

SURGE Umbrella Mid-Term Evaluation

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Executive Summary

Context and Purpose of the Evaluation

In 2020, the MDTF-SUD II (which followed its predecessor MDTF-SUD I, originally launched in 2011) was folded into the SURGE Umbrella Program as an Anchor MDTF. SURGE consolidates donor contributions for global, regional and country-level programs to do with urban and regional development, within the framework of a single trust fund in the GPURL portfolio. SURGE finances the global UA&TA program—which focuses on knowledge creation and capacity building in nine countries and through three technical deep-dives—while also channeling funds to four associated trust-funds for country-level programming in Peru, Bolivia, Serbia, and South Africa. The SURGE Umbrella program’s overarching development objective is to enable cities and regions in developing countries to function as drivers of green, resilient and inclusive economic development.

In 2023, the World Bank commissioned this Mid-Term Evaluation (MTE) of SURGE. This evaluation reviewed progress and initial results and impacts of the UA&TA program and three of its four existing country programs (Peru, Bolivia, Serbia), and consolidated lessons learned to benefit SURGE moving forward.

Methodology

The Evaluation Team adopted a tailored, multi-faceted methodological approach for this evaluation, as follows: (a) Formative Evaluation; (b) Utilization-Focused Evaluation (UFE); (c) Participatory Approach; (d) Gender-Sensitive Approach; (e) Theory-Based Evaluation (TBE). It was guided by an evaluation matrix.

The evaluation’s mixed-methods approach included in-depth document review, over a hundred interviews, and field missions to Bolivia, Peru and Serbia. Beyond the overall evaluation findings and recommendations provided in Volume 1 of this report, three country program case studies and five country assessments for the global UA&TA program were also developed (see Volume 2).

Evaluation Findings

Relevance

Responding to Changing Context and Client Demand

There is a high level of client satisfaction with the alignment of the UA&TA program’s country-level activities with national- and sub-national needs and priorities. In addition, the UA&TA program is flexible, and its two-phased approach makes it responsive to clients and relevant to diverse country contexts.

Each of the SURGE technical deep-dives provide relevant bases for evidence-informed decision-making. Despite being at different stages in their dissemination, they provide relevant solutions on integrated planning and finance that have potential for use by World Bank teams in engaging with clients.

The Bolivia, Peru and Serbia country programs were aligned with national and local priorities in urban development and were designed to address gaps in data and information, enhance critical capacities, and improve national- and local- level urban planning processes.

Relevance as a Collaboration Instrument

The SURGE Umbrella Program is closely aligned with SECO’s priorities in urban development and has served as a funding instrument that is

complementary to other SECO investments. Other donors have only recently contributed to SURGE.

The SURGE Umbrella Program provides a framing for the World Bank's priorities in urban development and is a unique trust fund that facilitates holistic, 'whole-of-city' TA options for engaging clients on this agenda. It is strategically and operationally relevant to the Bank and is beginning to leverage its strengths and expand its donor-base.

Internal Coherence of Program Design

The SURGE Umbrella Program is structured by separate Pillars, programs and activities, and carried out uniquely in each country. This overall structure and country focus is coherent with SURGE's holistic and flexible approach. Opportunities for synergies across the different components of SURGE have until recently remained untapped. Recent efforts to foster exchanges across country programs have been a valuable addition to the SURGE model.

Effectiveness and Impact

Progress towards objectives

At mid-term, the SURGE Umbrella Program has made significant progress in delivering its intended outputs and is on track towards meeting most of its outcome indicator targets.

The three technical deep dives have delivered a range of outputs that relate to the research process and the final products, i.e. the reports on Pancake to Pyramids, Vibrant Cities, and Mobilizing Finance. Although the three reports are at different stages in their contributions to outcome level change, there are already good examples with Vibrant Cities and Pancakes to Pyramids.

To varying degrees, the country-level activities of the UA&TA program have contributed to strengthening policies and institutions in countries, at their targeted levels of government (e.g., national, regional, city).

In Bolivia, the country program is more than half-way complete. The TA outputs in Santa Cruz de la Sierra and La Paz have contributed to institutional capabilities for planning and DRM (municipal level) and set foundations for implementation of the Bolivia Urban Resilience Project in targeted municipalities.

In Peru, despite COVID-19 and leadership change at key ministries, TA program has made important contributions to strengthening the institutions and generating a base of cadastral information that, if adequately used in planning and management, can support more sustainable cities.

In Serbia, despite delays in start-up, the program Green Livable and Resilient Cities (GLRC) has made significant contributions to sustainable urban development at the national level. In several SURGE cities (GUPS), it has reinforced the capacity of LSGs in the areas of planning, DRM and waste. It has improved communication among administrations, and it has developed methodologies for sustainable waste management.

Fragility conflict and violence (FCV) and gender equality are cross-cutting objectives of SURGE, but not a focus of activities funded through the SURGE Umbrella Program to date. However, many SURGE-financed activities intersect with key policy issues (e.g., around climate vulnerability, public housing, participatory urban planning) that will likely have indirect effects on social inclusion and equity. These types of considerations are not always explicitly addressed in project design or reflected in reporting obligations.

Additionality

SURGE-financed activities illustrate non-financial additionality in that they facilitate engagement with clients and foster an enabling environment for policy dialogue. A growing number of SURGE activities have also influenced or supported the preparation of new World Bank projects or complemented existing World Bank projects, demonstrating

SURGE's downstream influence and its contribution to a number of high-value investments. Within the range of consulted client counterparts and donors, a relatively small amount of additional non-World Bank funding was mobilized, compared to the more significant World Bank project amounts influenced through SURGE.

Sustainability

Sustaining Benefits

It is too early to draw conclusive statements on the sustainability of SURGE-financed interventions at this stage. The MTE nevertheless identified a number of key factors worth considering to sustain engagement and the potential impacts of SURGE-financed interventions over the long-term. These include strong client-Bank engagement over time, establishing synergies with ongoing World Bank projects, supporting inclusive approaches to TA and local buy-in for envisioned urban reforms, and supporting clients' efforts to find alternative funding sources to allow for the concretization of plans and policy recommendations.

