

# Mid-Term Review: ASEAN Australia Smart Cities Trust Fund (AASCTF)

## Final Report

Department of Foreign Affairs and Trade  
October 2022

Undertaken by:

**Adam Smith  
International**



Certified  
This company meets the  
highest standards of social  
and environmental impact

On behalf of:



**Australian Government**

**Department of Foreign Affairs and Trade**

# Table of Contents

Table of Contents .....	1
List of Acronyms .....	2
Executive Summary .....	3
<b>1. Introduction.....</b>	<b>6</b>
<b>1.1 Purpose and Scope of the AASCTF MTR.....</b>	<b>6</b>
<b>1.2 MTR Methodology .....</b>	<b>6</b>
<b>1.3 Limitations of the MTR.....</b>	<b>9</b>
<b>2. Overview of the AASCTF .....</b>	<b>10</b>
<b>2.1 Urban Development Challenges and Objectives facing ASEAN .....</b>	<b>10</b>
<b>2.2 Overview of the AASCTF Design.....</b>	<b>10</b>
<b>2.3 Bronze Level Interventions .....</b>	<b>11</b>
<b>2.4 Silver Level Interventions.....</b>	<b>12</b>
<b>2.5 Resource Person Contracts and Direct Charge Projects .....</b>	<b>13</b>
<b>3. Assessment of AASCTF Performance .....</b>	<b>14</b>
<b>3.1 KEQ1: How likely and to what extent is AASCTF expected to achieve the objectives of the program? .....</b>	<b>14</b>
<b>3.2 KEQ2: How efficiently is AASCTF managing its resources?.....</b>	<b>20</b>
<b>3.3 KEQ3: Is the program making progress in effectively promoting gender equality and women’s empowerment in the program implementation? .....</b>	<b>25</b>
<b>3.4 KEQ4: What are the key program risks that may affect successfully achieving end of program outcomes?.....</b>	<b>30</b>
<b>3.5 KEQ5: How effectively has the program pivoted to address the impacts of COVID 19?.....</b>	<b>32</b>
<b>4. Conclusions and Recommendations.....</b>	<b>34</b>
<b>4.1 Conclusions .....</b>	<b>34</b>
<b>4.2 Recommendations.....</b>	<b>34</b>
<b>5. Annexes .....</b>	<b>37</b>
<b>Annex 1: Documents Reviewed for the MTR.....</b>	<b>37</b>
<b>Annex 2: List of Key Informants.....</b>	<b>39</b>
<b>Annex 3: Influencing Activities Survey Responses .....</b>	<b>41</b>
<b>Annex 4: Additional Figures .....</b>	<b>47</b>
<b>Annex 5: MTR Terms of Reference .....</b>	<b>51</b>

# List of Acronyms

<b>Acronym</b>	<b>Meaning</b>
<b>AASCTF</b>	ASEAN Australia Smart Cities Trust Fund
<b>ASI</b>	Adam Smith International
<b>ADB</b>	Asian Development Bank
<b>ALER</b>	Activity Level Evaluation Reports
<b>ALPA</b>	Activity Level Progress Assessments
<b>ASCN</b>	ASEAN Smart Cities Network
<b>ASEAN</b>	Association of Southeast Asian Nations
<b>AFUP</b>	Asia Pacific Urban Forum
<b>CRMT</b>	City Resource Mobilisation Tool
<b>DMF</b>	Design and Monitoring Framework
<b>EEC</b>	Eastern Economic Corridor (Thailand)
<b>EOIO</b>	End of Investment Outcomes
<b>FEWS</b>	Flood Early Warning System
<b>FGDs</b>	Focus Group Discussions
<b>GESI</b>	Gender Equality and Social Inclusion
<b>GHG</b>	Greenhouse Gas Emissions
<b>ICD</b>	Inclusive Cities Dialogue
<b>IPCC</b>	Intergovernmental Panel on Climate Change
<b>KEQs</b>	Key Evaluations Questions
<b>KIIs</b>	Key Informant Interviews
<b>KPI</b>	Key Performance Indicator
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MoU</b>	Memorandum of Understanding
<b>MTR</b>	Mid-Term Review
<b>P4I</b>	Partnerships for Infrastructure (DFAT program)
<b>PLSER</b>	Program Level Self-Evaluation Report
<b>QPR</b>	Quarterly Progress Report
<b>SoMe</b>	Social Media
<b>SURF</b>	Southeast Asia Urban Services Facility
<b>TAF</b>	The Asia Foundation
<b>TO</b>	Task Order
<b>TOR</b>	Terms of Reference
<b>TTL</b>	Task Team Leader
<b>WHO</b>	World Health Organization

# Executive Summary

## Overview of the AASCTF and purpose of the MTR

The ASEAN Australia Smart Cities Trust Fund (AASCTF) is a five-year, AU\$20m initiative, funded by the Australia Department of Foreign Affairs and Trade (DFAT) and managed by the Asian Development Bank (ADB). Running from April 2019 until June 2024, the overarching objective of the AASCTF is to improve city-level systems and governance through digital solutions in ASEAN Member States. To achieve this, the program aims to enable the development of liveable cities that are green, competitive, inclusive, and resilient, promoting high quality of life for citizens, competitive economies, and sustainable environments. The key end of investment outcomes (EOIOs) are: 1) improved planning systems; 2) improved service delivery; and 3) improved financial management.

The AASCTF is being implemented in 24 cities in Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, and Vietnam. All the cities participate in Bronze-level influencing and training activities, while there are 11 Silver tier cities, and it is envisaged that three of these will eventually become Gold tier cities, receiving targeted AASCTF investment to further realise their smart city ambitions. ADB has engaged Ramboll as the main implementing partner, while other individuals and firms are engaged directly via single source procurement methods such as Direct Charge and Resource Persons contracts, to implement smaller components of the program.

In April 2022, DFAT commissioned Adam Smith International (ASI) to conduct a Mid-Term Review (MTR) of the AASCTF. The overall purpose of the MTR is to facilitate program improvement, including an assessment of the program's effectiveness and efficiency of program management arrangements. This Report assesses progress towards outcomes, reviews lessons learned and makes recommendations to improve program implementation. It draws on an expansive desk review, program participant interviews and a survey.

## Key Findings

*KEQ1: How likely and to what extent is AASCTF expected to achieve the objectives of the program?*

Overall, the AASCTF is on track to meet its objectives in the first two thematic pillars of urban planning and service delivery, implementing a range of Silver-level Task Orders (TOs) and supported by relevant influencing activities, such as webinars and more in-depth capacity development delivered via TO-08 and TO-09. Good progress has been made on developing digital solutions that meet relevant targets in the Design and Management Framework (DMF), such as enhanced climate resilience in Baguio, Philippines (TO-02).

However, AASCTF is not on track to meet its objectives under the financial management pillar. While some of the TOs such as Makassar, Indonesia (TO-01), Battambang, Cambodia (TO-07) and Chonburi/EEC, Thailand (TO-11) are focused on financial management, there appears to be insufficient residual budget remaining in the Ramboll-managed component of AASCTF to address this comprehensively.

In the design and implementation of the AASCTF, the three cross-cutting themes of Gender Equality and Social Inclusion (GESI), climate change and private sector engagement have been integrated with varying degrees of success. There are specific GESI targets and output and outcome indicators for each functional area in the program's DMF. The Annual Progress Report submitted to DFAT in December 2021 indicated progress towards 2 out of 3 GESI targets for planning, but no progress on service delivery and financial management targets, which Ramboll advised was because service delivery and financial management influencing and implementing activities were only in early stages at the end of 2021. KEQ 3 assesses progress towards GESI outcomes in more detail.

Climate change also informs several indicators in the DMF and is generally well-integrated across the program. Transition to low-carbon and resilient cities informs the design of most AASCTF foundational, implementing and influencing activities. Private sector engagement has been less comprehensively addressed, although it does not explicitly inform any of the program results targets at this time.

Another important objective of the AASCTF is to identify best-practice and practical approaches that can be replicated in other cities across Southeast Asia. The program is implementing a valuable 'sandbox' approach to test and pilot innovative ideas. Based on learning from the Silver-level TOs, the AASCTF is likely to be well placed in 2024 to identify which of the program pilots have strong potential to be replicated in certain contexts.

*KEQ2: How efficiently is AASCTF managing its resources?*

The AASCTF implementation team, comprising ADB, Ramboll, and supported by several partners, including Practical Action (TO-05) and The Asia Foundation (TO-09), has deployed largely in-house experts, well-qualified to deliver the TOs assigned. Project management has been executed well by the Ramboll core team and network of Task Team Leaders (TTLs), enabled by efficient project and risk management tools and processes.

Management and allocation of AASCTF resources is also influenced by comprehensive monitoring and evaluation (M&E) processes. These are working well to help evaluate progress against targets, though there remains room for

improvement, both to enable more useful feedback loops for each city intervention, and to identify opportunities for scalability and replicability.

The coherence of the wide-ranging AASCTF components and interventions is enabled by the effective program framework of urban planning, service delivery and financial management pillars, as well as the crosscutting climate change and GESI themes. The AASCTF demonstrates flexibility and can identify and rapidly respond to evolving city needs. This is driven by the demand-led design, strong coordination between ADB and Ramboll, and close relationships nurtured with city governments.

DFAT's outsourcing of AASCTF to ADB is working effectively, creating space and flexibility for innovation. However, ADB's implementation of the Ramboll-managed component via ADB's Southeast Asia Urban Services Facility (SURF) reduces flexibility, as the budget for the Ramboll component is almost completely committed within the current TO portfolio and cannot be easily increased to allow for further work under the same contract.

*KEQ3: Is the program effectively promoting gender equality and women's empowerment in the program implementation?*

The AASCTF design is explicit in its intention to integrate and address gender equality, women's empowerment, disability and social inclusion. This is facilitated by the Gender Equality and Social Inclusion (GESI) Strategy and GESI Specialist support to program interventions, but also requires leadership from intervention team leaders and appropriate direction from the core team, where needed, to be realised.

Two Silver city and one Bronze level intervention (TO-01 Makassar, TO-05 Baguio, TO-09 Inclusive Cities Dialogues) demonstrate a very good understanding and application of GESI principles and demonstrate progress intermediate GESI outcomes. TO-08 activities, in all Bronze tier cities, also demonstrate understanding and application of GESI principles in a GESI baseline data component that will allow Bronze cities to understand GESI issues. This will help to promote GESI but it is unclear whether it will catalyse beneficial actions by municipalities.

Other interventions sampled varied in understanding, application and commitment to integrating GESI principles. This partly reflects the varied stages in implementation but also varied appreciation of how, why and when to apply GESI principles. There is a strong program focus on outputs and numerical indicators for GESI, while visibility and understanding of intermediate GESI outcomes and pathways from intervention outputs to potential outcomes needs to be strengthened between implementation teams, M&E and GESI specialists.

Increasing implementation team awareness of evidence, and collection of evidence demonstrating progress towards intermediate GESI outcomes, is needed. Increased implementing team exposure to GESI target group views and more effective use of engagement with local government partners to promote/influence GESI in use of tools/solutions, would assist in this. The program's M&E system also needs to systematically collect, analyse and report disaggregated GESI data to DFAT.

*KEQ4: What are the key program risks that may affect successfully achieving end of program outcomes?*

**Risk 1: Sustainable use of processes, systems, and tools by city governments:** There are significant risks in the successful hand-over of Silver intervention tools and systems at the end of each TO. Despite considerable capacity building activities being undertaken, there remains a high risk that city officials will still not have sufficient knowledge and understanding to ensure the continual usage of a system beyond the program cycle, as well as lacking dedicated resources to fund ongoing operations and maintenance. There is a risk AASCTF interventions will not be incorporated into relevant institutional frameworks and so be institutionalised effectively. National and city level political and policy shifts further risk removing incentives to use systems, which could undermine effective uptake by both public and private actors. ADB and Ramboll have dedicated resources to identify and mitigate these risks, although the successful handover to municipal governments of tools and systems developed by the program remains challenging.

**Risk 2: Lack of coverage and results related to financial management:** While time remains for AASCTF to implement further interventions that meet the financial management targets of pillar three, it is unlikely that the city government preference for urban planning and service delivery interventions will change considerably. Furthermore, the Ramboll budget for AASCTF will be exhausted by the currently endorsed TOs, meaning that more funds would need to be allocated from ADB, or the overall budget increased by DFAT, in order to continue work in this area. DFAT and ADB should either put in place measures to increase the program focus on financial management in order to meet the DMF targets, or a re-framing of the DMF targets in collaboration with DFAT to reflect a greater focus on the first two pillars.

**Risk 3: Lack of a clear pathway to implement Gold-level investments.** The program has not yet been able to articulate and define a clear process and desired outcomes for Gold-level investments. There is very limited time now available to implement Gold-level investments in a meaningful way before the end of 2024. The resultant risks are that this phase of AASCTF will either not go ahead, or proceed, but in a less impactful manner than the design envisaged.

**Risk 4: Notable resources spent on influencing activities may fail to produce impact.** Influencing activities are delivered to a high quality across the AASCTF. However, their impact is likely to remain rather limited without any

sustained program support from AASCTF to help put into practice some of the key elements being advocated. There is also a risk that the networks of participants will be lost once the AASCTF comes to an end.

*KEQ5: How effectively has the program pivoted to address the impacts of COVID 19?*

COVID-19 reemphasised how critical AASCTF objectives of sustainable urban planning and service delivery are for targeted cities. ADB and Ramboll held strategic discussions on how to address COVID-19, but a significant program pivot was not deemed necessary to meet AASCTF objectives. This assessment appears valid, and the program is broadly aligned with Covid-19 recovery strategies, however, there remains room for more explicit alignment. Although limitations to relationship building and stakeholder engagement are apparent, AASCTF has progressed well against the backdrop of the pandemic and resultant travel restrictions. Some positive outcomes are observed, such as the accelerated acceptance and usage of digital tools by city officials and stakeholders. New ways of working, such as video conferencing and virtual workshops attended by participants in multiple locations have maintained engagement well.

## **Conclusions and Recommendations**

Overall, the AASCTF is implementing innovative smart city solutions that meet the need of governments in the selected ASEAN cities. Sustainability of the interventions is generally likely to be enhanced with targeted capacity building activities, although a number of risks remain such as tools and systems being integrated effectively into institutional processes in a city. While influencing activities and Silver city TOs are progressing well, there is a lack of clarity on the progression to Gold level investments and limited time to implement this in practice.

The modality of outsourcing AASCTF to ADB is working well and Ramboll has provided a comprehensive program that is making appropriate use of Australia's time and resources to achieve the outputs. This is supported by strong program and risk management processes, flexibility and responsiveness to city government needs, and strong internal learning processes. However, there is room for improvement in several key areas. The MTR has identified a set of actionable recommendations for the current program, structured by effectiveness, efficiency and GESI considerations. These are expanded upon in Section 4, though can be summarised as follows, with high priority recommendations listed first:

### **Effectiveness:**

- ▶ Review program strategy and results framework relating to delivery of targets under Pillar 3 on integrated financial management information systems.
- ▶ Clarify the linkages and 'graduation process' from Bronze, to Silver, to Gold tiers and clarify the possible options and timeframes for Gold-level investments.
- ▶ Further increase focus on capacity development to reduce knowledge gaps between Ramboll experts and city government staff during the process of working together, as well as to maximise chances of success as tools and services developed by TOs are handed over to city governments.
- ▶ Improve the visibility of Bronze and Silver level activities to a wider audience and increase engagement and synergies with ASEAN institutions as well as other DFAT programs that focus on sustainable cities and infrastructure in the ASEAN region.

### **Efficiency:**

- ▶ Ensure that M&E processes are clearly understood and appreciated by all team members.
- ▶ Consider implementing a more systematic internal learning database or knowledge hub for program learning points that can, for example, help team members navigate common challenges or access useful resources.
- ▶ Seek more proactive interaction with DFAT posts, particularly the ASEAN mission in Indonesia.
- ▶ Ensure that DFAT branding is made clear to external audiences and stakeholders on all communications.
- ▶ Carefully consider how best to interact with city staff to avoid over-burdening them, while maintaining close collaboration and clarify the role of their Country Focal Points and maximise their visibility to stakeholders.
- ▶ Ensure that communications are clear with city government and other relevant stakeholders, following any decisions to end, postpone or continue an intervention.
- ▶ Continue to accommodate the city government and stakeholders' general preference for face-to-face engagement for Silver TO workshops where possible.

### **GESI Impact:**

- ▶ DFAT to clarify GESI reporting requirements and address effectiveness of program monitoring.
- ▶ Conduct joint training for Ramboll/ADB teams on GESI mainstreaming, outputs, outcomes and evidence, with participation of representative NGOs.
- ▶ Conduct a joint review of GESI Strategy implementation across the AASCTF.

# 1. Introduction

The AASCTF is a five-year, AU\$20m (approx. US\$14m) initiative, funded by DFAT and managed by ADB. Running from April 2019 until June 2024, the overarching objective of the AASCTF is to improve city-level systems and governance through digital solutions in ASEAN Member States. To achieve this, the program aims to enable the development of liveable cities that are green, competitive, inclusive, and resilient, promoting high quality of life for citizens, competitive economies, and sustainable environments. The key EOIOs are improved: 1) planning systems; 2) service delivery; and 3) financial management.

The AASCTF is being implemented in 24 cities in Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, and Vietnam, as detailed in **Table 2**. All the cities participate in Bronze-level influencing and training activities, while there are 11 Silver cities, and it is envisaged that three of these will eventually become Gold tier cities, receiving targeted AASCTF investment to further realise their smart city ambitions. ADB directly implements several components, such as Resource Person Contracts and Direct Charge Projects, as well as Gold-level city investments, initially accounting for US\$4.5m of the budget allocation, as discussed further in **Section 2**. ADB have also engaged the engineering firm Ramboll to implement a significant component of the AASCTF, including overall program management, implementation of city intervention task orders (TOs) and influencing activities, accounting for approx. US\$9.5m of the budget.

## 1.1 Purpose and Scope of the AASCTF MTR

DFAT have commissioned ASI to conduct the MTR of the AASCTF. The overall purpose of the review is to facilitate program improvement through an assessment of the program's effectiveness and efficiency of program management arrangements. The MTR has assessed progress against desired objectives and reviewed lessons learned to identify recommendations for appropriate adaptation to improve program implementation and enhance the sustainable impact of interventions. The MTR Report further presents considerations to help inform DFAT's decision-making around funding arrangements for future investments. DFAT, ADB and Ramboll, are the primary audience and users of the MTR findings and recommendations. However, to maximise efficacy, it is advisable that this report be published on the DFAT website and disseminated to partners and stakeholders involved in the AASCTF implementation.

The MTR assessed and now provides recommendations regarding the program's performance towards achieving outputs and EOIOs under Year 1 and 2 implementation schedules, including, but not limited to, the quality criteria of the Australian Aid Program, particularly related to effectiveness (including M&E), efficiency, GESI, and risk. The assessment also included the relevance of the program's objectives and structures in the context of the shifting policy environment arising from the COVID-19 pandemic.

The following key evaluation questions (KEQs) were addressed by the MTR. These also comprised of additional sub-questions which have guided the MTR data collection and help structure the MTR findings set out in Section 3.

**KEQ 1:** How likely and to what extent is AASCTF expected to achieve the objectives of the program? (Criterion – Effectiveness).

**KEQ 2:** How efficiently is AASCTF managing its resources? (Criterion – Efficiency). Is the program making appropriate use of Australia's time and resources to achieve outcomes?

**KEQ 3:** Is the program making progress in effectively promoting gender equality and women's empowerment in the program implementation? (Criterion – Gender Equality)

**KEQ 4:** What are the key program risks (up to three) that may affect successfully achieving end of program outcomes? (Criterion – Risk).

**KEQ 5:** How effectively has the program pivoted to address the impacts of COVID 19?

## 1.2 MTR Methodology

The ASI MTR Evaluation Team comprised of three experts who brought extensive technical experience in sustainable urban development, digital and smart city solutions for sustainable outcomes, deep knowledge and practical experience of DFAT's program management, and monitoring and evaluation practices, as well as cross-cutting themes such as GESI and climate change. They have worked in consultation with DFAT, ADB and Ramboll, making use of virtual meetings with relevant key informants. The MTR Methodology included a desk review of relevant documentations, analysis of secondary data, primary data collection, including development of a sampling method for

Silver-level TOs, corresponding Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs), and analysis and triangulation of data collected, which then contributed to the evidence-base underpinning the MTR outputs.

### **Desk Review of Secondary Data / Evidence Analysis**

An expansive desk review was undertaken as an input to this MTR. This included all program-level reporting such as Annual and Semi-Annual Progress Reports and the core strategy documents, such as GESI and the March 2022 Mid-term Program Level Self-Evaluation Report (Mid-term PLSER). A full list of documents reviewed is found in Annex 1. The purpose was to assess implementation progress against timeframes, achievements (i.e., activities delivered, outputs produced, and any intermediate outcomes), the quality of work produced, and likely progress towards EOIOs. The desk review has allowed a comprehensive understanding of the TOs, Resource Person Contracts and Direct Charge Projects. These are explored throughout this MTR Report in greater detail, with a particular focus on the sampled cities and interventions, as per the sampling strategy set out in **Box 1** below.

The Evaluation Team also conducted an analysis of implementation and reporting evidence against AASCTF's design, baseline assessments, M&E Framework, GESI Strategy and other key program guidance documents to assess quality and progress towards EOIOs. A robust assessment was made of the extent to which disaggregated data for gender and other relevant sub-groups has been collected, analysed, informed implementation, and effectively reported to DFAT. The desk review provided the Evaluation Team with a strong understanding of how the AASCTF fits into the wider context of DFAT's and ADB's strategic priorities and investments, as well as ASEAN initiatives such as the ASEAN Sustainable Urbanisation Strategy and DFAT's COVID-19 Recovery Program. The context in which the program operates has enabled an assessment of the strengths of synergies, likely outcomes and impact.

### **Primary Data Collection and Analysis**

Primary data was collected remotely, through semi-structured qualitative KIIs, FGDs and survey questions, using video meetings, voice calls, email and online surveying tools. The number and extent of KIIs and FGDs was determined by the MTR's timeframe and availability of relevant key informants. Field visits to view AASCTF activities in participating countries and interact with local implementing partners or potential citizen beneficiaries were not included in DFAT's ToR and were therefore not included as part of the MTR.

Group interviews were conducted with key representatives of AASCTF implementing partners, the ADB and Ramboll. KIIs were conducted with selected individuals, including a government representative of each Silver city (excluding Yangon)<sup>1</sup> and associated Ramboll TTL; DFAT's AASCTF Program Manager; selected DFAT in-country representatives; and, where feasible, representatives of other AASCTF partners, such as Practical Action in Baguio. The Evaluation Team made use of an interview tracker<sup>2</sup>, to capture ongoing progress in making contact with key informants, scheduling interviews, and completing the KIIs.

The AASCTF is a complex program with many components and considerations. This necessitated a sampling strategy to ensure that the MTR uses its resources sparingly to assess the KEQs in an appropriate sample of cities and intervention types. The strategy guiding this process is set out below.

