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# URBAN RESILIENCE PLANNING FOR SECONDARY AFRICAN CITIES: A CASE STUDY OF MOZAMBIQUE



**April 2017**

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# URBAN RESILIENCE PLANNING FOR SECONDARY AFRICAN CITIES: A CASE STUDY OF MOZAMBIQUE

April 2017

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Cover photo: Young entrepreneurs offer tailoring services in the city center of Quelimane, Mozambique. *Photo credit: Michael E. Cote/ECODIT 2016*

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# TABLE OF CONTENTS

TABLE OF CONTENTS .....	IV
ABOUT THE AUTHORS.....	V
LIST OF ACRONYMS.....	VI
I. EXECUTIVE SUMMARY .....	VII
II. INTRODUCTION .....	1
<b>A. Multidimensional Nature of Urban Issues .....</b>	<b>2</b>
<b>B. Resilience in Secondary Cities.....</b>	<b>3</b>
<b>C. Resilient Development Linkages to USAID’s Urban Policy.....</b>	<b>4</b>
<b>D. Methodology.....</b>	<b>5</b>
III. DEVELOPMENT CONTEXT.....	6
<b>A. Issues in Development .....</b>	<b>6</b>
<b>B. Mozambique’s Secondary Cities .....</b>	<b>9</b>
<b>C. USAID CCAP: Three Pilots in Coastal Mozambican Cities .....</b>	<b>10</b>
IV. LESSONS LEARNED FROM CCAP IN ANALYTICAL PREPARATION: SETTING UP FOR SUCCESS .....	12
<b>A. Situational Analysis and Assessment at the Activity Level .....</b>	<b>12</b>
<b>B. Fragility and Unforeseen Events .....</b>	<b>14</b>
V. LESSONS FROM CCAP IMPLEMENTATION.....	17
REFERENCES .....	29
ANNEX A ILLUSTRATIVE ENTRY POINTS FOR URBAN RESILIENCE.....	31

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# LIST OF ACRONYMS

CCAP	Coastal City Adaptation Project
CDCS	Country Development Cooperation Strategy
CDKN	Climate and Development Knowledge Network
DEC	Development Experience Clearinghouse
DO	Development Objective
DRR	Disaster risk reduction
EWS	Early Warning System
FEWS-NET	Famine and Early Warning Systems Network
IDIQ	Indefinite Delivery Indefinite Quantity Contract
IMF	International Monetary Fund
INGC	National Institute of Disaster Management
IR	Intermediate Result
LGSAT	Local Government Self-Assessment Tool
LU	Land and Urban Office
M&E	Monitoring and Evaluation
MAE	Ministry of State Administration
MCW	Making Cities Work
MITADER	Ministry of Science and Technology
MOU	Memorandum of Understanding
ND-GAIN	University of Notre Dame's Global Adaptation Index
ODA	Official development assistance
PLA	Local Adaptation Plan
PPP	Public-Private Partnership
REDD	Reducing Emissions from Deforestation and Forest Degradation
SDGs	Sustainable Development Goals
SOUP	Support of the Urban Policy
TOC	Theory of Change
UNISDR	United Nations Office for Disaster Risk Reduction
USAID	United States Agency for International Development

# I. EXECUTIVE SUMMARY

Much of Africa's rapid urban growth is happening in towns and secondary cities that drive social and economic transformation. These secondary cities, especially those located along coasts, struggle to accommodate this rapid expansion, with many migrants moving to informal areas that are prone to a variety of man-made and natural environmental hazards. Building resilience in these secondary cities is important for achieving country-level development objectives as these cities form the link between rural areas and larger cities, and between traditional and industrialized economies.

This case study is based on an evaluation of USAID's Mozambique Coastal City Adaptation Project (CCAP), a 5-year, \$14.9M activity ending in 2018 that has worked in three cities. The case study supports implementation of USAID's Sustainable Service Delivery in an Increasingly Urbanized World Policy (Urban Policy) which lays out four development principles to support sustainable urbanization:

- 1) Ensuring Political and Financial Stability;
- 2) Advancing Accountable Pro-Poor Service Delivery Models;
- 3) Fostering Market Orientation and Public-Private Collaboration; and
- 4) Supporting Municipal Resilience.

While these principles are interrelated, this case study focuses on the fourth principle of *supporting municipal resilience*.

## Key Lessons from USAID's CCAP

The case study provides 11 key lessons, that USAID can learn from and potentially incorporate in the design and implementation of interventions for future programming. The study shows that when starting activities in secondary cities, strong situational analyses and baseline data are necessary for the project to be sustained beyond the initial period of performance. Measuring resilience also requires a commitment that goes beyond the traditional 5-year program duration. Sustainable interventions allow cities to progress towards their development goals despite the challenges that they are sure to face over time.

### (1) Preliminary Analyses and Assessments Can Lead to New Co-Benefits

There is very little data available on development issues in secondary cities, and well-formed and documented baseline assessments are necessary for successful implementation of urban resilience projects. These early-implementation activities

help uncover opportunities, develop new partnerships, and create long-term solutions. However, data needs to be well maintained and intentionally managed for sustainable outcomes.

## **(2) Sustainability is a Function of Good Partner Management**

Cultivating good partnerships demonstrably leads to sustainability of activities. Projects' year one situational analyses and baseline assessments can lead project teams to identify individuals and institutions likely to commit and take action and possibly provide additional opportunities, such as buy-ins. A dedicated committee, advisory board, or coordination team can serve as the best path forward to represent all sides fairly throughout implementation and eventual hand off.

## **(3) Ecosystem Services Provide a Link to Resilience and Urbanization**

When well designed and sufficiently scaled, an ecosystem approach could provide an opportunity to consider ecosystem-based adaptation for poverty alleviation and vulnerability reduction.

## **(4) Mainstreaming Resilience into City Development Goals is Important**

Resilience thinking needs to be mainstreamed into standard development frameworks and planning in secondary cities. Carving out climate change or making resilience a "side issue" hinders long-term commitment and misses the point of committing to long-term development objectives.

## **(5) Local Efforts Must Be Coordinated with Provincial- and National-Level Programs and Budgeting**

Local concerns and priorities need to be aligned with higher-level government programs, strategies, and budgets. Alignment is a complex endeavor that takes time, grit, and dedication. However, USAID can support alignment by assisting associations that coordinate and provide support to municipal and regional governments.

## **(6) Sustainability Requires Long-Term Perspectives Within Short-Term Projects, and Vice Versa**

Tradeoffs between short- and long-term concerns and priorities need to be managed well. Differing time horizons, overlapping projects, and high staff turnover often force politicians to focus on short-term gains. USAID can design projects and support local municipalities to integrate a long-term perspective within development objectives.

## **(7) Budget Linkages are Key to Success**

National and sub-national budgets need to be aligned to local, municipal-level development goals. Decentralization has led to gaps in urban-level support. USAID can

support development of integrated policies, budget lines, and clear flows to provincial and municipal budgets. Once funding streams are clear, local-level projects can better leverage and support resilience and adaptation activities that continue well past the close-out of a particular project.

### **(8) Public-Private Partnerships (PPPs) are Necessary to Fill Resource Gaps**

Financial resources are needed to address adaptation challenges and ensure that urban development patterns are consistent with sustainable development patterns. The private sector is an essential partner in terms of financial and knowledge resources as well as a key partner in construction and maintenance of the built environment.

### **(9) Geography and Location Risks Must be Acknowledged**

Some locations are entirely too vulnerable to continue to receive long-term support. A vulnerability assessment may show that certain segments of a population – such as those along Mozambique’s coastlines – are dangerously at risk from environmental hazards – sea level rise, stronger cyclones, coastal flooding, high rates of diseases, etc. Interventions to lower vulnerabilities may increase risks by providing a false sense of hope. Difficult conversations about relocation will need to be part of the project design.

### **(10) Geospatial Data and Mapping Provide a Long-Term Perspective Across Political Cycles**

Local-level mapping can be utilized by policymakers at the provincial levels who may be less sensitized to local concerns. Community-based vulnerability mapping, a key tool of CCAP, can be used to convey information across political cycles and also provide local information to higher levels of government.

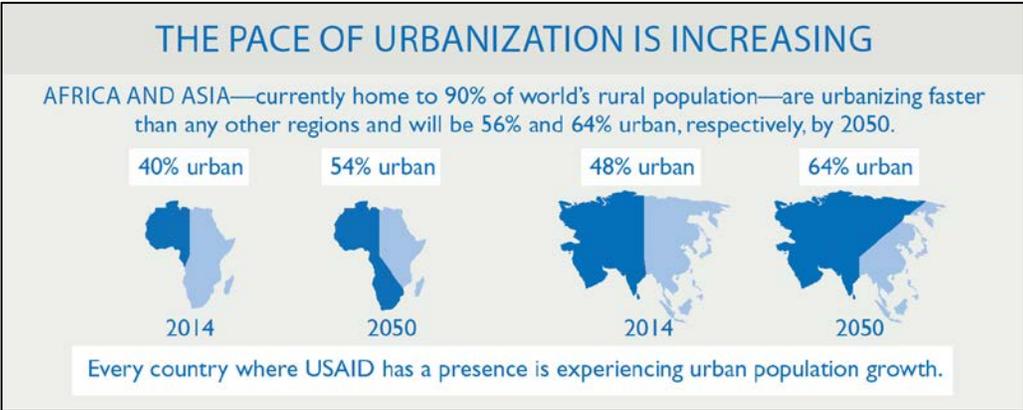
### **(11) Migration Requires Flexibility**

Rapid migration needs to be documented, as new arrivals can alter initial assumptions. While urban projects do not aim to address the various *drivers* of migration, projects need to be designed to balance the needs of new arrivals with local issues.