Program Management

Monitoring and Reporting: Evidence-base for Results

The SURGE results framework and related reporting generally align with expectations of stakeholders who use that data (i.e., SECO and the World Bank) and are appreciated by World Bank TTLs because of the streamlined reporting requirements. However, current monitoring and reporting processes do not always capture the full breadth of SURGE contributions against all of the results areas, nor do they allow for the level of detail necessary to measure the outcomes of SURGE-financed interventions, for example, with regard to encouraging participatory planning processes.

Efficiency in Implementation

Across all programs, SURGE has approved and implemented activities to produce outputs on time, with few exceptions.

SURGE program delivery and management costs are reasonable. In general, program management practices have supported the overall efficiency of the SURGE Umbrella Program.

Conclusions

The World Bank established the global SURGE Umbrella Program in 2020 as its central collaborative instrument for working with partners on building inclusive, resilient, and sustainable cities in developing countries. This MTE concludes that SURGE has been an effective vehicle for deepening World Bank engagement with clients and strategic collaboration with its donors on sustainable urban development. SURGE has been able to provide relevant and just-in-time support to its clients through holistic approaches and is demonstrating important initial results that meet and exceed the expectations at mid-term.

Overall, the MTE confirms the on-going relevance of the SURGE Umbrella Program and its component parts: the Global UA&TA program, including the technical deep dives, and the Associated TF country programs ((Bolivia, Peru and Serbia).

The three Country Programs have begun to contribute to policy and institutional change that should enable them to meet objectives that relate to capacity development and policy reforms at national and sub-national levels.

The evaluation has also found that, despite a comparatively small level of investment, the Global UA&TA activities have demonstrated significant promise, with targeted TA and analytical work helping to strengthen client capacity for addressing priority urban reforms.

Across the portfolio, SURGE has demonstrated a significant level of non-financial additionality through efforts to foster an enabling environment for policy dialogue and because of its emphasis on knowledge exchange, which has enabled greater engagement with clients. In terms of financial additionality, there are also a growing number of examples that demonstrate how SURGE-funded TA sparked demand for new World Bank lending operations or enabled synergies with existing operations.

Finally, SURGE has been well-managed and is seen as an agile and accessible trust fund by clients and Bank teams. It is also beginning to demonstrate the benefits of an Umbrella Fund due to its efficient set up, streamlined reporting mechanisms and overall fund management.

Having said this, the MTE has identified some areas of improvement with regard to capacity building approaches, inclusivity, monitoring and reporting, knowledge management as well as coordination across the different countries and components supported by SURGE. The evaluation proposes the following recommendations to address these gaps and enable the sustainability of SURGE-financed interventions:

Recommendations

Anchor Trust Fund – UA&TA

SURGE UA&TA country-level activities have been relevant to clients and have yielded promising early results. World Bank TTLs also express high demand for this type of investment to engage countries and municipal authorities on sustainable and resilient urban development issues. The following recommendations recognize these clear strengths and the need for continued support to sustain engagement and results:

Recommendation 1: SURGE’s UA& TA program should continue with its overall approach, which includes an analytic phase and targeted TA funding, allowing for flexibility in implementation in different country contexts.

Based on evidence in the MTE, the approach, depending on the country, may require: (a) immediate TA or continued TA tailor fit to their needs, building on previous SURGE or non-SURGE activities, (b) an additional phase of upstream analytics, or (c) a combination of additional upstream analytics and TA.

Recommendation 2: SURGE should consider supporting government stakeholders’ efforts to secure additional financing to concretize recommendations from the analytical and TA activities supported by SURGE to date.

SURGE-financed TA and analytical activities have had a clear influence on institutional and regulatory frameworks in a range of countries. This offers potential for any future financing, through the World Bank or other sources, to be used more effectively by clients to inform investment decisions and policy making around sustainable urbanization. However, limited access to such finance is one of the factors affecting the potential to sustain benefits of such reforms. In addition, a more strategic capacity building approach is needed to support city governments in their efforts to generate their own revenues and improve municipal budgeting processes.

Technical Deep Dives

The technical deep dives are at various stages in the process of influencing the thinking, policies, operations and actions of different stakeholders. Early evidence indicates that the process for shaping the technical report as a multi-disciplinary exercise is as important as the product. However, SURGE needs to sharpen its communication strategy to

ensure wider uptake of these products vis-à-vis clients as well as within the World Bank system.

Recommendation 3: SURGE should continue engaging World Bank teams and external stakeholders in strategic multi-disciplinary deep dives, while enhancing the longer-term dissemination and monitoring of the reports being produced. With regard to knowledge translation and dissemination, SURGE and its partners could do more to promote the circulation of these products to ensure broader uptake within and beyond the World Bank system.

Moreover, future deep dives could address a range of other thematic areas, notably climate finance and municipal revenue generation, that consulted stakeholders have identified as particularly relevant to implementing and sustaining the benefits of TA in client countries.

Country Programs

The MTE found that Country Programs facilitate multi-year engagements that build rapport and trust with local governments, consultant teams and national governments in countries to achieve sustainable urban development. This level of engagement in countries is a powerful instrument that could have a strong impact in other countries if the program could be replicated elsewhere. In addition, there are design considerations and lessons from each country program that can enhance prospects for sustainability of the SURGE initiatives.

Recommendation 4: The MTE recommends that SURGE deepen engagements with existing donors, while reaching out to other potential development partners, to expand the number, scope, and sustainability of country programs. SURGE could better communicate the impact and added value of country-specific programs under the SURGE Umbrella Program with donors.

Recommendation 5: The MTE identified several factors that enhance the prospects for sustainability

of the three country programs. These include: ensuring continued Client - Bank engagement over time ; sustaining political will or local buy-in ; continuing a hands-on, person-to-person approach to TA and capacity development ; and supporting the efforts of municipal or local governments to find alternative revenue streams or generate own-source revenues, including through linkages with on-going World Bank projects.

For all three associated country programs, three areas could be further emphasized in program design and implementation:

1. **Inclusivity.** Be more intentional about engaging civil society and non-state actors in delivering TA to support long-term buy-in for future investments and urban reform processes.
2. **Piloting innovative approaches.** Country programs provide an opportunity to take risks in which clients can test or pilot approaches that can then be integrated into country planning systems or Bank-financed projects.
3. **Support for sustainable revenue generation.** A third area for country programs to expand upon is the support for capacity development for generating municipal finance from own source revenue or alternative financing mechanisms.