## **Box 1. Sampling Strategy**

### **Gold and Silver Cities**

While Luang Prabang (Lao PDR) Davao (Philippines) and Ho Chi Minh City (Vietnam) are identified as potential Gold cities in the Mid-term PLSER, the AASCTF team have confirmed that no cities have yet progressed to Gold-level status. The TOs in these three cities are at a very early stage of endorsement or initial implementation. As such, our sampling has not included any Gold cities.

The sampling strategy for Silver cities is premised on three key principles:

- 1) **Degree of investment** – the amount of time, resources, and support the AASCTF has provided to these cities is a key consideration, in line with probability-proportional-to-size principle. Active TOs are used as a proxy for investment values.
- 2) **Level of engagement** – the higher the degree of engagement, the higher the chance to be selected as sample. Active TOs are used as a proxy for level of engagement.

---






<sup>1</sup> Since the coup on 2021, AASCTF activities in Yangon have been discontinued, due to security concerns, and so did not form part of the KIIs.

<sup>2</sup> This is provided in Annex 2



- 3) **Nature of the project** – to allow more meaningful analysis of results, cities were selected that tackle a particular thematic issue or focus, with consideration given to its respective contribution to the program’s three core functional areas.

Based on these, the cities selected were Baguio (Philippines), Kaysone (Laos), Makassar (Indonesia) Georgetown (Malaysia) and Battambang (Cambodia). These cities were also specified in the ToR as city of interest and represent five different ASEAN countries. Some cities have, or are likely to have, more than one TO, such as Baguio and Battambang, and synergies and coherence between them was also explored.

Classification	Cities Selected	Justification	Planning Systems	Service Delivery	Financial Management
Silver	Baguio (Philippines)	1, 2, 3 (gender + environment)			
Silver	Kaysone (Lao PDR)	1, 2, 3 (economic development)			
Silver	Makassar (Indonesia)	1, 2, 3 (urban planning)			
Silver	Penang (Malaysia)	1, 2, 3 (transport)			
Silver	Battambang (Cambodia)	1, 2, 3 (environment)			

To better understand GESI considerations and the likelihood of the interventions achieving their intended gender and inclusion outcomes, **a deep-dive was conducted in two of these cities: Baguio and Makassar**. AASCTF is at an advanced level of implementation in these cities. A handful of additional KIIs were completed in each of these two cities, with city government and external, academic, or civil society stakeholders.

### Bronze Cities

All Bronze cities have been included in a survey which explored their level of interest and involvement in the AASCTF, as well as the value and effectiveness of capacity development sessions. In addition to the survey, KIIs were held with city representatives from four selected Bronze cities, shown below, to assess the degree to which municipal staff are participating in program activities.

Country	Cities Selected	Justification
Cambodia	Phnom Penh	Participation in TO9 D1; Not a Silver city
Indonesia	Semarang	Participation in T09 D1; Not a Silver city
Philippines	El Nido / Coron (TBC)	Participation in T09 D1; Not a Silver city
Vietnam	Phan Thiet	Participation in T09 D1; Not a Silver city

**Bronze activity survey:** To assess Bronze city influencing activities, a brief survey was sent to all city officials and staff who participated in Bronze-level knowledge-sharing and capacity building activities (including TO-08 and TO-09), to seek their views on how well-targeted and well executed these activities were, and whether and how their participation resulted in changes to the way they, or their organisations, view or conduct their work. The survey was disseminated by the Ramboll team, following the AASCTF’s Smart Cities Networking Days 2022 event on 21<sup>st</sup> and 22<sup>nd</sup> June 2022. The survey was available in English for Malaysia, the Philippines and Thailand and was translated into local languages for Cambodia, Indonesia, Lao PDR and Vietnam. A total of 50 responses (out of approx. 300 municipal staff attendees) were received, and the breakdown is provided in **Table 1**.

**Table 1: Bronze City Survey Response Rate**

Survey language	Countries Covered	Responses received
English	Malaysia, Philippines, Thailand	13
Bahasa	Indonesia	6
Khmer	Cambodia	11
Laotian	Lao PDR	18
Vietnamese	Vietnam	2
<b>TOTAL</b>		<b>50</b>

Source: MTR Team Analysis

**Translation and interpretation requirements:** Translation and interpretation budget was allocated by DFAT to the MTR for the translation of interview guides, interpretation during interviews and translation of the survey responses. This was especially valuable to the analysis of the survey responses from Lao PDR, Cambodia, Indonesia, and Vietnam. The Evaluation Team were able to review the detailed English translations of responses received in native Bahasa-Indonesia, Khmer, Laotian, and Vietnamese, affording the MTR valuable feedback on the Bronze-level activities. Although, the MTR had allocated budget for live interpretation of the interviews in all four countries, interviewees were asked for their language preference, and only one request was received from a Vietnamese participant to have an interpreter present. All other interviews were conducted in English.

**Data analysis:** Primary data has been collated and analysed to identify common themes, country/city specific issues, and any useful outlier responses. Interviews and surveys have provided a robust means of triangulating the AASCTF's reported progress and achievements from a program stakeholder's viewpoint. The responses have helped cross-reference and correct any reporting errors; convey achievements otherwise uncaptured; opportunities for improved implementation; unintended consequences (both positive and negative); and, critically, provide feedback on recommendations and lessons learned. Challenges or risks to achieving outcomes and impact were also identified. The desk review, detailed document/evidence analysis and data collection/analysis have all informed the MTR findings, recommendations and lessons presented.

**Ethical Considerations:** All data collection and deliverables comply with DFAT's M&E Standards for Evaluation Reports (Standard 6) and DFAT's Ethical Research and Evaluation Guidance Note. The main consideration for this MTR was ensuring a safe and ethical process for arranging and conducting KIIs and FGDs. All interviewees were informed of the objectives of the interview and provided with the opportunity to give or withhold their informed consent to proceed with the KII or FGD.

**Secure data management:** The KIIs and FGDs were conducted in confidence. Notes, recordings and transcripts have not been shared with DFAT, ADB, Ramboll or any other parties. This material will be stored securely by ASI for a period of three months beyond the end of the MTR, after which they will be permanently deleted.

### 1.3 Limitations of the MTR

An MTR of a large and complex program, such as the AASCTF, will always be limited by the time and budget available. However, the expertise of the Evaluation Team and the ability to review a representative sample of program interventions, means that the MTR can deliver meaningful insights and comprehensive responses to the KEQs.

Conducting the MTR remotely limited the ability to interview representatives of civil society and potential citizen beneficiaries of city-level interventions. It also meant the Evaluation Team has no direct exposure to any of AASCTF activities in their extant delivery contexts. In-country visits allow better appreciation of the practical realities 'on the ground' and often result in additional insights and further recommendations. This has been mitigated to some extent by the deep-dive into TO-01 and TO-02/05, where a handful of additional KIIs explored the awareness and initial outcomes of the program, from the perspective of civil society and academic stakeholders.

The methodology is primarily qualitative and is not intended to evaluate inferences drawn through statistical tests. Nevertheless, the MTR findings are likely to provide a robust basis to identify learning and to guide AASCTF improvements and course-correction, where needed.

## 2. Overview of the AASCTF

### 2.1 Urban Development Challenges and Objectives facing ASEAN

The ASEAN region is rapidly urbanising. Currently, half of the region's population is urban<sup>3</sup> and by 2050, two thirds of the population will live in cities.<sup>4</sup> As in most countries across Asia, UN estimates show that this trend of rapid urbanisation is especially acute in secondary or intermediary cities.<sup>5</sup> This rapid growth generally occurs in a chaotic way and along carbon intensive development pathways. Weak urban planning and a lack of municipal capacity and resources is leading to an increased lag time in meeting basic needs for housing and sanitation, as well as access to energy and transport services.

ASEAN's greenhouse gas (GHG) emissions have continued to rise, due to increasing energy-related CO2 emissions and GHG emissions from transport and the exploitation of forests. Decoupling of GDP growth and energy-related emissions has only been achieved in Singapore.<sup>6</sup> ASEAN cities are also responsible for a large share GHG emissions in the region. Therefore, central to urban development in the Asia-Pacific region is the need for rapid and far-reaching climate action in cities. The most recent IPCC report,<sup>7</sup> highlights the urgency to accelerate transitions to low-carbon and resilient development pathways. Air pollution is also a critical issue in the majority of Asian cities and closely connected to GHG emissions. Pollutants from vehicle emissions, energy generation, industrial emissions, burning waste and burning of agricultural land, all contribute to high levels of air pollution and harmful PM2.5 particulate matters. Across the Asia Pacific region, less than 8 per cent of the region's people are exposed to levels of air pollution that do not pose a significant risk to their health according to the World Health Organization (WHO) guidelines.<sup>8</sup>

ASEAN cities, particularly in Indonesia, the Philippines and Thailand, are also particularly vulnerable to risks associated with climate-related natural disasters.<sup>9</sup> Half of the urban population in the region is located in low-lying coastal areas vulnerable to rising sea levels.<sup>10</sup> Many cities face increasing impacts from climate change through typhoons, heavy precipitation and flooding, landslides, heat waves, and sea-level rise in coastal areas.

When addressing the challenges set out above, gender equality and social inclusion must be central to urban development solutions. A high number of urban dwellers still live in informal settlements, without access to basic services such as water and sanitation, clean energy, affordable transportation, and open space. Addressing gender equality and social inclusion must be integrated into a just transition for the transformation of cities to low-carbon and resilient pathways.

There are also correlations between sustainable urban development and 'building back better' following the COVID-19 pandemic. As highlighted by the UN Secretary-General in 2021, the central role of cities in sustainable COVID-19 recovery cannot be understated.<sup>11</sup> City governments and stakeholders can help to build new urban economies that invest in sustainable infrastructure, which will reduce disaster risk, harness nature-based solutions to address climate change, and ensure digital access, health coverage, schooling and housing for all, leading to a healthier, more inclusive, just, green and gender-equal world for all.

Smart city approaches, including data-driven planning and ICT-based tools and services, are playing an increasingly important role within ASEAN Members States. If implemented in a participatory way, rapidly evolving digital solutions present a wide range of opportunities to address urban challenges, help cities to take climate action, and deliver services and provide liveable urban spaces for their citizens.

### 2.2 Overview of the AASCTF Design

Within the context set out above, the AASCTF's key output areas are 1) improved planning systems; 2) improved service delivery; and 3) improved financial management, through the adoption and adaptation of digital solutions. The program achieves this through three different tiers of interventions (titled 'Bronze', 'Silver' and 'Gold') with participating

---

<sup>3</sup> ASEAN Secretariat (2018) ASEAN Sustainable Urbanisation Strategy ([Link](#))

<sup>4</sup> UNESCAP (2018) Presentation on 'Urbanization in Asia and the Pacific' ([Link](#))

<sup>5</sup> UN World Population Prospects 2019 ([Link](#))

<sup>6</sup> ASEAN Secretariat (2021) ASEAN State of Climate Change Report ([Link](#))

<sup>7</sup> Intergovernmental Panel on Climate Change (IPCC), "Climate Change 2021: The Physical Science Basis. Contribution of Working Group I to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change" (Cambridge University Press, 2021).

<sup>8</sup> UNEP (2018) Air Pollution in Asia and the Pacific: Science-based Solutions ([Link](#))

<sup>9</sup> The Long-Term Climate Risk Index 1999-2018: Germanwatch, 2020 Global Climate Risk Index. ([Link](#))

<sup>10</sup> UNESCAP (2018) Presentation on 'Urbanization in Asia and the Pacific' ([Link](#))

<sup>11</sup> UN-Habitat (2021), *Cities and Pandemics: Towards a More Just, Green and Healthy Future*. Nairobi, Kenya. ([Link](#))

ASEAN cities. Bronze cities can participate in regional knowledge sharing and capacity building events, Silver cities are able to receive technical assistance and pilot proof of concepts, and Gold cities are eligible for investment grants (standalone or as part of an ADB partnership or lending program) to be used to support the development of demonstration projects.

There are three cross-cutting themes that inform program design and intended outcomes: GESI; climate change; and private sector development and engagement. The program is also structured around three work typologies:

- ▶ **Foundational**, whereby scoping and design of interventions is undertaken;
- ▶ **Implementation**, in which the TOs are carried out; and
- ▶ **Influencing**, which covers work to build awareness and capacity of municipal governments in sustainable urban development, supported by digital solutions.

The AASCTF is being implemented in 24 cities in Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, and Vietnam, as detailed in **Table 2**. All the cities participate in Bronze-level influencing and training activities, while there are 11 Silver cities, and it is envisaged that three cities will become Gold tier cities, receiving investment to further realise their smart city goals.

Sectors and activities for participating cities are prioritised through a mix of city profiling; stakeholder consultations with city governments and DFAT posts; alignment with the ADB partnership and lending program; membership to the ASEAN Smart City Network; and alignment with the ASEAN Sustainable Urbanisation Strategy. TOs are then developed by ADB and Ramboll AASCTF core team to scope activities and enable mobilisation of task teams to implement pilot projects. As well as city focused TOs, there are also regional TOs that provide training and guidance to municipal government representatives in all participating cities.

## 2.3 Bronze Level Interventions

A notable component of the program is focused on influencing activities which are aimed to raise awareness and develop capacity of government staff and other city stakeholders in relevant smart city topics.

**Series of public webinars:** Designed to disseminate innovative ideas, best-practice methods and illustrative examples on smart city approaches.

**TO-08: Baseline Development and Capacity Building for ASEAN AASCTF** participating cities includes the following components:

- ▶ **AASCTF and smart cities introduction workshops:** Designed to provide a contextually relevant overview of smart city approaches to participating cities, along with the importance of cross-cutting considerations such as gender equality and social inclusion (GESI) and climate change.
- ▶ **Baseline development:** Assessing how e-governance in the different cities supports the three cross-cutting topics defined by AASCTF (GESI, Climate Change and Private Sector Engagement).
- ▶ **City twinning program:** Currently twinning Makassar, Indonesia with Gold Coast, Australia; and Baguio, Philippines with Perth, Australia. The overall aim is to increase the understanding of ASEAN cities of the complexity of smart city development; develop new technical skills and knowledge; and gain greater confidence through the exchange of best practices and lessons learned. For both cities (mentor and beneficiary) the overall aim is to develop mutually inspiring relationships, and to strengthen cross-cultural collaboration skills, as well as opportunities for political and business-related cooperation.
- ▶ **Smart City Introduction e-learning course:** Accessible on ADB eLearn portal. The first AASCTF produced e-learning course went live at the end of June 2022.
- ▶ **Thematic workshops with homework/reflection exercises:** Workshops on Smart City Financial Management and Smart Climate Resilience/Nature Based Solutions.
- ▶ **AASCTF Networking Conference:** Held in July 2022.
- ▶ **Guided Learning Programme for Smart Data Management:** Incorporating webinars and homework/reflection exercises.
- ▶ **Smart Data Management e-learning course:** To be made accessible on ADB eLearn portal.

**TO-09: Smart Cities - Inclusive Cities Capacity Building Program.** Through a series of regional workshops with key city actors pursuing reform or with decision-making roles, the Inclusive Cities Dialogue (ICD) project provides a platform for dialogue on the potential for planning and implementing more inclusive cities. It is also delivering an e-

learning module on inclusive cities that consolidates the workshops into one product for broader dissemination by participating cities, partners, and champions, which will be hosted on ADB's eLEARN platform.

## 2.4 Silver Level Interventions

The objective of Silver-level, city-specific interventions is to work collaboratively with selected cities to design and implement one or more smart city tools or services. To inform the MTR in a practical way, five of the Silver-level TOs were sampled to explore in more detail, via desk review and KIIs, and deep-dives were conducted in two of those cities – Makassar (TO-01) and Baguio (TO-02/TO-05).

- ▶ **Makassar, Indonesia (TO-01):** Delivering a strategic citywide framework that integrates existing smart city plans, actions, and initiatives to support the city's Medium-Term Development Plan. This will enable the local government to prioritise strategies and interventions that contribute to their people-centred smart, world-class city goal. August 2020 to June 2022.
- ▶ **Baguio, Philippines (TO-02 & TO-05):** Supporting local officials and agencies to develop a smart Flood Early Warning System (FEWS). This will include a flood mitigation action plan, outreach and dissemination plan and enhanced capacity building program. TO-05, working in parallel in Baguio, aims to apply a gender transformative lens across the FEWS. TO-02: August 2020 to December 2022; TO-05: April 2021 to December 2022.
- ▶ **Battambang, Cambodia (TO-07):** Exploring concepts to harness digital solutions to support solid waste management and digital payments, with the objective of developing and piloting a digital solution in collaboration with the city and private sector entities. Phase 1 runs from May 2021 to October 2022.
- ▶ **Kaysone, Lao PDR (TO-03):** Developing a concept for the Kaysone Enhanced Employment Service Platform with Matching Tool and E-Learning Modules, in collaboration with a local university and private sector stakeholders, including an industrial park in the city. October 2020 to May 2021.
- ▶ **Georgetown, Penang, Malaysia (TO-06):** Developing a VISSIM micro-simulation transport planning model to enable the local government to assess and influence stakeholders about new transport solutions for Georgetown including sustainable mobility proposals such as the pedestrianisation of streets, improved public transport and walking and cycling facilities. May 2021 to December 2022.

The full list of endorsed, city-specific Silver TOs is included below.

**Table 2: AASCTF Selected Cities and Task Orders**

Country	City	Bronze	Silver	Gold	Interventions / TOs
Cambodia	Battambang				TO-07: Smart Solid Waste Financial Management (Scoping) Battambang 'Smart Solid Waste Financial Management (Phase 2)
Cambodia	Bavet				
Cambodia	Kampot				
Cambodia	Poipet				
Cambodia	Phnom Penh				
Indonesia	Makassar				TO-01: Makassar Smart and Liveable Urban Development Framework
Indonesia	Palembang				
Indonesia	Pontianak				
Indonesia	Semarang				
Lao PDR	Kaysone				TO-03: Enhanced Employment Service Platform with Matching Tool and E-Learning Modules (Phase 1) (Scoping): Smart Learning Platform with E-Learning Modules (Phase 2)
Lao PDR	Luang Prabang			Possible	TO-12: Integrated & Smart Tourism, Heritage and Urban Plan
Lao PDR	Pakse				
Malaysia	Penang				TO-06: Smart Mobility Micro-Simulation Model Development
Myanmar	Yangon				TO-04: Yangon City Smart Water Management and Resilience Project ( <i>Paused indefinitely</i> )

Country	City	Bronze	Silver	Gold	Interventions / TOs
Philippines	Baguio				TO-02: Baguio City Smart Flood Warning, Information and Mitigation System. TO-05: Gender Transformative Approach for Strengthened Development, Application and Replication of the Baguio City FEWS.
Philippines	Coron				
Philippines	Davao			Possible	TO-13: Davao 'Bus Driver Training & Technology Study
Philippines	El Nido				
Thailand	Chonburi / EEC				TO-11: Smart Innovation Ecosystem and Smart City Investment Portfolio for EEC
Vietnam	Gia Nghia				
Vietnam	Ho Chi Minh			Possible	
Vietnam	Hue				TO-10: Smart Digital City Model for Master Planning
Vietnam	Phan Rang				
Vietnam	Phan Thiet				

Source: AASCTF Mid-term PLSER and Ramboll updates to the MTR team

## 2.5 Resource Person Contracts and Direct Charge Projects

ADB is also implementing Resource Person Contracts and Direct Charge Projects to undertake targeted pieces of work to complement existing program activities. The Resource Person and Direct Charge projects are summarised in **Table 3**. ADB is also directly responsible for planning and implementing Gold-level investments, which are intended to help implement more tangible smart city assets in selected cities, with important demonstration effects on aspects such as how ADB grant funding can help leverage private sector investment.

**Table 3: Resource Person Contracts and Direct Charge Projects**

Intervention type	Country	Cities	Title	Status
Direct Charge Project	Indonesia	Multi	Development and Pilot Assessment of a Municipal Resource Mobilization template and City Resource Mobilization Tool (CRMT) for Indonesian Cities	<i>In progress</i>
Resource Person Contract	CAM/PHI/INO	Multi	Development of complete sewer network designs for four (4) project cities	<i>In progress</i>
Resource Person Contract	Indonesia	Multi	Development of a circular economy planning tool for Indonesia's Ministry of Finance	<i>In progress</i>
Resource Person Contract	Indonesia	Makassar	Designing Post-COVID Cities: Geospatial platform to support COVID-19 analysis in Makassar	Completed
Resource Person Contract	Indonesia	Makassar	INDRA – Climate Resilience Platform for Makassar	Completed
Resource Person Contract	CAM/PHI/INO	Multi	Piloting AI-powered Analytics (NetCreate) for Water Utilities	Completed
Resource Person Contract	Regional	Multi	Facilitator for the 5th GMS Urban Development Working Group Meeting	Completed
Resource Person Contract	Indonesia	Multi	Develop and pilot a waste collection and trading mobile application, in Indonesia	Completed

Source: AASCTF program documentation

# 3. Assessment of AASCTF Performance

This section sets out the MTR findings related to the five KEQs and their sub-questions. The findings relate to the evidence from across the AASCTF, with an emphasis on the sampled Silver-level TOs (TOs 01, 02, 03, 05, 06, 07) and the influencing activities TO (08 & 09).

## 3.1 KEQ1: How likely and to what extent is AASCTF expected to achieve the objectives of the program?

DFAT's objective for the AASCTF is that systems and governance in participating ASEAN cities are improved through the adoption and adaptation of digital solutions. The program's three sub-objectives are:

- ▶ Strengthening **city planning** systems and processes by enhancing the collection, storage, analysis, and utilisation of data on geospatial platforms;
- ▶ Promoting the use of integrated and smart network management systems to strengthen operational systems and to improve quality and efficiency of **service delivery**; and
- ▶ Introducing integrated **financial management** information systems to improve institutional credit worthiness and fiscal standing.

Overall, the AASCTF is on track to meet its objectives in the first two thematic pillars of urban planning and service delivery, implementing a range of Silver-level TOs and supported by relevant influencing activities such as webinars and more in-depth capacity development delivered through TO-08 and TO-09. Good progress has been made on developing digital solutions that meet relevant targets in the Design and Management Framework (DMF), such as enhanced climate resilience in Baguio (TO-02). However, the program is not on track to meet its objectives for the third pillar of financial management. While some of the TOs such as Makassar (TO-01), Battambang (TO-07) and Chonburi/EEC (TO-11), the Resource Person assignment on developing a City Resource Mobilization Tool (CRMT) for Indonesian Cities, and a number of influencing activities are focused on financial management, or have a notable contribution to this pillar, there does not appear to be sufficient residual budget in the Ramboll-managed component of AASCTF to address this comprehensively.

