



ASEAN
AUSTRALIA
SMART CITIES
TRUST FUND
Asian Development Bank

AASCTF M&E Strategy

Asian Development Bank (ADB)
15 January 2021

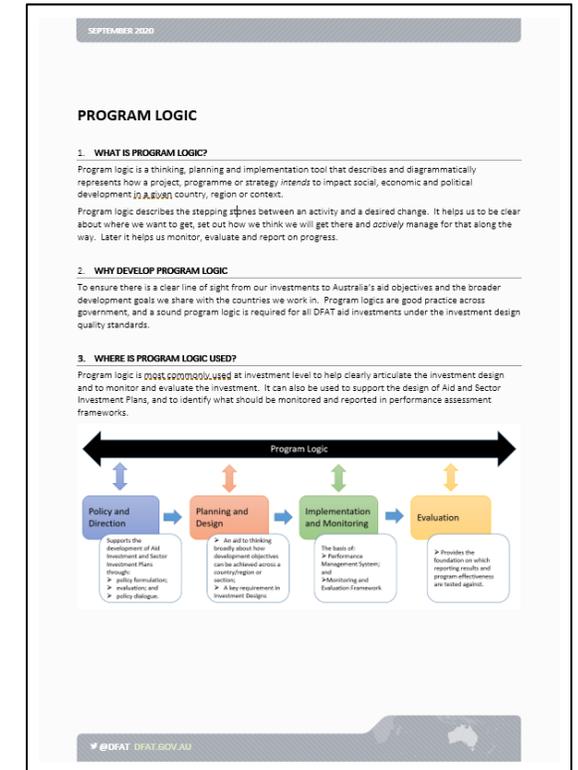
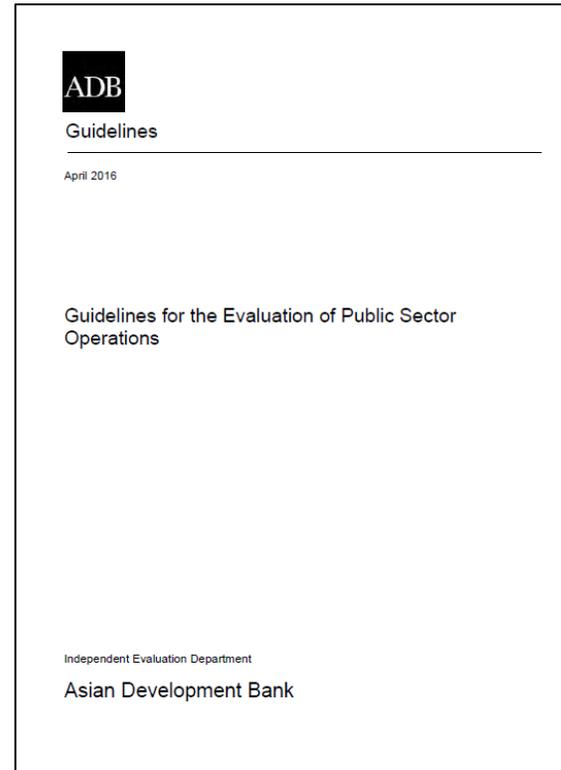
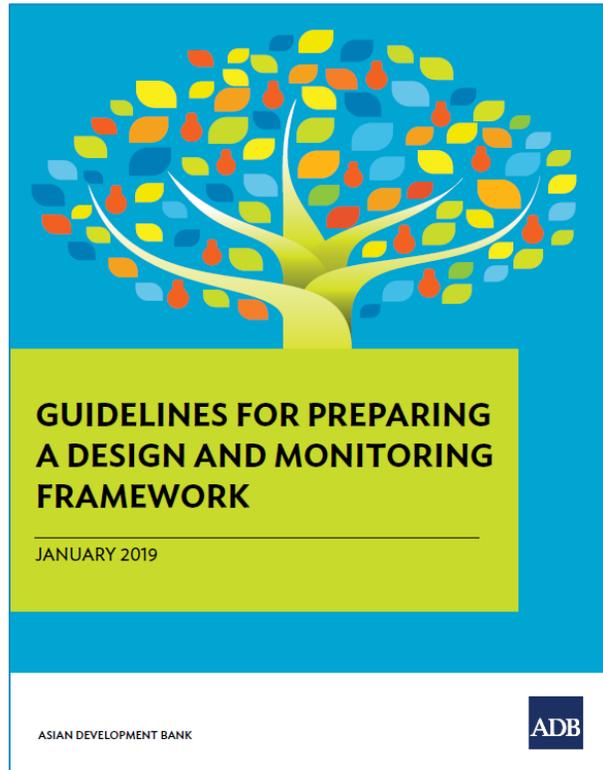


Content

- 01** M&E requirements
- 02** Evaluability assessment
- 03** Design and monitoring framework
- 04** Monitoring and evaluation system
- 05** Implementation

M&E Requirements

Standards and guidelines



**Evaluability
assessment**

AASCTF Overview

ASEAN Sustainable Urbanization Strategy

PROJECT DURATION
2019 to 2024

ADOPTION OF DIGITAL SOLUTIONS TO IMPROVE KEY FUNCTIONAL AREAS



CITY PLANNING SYSTEMS



SERVICE DELIVERY



FINANCIAL MANAGEMENT

ADDRESSING CROSS-CUTTING THEMES



GENDER EQUITY & SOCIAL INCLUSION



CLIMATE CHANGE



PRIVATE SECTOR

OUTPUTS

Capacity development
Partnership support
Investment grants

TOTAL FUNDING
\$ 13.95 M
(A\$ 20 M)

IDENTIFY

scalable & replicable
best practices in ASEAN



Involves ASEAN smart cities network in various ways and intensities



BRONZE: Participation in regional capacity development and knowledge sharing events



SILVER: Leverage ongoing and/or future projects, namely through the undertaking of proofs of concept and pilots



GOLD: Investment grants to be used to support the development of demonstration projects

| COUNTRY | CITY | BRONZE | SILVER | GOLD |
|-------------|---------------|--------|--------|------|
| Cambodia | Battambang | X | X | |
| | Bavet | X | | |
| | Kampot | X | | |
| | Poipet | X | | |
| | Phnon Phen | X | | |
| Indonesia | Banjarmasin | X | | |
| | Cirebon | X | | |
| | Makassar | X | X | X |
| | Palembang | X | | |
| | Sorong | X | | |
| Lao PDR | Kaysone | X | X | X |
| | Luang Prabang | X | | |
| | Pakse | X | | |
| | Vientiane | X | | |
| Malaysia | Penang | X | X | |
| Myanmar | Yangon | X | X | X |
| Philippines | Baguio | X | X | X |
| | Coron | X | | |
| | El Nido | X | | |
| | Metro Manila | X | | |
| Thailand | Chonburi | X | X | |
| Vietnam | Gia Nghia | X | | |
| | Ho Chi Minh | X | | |
| | Hue | X | X | |
| | Phan Rang | X | | |
| | Phan Thiet | X | | |