In addition to these points, the MTE identified several country-specific factors that should be taken into consideration to address potential sustainability challenges moving forward (see [Recommendations](#) section below).

Program-level Trust Fund Management

The World Bank has provided effective and efficient management of SURGE to date. SURGE is a young program, and its early focus was on setting up structures, partnership engagement,

reporting mechanisms, and parameters for implementation. It is now a good time to extend outreach and communications and better demonstrate how SURGE is meeting its objectives. With regard to fund governance, as new donors start to provide financing to the SURGE Umbrella Program, their expectations will need to be considered in the Partnership Council.

Recommendation 6: As SURGE continues to evolve, SURGE program management should expand its role in learning exchange, communications, monitoring and reporting, while continuing to nurture ties with the Partnership Council.

SURGE management could do more to promote **exchanges on best practices and lessons learned** across various SURGE-funded programs, both internally (among World Bank staff) and externally vis-à-vis client governments and external partners. Similarly, it is time to invest more in **communications** of SURGE-funded activities and outputs to a wider audience

With regard to **monitoring and reporting**, the MTE notes the need to update the SURGE ToC to ensure greater coherence with its Results Framework. On progress reporting, more guidance should be provided to local implementing teams to foster a clearer, common understanding of links between activities, outputs and prospects for longer-term change (outcomes). Moreover, reporting procedures could be revised to fully capture **the cross-cutting and participatory dimensions** of SURGE-financed activities and results.

Finally, SURGE should continue **to nurture the Partnership Council** both in its strategic guidance role and as a platform for strategic discussions among World Bank urban specialists and donor representatives on priorities in urban development.

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Acronyms

CPL	City Planning Lab
CSO	Civil Society Organization
CSP	Cities Support Program
DFID	UK's Department for International Development
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EQ	Evaluation Question
ER	Evaluation Report
FCV	Fragility, Conflict and Violence
GAM	Greater Metropolitan Area (of San Jose, Costa Rica)
GFDRR	Global Facility for Disaster Reduction and Recovery
GLRC	Green, Livable, and Resilient Cities
GPRBA	Global Partnership for Results-Based Approaches
GPURL	Global Practice for Urban, Disaster Risk Management, Resilience and Land
GSG	Global Solutions Groups (of the World Bank)
IURC	International Urban and Regional Cooperation
LSG	Local Self Government
MENA	Middle East North Africa
MDTF	Multi-Donor Trust Fund
MDTF-SUD1	MDTF for Sustainable Urban Development Phase 1
MDTF-SUD2	MDTF Sustainable Urban Development Phase 2
MoEDPR	Ministry of Economic Development and Poverty Reduction
MOLIT	Ministry of Land, Infrastructure and Transport of South Korea
OECD-DAC	Organization for Economic Co-operation and Development's Development Assistance Committee
P2P	Pancakes to Pyramids
PI	Program Indicator
RF	Results Framework
RFP	Request for Proposal
SDG	Sustainable Development Goal
SECO	Switzerland's State Secretariat for Economic Affairs
KER	Key Economic Region
TDLC	Tokyo Development Learning Centre
TOC	Theory of Change
TOR	Terms of Reference
TTL	Task Team Leaders (of the World Bank)
UMG	Universalialia
UA&TA	Urban Analytics and Technical Assistance
UFE	Utilization-focused Evaluation
URCCN	Urban Research Climate Change Network

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1. Introduction

The Universalialia Management Group Limited (UMG or 'Universalialia') is pleased to present this draft Evaluation Report (ER) to the World Bank for the Sustainable Urban and Regional Development (SURGE) Umbrella Trust-Fund mid-term evaluation. This draft ER consists of two volumes. **Volume 1** is the main report, which presents the context and purpose of the evaluation, technical approach and methodology, a comprehensive overview of findings, and conclusions and recommendations. **Volume 2** presents the Urban Analytics and Technical Assistance (UA&TA) country assessments and the country program case studies.

Volume 1 is divided into the following six sections:

- [Section 1](#): Introduction
- [Section 2](#): Context and Purpose of the Evaluation
- [Section 3](#): Technical Approach and Methodology
- [Section 4](#): Evaluation Findings
- [Section 5](#): Conclusions
- [Section 6](#): Recommendations

Volume 2 is divided into the following two sections:

- Section 1: UA&TA Country Assessments
- Section 2: Country Program Case Studies

The following are provided as appendices to Volume 1: (i) the [Terms of Reference](#), (ii) [Evaluation Matrix](#) (iii) List of [Documents Consulted](#) (iv) List of [Stakeholders Consulted](#), and v) [SURGE Financial Data](#).

2. Context and Purpose of the Evaluation

2.1 SURGE Background and Context

The World Bank and Urban Development

Over recent years, overlapping ecological, sociopolitical, and health crises have revealed the importance of building resilience into the urban fabric. Concentrating a growing proportion of the world's population, cities are microcosms of the many challenges to sustainable development, from climate change to conflict-induced displacement, to the COVID-19 pandemic. For this same reason, cities also offer potential to address, synergistically, a range of challenges for a wide cross-section of a country's population. Effective urban and regional governance can ensure access to safe, affordable housing, public transport and other social services, while promoting efficiencies and innovation in terms of ecological waste management or urban planning.

The World Bank's Global Practice for Urban, Disaster Risk Management, Resilience and Land (GPURL) Trust Fund Portfolio is a key mechanism which enables donors and the World Bank to partner and invest in priorities in the field of sustainable urban development. The GPURL portfolio has four priority areas, each with a corresponding umbrella program (noted in brackets): 1. Sustainable Urban and Regional Development (SURGE Umbrella; which is specifically discussed below), 2. Disaster Risk Management and Resilience (Global Facility for Disaster Reduction and Recovery Program Umbrella), 3. Land and Geospatial (Land 2030 Umbrella), and 4. Results-Based Financing (Global Partnership for Results-Based Approaches Umbrella). Each of these umbrella programs consist of one or more multi-donor trust funds (MDTFs). There are also two global standalone trust funds within the GPURL urban portfolio: the Tokyo Development Learning Centre (TDLC) and the City Climate Finance Gap Fund (Gap Fund).

