14 demonstration projects supported in Phase I of the Project will be disseminated.	Case studies from the 14 projects funded in phase 1 were documented, underwent internal review and got disseminated. Case studies were also systematically used in Sustainable Cities courses. This contributed to lesson learning through targeted knowledge sharing. Participation in High-level dialogue for example in Municipal Dialogue on Urban Sustainability and Governance in coordination with Florida International University also contributed to this output.
<b>Output 3:</b> Utility of advanced technologies that contribute to urban sustainability showcased and demonstrated	Under output 3 the eco-citizen map of Medellin, Colombia was supported. While this served for the program to keep engaging in high-level dialogue on sustainable cities, the grant-funded projects benefitted to a lesser extent. With ten out of 19 project teams unable to comment on the output.
<b>Output 4:</b> Matching grants awarded to Public Private Partnerships to finance implementation of 8 subprojects and community collaborative partnerships for socioeconomic analysis of infrastructure and services, and productive, market-oriented investments and tools in sustainable cities/communities, energy efficiency and eco-efficiency.	Ten rather than 8 projects were implemented using a tripartite approach. The funds available for grant projects decreased from 69.9% in phase 1 to 45.2% in phase 2 while the overall operational budget increased by 3%. The focus of the projects coincides with the specificities for output 4 in the project profile.
<b>Output 5:</b> M&E, Dissemination of Results, and Project Administration (procurement, disbursement, and audits).	The program disseminated results from phase 1. Project administration was strong, tracking disbursements and budgets while at the same time of seeking successfully opportunities for cost-savings. On the planning and monitoring side, the lack of a program logframe and accompanying results framework inhibited results-based management and affected the evaluability of the program.

## Acknowledgements

The evaluator would like to thank the U.S. Mission to the OAS, DPE and the project team for unconditional support during this evaluation. Demands were often accommodated at short notice.

Project teams in beneficiary countries and participants of the Sustainable Cities Course made their time available to interact with the evaluator, at times positively surprised since for many their engagement with the OAS was less than recent. The OAS's endeavors for learning and accountability were cherished.

The project teams met during field visits made great efforts to accommodate the evaluator's requirements. Visiting pioneers pushing the frontiers of sustainable development of communities and cities was a privilege and it is hoped that their successes and challenges are constructively presented in this evaluation report.

## Section I: Introduction

This document constitutes the evaluation report of the external evaluation of the Sustainable Communities Program. The program was implemented by the Organization of American States between 2012 and 2017 and funded by the United States Department of State.

### 1.1 Project background

As stated in the ToR for this evaluation “The SCCAC program addresses the challenges associated with rapid urbanization, in terms of infrastructure and housing, common spaces and sustainable transportation, the prevention and correction of pollution, the disposal of industrial and electronic waste, the promotion of pollution free consumption habits, and the management of sustainable technologies. Furthermore, the accelerated pace of urbanization is creating new forms of social and economic marginality that nurture crime and violence at epidemic levels. Cities often expand beyond their planned limits, and official and informal systems to provide water, sewerage, waste disposal, and other common services to these areas tend to be insufficient and inefficient. Moreover, cities are responsible for as much as 80 percent of global greenhouse gas emissions while at the same time city residents face significant impacts from climate change.

According to recent studies, Latin America and the Caribbean have the highest rate of urbanization in the developing world. The proportion of the region's population living in cities doubled from 41% to 80% in the last 60 years. Likewise, economic activity in the region is significantly concentrated in its urban areas. Consequently, the OAS and its members recognized the need to implement actions to build and promote the creation of sustainable cities in the hemisphere, as reflected in the Summit of the Americas on Sustainable Development, held in Santa Cruz de la Sierra, Bolivia, December 1996. In this context, the Department of Sustainable Development of the OAS has been working with member States on four areas under the sustainable cities theme: economic development, housing, pollution prevention and environmental protection, and sustainable transport. As a result of these efforts, two projects worth a little over US\$2 million have been executed to date”.

#### **SCCAC Phase 1: Sustainable Communities in Central America and the Caribbean (SID-1203) (US\$1.04 million)**

The objective of Phase 1 was to strengthen the capacities of government agencies, community associations and Non-government organizations (NGOs) in Central America and the Caribbean to build sustainable cities/communities based on i) improved access to basic socioeconomic infrastructure; ii) recycling of e-waste and improved wastewater management; iii) increased resilience to natural disasters; iv) energy efficiency

#### **SCCAC Phase 2: Sustainable Communities in Central America and the Caribbean (SID-1305) (US\$1.01 million)**

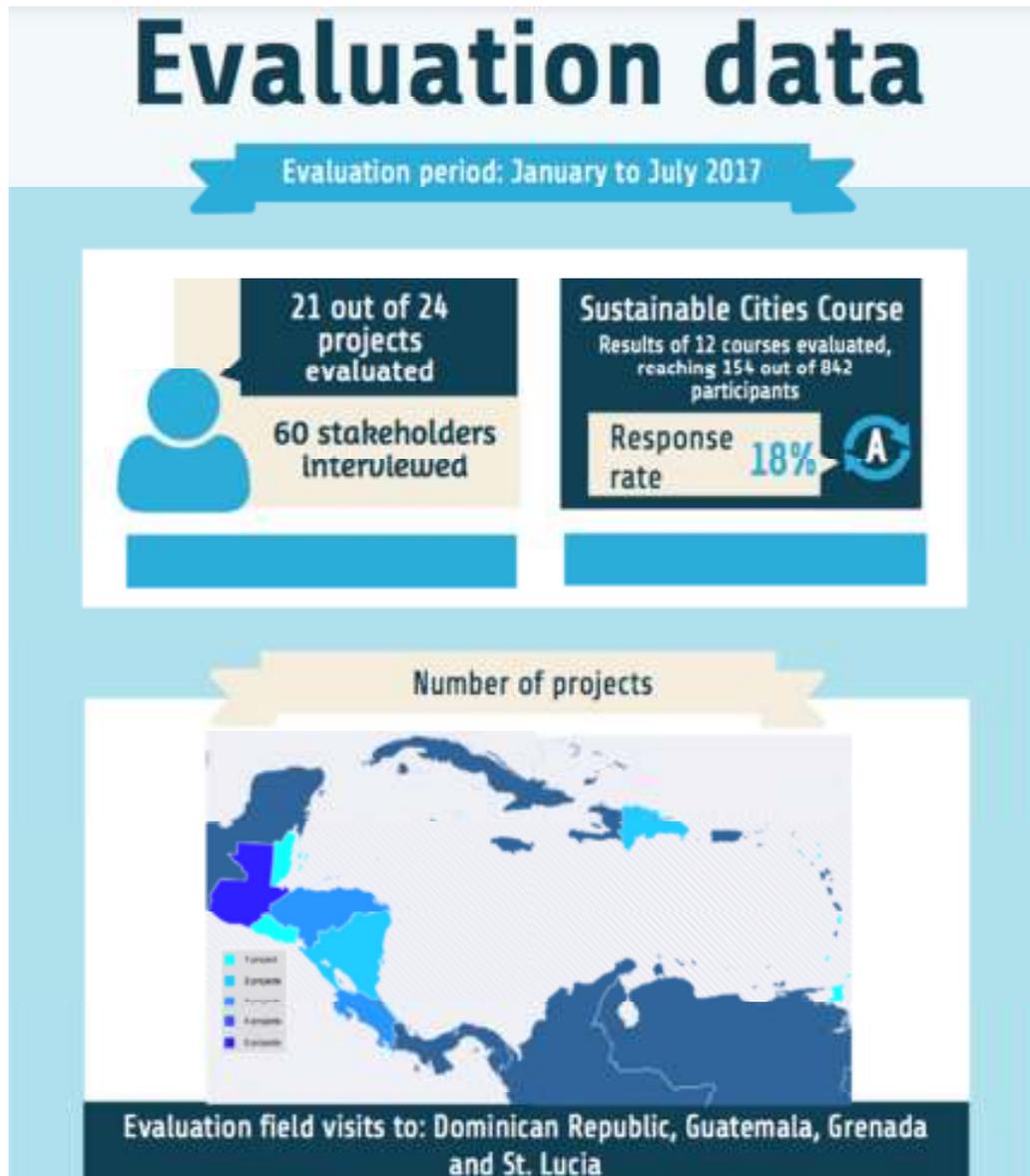
The objective of Phase 2 was to strengthen the capacities of community associations and municipalities in order to build sustainable cities and communities, through the support of i) a national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance; ii) knowledge sharing; iii) showcasing

of advanced technologies that contribute to urban sustainability; and iv) a matching grant program awarded to Public Private Partnerships<sup>2</sup>.

## 1.2 Evaluation background and purpose

Figure 5 highlights the main evaluation data for this evaluation

Figure 5: Overview of main evaluation features



The evaluation Terms of Reference (ToR)<sup>3</sup> clearly outline the background of this evaluation: "At the request of the US Permanent Mission, the Department of Planning

<sup>2</sup> Referred to as tripartite partnerships in this evaluation report, based on current practices in the OAS.

<sup>3</sup> Secretary General of the Organization of American States: Project evaluation. Terms of Reference. Evaluation of the Efficiency and Effectiveness of the Sustainable Communities Program. Page 2.

and Evaluation (DPE) is coordinating an external assessment of the program Sustainable Communities in Central America and the Caribbean (SCCAC), phase I and II. This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programs executed by the OAS (...) These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and program formulations and designs, and institutionalizing good practices in monitoring and evaluation within the Organization".

The purpose of the evaluation can be summarized as follows:

- Conduct a formative and summative evaluation, as it is necessary, to identify the main achievements and results of the projects.
- Determine the relevance of the projects vis a vis the OAS mandates and priorities in the countries benefited by the interventions.
- Determine the efficiency and effectiveness of the projects as best reflected in the available results.
- Critically analyze the formulation, design, implementation, and management of the projects and make recommendations as needed.
- Assess the institutional and financial sustainability of the interventions financed by the projects.
- Document lessons learned related to the formulation, design, implementation, management, and sustainability.
- Make recommendations, as appropriate, to improve the formulation, design, and implementation for future similar interventions.
- Assess if and how the projects addressed the crosscutting issue of a gender perspective and to what results.

The program was evaluated along the lines of the internationally applied evaluation criteria of relevance, efficiency, effectiveness, and sustainability. The criterion of impact was not applied, as foreseen in the ToR.

The primary clients for this evaluation are the OAS, the U.S. Department of State (the donor), OAS Member States as well as the program beneficiaries.

### **1.3 Evaluation methodology and approach**

The OAS's Department of Planning and Evaluation selected an external evaluator for the final evaluation of the Sustainable Communities Program with no previous involvement in the program design or implementation. This selection complies with the United Nation's Evaluation Group's Evaluation Norms 5 on impartiality to ensure independence and avoid bias.

The final evaluation of the Sustainable Communities Program was undertaken between January and July 2017.

The evaluation methodology and approach are explained in detail in the evaluation framework developed as part of the evaluation's inception phase and agreed with DPE. Annex 4 contains the framework. The comprehensive evaluation framework contains the evaluation matrix, including the sampling approach and selection criteria,

workplan, reconstructed logframe, evaluation questionnaire, evaluation survey and main program stakeholders.

The following evaluation tools and processes are used for this evaluation:

1. Document review;
2. Conference calls with the principal stakeholders and assess more accurately the scope of the work and request the necessary information to perform effectively;
3. Theory of Change, verified with project team in OAS (via telephone);
4. Program evaluation questionnaire for individual interviews during the field visits to up to four program countries;
5. Use of the same questionnaire for telephone interviews with stakeholders in the other program countries and other relevant program stakeholders;
6. Survey to cover projects not included in the sample for site visits or telephone interviews (using questions from questionnaire);
7. Survey to graduates and other beneficiaries of capacity building activities;
8. Presentation of emerging evaluation findings to OAS (mid-term report), following the field visits and data analysis;
9. Draft evaluation report for feedback to OAS;
10. Finalization of evaluation report and presentation to OAS in Washington D.C.

Following the approval of the evaluation framework five projects were selected for a field visit based on a comprehensive set of selection criteria. Those projects are listed below:

- **Dominican Republic: Project No 1, Phase 1 - CAREL**
- **Guatemala: Project No 3, Phase 2 - Fundación Solar**
- **Saint Lucia: Project No 7, Phase 2 - The Saint Lucia National Trust**
- **Grenada: Project No 13, Phase 1 - The Grenada Project**
- **Guatemala: Project No 8, phase 2 - Universidad Galileo**

The evaluation report draws to a significant degree from evidence collected during the field visits, taking place in March and April 2017<sup>4</sup>. The evaluator interviewed 60 stakeholders in total. 154 out of 842 participants of the program's Sustainable Cities Courses were reached through a survey, with a response rate of 18%.

For the Sustainable Communities Program 22 project teams managed the 24 grant-funded projects, given that one organization implemented one consecutive project receiving funding during Phase 1 and Phase 2 of the program and one organization implemented two different projects. Ultimately, it was possible to include 21 out of the 24 projects in the evaluation. Due to the time lag since the finalizations of the projects and staff turn over, the evaluation was unable to reach three projects teams.<sup>5</sup>

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<sup>4</sup> The evaluator visited projects in Guatemala and the Dominican Republic from March 19 to 25, 2017. The projects in Saint Lucia and Grenada were visited between April 10 and 19, 2017

<sup>5</sup> Those projects not responding to repeated invitations and additional engagement by the OAS program team are:

- St. Kitts & Nevis, Project 7, Phase 1. Hope Nevis Inc.
- Costa Rica, Project 8, Phase 1. Centro de Derecho Ambiental y de los Recursos Naturales (CEDARENA)-Fundación para el Desarrollo Urbano(FUDEU)

Hence the sample size for this evaluation is 19 when referring to project teams, as three projects teams were unreachable<sup>6</sup>.

Telephone interviews with project managers further complemented the evidence base from the field visits and the evaluation survey.

For a clear evaluation of program performance, the evaluation report uses color coding to assess the program according to evaluation criteria and sub-criteria, as determined in the ToR and agreed in the evaluation framework. This approach is taken from the United Kingdom’s Independent Commission for Aid Impact and adapted for the OAS (see Figure 6).

Color coding translates to scores which are un-weighted. This approach allows to aggregate results of scoring sub-criteria for scoring the evaluation criteria linked to the main evaluation questions<sup>7</sup>.

**Figure 6: Legend for color coding used**

Color coding	Explanations
	Green: Strong achievement across the board. Stands out as an area of good practice where OAS is making a significant positive contribution. Score 76 to 100 out of 100.
	Green/amber: Satisfactory achievement in most areas, but partial achievement in others. An area where OAS is making a positive contribution but could do more. Score 51 to 75 out of 100.
	Amber/red: Unsatisfactory achievement in most areas, with some positive elements. An area where improvements are required for OAS to make a positive contribution. Score 26-50 out of 100.
	Red: Poor achievement across most areas, with urgent remedial action required in some. An area where OAS is failing to make a positive contribution. Score: 0-25 out of 100.

• Costa Rica, Project 4, phase 2, Municipality of Desamparados

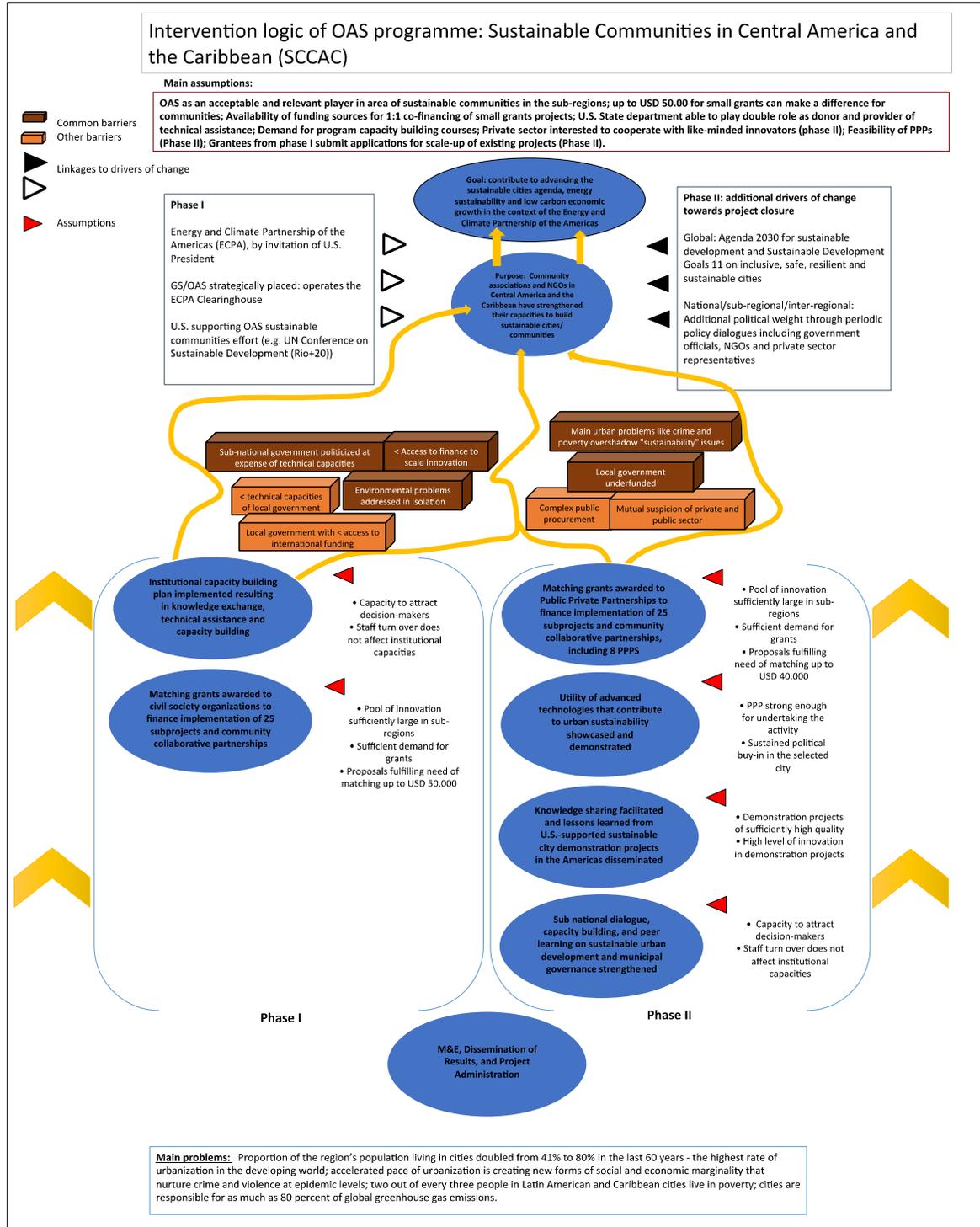
<sup>6</sup> 22-3=19

<sup>7</sup> Scores: Green: 4, green/amber: 3, amber/red: 2 ; red: 1; the sum of sub-criteria is divided by the total number of sub-criteria times 4. Multiplication times 100 results in the score for evaluation criteria.

## 1.4 Reconstructed SCCAC Theory of Change

The evaluation consultant reconstructed an intervention logic for the Sustainable Communities Program, a so-called "Theory of Change," as presented in Figure 7.

Figure 7: Reconstructed Theory of Change for the Sustainable Communities Program



The Theory of Change identifies the main problems to be addressed by the program, followed by the outputs of Phase 1 and Phase 2 combined with specific assumptions. The pathways from outputs to outcomes (purpose) and impact (goal) are mapped, including barriers for the overall program and others related a specific thematic program areas. Outputs, outcome, and impact are presented in blue ovular shapes. Drivers of change external to the program are identified at the outcome and impact level. The program's main assumptions are listed on top of the diagram.

## Section II: Findings and conclusions

### 2. Project relevance: was the program doing the right thing?

This section explores the strategic fit of the Sustainable Communities Program with the mandate of the OAS, strategic priorities of the funder U.S., the United Nations 2030 Agenda on sustainable development and international urban initiatives. The relevance for national policies and local initiatives is assessed followed by relevance for gender. The section closes with a review of the design of the Sustainable Communities Program. The comprehensiveness of this sections responds to the emphasis given in the evaluation Terms of Reference and the evaluation framework.



#### **Key findings: The Sustainable Communities Program was doing the right thing.**

##### The Program:

- Took a strategic approach focusing on sustainable settlements even before the 2030 agenda with SDG goal 11 on sustainable cities emerged
- Was dovetailing in Rio+20 process and formed part of new urban agenda of Habitat III and Sendai
- Was linked to the mandates of the OAS and to some extent to the U.S. Department of State
- Was compatible with local and international initiatives and policy priorities in many countries (in Antigua and Barbuda, Belize, Costa Rica, El Salvador, Honduras, Guatemala, Nicaragua and Trinidad and Tobago) but less so in Dominican Republic, Grenada, Saint Lucia, and St. Kitts and Nevis
- The program design was good overall but for the lack of an overarching logframe and accompanying results framework.
  - The grant sizes were sufficient for piloting innovations and the one-year timeframe for grant implementation tight, particularly to establish tripartite partnerships in phase 2.
  - Having the Sustainable Cities Courses as a vehicle to share experiences between grant-funded projects proved to be one of the design strengths of the program
  - However, the transition between phase 1 and 2 was suboptimal with options for projects funded under phase 1 to apply for scaling pilots insufficiently communicated

The evaluation finds that the Sustainable Communities Program was doing the right thing. Based on the evaluations' scoring methodology<sup>8</sup>, the score of the Sustainable Communities Program's relevance is "green" (77 out of 100<sup>9</sup>), showing a strong performance for seven out of nine sub-criteria. The program design stands out as an area of good practice where OAS is making a significant positive contribution.

The testimonial below from a Sustainable Cities Course participant from El Salvador showcases the positive assessment.

<sup>8</sup> applied by the UK's Commission for Aid Impact, see for example <http://icai.independent.gov.uk/wp-content/uploads/ICAI-Review-UK-aids-contribution-to-tackling-tax-avoidance-and-evasion.pdf>

<sup>9</sup> Scores by sub-criteria: green: 4, green/amber: 3, amber/red: 2; red: 1

“During the Sustainable Cities Workshop in Guatemala, I got in touch with Person X (name anonymized), of the Association “In Peace with the Environment” of Guatemala, who jointly with the Ministry of Environment of that country promotes the Initiative of Electro-mobility - Green Zone GT. One year later we managed to get coordinated, having given the talk "Climate Change and Electro-mobility" on March 3, 2017, to the climate change team of that Ministry and on March 5 at EXPOMOTRIZ, 2017 (a motor trade fare in Guatemala). Moreover, we are coordinating to open the Salvadoran chapter of the Association “In Peace with the Environment”, to replicate this model in El Salvador.

Source: Program stakeholder from El Salvador



## 2.1 Alignment to OAS mandates

The Sustainable Communities program aligns closely to OAS mandates. In fact, Article 2 of the 1948 Charter of the Organization of American States calls for economic and social development in the Member States, as does Article 95, Chapter XIII. Article 34 calls for Urban conditions that offer the opportunity for a healthful, productive, and full life.

More concretely, the plan of action for the sustainable development of the Americas (1996) refers to four areas under “Sustainable Cities”. Those areas include economic development (initiatives 32 to 35), housing (initiatives 36 to 40), pollution prevention and environmental protection (initiatives 38 to 45), and sustainable transport (initiatives 43 and 46).

At least nine other OAS Declarations, resolutions, plans of action, reports and follow-up papers also refer to issues of sustainability, sustainable development or new and renewable energy sources<sup>10</sup>.



## 2.2 Relevance for strategies of U.S. Department of State

The Sustainable Communities program partly contributed to the 2011-2016 Strategic Plan of the U.S. Department of State and the U.S. Agency for International Development<sup>11</sup>. Among the seven pillars of the U.S. foreign policy at the time, the OAS program contributed to pillar 2, “Assisting developing nations to build their own capacities, address their own problems, and move their people out of poverty.” The Sustainable Communities Program also contributed to the Department of State and USAID’s Agency Priority Goals (APGs) on advancing low emissions climate resilient development. At the time the Strategic Plan of the U.S. Department of State and the

<sup>10</sup> *Declaration of Santo Domingo for the Sustainable Development of the Americas. OEA/Ser.K/XVIII.2, CIDI/RIMDS-II/DEC.1/10*

- Follow-up and implementation of the mandates of the Declaration of Commitment of Port of Spain of the Fifth Summit of the Americas AG/RES. 2634 (XLI-O/11).
- Declaration of Commitment of Port of Spain. Securing Our Citizens' Future by Promoting Human Prosperity, Energy Security, and Environmental Sustainability. Fifth Summit of the Americas, Port of Spain, Trinidad and Tobago, 2009.
- Plan of Action of the First Summit of the Americas held in Miami in 1994.
- Report of the First inter-American Meeting of Ministers and High-Level Authorities on Sustainable Development within the Framework of CIDI, AG/RES. 2312 (XXXVII-O/07).
- Declaration of Panama: Energy for Sustainable Development, AG/DEC. 52 (XXXVII-O/07), 5 June 2007.
- Strategic Plan for Partnership for Integral Development 2006-2009 Adopted by the General Assembly at the fourth plenary session, held on June 6, 2006 (AG/RES. 2201 (XXXVI-O/06).
- AG/RES. 2253 (XXXVI-O/06) Support for the Use of New and Renewable Energy Sources.

<sup>11</sup> 2011-2016 Strategic Plan Addendum for the U.S. Department of State and the U.S. Agency for International Development <https://www.state.gov/s/dmr/qddr/185613.htm>

U.S. Agency for International Development did not have a specific focus on issues of urban or community sustainability.



### 2.3 Relevance for U.S.-funded initiatives

The link between the Sustainable Communities Program seemed to be strongest with the U.S. Environment Protection Agency's (EPA) Building Blocks for Sustainable Communities and Climate Showcase Communities programs. The OAS was keen to learn from the EPA's experience given the similarities of the programmatic concept and the scale of grants. In this process, the project designers identified themes relevant for the sub-regions following discussions with EPA. Subsequently, the EPA was also represented on the OAS Steering Committee for the Sustainable Communities Program.

The OAS' Sustainable Communities Program cooperated with the US Citylinks Program through the city to city peer learning for example at the program's Sustainable Cities Course organized in Guatemala. The program involved the director of the IDB's Emerging and Sustainable Cities Platform in coordination activities from the beginning.