Links to ASUS & cross-cutting themes

| | | Makassar | Baguio | Battambang | Hue | Kaysone | Yangon |
|----------------------------|-----------------------|--|---|-------------------|-----|---|---|
| ASUS Themes | Civic & Social | | | Awaiting endorsed | | | |
| | Health & Wellbeing |  | | concept ideas | | |  |
| | Security | |  | | | | |
| | Quality Environment |  | | | | |  |
| | Built Infrastructure | | | | | |  |
| | Industry & Innovation | | | | |  | |
| AASCTF Output Areas | Planning Systems |  |  | | | | |
| | Service Delivery |  |  | | |  |  |
| | Financial Management | | | | | |  |
| AASCTF Crosscutting Themes | Gender | | | | |  |  |
| | Inclusion |  |  | | | |  |
| | Climate Change |  | | | | |  |
| | Private Sector | |  | | |  |  |



Evaluability assessment

Three criteria:

- **Clarity of the intervention and its objectives**
- **Availability of data**
- **Stakeholder interest and intended use**



Evaluability challenge

In applying the three evaluability criteria to the AASCTF, the biggest challenge relates to the clarity of the intervention and its objectives:

- Overall objective is multifaceted (sustainable urban development)
- Multiple sectors are addressed
- Delivery approaches and intensity of interventions in cities varies
- Types of activities in pilot cities' (silver and gold) programmes follow distinct causality pathways towards delivering impacts
- "Soft" measures for knowledge and capacity building are key

DFAT and the ADB agreed that:

- ➔ The original AASCTF DMF need to be revised
- ➔ M&E system must capture the essence and complexity of the programme while remaining easy, simple and useful

**Design and
monitoring framework**



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- 01** **Foundations of the DMF**
- 02** Logic diagram
- 03** Design and monitoring framework for AASCTF
- 04** Result chains and KPIs for different activities
- 05** Result chains and KPIs for cities
- 06** Snapshot indicators for AASCTF

AASCTF DMF in Approval Memo

| <p>Impact the Initiative is Aligned with:</p> <p>Building livable cities that are green, competitive, inclusive, and resilient (ADB's Strategy 2030)</p> <p>High quality of life, competitive economy, and sustainable environment (ASEAN Sustainable Urbanization Strategy)</p> | | |
|---|---|---|
| Results Chain | Performance Indicators with Targets and Baselines | Data Sources and Reporting |
| <p>Outcome</p> <p>Systems and governance in participating ASEAN cities improved</p> | <p>By 2025</p> <p>a. Climate resilient and inclusive urban spatial data platform utilized in XX cities</p> <p>b. Access, quality and reliability of selected services in XX cities improved</p> <p>c. Creditworthiness of XX cities improved</p> | <p>Data from participating cities and local government units</p> <p>Trust Fund progress Reports to DFAT</p> |
| <p>Outputs</p> <p>1. Planning systems in participating ASEAN cities improved</p> | <p>Using digital solutions, by 2024</p> <p>a. Urban spatial data platform developed in XX cities</p> <p>b. Planning for climate resilience enhanced in XX cities*</p> <p>c. Gender and social inclusive planning enhanced in XX cities</p> | <p>Data from participating cities and local government units</p> <p>Trust Fund progress Reports to DFA</p> |
| <p>2. Service delivery in participating ASEAN cities improved</p> | <p>Using digital solutions, by 2024</p> <p>a. Quality and effectiveness in selected service delivery areas enhanced in XX cities</p> <p>b. Efficiency in selected service delivery areas enhanced in XX cities</p> <p>c. Gender and social inclusive services enhanced in XX cities*</p> | |
| <p>3. Financial management in participating ASEAN cities improved</p> | <p>Using digital solutions, by 2024</p> <p>a. Tariff collection efficiency in selected sector enhanced in XX cities*</p> <p>b. Financial management information systems in selected sectors enhanced in XX cities</p> <p>c. Financial inclusion for women and vulnerable groups enhanced in XX cities</p> | |

ADB Smart Cities analytical framework

Vision

Making Cities More Livable

High-Level Objectives

Green

Inclusive

Competitive

Resilient

Intervention Areas

Urban and Land Use Planning

Smart Mobility
& Transport

Smart
Energy

Smart
Environment

Smart
Water

Smart Climate
& Disaster Risk
Management

Smart Food &
Agriculture

Smart
Government

Smart Economy
& Jobs

Smart
Education

Smart
Health

Smart Society
& Culture

Smart
Safety

ICT Infrastructure

Enabling Factors

Policy &
Institution

Technology
& Innovation

Business
& Finance

Digital Skills
& Capacity

Planning &
Coordination

Three types of activities

- **Foundational Activities** refer to activities which are either preparatory (e.g. City Selection, Concept/Task Order development, etc.) or overarching/cross-cutting (e.g. Gender Equality and Social Inclusion (GESI), Private Sector, Monitoring and Evaluation (M&E), etc.) the operations and guiding the strategic direction of the AASCTF activities.
- **Influencing Activities** refer to widely targeted communication/knowledge sharing (e.g. knowledge platform, webinars, briefings, newsletters, videos, etc.), regional twinning/networking activities and targeted capacity development activities
- **Implementing Activities** refer specifically to technical assistance and investment grant targeted city interventions undertaken in the pilot cities.