Origins of the SURGE Umbrella Program (2011-2019)

The origins of SURGE go back to 2011, with the creation of the MDTF for Sustainable Urban Development (MDTF-SUD I) – the product of a partnership between the Governments of Switzerland (represented by Switzerland's State Secretariate for Economic Affairs [SECO]), the United Kingdom (formerly the UK's Department for International Development [DFID]), Norway's Ministry of Foreign Affairs, and the World Bank. MDTF-SUD I aimed to elevate urbanization as a priority in national development agendas, reinforce the capacity of partner countries to implement evidence-based urban planning, while catalysing public and private investments into sustainable urbanization.¹

The global Sustainable Urban Development Phase 2 (MDTF-SUD II) built on the achievements of its predecessor. MDTF-SUD II provided support for urbanization reviews and support for country-level policy dialogue (known as Phase 1 activities).² A Phase 2 component was officially launched in October 2019 with a US \$6 million contribution from SECO. MDTF-SUD II aimed to address remaining bottlenecks carried over from MDTF SUD I, while placing greater emphasis on technical assistance (TA), advisory services, and capacity building for national

¹ World Bank Group - SURGE, "Concept Note: Multi-Donor Trust Fund for Sustainable Urban Development – Phase 2 Partnership Proposal (MDTF-II), September 2019," 2019, 5.

² World Bank Group - SURGE, "FY22 Annual Work Plan and Budget, December 2021," 2021.

and municipal governments. Programming supported through the Fund was intended to mobilise national and local governments around urban and regional planning reforms through capacity reinforcement and evidence creation.

Trust Fund Restructuring: from MDTF SUD-II to the SURGE Umbrella Program

In 2020, MDTF-SUD II was restructured and folded into what would become the SURGE Umbrella Program as an Anchor trust fund (Anchor MDTF). SURGE consolidates donor contributions for global, regional and country-level programs to do with urban and regional development, within the framework of a single trust fund. The move was consistent with the World Bank’s broader efforts to restructure trust funds and the Umbrella 2.0 principles, with the aim of reducing transaction costs, especially for country teams and World Bank Task Team Leaders (TTL). This resulted in the restructuring of GPURL’s portfolio, with SURGE becoming one of GPURL’s four Umbrella Trust Funds.

The two main activity streams carried out under MDTF SUD II – i.e. Analytical Work for Urbanisation Reviews (Phase 1) and TA (Phase 2) have continued under the Anchor MDTF and are referred to as “Legacy” Components 1 and 2 of the SURGE Pillar.³ The Anchor MDTF finances the global Urban Analytics and Technical Assistance (UA&TA) program. The UA&TA program finances both analytical and advisory work, focused on knowledge creation and capacity building activities intending to contribute to policy reform around key themes, including sustainable urban planning, spatial analysis, municipal revenue generation, and urban resilience. The UA&TA program has supported the implementation of three technical global deep dives on frontier policy issues in urban development, and nine country-level programs.

SURGE Umbrella Program Structure and Donors

Urbanization is a uniquely cross-sectoral issue that touches on a wide range of problem areas. The SURGE Umbrella is structured to allow the MDTF to tap different donors for contributions on specific themes or sectors (e.g. climate resilience, land use planning, disaster risk management) that intersect with urban issues. SURGE’s Anchor MDTF, which finances the global UA&TA program, pools funds from multiple donors. Anchor MDTF funds are intended for a broad range of geographic and thematic programming, while accommodating, to the extent possible, donor agendas on certain urban-related themes.⁴ The Government of Switzerland, through SECO, is the founding donor of the Umbrella Anchor MDTF. Austria’s Federal Ministry of Finance and the South Korean Ministry of Land, Infrastructure and Transport (MOLIT) joined SURGE in 2022.⁵

Associated trust funds were also created in response to donor demands to earmark their contributions for specific countries or themes.⁶ Currently, funding is channelled through four such associated trust funds toward country-level programming Peru, Bolivia, Serbia, and South Africa. As of April 2023, the five trust funds under the

³ World Bank Group - SURGE, “FY23 Annual Work Plan and Budget, April 2023 (Updated Version),” 2023.

⁴ World Bank Group - SURGE, “SURGE Umbrella Trust Fund Program Concept Note,” April 2022.

⁵ World Bank Group - SURGE, “Operations Manual: SURGE Umbrella Program and Associated Trust Funds, March 2023.,” 2023, 2–3.

⁶ More specifically, according to the SURGE Operations Manual (p.2): “An Umbrella Program may also include Associated Trust Funds if development partners have restrictions preventing them from directly joining the Anchor MDTF (e.g., funds are earmarked for specific countries/themes).”

SURGE Umbrella have a total budget of US \$44 million.⁷ SURGE activities, especially for the UA&TA program, are financed by the global Anchor trust fund with a projected budget of US \$11 million pledged for FY23-24, in addition to US \$6 million in legacy SUD II funding. The global Anchor MDTF is financed largely by SECO, which has provided US \$5 million, preferenced towards urban spatial management and planning for FY 23-24. For the same period, the Austrian government contributed EUR €5 million (US \$5.3 million), preferenced towards supporting urban climate mitigation and adaptation investments in Europe and Central Asia. Korea has pledged an additional KRW ₩ 1.5 billion (US \$1.1 million), prioritising smart city development. SECO is the only donor for the four associated trust funds in Bolivia, Peru, Serbia and South Africa (each ranging in budget from US \$4 million to US \$10 million for FY 23-24). Specific programs supported by these country-level trust funds include the *Bolivia Urban Resilience Technical Assistance Program* (US \$4.4 million), *Strengthening Urban Cadasters for Urban Governance in Peru* (US \$5.4 million), and *Strengthening Sustainable and Resilient Urban Development in Serbia* program (US \$3.9 million), and the *Urban MDTF for South Africa* (US \$10 million).

All SURGE trust funds are presently governed through a Partnership Council, convened by the Bank and chaired by the Global Director of GPURL. The Council provides strategic direction on the implementation of the Umbrella Anchor and Associated MDTF, bringing together donors and development partners contributing to the trust funds. The Bank prepares the annual work plans and budgets for endorsement by donors within the Council.