Linkages with other US-funded programs such as the U.S. Secretary of State's Global Partnership Initiative on Accelerating Market-driven Partnerships were less evident. While the program aimed for engagement no suitable opportunities emerged.

The Sustainable Communities Program was purposefully designed to strengthen the capacity of NGOs and community associations in Central America and the Caribbean to build sustainable communities in the context of the Energy and Climate Partnership of the Americas (ECPA). The clearinghouse of the ECPA is also located in the OAS.

Other relevant donor programs with relevance for individual demonstration projects included the following: i) UN Habitat- Participatory Slum Upgrade Programme and EU GCCA projects (Trinidad and Tobago), ii) UNDP funded initiatives for Sustainable Development, for example on Terrestrial and Marine Protected Areas (Belize), iii) the Japanese Development Agency (JICA) on integrated solid waste management in Honduras or iv) the Irish NGO Trocaire for risk management and land management in Nicaragua.



### 2.4 Relevance for project countries' policy priorities

In many program countries policies, rules, and regulations regarding elements of sustainable cities or communities are under development. In Guatemala, for example, the external evaluator met the person in charge in the Ministry of Environment to develop Guatemala's "Green Seal" ("Sello Verde" in Spanish), a certificate for businesses applying environmentally friendly measures.

Demonstration projects like the two projects on biodiesel and hydrogen (HHO) visited during the evaluation in Guatemala show how important national policies, rules, and regulations are to further incentivize the application of environmentally friendly measures. Ultimately this is likely to ensure sustainability of all demonstration projects.

While the OAS could be characterized as being "ahead of its time" with policy frameworks often not in place in the program countries during project

implementation<sup>12</sup> such policies, rules and regulations are actively being influenced by some program-funded demonstration projects. The external evaluator experienced that process through the active engagement of authorities as project counterparts, information exchange and the provision of evidence from the projects. The latter is the case in the biodiesel and hydrogen (HHO) projects in Guatemala both at the level of national and local government.



## 2.5 Consistency with Sendai 2015-2030, HABITAT III and World Urban Forum mandates

The Sustainable Communities Program's thematic focus "resilience to natural hazards" is consistent with the Sendai Framework for Disaster Risk Reduction 2015-2030, despite having started three years before its adoption by the international community.

The Sendai Framework calls for "the public and private sectors and civil society organizations, as well as academia and scientific and research institutions, to work more closely together and to create opportunities for collaboration (...) <sup>13</sup>". This fully coincides with the approach of the Sustainable Communities Program even beyond its thematic focus "resilience to natural hazards."

Again, the Sustainable Communities Program shows consistency with another global milestone, the World Urban Forum (Medellin, 2014) and its New Urban Agenda. The program coincides with the call for "sustainable urban development, based on urban planning that promotes youth participation, gender equality, and balanced territorial development; strengthened resilience to climate change and natural disasters; (...) access to safe, affordable, accessible and sustainable transport; and access to safe public spaces and services for all<sup>14</sup>.

Habitat III further shaped the New Urban Agenda with an implementation plan. The New Urban Agenda was adopted at the 68th Plenary Meeting of the 71st Session of the General Assembly, held on 23 December 2016<sup>15</sup>. It explicitly acknowledges sub-national and local governments as key players in addition to national governments. This approach coincides again with OAS's Sustainable Communities Program, and a thematic overlap is also given<sup>16</sup>.

Steering Committee members are impressed with the OAS' strategic and forward-looking approach for the Sustainable Communities Program, as shown in the box below.

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<sup>12</sup> The project team commented that despite mandates being in place since 1996, national policies might lag behind in project countries. However, the project team stressed that mayors throughout Latin America and Parish Councils in the Caribbean are forging ahead well beyond national policy and legislative requirement. This is highlighted mainly through the sustainable cities courses completed to date where mayors are very competitive to be the most "greenest".

<sup>13</sup> Paragraph 7, page 10.

<sup>14</sup> World Urban Forum (Medellin, 2014): New Urban Agenda, item d).

<sup>15</sup> <http://habitat3.org/wp-content/uploads/New-Urban-Agenda-GA-Adopted-68th-Plenary-N1646655-E.pdf>

<sup>16</sup> The overlaps shows in Paragraph 13 a) (mobility and transportation), Paragraph 13 d) (resource efficiency), Paragraph 13 f) resource-efficient transport systems, Paragraph 13 g) (disaster risk reduction a, energy and air quality and resilience, Paragraph 13 h) minimize environmental impact

"The OAS provided space for sustainable cities and the Americas spearheaded this agenda."

"The Rio+20 dialogue initiated a whole set of new thinking e.g. around SDGs; OAS firmed up that issue of environmental thinking and set a development agenda in urban settings".

Source: Program Steering Committee members

The program dovetailed into high priority areas that were not even decided when the program was planned, as also referred to under the section 2.6.



## **2.6 Consistency with United Nations Sustainable Development Goals and the 2030 agenda**

When the OAS Sustainable Communities Program was designed in early 2012, the United Nations Member States still worked towards the Millennium Development Goals. Sustainable cities or communities were not a separate goal and only addressed under “environmental sustainability (goal 7) and more specifically target 7d with a focus on slum dwellers.

The 2030 agenda and the related Sustainable Development Goals, suddenly put sustainable cities into the spotlight. Goal 7 is exclusively dedicated to cities and how to make cities inclusive, safe, resilient and sustainable. It seems that the OAS Sustainable Communities Program and its funder, the U.S. Mission to the OAS foresaw the importance of sustainable cities and communities three years before the rest of the international community did.



## **2.7 Compatibility with existing locally funded initiatives to create sustainable communities**

The Sustainable Communities Program focused on innovative thematic areas where often no significant locally funded initiatives existed before. Examples include waste recycling in rural southern Belize or transportation planning in the capital of St. Kitts and Nevis. The OAS supported pioneers in many demonstration projects and took a calculated risk. The two examples mentioned before are projects that were not finalized while this was the case in all other 22 projects achieving largely the expected outputs.

Where initiatives existed such as the growing policy interest in sustainable communities in the depressed areas of east Port of Spain (Trinidad and Tobago), the initiatives have been traditional and conservative.

Up to four years after the end of projects of Phase 1, locally funded initiatives are increasingly visible for sustainable communities development. One example is the Antigua and Barbuda Adaptation Fund, making available USD 3.000.000 for loans to low-income households. One funding stream enables the purchase of solar panels, following demand for loans raised in less affluent neighborhoods during the OAS project.

The effectiveness section of this report will showcase the relevance and importance of an international organization such as the OAS with U.S. funding pushing the sustainable urban and rural community agendas.



## 2.8 Compatibility with cross-cutting issue of gender

For phase, I of the program, the project profile (2012) shows that gender was considered as a cross-cutting issue, mainly related to the Millennium Development Goals. For Phase II, the project profile (2013) includes a section on gender perspective. The project design encouraged grant proposals not just to ensure the involvement of women but to specify "how development issues look into the differences that urban or community problems have affected men and women differently"<sup>17</sup>. As targets in general, specific gender-related targets are absent from the project profiles,



## 2.9 Relevance of project design

The five members of the Steering Committee responding to interviews for this evaluation were satisfied both with the quality and quantity of proposals to choose from. For Phase 1 for example over 55 proposals were submitted and 14 eventually selected for funding. The regional distribution of proposals even from small island nations and the even coverage of the four thematic pillars was encouraging.

The project funding of USD 50.000 in phase 1 and USD 40.000 in phase 2 seem sufficient to get "projects of the ground" or to "cause little sparks." The call for proposals caught the attention of some innovative projects, as recalled by members of the Steering Committee and witnessed by the external evaluator during field visits.

A budget frame of USD 100.000 with fewer projects funded would have allowed increasing the scope of projects and the likelihood of sustainability. Hiring international consultants for some of the projects would have been possible for larger projects. However, the evaluation showed how this challenge was overcome with using local expertise for example in the rural Dominican Republic (hydropower) or through access to national universities in Guatemala (biodiesel and hydrogen/HHO).

Having the Sustainable Cities Courses as a vehicle to share experiences between grant-funded projects proved to be one of the design strengths of the program. Involving project teams including at a more junior level and linking those to urban sustainability concepts at the international level was a conceptually a clear value added for the program. High-level dialogue through international meetings was another entry point for the program to lift country experience to the international level and to remain at the forefront of shaping the agenda on sustainable cities and communities in the Western Hemisphere.

Overall, the evaluation finds that the level of ambition of the program was very high for phase 1 but largely realistic. For phase II, a stronger commitment to scaling up projects could have contributed to maintaining the very high level of ambition.

The level of complexity of the program is well captured in the box below.

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<sup>17</sup> OAS General Secretariat. Department of Planning and Evaluation. Project profile, CODE SID1305. PROJECT NAME Sustainable Communities in the Americas – Phase 2 page 23

“Innovation is difficult, change is hard to implement. It requires breaking up monopolistic, predatory behavior and requires people set in their ways to change their behavior”.

Source: Program stakeholder

As expected results of behavior change often show only years after the end of a development intervention. This evaluation managed to capture some of those changes given the time lag between the end of project implementation and the timing of the evaluation.

### 3. Efficiency: were resources used appropriately to achieve project results?

This section analyses the Sustainable Communities Program's efficiency based on a set of sub-criteria. Those sub-criteria suggested in the ToR and fine-tuned in the evaluation framework include i) the validity of the Theory of Change; ii) beneficiary selection criteria; iii) the use of good practices and lessons learned from program design including an overall assessment, the grant sizes, and implementation timeframe, and the conceptual evolution of the program from phase 1 to phase 2; iv) tracking results of training activities; and v) roles and responsibilities in program implementation, including timeliness. The section closes with an analysis of cost-effectiveness based on selected grant-funded projects.

#### Key findings: Overall, the program used resources appropriately to achieve results

- The program is strongest in the development of a competition-based matching-grant selection process and criteria with clear roles and responsibilities for timely program implementation; the 2-person project team was stretched but managed the project well
- The co-financing ratio of 1\$: 1.49\$ by project partners and other donors appears high for grant projects; In average the program managed to save 63% of costs per Sustainable Cities course (spending \$12.750 instead of \$35.000 per each of the 12 courses); cost per beneficiaries of USD \$ 7.19 compares favorably to USD \$ 50 per beneficiary for USAID nonemergency food aid, USD \$ 80 for conditional cash transfer programmes mainly in Latin America or USD \$ 206 to USD \$ 354 for the World Bank's Development projects in Asia
- The validity of the program's theory of change is mainly given, and the program design is comprehensive. The only main elements missing from the project design are an overarching logframe and accompanying results framework to facilitate monitoring, however not OAS requirements at the time of program design;
- The conceptual evolution from phase 1 to phase 2 was well designed, but implementation through ambiguous communication was suboptimal concerning the scaling of pilots supported in phase
- Results of training activities were not systematically tracked.



The evaluation finds that the Sustainable Communities Program used resources appropriately to achieve project outcomes and outputs. Based on the evaluations' scoring methodology<sup>18</sup>, the score of the Sustainable Communities Program's efficiency is "green" (83 out of 100<sup>19</sup>), showing strong achievement across eight out of the nine sub-criteria. The program implementation processes constitute a good practice where OAS is making a significant positive contribution.



#### 3.1 Validity of Theory of Change

<sup>18</sup> applied by the UK's Commission for Aid Impact, see for example <http://icai.independent.gov.uk/wp-content/uploads/ICAI-Review-UK-aids-contribution-to-tackling-tax-avoidance-and-evasion.pdf>

<sup>19</sup> Scores by sub-criteria: green: 4, green/amber: 3, amber/red: 2; red: 1

The OAS did not require a Theory of Change at the design of the Sustainable Communities Program. However, the evaluation reconstructed such a theory to explicitly map key elements of the program such as the main problems, assumptions, drivers of change and the intervention logic from outputs to outcomes and impact. Figure 7 contains the reconstructed Theory of Change.

As part of testing the validity of the program's Theory of Change, the evaluation consultant discussed selected elements with program teams during the field visits to the five projects<sup>20</sup>.

The overall results show a good complementarity between the Theories of Change at project level and the program level Theory of Change. The assumptions for phase 1 and phase 2 are largely valid.

The program attracted sufficient matching grant applications, the pool of innovation was sufficiently large, and tripartite partnerships were strong enough in the projects visited to complete the activities. Demonstration projects also were of sufficient quality to serve the purpose of knowledge sharing.

Figure 8 shows some elements of the Theory of Change from the perspectives of demonstration projects.

The **problems** are formulated much more specifically, as expected to fit the logic of the individual projects. In some projects, more than one problem is addressed. For example in project No 3, Phase 2 combining the problems with disposing of used cooking oil with addressing diesel pollution in Guatemala City. Another case is the use of waste from breweries and fishing stations in Grenada for the production of an alternative animal feed in Grenada. The link between green waste recycling (and also rainwater harvesting and solar energy) and coastal protection in Saint Lucia is less direct.

The **barriers** identified at project level largely overlap with those presented in the program's Theory of Change: capacity issues in local but even national government, lack of technical expertise in local government, complex public governance (beyond procurement) and suspicion between the private and public sector.

In fact, the evaluation showed for projects from Phase 1 that suspicion between the OAS funded projects and the public sector prevails.

Those reservations have consequences for the **drivers of change outside the projects**, meaning processes or structures in place to catalyze the achievement and to some extent the sustainability of project results. Those drivers of change are rather weak in projects visited from Phase I, while the tripartite-partnership element applied for selecting projects for Phase II clear address this issue.

The role of U.S. environmental policies and commitments emerges as a driver for change for the project in Saint Lucia, the U.S. being considered as a standard setter and promoter of good environmental practices.

Figure 8 uses a color-coding to underscore the strengths of the drivers of change<sup>21</sup>. The figure highlights the differences between projects from phase 1 and 2, given the changes in project selection criteria between the phases.

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<sup>20</sup> identified in the inception stage for this evaluation (see evaluation framework in Annex XX).

<sup>21</sup> Green: strong; Yellow: medium; Red: weak

Figure 8: Comparison of Theory of Change elements for projects visited during the evaluation

		Main problems	Barriers	Drivers of change (beyond OAS project funding)
Clean Energy and Energy Efficiency	<b>Dominican Republic, project No 1, Phase 1 CAREL</b>	<ul style="list-style-type: none"> <li>No access to national electricity grid for rural population (up to 1m people, about 10% of the country's population)</li> </ul>	<ul style="list-style-type: none"> <li>At national government level, more interest in high volume projects</li> <li>National government's Rural and sub-urban electrification unit (UERS) only entry point in government (but underused in project)</li> <li>Weak local government structures in rural areas</li> </ul>	<ul style="list-style-type: none"> <li>Non outside the most resilient communities</li> </ul>
	<b>Guatemala, project No 3, Phase 2 Fundacion Solar</b>	<ul style="list-style-type: none"> <li>Public transport with old and highly polluting diesel bus fleet (52% built before 2000)</li> <li>Cooking oil disposal in markets causing problems (clogged pipes, smell, water pollution)</li> </ul>	<ul style="list-style-type: none"> <li>Lack of knowledge about feasibility of new technologies</li> <li>Public partner: Only in-kind support possible, staff shortages, complex bureaucratic procedures, slow execution capacity</li> <li>Suspicion of private sector: did not want municipality to get too close</li> </ul>	<ul style="list-style-type: none"> <li>Strong public-private partnership between municipality (now beyond Department of Innovation) and the social and environmental commitments of the privately owned Guatemala Electricity Company</li> <li>Waiting for Municipal Green Seal to be launched by municipality: for innovation to be embedded in wider institutional framework</li> </ul>
Resilience to Natural Hazards	<b>Saint Lucia, project No 7, Phase 2 The Saint Lucia National Trust</b>	<ul style="list-style-type: none"> <li>Environmental damage to south coast following heavy flooding in 2013</li> <li>Green waste recycling: Limited landfill capacities on small island state clogged up</li> </ul>	<ul style="list-style-type: none"> <li>Ministry for sustainable development downgraded to a department, losing influence in the government</li> <li>Municipalities cannot share or scale practices without the ministry of local government leading</li> </ul>	<ul style="list-style-type: none"> <li>Saint Lucia's commitments to COP21 climate summit in Paris (2016)</li> <li>U.S. environmental policies and commitments giving legitimization</li> </ul>
Waste management	<b>Grenada, project No 13, Phase 1 The Grenada Project</b>	<ul style="list-style-type: none"> <li>Small Island state with the main landfill getting clogged up</li> <li>Monopoly for animal feed production</li> </ul>	<ul style="list-style-type: none"> <li>Government's lack of appreciation of innovation/lack of understanding (beyond few individuals)</li> <li>Government not catalyzing project in its initial stage but freezing it for two years</li> <li>Threats from monopoly holder</li> </ul>	<ul style="list-style-type: none"> <li>Commitment from other donors to keep funding</li> </ul>
Sustainable Transport Solutions	<b>Guatemala, project No 8, phase 2 Universidad Galileo</b>	<ul style="list-style-type: none"> <li>Public and private transport with old and highly polluting diesel vehicles</li> </ul>	<ul style="list-style-type: none"> <li>Attitude of decision makers and public transport professionals towards innovation: suspicion and fear</li> </ul>	<ul style="list-style-type: none"> <li>Ministry of Environment and Natural Resources: National Green Seal to be developed by the end of 2017 and incentive for scaling new technology</li> <li>Ministry of Environment and Natural Resources: clean air policy</li> <li>Motivational boost: International scientific community testifying that approach to measurements and reduction of emissions in less developed countries is an exception</li> </ul>



### 3.2 Beneficiary selection criteria

Project selection was competition-based, requiring grant matching for phase II. For the project selection, the OAS used a Steering Committee for both phases of the Sustainable Communities Program. Members of the Steering Committee changed in the course of the program and were constituted by relevant technical experts from public and private sector organizations, including the U.S. Department of State, USAID, World Resources Institute (WRI), the International Renewable Energy Agency (IREAN) and the University of the West Indies.

The beneficiary selection criteria are transparently listed in the call for proposals and seem appropriate. Both administrative and technical aspects are covered under a total of eleven criteria.<sup>22</sup> In phase 2 of the program, the OAS further engaged the Steering Committee “to guide the OAS Sustainable Cities Program on a course towards greater impact, promoting innovation, and to assure that resources are mobilized and deployed towards projects that reflect the lessons learned from successes and failures”<sup>23</sup>.

Interviews with five out of ten Steering Committee members were possible during the evaluation and pointed towards a professional (rather than political) use of the project selection criteria.

Given the comparability small sizes of grants and the overall modest program budget, the program’s efforts seem extraordinary for ensuring that the highest possible quality proposals got rewarded with an OAS grant. The Sustainable Communities Program approach to beneficiary selection criteria, the selection process involving a Technical Steering Committee and competition-based matching grants is worth replicating across other grant-based programs in the OAS and constitutes a good practice.

### 3.3 Use of good practices and lessons learned for program design



#### 3.3.1 Overall assessment

The program design is comprehensive and follows OAS requirements at the time. The evaluation finds that the project design is good quality. Its comprehensiveness surprises for the total amount of funds invested in the program.

Good practices are reflected in the project design. Those practices include a:

- Dedicated and hands-on team in the OAS Secretariat;
- Well-reputed Steering Committee for project selection;
- Component of knowledge sharing through the sustainable cities course; and
- A well maintained public website, including regular project reports as a means to show maximum transparency.

Making project documentation publically available on a program’s website is the absolute exception rather than the rule in international development programs and the OAS and its project team are commended for this example of transparency.

The only main elements missing from the project design are an overarching logframe and accompanying results framework to facilitate monitoring. Both are international

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<sup>22</sup> Criteria include for example needs identified, project rationale, impact, innovation, sustainability, inclusion and gender sensitivity.

<sup>23</sup> OAS General Secretariat (2013), Sustainable Communities Project, Phase II. Project profile, page 25.

good practice, facilitate results-based program management and subsequent evaluation processes.

While a logframe was not required by OAS standards at the time of the project design or developed by the project team in order to monitor the progress of the projects, the latter made use of this management tool for the grant-funded projects. Applying it also to the program level would have supported results-based program management and facilitated the final evaluation of the program.



### 3.3.2 Grand sizes and implementation timeframe

The grant size of USD \$ 50.000 per project in phase 1 and USD \$ 40.000 per project in phase 2 seemed enough to lighten "little sparks," to share the risk of developing or testing innovations. For the projects visited, the grant size was adequate and did not overburden the absorption capacity of small NGOs, academic institutes or foundations.

The one-size-fits-all approach taken in both phases of the Sustainable Communities program was commented upon by one Steering Committee member and project teams as a missed opportunity to distinguish between the different natures of projects funded. In fact, the evaluation framework developed for this evaluation distinguishes the demonstration projects as pilots, systemic engagement, strategy development, research, and capacity building.

The financial requirement for experimenting and further developing innovations such as measuring emissions from diesel motors operating with hydrogen (HHO) technology in eight buses seems different from projects implementing already scalable solutions such as small hydropower turbines in 45 communities reaching over 13.000 rural people without access to the national electricity grid.

The two-phased approach taken by the Sustainable Communities Program was suggested to give justice to different project requirements and to have a merit-bases approach in place for high performing projects to also allow for replication or up-scaling. However, as mentioned in section 3.3.3 below, the implementation of this option did not yield the expected results.

The one-year timeframe was overall adequate but at times extended, mainly due to challenges in engaging the public sector in phase 2 of the program.



The National Trust of Saint Lucia is an interesting case where the one-year timeframe was much appreciated. The Trust was established in 1975 with a mandate to conserve the natural and cultural heritage of Saint Lucia. The OAS Sustainable Communities Program was an opportunity for the conservation organization to venture into new areas of work. At the same time this constituted a risk for a more traditionally conservation-oriented organization.

The interest of new partners appeared, and that was much appreciated. However the OAS grant "moved us away from our core mandate." Hence a shorter-term project was appreciated for "not being distracted for too long" but to complement other workstreams. The evaluation visit showed that still not all OAS funded elements are fully implemented (e.g. connection of solar panels to the national grid), justifying a slightly longer implementation timeframe.

In hindsight, 1.5 years to 2 years for project implementation would have been more adequate, particularly when involving tripartite partnerships.



### 3.3.3 Conceptual evolution of the program from phase 1 to phase 2

A critical element in the project design was the transition between phase 1 and 2. To some extent, the project profile of phase 1 seems more coherent and focused than the project profile for phase 2. Adding on a project element to showcase and demonstrate the utility of advanced technology contributing to urban sustainability added less value at the level of projects, as experienced during evaluation field visits while evidence emerges of its appreciation at international level. In any case, scarce project resources were spread even more thinly by adding this element.

The project profile (2013) for phase 2 states some differences between both phases, particularly the focus on tripartite partnerships, being on the top of the list. The up-scaling of existing projects figures under point seven out of ten points, towards the end of the list. For the U.S. Mission to the OAS, phase 2 provided a clear opportunity to support the up scaling projects funded under the first phase and expectations were raised accordingly. From a project design perspective, support to up-scaling is a logical step to further nurture and strengthen the sustainability of “the seeds sown” during phase 1 of the program. However, for the project team community capacity strengthening remained the main focus of phase 2 as determined in the project profile<sup>24</sup>.

The project profile (2013) for phase II states that “Current grantees will be allowed to submit applications for scale-up of existing projects” (page 25). In the briefing interview with the external evaluator, the U.S. Mission to the OAS underscored the importance of facilitating the scale-up of projects of Phase I. However, only one project was selected for continued funding. When interviewing project partners of phase I, many were unaware of being eligible for submitting a proposal for phase II. Project partners pointed to shortcomings in OAS' communication to clearly state the eligibility of projects funded in Phase I for applying for funding for scale-up.

Conceptually the program evolved, and lessons from Phase 1 were applied in Phase 2. Under the ten points where Phase 2 would differ from phase 1, the project profile lists for example:

- Public Private Partnerships (PPPs) as an entry point for projects;
- Requirement to demonstrate a 1:1 co-financing from municipal/city governments or the private sector to ensure long-term sustainability of projects;
- Finance activities that serve as a catalyst for additional financing to create a menu of options for identifying relevant policies and technologies, testing and proving them, and scaling up with large-scale investments.

Also, grantees from phase 1 would be allowed to submit applications for scale-up of existing projects. However, this option seemed to have been subject to suboptimal communication.<sup>25</sup>

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<sup>24</sup> As stated in the project description of the project profile, page 26

<sup>25</sup> The project team informed that projects from Nicaragua funded in phase 1 were excluded from funding in phase 2 due to political considerations of the donor.

The two projects visited receiving funding in Phase 1 (Dominican Republic, project No 1, Phase 1 CAREL and Grenada, project No 13, Phase 1 The Grenada Project) were unaware of that opportunity.

Fundación Solar was aware of the opportunity and applied in the second round of calls for proposals, but not to scale the project funded under phase 1. Hermandad de Honduras was the only project that got funding in phase 1 and presented a successful proposal for the same project for phase 2.

Conceptually, phase 2 was also systematic in collecting final project reports and posting them on the Sustainable Communities Program's website. This was not systematically undertaken for projects funded under phase 1.

From a budget perspective the Sustainable Communities Program invested in phase 1 69.9% of the program budget in grants, USD \$ 630,831.00 out of USD \$ 902,260.00<sup>26</sup> compared to 45.2% for phase 2 (USD \$ 421,072.00 out of USD \$ 931,199.88)<sup>27</sup>.

The dissemination of project results at hemispheric and regional events (USD \$ 120.000) and showcasing advanced technologies for urban sustainability (USD \$ 89.606) were attempts to raise awareness and also to prepare an enabling environment for the grant projects. This approach seems dovetailed to one of the purposes of the Sustainable Cities Course.

The question remains whether the enabling environment could have been addressed in a more targeted manner by engaging the relevant local or national authorities in project countries towards the end of the project implementation to strengthen the sustainability of project results and to address issues of replication or up-scaling.



### 3.4 Tracking results of training activities

A good practice for assessing training results are pre and post-course questionnaires. Those were not systematically used for the 1000+ participants for the Sustainable Cities Course but just for the 12<sup>th</sup> course in Lima following engagement with the evaluation consultant. To some extent, this evaluation provides insights into the results of the Sustainable Cities Course following a post-course survey to participants of the eleven courses completed at the time of the evaluation's data collection.