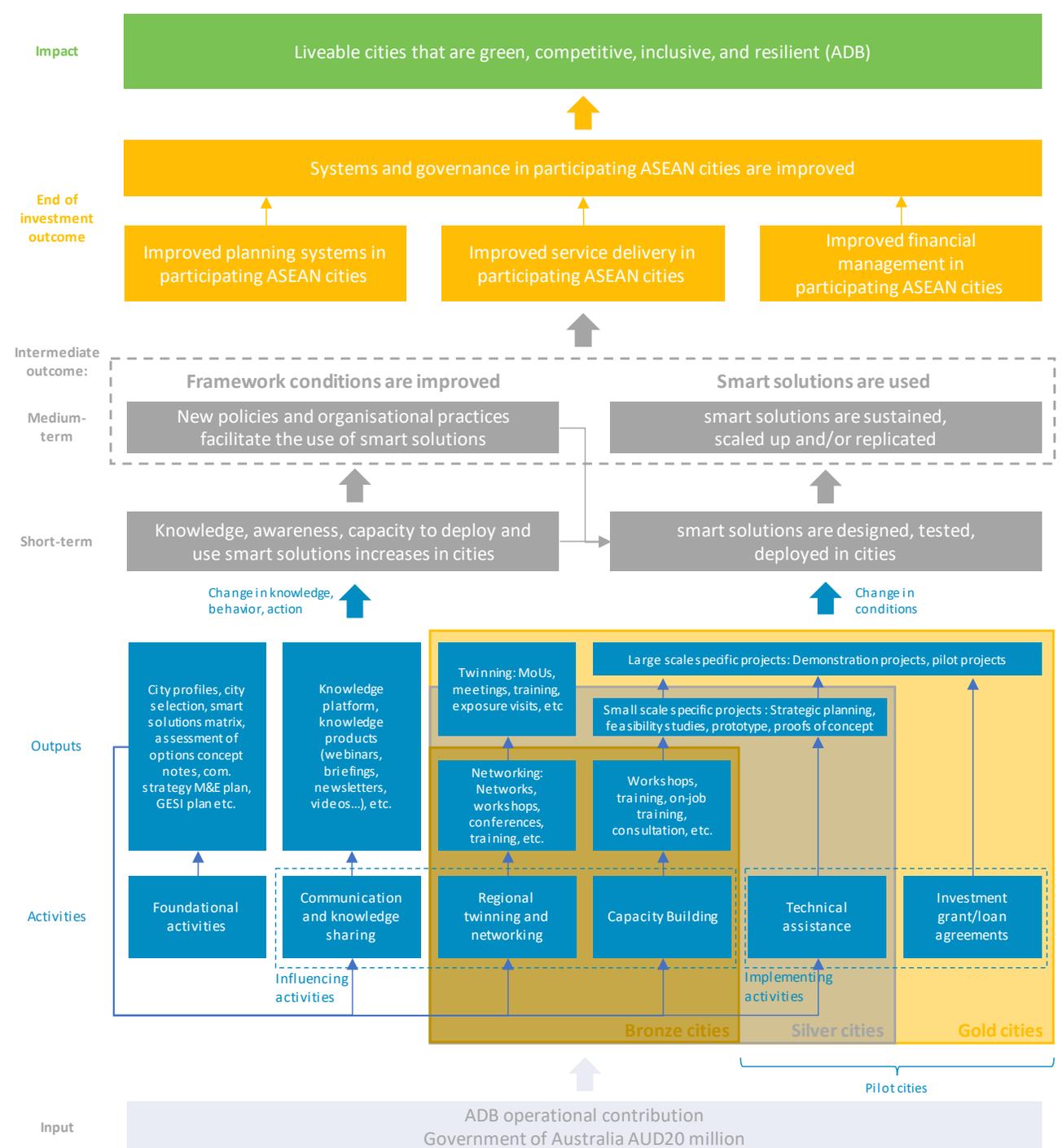


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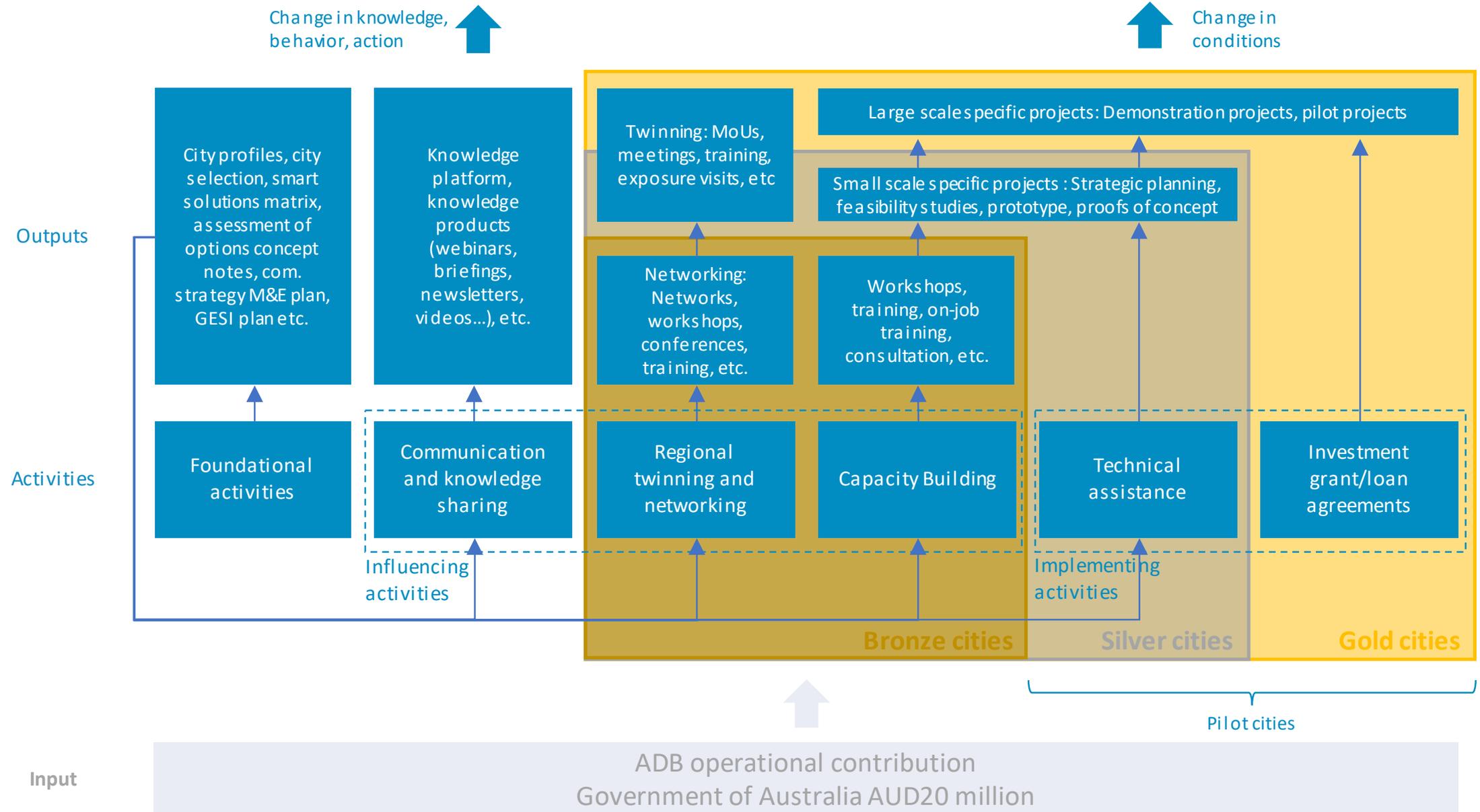
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Logic diagram

- Based on consultations with ADB and the core team, we propose a revised logic diagram
- [Link](#)