SURGE Umbrella Program Objectives

The SURGE Umbrella program’s overarching development objective is to enable cities and regions in developing countries to function as drivers of green, resilient and inclusive economic development. Within this development objective, the SURGE Umbrella program covers a variety of areas that require local and regional governments to work synergistically to build resilience into the urban fabric, through its five thematic pillars which are put into action (see [textbox 1](#)) The five pillars of the SURGE program – notably Pillars 2 (Territorial and Spatial Development), 4 (Urban Poverty and Housing), and 5 (Urban and Regional Resilience) feed into specific Sustainable Development Goal (SDG) 11 targets, notably 11.1, 11.2, 11.3 and 11.5. The five pillars of the SURGE Umbrella are put into action through four activity lines (see [textbox 1](#)).

Textbox 1

SURGE Thematic Pillars

1. City Management, Governance, and Financing
2. Territorial and Spatial Development
3. Sustainable & Climate-Smart Cities
4. Urban Poverty & Housing
5. Urban & Regional Resilience

SURGE Activity Lines

1. Knowledge Creation & Innovation
2. Capacity Building & Training
3. Supporting Finance Mobilization
4. Stakeholder Collaboration and Knowledge Sharing

Overall, the SURGE Umbrella Program reflects increasing recognition of the importance of effective urban and regional governance to promoting resistance to external shocks, while promoting inclusive, sustainable development. Launched in 2020 at the height of the COVID-19 pandemic, SURGE also coincided with new

⁷ This figure excludes the Indonesia Trust Fund. See World Bank Group - SURGE, “FY23 Annual Work Plan and Budget, April 2023 (Updated Version).”

thinking around more holistic approaches to disaster risk reduction (DRR) within the donor and policy-making communities.⁸

2.2 Evaluation Purpose and Scope

Evaluation Purpose

At this point in the SURGE trajectory, the World Bank has commissioned this Mid-Term Evaluation (MTE). As per the Terms of Reference (TOR) for the assignment, its objectives are to:

- **Review progress and initial results and impacts of the global UA&TA Program** (nine countries and three deep dives) against the SURGE Umbrella development objectives and relevant Pillar objectives.
- **Review progress and initial results and impacts of the three of its four country programs** (Peru, Serbia and Bolivia Trust Funds) against the SURGE Umbrella development objectives, country trust fund objectives, and relevant Pillar objectives.
- **Collect and consolidate lessons learned that can benefit the SURGE Program moving forward, overall and specifically related to the global and country programs.** The evaluation will also examine aspects of *additionality* from SURGE funded activities that influence or inform World Bank operational projects (or other non-World Bank projects) and/or contribute to analytical work, as well as in developing partnerships within and outside the World Bank.

The main audiences of the evaluation report are SURGE’s donors and other development partners, as well as the World Bank Global SURGE Team, and World Bank Management. As per the TOR, the evaluation report is not intended as a publicly available document. However, a summary version of the report (e.g., the Executive Summary section as a standalone document) can be shared more widely, for example to client country counterparts, if deemed relevant.

Evaluation Scope

As per the TOR, the overall scope of the MTE consists of three tasks, which are addressed in various sections of this report and outlined in [Table 2.1](#) below.

The temporal scope of the evaluation is the the full time-period of the implementation of the SURGE Umbrella Program to date. As such, this spans from 2020, when the SURGE Umbrella Program was established, until early 2023. In terms of geographic scope, Task 1 covers all nine countries under the global UA&TA program (Angola, Costa Rica, Madagascar, Nepal, Nigeria, the Philippines, Romania, Uzbekistan, and Viet Nam). Five of these countries (Angola, Costa Rica, Nepal, Uzbekistan, and Viet Nam) are explored in greater depth through dedicated Country Assessments (provided in Volume 2). Task 1 also covers three technical deep dive reports, two of which are global in scope (i.e., Pancakes to Pyramids [P2P], and Mobilizing Finance) and one focused on the Middle East and North Africa (MENA) region (i.e., Vibrant Cities). Task 2 covers country programs in Bolivia, Peru, and Serbia;

⁸ See for example: *MCR2030 Webinar - Beyond COVID19: Health Security Preparedness and Risk Management for Improved Resilience*, 2023, <https://mcr2030.undrr.org/event/mcr2030-webinar-beyond-covid19-health-security-preparedness-and-risk-management-improved>.

field missions were conducted in each of these countries (as further described in [Section 3](#) of this report). Task 3 encompasses all elements of SURGE covered in Tasks 1 and 2.

Table 2.1 Evaluation Tasks

TASK	CORRESPONDING REPORT SECTIONS
Task 1: Evaluation of the Global UA&TA Program	Volume 1: Findings 1, 2, 8, 9, 14 Volume 2: UA&TA Country Assessments
Task 2: Evaluation of three Country Programs (Bolivia, Peru, Serbia)	Volume 1: Findings 3, 10, 11, 12 Volume 2: Country Program Case Studies
Task 3: Evaluation of the SURGE Umbrella Program's outcomes through the SURGE Results Framework	Volume 1: Finding 7, 8, 9, 10, 11, 12 Volume 2: UA&TA Country Assessments and Country Program Case Studies *Note that this Task is cross-cutting and is also integrated into the analysis of other sections of the report

3. Technical Approach and Methodology

3.1 Overall Approach

This assignment was undertaken to balance formative as well as outcome-oriented evaluation priorities. As a Mid-Term Evaluation (MTE), the assignment aimed to assess progress towards the SURGE Umbrella development objectives and relevant pillar objectives, while providing guidance on any adjustments and course corrections that might favor the achievement of results. It examined the implementation model, assessed responsiveness to contextual, political, institutional and other factors, the structure and operating model of the global Urban Analytics and Technical Assistance (UA&TA) program and the three country-specific programs in Peru, Bolivia and Serbia, and other areas that may be adjusted for heightened institutional and development effectiveness. In line with the utilization-focused evaluation (UFE) framework, the team worked with all relevant stakeholders in a participatory and gender-sensitive manner, to ensure that insights and recommendations are useful to all and foster appropriation and buy-in. The evaluation was also outcome oriented, drawing on a theory-based approach to assess progress made to-date towards achieving intended outcomes, since the establishment of the SURGE Umbrella program in 2020.

