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# ASSESSMENT OF THE IMPLEMENTATION OF USAID'S URBAN POLICY

“SUSTAINABLE SERVICE DELIVERY IN AN INCREASINGLY  
URBANIZED WORLD”

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# Assessment of the Implementation of USAID’s Sustainable Service Delivery in an Increasingly Urbanized World Policy

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## ACRONYMS LIST

ADS	Automated Directives System
AGENT	Advancing Gender in the Environment
AOR	Agreement Officer's Representative
APS	Annual Program Statement
BAA	Broad Agency Announcement
CDCS	Country Development Cooperation Strategy
CDI	Philippines Cities Development Initiative
CEL	Communications, Evidence, and Learning Project
COR	Contracting Officer's Representative
DHS	Demographic and Health Surveys
DO	Development Objective
DG	Democracy and Governance
DRG	Democracy, Human Rights, and Governance
E&E	Europe and Eurasia
E3	Bureau for Economic Growth, Education, and Environment
GDP	Gross Domestic Product
GIS	Geographic Information System
GNI	Gross National Income
IDIQ	Indefinite Delivery, Indefinite Quantity Contract
IR	Intermediate Result
LAC	Latin American and the Caribbean
LEARN	Learning and Knowledge Management Mechanism
LGAP	Malawi Local Government Accountability and Performance Activity
MCW	Making Cities Work
ME	Middle East
M&E	Monitoring and Evaluation
NASA	National Aeronautics and Space Administration
OAPA	Office of Afghanistan and Pakistan Affairs
OFDA	Office of U.S. Foreign Disaster Assistance
OU	Operating Unit
PAD	Project Appraisal Document
PIA	Policy Implementation Assessments
PPL	Bureau of Policy, Planning, and Learning
PPL/P	Office of Policy in the Bureau for Policy, Planning, and Learning
PTT	Policy Task Team
RDCS	Regional Development Cooperation Strategy
RFA	Request for Applications
RFP	Request for Proposals
RFTOP	Request for Task Order Proposal
STARR	Strengthening Tenure and Resource Rights
WADI	Water and Development IDIQ
WASH	Water, Sanitation, and Hygiene
WASH-FIN	Water, Sanitation, and Hygiene Finance

## EXECUTIVE SUMMARY

### POLICY IMPLEMENTATION ASSESSMENTS AT USAID

USAID's Office of Policy within the Bureau for Policy, Planning, and Learning (PPL/P) recommends conducting Policy Implementation Assessments (PIAs) approximately five years after the publication of each policy or strategy in order to better understand how USAID policies have been internalized by the Agency to drive positive change. PIAs use rigorous research methods to help us understand how and to what extent the implementation of a policy has affected Agency programming and processes. PIAs have resulted in detailed reports that have been presented to relevant sector leadership and other USAID stakeholders and used for action planning to improve implementation in line with the findings and recommendations.

### BACKGROUND AND PURPOSE OF THE ASSESSMENT

In October 2013, USAID released the *Sustainable Service Delivery in an Increasingly Urbanized World Policy*. The "Urban Policy" was intended to guide USAID governance and service delivery programs working in urban and peri-urban communities. The stated vision is "to promote sustainable service delivery that brings large-scale benefits to urban residents." This Policy was the first Agency-wide urban guidance since the 1998 *Making Cities Work: USAID's Urban Strategy*. The Policy, developed with an extensive consultation process, builds on USAID's 50-year history<sup>1</sup> of urban programs and set out to guide USAID's development efforts in the context of accelerating urbanization in low-income and lower-middle-income countries. The Urban Policy posits that urban programming improves governance, encourages accountability, and strengthens local capacity to generate revenue and improve and manage urban service delivery systems. The Policy identifies four development principles for urban programming: sustainability, pro-poor service delivery, public-private collaboration, and municipal resilience. Rather than applying a universal definition of "urban," the Policy defers to national definitions of "urban," but generally guides programs working in cities and towns on governance and service delivery for urban and peri-urban communities.

PPL commissioned the Learning and Knowledge Management mechanism (LEARN) to conduct this assessment to understand the extent to which USAID has implemented the Urban Policy as intended since its release in 2013. It assesses the progress, challenges, and lessons learned and recommends actions that the Agency can take to improve the effectiveness of the Urban Policy for the next five years.

The assessment examined four main research themes:

1. Awareness of the Urban Policy and uptake of the Policy's vision
2. Integration into program cycle and strategic planning
3. Urban programming and USAID capacity and resources for policy implementation
4. Leadership and institutional support structures

### METHODS

Consistent with previous PIAs, this assessment used a combination of qualitative and quantitative methods to address the research questions. These methods included: i) semi-structured interviews with 72 USAID staff and implementing partners; ii) a review of documents from each stage of the Program Cycle (e.g., CDCSs/RDCSs, PADs, and Solicitations); and iii) a 49-question quantitative survey administered to USAID Washington and Mission-based staff, with 103 respondents. All research was conducted between November 2018 and March 2019.

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<sup>1</sup> USAID, [Sustainable Service Delivery in an Increasingly Urbanized World Policy](#), p. 8

## KEY FINDINGS

### I. AWARENESS OF THE URBAN POLICY AND UPTAKE OF THE POLICY'S VISION

**Awareness and understanding of the Policy is low.** While the Policy Task Team who drafted the Policy made extensive efforts to conduct outreach and dialogue to develop the Urban Policy, and then later to promote the Policy at the time of its release, those efforts were not sustained. Some connected the lack of awareness of the policy to their perception of low visibility of the issues of urbanization and urban service delivery throughout the Agency.

**The lack of policy requirements and dedicated funding limits the Policy's uptake.** Because staff were not required to apply the Policy, were rarely advised to do so by Agency leaders, and no earmarks or other dedicated funding were available to implement the Policy, interviewees and survey respondents perceived that the Policy had been less visible than other policies. Some cited its lack of mandates and “operational relevance” as design flaws that limit the potential to build Policy awareness.

**Measuring the success of the Policy and urban programming is difficult.** Siloing of technical areas, a lack of documentation of urban programs, and limited awareness of the Policy's vision have impeded measurement of success and understanding of USAID's impacts and outcomes in activities to strengthen sustainable urban service delivery.

**There is a perceived institutional bias for rural development.** This perception was frequently cited by key informants as a major obstacle to socializing (as well as implementing) the Urban Policy and to USAID's efforts to address urbanization and sustainable urban service delivery. Some concluded that the Agency is not adequately considering the evidence of the growth of urban and peri-urban populations and the risks and burdens that growth imposes on services and infrastructure or the economic opportunities it creates.

**Interview and survey respondents had mixed opinions on USAID's success in achieving the vision of the Urban Policy, but saw the vision as critical to partner countries' development.** More than a quarter of interviewees believe that USAID has not carried out the vision of the Urban Policy of “promoting sustainable service delivery that brings large-scale benefits to urban residents.” One Agency leader noted that achieving a vision “only happens when there is leadership at the Mission level interested in having a comprehensive urban approach and strategy.” In both interviews and survey responses, USAID staff expressed enthusiasm for the vision and objectives of the Policy and saw both the potential and the demand for USAID to address urban service delivery issues.

### 2. INTEGRATION INTO PROGRAM CYCLE AND STRATEGIC PLANNING

**USAID rarely uses standardized urban assessment tools or urbanization strategies** to help with strategic and project planning. The Urban Policy recommends these approaches to measure and strengthen the sustainability of service delivery and suggests that Missions in countries facing rapid urban growth should consider developing an urbanization strategy.

**Coverage of urban issues in strategic planning documents is minimal to limited.** Of all 61 active Country Development Cooperation Strategies and Regional Development Cooperation Strategies (CDCSs/RDCSs),<sup>2</sup> 61 percent had either minimal or limited discussion of urbanization and/or urban service delivery. Among the 13 USAID policies released around 2013, the Urban Policy was the least likely to be mentioned in current CDCSs.

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<sup>2</sup> A CDCS lays out the strategy that defines a Mission's chosen approach in country and provides a focal point of the broader context for projects and activities. A RDCS is a strategy similar to a CDCS for a regional platform or program (ADS 201).

**Coverage of urban issues in Mission-based project planning is minimal to moderate.** Of the 303 Project Appraisal Documents (PADs)<sup>3</sup> in USAID’s Programnet database between February 2013 and November 2018, only 7 included the keyword “urban” in their titles or summary descriptions. Of nine PADs released after the Urban Policy that the assessment team reviewed in detail, the discussion of the importance of urbanization trends to achieving the project purpose was limited, and moderate attention was paid to urban trends, data, or local/sub-national government.

**Urban-specific programming follows the tenets of the Urban Policy.** An assessment of 20 solicitations with a high prevalence of urban-relevant key words revealed that all addressed key points in the Urban Policy: spatial distribution of the population (rural vs. urban); gaps in service delivery; urban population growth statistics; and/or local or sub-national government. The solicitations included moderate discussion of improving urban services as an approach to advance activity objectives.

**Monitoring and evaluation (M&E) in the urban context has improved, but urban data collection can still be strengthened.** Respondents noted some improvement in urban M&E in the last five years: when asked about monitoring, reporting, and ability to assess the urban context, 16 percent of survey respondents reported an increase in the use of indicators to measure the sustainability of urban services, and 43 percent reported increased use of sub-national data to improve geographic selectivity of programs. Monitoring and evaluation remains an area of demand by key informants when they consider future implementation of the Urban Policy, and urban data may be relatively under-collected.

### 3. URBAN PROGRAMMING AND IMPLEMENTATION

**Urban programming is underway in every region where USAID is working.** While the exact definition of urban programming can vary, and these programs are generally not the direct result of the policy, there is no question that many USAID programs take place in urban environments. Ninety percent of survey respondents reported that their Mission/Operating Unit has activities in urban areas (though this does not suggest the activities necessarily address urbanization or service delivery).

**Over 80 percent of Mission survey respondents identified urban service delivery as an “extremely important” or “very important” challenge to their host country.** Survey respondents also indicated that the strength of host country capacity, interest, and political will to buy into and build on urban service delivery activities can be an enabler or a constraint to urban programming and implementation.

**USAID’s urban programs generally reflect the four principles in the Policy.** Key informants reported that USAID programs reflect increased focus on strengthening market orientation, local-level democratic governance, transparency and accountability, and municipal resilience. Some interviewees suggested that these principles were grounded in good development practice, but were not confident that the Policy’s focus on these principles had led to their integration in the Program Cycle.

**Cross-sectoral collaboration in urban programming may be increasing.** Examples include the Office of U.S. Foreign Disaster Assistance’s settlement approach to service delivery, the Global Climate Change office’s efforts to address cities’ physical infrastructure and services, and activities centered around the issue of governance, with sectoral programs attached. However, the need remains to overcome institutional barriers for urban implementation, such as coordination problems and rigidities

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<sup>3</sup> A PAD documents the complete project design and serves as the reference document for project approval and subsequent implementation. A project consists of a set of complementary activities, over an established timeline and budget, intended to achieve a discrete development result, often aligned with an Intermediate Result (IR) in the CDCS Results Framework (ADS 201).



of earmark requirements. Cross-sectoral programs typically involve corralling of funding from multiple streams representing various sectors, and cross-sectoral approaches in design, implementation, and evaluation remain atypical.

**Perceptions of USAID’s capacity to implement urban programming are mixed.** A plurality (39 percent) of survey respondents perceived USAID’s internal capacity/technical expertise as a constraint on implementing sustainable urban services programming, while over 28 percent saw it as an enabler. Some key informants noted low bandwidth and gaps in expertise for program design, and suggested that USAID is not strategically deploying its existing urban expertise, with the dispersion of these experts limiting a coherent approach to urban issues. Others perceived USAID’s capacity to be insufficient to support urban programming at a larger scale or to address rapid urban development using current methods and tools.

**Demand for staff expertise and capacity building in both Washington and the Missions is high.** Sixty-four percent of survey respondents rated internal capacity-building, training, and technical expertise as important or highly important to more deeply mainstream the urban policy and expand implementation of sustainable urban services over the next five years. Over 82 percent of staff surveyed were not aware of any online or in-person trainings in urban programming, despite some options being available in recent years.

**Lack of funding resources, and particularly earmark restrictions on USAID spending, are seen as a substantial constraint** to the implementation of the Urban Policy and of sustainable urban service delivery activities. Nearly half of survey respondents reported that availability of funding for urban services programs highly constrains USAID’s implementation of sustainable urban services activities. Respondents were more likely to identify funding as highly constraining implementation than any other factor. Over a third of interviewees volunteered that earmarks were a challenge and constraint to the Policy’s implementation. However, calculating the amount of funding that supports the Urban Policy and urban service delivery is difficult because of the classification and definition of funds.

#### 4. LEADERSHIP AND INSTITUTIONAL SUPPORT STRUCTURES

**Leadership and staff-level informants agree that urbanization and urban service delivery issues are under-appreciated, under-studied, and under-emphasized by the Agency’s leadership.** Key informants said that the lack of leadership support affected allocation of resources, messaging, and incentives for staff to implement urban programs. Respondents often attributed this lack of focus on urban issues to the sheer number of priorities, approaches, and requirements USAID staff must address, coupled with the absence of requirements in the Policy. Seventy-six percent of respondents indicated that support from Agency leadership was of high or the highest importance to future mainstreaming of the Urban Policy.

**USAID’s current institutional structures have not supported the fulfillment of the Urban Policy’s recommendations.** In particular, institutional structures have not widely supported the expansion of internal capacity to improve service delivery or address the urbanization of poverty. The Making Cities Work contract has served as a useful mechanism for urban programming but has not been fully utilized, and the E3 Urban Team’s capacity and resources are highly constrained. Additionally, USAID has not established an official “Senior Policy Advisor on Urbanization and Development” to lead urban efforts as recommended in the Policy. Key informants noted that voluntary participation in the sporadic Urban Working Group or on other cross-sector initiatives was not an effective substitute for institutional support structures. According to the survey, approximately 10 percent of Missions and Bureaus have formally or informally appointed “Urban Points of Contact” or “Urban Advisors,” to

provide technical support. Key informants reported that the Agency's past urban institutional structures and funding streams more successfully and directly addressed urbanization and urban service delivery.

## 5. LOOKING FORWARD: USAID'S URBAN POLICY AND THE JOURNEY TO SELF-RELIANCE

With millions of people moving to urban areas in USAID partner countries around the world each year, many USAID staff are thinking carefully about how USAID can assist in addressing the urban service delivery, infrastructure, and governance challenges they will face. Over a third of interviewees raised the connections between urban issues and the Journey to Self-Reliance when asked about strategic priorities or trends within USAID that could affect how the Urban Policy will be implemented going forward. Many identified overlaps and opportunities for strengthening sustainable urban service delivery and carrying out the Policy's principles in supporting the Journey to Self-Reliance.

### RECOMMENDATIONS

USAID can and should play a more effective role in partnering for solutions to the complex challenges of urbanization and urban service delivery. The following recommendations suggest how USAID could update and build on the Urban Policy to address those issues and capitalize on cities as engines of growth and opportunity. USAID can take several steps to address some of the fundamental constraints to the implementation of the Urban Policy, even within the scope of existing resources and capacity.

#### 1. Raise Awareness of the Urban Policy and Urbanization Trends/Issues

- Use evidence and data to elevate the Urban Policy and urban issues
- Facilitate stronger Agency-wide data collection and understanding about urban programming
- Elevate Agency-wide attention to urban issues and better articulate the alignment between Agency priorities and urban approaches

#### 2. Enhance Integration of the Urban Policy and Urban Issues in the Program Cycle and Strategic Planning

- Provide tools and guidance to help Missions and Operating Units more effectively consider how addressing urbanization and sustainable urban services helps achieve development objectives in CDCSs, PADs, and solicitations
- Prepare criteria to help Missions identify when an urban assessment would be most relevant
- Improve access to urbanization and service delivery data to measure progress in advancing the Policy, capitalizing on metrics linked to the Journey to Self-Reliance

#### 3. Build USAID's Capacity and Expertise on Urban Programming and Implementation

- Pilot more holistic, place-based, and/or integrated governance approaches
- Design training and tools that help staff assimilate USAID's urban experience into their thinking, designs, and implementation
- Create guides and evidence-based documentation to help Missions easily absorb urban information. Share tools, success stories, and trend analyses using Agency notices and websites like UrbanLinks, ClimateLinks, and LandLinks
- Integrate urban considerations and approaches in curricula of existing trainings and orientations, and develop new urban trainings
- Activate urban planning alumni networks in the United States and host countries

#### 4. Strengthen Leadership and Institutional Support Structures

- Appoint a high-level Senior Advisor on Urbanization and Development
- Expand the capacity of the Urban Team to provide technical assistance and training and build up the Urban Expert Working Group and other coordination mechanisms
- Address misunderstood constraints on earmarked funding and identify areas of funding flexibility
- Identify Urban Points of Contact in Missions/Operating Units where urban issues are most relevant

## I. INTRODUCTION

### A. POLICY IMPLEMENTATION ASSESSMENTS AT USAID

USAID's Office of Policy within the Bureau for Policy, Planning, and Learning recommends conducting Policy Implementation Assessments (PIAs) approximately five years after the publication of each policy or strategy in order to better understand how USAID policies have been internalized by the Agency to drive positive change. PIAs use rigorous research methods to help us understand how and to what extent the implementation of a policy has affected Agency programming and processes. PIAs have resulted in detailed reports that have been presented to relevant sector leadership and other USAID stakeholders and used for action planning to improve implementation in line with the findings and recommendations.

### B. USAID'S SUSTAINABLE SERVICE DELIVERY IN AN INCREASINGLY URBANIZED WORLD POLICY (URBAN POLICY)

In October 2013, USAID released the *Sustainable Service Delivery in an Increasingly Urbanized World Policy*. This "Urban Policy" was the first Agency-wide urban guidance since the 1998 *Making Cities Work: USAID's Urban Strategy*, and builds on USAID's 50-year history<sup>4</sup> of urban programs. The Policy set out to guide USAID's development efforts in the context of accelerating rates of urbanization worldwide, with the projected addition of 2.5 billion to the world's urban population by 2050; notably for USAID, the most rapid urbanization is expected in low-income and lower-middle-income countries between now and 2050.<sup>5</sup> The Policy addresses both the opportunities the rapid growth of cities creates for USAID to achieve core development objectives, with cities accounting for 70 percent of global GDP in 2013,<sup>6</sup> as well as the significant challenges of basic service delivery, stability, disaster risks, infectious disease, governance, and poverty and inequality in urban areas.

The team that developed the Urban Policy conducted an extensive year-long process of internal and external stakeholder input and consultation to generate broad ownership and interest in the principles and approaches in the Policy. Some USAID and implementing partner staff who were working on urban issues in 2013 recalled the Policy development and release efforts as thorough and participatory, incorporating objectives and concepts that were sound and topical. The deliberative process behind this particular policy's formulation was suggested as "the template for USAID policymaking moving forward and the standard to which the agency should hold itself accountable," and that it "should result in a policy that is better informed and has broad buy-in."<sup>7</sup>

### I. URBAN POLICY OVERVIEW

The Urban Policy begins with the quote, "The purpose of foreign assistance must be creating the conditions where it is no longer needed," which is directly in line with USAID's more recently articulated vision to end the need for foreign assistance by partnering with countries along their Journeys to Self-Reliance.<sup>8</sup> The Urban Policy emphasizes the centrality of supporting USAID Missions in executing the vision of the Policy to "support service delivery that attains large-scale benefit to urban residents in a sustainable manner over the long term."

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<sup>4</sup> USAID, [Sustainable Service Delivery in an Increasingly Urbanized World Policy](#), p. 8

<sup>5</sup> United Nations Department of Economic and Social Affairs, *World Urbanization Prospects: The 2018 Revision*

<sup>6</sup> Current estimates suggest that more than 80 percent of global GDP is now generated in cities, [World Bank, Urban Development Overview, October 2018](#)

<sup>7</sup> <https://www.brookings.edu/blog/up-front/2013/04/10/usaids-model-for-transparent-policymaking/>

<sup>8</sup> USAID, [Policy Framework: Ending the Need for Foreign Assistance](#), April 2019

The Policy identifies four development principles:

- 1) Ensuring political and financial sustainability;
- 2) Advancing accountable, pro-poor service delivery models;
- 3) Fostering market orientation and public-private collaboration; and
- 4) Supporting municipal resilience.

These principles are stated as the basis for integrated programs that advance what USAID had enumerated at the time as its core development objectives<sup>9</sup> (including food security; health; climate change; economic growth; democracy, human rights, and governance; humanitarian assistance; crisis prevention and response; and education), address vulnerable populations' needs, and prioritize sustainability through capacity building and cost recovery, particularly in local governments.

The Policy provides guidance to support these principles in applying a sustainable urban services lens across USAID's Program Cycle and identifies how USAID could move forward in empowering countries to deliver sustainable services. This extends from incorporating urban growth trends in CDCs, testing integrated development in urban areas, and using sub-national data in activity design and implementation, to building GIS capacity and local-level data collection for Monitoring, Evaluation, and Learning. To achieve an urban approach and the Policy's vision, the Policy suggests building internal capacity in urban and sustainability analysis, assessing the urbanization of poverty, establishing a Senior Policy Advisor on Urbanization and Development position, and collaborating across offices to support an urban lens. The Policy does not institute any requirements, but it does offer potential approaches and interventions that USAID Bureaus and Missions can take to support the needs of urban residents.

## 2. DEFINITION OF URBAN PROGRAMMING

What is urban programming at USAID? The Urban Policy suggests that urban programming improves governance, encourages accountability, and bolsters capacity to improve and manage urban service delivery systems. The Policy also states that urban programs address the needs of vulnerable populations and ensure sustainability by achieving cost-recovery and building capacity, but defers to national definitions of "urban" rather than applying a universal definition (see p. 6 of the Policy). Finally, the Policy emphasizes that urban programs support technical and governance assistance, and make mutually reinforcing investments in institutions, governance, citizen engagement, and infrastructure. When asked, key informants differed on the details of the definition of urban programming, but largely agreed that urban programs worked in cities and towns to improve services and strengthen local governance for urban and peri-urban populations and communities.

Urban programs and activities are underway in each region where USAID is working. This policy implementation assessment offers a wide range of perspectives on the Agency's urban programming and implementation.

### C. PURPOSE OF THE ASSESSMENT

USAID's Office of Policy within the Bureau for Policy, Planning, and Learning (PPL/P) recommends conducting policy implementation assessments approximately five years after the publication of each policy or strategy. As USAID's Urban Policy was released in October 2013, PPL/P led an assessment of the Urban Policy through a collaborative process with an external team assembled by the Learning and Knowledge Management Mechanism (LEARN) in October 2018.

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<sup>9</sup> USAID, [Sustainable Service Delivery in an Increasingly Urbanized World Policy](#), p. 17; See also USAID, [USAID Policy Framework 2011-2015](#), 2011

The purpose of this assessment is to document the extent to which USAID has implemented the Urban Policy as intended. Under this broad purpose are three objectives:

- Inform USAID of progress, successes, challenges, and lessons learned during the first five years of the Urban Policy implementation.
- Generate knowledge about policy implementation processes to inform other Agency policy and strategy efforts.
- Identify and recommend actions that relevant Operating Units (OUs)—and the Agency more broadly—could take to improve the effectiveness of the Urban Policy for the next five years.

#### **D. RESEARCH THEMES**

The assessment examined four main research themes (the guiding research questions and sub-questions are further detailed in Annex A):

**1. Awareness of the Urban Policy and Uptake of the Policy’s Vision:** The assessment examined the level of awareness, socialization, and understanding of the policy, issues, and recommended approaches among USAID staff (Washington-based and Mission-based). At a high-level, we assessed the extent to which USAID carried out the vision of the Urban Policy (to promote service delivery that attains large-scale benefit to urban residents in a sustainable manner over the long-term).

**2. Integration into Program Cycle and Strategic Planning:** The assessment examined the extent to which attention to urbanization and sustainable urban services had been identified as a priority within Program Cycle processes and documents focused on strategic planning.

**3. Urban Programming and Implementation:** The assessment examined the extent to which programming focused on sustainable urban services or urban issues had expanded or improved over the last five years, and the degree that programming was either aligned with the Policy or attributed to the Policy. As part of this research theme, we also examined strengths or limitations in USAID’s internal capacity and resources in both Washington and the Missions to implement the policy, and if staff capacity relevant to policy implementation changed or improved since the release of the Policy.

**4. Leadership and Institutional Support Structures:** The assessment examined the extent to which USAID has in place the personnel and leadership structures in both Washington and the Missions needed to achieve the vision and suggested approaches identified in the Policy.

## **II. METHODS**

### **A. SUMMARY OF DATA COLLECTION AND ANALYSIS**

Consistent with the methodological recommendations for USAID’s policy implementation assessments, the assessment team used a combination of qualitative and quantitative methods to address the research questions including: 1) semi-structured interviews with USAID staff and implementing partners; 2) a review of documents from each stage of the Program Cycle; and 3) a quantitative survey administered to USAID Washington and Mission-based staff. Triangulation of data served both as a way to capture different dimensions of implementation of the Urban Policy, as well as an avenue to cross-validate findings.

In close consultation with staff in PPL/P, the consultants developed data collection tools associated with each method, building on lessons learned from previous policy implementation assessments.

## I. SEMI-STRUCTURED INTERVIEWS

The assessment team conducted key informant interviews with stakeholder groups comprising USAID staff and implementing partners in Washington, DC, and USAID Mission staff. Respondents were selected to maximize coverage of Bureaus, Missions, offices, and sectors. Additionally, the interview sample represented various levels of seniority in the Agency. The sampling strategy focused on identifying respondents expected to have a high degree of familiarity with USAID's Urban Policy and programming; however, the final sample included staff with varying degrees of familiarity with the subject matter, as the assessment team asked initial interviewees for suggestions of other potential interviewees with views or experiences that might be different from their own. Each interview lasted for 60 minutes on average and was conducted using interview protocols the assessment team developed for the appropriate stakeholder group.

The team interviewed 72 respondents: 39 Washington staff, 6 of whom were at leadership levels; 22 Mission staff; and 11 implementing partner organization staff members. The sample covered respondents from 17 Missions across five regions, including two at the leadership level (e.g., Mission Director). The Washington DC staff covered 11 Bureaus and Operating Units, including respondents from four Regional Bureaus, four Pillar Bureaus, and two Central Bureaus. The sample of interview respondents is further detailed in Annex B.

## 2. ANALYSIS OF PROGRAM CYCLE DOCUMENTS

To measure the degree of integration of urbanization or sustainable urban service delivery principles in USAID's Program Cycle, the assessment team analyzed a selection of Country Development Cooperation Strategies (CDCSs),<sup>10</sup> Regional Development Cooperation Strategies (RDCSs),<sup>11</sup> Project Appraisal Documents (PADs),<sup>12</sup> and solicitations. The consultants developed scoring sheets for the document review, conducted jointly by the Assessment Lead<sup>13</sup> and Policy Analysts in PPL/P. The analysis yielded quantitative measures of urban awareness of the documents in question.

**CDCS/RDCS Analysis** Analysis of CDCSs/RDCSs occurred in two phases. The first phase was a screen of all 61 available and active CDCS/RDCS documents (see Annex C). This initial screen scored the documents on the level of their discussion of urbanization and/or urban service delivery on a scale ranging from 0 (minimal discussion) to 3 (extensive discussion). To complete the initial screen, the reviewer assigned a score from 0-3 to each CDCS and RDCS by considering both the number of times the selected urban-relevant key words (see Box 1) appeared in a CDCS or RDCS and a brief qualitative review of the CDCS from reading the Results Framework and context surrounding the key words.

The second phase was an in-depth analysis of a subsample of 15 CDCS/RDCSs that scored 3 (extensive discussion) on the initial screen. This subsample

### BOX 1: SEARCH TERMS FOR CDCS/RDCS, PAD, AND SOLICITATION SCREEN

- Urban/urbanization/peri-urban
- Municipal/municipality/municipalities
- City/cities
- Sub-national/sub-national
- Local government
- Service delivery

<sup>10</sup> A CDCS lays out the strategy that defines a Mission's chosen approach in country and provides a focal point of the broader context for projects and activities (ADS 201).

<sup>11</sup> A RDCS is a strategy similar to a CDCS for a regional platform or program (ADS 201).

<sup>12</sup> A PAD documents the complete project design and serves as the reference document for project approval and subsequent implementation. A project consists of a set of complementary activities, over an established timeline and budget, intended to achieve a discrete development result, often aligned with an Intermediate Result (IR) in the CDCS Results Framework.

<sup>13</sup> The Assessment Lead directs the comprehensive implementation assessment process for USAID's Urban Policy in close collaboration with USAID PPL/P, overseeing the data collection and data analysis and writing the final report and briefings.

included seven documents released in 2013 or before, that is, prior to or concurrently with the Urban Policy; eight of the documents in the sub-sample were released after the introduction of the Policy. Reviewers scored the documents on key indicators such as: discussion of urbanization in relation to development objectives, reference to urbanization statistics and spatial distribution of populations, mentions of an urban assessment, and integration of sustainable urban services principles in programs. Finally, the reviewers analyzed the scored documents to identify trends in urban integration over time and across regions.

**PAD Analysis** From a list of 303 PADs on the PAD Summary Matrix available on ProgramNet, the team screened all PADs for urban and service-related keywords in their titles, summary descriptions, or key areas. The team analyzed all of the PADs released by Missions (in 2014 or later) that included the keyword “urban” in their titles, summary descriptions, or as a “key area” (n=3), as well as a regionally distributed set of post-policy service-focused PADs (n=6) to understand the extent of attention to sustainable urban services or Urban Policy principles, use of urban-related tools, and quality of urban programming (see Annex D).