# II. INTRODUCTION

Worldwide, cities are growing at rapid and unprecedented rates. Indeed, more than 50% of the world’s population lives in urban areas today – a trend that will continue unabated for the next few decades. The World Bank estimates that by 2045, the number of people living in urban areas will increase to six billion people – 2.5 billion more urban residents than today.<sup>1</sup> The UN estimates that the world’s urban population will increase by more than two thirds by 2050, with nearly 90 percent of the increase to occur in Africa and Asia. The fastest growing urban agglomerations are medium-sized cities and cities with less than one million inhabitants located in Africa and Asia.<sup>2</sup> For purposes of this case study, “secondary cities” are defined as cities that have a population of less than one million and are not capital cities. This megatrend requires a thoughtful review of the development situation in Africa, one characterized by decelerating economic growth, downward-trending commodity prices, persistent droughts, slow returns on infrastructure investment, rising conflict and trafficking, and modest employment gains, all of which are projected to persist for at least the next five to seven years.<sup>1</sup>

Capital and secondary cities are underprepared for this unprecedented growth, as the latter places pressures on already weak governance structures that communities and new residents depend upon to flourish. While most of the literature and case studies to date have focused on addressing urbanization in capital cities, there is a critical need for documenting and examining these issues in secondary cities.



**Figure 1.** The rate of urbanization is persistent and increasing, and the development community is faced with the enormous task of effectively and rapidly assisting country partners. *Source: USAID.*

<sup>1</sup> See The World Bank, Africa Overview, available at: <http://www.worldbank.org/en/region/afr/overview#1>  
<sup>2</sup> United Nations Population Division, World Urbanization Prospects, 2014 Revision. Available at, <https://esa.un.org/unpd/wup/>

Secondary cities in Africa are experiencing rapid growth; and, as they grow, new residents demand more services from underprepared municipal and provincial governments. The primary driver of growth is rural-to-urban migration, though the underlying causes for migration differ from one country to the other. Drivers of migration in Africa typically include natural population growth, conflict, resource depletion, and large-scale dynamics such as connectivity, technology, and globalization. Secondary cities, especially those located along coasts, struggle to accommodate rapid expansion, forcing new residents to live where they can manage.

Many migrants often move to informal areas that are highly prone to a variety of man-made and natural environmental hazards, such as cyclones, floods, sea level rise, and droughts. High intensity disasters that result from these hazards hit slum dwellers particularly hard because they lack physical access to essential services of water, transportation, electricity, and sanitation. These residents also lack access to emergency response services typically provided by municipalities, such as fire protection and health assistance. The lack of access to services in informal settlements areas, along with the increased risk resulting from poor management of these locations, stress urban systems of all types. Creative responses from the development community are needed to support government officials, land-use planners, builders, and the communities they serve.

In line with its [Sustainable Service Delivery in an Increasingly Urbanized World](#) (Urban Policy), USAID supports country partners to improve quality of and access to essential services in urban areas. The Policy is the primary driver of USAID's urban programming and adopts the following four development principles to support sustainable urban services:

- 1) Ensuring Political and Financial Stability;
- 2) Advancing Accountable Pro-Poor Service Delivery Models;
- 3) Fostering Market Orientation and Public-Private Collaboration; and
- 4) Supporting Municipal Resilience.

While these principles are interrelated, this case study focuses on the fourth principle of *supporting municipal resilience*.

## **A. Multidimensional Nature of Urban Issues**

Rapidly growing cities in Africa typically do not have the capacity to manage or cope with the pace of urbanization. Secondary cities are struggling to create or retain jobs while providing vital services. Municipal governments have low capacity to diversify

and revitalize their economies, retain and sustain capital, and attract vital sources of investment. In addition, secondary cities face a huge backlog of demand for infrastructure, housing, and other essential urban services. This lack of capacity to manage basic services magnifies the risks from environmental hazards, especially those from climate impacts, which are projected to increase in intensity and frequency. Urban planning and land regulation are critical areas for urban governance, and USAID and other donors play an important role in filling gaps between national- and local-level governance issues for the foreseeable future.

This case study provides evidence for potential areas of intervention to support strategic, urban-resilience focused investments by USAID and the development community interested in addressing the multitude of issues related to rapid urbanization in secondary cities in Africa. Support by the international development community can substantially reduce vulnerabilities to environmental and social risks, while presenting opportunities for co-benefits and future cooperation.

## **B. Resilience in Secondary Cities**

The activities documented in the USAID Mozambique Coastal City Adaptation Project (CCAP) suggest that proactive investments in building adaptive capacity of municipalities can reduce vulnerabilities of newly arriving and current residents in secondary cities. More

than half of Mozambique’s population lives in small cities dotted along a 1,550-mile coastline – cities that serve as the country’s economic engines. Floods, droughts, and cyclones are frequent, and climate change is expected to increase the severity of these events. CCAP is a five-year, \$14.9M pilot project ending in December 2018 that works in consultation with the municipal governments and the communities in Pemba, Quelimane, and Nacala. Informal neighborhoods were selected for targeted interventions: Icídua in Quelimane, and Paquitequete in Pemba. Working with these communities, the project team identified several priorities for building resilience, including vulnerability mapping, land use planning policy enhancements, green infrastructure, improved sanitation, climate-smart housing, and stronger municipal management.

Resilient communities are those that can demonstrably withstand and absorb shocks and rebuild themselves as needed. Resilience is central to the understanding of urban area vulnerability and there is a special need for programs that are designed to address – and therefore reduce – risks in secondary cities.

### **Definition of Resilience**

USAID defines resilience as “...the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.” - *USAID Center for Resilience*

## C. Resilient Development Linkages to USAID's Urban Policy

The speed and scale of urbanization bring a broad suite of development challenges to achieving USAID's Urban Policy's objectives of creating conditions to promote peace and security, fostering opportunities for employment and education, providing access to quality water and sanitation services, investing in affordable and safe housing, and encouraging fair and democratic governance.

USAID is positioned to support secondary cities to better manage resources and govern by committing to building long-term resilient systems geared towards improved urban service delivery. Approaches that align with USAID's Urban Policy framework include the following set of ideals, some of which are threaded through the CCAP Project:

- **Support policies of secondary city governments to ensure that benefits from growth are equitable and sustainable.** Cities are economic engines of the global economy. In Africa, the trend towards urbanization will shift its economic profile from a rural, agriculture-driven economy to an urban-driven economy. Resilient urbanization, therefore, requires that cities generate income and employment opportunities fairly and for all demographic groups.
- **Implement approaches tailored for the local context.** Policies that restrict rural-to-urban migration are ineffective at slowing urbanization. In face of this reality, new strategies to support inevitable urbanization in secondary cities are needed. Whether interventions occur at the neighborhood, municipal, or regional agglomeration scale, specialists and implementers in urban planning need to utilize their deep understanding of local contexts to soundly address localized political nuances and cultural sensitivities while implementing activities.
- **Recognize and demand excellent data and quality implementation documentation.** Consistent, timely data requires expert analyses in designing – and implementing – resilient activities. Popular “no regrets” approaches may not always be the best path forward in rapidly growing (and therefore changing) secondary cities. There will be new problems and uncertainties when addressing the needs of a rapidly changing context. Thus, activities will need good information to adapt.
- **Conduct high quality diagnostic reviews of fiscal conditions to improve financial management.** Off-the-shelf public expenditure assessment tools coupled with expert analysis can lead to more sustainable creditworthiness of local governments. Improved planning and financial management systems are long-term goals that require dedication, trusting partnerships, and open collaboration, which are critical to achieving sustainable results.

## D. Methodology

For the USAID Support of the Urban Policy (SOUP) Project, urban resilience experts from ECODIT, World Resources Institute (WRI), and Mott MacDonald were tasked with analyzing how activities and interventions from USAID Mozambique’s CCAP could meet the objectives of USAID’s Land and Urban (LU) Office and to produce a case study report on the findings.

The primary audience for this case study is USAID staff implementing the development strategy for Africa and managing the Africa portfolio. Additional audiences include decision-makers in development assistance who currently manage or are planning urban-related projects in Africa who need well-documented “on the ground” experiences. Best practices, opportunities, and impediments (“lessons learned”) to successful implementation of resilience measures for secondary cities are presented through examination of CCAP and related literature.

The team analyzed results from a [mid-term evaluation of CCAP](#), which was conducted by ECODIT in October 2016 to January 2017. The team prepared a database of secondary source reports and studies that focused on urban resilience interventions from donor assistance to identify trends in secondary cities in Africa. The team also compiled documents from CCAP, including publicly available work plans, progress reports, strategic guidance, the mid-term evaluation report and other technical documents.