An evaluation matrix, structured as per the Organization for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) criteria, formed the backbone of this evaluation, as per the terms of the mandate. During the inception phase, the evaluation team revised the evaluation questions and matrix with input from the SURGE Program team and World Bank management and included additional and/or refined sub-questions, indicators, and data sources. The final evaluation matrix which guided the evaluation is provided in [Appendix III](#).

3.2 Methodology

The data collection methods used throughout the evaluation included: in-depth document review; semi-structured interviews; and field missions to each of the three countries for which their country programs included in the scope of the evaluation (Peru, Serbia and Bolivia). Following the data collection phase, the evaluation team presented its preliminary findings and emerging recommendations to the World Bank SURGE program team and other relevant World Bank staff, for validation. [Table 3.1](#) below outlines the data collection methods used for the three specific tasks of the evaluation. The following narrative describes the different types of data collection methods presented in each column of the table.

Table 3.1 Evaluation Tasks and Methods

TASK	DOCUMENT REVIEW	DATASET REVIEW	SEMI-STRUCTURED INTERVIEWS	FIELD MISSIONS & CASE STUDIES	COUNTRY ASSESSMENTS
1	Global UA&TA program	✓	✓	✓ (virtual)	✓
2	Bolivia Urban Resilience Program	✓	✓	✓	✓
	Strengthening Urban Cadasters for Urban Governance in Peru	✓	✓	✓	✓
	Green Livable, Resilient Cities in Serbia program	✓	✓	✓	✓
3	Assessment of progress based on SURGE Umbrella Results Framework	✓	✓	✓ (virtual)	✓

Document Review

The evaluation team conducted an in-depth document review, which began during the inception phase and continued throughout the data collection phase. Key documents consulted during this Phase 1 included foundational and strategic documents such as SURGE annual reports, concept papers, country profiles (UA&TA program), and proposals, progress reporting and outputs/deliverables of the global UA&TA program and the three country programs, as well as other documents that were shared with the evaluation team over the course of the evaluation.

Building on this review, a second, in-depth document review was undertaken during the data collection phase. The subsequent document review focussed on program, project, and performance documents, such as Implementation Completion and Results Reports, of the global UA&TA program and the three country programs. The document review also included outputs, such as published knowledge products, analytical and diagnostic assessments (such as Urbanization Reviews, technical reports, trends spatial analysis reports), communications products, and presentations.

Dataset Review

Several datasets were reviewed to provide quantitative insights, in alignment with questions outlined in the evaluation matrix.

- **SURGE Results Framework monitoring data:** To undertake Task 3 of the evaluation, the team analysed monitoring data on specific pillar indicators, and program indicators, within the SURGE Results Framework that the anchor trust fund and the country programs report on.
- **Country program, and global UA&TA program, performance monitoring data:** As part of Tasks 1 and 2 of the evaluation, program-specific monitoring data for the global UA&TA program and the three country programs were also analysed, complementing qualitative insights emerging from the review of program, project, and performance documents.
- **Financial data:** The evaluation also drew upon financial datasets that are available on SURGE Umbrella financial performance, such as in relation to funding allocation, commitments, and disbursements, and data on use of financial resources, to inform the evaluation's assessment of efficiency.

Semi-structured Interviews

During the inception phase, the evaluation team conducted initial interviews with a sample of stakeholders to refine the scope of the study and inform questions in the evaluation matrix. This virtual inception mission involved interviews with staff from the SURGE Umbrella Program Team and the World Bank, donors and development partners, among other informants identified during the kick-off meeting. As part of the data collection phase, the evaluation team pursued a purposive sampling approach, allowing for both snowballing and opportunistic sampling. The team subsequently conducted a series of semi-structured interviews, comprising of global interviews and country-level interviews:

- **Global interviews:** As part of the evaluation's Tasks 1 and 3, the evaluation team interviewed relevant SURGE Umbrella Program Task Team Leaders (TTLs), other World Bank staff and managers (including regional directors, global directors, practice managers, etc.), managers of Switzerland's State Secretariat for Economic Affairs (SECO), and other representatives of donors to the SURGE Umbrella. These interviews covered topics related to the global UA&TA program and obtained stakeholder feedback on the SURGE Umbrella program's performance overall, complementing the dataset review undertaken under Task 3. Furthermore, as part of Task 1, the evaluation team consulted a subset of national and subnational government representatives and other relevant external partners (such as civil society organizations [CSOs] and think tanks) that were familiar with the global UA&TA program in their respective country. All global interviews were conducted virtually.
- **Country-level interviews, as part of field missions:** Subsequently, as part of the field missions for Task 2 (discussed below), semi-structured interviews were undertaken with key constituencies in Bolivia, Peru and Serbia, including: World Bank TTLs, other World Bank staff, national and sub-national authorities; SECO country staff, and external partners with relevant knowledge of the activities of the SURGE Umbrella country programs. A total of 87 such stakeholders were interviewed across all three country missions (44 in Bolivia; 17 in Peru and 26 in Serbia).

Table 3.2 Semi-structured Interviews

TYPE OF STAKEHOLDER	DESCRIPTION	STAKEHOLDERS CONSULTED (#)
Global Interviews (as part of Tasks 1 and 3)		
World Bank TTLs	World Bank TTLs of UA&TA Countries, Deep Dives, and other relevant programs	21
Other World Bank Staff	Global Directors, Regional Directors and Practice Managers, etc.	5
SECO	SECO staff at headquarters and in UA&TA countries	5
Other Donors	Contributing Partner: Austria's Ministry of Finance	1
National Authorities	Representatives from national governments from five of the nine countries covered by the global UA&TA program	4
Sub-National Authorities	Representatives from subnational (regional and municipal) governments from five of the nine countries covered by the global UA&TA program	3
External Partner Organizations	Academia, Think Tanks, CSOs, private sector entities, and development partners	3
Global Interviews Total		42
Field Missions to Bolivia, Peru and Serbia (as part of Task 2) (87 [out of 75 targeted] stakeholders across three countries)		
World Bank TTLs	World Bank TTLs of Bolivia, Peru, and Serbia country programs	4 (1 Bolivia, 1 Peru, 1 Serbia)
Other World Bank Staff	Country Office Staff, Practice Managers, etc.	16 (6 Bolivia, 6 Peru, 4 Serbia)
SECO Country Staff	SECO Country Staff in Peru and Serbia. Switzerland does not have a cooperation agreement with Bolivia.	2 (1 Peru, 1 Serbia)
National Authorities	Representatives from national governments of Bolivia, Peru, and Serbia	17 (4 Bolivia, 7 Peru, 6 Serbia)
Sub-National Authorities	Representatives from subnational (regional and municipal) governments in Bolivia, Peru, and Serbia	29 (20 Bolivia, 2 Peru, 7 Serbia)
External Partner Organizations	Academia, Think Tanks, CSOs, private sector entities, and development partners	19 (13 Bolivia, 6 Serbia)
Task 2 Interviews Total		87
GRAND TOTAL		129