**Solicitations Analysis** Following a similar approach used for the CDCS/RDCS review, the assessment team conducted an initial screening of 30 solicitations from the 2014 - 2019 release years using scoresheets (see Annex E) developed to measure the degree of urban integration at the activity level. The assessment team used “urban” keywords (see Box 1) to identify “Full and Open” solicitations including Requests for Applications (RFAs), Requests for Proposals (RFPs), Annual Program Statements (APSs), and Broad Agency Announcements (BAAs). The files were downloaded from [fedbizopps.gov](http://fedbizopps.gov) and [grants.gov](http://grants.gov). The team also reviewed Requests for Task Order Proposals (RFTOPs) from the Making Cities Work and Water and Development (WADI) Indefinite Delivery, Indefinite Quantity Contracts (IDIQs). Of the 30, 15 were selected for in-depth analysis to maximize temporal variation as well as regional and sectoral coverage. The sample included Washington-based solicitations and at least one from Africa, Asia, Europe and Eurasia (E&E), Latin American and the Caribbean (LAC), Middle East (ME), and Office of Afghanistan and Pakistan Affairs (OAPA). It also covered the sectors and services identified in the Policy, such as governance, health, water, and education. Reviewers analyzed the purpose summary for each solicitation and other sections of solicitations detailing activity objectives, the program description, anticipated results, and components to understand the extent of attention to sustainable urban services or Urban Policy principles.

### 3. USAID STAFF SURVEY

With technical input from key stakeholders at USAID, the consultants developed a survey for Washington- and field-based staff. The purpose of the survey was to assess changes in Agency programming/processes, availability and quality of technical support structures, and constraints and enablers of USAID’s urban work. The survey also aimed to increase the assessment’s inclusion of Mission-based perspectives (beyond the limited interview sample), given the Policy’s intent to equip USAID Missions to support partner countries in responding to the service delivery challenges of a rapidly urbanizing world.

The assessment team opened the survey from February 14 to March 5, 2019, and circulated it to nine USAID mailing lists. The mailing lists comprised more than 1,000 potential respondents representing various technical sectors including climate change; democracy, rights, and governance; engineering; and water and sanitation. A total of 103 USAID staff responded to the survey—74 of whom were Mission-based. Among the Mission-based respondents, 27 were based in Africa, 23 were based in Asia, and 9 were based in Latin America (See Annex F).

#### 4. COLLABORATION WITH THE COMMUNICATIONS, EVIDENCE, AND LEARNING PROJECT

The assessment team coordinated its research activities with the Communications, Evidence, and Learning (CEL) Project, which currently supports USAID's E3 Bureau, Office of Land and Urban (LU) in strengthening the Agency's urban-based work. [CEL](#) is conducting a separate assessment to inform a three-year learning agenda, including research priorities and a learning strategy on urban issues for USAID staff and leadership. Given the overlap in the interview sample for the Policy Implementation Assessment and CEL project, both teams coordinated data collection to minimize duplication of effort and friction during interview scheduling. Our coordination also included sharing of de-identified transcripts as well as survey data between teams.

#### B. LIMITATIONS OF THE METHODOLOGY

Although this assessment has generated insights into the implementation of USAID's Urban Policy, it has a few limitations with implications for the interpretation of its results.

**Sampling Approaches** The use of snowball sampling in the staff interviews posed a community bias risk, whereby the study sample remains largely limited to the network of the earliest participants who referred subsequent interviewees. The team made concerted efforts to identify stakeholders from diverse networks, and asked interviewees to recommend contacts with different viewpoints; however, the final sample was largely individuals in related networks within USAID. In practice, this approach may have led to the overrepresentation of certain viewpoints in the study. Relatedly, the survey was circulated to urban and urban-relevant communities of practice in the Agency, such as the Urban and GIS Mission points of contact and the Engineering Division. As noted above, the survey was also sent to Program Officers, YouthCorps, Climate Change, EconNet, and other listservs, but not all USAID staff, so its results are not representative of the full agency. There may have also been participation bias for those that chose to answer the survey or participate in interviews, such as respondents that are particularly interested in urban issues.

**Interview Data Quality** The interview protocols required respondents to recall several facts related to policy implementation over the last five years. Given the long time horizon, it is likely that some respondents recalled and reported past events inaccurately or selectively. To mitigate this and validate interviewees' perspectives, the assessment team relied on other data sources such as USAID reports, policy, and strategy documents. Furthermore, some of those staff interviewed and surveyed joined USAID within the past one to three years, and their responses reflect limitations in their ability to comment knowledgeably on questions relating to policy implementation over the last five years.

**Document Scoring Validity** Although the assessment team developed scoresheets for the analysis of program documents, the team did not test the scoring instruments with multiple reviewers to measure the consistency of results across reviewers and document type. Each document was reviewed by one reviewer, allowing room for the reviewer's biases to influence results in a positive or negative direction.

**Lack of Field Visits** The assessment team initially planned to conduct visits to two Missions to better understand policy implementation on the ground. However, these were cancelled due to logistical and timing constraints following the extended lapse in appropriations and staff furloughs in December - January 2019. This may have limited the assessment team's understanding of the Policy's implementation and sustainable urban service delivery activities in practice. Nearly all interviews with Mission staff were conducted by phone.



### III. ASSESSMENT FINDINGS

The assessment findings are presented below, organized into four sections as follows:

- A. **Awareness of the Urban Policy**, including understanding and attitudes toward the Policy and uptake of the Policy’s vision
- B. **Integration of the Urban Policy and Urban Issues in the Program Cycle and Strategic Planning**, including CDCSs, PADs, and solicitations, and in monitoring, evaluation, learning, and adaptation
- C. **Urban Programming and Implementation**, including adoption of policy principles, factors affecting implementation, cross-sectoral programming, staff capacity, and funding
- D. **Leadership and Institutional Support Structures**

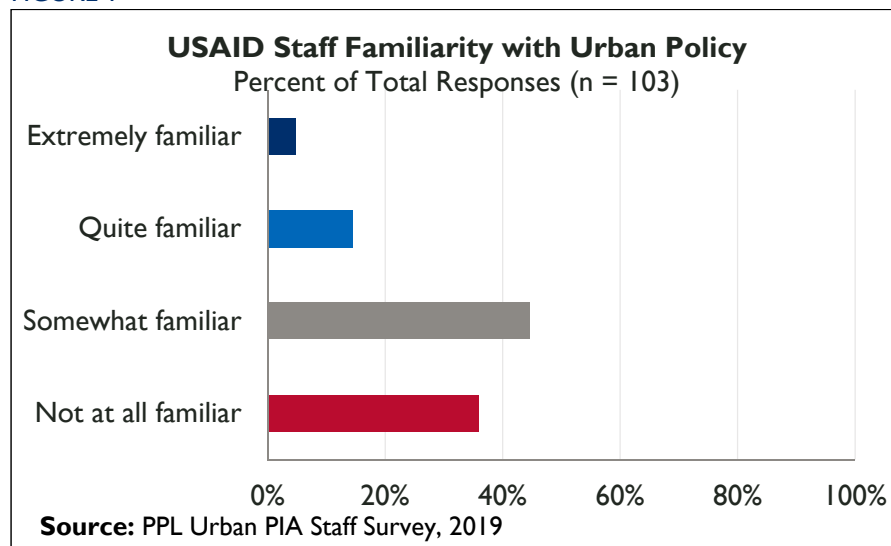
Throughout the findings, enabling factors and constraints are discussed. There are a range of factors that contributed to and obstructed effective policy implementation, including the Policy’s content and the enabling environment.

#### A. AWARENESS OF THE URBAN POLICY AND UPTAKE OF THE POLICY’S VISION

##### I. AWARENESS OF AND ATTITUDES ABOUT THE URBAN POLICY

**Awareness and understanding of the Policy is low.** Survey and interview data, as well as document review, suggest that the Policy has not been widely recognized to date. According to the survey of USAID staff, around 50 percent reported that they were not aware of the Urban Policy. About 47 percent of survey respondents said they had heard of the policy, but did not know what it says, and only 15 percent reported that they were familiar with the policy (see Figure 1). Given the low level of awareness of the policy among the survey sample that included urban experts, it is likely that Agency-wide awareness of the policy is even lower.

FIGURE 1



At least 10 respondents in the interview sample (n=72) mentioned that the first time they heard about the Policy was when the assessment team contacted them to participate in the study. Among interviewees who reported being aware of the Policy, a majority heard about it at or near the time of its release; but did not hear about it again or refer to it in their work beyond this period. This suggests that while the Policy Task Team who drafted the Policy in 2012-2013 made extensive efforts to conduct

outreach and dialogue to develop the Urban Policy and there was a deliberate effort to draw attention to the Policy at the time of its release, those communications and awareness efforts were not sustained in the following five years.

Despite the generally low levels of awareness of the Urban Policy, a third of staff surveyed saw the policy as contributing to awareness of urban issues, with 34 percent of respondents agreeing with the statement that “the Urban Policy is useful in promoting sustainable urban services as a priority for the Agency,” although far fewer staff who joined USAID prior to 2013 agreed with this statement. Interview respondents generally reported that, five years after it was issued, the Urban Policy has had little lasting impact on the level of staff awareness of urbanization or service delivery issues in USAID.

Several interviewees and survey respondents suggested that raising the Policy’s visibility would allow more USAID staff to be aware of the Policy and to apply it in their work. Some connected this lack of awareness of the policy to their perception of low visibility of the issues of urbanization and urban service delivery, and offered that these issues “deserved to be elevated” in order for USAID to more aggressively take on urban development challenges. One Policy recommendation—that USAID should hold regular policy discussions and broad stakeholder consultation on urban service provision, maintenance, and upgrading—does not appear to have been fulfilled, to the detriment of awareness and understanding of the Policy and urban issues. Going forward, the recent internal paper on “The Journey to Self-Reliance in Urbanization,” the Urban Team’s communications mechanism (CEL), and new Urban Brief on Gender and Urban Services should raise awareness within USAID about the Agency’s urban work and potentially the Urban Policy.

## 2. UPTAKE OF THE URBAN POLICY’S VISION

**Interview and survey respondents had mixed opinions on USAID’s success in achieving the vision of the Urban Policy, but there is consensus that this vision is critical to the development of USAID’s partner countries.** More than a quarter of interviewees believe that USAID had not carried out the vision of the Urban Policy, which is “to promote sustainable service delivery that brings large-scale benefits to urban residents.” Key informants suggested that the uptake, or incorporation of the vision in implementation, was constrained by the low awareness of the Policy and low priority placed on it; the lack of related training and tools; and inflexibility and unavailability of funding. As one Agency leader put it, “the vision is possibly still beyond the capacity and scope of the Agency.” Another noted that achieving the vision “only happens when there is leadership at the Mission level interested in having a comprehensive urban approach and strategy.” In both interviews and survey responses, USAID staff expressed enthusiasm for the vision and objectives of the Policy, and saw both the potential and the demand for USAID to address urban service delivery issues.

Interviewees with more than a decade of USAID experience and greater familiarity with USAID’s investments in urban service delivery prior to the Urban Policy conveyed a less positive impression of the uptake of the Urban Policy and its vision. Having seen previous efforts to elevate the urban lens in USAID, and how the Agency’s expertise and institutional support of urban activities had dissipated over time, some of these key informants stated that a more effective Urban Policy would need heightened Agency leadership attention, dedicated funding or mechanisms to use earmarked funding for urban programming, and requirements built into the Policy for it to take hold.

**For the most part, existing urban programming has not been framed through the lens of the Policy.** CDCS priorities, partner country demand, and the presence and guidance of “urban champions” in Missions and Operating Units are commonly cited as the main drivers of urban work. One interviewee concluded that when USAID staff became interested in urban issues, “it was not

because of the Policy.” Others noted that the Policy itself was not “actionable” or practical, and thus not evident in how urban programming took shape.

Additionally, a wide range of constraints, including siloing of different technical areas, a lack of data and documentation of urban programs, and limited awareness of the Policy’s vision have impeded measurement of success and understanding of USAID’s impacts and outcomes in strengthening sustainable urban service delivery. Key informants who reported that the Urban Policy’s vision had not been carried out saw missed opportunities from leadership to amplify urban issues.

### 3. CONTRIBUTING FACTORS TO LOW LEVELS OF AWARENESS AND UPTAKE

A number of factors were reported both in interviews and in the survey as constraining awareness of the policy and its implementation, including limited leadership awareness or support for implementing the policy, the perception of Agency prioritization of rural development over urban service delivery, constrained institutional support for the Policy, and the lack of policy requirements or associated funding streams. External to USAID, the inconsistency of partner country capacity and commitment has been a significant constraint to executing the Urban Policy.

**Leadership support for addressing the Urban Policy is limited.** In the survey, only about one-fifth of respondents agreed with the statement “Leadership in my Mission/Operating Unit is aware of the Urban Policy.” This was echoed by the vast majority of key informants, who suggested that Agency leadership were invested in many other priorities and even if they were cognizant of the Urban Policy, they were not championing or advocating for the Policy or its recommended approaches (as discussed further in the next section). However, as discussed below, some Agency leaders who directed Missions or Operating Units with an urban lens, or had greater awareness of urban issues, were powerful enablers for urban policy implementation, most notably in the Philippines.

*“Urbanization and development go hand in hand. The emphasis on farmer-led development stymies exploration of real development potential.”*

- USAID survey respondent

**The lack of policy requirements or associated funding streams limits uptake.** Because staff were not required to apply the policy, they were rarely advised to do so by Agency leaders, and had no earmarks or other dedicated funding to implement the Policy, interviewees and survey respondents perceived that the Urban Policy has been less visible than other policies, such as the Gender Equality and Female Empowerment Policy. Interview respondents frequently cited the Policy’s lack of mandates and “operational relevance” as major design flaws that limited the potential to build awareness of it, particularly in contrast to other policies and strategies with “teeth,” such as reporting requirements, or associated funding streams, as was the case with the Education Policy. Without funds to invest in pilot activities, training, dissemination, guidance documents, or capacity building, and a small, stretched Washington technical office for urban issues, the Urban Policy was not set up for successful implementation.

**There is a perceived institutional bias for rural development.** Several survey respondents and at least a dozen interviewees described a “rural bias” that disincentivized attention to or implementation of the Policy within the Agency. Several staff spoke of a perceived agency norm in which “USAID has for too long equated poverty and development as something that should happen in primarily rural areas.” Others remarked on prioritization of rural development and smallholder agriculture without linkages to urban markets or food security and a focus on extreme rural poverty over the accelerating poverty and inequality faced by the urban and peri-urban poor.

Similarly, Mission staff suggested that many at USAID don't "recognize cities as being important parts of the development mix," and that "the focus of efforts in rural environments is a barrier" to implementing the Urban Policy and urban programming in general. This perception was repeatedly cited as a major obstacle to socializing (as well as implementing) the Urban Policy, to carrying out the Policy's vision, and to USAID's efforts to address urbanization and sustainable urban service delivery. Some staff suggested that some colleagues and leadership are not considering the evidence that shows that the rapid growth of urban and peri-urban populations imposes significant burdens on services and infrastructure. Other key informants indicated that

USAID doesn't always acknowledge data signaling the relatively greater potential for economic growth in cities compared to rural areas, especially in the context of efforts to support local economic development and domestic revenue generation in the Journey to Self-Reliance.<sup>14</sup>

*"There's thinking that USAID was supposed to work with the most vulnerable, and those people are located in rural areas. There was a perception of an urban health advantage, which made it hard to justify investing in urban areas. More recently, with the growth of slums, we are learning that some of the most vulnerable may be in urban areas."*

- USAID Washington staff

### **Limited institutional support structures constrain awareness as well as implementation.**

Low levels of policy familiarity among staff suggest that dissemination and communication about the Policy have been inconsistent. For example, key informants noted that the Policy is not part of orientation for new staff, even in Operating Units or Missions with urban programming, or of Foreign Service Officer's or Contracting Officer's Representative/Agreement Officer's Representative (COR/AOR) certification training. This gap in staff training was seen as a missed opportunity for raising awareness and technical understanding of the Urban Policy and urban service delivery issues among USAID staff closest to activity implementation. Furthermore, the two-person urban team in E3 and the dispersion of USAID staff with urban expertise across Operating Units and Missions were also cited as constraints on building and maintaining awareness of the Urban Policy and urbanization issues writ large.

**The strength of partner country capacity, as well as interest and political will to buy into and build on urban service delivery activities, can be an enabler or a constraint.** The capacity to implement the Policy and its principles and approaches was seen by many as somewhat dependent on partner country capacity. One interviewee noted, "Urban planning work is about economic development, connecting people with jobs and forecasting transportation models. There's a need for strong local institutions to have the foresight to plan 20 years ahead." Survey respondents were evenly split on whether partner country capacity was a constraint or an enabler of USAID's implementation of urban programs, indicating that this could be a country-specific determinant. A constraint to implementation relevant to Serbia, for example, was turnover in political leadership at the sub-national level, and resulting loss of local government staffing capacity to implement, operate, and expand services.

## **B. INTEGRATION OF THE URBAN POLICY AND URBAN ISSUES IN THE PROGRAM CYCLE AND STRATEGIC PLANNING**

### **I. OVERVIEW OF INTEGRATION IN CDCSs, PADs, AND SOLICITATIONS**

The assessment team reviewed all active CDCSs and a sample of PADs and solicitations to evaluate how these key documents had integrated the Urban Policy and the principles, approaches, and priorities it

<sup>14</sup> Current estimates suggest that more than 80 percent of global GDP is now generated in cities. See <http://www.worldbank.org/en/topic/urbandevelopment>

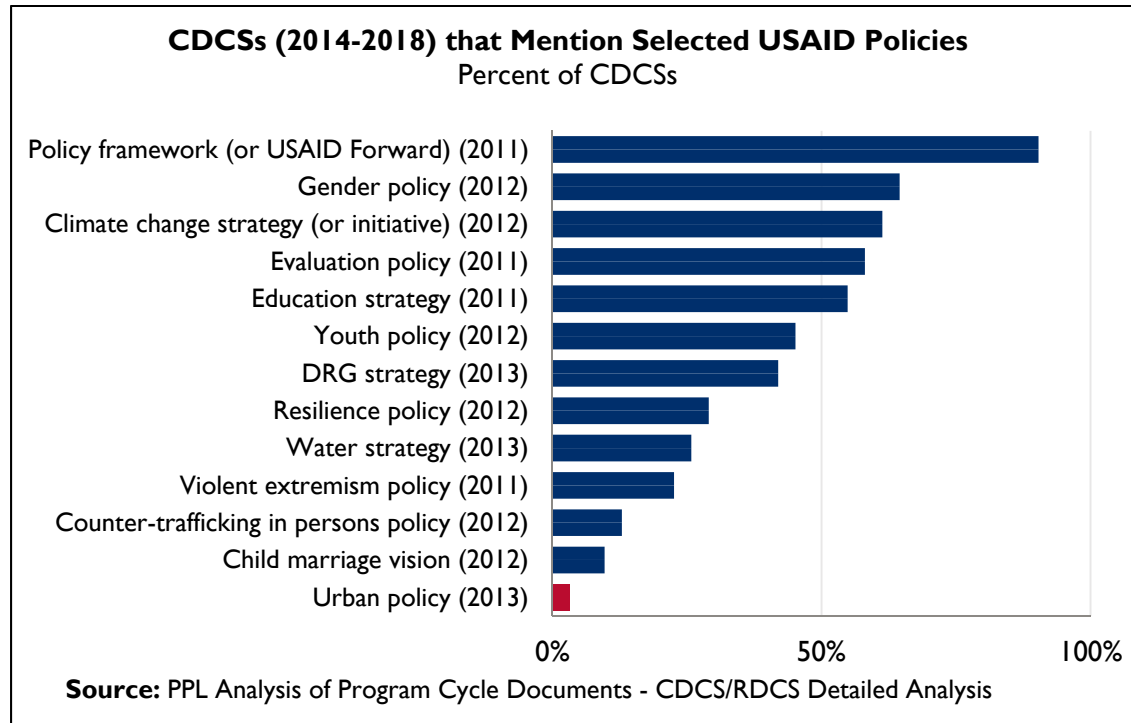
covers. Both the CDCS and PAD sample included documents published both before and after the release of the Policy to allow for comparison of urban content in the two groups. This review aimed to assess if, as the Policy recommends, the Policy’s principles were applied in “the design, implementation, and evaluation of urban projects (to) help USAID achieve scalable and sustainable results,” and if urban assessment tools were used in the CDCS process and in other steps in the Program Cycle. While urbanization and urban service delivery issues were addressed in some of these documents, the coverage was minimal to moderate in CDCSs/RDCSs and PADs, and only extensive in highly urban-focused solicitations. The Policy was rarely cited, and its recommendations (such as the use of urban assessment tools) were generally not applied. This review bore out interviewees’ insights that USAID staff “don’t run things through an urban strategy lens as they think of how they develop programs” and that “there are things in (a Mission’s) CDCS that are aligned (with the principles), but there was not necessarily deliberate consideration” of the Urban Policy.

**The Policy recommendation that Missions use urban assessment tools and “consider designing an urbanization strategy” in Strategic Planning and the Program Cycle is unfulfilled.** The Policy encouraged USAID to conduct urban assessments in the CDCS process to better examine how urban growth will provide key opportunities to achieve development outcomes. Urban assessments were mentioned in a third of the 15 CDCSs that discussed urbanization and/or urban service delivery extensively, with three of the five from before/concurrent with policy release and two from after. In the survey, 21 percent responded that their Mission or Operating Unit conducted an analysis of urbanization trends in the last three years (although 40 percent did not know if their Mission or Operating Unit had done such an analysis). While the Policy suggested that Missions in countries facing rapid urban growth may consider designing an urbanization strategy to increase sustainable urban service delivery, it does not appear that any urbanization strategies have been completed since the Policy’s release. Furthermore, urban assessments were not widely cited in program cycle documents, although they were cited in some PADs and recommended in several solicitations the assessment team reviewed. Finally, while the Urban “How to Note,” released one year after the Urban Policy was issued, was developed to inform Missions on how to access urban resources, it was not known by key informants, and cited in only one document in our sample, a PAD from the Engineering and Urban Team (EU) within the Office of Engineering and Infrastructure (EI).

## 2. CDCSs

The assessment team conducted a screen of all CDCSs released after 2013 for mentions of the Urban Policy, finding limited references to it. The Urban Policy was mentioned only once (and only in the annex rather than in the body of the CDCS) in post-Policy CDCSs. It was the least mentioned of development policies released between 2011-2013 in CDCSs published from 2014 to 2018 (see Figure 2).

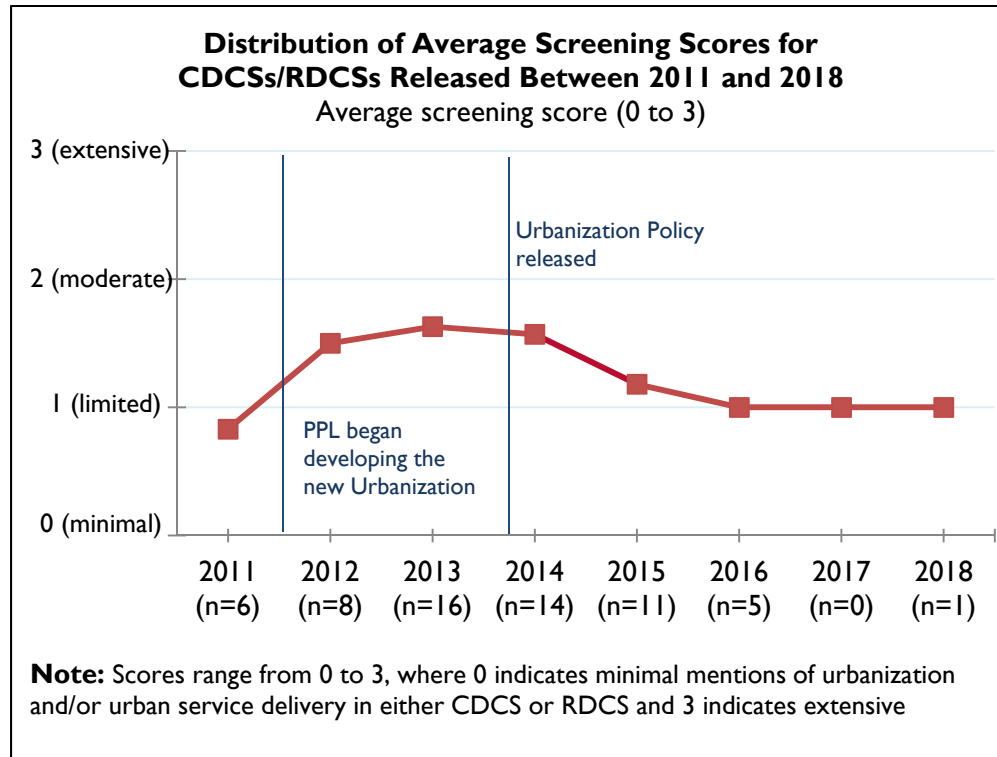
FIGURE 2



The assessment team also conducted a screen of all of the 61 active CDCSs (n=53) and RDCSs (n=8), released between 2011 and 2018 and scored the documents on the level of their discussion of urbanization and/or urban service delivery on a scale from 0 (minimal discussion) to 3 (extensive discussion). As mentioned above, the CDCSs and RDCSs published both before and after the release of the Policy were scored to allow for comparison of urban content in the two groups. Findings are summarized here and detailed in Annex C.

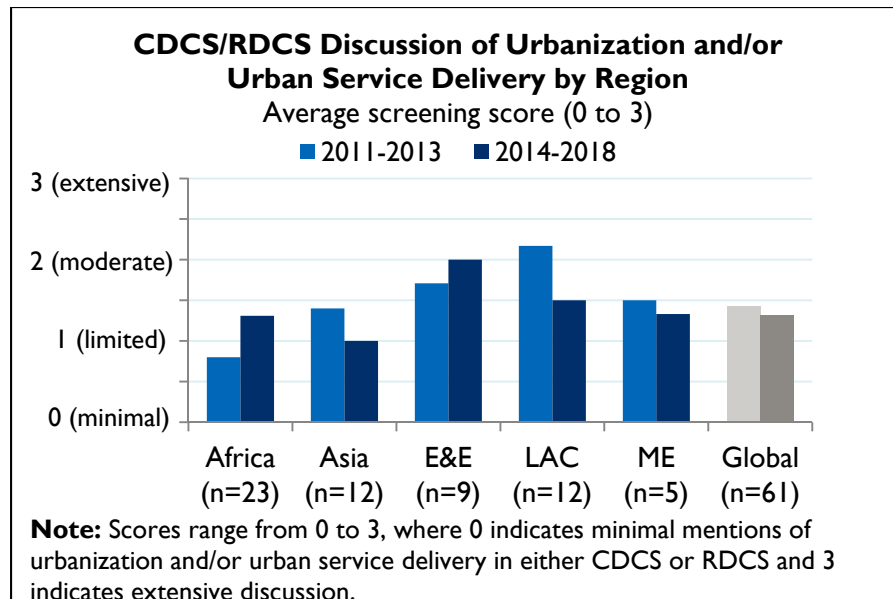
Of all 61 active CDCSs/RDCSs, the majority of the sample (61 percent) had either minimal or limited discussion (a score of 0 or 1, respectively) of urbanization and/or urban service delivery, while 25 percent had an extensive discussion of these issues (a score of 3), with the remaining 14 percent having moderate discussion (a score of 2). See Figure 3 below, which shows that the clustering of higher average scores of discussion of urbanization and/or urban service delivery occurred between 2012-2014, concurrent with the Policy's development and release, with lower levels of discussion before and after the Policy's development and release.

FIGURE 3



When examined region by region, the extent of discussion of these issues in CDCSs changed minimally after the release of the Policy, with small increases in discussions in Africa and E&E strategies, perhaps suggesting that Missions in these regions increasingly considered long-term urbanization and service delivery challenges, and potential for USAID investments in urban areas, in their strategic planning. However, the analysis also showed slight decreases in Asia, LAC, and ME.<sup>15</sup> See Figure 4.

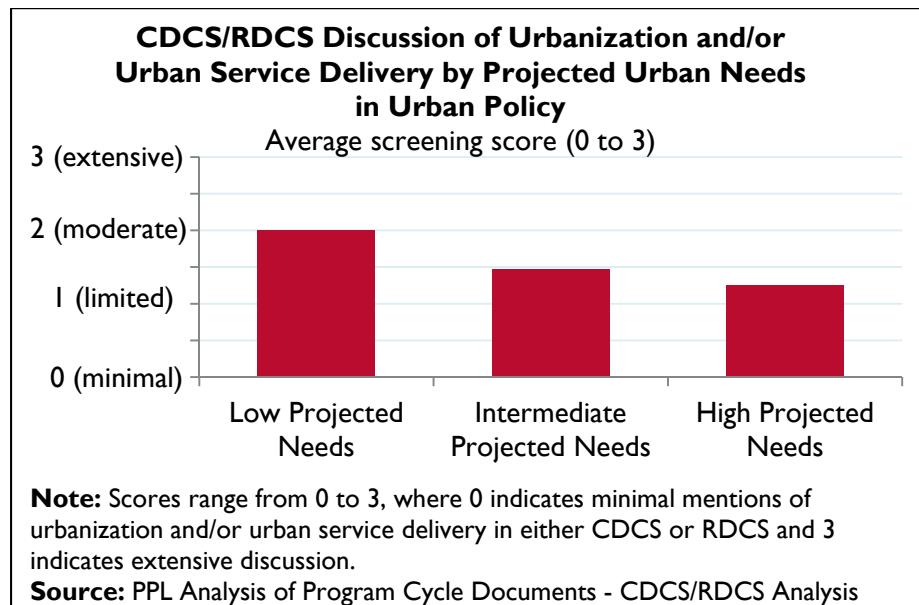
FIGURE 4



<sup>15</sup> Office of Afghanistan and Pakistan Affairs (OAPA) CDCSs were not reviewed.

