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**Evaluation Report for CCC**

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### Summary

This report provides a proposal on the draft evaluation criteria for the Climate City Contracts (CCC), including recommendations from its validation with six Mission City representatives in the CCC Evaluation Panel held on September 14th 2022 and parts of the associated draft process for evaluation and validation of CCC for Mission Label, provided by the European Commission Mission Team, which clearly need to be a crucial part of the overall CCC Evaluation process.

### Approval

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2022-10-18 18:31:58	Mrs. Ghazal ETMINAN (AIT)
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# Evaluation Report for CCC

Deliverable D2.11

Version 1 (draft version)

**Authors:** Müller Oliveira (ICLEI), Nikolai Jacobi (ICLEI)

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EUROPEAN COMMISSION



## Disclaimer

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## Summary

This report provides a proposal on the draft evaluation criteria for the Climate City Contracts (CCC), including recommendations from its validation with six Mission City representatives in the CCC Evaluation Panel held on September 14<sup>th</sup> 2022 and parts of the associated draft process for evaluation and validation of CCC for Mission Label, provided by the European Commission Mission Team, which clearly need to be a crucial part of the overall CCC Evaluation process.

## Keywords

Monitoring; Evaluation; Learning & Sense-making; Climate-Neutral City; Mission Label

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## Scope of the deliverable

This document outlines the evaluation criteria for the Climate City Contracts (CCC), comprising of a draft proposal from the involved partners of the NZC Consortium, the draft proposal by the EC Mission Team as well as of recommendations obtained at the CCC Evaluation Panel from September 14<sup>th</sup> 2022. It also presents the associated process for evaluation and validation of CCC for Mission Label, as suggested by the EC Mission Team just prior to the City Panel held.

The Panel Session was designed to present the CCC Evaluation Criteria to the participating cities, to collect feedback and input from them, and to use validation feedback from the European Commission to recalibrate the framework.

The process utilizes the Monitoring, Evaluation and Learning (MEL) Framework and is one of the steps for the Mission Cities to obtain the Mission Label. In the section 3 of this report, the proposed roles for different actors within Mission Label process are further explained.

It is intended that each Climate City Contract (CCC) will contain three parts: Main Commitments, Climate Neutrality Action Plan, and Climate Neutrality Plan, which can be briefly described as follows, according to the European Commission:

**Main Commitments (Core Contract):** describes the co-creation process with local, regional, and national stakeholders to establish innovative ways to achieve climate neutrality faster and the results of this process. It sets out the climate neutral 2030 ambition and the agreed strategy to achieve it, as well as the specific commitment(s) to action from the stakeholders referred to in the Contract. It will reference the main points of the climate neutrality action plan and the investment plan and how these will be monitored and updated.

**Climate Neutrality Action Plan:** identifies the strengths and gaps of existing strategies, policies and plans, and uses all levers of change to create a coordinated portfolio of interventions (projects, policies, funding/financing) to achieve the 2030 ambition

**Climate Neutrality Investment Plan:** The Investment Plan must set out the strategy to mobilise and organise public and private resources for funding and financing for the implementation of the Action Plan. It must identify the capital needs for reaching climate neutrality by 2030, enabling actions to mobilize public and private capital, an efficient capital deployment approach, and an integrated impact monitoring framework.

In summary, this deliverable represents an **intermediate step** capturing the current proposal on the criteria for the Mission Label and the sense-making and learning, as well as on the related process, operationalization, timeline and the initial reaction and validation by a set of Mission Cities. Based on the above, the document outlines key issues and questions to be resolved moving forward with the CCC Evaluation. **Hence, this deliverable constitutes a draft version and will be updated** as soon as pending questions have been clarified with the Mission Team and other relevant stakeholder.