The team conducted a preliminary review of the documents and drafted an annotated outline for review by USAID. Comments by USAID were received and addressed by the team, and the team followed the timeline agreed to in the initial work plan.

The authors assume that readers of this case study have some familiarity with the development issues, economic and political trends, and geographic uniqueness of Mozambique. Readers may benefit from a contextualization of the development context and CCAP, which is presented in the next section as it relates to the urban resilience issues in secondary cities in Africa. While there is wide agreement that rural-to-urban migration is occurring at rapid pace in Mozambique, little research that disaggregates drivers of migration has been conducted to date.

The development context, therefore, is presented as an analog that can inform future project design in other African countries experiencing rapid growth. Though the depth and breadth of the greater assistance milieu in Africa is unexplored, the authors encourage readers to review urbanization trends across the great continent.

# III. DEVELOPMENT CONTEXT

## A. Issues in Development

This section provides a very brief overview of the international development situation in Mozambique. For purposes of this report, analysis of the political situation, economic issues, health trends, and other revenue issues in Mozambique were not examined. Lessons are drawn from USAID's efforts to build resilience in secondary cities through CCAP. Several lessons from USAID's assistance in Mozambique can be transferred to other country contexts in Africa. While the thrust of these lessons aim to have practical value, readers will benefit from a broad-brushed introduction to the issues in the country that affect sustainability of activities.

Approximately 25 donors and 15 UN Agencies provided a combined total of 2.1B USD<sup>3</sup> of official development assistance (ODA) to Mozambique in 2015.<sup>4</sup> Despite this massive support, and combined with Mozambique's rapid economic expansion in recent decades, only a moderate impact on poverty reduction, including the geographical distribution of poverty, has been achieved.

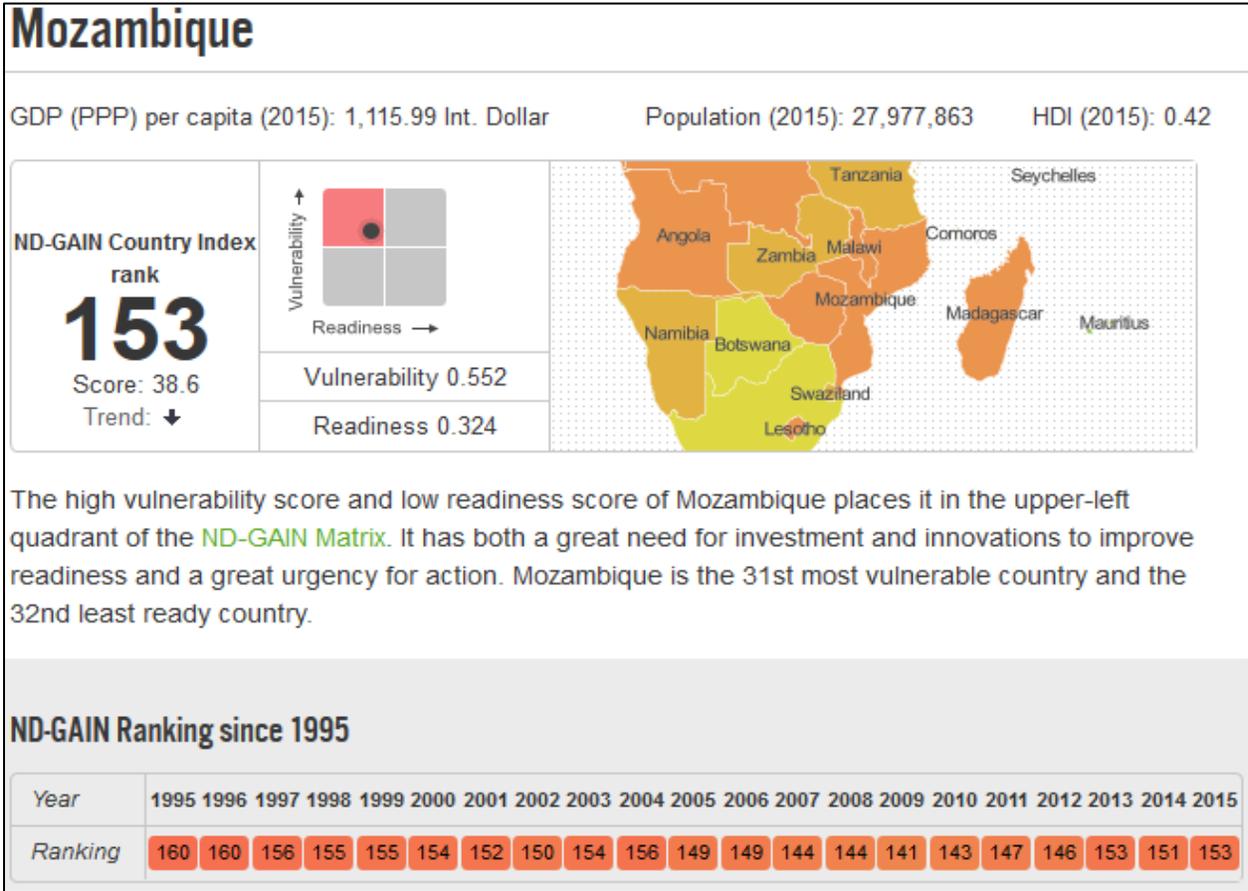
Mozambique's social indicators are very low. The 2015 Human Development Index places Mozambique at the bottom of annual rankings, currently 180 out of 188 countries and territories measured. The World Bank (see footnotes 3 and 5) indicates that the adult literacy rate is 56%, and average life expectancy at birth is just 50.3 years. Mozambique faces other challenges such as increasing malnutrition and stunting. Malaria remains the most common cause of death, responsible for 35% of child mortality and 29% for the mortality of the general population. HIV prevalence among adults shows a downward trend, stabilizing at a relatively high rate of 11.5%. The social progress index for access to improved sources of water and sanitation ranks Mozambique 128th and 119th, respectively, out of 135 countries measured. Indeed, Mozambique has one of the lowest levels of water consumption in the world despite being endowed with good quality water sources. High levels of unemployment, rapid migration, and low capacity to manage urbanization make it difficult for secondary cities to diversify or attract investment.

<sup>3</sup> World Bank: Net official development assistance and official aid received, available at:

<http://data.worldbank.org/indicator/DY.ODA.ALLD.CD?end=2014&locations=MZ&start=1960&view=chart>

<sup>4</sup> Official Development Assistance to Mozambique Database, available at: <http://www.odamoz.org.mz/reports/donors>

Limited institutional capacity exists across nearly all levels of government; a development issue that exacerbates impacts from social and environmental events. Mozambique is highly vulnerable to the greatest risks from climate change impacts projected for Africa. Of 181 countries measured, the University of Notre Dame’s Global Adaptation Index (ND-GAIN) (see Figure 2) ranks Mozambique 153<sup>rd</sup> as of 2015, placing it among the most vulnerable, underprepared countries in the world across several development indicators.<sup>5</sup>