Because the Policy lays out the “Projected Level of Urban Services Needs in Countries with USAID Missions and Select Offices, 2010-2025” (see page 10 of the Policy), we next examined average scores for countries that were identified in the policy as having low, intermediate, or high projected level of urban services needs. Levels of urban need are determined by creating a score that captures low values of GNI per capita, high percentage and growth rates of urban slum populations, and high rates of urbanization (See Annex VII in the Urban Policy). Whether the CDCS/RDCS was released before/concurrent with, or after the Policy, the highest average scores—that is, the most extensive discussion of urban service needs—were, surprisingly, evident in countries associated with low projected levels of urban services needs. Conversely, the lowest average scores (that is, with relatively less discussion of urbanization and service delivery) were in countries associated with high projected urban services needs (See Figure 5). This counter-intuitive result could reflect the fact that countries with high urban need are also wrestling with a variety of other problems (as indicated by the low values of GNI per capita and large/growing slum populations). Hence it is possible that issues of public health, food security, citizen security, countering-violent extremism, or other priorities took precedence over urban and local service delivery issues in CDCS/RDCSs during this period.

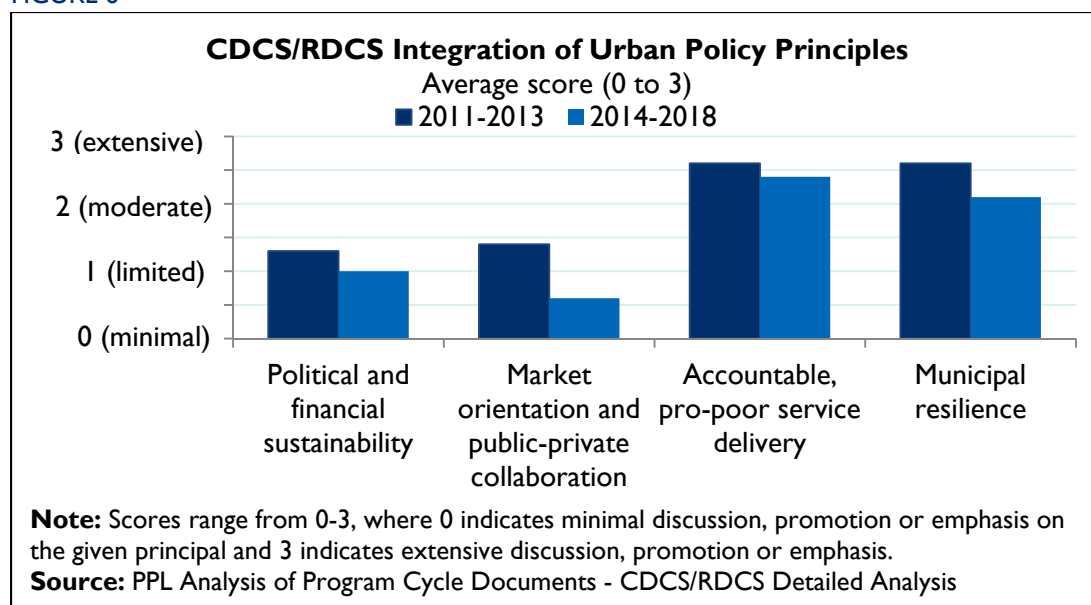
FIGURE 5



The team then conducted a detailed analysis of the 15 CDCSs/RDCSs that received a score of 3 (“Extensive: urbanization and/or urban service delivery are discussed extensively in the CDCS or RDCS.”) Even among these CDCSs, we found that the CDCSs/RDCSs were consistently limited (average score of 1.1) in the degree to which urbanization trends were discussed as being important to achieving development objectives. There was moderate discussion (average score of 2.2) of urban trends or statistics or focused programming in urban settings in these CDCSs/RDCSs, although these scores decreased slightly in the period following the Urban Policy’s release (2014-2018) compared to the period preceding its release (2011-2013). Among these 15 CDCSs/RDCSs, discussion of the Policy’s principles was relatively consistent before and after 2013, but all four principles were discussed less (i.e., received lower average scores) in post-Policy CDCSs (see Figure 6). The Policy principles that received the highest degree of attention in CDCSs had to do with inclusive service delivery and urban and/or municipal resilience, while the lowest scores had to do with political and financial sustainability in meeting urban service needs or the use of markets/public-private partnerships to optimize the delivery of urban services (see Annex C for more detail).



FIGURE 6



### 3. PADs

The assessment team also considered Project Appraisal Documents (PADs), which describe project designs and the evidence upon which they are based, and contain an implementation plan for the overall project. The team found that, of the 303 PADs listed in the summary matrix on USAID’s ProgramNet database between February 2013 and November 2018, only 7 included the keyword “urban” in their titles or summary descriptions. Among the 72 PADs in the summary matrix that had urban or service-related keywords in the summary descriptions, 22 were from Africa, 15 were from Asia, 14 were from ME, 11 were from LAC, 8 were from E&E, and 2 were from OAPA, marking a wide regional spread. There was also sectoral diversity, with DRG most prevalent (35 percent of the sample), closely followed by health (29 percent of sample). Other PADs in this sample (in declining order of frequency) focused on economic growth, the environment or climate change, water, and education.

The team then conducted a detailed analysis of nine PADs released by Missions after the Urban Policy was released that included the keyword “urban” in their titles, summary descriptions, or as a “key area,” to better understand the degree of attention to sustainable urban services or policy principles, and the use of urban-related tools. Only one referred to the Urban Policy, and, contrary to the Policy’s recommendations, none included an urban assessment as the basis for the development of the PAD. However, one PAD did capitalize on a municipal finance assessment and another recommended the future use of geospatial tools, both recommendations of the Policy. There was limited discussion of the importance of urbanization trends to achieving the project purpose, and “moderate” attention to urban trends, data, or local/sub-national government in these PADs. Of Mission-released PADs that included the keyword “urban” in the title or summary descriptions, none focused primarily on sustainable urban services. Instead, two had to do with climate resilience and one had to do with citizen security. Urban-focused projects may not have to do explicitly or primarily with sustainable urban services, and of the service-focused PADs, two were heavily urban service focused.

None of the three urban-focused PADs in the sample mentioned the Urban Policy, despite the fact that they did mention more than a dozen other USAID policies, strategies, or visions, including those having to do with gender equality and female empowerment, youth, resilience, DRG, water, education, climate

change, civilian policing, evaluation, LGBT, disability, gender-based violence, and counter-trafficking in persons (See Annex D for further detail).

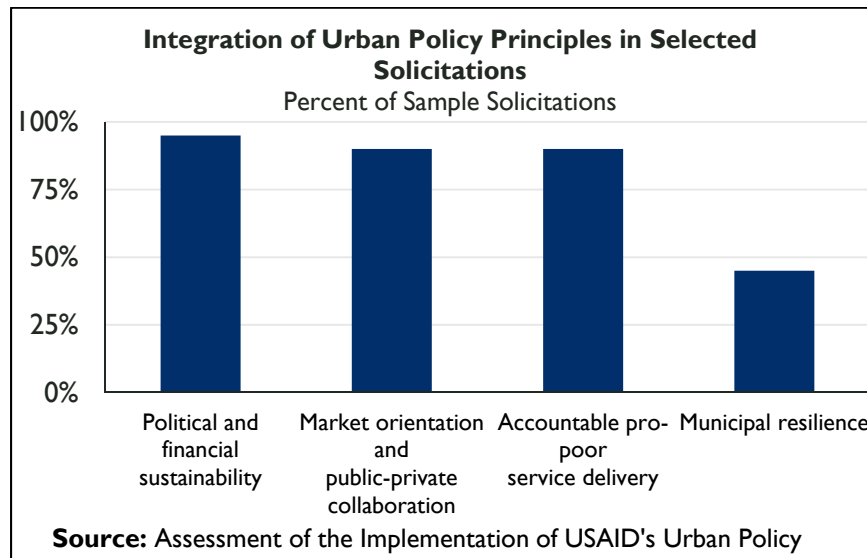
#### 4. SOLICITATIONS

The assessment team reviewed 30 solicitations, including RFPs and BAAs from fedbizopps.gov, RFAs and APSs from grants.gov, and RFTOPs from the WADI and Making Cities Work IDIQs, to analyze the prevalence of urban and service delivery-related keywords. Within the 30 solicitations that were posted between March 2014 and February 2019, the team selected 20 solicitations with a high prevalence of urban-relevant and services keywords. This sample of solicitations is more urban in focus than a random sample of USAID solicitations, as the team sought to identify the extent of integration of the Urban Policy and its principles and recommendations within solicitations that had some urban or service delivery relevance.

All of the selected solicitations referred to one or more of the following key points in the Urban Policy: spatial distribution of the population (rural vs. urban); gaps in service delivery; urban population growth statistics; and/or local or sub-national government. All but three discussed urbanization, sustainable urban service delivery, or Urban Policy principles, although most did not address how urbanization trends could affect the achievement of project objectives. On average, the sampled solicitations scored at least “moderate” (2 on a scale of 0-3) in the extent to which the solicitations identified improving urban services as an approach to advance activity objectives.

The Urban Policy principles were widely integrated in this sample of solicitations, with 90-95 percent of the sample addressing three of the four principles. Overall, the principle of ensuring political and financial sustainability, including domestic resource mobilization, was noted in 95 percent of the solicitations sampled, and 90 percent of the sampled solicitations incorporated the principles of inclusive and accountable service delivery and of fostering a market orientation and public-private collaboration in service delivery. The principle of addressing climate resilience and environmental risk was raised in 45 percent of the sample, which included all solicitations sampled from the water, sanitation, energy, roads, and land sectors (see Figure 8).

FIGURE 7



Half of the solicitations did mention urban assessments or other relevant analyses, but only three solicitations (15 percent of the sample) mentioned urban-specific assessments. Assessments and analysis were often recommended as a task to be completed in the course of the contract rather than applied as an evidence base.

The Policy was cited in all four sampled task orders under the WADI and MCW IDIQs, and in only one full and open RFP (for the Strengthening Tenure and Resource Rights II (STARR II) IDIQ). This may suggest that the Missions and Operating Units in Washington that are coordinating with the Land and Urban Team, which manages the MCW and STARR IDIQs, are more likely to be cognizant of or engaged with the Urban Policy, and that Health, DG, Education, and Economic Growth Sector Teams in Missions and Washington are less familiar with the Policy.

## 5. INTEGRATION IN OTHER USAID GUIDANCE DOCUMENTS AND POLICIES

The assessment team also reviewed other USAID guidance documents and strategies to identify references to or potential influence of the Urban Policy. Interviewees reported little integration of the Policy in USAID's documents and that the Policy was not mainstreamed in the Program Cycle. Ninety percent of survey respondents reported that they were not aware of the "How-To Note" guidance document that supports integration of the Urban Policy into USAID's Program Cycle. However, this document review revealed that urban issues and the urban lens are, to some extent, included in USAID strategies and policies.

While the Urban Policy was not directly cited in many other policy and strategy documents, urbanization and urban issues are raised as priorities for USAID in some key documents. For example, the *Private Sector Engagement (PSE) Policy*, released in 2018, illustrated how PSE is important to all stages of a country's Journey to Self-Reliance,<sup>16</sup> pointing to the cases of Ghana, India, and Indonesia. The PSE Policy identified rapid urbanization, growing urban poor populations, and urban service delivery needs in those three countries as challenges USAID could address in collaboration with the private sector. One survey respondent offered the equation, "Urban focused programming + private sector-led development = natural marriage," and this sentiment was echoed in other documents as well. The *USG Global Food Security Strategy* noted, "Urbanization and income growth are also creating new opportunities...One of these is to (build) strong and resilient food and agriculture systems that can have a transformational effect on people's lives and societies as a whole, not in the least by creating jobs and spurring growth in rural and urban economies." USAID's *Education Policy*, released in 2018, recognizes the importance of addressing education needs for the displaced and for children and youth affected "as humanitarian crises become more complex, urbanized, and protracted" and in high-crime urban areas. Finally, the April 2019 *Advancing Gender in the Environment (AGENT) Gender and Urban Services Brief* focuses on gender gaps and gender-responsive opportunities for urban development, and offers best practices and illustrative gender strategies in urban service delivery, including water, sanitation, energy, and transportation.

## 6. MONITORING, EVALUATION, ADAPTING, AND LEARNING IN URBAN PROGRAMMING

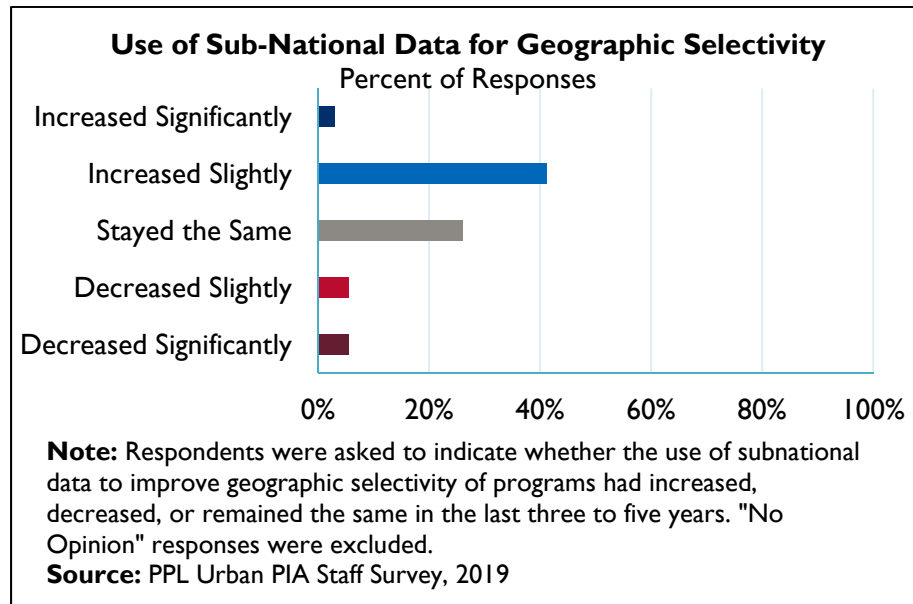
The Urban Policy states that USAID will "seek to develop internal capacity in urban and sustainability analysis" and "foster the use of urban assessment tools ...and improved indicators to measure the sustainability of service delivery." The assessment team asked key informants in interviews and the survey about monitoring, reporting, and ability to assess the urban context. The implementation of the urban-specific M&E goals set out in the Policy has not been uniformly strong, although 16 percent of

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<sup>16</sup> That is, a country's "ability to plan, finance, and implement solutions to its own development challenges," per USAID's Private Sector Engagement Policy.

survey respondents reported an increase in the use of indicators to measure the sustainability of urban services, and 43 percent reported increased use of sub-national data to improve geographic selectivity of programs (see Figure 8).

FIGURE 8



One enabler for implementation of the Urban Policy is the 2018 amendment to ADS 201<sup>17</sup> adding a geographic data collection standard. This change allows USAID to better visualize programs at the sub-national level and empowers Missions to map urban and peri-urban areas to improve service delivery, access, and coverage. The benefits of this work will include improving targeting, monitoring, evaluation, learning, and adapting in urban programming, as emphasized in the Urban Policy. For example, the Geocenter is enabling the Agency to use additional data sources to understand the dynamics of urban trends, such as satellite imagery for time series analysis.

Interviewees also reported examples of data being more effectively used to target urban beneficiaries by urban programs. For example, the Indonesia Urban Water, Sanitation, and Hygiene (IUWASH) program, which aimed to increase access to clean water for 2 million people and increase access to sanitation for 250,000 people in 54 cities, is “looking at the number of poor beneficiaries being served... We are adjusting some of the indicators to focus more on where the underserved areas are.” Elsewhere, with Geocenter support, USAID is using proximity analysis, mapping where people are in relation to health facilities, and using data to maximize the effectiveness of malaria insecticide-treated bed nets.

**Monitoring and evaluation remains an area of demand in future implementation of the Urban Policy.** For example, 56 percent of survey respondents felt that they needed skills and/or knowledge of monitoring and reporting to implement the Urban Policy and conduct work in urbanization and urban services. One Washington staff member recommended that the Urban Policy would capture more attention if it addressed the M&E of urban programs and informed urban program design, including proposing “a list of 15 indicators used to measure urban projects successfully and encourage people to use those indicators.”

<sup>17</sup> [Activity Location Data: A Mandatory Reference for ADS Chapters 201 and 579](#)

**Urban data is under-collected.** One specific example given of how the Agency could improve M&E in urban service delivery is by fixing the disproportionately rural sampling frames in its Demographic and Health Surveys (DHS). The DHS are USAID’s national household surveys, a critically important source of data for Missions on general populations, providing data for a wide range of monitoring and impact evaluation indicators in the areas of population, health, and nutrition. There is a perception that the DHS is not capturing “what the poor urban reality is,” and that many USAID Missions are pushing the DHS to prioritize data from rural populations rather than conducting the survey in urban and peri-urban areas.<sup>18</sup>

## C. URBAN PROGRAMMING AND IMPLEMENTATION

### I. OVERVIEW OF URBAN PROGRAMMING

The Urban Policy acknowledges that the definition of “urban” areas varies widely in different country contexts and reflects a range of factors, including population size, higher population density, and concentration of infrastructure. Rather than apply one definition of “urban,” USAID defers to national definitions (as identified by national census authorities), which includes central cities, peri-urban areas, mega-cities, towns, metropolitan areas, and small- and intermediate-sized cities.<sup>19</sup> The Urban Policy suggests that urban programming improves governance, encourages accountability, and bolsters capacity to improve and manage urban service delivery systems. The Policy states that urban programs address the needs of vulnerable populations and ensure sustainability by achieving cost-recovery and building capacity. Finally, the Policy emphasizes that urban programs make mutually reinforcing investments in institutions, governance, citizen engagement, and infrastructure.

**Urban programming is underway in each region where USAID is working,** and 90 percent of survey respondents reported that their Mission/Operating Unit has activities in urban areas. When asked, key informants differed on the details of the definition of urban programming, but largely agreed that urban programs worked in densely populated communities to improve services and strengthen local governance.

**Over 80 percent of Mission respondents said that urban service delivery was an “extremely important” or “very important” challenge to their host country.** Survey respondents and interviewees voiced a high level of interest, enthusiasm, and curiosity about how USAID can address urban issues, and staff in both Missions and Washington were eager for USAID to do more to address the service delivery needs and demands in partner countries.

### 2. ADOPTION AND APPLICATION OF THE URBAN POLICY PRINCIPLES AND APPROACHES

**USAID’s urban programs reflect the four principles in the Policy, but this development is not in direct response to the Policy.** Some interviewees suggested that the principles were grounded in good development practice, but were not confident that the Policy’s focus on these principles had led to their integration in the Program Cycle (“These principles are there, albeit without the urban label”). Some survey respondents report that programs reflect increased focus on strengthening market orientation, local-level democratic governance, and municipal resilience. For example, 58 percent agreed that USAID supports a market orientation and public-private collaboration for urban service delivery. Others noted that transparency was a major priority, through initiatives such

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<sup>18</sup> “Currently, the DHS sampling methodology does not conduct sampling in and around urban centers to a level of being able to easily disaggregate to populations living in informal settlements (“slums”) and other administrative levels (such as peri-urban spaces), thus compromising health and service coverage measurements for these populations.” Source: Request to DHS from USAID Urban Health Working Group, March 2019

<sup>19</sup> USAID, [Sustainable Service Delivery in an Increasingly Urbanized World Policy](#), p. 6

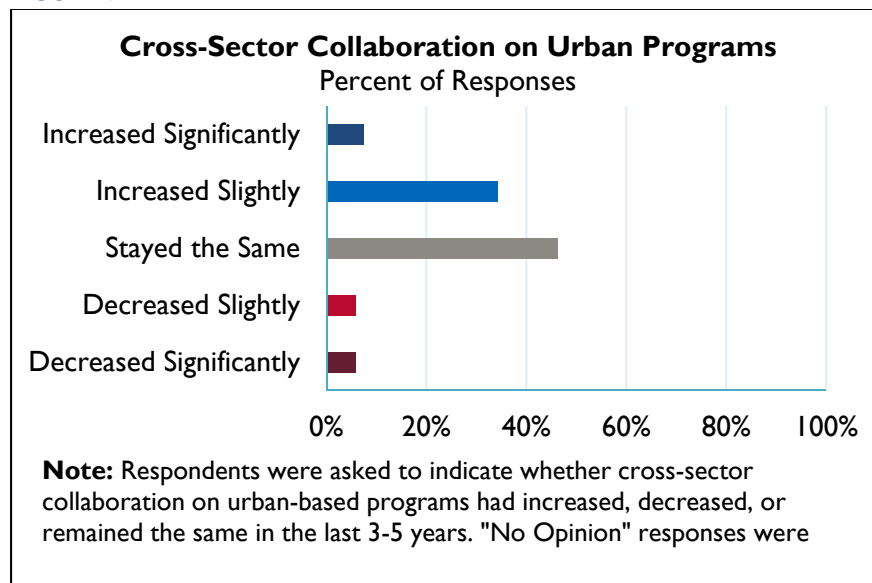
as the Open Government Partnership, a multi-stakeholder initiative that brings together government reformers and civil society leaders to create country action plans that make governments more inclusive, responsive, and accountable.<sup>20</sup> Transparency of local government is highlighted in the Policy as important for accountable public financial management, to safeguard against corruption and misuse of local resources, and to enable community participation in demanding and designing improved service delivery.

With regard to the Policy’s approaches, some saw the Policy itself supporting USAID’s capacity and as enabling urban programming, as 66 percent of survey respondents who had an opinion either agreed or strongly agreed with the statement that “The Urban Policy provides USAID with useful guidance, approaches and principles for its support of sustainable urban services.” However, about 46 percent of all respondents had no opinion, and 14 percent neither agreed nor disagreed with the statement.

### 3. CROSS-SECTORAL URBAN PROGRAMMING

**There is interest in cross-sectoral programming among respondents, with some indications that cross-sectoral collaboration is increasing.** The Policy recommended that USAID should “increase cross-office collaboration to support an urban lens” for USAID initiatives (including the previous Administration’s Global Climate Change,<sup>21</sup> Global Health,<sup>22</sup> and Feed the Future<sup>23</sup> initiatives), and should also strengthen its capacity to provide an “urban optic” for programs across a range of sectors, including microenterprise development, youth programming, and education. As shown in Figure 9, 42 percent of survey respondents said that cross-sector collaboration for urban programs has increased, while 46 percent say it has stayed the same. Interview respondents offered a number of examples of promising cross-sectoral approaches or program examples.

FIGURE 9



<sup>20</sup> For additional information, see [“What is the Open Government Partnership?”](#)

<sup>21</sup> The Global Climate Initiative was designed to help developing countries address climate change while maintaining development gains, with three pillars: Adaptation, Clean Energy, and Sustainable Landscapes.

<sup>22</sup> The Global Health Initiative is a guiding framework to increase efficiency and effectiveness of existing U.S. global health programs, including HIV/AIDS, maternal and child health, family planning, and neglected tropical diseases.

<sup>23</sup> Feed the Future is the U.S. Government’s global hunger and food security initiative, designed to address the root causes of poverty, hunger, and malnutrition.

For example, taking a “place-based approach,” in which integrated USAID programs are grounded in the geographical context—that is, the economic, social, cultural, and institutional characteristics of a city or metropolitan area—has improved service delivery across sectors, built municipal capacity, and created economic opportunities in targeted cities in Honduras. The Afghanistan Mission is taking a cross-sectoral “market centers” approach, targeting assistance in five market towns. The Office of U.S. Foreign Disaster Assistance (OFDA) takes a “settlement approach,” which allows for multi-sectoral, integrated programming and service delivery in defined spaces, in a continuum of populated communities rather than in an urban-rural dichotomy. The Global Climate Change office has worked with Missions’ country teams to build resilience to climate impacts, such as sea level rises, storm surges, heatwaves, and droughts, that affect cities’ physical infrastructure and services.

Other key informants suggested that successful cross-sector urban efforts often “center around the issue of governance, with sectoral programs attached.” In some cases, when DG funding for decentralization and local governance programs dwindled, Missions identified sectoral funds to sustain that type of activity. Many key informants asserted the importance of cross-sectoral programming to address urban issues; as one Washington staff member noted, “in order to be successful in urban, there needs to be strong cross-sectoral integration of programs—water, environment, pollution, etc.” to improve health outcomes and improve urban service delivery.

**Many respondents saw the need to overcome institutional barriers for urban implementation.** These include coordination problems and rigidities of earmark requirements that “make it difficult to merge funding streams.” Several interviewees asserted the need for USAID to overcome the challenges of integrated and cross-sectoral programs. The 20 solicitations sampled in the team’s document review were scored on the extent to which they addressed cross-sector collaboration, and, in a range of 0-3, the average for this sample of solicitations was 1.4, between “limited” and “moderate.” Only three (15 percent of the sample) solicitations extensively addressed cross-sector collaboration, and six (30 percent) did not address cross-sector collaboration at all. This suggests that in practice, barriers still prevent urban programming from integrating across sectors.

**Outstanding examples of cross-sectoral collaboration at USAID include the Philippines Mission and GeoCenter work.** USAID’s Mission in the Philippines has emerged as an exceptional success case in cross-sectoral programming through the Cities Development Initiative (CDI). CDI was developed to address the economic competitiveness and social resilience potential of the Philippines’ rapidly growing secondary cities, and is widely cited as a model that should be replicated.

The Geocenter is one model of a cross-sectoral geographic approach to development that has the capacity to address sustainable urban service delivery; their resources enable USAID to understand “why a program is having better outcomes in one area of a country vis-à-vis another that has the same demographic/environment characteristics.” The Geocenter’s Remote Sensing Program provides high resolution commercial satellite imagery at no cost to USAID and implementing partners as part of a USG inter-agency partnership. The Geocenter staff and other geospatial analysts also use the National Aeronautics and Space Administration’s (NASA) freely available Night Lights Map data, which provides information on human development (a proxy of urban areas) across the globe.

**Cross-sectoral programs typically involve corraling of funding from multiple streams representing various sectors, and cross-sectoral approaches in design, implementation, and evaluation are atypical.** One Washington staff member characterized the priority for urban programming to attract funding as “influence has to happen through other sectors by drawing from other pots of money.” Three examples on how USAID has succeeded in using different funding streams to meet urban goals across regions and sectors are:

1. The Malawi Local Government Accountability and Performance (LGAP) activity, an integrated governance program that receives funds from health, education, and other sectors.
2. WASH-FIN, a global program primarily funded with water and health funds that provides technical assistance services on tracking and mobilizing finance and aims to improve urban water and sanitation (WASH) service delivery. It focuses on building partner country capacity to assess progress, prioritize, and improve performance through improved tracking of financial flows to the sector, while also supporting the mobilization of public and private capital to improve WASH access and service provision.
3. OFDA has frequently worked with Missions to implement disaster risk reduction in urban settings.

#### 4. CAPACITY TO IMPLEMENT URBAN PROGRAMMING

**Perceptions of USAID’s capacity to implement urban programming are mixed.** When asked to indicate whether USAID’s internal capacity constrained or enabled implementation of sustainable urban services programming, survey respondents held divergent views: A plurality (39 percent) perceived USAID’s lack of internal capacity/technical expertise as a constraint on the Agency’s implementation of sustainable urban services programming, while over 28 percent saw capacity and expertise as an enabler. Fifty-four percent of staff surveyed felt that limited implementation guidance, toolkits, or technical assistance constrained, or neither constrained nor enabled, implementation of sustainable urban service delivery programs.

Mission-based staff reported no improvements in relevant capacity in the last five years, noting low bandwidth and gaps in expertise for program design. Some suggested that USAID is not strategically deploying its urban expertise, and thought the dispersion of these experts limits coherent approaches to urban issues. Others perceived USAID’s capacity to be insufficient to support urban programming at a larger scale, to assist countries to execute a higher level of planning and foresight in their institutions, and to address rapid urban development using current methods and tools.

However, while Mission-based staff reported a lack of urban expertise, Washington-based staff suggested that internal capacity is sufficient but dispersed throughout the Agency (“We don’t need a new cadre of staff—we have the people that can do the work”; “We don’t necessarily have urban specialists in large numbers, but we have capable, smart people in the Agency—PhDs, lawyers, etc.—with the ability to learn what it takes to deliver urban programming”). As one Washington staff member put it, “There is a core group of people interested in the subject matter who are working to get other development professionals to think of urban approaches as a viable option as compared to rural-based development. The personnel working on it are an interest working group around the world with diverse perspectives coming from various sectors, such as health, democracy, and environment. This is a strength and challenge.”

**There is high demand and need for staff expertise and capacity building in both Washington and the Missions.** Sixty-four percent of survey respondents rated internal capacity building, training, and technical expertise as important or highly important to more deeply mainstream the urban policy and expand implementation of sustainable urban services over the next five years. One WASH specialist noted that “If you don’t have the right staffing on the ground, folks who know what it means to work in urban areas and work with municipalities, it will be really hard to design programs.” Survey responses suggest that respondents are not aware of the trainings available or that staff trainings on urban and service delivery sustainability analysis have been insufficient; over 82 percent of staff surveyed were not aware of any online or in-person trainings in urban programming. When asked, “How can USAID better support you and your colleagues in achieving the vision of the Urban Policy?,” over 32 percent of respondents cited training and building technical capacity.



Geospatial data analysis and applying open source data to programs is one specific area of capacity that interviewees thought could be strengthened, “We want the entire agency to be able to use geographic data. There is always going to be a small cadre of experts with geospatial expertise that enable others to use that data.” Capacity to carry out the Policy’s recommendation of supporting the adoption of “smart city” technologies<sup>24</sup> also appears to be low, as our document review, survey, and interviews did not identify any smart cities activities.