## Objectives of the CCC Evaluation

The objectives of the CCC Evaluation within the Mission can be defined as a threefold purpose:

- For **Mission Cities** to receive information basis on how to get the Mission Label on the CCC;
- For the **NetZeroCities (NZN) Consortium** to get an overview on the progress of CCC development, set priorities and tailor support to Mission Cities;
- For **Mission Cities** to obtain an overview on CCC progress for internal controlling and to engage in learning and sense-making.

The present document further outlines the framework by defining basic evaluation criteria, and high-level criteria for the CCC to enter the validation phase.

As the CCCs and their related Action Plans and Investment Plans will be of an iterative nature, they should be updated every two years. In order to ensure continuing quality of the CCCs and their updates, it is proposed that within the Mission Platform an independent quality review unit will undertake audits and reviews of updates of CCCs.

**Table 1: Draft framework for Monitoring and Evaluation of CCCs**

	<b>Monitoring of CCCs</b>	<b>Evaluation &amp; validation of CCCs</b>
<b>Purpose</b>	<ul style="list-style-type: none"> <li>• Determine if CCCs are making progress</li> </ul>	<ul style="list-style-type: none"> <li>• Determine the completeness, quality and ambition/impact of CCCs via set of evaluation criteria</li> </ul>
<b>Use of findings</b>	<ul style="list-style-type: none"> <li>• Learning and sense-making</li> <li>• Take corrective actions and ensure objectives are met</li> <li>• Flow of information between City and NZC consortium</li> <li>• Transparency and accountability to local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Incorporate lessons learned into tailored support to cities (NZN consortium)</li> <li>• Accountability towards the EU Mission Team</li> <li>• Validation of CCC for Mission Label (EU Mission Team)</li> </ul>
<b>Timings</b>	<ul style="list-style-type: none"> <li>• Continuous (as applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Annually, March &amp; October (tentatively)</li> </ul>
<b>Focus</b>	<ul style="list-style-type: none"> <li>• Activities, outputs, results</li> </ul>	<ul style="list-style-type: none"> <li>• Document quality &amp; process governance</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>• Mission Cities</li> </ul>	<ul style="list-style-type: none"> <li>• NZC Consortium (data collection &amp; pre-validation)</li> <li>• EU Mission Team (evaluation &amp; validation)</li> </ul>
<b>Management/ quality assurance</b>	<ul style="list-style-type: none"> <li>• Mission Cities (supported by NZC Consortium)</li> </ul>	<ul style="list-style-type: none"> <li>• NZC Consortium</li> <li>• EU Mission Team</li> </ul>
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• N.A.</li> </ul>	<ul style="list-style-type: none"> <li>• D2.11 (M12)</li> <li>• D2.4.2 ;MEL framework, final version (M15)</li> <li>• CCC Progress Reports (M36)</li> </ul>
<b>Dissemination</b>	<ul style="list-style-type: none"> <li>• Local Stakeholders in Mission City</li> <li>• NZC Consortium</li> </ul>	<ul style="list-style-type: none"> <li>• EU Mission Team</li> </ul>