### 3.5 Roles and responsibilities in program implementation

The survey and interviews with 19 out of the 22 project partners indicated clarity about the roles and responsibilities of stakeholders for the project implementation. Reporting templates and timelines were clear, and funds were disbursed on time. The OAS representations were used for physically disbursing the funds. Otherwise, the program team in the OAS Secretariat led the technical engagement with projects. Project partners in country appreciated the distinction of roles between the OAS representations and the OAS Secretariat. 18 out of the 19 project partners participating in the evaluation acknowledged that the program team in the OAS Secretariat played its role in the project implementation to achieve results<sup>28</sup>, as shown in Figure 9).

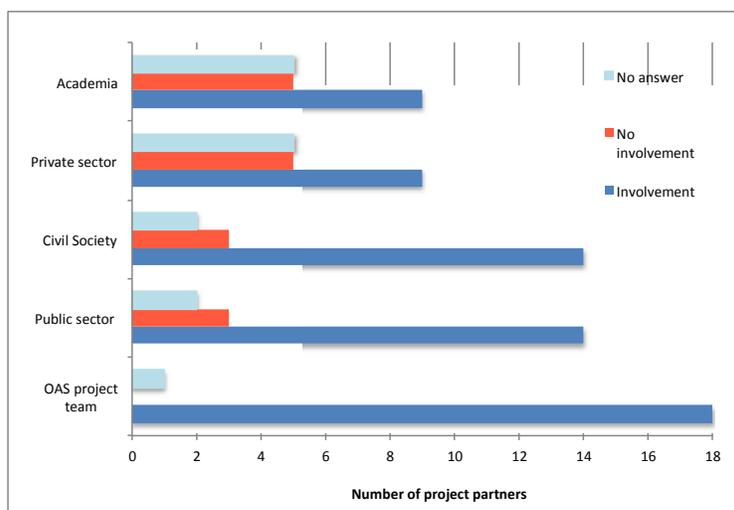
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<sup>26</sup> Excludes 111,515.28 ICR

<sup>27</sup> Excludes 115,092.12 ICR

<sup>28</sup> One project did not respond to this question and four projects did not participate in the evaluation survey.

Figure 9: Involvement of project partners



The public sector and civil society organizations played a major role in 14 out of the 19 projects. The projects not involving the public sector were funded in Phase 1 where this was not required. The same applies to the five projects not involving the private sector. Where academia was not involved in project implementation, projects gained access to expert knowledge through consultants (for example in The Granada Project, Grenada) or by using the project leader's technical expertise (for example in CAREL, Dominican Republic).



### 3.6 Program team's timeliness in program implementation

Project partners appreciated a range of program management qualities of the OAS Secretariat's program team. These qualities included:

- Timeliness of interaction such as replies to queries or feedback to project reports;
- Technical know-how;
- Access to a broad network of specialist;
- Site visits by the program team linked to Sustainable Cities courses; and
- Flexibility in the implementation timeframe in cases delays were justified.



### 3.7 Co-financing and cost per beneficiary

The evaluation established that for each USD \$ invested in grants of the Sustainable Communities Program at least USD \$ 1.49 were invested from other sources, either during project implementation or afterward. The 1: 1.49 ratio is based on information obtained from a sample of six out of 24 projects, evaluated mostly during field visits or telephone interviews<sup>29</sup>. As a result, the true ratio of OAS grant investment and co-financing is likely to be even higher.

Concerning the investments per beneficiary, the program invested USD \$ 1.051.902 in grants to a total of 146.248 beneficiaries (see also section 4.5, table 14). This results in an investment of USD \$ 7.19 per beneficiary.

<sup>29</sup> The survey complementing data collection tools did not capture financial data.

Publicly available and comparable data to benchmark this level of cost per beneficiary is hard to gather. Full comparability is only given if an identical program under the same conditions is implemented in a comparable geographic location. In the evaluation praxis, such circumstances exist only in a clinical environment. Even if data is only partially comparable, benchmarking allows for a border indexing of the OAS program within international development programs.

Figure 10 aims to summarize some available data. A meta-analysis of the educational impacts and cost-effectiveness of conditional cash transfer programs in developing countries, benefitting over 110 million people in Latina America alone, showed an average yearly cost per beneficiary of USD \$ 80. 6 for 2011, with a standard deviation of USD \$ 40.3<sup>30</sup>.

USAID's nonemergency food aid came at the cost of USD \$ 50 per beneficiary (2008-12), compared to USD \$ 38 per beneficiary for emergency food paid over the same period<sup>31</sup>. For the improvement of incomes and the nutritional status selected World Bank programs reached costs per beneficiaries of USD \$ 206 in China, USD \$ 318 in Vietnam and USD \$ 354 in the Philippines, according to a study by the UK's Department for International Development.<sup>32</sup>

**Figure 10: Cost per beneficiary of programs across sectors**

Program	Cost per beneficiary in USD \$
OAS Sustainable Communities Program (2012-2017)	7.19
USAID's emergency food aid (2008-12)	38.00
USAID's nonemergency food aid (2008-12)	50.00
Conditional cash transfer programs (education sector, 2011)	80.60
World Bank Integrated Modern Agriculture Development Project	206.00
World Bank Vietnam Poverty Reduction Project	318.00
World Bank Rural Development Project, Philippines	354.00

Despite the limitation of the quantity of comparable data, the OAS's Sustainable Communities program seems to show a favorable level of cost per beneficiary.

Figure 11 summarizes some additional indicators for co-financing and economic value of results of selected projects of the OAS' Sustainable Communities Program for a cost-benefit analysis.

Indicators include:

- Follow-on funding for projects from other sources; and
- The economic value of project results,
  - including costs for damages avoided by using theoretical attribution.

<sup>30</sup> University of Southern California, Dornsife Center for Economic and Social Research, 2013 : Educational Impacts and Cost- Effectiveness of Conditional Cash Transfer Programs in Developing Countries: A Meta-analysis. CESR working paper series, 2013 – 007

<sup>31</sup> Center for Global Development, 2013: Food Aid for the 21st Century: Saving More Money, Time, and Lives

<sup>32</sup> [iati.dfid.gov.uk/iati\\_documents/5211756.odt](http://iati.dfid.gov.uk/iati_documents/5211756.odt)

**Figure 11: Follow-up funding and economic value of results of selected grant-funded projects of the Sustainable Communities Program, including the use of theoretical attribution for cost-benefit analysis**

Project number	Follow-on funding (other sources) USD \$	Economic value USD \$	Description	Source
Guatemala, project No 8, Phase 2 Universidad Galileo	Total: 11.000	7260 (for CO 2 avoided)  2639 (diesel saved) Total: 9899 25% of OAS investment	33 MT of CO 2 avoided in 4 months (includes CO with adverse health effects; NOx responsible for acid rain and SO2 causing respiratory illnesses) 907 gallons of diesel saved  <b>Breakdown of co-financing or follow-up funding:</b> USD 11.000 from Government of Guatemala	<a href="http://news.stanford.edu/2015/01/12/emissions-social-costs-011215/">www.oas.org (http://news.stanford.edu/2015/01/12/emissions-social-costs-011215/)</a>
Saint Lucia, project No 7, Phase 2 The Saint Lucia National Trust	Total: 325.000	Cost savings of USD 923 per month by Vieux Fort City Council through access to compost (About USD 6400 from project implementation to time of evaluation)  Infrastructure worth USD 414,722.04 protected	The costs for repairing the main access road to the international airport, damaged during the December 2013 weather event amounted to USD \$414,722.04. The event even caused loss of lives. The OAS-funded project coastal protection measures would significantly limit any damages during a comparable weather event in the future due to addressing issues of erosion.  <b>Breakdown of co-financing or follow-up funding:</b> USD 300.000 from German Development Bank Kreditanstalt fuer Wiederaufbau (KfW) USD 25.000 USAID	Final evaluation, 2017
Grenada, project No 13, Phase 1 The Grenada Project	Total: 550.000	USD 484.700 to USD 2.874.000 of methane related damage avoided per year due to methane reduction	Tests on project's feeds proved an enhanced local poultry meat production of 10%. The project intercepts one million pounds of organic waste/year that would have rotted in Grenada's landfill while safely disposing of 15% of Grenada's used motor oil. Methane reductions avoided would amount to 890 tons of CO2 equivalents/year for 10 years (median), reaching \$ 195.800 worth of social costs and economic damage and a cumulative value of 1.950.000 after 10 years. The median for methane reductions avoided between year 11 and 20 would amount to 420 tons of CO2 equivalents/year for 10 years, avoiding damages of USD \$ 92.400 per year and 924.000 over ten years. The total median of avoided damage amounts to USD \$2.874.000, more that the entire investments in phase 1 and 2 of the Sustainable Communities Program. (Even at the conservative estimation of USD\$ 37 worth economic damages of 1 t of CO2 emitted, the total avoided reduction would amount to USD \$484.700) <b>Breakdown of co-financing or follow-up funding:</b> USD 200.000 from Compete Caribbean USD 50.000 from German-funded "Integrated Climate Change Adaptation Strategies" managed by UNDP USD 300.000 from private funds	<a href="http://news.stanford.edu/2015/01/12/emissions-social-costs-011215/">(http://news.stanford.edu/2015/01/12/emissions-social-costs-011215/)</a>

Dominican Republic, project No 1, Phase 1 CAREL	0	0	<p>Adoption of labor-saving household technologies (e.g. electric cookers, electric lights) leads to significant reduction of time spent on household activities as well as to a large increase of time spent on economic activities, as shown by research in the Western Hemisphere.</p> <p>Women in communities which have been electrified more than ten years ago earn about four times more than women in more recently electrified communities. However, there is no such effect on men's incomes.</p> <p>Given that 51% of rural population is poor (Source, United Nations International Fund on Agriculture Development , 2014 ruralpovertyportal.org), a four times increase in women's earnings ten years after electrification underscores the importance of the project for poverty reduction.</p>	<p>Grogan, L. (2008): Grogan, L. and Sadanand, A. (2009)</p> <p>Guatemala: World Bank Living Standards Measurement Study individual and household level data, plus community-level survey of 485 communities</p>
Guatemala, project No 3, Phase 2 Fundación Solar	0	1298  20.370 per month	<p>2500 liters of used cooking oil not contaminating 2.5 m water (required investments in treatment plants for drinking water in general amount to USD 100m in Guatemala (2012)</p> <p>446 gallons biodiesel produced (gas price March 2015: USD 2.91 per gallon in Guatemala City)</p> <p>USD \$ 20.370 based on 7.000 gallons of diesel can be saved for municipality per month (based on current supply, new municipal processing plant with higher capacities than the one at the University del Valle required, verbal commitment of Mayor but building site not yet identified and subsequent environmental impact study pending); "Use of oversupply" to mount pressure for decision makers to take action</p> <p>This would constitute offsetting the entire investment in matching grants of the OAS Sustainable Communities Program's Phase 2 in 20.7 months, i.e. in less than 2 years.</p>	<p><a href="http://www.centralamericadata.com/en/article/home/Water_Treatment_Plants">http://www.centralamericadata.com/en/article/home/Water_Treatment_Plants</a></p>
Honduras, project number 14 phase 1 and project number 10 phase 2, Hermandad de Honduras OPD	Total: 690.000	USD 29.200 generated through selling waste to large scale recycling companies	<p><b>Breakdown of co-financing or follow-up funding:</b>  <b>USD 150.000 to build the center government project</b>  <b>AECID: 500.000 USD: feasibility studies</b>  <b>JICA 40.000 (in-kind)</b></p>	Final evaluation, 2017
Total \$ of grants awarded	\$1576000 co-financing out of a total grant funding of \$1051903			

Other measures of cost-effectiveness include the Sustainable Cities Course. Initially, the Program planned for two courses, one in Medellin and another one in Trinidad and Tobago, at the cost of USD \$ 35.000 each. However, costs were saved by using predominantly local instructors or by partners offering venues for the events, allowing for more courses to take place. The Sustainable Communities Program spend in total approximately USD \$ 153.000 on Sustainable Cities Courses, at an average cost per course of USD \$ 12.750. In average the program managed to save 63% of costs per course.

Without the cost savings achieved, the costs for those 12 courses<sup>33</sup> would have amounted to USD \$ 420.000, i.e. USD \$ 267.000 were saved.

To date, the Sustainable Cities Courses also benefitted from 30 scholarships from other OAS funds, with nine more due for the event in St. Kitts and Nevis (May/June 2017).

The program is likely to close with a balance of USD \$ 75.000 due to cost savings in the following areas:

- Travel costs for showcasing advanced technologies for urban sustainability
- Travel costs for OAS staff
- Use of digital dissemination rather than printing communication materials
- Less demand than expected from projects for expert consultants' support (due to access to locally available expertise)

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<sup>33</sup> As stated before, at the time of the main evaluation phase 12 courses had taken place. Subsequently, another course was held in May/June 2017.

## 4. Effectiveness: were program results achieved and how?

This section analyses the extent to which program results were achieved and the rationale for program performance. The section assesses the achievement of outputs and to the extent possible outcomes including institutional capacity building and results for green employment opportunities. The results of the proposed goal indicator of the Sustainable Communities Program's reconstructed logframe, the level of co-financing are presented in section 3.7 under "efficiency."

Effects on communities, institutions and public-private partnerships are evaluated. The assessment of the Sustainable Cities Course and knowledge exchange follow. The section closes with assessing factors affecting project performance.

### Key findings: project results were largely achieved, with tripartite partnerships playing an important role as a success factor

- **Outcome level:** at least 48% of projects (ten out of 21) show stronger capacities of their respective community associations, NGOs or municipalities; green employment opportunities are moderate while communities and institutions jointly benefitted from program support through the grant projects. The latter is particularly valid for phase 2 with its tripartite partnership approach and through the Sustainable Cities Courses for sharing experiences;
- **Output level:** Out of the total of seven outputs over the 2 program phases, four were fully achieved and three partly achieved. The positive effects of projects on local communities seem mainly limited to the project sites given the comparatively small grant sizes. Results for women are moderate.
- Project outputs were largely achieved in 22 out of 24 projects, with high to very high satisfaction rates in 17 out of 19 projects;
- The *Sustainable Cities course* seems successful for knowledge increase and changing practices;
- In Phase 2 tripartite partnerships took often considerable time to create, but efforts paid off to embed projects in the local or national institutional and policy frameworks.



The evaluation finds that the Sustainable Communities Program shows satisfactory achievement in most areas, but partial achievement in others. The score for effectiveness is "green/amber" (75 out of 100). Weaker areas of performance show for the creation of green employment opportunities, results for communities and results for women.

Main program results include:

- Reach of over 145.000 beneficiaries at the cost of USD \$ 7.19 per beneficiary;
- Theoretical attribution showing likely increase of income times four for over 6000 women in the Dominican Republic following hydro-powered rural electrification ten years after access to electricity;
- Environmental damages related to methane emissions of USD \$ 484.700 to USD \$ 2.874.000 avoided through waste recycling in Grenada;
- Guatemala City Council savings by using biodiesel deriving from used cooking oil pays off the entire grant investment in phase 2 of the Sustainable Cities Program is 20.7 months.

More data is presented in section 3.7, Figure 11: Follow-up funding and economic value of results of selected grant-funded projects of the Sustainable Communities Program, including the use of theoretical attribution.

## 4.1 Achievement of program outcomes

The evaluation managed to validate changes in the capacities of community associations or municipalities in 13 out of 21 projects<sup>34</sup>. In ten projects capacities of community associations or municipalities seemed strengthened (48%) while this was the case to a lesser extent in three projects (14%)<sup>35</sup>. Two projects selected with a focus on sustainable transport solutions struggled to achieve the desired results. Besides, two of the less successful projects were not finalized. Figure 16 in section 4.3.2 provides an overview of the entire program portfolio.

### 4.1.1 “Green” employment opportunities

The generation of green employment opportunities at community level is related to the program outcomes. Creating green employment opportunities shows positive results in the self-assessment, but the levels of direct employment are moderate, based on the evaluator’s assessment during field visits presented in Figure 12.

Figure 12: Number of direct “green” jobs created in OAS-funded grant projects

Thematic area	Project name and number	Number of direct “green” jobs created
Clean Energy and Energy Efficiency	Dominican Republic, project No 1, Phase 1 CAREL	3
	Guatemala, project No 3, phase 2 Fundación Solar	2
Resilience to Natural Hazards	Saint Lucia, project No 7, Phase 2 The Saint Lucia National Trust	0
Waste management	Grenada, project No 13, Phase 1 The Grenada Project	6
Sustainable Transport Solutions	Guatemala, project No 8, Phase 2 Universidad Galileo	0

The level of direct employment opportunities created is determined by the grant sizes. However, indirect employment opportunities are significant. In the case of the Dominican Republic, project No 1, Phase 1 CAREL, up to 13.500 community members are likely to increase their economic activities 10 years after rural electrification, as shown by German-funded research<sup>36 37</sup>. Employment effects, particularly on women, are discussed in section 4.3.1.

<sup>34</sup> Seven out of 14 projects in phase 1 and six out of ten projects in phase 2)

<sup>35</sup> For the remaining 45%, three project teams were not reached and for eight projects only self-assessments are available.

<sup>36</sup> Attigah, B. and Mayer-Tasch, L. (2013): *The Impact of Electricity Access on Economic Development - A Literature Review*. In: Mayer-Tasch, L. and Mukherjee, M. and Reiche, K. (eds.), *Productive Use of Energy (PRODUSE): Measuring Impacts of Electrification on Micro-Enterprises in Sub-Saharan Africa*. Eschborn.

<sup>37</sup> See also: Grogan, L. (2008): *Community Electrification and Labour Market Development*. Working paper, Department of Economics, University of Guelph.

In Grenada, project No 13, Phase 1 The Grenada Project, local chicken farming can benefit from better quality animal feed resulting in selling more meat, better business and ultimately job creation. The planned restriction of 40% of the national chicken market to local chicken is, however, a pre-condition for employment effects to be noted.

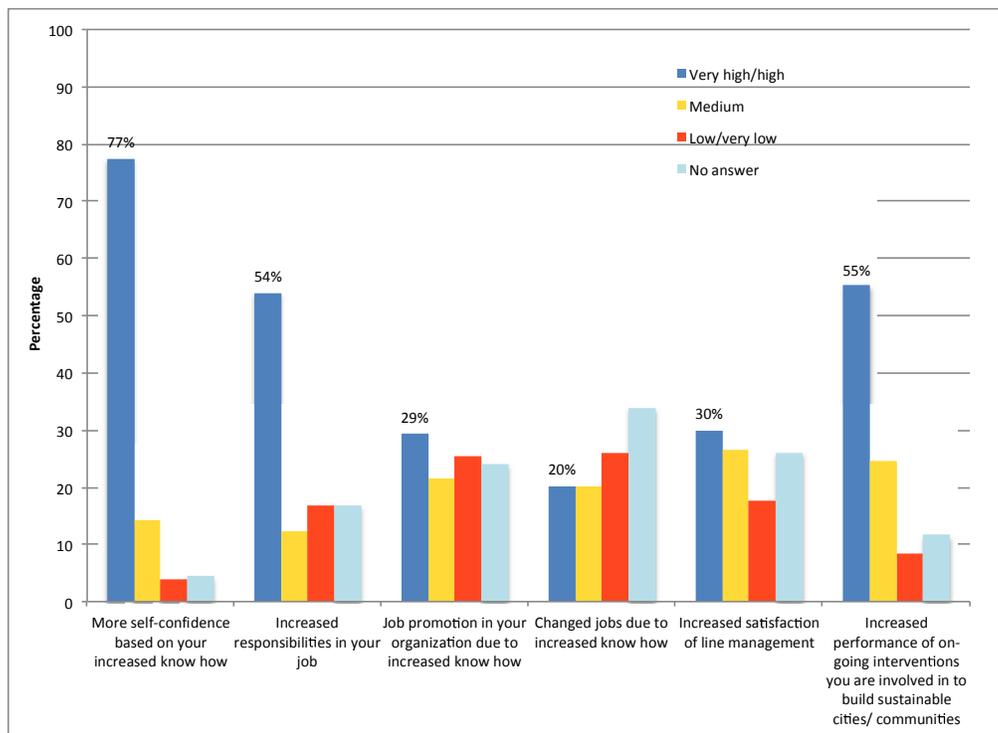


#### 4.1.2 Communities and institutions fit for urban sustainability?

The question whether communities and institutions are fit for sustainability related to institutional strengthening, the program’s outcome. Communities and institutions jointly benefitted from program support through the grant projects, particularly in phase 2 with its tripartite partnership approach and through the Sustainable Cities Courses. During the evaluation visit to Saint Lucia, the evaluator had the chance to interview community members participating in the Sustainable Cities Course to complement survey results. Survey results provide a good insight into the benefits of the Sustainable Cities Course for institutions, given that over 50% of respondents work for government institutions<sup>38</sup>

Figure 13 shows that benefits concerning increased self-confidence of participants due to enhanced know how about sustainable cities, reaching 77% high to very high ratings.

**Figure 13: Results of the Sustainable Cities Course on participant’s employment and work environment**



Grogan, L. and Sadanand, A. (2009): Electrification and the Household. Paper presented at the 5th Annual Conference on Economic Growth and Development, December 16-18, 2009, Indian Statistical Institute, New Delhi.

<sup>38</sup> 24% of respondents work in central government and 31% in local government

54% of respondents observed increased responsibilities in their jobs, and 55% of respondents registered increased performance of on-going interventions to build sustainable cities or communities. On a personal level, examples of job promotions or changes in employment following the attendance of the course emerge, as well as increased satisfaction from line management. However, those changes are less frequent, as shown in the assessment in Figure 13.

The box below provides an insight into participant's experiences with a Sustainable Cities Course. Views were captured during the field visit to Saint Lucia.

#### **Experiences from the Sustainable Cities Course in Saint Lucia, September 2015**

The interviews in Saint Lucia revealed that members of government departments such as the Ministry of Forestry often also hold positions in civil society organizations. The Sustainable Cities Course served as an inspiration to enhance on-going involvement in related interventions for example on urban forestry, photovoltaic systems, awareness raising in schools about composting or rain water harvesting.

The Sustainable Cities Course contributed to further empowering civil society organizations to drive the process of sustainable development in the country, following the downgrading of the Ministry of Sustainable Development into a government department.

The attendance rate of the course in Saint Lucia was around 90%.

## **4.2 Achievement of outputs**

Figure 3 and Figure 4 at the beginning of this report summarize the achievement of program outputs for phases 1 and 2.

Four outputs were fully achieved:

- Output 1, phase 1: matching grants awarded to civil society organizations (community associations, NGOs, etc.) in Central America and the Caribbean to finance implementation of 12 subprojects
- Output 1, phase 2: sub national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance
- Output 2, phase 2: facilitation of knowledge sharing and lessons learning from the grant-funded projects
- Output 4, phase 2 matching grants awarded to Public Private Partnerships to finance implementation of 8 subprojects

14 instead of 12 *grant matching projects were implemented* in phase 1 given the available budget. Initially 25 projects were planned at USD \$ 25,000 per projects but this budget was deemed too low and was revised in dialogue with the U.S. Mission to the OAS. The total operational budget was USD \$ 902,260, with USD \$ 421,072 spent on grants.

Grants were spent rather evenly between the four thematic areas and across the two sub-regions. Results of the grant-funded projects are summarized in Figure 13.

*Sub national dialogue, capacity building, and peer learning* on sustainable urban development and municipal governance was strengthened across the projects and beyond using the 13 Sustainable Cities Courses. In project teams, the tripartite approach supported sub-national dialogue. Section 4.3.3 further analyzes the program's approach to tripartite dialogue. Field visits also showed that capacity building happened at informal level, for example by learning to engage with a private or public partners by jointly implementing a project, i.e. "learning by doing".

*Knowledge sharing* was successfully facilitated and *lessons learned from U.S.-supported sustainable city demonstration projects in the Americas* strategically disseminated. Case studies from the 14 projects funded in phase 1 were documented, underwent internal review with the project teams and got disseminated. Case studies were also systematically used in Sustainable Cities courses, a fact that was highly appreciated by many course participants. This contributed to lesson learning through targeted knowledge sharing. Participation in High-level dialogue for example in Municipal Dialogue on Urban Sustainability and Governance in coordination with Florida International University also contributed to this output. Other high-level hemispheric-wide meetings are listed in the box below. Section 4.3.4 further analyzes the Sustainable Cities Course.

Hemispheric-wide meetings that affected all 34 OAS Member States

- "Towards Sustainable and Resilient Communities in the Americas" - A Forum for Mayors
- Networking Event "Clean Energy and Transport Solutions in an Urban Hemisphere: Lessons from the Americas" in World Urban Forum 7
- Sustainability Week Meeting of the Inter-American Council for Integral Development: Expert Panel and Dialogue Sustainable Cities in the Americas November 2014
- Sustainable Cities Round Table: Building Sustainable Cities and Communities in the Americas, Moving from Demonstration Projects to Scale, Guatemala June 3 2013
- Sustainable Cities Implementers Workshop and Midterm Review Meeting, Guatemala June 2 2013 (Both of these held at General Assembly with multiple ministers and mayors)
- Sustainable Communities in Central America and the Caribbean Awards Ceremony
- Panel of Experts: Sustainable Cities in the Americas: Collaborating for Livable and Inclusive Cities

*Matching grants* were awarded to ten rather than eight *Public Private Partnerships* with a 1:1 co-financing. Again, the grants were spent rather evenly between the four thematic areas and across the two sub-regions, despite the limited absorption capacity particularly in the Small Island States.

The following outputs were partly achieved:

- Output 2, phase 1 to plan and implement plan for knowledge exchange
- Output 3, phase 2: To showcase and demonstrate the utility of advanced technologies

- Output 3, phase 1, output 5, phase 2: program management

*Institutional Capacity building plan implemented* in Central America and the Caribbean resulting in knowledge exchange, technical assistance and capacity building. The concept of Sustainable Cities courses served as a plan for knowledge exchange, learning and enhancing technical capacities of institutions. Subsequently, in phase 2 of the program, 13 such courses were undertaken reaching over 1000 participants.

*Utility of advanced technologies* that contribute to urban sustainability *showcased and demonstrated* : Under output 3 the eco-citizen map of Medellin, Colombia was supported. While this served for the program to keep engaging in high-level dialogue on sustainable cities, the grant-funded projects benefitted to a lesser extent. With ten out of 19 project teams unable to comment on the utility of advanced technologies.

*M&E, Dissemination of Results, and Project Administration*: The program disseminated results from phase 1 through a consultative process with project partners. Project administration was strong, tracking disbursements and budgets while at the same time of seeking successfully opportunities for cost-savings. On the planning and monitoring side, the lack of a program logframe and accompanying results framework inhibited results-based management and affected the evaluability of the program.