In the design and implementation of the AASCTF, the three cross-cutting components of GESI, climate change and private sector engagement have been implemented to varying degrees. Significant attention has been placed on GESI, with a GESI Strategy, internal GESI implementation reporting and a number of specific targets in the DMF. As explored in **Section 3.3**, mainstreaming GESI in practice is challenging and the degree to which meaningful GESI outcomes are being supported varies greatly across the program from positive examples in Makassar (TO-01) and strong efforts in Baguio (TO-02 and TO-05) to rather poor consideration of GESI observable from the early stage of scoping TO-07 in Battambang. Climate change also informs several indicators in the DMF and is generally well-integrated across the program. The need for a transition to low-carbon and resilient cities informs the design of most of the program's foundational, implementing and influencing activities. However, private sector engagement has been less comprehensively addressed, although it does not explicitly inform any of the DMF targets.

Another important objective of the AASCTF is to identify best-practice and practical approaches that can be replicated in other cities across ASEAN. The program is implementing a valuable 'sandbox' approach to test and pilot innovative ideas. Based on learning from the Silver-level TOs, the AASCTF is likely to be very well placed in 2024 to advocate which of the program pilots have strong potential to be replicated in certain contexts.

In the following sections, the detailed response to KEQ 1 is further broken down by sub-questions, informed by relevant findings of the MTR.

### 3.1.1. To what extent did, or is the AASCTF likely to, improve planning systems, service delivery and/or financial management in the participating cities?

**The Silver-level TOs, Resource Person and Direct Charge Contracts are supporting city governments to develop and adopt digital systems that support urban planning and service delivery.** As the main area of expenditure in the AASCTF, the Silver-level TOs are central to achieving program objectives. Overall, the Silver TOs represent high-quality work that responds to city government demands for support in the areas of digital innovation to enhance city planning and service delivery. Notable examples of TOs that are improving city planning include: TO-01 in Makassar which provides the strategic foundations and a practicable digital tool to help prioritise city government initiatives that contribute towards a more liveable city; TO-07 in Georgetown, which is likely to greatly support transport and mobility related decision-making; and TO-12 in Luang Prabang, which is supporting the city government to integrate heritage and tourism opportunities into city planning. Resource Person and Direct Charge Contract activities have contributed to city planning projects including supporting Makassar to better understand and visualise flood risk

areas in the city by developing an interactive web-based modelling tool. Notable examples of TOs that are contributing to the service delivery objectives are TO-02/05 on the development of flood mitigation measures and a flood early warning system (FEWS in Baguio, TO-07 on smart waste management in Battambang and TO-13 on Bus Driver Training & Technology Study in Davao.

From the desk review and KIIs, the program team appears to be collaborating with city governments and officials to understand and implement planning and service delivery tools that are appropriate to the context and digital readiness of cities and are people-centred and ICT-driven in nature. Often, despite awareness of possible solutions, city government capacity deficits to implement a solution in practice prevents the wider deployment of smart city solutions, including ICT-driven tools and services. Via the Silver TOs, the AASCTF is providing excellent support to city governments, working in a collaborative way to enable implementation.

The program is also introducing solutions based on software and hardware that can significantly improve the ability of a city in planning and service delivery. For example, in TO-01, Power BI has been established as the foundational software for the prioritisation platform. In TO-06, powerful VISSIM modelling is being introduced to Georgetown to support transport planning decision-making. In TO-02, water flow sensors linked to the ICT-based early warning system has been established, all of which are supported by associated capacity development activities, as discussed in **Section 3.1.2**. These interventions often go beyond many typical urban development technical assistance projects that have been implemented by other donors in the region, which tend to support capacity development on a range of topics but are less hands-on in supporting implement tangible tools and systems.

There are several areas for possible improvement in terms of meeting the program objectives. Within the sampled Silver Tos, a more holistic approach could be used to inform the development of FEWS In Baguio (TO-02), with a stronger focus on the fourth pillar of early warning systems which is the capability of inhabitants to respond to alerts – an important factor to influence EWS design. Penang TO-06 could make more effort to raise with Digital Penang use of the VISSIM micro-simulation model to improve accessibility and safety for GESI target groups.

This will also meet international tourist expectations for safety accessibility for persons with a disability. In Battambang (TO-07), following initial foundational work to develop options for digital solutions to support waste management, progress over the 14 months of implementation appears to have been slow, there appears to have been little consideration at the concept stage of how digital solutions can be accessible to the maximum number of users in the city, including the important GESI aspects, although the ADB indicated it intends to address this through the options analyses stage (See **Section 3.3**).

**Some valuable work is focused on financial management in cities, but the AASCTF is unlikely to fully meet its objectives for this pillar.** The AASCTF is making less progress on the third thematic pillar of introducing integrated financial management information systems to improve institutional credit worthiness and fiscal standing. Chonburi/EEC in Thailand (TO-11) and the Resource Person assignment on developing a City Resource Mobilization Tool (CRMT) for Indonesian Cities are both fully focused on this pillar and a number of influencing activities move to address the challenge, including the upcoming TO-08 capacity development learning series. TOs that further contribute to financial management objectives are Makassar (TO-01) and Battambang (TO-07).

However, the program lacks a comprehensive focus on meeting the program objectives in this pillar, whereby a higher number of TOs and Resource Person activities aim to improve financial management as their core objective. There is also a risk that Tos such as TO-07 in Battambang are intended to partially contribute to financial management but are unable to provide more dedicated support needed to overcome barriers necessary to improve institutional credit worthiness and fiscal standing. AASCTF is a demand-responsive program, which makes it problematic to match city-led demand for a range of topics to pre-defined targets, particularly for financial management related support.

This challenge was also pointed out by the Ramboll team in the Mid-level PLSER.<sup>12</sup> City government counterparts have generally allocated more importance to AASCTF support in areas relating to urban planning and service delivery, as well as cross-cutting thematic areas such as GESI, which has informed TO-05 and TO-09. While two further years of AASCTF implementation are envisaged by DFAT, the Ramboll budget allocation will have been exhausted upon completion of the currently endorsed TO, leaving little further opportunity to fully achieve the financial management targets in the DMF.

**Baseline data collection enables assessment of progress towards objectives, however, there is the lack of standardised approach.** Baseline data has been collected across the program for each of the participating Bronze Cities and at the country-level and for specific Silver TOs. However, the program lacks a standardised approach in what to consider and measure for a baseline. For example, GESI profiles have been completed for each country, but the cities have varying GESI considerations as part of the baseline report for each TO. Makassar's Baseline Report has good coverage, with survey and a dedicated volume of the report on GESI, whereas Baguio gives very little

---

<sup>12</sup> AASCTF (2022) *Mid-term Programme Level Self-Evaluation Report (Mid-term PLSER)*. Asian Development Bank and Ramboll.



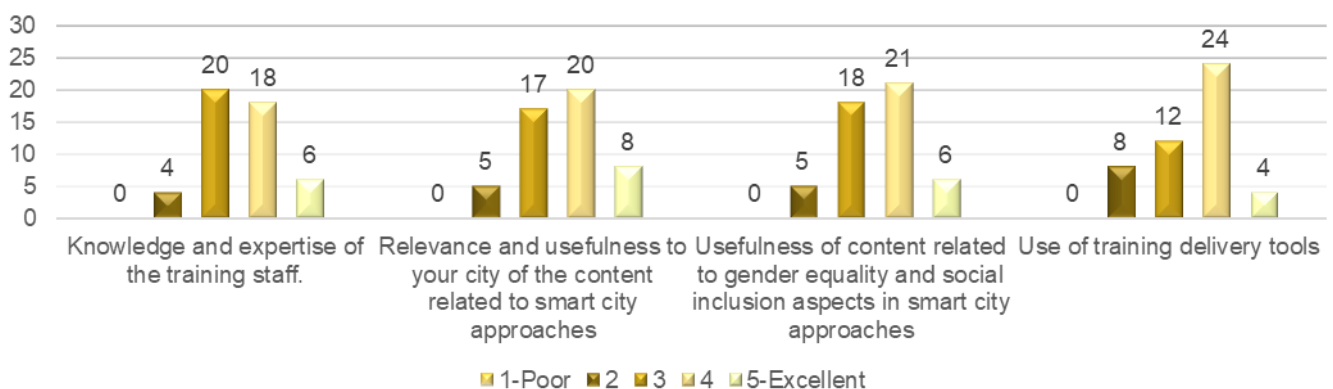
mention of GESI in its TO-02 Baseline Report, although this was rectified with the addition of TO-05. While each city context is different and TTLs are given autonomy on how they take forward each TO, the AASCTF could benefit from more standard requirements for Silver TO baselines, to help track progress towards the AASCTF objectives.

**The program's influencing activities are of a high quality, but without sustained AASCTF engagement, their impact risks remaining limited.** A notable proportion of the AASCTF resources (approx. US\$1.4 million) are focused on supporting influencing activities, aimed at raising awareness and building local capacity to develop the rationale, possibilities and best-practice approaches for smart city solutions across participating Bronze cities, as summarised in **Section 2**. The desk review and KIIs suggest that these activities are of a high quality and the Bronze cities survey results (Figure 1) indicate that the content is considered relevant by most participants in terms of sharing new ideas, approaches, and examples related to the smart city concepts. The survey also identified a number of potential topics of interest (See **Annex 3**) that Ramboll could consider for future sessions.

The survey results also indicate a high proportion of respondents reported that the events were presented in their native language or in a language they easily understood (See **Figure A4.1** in Annex 4). While the initial series of webinars were delivered in English, the program has provided simultaneous interpretation for selected language groups for the TO-08 kick-off workshops, capacity development sessions and the Inclusive Cities Dialogue (TO-09). While participants from Malaysia, Thailand and the Philippines are generally happy to attend the events in English, participants from Cambodia, Indonesia, Lao PDR and Vietnam generally require more language support.

For many more regional events, like TO-09, stakeholder mapping identifies language requirement in advance and so simultaneous translation is provided for targeted groups. For upcoming public webinars, it is understood one or two languages may be made available, dependent on participants' needs. Despite this, several interviewees on the implementation team have said that language interpretation requirements have been a challenge, particularly in breakout sessions that try to encourage dialogue between participants who do not share a common language, as in TO-09 for example.

Figure 1: Participant's Feedback (n=50) on the Content of Influencing Activities



*Source: MTR survey of Bronze City activity participants*

Interviews with Ramboll TTLs and city government representatives have indicated that there are synergies between Bronze and Silver City initiatives in the same city. In Battambang (TO-07), the TO team have been supporting the awareness and participation of city staff in TO-08 & TO-09 sessions. In Baguio, the City Government Champion for the Silver TO-02 is also driving forward the Bronze-level activity engagement. However, the AASCTF has found it challenging to gain traction on Bronze City influencing events in several cities. Sometimes this has been due to city staff being focused on elections, as in the case of Makassar earlier in the program, although now Makassar official are more engaged.

A lack of available personnel to attend the webinars, particularly during the pandemic, was identified as another barrier. Interviews with Silver TO city representatives indicated that, beyond a limited group of participants, there is a lack of awareness of the AASCTF's influencing activities in the sampled Bronze and Silver cities, even among project partners and close stakeholders. One possible strategy to increase the awareness and participation of city staff, as suggested by one city government interviewees, is to issue AASCTF course completion certificates to participants, as an incentive.

The Ramboll team view influencing activities as an important part of building and disseminating the toolbox for cities to draw from when conceptualising and implementing smart city initiatives. However, findings from the KIIs with the sampled Bronze City stakeholders indicate that without sustained engagement from the program to support governments to implement pilots and apply tools in practice, the impact of these activities remain limited. Ramboll is aware of this risk and has designed the TO-08 extension and the TO-09 activities to comprise more targeted, guided

learning programs, aimed at upskilling participants with more meaningful learning opportunities that could translate into greater potential to guide sustainable smart city developments. DFAT, ADB and Ramboll are considering ideas to harness and support continued learning for participants in the Bronze City network, including sharing updates, knowledge, and invitations to events via the AASCTF distribution list and SoMe channels. However, this would not maintain the network beyond the end of AASCTF. With this in mind, there was an additional effort made, under TO-08 to support existing smart city networks and key institutions at a national level in Indonesia, resulting in a Memorandum of Understanding (MoU) on Smart City Development between ADB and the Indonesian Ministry of Home Affairs (MoHA).

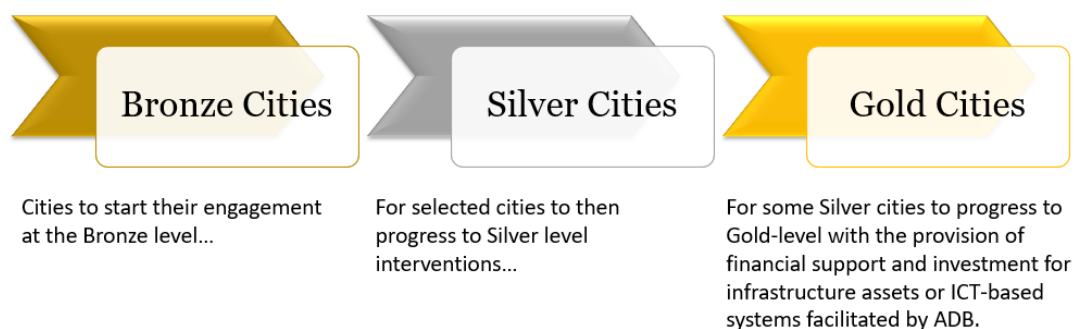
The reach and resonance of influencing activities may increase when material is made available online, such as via the AASCTF YouTube channel.<sup>13</sup> However, viewing statistics show that the YouTube channel has only 104 subscribers in August 2022 and a monthly average of 85 new viewers to the channel between July 2020 and July 2022 (See Figure A4.3 in Annex 4). Webinar views show greater reach, ranging from between 95 views for Webinar 6 on ‘Next Practice Smart Mobility Lab’ to 376 views of webinar 2 on ‘Mitigating Flooding Impact with IoT Early Warning Technology’. The AASCTF e-learning modules to be hosted by ADB’s eLEARN platform are more likely to help amplify the influencing activities, in terms of providing a knowledge resource to city government staff and other stakeholders and urban development practitioners, based on 86 views between 21<sup>st</sup> July and 5<sup>th</sup> August 2022 of the ‘trailer’ video for the first AASCTF e-learning course on Liveable Cities.

**City twinning objectives have been well-defined and city government staff are focused on mutual objectives, although interaction often runs at a slow pace.** City twinning has been facilitated, via TO-08, between Makassar (Indonesia) and Gold Coast (Australia); and between Baguio (Philippines) and Perth (Australia). The mechanism used was an MoU agreed and signed between two city governments. While MoUs represent strong commitments to collaborate, they are not as robust or have the longevity as ‘sister city’ partnerships. No timeframe has been set for the twinning, but city governments on both sides expressed hopes that this would last beyond the program lifecycle. Indeed, it does not appear to be reliant on program funding, as the Makassar-Gold Coast MoU was initially signed externally to AASCTF in 2019, and later integrated within the program, as to maximise opportunities for closer ties. KIIs indicate critical drivers of sustained twinning include political will and enthusiasm (as demonstrated by the Mayor in Makassar), as well as an alignment on priority areas for collaboration and opportunities for private sector investment.

Recently agreed Twinning Plans cover areas of cooperation that are well aligned with AASCTF’s three thematic pillars and cross-cutting themes, including meeting challenges to pedestrian and vehicles counts to support sustainable transport and mobility; monitoring air quality; and enabling sustainable tourism. One KII comment noted the pace of collaboration and exchange had been very slow in Makassar, despite enthusiasm and opportunities for knowledge exchange remaining high.

**The progression from Bronze to Silver to Gold-level Cities is neither clear to the AASCTF team, nor city governments, and time for effective implementation of Gold-level investments is running out.** The original intention of the AASCTF design was for cities to progress from Bronze to Silver to Gold tiers, as per **Figure 2**.

Figure 2: Outline of conceptual progression of city interventions under the AASCTF



The notion of progression towards more tangible investments and assets, such as infrastructure or ICT-based tools, are important incentives for city government officials to actively engage with the AASCTF. Responsibility for Gold-level interventions rests with ADB and is not part of Ramboll’s scope of work. What Gold-level status looks like in practice is the subject of an evolving discussion between ADB, DFAT and, to some extent, Ramboll. ADB have suggested that AASCTF could be a mechanism for selecting and granting ADB loans, starting with a short proof of

<sup>13</sup> AASCTF YouTube Channel ([Link](#))

concept under a Silver TO, before entering into a larger financing project at the Gold tier.<sup>14</sup> However, the financing modalities that could enable low-value, high-impact investments remain unclear, and it has been a challenge for the ADB to reconcile this with its typical multi-year process to plan and implement loans. So far, this has not been seen as a significant problem by ADB and Ramboll, due to the flexible nature of the program. At the same time, several KIIs highlighted whether there was too much emphasis on the “how”, rather than the “why”, and whether this was preventing ADB from developing a clear vision for Gold-level investments as driving maximum value in overcoming barriers faced by cities. Gold-level investments have not yet been an effective component of AASCTF and there is a notable risk that these will not be implemented effectively within the remaining timelines of the current program.

**The cross-cutting pillar of climate change has been well considered, though private sector development remains relatively neglected.** Climate change is well integrated into most of the sampled Silver TOs, including informing low-carbon and resilient options for the Makassar Liveability Plan, resilience to flooding, which is greatly exacerbated by climate change in Baguio, and supporting decision-making processes for sustainable transport projects via the VISSIM modelling in Georgetown. It provides a key lens through which foundational work can scope and plan possible TOs and is also mainstreamed through many of the influencing activities, including Webinar 2 on digital tools for flood mitigation and early warning systems.

Resource Person and Direct Charge work also has a strong focus on climate change, with the design of an interactive web-based modelling tool/platform for climate resilience, and the development of sewer network designs for four project cities, including Baguio and Pontianak, for example. However, private sector development has been more challenging for the implementing partners to weave into the program components. A number of private sector stakeholders have been consulted for many of the TOs, and efforts made to understand how entities will fit into innovation landscapes, for example, in relation to digital solutions for solid waste management in Battambang.

The Smart City Datathon, facilitated by AASCTF in 2021, as part of an ADB Developing Member Country Workshop, is an example of encouraging private sector innovation to help solve urban development challenges. Overall, much more emphasis could be placed on this cross-cutting theme, particularly in involving private sector entities in planning and implementing smart city solutions and improving the enabling environment for private sector to implement smart city services. GESI, the third crosscutting pillar, is addressed in detail under **Section 3.3**.

### **3.1.2. How will sustainability be ensured after the program closes in 2024?**

Perhaps the most critical measure of success for the AASCTF, is how well the tools and services developed by the Silver TOs will be adopted and used beyond the end of each intervention, and the program horizon itself. ADB and Ramboll are taking measures to maximise the chances of this happening, as outlined below:

**Intervention design process:** There has been a well-defined scoping process to develop each TO, which has generally led to well-targeted interventions that help to maximise the value of the AASCTF. The seven-step process shown in **Figure A4.4**, leads TOs through a robust process to co-create suitable concepts with the city government and relevant stakeholders. In practice, stakeholder consultation has been rather thin in some cities, partly due to the challenges of reaching civil society and private sector stakeholders during the pandemic (See **Section 3.3**).

Several KIIs noted that in the program’s earlier phases, there was perhaps too much focus on smart tech, which gains little traction in cities without sufficient digital readiness and staff capacity. The use of ADB’s Analytical Framework – a readiness/maturity assessment – is part of the scoping process and the approach is now much more sensitive to finding where the appropriate entry points are for high-impact and practical smart solutions. However, there is a limitation at the TO scoping stage in fully understanding city government capacities and institutional dynamics. As one Ramboll Core Team member put it: *“This process doesn’t happen overnight, and the program has limited funds.”*

Sometimes, unforeseen issues emerge only once the TO has commenced. This is relevant to Kaysone (TO-03) which has not progressed to Phase 2 under AASCTF, due to competition for funds with other potential TOs. One of the deciding factors for ADB was the uncertainty about how the skills matching tool would be integrated and sustainably utilised by the city government, despite having gone through a prolonged concept design phase. Where possible, TO scoping should identify institutional opportunities and risks in as much detail as possible, to excavate the feasibility of a concept and maximise the likelihood of Phase 2 TOs.

**City government buy-in:** From program inception, ADB has aimed to work with cities where ADB project officers have existing relationships with city governments, which helps to amplify the impact of technical assistance. In many cities, ADB can draw on a 5 to 10-year relationship resulting from loan projects. There is strong buy-in from city governments for the Silver-level Tos. Several city stakeholders also mentioned the value in leveraging AASCTF

---

<sup>14</sup> AASCTF (2022) Mid-term Programme Level Self-Evaluation Report (Mid-term PLSER). Asian Development Bank and Ramboll.

projects and DFAT and ADB association to attract investors. An important strategy engaged by the TO teams is the identification of an intervention champion on the city government side, who can anchor the intervention, provide crucial political sponsorship, and carry it forward beyond the life of the program. For example, in Baguio, the Head of the City Disaster Risk Reduction and Management Office (CDRRMO) is the project champion, and their sponsorship has proven to be a crucial aspect of enabling a coordinated approach among other city government stakeholders.

**Understanding the exit strategy from an early stage:** The TO teams have sought to plan out how a developed tool or service would be handed over to the city government. This includes understanding the institutional context and thinking through how to overcome barriers selected city government departments may face in being able to sustainably operate and maintain the system. In Baguio, the TO has helped establish an appropriate organisational structure for managing the FEWS, provided with a leadership role played by the CDRRMO as the project champion.

In Battambang (TO-07) the team is working closely with Ministry of Environment, as the digital waste management tool will need strong ownership from government to be sustainable. The program is often bringing together city departments that otherwise exhibit little interagency operability, helping to foster new partnerships, collaboration and synergies in conceptualising smart city solutions. For example, in Baguio, the TO is encouraging the Local Government Unit (LGU) to establish binding agreements with other relevant agencies, such as the Department of Science and Technology (DOST), where there are exists joint responsibilities for implementing the FEWS.

**Capacity development to enable sustained use of intervention tools or services:** Long-term sustainability is closely tied to the capabilities of city staff to take over and use the resulting tools and services in a meaningful way. Each city context differs significantly, and the Ramboll team spoke of extensive discussions planning how to set the right capacity foundations to enable long-term use and impact of TO tools and services. For example, in Baguio, there has been a comprehensive effort to develop the capacity of city government staff and an external peer group, comprising both university academics and regional/district agencies, to operate and maintain the FEWS.

The TO teams have also found it important, to carry out capacity building with the government staff with whom they are working, from an early stage, so as to enable them to understand the intervention and empower them to provide effective feedback and steering. This has been a learning curve for the program, as insufficient effort was originally applied to this during earlier TOs, such as Makassar and Georgetown. KIs with city government representatives show that despite progress, this remains a critical area, necessitating greater focus. The transfer or turnover of personnel and the associated loss of upskilled staff and institutional knowledge also remains a notable risk and a challenging issue for the program to address.

**Anticipating and mitigating operations and maintenance challenges:** The AASCTF TO teams are making a deliberate effort to anticipate operations and maintenance challenges, including low capacity and limited financial resources. For example, solutions are often based on inexpensive 'off-the-shelf' software that is simple and easy to maintain, as demonstrated by TO-10 in Hue (Vietnam) which was going through this process at the time of the MTR. Support on calculating budget-suitable allocations for future maintenance has also been provided to some city governments, including Baguio.