## Draft evaluation criteria for CCC

Table 2: Evaluation criteria for CCCs

	Criteria	Description	Maturity of CCC to enter into a validation process
Maturity & Quality	<b>Maturity &amp; Quality of Commitment Document</b>	<ul style="list-style-type: none"> <li>• Appropriate climate neutrality <b>scope</b> for 2030</li> <li>• <b>Clarity on breadth</b> – i.e., citywide or substantial districts</li> <li>• Sets forth expectations for advancement via <b>future iteration</b></li> <li>• <b>Coherence</b> between the overall strategy and policy on the one hand and the climate neutrality action plan and investment plan on the other hand</li> <li>• <b>Alignment</b> with relevant EU, regional and national policies and regulations due process with respect to <b>citizens engagement</b> and <b>stakeholder's consultation</b></li> </ul>	<ul style="list-style-type: none"> <li>• Proof of a completed co-creation process in which all relevant stakeholders have been involved and agreed to the vision and related activities set out in the CCC</li> </ul>
	<b>Maturity &amp; Quality of Action Plan</b>	<ul style="list-style-type: none"> <li>• Includes <b>all modules</b> described in the <b>three-part Climate Neutrality Action Plan template</b></li> <li>• Provides a compelling <b>assessment of current policies</b> and actions.</li> <li>• Describes with <b>clarity and rigour the systemic barriers</b> to climate neutrality</li> <li>• <b>Analyses multiple scenarios</b> toward climate neutrality by 2030.</li> <li>• Pathways include <b>sufficient detail about actors, sectors, and readiness</b> to enable action planning</li> <li>• Portfolios are envisioned to <b>include a mix of strategic innovation</b> to accelerate learning and aggressive scaling of known actions</li> <li>• Interventions <b>demonstrate a credible mobilisation</b> in order to advance the portfolios</li> <li>• Articulates how a city will advance, and how updating of the Action Plan will support that.</li> </ul>	<ul style="list-style-type: none"> <li>• Positive view of the NetZeroCities consortium on the content of the Climate Action Plan</li> <li>• All parts of the AP Template completed</li> </ul>
	<b>Maturity &amp; Quality of investment Plan</b>	<ul style="list-style-type: none"> <li>• <b>Clear</b> and tangible about <b>how a city will advance</b> that work in concert with the <b>Action Plan</b>.</li> <li>• If not existent, <b>lay capital needed</b> for climate neutrality.</li> <li>• Plan <b>outlines specific needs and training activities</b>, key partnerships, and timelines.</li> </ul>	<ul style="list-style-type: none"> <li>• Positive view of the NetZeroCities consortium on the Investment Plan</li> </ul>

		<ul style="list-style-type: none"> <li>• <b>Describe key policy needs</b> related to mobilising financing for climate-neutral implementation.</li> <li>• Sets out <b>objectives for needed capital structure</b> design and execution work for the scope/scale.</li> <li>• <b>Risks related to capital formation</b> and deployment are identified incl. mitigation actions and key actors.</li> </ul>	
Process Governance	<p><b>Process Governance of the CCC development</b> (criteria proposed by NZC Consortium to inform capacity building for CCC iterations)</p>	<ul style="list-style-type: none"> <li>• <b>Sustainability</b> - balance of the social, economic and environmental needs is reflected.</li> <li>• <b>Inclusivity</b> - equal access to urban decision-making, priority-setting and resource allocation.</li> <li>• <b>Citizenship</b> - empowerment to participate effectively in decision-making processes.</li> <li>• <b>Accountability</b> – transparency of and access to information; laws and public policies ensured.</li> <li>• <b>Due diligence &amp; Effectiveness</b> - financially sound, efficient and cost-effective management.</li> <li>• <b>Subsidiarity &amp; Multi-level Governance</b> - High degree of multi-level governance of the CCC process.</li> <li>• <b>Stakeholder Participation</b> – wide stakeholder participation in the development of the CCC.</li> </ul>	N. A.



## Draft Process & timeline

The diagram below presents the first concept on the **data collection on the Mission Platform**, via an **online questionnaire** (based on Evaluation Criteria) that should inform both the Mission Label validation process (quantitative component) and the capacity building activities to improve for the following CCC development iterations (qualitative component) – see figure 1 below. The basic idea is that once the qualitative and quantitative data from the Mission Cities is collected, the progress of their Climate City Contracts is analysed to determine the completeness, quality, maturity and ambition/impact. The NZC Consortium, then, pre-validates the information, provides support for CCC iterations to Mission Cities and passes the data on to the EC Mission Team. Once the endorsement of the CCC by the Mission Manager is obtained, the municipality is awarded the Cities Mission Label (see figure 2 below on the draft process and roles within the validation process).