Field Missions and Case Studies (Bolivia, Peru, and Serbia Country Programs)

Field missions were undertaken for this evaluation, informing the development of three case studies (Bolivia, Peru, and Serbia). The purpose of these missions was to collect detailed information to undertake Task 2 of the evaluation. Through these field missions, the evaluation team collected feedback and observations from

interviewees on activities implemented, and outputs produced, under the SURGE country programs to date, to assess the extent to which the SURGE Umbrella program is on-track to meeting its development objectives and country goals. The field missions also focused on collecting insights and observations from in-country stakeholders on emerging lessons learned related to the country program. These insights informed evaluation findings as well as dedicated Case Studies for each country, presented in Volume 2. As noted in the TOR, the GLRC in Serbia program started later than the country programs in Bolivia and Peru, and as such the Case Study of the Serbia country program is more forward-looking in nature, with less of a focus on early results.

Global UA&TA Program Country Assessments

The country assessments consisted of virtual semi-structured interviews with a subset of stakeholders from a sample of five of the nine countries (Costa Rica, Nepal, Angola, Viet Nam, and Uzbekistan). The original selection of the 5 countries during the inception phase, took into account: (i) the extent to which the program has been implemented for a longer period of time in a given country; (ii) regional diversity of countries selected; (iii) linguistic diversity of countries selected; (iv) number of activities implemented in a country; and (v) any considerations or potential issues related to the level of stakeholder availability in countries. Each assessment examines the activities implemented and outputs produced to-date as well as their alignment with SECO's Value Chain Approach, assesses if the program is on-track to meet SURGE development objective goals and pillar objectives, and compiles stakeholder feedback related to the program.

Limitations

The methodology of the MTE had some limitations that affect the nature of the evidence presented in this report.

- The MTE took a formative approach that also sought to focus on progress towards outcomes. Given the state of implementation of SURGE activities three years since its establishment, it is more challenging to demonstrate potential impact and sustainability. However, the breadth of data collected illustrates patterns of contributions from activities to outputs and in several cases towards outcome-level changes.
- One of the areas of inquiry in the MTE was on additionality of SURGE. In many of the countries in our sample, there is evidence of non-financial and financial additionality of SURGE-financed activities. However, the sample did not include countries that were not covered by the SURGE funding.
- The MTE team pursued a 'snowball' and opportunistic sampling approach for interviewing stakeholders in relation to the global program activities. World Bank TTLs identified stakeholders who would be knowledgeable about UA&TA in their respective countries. Technical deep dive authors identified stakeholders who would be familiar with their respective publications. Familiarity with the analytical work was a fundamental criterion for identifying interviewees, but also led to a sample that mostly included government officials (national and sub-national level) and World Bank staff. Few representatives of civil society, academia, and private sector were interviewed.

In the process of triangulation, the evaluation team corroborated information through additional research and compared different sources of data. The evaluation team believes that there is a solid evidence base for the findings that are presented about the progress of the SURGE Umbrella Program three years after it was established.

4. Evaluation Findings

This section presents the findings across all the evaluation criteria (Relevance, Effectiveness and Impact, Sustainability, and Efficiency).

4.1 Relevance

This section addresses the evaluation questions on relevance, including SURGE's ability to respond to changing contexts, its relevance to clients, and its relevance as a strategic collaboration instrument for the World Bank and its partners. It also explores the internal coherence of SURGE's programmatic design.

4.1.1 Responding to Changing Context and Client Demand

Relevance to Clients (UA&TA Program)

Finding 1: There is a high level of client satisfaction with the alignment of the UA&TA program's country-level activities with national- and sub-national needs and priorities. In addition, the UA&TA program is flexible, and its two-phased approach makes it responsive to clients and relevant to diverse country contexts.

At the time of writing this report, grants for Phase 2 (technical assistance) have closed in six out of nine UA&TA countries⁹, while all Phase 1 (urban analytics) grants have closed.¹⁰ Three of the six Phase 2 grants which have closed, did so during the evaluation period, in December 2023.¹¹ As such, most evidence of client satisfaction is from the urban analytics phase, with some evidence from the technical assistance phase.

The urban analytics phase (Phase 1) is very relevant according to client governments and World Bank Task Team Leaders (TTLs) across countries. The purpose of the urban analytics Phase 1 is to provide in-depth research and analysis that builds on existing analytical work and translates into more targeted Phase 2 technical support in topics that reflect national or sub-national priorities and needs. Countries where a lot of urban analytical research already existed pre-SURGE support were able to build on existing research, go in more depth, and fill remaining gaps. For example, Costa Rica (a well-researched country in terms of urban analytics) focused the Phase 1 grant on analysing the South Corridor of the Greater Metropolitan Area (GAM), shedding light on a geographic region not normally studied. Viet Nam, which already had an Urbanization Review from 2020, was able to build on the existing research and delve into persistent issue of limited economic integration in its Southern Key Economic Region (Southern KER). On the other hand, countries with a dearth of urban analytical data were able to use Phase 1 grants to develop a broad and comprehensive understanding of urbanization patterns and issues, covering a wide range of thematic areas. Uzbekistan is a key example of this, where the Urbanization Review developed in Phase 1 offered new and critical understandings of urban growth patterns which questioned

⁹ Costa Rica, Madagascar, Nigeria, Philippines, Romania, and Uzbekistan.

¹⁰ Note that the Philippines is the only country which did not undergo Phase 1 activities and directly started Phase 2 activities.