### 4.3 Achievement of project results

The managers of 19 grant projects funded by the OAS Sustainable Communities Program show a positive self-assessment of achieving project outputs grouped under four distinctive thematic categories.<sup>39</sup> The overall satisfaction is high to very high in 17 out of the 19 projects, as shown in Figure 14 **Error! Reference source not found.** The recycling project in Belize being an exception as the project concept turned out to be unfeasible.

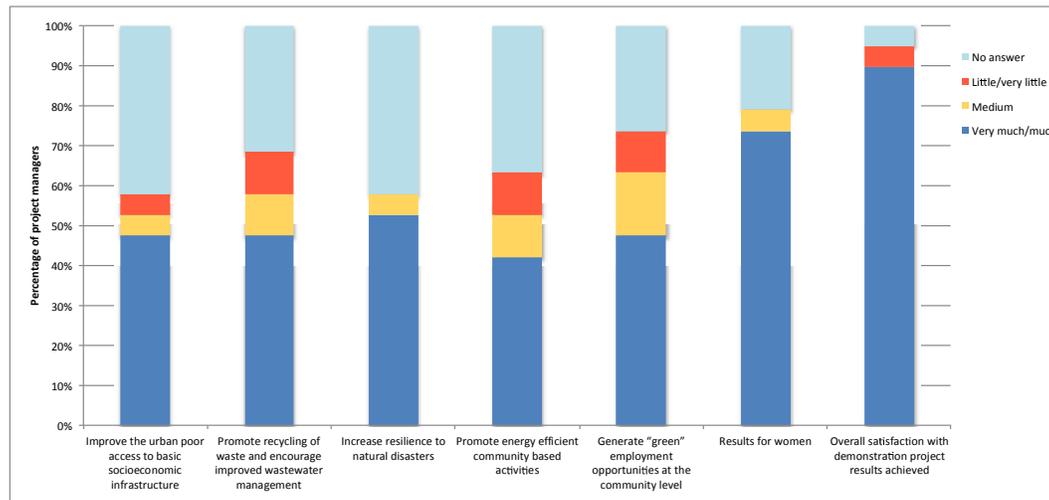
The evaluations showed that the Sustainable Communities Program implemented activities listed under the budget lines for phase 1 and 2 of the program, but for the creation of a virtual course on sustainable cities to exchange tools and good practices.<sup>40</sup>

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<sup>39</sup> Improve the urban poor access to basic socioeconomic infrastructure; Promote recycling of waste and encourage improved wastewater management; Increase resilience to natural disasters; Promote energy efficient community-based activities

<sup>40</sup> In agreement with the U.S. Mission to the OAS, it was decided that the E-Course would not be the best use of funds. Instead, the program team worked with the Portal of the Americas (internally at OAS) to make a digital component with all of the power points and presentations used for the 12 editions of the Course as well as a simple 20 hour MOCC Course which will be ready by the end of May 2017

Figure 14: Project managers' self-assessment of achieving project results



### 4.3.1 Results for women

Project managers from 14 out of 19 demonstration projects assessed the results of their projects on women as high or very high. The evaluation found limited evidence to sustain this highly positive self-assessment. Three exceptions found are highlighted below.

In the Dominican Republic, project No 1, Phase 1 CAREL, 45 communities benefit from hydro-powered rural electrification with an average of 75 families per community. In the family context over 3000 mothers and an estimated additional 3000 daughters are likely to increase their income four times, as impact studies have shown in the region ten years after rural electrification. Reasons are a better integration into the economic activities as valuable time is saved for household related tasks such as collecting firewood. Time savings at the *household level* are also a reason why the income of men does not show significant changes after rural electrification<sup>41</sup>.

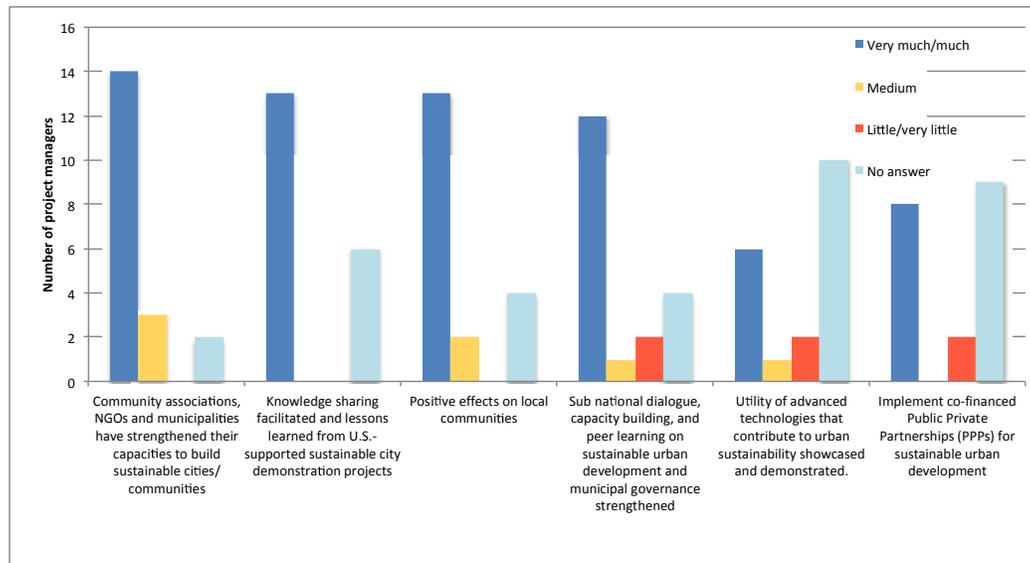
In Honduras, project number 14 phase 1 and project number 10 phase 2, Hermandad de Honduras OPD, a micro-enterprise was created exclusively for poor women with few employment opportunities beyond seasonal work during the coffee harvest. 15 women constitute the enterprise working on a rotational basis and 10 to 15 temporary female staff.

Another example emerges in Guatemala, project No 2, Phase 1 Fundación Solar. 12 families benefitted from reduced carbon emissions from the use of fuelwood in stoves and lamps, through the appropriation of the clean technology of bio-digestion. The

<sup>41</sup> Attigah, B. and Mayer-Tasch, L. (2013): *The Impact of Electricity Access on Economic Development - A Literature Review*. In: Mayer-Tasch, L. and Mukherjee, M. and Reiche, K. (eds.), *Productive Use of Energy (PRODUSE): Measuring Impacts of Electrification on Micro-Enterprises in Sub-Saharan Africa*. Eschborn.

use of biogas avoids smoke, impacting on the health particularly of women and children spending the most time working in kitchens.

Figure 15: Results of the Sustainable Communities program as perceived by project managers



### 4.3.2 Effects of small grants on local communities



Given the comparatively small grant sizes, the benefits of projects seem mainly limited to the project stakeholders, as expected for phase 1 of the Sustainable Communities program. However, Phase 2 was also designed to offer the opportunity to achieve up-scaling and replication to spread benefits across communities and to date this has materialized in one case only (waste recycling in Western Honduras).

Figure 16 **Error! Reference source not found.** lists the benefits for communities by project and thematic program focus. An estimated total of 146,248 persons benefitted directly from the grant-funded projects. Besides, nine communities with an unspecified number of persons benefitted in different geographic locations of Guatemala.

Projects working on sustainable transport solutions are less well suited to quantify the number of beneficiaries in communities, as objectives were often related to urban planning or the validation of innovations. Achieving those objectives is likely to have effects for larger urban settlements, beyond individual communities. If up-scaled, work on sustainable urban transport solutions and urban energy efficiency in Guatemala is likely to have an effect on the air quality for 2.7m people in the metropolitan area of Guatemala City.

Figure 16: Sustainable Communities projects: Benefits and number of beneficiaries

Thematic focus	Benefits	Institutions strengthened	Project	Beneficiaries
Clean Energy and Energy Efficiency	• Access to electric power through micro-hydroelectric village-scale systems	Yes	Dominican Republic project No 1, Phase 1 CAREL	13.500 people
	• Application of bio-digestion technologies	Yes	Guatemala Project No 2, Phase 1 Fundación Solar	120 families
	• Creation of micro-industry for vegetable oils	N/A	Nicaragua, project No 3, Phase 1 Universidad Tecnológica La Salle	100 families
Resilience to Natural Hazards	• Capacity building for the use of photovoltaic energy	N/A	Nicaragua, project No 4, Phase 1 Universidad Nacional Agraria	30 families
	• Demonstration of solar energy at community level	Yes	Antigua & Barbuda project No 1, Phase 2 Ruth's place	7500 adults
	• Recycling of cooking oil	Yes	Guatemala project No 3, Phase 2 Fundación Solar	400 small-size eatery owners
	• Risk reduction strategies to wild fires	N/A	Guatemala project No 5, Phase 1 Fundación ProPetén	2 communities
	• Community capacities to prevent and mitigate the risk of natural disasters	N/A	Guatemala project No 6, phase 1 Centro Para la Investigación y Planificación del Desarrollo Maya Sotz'il	7 communities
	• Community resilience to drought, flooding, and other natural hazards	No reply	St. Kitts & Nevis project No 7, Phase 1 HOPE Nevis Inc.	12.000 people
	• River protection measures	No reply	Cost Rica, project No 4, phase 2 Municipalidad de Desemparados	500 persons
Sustainable Transport Solutions	• Strengthen resilience of poor households affected by natural disasters	N/A	Honduras project No 5, Phase 2 Fundación Aned	N/a
	• Monitoring, alarm and communication network for floods cases	N/A	El Salvador project No 6, Phase 2 Movimiento Africa '70	210 persons
	• Public-private partnerships for integrated approach towards local sustainability	Yes	Saint Lucia project No 7, Phase 2 The Saint Lucia National Trust	5875 people
	• Sustainable Transportation Planning	No reply	Cost Rica, project No 8, Phase 1 Centro de Derecho Ambiental y de los Recursos Naturales	N/a
	• Analysis of cultural heritage of four Caribbean cities for elements of smart urban design that decrease car use	To lesser extend	St. Kitts & Nevis project No 9, Phase 1 The Clarence Fitzroy Bryant College	Not finalized
Waste management	• Promote and validate hybrid systems in diesel engines	To lesser extend	Trinidad & Tobago, project No 10, Phase 1 University of the West Indies	N/a
	• Community education and recycling solid waste	Yes	Guatemala, project No 8, Phase 2 Instituto de Recursos Energéticos de Universidad Galileo	N/a
	• Waste Electrical and Electronic Equipment Strategy for Central America	To lesser extend	Belize, project No 11, Phase 1 Plenty International Belize Ltd	Not finalized
	• Recycling for selected waste streams to manufacture a protein product for poultry feeding	Yes	Cost Rica, project No 9, Phase 2 Nicoya Peninsula WaterKeeper-NPWK	5000 persons
Total	• Waste management system through a micro-enterprise model	N/A	El Salvador, project No 12, Phase 1 Centro Regional del Convenio de Basilea para Centroamérica y México (CRCB-CAM)	N/a
	• Recycling for selected waste streams to manufacture a protein product for poultry feeding	Yes	Grenada project No 13, Phase 1 The Grenada Project	13 members of chicken cooperative
	• Waste management system through a micro-enterprise model	Yes, yes	Honduras, project number 14 Phase 1 and project number 10 Phase 2, Hermandad de Honduras OPD	9 municipalities 100.000 persons
<b>Total</b>				<b>146.248</b>

### 4.3.3 Partnerships among public, private and academic institutions

Section 3.5 highlights the degree to which partners adequately played their roles in implementing grant projects.

Civil society and the public sector were the driving forces in most projects, as assessed by 14 out of the 19 project managers. Nine project managers identified the public sector as a valuable player as well as academia.

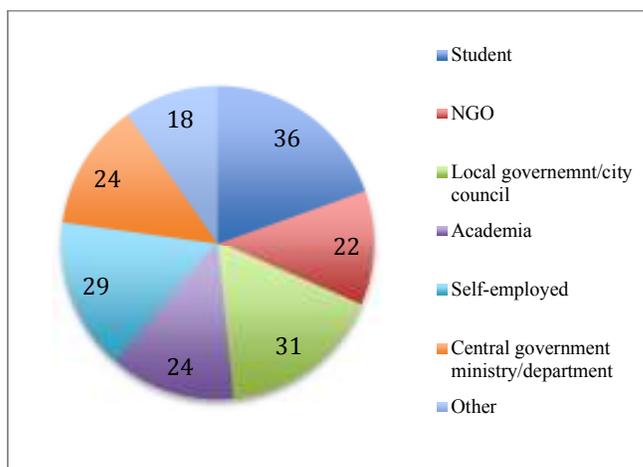
As stated before, creating a partnership with the public sector and *jointly* implementing a project was among the most challenging elements for projects funded in phase 2. However, working outside local or central government structures comes at a risk for sustainability, as shown in the Dominican Republic, project 1, phase 1, CAREL on hydropower for rural electrification.

### 4.3.4 Sustainable Cities Course

The evaluation used an on-line survey approach to assess the Sustainable Cities Course<sup>42</sup>. The response rate was 18.3%.<sup>43</sup> Figure 17 shows that the respondents come from a wide variety of stakeholders, ranging from students to employees of city councils or central government staff. Those stakeholder groups are at times overlapping<sup>44</sup>. All survey data presented in this sub-section refers to the non-representative sample size of 154 Sustainable Cities course participants, rather than all participants.

Figure 17: Profile of survey respondents, number per category

Overall, participants expressed much appreciation about the Sustainable Cities Course, with 99.3% of participants stating that the course was worth their time. 96.7% of participants would recommend the course to a colleague. 76.6% of participants were satisfied or very satisfied with the enhancement of knowledge about sustainable cities and communities. 77.2% of participants report being more self-confident due to increased know how.



Concerning **knowledge increase**, best results show for building sustainable cities and communities (80.5%) and learning from sustainable city demonstration projects

<sup>42</sup> Two surveys containing the identical set of questions were administered: one survey was administered in English and another one in Spanish.

<sup>43</sup> Out of 842 valid e-mail addresses of course participants, 154 participants responded.

<sup>44</sup> While the total number of respondents' is 154, the profile shows a total sample size of 184, as multiple replies regarding the respondents profile were possible.

(77.9%). Less knowledge increase shows for gender-related issues to build sustainable cities and communities (47.4%) and municipal governance (51.3%). Surveyed participants also detected a **change in practice**, meaning that they do things differently in their jobs after the Sustainable Cities Course. Learning from sustainable city demonstration projects again scores high, with 66.2% high to very high ratings, followed by building sustainable cities and communities and sustainable urban development (both 61.7% high to very high ratings)<sup>45</sup>. Again, gender-related issues to build sustainable cities and communities and municipal governance score lowest, with (40.9% and 46.1% respectively).

Figure 18 shows employment-related changes experienced by the surveyed participants. 77% of participants are technically more confident about issues concerning sustainable cities. 55% of participants noted an increased performance of on-going interventions to build sustainable cities or communities.

54% of surveyed participants benefited from increased responsibilities in their job following the course. Job promotions, changes in jobs and increased satisfaction of line management showed to a lesser degree.

**Figure 18: Employment-related changes of sustainable cities course participants**

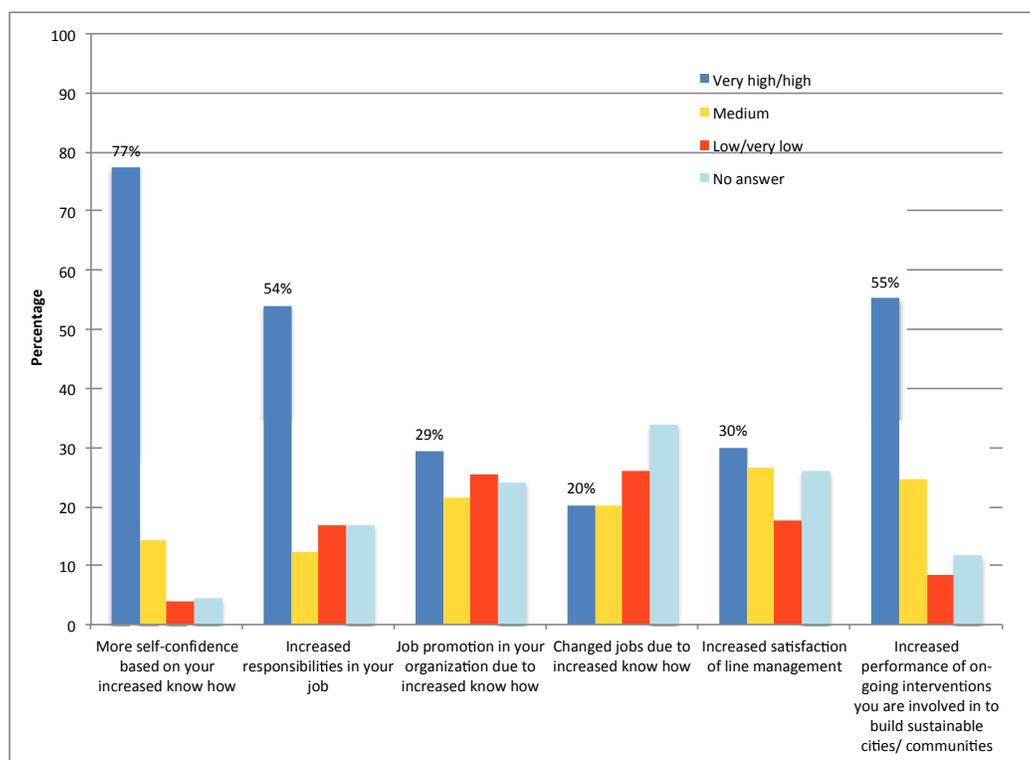


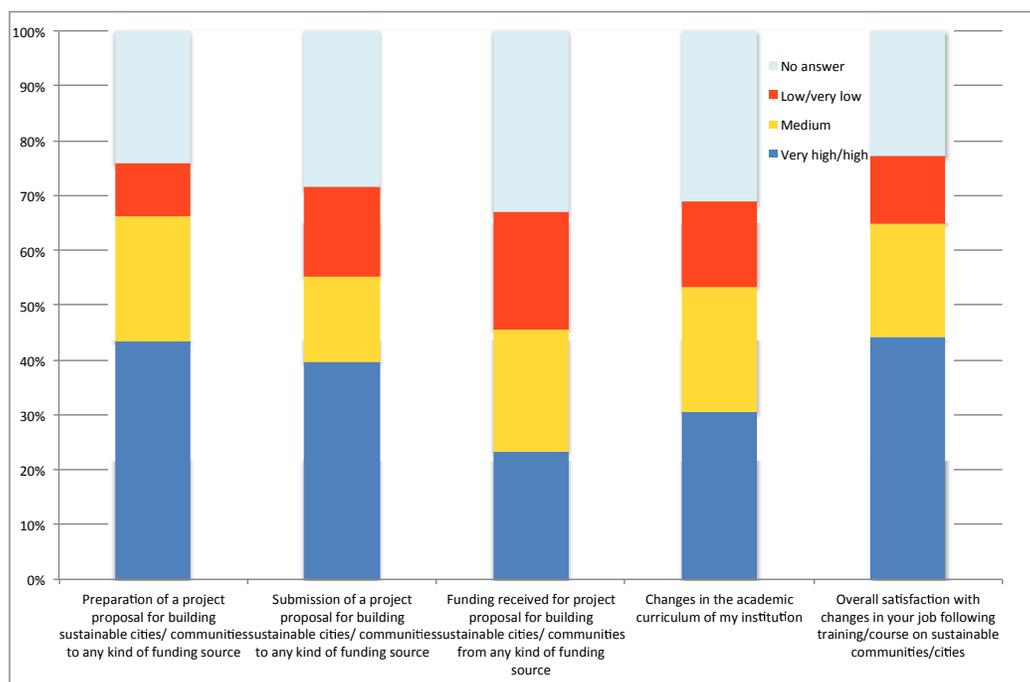
Figure 19 presents changes related to participants' engagement in the topic of sustainable cities and communities. Overall, 44% of surveyed participants were satisfied or highly satisfied with changes in their job following the sustainable cities training course. Taking into account that the evaluation survey was launched 3.5 years

<sup>45</sup> Examples of changed practices can't be further analyzed as only 19 out of the 154 respondents provided further information.

after the first Sustainable Cities Course took place, this ex-post assessment of capacity building results is very positive.

44% of surveyed participants state that following the attendance of the Sustainable Cities course, they were engaged in the preparation of a funding proposal for building sustainable cities or communities. 40% of participants report that such a proposal was submitted and 23% of participants report that funding was received. Unfortunately, participants did not make use of the survey option to indicate the amount of funding received. 31% of participants report a change in the curriculum of their academic institution.

**Figure 19: Changes related to participants' engagement in the topic of sustainable cities and communities**



Despite the overwhelmingly positive survey results, participants mentioned areas of improvement for the course. Suggestions range from extending the length of the course to making better use of site visits or having more time to interact with other participants.

The issue most mentioned was the desire for an immediate follow-up to the course, as participants appreciate the opportunity to provide structured feedback.

### **Sustainable Cities Course in Lima (2017): pre-course and post-course questionnaire results**

The use of a pre-course and post-course questionnaire, designed as part of this evaluation process for the Sustainable Cities Course in Lima (2017) shows the following main results in Figure 20 and Figure 21:<sup>46</sup>

<sup>46</sup> From the 250 course participants, 25 responded to the pre course questionnaire and 17 to the post course questionnaire, with a response rate of 10% and 7% respectively.

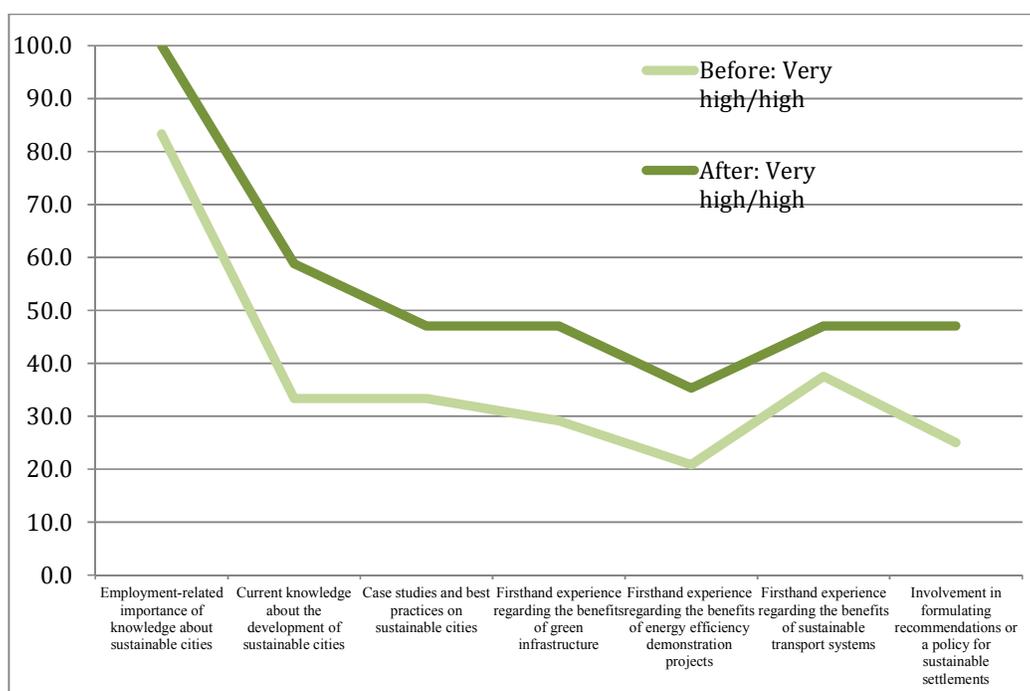
1. After the Sustainable Cities Course, the knowledge of participants<sup>47</sup> increased at the high to very high levels for all assessment criteria.

This includes:

- Employment-related importance of knowledge about sustainable cities
- Current knowledge about the development of sustainable cities
- Case studies and good practices on sustainable cities
- Firsthand experience regarding the benefits of green infrastructure
- Firsthand experience regarding the benefits of energy efficiency demonstration projects
- Firsthand experience regarding the benefits of sustainable transport system
- Involvement in formulating recommendations or a policy for sustainable settlements

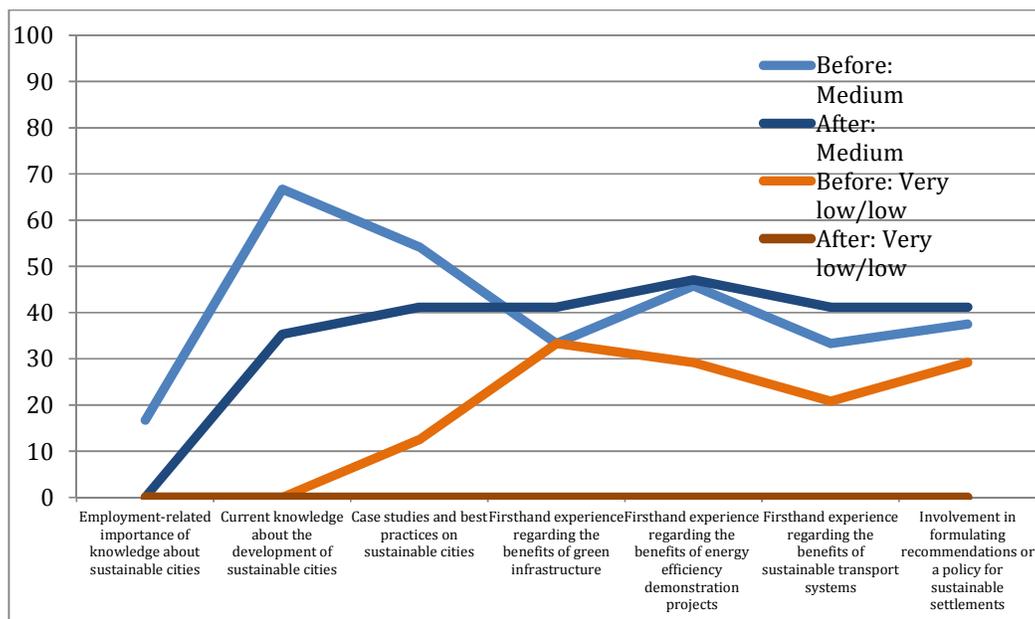
2. Low to very low ratings from six out of the seven assessment criteria decreased from up to 33% to 0%.