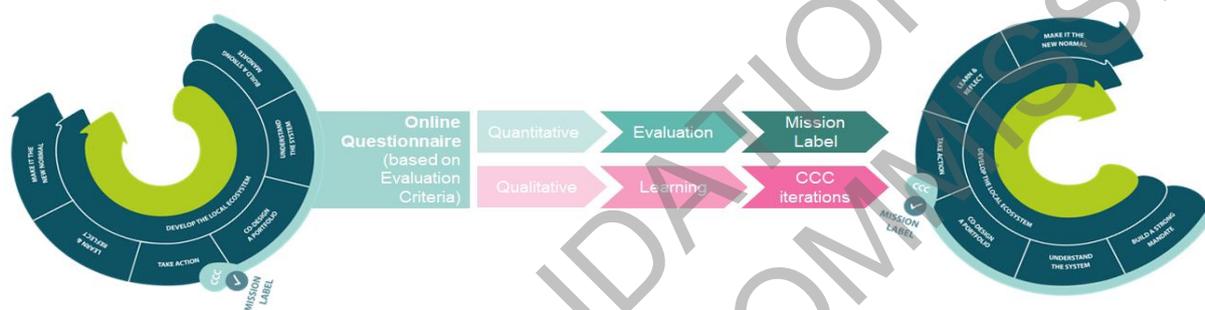


Figure 1: Draft schematic depiction of concept for data collection via a questionnaire to be developed on Mission Platform

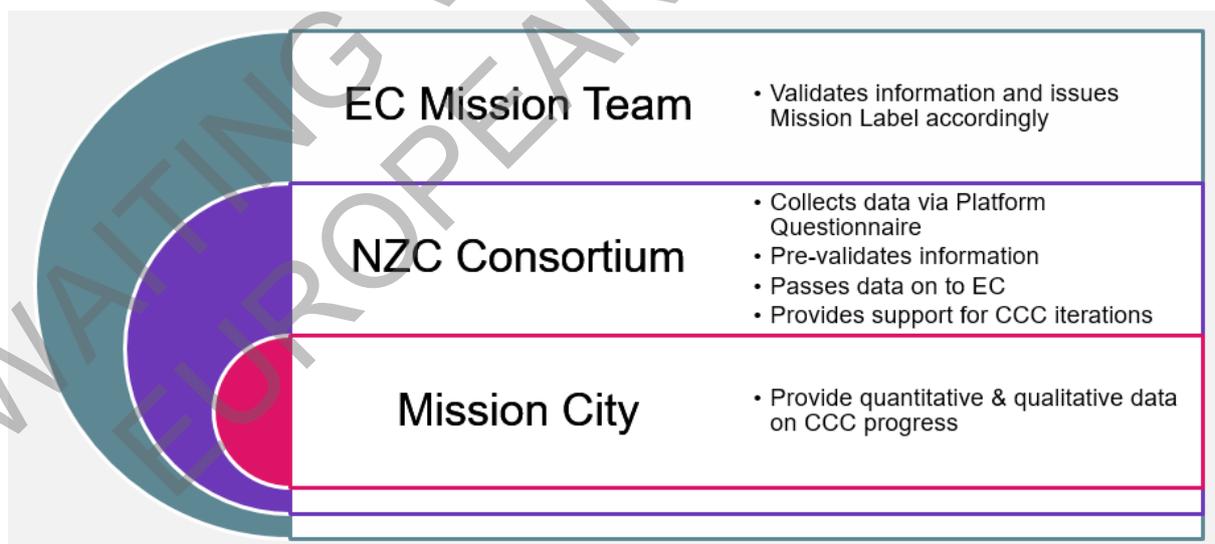


Figure 2: Proposed roles within Mission Label process

Figure 3 outlines the different monitoring and evaluation activities across time and the different project phases/iteration cycles and defines responsibilities (i.e. Mission City, NZC Consortium, EU Mission Team). **Mission Cities will be responsible** for continuously monitoring the progress of their CCCs. As

stated before, the Mission City will co-create the three parts of its CCC with the help of the Mission Platform. Once it is considered finalized, the City submits the CCC to the Mission Platform for full consideration and analysis to obtain the Mission Label. Then, the CCC submissions will be analysed and treated in two batches per year (draft proposed deadlines 1<sup>st</sup> of March and 1<sup>st</sup> of October). It is also proposed that the Mission Manager should be responsible for the validation of the CCCs after consultation with the relevant services. The endorsement by the Mission Manager of the CCC would then automatically lead to the award of the Cities Mission Label.