However, there remain a number of risks to sustainable outcomes, which are addressed in **Section 3.4**.

### **3.1.3. Is AASCTF demonstrating approaches that can be replicated in other cities?**

**There are significant opportunities to help catalyse replication of Silver TOs in other cities.** The city-specific interventions are creating a wide range of learning and replication opportunities. While it is still too early to say how effectively the tools and services will continue to be used by city governments after the program concludes, there are indications that the foundations for sustained use and impact have largely been well considered. The program interventions are already inspiring one or two cases of local duplication. For example, in Baguio, the University of the Cordilleras is planning to support the local government to replicate activity undertaken through TO-02 on the FEWS on a separate river system nearby. Beyond this, many interviewees believed that there are significant opportunities to replicate the interventions developed by AASCTF in many other cities across ASEAN.

**While knowledge sharing events help to disseminate ideas, they are unlikely to be implemented by city governments without more dedicated support.** As mentioned above, while ideas, examples of smart city approaches and tangible projects may be being shared via influencing activities, generally, the ability of city governments to put them into action remains limited without more sustained support from AASCTF or elsewhere. This was a common theme voiced by Bronze City representatives in El Nido (Philippines) and Semarang (Indonesia).

### **3.1.4. How is the program supporting implementation of the ASEAN Sustainable Urbanisation Strategy?**

**The program is well aligned with the ASEAN Sustainable Urbanisation Strategy (ASUS) and aims to help overcome key barriers to sustainable urbanisation.** The program remains relevant to the Australian and ASEAN policy contexts and priorities identified during the program design stage, in particular the ASUS, although this

comprises a very broad framework and is affords easy alignment. The six ASUS priority sub-areas are: Inclusive & equitable growth; Housing & Home; Water, Waste & Sanitation; Mobility; Urban Resilience; and Education.<sup>15</sup> The AASCTF activities are helping to implement specific initiatives in all areas. Overcoming barriers to sustainable urban development is another important focus of the ASUS. The program is aiming to tackle many of the barriers identified in the strategy including the need for strategic planning (TO-01; TO-06), information failures and prioritisation of interventions (TO-01) and implementation capacity (all TOs). The holistic approach of the AASCTF also fits well within the overall aims of the ADB's Strategy 2030 whereby an important aim is to support cities to become prosperous, inclusive, resilient, and sustainable.<sup>16</sup>

**There could be greater interaction between the program and ASEAN institutions.** Despite the strong alignment with ASUS, there has not been a great deal of interaction between the program and ASEAN institutions, such as the Secretariat, the ASEAN Smart Cities Network, and the ASEAN Connectivity Coordinating Committee. There has been some work in this space, such as an event held in partnership with UN Habitat in 2021, participation in the launch of the Smart Cities Innovation Lab (with ASCN) and in a Digital Trade Standards Webinar (with AADTSI) and a recent discussion with the ASEAN Secretariat, including on a possible repository on smart city knowledge with the ASEAN Smart Cities Network, but overall, very little by way of active partnerships, collaboration or synergies have been pursued. Ramboll has been reluctant to initiate greater engagement due to resource limitations and has relied on ADB to flag when such discussions are appropriate. ADB could play a more active role in engaging relevant regional working groups and programs for ASEAN Members States, which facilitate regional dialogue on low-carbon development and disaster resilience. Those particularly relevant to the AASCTF are summarised in **Box A4.1** in Annex 4.

## 3.2 KEQ2: How efficiently is AASCTF managing its resources?

The AASCTF implementation team, comprising of ADB and Ramboll, and supported by several partners such as Practical Action (TO-05) and The Asia Foundation (TO-09), have deployed well-qualified experts, almost exclusively in-house, to deliver the specific TOs. Project management has been well executed by the Ramboll Core Team and the network of TTLs, supported by efficient project and risk management tools and processes. Management and allocation of AASCTF resources is also influenced by comprehensive M&E processes. These are working well to help evaluate progress against program targets, though there remains some room for improvement, both to enable more useful learning feedback loops for each city intervention, and to identify potential for scalability and replicability of TOs.

Coherence of wide-ranging AASCTF components is enabled collectively by the effective framework of urban planning, service delivery and financial management pillars, as well as the crosscutting climate change and GESI themes. The AASCTF demonstrates flexibility, able to identify and rapidly respond to evolving city needs. This is driven by the demand-led design, strong coordination between ADB and Ramboll, and close relationships nurtured with city governments. DFAT's outsourcing of AASCTF to ADB is working effectively, creating space and flexibility for innovation. However, ADB's funding of the Ramboll-managed component via ADB's Southeast Asia Urban Services Facility (SURF) reduces flexibility, as the budget for the Ramboll component is almost completely committed within the current TO portfolio and cannot be easily increased to fund further work.

In the following sections, detailed responses to KEQ 2 are broken down by sub-questions:

### 3.2.1. How effectively are the reporting, coordination and risk management processes working across the AASCTF? What could be improved?

**Project management and internal communication processes are well defined and effective, improving over time as the program has become established.** The Ramboll-led component of the AASCTF – effectively the Bronze and Silver-level activities – is generally seen by internal team members and external partners to be well managed. Working closely with ADB, the Core Team provide strategic direction, overall coordination, and quality assurance, as well as program level communications and monitoring and evaluation. TO teams are led by a TTL (a permanent staff member of Ramboll) and supported by a range of necessary internal and sub-contracted experts and support staff. The geographically dispersed nature of the Ramboll team due to COVID-19 (See **Section 3.5**) has generally worked well. Staff based at the city or country-level have also helped to implement TOs, particularly following the realisation in Makassar (TO-01) that delivery necessitated more team members on the ground to enable stronger communications with city government and stakeholders. Coordination on some early TOs such, as Kaysone, were

---

<sup>15</sup> ASEAN Secretariat (2018) ASEAN Sustainable Urbanisation Strategy ([Link](#))

<sup>16</sup> ADB Strategy 2030 ([Link](#))

considered by internal and external partners to have been weaker than desired, but the processes have improved over the course of the program.

Trello and Goalscape are both innovative tools tested by Ramboll to augment existing project management IT solutions such as Sharepoint. Initially, Trello was piloted from March 2021 to March 2022. However, team uptake remained limited and since April 2022 Ramboll have been piloting the use of Goalscape, a more comprehensive communication and project management tool. If successful this will be rolled out more widely across the program team. Internal project reporting comprises of Quarterly Progress Reports and Activity Level Progress Assessments (ALPAs) for each TO. Several KIIs stated internal progress reporting was too cumbersome and time intensive for TTLs, consuming up to a few days per month. This detracts from implementation and there may be a role for more junior colleagues or project managers to better support TTL reporting on each TO.

**Collaboration is strong between Ramboll and ADB teams, although administrative processes can sometimes be slow.** The Ramboll team and ADB display strong collaboration and work in a collegial and productive way. This has enabled flexibility and innovation in the conceptualisation and delivery of TOs. The Ramboll team provides weekly updates to ADB and there are frequent, informal communications between TTLs and ADB project officers, often via channels such as WhatsApp. Comments from one KII suggested that ADB often takes time to process requests and could be more agile. This is not hindering overall progress, but may act as a constraint. For example, on pre-approval for costs, even for small assets, like hard disks for data, approval processes can be protracted, and ADB could seek to expedite such processes.

**Reporting is high-quality but could be presented in a way that allows DFAT to understand progress more easily against key indicators.** ADB is responsible for reporting to DFAT, and Ramboll is contracted to ADB. In practice joint progress reports are produced by Ramboll and ADB and submitted to DFAT on a biannual basis. As DFAT has asked for concise reports Ramboll and ADB have sought ways to best to provide information succinctly. Reports are very well presented, however, they do not easily allow readers to access or understand the most salient issues or assess clear progress against project indicators. Assessment against common criteria such as effectiveness, efficiency, sustainability, as well as results matrix indicators, should be clearly included in progress reporting.

**Risk management processes are well defined and applied for all project components and have improved since the start of the program.** There has been steady improvement of risk management processes since the early stages of the program, under TO-01. The whole AASCTF derived significant learning from that initial phase and has been able to transfer risk-related processes to subsequent TOs. Most TOs usually have frequent (often weekly) meetings, and often with representatives from local city government, to keep track of progress and challenges to delivery. Generally, TTLs assess risks every three months and capture risks and mitigations to the Quarterly Progress Report (QPR) for their TO. TTLs typically talk through them with the Ramboll Core Team on a call that follows submission of the QPR. Mitigations are usually suggested by the intervention team, with support from the Core Team where needed. With the volume of TOs mobilised, there is a risk that this is reduced to a tick-box exercise. Ramboll is alive to this risk to the efficacy of the risk management process itself, and, alongside the submission of each QPR, there is also now a 30-minute meeting to accompany each report, enabling greater dialogue between TTLs, the Ramboll core team and the ADB Project Officers.

As an example of the risk management process in practice, the Makassar team identified the risk that the Urban Development Scenario document and the draft Liveable City Plan would be inaccessible to many city staff and so unlikely to be widely read, understood, disseminated, and acted or commented upon. The team, therefore, developed a more accessible interactive report format, which is also easily sharable online.<sup>17</sup> This shows how digital tools can be integrated into the consultancy and strategy development space to more effectively communicate ideas with city governments and stakeholders. Another example is that TO implementation is often delayed by the process of gaining government permission for Ramboll to engage with stakeholders. The extent of this depends on country contexts and is a notable barrier in Cambodia, Thailand, and Vietnam. Well-conceived and agile advanced planning to minimise delays have been important aspects of risk mitigation in relation to engagement with government and non-government stakeholders.

DFAT is not formally engaging on risks with ADB, although there is much informal interaction between DFAT and ADB on aspects of the program, and there are processes in place for regular discussions on risks. Risk assessments between ADB and DFAT could be formalised during the coming two years of the program via a Quarterly Risk Report.

---

<sup>17</sup> Makassar Liveable City Plan. Interactive Report ([Link](#))

**Interaction with city governments has generally been very positive, although there are some areas for improvement.** TO teams have been able to build strong relationships with most city governments, despite the limitations of Covid-19, as explained in **Section 3.5**. This experience has led the whole Ramboll team to be sensitive to communication related risks with city government and other stakeholders.

One challenging aspect of interaction has been gaps in expertise between the well-qualified Ramboll team and the city governments, which sometimes makes interaction and city feedback difficult. There is a strong need to check that the basics in each context, such as principles of transport modelling in the case of Georgetown, are understood by the relevant city staff, helping to inform design and maximise the usefulness of tools when handed over at the end of each TO. This was raised in relation to Georgetown, Penang and Baguio interventions, and is likely to apply across other Silver cities. Capacity building efforts are required to mitigate this, and it is important that program resources are available for this. The challenge was also raised during the AASCTF's internal mid-term review, but it is important for the team to continue to address this across all TOs.

Interviews with government staff in the sampled cities showed that it can be a significant burden for city government staff to meet the demands of the project team, particularly if coinciding with the city participating in TO-08 or TO-09. This can impact on the effectiveness of the Silver TO and the knowledge transfer activities and it is important for the AASCTF team to carefully consider how best to interact with city staff to avoid over-burdening them while maintaining close collaboration and synergies between influencing and implementing activities.

It is also important to ensure that the program clearly communicates important decisions to city governments. While communications are generally very strong, there has been a lapse in Kaysone. Following the implementation of TO-03 on the feasibility study for the skills matching tool, ADB decided not to immediately continue with Phase 2. ADB recognised that the intervention has strong potential for impact and demand from city and university stakeholders and sought alternative funding options. However, city stakeholders feel that they have been left without an explanation of the possible outcomes, which could be a negative influence on ADB and DFAT's reputation in Lao PDR.

**Harmonisation with other donors is generally strong in the Silver cities, leveraging ADB's existing relationships.** ADB generally provides strong relationships and entry points in each program city. This is particularly beneficial for Silver cities, where the AASCTF can leverage existing relationships with government officials and other stakeholders. This makes initial work on scoping the interventions more efficient. Most of Ramboll's TO teams are also engaging well with other donors. For example, in Battambang, exchange with USAID and UNDP has been very important for understanding how the AASCTF intervention could add value. In Luang Prabang, the TO-12 team is engaging with UNESCO, who provide considerable support to the city on urban planning and cultural heritage.

**Ramboll Country Focal Points could be more prominent to stakeholders and play an important role in outreach and dissemination of news and updates.** Ramboll has deployed Country Focal Points as part of its implementing teams. However, government and non-government stakeholders interviewed were generally unaware of the Country Focal Point role, bringing into question how effective they are. There is sometimes confusion on the part of the city government staff between Silver and Bronze level activities, a point that was raised by one or two key informants from city government. Country Focal Points could be more effectively used to play an important role in clarifying program activities and helping to disseminate dedicated communication materials such as the 2-page flyer and introductory video on the AASCTF, prepared by Ramboll.

**More formal interaction with other DFAT posts, particularly the ASEAN Mission, would be welcomed and could lead to greater synergies.** Interviews with DFAT posts indicated that there should be more proactive interaction by Ramboll and ADB with posts across ASEAN. This particularly applies to the ASEAN mission in Jakarta, where there is potential to seek synergies and knowledge exchange with the mission's related smart cities and infrastructure initiatives and its close ties to ASEAN institutions and groups such as the ASEAN Smart Cities Network. Several DFAT post representatives suggested it would be good to have quarterly or 6-monthly regional updates with ADB to share progress. If there was a standing agenda of updates and objectives that DFAT Posts and ADB could talk about and be updated on, it would provide greater assurance that they are working toward the same broader ASEAN-Australia set of priorities. This would provide a stronger basis for communication with the ASEAN Secretariat.

**The AASCTF demonstrates robust M&E processes, reflected by the 2020 M&E Strategy and the well-developed Design and Monitoring Framework (DMF), although it lacks clarity for some team members.** The internal M&E system includes reporting on M&E targets in QPRs, the use of Activity Level Performance Assessments (ALPAs) and recently implemented Activity Level Evaluation Reports (ALERs). The system is considered to be a 'gold standard' of M&E by ADB. However, interviews with Ramboll TTLs revealed that M&E reporting lacks clarity and is not well understood by many team members in Ramboll. Some interviewee comments suggest ALPAs are seen as an administrative burden or a tick-box exercise with little intervention level appreciation of their value. For some TO's such as the VISSIM modelling in Georgetown (TO-06) team members have found it difficult to connect progress and outputs to the overarching AASCTF KPIs, particularly on gender and inclusion. Another TTL has said that they

understand the potential of M&E, but the current system is not flexible enough to pull out key aspects such as potential for replicability and sustainability for each TO.

**M&E processes could be improved to be fully appropriate for a ‘sandbox’ program approach.** The AASCTF Silver interventions are seen by ADB and Ramboll as a ‘sandbox’ where there is programmatic space for trial and error. M&E processes are important in this case to monitor what’s working well or failing. Some interviewees have said that the M&E framework is well suited to the overall aggregated program indicators and for components like TO-08 & 09. However, Activity Level Performance Assessments (ALPAs) are designed to help the program monitor progress for each TO at a more granular level and identify how to correct the course of an approach, if something is not working well. While the ALPAs are tailored to each TO, interviewees pointed out that it is challenging to aggregate indicators, considering the diversity of TOs. To help mitigate this, each TTL is asked to develop their own DMF for each TO, drawing on Core M&E Expert support.

Overall, the M&E system is working fairly well to help evaluate progress against program targets, but there remains some room for improvement to enable more useful learning feedback loops for each city intervention. This will help the program understand more clearly and rapidly what is working well, what can be adapted during an intervention, or replicated or scaled up after an intervention has been completed, either within AASCTF or by other entities. It will also be useful to conduct an evaluation one or two years after each intervention has ended to gain valuable learning on sustainability of outcomes and to better understand what has worked or failed in the medium term.

### **3.2.2. What is working well and/or what challenges are there in terms of linking the city and program levels together in terms of shared program objectives?**

**The program pillars and cross-cutting objectives help to tie the components together.** As shown in Section 2, AASCTF is a complex program comprising a wide range of Silver and Bronze level interventions, Resource Person and Direct Charge projects and the expected addition of Gold level investments or initiatives. There is a risk of reduced efficiency and effectiveness as a result of disparate initiatives that are not clearly linked into a coherent program whole.

However, coherence is provided by the frameworks that are used to structure the program. Firstly, the three thematic pillars of urban planning, service delivery and financial management help to organise interventions and influencing activities, although in reality there are a number of overlapping elements such as digital payments for waste management service delivery, which is a possible focus in TO-07 in Battambang. Secondly, the Foundational, Influencing and Implementing categories help to provide a framework to consider how outputs are contributing to outcomes. Thirdly the cross-cutting considerations of climate change, private sector development and gender equality and social inclusion help to bring in common lenses through which to plan and organise the common objectives of program interventions. As mentioned above there is also coherence in terms of city selection whereby selected cities are linked to long-standing ADB relationships and interventions.

**The capacity building components of the program also help to tie all the themes and approaches together into a coherent whole.** Another important set of threads running through the program are the influencing events, including the webinars, city introduction works, Inclusive City Dialogues and smart city networking days under TO-08 and TO-09. These events often draw on examples and learning from across the program, such that Silver TOs help to reinforce knowledge sharing in the influencing activities as well as TO teams being able to draw on the knowledge and resources available in these influencing activities. For example, the city government champion for the FEWS in Baguio was a speaker at the recent Smart City Networking Days 2022.

**Further expanding the program to cover greater numbers of cities and types of interventions would risk losing coherence and ability to create impact in certain target areas.** The program already covers a wide range of topics, thematic pillars and participating cities. As DFAT and ADB consider the next two years of the current program or a possible extension beyond 2024, it will be important to consider how best to consolidate program results. The sustainability challenges related to the current TOs and the DMF indicators relating to scaling and replicating interventions, suggest that it is advisable to go deeper rather than wider in terms of city engagement, building on areas of traction and consolidating city relationships. There are important opportunities to continue supporting beneficiary governments as they adopt and integrate AASCTF-developed tools and services, which is likely to boost overall success at the outcome and impact levels.

### **3.2.3. Is AASCTF able to respond to emerging priorities and make timely decisions? What factors help the program’s ability to respond and what hinders it?**

**Strong flexibility, in terms of the ability to rapidly respond to changing city government needs, is demonstrated across the program.** For example, the evolution of TO-01 in Makassar from preparing a Liveability Plan to designing and implementing an online tool to prioritise smart city investments; and meeting the request of the Indonesian government to implement an upcoming task order (TO) to support the smart city development of Nusantara in Kalimantan, the newly planned capital city. There are also many smaller examples across the program of an agile



Ramboll team that is able to adapt their approach to better collaborate with the city government and other stakeholders, such as the integration of TO-05, led by Practical Action, on a gender transformative approach to the Baguio work package, which was requested by the Mayor of Baguio.

**The ability of the program to respond in a flexible way to city staff is driven by the demand-led design, strong coordination between ADB and Ramboll and close relationships with city governments.**

Interviews have shown that a range of factors contribute to program flexibility. Foremost is the design of the program, which is demand-driven, seeking to try new ideas and proactively responding to ideas and requests for city officials. The Ramboll core team has a time-based contract with ADB and then lump sum payments are set up for the TOs. As a Ramboll team member put it: *“We don’t really need to always have clearly defined outputs, you know, if an opportunity arises, if there was an emerging priority in relation to COVID-19, or any other disruption, then we can adjust and we can organise ourselves to react and to deliver accordingly”*. Changes to scope are generally considered and approved fairly rapidly between Ramboll and ADB. Other factors include the on-the-ground staff in each Silver city, well-coordinated teams and good relationships with city staff.

### **3.2.4. How is learning facilitated or enabled and documented across countries and intervention teams within the region?**

**Internal learning processes are fairly strong, with some room for improvement.** Learning from earlier TOs has been applied to subsequent TOs. For example, in delivering TO-01 in Makassar, it became evident that more on-the-ground team representation was necessary to build relationships and overcome the challenges of restricted team travel resulting from Covid-19. It was understood that greater emphasis was needed on government capacity building to use the digital tools being developed by the program. These points and many others were applied to following TOs.

However, internal learning is largely based on knowing who to speak to in the team, such as TTLs. This is largely well-facilitated by the Ramboll Core Team, although an example of this being less effective, from KIIs, is that there has been limited engagement by the recently mobilised Luang Prabang TO-12 team to draw on the learning points related to country operations and political economy considerations with the TTL of the earlier Kaysone TO-03 in Lao PDR. However, the subject matter of these two TOs is very different and thematic learning points have been effectively shared from TO-01 in Makassar to TO-12 in Luang Prabang.

Ramboll could potentially implement an internal learning database or knowledge hub to help make learning more systematic and indeed, their new management and communications tool, Goalscape, should also support internal learning exchange. Several Ramboll interviewees also suggested they could set up an internal quarterly exchange session for all team members and any other Ramboll staff would be able to feed knowledge into the program or benefit from the experience of AASCTF. It is also an important point that the TO-08 webinars act as both external communications and also internal learning for the Ramboll and ADB teams, as a way of exchanging new ideas.

**Knowledge sharing across the program could be more targeted towards the subject areas of the Silver TOs, with greater emphasis on learning both from those interventions and from external examples.** This approach should be increasingly valuable as the Tos progress. For example, sharing knowledge on digital tools to enhance solid waste management would be relevant to support the Battambang team conceptualise an intervention approach with the city government. At the same time, webinars and other events can increasingly make reference to the Silver TO interventions as case studies and sources of learning. Several members of the project implementation team have said that it will be important to celebrate the progress of AASCTF over the coming months and to build on the experience and learning so far.

This is already partly being put into practice by Ramboll; an upcoming series of workshops in Autumn 2022 on flood mitigation approaches and tools, will draw heavily on the experience from TO-02/05 in Baguio. Learning and knowledge sharing could be expanded to include a wider range of stakeholders, such as those now closely integrated in the Baguio FEWS. Interviews with the academic stakeholders in Baguio showed that they are not currently invited to participate in the wider influencing activities, even though they are an important part of the FEWS intervention in Baguio.

### **3.2.5. How well does the overall program modality work in terms of disbursing DFAT resources to support sustainable and smart urban development?**

**The modality of AASCTF works well and is resulting in demand-led, innovative city interventions and well-informed knowledge sharing activities, although DFAT branding could be stronger.** The project modality of outsourcing delivery of AASCTF to ADB is working effectively, creating space and flexibility for innovation and city staff capacity building at the city level and enabling discussion and knowledge sharing in a wider network of cities and related stakeholders

**ADB's modality of implementing the Ramboll-managed component via its Southeast Asia Urban Services Facility (SURF) reduces flexibility as it is almost completely committed and can't be easily topped up.** At the start of the program, ADB allocated US\$10M to SURF, to cover the technical assistance (TA) provided by Ramboll. This has now been almost completely exhausted. ADB still have US\$3.5 M allocated to AASCTF in their Sustainable Development and Climate Change (SDCC) unit, but they are not able add more to the SURF, which has reached its cap. This was explained in the ADB's February 2022 note to DFAT on this topic.<sup>18</sup> ADB are in the process of opening a new SURF TA window, but can't automatically allocate it to Ramboll, due to procurement requirements.