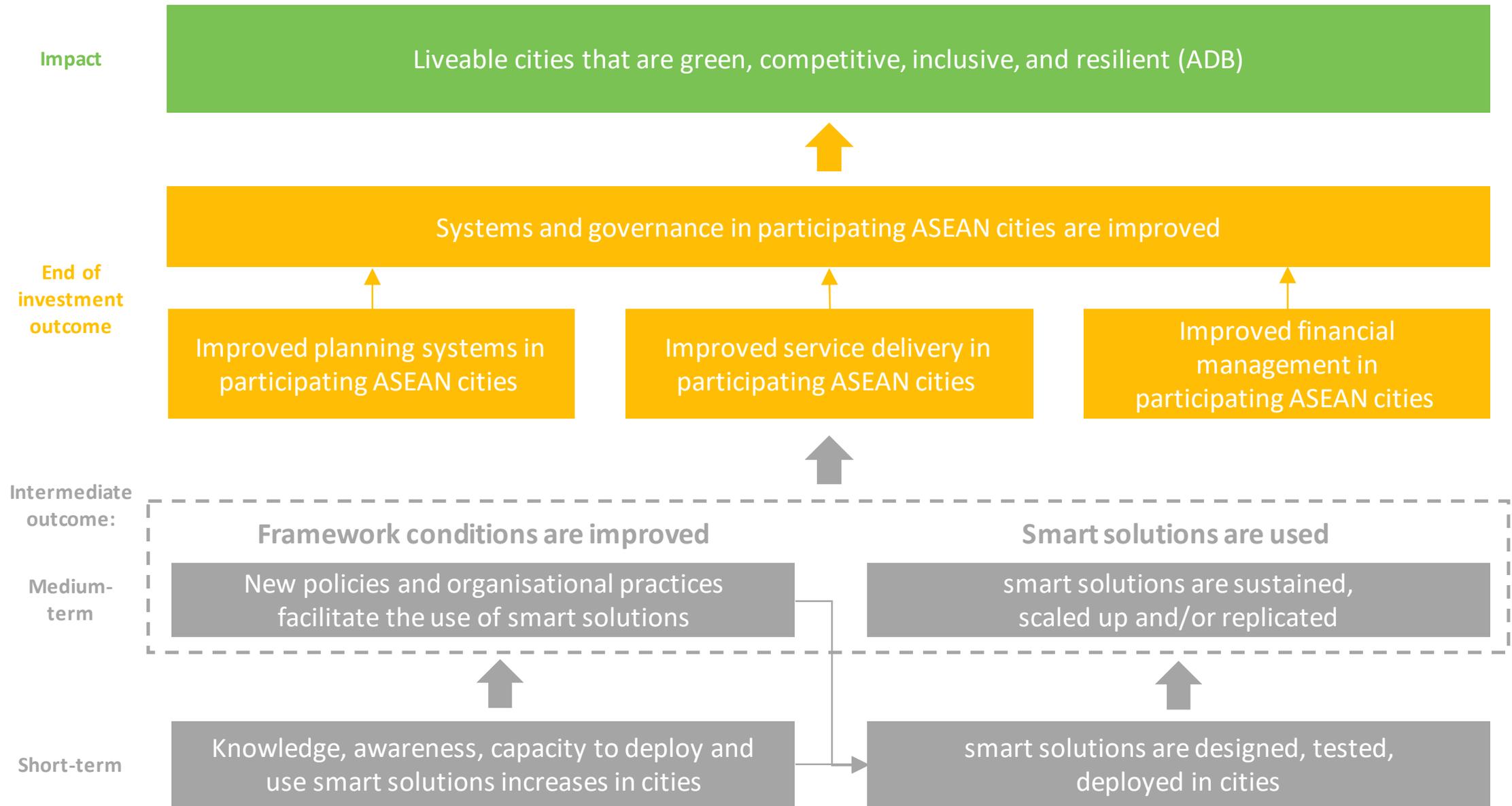


Logic diagram (bottom)





Logic diagram (top)





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Introduction

- The next slides present an extract of the AASCTF's Design and Monitoring Framework (DMF) following ADB's guidelines
- It includes key outcome indicators and progress markers for each functional area of the AASCTF
- It focuses on key indicators and progress markers that can be used to monitor the AASCTF
- It does not include indicators for cross-functional activities such as Communication and Visibility activities or Networking and Regional Twinning activities ; these indicators are provided separately in this document.
- **The full DMF is included in annex of this document (MS Word format)**

FUNCTIONAL AREA A – PLANNING SYSTEMS

| Results chain | Objective | Indicator |
|----------------|--|--|
| Outcome | By 2025 Planning systems in participating ASEAN cities improved | <p>OEa1 # cities where emerging evidence shows that planning systems have improved, including:</p> <ul style="list-style-type: none"> - Processes and governance for urban policy and planning have improved <ul style="list-style-type: none"> o Long-term and multi-sectoral planning documents (policies and guidelines) have been prepared/adopted o Needs of citizens, women, vulnerable groups and businesses have been taken into account in city planning and governance - Availability, applicability and use of digital solutions for urban planning has increased - Urban spatial data availability and quality has increased - Urban spatial data platforms (GIS) have been created/enhanced <p>OEa2 # smart solutions for urban planning that show potential for being sustained, scaled up and/or replicated</p> <p>OEa3 # participants who consider that their capacity in urban planning has increased, including:</p> <ul style="list-style-type: none"> - capacity to deliver long-term, multi-sectoral and inclusive urban planning - capacity to use IT/digital solutions for urban planning |
| Output | By 2024, Projects for improving planning systems in participating ASEAN cities are implemented | <p>OTa1 # IT/digital solutions designed, tested and implemented for urban planning, including for:</p> <ul style="list-style-type: none"> - improved urban spatial planning - urban climate resilience - gender equality and social inclusion <p>OTa2 # implementing activities delivered to improve service delivery, including:</p> <ul style="list-style-type: none"> - urban spatial data platforms - urban spatial data collection and processing - processes and governance for urban policy and planning <p>OTa3 # participants in influencing activities for improved awareness, knowledge and capacity in urban planning</p> |

FUNCTIONAL AREA B – SERVICE DELIVERY

| Results chain | Objective | Indicator |
|----------------|--|---|
| Outcome | By 2025 b. Service delivery in participating ASEAN cities improved | <p>OEb1 # cities where emerging evidence shows that service deliver has improved, including:</p> <ul style="list-style-type: none"> - Quality, efficiency and accessibility of services has increased <ul style="list-style-type: none"> o Quality of services have increased (sector specific KPIs) o Efficiency of services has increased (cost-benefit ratio) o Accessibility of services has increased (the number of citizens or businesses who have access to services has increased) o Services are climate resilient (services are less exposed and/or less vulnerable to climate risks) o Services are inclusive (access to services for women or vulnerable persons has improved/increased) - Operational systems for service delivery have improved (e.g. project mgmt., financial mgmt., staff mgmt., customer mgmt. etc.) - Availability, applicability and use of digital solutions for service delivery has increased - Network management systems for service delivery have been created/enhanced <p>OEb2 # IT/digital solutions for service delivery that demonstrate potential for being sustained, scaled up and/or replicated</p> <p>OEb3 # participants who consider that their capacity in service delivery has increased, including:</p> <ul style="list-style-type: none"> - capacity to deliver quality, efficiency and accessible services - capacity to use IT/digital solutions for service delivery |
| Output | By 2024, Projects for improving service delivery in participating ASEAN cities are implemented | <p>OTb1 # IT/digital solutions designed, tested and implemented for service delivery, including for:</p> <ul style="list-style-type: none"> - improved service delivery - climate resilient service delivery - service delivery to women and vulnerable groups <p>OTb2 # implementing activities delivered to contribute to improved service delivery, including:</p> <ul style="list-style-type: none"> - network management systems for service delivery - operational systems for service delivery <p>OTb3 # participants in influencing activities for improved awareness, knowledge and capacity in service delivery</p> |

FUNCTIONAL AREA C – FINANCIAL MANAGEMENT

| Results chain | Objective | Indicator |
|----------------|--|---|
| Outcome | By 2025 c. financial management improved in participating cities | <p>OEc1 # cities where emerging evidence shows that public finance has improved, including:</p> <ul style="list-style-type: none"> - Creditworthiness in participating cities has improved - Fiscal and financial services are inclusive (availability and equality of opportunities to access fiscal and financial services for women or vulnerable persons has improved/increased) - Revenue for the public sector has increased - Cost of revenue collection and payment both for the public services and the taxpayers has decreased - Financial management throughout the entire budget cycle (from planning, budgeting, implementation and reporting) has improved - Availability, applicability and use of digital solutions for revenue collection, management and payment have increased - Integrated financial management information systems have been created/enhanced <p>OEc2 # IT/digital solutions for financial management that demonstrate potential for being sustained, scaled up and/or replicated</p> <p>OEc3 # participants who consider that their capacity in financial management has increased, including:</p> <ul style="list-style-type: none"> - capacity in integrated financial management - capacity to use IT/digital solutions for financial management |
| Output | By 2024, Projects for improving financial management in participating ASEAN cities are implemented | <p>OTc1 # IT/digital solutions designed, tested and implemented for financial management, including:</p> <ul style="list-style-type: none"> - integrated financial management - revenue collection or payment - access to fiscal and financial services for women and vulnerable groups <p>OTc2 # implementing activities delivered to contribute to improved financial management, including:</p> <ul style="list-style-type: none"> - financial management information systems - financial management systems (e.g. integration of the entire budget cycle from planning, budgeting, implementation and reporting) <p>OTc3 # participants in influencing activities for improved awareness, knowledge and capacity in financial management</p> |