## 5. FUNDING OF URBAN PROGRAMMING

**Lack of funding, and particularly earmark restrictions on USAID spending, are seen as a substantial constraint** to the implementation of the Urban Policy and of sustainable urban service delivery activities. Nearly half of survey respondents reported that lack of availability of funding for urban services programs highly constrains USAID’s implementation of sustainable urban services activities. Respondents were more likely to identify funding as highly constraining implementation than any other factor. Key informants noted that funding constraints perpetuated the bias toward rural programming, investing disproportionately in small-scale agriculture, and bypassing large, poor urban and peri-urban populations. As one interviewee remarked: “Rural bias as an agency limits us from thinking about how to best leverage resources to have the most impact.”

*“A lot of people get confused with colors of money. You may be doing a health program that has aspects in an urban area, but the money, people and everything is coded as global health. So, sometimes, we miss capturing those programs that might have urban impact simply because of the way we budget or report. There may not be that thought that there is this urban policy that we could link programming to.”*

- Mission Program Officer

Furthermore, over a third of interviewees volunteered that earmarks were a challenge and constraint to the Policy’s implementation. Existing funding streams to support urban programming have been limited and inflexible, according to most respondents, and Congressional or Administration directives for other sectors limit the availability of funding that could be applied to urban programming. For example, one USAID staff member reported that “Historically, we were able to do more work because there were fewer earmarks. This allowed for exploration of areas where there were (urban) financing needs in a given country. Recently, DCA has been approached by a wide variety of actors (e.g. housing developers, investment banks, and affordable housing start-ups), but the office is unable to pursue work with them given the lack of funding tied to urban work...(this) makes it difficult for DCA to structure guarantees that meet urban needs.” One survey respondent suggested that the Urban Policy’s vision could be reflected in each of the Agency available earmarks, but was not interpreted as such; another cited earmark restrictions as the “single biggest factor affecting a mission’s ability to work on urban programming.” However, one USAID leadership-level key informant has reflected on areas of flexibility and entry points to identify funding for urban programs within earmarks and other funding streams, and suggested that there are ample funding opportunities for urban activities. The respondent suggested that funding constraints could be overcome with better understanding and evidence of the tremendous need for improved basic services and the evident potential for investment, job creation, and laying the groundwork for self-reliance in urban programming.

An overview of budget allocations is difficult for urban programming in part due to the challenge of identifying what “urban programming” means. One Washington interviewee noted that calculating the amount of funding that supports the Urban Policy and urban service delivery is extremely difficult

<sup>24</sup> The Policy defines these as “technologies that could improve environmental monitoring, e-governance, information and communications technology access, and real-time transportation management.”

because: “The Agency is doing urban work, but there is no classification...and no definition. It is hard to know how much has been spent in urban areas.” One survey respondent suggested that USAID/Washington needed to learn the “amount of urban programming that is already happening in the field - much of it driven not by USAID priorities or policy, but by in-country context and needs.”

Respondents indicate that urban programs are typically funded through WASH and DRG funding, but other funding streams are becoming relevant. For example, through the Office of Private Capital and Microenterprise and the Global Climate Change Office, USAID joined the multi-donor [C40](#) Cities Finance Facility, in which USAID engaged large-scale infrastructure firms to help cities in developing countries finance infrastructure projects that reduce greenhouse gas emissions and can withstand the impacts of climate change.

## D. LEADERSHIP AND INSTITUTIONAL SUPPORT STRUCTURES

### I. LEADERSHIP SUPPORT AND PROMOTION OF SUSTAINABLE URBAN SERVICES

**Leadership and staff-level informants agree that urbanization and urban service delivery issues are under-appreciated, under-studied, and under-emphasized in the Agency’s personnel and leadership structures.** With a few exceptions, leadership support for urban programming has been lacking.

When asked if the vision of the Policy had been carried out, one Washington staff member noted, “If you want a policy to succeed, you need the right staffing and technical leadership to help drive it. This is important to put (the Policy) in conversation and to prioritize things. You need champions; we don’t have enough of these.”

Staff surveyed and interviewed said that the lack of leadership support affected allocation of resources, messaging, and incentives for staff to implement urban programs. Respondents often attributed this lack of focus on urban issues to the sheer number of priorities, approaches, and requirements USAID staff must address, coupled with the absence of requirements in the Urban Policy.

Of a list of factors necessary for USAID to more deeply mainstream the Urban Policy and expand implementation of sustainable urban services over the next five years, 76 percent of survey respondents named “Level of support for urban services programming from Agency leadership” as of high importance or the highest importance. However, survey respondents had mixed views on their Operating Unit’s leadership prioritization of sustainable urban services; while 34 percent agreed or strongly agreed with the statement, “Promoting sustainable urban services is a priority for leadership in my Mission/Operating Unit,” 33 percent disagreed. Respondents also held mixed views on the extent to which leadership support for urban services programming was an enabler or constraint. In response to a question about the degree to which USAID leadership enables or constrains implementation of sustainable urban services, 40 percent said it was an enabler, and 43 percent said it was a constraint. In this vein, one interviewee suggested that “having a Mission Director that believes in the value of investing in urban areas is associated with a Mission having urban programs.” Another suggested that implementing the Urban Policy “needs to be led from a high level that establishes urban as a priority.”

One of the most prominent examples of leadership support driving Policy implementation and successful support for urban service delivery activities was the Cities Development Initiative (CDI) in the Philippines. Through CDI (which began before the Policy was issued), USAID provides a range of technical assistance, drawing from resources in economic growth, health, energy, environment, governance, and education, to help selected secondary and tertiary cities achieve inclusive and resilient growth. With the Mission Director’s vision and direction, USAID/Philippines strengthened its

programming by being more strategic and focused in pursuit of shared objectives across its portfolio, with resources across earmarks, sectors, and funding streams integrated to implement CDI. However, pointing to the importance of sustained leadership, one interviewee suggested that “retaining the interest in the urban approach has been a challenge for CDI...Without a champion making the case for an urban development approach, it becomes less of a priority.” A more recent example of the importance of leadership support comes from the Global Health Bureau where leadership was a major motivator behind the Broad Agency Announcement (BAA) in 2018 for an Urban Health Research Program and co-creation process for implementation research; this activity will test solutions to address the growing challenges of rapid urbanization and its impact on maternal, newborn, and child health outcomes in poor urban areas of sub-Saharan Africa.

## 2. INSTITUTIONAL SUPPORT STRUCTURES

**USAID’s current institutional structures have not supported the fulfillment of the Urban Policy’s recommendations.** In particular, institutional structures have not supported the expansion of internal capacity, the use of urban assessment tools or technologies to improve service delivery or address the urbanization of poverty, or establishing a senior policy advisor on urbanization to lead urban efforts. One interviewee cited a fundamental institutional constraint to effective implementation of the Urban Policy this way: “USAID and the development sector is slow moving. The urgency of the problems created by urbanization is a challenge.” Others, both in leadership and in staff, saw a major barrier to implementing the Policy in the challenges of finding an institutional “home” within USAID for urban issues, in part because “Urban is a diffuse, cross-cutting concept; it is a geography. It is harder to put parameters around it, as compared to a sector.”

Key informants noted the Urban Team’s shrinking size in recent years as an indication of poor institutional support for the Urban Policy. However, one Washington staff member suggested that the Policy influenced “the organization of the E3 Bureau over time, with structures such as the Urban Working Group and the Land and Urban Office put in place that we did not previously have.” Outside of the Land and Urban Office, DRG and Health teams in Washington and in the Missions, perhaps with an eye to the rapidly growing populations demanding better governance and services, have stepped in to the urban space and integrated the Urban Policy’s principles and approaches throughout the Program Cycle.

**The Making Cities Work contract has served as a useful mechanism for urban programming but has not been fully utilized.** This five-year IDIQ, with a total ceiling of \$650 million, is managed by USAID’s Bureau for Economic Growth, Education, and Environment (E3) Land and Urban Office. It was designed to provide USAID Missions and Washington Bureaus access to short- and long-term technical services, training, and capacity-building in areas related to improving urban and local governance, and support USAID’s implementation of the Agency’s *Sustainable Service Delivery in an Increasingly Urbanized World* policy. Making Cities Work contracts were issued in September 2014 to seven large business-led and three small business-led consortia. Key informants from some Missions and Bureaus perceived that the contract was not backed up with funding or widely accessed training and technical assistance from Washington. While the IDIQ was not as widely known, utilized, or supported as some expected, 14 task orders have been issued from Washington, Asia, Africa, the Middle East, and Latin America, with a total estimated value over \$410 million.

**USAID has not established an official “Senior Policy Advisor on Urbanization and Development,” as recommended in the Policy.** The Policy recommended the creation of a Senior Advisor position to coordinate policy coherence on urban issues across all of USAID and engage with the interagency and in international fora. Most respondents saw a clear distinction between the Urban Team Lead position in E3’s Office of Land and Urban (which provides technical assistance to

Missions and Operating Units and chairs the internal USAID Urban Working Group to coordinate across Operating Units and Missions) and the Senior Policy Advisor role laid out in the Urban Policy. Many interviewees saw the absence of the Advisor position as a key reason for the limited implementation and awareness of the Urban Policy. When asked “in what ways do you see the advisor position potentially advancing the Agency’s work on urban programs, if the Agency were to appoint one?” several interviewees envisioned the Advisor as the main high-level champion to shape the messaging around urban issues for Agency leadership, to create space for USAID staff who have the skills and interest in urban issues to contribute, and to create mechanisms for programming in order to translate the Policy into action. Others similarly saw the Advisor role as one that would drive the Agency to look at urban issues in program design and have a top-level view on how USAID approaches urban programming in different sectors and regions. Another proposed that the Advisor “coordinate other congressionally earmarked policies or mandated requirements to apply urban strategies, priorities, and reporting requirements.”

**The Urban Team’s capacity and resources are highly constrained.** Both Mission and Washington interviewees reported that the E3 Urban Team has provided welcome support—design, informational, procurement—to Missions. Most concluded that the Team’s reach and breadth of technical services is limited due to diminished capacity and resources. Interviewees also noted that these constraints prevent the Urban Team from more effectively coordinating across sectors for urban programming. Others noted that voluntary participation in the sporadic Urban Working Group or in other cross-sector initiatives was not an effective substitute for institutional support structures; one Washington interviewee asserted that “USAID is based on volunteering, but this is not sustainable. Coordination (for urban activities) has to be part of staff responsibilities.”

**The Agency’s past urban institutional structures and funding streams more successfully and directly addressed urbanization and urban service delivery.** According to USAID staff, leadership, and implementing partners with urban program experience prior to the release of the Urban Policy, the Agency’s past urban institutional structures and funding streams far more successfully and intentionally addressed urbanization and urban service delivery. The contrast between that past and the current Agency structures and policy is stark. USAID’s Regional Housing and Urban Development Offices (RHUDOs) were centrally funded, well-staffed with urban specialists (a cadre that has essentially disappeared), and active and influential in Missions around the world. Several key informants who had served in or alongside RHUDOs reported that past experience with the Agency’s institutional structures, or best practices and lessons learned in USAID’s historical urban programming, were not well-integrated in the Policy’s drafting and clearance process, which may have limited the Policy’s uptake by some of the Agency’s urban experts.

While there are no embedded urban experts in Missions to the extent that existed in RHUDOs, some Missions and Bureaus have formally or informally appointed “Urban Points of Contact” or “Urban Advisors,” similar to positions suggested in the Gender and Youth Policies, although this was not specified in the Urban Policy. Of survey respondents, 10 percent reported that their Bureau/Mission had an Advisor or Point of Contact on urbanization or urban services. These are generally USAID staff with an urban planning or related background who can provide technical expertise and introductions to training, guidance documents, and tools available to the Agency.

## **E. LOOKING FORWARD**

In addition to informing USAID of progress, successes, challenges, and lessons learned during the first five years of the Urban Policy implementation, this assessment also intended to identify and recommend actions the Agency could take to improve the effectiveness of implementation of the Urban Policy moving forward. There were also a number of forward-looking sub-questions throughout the main

research questions. This final findings section reflects on emerging trends or recommendations from USAID staff on how to improve policy implementation moving forward.

## I. EMERGING URBAN TRENDS

In addition to asking about the past five years, the assessment also looked into emerging trends and priorities in urban activities. When asked an open-ended question to identify the “most pressing or emerging urban development issues in the country, region, or sector that you are most familiar with,” 55 percent named sanitation, waste management, or WASH, and, in addition, water was specified by 35 percent. About a fifth of survey respondents named increasing urban populations, urbanization, and overcrowding as the most pressing issues. Transportation was specified by 15 percent, followed by almost 14 percent each naming housing and health services. Air pollution, electricity/energy, and land/property issues were also cited as emerging urban development issues. Echoing the Policy, one interviewee noted that the “speed of service provision is behind the speed of urbanization,” and another

pointed to urbanization and population flows in secondary and tertiary cities as a near-future area of emphasis.

### BOX 2: URBANIZATION TRENDS

Current projections show that urbanization, the shift of the human population from rural to urban areas, combined with the overall growth of the world’s population, could add another 2.5 billion people to urban areas by 2050, with close to 90 percent of this increase taking place in Asia and Africa... By 2030, the world is projected to have 43 megacities with more than 10 million inhabitants, most of them in developing regions. However, some of the fastest-growing urban agglomerations are cities with fewer than 1 million inhabitants, many of them located in Asia and Africa. While one in eight people live in 33 megacities worldwide, close to half of the world’s urban dwellers reside in much smaller settlements with fewer than 500,000 inhabitants.

- [UN Department of Economic and Social Affairs, Urbanization Prospects 2018](#)

Massive internal migration in many partner countries, and rural-to-urban migration in particular, is calling attention to the sustainability of systems and service delivery in cities. The most recent World Migration Report from the International Organization for Migration highlights the challenges specific to cities in developing countries, including very rapid population growth and pressures on infrastructure and

basic services, the expansion of slums and peri-urban settlements, and the lack of adequate planning capacity, concluding that “Finding ways to turn internal rural-to-urban migration into a net positive for large cities is becoming increasingly urgent.”<sup>25</sup> Key informants suggested that USAID should prepare internally for this change as well as help prepare cities for the influx of rural populations, particularly in the face of natural disasters, violence, and instability.

One USAID leader offered that USAID staff’s awareness of the prevalence and urgency of rural-urban migration is a strong enabler of the integration of sustainable urban services into USAID’s strategies and programs. Another leader suggested that “cities are ideal starting points” for investing in preparedness and proactively reducing risk and the impact of disasters on human development; that is, following through on the Urban Policy’s principle of municipal resilience in supporting climate-proofing and long-term infrastructure maintenance.

*“Secondary cities are the biggest growth areas in the world...How do we make that growth smart growth? Because if it’s bad growth or dumb growth, we’ll have higher poverty rates, higher infectious and communicable disease rates, higher insecurity, disenfranchisement, lower education and more political insecurity.”*

- USAID Mission Program Officer

<sup>25</sup> World Migration Report 2018 [Infosheet No. 10](#)

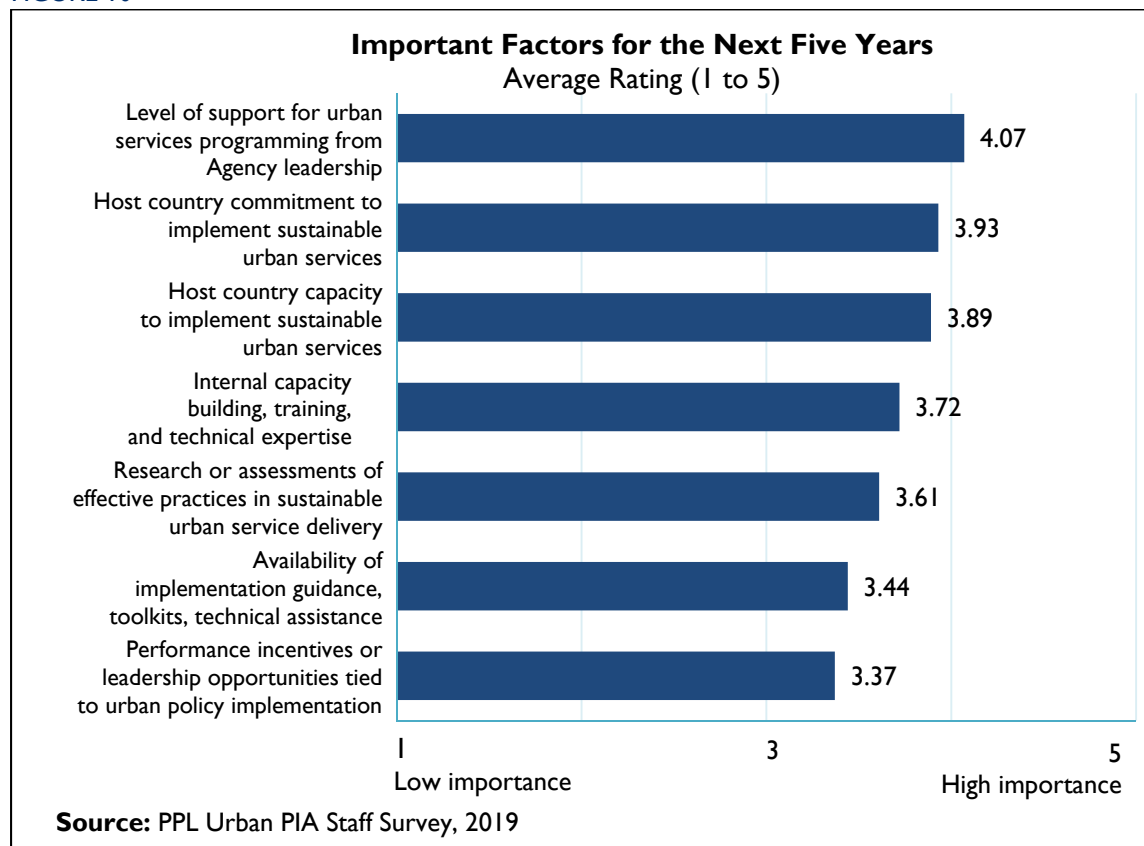
Several interviewees noted issues of governance, accountability, and municipal capacity as critical to continue to address in future programs. Specific services frequently cited included WASH and solid waste management—especially for urban communities that receive large migrant surges, IDPs, and refugees—and ocean plastics, which leads to widely felt negative impacts on communities, industries, and tourism. As urban populations grow, USAID has seen more people accessing private service providers, such as in healthcare, and this private-sector-led service provision will need to be addressed when designing urban service activities.

The Policy Framework also recognizes emerging issues in urbanization facing USAID: “The rapid urbanization that has opened job opportunities and pathways out of poverty for many also concentrates pressures on the environment, service-providers, and the social fabric.”<sup>26</sup>

## 2. LOOKING FORWARD WITHIN USAID

With millions of people moving to urban areas each year, many staff are thinking carefully about how USAID can assist partner countries to address the urban service delivery, infrastructure, and governance challenges they will face. When asked to select the most important factors for USAID to expand implementation of sustainable urban service delivery, Agency staff named leadership support both in Washington and among Mission Directors for urban programming as the most important, with partner country capacity and commitment and USAID’s own capacity and expertise as nearly equally important. See Figure 10.

FIGURE 10



<sup>26</sup> USAID, [Policy Framework: Ending the Need for Foreign Assistance](#), April 2019

### 3. USAID'S URBAN POLICY AND THE JOURNEY TO SELF-RELIANCE

**There are direct connections between the Urban Policy and USAID's Journey to Self-Reliance efforts.** Over a third of interviewees raised these connections when asked about strategic priorities or trends within USAID that could affect how the Urban Policy will be implemented going forward. Many identified overlaps and opportunities for strengthening sustainable urban service delivery and carrying out the Urban Policy's principles in supporting the Journey to Self-Reliance. "The approach in the Policy supports the Journey to Self-Reliance," according to one USAID leader. Urban economic transformation will be critical to most, if not all, partner countries' Journey to Self-Reliance, with current estimates suggesting that more than 80 percent of global GDP is now generated in cities: "As the Agency looks for ways to create stable environments, good democracies, financing, improving the private sector, those are all going to take place in urban areas."

Going forward, some interviewees raised the priority of domestic revenue mobilization, and anticipated that, as one put it, "the urban domain will be the center of this effort, and it will drive a push for urban. This will present opportunities for the integration of the importance of urban for development."

## V. CONCLUSIONS AND LESSONS LEARNED

### A. CONCLUSIONS

A number of enabling factors and constraints have influenced the implementation of the Urban Policy, and present opportunities and challenges for the near term. First, the Urban Policy is centered on principles of developing countries' self-reliance and security, and this focus is ripe for immediate application to USAID's current strategies and programming. Local governments are partnering with USAID Missions in every region to build good governance and service delivery management capacity, with good practice models for improving water, sanitation, and health service provision, as well as local revenue generation and policy reform that will enable cities to maintain and expand those services and infrastructure. USAID's small number of urban experts, while dispersed, are creative and motivated to pursue partnerships with engaged partner countries to address urbanization challenges and very stark gaps in the management, access, and quality of service delivery and infrastructure. Some Missions, Operating Units, and implementing partners have collaborated across sectors and funding streams to strengthen urban service delivery, infrastructure, and local governance and resilience. In those cases, the support of Agency leadership was critical to carrying out the vision of the Urban Policy.

In most cases, however, the Urban Policy's implementation has been constrained by institutional rigidities, limited human resources, inflexible funding allocations, and significant gaps in leadership- and staff-level buy-in. Very few of the Policy's recommendations have been executed; USAID has inconsistently elevated accountable, pro-poor urban service delivery models, and it has not established the Senior Policy Advisor on Urbanization and Development position, held regular policy discussions with urban stakeholders, or expanded capacity for leading with an "urban lens," conducting urban assessments, or providing technical assistance. To be sure, partner countries have not always consistently prioritized implementation of inclusive and sustainable urban services and planning, which constrains development outcomes and opportunities. But USAID's internal constraints have been far more influential in limiting the Agency's own potential to help countries and communities build capacity, resilience, and maintain and expand service delivery and access. Implementation of the Policy is not reaching its potential given the lack of awareness of and reference to the Policy and related guidance and training. Staff tasked with programming substantial urban service delivery, as well as staff in Missions where the worsening of urban poverty and inadequate service delivery are major concerns, are generally unaware of the Policy or are not incorporating urbanization and sustainable service delivery in the Program Cycle.

If USAID can elevate its urban leadership, facilitate and encourage cross-sector programming, and adapt resources to meet these challenges, it will be ready to empower partner countries to tackle the capacity and service delivery challenges they face today, to lay the groundwork for the investment, productivity, and economic growth that can be led by cities, and to prepare for the anticipated exponential future urban growth throughout the developing world.

## **B. LESSONS LEARNED**

In conducting this assessment, several lessons learned about USAID’s policy process can inform future Agency policy and strategy efforts. First, the drafting and consultation process undertaken to produce the Urban Policy was generally thorough and thoughtful, but the process of disseminating, socializing, and updating the Policy does not appear to have been as deliberate or extensive, and that follow-through is critical to socializing a Policy document. Neither the Policy nor the issues it raised appear to have been widely seen in trainings, orientations, or Agency-wide communications.

Second, policies should address the historical experience and lessons learned by USAID; in this case, the Agency’s record in supporting and prioritizing urban development was not well-integrated in the Policy, and the Policy did not have buy-in from some of the Agency’s most experienced and knowledgeable urban champions. These issues and, critically, the lack of broad demand for the Policy at the time (despite significant interest in urban issues) may have diminished the potential for the Policy’s uptake.

Third, the consultation process appears to have unrealistically raised some expectations among external stakeholders that urban issues would be reprioritized at USAID, but after the Policy was released, the internal advocacy, training, funding, and mandate to elevate urban issues, or to provide an “urban optic” for programs and projects across sectors as the Policy recommended, did not rise above other Agency priorities. The leadership, staff, structures, and funding to execute the Policy could not meet those expectations.

Finally, USAID staff find that effective policies are accompanied by actionable and practical guidance, and in the views of some key informants, the Urban Policy was not well-institutionalized, particularly in Missions, because it was not seen to be readily actionable. The experience of the Urban Policy would suggest that policies without requirements, any associated funding (even for pilot activities, training, dissemination, guidance documents, or capacity building), and a small, stretched Washington technical office, are not set up for a successful implementation.

## **VI. RECOMMENDATIONS**

As the Urban Policy recognized, rapidly growing urban populations need sustainable services, the capacity of local governments is strained, and urban poverty is accelerating. While USAID’s resources are substantial, they are insufficient to provide solutions to development challenges associated with urbanization and urban service delivery globally. These solutions will ultimately come from actors of various types and at various levels within the countries themselves. But USAID can and should play a more effective role in partnering for solutions to these complex challenges.

The following recommendations suggest how USAID could update and build on the Urban Policy to address those issues and capitalize on cities as engines of growth and opportunity. USAID can take several steps to address at least some of the fundamental constraints to the implementation of the Urban Policy, even within the scope of existing resources and capacity.



With leadership buy-in, vision, and engagement, there are clear paths to elevate the Policy, and to raise awareness of both the Policy and the evidence pointing to the acceleration of urbanization and the potential for a more urban-conscious programming that can help countries advance toward self-reliance. There are already foundations of institutional structures that could transform how USAID works in cities toward the goal of sustainable urban service delivery. There is room to inform each step of the Program Cycle with urban data, and operationalize the Urban Policy with tools, guidelines, and research-based models to strengthen urban service delivery. With these inputs, and urban-centered training, USAID can facilitate the expansion of the Agency’s urban expertise, and enable Missions and Operating Units—beyond the core Urban team and Expert Working Group—to have access to resources to understand this issue and incorporate it into their work.

These conclusions both reflect and align with the recommendations USAID staff offered in the anonymous survey. When asked “How can USAID better support you and your colleagues in achieving the vision of the Urban Policy?” USAID Washington and Mission staff respondents most frequently offered recommendations to enhance the following:

- Awareness, visibility, and socialization of the Urban Policy, alongside communications and outreach;
- Leadership support, Agency prioritization, and integration of the Urban Policy in the Program Cycle;
- Guidance/tools/structures for implementation and capacity building/technical assistance; and
- Funding (particularly to improve funding flexibility).

Our recommendations are briefly summarized below.

#### **I. Raise awareness of the Urban Policy and urbanization trends/issues**

- **Use evidence and data to elevate the Urban Policy and urban issues.** There is ample data and evidence that speaks to the importance of urbanization and urban issues for a country’s development journey. As it seems that many staff are unfamiliar with these trends or the scale of urban growth anticipated in many USAID partner countries, USAID should make the evidence more accessible and relevant to the field, and tie urbanization issues to sectors that are already well placed in countries. The capacity of the GeoCenter could be leveraged in this effort. USAID may now be able to use the higher quality data and evidence available to apply a consistent data standard across USAID to define “urban.”
- **Facilitate stronger Agency-wide data collection and understanding about urban programming.** USAID should consider revisiting past efforts to identify and codify a standard foreign assistance indicator (an “F” indicator) on urban or urban service delivery to measure performance in urban programming. Alternatively, the State Department Office of U.S. Foreign Assistance Resources could add a “Key Issue” on programming in urban areas. Either approach would raise visibility and awareness of the Urban Policy, and would help capture less visible urban programs that are taking place that are coded by sector rather than by geography in USAID’s learning and analysis.
- **Elevate attention to urban issues and approaches across sectors.** USAID should tailor messaging to different sectors, with a focus on how an urban approach strengthens impact outcomes and reaches larger populations. For example, this could include “road shows” to raise the profile of urban issues and case studies featured in sector meetings or events, particularly in global, multi-disciplinary USAID events such as the environment officers conference, and the WASH conference. Urban issues are particularly relevant for economic growth. USAID should conduct analyses of cities’ competitiveness, and of the investments the private sector is making in cities, and highlight how cities drive economic development and create and attract jobs—that the economic future is urban. Furthermore, there should be an

increased focus on transmission of disease in highly populated urban areas; there are major risks in under-serviced high-density communities, and the greatest burden and threat of diseases such as cholera and tuberculosis are largely in urban settings throughout the world.

- **Elevate Agency-wide attention to urban issues and better articulate the alignment between Agency priorities and urban approaches.** The suggested approaches laid out in the Urban Policy (supporting political and financial sustainability, promoting the use of markets and public-private partnerships, ensuring inclusive service delivery models, and enhancing resilience) are all highly aligned with USAID’s policy priorities and Policy Framework. This is an opportune time to better articulate how strengthening sustainable urban service delivery and carrying out the Urban Policy’s principles is critical to supporting partner countries in their Journey to Self-Reliance. This could be done in myriad ways, ranging from spotlighting urban service delivery in a Front Page article, to addressing the Mission Directors Conference to raise understanding of urbanization and urban issues affecting millions of people, to more consistently communicating the importance of USAID’s urban work internally and externally.

## 2. Enhance Integration of the Urban Policy and Urban Issues in the Program Cycle and Strategic Planning

- **Provide tools and guidance.** Both Washington and Missions need tools and guidance documents to more effectively consider how addressing urbanization and sustainable urban services helps achieve development objectives in CDCSs, PADs, and solicitations. Additional guidance is needed to carry out urban assessments and urbanization strategies and to apply those tools in the program cycle. For example, the Geocenter could develop guidance and tools for using geospatial data in urban assessments and urban programming.
- **Prepare criteria to help Missions identify when an urban assessment would be most relevant,** such as the rate of urban population growth, particularly in secondary and tertiary cities.
- **Improve access to urbanization and service delivery data** to measure progress in advancing the Policy, including through capitalizing on and linking to relevant Self-Reliance Metrics and secondary metrics. This is also critical to grounding decisions made in the Program Cycle and strategic planning in country-specific and locality-specific data to target activities and more proactively support municipal resilience and financial sustainability.