ADB's modality for the program would have been more flexible if everything was originally added to the SURF, which is an acknowledged point of learning by ADB. Therefore, to move forward, the ADB is preparing a new SURF window, which would need to be topped up by additional DFAT resources, but they will need to retender the program, rather than automatically giving it to Ramboll, in order to comply with their procurement rules. While Ramboll are likely to be able to complete currently endorsed TOs within the existing budget, this break may create challenging delays and loss in momentum in the implementation of AASCTF's additional Bronze and Silver activities.

**Non-development outcomes, such as showcasing Australian expertise, has been enabled by the AASCTF.** While the sustainable development objectives are a considerable priority for DFAT, secondary benefits related to political influence in the ASEAN region and business and investment opportunities for Australian businesses remain high priorities and are expected to be achieved as a result of each investment such as the AASCTF. There are many business-related opportunities related to the smart city sector in ASEAN. For example, according to the McKinsey Global Institute (MGI), disruptive technologies, including mobile Internet, big data, cloud technology, the Internet of Things (IoT), have the potential to generate between US\$220-US\$625 billion in annual economic impact in ASEAN by 2030.<sup>19</sup> The AASCTF has the potential to help leverage opportunities in the program cities and countries.

For example, both Makassar and Luang Prabang have attracted senior representatives of the Government of Australia; indeed, the newly elected Prime Minister Albanese and Foreign Minister Wong visited Makassar in June 2022. Interviews with DFAT Posts suggest that the program provides strong DFAT visibility a good talking point for officials, helping to establish stronger foundations for government and business cooperation. The program has also engaged the expertise of a number of Australian organisations, including the Commonwealth Scientific and Industrial Research Organisation (CSIRO) to help develop the Makassar smart solution prioritisation platform; the Australian Bureau of Statistics and Queensland University of Technology in webinar #1; University of Technology Sydney for webinar #4; Australian National University Centre for Digital Humanities Research for webinar #7; and enabling interaction of Gold Coast and Perth with Makassar and Baguio, via the twinning program.

### 3.3 KEQ3: Is the program making progress in effectively promoting gender equality and women's empowerment in the program implementation?

Of the 5 Silver cities sampled (6 TOs; program total 12 TOs, excluding TO-04 Yangon), TO-01 (Makassar) Strategic Urban Framework and GESI-targeted TO-05 (Baguio) Gender Transformative FEWS demonstrated very good progress in effectively promoting GESI and have potential to contribute to beneficial outcomes for GESI target groups.

Bronze activities were assessed by survey and KIIs. Survey results indicated that 78% of participants (n=50) found GESI-related content in events to be useful, but evidence that this translated into action is lacking. GESI-targeted Regional TO-09 (Smart Cities-Inclusive Cities) has potential to catalyse progress towards GESI outcomes. Regional TO-08 may increase GESI knowledge and awareness through outputs produced but may not be designed to achieve overarching GESI outcomes.

The MTR did not sample ADB's 8 Direct Charge and Resource Person contract activities.

#### 3.3.1 How effectively is GESI being mainstreamed through the design and implementation of program interventions? (Addressing 5 sub-KEQs)

**Intention to mainstream GESI in Silver City TOs is documented, yet understanding of GESI mainstreaming, what GESI outcomes could look like and what evidence might demonstrate GESI outcomes is variable.** Effectiveness is considered as the likelihood or actuality of achieving, or significantly

---

<sup>18</sup> ADB (2022) Information Note on Financial Status ASEAN Australia Smart Cities Trust Fund. Internal AASCTF document.

<sup>19</sup> McKinsey Global Institute (2014) Southeast Asia at the Crossroads: Three Paths to Prosperity. ([Link](#))

contributing to, short- to medium-term intermediate GESI outcomes. If interventions can demonstrate meaningful engagement with GESI target groups, and those groups' inputs inform design and implementation, then tangible benefits are more likely to eventuate. There is a strong AASCTF focus on outputs, with indicators such as numbers of participants attending events and assessing their knowledge/capacity as having increased. This is a starting point, however, increasing participants' knowledge, awareness, and capacity on GESI only translates into outcomes if those participants apply this knowledge, awareness and capacity in ways that lead to beneficial changes. Effectiveness might be demonstrable if the program's M&E system tracked this (e.g. via random sample participant follow-ups) to identify evidence of change, such as policies, plans, operations, practices; or clear pathways or commitments to GESI. Evidence tracking also informs better targeting, design, and delivery of interventions.

For example, the MTR's Bronze City survey asked about attendance at AASCTF webinars/workshops and whether participants had done anything differently in their role as a result of what they'd learned. While 92% had attended one or more webinars/workshops, only 14% could give a real-world example of practical application of knowledge and of those only one was GESI-related (transport for people with a disability). 78% rated the usefulness of GESI-related content in webinars/workshops as 3 or 4 (1=poor, 5=excellent); 40% had attended Inclusive Cities Dialogue Module 1 and 28% had attended Inclusive Cities Dialogue Module 2, indicating reasonable exposure to GESI issues/knowledge.

Implementing partners KIIs explored what benefits GESI target groups could expect to see from interventions. The majority of responses were vague and/or unrelated, suggesting that thinking/discussion about GESI outcomes (rather than outputs) is not a focus.

**The AASCTF GESI Strategy provides clear guidance on GESI mainstreaming.** The AASCTF GESI Strategy, developed with DFAT during 2020, reflects DFAT's twin-track approach of mainstreaming (consideration of GESI in all program activities and GESI-specific interventions) that can deliver significant benefits to GESI target groups. The Strategy comprises considerable supporting material, including country GESI profiles, well-researched contextual information, GESI entry points for AASCTF interventions, and M&E guidance.

The expected program impact for GESI target groups is noted in **Box 2** below. The expected short- to medium-term **intermediate outcomes** (i.e. within the AASCTF timeframe and GESI Strategy approach to mainstreaming) are noted in **Annex 4, Box A4.2** and **Box A4.3** respectively. Effective mainstreaming can and should support interventions to move beyond outputs to intermediate outcomes, or to demonstrate a viable or likely pathway to intermediate outcomes.

**Box 2: GESI-focused Impact**

*"Inclusive cities that are more accessible and responsive to the needs of women, people with disabilities, children, older persons and members of other intersectional groups using smart solutions."*

*Source: AASCTF GESI Strategy, Table 1, p.xii*

**From ALPAs, program documents and KIIs, there is strong evidence of mainstreaming and progress towards outcomes in one non-targeted TO, but variable or limited evidence in other TO.**

**TO-01 Makassar Strategic Urban Framework (Silver)** – analysis for digital tools, tool design and plan, to support better planning decisions, including for GESI groups. This TO took logical and appropriate sequential steps to achieve GESI mainstreaming, which were clearly and coherently articulated in documentation (ALPA, GESI profile/needs assessment, citizen engagement survey and survey tool, Liveable City Plan) and KIIs. GESI inputs were actively sought, including through a citizen survey of over 2000 people. There was also strong understanding of the digital divide and how smart city interventions needed to account for this to design inclusive services. The TO self-identified areas for improvement, including needing better discussions with government stakeholders on GESI; encouraging wider participation of disadvantaged groups; and reporting quality of inputs and participation at meetings, rather than purely attendance numbers. Broad-based consultation and verification processes with GESI target groups and representatives were planned, however remote working limited this to key government and CSO stakeholders. Self-assessment concluded there was no tangible evidence, yet, of benefits to GESI target groups.

Mainstreaming: Gender Action Plan exists; gender balance in trainings/workshops recorded (mainly 30-45%; meetings small, reasonable gender representation); TO team gender balance generally good; inclusive/accessible guidance for public outputs will be applied to final deliverables; GESI issues/challenges identified early, consultation with GESI-related agencies, GESI situation analysis and disaggregation of data for GESI purposes completed; in-person stakeholder engagement survey conducted including GESI target groups and used to inform Liveable City Plan; intervention prioritization included GESI consideration/objectives; meeting/event accessibility improved as majority were online due to Covid-19.

GESI considerations have been well-integrated and mainstreaming is clearly understood in this TO, reflected in the process followed, self-assessment offered and the ability to distinguish between outputs and outcomes. GESI outcomes may be seen if, for example, the participatory planning tool is used, participants views are reflected in city

government planning and implementation, and benefits to GESI groups are evident. This TO has created a pathway and solid foundations, and if there is continued engagement with city officials, it may be able to influence GESI outcomes. The program's M&E system should periodically follow up to identify and document any evidence of intermediate outcomes. TO-01 demonstrates that effective GESI mainstreaming is achievable in a 'technical' project.

**TO-02 Baguio Smart Flood Warning, Information and Mitigation System (Silver)** – a technical and capacity building activity, TO-02 was described in KIs as originally not being explicit on GESI. GESI-targeted TO-05 Gender Transformative FEWS was added to address this. The intention was to integrate the two TOs, with TO-05 GESI findings, recommendations and actions informing aspects of TO-02, with docking points noted in both TO ALPAs. During KIs this arrangement was described as “parallel tracks but close synergy”, with TO-02 contributing to TO-05 policy recommendations on risks, vulnerability and preparedness. However, not all TO-05 recommendations could be taken up, but plans remain to integrate later, if possible. Ramboll note substantial integration occurred in the Data Dissemination & Outreach Plan (not included in MTR documents), though it is not clear what other integrated outputs are planned.

Mainstreaming: TO-02 ALPAs refer GESI considerations to the TO-05 ALPA, although it is also an intervention in its own right; little recording of gender balance data; GESI entry points/issues likely not considered at TO-02 start; no reference to consideration of accessibility of its own meetings/workshops.

The integrated FEWS is intended to result in better communicated and appropriately timely flood warnings to citizens, particularly GESI target groups., GESI-responsive preparedness and response measures are addressed by TO-05 partnering with city government. There is potential for a good GESI outcome due to the TO-05 work, but the integrated FEWS would need to be tested to assess this.

**TO-03 Kaysone Enhanced Employment Service Platform and e-Learning Modules (Silver)** – concept for a digital labour market information system, with digital skills matching capability and skills training through e-learning modules. TO-03 did not progress beyond pre-feasibility stage. ADB is exploring alternative funding sources to continue this intervention (unclear if it would be part of the AASCTF). Mainstreaming: while the Pre-Feasibility Report includes a good GESI analysis and GESI Framework for a Pilot stage, GESI considerations were not reflected in the consultation/concept planning processes. Other mainstreaming actions not recorded at that time (pre-ALPA).

**TO-06 Penang Smart Mobility Micro-Simulation Model (Silver)** – tailoring the VISSIM modelling tool for Georgetown World Heritage Area, to inform traffic planning/policy. Based on interviews, seen as a narrowly focused technical tool creation and training intervention, with limited ability to consider social issues. Assumption is that planning using the tool would provide benefits to all, with indirect GESI benefits, such as improved public transport stations, safer spaces, wider footpaths. There was a possibility of testing the model on solutions that could have GESI benefits. Mainstreaming: No consultation with GESI target groups; TO team encourages local partners to include women in training to use the tool; there are some women in senior positions and indirectly they will demonstrate inclusion by having a woman at presentations. Gender balance in workshops/ meetings recorded (relatively low female participation); team gender balance achieved through a local consultant; consulted with GESI specialist on GESI Action Plan; two actions planned for end of intervention – aim for gender balance in training and awareness raising of ability of use tool to assess, e.g., impact of transport decisions on women, other solutions with GESI benefits.

Early engagement with GESI target groups by both TO team and city officials would inform the thinking and increase the likelihood of the tool being used to address issues affecting GESI target groups. This would also meet international tourist expectations of accessibility and safety. More engagement of city officials/Digital Penang by the TO team on GESI issues, would also help. There is currently no pathway to GESI outcomes.

**TO-07 Battambang Smart Solid Waste Financial Management (Silver)** – currently scoping options to pilot tools/solutions for planning, monitoring and revenue raising in the waste management sector, and identifying needs, challenges, priorities. Based on interview/ALPAs, currently considered challenging to engage government stakeholders on GESI, as engaging on waste management is already difficult. Gender balance in meetings also challenging, as government stakeholders dominated by senior males. The intention is to wait for the pilot stage to do GESI analysis/stakeholder consultation, consider the informal sector and engage with an NGO. Mainstreaming: gender balance at workshops/meetings recorded (generally low); Gender Action Plan exists, notes that Task Team mostly male; meeting accessibility facilitated as majority are online; a stakeholder presentation received GESI expert input. Other actions are listed for pilot stage. There appears to be a missed opportunity to engage with GESI target groups/representatives/NGOs at the scoping stage, to inform the needs, challenges, and priorities. A consultative process may generate more ideas, more interest from government officials and identify pathways to GESI outcomes that can be built into pilot(s).

**Regional TO-08 Baseline Development and Capacity Building for AASCTF Cities (Bronze)** – according to ALPA, covers multiple activities including integration of GESI data quality indicators into an M&E baseline dashboard. A Baseline Scoping Report notes it will focus on Smart Governance, considering how e-governance in AASCTF cities supports the cross-cutting areas of GESI, Climate Change and Private Sector Engagement. A survey including GESI

topics was conducted, receiving 400+ responses from 16 cities, and will be used to create a Smart City Survey dashboard that can be used by city officials to identify key GESI issues/challenges relevant to Bronze cities. Mainstreaming: gender balance of workshops/meetings recorded (workshops: good balance for Baguio, El Nido PHI, 9%-31% for other cities; workshops dominated by men in higher positions; meetings generally balanced); accessibility enhanced by hybrid model, choice of on-line or physical attendance, to address lack of access to ICT; TO team majority women; National Focal Points gender balance 50:50; Gender Action Plan exists. Unclear how the intervention will track whether the knowledge of GESI issues/challenges is used by city officials and translated into GESI outcomes. It was noted in the ALPA that sustainability of the M&E dashboard and Survey tool after the program ends was questionable.

**TTLs should take a leadership role in integrating GESI considerations into interventions.** A GESI Specialist on the core team provides guidance and support to the TO teams, although TO teams are responsible for integrating GESI considerations into their work. This suggests that TTLs need to take a leadership role if GESI mainstreaming is to be successfully achieved. Ramboll advised that the GESI and M&E Specialists hold a 1.5-to-2-hour workshop with TO teams, usually within 1-2 months of implementation. GESI Specialists also provide inputs during weekly meetings/when otherwise required; support development and review of GESI Action Plans; incorporation of GESI elements into TO design; and identification and selection of GESI stakeholders. TOs teams can include local gender/social development specialists. Of the TOs sampled, those performing well/demonstrating good potential effectiveness on GESI appear to have strong engagement with core/local GESI Specialists, GESI target groups, NGOs/CSOs, or are led by the core GESI Specialist.

**Women and marginalized groups have not been consistently involved in design and delivery of interventions and GESI issues/entry points have not often been considered.** Other than TO-1 Makassar and TO-05 Baguio, consultation, and references to stakeholders/beneficiaries in TO documentation usually refers to government/city officials, and sometimes external experts. GESI target groups, and citizens more broadly, are not routinely consulted at the conceptual stage or to inform prioritization, although it would be possible to seek those views/inputs. It may be an assumption that this wouldn't be of interest to city officials or that GESI perspectives would not add value at early stages, but all city government decisions/actions will impact on citizens, so consulting them makes those impacts clear and it may identify different, better, or more appropriate approaches/solutions.

**Gender balance in meetings/events is more successful in some countries than others.** TO teams are aware of and encourage gender balance in participants for meetings/workshops. Gender balance in presenters/trainers is also sought. Achieving gender balance in Silver cities varies considerably, from good balance in the Philippines to relatively poor gender balance in Lao PDR and Cambodia. In interviews, it was suggested that having more in-person engagement in those countries might be more influential. Reported Bronze level event data (2021 APR) mirrors this, with better gender balance in the Philippines (although that varies significantly between cities) than other countries. Data indicates gender balance at events is better in cities that have had more engagement with TO implementation teams, suggesting interventions are having a positive influence on local partners in this regard.

Gender balance in numbers is not effective unless women (and others from GESI target groups) are willing and able to contribute their views, insights, experiences, and ideas. It may create a more conducive environment for participation but may not be sufficient to overcome cultural barriers to Western-style participation and discussion of sensitive topics (such as gender-based violence/harassment or even the need for appropriate toilet facilities), deference to hierarchy and other power imbalances.

Difficulties with meaningful participation have been documented by the program's interventions and use of technology to allow anonymous responses has been employed to overcome this (eg, Mentimeter). Allowing smaller groups of women to discuss and come up with issues/solutions as a group may also be more productive and would provide a useful comparison to inputs received using anonymous means such as Mentimeter. Ramboll advises that other modified approaches are being adopted to address this, such as event organisers taking a back seat to avoid dominating the dialogues in TO-09 Inclusive Cities Dialogue. This has had a positive impact on interaction and contributions from participants, who are mainly women. In addition to addressing gender balance, inclusion of people with a disability and other vulnerable/marginalised groups should be actively sought, to better inform interventions.

Similarly, alternative approaches to engaging with and listening to the views of women in city officials' meetings, particularly where all senior government representatives are male, may need to be employed (eg, convening separate meetings specifically for women). Female officials may have useful insights and observations to offer on gaps, barriers and potential unintended consequences for women and other vulnerable or otherwise disadvantaged groups, but where senior male officials may dominate meetings, these views may not be heard. Specifically asking women for their views in meetings may help, but some women may find this intimidating.

**Disability inclusion is not clearly addressed in most TOs.** ALPAs/interviews indicate that implementing teams are aware of the need to make meetings/workshops accessible to all and that the shift to online meetings/events due to Covid-19 facilitated greater accessibility. Whether this increased the participation of people with a disability cannot be

assessed unless relevant data is collected. A Bahasa sign language translator was provided for one city government meeting in Indonesia and Ramboll indicated it is considering how to provide this service more widely, identifying needs via stakeholder issue/mapping. GESI-targeted TO-09 conducts workshops with both sign language and spoken language interpretation for all participating cities. It is unclear how pro-active non-targeted TO teams are in seeking to include people with a disability in workshops/events.

### **3.3.2 GESI-targeted interventions - progress towards intermediate outcomes**

**TO-05 Baguio Gender Transformative FEWS and Regional TO-09 Smart Cities-Inclusive worked with NGOs and engaged with/included GESI target groups from the early stages of the intervention. They demonstrate an effective approach to progress towards GESI outcomes, and to increase the likelihood of achieving GESI outcomes.**

**TO-05 Gender Transformative Flood Early Warning System, Baguio (Silver)** - led by Ramboll's GESI Specialist, supported by NGO Practical Action and partnering with the city government, TO-05 aims to ensure timely early warning reaches all, including the most vulnerable/marginalized; improve decision-makers understanding of GESI; and improve representation/link the needs of vulnerable and marginalized groups to preparedness planning and response actions. GESI target groups were consulted to inform decision-making, planning and response measures (research report, recommendations/actions documents, stakeholder and issue mapping, ALPA). Practical Action considers this approach to developing GESI-specific actions for an Early Warning System to be unique and believe it should be shared among all ASEAN cities. Their engagement with TO-02 improved some team members' understanding of why GESI needed to be considered and they also engaged with TO-07 Battambang. One TO-02 comment described Practical Action as the engine behind the GESI work.

There is strong leadership, ownership, and commitment to TO-05 from key city government representatives. Two women lead on the activity and are acknowledged by internal and external interviewees as the driving force behind TO-05. One has delivered presentations on TO-05, including to the ASEAN Sustainable Urbanisation Forum. Interviews with city and civil society representatives indicate that increased city government awareness of GESI has led to changes such as gender sensitive facilities in evacuation centres and gender sensitive restrooms. Baguio's City Planning and Development Office have now included promotion of gender equality in their wider work. The M&E system should document tangible evidence of change resulting from interventions. A truly gender transformative outcome (e.g., changes in power relations, norms), may be harder to achieve, but the M&E system should look for evidence of change that might lead to that outcome.

TO-05 and TO-02 were intended to be integrated to produce a holistic FEWS. TO-05 has developed recommendations and actions for this purpose (policy brief, recommendations to actions document, implementation plan). TO-05's Gender Action Plan documents interactions with TO-02, including running workshops for TO-02. A Data Dissemination and Outreach Plan is one integration product, but it is unclear if other integration products are planned. If integrated successfully, the FEWS has strong potential to deliver GESI outcomes, however, this will only be apparent when the system is deployed.

**Regional TO-09 Inclusive Cities Capacity Building Program (Bronze)** - led by Ramboll's GESI Specialist and supported by The Asia Foundation (TAF), TO-09 will run interactive workshops/dialogues/e-learning modules for city officials, civil society groups and other relevant actors, to identify inclusion challenges and measures to address them, with the intention to galvanise action to implement these measures. Dialogues will allow joint consideration of marginalization and exclusion issues between government and non-government stakeholders and sharing of knowledge and experience. All activities were to be online due to Covid. Language interpretation for all participant cities and sign language interpretation will be provided. A number of sessions have been implemented in 2022, with over 140 participants from 30 cities.

This TO has potential for good GESI outcomes, although translating dialogues to action may be challenging, especially if city government funding is required. If the intervention is successful, the benefits for GESI target groups are that city governments will address particular challenges they face, with solutions that are appropriate because they have been informed by or suggested by GESI target groups. The program's M&E system should track (through follow-ups) and document any substantive actions that demonstrate progress to outcomes or achievement of outcomes. Another possible and beneficial outcome is that city governments adopt a consultative or participatory approach with GESI target groups in their own cities

### **3.3.3 Has the GESI Strategy been implemented across all AASCTF activities and how is this reflected in the data collection and reporting?**

**Program reporting on GESI does not currently comply with DFAT requirements, as stipulated in the AASCTF Investment Design Summary.** AASCTF reporting to DFAT is in the form of Annual Progress Reports (APRs) and Semi-Annual Progress Reports (SAPRs). The APRs/SAPRs take a promotional/public relations approach, rather than

providing all relevant facts and figures (including sex-disaggregated data for participants and disability inclusion data) relating to program implementation progress, challenges and results, whether positive or not. This is required for DFAT program monitoring, oversight and internal reporting and needs to be provided to DFAT in an easily accessible format for this purpose.

### **3.3.4 Do implementing partners lead by example, demonstrating gender equality, women’s empowerment and inclusiveness in their own staffing composition, workplace culture and structure?**

**Based on MTR interviews and self-assessment, ADB and Ramboll are considered to lead by example, demonstrating gender balance, diversity and women in senior leadership roles, with some room for improvement.** Government officials and external stakeholders interviewed as part of the MTR were of the view that Ramboll led by example in terms of gender and inclusion. In interview, Ramboll Core Team members stated that diversity and inclusion was part of the Ramboll Group’s ‘DNA’, and therefore active efforts are made to achieve gender balance across program teams. There is evidence of this in ALPAs. There are women in senior leadership roles on the AASCTF team, including the Deputy Team Leader. Of the sampled Silver interventions, only TTLs for TO-05 Baguio and Regional TO-09 are women. In addition, the TTL for the non-sampled Chonburi/EEC TO-11 is a woman. Some interviewees pointed out that it seemed traditional that women were allocated lead roles only on GESI specific interventions, and the point was made that both male and female team members should be proficient in GESI. There is good integration of both male and female national team members into the intervention teams. ADB commented that the AASCTF team has better gender representation than normal for Ramboll.