**Figure 20: Results of pre-course and post-course questionnaire for Sustainable Cities Course in Lima, 2017: high to very high ratings for knowledge**



<sup>47</sup> Participants taking part in the questionnaire survey; “no answer” ratings are not shown in the respective figures

**Figure 21: Results of pre-course and post-course questionnaire for Sustainable Cities Course in Lima, 2017: medium and low to very low ratings for knowledge**



#### 4.3.5 Exchange for good practices and lessons learned

The twelve Sustainable Cities Course to date<sup>48</sup> served as a platform to exchange experiences between grantees. Besides, experiences were shared in other events such as the municipal dialogue on Urban Sustainability and Governance at Florida International University, or a side event at the 7<sup>th</sup> World Urban Forum.

The program team also systematically documented lessons from phase 1, investing USD \$ 15.000 in this effort.

#### 4.3.6 Factors affecting project performance

Project managers distinguished between internal and external factors affecting project performance, as further analyzed below. In many but not all cases, projects managed to use internal and external factors to their advantage and to manage risks adequately. Positive examples include:

- Guatemala project No 2, Phase 1 Fundacion Solar
- Honduras, project number 14 phase 1 and project number 10 phase 2, Hermandad de Honduras OPD
- Antigua & Barbuda project No 1, Phase 2 Ruth's place
- Guatemala project No 3, Phase 2 Fundacion Solar
- Saint Lucia project No 7, Phase 2 The Saint Lucia National Trust
- Guatemala, project No 8, Phase 2 Instituto de Recursos Energéticos de Universidad Galileo
- Cost Rica, project No 9, Phase 2 Nicoya Peninsula WaterKeeper- NPWK

Among internal factors, project manager and their teams mentioned:

- Innovation-driven project teams taking action;

<sup>48</sup> In May/June 2017, the 13th Sustainable Cities Course took place in St. Kitts and Nevis, but only after the survey was finalized.

- Unity of members of the private-public partnership, appreciating contributions as feasible, despite moving at different paces and differences in organizational cultures;
- Access to specialized consultants;
- Pride for junior team members to represent OAS project in Sustainable Cities Courses and other international events;
- Ability to reach out to marginalized elements of the population.

Major external factors affecting project performance include:

- Policy framework in place and space used for project implementation;
- Availability of channels to share and scale good practices of local governance through national government;
- Ability to reach out to private sector players;
- Socio-economic situation of communities, including pressures to migrate;
- Government loans for uptake of technology by trained communities.

## 5. Sustainability: are results lasting?

This section analyses the sustainability of program results, with a focus on the grant-funded projects. Policies, strategies, and frameworks for replication and up-scaling are analyzed, followed by assessing opportunities to facilitate sustainability as the program ends. The section closes with an analysis of examples for replication and up-scaling.

### **Key findings: In the absence of political engagement the sustainability of project results is still weak despite more positive self-assessment by project managers**

- The majority of project managers are confident that policies, strategies, and frameworks are in place to sustain projects results and that results are likely to last. Field visits showed that this self-assessment might be overly positive
- The sustainability of project results can be facilitated through political engagement (for example in Grenada, Guatemala, and Saint Lucia), but this is not on the agenda of the program towards the end of funding
- To date, at least three examples emerge of up-scaling or replicating projects funded under the Sustainable Communities Program with sustainability of project results possible in 22 of 24 projects



The evaluation finds that to date the sustainability of the Sustainable Communities Program is unsatisfactory in most areas. The score for sustainability to date is "amber-red" (50 out of 100)<sup>49</sup> while the *potential for sustainability* is certainly higher in many projects. Replication and up-scaling are used as sub-criteria for assessing sustainability, as suggested in the ToR for this evaluation.

Three out of 24 projects with externally validated evidence of up-scaling emerge: i) the scaled and self-sustaining operations of EMPRESOL in Honduras; ii) Fundación Solar developing the engagement with the Municipality of Guatemala City gradually beyond the Department of Innovation; and iii) CAREL replicating its community-based micro-hydroelectric initiative was in 42 villages in the Dominican Republic. The evaluation also found the potential for replication of the Grenada Project.

At least 19 out of 24 projects are still on-going after the end of OAS funding, which is a positive finding of this evaluation. Continuing dialogue occurs for example on a social media page "Ciudades Sostenibles" (Sustainable Cities) where all levels of Government officials, NGOs and private sector engage. At the project level, continuous engagement is mostly funded through other funding streams rather than being self-sustaining while recognizing that not all projects have an economic return (particularly projects on building capacities to mitigate natural hazards).

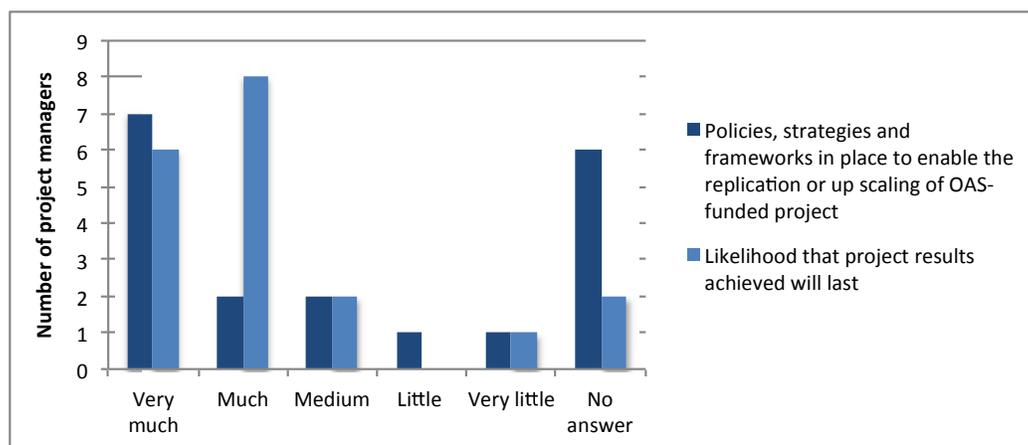
<sup>49</sup> The project team does not agree with this assessment and judges "virtually all projects sustainable," based on the project documentation. However, this could not be independently verified during the evaluation visits to five out of the 24 projects where the projects visited still had to reach the point of sustainability. This judgment was shared with local project teams.



## 5.1 Policies, strategies, and frameworks for replication and up-scaling

Nine out of the 19 project managers participating in the evaluation assess the level of policies, strategies, and frameworks available to sustain projects results as very high or high. Four project teams have lower assessments (two medium, one low and one very low, see Figure 22). The evaluator found another two project lacking policies, strategies, and frameworks available to sustain projects results. However, no assessment was given by the respective project teams. All six less successful examples were funded in phase 1 of the Sustainable Communities Program.

**Figure 22: Likely sustainability of project results**



14 out of the 19 project managers are confident that results of the OAS funding are likely to last. The evaluation consultant is more cautious in assessing the likelihood of sustainability and this is further explained in section 5.1.1. That is the reason for scoring the sub-criterion of "policies, strategies, and frameworks for replication and up-scaling" as unsatisfactory. Section 5.1 identifies specific areas for improvements for projects visited during the evaluation.

### Examples of policies, strategies, and framework in place for replication and up-scaling

Good examples of projects considering the enabling environment as a driver for sustainability include the two projects visited in Guatemala during the evaluation: Project No 3, Phase 2 Fundación Solar (transformation of used cooking oil into biodiesel) and project No 8, Phase 2 Universidad Galileo (validate hybrid systems that incorporate hydrogen and oxygen to internal combustion engine using a high efficiency generator based on electrolysis of water). Both projects experienced serious challenges in involving the public sector due to different working styles and rhythms. Universidad Galileo even had to drop the Municipality of Guatemala City as a partner due to unsolved insurance issues for the project.

However, for project No 8, Phase 2 Universidad Galileo, persistence and patience on both sides paid off with the Ministry of Environment and Natural Resources playing a strong role as a partner for Universidad Galileo even after the end of the project. The

Ministry perceives the project as a means to implement its Clean Air Policy and wants to link the project to the Green Seal of the Ministry, to be launched in fall of 2017. In fact, the evaluation visit to the completed project re-energized the dynamics between the former project partners and allowed for joint strategizing around stakeholders' future role in the implementation of the Ministry's Green Seal. The latter is perceived as a potential incentive for scaling new technology validated through OAS funding.

Fundación Solar and the Municipality of Guatemala City entered into a strong partnership also involving the private sector, Guatemala's Electricity Company. The partnership with the municipality has gradually developed beyond the Department of Innovation.

The municipality keeps using its soft powers to extend the number of used cooking oil donors among hotels and restaurants, while the engagement with markets now responds more to the social responsibility of the municipality.

Among the incentives for donating used cooking oil is the pending Municipal Green Seal. The Green Seal would also allow for the OAS-funded innovation to be embedded in a wider institutional framework of local government. As the municipality's own processing plant for used cooking oil is still not built, the concept of "oversupply" is used to put mount pressure for decision makers to take action, using the argument that the municipality could save 7.000 gallons of diesel per months given the high supply levels of used cooking oil. Monthly savings of over USD \$ 20.000 on fuel would be significant for the municipality of Guatemala City.

### **Examples of projects operating outside policies, strategies, and framework affecting sustainability**

Like many innovations, at least six projects funded under the Sustainable Communities Program initially operated partly or fully outside any enabling environment at national or local level. However, the project selection criteria for phase 1 did not emphasize the need to engage with the public sector to ensure linkages to an enabling environment, even if in the stage of being developed.

Some projects were clearly ahead of their time, and the motivation of innovators extending the frontiers of sustainable practices in communities and urban settings left the institutional frameworks behind. This challenge has a direct effect on replicability and up-scaling, the sub-criteria used to assess sustainability in this evaluation in line with the agreed evaluation framework.

Less successful examples of considering the enabling environment include:

- Project 1, Phase 1 (CAREL, Dominican Republic). The technical assistance and capacity building to support and replicate a community-based highly participatory micro-hydroelectric initiative was successfully replicated in 42 villages. Maintenance of the hydro-power is fully undertaken by communities. This success is largely driven by a hard-working individual and the network of technicians he created. For wider up-scaling however, the lack of integrating the project into local or national governance structures is a stumbling block. The evaluation recognizes the weaknesses of local governance, but entry points at the national level seem underused.

- Project 6, Phase 1 (Sotzil, Guatemala). The project to strengthen the capacity of indigenous communities to prevent and mitigate the risk of natural disasters in the Central Highlands of Guatemala made use of traditional Maya knowledge. Though local and national authorities were actively involved in some elements of the project, it was implemented only to some extent within national policies, strategies or frameworks to sustain project results.
- The same applies to project 9, Phase 1 (The Clarence Fitzroy Bryant College, St. Kitts and Nevis). The project on Sustainable Transportation for St. Kitts-Nevis with the use of facilities for non-motorized modes in Basseterre City would have been only partly sustained by a national or local enabling environment (the project was not fully implemented due to capacity challenges in the project team).
- Project 10, Phase 1 (University of the West Indies, Trinidad and Tobago) developed elements of smart urban design that decrease car use and encourage walking and cycling as a model for new urban development. However, those models seem insufficiently linked to relevant policy frameworks.
- Project 11, Phase 1 (Plenty International Ltd., Belize) worked to support waste management efforts through education and alternative solid waste disposal in Southern Belize. The pilot project and feasibility study aimed to assess whether recycling of plastic could be self-sustainable or would need be part of local government or other efforts. Self-sustainability proved not possible, and the project was not completed.
- Project 13, Phase 1 (The Granada Project, Grenada). As in project 1, phase 1, the project is driven by an innovator with excellent technical knowledge. Waste streams including fish and brewer's spent grain are successfully converted into a protein product for poultry feeding. The cost of poultry feed produced by the project fell by about 30% compared to prices before the start of the project. The monopoly holder had to drop prices twice, as well as diversifying the feed in reaction to the new competition on the island. The transformation process of waste is fueled by used motor oil collected from garages. Used cooking oil from restaurants is also used in the processing process of chicken feed. While the deep suspicion towards the public sector is understandable given the challenging relationship with the national authorities, it still constitutes a missed opportunity.

EMPRESOL in Honduras (project 14, Phase 1 and project 10, Phase 2) is to date the only entity supported by the Sustainable Communities Program that seems to be self-sustaining<sup>50</sup>.

The Grenada Project is close to being self-sustaining as an enterprise, as stated by the project manager during the evaluation visit. For achieving sustainability, the recycling plant requires more volumes of waste to break even in the production of protein enriched animal feed. The shortfall is due to a government slaughterhouse not being operational despite being built and fully equipped three years ago with loans from the

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<sup>50</sup> The project team disagrees with this finding and states that “virtually all the projects are self-sustaining albeit some are not revenue generating”.

Caribbean Development Bank. Those delays in operationalizing the slaughterhouse seem of administrative nature and were discussed during the evaluation mission to Grenada with the Minister of Agriculture, Lands, Forestry and Fisheries who is however not in charge of the issue.

An important lesson from this evaluation is that central government needs also to be involved in development interventions focusing at the sub-national level, particularly in small island states.



### **5.1.1 How to facilitate sustainability of project results after end of project funding**

Bearing in mind that the grant-funded projects of Phases 1 and 2 of the Sustainable Communities Program have been completed, the program can still use the last months of its duration to facilitate the sustainability of some of the grant results, while the emphasis is currently on rolling out a final set of Sustainable Cities Courses.

The use of political leverage, at no direct cost to the Sustainable Communities Program, seems the key to addressing the up-scaling of project results. This is showcased for each for the program's four thematic areas and based on projects evaluated through field visits.

The OAS General Secretariat and the U.S. Mission to the OAS could mobilize the OAS representation in the respective countries to meet national authorities for addressing bottlenecks of political nature to ensure the sustainability of U.S. investments and enable the up-scaling of innovation.

Though the investments are comparably small, the no-cost engagement by the OAS representation in the respective countries jointly with the missions of benefitting Member States to the OAS and the endorsement from the U.S. mission to the OAS could underscore the new U.S. administration's awareness that the “need for energy must go hand-in-hand with responsible stewardship of the environment” and the commitment to clean air, clean water and the conservation of natural resources, as expressed in “An America First Energy Plan”<sup>51</sup>. Examples for the potential use of political leverage to facilitate up-scaling of project results are shown in Figure 23.

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<sup>51</sup> <https://www.whitehouse.gov/america-first-energy>

Figure 23: Use of political leverage to facilitate up-scaling of project results

Theme	Country/project number	Potential for use of political leverage
Clean Energy and Energy Efficiency	Guatemala, project No 3, phase 2 Fundación Solar	Use of political leverage: The representation of the OAS in Guatemala could invite the mayor of Guatemala City to showcase the results of the U.S. investment through the Sustainable Communities Program. The bottleneck of constructing a plant to transfer used cooking oil into biodiesel could be addressed to enable the up-scaling of project results with tangible effects on air pollution, water pollution and savings for the Municipality
Resilience to Natural Hazards	Saint Lucia, project No 7, Phase 2 The Saint Lucia National Trust	<b>Use of political leverage:</b> The element of green waste composting has the potential for up-scaling across all 18 settlements with more than 2000 inhabitants across the country's 11 districts. The Ministry of Local Government needs to be addressed for this purpose, and the representation of the OAS in Saint Lucia could meet the Minister jointly with the President to enable the up-scaling of the U.S. investment through the Sustainable Communities Program
Waste management	Grenada, project No 13, Phase 1 The Grenada Project	<b>Use of political leverage:</b> The representation of the OAS in Grenada could meet the President of Grenada to ensure commitment about the operationalization of the government –owned slaughterhouse. This would ensure the sustainability of national animal feed production, and at the same time address, the sustainability of the U.S. investment through the Sustainable Communities Program in recycling used cooking oil and waste from the country's brewery, fishing stations, and the new slaughterhouse.
Sustainable Transport Solutions	Guatemala, project No 8, phase 2 Universidad Galileo	<b>Use of political leverage:</b> The representation of the OAS in Grenada could participate in the Ministry of Environments and Natural Resources' official launch of the "Green Seal" to show support to the initiative and stress options for practical application (as developed by Universidad Galileo and partners)



## 5.2 Examples for replication and up-scaling

To date, three example emerges for up-scaling projects funded under the Sustainable Communities Program: In Honduras, Hermandad de Honduras (Project 14, phase 1 and project 10, phase 2) scaled the newly created waste management system in rural Western Honduras by developing an organic waste treatment plant and eventually strengthening the local recycling company "EMPRESOL" to extend its services. Now also the department's main town, Ocotepeque is served by "EMPRESOL".) the scaled and self-sustaining operations of EMPRESOL in Honduras. In Guatemala Fundación Solar develops the engagement with the Municipality of Guatemala City gradually beyond the Department of Innovation. CAREL replicated its community-based micro-hydroelectric initiative was in 42 villages in the Dominican Republic

At least one example of possible replication emerges, as observed during the evaluator's field visits:

Project 13, Phase 1 (The Grenada Project, Grenada):

The project has real potential for replication in other small island states or isolated regions of larger countries. A lesson learned from the Grenada Project is that replication would be facilitated by searching entry points in national policies to embed such a model in a conducive enabling environment. In fact, such a conducive enabling environment could be a precondition for selecting potential countries for replicating the model.

Other factors determining the potential for replication of the model would be sites with sufficient freshwater, access to free fuel (used motor oil) and options for a MoU to ensure commitment from the Ministry of Fisheries to ensure access to fish waste.

Towards the end of this evaluation process, the Clarence Fitzroy Bryant College in Basseterre, St. Kitts and Nevis informed the evaluator that the replication of the Grenada project is planned in St. Kitts and Nevis. First concrete steps were taken with written endorsements by the Ministry of Agriculture and the Chamber of Industry and Commerce of St. Kitts and Nevis.

## 6. Conclusions

The following conclusions follow from the key findings and are listed by evaluation criteria. The logical flow from key findings to conclusions is mapped in Figure 24.

### **Relevance: was the program doing the right thing?**

The Program design was visionary and put the OAS with a focus on sustainable settlements at the forefront of engaging on the SDG goal 11. With no major UN agency dedicated specifically to the topic (apart from small UN-Habitat), the OAS is playing with modest investments a visible role in the Western Hemisphere.

While fully in line with OAS mandates, U.S. policy priorities at the time of project design and the program scope were less aligned. The level of compatibility with initiatives in most project countries is given, despite innovative projects often being ahead their time. Where projects operated outside the institutional frameworks and where policy priorities might not be given, particularly in projects in phase 1, implementation was ultimately hampered and sustainability is questionable.

The concept and design of the program served as a solid fundament. Practically, however, phases 1 and 2 were disconnected and the idea of scaling projects in phase 2 failed with one exception. Instead, phase 2 supported pilots again but under changing parameters (e.g. the valuable tripartite approach).

### **Efficiency: were resources used appropriately to achieve program results?**

With its competition-based matching-grant selection process the Program serves as a good practice example for the entire OAS concerning grant selection process design.

The Sustainable Cities program is value for money for the U.S. Department of State and the U.S. taxpayer. The OAS multiplied the modest U.S. investment by achieving good levels of co-financing of the grant-funded projects combined with putting the OAS at the forefront of the discourse and action towards achieving SDG goal 11, also through the Sustainable Cities course (see conclusions on relevance).

The logically designed program complied with OAS requirements at the time. Back in 2012, OAS planning requirements and the project team fell short to fully make use of international good practices regarding the mandatory use of logframes and results frameworks to measure progress.

The good conceptual transition from phase 1 to phase 2 with the option to move from piloting to scaling or replicating largely failed resulting essentially in two piloting phases (with one exception).

The program had no systematic internal evidence base to adapt training activities through their various reiterations or to show capacity building results through structured internal assessments. All results presented were captured through the final evaluation.

**Effectiveness: were program results achieved and how?**

At the outcome level, achievement of results was largely given and positive results are linked to the tripartite partnership approach and the Sustainable Cities Courses. As a result institutional strengthening was more successful in phase 2 than in phase 1 of the program.

At the program's output level, results were largely achieved. At the project level the projects were effective but results largely limited to the project sites.

**Sustainability: are program results lasting?**

The Program's strategic decision to include tripartite partnerships as part of the funding criteria for Phase 2 proved right to enhance the likelihood of sustainability. Projects funded in Phase 1 lack this "insurance mechanism."

Field visits have shown that beyond the technical level political support from the OAS representation in country, Mission of Member States from beneficiary countries to the OAS or the U.S. Mission to the OAS could address bottlenecks in up-scaling project results.

## 7. Recommendations

Following the key findings and conclusions, the recommendations listed below emerge. In line with good international evaluation practices, the recommendations are specific, actionable, targeted, prioritized and time-bound. Again, the logical flow from key findings to conclusions and recommendations is transparently mapped in Figure 24 to ensure that recommendations are evidence-based and to exclude any possible bias.

R 1: OAS General Secretariat: With Sustainable Cities now being part of the 2030 agenda and the SDG's it is recommended for the OAS to keep engaging in the topic and not to lose its seat on the front benches of discourse and action in the Western Hemisphere. **Priority: Very high** (next 3 months).

R 2: OAS General Secretariat: Any grant-funded program dealing with innovation need to be embedded in an institutional framework. Public-private partnerships serve as a good practice for this purpose. While engaging the public sector can initially slow down pioneers pushing the frontiers of sustainable development, it is public institutions, policy frameworks and rules and regulations that need to be considered for innovation to be scalable or replicable. **Priority: Medium** (next 12 months).

R 3: OAS General Secretariat: For piloting innovation the Program concept can be used again without major changes. For the replication or up-scaling of innovation, a longer time horizon (2 years) and twice the grant size might be required per project (about USD 100.000), given the difference in resource requirements between developing and innovating and scaling and replicating an innovation. **Priority: Very high** (next 3 months).

R 4: Department for Sustainable Development: showcase in the OAS the program concept of the Sustainable Communities Program for grant selection processes as a good practice worth replicating **Priority: High** (next 6 months).

R 5: U.S. Department of State: It is recommended to maintain investments at similar levels in OAS programming on sustainable settlements, both urban and rural. **Priority: Very high** (next 3 months).

R 6: Department for Planning and Evaluation: Following the recent mandatory inclusion of logframes in project/program design, DPE should also make the use of results frameworks as a mandatory requirement with the aim to improve results-based management of projects/programs and to facilitate evaluations. **Priority: Very high** (next 3 months).

R 7: Project team: Every new project should use a logframe and results framework while DPE works on making those tools mandatory in the OAS **Priority: Very high** (next 3 months).

R 8: Department for Planning and Evaluation: A pre-test/ post-test assessment for all OAS training activities should be made mandatory as part of good program management practices. **Priority: Very high** (next 3 months).

R 9: OAS General Secretariat and Missions to the OAS: Grant-funded programs should be accompanied by some level of political support to complement OAS' technical expertise. Strategically, this can be provided by the OAS representation in country, Missions of Member States from beneficiary countries to the OAS or the U.S. Mission to the OAS. Opportunities include the presentation of project results to national/local authorities to discuss practical steps of replication or up-scaling. **Priority: Very high** (next 3 months).