TESTING SOLUTIONS AND CREATING A PIPELINE OF SMART CITIES AND PROJECTS

- The programme aims to promote smart cities agenda and deploy smart cities solutions in South Eastern Asia to help cities become liveable
- Implementing activities are pilot proofs and concept testing new digital solutions, technologies and approaches that can potentially be scaled up and/or replicated in the region
- For this reason it is very important to:
 - **Assess effectiveness, sustainability, scalability and replicability of the activities**
 - **Build a pipeline of cities and projects for future ADB investments**



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Introduction

- The next slides present Results Chain and KPIs for each type of activity
- The Results Chain follow the overall programme logic diagram
- The KPIs build upon the Results Chain
- Both Results Chain and KPIs should be used as guidance and minimum monitoring requirements by the Core Team experts and the TO Teams
- The Results Chains and KPIs for implementing activities are less developed. This is due to the diversity of implementing activities, as Results Chains and KPIs will vary from one case to the other. This is why Task Order teams are asked to develop their own Results Chains on the basis of the guidance provided in this document and in line with the AASCTF Logic Diagramme and generic outcomes progress markers proposed below.

Foundational activities – Results Chain

| DMF | Progress markers | Means of verification |
|---------------------------|--|-----------------------|
| End-of-investment outcome | <ul style="list-style-type: none">• Influencing and implementing activities are implemented | n/a |
| Intermediate outcome | <ul style="list-style-type: none">• Cities have agreed on city intervention programmes• Cities have taken part in regional twinning and networking programme | Activity tracker |
| Output | <ul style="list-style-type: none">• Activities are delivered in line with plans• Activities are relevant to the AASCTF functional areas, AASCTF cross-cutting themes (incl. GESI) and ASUS themes• Outputs meet quality expectations (incl. GESI requirements) | Activity tracker |

Foundational activities – KPIs

| DMF | Key performance indicators | Means of verification |
|---------|--|-----------------------|
| Outcome | # cities involved (silver/bronze/gold) | Activity tracker |
| Outcome | # interventions approved (Task Orders) | Activity tracker |
| Outcome | % of women on Task Order teams (type of expert: international / national ; level of input: Leadership, Senior, Mid-Level). | Activity tracker |
| Outcome | # of interventions that propose to work with GESI-specialised partners. | Activity tracker |
| Output | # foundational activities (per AASCTF functional area, AASCTF cross-cutting theme, ASUS theme) | Activity tracker |
| Output | # foundational activities with GESI entry points and identification of participation / benefits | Activity tracker |



Influencing activities – Results Chain

| DMF | Progress markers | Means of verification |
|---------------------------|--|---|
| End-of-investment outcome | <ul style="list-style-type: none">• Availability, applicability and use of digital solutions for planning, service delivery and/or financial have increased• Systems, management and governance for planning, service delivery and/or public finance have improved | Participants surveys Civil servants and citizens baseline survey |
| Intermediate outcome | <ul style="list-style-type: none">• Awareness, knowledge and capacity for use of digital solutions has increased• Awareness, knowledge and capacity for planning, service delivery and/or financial management has increased• Cities have engaged in long term cooperation with other cities | Activity tracker Participants surveys Civil servants and citizens baseline survey |
| Output | <ul style="list-style-type: none">• Activities are delivered in line with plans• Activities are relevant to the AASCTF functional areas, AASCTF cross-cutting themes (incl. GESI) and ASUS themes• Outputs meet quality expectations (incl. GESI requirements) | Activity tracker Participants surveys |

Influencing activities – KPIs

| DMF | Key performance indicators | Means of verification |
|---|--|-----------------------|
| Twinning and networking | | |
| Output | # cities involved in the regional twinning and networking programme | Activity tracker |
| Output | # participant involved in the twinning and networking activities | Activity tracker |
| Outcome | # cities that have signed a MoU | Activity tracker |
| Meetings, events, webinars, workshops, trainings | | |
| Output | # meetings, events, webinars, workshops organized (per AASCTF functional area, AASCTF cross-cutting theme, ASUS theme) | Activity tracker |
| Output | # meetings, events, webinars, workshops focused on GESI issues | Activity tracker |
| Output | # participants in meetings, events, webinars, workshops | Activity tracker |
| Output | % participants from GESI focus groups (members / representatives) | Activity tracker |
| Output | % of women presenters/facilitators at webinars, conferences, workshops. | Activity tracker |
| Publications and technical briefs | | |
| Output | # publications produced (per AASCTF functional area, AASCTF cross-cutting theme, ASUS theme) | Activity tracker |
| Output | # publications focused on GESI issues | Activity tracker |
| Outcome | # readers | Web analytics |

Influencing activities – KPIs

| DMF | Key performance indicators | Means of verification |
|---|---|--------------------------------------|
| Videos | | |
| Output | # videos published (per AASCTF functional area, AASCTF cross-cutting theme, ASUS theme) | Activity tracker |
| Outcome | # videos focused on GESI issues | Activity tracker |
| Outcome | # views, embeds, downloads | Web analytics + Social media metrics |
| Outcome | % videos with completion rate of 50% or more | Web analytics |
| Networking platform and website | | |
| Output | # networking platforms and websites operational | Annual report |
| Outcome | # visits, visitors, page views | Web analytics |
| Knowledge sharing platforms on social medias | | |
| Output | # social medias established | Annual report |
| Outcome | # impressions, followers, posts | Social media metrics |
| Outcome | # number of engagement: shares, likes, clickthroughs, print button pushed, comments | Social media metrics |

Influencing activities – KPIs for webinars/events/trainings

| DMF | Key performance indicators | Means of verification |
|---------|--|----------------------------|
| Outcome | % participants/users who consider that their awareness, knowledge and/or capacity in regard to planning, service delivery and/or financial management has improved | Participants/users surveys |
| Outcome | % participants/users who consider that their practice will change (has changed) and their use of digital solutions will increase (has increased) | Participants/users surveys |
| Outcome | % participants/users who consider that their practice will change (has changed) and their planning, service delivery and/or financial management will improve (has improved) | Participants/users surveys |
| Output | % participants/users who agree that the output meets their needs and expectations | Participants/users surveys |
| Outcome | % participants/users who consider that their awareness, knowledge and/or capacity in regard to the use of digital solutions has increased | Participants/users surveys |

These indicators can we used for participants/users surveys such as:

- Post events questionnaires right after the event or training
- Questionnaires for mid-term or final evaluation of influencing activities