## 3. Build USAID’s Capacity and Expertise on Urban Programming and Implementation

- **Pilot more holistic, place-based approaches,** or settlements approaches, to design cross-sectoral urban governance programs with linkages to all of USAID’s investments.
- **Design training and tools** that help staff assimilate USAID’s urban experience into their thinking, designs, and implementation, with content that is broad enough to show generalists or experts in other sectors why urban issues matter to them.
- **Create guides and evidence-based documentation** to help Missions easily absorb urban information. Share tools, success stories, and trend analyses, using Agency notices and websites like UrbanLinks, ClimateLinks, and LandLinks.
- **Integrate urban considerations and approaches into the curricula of existing trainings and orientations, and develop new urban trainings.** With urbanization and urban service delivery being such prevalent, cross-cutting issues facing partner countries, it would be beneficial to incorporate the Urban Policy into the Foreign Service Officer onboarding training and orientation materials. Additionally, given the need for greater internal capacity, USAID should create an urban primer course (Urban 101), and deliver trainings that earn participants credits toward AOR/COR certification. Sectors such as DRG, GCC, GenDev, and Global Health should collaborate with the Urban Team to incorporate the Urban Policy and urban issues in sectoral training and increase awareness of the Urban Policy.

- **Activate urban planning alumni networks in the United States and partner countries.** Graduates of U.S. and international urban planning programs bring outstanding skills and training back home in USAID partner countries. USAID should capitalize on this resource to bring this expertise to bear in its activities and raise the visibility of urban issues and solutions.
- **Pilot local internship programs in urban activities.** USAID local government programs have successfully sponsored local interns embedded both within project staff and in local government administrations. These activities could be replicated in other urban programs, such as water and sanitation activities, to build local knowledge and capacity in institutions in need of human capital and skills.

#### 4. Strengthen Leadership and Institutional Support Structures

- **Appoint a high-level Senior Advisor on Urbanization and Development.** A high-level champion and advocate is needed to fulfill these recommendations and carry out a coordinating function across regional Bureaus and Operating Units.
- **Expand the capacity of the Urban Team to provide technical assistance and training, and build up the Urban Working Group and other coordination mechanisms.** To more efficiently and coherently address urban service delivery, USAID should invest in urban expertise and convening power to build commonality among different streams working on urban populations on education, health, and other basic services, and convene champions to take a more strategic approach to urban programming.
- **Address misunderstood constraints on earmarked funding and identify areas of funding flexibility.** Using examples such as the Philippines' CDI and Malawi LGAP, USAID should clarify how sectoral and earmarked funding can be applied to urban programming. For example, the Agency should explain how market-based approaches in urban areas are relevant to Feed the Future initiatives, where larger populations, lower costs of business, and higher profit margins are possible in urban and peri-urban areas.
- **Identify Urban Points of Contact (POCs) in OUs/Missions where these issues are determined to be highly relevant.** Develop criteria for determining the urgency and significance of urban issues in partner countries and in meeting USAID development objectives that will trigger the establishment of an Urban POC. Empower and train these staff to help others figure out how to do urban work within existing constraints and mechanisms, particularly in the most rapidly urbanizing contexts.

# ANNEX A: ASSESSMENT OVERVIEW AND RESEARCH QUESTIONS

## BACKGROUND CONTEXT

Starting in 2015, USAID's Policy Office within the Policy, Planning and Learning Bureau (PPL/P) took a leadership role in the policy assessment process. A policy implementation assessment is a rigorous research analytic process undertaken to better understand what, if any, changes a policy document and related work have made in Agency programming and processes. The assessment measures successes and roadblocks to implementation of the policy, and examines whether progress has been made in achieving the Policy's goals. Assessments of policies and strategies should be carried out approximately every five years after release. USAID's Urban Policy, titled "Sustainable Service Delivery in an Increasingly Urbanized World," was launched in October 2013, and therefore has been selected for an implementation assessment that will extend from October 2018 through June 2019.

In support of PPL/P, LEARN was responsible for the Urban Policy research through a methodological approach that included quantitative and qualitative analyses of the design and implementation of the USAID Urban Policy. The assessment also included desk research.

## ASSESSMENT OBJECTIVES

The objectives of the Urban Policy Implementation Assessment were to:

- Inform USAID of progress, successes, challenges, and lessons learned during the first five years of the Urban Policy implementation.
- Generate knowledge about policy implementation processes to inform other Agency policy and strategy efforts.
- Identify and recommend actions the Agency could take to improve the effectiveness of the Urban Policy for the next five years.

## ASSESSMENT RESEARCH QUESTIONS

The following research themes and associated sub-questions were used to guide an assessment of the Agency's "Sustainable Service Delivery in an Increasingly Urbanized World" Policy.

### I. AWARENESS OF THE URBAN POLICY

- What is the level of awareness, socialization, and understanding of the policy among USAID staff [and partners]?
- What is the level of awareness, socialization, and understanding of the issues and recommended approaches among USAID staff [and partners]?
- What have been the successes and challenges encountered in promoting awareness of this vision?
- To what extent is the Policy itself or implementation actions outlined in the Policy the reason for the awareness? What other factors have promoted awareness?
- To what extent and how has Agency leadership (e.g., in Washington OUs/Mission) identified and promoted sustainable urban services as important to achieving development objectives?
- To what extent and how has USAID carried out the vision of the Urban Policy, to promote service delivery that attains large-scale benefit to urban residents in a sustainable manner over the long-term?
- Which aspects of urbanization or urban services are receiving particular attention as pressing and/or emerging issues (e.g., urban and slum population growth, urban poverty, etc.)?
- To what extent and in what ways are pressing or emerging issues (and associated approaches) distinct from a focus on sustainable urban services?

## 2. INTEGRATION INTO PROGRAM CYCLE AND STRATEGIC PLANNING

- How and to what extent has attention to urbanization and sustainable urban services been identified as a priority within Program Cycle processes and documents focused on strategic planning?
- To what degree and in what ways have country and regional strategic planning processes (e.g., CDCSs or RDCSs) integrated attention to urbanization and sustainable urban services, including in development objectives?
- To what degree and in what ways has project design (e.g., PADs) integrated attention to urbanization and sustainable urban services?
- To what degree and in what ways have other strategy and guidance documents (e.g., other sector guidance or higher level policy documents) integrated attention to urbanization and sustainable urban services?
- What have been the successes and challenges encountered in integrating these issues into strategic planning?
- Has this changed since the publication of the Policy?

## 3. URBAN PROGRAMMING AND IMPLEMENTATION

- To what extent has programming focused on sustainable urban services or urban issues more broadly been expanded or improved over the last five years? To what degree is this programming aligned with the policy or attributed to the Policy?
- To what extent have the principles outlined in this policy<sup>27</sup> provided a useful framework and been used in policy implementation? What was missing, if anything?
- What factors have enabled the implementation of sustainable urban services in line with policy principles?
- What factors have been barriers or constraints to sustainable urban services programming in line with policy principles?
- What are some examples of USAID successfully supporting sustainable urban service delivery, what does that look like? What factors have enabled this success?
- To what extent does USAID have internal capacity and resources in both Washington and the Missions to implement the policy? Has staff capacity relevant to policy implementation changed or improved since the release of the Policy?
- What guidance documents, how-to notes (toolkits), sample procurement language, or implementation guidelines been developed to accompany the Policy? To what extent have these been utilized successfully in the field?
- What trainings have been developed to assist with implementation? What has been their reach and usefulness (from the perspective of trainees)?
- What have been the main sources of guidance about budgeting and funding urban programming (within and across sectors)?
- What have been the main successes and challenges around funding USAID's urban priorities?
- What are gaps in staff capacity in both Washington and the field and priority needs for enhanced capacity-building?
- How prominent or successful have cross-sectoral approaches been in relation to sustainable urban services?
- How has monitoring, evaluation, and learning contributed to adaptive approaches or enhanced programming in relation to sustainable urban service delivery? What tools and approaches have been promoted and utilized to support Monitoring, Evaluation, and Learning (MEL) and/or Collaborating, Learning, and Adapting (CLA)?

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<sup>27</sup> 1) ensuring political and financial sustainability; 2) advancing accountable, pro-poor service delivery models; 3) fostering market orientation and public-private collaboration; and 4) supporting municipal resilience

#### 4. LEADERSHIP AND INSTITUTIONAL SUPPORT STRUCTURES

- To what extent does USAID have in place the needed personnel and leadership structures in both Washington and the Missions needed to achieve the vision and suggested approaches identified in the Policy?
- What role has the urban team/senior urban advisors played in supporting policy coherence and engagement?
- Has a Senior Policy Advisor on Urbanization and Development been appointed? If not, why not?
- What are the strengths of personnel and leadership structures in both Washington and the Missions? What are the challenges or barriers that have affected or constrained personnel or leadership structures?
- What incentives are in place to support sustainable urban services?
- Are there good examples of partnerships across offices and sectors within USAID, such as with the Geocenter? What factors or mechanisms have supported such coordination and/or collaboration?
- Has the Policy been useful for coordinating with stakeholders outside of USAID? (e.g., with the private sector, international community, etc.)

#### ASSESSMENT METHODOLOGY OVERVIEW AND TRIANGULATION

Consistent with the methodological recommendations for USAID’s Policy Implementation Assessments, the assessment team used a combination of qualitative and quantitative methods to address the research questions including:

- 1) Semi-structured interviews with USAID staff and implementing partners;
- 2) A review of documents from each stage of the Program Cycle; and
- 3) A quantitative survey administered to USAID Washington and Mission-based staff.

Triangulation of data served both as a way to capture different dimensions of implementation of the Urban Policy, as well as an avenue to cross-validate findings. See Table A1.

TABLE A1. TRIANGULATION OF DATA SOURCES

Research Area	USAID Washington Staff Interviews	USAID Mission Staff Interviews	Implementing Partner Interviews	USAID Staff Survey	CDCS Review	PAD Review	Solicitation Review
Awareness of the Urban Policy	X	X	X	X			
Integration into Program Cycle and Strategic Planning	X	X	X		X	X	X
Urban Programming and Implementation	X	X	X	X	X	X	X
Leadership and Institutional Support Structures	X	X		X			

## **ANNEX B: METHODOLOGY AND SUMMARY OF RESPONDENTS FOR KEY INFORMANT INTERVIEWS**

### **KEY INFORMANT INTERVIEW METHODOLOGY**

The primary methodology for the assessment consisted of semi-structured interviews with USAID staff and implementing partners.

During the research design phase, the assessment team conducted preliminary interviews with stakeholders to gain insights into the goals of and context for USAID's Urban Policy. The team conducted pre-assessment interviews with three members of the Urban Policy's Policy Task Team (PTT) (who drafted the Policy in 2012-2013) and the E3 Urban Team, the CEL project, and one senior USAID urban expert. The team introduced the policy implementation assessment to the Urban Working Group in November 2018.

Between December 19, 2018 and March 15, 2019, the assessment team conducted key informant interviews with stakeholder groups comprising USAID staff and implementing partners in Washington, DC, and USAID Mission staff. All but two interviews with Mission-based respondents were conducted by phone.

Respondents were identified using snowball sampling and selected to maximize coverage of Bureaus, Missions, offices, and sectors. Additionally, the interview sample represented various levels of seniority in the Agency. The sampling strategy focused on identifying respondents expected to have a high degree of familiarity with USAID's Urban Policy and programming; however, the final sample included staff with varying degrees of familiarity with the subject matter, as the assessment team asked initial interviewees for suggestions of other potential interviewees with views or experiences that might be different from their own. Furthermore, in some cases the interviewees suggested by others in this snowball approach had less familiarity with urban programming and the Urban Policy than expected.

The consultants conducted the interviews independently—without the presence of PPL/P staff—in order to avoid biased responses to interview questions. Each interview lasted 60 minutes on average and was conducted using interview protocols the assessment team developed for the appropriate stakeholder group. The interviewers sought informed consent for respondents to participate in the study, including consent for recording, data use, and sharing. The assessment team analyzed interview data for overarching and recurrent themes, perceptions, assumptions, concerns, and recommendations. The consultants also examined variations among interviewees, such as those between Washington and Mission staff and between staff who joined the Agency before and after the release of the Policy in 2013.

### **SUMMARY OF RESPONDENTS**

The team interviewed a total of 72 respondents distributed as follows: 39 Washington staff, 6 of which were at leadership levels; 22 Mission staff; and 11 implementing partner organization staff members from four organizations. The sample covered respondents from 17 Missions across 5 regions, including 2 at the leadership level (e.g., Mission Director). The Washington DC staff covered 11 Bureaus and Operating Units, including respondents from four Regional Bureaus, four Pillar Bureaus, and two Central Bureaus. The sample of interview respondents is further detailed in the following tables.

TABLE B1. WASHINGTON-BASED BUREAUS/OPERATING UNITS

Bureau	Office
<b>Bureau for Africa</b>	<ul style="list-style-type: none"> <li>● Office of Development Planning</li> <li>● Power Africa</li> </ul>
<b>Bureau for Asia</b>	
<b>Bureau for Latin America and the Caribbean (LAC)</b>	
<b>Bureau for the Middle East</b>	
<b>Bureau for Food Security (BFS)</b>	
<b>Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA)</b>	<ul style="list-style-type: none"> <li>● Office of Conflict Management and Mitigation (CMM)</li> <li>● Center of Excellence on Democracy, Human Rights and Governance (DRG)</li> <li>● Office of U.S. Foreign Disaster Assistance (OFDA)</li> <li>● Office of Transition Initiatives (OTI)</li> </ul>
<b>Bureau for Economic Growth, Education, and Environment (E3)</b>	<ul style="list-style-type: none"> <li>● Development Credit Authority (DCA)</li> <li>● Energy and Infrastructure Office (E3/E&amp;I)</li> <li>● Office of Gender Equality and Women's Empowerment (GenDev)</li> <li>● Office of Land and Urban (LU)</li> <li>● Water Office</li> <li>● Education Office</li> <li>● Office of Economic Policy (EP)</li> <li>● Office of Global Climate Change (GCC)</li> <li>● Office of Private Capital and Microenterprise</li> </ul>
<b>U.S. Global Development Lab</b>	<ul style="list-style-type: none"> <li>● Geocenter</li> </ul>
<b>Bureau for Global Health</b>	<ul style="list-style-type: none"> <li>● Office of Health Systems (GH/OHS)</li> <li>● Office of Maternal and Child Health and Nutrition (GH/MCHN)</li> </ul>
<b>Bureau for Policy, Planning, and Learning</b>	
<b>Office of the Administrator</b>	

TABLE B2. MISSIONS (BY REGION)

Region	Country
<b>Africa</b>	<ul style="list-style-type: none"> <li>● Malawi</li> <li>● Mali</li> <li>● South Africa</li> </ul>
<b>Asia</b>	<ul style="list-style-type: none"> <li>● Kazakhstan</li> <li>● Nepal</li> <li>● Philippines</li> <li>● Vietnam</li> </ul>
<b>Europe and Eurasia</b>	<ul style="list-style-type: none"> <li>● Serbia</li> </ul>
<b>Latin America and the Caribbean</b>	<ul style="list-style-type: none"> <li>● El Salvador</li> <li>● Guatemala</li> <li>● Haiti</li> <li>● Honduras</li> </ul>
<b>Middle East</b>	<ul style="list-style-type: none"> <li>● Egypt</li> <li>● Jordan</li> <li>● Tunisia</li> <li>● Morocco</li> </ul>
<b>Afghanistan and Pakistan</b>	<ul style="list-style-type: none"> <li>● Pakistan</li> </ul>



# ANNEX C: METHODOLOGY AND RESULTS FOR COUNTRY/REGIONAL DEVELOPMENT COOPERATION STRATEGY (CDCS/RDCS) DOCUMENT REVIEW

## CDCS/RDCS SCREEN

### I. METHODOLOGY FOR CDCSs/RDCSs SCREEN

We reviewed all of the 61 active Country Development Cooperation Strategies<sup>28</sup> (CDCSs; n=53) and Regional Development Cooperation Strategies<sup>29</sup> (RDCSs; n=8). The CDCSs and RDCSs were released between 2011 and 2018 [2011 (n=6); 2012 (n=10); 2013 (n=14); 2014 (n=14); 2015 (n=11); 2016 (n=5); 2017 (n=1)] and represented all regions, except OAPA [Africa (n=23); Asia (n=12); LAC (n=12); E&E (n=9); ME (n=5)].

The CDCSs and RDCSs were screened for attention to urban issues with the question: “To what extent does the CDCS or RDCS discuss urbanization and/or urban service delivery?” A score from 0-3 [i.e., Minimal, Limited, Moderate, Extensive] was assigned to each CDCS and RDCS by considering both the number of times a list of urban-relevant key words appeared in the document and a brief qualitative review of the Results Framework and context surrounding the key words.

The key words were:

- Urban/urbanization/peri-urban
- Municipal/municipality/municipalities
- City/cities
- Sub-national/sub-national
- Local government
- Service delivery

### 2. RESULTS FOR CDCSs/RDCSs SCREEN

The results of the screening question are captured in Table C1. The majority of the CDCS/RDCS sample (61 percent) contained either minimal or limited discussions of urbanization and/or urban service delivery, with 15 percent containing a moderate discussion and 25 percent containing an extensive discussion. This pattern was seen in CDCSs/RDCSs released before/concurrent with the policy as well as after the policy: for both, the most prevalent score was limited, followed by similar percentages of minimal and extensive and fewer moderate scores (see Table C2).

**TABLE C1. DISCUSSION OF URBANIZATION AND/OR URBAN SERVICE DELIVERY IN CDCSs/RDCSs**

<b>Score (0-3)</b>	<b>Number of CDCSs/ RDCSs (n=61)</b>	<b>Percent of CDCSs/ RDCSs</b>
(0) Minimal—urbanization and/or urban service delivery are barely mentioned in the CDCS or RDCS	16	26
(1) Limited—urbanization and/or urban service delivery are mentioned in the CDCS or RDCS only in the context of other issues	21	35

<sup>28</sup> A CDCS is the strategy that defines a Mission’s chosen approach in country and provides a focal point of the broader context for projects and activities. A CDCS presents expected results within a time-defined period, provides a common vision and an organizing framework, and summarizes the status of the ongoing portfolio and how that will be continued, updated, or revised to address new priorities, lessons learned, or changing circumstances. The CDCS is usually five years long (ADS 201).

<sup>29</sup> A RDCS is a strategy similar to a CDCS for a regional platform or program.

<b>Score (0-3)</b>	<b>Number of CDCSs/ RDCSs (n=61)</b>	<b>Percent of CDCSs/ RDCSs</b>
(2) Moderate—urbanization and/or urban service delivery are mentioned as an issue in the CDCS or RDCS, but the discussion is not extensive	9	15
(3) Extensive—urbanization and/or urban service delivery are discussed extensively in the CDCS or RDCS	15	25

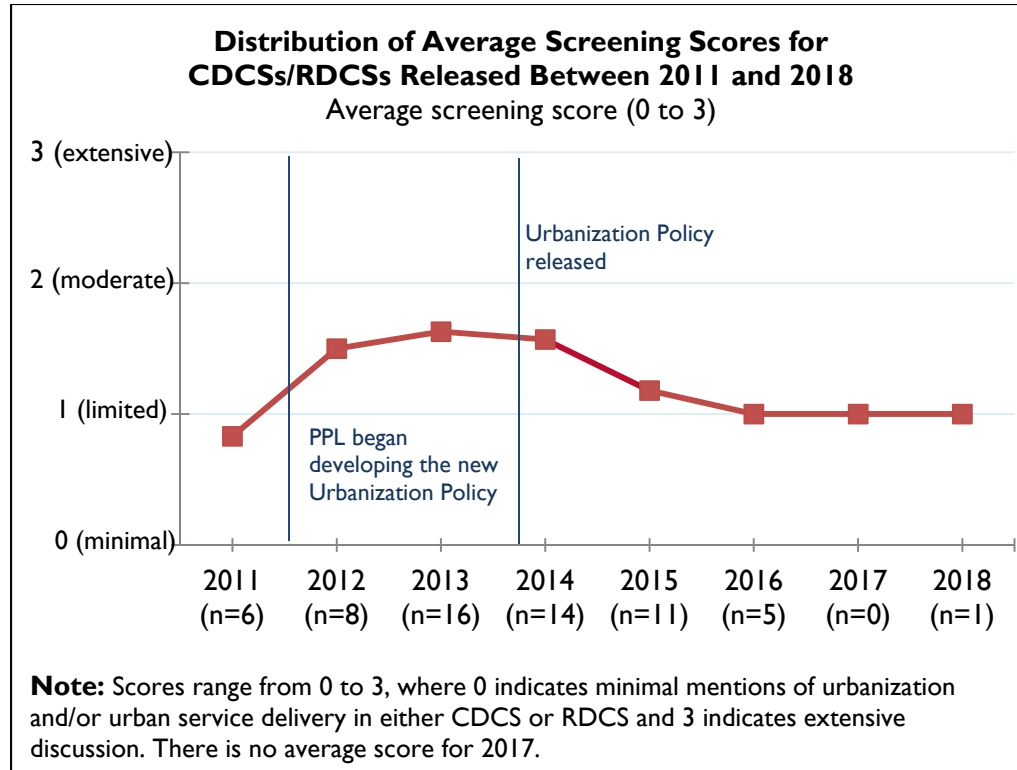
**TABLE C2. DISTRIBUTION OF SCORES FOR CDCSs/RDCSs BEFORE AND AFTER URBAN POLICY'S RELEASE**

<b>Score (0-3)</b>	<b>Percent of CDCSs/ RDCSs 2011- 2013 (Before/concurrent with Urban Policy release)</b>	<b>Percent of CDCSs/ RDCSs 2014 - 2018 (After Urban Policy release)</b>	<b>Relative change from before/concurrent with Urban Policy release to after policy release</b>
(0) Minimal—urbanization and/or urban service delivery are barely mentioned in the CDCS or RDCS	23	29	Slight increase
(1) Limited—urbanization and/or urban service delivery are mentioned in the CDCS or RDCS only in the context of other issues	33	35	Slight increase
(2) Moderate—urbanization and/or urban service delivery are mentioned as an issue in the CDCS or RDCS, but the discussion is not extensive	20	10	Decrease
(3) Extensive—urbanization and/or urban service delivery are discussed extensively in the CDCS or RDCS	23	26	Slight increase

## Temporal Trends

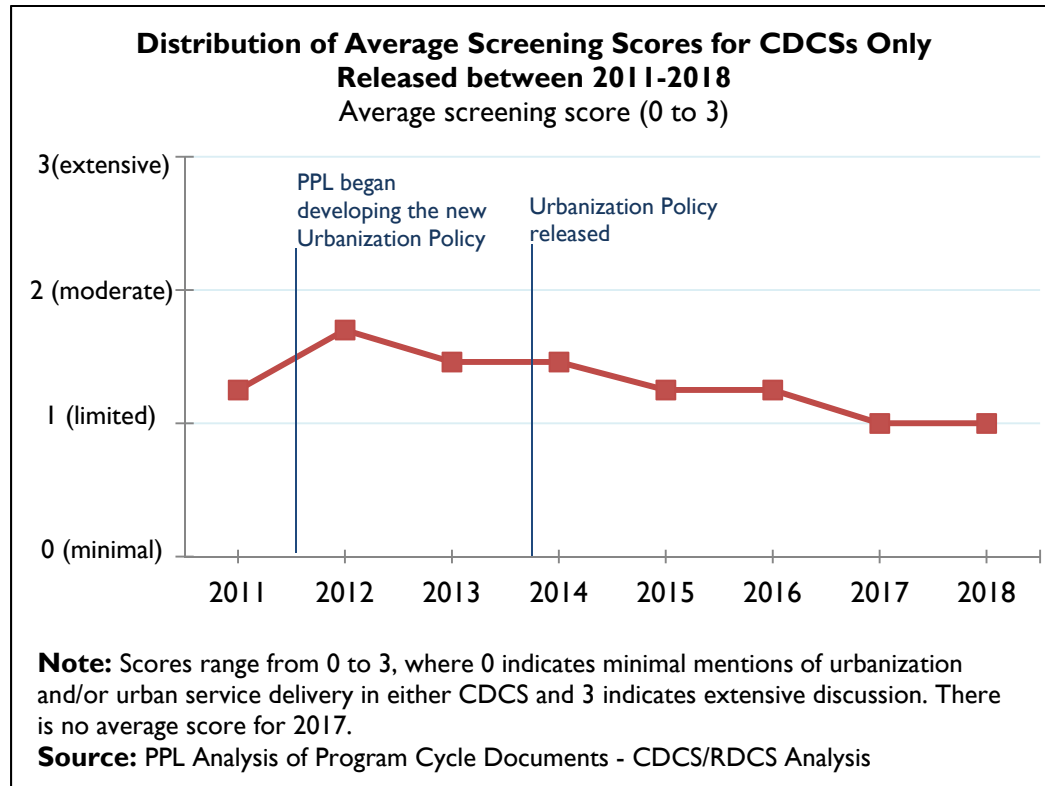
We next examined temporal trends in how urbanization and urban service delivery are discussed in CDCSs and RDCSs by considering average scores in a given year (see Figure C1). The overall average score across all years was 1.38, with the three highest scores being in 2012 (1.50), 2013 (1.63) and 2014 (1.57) (between limited and moderate) while years before and after had average scores close to 1 (limited).

FIGURE C1



Since RDCSs vary more in form and can be more sectorally focused than CDCSs, we also examined the averages for CDCSs only and found a slightly different trend line, with an apparent downward trend in average scores following the release of the Urban Policy in late 2013 (See Figure C2).

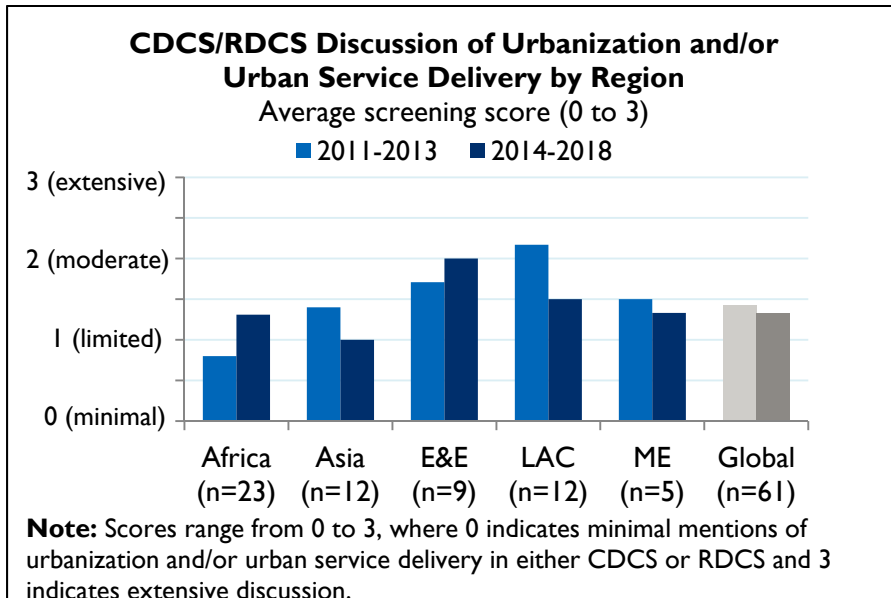
FIGURE C2



### Breakdown by Region

Overall E&E and LAC regions had the highest average scores on the screening question averaged across all years (average of 1.8 for both E&E and LAC, compared to average scores of 1.4 for ME, 1.2 for Asia, and 1.1 for Africa). However, regional scores varied before/concurrent with the policy and after the policy release (See Figure C3). Before/concurrent with the policy, the highest average scores were in LAC (2.2), followed by E&E (1.7), ME (1.5), and Asia (1.4), with Africa receiving the lowest scores (0.8). After the policy release, the highest scores were found in E&E (2), followed by LAC (1.5), Africa and ME (both at 1.3), and lowest scores in Asia (1). In summary, average scores in Africa and E&E increased while average scores in Asia, LAC, and ME dropped after the policy's release.

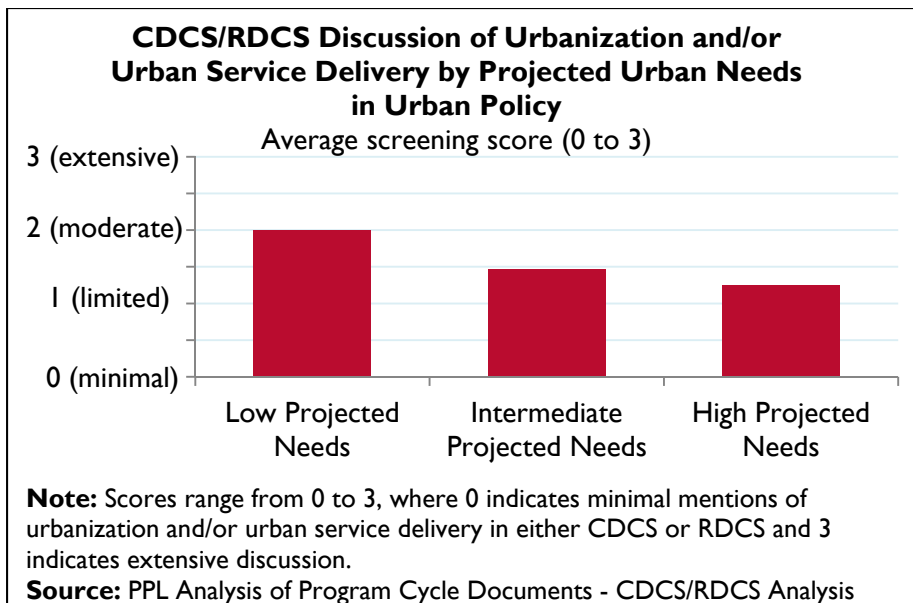
FIGURE C3



**Breakdown by Projected Level of Need**

Finally, because the policy projects levels of need for urban services in USAID countries 2010-2025 (see Urban Policy, page 10), we cross-walked the average scores we obtained with the designated need levels. Counterintuitively, CDCS/RDCSs corresponding to countries with low levels of need had the highest average score, while those associated with high levels of need had the lowest average score (See Figure C4). This was true both before and after the policy’s release.