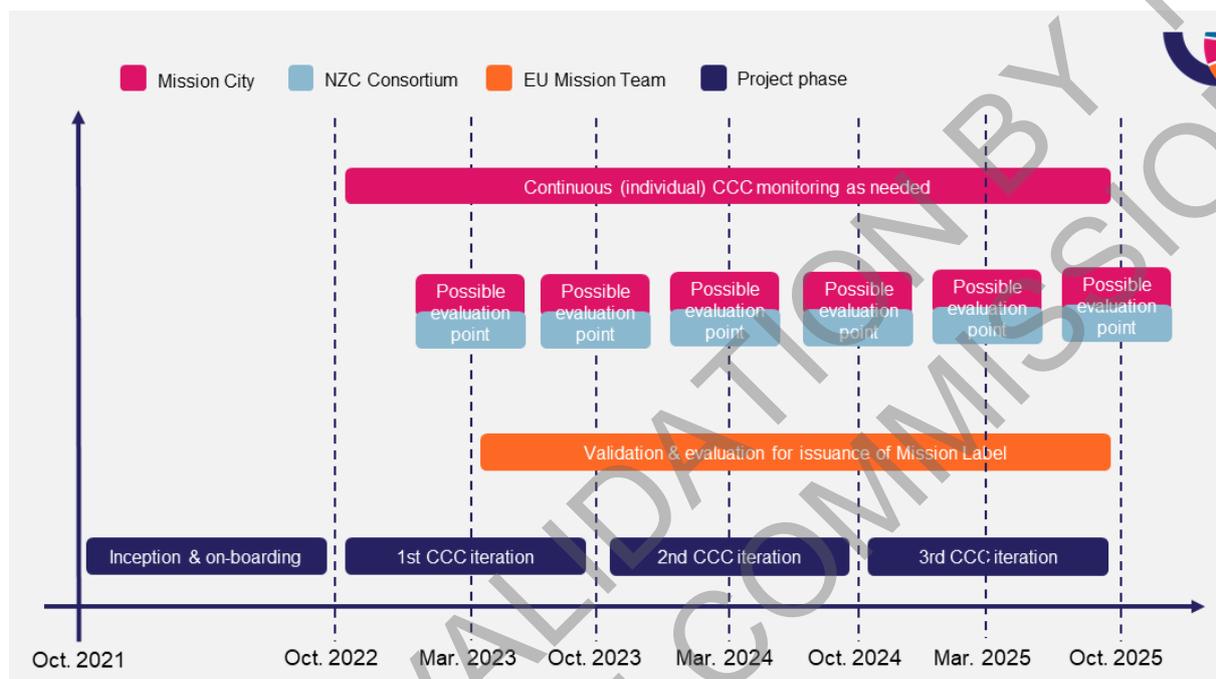


Figure 3: Draft timeline with monitoring & evaluation cavities across different actors

## Cities validation & outlook

During the NZC Practitioner Panel session on September 14<sup>th</sup> 2022, one of the city representatives questioned whether a self-assessment tool would indeed add value to what they already have today. The participant, however, highlighted the positive aspect of having all relevant criteria for Mission Label connected through the evaluation, which substantially helps to present data to the politicians and steer commitment in a practical way.

In the discussion, the chosen criteria for evaluation were considered acceptable. Regarding the functionality and operability of the proposed criteria, one of the participants emphasized how they help in the process of having a broader (or more complete) view in their ambition to become climate neutral, with the Mission playing a substantial role in this system change.