## **3.4 KEQ4: What are the key program risks that may affect successfully achieving end of program outcomes?**

Four areas of program risk, judged to be the most significant, are set out below. Until the end of 2021, the main risks to program implementation arose from Covid-19 impacts and related delays. This has now been superseded by other risks as the pandemic has eased, although it remains a concern.

**3.4.1. Risk 1: Sustained use of processes, systems and tools by city governments.** The program has a strong focus on developing tools and systems in collaboration with city governments, which represents a strong design point of the program and responds to the demand from cities for tangible technology and knowledge transfer. As mentioned in Section 2.1 (under ‘Sustainability’) Silver city interventions are demand-led and carried out in a participatory way with city stakeholders. However, there remain some significant risks in the hand-over of these tools and systems at the end of each intervention. These are covered in the following five areas:

▶ **Capacity development:** While the program team has aimed to put in place capacity development for a pool of government staff users and sometimes, external stakeholders, as in the case of Baguio, there is a high risk that city governments will still not have a sufficient knowledge base to continue to use a system after hand-over. The turnover of staff, which tends to be high in secondary city municipal governments,<sup>20</sup> is also another risk to the sustained level of capacity. There are mixed feelings across the Silver TOs as to whether sufficient capacity development support will be provided by the program.

For example, in Makassar, an external stakeholder said that they haven’t seen anything to reassuring that Ramboll will continue to support and ensure successful hand over in the longer term. This lack of support after a project has happened many times before in the city. In Baguio, the Ramboll and ADB teams are aware that the city government is unlikely to be able to carry on implementing the FEWS without program support beyond the end of 2022. ADB is considering options to continue engagement after 2022, to find a way to support capacity and systems. Continued AASCTF support may be the best approach and is likely to offer DFAT good value for money (VfM) in consolidating the work that has already been done.

▶ **Resources to continue:** Many of the systems require a budget for operations and maintenance. While the program team has often worked with the city government to consider this and encouraged the allocation of a budget for future years, how effectively this will be done in practice remains an uncertain.

▶ **Institutional processes:** Some of the tools will rely on wider institutional frameworks for their effective use. For example, the continued use of the VISSIM model in Georgetown will rely on integrating the modelling process

---

<sup>20</sup> Based on information from key informant interviews with city government staff.

into policy and procedure related to transport planning and city planning. Once this has been done, there is much more likelihood of its continued use over time. To address this risk, Ramboll have introduced a demonstration model which was beyond scope, helping city stakeholders to understand the tool and its impact and the software capabilities, thus aiming to maximise its integration into city processes. The TTL is taking actions such as commitment letters for further engagement, running engagement workshops for the city government in Penang, but it remains an area of concern. These institutional longevity concerns have been raised with ADB.

- ▶ **Buy-in, ownership and political continuity:** A fourth critical area of risk for sustained use of tools and systems developed by the program, is how well they survive political shifts and policy changes. If a mayor or city official who is a champion of an AASCTF intervention moves on, the foundations for its continued use may be lost. Furthermore, the FEWS in Baguio requires endorsement by national agencies as well, including Philippine Atmospheric, Geophysical and Astronomical Services Administration (PAGASA) and the Department of Science and Technology (DOST), which adds another vulnerability to its sustained use.
- ▶ **Uptake by the public:** How well the public makes use of a service is also relevant to some TOs. It will take time to build up awareness and behavioural change. For the FEWS in Baguio, for example, Ramboll sees the city government as being responsible for the disaster response side of the system. If the public fail to buy-into the system over time, this may come to be seen as a weakness in the overall FEWS approach. In Battambang, a digital tool resulting from TO-07 to help facilitate waste management would need to be accepted by the public and by private sector entities in the waste management sector.

ADB and Ramboll are implementing a 'sandbox' approach to test new ideas and systems and see which gain traction. ADB are not expecting 100% sustainable impact for all activities. There will be an inherent risk and there will likely be some failure. However, the justification is that the learning value for the program is high and systems that can be sustained over time have potential for replication in other cities, as long as the risks highlighted above can be mitigated.

**Risk 2: Lack of coverage and results related to pillar three – financial management.** The results framework of the AASCTF includes a set of indicators for pillar three on improving financial management in cities. However, very little has been achieved against these targets, for the reasons set out in Section 3.1, mainly due to the demand-led nature of the Silver TOs resulting in a greater number of urban planning and service delivery interventions. While there is time to implement more interventions that meet these targets in the final two years of this phase of the AASCTF, it seems unlikely that the city government preference for urban planning and service delivery interventions will change. Furthermore, the Ramboll budget for AASCTF has almost been exhausted, meaning that more funds would need to be allocated from ADB or DFAT to continue work in this area.

**Risk 3: Lack of a clear pathway to implement Gold level investments.** As mentioned in Section 3.1, the program has not defined a clear process and outcome for the gold-level investments. ADB remains confident that there are many possibilities for Gold investments in AASCTF cities that are well aligned with the program objectives. However, the modality to enable investments remains unclear and discussion on this is overshadowing consideration of what the investments should address and why. With two years to run until the end of the program, there is also very limited time available to implement Gold-level investments. If an extension is granted to the program, then planning and implementing Gold level investments should move forward as rapidly as possible, to maximise the influence of the program on how the investments are realised.

**Risk 4: Notable resources spent on influencing activities may fail to produce impact.** Bronze level activities are an important component of the AASCTF and comprise a notable proportion of the budget at around US\$ 1.4 million, as well as additional resources spent on influencing activities by the Core Team and within other TOs. As shown in **Section 2.2**, the webinars, Inclusive Cities Dialogues and other events and workshops are generally well-received by participants. They offer valuable content, relevant examples and inspiring pathways for cities to learn from and adopt. Bronze interventions are seen by the program team as part of creating discussion in the region and providing good ideas.

However, interviews with several Bronze city government representatives made it clear that while the Bronze level activities are all of the above, their impact will remain rather limited without any sustained program support from AASCTF to help put into practice some of the key elements being advocated. This is being considered and mitigated to some extent by the AASCTF e-learning courses that will be hosted by ADB, the MoU between ADB and the Indonesian Ministry of Home Affairs (MoHA) to help expand smart city capacity development across the 540 cities and districts in the country, and a possible repository of AASCTF resources and learning embedded.

Networks of Bronze city participants, such as the 140 stakeholders from 40 cities that are participating in TO-09, can be maintained during the program but there is a risk that these will be lost once the AASCTF comes to an end. ADB and Ramboll should consider how best to integrate the AASCTF network into more permanent networks or institutions. It may also interest DFAT to leverage this network to inform possible private sector investment opportunities for Australian business.



## 3.5 KEQ5: How effectively has the program pivoted to address the impacts of COVID 19?

The program has coincided with Covid-19; all TOs have been implemented within the pandemic and thus have been affected by severe limitations on international travel, local travel and the ability to hold in-person meetings and events. The countries and cities covered by the AASCTF have been impacted in a wide range of ways and many have suffered from external macro-economic changes and lack of tourism and trade. The sections below set out how the program has operated within this context.

### 3.5.1. How well has the program pivoted and/or adapted in the context of COVID 19?

**The program is broadly aligned with Covid-19 recovery strategies but could do so in a more explicit way in many interventions.** While the Ramboll and ADB team had strategic discussions on how to address Covid, it was decided that a significant program pivot was not necessary in terms of meeting the program objectives and addressing cross-cutting issues. In many ways, Covid-19 has reemphasised how important the objectives of AASCTF are for cities in terms of sustainable urban planning and service delivery.<sup>21</sup> Pandemics can break down urban systems and resilience is greatly enhanced with smart city solutions, such as digital payment that enables e-commerce and deliveries of groceries, for example.

Covid-19 has also shifted urban development agendas toward 'build back better' with an important role of nature-based solutions, that can provide much needed green and recreational space, help reduce the likelihood of viral transmission, while improving flood risk mitigation. These messages are captured in the Covid-19 specific outputs of the program such as the 'Smart Cities Datathon' to challenge innovators in the Bronze cities to come up with solutions that help address Covid-19 challenges and the AASCTF manual by ADB and the Future Cities Lab on 'Leveraging Spatial Data for Pandemic-Resilient Cities' based the Makassar city experience.<sup>22</sup>

Apart from Makassar (TO-01), Baguio (TO-02) and Battambang (TO-07), the TOs were scoped in the context of the pandemic and have aimed to factor in synergies with Covid-19 resilience and recovery, where possible. For TO-01, the team were able to align with the 'Makassar Recover' policy in areas such as economy, public health and adaptation to the pandemic. Overall, the AASCTF is well aligned with Covid-19 recovery, including supporting infrastructure development to enable economic recovery in Southeast Asia, as mentioned in '**Partnerships for Recovery: Australia's Covid-19 Development Response**'.<sup>23</sup> However, there remains an opportunity for TOs to reconsider how they can align more fully with city specific strategies for Covid recovery.

**The program has progressed well in the context of the Covid-19 pandemic despite the travel restrictions imposed, although there have been limitations in stakeholder engagement.** Generally, the need for Ramboll intervention teams working remotely has not greatly hindered team efficiency or project management processes. There has been a significant shift since the start of the program when the Core team was expected to be based in Manila. Covid-19 has enabled a normalisation of online meetings and the team has become efficient with virtual communications internally and with external city government staff and other entities. However, the lack of face-to face meetings has been a barrier to faster relationship building with the city governments and the ability to consult stakeholders that are harder to reach. While this has been greatly mitigated by online remote meetings for engaging with city officials, this is less effective for stakeholder engagement.

Some TOs have made an effort to reach representatives of stakeholder groups that are harder to reach, such as TO-05 in Baguio via Practical Action's 'Missing Voices' methodology. However, as mentioned in Section 3.3, most TOs have put in place rather little process to engage with disadvantaged groups to understand how the intervention could best meet their needs. A lack of in-person meetings and events is also a barrier to more effective political economy analysis to help understand the power dynamics and influencing ability of certain stakeholders, which can be done more effectively in a physical venue, rather than just via short breakout sessions in an online workshop. This also highlights the importance of having reliable team members on the ground in Silver cities.

**In some cases, delays caused by Covid-19 meant that timelines of different work packages didn't always align.** For example, the GESI focus of TO-05 was unable to have a more direct impact on the training of the TO-2

---

<sup>21</sup> As captured in the programme team's strategic note on 'Post Pandemic Recovery and How It Alters AASCTF's Focus and Scalability', 2021.

<sup>22</sup> ADB (2021) Leveraging Spatial Data for Pandemic-Resilient Cities. In partnership with city of Makassar and 8th Future Cities Lab ([Link](#))

<sup>23</sup> DFAT (2020) Partnerships for Recovery: Australia's Covid-19 Development Response ([Link](#))

FEWS stakeholder group in June 2022, in Baguio. The pandemic caused disruption to TOs that needed to collect data that represents 'normal' conditions, such as traffic surveys to inform the VISSIM modelling in Georgetown. Due to lockdowns and reduced and altered transport patterns, this was not possible until early 2022. The TO-06 team mitigated frontloading as possible without the traffic data, and so the TO is not delayed by more than a few months.

### **3.5.2. Did any opportunities emerge as a result of changes to ways of working due to COVID 19?**

**The pandemic has accelerated the use and acceptance of digital tools by many cities' government staff and stakeholders.** One indirect positive of the pandemic is that city governments have built up their digital capacity such as using video conference platforms like MS Teams. In Battambang, for example, prior to the pandemic, the city government had very few computers and almost everything was done face-to-face. At this point in the program, city government staff now make good use of video conferences, supported by much stronger internet connections. In Makassar, there is a strong focus by the city government, championed by the Major, on becoming a world-class smart city, including how to harness emerging concepts such as the Metaverse (renamed by the city as the 'Makaverse'). The AASCTF team has worked with the city to trial several digital approaches to citizen engagement, including a digital survey to better understand the needs and concerns of citizens, although this had far fewer respondents to the in-person survey, and using WhatsApp groups for Q&A alongside workshops to present project ideas to stakeholders.

**New ways of working and engagement such as video calls have enabled more efficient engagement, albeit with limitations.** New ways of working and engagement such as video calls, are often seen by Ramboll and by city government and civil society stakeholders as more efficient and perhaps better at bringing together groups in different locations and maintaining relationships, compared to much less frequent face-to-face meetings that would have been the norm without Covid-19. For example, for city twinning, delegations may only happen once a year if there had been no pandemic and video calls have been effective for frequent engagement and relationship building. Program efficiencies that are enabled by virtual communications have also enabled savings in time and costs such as transport and accommodation, which have been reallocated to fee days for the teams.

**Digital communications are likely to have improved attendance of influencing activities, but the value of conferences and in person networking remains high for city governments.** The shift to greater online attendance of events and workshops, prompted by the pandemic, has been beneficial for attracting audiences to the Bronze level events such as the series of webinars, the Smart Cities Networking 2022 and the TO-09 Inclusive Cities Dialogue. Indeed, these activities would have been very challenging to coordinate for many secondary cities in ASEAN before Covid-19. The TO-09 has produced a good participant return rate for the series of online training sessions, where each city government or stakeholder participant receives six hours of training over three sessions.

However, while virtual engagement is a new normal and it is easier to bring people together from multiple locations with digital tools, the value of in-person meetings, particularly for relationship building and key events, was emphasised by all city representatives. For webinars and training workshops such as for the Inclusive Cities Dialogues, a disadvantage of remote participation has been the lack of unstructured conversation and valuable networking. Social media groups have been established via different apps, (including WhatsApp, Viber and Telegram) as per the preference of a particular city, to replicate this. KIs have indicated that these are working with varying degrees of success.

For the city twinning, the Makassar city delegation is visiting Gold Coast in July 2022, which is widely seen as a welcome return to normal engagement. There was some hope among city government stakeholders that future AASCTF events such as Smart Cities Networking Days could be a physical event in the future. However, this must be balanced against the large carbon footprint and project costs associated with gathering large groups together from different cities and countries.

### **3.5.3. Noting the impacts of COVID 19 on implementation, should AASCTF be extended beyond 2024?**

It is too early in the program to really advise DFAT on a potential extension beyond 2024. Two years remain for the current phase and the program still has much to achieve in terms of the DMF indicators. Furthermore, the Covid-29 situation remains dynamic and the emergence of a new variant with more resistance to vaccines could restart the recent impacts such as reduced travel capabilities.

However, as the sections above have shown, a great deal can be done remotely, with support of reliable team members on the ground in intervention cities. The program objectives remain relevant, and the program is creating valuable and demand-led pilots for smart city interventions, helping to contribute towards sustainable urban development. There are therefore no reasons at this stage for the program not to be continued. However, it is recommended that DFAT assess the situation closer to the end of the program, in light of the updated program achievements and other factors such as Covid-19.

# 4. Conclusions and Recommendations

Following the analysis of findings, the MTR makes the following conclusions and resultant recommendations.

## 4.1 Conclusions

Overall, the AASCTF is implementing innovative smart city solutions that meet the need of governments in the selected ASEAN cities. Program objectives related to city planning and service delivery are likely to be met, but the financial management pillar is unlikely to meet its program objectives, in part due to the demand led nature of TO design. Sustainability of the interventions is generally likely to be enhanced with targeted capacity building activities, although a number of risks remain such as tools and systems being integrated effectively into institutional processes in a city. While influencing activities and Silver city TOs are progressing well, there is a lack of clarity on the progression to Gold level investments and limited time to implement this in practice.

The modality of outsourcing AASCTF to ADB is working well and Ramboll have provided comprehensive program management capabilities. The program is making appropriate use of Australia's time and resources to achieve the outputs. This is supported by strong program and risk management processes, flexibility and responsiveness to city government needs, strong internal learning processes. Covid-19 has been double edged sword in terms of delaying some activities and reducing in-person meetings and stakeholder engagement, but also accelerating the adoption of digital solutions by city governments and stakeholders, which has enabled greater participation in remote activities such as TO-09 Inclusive Cities Dialogues. The TO budgets (See **Table A4.1** in Annex 4) are also generally commensurate with the scope and aims of the TOs.

The intention to address GESI challenges is built into program design, supported by a GESI Strategy and M&E system. The MTR found three good examples demonstrating potential for progress to outcomes, within the sampled TOs, but in other cases there appear to be gaps in understanding and ability to conceptualise GESI intermediate outcomes and pathways for that to occur. Greater interaction with implementation teams appears to have a positive influence on city government and other stakeholders in Bronze knowledge/awareness activities. There were some tangible examples of changes made by city governments, notably as a result of GESI-targeted interventions.

## 4.2 Recommendations

Based on the above findings, as well as key learnings and areas for improvement identified by interviewees, this review suggests the following recommendations for the current program, structured by Effectiveness, Efficiency and GESI. The recommendations are ordered by priority, with more strategic recommendations at the top of each sub-section.

### Recommendations to improve Effectiveness

- ▶ Bearing in mind that this is part of the original DMF targets, review program strategy and results framework relating to delivery of integrated financial management information systems, either putting in place measures to increase the program focus on financial management in order to meet the DMF targets, or a re-framing of the DMF targets in collaboration with DFAT to reflect a greater focus on the first two pillars
- ▶ ADB and Ramboll should clarify the linkages and 'graduation process' from Bronze to Silver to Gold tiers in the program and communicate this to city government counterparts.
- ▶ ADB should clarify the possible options and time frames for Gold level investments of the AASCTF with DFAT. A framework for planning and assessing the alignment with program objectives and the impact of Gold investments should also be developed. This is an important program component and there is limited time remaining in the current program to finance and implement tangible assets that can result from Gold-level investments.
- ▶ Ramboll TO teams should increase focus on capacity development to reduce knowledge gaps between Ramboll experts and city government staff during the process of working together, enabling government staff to provide more effective steering and feedback, as well as to maximise chances of success as tools and services developed by TOs are handed over to city governments.
- ▶ Further extend the reach and resonance of influencing activities, such that networks of participants and access to learning material will be available beyond the end of AASCTF, building on ongoing efforts such as the development of materials to be hosted on eLEARN and ADB's initiative under TO-08 to support existing smart city networks and key institutions at a national level in Indonesia.

- ▶ DFAT, ADB and Ramboll could improve the visibility of Bronze and Silver level activities to a wider audience. One suggestion is to make greater use of DFAT social media for example, on the Australian Ambassador's Twitter feed in the program countries, which has an influential following, connecting with different Ambassadors and Ministers.
- ▶ DFAT and the program implementation partners should consider how to increase engagement and synergies with ASEAN institutions such as the Connectivity Division in the Secretariat and the ASEAN Smart Cities Network. Synergies could cover regional knowledge sharing.
- ▶ DFAT should explore opportunities for greater synergies and amplification opportunities between AASCTF and other significant DFAT investments focused on sustainable cities and infrastructure in ASEAN, such as Partnerships for Infrastructure (P4I). This is particularly relevant for Gold level investments, as P4I is focused on enabling greater infrastructure financing, transport, and energy, and spans a range of AASCTF-relevant crosscutting themes, including disaster reduction/climate resilience, and GESI, with a particular emphasis on indigenous participation.

### **Recommendations to improve Efficiency**

- ▶ Ramboll should ensure that the rationale for reporting and M&E processes are clearly understood and appreciated by all team members, including at the TO level. In addition, M&E processes could be improved to more accurately assess the outcomes of AASCTF's adaptive programming (sandbox) approach. The AASCTF should discuss possible ideas with The Asia Foundation (TO-09 partner), who are experienced in MEL for adaptive programming, to develop innovative and practical MEL processes.
- ▶ ADB and Ramboll could consider implementing a more systematic internal learning database or knowledge hub for program learning points that can, for example, help team members navigate common challenges or access useful resources. This could also be expanded externally to a wide range of stakeholders who are involved across the components of the program.
- ▶ DFAT and the implementation partners should drive more proactive interaction with DFAT posts, particularly the ASEAN mission in Indonesia, where there is potential to tie in with related smart city work and learning from each other's experience. Quarterly or 6-monthly regional updates with ADB are recommended, to share progress updates and knowledge exchange.
- ▶ DFAT should ask program implementing partners to ensure that DFAT branding is made clear to external audiences and stakeholders on all relevant communications and materials.
- ▶ Ramboll and ADB should carefully consider how best to interact with city staff to avoid over-burdening them, while maintaining close collaboration. This includes reducing the impact of a city specific and a regional TO coinciding in a particular city, such as in George Town and Baguio.
- ▶ Ramboll should clarify the role of their Country Focal Points and maximise their visibility to stakeholders associated with Bronze and Silver level activities in each country.
- ▶ The program implementation partners should ensure that communications are clear with city government and other relevant stakeholders, following any decisions to end or continue an intervention. Managing expectations and communication of program decisions is important to avoid disappointment among city staff and university stakeholders, as in the case of Kaysone (TO-03).
- ▶ Ramboll should continue to accommodate the city government and stakeholders' general preference for face-to-face engagement for Silver TO workshops where possible, following the easing of travel restrictions, although digital solutions such as Zoom and MS teams continue to offer opportunities for more frequent engagement and wider groups of participants.

### **Recommendations to improve GESI impact**

- ▶ DFAT should clarify its GESI reporting requirements for ADB and Ramboll, to ensure the M&E system is collecting the required data, analysing and using this data to inform implementation, and reporting data appropriately to DFAT. Progress reports should include cumulative totals where relevant (total figures from program commencement up to the reporting date), in addition to data for the reporting period, as cumulative totals show progress over time. DFAT could share gender, disability and other guidance materials with ADB and Ramboll.

- ▶ DFAT should ensure its AASCTF program managers receive adequate training, are aware of DFAT guidance on gender equality, gender diversity, disability and broader social inclusion and are able to seek expert advice when needed.
- ▶ Joint in-house training for Ramboll and ADB AASCTF teams on Gender Equality and Social Inclusion, including the concept and intention of 'mainstreaming' and how it can be achieved in practice, and clarification of outputs, outcomes and evidence, would strengthen the program overall. This could be facilitated by ADB's GESI experts. It would be highly beneficial to incorporate content and/or presenters from The Asia Foundation/ TO-09 Inclusive Cities capacity building intervention for city officials, and Practical Action's consultative approach in TO-05 Gender Transformative FEWS intervention. This should be done as soon as practicable.
- ▶ Following training, a joint ADB/Ramboll review of implementation of the GESI Strategy is recommended. A workshop format, facilitated by ADB or external GESI and M&E experts, would provide teams with an applied learning opportunity). The review should assess whether GESI target groups will tangibly benefit from current, planned and completed interventions, identify what those benefits might be, how best to measure results and identify evidence of progress to outcomes. If benefits are not apparent, what changes or additional measures could be put into place, including increased engagement with GESI target groups or NGOs; additional targeted GESI interventions; and increased engagement with local officials on GESI to encourage and influence GESI outcomes. Assess whether the program will meet its GESI targets and what actions might be needed to ensure it does. It would be essential to complete this review prior to any extension of the program being considered.
- ▶ Where needed, ADB specialists should support AASCTF teams with additional oversight and/or support in implementing the GESI strategy, improving M&E data collection, use and reporting; and understanding what can be considered as evidence.