Figure 24: Overview of the logical flow from key findings to conclusions and recommendations

	Key findings	Conclusions	Recommendations
Relevance	The Program took a strategic approach focusing on sustainable settlements even before the agenda 2030 and SDG's with goal 11 on sustainable cities emerged	The Program design was visionary and put the OAS with a focus on sustainable settlements at the forefront of engaging on the SDG goal 11. With no major UN agency dedicated specifically to the topic (apart from small UN-Habitat), the OAS is playing with modest investments a visible role in the Western Hemisphere.	R 1: OAS General Secretariat: With Sustainable Cities now being part of the 2030 agenda and the SDG's it is recommended for the OAS to keep engaging in the topic and not to lose its seat on the front benches of discourse and action in the Western Hemisphere. <b>Priority: Very high</b> (next 3 months)
	Dovetailing in Rio+20 process and formed part of new urban agenda of Habitat III and Sendai		
	Linked to the mandates of the OAS and to some extent to the U.S. Department of State	While fully in line with OAS mandates, U.S. policy priorities at the time of project design and the program scope were less aligned.	
	Compatible with local and international initiatives and policy priorities in eight out of 12 countries	The level of compatibility with initiatives in most project countries is given, despite innovative projects often being ahead their time. Where projects operated outside the institutional frameworks and where policy priorities might not be given, particularly in projects in phase 1, implementation was ultimately hampered, and sustainability is questionable .	R 2: OAS General Secretariat: Any grant-funded program dealing with innovation need to be embedded in an institutional framework. Tripartite partnerships serve as a good practice for this purpose. While engaging the public sector can initially slow down pioneers pushing the frontiers of sustainable development, it is public institutions, policy frameworks and rules and regulations that need to be considered for innovation to be scalable or replicable. <b>Priority: Medium</b> (next 12 months)
	Program design was good overall. The grant sizes were sufficient for piloting innovations and the one-year timeframe for grant implementation tight, particularly to establish tripartite partnerships in phase 2. Having the Sustainable Cities Courses as a vehicle to share experiences between grant-funded projects proved to be one of the design strengths of the program. Only the transition between phase 1 and 2 was suboptimal with options for projects funded under phase 1 to apply for scaling pilots insufficiently communicated	The concept and design of the program served as a solid fundament. Practically, however, phases 1 and 2 were disconnected and the idea of scaling projects in phase 2 failed with one exception. Instead, pilots were supported again in phase 2 but under changing parameters (e.g. the tripartite approach)	R 3: OAS General Secretariat: For piloting innovation the program concept can be used again without major changes. For the replication or up-scaling of innovation, a longer time horizon (2 years) and twice the grant size might be required per project (about USD 100.000), given the difference in resource requirements between developing and innovating and actually scaling and replicating an innovation. <b>Priority: Very high</b> (next 3 months)

	Key findings	Conclusions	Recommendations
Efficiency	The program is strongest in the development of a competition-based matching-grant selection process and criteria with clear roles and responsibilities for timely program implementation.	The Program serves as a good practice example for the entire OAS concerning grant selection process design	R 4: Department for Sustainable Development: showcase in the OAS the program concept of the Sustainable Communities Program for grant selection processes as a good practice worth replicating <b>Priority: High</b> (next 6 months)
	Co-financing appears high with a 1\$: 1.49\$ co-financing ratio for grant projects by project partners and other donors; In average the program managed to save 63% of costs per Sustainable Cities course (spending \$12.750 instead of \$35.000 per each of the 12 courses).	The Sustainable Cities program is value for money for the U.S. Department of State and the U.S. taxpayer. The OAS multiplied the modest U.S. investment by achieving good levels of co-financing of the grant-funded projects combined with putting the OAS at the forefront of the discourse and action towards achieving SDG goal 11 (see conclusions on relevance).	R 5: U.S. Department of State: It is recommended to maintain investments at similar levels in OAS programming on sustainable settlements, both urban and rural. <b>Priority: Very high</b> (next 3 months)
	The validity of the program's theory of change is mainly given, and the program design is comprehensive. The only main elements missing from the project design are an overarching logframe and accompanying results framework to facilitate monitoring, however not OAS requirements at the time of program design.	The logically designed program complied with OAS requirements. OAS planning requirements fall short to fully make use of international good practices.	R 6: Department for Planning and Evaluation: DPE should make the use of logframes and results frameworks as a mandatory requirement with the aim to improve results-based management of projects/programs and to facilitate evaluations. <b>Priority: Very high</b> (next 3 months) R 7: Project team: Every new project should use a logframe and results framework while DPE works on making those tools mandatory in the OAS <b>Priority: Very high</b> (next 3 months)
	The conceptual evolvement from phase 1 to phase 2 was well designed, but implementation through ambiguous communication was suboptimal concerning the scaling of pilots supported in phase 1.	The good conceptual transition from phase 1 to phase 2 with the option to move from piloting to scaling or replicating largely failed and resulted essentially in two piloting phases (with one exception).	No recommendation
	Results of training activities were not systematically tracked.	The program had no systematic evidence base to adapt training activities through their various reiterations or to show capacity building results.	R 8: Department for Planning and Evaluation: Guidelines including a semi-standardized pre-test/ post-test assessment template with a standardized assessment scale for all OAS training activities should be made mandatory as part of good program management practices. <b>Priority: Very high</b> (next 3 months)

	Key findings	Conclusions	Recommendations
Effectiveness	<b>Outcome level:</b> at least 48% of projects (ten out of 21) show stronger capacities of their respective community associations, NGOs or municipalities; green employment opportunities are moderate while communities and institutions jointly benefitted from program support through the grant projects.	At the outcome level, achievement of results was largely given and positive results linked to the tripartite partnership approach and the Sustainable Cities Courses. As a result institutional strengthening was more successful in phase 2 than in phase 1 of the program.	See R2 on tripartite partnerships
	<b>Output level:</b> Out of the total of seven outputs over the two program phases, four were fully achieved and three partly achieved. The positive effects of projects on local communities seem mainly limited to the project sites given the comparatively small grant sizes. Results for women are moderate.	At the program's output level, results were largely achieved. At the project level the projects were effective but results largely limited to the project sites.	
	Project outputs were largely achieved in 22 out of 24 projects, with high to very high satisfaction rates in 17 out of 19 projects		
	The <i>Sustainable Cities course</i> seems successful for knowledge increase and changing practices		
	In Phase 2 tripartite partnerships took time to create, but efforts paid off to embed projects in the local or national institutional and policy frameworks		
Sustainability	The majority of project managers are confident that policies, strategies, and frameworks are in place to sustain projects' results and that results are likely to last. Field visits showed that this self-assessment might be overly positive	The Program's strategic decision to include tripartite partnerships as part of the funding criteria for Phase 2 proved right to enhance the likelihood of sustainability. Projects funded in Phase 1 lack this "insurance mechanism."	See R 2 on tripartite partnerships
	The sustainability of project results can be facilitated through political engagement (Grenada, Guatemala and Saint Lucia), but this is not on the agenda of the program towards the end of funding.	Field visits have shown that beyond the technical level political support from the OAS representation in country, Mission of Member States from beneficiary countries to the OAS or the U.S. Mission to the OAS could address bottlenecks in up-scaling project results.	R 9: OAS General Secretariat and Missions to the OAS: Grant-funded programs should be accompanied by some level of political support to complement OAS' technical expertise. Strategically, this can be provided by the OAS representation in a Member State, Missions of Member States from beneficiary countries to the OAS or the U.S. Mission to the OAS. Opportunities include the presentation of project results to national/local authorities to discuss practical steps of replication/up-scaling. <b>Priority: Very high</b> (next 3 months)
	To date, three examples emerge of replication or up-scaling of projects funded under the Sustainable Communities Program		



## 8. Good practices and lessons learned

The evaluation identified the following aspects that deserve replication in other OAS technical cooperation interventions and U.S. funded interventions outside the OAS.

As stated in section 3.3.1, the program design is, with one exception,<sup>52</sup> comprehensive and follows OAS requirements at the time. The project design's comprehensiveness is exceptional for the total amount of funds invested in the program.

### Project/program design

- Using grants conditionally: under the concept of competition-based matching grants;
- Well-reputed technical Steering Committee for project selection;
- Component of knowledge sharing from grant-funded interventions through training courses.

### Project/program implementation

- Dedicated and hands-on team in the OAS Secretariat;

Stakeholders appreciated a project team with technical knowledge that was “on call” for any queries and highly responsive. Rather than taking a bureaucratic approach, the dedicated team showed the technical and cultural understanding to facilitate the implementation for example of the grant-funded projects.

- A well maintained public website, posting regular project reports as a means to show maximum transparency.

Making project documentation publically available on a program's website is the absolute exception rather than the rule in international development programs. The OAS and its project team are commended for this example of transparency.

## Lessons learned

### Importance of central government

- Central government also needs to be involved in development interventions even when focusing at the sub-national level particularly in small island states. One example is related to the challenges encountered in replicating municipal engagement in green-waste composting in Saint Lucia across the island. Without the involvement of the Ministry of Local Governance, replication seems inhibited.

### Factors affecting project/program performance

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<sup>52</sup> The lack of a logframe and results framework is discussed in the “limitations” section of this report”

Project managers distinguished between internal and external factors affecting project performance. In many but not all cases, projects managed to use internal and external factors to their advantage and to manage risks adequately.

Internal factors include:

- Innovation-driven project teams taking action: having the opportunity to further develop innovations and to adapt them to a local context proved to be highly inspirational in environments that are often adverse to innovation. Working at the forefront of solutions to urban and community sustainability motivated project teams and “kept them going” even in times of doubt and setbacks
- Unity of members of the tripartite partnership, appreciating contributions, despite moving at different paces and differences in organizational cultures;
- Access to specialized technical consultants;
- Pride for junior team members to represent OAS project in Sustainable Cities Courses and other international events;
- Ability to reach out to marginalized elements of the population.
- Ability to reach out to private sector players;

Major external factors include:

- Policy frameworks in place and space used for project implementation;
- Availability of channels to share and scale good practices of local governance through national government;
- Socio-economic situation of communities, including pressures to migrate;
- Government loans for uptake of technology by trained communities.

## **Annex 1: Terms of Reference**



**SECRETARY GENERAL  
ORGANIZATION OF AMERICAN STATES**

**PROJECT EVALUATION  
TERMS OF REFERENCE**

**“Evaluation of the Efficiency and Effectiveness of the  
Sustainable Communities Program”**

**WASHINGTON DC  
(Individual Consultant)**

## I. BACKGROUND

- 1.1 At the request of the US Permanent Mission the Department of Planning and Evaluation (DPE) is coordinating an external assessment of the program Sustainable Communities in Central America and the Caribbean (SCCAC), phase I and II. This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programs executed by the OAS. Such efforts, coordinated and supervised by the DPE, began over 5 years ago with the evaluation of initiatives financed by the Spanish Fund for OAS and has been extended to operations financed by other donors, such as Canada and the United States of America. These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and program formulations and designs, and institutionalizing good practices in monitoring and evaluation within the Organization.

### **Sustainable Communities in Central America and the Caribbean (SCCAC)**

- 1.2 The SCCAC program addresses the challenges associated with rapid urbanization, in terms of infrastructure and housing, common spaces and sustainable transportation, the prevention and correction of pollution, the disposal of industrial and electronic waste, the promotion of pollution free consumption habits, and the management of sustainable technologies. Furthermore, the accelerated pace of urbanization is creating new forms of social and economic marginality that nurture crime and violence at epidemic levels. Cities often expand beyond their planned limits, and official and informal systems to provide water, sewerage, waste disposal, and other common services to these areas tend to be insufficient and inefficient. Moreover, cities are responsible for as much as 80 percent of global greenhouse gas emissions while at the same time city residents face significant impacts from climate change.
- 1.3 According to recent studies, Latin America and the Caribbean have the highest rate of urbanization in the developing world. The proportion of the region's population living in cities doubled from 41% to 80% in the last 60 years. Likewise, economic activity in the region is significantly concentrated in its urban areas. Consequently, the OAS and its members recognized the need to implement actions to build and promote the creation of sustainable cities in the hemisphere, as reflected in the Summit of the Americas on Sustainable Development, held in Santa Cruz de la Sierra, Bolivia, December 1996. In this context the Department of Sustainable Development of the OAS has been working with member States on four areas under the sustainable cities theme: economic development, housing, pollution prevention and environmental protection, and sustainable transport. As a result of these efforts, 2 projects worth a little over US\$2 million have been executed to date.

### **SCCAC Phase I: Sustainable Communities in Central America and the Caribbean (SID-1203) (US\$1.04 million)**

- 1.4 The objective of Phase I was to strengthen the capacities of government agencies, community associations and NGOs in Central America and the Caribbean to build sustainable cities/communities based on i) improved access to basic socioeconomic infrastructure; ii) recycling of e-waste and improved wastewater management; iii) increased resilience to natural disasters; iv) energy efficiency

### **SCCAC Phase II: Sustainable Communities in Central America and the Caribbean (SID-1305) (US\$1.01 million)**

- 1.5 The objective of Phase II is to strengthen the capacities of community associations and municipalities in order to build sustainable cities and communities, through the support of: i) a national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance; ii) knowledge sharing; iii) showcasing of advanced technologies that

contribute to urban sustainability; and iv) a matching grant program awarded to Public Private Partnerships.

## II. OBJECTIVE OF THE CONSULTANCY

2.1 The objective of the Consultancy is to evaluate the efficiency, effectiveness and sustainability of the projects that comprise the SCCAC program, Phase I and II. The evaluation will specifically focus on the delivery of the main Outputs, and the Immediate and Intermediate Outcomes for the projects.

### A. Scope of the evaluation.

2.2 To achieve the objective the Consultant shall:

- Conduct a formative and summative evaluation, as it is necessary, in order to identify the main achievements and results of the projects.
- Determine the relevance of the projects vis a vis the OAS mandates and priorities in the countries benefited by the interventions.
- Determine the efficiency and effectiveness of the projects as best reflected in the available results.
- Critically analyze the formulation, design, implementation and management of the projects and make recommendations as needed.
- Assess the institutional and financial sustainability of the interventions financed by the projects.
- Document lessons learned related to the formulation, design, implementation, management and sustainability.
- Make recommendations, as appropriate, to improve the formulation, design and implementation for future similar interventions.
- Assess if and how the projects addressed the crosscutting issue of gender perspective and to what results.

2.3 In addition to the above, the consultancy will make every attempt to answer the following performance questions:

- i) Were the project's implicit Theory of Change effective?
- ii) Were the projects' objectives achieved?
- iii) Were the outcome indicators identified the appropriate measurement of success?
- iv) Are the projects' achievements sustainable, institutionally and financially?
- v) Are the projects' indicators S.M.A.R.T.
- vi) Did the project team applied results based management principles from its inception to its conclusion?
- vii) Was the process for the selection of beneficiaries done based on a pre-established criteria? and was the criteria appropriate?

- viii) Were good practices taken into account during the design and applied during the implementation?
- ix) Were lessons learnt from Phase I taken into account during the design and applied during the implementation of Phase II?
- x) Did projects include specific requirements for conducting follow-up of training activities in order to measure: increased skills, awareness and abilities among recipients; and the strengthening of institutions where such individuals work, among others? – consider using the kirkpatrick methodology.
- xi) Was the monitoring mechanism used as an efficient and effective tool to follow-up on the progress of project's actions?
- xii) To what degree are the projects consistent in their design to achieve the United Nations Sustainable Development Goals and the 2030 agenda?
- xiii) To what degree are the projects consistent in their design with Sendai 2015-2030, HABITAT III and World Urban Forum mandates?
- xiv) Have the small grants had an effect in local communities receiving them?
- xv) Have the projects fostered the development of key partnerships among public, private and academic institutions?
- xvi) Have good practices and lessons learned been shared and exchanged among participating stakeholders?
- xvii) Are there clear examples where grant projects have been scaled up and/or been replicated?
- xviii) Have the grant projects received co-financing and has the co-financing continued after the OAS part of the project has been completed?

**B. Information sources.**

2.4 Among other sources the consultant will review the following:

- i) Project profiles.
- ii) Progress implementation reports.
- iii) Completion reports.
- iv) Project indicators identified and used throughout the execution.
- v) Products derived from the implementation of the project and means of verification.
- vi) Any other document deemed relevant for the completion of the work.

**C. Stakeholders.**

2.5 Among other stakeholders the consultant will consider the following:

- i) Project Team.
- ii) Member countries.
- iii) Local and national counterparts.
- iv) Donors.
- v) U.S. State Department

- vi) Cities Alliance
- vii) Sustainable Cities Collective
- viii) The Clean Air Institute
- ix) The Center for Clean Air Policy
- x) Department of Planning and Evaluation, OAS.
- xi) Beneficiaries, individual and member countries.

### III. ACTIVITIES

3.1 This consultancy will be coordinated and supervised by the Department of Planning and Evaluation (DPE).

3.2 The evaluation process will take a participatory approach and take account of the views of all key stakeholders. In general the evaluation will be based on interviews, analysis of documents, field visits, use of relevant evaluation instruments (i.e. application of surveys, focus groups, etc.) and all available data sources, as required.

#### A. Phase I: Preparatory activities.

3.3 To achieve the objectives of the Terms of Reference, the consultancy shall carry out the following activities, without prejudice to other tasks that are necessary to complete the work:

- i) Conduct initial conference calls with key stakeholders and assess more accurately the scope of the work and request the necessary information to perform effectively. As a result the consultancy will submit a work plan to the OAS, the work plan will include the description and chronology of the activities to be carried out, the reports to be submitted and the deliverables of the evaluation.
- ii) Develop an Evaluation Framework (EF) which will contribute to determine if the project was implemented efficiently and effectively and generated the expected results. The EF shall include the following sections among other:
  - (a) A description of the methodology or design of evaluation strategy, including the sampling framework to be used for the collection of data; and the evaluation matrix. The evaluation methodology must consider qualitative and quantitative measurements.
  - (b) Data collection protocols and analysis of information.
  - (c) The identification of data collection instruments.
  - (d) The identification and measurement of output and outcome indicators (initial, intermediate and final) to measure the project's efficiency and effectiveness, in addition to those previously identified during the design of the project, if any. Both groups of indicators are expected to include their definition and methodologies for the collection and calculation.
  - (e) The instruments for the collection of information and related materials.
  - (f) The work plan for the consultancy, including the collection, analysis and production of reports (see paragraph 3.3 (i));
  - (g) A proposal of the table of contents of the final report, among others.

#### B. Phase II: Collection and analysis of information, and Midterm Report.

- iii) Review all the relevant documentation including those produced during the formulation and design of the projects.

- iv) Conduct interviews and collect information from key stakeholders, including: Project Team (in Washington DC), US Mission officials; government officials, and direct and indirect beneficiaries, among other (see paragraph 2.5).
- v) Conduct interviews and focus groups to validate the implicit chain of results (Logic Model) for the projects, by determining if it was adequate and valid for the expected and actual results.
- vi) Establish the projects' efficiency and effectiveness, identifying lessons learned and making recommendations for future executions. This assessment should include a cost-benefit analysis of the projects to determine the economic feasibility of the proposed model of intervention.
- vii) Assess the management of the projects in the use of planning and implementation tools, such as annual operations plans, logical framework, and project monitoring reports among others.
- viii) Assess the technical and economic feasibility of the projects, including the sustainability of its benefits.
- ix) Determine the relevance of the criteria used for the targeting of beneficiaries; including cities, communities and member countries benefiting from the projects and make appropriate recommendations for similar initiatives in the future.
- x) Analyze how and if the projects incorporated a gender perspective approach in the execution of its components, and if there were any such efforts, determine how consequential it was.
- xi) Measure the projects' performance in terms of efficiency and effectiveness. The consultancy shall review and suggest adjustments to the indicators identified in the Logical Framework. In addition, the consultancy shall identify, propose and measure indicators that were not considered in the design. The consultancy shall analyze the extent to which the expected results were achieved as well as identify unplanned results that may have occurred.
- xii) Conduct 4 missions to Member Countries as needed. The selection criteria for the countries to be visited will be determined during phase I of this TOR in conjunction with the DPE and the Department of Sustainable Development.<sup>53</sup>
- xiii) Produce a midterm report describing the progress of the evaluation and the findings to date. The report will be accompanied by a Power Point presentation.
- xiv) Conduct one mission to OAS headquarters to present the midterm report.

**C. Phase III: Presentation of final report.**

- xv) Produce a final report analyzing and describing the execution, outputs and outcomes of the supported actions; lessons learned, recommendations and conclusions; a section for sustainability and beneficiaries, among others. The report will be accompanied by a Power Point presentation.
- xvi) Conduct one mission to OAS headquarters to present the final report.

## IV. PRODUCTS AND DELIVERABLES

- 4.1 The consultancy will produce and deliver the following documents taking into consideration each of the activities described in the above section:

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<sup>53</sup> If for some unforeseeable reason, after the contract has been signed, a mission cannot be executed, the total contract amount will be adjusted down to reflect the appropriate amount.

- i) A detailed work plan and the evaluation Framework **within 20 days** of signing the contract.
- ii) A midterm report on the progress of the consultancy including, a revised Logical Framework, the theory of change and a Power Point to be presented in OAS headquarters on a previously agreed date.
- iii) Final Evaluation Report including a cost-benefit analysis, all products mentioned above and a Power Point Presentation to be presented in OAS headquarters on a previously agreed date.

## V. CONSULTANCY CHARACTERISTICS

- 5.1 **Type of consultancy:** Individual Consultant
- 5.2 **Duration:** approximately 6 months.
- 5.3 **Place of work:** Washington DC, Member Countries and consultant's place of residence.
- 5.4 **Qualifications:** The consultant must demonstrate a minimum 10 years of expertise in project evaluation. Experience in sustainable cities and/or institutional strengthening will be a plus. The consultant should also have attained a graduate degree in public policy, economics, management or related area; and experience working in Latin America and the Caribbean. In addition, the consultant should be proficient in the use of the English language, oral and written, Spanish will be welcomed. Experience working with an international organization in the Americas and in the evaluation of similar projects is a plus.

## VI. TIMEFRAME & PAYMENT SCHEDULE

- 6.1 It is expected that the consultancy will require a total of 80 non-consecutive working days between November 2016 and July 2017.
- 6.2 The payment schedule is as follows:
  - 15% Upon signing the contract.
  - 20% Upon delivery of a detailed Work Plan and Evaluation Framework
  - 30% Upon delivery of a midterm report accompanied by a Power Point presentation.
  - 35% Upon delivery of the Final Evaluation Report accompanied by a Power Point presentation

## VII. PROCUREMENT PROCESS

- 7.1 The contracting will follow the procurement processes outlined by OAS tender regulations, ensuring the application of competitiveness and transparency principles.

## **Annex 2: List of people interviewed**

[Available upon request from the Department of Planning and Evaluation, OAS](#)

### Annex 3: Documents reviewed

Attigah, B. and Mayer-Tasch, L. (2013): *The Impact of Electricity Access on Economic Development - A Literature Review*. In: Mayer-Tasch, L. and Mukherjee, M. and Reiche, K. (eds.), *Productive Use of Energy (PRODUSE): Measuring Impacts of Electrification on Micro-Enterprises in Sub-Saharan Africa*. Eschborn.

Center for Global Development, 2013: *Food Aid for the 21st Century: Saving More Money, Time, and Lives*

Central AmericaData.com, 2012: *Water Treatment Plants*. October 16, 2012

Department for International Development (UK) Burma, 2015: *UK support for inclusive rural growth in Burma. Business case. DFID Burma. £ 100 million 2015/16 – 2018/19*  
[iati.dfid.gov.uk/iati\\_documents/5211756.odt](http://iati.dfid.gov.uk/iati_documents/5211756.odt)

Grogan, L. (2008): *Community Electrification and Labour Market Development*. Working paper, Department of Economics, University of Guelph

Grogan, L. and Sadanand, A. (2009): *Electrification and the Household*. Paper presented at the 5th Annual Conference on Economic Growth and Development, December 16-18, 2009, Indian Statistical Institute, New Delhi.

ICAI, 2016: *UK aid's contribution to tackling tax avoidance and evasion. A learning review*  
<http://icai.independent.gov.uk/wp-content/uploads/ICAI-Review-UK-aids-contribution-to-tackling-tax-avoidance-and-evasion.pdf>

Organization of American States, 2011: *Follow-up and implementation of the mandates of the Declaration of Commitment of Port of Spain of the Fifth Summit of the Americas AG/RES. 2634 (XLI-O/11)*.

Organization of American States, 2010: *Declaration of Santo Domingo for the Sustainable Development of the Americas. OEA/Ser.K/XVIII.2, CIDI/RIMDS-II/DEC.1/10*

Organization of American States, 2009: *Declaration of Commitment of Port of Spain. Securing Our Citizens' Future by Promoting Human Prosperity, Energy Security, and Environmental Sustainability. Fifth Summit of the Americas, Port of Spain, Trinidad and Tobago, 2009*.

Organization of American States, 2007: *Report of the First inter-American Meeting of Ministers and High-Level Authorities on Sustainable Development within the Framework of CIDI, AG/RES. 2312 (XXXVII-O/07)*.

Organization of American States, 2007: Declaration of Panama: Energy for Sustainable Development, AG/DEC. 52 (XXXVII-O/07), 5 June 2007.

Organization of American States, 2006: Strategic Plan for Partnership for Integral Development 2006-2009 Adopted by the General Assembly at the fourth plenary session, held on June 6, 2006 (AG/RES. 2201 (XXXVI-O/06).

Organization of American States, 2006: AG/RES. 2253 (XXXVI-O/06) Support for the Use of New and Renewable Energy Sources.

Organization of American States, 1994: Plan of Action of the First Summit of the Americas held in Miami in 1994.

Secretary General of the Organization of American States: Project evaluation. Terms of Reference. Evaluation of the Efficiency and Effectiveness of the Sustainable Communities Program

Organization of American States General Secretariat, 2012: . Department of Planning and Evaluation. Project profile, CODE SID1305. PROJECT NAME Sustainable Communities in the Americas

Organization of American States General Secretariat (2013): Sustainable Communities Project, Phase II. Project profile

Stanford University, 2015: Estimated social cost of climate change not accurate, Stanford scientists say.

The White House, 2017: An America First Energy Plan. <https://www.whitehouse.gov/america-first-energy>

United Nations, 2017. General Assembly. Seventy-first session. Resolution adopted by the General Assembly on 23 December 2016. 71/256. New Urban Agenda

<http://habitat3.org/wp-content/uploads/New-Urban-Agenda-GA-Adopted-68th-Plenary-N1646655-E.pdf>

United Nations, 2015: Sendai Framework for Disaster Risk Reduction 2015-2030

University of Southern California, Dornsife Center for Economic and Social Research, 2013 : Educational Impacts and Cost- Effectiveness of Conditional Cash Transfer Programs in Developing Countries: A Meta-analysis. CESR working paper series, 2013 – 007

U.S. Department of State, 2016: 2011-2016 Strategic Plan Addendum for the U.S. Department of State and the U.S. Agency for International Development <https://www.state.gov/s/dmr/qddr/185613.htm>

World Urban Forum (Medellin, 2014): New Urban Agenda,

<http://habitat3.org/wp-content/uploads/New-Urban-Agenda-GA-Adopted-68th-Plenary-N1646655-E.pdf>

**Technical and financial proposals (phase 1):**

Centro Alternativo Rural el Limón, Inc. (CAREL, Dominican Republic)

Fundación Solar (Guatemala)

Universidad La Salle (Nicaragua)

Universidad Nacional Agraria (Nicaragua)

Fundación ProPetén (Guatemala)

Centro Para la Investigación y Planificación del Desarrollo Maya Sotz'il (Guatemala)

Hope Nevis Incorporated (St. Kitts and Nevis)

Centro de Derecho Ambiental y de los Recursos Naturales (CEDARENA) and  
Fundación para el Desarrollo Urbano (FUDEU) (Costa Rica)

Clarence Fitzroy Bryant College (St. Kitts and Nevis)

Caribbean Network for Urban Land Management (CNULM) (Trinidad and Tobago)

Plenty International Belize Ltd. (Belize)

Centro Regional del Convenio de Basilea para Centroamérica y México (CRCB-  
CAM) (El Salvador)

The Grenada Project (Grenada)

Hermandad de Honduras (Honduras)

**Technical and financial proposals (phase 2):**

Ruth's Place, Antigua and Barbuda

Comisión Nacional de Energía, Dominican Republic

Fundación Solar (Guatemala)

Municipalidad de Desemparados (Costa Rica)

Fundación Aned and Municipalidad de Marcovia (Honduras)

Movimiento Africa '70 (El Salvador)

The Saint Lucia National Trust (Saint Lucia)

Universidad Galileo, Instituto de Recursos Energéticos (Guatemala)

Nicoya Pensinsula Waterkeeper (Costa Rica)

Hermandad de Honduras (Honduras)

### **Final project reports (phase 1)**

Fundación Solar (Guatemala), 2013: Informe final. Proyecto: “Impulsando el desarrollo en 11 comunidades por medio de la apropiación de buenas prácticas ambientales y la producción de energía limpia con enfoque de usos productivos y resiliencia a los desastres naturales”

Universidad La Salle (Nicaragua), 2014: Segundo informe Técnico de resultados de proyecto. Informe final.

Universidad Nacional Agraria (Nicaragua), 2013: II. Informe Técnico-Financiero

Proyecto “Sistemas fotovoltaicos aislados para electrificación rural en comunidades de las micro cuencas Las Jaguas, Orocuina y El Espinal”

Fundación ProPeten (Guatemala), 2014: “Fortalecimiento de Capacidades para la Gestión del Riesgo a Incendios Forestales en dos Comunidades Aledañas al Bloque de Áreas Protegidas de la Zona Centro Sur de la Reserva de la Biosfera Maya, Peten, Guatemala, C.A.”

Centro Para la Investigación y Planificación del Desarrollo Maya Sotz'il (Guatemala), 2014: Resumen de gestión de gastos.