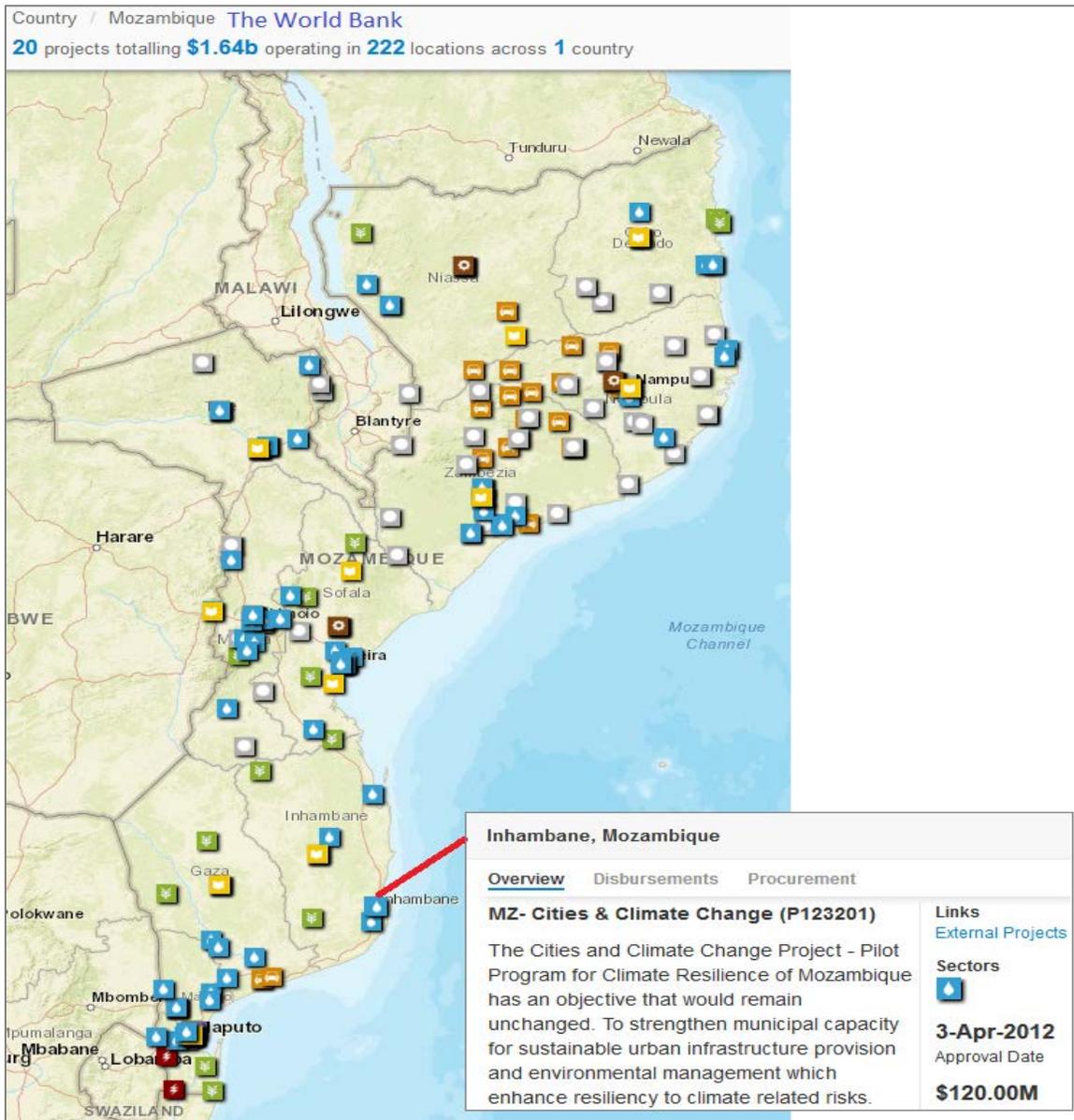


**Figure 2.** ND-GAIN ranks 181 countries on 1) vulnerability to extreme climate events such as droughts, superstorms, and other natural disasters and 2) readiness to successfully implement adaptation solutions.

The Government of Mozambique considers poverty reduction, education, health, infrastructure, and urban resilience as top priorities and donor funding has been increasing for those sectors in general. The World Bank is the largest player in the development space in the country, with current allocations of \$1.64B USD to support Mozambique to improve infrastructure, urban economic development, institutional

<sup>5</sup> World Bank Mozambique Country Profile, available at: <http://www.worldbank.org/en/country/mozambique/overview>

capacity, and climate change. The World Bank has committed several tens of millions of dollars to coastal urban projects (see Figure 3), though a dispute over how some funds have been spent in 2016 has placed development efforts on hold.<sup>6</sup>



**Figure 3.** The World Bank currently implements 20 projects valued at \$1.64B in 222 locations in Mozambique. The Bank’s “Cities & Climate Change” project commits \$120M through 2018. Source:

<http://maps.worldbank.org/p2e/mcmap/map.html?org=ibrd&level=country&code=MZ&title=Mozambique>

<sup>6</sup> Werneau, J., Wirz, M. “World Bank is Suspending Direct Financial Aid to Mozambique” April 27, 2016 <https://www.wsj.com/articles/world-bank-is-suspending-direct-financial-aid-to-mozambique-1461775025>

## B. Mozambique's Secondary Cities

Like most African countries, drivers of urbanization are complex in Mozambique and require further study. The World Bank's 2008 [Urbanization and Municipal Development in Mozambique: Urban Poverty and Rural-Urban Linkages](#) report notes that drivers of urbanization in the country are primarily informal labor markets, which result in a mismatch between municipal level revenues and demands on services and infrastructure. The urbanization report also notes that there is a critical need to research secondary cities and urbanization trends, which presents an intervention opportunity for USAID.

“[Rural-to-urban migration] research in Mozambique is limited by significant secondary information constraints, with little disaggregation of socio-economic data at the municipal scale that might be considered statistically robust. This is not helped by the wide diversity of places that are labelled ‘urban.’ Municipal boundaries tend to include very diverse realities, ranging from the core ‘cement cities’ to traditional housing in peri-urban localities and localities with distinct rural characteristics. These are often linked not only by a common local government but also through the daily commuting of workers.”

The working definition of secondary cities for this case study includes the following common features: sub-national cities that are centers of local government, industry, agriculture, tourism, and extractives; populations of 100,000 to 1 million residents, though upwards of 5 million is also commonly described in the literature; clusters associated with expanding formal and informal peri-urban settlements; economic trade corridors with distinct centers of growth; and strong demand for increased capacity to finance and manage services.

As of 2016, a deteriorating economic situation in Mozambique coupled with renewed armed conflict between political factions have created insecurity and are widely accepted to be causing rural-to-urban migration, further stressing municipal capacity to provide services. That said, again, on-the-ground assessment is needed to qualify and quantify the causes of movement of people in order to design appropriate responses.

Secondary cities in Mozambique are particularly vulnerable to environmental hazards, with more than half of the country's 26 million people living along the coastline. About 60% of Mozambique's population lives in coastal cities, and those cities account for a disproportionate share of national economic activity. Many coastal cities and communities are poorly prepared for extreme climate events such as floods and

tropical storms that are a normal part of climate variability, and such events will likely become more frequent and extreme as the climate changes. The impacts are exacerbated by a variety of complex issues – migration, drought, conflict, unemployment, weak governance – that will take several years to resolve.

While the development issues in Mozambique are many, this case study draws on just a few lessons from urban resilience development activities in the secondary coastal cities. CCAP works with three cities located in low-lying coastal areas that are most exposed to current and future climate risks in Mozambique (Pemba, Quelimane, and Nacala). Rising sea levels are gradually contributing to severe erosion along the coastline adjacent to city centers and critical infrastructure. High ground water tables, tropical cyclones, and severe storms regularly cause severe flooding in each of these cities, which severely impact poorer households in the lowest lying areas. Encroachment of urban development into mangroves, existing green areas, and into areas that help drain the three cities exacerbate exposure to climate risks by reducing storm protection and downward infiltration of rainwater, which increases incidences of flooding. Rising sea levels are projected to increase coastal erosion – causing land loss, displacement of residents, and the loss of coastal wetlands – with implications for fisheries and coastal protection, and saline intrusion into freshwater systems and aquifers in low-lying areas. Sea level rise will also exacerbate the scale and impact of storm surges from storms and cyclones.

The combination of these issues poses serious challenges to the health and prosperity of Mozambique’s coastal cities; and the planned efforts by USAID, donors, and partners to tackle these problems are expected to generate experiences that would be of relevance to other urban areas in Africa.

### **C. USAID CCAP: Three Pilots in Coastal Mozambican Cities**

Lessons learned are used to document significant new understandings that have evolved as a result of a project. Since CCAP is a unique urban resilience pilot project in Mozambique, USAID can utilize and build upon what worked well and avoid some of the inefficiencies experienced by the project’s activities, interventions, and tools.

The USAID Mozambique CCAP is a 5-year, \$14.9M pilot project ending in December 2018. CCAP’s overall goal is to increase climate resilience in the rapidly urbanizing, coastal cities of Pemba, Quelimane, and Nacala. The project aims to pilot tools and solutions that can be more broadly adopted or applied to benefit other coastal cities in Mozambique, and ideally other countries in Africa.

Through participatory approaches, CCAP engaged with municipal staff, urban planners,

local community leaders, an array of civic organizations, and academia. The project team selected the three municipalities to develop, test, and implement a series of activities that aim to improve the provision of climate-resilient urban services by municipalities and increase adoption of climate resilience measures by communities.

The project's goal is to increase climate resilience in selected Mozambican coastal cities. The project's Theory of Change (TOC) and Results Framework propose that this goal can be reached if:

- Municipalities increase capacity to incorporate climate change adaptation into planning processes and provide more climate-resilient municipal services; and
- Communities in the municipalities adopt and implement more climate-resilient measures.

# IV. LESSONS LEARNED FROM CCAP IN ANALYTICAL PREPARATION: SETTING UP FOR SUCCESS

## A. Situational Analysis and Assessment at the Activity Level

Situational analyses and baseline assessments are essential first steps for an activity's success. A situational analysis identifies the initial context that an activity will likely operate within, whereas baseline assessments provide data that allow for monitoring an activity's progress and effectiveness through a formal monitoring and evaluation (M&E) system. Baselines draw from data collected from secondary cities to inform work planning, implementation timelines, and allocation of budgets. A situational analysis is best conducted by the project team in collaboration with USAID and stakeholders (where appropriate). Situational models provide project teams with evidence from existing analyses, reports, assessments, and other sources of information in a concise, logical manner to prepare teams to make well-informed decisions and, by extension, identify the best strategic approaches to achieve lasting urban resilience.

Once the project team agrees on the *extent* and *timeframe* to conduct baselines, an assessment of a country's secondary cities' spatial, financial, and political context can begin. Depending on the needs outlined in the project design, a team can first start by conducting a situational analysis, which can inform a related set of targeted assessments. Combined, the assessment and analysis can uncover intervention points, political trends and concerns, gaps that the project can and cannot fill, and opportunities to leverage previous and ongoing work (see *text box*).