# 5. Annexes

## Annex 1: Documents Reviewed for the MTR

The following AASCTF program documents have been reviewed to inform the MTR.

Ref.	Title	Date	Owner	Category
1	DFAT IDS Attachment A – Investment Design Summary	2019	DFAT	Design Document
2	AASCTF Design Approval - Annex 1: TF Establishment Paper	2019	DFAT	Design Document
3	DFAT IDS Annex 2 Trust Fund Implementing Guidelines	2019	DFAT	Design Document
4	DFAT IDS Annex 3 Indicative Program Logic	2019	DFAT	Design Document
5	DFAT IDS Annex 4 Design & Monitoring Framework	2019	DFAT	Design Document
6	Annual Investment Monitoring Report (AIMR) 2021 (Confidential)	2021	DFAT	Progress Reporting
7	AASCTF Annual Report 2019	2019	Ramboll	Progress Reporting
8	AASCTF Annual Report 2020	2020	Ramboll	Progress Reporting
9	AASCTF Semi-Annual Report 2020	2020	Ramboll	Progress Reporting
10	AASCTF Annual Report 2021	2021	Ramboll	Progress Reporting
11	AASCTF Semi-Annual Report 2021	2021	Ramboll	Progress Reporting
12	Urban Financing Partnership Facility (UFPF) Annual Report 2019	2019	ADB	Progress Reporting
13	Urban Financing Partnership Facility (UFPF) Annual Report 2021	2021	ADB	Progress Reporting
14	Urban Financing Partnership Facility (UFPF) Mid-Year Report, Jan to June 2021	2021	ADB	Progress Reporting
15	Information Note on Financial Status ASEAN Australia Smart Cities Trust Fund	2022	ADB	Progress Reporting
16	AASCTF: Mid-term Program Level Self-Evaluation Report (Mid-term PLSER)	2022	Ramboll	Internal MEL
17	Information Note on Financial Status of AASCTF, March 2022	2022	Ramboll	Progress Reporting
18	AASCTF Discussion Note: Communication and Stakeholder Engagement	2020	Ramboll	Internal Strategy
19	AASCTF Discussion Note: Gender Equality and Social Inclusion Strategy	2020	Ramboll	Internal Strategy
20	AASCTF Discussion Note: Increased Private Sector Participation	2020	Ramboll	Internal Strategy
21	AASCTF Discussion Note: Climate Change	2020	Ramboll	Internal Strategy
22	Post-Pandemic Recovery and How It Alters AASCTF's Focus and Scalability	2020	Ramboll	Internal Strategy
23	AASCTF Strategy: Gender Equality and Social Inclusion	2021	Ramboll	Internal Strategy
24	ADB M&E Strategy, dated Jan 2021	2021	ADB	Internal Strategy
25	MPR 2020	2020	Ramboll	Program Documents

Ref.	Title	Date	Owner	Category
26	MPR Feb. 2022	2022	Ramboll	Program Documents
27	Selection of baseline material (Core program and TO specific)	Multi	Ramboll	Program Documents
28	Semi-Structured Individual Interview records (Laos - Pakse, Luang Prabang, Philippines- El Nido, Indonesia- Banjarmasin, Makassar, Malaysia - Penang, Cambodia - Phnom Penh)	Multi	Ramboll	Program Documents
29	Inclusive Cities Dialogues-Pre-Module Survey Guide; Survey; Potential Participant List - Philippines only	Multi	Ramboll	Program Documents
30	ICD Issue Mapping	Multi	Ramboll	Program Documents
31	ICD Stakeholder Mapping	Multi	Ramboll	Program Documents
32	Selection of Activity Level Performance Assessments (ALPAs)	Multi	Ramboll	Program Documents
33	Selection of Intervention Quarterly Progress Reports (QPRs)	Multi	Ramboll	Program Documents
34	Selection of TO Output documents, with a greater focus on Baguio and Makassar.	Multi	Ramboll	Program Documents
35	Selection of comms material (2pg Intro brochure, Digital Solutions Briefs, AASCTF YouTube channel, Flyers etc.)	Multi	Ramboll	Program Documents
36	Selection of webinar participant lists	Multi	Ramboll	Program Documents
37	Selection of ToRs and Outputs from Resource Person Contracts and Direct Charge Projects	Multi	ADB	Program Documents
38	GESI Country Summaries			Program Documents
39	ADB Strategy 2030 Operational Plan for Priority 2: Accelerating Progress in Gender Equality, 2019-2024	2019	ADB	Online
40	DFAT Gender Equality and Women's Empowerment Strategy	2016	DFAT	Online
41	Baguio City Gender and Inclusion Study	2021	AASCTF/DFAT/ADB Ramboll/Practical Action Consulting/Ascott (authors)	Online
42	Policy and Practice Recommendations: Towards a Gender Transformative FEWS in Baguio City	2021	AASCTF/DFAT/ADB Ramboll/Practical Action Consulting (authors)	Online
43	From Policy Recommendations to Practical Actions: Towards Gender Transformative Practices for Baguio City's FEWS	2021	AASCTF/DFAT/ADB Ramboll/Practical Action Consulting (authors)	Online

## Annex 2: List of Key Informants

The following key informants were interviewed to inform the MTR.

Name	Role	Organisation / City	Date Interviewed
<b>Peter Adams</b>	Assistant Director	ASEAN and Regional Architecture Branch, DFAT	02/05/2022
<b>Bronwyn Robbins</b>	Head of Mission	DFAT Indonesia - Makassar	08/06/2022
<b>Soulivanh Souksavath &amp; Hannah Wurf</b>	TBC	DFAT - Lao PDR - Luang Prabang	09/06/2022
<b>Adrian Gilbert</b>	Head of ASEAN Mission	DFAT	10/06/2022
<b>Srinivas Sampath</b>	Director	Southeast Asia Urban Development and Water Division, ADB	Session 1: 03/05/2022 Session 2: 04/05/2022
<b>Joris van Etten &amp;</b>	Senior Urban Development Specialist	Southeast Asia Urban Development and Water Division, ADB	Session 1: 03/05/2022 Session 2: 04/05/2022
<b>Aimee Orbe</b>	Program Manager	Southeast Asia Urban Development and Water Division, ADB	
<b>Soren Hansen</b>	Team Leader	AASCTF Core Team/Ramboll	06/05/2022
<b>Hillarie Cania</b>	Deputy Team Leader	AASCTF Core Team/Ramboll	06/05/2022
<b>Andrew Brahney</b>	Senior Smart ICT Specialist	AASCTF Core Team/Ramboll	06/05/2022
<b>Xavier le Den</b>	Senior M&E Specialist	AASCTF Core Team/Ramboll	06/05/2022
<b>Barbara Lama</b>	Gender Specialist	AASCTF Core Team/Ramboll	06/05/2022
<b>Jens Christian Riise</b>	Communication and Outreach Specialist	AASCTF Core Team/Ramboll	06/05/2022
<b>Pau Prat Busquets</b>	AASCTF TO-07 Team Leader	Battambang City, Cambodia	12/05/2022
<b>Noy Chek</b>	Representative of Battambang municipality	Battambang City, Cambodia	21/06/2022
<b>Craig Niles</b>	AASCTF TO-01 Team Leader	Makassar, Indonesia	17/05/2022
<b>Pak Denny Hidayat</b>	Senior Official in Diskominfo, Makassar	Makassar, Indonesia	22/06/2022
<b>Isma Waty</b>	Head of Social Agency, Head of Women's Empowerment etc.	Makassar, Indonesia	27/06/2022
<b>Dr. Eng. Ilham Alimuddin ST, MGIS</b>	Lecturer in GIS and remote sensing	Hasanduim University in Makassar, Indonesia	23/06/2022
<b>Tasmim Anwar</b>	AASCTF TO-03 Team Leader	Kaysone City, Lao PDR	19/05/2022
<b>Prof. Sitha Khemmarath</b>	Assoc. Prof Dr - Vice-president of Savannakhet University	Kaysone City, Lao PDR	10/06/2022
<b>Richard Sprosen</b>	AASCTF TO-06 Team Leader	Penang City, Malaysia	20/05/2022
<b>Zabari Zainal</b>	Digital Penang	Penang City, Malaysia	02/06/2022
<b>Alvaro Fonseca</b>	AASCTF TO-02 Team Leader	Baguio City, Philippines	17/05/2022
<b>Antonette (Tonet) A. Anaban</b>	City Disaster Risk Reduction and Management Office (CDRRMO)	Baguio City, Philippines	01/06/2022
<b>Allison Sneddon and Mirianna Budimir</b>	Practical Action (Implementing Partner on TO-05)	Baguio City, Philippines	14/06/2022
<b>Jesus Sison</b>	Council for Restoration of Filipino Values (CRFV) - Civil society representatives	Baguio City, Philippines	01/07/2022
<b>Janice Aquino -</b>	Academia representative - Saint Louis University - Members of the Peer Group, part of the capacity building	Baguio City, Philippines	16/06/2022
<b>Pak Ismet</b>	Representative of Bronze city	Semarang, Indonesia	14/07/2022
<b>Engr. Daria Eborá</b>	Head of Planning Unit, Representative of Bronze city	El Nido, Philippines	24/06/2022
<b>Ms Nhac Nguyen</b>	Head of Urban Planning, Representative of Bronze city	Phan Thiet, Viet Nam	30/06/2022
<b>Sumaya Saluja</b>	Urban Governance Advisor	The Asia Foundation	31/05/2022



<b>Name</b>	<b>Role</b>	<b>Organisation / City</b>	<b>Date Interviewed</b>
<b>Katrina Metcalfe</b>	Senior International Relations Officer, Office of the Mayor	Gold Coast City, Australia	14/06/2022
<b>Gary Ellem</b>	Project Director, P4I DFAT Program	Adam Smith International (ASI)	11/12/2022

## Annex 3: Influencing Activities Survey Responses

### Q1: Which city are you based in?

City	Response
Battambang	1
Bavet	5
Kampot	0
Poipet	1
Phnom Penh	4
Makassar	0
Palembang	0
Pontianak	2
Semarang	4
Kaysone	5
Luang Prabang	10
Pakse	3
Penang	3
Baguio	0
Coron	6
Davao	0
El Nido	4
Chonburi / EEC	0
Gia Nghia	0
Ho Chi Minh	0
Hue	1
Phan Rang	1
Phan Thiet	0
<b>Total</b>	<b>50</b>

### Q2: Which of the following best describes your role?

Bavet Mayor

Mayor

Deputy Mayor

District Official

District Manager

Deputy Chief of Municipal Office

Office of Municipal Mayor

Administrative Director of Bavet City Hall

Government Employee

Official

Chief Of Office of Administration And Finance

City Government Youth Planner

Head of Disability Services Development Division of The General Secretariat for Disability Action Council

Social Welfare Officer of The Department of Social Affairs, Veterans and Youth Rehabilitation

Head of Sub-Section of Planning And Evaluation

Sub-Coordinator of Infrastructure Technology Development

Civil Servants

Businessman

Traffic Consultant

Private Secretary  
 School Head  
 Management Officer  
 Management Staff  
 Technical Staff  
 Staff  
 Consultant  
 Employee  
 NGO Staff

**Q3: Do you identify as female, male, other?**

Gender	Responses
Female	26
Male	23
Other	1

**Q4: Do you identify as having a disability?**

Yes	No
3	47

**Q5: Are you aware of the Australia-ASEAN Smart City Trust Fund (AASCTF) program, funded by DFAT and their engagement with your city?**

Yes	No
43	7

**Q6: How many AASCTF events have you participated in?**

Number of events	Responses
0	4
1	17
2	12
3	9
More than 3	8

**Q7. What was the topic of the event(s)? (Can select more than 1)**

Topic	Responses
Webinar - Tracking the Spread of COVID-19 through Digital Solutions	5
Webinar - Mitigating Flooding Impact with IOT Early Warning Technologies	8
Webinar - Digitizing Urban Planning for Improved Efficiency Compliance	11
Webinar - Intelligent Water Management Systems Using IOT and AI	4
Webinar - Digitized solutions connecting labour market and students	8
Webinar - Next Practice Smart Mobility Lab	5
Webinar - Promoting Smart Tourism Recovery via Virtual Reality	7
Webinar - Digital Tools for Enhanced Community Engagement in Urban Planning	9
Webinar - Digital Payment Solutions for Smart and Inclusive Cities	9

Topic	Responses
City-specific introduction workshop	9
Inclusive Cities Dialogues Module 1	13
Inclusive Cities Dialogues Module 2	14
Smart City Networking Days 2022	14

**Q8: Were the events ...**

Question	Yes	No	Some of them
Presented in your native language	28	8	14
Presented in another language that you could easily understand	31	4	15
Very technical, using words or terms you didn't understand	15	18	17
Too basic and general, and not enough detail	9	27	14

**Q9: How would you rate the event(s) in terms of -**

Question	1 – Poor	2	3	4	5 – Excellent
Knowledge and expertise of the training staff.	0	4	20	18	6
Relevance and usefulness to your city of the content related to smart city approaches	0	5	17	20	8
Usefulness of content related to gender equality and social inclusion aspects in smart city approaches	0	5	18	21	6
Use of training delivery tools	0	8	12	24	4

**Q10: For those that participated in the Smart City Networking Day 2022, how valuable did you find the event in terms of?**

Question	1 – Not Valuable	2	3	4	5 – Very Valuable
Exchanging and sharing ideas	1	2	13	19	6
Networking and meeting different stakeholders	1	3	14	17	6
Lessons learned from AASCTF's ongoing smart city pilot projects in Indonesia, the Philippines, and Malaysia	2	4	19	11	4
Content provided in the opening session, sessions 1 to 4 and closing session	1	11	14	11	3
Simultaneous remote interpretation	0	7	13	14	7

**10a: Do you have additional comments about the content of the Smart City Networking Day 2022 event?**

Building a smart city network is critical to speeding up the communication and transfer of information.

In order for a city to be well-informed, it must first be done in certain areas, such as environmental management.

Networking must go hand in hand with meetings, such as face-to-face training, which in the past has not been very good

Work should start in an organized manner with a process in accordance with the principles. The system for organizing it already exists

As for me, I request that a meeting be held in person and at a specific location to make it easy for the meeting and discussion. Thank you

A presentation of a format should be shared so that it can be tracked later

Do not fully understand the project and the technical language

More time for study is requested

The past was well done

Good job

Good

I was not able to participate.

**Q11: Have you done anything differently in your role, as a result of what you've learned from the events / training sessions?**

**Yes**

**No**

19

31

**Q11a: If yes, please provide a brief description -**

Provide a better perspective and understanding of how to solve and develop smart cities using digital systems.

Propose to management in the organization to modernise. Create employee ideas for self-transformation.

Shared information from the study in the participating sessions, understanding the importance of information technology for urban development experience from the Philippines, Indonesia and Malaysia.

First, I'll be more attentive towards my surroundings. Most facilities I use and usual activities I engage in are taken for granted. However, I also am more aware how much more these facilities and technology can be improved. Our municipality is still catching up with years of technological advancement and improvements. The Local Government could not do this alone, thus needing external factors, experts, and financial help.

I will recommend more of a smart cities designs and systems to the officials.

Research on the development of a smart city

We are considering the challenges for people with disabilities regarding transportation

Coordinated with relevant parties to plan, inspect various sites and then submit the project for consideration.

Liaise with relevant parties

Complete and easy to understand

Agree

Did not do what we started in the first phase

No

**Q12: Did you share or discuss any of the ideas or information from the events/training with your colleagues or bosses?**

Yes	No
40	10

**Q13: How valuable do you find the**

Question	1 – Not Valuable	2	3	4	5 – Very Valuable
AASCTF social media channels (Facebook, YouTube etc.) in terms of staying connected to project activities and updates and finding relevant and interesting content on relevant topics	0	4	18	21	7
The content shared via the project email distribution list, including newsletters and project updates	3	5	16	21	5

**Q14: Which topics, training style or methods of engagement would you like to see more of as part of the AASCTF engagement with your city?**

Smart city and mobility

Smart mobility and infrastructure

The nature of remote learning and training have many limitations, I think many stakeholders, both public and private, should be trained in a practical way to better understand the development of smart city

I prefer more engagement and sharing of knowledge from more develop smart cities

Would like to participate in training on the development and solution of environmental problems in the smart city

The development of smart cities, the need for training and, in the past, distance training has not been very effective

I would like to have a study tour to share lessons learned in the model cities of the smart city, as well as explain the steps from the initiative to build a smart city to the present

Development of modern technology for smart cities

Technical smart city theme

Technology for education

The people of Bavet City do not have enough knowledge about modern technology, therefore they need to be educated and trained on a lot.

Smart tourism, digitalization of urban planning

Topics related to the use of digital technology to organize inclusive/urban environment.

Introduce more concepts to exchange more urban development knowledge

Establishing a public-private partnership mechanism for inclusive/sustainable urban development

Urban management

Atsiriyia district development guidelines

Livelihood and society in Smart City

Understanding means of transportation for people with disabilities

City mobility

Public transportation

Services to marginalized sector

Cascading methods to indigenous peoples and civil society organizations in a much more localized and relatable method;

Mitigation of climate change risks for smart city development

Climate change

Reduce the impact of floods with technology with early warning technology

Introduction to tools or utilising tools

Integrated financial management information systems

According to the project plan

Face-to-face training with practice to apply theory

If possible, face-to-face training should be provided to discuss and plan in detail

The style of face-to-face training and the practice of direct training theory in application in the service according to their respective duties and functions

I have got in-person training plan(s) for easy understanding and discussion of any plans for work effectiveness

Training online and in person

Face to Face meetings

Participate in face-to-face discussions

More participatory webinars that encourage the active involvement of participants in the training

Participation

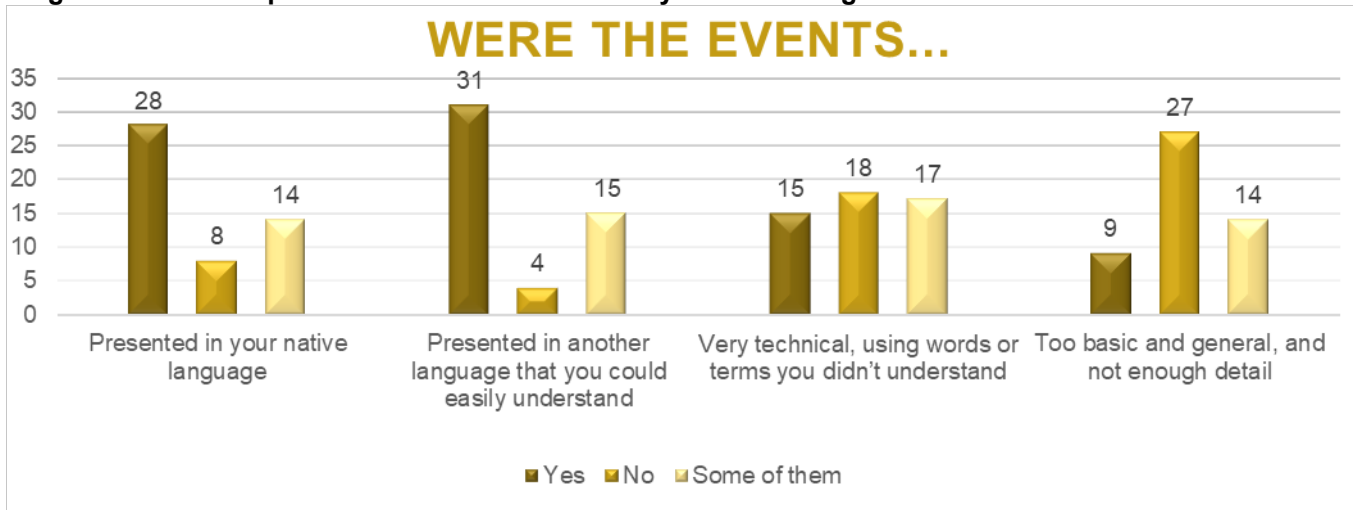
It's enough and good topic

Normal understanding

# Annex 4: Additional Figures

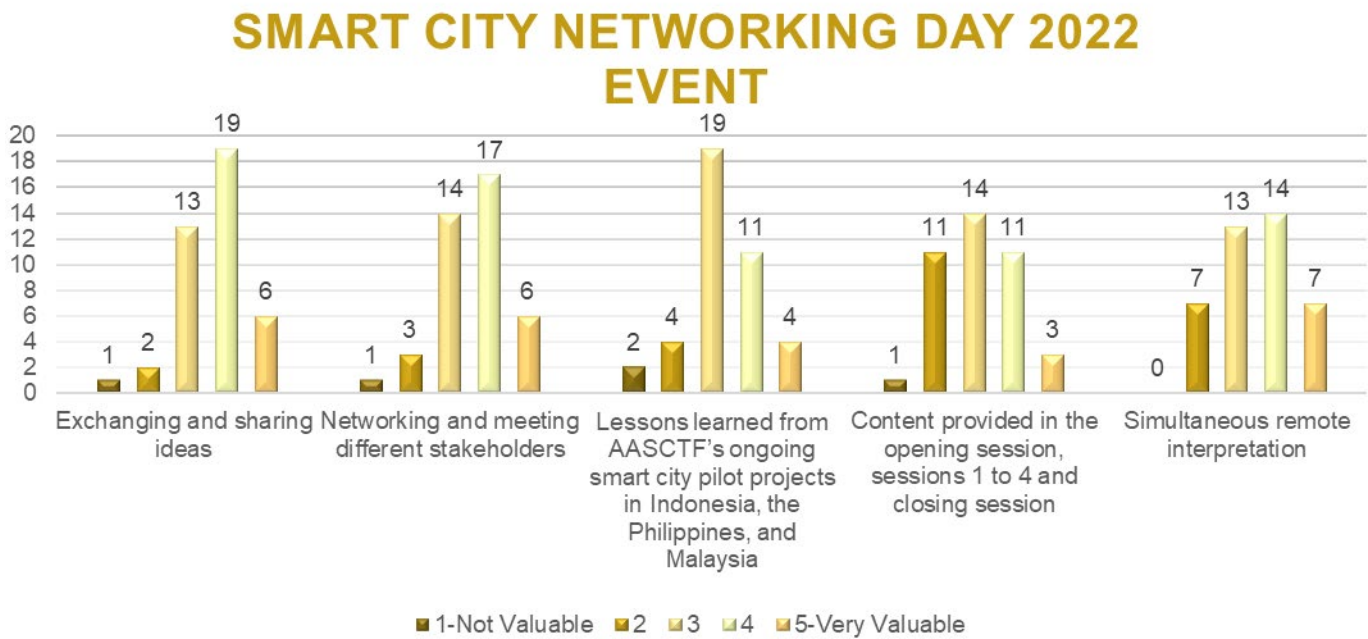
The following figures and tables are referenced in Sections 3 and 4 of the MTR Report