Hope Nevis Incorporated (St. Kitts and Nevis), 2013: Building Resilience to Natural Disasters One Community at a Time. The All-Five Parishes Project. Final Technical and Financial Report

Centro de Derecho Ambiental y de los Recursos Naturales (CEDARENA) and Fundación para el Desarrollo Urbano (FUDEU) (Costa Rica)

Clarence Fitzroy Bryant College (St. Kitts and Nevis), 2014: Informe final: Proyecto Promoviendo sistemas alternativos y articulados de transporte urbano en Costa Rica

Caribbean Network for Urban Land Management (CNULM) (Trinidad and Tobago), 2014: Final progress report. Project: Understanding and Improving Walkable Caribbean Urban Heritage: Willemstad, Paramaribo, Bridgetown, St. George's, and East Port-of-Spain

Centro Regional del Convenio de Basilea para Centroamérica y México (CRCB-CAM) (El Salvador), 2014: Informe final: “Formulación de la Estrategia Centroamericana para los Residuos de Aparatos Electrónicos y Eléctricos (RAEE)”

The Grenada Project (Grenada), 2014: Protein from Waste and Local Crops: Final technical/financial progress report.

Hermanidad de Honduras (Honduras), 2014: Informe tecnico final. Proyecto: “Aprovechamiento adecuado de los residuos sólidos en territorio Valle de Sensenti, Ocotepeque Honduras”

### **Final project reports (phase 2)**

Ruth’s Place, Antigua and Barbuda, 2016: Support the implementation of a sustainable community development initiative

Comisión Nacional de Energía, Dominican Republic, 2016: Informe final

Fundación Solar (Guatemala), 2015: Proyecto piloto: Recolección de Aceite Usado para producir Biodiesel, Disminuyendo la Contaminación del Agua Subterránea y Limpiando el aire de la Ciudad. Informe final.

Municipalidad de Desemparados (Costa Rica), undated: Informe final técnico

Fundación Aned and Municipalidad de Marcovia (Honduras), 2016: Proyecto Despertando la Resiliencia en Comunidades Costeras del Municipio de Marcovia, Honduras.

Movimiento Africa ’70 (El Salvador), 2016: Informe final narrative del proyecto

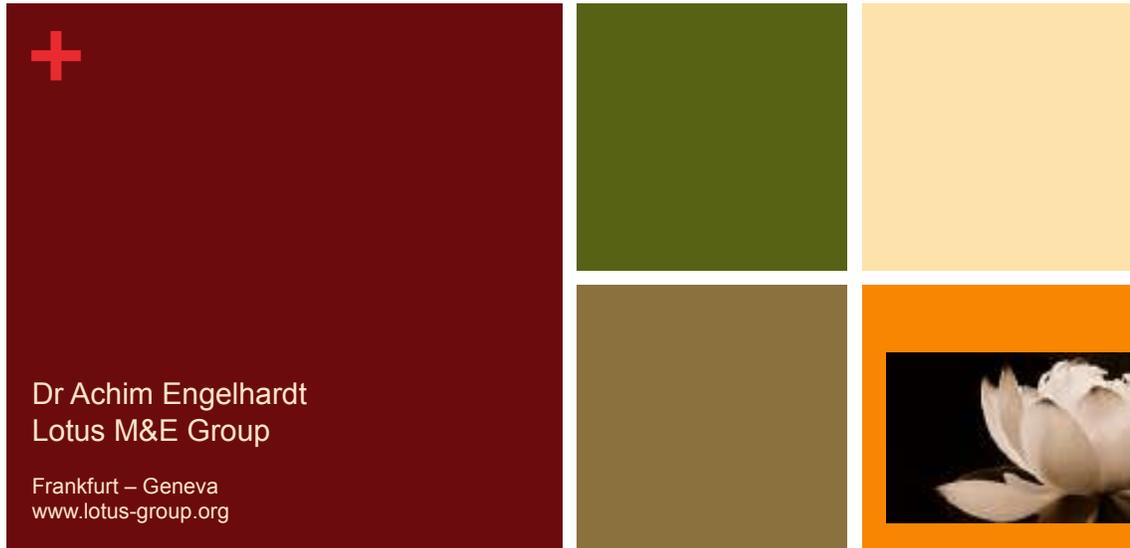
The Saint Lucia National Trust (Saint Lucia), 2016: Building sustainability of the coastal communities of Vieux-Fort, Saint Lucia and the Point Sable Environment Protection Area.

Universidad Galileo, Instituto de Recursos Energéticos (Guatemala), 2016: Informe final.

Nicoya Pensinsula Waterkeeper (Costa Rica), undated: Informe final técnico-financiero del Proyecto “Promoviendo buenas prácticas en gestión de residuos en las comunidades costeras de Mal País, Santa Teresa, Hermosa y Manzanillo”.

Hermanidad de Honduras (Honduras), 2015: Informe tecnico final. Fortalecimiento a la iniciativa de Reciclaje de Residuos Sólidos, Sub-proyecto "EMPRESOL" Como eco emprendimiento Micro-empresarial en el Valle de Sensenti, Ocotepeque, Honduras

## Annex 4: Evaluation framework



### **Evaluation of the program Sustainable Communities in Central America and the Caribbean (SCCAC)**

#### **Revised evaluation framework**

Prepared for the Organization of American States

February 2017

## List of acronyms and abbreviations

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D.C.	District of Columbia
DPE	Department of Planning and Evaluation
m	Million
M&E	Monitoring and evaluation
NGO	Non-government organization
OAS	Organization of American States
SCCAC	Sustainable Communities in Central America and the Caribbean
ToC	Theory of Change
ToR	Terms of Reference
U.S.	United States of America
USD\$	United States Dollar

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## 1. Introduction

The present document outlines the evaluation framework for the evaluation of the program Sustainable Communities in Central America and the Caribbean (SCCAC), phase I and II, implemented by the Organization of American States (OAS) and funded by the U.S. Department of State. This document has the following main objectives:

- a) Understanding of the evaluation (section 1);
- b) Development of evaluation framework containing:
  - o Evaluation methodology (section 2), sampling framework (section 2, figure 2) and evaluation matrix (Annex 1);
  - o Data collection protocols and analysis of information;
  - o Identification of data collection instruments: questionnaire and survey (section 2, Annexes 3 and 4);
  - o Identification and measurement of output and outcome indicators (baselines and targets) to measure the project's efficiency and effectiveness (Annex 2) ;
  - o Proposed table of contents of the final report (Annex 5)
- c) Presentation of a workplan (section 3), including key deliverables, as a result of conference calls with main stakeholders for fine-tuning of evaluation scope;
- d) List of program stakeholders and audiences for this evaluation (Annex 6).

### Evaluation background and purpose

The evaluation Terms of Reference (ToR)<sup>54</sup> clearly outline the background of this evaluation: “At the request of the US Permanent Mission the Department of Planning and Evaluation (DPE) is coordinating an external assessment of the program Sustainable Communities in Central America and the Caribbean (SCCAC), phase I and II. This assessment is part of the DPE greater efforts to conduct formative and summative evaluations of projects and programs executed by the OAS (...) These evaluations, in addition to systematizing and documenting the results of the interventions, have the goal of capitalizing on these experiences for the improvement of future project and program formulations and designs, and institutionalizing good practices in monitoring and evaluation within the Organization”.

The purpose of the evaluation can be summarized as follows:

- Conduct a formative and summative evaluation, as it is necessary, in order to identify the main achievements and results of the projects.
- Determine the relevance of the projects vis a vis the OAS mandates and priorities in the countries benefited by the interventions.
- Determine the efficiency and effectiveness of the projects as best reflected in the available results.
- Critically analyze the formulation, design, implementation and management of the projects and make recommendations as needed.

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<sup>54</sup> Secretary General of the Organization of American States: Project evaluation. Terms of Reference. Evaluation of the Efficiency and Effectiveness of the Sustainable Communities Program. Page 2.

- Assess the institutional and financial sustainability of the interventions financed by the projects.
- Document lessons learned related to the formulation, design, implementation, management and sustainability.
- Make recommendations, as appropriate, to improve the formulation, design and implementation for future similar interventions.
- Assess if and how the projects addressed the crosscutting issue of gender perspective and to what results.

The programme will be evaluated along the lines of the internationally applied evaluation criteria of relevance, efficiency, effectiveness and sustainability. The criterion of impact will not be applied, as foreseen in the ToR.

The primary clients for this evaluation are OAS, the U.S. Department of State (the donor), OAS Member States as well as the programme beneficiaries.

### **Program background**

As stated in the ToR for this evaluation “The SCCAC program addresses the challenges associated with rapid urbanization, in terms of infrastructure and housing, common spaces and sustainable transportation, the prevention and correction of pollution, the disposal of industrial and electronic waste, the promotion of pollution free consumption habits, and the management of sustainable technologies. Furthermore, the accelerated pace of urbanization is creating new forms of social and economic marginality that nurture crime and violence at epidemic levels. Cities often expand beyond their planned limits, and official and informal systems to provide water, sewerage, waste disposal, and other common services to these areas tend to be insufficient and inefficient. Moreover, cities are responsible for as much as 80 percent of global greenhouse gas emissions while at the same time city residents face significant impacts from climate change.

According to recent studies, Latin America and the Caribbean have the highest rate of urbanization in the developing world. The proportion of the region’s population living in cities doubled from 41% to 80% in the last 60 years. Likewise, economic activity in the region is significantly concentrated in its urban areas. Consequently, the OAS and its members recognized the need to implement actions to build and promote the creation of sustainable cities in the hemisphere, as reflected in the Summit of the Americas on Sustainable Development, held in Santa Cruz de la Sierra, Bolivia, December 1996. In this context the Department of Sustainable Development of the OAS has been working with member States on four areas under the sustainable cities theme: economic development, housing, pollution prevention and environmental protection, and sustainable transport. As a result of these efforts, 2 projects worth a little over US\$2 million have been executed to date”.

### **SCCAC Phase I: Sustainable Communities in Central America and the Caribbean (SID-1203) (US\$1.04 million)**

The objective of Phase I was to strengthen the capacities of government agencies, community associations and Non-government organizations (NGOs) in Central America and the Caribbean to build sustainable cities/communities based on i) improved access to basic

socioeconomic infrastructure; ii) recycling of e-waste and improved wastewater management; iii) increased resilience to natural disasters; iv) energy efficiency

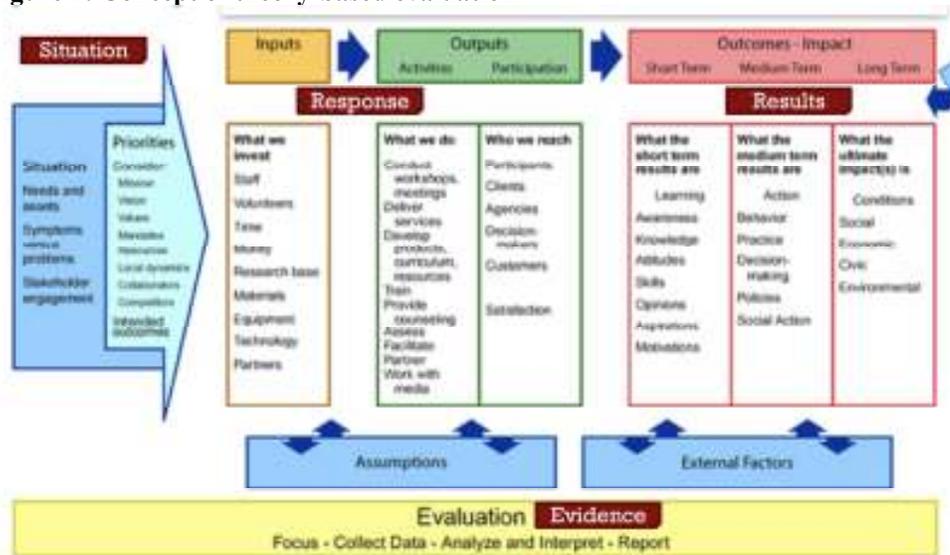
**SCCAC Phase II: Sustainable Communities in Central America and the Caribbean (SID-1305) (US\$1.01 million)**

The objective of Phase II is to strengthen the capacities of community associations and municipalities in order to build sustainable cities and communities, through the support of: i) a national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance; ii) knowledge sharing; iii) showcasing of advanced technologies that contribute to urban sustainability; and iv) a matching grant program awarded to Public Private Partnerships.

**2. Evaluation approach and methodology**

In the absence of a fully fledged program logframe<sup>ii</sup>, the Lotus M&E Group coincides with the choice of a theory-based evaluation, as partly stipulated in the evaluation ToR. Figure 1 outlines the theory-based evaluation approach, using a concept developed by the University of Wisconsin.

**Figure 1: Concept of theory-based evaluation**



Source: University of Wisconsin, modified; [www.uwex.edu/ces/pdande/evaluation/evallogiicmodel.html](http://www.uwex.edu/ces/pdande/evaluation/evallogiicmodel.html)

**2.1 Theory-base evaluation**

**Theory-based evaluation** specifies intervention logics, also called “theories of change” that are tested in the evaluation process. The theory of change is built on a set of assumptions and how the project designers think change will happen. Logically it is linked to the reconstructed logframe of the SCCAC project.

The added value of theory-based evaluation is that it further elaborates the assumptions behind both phases of the project, as well as linkages between output, outcomes and impact. In addition, the approach highlights stakeholder needs as part of a situation analysis. The

situation analysis also identifies barriers to creating sustainable communities. Analyzing the projects' response as well as results follow.

The following evaluation tools and processes are suggested for this evaluation:

11. Document review;
12. Conference calls with key stakeholders and assess more accurately the scope of the work and request the necessary information to perform effectively;
13. Theory of Change, verified with project team in OAS (via telephone);
14. Program evaluation questionnaire for individual interviews during the field visits to up to four program countries;
15. Use of the same questionnaire for telephone interviews with stakeholders in the other program countries and other relevant program stakeholders such as the Cities Alliance or the Clean Air Institute;
16. Survey to cover projects not included in the sample for site visits or telephone interviews (using questions from questionnaire);
17. Survey to graduates and other beneficiaries of capacity building activities;
18. Presentation of emerging evaluation findings to OAS (mid-term report), following the field visits and data analysis;
19. Draft evaluation report for feedback to OAS;
20. Finalization of evaluation report and presentation to OAS in Washington D.C.

## 2.2 Results from briefing calls

The results of the conference calls (item 2 above) with the project team, DPE as the contracting agent and the U.S. Department of State as the donor are summarized below:

### Scope

- Initial scope included phase II only but according to final version of ToR phases I and II should be dealt with equally in the evaluation. However, issue of traceability of stakeholders of phase I was discussed, given that projects ended in 2013, nearly 4 years ago;
- Project team is confident that about 75% of stakeholders would be traceable; however, experience tells that availability of key stakeholders for interviews/survey after the end of a development intervention (ex-post) might be even more limited due to staff rotation and conflicting priorities;
- Challenges to see “visible” changes in terms of infrastructure for demonstration projects focusing on increased resilience to natural disasters.

### Most and least significant change

- Identification of most significant change projects and least significant change projects;

- Start of considerations how to define “most or least significant change”, which criteria to apply (e.g. % of co-funding leveraged, number of direct beneficiaries, up-scaling of project elements or replication in other communities/cities). Project team made a proposal for criteria (sustainability, impact, innovation, inclusiveness, ability to involve different stakeholders and create partnerships and results delivered).

#### Expectations

- Demand also for quantitative data to strengthen the robustness of the evaluation, e.g. cost-benefit analysis;
- Requirements for an unbiased and thorough evaluation that distills learning for future sustainable cities engagement of the U.S. but emphasizing accountability.

#### Evaluation focus

- Answer main evaluation question for the donor: why does investing in sustainable cities through the OAS makes a difference? New leadership in the State Department will want to get an answer;
- What changes are achieved through capacity building? What are the tangible results?
- How was seed funding in demonstration projects used for scaling up and replication, influencing policy decisions or shaping the network of practitioners?
- In a nutshell: has the project achieved what it was supposed to achieve?

## 2.3 Sampling approach

Figure 2 on page 10 contains the sampling framework for the evaluation. All demonstration projects are listed. The Lotus M&E Group proposes to **evaluate all demonstration projects**, using a range of data collection methods. The sampling approach used allows distinguishing between projects where the *level of change* and *level of reach* justify the following data collection methods, as highlighted in table 2:

Table 2: Data collection methods and corresponding level of effort

<b>Data collection method</b>	<b>Level of effort for data collection</b>
Survey	Medium
Telephone interviews	Medium to high
Field visits with key stakeholder interviews, focus group interviews and observation	Very high

The evaluator developed the sampling framework independently but used inputs from the project team and the donor. The following paragraphs aim to explain the structure of the sampling framework with the purpose to better communicate its utility.

The sampling framework lists all demonstration projects by project number (as per project web portal) and according to the implementation phase: 14 projects for phase I and 10 projects for phase II,

The country of project implementation is listed next to the project number.

For each project the thematic focus is provided based on the information on the project web portal. Thematic foci comprise:

- Clear energy and energy efficiency
- Resilience to Natural Hazards

- Sustainable Transport Solutions
- Waste management

Next to the columns on thematic focus the sampling framework contains a column outlining the approach taken by the demonstration project. The evaluator identified the following broad approaches: focus on systems, piloting, strategy development, research or capacity building.

The following five columns contain the criteria to determine data collection tools for the individual demonstration projects: a survey, telephone interviews or field visits. The scoring is further explained on page 12.

Criterion 1 reflects the evaluator's results of the document review with regard to most significant change and the potential for up scaling reported in the project documentation. Criterion 2 reflects the donor interest. Following the inception call with the donor, the evaluator received a list outlining the donor interest in specific demonstration projects. Criterion 3 mirrors a summary of the project team's assessment of most significant change across the project portfolio based on a set of self-selected criteria such as results, innovation and sustainability. The evaluator received this assessment following the briefing call with the project team.

Criterion 4 addresses the reach of demonstration projects. The evaluator determined the threshold of 1000 beneficiaries to distinguish between demonstration projects with a micro reach (neighborhood, small community) and projects with a larger reach. The last criterion, number 5 considers the time-leg of interventions and addresses the issue of evaluability of demonstration projects.

Accessibility to stakeholders of demonstration projects of phase II with an end date in 2015 or 2016 is likely to be higher compared to the accessibility to stakeholders of projects that were completed in 2013 due to staff mobility among other reasons. Those differences in the evaluability of projects are reflected in the score for this criterion.

The following column contains the total score based on the individual scorings of the 5 selection criteria.

The second last column contains a short summary on the projects "reach" based on the reporting of demonstration projects.

The last column lists the suggested data collection methods.

**Figure 2: Proposed sampling framework to determine field visit and use of other means for data collection**

Project number	Country	Thematic focus (Phase I and 2)				Approach	Selection criteria; 1 score per criteria, max score: 5					Total score	Proposed means for data collection	
		Clean Energy and Energy Efficiency	Resilience to Natural Hazards	Sustainable Transport Solutions	Waste management		1. Most significant change (MSC) re: potential for up-scaling based on evaluator's document review Max score: 1 if MSC	2. Donor interest	3. Programme team: MSC	4. Reach Max score: 1 (if 1000 people or more benefitting)	5. Reduced time-lag to ensure stakeholder accessibility  Max score: 1 if phase II			
													Observations on reach	
1	Dominican Republic	X				Systems	Potential for national up-scaling: score 1	0	1	Up to 2m people in rural areas: score 1	0	3	Support for up-scaling micro-hydroelectric village-scale systems nationwide	Telephone interviews
2	Guatemala	X				Pilot	Unclear: score 0	0	0	120 families: score 0	0	0	Adoption of bio digestion technologies benefitting 120 families, gender focus	Survey
3	Nicaragua	X				Pilot	Unclear: score 0	0	1	100 families: score 0	0	1	Micro-industry for vegetable oil benefitting 100 families, aligned to GIZ cooperation (but not direct project partner)	Survey
4	Nicaragua	X				Pilot	Unclear: score 0	0	0	30 families: score 0	0	0	Capacity building (Communities, institutions) for use of photovoltaic energy, 30 families benefitting	Survey
5	Guatemala		X			Systems	Unclear: score 0	0	0	Unclear: score 0	0	0	Tools to apply risk reduction techniques to wild fires in 2 communities in Petén	Survey
6	Guatemala		X			Pilot	Potential for national up-scaling: score 1	0	0	20.000 people: score 1	0	2	Strengthen the capacity of indigenous communities to prevent and mitigate the risk of natural disasters in the Central Highlands of Guatemala in 7 communities, benefitting indirectly 20.000 people	Telephone interviews
7	St. Kitts and Nevis		X			Systems	Potential for national and regional up-scaling: score 1	0	0	12,000 people: score 1	0	2	Community resilience to drought, flooding and other natural hazards in each of the islands 5 parishes, benefitting 12,000 people on the island of Nevis	Telephone interviews
8	Costa Rica			X		Systems	Unclear: score 0	0	0	Unclear: score 0	0	0	Contribute to the implementation of an alternative integrated urban transport system in the greater metropolitan area of Costa Rica through bicycle use	Survey
9	St. Kitts and Nevis			X		Strategy	Potential for national and regional up-scaling: 1	1	0	13.000 people: score 1	0	3	Introduce Sustainable Transportation for St. Kitts-Nevis with the use of facilities for non-motorized modes in Basseterre City, impacting up to 13.000 inhabitants	Telephone interviews
10	Trinidad and Tobago			X		Research	Unclear: score 0	0	0	Unclear: score 0	0	0	Comparatively analyze cultural heritage of four Caribbean cities for elements of smart urban design that decrease car use	Survey
11	Belize				X	Capacity	Unclear: score 0	0	0	Unclear: score 0	0	0	Sustainable Recycling and Reuse - Pilot Project	Survey

OAS: Evaluation of the Program Sustainable Communities in Central America and the Caribbean

					building										
12	El Salvador				X	Research/ strategy	Unclear: score 0	0	1	Unclear: score 0	0		1	Formulate the Waste Electrical and Electronic Equipment Strategy for Central America	Survey
13	Grenada				X	Pilot	Potential for true innovation & up-scaling in the region: score 1	1	1	100.000 people: score 1	0		4	Recycle certain of the island's waste streams to manufacture a protein product that will lower the cost of feeding poultry, benefitting 100.000 people	Visit
14	Honduras				X	Systems	Potential for true innovation & up-scaling in the region: score 1	0	1	65.000+: score 1	0		3	Create a waste management system through a micro-enterprise model in 13 communities, linked to much larger project funding from other source	Telephone interviews
1	Antigua & Barbuda	X				Capacity building	Unclear: score 0	0	0	7,500 people: score 1	1		2	6 communities averaging 7,500 adult persons benefitting from solar energy, gender focus	Telephone interviews
2	Dominican Republic	X				Pilot	Unclear: score 0	0	1	Unclear: score 0	1		2	Reduce energy costs of a non-governmental organization (NGO) with a high social impact.	Survey
3	Guatemala	X				Systems	Potential for national and regional up-scaling: score 1	1	1	Up to 2 m people: score 1	1		5	Collection of cooking oil from 400 eateries in six markets of Guatemala City and its transformation into biodiesel	Visit
4	Costa Rica		X			Pilot	Unclear: score 0	0	0	500 people: score 0	1		1	Planning, design and implementation of river protection measures in Higuito de San Miguel, benefitting 500 people directly	Survey
5	Honduras		X			Systems	Unclear: score 0	0	0	Unclear: score 0	1		1	Strengthen resilience of poor households affected by natural disasters	Survey
6	El Salvador		X			Systems	Unclear: score 0	1	0	210 people: score 0	1		2	Create a monitoring, alarm and communication network for floods cases in Sensunapán watershed benefitting 210 people directly (i)	Survey
7	Saint Lucia		X			Systems	Potential for national and regional up-scaling: score 1	1	0	5875 people: score 1	1		4	Public-private partnerships for integrated approach towards local sustainability in the south of Saint Lucia benefitting 5875 people	Visit
8	Guatemala			X		Research	Potential for national and regional up-scaling: score 1	1	1	Up to 2 m people: score 1	1		5	Promote and validate hybrid systems in 10 engines Diesel employing public transport	Visit
9	Costa Rica				X	Systems	Potential for national up-scaling: score 1	0	0	5.000 people: score 1	1		3	Promoting waste management good practices in the coastal communities of Mal País, Santa Teresa, Hermosa and Manzanillo, benefitting 5.000 persons	Telephone interviews
10	Honduras				X	Follow-up project from phase I	Potential for true innovation & up-scaling in the region: score 1	1	1	100.000 people: score 1	1		5	Alternative waste management system implemented by the eco-entrepreneurship of EMPRESOL as a unique model in its sector to generate self-employment through recycling profitability, benefitting 100.000 people	Visit

To make the choice of data collection tools transparent, the sampling approach presented in Figure 2 used the following criteria for all projects: i) Most significant change in terms of potential for up scaling, based on the evaluator’s document review; ii) Donor interest; iii) Most significant change identified by the project team; iv) reach of number of beneficiaries; and v) reduced time-leg to enhance accessibility of project stakeholders. For each criterion a score of either “0” or “1” was allocated: “1” for meeting the criterion and “0” for not meeting the criterion. For the criterion of reach, “1” was allocated using a threshold of 1000 persons. For the criterion of time-leg, a “1” was allocated to projects of phase II and a “0” for projects of phase I.

A survey is suggested for projects with a score of “0 to 2”. A score of “3” qualifies projects for telephone interviews and a score of “4 to 5” for a field visit. The project manager can be targeted only for both, surveys and telephone interviews. Experience tells that beneficiaries can’t be reached through those data collection tools. To also reflect beneficiary views, field visits are the most suitable option.

As a result of this sampling approach, the following projects are selected for field visits:

- Project No. 13, phase I (The Grenada Project, Grenada)
- Project No. 3, phase II (Recolección de Aceite Usado para producir Biodiesel, Disminuyendo la Contaminación del Agua Subterránea y Limpiando el Aire de la Ciudad, Guatemala)
- Project No. 7, phase II (Managing risks to the coastal communities of Vieux Fort, Saint Lucia and the Pointe Sable Environmental Protection Area from natural hazards in the coastal zone and vulnerability to climate change, Saint Lucia)
- Project No. 8, phase II (Validación de sistemas híbridos a base de H2O, adaptados a motores de combustión interna diesel, para disminuir el consumo de combustible fósil y las emisiones de gases contaminantes a la atmósfera, Guatemala)
- Project No. 10, phase II (Fortalecimiento a la empresa de reciclaje de residuos sólidos, "EMPRESOL" como eco emprendimiento micro empresarial en el Valle de Sensenti, Ocotepeque, Honduras) (TO BE REPLACED, see below)

In addition, a balance between the four thematic foci<sup>55</sup> was considered for the selection of projects for field visits, as well as a balanced geographical representation between Central America and the Caribbean for learning from both sub-regional experiences.