FIGURE C4



## CDCS/RDCS DETAILED ANALYSIS

### I. METHODOLOGY FOR CDCSs/RDCSs DETAILED ANALYSIS

To further examine the level and features of urban-related content in USAID strategic documents, a detailed analysis was conducted on all 15 CDCSs/RDCSs containing an extensive discussion (a score of 3 on the screening question). The questions used to conduct this detailed analysis and the response options are provided in Table C3.

TABLE C3. SCORING QUESTIONS FOR CDCS/RDCS DETAILED ANALYSIS<sup>30</sup>

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<p><u>Question 1.</u> Does the CDCS discuss the importance of urbanization trends to achieving development objectives (DOs)? [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 2.</u> Does the CDCS mention the use of urban assessment tools (as recommended in the Urban Policy: for example, existing tools such as the Urban Development Assessment framework or new tools such as GIS mapping)? [Response range 0-1, i.e., No or Yes]</p>
<p><u>Question 3.</u> Does the CDCS background narrative discuss the following: spatial distribution of the population (rural v. urban); gaps in service delivery (rural v. urban); urban population statistics (growth or decline); local or sub-national government [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 4.</u> How prominent is the focus on programming in urban settings? (for example, mega-cities, slums, towns, secondary cities, peri-urban areas) [Response range 0-3, i.e., Focus is Minimal, Limited, Moderate, Prominent]</p>
<p><u>Question 5.</u> Does the CDCS mention the Urban Policy? [Response range 0-1, i.e., No or Yes]</p>
<p><u>Question 6.</u> Does the CDCS identify improving public services as an approach to advance USAID's development objectives (DOs)? [Response range 0-3, i.e., Focus is Minimal, Limited, Moderate, Prominent]</p>
<p><u>Question 7a.</u> Does the CDCS have a DO or IR focused specifically on increasing access to services? (services can include energy, electricity, health care, education, water, sanitation, and recycling, among others) [Response range 0-1, i.e., No or Yes]</p>
<p><u>Question 7b.</u> If the CDCS contains at least one DO or IR that focuses on service delivery, does the DO or IR discuss service delivery in urban areas? [Response range 0-3, i.e., Focus is Minimal, Limited, Moderate, Prominent]</p>
<p><u>Question 8a.</u> Does the CDCS discuss political and financial sustainability, including domestic resource mobilization or revenue generation, as a challenge or priority? [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 8b.</u> If yes to the above question (i.e., received a score between 1-3), does the CDCS discuss political and financial sustainability as an important factor in strengthening local capacity to meet urban service needs? [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 9a.</u> Does the CDCS promote leveraging public-private partnerships or the use of markets to finance or implement development programs? [Response range 0-3, i.e., Emphasis is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 9b.</u> If yes to the above question (i.e., received a score between 1-3), does the CDCS focus on the use of markets or public-private partnerships to implement development programs in urban areas or optimize delivery of urban services? [Response range 0-3, i.e., Focus is Minimal, Limited, Moderate, Prominent]</p>
<p><u>Question 10.</u> Does the CDCS identify or discuss service gaps facing the urban poor and/or discuss the importance of inclusive service delivery models? (for example, attention to gender equality, access for people with disabilities, youth, etc.) [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 11.</u> Does the CDCS emphasize efforts to bolster urban and/or municipal resilience (for example, attention to risk mitigation, including environmental)? [Response range 0-3, i.e., Emphasis is Minimal, Limited, Moderate, Extensive]</p>
<p><u>Question 12.</u> Overall, to what extent does the CDCS integrate attention to urbanization and address urban service delivery challenges? [Response range 0-3, i.e., Integration is Minimal, Limited, Moderate, Extensive]<sup>31</sup></p>

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<sup>30</sup> The response ranges are provided along with a keyword summarizing the valuation. In the actual scoresheet, there were more detailed descriptions of characteristics associated with different scores along with space for comments.

<sup>31</sup> 0 = Minimal integration - the CDCS barely discusses urbanization or urban service delivery challenges or integrates attention to one or more of the Policy principles; 1 = Limited integration - the CDCS discusses urbanization or urban service delivery challenges and/or integrates attention to one or more of the policy principles, but only briefly or in a limited manner; 2 = Moderate integration - the CDCS discusses urbanization or urban service delivery challenges and integrates attention to one or

## 2. RESULTS FOR CDCSs/RDCSs DETAILED ANALYSIS

The sample of 15 CDCSs/RDCSs that included an extensive discussion of urban issues were split relatively evenly up to and after policy release (7 documents or 47 percent were published before/concurrent with the policy while 8 documents or 53 percent were published after). The regional distribution shifted somewhat over time. Before/concurrent it was E&E (3), LAC (3), and Asia (1); after the release it was Africa (3), LAC (2), Asia (1), E&E (1), and ME (1). None of these CDCSs/RDCSs mentioned the Urban Policy in the body of the document, although one CDCS mentioned the Urban Policy in the annex.

The Urban Policy recommends several assessment tools that can be used to ascertain urban needs in a country, with examples including existing tools such as the Urban Development Assessment framework and new tools such as GIS mapping. These tools were mentioned in five CDCSs/RDCSs (33 percent of sample), three published before/concurrent with policy release and two published after.

### Urban Integration

Four questions in the score sheet (see Table C3) were used to assess different aspects of urban integration, and the results are presented in Table C4. Even in this sample of CDCSs/RDCSs, specifically selected due to extensive discussion of urbanization and/or urban service delivery, the discussion of the importance of urbanization trends to achieving development objectives was limited (average scores of 1.0 for those published before/concurrent with the policy and 1.3 for those published after the policy). Discussion of urbanization statistics, gaps or attention to local or sub-national government received a higher average score of moderate (2.4 before/concurrent with policy, 2 after policy). The focus on programming in urban settings was limited to moderate, with an average score of 1.9 for years before or concurrent with the policy release, dropping to an average score of 1.6 in the years following the policy's release. The overall integration of attention to urbanization and addressing urban service delivery challenges was equivalent before and after the policy release, receiving a moderate integration score (2.1).

TABLE C4. DISCUSSION OF URBANIZATION AND URBAN ISSUES IN SAMPLED CDCSs/RDCSs

Scoring questions	Average score before/ concurrent with Urban Policy release	Average score after Policy release	Relative change from before/concurrent with policy release to after policy release
Does the CDCS discuss the importance of urbanization trends to achieving development objectives (DOs)?	1.0	1.3	Slight increase
Does the CDCS background narrative discuss the following: –spatial distribution of the population (rural v. urban) –gaps in service delivery (rural v. urban) –urban population statistics (growth or decline)	2.4	2	Slight decrease

more of the policy principles, but not extensively; 3 = Extensive integration - the CDCS prominently or extensively discusses urbanization or urban service delivery challenges and integrates attention to one or more of the policy principles

Scoring questions	Average score before/ concurrent with Urban Policy release	Average score after Policy release	Relative change from before/concurrent with policy release to after policy release
–local or sub-national government			
How prominent is the focus on programming in urban settings?	1.9	1.6	Slight decrease
Overall, to what extent does the CDCS integrate attention to urbanization and address urban service delivery challenges?	2.1	2.1	Stayed the same

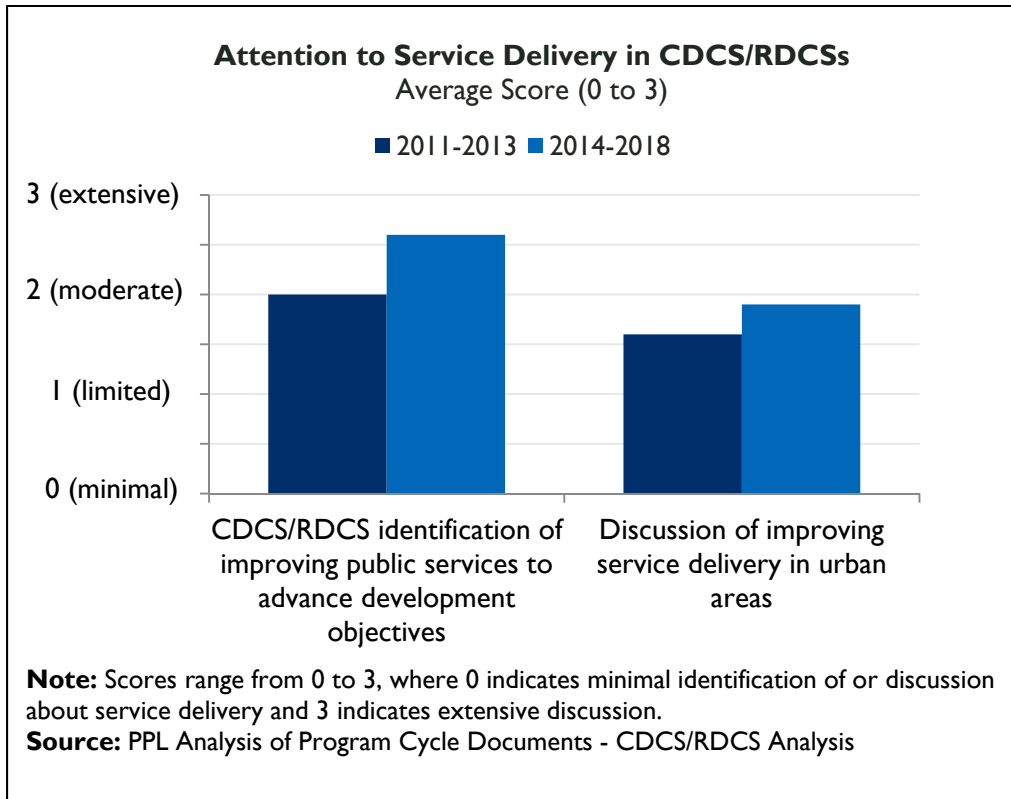
**Note:** Scores range from 0 to 3, where 0 indicates minimal discussion, integration, or focus on urbanization and urban issues and 3 indicates extensive discussion, integration, or focus

### Urban Service Delivery

Given the Policy’s focus on service delivery, we next examined the degree to which this focus was reflected in USAID strategic documents (see Figure C5), finding that all of the selected CDCSs/RDCSs included a DO or IR focused on service-delivery. The level of discussion on improving public services in DOs/IRs was generally moderate for the sample released before/concurrent with the policy (average score of 2), increasing to 2.6 in the years following the policy’s release. The level of discussion on improving public services specifically in urban areas was lower overall. The scores were limited to moderate (average score of 1.6) for the documents released before/concurrent with the policy, increasing to 1.9 in the years following the policy’s release.



FIGURE C5



### Integration of Urban Policy Principles

A subset of questions in the score sheet focus on the extent to which the four policy principles in the Policy are reflected in CDCSs/RDCSs. The principles are: 1) ensuring political and financial sustainability in meeting urban service needs; 2) advancing accountable, pro-poor service delivery models; 3) fostering market orientation and public-private collaboration to optimize the delivery of urban services; and 4) supporting municipal and/or urban resilience. The scores are similar but lower across the board in the years following the policy’s release compared to the years before/concurrent with the policy’s release. The principles reflected most strongly were inclusive service delivery and municipal resilience while the least reflected were political and financial sustainability and the use of markets/public-private partnerships (See Figure C6).

CDCSs/RDCSs were scored both on the degree of discussion regarding political and financial sustainability in general and the degree to which it was discussed as an important factor in strengthening local capacity to meet urban service needs. The scores assessing the discussion of political/financial sustainability in general and were moderate, averaging around 2. The scores assessing the discussion of political/financial sustainability as a factor in strengthening local capacity to meet urban service needs were more limited, with an average closer to 1. In both cases, the average scores were similar before/concurrent with and after the policy’s release.

Finally, we compared the degree to which the CDCSs/RDCSs promoted leveraging public-private partnerships or the use of markets to finance or implement development programs, both in general and specifically in urban areas or to optimize delivery of urban services. We found noticeable drop-offs in average scores for in both cases for CDCS/RDCSs before/concurrent with the policy and after the

policy’s release (See Figure C7). For example, while the average score for the use of markets or public-private partnerships in urban settings and services was between limited and moderate (1.4) in 2013 and earlier, the score dropped to between limited and minimal in 2014 and after (0.6).

**TABLE C5. POLICY PRINCIPLES IN SAMPLED CDCS/RDCS**

<b>Scoring questions</b>	<b>Average score before/ concurrent with Urban Policy release</b>	<b>Average score after Policy release</b>	<b>Relative change from before/ concurrent with policy release to after policy release</b>
Does the CDCS discuss political and financial sustainability as an important factor in strengthening local capacity to meet urban service needs?	1.3	1.0	Slight decrease
Does the CDCS focus on the use of markets or public-private partnerships to implement development programs in urban areas or optimize delivery of urban services?	1.4	0.6	Decrease
Does the CDCS identify or discuss service gaps facing the urban poor and/or discuss the importance of inclusive service delivery models?	2.6	2.4	Slight decrease
Does the CDCS emphasize efforts to bolster urban and/or municipal resilience?	2.6	2.1	Decrease
<b>Note:</b> Scores range from 0 to 3, where 0 indicates minimal discussion, focus, or emphasis on policy principles and 3 indicates extensive discussion, focus, or emphasis			

FIGURE C6

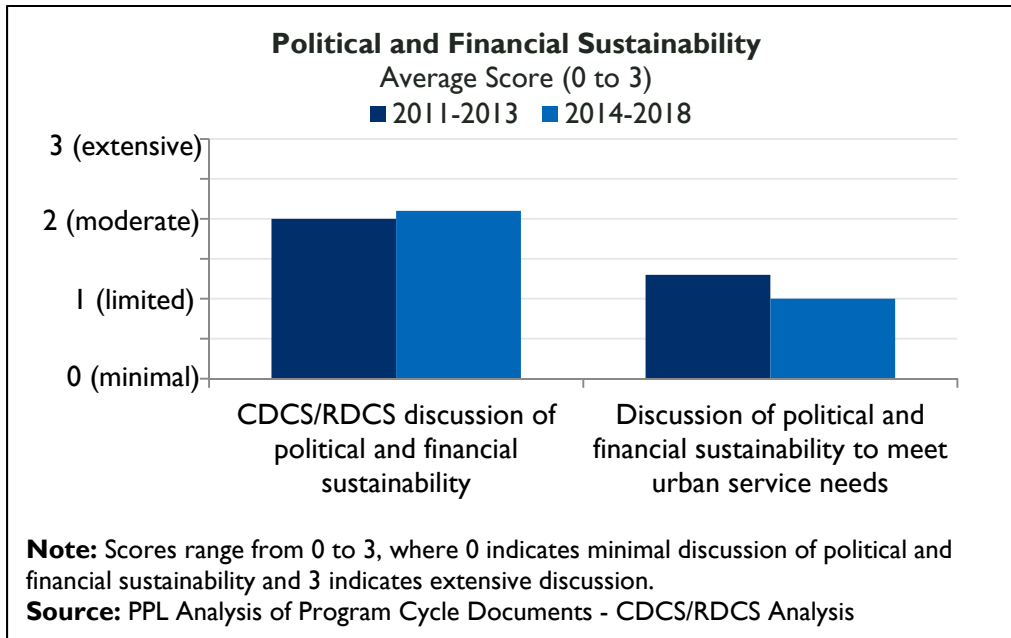
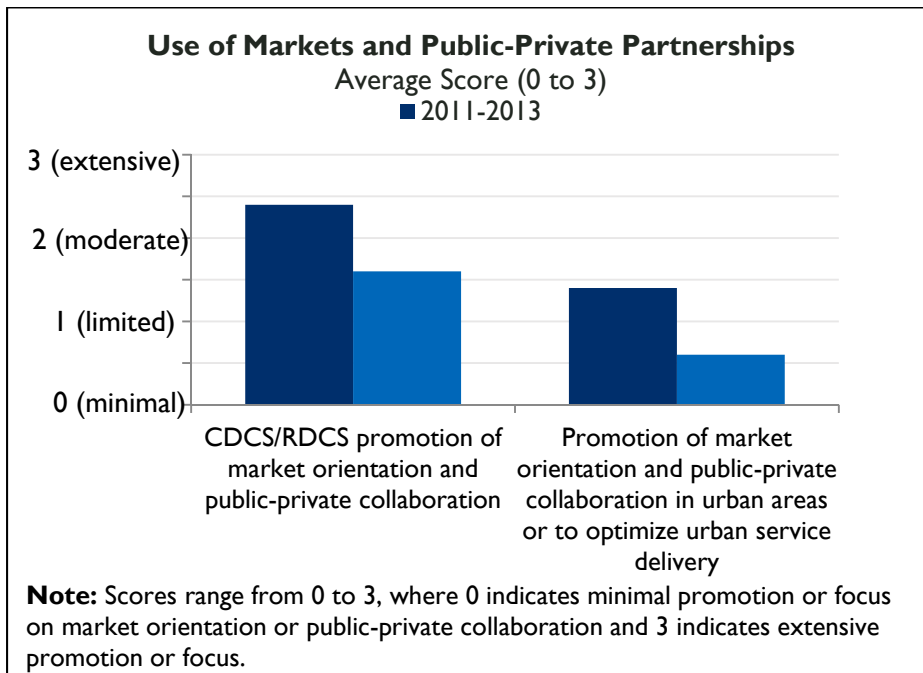


FIGURE C7



# ANNEX D: METHODOLOGY AND RESULTS FOR PROJECT APPRAISAL DOCUMENT (PAD) REVIEW

## PAD SCREEN

### I. METHODOLOGY FOR PAD SCREEN

In general, USAID Project Appraisal Documents<sup>32</sup> (PADs) are posted to USAID’s internal Programnet site and summary descriptions are provided in a “PAD Summary Matrix.” We reviewed all of the descriptions in this matrix to screen for the prevalence of urban-relevant and service-related keywords. While not all PADs are posted on Programnet, this matrix is the most complete consolidated list of PADs for the Agency; as of April 4, 2019, 303 PADs were identified in the matrix, posted between February 2013 and November 2018.

The key words used in the screening process were:

- Urban, Urbanization, Peri-Urban
- Municipal, Municipalities
- Sub-national, sub-national
- Local government
- Service delivery
- Services

### 2. RESULTS FOR PAD SCREEN

The results of the keyword screen are captured in Table D1. A total of 72 PADs represented in the summary matrix included one or more keywords in their titles, summary descriptions, or key areas. Twenty-five of these PADs (35 percent of the sample) were published before/concurrent with the Urban policy and 47 (65 percent of the sample) were published after the policy’s release.

The 72 PADs represented all regions, with 22 from Africa, 15 from Asia, 14 from ME, 11 from LAC, 8 from E&E, and 2 from OAPA. They were also sectorally diverse, with DRG most prevalent (35 percent of the sample), closely followed by health (29 percent of sample); 13 percent focused on economic growth, 11 percent on the environment or climate change, 8 percent on water, and 4 percent on education.

The most prevalent keywords were “services” and “service delivery,” followed by “municipal”/“municipalities,” “local government,” and “sub-national”/“sub-national.” The prevalence of PAD summary descriptions that included the keywords “municipal”/“municipalities” and “local government” increased noticeably after the release of the policy.

A total of seven PADs included the keyword “urban” in the PAD title, summary description or key area. The seven PADs were published between 2011 and 2016 (one from 2011, two from 2013, two from 2014, one from 2015, and one from 2016) and represented a wide geographic spread (one was released from Washington DC, two from Asia, two from LAC, one from Africa, and one from ME).

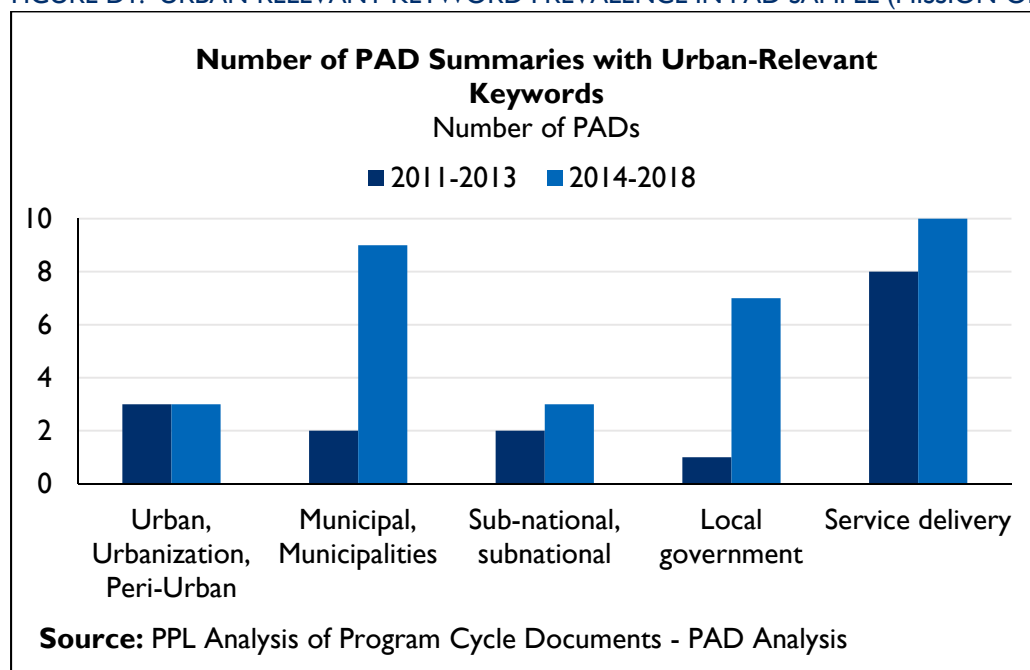
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<sup>32</sup> A PAD documents the complete project design and serves as the reference document for project approval and subsequent implementation. A project consists of a set of complementary activities, over an established timeline and budget, intended to achieve a discrete development result, often aligned with an Intermediate Result (IR) in the CDCS Results Framework. Among other things, the PAD should: define the highest level purpose to be achieved by the project; present the theory of change regarding how the process of change is expected to take place and how USAID intends to influence these changes; and describe an overall project management and implementation plan.

TABLE D1. URBAN-RELEVANT KEYWORD PREVALENCE IN PAD SAMPLE (MISSION-ONLY PADs)

Keyword(s)	Total number of PADs that included the keyword(s) in its summary data	Number of PADs with the keyword(s) from before/concurrent with Policy (2013 or earlier)	Number of PADs with the keyword(s) from after the Policy's release (2014 or after)
Urban, Urbanization, Peri-Urban	6	3	3
Municipal, Municipalities	11	2	9
Sub-national, sub-national	5	2	3
Local government	8	1	7
Service delivery	18	8	10
Services	42	17	25

FIGURE D1. URBAN-RELEVANT KEYWORD PREVALENCE IN PAD SAMPLE (MISSION-ONLY PADs)



## PAD DETAILED ANALYSIS

### I. METHODOLOGY FOR DETAILED ANALYSIS

To further examine the level and features of urban-related content in USAID project appraisal documents, a detailed analysis was conducted on a subset of PADs that Missions released after the Urban Policy. The selection included all post-policy PADs that included the keyword “urban” in their summary descriptions, a total of three documents. In addition, the selection included a regionally

distributed set of post-policy PADs focused on service delivery, a total of six documents. The questions used to conduct this detailed analysis and the response options are provided in Table D2.

**TABLE D2. SUMMARY SCORESHEET FOR PAD DETAILED ANALYSIS**

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Question 1. To what extent does the PAD discuss the importance of urbanization trends to achieving the project purpose? [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]

Question 2. Does the PAD mention the use of urban assessment tools (as recommended in the Urban Policy: for example, existing tools such as the Urban Development Assessment framework or new tools such as GIS mapping)? [Response range 0-1, i.e., No or Yes]

Question 3. To what extent does the PAD background narrative discuss the following: spatial distribution of the population (rural v. urban); gaps in service delivery (rural v. urban); urban population statistics (growth or decline); local or sub-national government [Response range 0-3, i.e., Discussion is Minimal, Limited, Moderate, Extensive]

Question 4. To what extent does the PAD identify or focus on programming in urban settings? (for example, mega-cities, slums, towns, secondary cities, peri-urban areas) [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 5. Does the PAD mention the Urban Policy? [Response range 0-1, i.e., No or Yes]

Question 6. To what extent does the PAD identify improving public services as an approach to advance the project purpose? [Response range 0-3, i.e., Minimal, Limited, Moderate, Prominent]

Question 7a. Does the PAD have a planned implementation activity (ongoing or new) focused specifically on increasing access to services? (services can include energy, electricity, health care, education, water, sanitation, and recycling, among others) [Response range 0-1, i.e., No or Yes]

Question 7b. If yes to the above question, to what extent does the PAD discuss or focus on service delivery in urban areas? [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 8a. To what extent does the PAD discuss political and financial sustainability, including domestic resource mobilization or revenue generation, as a challenge or priority? [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 8b. If yes to the above question (i.e., received a score between 1-3), to what extent does the PAD discuss political and financial sustainability as an important factor in strengthening local capacity to meet urban service needs? [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 9a. To what extent does the PAD promote leveraging public-private partnerships or the use of markets to finance or implement development programs? [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 9b. If yes to the above question (i.e., received a score between 1-3), to what extent does the PAD promote the use of markets or public-private partnerships to implement development programs in urban areas or optimize delivery of urban services? [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 10. To what extent does the PAD identify or discuss service gaps facing the urban poor and/or discuss the importance of inclusive service delivery models? (for example, attention to gender equality, access for people with disabilities, youth, etc.) [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 11. To what extent does the PAD promote efforts to bolster urban and/or municipal resilience (for example, attention to risk mitigation, including environmental)? [Response range 0-3, i.e., Minimal, Limited, Moderate, Extensive]

Question 12. Overall, to what extent does the PAD integrate attention to urbanization and address urban service delivery challenges? [Response range 0-3, i.e., Integration is Minimal, Limited, Moderate, Extensive]

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## 2. RESULTS FOR PAD DETAILED ANALYSIS

### Part I: Detailed Analysis of “Urban-Focused” PADs

The first component of the detailed analysis was to score all post-policy, Mission-released PADs that included the keyword “urban” in the title, summary description, or as a key area. Of these three PADs, two were from LAC and one was from Asia. Two of the three PADs focused on the environment (climate resilience or adaptation) and one focused on citizen security/DRG.

**Urban Integration in “Urban-Focused” PADs.** In general these PADs scored highly on the overall extent of integration of attention to urbanization and urban services in the PAD (two PADs scored 3 or extensive, and one PAD scored 2 or moderate). Additionally these PADs all received the highest score of 3 on questions related to a variety of topics including: the importance of urbanization trends to achieving the project purpose; discussion of urban trends and data or local government; the degree of focus on programming in urban areas; the discussion of service gaps facing the urban poor and/or the importance of inclusive service delivery models; and the promotion of efforts to bolster urban and/or municipal resilience.

**Urban Service Delivery and Integration of Urban Policy Principles in “Urban-Focused” PADs.** The scores were more mixed for questions related to urban service delivery, attention to political and financial sustainability in meeting urban services needs, the promotion of public-private partnerships, and the use of markets to optimize delivery of urban services. This reflects in part that these three urban-focused PADs did not center on traditional service delivery, but other aspects of enhancing the urban environment (e.g., resilience, municipal security and justice).

Interestingly, none of the three urban-focused PADs mentioned the urban policy. This does not indicate, however, that these PADs were policy blind in general. In fact, more than a dozen other USAID policies were mentioned in these PADs, including policies, strategies, and visions focused on gender equality and female empowerment, youth, resilience, DRG, water, education, climate change, civilian policing, evaluation, LGBT persons, disability, gender-based violence, and counter-trafficking in persons.

These PADs also did not refer to the use of urban assessments in the development of the PAD, although one PAD did capitalize on a municipal finance assessment and another recommended the use of geospatial tools moving forward.

## **Part 2: Detailed Analysis of Selected “Service Delivery-Focused” PADs**

In addition to examining urban-focused PADs, we also examined six PADs that focused on service delivery more broadly in order to ascertain how they integrated attention to urbanization or urban services. We selected PADs that included the keywords “service” or “service-delivery” in the title or summary description and in which the summary description made it clear that the PAD was primarily or substantially focused on enhancing service delivery at local, municipal, or national levels, often through strengthening institutions to be more capable of delivering public services. The services were often integrated or cross-cutting and covered a wide range of sectors, including health, education, access to justice, and water and sanitation. As with above, this selection was limited to post-policy PADs (2014 and after). We also selected for regional diversity, with two from Asia and one each from Africa, LAC, ME, and E&E.

**Urban Integration in “Service Delivery-Focused” PADs.** Four questions in the score sheet (see Table D2) assessed different aspects of urban integration, and the results are presented in Table D3. In these service delivery-focused PADs, the discussion of the importance of urbanization trends to achieving the project purpose was limited (average score of 1.0). The PADs’ level of focus of programming in urban settings and the overall integration scored between limited and moderate (average scores of 1.5). Meanwhile, the PADs scored moderately (average score of 2.3) for their discussion of one or more of the following points relevant to the Urban Policy: spatial distribution of the population (rural vs. urban); gaps in service delivery; urban population growth statistics; and/or local or sub-national government.

While the average urban integration scores were limited to moderate, the average scores obscured a bimodal pattern in the data, with some scores clustered around minimal/limited integration, and others around extensive integration. Within the sample of six service delivery-focused PADs, two were highly urban-focused, with extensive discussion of urban issues or focus in urban settings, while four of the six PADs had minimal/limited discussion of urban issues or focus in urban settings. This data clustering is evident for the post-policy “service-delivery” focused PADs in Figure D2 focusing on overall urban integration, in which one-third of the PAD sample exhibited extensive integration and the remainder had minimal to limited integration. This same distribution of scores was evident for the questions about the extent to which the PAD identified or focused on programming in urban settings or discussed/focused on service delivery in urban areas.