Situational analyses of targeted secondary cities show how the local economy is evolving and what the interactions are between vertical (municipal, provincial, regional, national) and horizontal (political, economy, equity) urban-centric scales. Thus, depending on the objectives and design approach of the project, a situational analysis and/or related assessments can identify potential entry points for resilient-oriented interventions and activities. The assessment and analysis should be tailored to fit the objectives and preliminary expected results of the project. Determining key roadblocks

to successful implementation also will assist with identifying potential issues in implementation. Illustratively, situational analyses can reveal the following:

- How demand for city services and space is changing with economic development;
- Locations and causes of environmental hazards and vulnerabilities;
- Capacity of municipal- and provincial-level decision-makers;
- Municipal financial flows and budgets;
- Responsibilities of municipal-level departments;
- Disaggregation of residents into socio-economic, gender, age, and other relevant categories to assess equity challenges and opportunities along with geo-spatial locations to assess environmental hazards;
- Profile of the labor force, household incomes, and common economic drivers (including understanding of any prevalent short-term economic shocks, such as status of recovery from a major storm or discovery of new minerals or fuels);
- Status of municipal services, housing, and infrastructure;
- The pace of new arrivals, especially migrants; and
- How these new arrivals into the cities find places to live, work, and commute.

A **situational analysis** is a problem analysis used to identify strategic approaches to achieve urban resilience. The exercise represents observed or presumed causal relationships among factors that impact one or more activity interests. It is a useful tool that allows project teams to work together to build and agree upon a model that represents a common understanding of activity goals and positive/negative factors that influence those goals. The analysis provides the foundation for good strategic planning. A **baseline assessment** provides data that allows for measuring an activity's progress and effectiveness towards outputs during and after implementation. It is a foundational element of an M&E system, though data can be utilized for discrete activities. The assessment sets performance targets and ensures accountability to partners and stakeholders. Through mid-term reviews, project completion reports, and other evaluations, progress can be measured and documented by comparing recent data with the information from the baseline study.

The depth and scale of the situational analysis and related assessments will cost time and resources. The latter, therefore, should be allocated as appropriate for this process to temper expectations. For example, readily available data could be collected and analyzed quickly to cut time and costs. More robust results could be engaged in short-term assignments to future deepen the understanding of the issues that need to be addressed in the cities the project supports. For example, a situational analysis may reveal the need to hire specialists in such development sectors.

For urban projects or projects with urban-related components, “resilience thinking” and adaptive management serve as logical principles to frame the subsequent examination of and conclusions gleaned from the situational analysis and related baseline assessments.

Baseline assessments conducted in Year One of the Mozambique CCAP identified localized environmental vulnerabilities and opportunities for interventions and exposed unforeseen issues that required further, specialized treatment. These were developed using a combination of the United Nations Office for Disaster Risk Reduction (UNISDR) Local Government Self-Assessment Tool (LGSAT) and a community-based approach to develop vulnerability maps. Interventions that flowed from these baselines included several local-level policy changes, targeted institutional support, climate-smart housing, and mangrove restoration.

The project team conducted municipal institutional assessments that led to the design of a demand-driven, multi-disciplinary technical assistance plan with partner organizations and stakeholders. CCAP mapped the organizational structures of Pemba and Quelimane municipalities, and conducted surveys of resources and capacity of staff and resource organizations. The project team also completed a review of activities and projects by other donors and mapped the functions and duties of relevant government departments, such as finance, urban planning, public works, housing, sanitation, and infrastructure.

## **B. Fragility and Unforeseen Events**

Projects operating in highly vulnerable, high-hazard areas need to assess, monitor, and plan for external risks; risks that could negatively impact both implementation objectives and long-term resilience objectives. This issue was identified through responses to Question 3c of the USAID Mozambique CCAP Mid-Term Evaluation – “What are some major implementation obstacles/challenges and opportunities (reported by the municipalities and other stakeholders) anticipated over the next 2.5 years of implementation?”. It is possible that the situational analysis and baseline assessment uncover unforeseen events that could disrupt either implementation of a project or change the balance of risks in the underlying context for which resilience is being developed. For example, in Mozambique and other African countries, rural conflict could erupt, flooding urban areas with many thousands of migrants; a cyclone or major storm could impact a coastal city with low emergency response capacity; or a regional drought could flare into a food security crisis. Major events can disrupt project implementation or long-term success by causing stakeholders to re-prioritize development needs. Monitoring and information sharing of these situations do not

consume much time or resources, so communication with USAID and the project team can be a critical element to a project's success. Depending on the results from the situational analysis and assessment, a project team could prepare contingencies for such situations, including preparation of a living security plan or a disaster-response contingency plan.<sup>7</sup>

In the short-term, USAID/Mozambique faces three challenges that could hinder CCAP's success. These challenges are presented here as a set of analogs for USAID and other donors to consider when designing urban resilience projects in African countries with similar environmental, food security, and human security issues.

1. **Economic crises.** In early 2016, Mozambique entered a nationwide economic crisis caused primarily by a national-level corruption scandal involving donor funds. Secondary, parallel causes were persistent drought, ongoing economic downturn, a high debt-to-GDP ratio, low commodity prices, and armed conflict. Financial systems were unprepared to coordinate a strategy to stabilize the crisis. Inflation and depreciation of the metical – the state currency – impacts government services, informal and formal incomes, savings, commodities, and investor confidence. The International Monetary Fund (IMF), the World Bank, and other multilateral banks have, as of the time of writing this report, coordinated with the Government of Mozambique to attempt to conditionally stabilize the economy.<sup>8</sup> Talks are fragile and uncertain. Policy changes may affect municipal allocations and environmental policies, including those related to climate adaptation. The World Bank's December 2016 report, [Facing Hard Choices: Mozambique Economic Update](#), outlines a dire situation for Mozambique.

For USAID, this situation could occur in other least developed countries of interest in its Africa portfolio. USAID may want to consider adopting a (or strengthening an existing) financial sector surveillance system and coordinate a crisis management approach to protect its investments and interventions.

2. **Food security.** The March 2017 Famine and Early Warning Systems Network (FEWS NET) estimates the number of people experiencing acute food insecurity and nutrition crisis in Mozambique to be 2.3 million through at least 2017.<sup>9</sup> In the short term, this is likely to result in the widening of a food security crisis

<sup>7</sup> For a framework, see the following example: "USAID RELPA-Enhanced Livelihoods in the Mandera Triangle Program- Technical Brief: Contingency Planning and Preparedness." Available at: [www.pdf.usaid.gov/pdf\\_docs/Pnadu775.pdf](http://www.pdf.usaid.gov/pdf_docs/Pnadu775.pdf)

<sup>8</sup> F. 2016. "IMF Staff Concludes Visit", September 2016. Available at:

<http://www.imf.org/en/News/Articles/2016/09/29/PR16436-Mozambique-IMF-Staff-Concludes-Visit>

<sup>9</sup>FEWS NET Food Security Outlook, March 2017. Available at: [www.fews.net/node/20041](http://www.fews.net/node/20041)

and increased stresses to prices, livestock, and food stocks across Mozambique. Due to below-average rainfall, crops will be projected to be poor in coastal areas of interest in this report: Cabo Delgado (e.g., provincial location of Pemba), Nampula (e.g., location of Nacala), and Zambezia (e.g., Quelimane). These three municipal areas are dependent on regional food production, which could impact health of residents and slow progress of USAID interventions. These issues may be further at risk from a projected strong La Niña forecast, which generally brings above-average rainfall to Southern Africa. Cyclones also are more likely during La Niña periods.

For USAID, carving out an allocation of funds for future urban resilience support could contribute to the development of municipal-level drought Early Warning Systems (EWS).

3. **Conflict-induced migration.** Renewed conflict between political factions in Mozambique has led to armed attacks inducing rural-to-urban migration in certain provinces. There is increasing insecurity in some provinces and armed attacks are regularly reported by the media.<sup>10</sup> Combined with drought, this insecurity has led to increased rural-to-urban migration, adding additional pressure on municipalities, including Pemba and Quelimane. Urban areas will need additional assistance to either prevent or integrate new migrants into the municipalities.

USAID/LU supports the Agency's Crisis Prevention and Response development objective.<sup>11</sup> Work in secondary cities – not just capital cities – can help build local populations' trust in their governments. In urban areas experiencing in-migration of conflict affected people, USAID can coordinate with government, donors, and health facilities to assist people to orient to new homes (even if those homes are in informal slums). USAID can disseminate best practices, support, and other technical knowledge to address issues of trauma, housing, access to services, health care, and employment. Assisting post-conflict migrants can be an effective way to engage them, as these are likely eager to fit in and find work, and in turn provide much-needed economic stability to secondary cities.