About the inclusion of KPIs and related thresholds for the evaluation criteria, some considered them helpful for a more detailed framework and transparent evaluation process, especially if they go beyond climate impact indicators and rather address the process of CCC development. Another participant, however, pointed out that some cities would rather prefer the process with a more qualitative/balanced approach, seeing in the use of KPIs a risk of over prescription, adding burden to the reporting requirements imposed to Mission Cities. Certain KPIs with thresholds were suggested in the end as an acceptable way forward to complement the qualitative validation elements.

In summary, **four key questions remain to be further discussed** and resolved with the Mission Team and the Cities: (1) A detailed process outline for the label validation is still pending, including a final set of evaluation criteria. (2) The scope of the evaluation still needs to be finally decided on. This includes the question whether the CCC Evaluation should be limited to evaluating the criteria established for issuance of the Mission Label, or whether it should include additional criteria supporting e.g. the sense-making and learning (in relation to Task 1.6) as well as e.g. the tailoring of support offers provided by the NZC Consortium (capacity building) for each of the iteration cycles of CCC development. (3) The introduction of KPIs for each of the criteria as well as related thresholds for entering into the Label validation process and for receiving the Label, could make the process more transparent to cities. On the other hand, the establishment of KPIs could increase the reporting burden imposed on Mission Cities unnecessarily. A balanced proposal on this point should be discussed and established. (4) A process for data collection and processing needs to be established based on the current proposal by the Mission Team and the NZC Consortium (i.e. the online questionnaire on Mission Platform).

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## ANNEX

### Agenda from the Panel

#### **NZC Practitioners Workshop to validate CCC evaluation criteria and process**

**When?** Wednesday, 14<sup>th</sup> September 2022, 14:30-16:00 (CEST)

**Where?** online via MS Teams (linked provided in calendar)

**Why?** The objectives of this workshop are (1) to present the evaluation criteria for the CCCC as well as the associated process; (2) to collect feedback and input from participating cities and (3) to use validation feedback to recalibrate the framework.

**What?** This NZC Practitioners Workshop aims at gathering around seven mid-level administrative managers (Unit or Section Heads) from different Mission Cities, which are ideally responsible for the operational aspects of the CCC process in their cities. The one-and-a-half-hour online workshop will dedicate itself to discussing the CCC evaluation criteria proposed by the NZC consortium as well as the intended *Joint Questionnaire* for collecting both quantitative and qualitative data for KPI monitoring and learning respectively. The workshop will deliver key insights for operationalizing a CCC Evaluation Framework. The workshop proceedings and results will be documented in NZC deliverable D2.11.

All relevant materials will be sent to registered Mission City Representatives before the workshop for preparation.

**Facilitators and presenters** Sophie Callahan & Nikolai Jacobi – ICLEI Europe; Hade Dorst – TNO

#### **Agenda**

14:30-14:35	<b>Welcome and introductions</b> Sophie Callahan – ICLEI Europe
14:35-14:40	<b>Setting the scene &amp; scope of the workshop</b> Nikolai Jacobi – ICLEI Europe
14:40-14:50	<b>Presentation of concept: evaluation criteria and process</b> Nikolai Jacobi – ICLEI Europe
14:50-15:00	<b>Presentation of concept: learning and sense-making</b> Hade Dorst – TNO
15:00-15:20	<b>Round 1: Discussion on cities' needs around CCC evaluation and learning</b>
15:20-15:35	<b>Round 2: Discussion on evaluation criteria</b>
15:35-15:50	<b>Round 3: Discussion on questionnaire and evaluation &amp; learning process</b>
15:50-16:00	<b>Synthesis and wrap-up</b>
16:00	End of event

## List of participants

- Agnes / Mannheim
- Luca / Leuven
- Hrönn / Reykjavik
- Serhat / Konya
- Janis / Riga
- Lisa & Charlotta (Evaluation expert) / Stockholm

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