Implementing activities – Results Chain

| DMF | Progress markers | Means of verification |
|---------------------------|--|---|
| End-of-investment outcome | <ul style="list-style-type: none"> • Planning systems in participating ASEAN cities have improved • Service delivery in participating ASEAN cities has improved • Financial management in participating ASEAN cities has improved | Targeted research and tools for implementing activities |
| Intermediate outcome | <ul style="list-style-type: none"> • Smart solutions are designed, tested and/or implemented • Smart solutions are effective and deliver expected outcome • Smart solutions are sustained, scaled up and/or replicated | Targeted research and tools for implementing activities |
| Output | <ul style="list-style-type: none"> • Activities are delivered in line with plans • Activities are relevant to the AASCTF functional areas, AASCTF cross-cutting themes (incl. GESI) and ASUS themes • Outputs meet quality expectations (incl. GESI requirements) | Activity tracker Participants surveys |



Implementing activities – KPIs

| DMF | Key performance indicators | Means of verification |
|---------|--|---|
| Outcome | <i>To be designed based on the outcomes indicators and progress markers presented in the DMF for each functional areas (slides 22-24), taking into account the specificity of the intervention</i> | Targeted research and tools for implementing activities |
| Output | # implementing activities delivered (per type of project, AASCTF functional area, AASCTF cross-cutting theme, ASUS theme) | Activity tracker |
| Output | # implementing activities focused on GESI issues | Activity tracker |



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Cities – Results Chain

| DMF | Progress markers | Means of verification |
|---------------------------|--|--|
| End-of-investment outcome | <ul style="list-style-type: none"> planning systems in participating ASEAN cities are improving and becoming more climate resilient and inclusive service delivery in participating ASEAN cities is improving and becoming more climate resilient and inclusive financial management in participating ASEAN cities is improving and becoming more inclusive | Same as above |
| Intermediate outcome | <ul style="list-style-type: none"> Awareness, knowledge and/or capacity for the use of digital solutions have increased in participating city Awareness, knowledge and/or capacity for planning, service delivery and/or financial management have improved in participating city Availability, applicability and use of digital solutions for planning, service delivery and/or financial have increased Systems, management and governance for planning, service delivery and/or public finance have improved <i>New/revised policies, regulations, organisations and/or investment plans have been initiated and/or enacted to facilitate urban policy and planning</i> <i>ICT infrastructure and digital penetration has increased</i> | Participants surveys Civil servants and citizens baseline survey Smart readiness indicators baseline survey Targeted research and tools for implementing activities |
| Output | <ul style="list-style-type: none"> City is involved in influencing and implementing activities | Activity tracker |



Cities – KPIs

- KPIs will cover the whole city Results Chain
- They will include at least KPIs that can be obtained through the aggregation of monitoring data collected for activities
- Assessment on whether a progress marker is observed in one city is achieved through triangulation of evidence; it is a qualitative assessment that needs to be substantiated
- They may include additional KPIs from the Cities Baseline. These KPIs will be identified as soon as there is an agreement to process with the baseline (see slide 53)



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Programme – AASCTF snapshot indicators

- The Results Chain of the AASCTF is given by the programme's Logic Diagramme
- The KPIs of the AASCTF can be obtained by aggregating the KPIs of each activity
- However, following the initial AASCTF DMF in the Approval Memo, it is also pertinent to monitor and assess progress in terms of cities
- So-called programme-level snapshot indicators propose to track the number of cities where certain types output and outcomes can be observed

Programme-level snapshot indicators

| DMF | Indicators | Means of verification |
|---------------------------|---|---|
| End-of-investment outcome | <p># cities where emerging evidence shows that:</p> <ul style="list-style-type: none"> • planning systems in participating ASEAN cities are improving and becoming more climate resilient and inclusive • service delivery in participating ASEAN cities is improving and becoming more climate resilient and inclusive • financial management in participating ASEAN cities is improving and becoming more inclusive | Same as above |
| Intermediate outcome | <p># cities where emerging evidence shows that:</p> <ul style="list-style-type: none"> ○ awareness, knowledge and capacity for the use of digital solutions is increasing ○ awareness, knowledge and capacity for planning, service delivery and/or financial management is improving ○ Availability, applicability and use of digital solutions for planning, service delivery and/or financial management are increasing ○ Systems, management and governance for planning, service delivery and/or public finance are improving ○ <i>New/revised policies, regulations, organisations and/or investment plans are being prepared and/or have been adapted to facilitate urban policy and planning</i> ○ <i>ICT infrastructure and digital penetration is increasing</i> | Activity-level KPIs Civil servants and citizens baseline survey Smart readiness indicators baseline survey Targeted research and tools for implementing activities |
| Output | <p># cities involved :</p> <ul style="list-style-type: none"> ○ # bronze/ silver / gold cities | Activity tracker |

Monitoring and evaluation system



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- 04** Programme-level monitoring and evaluation
- 05** Overview of monitoring tools

Four purposes of the M&E system



Types and levels of M&E activities

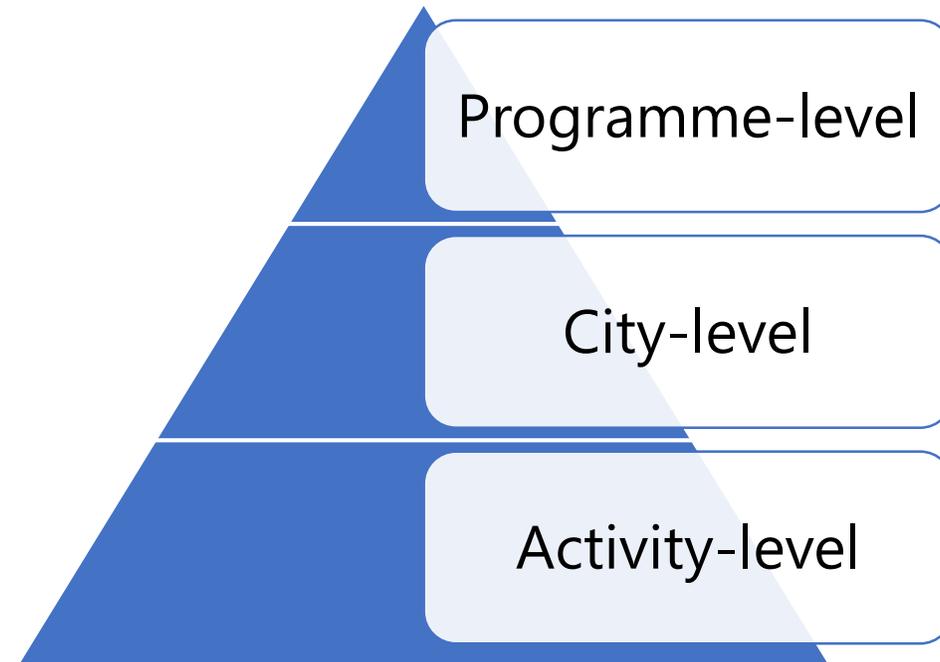
Three types of M&E activities

Monitoring: ongoing tracking progress and quality

Assessment: ongoing critical analysis of progress of the activities and intervention

Evaluation: mid-term and/or final summative and formative assessment of the value of the intervention

Three levels of M&E activities





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Activity-level performance monitoring and assessment

Monitoring and assessment questions

Question

AQ1. Delivery: Did we deliver the Activity (and sub-activities) in line with plans, including in a timely manner?

AQ2. Quality: Did implementation as well as the outputs/direct results of the Activity meet expectations of quality?