<sup>10</sup> A Foreign Affairs investigation reports that the current government may be responsible for civilian deaths. See "Mozambique's Invisible Civil War" May 2016, <http://foreignpolicy.com/2016/05/06/mozambiques-invisible-civil-war-renamo-frelimo-dhlakama-nyusi/>

<sup>11</sup> See USAID's Urban Policy, Chapter 4. <https://goo.gl/qcPe5v>

# V. LESSONS FROM CCAP IMPLEMENTATION

This section draws on the experiences of CCAP to connect key lessons with USAID’s Urban Policy to support future activity design in secondary cities in Africa. Most urban resilience research focuses on trends in the world’s biggest, most competitive cities. There is much less information available on the economies, land uses, finances, infrastructure, and governance of secondary cities. CCAP has been active since 2014 and is expected to conclude in 2018. Authors recommend that findings in this case study be revisited after the project is completed.

## **LESSON 1: PRELIMINARY ANALYSES AND ASSESSMENTS CAN LEAD TO CO-BENEFITS**

There is very little data available on the development issues in secondary cities, and well-formed and documented situational analyses and baseline assessments are necessary for successful implementation of urban resilience projects. While assessments inform a project’s M&E strategy and performance monitoring, they also provide critical information in portfolio reviews, lessons learned reports, and *ex-post* evaluations, all of which are especially useful for other donors working on similar development issues.

CCAP used assessments to uncover and capitalize on new opportunities. For example, CCAP’s assessment data was leveraged to support and create Local Adaptation Plans (or PLAs - “Planos Local de Adaptação”), which are medium-term plans used by municipal staff in Pemba and Quelimane to prioritize climate adaptation measures. The PLAs were coupled with community-based vulnerability maps and integrated into the cadaster system in both cities. A partnership was formed between beneficiary municipal planners and city planners in Durban, South Africa. These PLAs, in-turn, assisted the municipalities to create a permitting process that aims to track, limit, and manage development types in vulnerable areas.

## **LESSON 2: SUSTAINABILITY IS A FUNCTION OF GOOD PARTNER MANAGEMENT**

Beneficiaries should play a partnership role throughout the development and implementation phases of activities. While approaches to fostering stakeholder engagement are plentiful, cultivating good partnerships demonstrably leads to

sustainability of activities. As described in *Section II.B*, the situational analyses and baseline assessments can lead project teams to identify individuals and institutions likely to commit and take action and possibly provide additional opportunities, such as buy-ins. A dedicated committee, advisory board, or coordination team are best for representing all sides fairly throughout implementation and eventual hand off.

To solidify commitment, memoranda of understanding (MOUs) serve to clarify roles, hold partners and the project team to account, and describe measures of success of activities. MOUs are important documents that make activities look and feel official. MOUs help achieve buy-in and commitment from municipalities and service support organizations, and serve as a critical step towards sustained efforts to activities in municipalities. Surrounding communities often take notice of MOU signings and express interest in learning more. A process of open dialogue also builds trust, especially in areas where sensitive budgeting matters are being discussed – regardless of whether the budget or financial issue being examined is the municipality’s, the stakeholders’ or the project’s.

Results from the mid-term evaluation of CCAP show that the project had good intentions to work closely with stakeholders from start-up. However, key institutional partners reported that status updates, project documents, and strategies for a way forward were lacking. On the other hand, CCAP supported a technical exchange visit to Durban, South Africa, where municipal officials learned about benefits of adaptation planning. MOUs were signed between the Durban technical division and Pemba and Quelimane.

Illustratively, USAID can require partnership approaches to be included in activities to ensure sustainability of urban-focused projects through better partner management. These could include the following actions:

1. Include partnership engagement activities and tracking in M&E plans;
2. Ensure activities are designed with considerable inputs from beneficiaries;
3. Incentivize implementers to proactively encourage and support local partners to lead key meetings and training workshops. This has the advantage of showing the beneficiaries that the local individuals and institutions are in the driver’s seat and are able to sustainably manage activities after project close-out; and
4. Encourage audiences to view local partners as project leads and owners of activities and interventions.

## **LESSON 3: ECOSYSTEM SERVICES PROVIDE A LINK TO RESILIENCE AND URBANIZATION**

Activities that involve restoration of ecosystems for livelihoods and flood protection need to be carefully designed to achieve results. Ecosystem services do apply to urban areas, especially for coastal cities such as Pemba, Quelimane, and Nacala. CCAP's project team committed to restoring deforested mangroves near extremely vulnerable – and growing – slums and villages near Quelimane. Residents are deeply impoverished and the area has poor drainage, high exposure to seasonal cyclones and storm surge, and no access to basic municipal services. CCAP led a vulnerability mapping exercise of the area and found the villages to be among the most vulnerable in Quelimane. When functioning, mangroves traditionally provide good levels of protection from floods and storms. However, at least 50% of 5,700 hectares of mangroves in this area have been cut, cleared, or degraded; CCAP is restoring just 13 hectares.<sup>12</sup> Municipal staff report that people should not be living in the vulnerable areas where USAID provides support. The National Institute for Disaster Management (INGC) in Mozambique also reports that relocation of communities to less vulnerable zones is a high priority for the municipality, though funding is lacking for such action.<sup>13</sup> As a result, residents may be developing a false sense of hope that they are protected from major events.

Activities that apply an ecosystem services approach can be leveraged to address issues of urbanization, such as reducing vulnerability, increasing community resilience, and providing livelihoods.<sup>14</sup> However, there needs to be realistic recommendations from analysis of baseline data. Further analysis of ecosystem service approaches for highly vulnerable urban areas provides an opportunity for USAID to design sound activities that lead to sustainability of livelihoods, vulnerability reduction, and biodiversity conservation.<sup>15</sup>

## **LESSON 4: MAINSTREAMING RESILIENCE INTO CITY DEVELOPMENT GOALS IS IMPORTANT**

Mainstreaming resilience into development goals for urban areas will be the only way for sufficient attention and priority, given the wide range of urgent issues facing

<sup>12</sup> See the good discussion of this issue in USAID Mozambique CCAP Mid-Term Evaluation 2017: *Annex G: Lessons Learned from CCAP Mangrove Restoration*. Available at: [http://pdf.usaid.gov/pdf\\_docs/PA00MJG4.pdf](http://pdf.usaid.gov/pdf_docs/PA00MJG4.pdf).

<sup>13</sup> Id at pages 33–34.

<sup>14</sup> Ranganathan, J. Et al *Ecosystem Services: A Guide for Decision Makers*. Washington, WRI. March 2008.

<sup>15</sup> Quinn, C. et al. "Adaptation and poverty reduction in Mozambique: an opportunity for developing countries to lead," *Climate Policy* (2016).

rapidly growing secondary cities. Mainstreaming means integrating resilience-related thinking into standard development planning and decision-making. Developing resilience or adaptation plans in secondary cities can be an important step. However, resilience cannot be seen as a “side” issue, with an adaptation plan developed but then not considered while developing the actionable, and often budget-connected, urban and land-use plans. Mainstreaming also requires a long-term perspective and approaches that deeply reflect understanding of the complementarity of these concepts – something that may require a paradigm shift. Short-term growth combined with non-sustainable practices, such as mangrove destruction, will only increase long-term challenges and costs, hampering development gains.

Urban planning processes and plans can provide an opportunity for incorporation of resilience and adaptation concepts. This requires that these plans not be anti-poor or a purveyor of unrealistic expectations, but be based on participatory processes that places the needs of the people at the center.

Specific measures that incorporate climate change into urban planning include enforcing rezoning to protect against floods, storm surges, tidal surges; preserving ecosystems that provide resilience services (mangroves, forests, watersheds); developing restrictions along rivers and coasts to minimize stress; and reducing/minimizing impervious surface cover in both formal and informal development.

CCAP has laid the groundwork for this mainstreaming by assisting three vulnerable, growing cities to incorporate tools for adaptation into municipal planning processes, yet much more will be needed. Other cities need similar training, and their desire for assistance is reflected in their requests for inclusion in this project’s activities. Capacity building – for both government officials and civil society – will be an ongoing need, given migration trends, demographics, and economic realities.

For countries like Mozambique, with multiple donors providing resources at different levels and to different groups, the need for donors to coordinate to ensure complementarity rather than duplication or work at cross purposes adds an additional complication that must be addressed. The next lessons provide more in-depth analysis relevant to the secondary city context.

## **LESSON 5: LOCAL EFFORTS MUST BE INTEGRATED WITH PROVINCIAL- AND NATIONAL-LEVEL PROGRAMS AND BUDGETING**

Success will be hampered unless local concerns and priorities are aligned and integrated with higher-level government programs and budgeting. Alignment takes

time and effort and is not automatic, and political and economic realities seem to work against success. However, this alignment with national priorities and institutions is especially important given the case of centralized political systems, such as those of Mozambique and many other countries in Africa.

CCAP's municipal partners are overseen by central government institutions, and rely on transfers of funds for their budgets. Relationships must be built and maintained throughout ups and downs of political winds and cycles. These include personal as well as institutional relationships. An integrated methodology needs to be created and applied, with demonstrable buy-ins at all levels.

The establishment of organizations bringing municipalities together, such as the *Associação dos Municípios de Moçambique*, can be helpful in providing bridges between the different levels. In addition, it would be helpful for such a group to develop a diagnostic of fiscal conditions, review and document staff capacity to track and manage budgets, and document how taxes and fees are collected and enforced to pinpoint areas of strengths and weaknesses.