For the capacity building events, contact details of all 800+ graduates are available in the



Given a recent travel warning from the U.S. Department of State for Honduras, it is suggested to replace Project No. 10, phase II with another high scoring project.

Project No 1, phase I, Project No 9 of phase I, Project No 10, phase I and project No 9, phase 2 are all scoring “3” and would qualify as a replacement for Project No. 10, phase II.

Following an in-depth discussion with DPE, the evaluator proposes to visit project 1, phase I as a replacement: the “Centro Alternativo rural El Limon” to support up-scaling micro-hydroelectric village-scale systems in the Dominican Republic. The rationale for this decision is based on a certain degree of similarity between the remote rural land-locked locations and lower level of economic development of the project sites. Despite the challenge in finding a comparable project to Project No. 10, phase II in Central America, the proposed alternative project is located in a Spanish speaking country with different socio-economic characteristics than the other projects sites in the Windward Islands of the Caribbean.

project management systems. All graduates will be contacted to participate in a web-based

<sup>55</sup> Clear energy and energy efficiency; Resilience to Natural Hazards; Sustainable Transport Solutions; Waste management

survey using survey monkey technology. The expected response rate ranges typically around 10% to 15%. With sending at least 2 reminders, the response rate should be further increased to achieve a higher level of representativeness for evaluation purposes. In addition, counterparts in organizing and running the 10 graduate courses will be interviewed either by phone or skype.

## 2.4 Data analysis

Data will be analyzed according to the evaluation criteria and evaluation questions, using the qualitative and quantitative data from the data collection. An excel spreadsheet listing all evaluation questions will be used and replies listed according to the relevant evaluation question.

Quantitative data will be aggregated. Qualitative data will also be quantified to the extent possible.

Using quotes from interviews and stories that might emerge during the interviews will complement this strongly quantitative approach.

## 3. workplan

The evaluation workplan in Figure 5 outlines all main steps for the evaluation. This is further specified in Annex 5.

**Figure 3: Evaluation workplan**

Evaluation steps	Dates
1. Preparation, including briefing call with OAS	9 to 13 January
2. Document review, including scoping calls Delivery of evaluation framework, including questionnaire and workplan	16 to 20 January
3. Theory of change (TOC) conference call with programme team	13 February
4. TOC reconstruction and logframe reconstruction	14 to 24 February
5. Stakeholder telephone interviews, including for sampled projects not to be visited	1 to 30 March
6. Survey for selected projects and participants of capacity building events	1 to 30 March
7. Field visits to samples projects	18 to 26 March 8 to 23 April
8. Mid-term report	18 May
9. Mission to OAS and feed back round on mid-term report	(28-31 May) to be confirmed
9. Draft final report	20 June
10. Feedback period	21 June to 30 June
11. Final Report	5 July
12. Presentation to OAS	7 July

This report concludes with six Annexes.

- Annex 1: Evaluation matrix with evaluation questions, proposed evaluation tools and data sources
- Annex 2: Project logic, including, outcomes, outputs and proposal for reconstructed indicators
- Annex 3: Evaluation questionnaire for project managers and partners

- Annex 4: Evaluation survey for participants of project capacity building
- Annex 5: Proposed report outline
- Annex 6: Main project stakeholders

**Annex 1 Evaluation matrix**

	<b>Evaluation questions</b>	<b>Proposed evaluation tools</b>	<b>Data source</b>
<b>Relevance: Is SCCAC doing the right thing?</b>	How relevant is SCCAC vis a vis policy priorities from a) Countries benefited by the project? b) U.S. Department of State? c) Mandates of OAS?	Document review Interviews (OAS programme team and donor, validation by in country focus group)	Project profile, GS resolutions, OAS strategy documentation and other documents; project stakeholders; commented by expert opinion
	To what degree are the projects consistent in their design with Sendai 2015-2030, HABITAT III and World Urban Forum mandates?	Document review Interviews	Project profile; key documentation of Sendai 2015-2030, HABITAT III and World Urban Forum commented by expert opinion Steering Committee members
	To what degree are the projects consistent in their design to achieve the United Nations Sustainable Development Goals and the 2030 agenda?		
	To what extent is the model compatible with existing locally funded initiatives to create sustainable communities?	Document review Interviews (OAS programme team and donor, validation by in country focus group)	Project profile Donor, project team, in country focus groups
	How did the intervention address the cross-cutting issue of gender?		
<b>E f U</b>	To what extent were project stakeholders involved in the project design?	Document review	Project profile; project stakeholders

	<b>Evaluation questions</b>	<b>Proposed evaluation tools</b>	<b>Data source</b>
	Was the programme's implicit Theory of Change valid?	Interviews (OAS programme team and donor, validation by in country focus group)	Project profile, monitoring reports and other documents; project stakeholders; commented by expert opinion
	Was the process for the selection of beneficiaries done based on a pre-established criteria? Were the criteria appropriate?	Document review	Project profile; commented by expert opinion
	Did the project team apply results based management principles from its inception to its conclusion?	Document review	Project profile, monitoring reports and other documents; commented by expert opinion
	Were lessons learnt from Phase I taken into account during the design and applied during the implementation of Phase II?	Document review Interviews with programme team	Project profile; programme team; commented by expert opinion
	Were good practices taken into account during the design?	Document review Interviews with programme team	Project profile; programme team; commented by expert opinion
	Did projects include specific requirements for conducting follow-up of training activities in order to measure: increased skills, awareness and abilities among recipients; changes in practices and the strengthening of institutions where such individuals work?		
	To what extent did various partners play appropriate roles and responsibilities in the project implementation?		
	To what extent did the project team facilitate timely project implementation?	Document review Interviews (OAS programme team, in country focus group, individual interviews and telephone interviews/survey)	Project profile, monitoring reports and other documents; project stakeholders; commented by expert opinion

	<b>Evaluation questions</b>	<b>Proposed evaluation tools</b>	<b>Data source</b>
	Was the purpose for each project achieved (evidence based, not conjectures or anecdotal)?	Document review Interviews (OAS programme team, in country focus group, individual interviews and telephone interviews/survey) Observation during field visit	Monitoring reports; project stakeholders; commented by expert opinion
<b>Effectiveness: were project results achieved and how?</b>	To what extent were program outputs and outcomes achieved?		
	Have the small grants had an effect in local communities receiving them?		
	To what extent has the project adequately laid the foundation for communities or institutions to be better positioned and equipped to address urban sustainability issues in the respective countries?		
	Have the projects fostered the development of key partnerships among public, private and academic institutions?		
	Have good practices and lessons learned been shared and exchanged among participating stakeholders?		
	What are major internal and external factors that influenced or impacted on the implementation of the project? What are implications on future interventions?		
	To what extent did the individual projects achieve results for women in the specific project context?		
Have the grant projects received co-financing? Has the co-financing continued after the OAS part of the project completed?			
	Is the grant amount effective enough?  How was it determined and does it vary depending on the context, environment, country?		

	<b>Evaluation questions</b>	<b>Proposed evaluation tools</b>	<b>Data source</b>
<b>Sustainability: Lasting results?</b>	<p>To what extent are policies, strategies and frameworks in place to enable the replication or up scaling of SCCAC funded projects?</p> <p>Are there clear examples where grant projects have been scaled up and/or been replicated?</p>	<p>Interviews (in country focus group, individual interviews and telephone interviews/survey)</p> <p>Observation during field visit</p> <p>Document review</p>	<p>Project stakeholders; commented by expert opinion</p>

**Annex 2: Intervention Logic, including outcomes, outputs and proposal for reconstructed indicators**

	Phase I	Indicators (reconstructed)	Phase II	Indicators (reconstructed)
Goal (as per project)	To contribute to advancing the sustainable cities agenda, energy sustainability and low carbon economic growth in the context of the Energy and Climate Partnership of the Americas	% of initial total project investment matched by financing after end of project	To contribute to advancing the sustainable cities agenda, energy sustainability and low carbon economic growth in the context of the Energy and Climate Partnership of the Americas	% of OAS project investment matched by financing after end of project
Purpose (as per project profile)	Community associations and NGOs in Central America and the Caribbean have strengthened their capacities to build sustainable cities/communities	<p>Proxy indicators<sup>56</sup>: <i>(to be presented per project and aggregated)</i></p> <p>Increase of no./% of people with improved access to basic socioeconomic infrastructure from X in 20ZX to Y in 20ZY</p> <p>Increase of metric tons/% of e-waste recycled from X in 20ZX to Y in 20ZY</p> <p>Increase of cubic meters/% of waste water managed from X in 20ZX to Y in 20ZY</p> <p>Increase of no./% of people benefitting directly from resilience to natural disasters from X in 20ZX to Y in 20ZY</p> <p>Increase in no./% of “green” jobs created from X in 20ZX to Y in 20ZY</p>	Community associations and municipalities have strengthened their capacities to build sustainable cities/communities based on (i) improved access to basic socioeconomic infrastructure; (ii) recycling of e-waste and improved wastewater management; (iii) increased resilience to natural disasters; (iv) energy efficiency and (v) “green” employment opportunities.	<p>Proxy indicators: (per project and aggregated)</p> <p>Increase in % of OAS project investment matched by co-financing from X in 20ZX to Y in 20ZY</p> <p>Increase of No./%. of people with improved access to basic socioeconomic infrastructure from X in 20ZX to Y in 20ZY</p> <p>Increase of metric tons/% of e-waste recycled from X in 20ZX to Y in 20ZY</p> <p>Increase of cubic meters/% of waste water managed from X in 20ZX to Y in 20ZY</p> <p>Increase of no./% of people benefitting directly from resilience to natural disasters from X in 20ZX to Y in 20ZY</p> <p>Increase in no./% of “green” jobs created from X in 20ZX to Y in 20ZY</p>

<sup>56</sup> Proxy indicators seem relevant particularly for the expanded purpose statement in the project profile for phase II. Measures also relate to UN Sustainable Development Goal 11 (Make cities inclusive, safe, resilient and sustainable), target 2 on access to public transport, target 6 on waste management, target 8 on positive economic development and target 9 on resilience to disasters.

Output 1 (as per project profile)	<p>Result 1: Matching grants awarded to civil society organizations (community associations, NGOs, etc.) in Central America and the Caribbean to finance implementation of 25 subprojects and community collaborative partnerships for socioeconomic analysis of infrastructure and services, and productive, market-oriented investments and tools in sustainable cities/communities, energy efficiency and eco-efficiency.</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Establish key partnerships and steering committee</li> <li>• Develop outreach strategy and Request for Proposals</li> <li>• Advertise and disseminate a series of Request for Proposals</li> </ul>	<p>No. of steering committee members being active (quantity, quality and time), not baseline Target: xx%</p> <p>No. of RfPs received Target: xx</p> <p>No. of projects funded Target: xx</p>	<p>Sub national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance strengthened</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Participate at a Municipal Dialogue on Urban Sustainability and Governance</li> <li>• Hold a week-long Spanish course on urban sustainability for municipal officials in Medellin, Colombia</li> <li>• Hold a week-long English course on urban sustainability for municipal officials in St. Augustine, Trinidad and Tobago</li> <li>• Organize a side event that brings together U.S. and LAC mayors and civil society stakeholders to discuss good practices for urban sustainability at the 7th World Urban Forum</li> </ul>	<p>% of available places filled Target: xx%</p> <p>% of available places filled Target: xx%</p> <p>% of majors among the participants of the side event Target: xx%</p>
Output 2 (as per project profile)	<p>Result 2: Institutional Capacity building plan implemented in Central America and the Caribbean resulting in knowledge exchange, technical assistance and capacity building on sustainable cities/communities, energy efficiency, and eco-efficiency delivered through related meetings held by key players in urban renewal.</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Organize at least three seminars to train on government officials and NGOs</li> <li>• Develop outreach materials documenting outputs and case studies to facilitate knowledge exchange.</li> <li>• Create a web portal as the main virtual platform for dissemination</li> </ul>	<p>% of participants from government, % of participants from NGOs Target: xx</p> <p>No. of case studies used in seminars Target: X</p> <p>No. of monthly web portal users Target: X</p>	<p>Knowledge sharing facilitated and lessons learned from U.S.-supported sustainable city demonstration projects in the Americas disseminated. Case studies and lessons learned from 14 demonstration projects supported in Phase I of the Project will be disseminated</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Develop a virtual course on sustainable cities</li> <li>• Elaborate publication with case studies and lessons learned from 14 demonstration projects supported in Phase I of the Project</li> </ul>	<p>No. of users of the virtual course Target: X</p> <p>No. of downloads of publication Target: X</p>
Output 3 (as per project profile)	<p>Result 3: M&amp;E, Dissemination of Results, and Project Administration (procurement, disbursement, and audits).</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Institutional assessment and sustainable communities' activities planned, executed and evaluated.</li> <li>• Disseminate project outcomes at hemispheric and/or regional events</li> <li>• Organize a final meeting to share project results and outputs.</li> </ul> <p>Implement project M &amp; E according to OAS rules and standards. Mid-term review, assessments, and yearly audits</p>	<p>% of institutional assessments Target: xx%</p> <p>No. of project case studies used at hemispheric and/or regional events Target: X</p> <p>% of projects represented at final meeting Target: xx%</p>	<p>Utility of advanced technologies that contribute to urban sustainability showcased and demonstrated.</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Support a public-private partnership effort to compile an eco-citizen map for a Latin American City</li> <li>• Highlight and demonstrate the utility of geospatial technologies</li> </ul>	<p>% of co-financing from non-project sources Target: X</p> <p>% of available places filled in events Target: xx%</p>

Output 4 (as per project profile)			<p>Matching grants awarded to Public Private Partnerships to finance implementation of 25 subprojects and community collaborative partnerships for socioeconomic analysis of infrastructure and services, and productive, market-oriented investments and tools in sustainable cities/communities, energy efficiency and eco-efficiency.</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Develop and advertise a Request for Proposals (RfP) that intends to finance 8 separate Public Private Partnership proposals</li> <li>• Share lessons learned and project results by disseminating on-line and at a final implementer's technical meeting</li> <li>• Create a web portal as the main virtual platform to disseminate project outputs and deliverables including capacity building workshops and outreach materials</li> </ul>	<p>No. of RfPs for PPPs received Target: xx</p> <p>No. of PPP projects funded Target: 8</p> <p>No. of downloads of lessons learned Target: X</p> <p>No. of monthly webportal users Target: X</p>
Output 5 (as per project profile)			<p>M&amp;E, Dissemination of Results, and Project Administration (procurement, disbursement, and audits).</p> <p><b>Activities:</b></p> <ul style="list-style-type: none"> <li>• Plan and execute sustainable communities' project activities</li> <li>• Disseminate project outcomes at hemispheric and/or regional events</li> </ul>	<p>No. of project case studies used at hemispheric and/or regional events Target: X</p>

### Annex 3 Evaluation questionnaire: programme managers and partners

(For programme managers, programme partners and steering committee; questions also used for survey to selected projects; to be piloted first)

Name	Position	Organization/Enterprise	Date

(A) Relevance

1. To what extent is the OAS Sustainable Communities model compatible with existing locally funded initiatives to create sustainable communities?

	Very high	High	Medium	Low	Very low	No answer
Compatibility in general						
Compatibility with regard to:						
a) Information exchange						
b) Joint planning						
c) Joint funding						
d) Joint actions						

*Please explain, including naming the locally funded initiative:*

2. To what extent is the OAS Sustainable Communities model linking to other U.S. programmes projects or interventions from other funding sources?

	Very high	High	Medium	Low	Very low	No answer
USAID Citylinks						
APA research centers						
IDB's Emerging and Sustainable Cities Platform						
U.S. Secretary of State's Global Partnership Initiative on Accelerating Market-driven Partnerships						
U.S. EPA's Building Blocks for Sustainable Communities and Climate Showcase Communities programs						
Other donors (please name the donor & project):						

Please explain, very high and very low ratings :

**(B) Efficiency: appropriate use of resources**

3. To what extent was knowledge transferred from Phase I to the design and applied during the implementation of Phase II? (for programme team and steering committee, not in survey)

	Very high	High	Medium	Low	Very low	No answer
Lessons learned						
Good practices						

Please explain your assessment:

4. To what extent did projects include specific requirements for conducting follow-up of training activities: (for programme team only, not in survey)

	Yes	No	No answer
Increased skills			
Increased awareness and abilities among recipients			
Changes in practices			
Strengthening of institutions			

5. Were the roles and responsibilities played by various partners in the project implementation appropriate to achieve results? Yes or no? Please explain.

	Yes	No	No answer
OAS			
Other partners in OAS			
Steering Committee			
Public sector partner(s) in countries			
Academia in countries			

Private sector partner(s)			
Civil society			
Donor USA			

Please explain your assessment, especially where difference in the performance during planning and implementation occur.

6. To what extent did the programme team facilitate timely project implementation?

Please explain your assessment:

**(C) Effectiveness: achievement of project results**

7. To what extent have project activities achieved the planned results?

Achievement of planned activities	Very high	High	Medium	Low	Very low	No answer/ not applicable
<b>Project level results</b>						
Improve the urban poor access to basic socioeconomic infrastructure						
Promote recycling of waste and encourage improved wastewater management						
Increase resilience to natural disasters						
Promote energy efficient community based activities						
Generate "green" employment opportunities at the community level						
Results for women						
<b>Higher level results</b>						
Community associations, NGOs and municipalities have strengthened their capacities to build sustainable cities/communities						
Sub national dialogue, capacity building, and peer learning on sustainable urban development and municipal governance strengthened						
Knowledge sharing facilitated and lessons learned from U.S.-supported sustainable city demonstration projects						

Utility of advanced technologies that contribute to urban sustainability showcased and demonstrated.						
Effect on local communities :						
Implement co-financed Public Private Partnerships (PPPs) for sustainable urban development						
Overall satisfaction with results achieved						
Others						

For “very high” or “very low” ratings, please explain your assessment and the reasons influencing the performance:

Major internal factors:

Major external factors:

8. What are their implication on future interventions?

Please explain your assessment

9. What are the major strengths of the project and what are the major weaknesses?

Please explain your assessment

**(D) Sustainability: lasting results?**

10. How financially sustainable is the demonstration project? Please state the budgets for continuing, up-scaling or replication the demonstration project since the end of the OAS funding, including from profits made:

Funding source: (donors, profits, etc.)	Continuation USD	Up-scaling USD	Replication in another site USD
1.			
2.			
3.			
4.			
5.			

6.			
7.			

11. To what extent are policies, strategies and frameworks in place to enable the replication or up scaling of SCCAC funded projects?

12. Overall, how would you assess the likelihood that the results achieved will last?

	Very high	High	Medium	Low	Very low	No answer
Overall sustainability						

For “very high” or “very low” ratings, please explain your assessment and the reasons influencing sustainability:

#### Annex 4 Evaluation survey: Participants of Project capacity building

(For participants of trainings events, courses, other capacity building related events)

Name	Position	Organization/Enterprise	Public sector	Private sector	Academia	Date

1. 1 Do you feel that the training was worth your time?

	Yes	No
Please explain your assessment:		

1.2 What were the biggest strengths of the training, and the biggest weaknesses?

1.3 Would you recommend that same training to colleagues?

Yes	No

2 To what extent has the training increased your knowledge in one of the following areas?

Knowledge in:	Very much	Much	Medium	Little	Very little	No answer/not applicable
Building sustainable cities/ communities						
Sustainable urban development						
Municipal governance						
Learning from sustainable city demonstration projects						
Advanced technologies that contribute to urban sustainability						
Gender related issues to build sustainable cities/communities						

3. To what extent has the training helped you to do things differently in your job in one of the following areas?

Doing things differently in:	Very much	Much	Medium	Little	Very little	No answer/not applicable

Building sustainable cities/ communities						
Sustainable urban development						
Municipal governance						
Learning from sustainable city demonstration projects						
Advanced technologies that contribute to urban sustainability						
Gender related issues to build sustainable cities/communities						

Please explain why do can/can't do things differently using 1-2 examples

4. To what extent has the training helped you and your organization to achieve the following:

Changes	Very much	Much	Medium	Little	Very little	No answer/not applicable
Self-confidence based on your increased know how						
Increased responsibilities in your job						
Job promotion in your organization due to increased know how						
Changed jobs due to increased know how						
Increased satisfaction of line management						
Increased performance of on-going interventions you are involved in to build sustainable cities/communities						
Preparation of a project proposal for building sustainable cities/communities to any kind of funding source						
Submission of a project proposal for building sustainable cities/communities to any kind of funding source						
Funding awarded for project proposal for building sustainable cities/communities from any kind of funding source						
Changes in the academic curriculum of my institution						

Please explain your assessment in cases of “very much” ratings and areas where you are personally disappointed about the lack of change.

In case of project proposals prepared, submitted or awarded, please state the \$ value of the project

## **Annex 5: Proposed rePort outline**

### **Section I: Introduction**

- 1.5 Project Background
- 1.6 Evaluation Background
- 1.7 Evaluation Methodology And Approach
- 1.8 Reconstructed project Theory Of Change

### **Section II: Findings And Conclusions**

#### **2. Project Relevance: Is SCCAC Doing The Right Thing?**

- 2.10 Alignment To OAS Mandates
- 2.11 Relevance For Strategies Of U.S. Department Of State
- 2.12 Relevance For Project Countries' Policy Priorities
- 2.13 Relevance For Project Countries' Policy Priorities
- 2.14 Consistency With Sendai 2015-2030, Habitat Iii And World Urban Forum Mandates
- 2.15 Consistency With United Nations Sustainable Development Goals And The 2030 Agenda
- 2.16 Compatibility With Existing Locally Funded Initiatives To Create Sustainable Communities
- 2.17 Compatibility With Cross-Cutting Issue Of Gender

#### **3. Efficiency: Were Resources Used Appropriately To Achieve Project Results?**

- 3.8 Validity Of Theory Of Change
- 3.9 Beneficiary Selection Criteria
- 3.10 Use Of Good practices And Lessons Learned For Project Design
- 3.11 Tracking Results Of Training Activities
- 3.12 Roles And Responsibilities In Project Implementation
- 3.13 Project Team's Timeliness In Project Implementation
- 3.14 Cost-Effectiveness

#### **4. Effectiveness: Were Project Results Achieved And How?**

- 4.4 Achievement Of Project Outputs
- 4.5 Effects Of Small Grants On Local Communities
- 4.6 Communities And Institutions Fit For Urban Sustainability?
- 4.7 Partnerships Among Public, Private And Academic Institutions
- 4.8 Exchange For Good practices And Lessons Learned
- 4.9 Factors Affecting Project Performance
- 4.10 Results For Women

#### **5. Sustainability: Are Results Lasting?**

- 5.3 Policies, Strategies And Frameworks For Replication And Up-Scaling
- 5.4 Examples For Replication And Up-Scaling

### **Section III: Learning For New Project On Sustainable Communities**

### **Section IV: Recommendations**

## Annex 6 Main program stakeholders

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2. Griffin, Andrew A <GriffinAA@state.gov> (GriffinAA@state.gov) Extensive work in the project and Steering Committee on EcoCity Builders work
2. Kevin Nelson (kenelson@usaid.gov) Worked on WUF7, US EPA Building Blocks with us and now with US AID Urban Affairs
4. Claudia Adriaola-Steil [mailto:CADriaola@wri.org] Worked on sustainable transport issues with us and reviewed proposals
5. Mark Lambrides mlambrides@worldbank.org Worked on sustainable energy issues with us and reviewed proposals
6. Ruben Contreras -- ruben.e.contreras@gmail.com ; Rcontreras@irena.org Worked on sustainable energy issues with us and reviewed proposals
7. Jeff Soule, FAICP JSoule@planning.org, Director of Outreach and International Programs, The Director of Outreach and International Programs is responsible for the international program, which serves APA members in over 80 countries and governments through funded, capacity-building efforts from China to Latin America.
8. Gregory Scruggs gscruggs.apa.consult@gmail.com Reviewed proposals and organized Caribbean Urban Forum (CUF) with us.
9. Asad Mohammed <Asad.Mohammed@sta.uwi.edu>
10. Jennifer Graeff Reviewed proposals and organized World Urban Forum (WUF) and Habitat 3 with project. Jennifer Graeff (jgraeff@planning.org)

## Annex 5: Visual observations from the evaluation visits



Top-left: coastal protection in Vieux-Fort, Saint-Lucia; Top-center: Plant to transform waste into protein for chicken feed in Grenada; Top-right: Inspection of chicken farm in Grenada using chicken feed from OAS-funded project; Center left: protection against illegal parking in Vieux-Fort, Saint Lucia; Center right: Laborers at chicken farm using chicken feed from OAS-funded project in Grenada; Bottom left: main landfill in Grenada; Bottom right: Interview with leader of local water committee overseeing functioning of hydropower plant, Dominican Republic. ↵



Top left: Project manager visiting disabled community member, in charge of internet security (following hydro-powered electrification), Dominican Republic; Top right: sticker to promote recycling of used cooking oil, at local market in Guatemala City ; Center left: Community Center in El Limon, out of use, Dominican Republic; Center right: validation of functioning of hydrogen technology in diesel motors at the BioTrash Inc. plant in southern Guatemala City; Bottom left: small hydropower plant, community managed in El Limon, Dominican Republic; Bottom right: municipal gas station in Guatemala City with biodiesel containing used cooking oil



Top left: Evaluation visit to the Ministry of Environment and Natural Resources in Guatemala City; Top right: Visit to local market in Guatemala City to verify collection of used cooking oil; Center left: Inspection of local market in Guatemala City identifying bottlenecks in collection of used cooking oil; Center right: vehicle of OAS project partner using biodiesel; Bottom: Collection of used cooking oil in a restaurant, Guatemala City

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<sup>i</sup> Antigua and Barbuda (project 1, demonstration on solar energy), Guatemala (project 3, Recycling of cooking oil) and project 8 on motors operating with hydrogen (HHO) technology), Saint Lucia (project 7, coastal protection), Costa Rica (project 9, waste management) and Honduras (project 10 waste management enterprise).

<sup>ii</sup> No OAS corporate requirement at the time of project design, as explained by the project team