**Figure A4.1: Participant's Feedback on the Delivery of Influencing Activities**



Source: MTR survey of Bronze activity participants

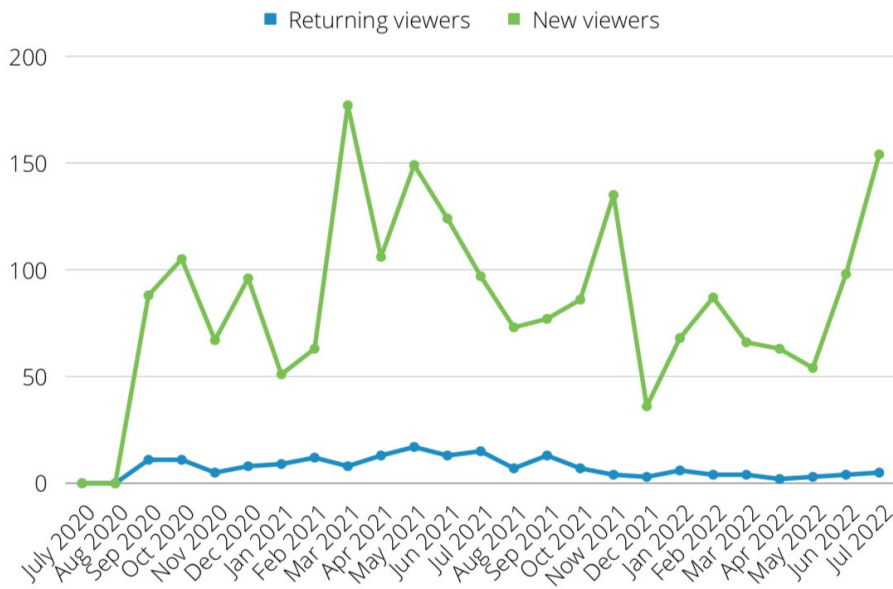
**Figure A4.2: Feedback on the Smart Cities Networking Days Held in June 2022**



Source: MTR survey of Bronze activity participants



**Figure A4.3: AASCTF YouTube Audience Analytics**



Source: Ramboll Core Team Analysis of AASCTF YouTube Channel (5<sup>th</sup> August 2022)

**Figure A4.4: Seven-Step Approach Applied to AASCTF Task Order Development Process**



Source: AASCTF 2021 Annual Progress Report

**Box A4.1. Relevant ASEAN and Regional Working Groups and Networks**

- **ASEAN Working Group on Environmentally Sustainable Cities (AWGESG)** - a consultative forum for enhancing collaboration among ASEAN partners and addressing challenges on environmental sustainability.
- **ASEAN Working Group on Climate Change (AWGCC)** - provides the framework for regional exchange on climate change mitigation and adaptation. In order to realise the relevant strategic measures in the ASCC Blueprint 2025, AWGCC is guided by an Action Plan that comprises priority actions until 2025. ASEAN Joint Statements on Climate Change are also available in the link.
- **ASEAN Committee on Disaster Management (ACDM)** - has a working group on disaster prevention and mitigation. They publish reports and facilitate knowledge exchange which aims to increase the resilience of ASEAN cities to disasters.<sup>24</sup>
- **ASEAN Working Group on Nature Conservation and Biodiversity (AWGNCB)** - focuses on climate change and environmentally sustainable cities as two of its focus areas.

<sup>24</sup> See for example: ACDM (2018) Building Disaster and Climate Resilient Cities in ASEAN. Supported by JICA ([Link](#))

- **ASEAN Smart Cities Network (ASCN)** - is a collaborative platform which aims to unify smart city development efforts across ASEAN by facilitating cooperation on smart city development, creating bankable projects in conjunction with the private sector, and securing funding and support from ASEAN's external partners.
- **The Indonesia, Malaysia, Thailand Growth Triangle (IMT-GT)** - is a unique example of tri-lateral cooperation on sustainable economic development, with a dedicated sustainable urban development strategy.
- **Penang Platform for Sustainable Urbanization (PPSU)** - launched by UNESCAP in 2019 at APUF7, it provides a multi-stakeholder platform to support cities in exchanging knowledge and assessing progress against SDGs.

Source: MTR Team Analysis

#### Box A4.2: GESI Short- to Medium-Term Intermediate Outcomes

<b>Intermediate Outcomes (Short- to medium-term)</b>	<ol style="list-style-type: none"> <li>1. Smart city planning is informed by research/analyses specifically on GESI focus groups.</li> <li>2. City government has effective methods in place to engage with CSOs and communities on urban planning.</li> <li>3. Emerging evidence is available that demonstrates the benefits of GESI in urban planning.</li> </ol>	<ol style="list-style-type: none"> <li>1. Smart city service delivery is informed by research/analyses specifically on who is omitted or unable to access services.</li> <li>2. Emerging evidence of improved service delivery access for GESI focus groups.</li> </ol>	<ol style="list-style-type: none"> <li>1. Financial management products/services are informed by research/analyses/ disaggregated data on GSI focus groups.</li> <li>2. Emerging evidence of increased access/use of financial services.</li> </ol>
--	---	---	---

Source: AASCTF GESI Strategy, Table 1, p.xii

#### Box A4.3: GESI Mainstreaming Approach

Activities	GESI Mainstreaming
Foundational	<ul style="list-style-type: none"> <li>• GESI-focused initiatives and priorities are identified in Annual/Semi-Annual Progress Reports and Work Plans. GESI issues/entry points are considered and inform the direction/purpose of city intervention planning/design.</li> <li>• Ensure gender-balanced representation in intervention (Task Order) teams as part of planning/design.</li> </ul>
Influencing	<ul style="list-style-type: none"> <li>• Communication, awareness materials, and media on GESI that are developed are cognizant of digital illiteracy and disability.</li> <li>• All knowledge sharing events will aim for a balance of male and female experts and include/invite representatives from GESI focus groups.</li> </ul>
Implementing	<ul style="list-style-type: none"> <li>• All meetings/workshops/Focus Group Discussions will aim to be held in universally accessible premises, with timing for events and meetings to be gender-sensitive, recognising that outside normal business hours may not be suitable for GESI focus groups and depending on the context, consulting to ensure the optimal time to maximise participation is chosen.</li> <li>• Task Order teams to prepare GESI Action Plan for Task Orders where GESI is a core theme to include actions/targets to address GESI adequately through the intervention.</li> <li>• Involve women and marginalised groups in the design/delivery/evaluation of implementing activities as much as possible.</li> </ul>

Source: AASCTF GESI Strategy, Table 2, p. xiv

**Table A4.1: Allocated funds for endorsed Silver and regional TOs**

TO	Fees	Expenses	Total
<b>TO-01: Makassar</b>	\$447,727.27	\$45,010.00	<b>\$492,737.27</b>
<b>TO-02: Baguio</b>	\$761,250.00	\$83,900.00	<b>\$845,150.00</b>
<b>TO-03: Kaysone</b>	\$82,500.00	\$15,075.00	<b>\$97,575.00</b>
<b>TO-05: Baguio</b>	\$175,500.00	\$5,100.00	<b>\$180,600.00</b>

<b>TO</b>	<b>Fees</b>	<b>Expenses</b>	<b>Total</b>
<b>TO-06: Georgetown</b>	\$321,500.00	\$22,062.00	<b>\$343,562.00</b>
<b>TO-07: Battambang</b>	\$158,000.00	\$33,600.00	<b>\$191,600.00</b>
<b>TO-08: Regional</b>	\$1,004,500.00	\$88,020.00	<b>\$1,092,520.00</b>
<b>TO-09: Inclusive Cities Dialogues</b>	\$272,100.00	\$28,800.00	<b>\$300,900.00</b>
<b>TO-10: Hue</b>	\$415,500.00	\$32,750.00	<b>\$448,250.00</b>
<b>TO-11: Chonburi / EEC</b>	\$337,600.00	\$28,590.00	<b>\$366,190.00</b>
<b>TO-12: Luang Prabang</b>	\$505,000.00	\$92,200.00	<b>\$597,200.00</b>
<b>TO-13: Davao City</b>	\$293,250.00	\$15,900.00	<b>\$309,150.00</b>

Source: Ramboll AASCTF Core Team (June 2022)

## Annex 5: MTR Terms of Reference

### **Terms of Reference: Mid-term Review of the ASEAN Australia Smart Cities Trust Fund**

#### **Background**

The ASEAN Australia Smart Cities Trust Fund (AASCTF) is a five-year, AU\$20 million initiative, funded by the Australian Government and managed by the Asian Development Bank (ADB). The ADB has engaged Ramboll, a global engineering consultancy, to implement the AASCTF.

The overarching goal of the AASCTF is to improve systems and governance through the use of digital solutions in ASEAN Member States. The aim of the AASCTF is to build liveable cities that are green, competitive, inclusive, and resilient, while promoting high quality of life, competitive economies and sustainable environments. The key output areas are 1) improved planning systems, 2) improved service delivery, and 3) improved financial management.

The program achieves this through three different levels of interventions (titled 'Bronze', 'Silver' and 'Gold') with participating ASEAN cities. Bronze cities can participate in regional knowledge sharing and capacity building events, silver cities are able to receive technical assistance and pilot proof of concepts, and gold cities are eligible for investment grants (standalone or as part of an ADB partnership or lending program) to be used to support the development of demonstration projects.

ASEAN countries included in the program are Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Thailand, and Vietnam. Twenty-four cities have been selected as bronze cities across the eight countries, while there are eleven silver cities, and it is envisaged that three cities become gold cities. Sectors and activities for participating cities are prioritised through a mix of city profiling, stakeholder consultations with city governments and DFAT posts, alignment with ADB partnership and lending program, ASEAN Smart City Network membership, and alignment with the ASEAN Sustainable Urbanisation Strategy. Task orders are then developed by the ADB (together with the AASCTF core team) to scope activities and enable mobilisation of task teams to carry out implementation of the pilot projects.

The program also encourages participation with Australian organisations and the private sector, including the CSIRO. Regional twinning is being facilitated between participating ASEAN cities and appropriate mentor cities. Regional networking and capacity building has been progressed through introduction courses and videos to bronze cities, followed by baseline surveys to assess cities' needs and gaps. The program has run a smart cities webinar series, with experts on smart initiatives that the AASCTF is developing in different sectors of the economy. AASCTF has also developed video products highlighting AASCTF impact stories and pilot project interventions, and digital solutions briefs that outline opportunities, benefits and pre-requisites for implementing digital solutions, showcasing case studies where city-wide application has occurred.

#### **Purpose and Audience**

Mid-term Review (MTR) is a program management requirement by DFAT. The overall purpose of the MTR is to facilitate program improvement, including an assessment of the program's effectiveness and efficiency of program management arrangements. The MTR should assess progress, review lessons learned and recommend any changes needed to improve implementation. The MTR should also analyse the potential usefulness of additional support in order to allow a decision on future funding.

DFAT and the ADB will be the primary users of the MTR findings and recommendations. DFAT will, subject to approvals, publish it on the DFAT website.

#### **Scope of Work**

DFAT will contract an independent MTR team to review the Program. The MTR team will work in consultation with DFAT and ADB. Virtual meetings with multi-country stakeholders will be arranged as agreed by DFAT and ADB.

The MTR will assess and provide recommendations regarding the Program's performance towards achieving outputs and outcomes under Year 1 and 2 implementation schedule, including but not limited to the quality criteria of the Australian Aid Program, particularly effectiveness (including M&E), efficiency, gender equality and risk. The assessment will also include the relevance of the Program's objectives and structures in the context of the changing policy environment created by the impacts of COVID-19 pandemic.

Key evaluation questions (KEQs) for the MTR are applied to both Pathways:

- KEQ 1: How likely and to what extent is AASCTF expected to achieve the objectives of the program?

Sub-questions for KEQ 1:

- To what extent did the AASCTF improve planning systems, service delivery and/or financial management in the participating cities?
- How will sustainability be ensured after the program closes in 2024?
- Is AASCTF demonstrating approaches that can be replicated in other cities?
- How is the program supporting implementation of the ASEAN Sustainable Urbanisation Strategy?

- What can be improved to ensure that the AASCTF will achieve the objectives of the program in the future?
- KEQ 2: How efficiently is AASCTF managing its resources? (Criterion – Efficiency). Is the program making appropriate use of Australia’s time and resources to achieve outcomes?
- KEQ 3: Is the program making progress in effectively promoting gender equality and women’s empowerment in the program implementation? (Criterion – Gender Equality)
- KEQ 4: What are the key program risks (up to three) that may affect successfully achieving end of program outcomes? (Criterion – Risk).
- KEQ 5: How effectively has the program pivoted to address the impacts of COVID 19?

Sub-questions for KEQ 1:

- noting the impacts of COVID 19 on implementation, should AASCTF be extended beyond 2024.

### Team Composition and Role

The Mid-Term Review will be led by a Team Leader who has the following qualifications:

- Excellent analytical, evaluation and communication (verbal and written) skills;
- A minimum of 10 years of experience designing, reviewing and/or evaluating donor-funded programs.
- Strong knowledge and experience in technical aspects of complex aid program management;
- Knowledge of the delivery and operation of donor-funded programs, or the ability to source this information;
- Knowledge of DFAT’s systems and policies;
- Ability to lead a small, multicultural evaluation team and empower team members.
- Fluency in English.
- The team will include a specialist/s with the following qualifications: Sound knowledge, understanding and experience regarding smart cities.
- Strong gender experience with knowledge on DFAT’s gender equality and diversity values.
- Knowledge of ADB operations is considered beneficial.

Additional resources/team members may also be mobilised as required. It is expected that the composition of the MTR team will reflect DFAT’s gender equality and diversity values.

The Team Leader is responsible for developing the overall review approach and methodology, delivering a quality review report and effectively utilising the expertise of any additional team members in meeting the ToR.

### Mid-Term Review (MTR) Process and Timeframes

The MTR will consist of:

- a desk review;
- interviews with key stakeholders. A proposed list of stakeholders to be consulted is available in Annex A. This list should be finalised by the Team Leader as part of the Review Plan.
- The MTR is planned to occur over April to June 2022 (subject to COVID-19 constraints).
- The total MTR period of up to 29 input days for the Team Leader and up to 15 input days as required for team members includes time for desk review, development of an MTR plan, e-consultations with countries and the program advisors (to be approved by DFAT following discussion with the Team Leader), e-presentation of Aide Memoire and preparation of the MTR reports.

16. A tentative allocation of the Team Leader’s and team members’ inputs appears in the table below:

<b>Task</b>	<b>Location</b>	<b>Input days Team Leader</b>	<b>Input days Team Members</b>	<b>Output</b>
Desk Review & Appraisal	Home country	5	3	Desk analysis as an input to the MTR plan
Team Meeting (online)	Home country	3	3	Team discussion on the MTR plan, findings and reports
Development of Mid-Term Review Plan	Home country	2	1	MTR Plan to be submitted to DFAT within 2 weeks from desk review start date/one week prior to consultation
E-consultations with stakeholders	Home country	9	9	Team Leader should consult with DFAT and ADB re the stakeholders to be consulted

Task	Location	Input days Team Leader	Input days Team Members	Output
				as part of the MTR Plan development.
Aide Memoire Drafting and presentation (online)	Home country	2	1	Aide Memoire discussion with DFAT and ADB
Drafting Mid-Term Review Report	Home country	6	2	Draft report to be submitted to DFAT within two weeks of completion of stakeholder consultations. The draft final MTR report by the AASCTF Board (comprising of DFAT and ADB officials) will provide comments.
Finalisation of Mid-Term Review Report	Home country	2	1	Final report to be submitted to DFAT within one week of receiving DFAT's comments on the draft report
<b>Total days of input</b>		<b>29</b>	<b>20</b>	

## Reporting and Output Requirements

1. **Mid-Term Review Plan** of no more than seven pages will outline the scope and methodology of the review. It will include the methodology for assessing program outcomes; the process for information collection and analysis, including tools such as questionnaires and/or detailed separate set of questions to be asked during the consultations; identification of any challenges anticipated in achieving the review objectives; allocation of tasks; key timelines; consultation schedules identifying key stakeholders to be consulted and the purpose of consultations; and other activities to be undertaken (as necessary). The MTR Review Plan will be submitted electronically to DFAT one week prior to the initial online meeting with DFAT.
2. **Aide Memoire** of no more than 5 pages on key findings during the consultations, to be prepared based on DFAT's Aide Memoire template (See Annex B). The team will have approximately two days to work on the Aide Memoire, and the Team Leader will present it to DFAT and ADB through an hour of videoconference.
3. **First Draft Report of the Mid-Term Review** of no more than 25 pages, excluding an executive summary and annexes, should be submitted electronically to DFAT for comments within two weeks of the end of the consultations with countries. The review report must meet DFAT's Monitoring and Evaluation Standards for Evaluation Reports and the DFAT's Ethical Research and Evaluation Guidance Note, and should be a brief, clear and cogent summary of the review outcomes, addressing at least the Review Scope and Key Questions set out at Part C above, providing a balanced analysis of relevant issues and recommendations for improvement.
4. **Final Report of the Mid-Term Review** of no more than 25 pages excluding an executive summary and annexes, should be submitted electronically to DFAT within two weeks after receiving DFAT comments.

## G. Annexes

- a. List of Proposed Interviews
- b. DFAT's Aide Memoire outline (May 2020).

## H. List of Key Documents for Desk Review

(to be provided by DFAT within two weeks prior to the desk review)

- a. AASCTF Program Design as per DFAT's indicative AASCTF program logic, AASCTF Trust Fund Paper and AASCTF Implementation Guidelines
- b. AASCTF M&E Plan documents and existing M&E data
- c. AASCTF GESI strategy
- d. AASCTF Annual Reports and Semi-Annual Reports
- e. Quarterly Reports (Core Team & Task Order)
- f. Urban Financing Partnership Facility Annual and Mid-year Reports
- g. Program related products – Webinar/workshop recordings, digital solutions briefs, information flyers, newsletters and videos, etc
- h. Task Order key deliverables/outputs
- i. 2020 DFAT Investment Monitoring Report and Partner Performance Assessment
- j. Relevant DFAT strategic documents for Australian Aid, including:

1. ASEAN and Southeast Asia Regional COVID-19 Development Response Plan
2. DFAT Gender equality and women's empowerment strategy
3. DFAT's M&E Standards (see Standard 5 – Independent Evaluation Plans and Standard 6 – Independent Evaluation Reports).

## Annex A

### List of Proposed Interviews

No.	Name	Position	Organisation
1	Srinivas Sampath Joris van Etten Aimee Orbe	Director Senior Urban Development Specialist	Southeast Asia Urban Development and Water Division, ADB
2	Peter Adams	Assistant Director	ASEAN and Regional Architecture Branch, DFAT
3	Selection of DFAT posts in the Region	TBC	DFAT
13	TBC	AASCTF team leader who worked with the city Representative of the beneficiary city	Battambang City, Cambodia
14	TBC	AASCTF team leader who worked with the city Representative of the beneficiary city	Makassar, Indonesia
15	TBC	AASCTF team leader who worked with the city Representative of the beneficiary city	Kaysone City, Lao PDR
16	TBC	AASCTF team leader who worked with the city Representative of the beneficiary city	Penang City, Malaysia
17	TBC	AASCTF team leader who worked with the city Representative of the beneficiary city	Yangon City, Myanmar
18	TBC	AASCTF team leader who worked with the city Representative of the beneficiary city	Baguio City, Philippines
21	A selection of Bronze tier cities		
22	Soren Hansen Hillarie Cania Andrew Brahney Xavier le Den Catherine Grant	Team Leader Deputy Team Leader Senior Smart ICT Specialist Senior M&E Specialist Gender Specialist	AASCTF Core team/Ramboll

No.	Name	Position	Organisation
	Jens Christian Riise	Communication and Outreach Specialist	
23	TBC		The Asia Foundation
24	TBC		Gold Coast City, Australia

## Annex B

### Aide Memoire Overview

This tool provides guidance on the content of an Aide Memoire. An Aide Memoire is commonly presented to interested stakeholders at the end of an in-country design mission, and so can form a useful basis for the drafting of an end-of-mission cable. The Aide Memoire is usually drafted by the Design Team Leader in consultation with Post.

### Meeting DFAT requirements

The key audiences for this document will be the department, the Partner Government (where relevant) and the other active stakeholders (e.g. partner agencies, community peak bodies, etc.). An Aide Memoire would normally be around 5 pages in length. Below is a typical structure:

1. Design Background;
2. Description of proposed investment;
3. Observations and Key Recommendations;
4. Next steps;
5. Acknowledgements and;
6. Annexes
  - a. List of team members
  - b. People/agencies consulted.

### Notes on the content of an Aide Memoire

**1. Background** – it should outline the origin of the investment proposal, confirm the purpose of the Investment Design process and provide a broad outline of the parameters of the likely investment (e.g. indicative size of the aid investment, anticipated period of the investment, key partners).

**2. Description of the investment** – it should briefly: describe the anticipated contribution to program/partnership development outcomes and the proposed aid investment outcomes; outline the key stakeholders who will be engaged with the investment, the key governance mechanisms to be used and indicative management structure; describe to the extent possible some of the key outputs likely to be delivered, proposed procurement arrangements; and outline the proposed monitoring and review mechanisms.

**3. Observations and Key Recommendations** – this section allows the design team to outline any observations that will be influential in shaping the Investment Design including risks and constraints and how the design should mitigate any negative impacts. It also provides an opportunity to make recommendations to stakeholders about what is required to ensure that the opportunities for successful implementation are maximised (including any key counterpart commitments).

**4. Next Steps** – a brief, indicative timeline of the steps that must be undertaken through to design finalisation and mobilisation. Depending on the recommended delivery approach, these could include: DFAT, other parties and partner government approvals, tendering, contracting and mobilisation.

**5. Acknowledgements** – it is always appropriate to acknowledge the logistical support provided by the Post and partners to the in-country mission(s) and thank those consulted for their time and input.



## Headquarters

240 Blackfriars Road  
London  
SE1 8NW  
United Kingdom  
T: +44 20 7735 6660

## Europe

Adam Smith Europe B.V.  
Keizersgracht 62,  
1015 CS Amsterdam,  
Netherlands  
T: +44 20 7735 6660

## Africa

West End Towers  
Wayaki Way/Muthangari Drive  
PO Box 26721-00100 Nairobi  
Kenya  
T: +254 20 444 4388

## Asia Pacific

Suite 103  
80 William Street  
Woolloomooloo  
Sydney NSW 2011  
AustraliaT: +61 2 8265 0000

## North America

1629 K Street NW,  
Suite 300  
Washington, DC  
20006  
United States of America  
T: +1 (202) 873-7626

**Adam Smith**  
International

[www.adamsmithinternational.com](http://www.adamsmithinternational.com)