Unless USAID aims to continue support after CCAP closes, training that is provided under CCAP and similar programs must find an institutional home after projects end. If they do not, the progress made during such projects risks fading away. With a home, domestic institutions can expand these programs and build upon progress to date. Furthermore, for greater impact, the municipalities would need to take an active role in scaling up programs to other secondary cities, or even up to the national level. This will require improvements in the enabling environment, continued vertical and horizontal collaboration, civil society engagement, and dedicated financial resources. CCAP activities have laid some groundwork, but ongoing and expanded assistance is needed for broader and lasting impact.

### **Sub-Lesson 5.1: Improvements Are Needed for the Enabling Environment**

Improving the enabling environment – ensuring and improving institutional arrangements, implementation, documentation and information flows, and responsiveness to economic trends – is key for improved action in both the public and private sectors, and their complementarity. While these will take time, the advancements will improve long-term sustainability of programs/projects.

### **Sub-Lesson 5.2: Vertical Collaboration and Alignment Are Essential**

Vertical alignment refers to consistency between different levels of government, and is important so that different parts of the government do not work at cross purposes. National and provincial initiatives, policies, and laws should be consistent with local

and municipal efforts at a minimum, and ideally be crafted to build upon each other for maximum impact. This includes collaborative and aligned procedures for data collection, information management, and use of spatial data and information for decision-making.

This alignment can be especially challenging over time, and where opposing political parties control different levels of government, there may be perceived political advantages to withholding cooperation, and even information. Broad-based public support and participation (discussed below) can mitigate this risk somewhat, yet the reality must be acknowledged when designing and implementing projects and programs.

### **Sub-Lesson 5.3: Horizontal and Cross-Silo or Sector Cooperation is Essential**

Horizontal cooperation refers to collaboration between different ministries or agencies at the same level of government. Thus, this means different ministries at the national level, or different agencies or offices at the municipal level. Key actors must be identified, and USAID can encourage them to work together through respective urban projects. Key offices include those dealing with urban land management environment, economic development, finance/budget, public works, health, climate change and adaptation (should it exist), disaster management and response, and water management (should it exist). Working together, armed with shared and consistent socio-economic and spatial data, should lead to more cost-efficient as well as higher-quality government performance and services. However, competition between ministries – in this case the Ministry of Science and Technology (MITADER), and the Ministry of State Administration (MAE) – who often vie for similar climate change project allocations, must be acknowledged, and creative solutions must be sought.

One such potential solution is seen in the vulnerability maps developed in CCAP, which as noted above with respect to vertical cooperation can convey complex information across agencies and silos to create common understanding. This occurred in Quelimane and Pemba, enabling inclusion of climate change challenges into municipal planning and decision-making processes.

Inter-agency processes and information-sharing are difficult even in the most advanced of cities and countries, yet if different parts of the government are working against each other, failure is sure to ensue. This combines horizontal and vertical coordination together. This required inclusion of all relevant agencies sometimes does not occur, such as in the case of MITADER not being sufficiently informed about and included in CCAP activities.

#### **Sub-Lesson 5.4: Promotion of Civil Society and Individual Engagement Provides Continuity and Key Knowledge**

Civil society often has a deep and real understanding of local issues, including challenges and opportunities, which is valuable for project teams. Civil society groups can provide continuity and institutional knowledge when political dysfunction prevents official institutions from performing this crucial role. Transparency can help increase citizens' level of awareness and trust of governmental actions.

Civil society and individual engagement also can pressure the government to address resilience issues that may not receive sufficient emphasis in more traditional policy processes. This is where CCAP laid a solid base upon which to build. Technical assistance provided to civil society both created new capacity and unlocked and expanded existing enthusiasm and capacity. Training events were well attended, although their longer-term impact will take time to properly evaluate. That said, workshops and trainings by CCAP raised the level of visibility and awareness of climate change adaptation challenges and solutions among an important group – civil society organizations – that can remain engaged and active, while government officials may come and go.

Communications play a key role here. Care must be taken to ensure that messages are crafted for appropriate audiences, which likely means having multiple sets of consistent messages for different segments. For example, recent migrants to the city may be more likely to respond to messages linked to drought while young residents connect better to messages about the future. Messages can link to behavioral change that empowers and leads to action. Here, for example, improved solid waste management (SWM) “reduce, reuse, recycle” awareness can be tied to culvert clearing to connect short- and long-term impacts and to communicate successes of specific completed projects.

### **LESSON 6: SUSTAINABILITY REQUIRES LONG-TERM PERSPECTIVES WITHIN SHORT-TERM PROJECTS, AND VICE VERSA**

Differing time horizons can compete with the need to be patient to build towards resilience. Political reality forces politicians, and the staff who work for/with them, to generate sufficient short-term wins and outcomes through short-term projects and subprojects, for longer-term projects to remain on track.

CCAP in Mozambique has built on previous climate resilience efforts, providing a positive trajectory. Short-term projects and concerns such as cleaning culverts, accommodating migrants, and budget strains must be nested within policies and

processes addressing longer-term concerns such as time horizons for resilience, the slow pace of changing the enabling environment and the need for more transparent and better-managed municipal capacity. This requires political as well as bureaucratic skill and creativity on all sides, and cannot always be achieved. This difficult acknowledgement of some of the tradeoffs between short- and long-term concerns and priorities itself provides political and sometimes economic challenges that need to be managed.

These challenges are typically emblematic of tensions between perceived longer-term climate change adaptation challenges and shorter-term disaster risk reduction (DRR). This is an area that needs more work, both in terms of thinking and exploration of on-the-ground solutions. Yet work begun under CCAP provides some examples of complementary efforts. One example is seen in the vulnerability maps which, when linked with municipal cadastral systems, can guide development and building away from vulnerable zones and/or higher-risk building practices. Key in this effort is ensuring that incentives guide development towards lower risk locations.

Pilot activities in secondary cities – especially those exploring environmental change, new paradigms, and promoting behavioral change – likely will not yield impressive visual results in the near term. Pilots provide the opportunity to test ideas and work out details and adapt to changes along the way. Investments in documenting the processes and findings, therefore, is critical to achieving successes and conveying them to beneficiaries and beyond. This is even more important when different development perspectives and communities are involved, such as where urban planners are working with resilience and adaptation experts. Pilots help investors and donors identify what works and what does not work through M&E, and reporting on the costs and benefits of various pilot activities. For resilience to "take hold," USAID's urban support will need to find a way to lengthen project cycles and opportunities for gradual discontinuance for aid. To add weight to strategy development to develop longer-term projects, USAID can look to U.S. commitments to support Sustainable Development Goals (SDGs) and outcomes of Habitat III (see *Annex A*)-which have multi-decade time horizons.

## **LESSON 7: BUDGET LINKAGES ARE KEY TO SUCCESS**

National and sub-national budgets need to be aligned to resilience goals, with sufficient resources provided so that resilience and adaptation goals do not become unfunded mandates. National budgets should include specific budget lines for adaptation, and there should be clear flows to provincial and municipal budgets. Clear funding streams can better leverage local-level development efforts that increase

resilience and sustain beyond USAID interventions. This is challenging given the rather opaque nature of budgeting in many African countries, especially those with strong executive and central governments. The linkages between adaptation and development should be explicitly made, although care should be taken to ensure complementarity.

### **Sub-Lesson 7.1 USAID Urban Project Budgets Need to be Transparent**

There is a critical need for information about urban development processes in secondary cities – data gaps are wide and USAID can assist more beneficiaries by sharing information. CCAP’s financial progress reports (published on USAID’s Development Experience Clearinghouse [DEC]) provide insufficient, limiting information for country partners, stakeholders, civil society, beneficiaries, external researchers, and perhaps other USAID staff. Summary budget reports provide a snapshot of project costs, but they are often difficult to interpret or align with activities, and do not allow for trend analysis. More complete budget reports would allow for improved feedback. In cases where there are sensitive issues to disclose, confidential attachments that discuss those issues could be produced for a smaller audience.

In addition, there is a need for a clearer financial picture of the municipalities to better focus capacity building entry points and therefore narrowly focus activity design. More transparent financial records and clearer situational-type profiles of municipalities would allow for stronger analysis and effectiveness. Activities can include capacity building in financial record-keeping for government staff, and support to civil society groups to help incentivize demand. It should be noted that Mozambique has adopted a widely-acclaimed participatory budgeting system,<sup>16</sup> which produces transparent documentation, processes, and outputs. Participatory budgets allow citizens to participate in decisions about public expenditure in their neighborhoods and municipalities. This encourages citizens to be more engaged in their communities. This small-scale process provides an example that municipal budget officials could follow.