AQ3. Effectiveness: What are the indications that the Activity is contributing to progress towards more distant outcomes

AQ4. Adaptation: How have we adapted to improve the delivery, quality, and/or effectiveness of the Activity?

Monitoring and assessment process

1. Agree on specific DMF and M&E for the activity, based on the generic Results Chain, and as part of the activity design and selection process (e.g. Task Orders)
2. Activity performance monitoring over the course of implementation
3. Activity performance assessment at key intervals during AASCTF' annual performance cycle

Activity-level performance monitoring

| Question | Method | Frequency |
|---|--|--|
| AQ1. Delivery: Did we deliver the Activity (and sub-activities) in line with plans, including in a timely manner? | Provide brief snapshot of implementation against its annual work plan, using a traffic light system documenting whether individual sub-activities are on track, delayed, or have been cancelled, | Quarterly |
| AQ2. Quality: Did implementation as well as the outputs/direct results of the Activity meet expectations of quality? | Provide ADB post-event or post-activity reports, participants surveys, and GESI quality assessment tool | Quarterly (and upon completion of each (sub-)activity) |
| AQ3. Effectiveness: What are the indications that the Activity is contributing to progress towards more distant outcomes | Collection of evidence along with progress markers and indicators selected in the activity-level DMF and M&E framework | Bi-annually |
| AQ4. Adaptation: How have we adapted to improve the delivery, quality, and/or effectiveness of the Activity? | Identify and document any important learning and ways in which that learning has been applied to improve Activity delivery, quality, or effectiveness | Bi-annually |

Activity-level performance assessment

| | Month 3 | Month 6 (Mid-Year) | Month 9 | Month 12 (Annual) |
|----------------|---|---|--|---|
| What happened? | Review of: <ul style="list-style-type: none"> • Delivery(AQ1) • Quality(AQ2) | Review of: <ul style="list-style-type: none"> • Delivery (AQ1) • Quality (AQ2) • Effectiveness (AQ3) • Adaptation (AQ4) | Review of: <ul style="list-style-type: none"> • Delivery(AQ1) • Quality(AQ2) | Review of: <ul style="list-style-type: none"> • Delivery (AQ1) • Quality (AQ2) • Effectiveness (AQ3) • Adaptation (AQ4) |
| So what? | <ul style="list-style-type: none"> • Comparison with implementation plan • Any emerging indications of effectiveness? | <ul style="list-style-type: none"> • Comparison with (revised) implementation plan • Comparison with progress markers • Review of other important changes. | <ul style="list-style-type: none"> • Comparison with (revised) implementation plan • Any additional emerging indications of effectiveness? | <ul style="list-style-type: none"> • Comparison with (revised) implementation plan • Comparison with progress markers • Review of other important changes. |
| What next? | <ul style="list-style-type: none"> • How to adapt? • What additional info to collect? | <ul style="list-style-type: none"> • How to adapt? • What additional information to collect? • What additional support is needed? | <ul style="list-style-type: none"> • How to adapt? • What additional information to collect? | <ul style="list-style-type: none"> • Do we need to modify our overall plans for working in this area? • What to do next year? |

Activity-level performance assessment

- During the mid-year and annual performance reviews, implementation teams will self-assess the performance of each Activity they manage against each of the four dimensions of Activity performance (Delivery, Quality, Effectiveness, and Adaptation) as reflected in AQ1–4.
- Each of the four questions can be rated on the following general scale:

| | |
|------------------|---|
| Excellent | Significantly above expectations |
| Good | Delivered to a high standard/clearly exceeds minimum expectations |
| Adequate | Delivered as planned/in line with minimum expectations |
| Poor | Failed to deliver on agreed expectations |

Activity-level performance monitoring and assessment for GESI

- **GESI quality assessment tool**
- Used to document the extent to which GESI considerations have been appropriately applied within the context of the Activity, as aligned with commitments in the GESI Strategy
- The following will be assessed for each activity:
 - *# of GESI Action Plans prepared.*
 - *Monitoring assesses whether GESI activities were delivered as planned.*
 - *# of GESI focus group members / representatives involved and consulted in design / implementation of city intervention.*
 - *Use cases of data and data platforms for GESI in intervention tracked.*
 - *Monitoring identifies GESI lessons learned and these are communicated to AASCTF teams for inclusion in ongoing and future activities.*

Activity-level evaluation

- A final component of performance management at the Activity level is the possibility to undertake additional evaluation studies where there is a clear benefit to doing so,
- An (annual) agenda of a small number of high-priority Activity-level evaluation studies will be agreed between the Core Team (M&E expert) and the ADB, in consultation with DFAT.
- A tailored evaluation methodology will be designed, depending on the purpose (i.e. whether the evaluation intends to judge, understand or improve the activity and its outcomes)
- Evaluations will comply with the ADB and DFAT standards for evaluations
- Evaluation criteria will include: relevance, effectiveness, efficiency, sustainability, scalability, replicability
- Evaluation questions will be similar to the one for the programme-level evaluation.



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- 02 Activity-level monitoring and evaluation
- 03 City-level monitoring and evaluation**
- 04 Programme-level monitoring and evaluation
- 05 Overview of monitoring tools

City-level monitoring and evaluation

- Cities are the beneficiaries of the AASTF. As such there are also one of the main unit of analysis for monitoring and evaluation of the programme,
- It is proposed to measure progress in each participating cities at least by aggregating and triangulating evidence collected through activity-level monitoring and evaluation (see slide
- **A Cities Baseline** can be constructed for all cities that take part in the AASCTF. The baseline would cover all progress markers of the city-level Results Chain. Progress against the baseline would then be assessed at least once at the end of the programme (see slide 37).
- **In-depth assessment at city-level** is also possible. This may be the case of the silver and gold cities (pilot cities). The evaluation will assess aggregated outcomes across all activities performed in the city. Whether such evaluation should be performed will be agreed between the Core Team (M&E expert) and the ADB, in consultation with DFAT



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Programme-level monitoring & performance assessment

- A number of snapshot indicators can be used to monitor progress of AASCTF (see next slides)
- In addition, based on the various progress markers identified at the Activity level, as part of the annual planning process, AASCF will work together with key stakeholders from ADB and DFAT to identify a limited number (maximum: 8-10) of 'AASCTF Progress Markers'.
- Key considerations for the AASCTF progress markers are as follows:
 - Coverage: across activities, outcomes and results
 - Relevance: should be linked to the core objectives of AASCTF
 - Materiality: should be linked to activities that are larger in terms of scope and resources
 - Risk spread: appropriately reflect the investment risks of the portfolio
- Each progress marker can be assessed using a four-scale rating (cf. activity-level performance)
- If ADB or DFAT consider this is relevant, an external reviewer could be asked to assess the credibility of the four-scale rating
- The validated performance across AASCTF Progress Markers can then be shared with the ADB and DFAT, and also used as a basis for assessing AASCTF's overall performance

Programme-level evaluation

- A final component of performance management at the Programme level is the requirement to undertake at least one final and possibly one mid-term evaluation.
- Evaluations should comply with the ADB and DFAT standards for evaluations.
- At least the following criteria should be addressed: Relevance, Effectiveness, Efficiency, Sustainability
- It is also proposed to look into Scalability and Replicability of the solutions develop in the pilot cities.
- A set of high level evaluation questions are proposed in the next slide.
- A tailored evaluation methodology will be designed, depending on the purpose. An evaluation aim to judge, understand or improve the activity and its outcomes. The methodology used can differ depending on the (main) objective.