None of the service delivery-focused PADs identified use of urban assessment tools as part of the preparation process for the PAD. One PAD cited the Urban Policy. This PAD also received high scores across the board on integrating attention to urbanization and addressing urban service delivery challenges.

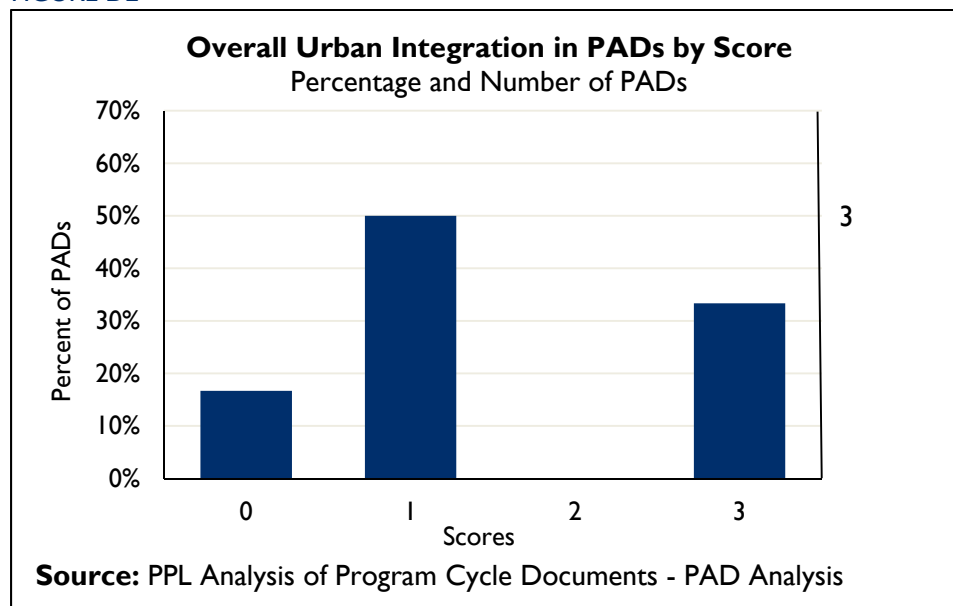
**TABLE D3. DISCUSSION OF URBANIZATION AND URBAN ISSUES IN “SERVICE DELIVERY-FOCUSED” PADs**

Scoring questions	Average score	Range
To what extent does the PAD discuss the importance of urbanization trends to achieving the project purpose?	1.0	0-3
To what extent does the PAD background narrative discuss the following: –spatial distribution of the population (rural v. urban) –gaps in service delivery (rural v. urban) –urban population statistics (growth or decline) –local or sub-national government	2.3	1-3
To what extent does the PAD identify or focus on programming in urban settings?	1.5	0-3
Overall, to what extent does the PAD integrate attention to urbanization and address urban service delivery challenges?	1.5	0-3

**Note:** Scores range from 0 to 3, where 0 indicates minimal discussion, integration, or focus on urbanization or urban service delivery and 3 indicates extensive discussion, integration, or focus



FIGURE D2



**Urban Service Delivery and Integration of Urban Policy Principles in “Service Delivery-Focused” PADs.** A subset of questions in the score sheet focus on the extent to which the four principles articulated in the Policy are reflected in the PADs. The principle reflected most strongly was inclusive service delivery, followed by political and financial sustainability and the use of markets or public-private partnerships. The least reflected principle was that of urban and/or municipal resilience (see Table D4).

TABLE D4. POLICY PRINCIPLES IN “SERVICE DELIVERY-FOCUSED” PADs

Scoring questions	Average score	Range	Percent that received scores of 0 or 1 (minimal or limited)	Percent that received scores of 2 or 3 (moderate or extensive)
To what extent does the PAD discuss political and financial sustainability as an important factor in strengthening local capacity to meet urban service needs?	1.8	1-3	50	50
To what extent does the PAD promote the use of markets or public-private partnerships to implement development programs in urban areas or optimize delivery of urban services?	1.5	0-3	50	50
To what extent does the PAD identify or discuss service gaps facing the urban poor and/or discuss the importance of inclusive service delivery models?	2.2	1-3	17	83
To what extent does the PAD promote efforts to bolster urban and/or municipal	0.8	0-3	67	33

Scoring questions	Average score	Range	Percent that received scores of 0 or 1 (minimal or limited)	Percent that received scores of 2 or 3 (moderate or extensive)
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resilience?

**Note:** Scores range from 0 to 3, where 0 indicates minimal discussion or promotion of policy principles and 3 indicates extensive discussion or promotion of policy principles

# ANNEX E: METHODOLOGY AND RESULTS FOR SOLICITATIONS AND TASK ORDER REVIEW

## SOLICITATION AND TASK ORDER SCREEN

### I. METHODOLOGY FOR SOLICITATION AND TASK ORDER SCREEN

The assessment team conducted an initial screening of 30 solicitations released from 2014 to 2019 using scoresheets developed to measure the degree of urban integration at the activity level. The assessment team used “urban” keywords to identify “Full and Open” solicitations including Requests for Applications (RFAs), Requests for Proposals (RFPs), Annual Program Statements (APSs), and Broad Agency Announcements (BAAs). These files were downloaded from fedbizopps.gov and grants.gov. The team also reviewed Requests for Task Order Proposals (RFTOPs) from the Making Cities Work (MCW) IDIQ and Water and Development IDIQ (WADI). The following urban and service-related keywords were used:

- Urban, Urbanization
- Municipal, Municipalities
- Local government
- Service delivery
- City/cities
- Sub-national, sub-national

The identified solicitations were screened for attention to urban issues with the question: “Does the solicitation discuss urbanization, sustainable urban service delivery, or the Urban Policy principles?” A score from 0-3 [i.e., *Minimal, Limited, Moderate, Extensive*] was assigned to each solicitation by considering the prevalence of urban-relevant or local service delivery-related keywords and context in which they were discussed. In the sample of 30 solicitations, 23 percent had minimal discussion (a score of 0), 27 percent had limited discussion (a score of 1), 30 percent had moderate discussion (a score of 2), and 20 percent had extensive discussion (a score of 3).

### 2. RESULTS FOR SOLICITATION AND TASK ORDER SCREEN

The numbers of urban-relevant or local service delivery-related keywords identified in the 30 selected solicitations are shown in Table E1. Among these post-Urban Policy solicitations, the most prevalent keywords were “urban/urbanization,” followed by “municipal,” “local government,” and “service delivery,” which appeared at a similar frequency.

The 30 solicitations were issued from Washington and all regions, with 23 percent from Africa, 20 percent from Washington, 17 percent from ME, 13 percent from E&E, 10 percent from Asia, 10 percent from LAC, and 7 percent from OAPA. The solicitations were also represented diverse sectors, with 27 percent from DRG, 17 percent from health, and 13 percent each from education and WASH. The remaining solicitations were cross-sectoral or from the economic growth, energy, environment, infrastructure, and land sectors.

TABLE E1. URBAN-RELEVANT KEYWORD PREVALENCE IN SOLICITATION SAMPLE

Keyword(s)	Total number of selected solicitations that included the keyword(s)
Urban, urbanization	20
Municipal, municipalities	22
Local government	21
Service delivery	20
City/cities	12
Sub-national, sub-national	12

## SOLICITATION AND TASK ORDER DETAILED ANALYSIS

### I. METHODOLOGY FOR DETAILED ANALYSIS

To further examine the level and features of urban-related content in selected USAID solicitations, a detailed analysis was conducted on 20 solicitations with a high prevalence of urban-relevant and services keywords reflecting extensive discussion of urbanization, sustainable urban service delivery, or the Urban Policy principles. The questions used to conduct this detailed analysis and the response options are provided in Table E2. The scores were based on a review of the Purpose summary for each solicitation as well as sections of solicitations detailing activity objectives, the program description, anticipated results, and components to understand the extent of attention to sustainable urban services or Urban Policy principles.

TABLE E2. SUMMARY SCORESHEET FOR SOLICITATION AND TASK ORDER DETAILED ANALYSIS

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**Question A1.** Does the solicitation examine how urbanization trends could affect the achievement of project objectives? [Response range 0-3, i.e., Minimal, Limited, Moderate, Strongly]

**Question A2.** Does the solicitation mention an urban assessment or the use of other relevant analytical tools to identify urban challenges and opportunities? [Response range 0-1, i.e., No or Yes]

**Question A3.** Does the solicitation background narrative include any mentions of the following: spatial distribution of the population (rural v. urban); gaps in service delivery; urban population growth statistics; local or sub-national government [Response range 0-1, i.e., No or Yes]

**Question A4.** Does the solicitation mention the Urban Policy? [Response range 0-1, i.e., No or Yes]

**Question B1.** Does the solicitation identify improving urban services as an approach to advance the project objectives? [Response range 0-3, i.e., Minimal, Limited, Moderate, Strongly]

**Question B2.** Does the solicitation have a DO or IR focused specifically on increasing access to urban services, such as water and sanitation? [Response range 0-1, i.e., No or Yes]

**Question B3.** If the solicitation contains at least one DO or IR that focuses on service delivery, to what extent is the DO or IR focused on urban areas? [Response range 0-3, i.e., Focus is Minimal, Limited, Moderate, Strong]

**Question B4.** Does the solicitation address political or financial sustainability, including domestic resource mobilization, cost recovery, or revenue generation? [Response range 0-1, i.e., No or Yes]

**Question B5.** Does the solicitation promote leveraging public-private partnerships or market-based approaches to optimize delivery of urban services? [Response range 0-1, i.e., No or Yes]

**Question B6.** Does the solicitation identify or discuss service gaps facing the urban poor and/or discuss the importance of inclusive service delivery models? (for example, attention to gender equality, access for people with disabilities, youth, etc.) [Response range 0-3, i.e., Minimal, Limited, Moderate, Strongly]

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**Question B7.** Does the solicitation include reference to urban and/or municipal resilience (for example, attention to risk mitigation, including environmental)? [Response range 0-3, i.e., Minimal, Limited, Moderate, Strongly]

**Question B8.** Does the solicitation include reference to cross-office collaboration? [Response range 0-3, i.e., Minimally, Limited, Moderate, Strongly]

**Question C1.** 1. Overall, is this solicitation an example of how to integrate urbanization and the urban policy principles in a program cycle document? [Response range 0-3, i.e., Not at all an example, Weak example, Moderately Strong example, Exceptionally strong example]

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## 2. RESULTS FOR SOLICITATION AND TASK ORDER DETAILED ANALYSIS

The sample for the detailed analysis consisted of 20 post-Policy solicitations (i.e., from 2014 and later) that included the keywords “urban/urbanization” and at least some (“limited,” “moderate,” or “extensive”) discussion of urbanization, sustainable urban service delivery, or the Urban Policy principles (i.e., a score of at least “limited” in the screening question; solicitations with “minimal” discussion of these themes were excluded from the detailed analysis).

Solicitations were selected to ensure geographic, temporal, and sectoral representation; underrepresented years, regions, and sectors were preferentially selected to ensure diversity. Twenty solicitations were selected across the release years from 2014-2019. The sample included Washington-based solicitations (20 percent), as well as solicitations from Africa (20 percent), ME (20 percent), Asia (10 percent), E&E (10 percent), and LAC (10 percent). The solicitations focused on sectors covering the primary services identified in the policy, with the highest proportion from DRG (30 percent), followed by health (15 percent), water (15 percent), EG (10 percent), energy (5 percent), environment (5 percent), education (5 percent), land (5 percent), roads (5 percent), and cross-sectoral service-focused (5 percent).

### Urban Integration

Of the 20 selected solicitations, all but three discussed urbanization, sustainable urban service delivery, or Urban Policy principles, but the majority did not address how urbanization trends could affect the achievement of project objectives, and only 3 of the 20 discussed the potential impact of urbanization extensively. However, 100 percent of this sample of solicitations included in the background narrative at least one mention of the following points relevant to the Urban Policy: spatial distribution of the population (rural vs. urban); gaps in service delivery; urban population growth statistics; and/or local or sub-national government.

Overall, the sample of solicitations provided moderately strong examples (average score of 2.1) of how to integrate urbanization and the urban policy principles in a program cycle document. The WADI and MCW task orders and the Sub-Saharan Africa Urban Health Research Program (BAA) were the solicitations scored as “exceptionally strong examples.” Five exceptionally strong examples were centered on urban populations and sustainable urban service delivery.

Of the twenty solicitations reviewed, the Policy was cited in five total: all four sampled task orders under the WADI and MCW IDIQs, and only one full and open RFP (for the Strengthening Tenure and Resource Rights II (STARR II) IDIQ. This may suggest that the Missions and Operating Units in Washington that are coordinating with the Land and Urban Team (who manage the MCW and STARR IDIQ) are more likely to be cognizant of or engaged with the Urban Policy; other sector teams in Missions and Washington that are not coordinating with the Land and Urban Team when they issue task orders and solicitations are less familiar with the Policy. As with the PAD sample, the sampled solicitations referred to other policies, most often the Gender Equality and Female Empowerment, Disability, and Evaluation policies and the Global Water Strategy.

Half of the solicitations mentioned the use of relevant assessments or analyses to identify urban challenges and opportunities. Three of the assessments mentioned were urban-specific, and the rest were sectoral or service-specific. Assessments and analyses were often recommended as a task to be completed in the course of the contract rather than to build an evidence base for the activity, perhaps reflecting the limited capacity and resources USAID has in place, both in Washington and in Missions, to conduct urban-specific assessments.

### **Urban Service Delivery**

The scores assessing the extent to which the solicitations identified improving urban services as an approach to advancing the project objectives were moderate, averaging around 2. Forty percent of the solicitations strongly identified service delivery as critical to achieving the project's objectives (a score of 3), although in some cases the services were not explicitly, solely, or specifically urban.

Forty-five percent of the solicitation sample included Development Objectives and Intermediate Results (or, in the case of a solicitation that cited the Global Water Strategy, a Development Result) focused specifically on increasing access to urban services, such as water and sanitation. However, among the 55 percent of solicitations without a service-specific DO or IR, improved service delivery was frequently included as an outcome, output, or project goal. But because solicitations inconsistently include DOs and IRs, the team could not rely on this score to determine the significance of service delivery improvement in this sample of solicitations.

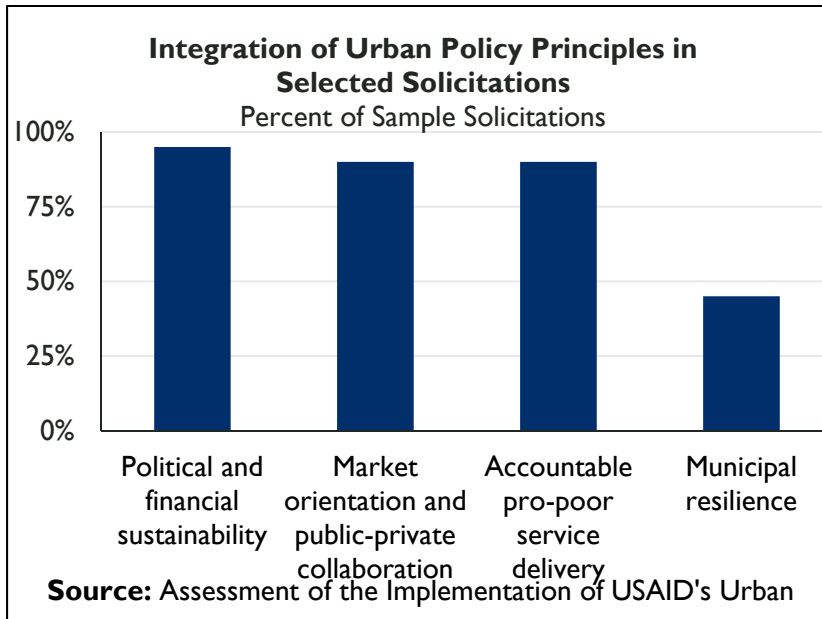
### **Integration of Urban Policy Principles**

The team also examined whether the solicitations sampled addressed the Urban Policy principles. The principle most reflected in the sampled solicitations (95 percent) focused on political and financial sustainability, including domestic resource mobilization, cost recovery, or revenue generation. Financial sustainability of services was prioritized, including through taxes, fees, access to finance, and private sector investment.

Policy principles related to market orientation and public-private collaboration and accountable pro-poor service delivery were also included in nearly all (90 percent) of the selected solicitations. Most solicitations referred to private sector engagement. The sample included public-private partnerships (PPPs) and collaboration with the private sector to encourage innovation, promote public accountability, strengthen infrastructure investment, and build up the quality and financial sustainability of service delivery. Inclusion and access was also promoted across the sample. One solicitation emphasized equality of opportunity and access to public goods and services, particularly for poor/marginalized populations; others proposed to address gender disparities in service delivery, such as basic education.

The least reflected principle related to urban and/or municipal resilience. Solicitations in the sample addressed this principle less frequently, and in some cases only to refer to the requirement to include an environmental mitigation and management plan. However, the water, sanitation, energy, roads, and land solicitations in the sample addressed this principle more robustly.

FIGURE E1



Finally, the solicitations were scored on the extent to which they addressed cross-sector collaboration, which was highlighted in the Urban Policy as a way to “to support an urban lens,” particularly in Global Climate Change, Global Health, and Feed the Future initiatives, and to strengthen the capacity to provide an “urban optic” for programs across a range of sectors, including microenterprise development, youth programming, and education. On a scale of 0-3, the average for this sample of solicitations was 1.4, between limited and moderate. Only three solicitations (15 percent of the sample) extensively addressed cross-sector collaboration, seven (35 percent) only included a limited discussion, and six (30 percent) did not address cross-sector collaboration at all. Cross-sector collaboration was limited or minimal in solicitations issued each year and from each region in the sample, and from different sectors. This suggests that the institutional, technical, and capacity challenges that key informants reported as obstacles to cross-sector collaboration affect all regions and sectors.

## ANNEX F: ASSESSMENT SURVEY METHODOLOGY AND RESULTS

### SURVEY METHODOLOGY

The assessment team developed an online survey for Washington- and field-based staff. The survey consisted of a series of questions assessing changes in Agency programming/processes, availability and quality of technical support structures, and constraints and enablers of USAID's urban work. The survey, which was administered in Google Forms, included a total of 49 substantive content questions and nine demographic questions. Skipping questions was not permitted, but respondents were given the option of "Don't Know," "No Opinion," or "Not Applicable" responses to complete the survey. Respondents were asked to give consent to have their anonymous data used for the PIA research.

The survey distribution was global with an emphasis on Mission-based staff. The survey was distributed via email to nine USAID mailing lists, comprising well over 1,000 potential respondents representing various technical sectors including climate change, democracy, rights and governance, engineering, and water and sanitation. The survey was also sent to lists for program officers, economists (EconNet), and youth-focused technical officers (YouthCorps). The survey data was collected from February 14 - March 5, 2019. A total of 103 USAID staff responded to the survey—74 of whom were Mission-based. Among the Mission-based respondents, 27 were based in Africa; 23 were based in Asia; 9 were based in Latin America.

The complete set of survey questions are provided below in Table FI; response type and options are italicized in brackets.

#### TABLE FI. SURVEY QUESTIONS

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Question 1: Does your Mission/Operating Unit have any activities in urban areas? Urban areas include central cities, peri-urban areas, city-regions, traditional suburbs, mega-cities, towns, metropolitan and micropolitan areas, and small- and intermediate-sized cities. [*Yes/No*]

Question 2: If yes, please indicate if the activities include any of the following services. (select all that apply) [*Electricity; Housing; Health care; Solid Waste Management; Transportation; Water and Sanitation; Not Applicable; Other*]

#### **Section 1: USAID's Urban Policy: Attitudes and Awareness**

1.1. Are you aware of USAID's Policy on Sustainable Service Delivery in an Increasingly Urbanized World (Urban Policy)? [*Yes/No*]

1.2. How familiar are you with the Urban Policy? [*Not at all familiar - never heard of it; Somewhat familiar - have heard of it but don't know what it says; Quite familiar - know what it says; Extremely familiar - know what it says and apply it regularly in my work*]

Please indicate the extent to which you agree or disagree with the statements below. [*Strongly Disagree; Disagree; Neither Agree nor Disagree; Agree; Strongly Agree; No opinion*]

1.3. The Urban Policy is useful in promoting sustainable urban services as a priority for the Agency.

1.4. The Urban Policy provides a foundation for shared understanding of urban challenges and opportunities (e.g. within the Agency and with external stakeholders).

1.5. The Urban Policy provides USAID with useful guidance, approaches, and principles for its support of sustainable urban services.

#### **Section 2: The Urban Challenge and Urban Programming**

##### Integration of Urbanization/Sustainable Urban Services Principles

Please indicate the extent to which you agree or disagree with the statements below. [*Strongly Disagree; Disagree; Neither Agree nor Disagree; Agree; Strongly Agree; No opinion*]

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- 2.1. Leadership in my Mission/Operating Unit is aware of the Urban Policy.
  - 2.2. Promoting sustainable urban services is a priority for leadership in my Mission/Operating Unit.
  - 2.3. My Mission/Operating Unit uses analyses of legal, political, and institutional factors that affect urban service delivery.
  - 2.4. My Mission/Operating Unit prioritizes political and financial sustainability for urban services.
  - 2.5. USAID promotes a focus on the urban services needs of the urban poor, people with disabilities, or women.
  - 2.6. USAID supports a market orientation and public-private collaboration for urban service delivery.
  - 2.7. USAID effectively supports municipal resilience (fiscal and environmental) for sustainable urban service delivery.
  - 2.8. My Mission/Operating Unit considers how targeting urban areas may maximize the impact of USAID programs.
- 
- 2.9. In the last three years, has your Mission or Operating Unit conducted any analysis of urbanization trends? *[Yes; No; Don't know; Not Applicable]*
  - 2.10. If you answered Yes to the previous question, how did your Mission/Operating Unit conduct the most recent analysis of urbanization trends? *[In-house; In-house with assistance from Urban Team in Washington; External research firm or consultant; Other; Don't know; N/A - Did not answer yes]*
  - 2.11. How important of a challenge is urban service delivery to your host country? *(Urban service delivery refers to the provision of basic services, such as sanitation and clean water, to people living in cities.) [Not at all important; Not so important; Somewhat important; Very important; Extremely important; Not Applicable - I am not Mission-based]*
  - 2.12. [Optional] What are the most pressing or emerging urban development issues in the country, region, or sector that you are most familiar with? *[Text response]*
    - 2.12.1. [Optional] Please state the country/region/sector you are referring to. *[Text response]*

#### Technical Support Structures and Training

- 2.13. Does your Bureau/Mission have an Advisor or Point of Contact on urbanization or urban services? *[Yes; No; Don't know]*
  - 2.13.1. [Optional] If Yes, please provide the name of the Advisor or Point of Contact. *[Text response]*
- 2.14. In the last 12 months, have you approached any USAID Bureau/Operating Unit for assistance on issues related to urbanization/urban services? Assistance may include analytical, informational, or other programmatic support. *[Yes; No; Don't know]*
- 2.15. In the last 12 months, which of the following entities have you approached for assistance on urbanization/urban services related issues? *[Select all that apply<sup>33</sup>]*
- 2.16. Overall, would you say that the assistance you received in the last 12 months effectively addressed your specific need relating to urban programming? *[Yes; No; Not applicable]*
  - 2.16.1. [Optional] Comment *[Text response]*
- 2.17. Overall, would you say that the assistance improved staff/office capacity to address specific urban programming needs in the future?
  - 2.17.1. [Optional] Comment *[Text response]*
- 2.18. In the last 12 months, were any online or in-person trainings in urban programming made available to you or your colleagues? *[Yes - online; Yes - in-person; Yes - both; No - neither; Don't know]*
- 2.19. In the last 12 months, did you complete any urban-related trainings? *[Yes - online; Yes - in-person; Yes - both; No - neither]*
- 2.20. How would you rate the usefulness of the urban-related trainings you completed? *[Not at all useful; Not so useful; Somewhat useful; Very useful; Extremely useful; Not Applicable - I have not completed any urban-related trainings]*
- 2.21. Which of the following skills and/or knowledge do you need to implement the Urban Policy and conduct your work in urbanization and urban services? *[Select all that apply<sup>34</sup>]*

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<sup>33</sup> Select all that apply: Urban Team; Development Credit Authority; Energy and Infrastructure Office; Geocenter; Global Climate Change Office; Land and Urban Office; Water Office; USAID Implementing Partner; Bureau for Policy Planning and Learning; Not Applicable - I have not approached any entity for assistance; Other

<sup>34</sup> Knowledge about why urban-specific programming is important to achieving development outcomes and Agency priorities (e.g., Journey to Self-Reliance); Ability to identify how urban issues could affect the attainment of a project's development

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2.22. Are you aware of the “How-To Note” guidance document that supports integration of the Urban Policy into USAID’s Program Cycle? *[Yes; No]*

2.23. How useful is the “How-To Note” for informing your work on urban-related programming? *[Not at all useful; Not so useful; Somewhat useful; Very useful; Extremely useful; Not Applicable - I am not aware of the How-To Note]*

2.23.1. *[Optional]* Please list any other Urban Policy guidance document(s) that you are aware of. Guidance documents include but are not limited to How-To Notes, high level policy documents, and implementation guidelines. *[Text response]*

2.24. How would you rate the usefulness of UrbanLinks? *[Not at all useful; Not so useful; Somewhat useful; Very useful; Extremely useful; Not Applicable - I am not aware of UrbanLinks]*

### Changes in Agency Processes

Questions 25 - 28 ask for your opinion on changes in USAID urban-related programming and processes in the last three to five years.

Please indicate the extent to which each of the following have increased or decreased in the last 3-5 years *[Decreased Significantly; Decreased Slightly; Stayed the Same; Increased Slightly; Increased Significantly; No Opinion]*

- 2.25. Cross-sector collaboration on urban-based programs
- 2.26. Use of urban assessment tools for CDCS development
- 2.27. Use of sub-national data to improve geographic selectivity of programs
- 2.28. Use of indicators to measure the sustainability of urban services

### Constraints and Enabling Factors

Please indicate whether the following factors constrain or enable implementation of sustainable urban services. *[Highly Constrain; Moderately Constrain; Neither Enable nor Constrain; Moderately Enable; Highly Enable; No Opinion]*

- 2.29. Level of support for urban services programming from Agency leadership
- 2.30. Internal capacity/technical expertise
- 2.31. Availability of funding for urban services programs
- 2.32. Access to implementation guidance, toolkits, or technical assistance
- 2.33. Host country commitment to implement sustainable urban services
- 2.34. Host country capacity to implement sustainable urban services

### Forward-Looking Considerations for Urban Programming at USAID

Please rate each of the individual options in terms of its importance for USAID to more deeply mainstream the urban policy and expand implementation of sustainable urban services over the next five years. *[Response range 1-5; 1 = low importance, 5 = high importance]*

- 2.35. Level of support for urban services programming from Agency leadership
- 2.36. Internal capacity building, training, and technical expertise
- 2.37. Availability of implementation guidance, toolkits, technical assistance
- 2.38. Performance incentives or leadership opportunities tied to urban policy implementation
- 2.39. Research or assessments of effective practices in sustainable urban service delivery
- 2.40. Host country commitment to implement sustainable urban services
- 2.41. Host country capacity to implement sustainable urban services

### **Recommendations**

3.1. How can USAID better support you and your colleagues in achieving the vision of the Urban Policy? The vision of the Urban Policy is to support service delivery that attains large-scale benefit to urban residents in a

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outcomes; Ability to integrate urban issues into theories of change and development hypotheses; Ability to identify how gender interacts with urban environments and how urban issues can affect women and men in different ways; Ability to assess the urban contextual environment (e.g., cultural, social, regulatory, and political); Knowledge of the different types of interventions that can address a particular urban issue; Interpersonal skills to work with colleagues across development sectors to integrate an urban lens into the design of USAID solicitations and programs; Knowledge of monitoring and reporting on the impact of urban programs; Knowledge of how to incorporate urban issues into a CDCS and other planning or strategy processes.

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sustainable manner over the long term.

### Respondent Information

- 4.1. Do you currently work on urban-based programs/issues? [Yes - Always; Yes - Most of the time; Yes - Sometimes; No - Never or Hardly Ever]
  - 4.2. In which sector do you mostly work? [Select response<sup>35</sup>]
  - 4.3. In what year did you start working for USAID? [Numeric entry]
  - 4.4. How would you describe your current position? [Foreign Service Officer; Foreign Service National; Civil Servant; Contractor; Other]
  - 4.5. At USAID, what is your function? [Select response<sup>36</sup>]
    - 4.5.1. At USAID, in what office do you work? [Text response]
  - 4.6. Do you currently work at USAID/Washington or in a Mission? [USAID/Washington; Mission]
  - 4.7. If you are a USAID/Washington-based staff, please indicate your Bureau or Operating Unit. [Text response]
  - 4.8. If you are a Mission-based staff, please indicate the name of the Mission in which you currently work. [Text response]
  - 4.9. If you are a Mission-based staff, please indicate the region in which your Mission is located. [Africa; Asia; Afghanistan and Pakistan; Europe and Eurasia; Latin America and the Caribbean; Middle East; N/A - I am USAID/Washington-based]
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## SURVEY RESULTS

### I. ATTITUDES, AWARENESS, AND LEADERSHIP SUPPORT

**Awareness of the Policy.** About half of the survey respondents reported that they were not aware of the Urban Policy. USAID Washington staff were more likely to be aware of the policy (66 percent) than Mission-based staff (45 percent). Roughly 45 percent of all staff say they were aware of the policy, but did not know what it says.