### **Sub-Lesson 7.2: Municipalities Need to be Empowered with Resources and Flexibility**

Secondary cities are often left out of national planning, or sufficient money does not flow down as far as needed locally. Highly-centralized fiscal systems, such as those

<sup>16</sup> Participatory budgeting began as a pilot in Brazil and has been adopted by the United Nations Development Programme, the World Bank, and others. For an introduction, see Nylén, W. Participatory Budgeting in a Competitive-Authoritarian Regime: Case of Maputo Mozambique, at: [www.iiese.ac.mz/lib/publication/cad\\_iесе/IESE\\_Cad13\\_Eng.pdf](http://www.iiese.ac.mz/lib/publication/cad_iесе/IESE_Cad13_Eng.pdf)

typically found in Africa, often provide insufficient funding to local governments. This is one reason why vertical consistency discussed above is so important. For example, in Mozambique, the government's budget proposal for 2017 keeps 74% of its disbursements for central spending, with 11% provided for provinces and 15% for districts and independent municipalities.<sup>17</sup>

What does it mean for a secondary city to be fiscally empowered to implement resilience measures? It means they must have sufficient resources, responsibility, and authority, balanced with capacity, transparency, and accountability. This requires training about financial management, tax collection, and transparency requirements. Projects like CCAP help with some of this training, but much more is needed.

Mozambique has an advantage in having a participatory budget program, where a small amount of money is allocated to communities who decide themselves how such resources should be spent. This model for effective community participation could be helpful for establishing linkages between resilience funding and municipal budget allocations.

## **LESSON 8: PUBLIC-PRIVATE PARTNERSHIPS (PPPS) ARE NECESSARY TO FILL RESOURCE GAPS**

Financial resources are needed to address adaptation challenges and ensure that urban development patterns are consistent with sustainable development patterns. The private sector is an essential partner in terms of financial and knowledge resources as well as a key actor in construction and maintenance of the built environment. Government programs will not be successful in isolation; the private sector must be a valued partner. PPPs can craft interesting structures sharing responsibilities, risks, and rewards along with innovative financing structures, mobilizing financial resources to complement insufficient public funding. Such innovations are likely to require changes in regulations about how public funds can be blended with private sources, how the public sector can work with private firms, and governance rules.

CCAP has sought PPPs for various municipal services, with the 3-2-1 service producing a workable, if small, example. This program provides on-demand information systems over mobile phones, in partnership with mobile network operator MNO (after an earlier attempted partnership with Movitel collapsed). This example has attracted attention by other locations, and has plans to expand the type of information that is provided.

<sup>17</sup> Orc, amento do Estado para 2017 as published in Boletim de Republica, 2o suplemento, 30 dezembro 2016, I serie – numero 156, page 1426-(102). It should be noted that revenues are even more highly concentrated through the central government.

## **LESSON 9: GEOGRAPHY AND LOCATION RISKS MUST BE ACKNOWLEDGED**

Some locations are entirely too vulnerable to continue to reasonably provide long-term support. There are tensions between supporting the service needs of residents in traditional, often informal locations and climate change realities, and these situations require difficult discussions and decision-making. Incentives can guide new development to lower-risk locations, and authorities must produce solid and convincing evidence-based analysis to do so. Such discussions can clarify and convey which locations are so vulnerable that relocation might be required. Sound relocation can be easier where urbanization provides fluidity that can allow additional opportunities and better services for affected residents. However, these decisions are difficult and fraught with political risk. Recent environmental events, such as a major flood or outlier storm, can provide weight to an argument to move at-risk populations to safer locations. Ultimately, local authorities need to be empowered to make these decisions for themselves, and technical capacity, while complex, can be provided by urban planning development support. Lastly, relocation plans need to link to longer-term adaptation plans for measurable and effective results towards building resilience.

## **LESSON 10: GEOSPATIAL DATA AND MAPPING PROVIDE LONG-TERM PERSPECTIVE ACROSS POLITICAL CYCLES**

Community-based vulnerability mapping, a key tool of CCAP, can be used to convey information across political cycles at the local level, and also provide local information to higher levels of government. The vulnerability maps have provided information for the municipalities that has allowed for incorporation of climate adaptation concerns into urban planning. Local adaptation plans (the PLAs discussed above) can be utilized by policymakers at the provincial levels who may be less sensitized to local concerns as they interact with national and provincial decision-makers. Local governments likely will be more agile than national governments given their proximity to land- and water-based events and challenges, yet national governments provide key guidance and resources for infrastructure and public services.

## **LESSON 11: MIGRATION REQUIRES FLEXIBILITY**

Rapid migration can alter the findings from an initial situational, baseline, or vulnerability assessment. Migration results from a range of situations – drought or flooding, conflict or gender-specific violence, or economic activity. As these drivers of migration differ from country to country, and even region to region within countries, migration's pace and details can change the landscape and issues that must be addressed. Thus, addressing migration in situational analyses and baseline and

vulnerability assessments requires location- and time-specific analysis and realistic solutions.

Activities in high-risk areas could have the unintended effect of attracting migrants, thus further increasing risks. Vulnerability maps can be used to target locations, yet also need to be updated, especially in areas and times of rapid migration and urbanization that result in new and different risks. For example, construction which limits permeability of a specific area can lead to increased flooding risk.

Migration and urban expansion can exasperate another challenge that can change local dynamics. Traditional villages in peri-urban areas can become labelled as 'slums' as the city expands around them, and may not have the legitimacy and political connections within the city government to attract attention and resources. Assessing the risks of both migration and urban expansion must be part of short-term projects and longer-term development plans.

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# ANNEX A: ILLUSTRATIVE ENTRY POINTS FOR URBAN RESILIENCE

Secondary cities are critically important to the future development and stability of Africa. The potential benefits of urban development for a transition towards sustainability must be better communicated. Compared to large agglomerations and mega-cities, secondary cities provide more land for housing and more opportunity for strategic infrastructure development, under less complex economic profiles. Ideally, urban plans are in place prior to building infrastructure, businesses, services, and residents. This is not the case throughout developing countries in Africa, where urban planning is usually an afterthought. Informal settlements and slums, which result in higher resident vulnerability, are symptoms of a lack of planning in many cases, and insufficient financial resources and ineffective implementation of plans in others.

Governments and donors need to commit to adopting a long-term perspective prior to supporting and investing in Africa's secondary cities. In addition, donors need to include the needs of existing residents and new arrivals to deeply understand vulnerabilities and economic strengths of cities as the bedrock for sound long-term planning. Parties to the United Nations, including the US, provided leadership to catalyze strategic action with formulation of the Sustainable Development Goals (SDGs) and the New Urban Agenda from HABITAT III (Table 1.). USAID and the development community can work together to commit to reaching the outcomes from these agreements, with a strong focus on supporting secondary cities.

**Table 1.** Overview of new international urban commitments and illustrative entry points for interventions

	SDGs	Habitat III
Commitments	<ul style="list-style-type: none"> <li>○ Est. Sept. 2015</li> <li>○ 17 SDGs</li> <li>○ 169 targets</li> <li>○ Integrate three dimensions of sustainable development: economic, social, and environment</li> <li>○ UN to review progress of urban goals in 2018</li> </ul>	<ul style="list-style-type: none"> <li>○ Est. Oct. 2016</li> <li>○ Non-binding agreement: “The New Urban Agenda”</li> <li>○ Focus is on connecting development to issues of rapid urbanization</li> <li>○ Efforts should be aligned with SDGs</li> <li>○ Builds on 1996 Habitat II focus on shelter and housing</li> </ul>
Urban Agenda	<p><b>5 SDGs for Urban Resilience:</b></p> <ul style="list-style-type: none"> <li>– <b>Goal 6:</b> Ensure availability and sustainable management of water and sanitation</li> <li>– <b>Goal 7:</b> Ensure access to affordable, reliable, sustainable, and modern energy for all</li> <li>– <b>Goal 11:</b> Make cities and human settlements inclusive, safe, resilient, and sustainable for all</li> <li>– <b>Goal 12:</b> Ensure sustainable consumption and production</li> <li>– <b>Goal 15:</b> Protect, restore and promote sustainable use of terrestrial ecosystems</li> </ul>	<p><b>Adopted a three-legged approach:</b></p> <ul style="list-style-type: none"> <li>– <b>Rules and regulations:</b> Guidance for ODA support to develop sound regulations of public spaces, building rights, and building codes</li> <li>– <b>Urban Design:</b> Guidance for Official development assistance (ODA) support towards urban area’s spatial layout, design of open spaces, and well-planned street patterns</li> <li>– <b>Financial Plans:</b> Guidance for ODA support for budgets, finance, taxation systems, and flows</li> </ul>
Illustrative Entry Points	<ul style="list-style-type: none"> <li>➤ Develop WASH activities in urban areas and document implementation</li> <li>➤ Support energy systems that incentivize residents to live in least vulnerable areas</li> <li>➤ Support enabling conditions and empower local governments to manage issues of urbanization</li> <li>➤ Strengthen rural-to-urban supply chains at regional levels to reduce transit times</li> <li>➤ Design activities based on realistic analysis of vulnerability assessments, and implement interventions that reduce risk and avoid growth in risky areas</li> </ul>	<ul style="list-style-type: none"> <li>➤ Design activities with clear understanding of local context, including political issues and fiscal conditions</li> <li>➤ Support development of regulations that will be enforced by empowered local authorities</li> <li>➤ Conduct vulnerability assessments aimed to inform urban spatial layout</li> <li>➤ Ensure baseline assessments document the causes and symptoms of rural-to-urban migration</li> <li>➤ Integrate adaptive management into M&amp;E plans</li> </ul>

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