Programme-level evaluation – criteria and questions

| Criterion | Definition | Questions |
|-----------------------|---|--|
| Relevance | The consistency of the activity impact and outcome with country and sector priorities and ADB's strategic objectives, as well as the adequacy of its design in addressing identified development constraints. | To what extent has the AASTCF addressed the needs of ASEAN cities to increase the use digital solutions, and to improve urban systems and governance? |
| Effectiveness | The extent to which the activity outcome as specified in the DMF (either as agreed at approval or as subsequently modified) was achieved. | To what extent has the AASTCF achieved its objectives in terms of expected outputs and outcomes To what extent has the AASTCF contributed to make cities more liveable (green, competitive, inclusive and resilient)? |
| Efficiency | How resources were converted to results, using cost-benefit analysis based on a calculation of the EIRR for investment projects, cost-effectiveness analysis, or other simpler methods such as a comparison between forecast unit costs (in the RRP) and actual unit costs, and process efficiency. | To what extent has the AASTCF delivered value for money? Have the benefits exceeded the costs? To what extent has the AASTCF been delivered efficiently? Could similar results have been achieved at lower costs? |
| Sustainability | The likelihood that institutional, financial, and other resources are sufficient to sustain the activity outcome over its economic life in an environmentally and socially sustainable way. | To what extent are the outcomes of the AASTCF sustainable over time? Will the benefits continue after the AASTCF? |
| Scalability | The ability of an activity to increase in size, scope or range. | To what extent will/can the solutions developed and tested under the AASTCF be scaled up? |
| Replicability | The ability of an activity to be duplicated in another location or time. | To what extent will/can the solutions developed and tested under the AASTCF be replicated to other ASEAN cities |

Programme-level evaluation – GESI

- GESI evaluation questions:
 - Is AASCTF maintaining an appropriate focus on women's empowerment, gender equity and social inclusion?
 - How effectively has AASCTF contributed to improvements in the financial management, service delivery and planning which can be tangibly or logically linked to improvements in use/access for GESI focus groups (i.e. are GESI interventions effectively addressing identified barriers and conditions for GESI focus groups)?
 - Is AASCTF generating evidence, learning and communicating with city government and relevant stakeholders on how to effectively reach GESI focus groups through improved planning, service delivery and financial management?



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- 05 **Overview of monitoring tools**

Overview of tools / sources

- Activity tracker (per types of activity, AASCTF functional areas, AASCTF cross-cutting themes, ASUS themes, types of participants, cities, etc.)
- Web statistics
- Social media Metrics
- Participants and users surveys
- Civil servants and citizens baseline survey (before/after)
- Smart readiness indicators baseline survey (before/after)
- Targeted research and tools for implementing activities

Implementation

M&E Roles and responsibility in AASCTF

| Role | Responsibility |
|---------------------------------|---|
| Project manager and coordinator | <ul style="list-style-type: none">• Coordinate the collection of monitoring data• Conduct AASCTF performance assessment• Prepare reports |
| M&E Core Team expert | <ul style="list-style-type: none">• Design AASCTF DMF and M&E system• Oversee the implementation of the AASCTF M&E system• Provide support, advice and quality assurance to the Core Team and Task Order Teams• Review AASCTF performance assessments• Develop and maintain an evaluation agenda in consultation with key stakeholders.• Design specific performance and evaluation studies related to AASCTF.• Directly implement or oversee the implementation of such studies. |
| Communication Core Team expert | <ul style="list-style-type: none">• Design DMF and M&E system for Communication and Knowledge sharing activities• Design DMF and M&E system for Regional Twinning and Networking• Collect data, conduct performance assessment, draft reports |
| GESI core team expert | <ul style="list-style-type: none">• Design GESI assessment methodology and tools• Collect data, conduct performance assessment, draft reports |
| Task Order manager | <ul style="list-style-type: none">• Design DMF for the task order• Oversee the implementation of the M&S system in the Task Order |
| Task Order evaluator | <ul style="list-style-type: none">• Design DMF for the task order• Collect data, conduct performance assessment, draft report |

Monitoring

| Activities | | How? | When? | Who? |
|--|---|--|-------------------------------------|---|
| Foundational activities | | <ul style="list-style-type: none"> Internal proceedings Progress monitoring Performance monitoring | Ongoing Quarterly Bi-annually | Project manager and project coordinator |
| Communication and knowledge sharing activities | Webinars | <ul style="list-style-type: none"> Survey to participants Participants statistics | Immediately after | Communication Core Team expert |
| | Briefings, newsletters, videos, social medias | <ul style="list-style-type: none"> Web usage statistics | Ongoing | Communication Core Team expert |
| Influencing activities | Meetings, workshops, conferences, trainings | <ul style="list-style-type: none"> Participants statistics Survey to participants | Immediately after | Communication Core Team expert |
| | MoUs, Networks | <ul style="list-style-type: none"> City tracking Network analysis | Ongoing | Communication Core Team expert |
| Implementing activities | | <ul style="list-style-type: none"> Progress monitoring Performance monitoring (self-reporting + visits/interviews) | Quarterly Bi-annually | TO Team |
| GESI | | <ul style="list-style-type: none"> Progress monitoring (GESI quality assessment tool) Performance monitoring (gender tagging, targets) | Quarterly Bi-annually | GESI Core Team expert |

Evaluation

| What? | How? | When? | Who? |
|--|--|---|---|
| Communication and knowledge sharing activities | <ul style="list-style-type: none"> Evaluation framework (DMF + Questions + KPIs) Performance assessment (progress, quality) Evaluation (outcomes) | <ul style="list-style-type: none"> Mid-term June 2022 Final June 2024 | <ul style="list-style-type: none"> Communication expert M&E expert |
| Influencing activities | <ul style="list-style-type: none"> Baseline Evaluation framework (DMF + KPIs) Network analysis Performance assessment (progress, quality) Evaluation (outcomes) | <ul style="list-style-type: none"> Mid-term June 2022 Final June 2024 | <ul style="list-style-type: none"> Communication expert M&E expert |
| Implementing activities | <ul style="list-style-type: none"> Evaluation framework (DMF + KPIs) Evaluation (outcomes, scalability, replicability)* | <ul style="list-style-type: none"> Final (ad hoc) | <ul style="list-style-type: none"> TO team M&E expert |
| AASCTF | <ul style="list-style-type: none"> Evaluation framework (DMF + Questions + KPIs) Performance assessment (progress, quality) Evaluation (outcomes) | <ul style="list-style-type: none"> Mid-term June 2022 Final June 2024 | <ul style="list-style-type: none"> Core team M&E expert Evaluation team (TO) |
| GESI | <ul style="list-style-type: none"> Mainstreamed Specific | <ul style="list-style-type: none"> As for any other M&E activities | <ul style="list-style-type: none"> GESI expert |

*The evaluation should be proportionate. Standard approach will be limited to high-level assessment. In-depth evaluation studies (e.g. impact analysis, business case analysis, techno-economic assessment) would require dedicated team and effort, subject to specific evaluation plans and budget line in task orders, or separate task orders.



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