Of respondents with an opinion,<sup>37</sup> 29 percent (n = 22) agreed with the statement, “Leadership in my Mission/Operating Unit is aware of the Urban Policy.” The same number (29 percent) disagreed with the statement and 16 percent (n = 12) strongly disagreed with the statement that leadership in their Mission/Operating Unit was aware of the Urban Policy.

**Attitudes Toward the Policy.** Sixty-six percent of respondents with an opinion agreed or strongly agreed with the statement that “The Urban Policy provides USAID with useful guidance, approaches, and principles for its support of sustainable urban services.” However, over 46 percent of all survey respondents did not have an opinion, and 14 percent “neither agreed nor disagreed” with the statement.

Respondents who joined USAID in 2013 or later were more likely to have a positive attitude toward the Policy than those who joined USAID prior to 2013. Of those with an opinion, 80 percent (n = 16/20) of respondents who joined the Agency in 2013 or later agreed or strongly agreed with the statement that “The Urban policy is useful in promoting sustainable urban services as a priority for the Agency,” compared to 53 percent (n = 20/38) of those who started with USAID prior to 2013 (See Figure F1).

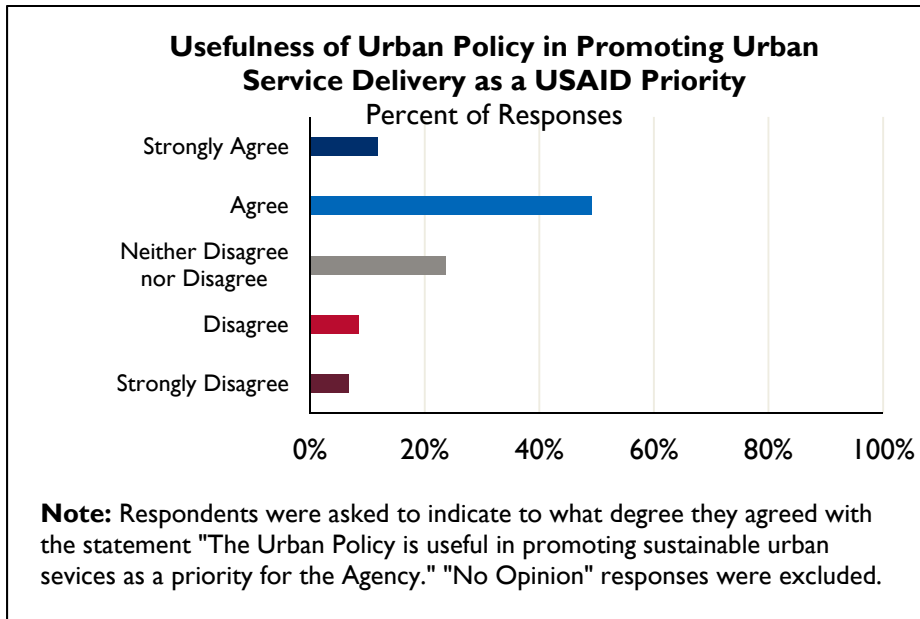
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<sup>35</sup> Agriculture and Food Security; Democracy, Human Rights, and Governance; Economic Growth and Trade; Education; Energy and Infrastructure; Environment and Global Climate Change; Gender Equality and Women’s Empowerment; Global Health; Humanitarian; Conflict/Stabilization; Other

<sup>36</sup> Procurement; Office Director/Deputy Director; Mission/Bureau Front Office staff; Technical Advisor; Program Office staff (strategy, design, M&E, communications, budget); Administrative Management Support (Staffing, IT); Legal Counsel; Financial Management; Other

<sup>37</sup> Opinions from respondents who reported an opinion are summarized here, with the analysis excluding “no opinion” responses in this case, and elsewhere in the report where noted.

FIGURE F1



**Leadership Support.** Respondents with an opinion had mixed views on leadership prioritization of sustainable urban services in their Mission or Operating Unit: 41 percent agreed or strongly agreed with the statement, “Promoting sustainable urban services is a priority for leadership in my Mission/Operating Unit,” while 33 percent disagreed or strongly disagreed.

## 2. URBAN PROGRAMMING AND IMPLEMENTATION

**Activities in Urban Areas.** The majority of respondents (90 percent, n = 95) reported that their Mission/Operating Unit had activities in urban areas, including all respondents in LAC, ME, and OAPA. Ninety-six percent of respondents in Asia reported that their Mission has activities in urban areas, while 89 percent in Africa reported that their Mission had activities in urban areas.

**Analyses of Urbanization Trends.** Forty percent of respondents reported that they did not know if their Mission or Operating Unit had conducted any analysis of urbanization trends in the last three years. Among respondents who did know, 37 percent reported that their Mission or Operating Unit had done so. The analyses were conducted via the following means: in house (n = 10); in house with assistance from Urban Team in Washington (n = 2); external research firm or consultant (n = 4); and other (n = 5) (see Figure F2).

**Changes in USAID Use of Urban Tools, Data, and Indicators.** Most respondents that had an opinion reported no changes or slight increases in the use of urban assessment tools in the last three to five years (see Figure F2). Of the respondents that had an opinion, over 40 percent reported increases in the use of indicators to measure the sustainability of urban services and the use of sub-national data to improve geographic selectivity (see Figures F3 and F4).

FIGURE F2

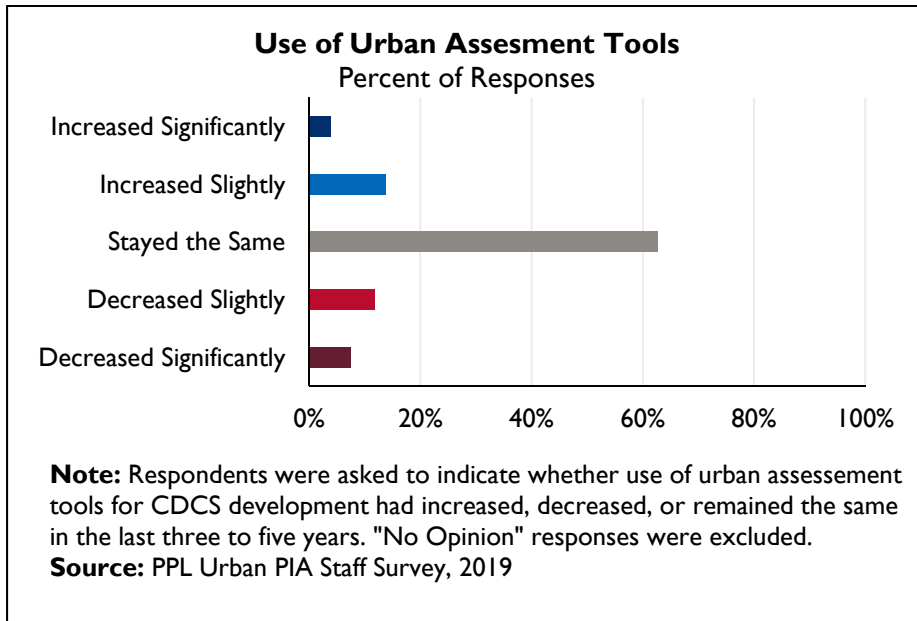


FIGURE F3

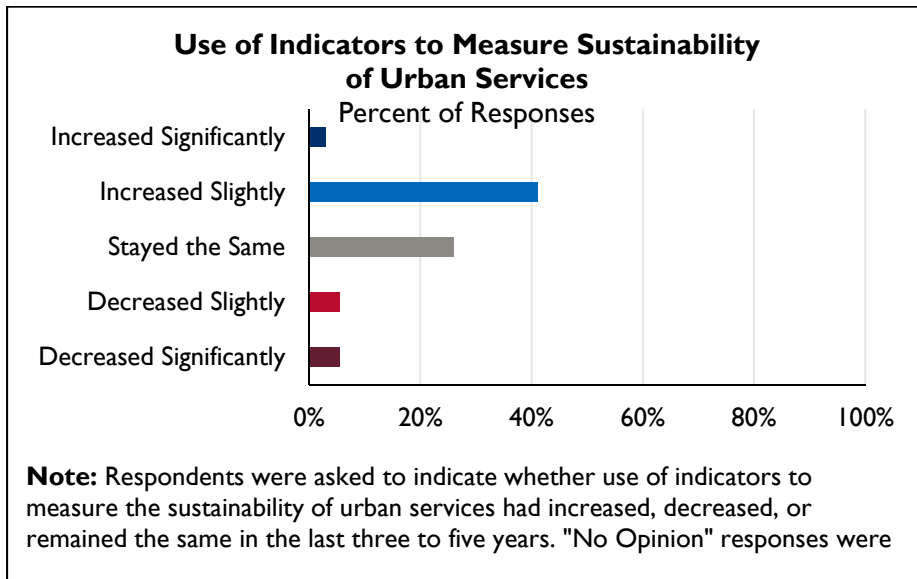
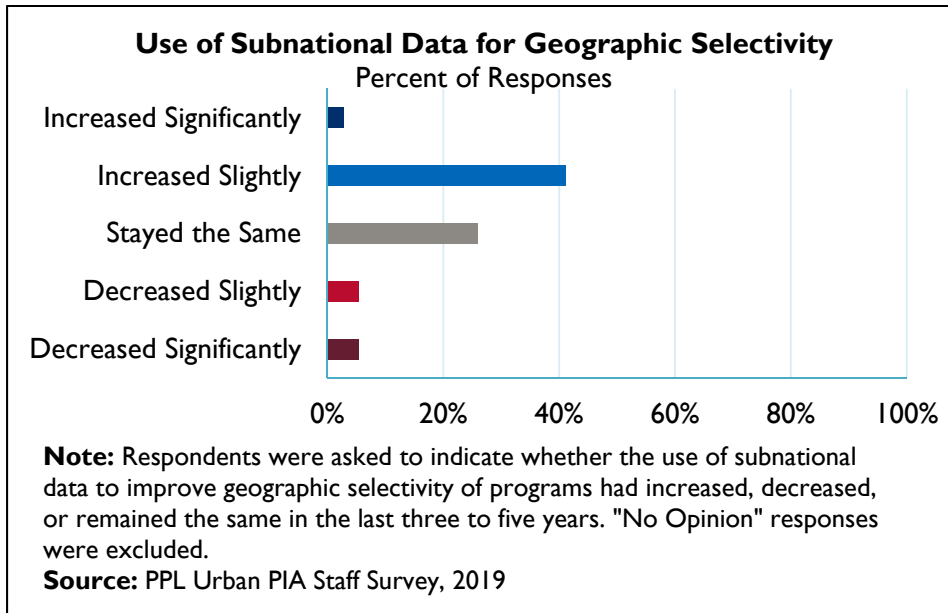
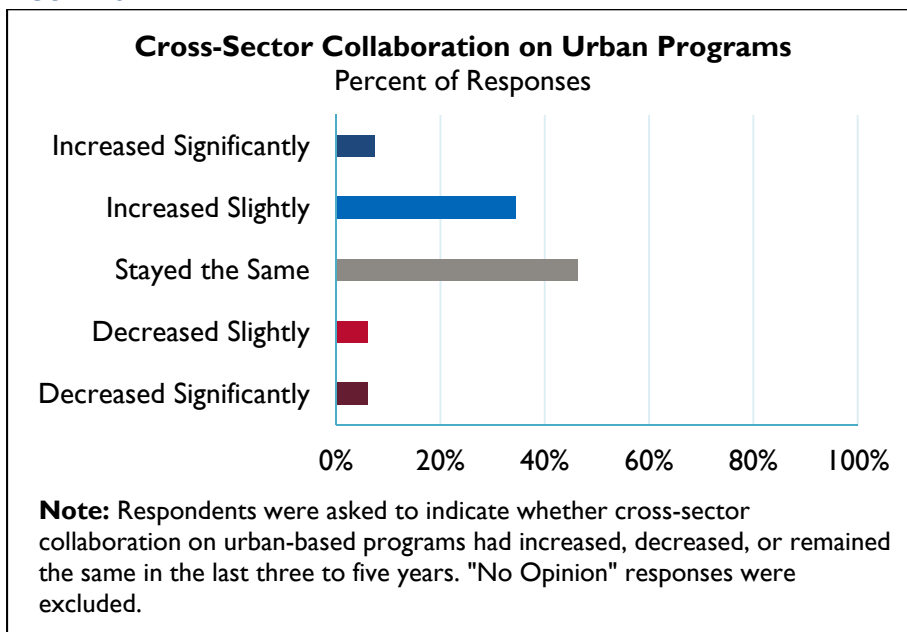


FIGURE F4



**Changes in Cross-Sectoral Collaboration.** Respondents with an opinion held divided views on the extent to which cross-sectoral collaboration on urban-based programs has increased, decreased, or remained the same. Forty-two percent of respondents reported that cross-sectoral collaboration on urban-based programs has increased slightly or significantly. On the other hand, 46 percent reported it has stayed the same, while 12 percent reported it has decreased slightly or significantly (See Figure F5).

FIGURE F5



### 3. INSTITUTIONAL SUPPORT STRUCTURES

**Urban Advisors or Points of Contact.** Thirty-eight percent of respondents did not know if their Bureau/Mission has an advisor or Point of Contact on urbanization or urban services, while 62 percent of respondents did. Among the knowledgeable respondents, 21 percent reported that their

Bureau/Mission has an Advisor or Point of Contact on urbanization or urban services, while 79 percent reported that their Bureau/Mission did not have an Advisor or Point of Contact on urbanization or urban services.

**Assistance with Urban Programming.** Seventy percent of respondents said they had not approached any USAID Bureau/Operating Unit for assistance on issues related to urbanization or urban services in the last 12 months, while 30 percent had approached a USAID Bureau/Operating Unit for urban-related assistance. Roughly the same proportion of Mission-based respondents (30 percent; n = 23/76) and Washington-based respondents (33 percent; n=9/27) reported seeking assistance from any USAID Bureau/Operating Unit in the last 12 months.

Among those that reported receiving assistance (from USAID Bureaus or other sources) on a need relating to urban programming, 68 percent said that the assistance effectively addressed their need relating to urban programming. Sixty-two percent said that the assistance improved staff/office capacity to address specific urban programming needs in the future. Sixty-three percent (n = 19/30) of Mission-based respondents said that the assistance improved staff/office capacity to address specific urban programming needs in the future.

**Trainings.** Seventy percent of respondents that had an opinion (n = 43/61) reported that no online or in-person trainings in urban programming were made available to them or their colleagues in the last 12 months. Forty percent of respondents said that they were not aware if any online or in-person trainings in urban programming were made available to them or their colleagues in the last 12 months.

Among the respondents aware of online or in-person trainings in urban programming made available to them in the last 12 months, 22 percent (n = 4/18) completed an in-person training; 22 percent (n = 4/18) completed an online training; 11 percent (n = 2/18) completed both online and in-person training, while 44 percent (n = 8/18) completed neither an online nor in-person training. Attitudes toward the quality of training completed were positive. Seventy-seven percent (n = 10/13) of those that completed a training in the last 12 months rated it as “extremely useful” or “very useful.”

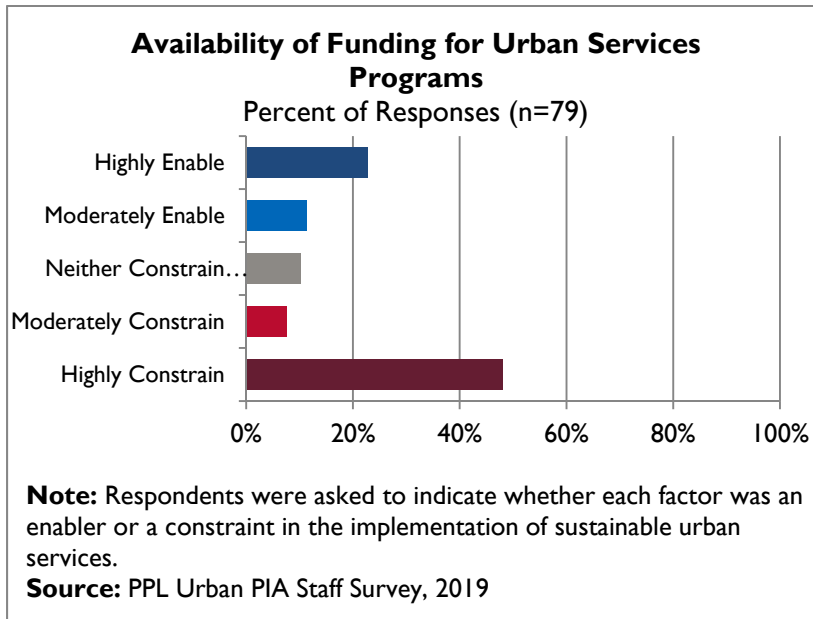
**Guidance Documents.** Ninety percent of respondents reported that they were not aware of the “How-To Note” guidance document that supports integration of the Urban Policy into USAID’s Program Cycle. The 10 respondents that were aware of the “How-To Note” rated its usefulness as follows: “somewhat useful” (n = 6), “very useful” (n = 2), “not so useful” (n = 2).

**Urban Links.** Seventy-two percent of respondents said that they were not aware of UrbanLinks. Of the 28 respondents that were aware of UrbanLinks, 60 percent rated it as “somewhat useful.” Twenty-one percent rated it as “very useful” or “extremely useful,” while 18 rated it as “not so useful” or “not at all useful.”

#### 4. CONSTRAINTS AND ENABLING FACTORS

**Availability of Funding for Urban Services Programs.** Forty-eight percent of respondents with an opinion (n = 38/79) reported that availability of funding for urban services programs highly constrains implementation of sustainable urban services activities. Respondents were more likely to identify funding as highly constraining implementation than any other factors identified.

FIGURE F6



**Host Country Capacity and Commitment.** Fifty-seven percent of respondents with an opinion said that host country commitment to implement sustainable urban services moderately enables or highly enables implementation of urban services (See Figure F7). Meanwhile, respondents with an opinion were almost evenly split between reporting on host country capacity as either an enabler or a constraint to implementation of sustainable urban services (See Figure F8).

FIGURE F7

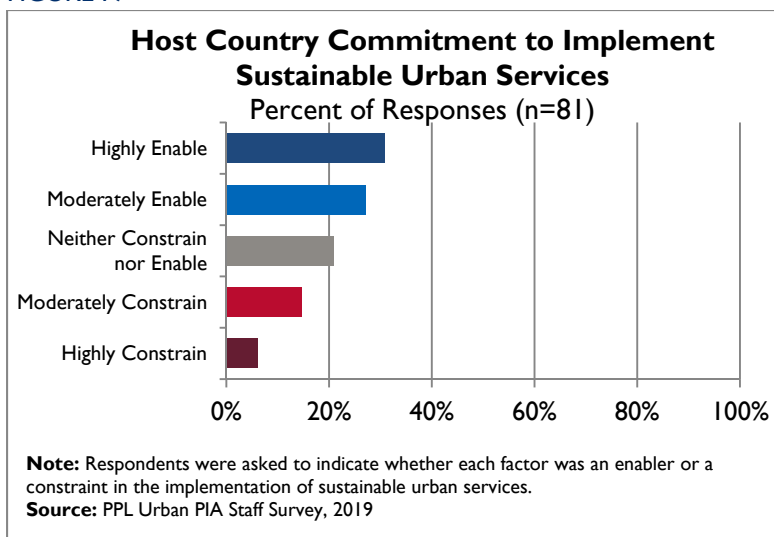
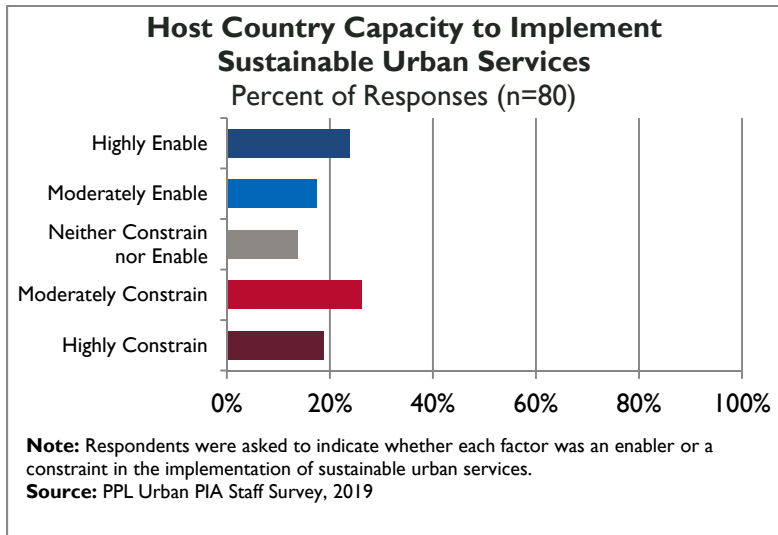




FIGURE F8



**Internal Capacity and Access to Implementation Guidance.** Respondents with an opinion held divided views on the extent to which internal capacity and technical expertise enabled or constrained sustainable urban services, with 50 percent reporting that internal capacity enabled implementation while 37 percent reported that it constrained implementation (See Figure F9). Respondents were more likely to report that access to implementation guidance, toolkits, or technical assistance enabled implementation of sustainable urban services (46 percent), although 23 percent of respondents reported that access to implementation guidance and tools constrained implementation (See Figure F10).

FIGURE F9

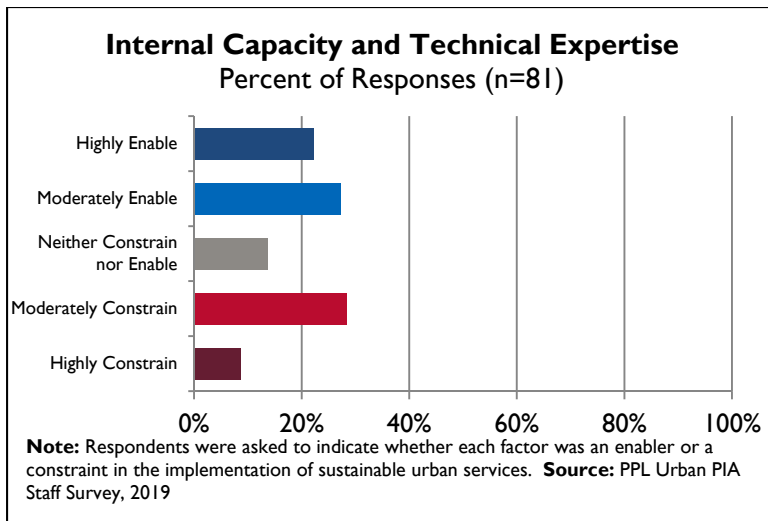
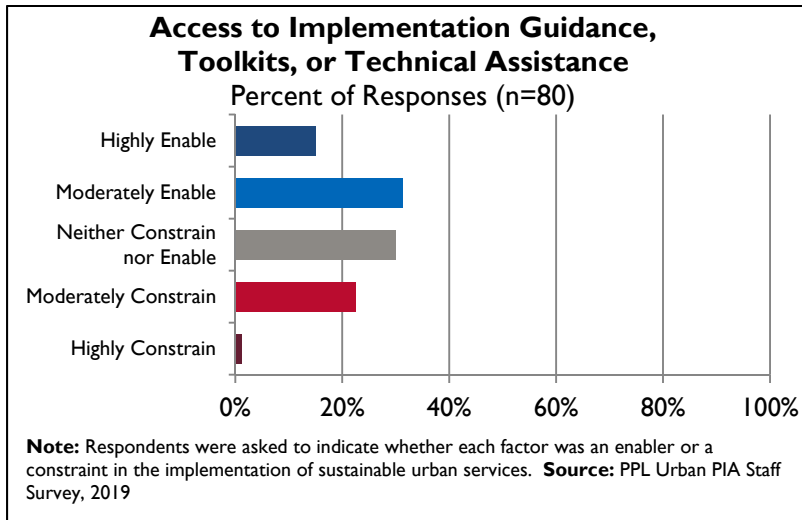
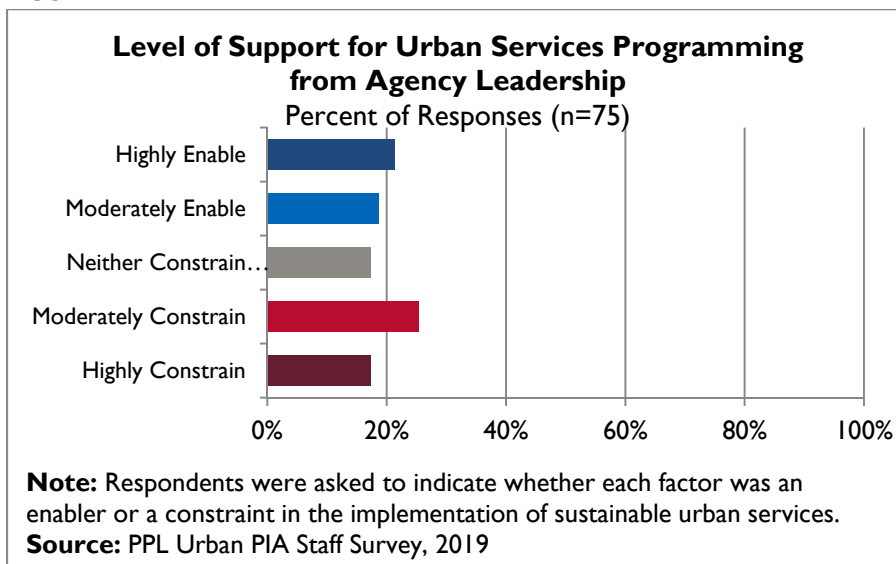


FIGURE F10



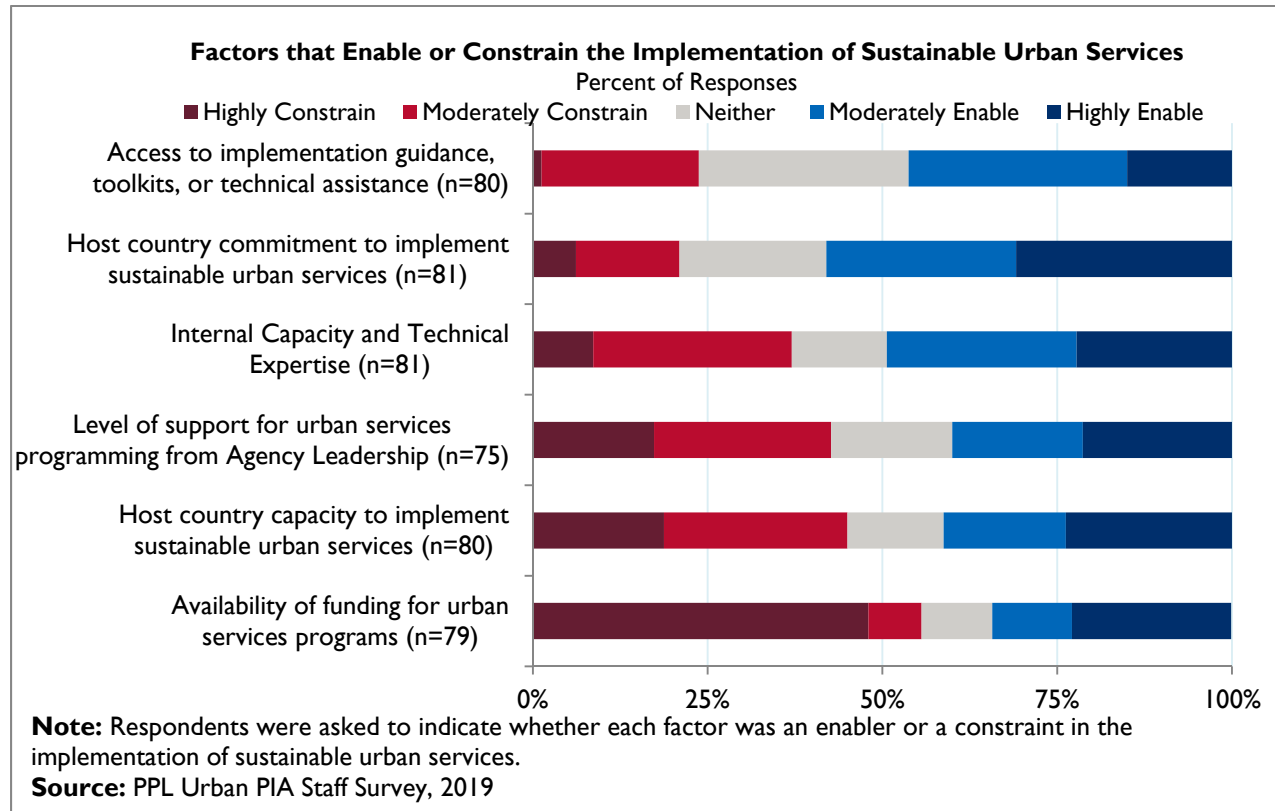
**Level of Support from Agency Leadership.** Respondents with an opinion held mixed views on the extent to which leadership support for urban services programming was an enabler or constraint. While 43 percent of respondents with an opinion (n = 32/75) identified leadership support as highly or moderately constraining urban services implementation, 40 percent (n = 30/75) said that leadership support highly or moderately enables urban services programming (See Figure F11).

FIGURE F11



In summary, of the six factors assessed that could enable or constrain the implementation of sustainable urban services, the factors most prevalently identified as enablers were host country commitment to implement sustainable urban services followed by USAID’s internal capacity and technical expertise, and the factors that were most prevalently identified as constraints were availability of funding for urban services programs and host country capacity to implement sustainable urban services (See Figure F12).

FIGURE F12



## 5. FORWARD LOOKING CONSIDERATIONS

Among a list of factors of importance for USAID to more deeply mainstream the urban policy and expand implementation of sustainable urban services over the next five years, the following were reported as the top three: level of support for urban services programming from Agency leadership (avg. score = 4.1); host country commitment to implement sustainable urban services (avg. score = 3.9); and host country capacity to implement sustainable urban services (avg. score = 3.9) (See Figure F13).

FIGURE F13