¹¹ Costa Rica, Madagascar, Philippines

conventional wisdom and are now being used to inform policies and laws in the country. A majority of the stakeholders consulted value the urban analytics phase for supporting the development of the knowledge and tools necessary to support national urban planning reforms and the economic development of specific regions. The adaptable approach to urban analytics (e.g., the choice to focus on one specific subject or generate more broad-based analysis, and the option to produce a classic Urbanization Review or other variations of analytical outputs) was also highly valued as allowing for increased relevance in countries.

Technical Assistance (TA) that has been provided through Phase 2 of the UA&TA program has been based on evidence gathered in Phase 1 and the needs identified by national and sub-national governments. SURGE's approach to TA is to focus Phase 2 on the Phase 1 issues that can be addressed through precise and feasible interventions, adapted to country contexts and capacities. Phase 1 is thus critical in ensuring the relevance of Phase 2, and countries that have not yet embarked on the second phase expect it will address the key issues identified in the first phase. It should also be mentioned that in the Philippines—a very well-researched country that underwent a World Bank Urbanization Review in 2017—SURGE has allowed it to forego Phase 1 and directly receive targeted technical assistance report, based on strong existing urban analytical evidence. The concrete results of such activities (e.g., towards strengthening policies and institutions in countries) are further discussed in [Finding 9](#).

Finding 2: Each of the SURGE technical deep-dives provide relevant bases for evidence-informed decision-making. Despite being at different stages in their dissemination, they provide relevant solutions on integrated planning and finance that have potential for use by World Bank teams in engaging with clients.

SURGE's global program comprises a set of flagship or semi-flagship research products known as technical deep dives. The goal of the technical deep dives is to help develop solutions to urbanization challenges worldwide.

Textbox 2: Overview of Technical Deep Dives

Pancakes to Pyramids

- Published: 2021
- Geographic scope: Global
- Dissemination Status: Report is widely shared, downloaded (4600+ downloads), and used (e.g., 29 Google Scholar citations)

Mobilizing Finance

- Published: 2022
- Geographic scope: Global
- Dissemination Status: Initial dissemination is complete (23-31 downloads), but more dissemination is planned (e.g., with World Bank urban team via regional urban unit meetings). Additional resources could be allocated for the dissemination.

Vibrant Cities

- Published: To be published in FY2024
- Geographic scope: MENA (Amman, Cairo, Casablanca)
- Dissemination Status: Presented at MENA Climate Week in Oct 2023 but not yet further disseminated. There is strong potential to have impacts on the analytics and plans in Amman, Cairo, and Casablanca. The methodology could also be replicated to other cities/regions.

Pancakes to Pyramids (P2P), Vibrant Cities, and Mobilizing Finance are analytic and evidence-based documents that use innovative methodologies to shed light on urban issues and identify policy implications. Each of the reports were different in terms of scope, focus and strategies for engaging with cities. They are also at different stages of dissemination to their target audiences.

The technical deep dives offer innovative solutions for integrated planning and finance. The Mobilizing Finance report developed methodologies to predict the economic impacts of specific urban investments, enabling more evidence-based urban and spatial planning. For example, the report utilizes the hedonic pricing approach of urban infrastructure. The Vibrant Cities report proposes practical strategies for planning, connecting, financing, and governing cities to enhance city performance, private sector-led growth, and job creation. Through identifying barriers and challenges in cities, the reports develop key methodologies, such as the steps outlined in Vibrant Cities, which include informing market actors, supporting markets through rigorous public investment, and protecting the urban population. P2P drew on new evidence, econometric analysis, and predictive modeling to understand the relationship between the economic growth of cities and their spatial development, as well as the potential for future exponential growth under certain conditions. This approach also facilitated the identification of areas where low-income individuals resided in cities, encompassing concepts like density, housing, and floor space. Interviews with World Bank staff suggest that the relevance of such deep dives to teams in the regions is largely based on the innovative thinking they provide that can then be used in the engagement with clients (See [Textbox 3](#)).

Textbox 3

World Bank Managers Perspectives on Relevance of Deep Dives

“Some of the very innovative, analytical, frontier type of work is super important for us. In my region, we’re more operational people, and there’s no bandwidth nor capacity to do this innovative analytical work.”

“Importance of a funding source like SURGE is that it allows us to a global level to step back and ask some of these questions – like P2P and Mobilizing Finance. These global pieces do not get done without trust fund resources. They allow for a combination of strategic thinking but rooted in operations and how to help teams develop new operations and to do them in a better way. “

“Reports like P2P provide us a ‘hook’ that we can then refer to in other work and make cases for policy actions. We can show that there are productivity (and climate benefits) to compact cities.”

“While the flagships are good conceptual pieces, the reports do not provide many insights on what policy makers might do differently. This is not what they are intended to do. Thus, there needs to be an intermediate step of knowledge translation – where those models and data are linked to practical actions.”

While all regional practice managers and several TTLs were aware of these products and spoke to their relevance, other TTLs and World Bank team members interviewed either did not know about them or indicated that the reports were not relevant to the work being done in the countries they work in. The deep dives remain technical and may be difficult to digest/understand among all stakeholders, especially at the city level. However, one of the external respondents interviewed through the “snowball” process acknowledged that although they hadn’t properly read the reports, they valued the deep dives because they were part of a broader framework of cooperation with the World Bank. One of the World Bank respondents also stressed the importance of additional communications and dissemination that highlights and simplifies key methodologies and messages to make them

more accessible for clients and for the World Bank teams engaged at country level, who help translate the knowledge into actions.

The deep dives address issues of relevance to national and subnational governments. In the case of Vibrant Cities, the objective was to discuss the constraints that limit cities' contributions to economic growth and improved labor market outcomes in Cairo, Amman, and Casablanca. The report proposes a diagnosis of the constraints that hinder cities' contribution to economic growth and improved labor market economies in the Middle East and North Africa region.

Relevance to Clients (Country Programs)

Finding 3: The Bolivia, Peru and Serbia country programs were aligned with national and local priorities in urban development and were designed to address gaps in data and information, enhance critical capacities, and improve national- and local- level urban planning processes.

Bolivia

The case of Bolivia illustrates how a country program that is broadly defined (covering diverse aspects of urban resilience) adapts to remain relevant at national and local levels.

- At local levels, TA activities were adjusted to each municipality's technical and financial capacities. For example, in developing the Climate Action Plans, the consultants adjusted their approach to reflect the different degrees of hands-on participation from senior managers and technical staff.
- The TA also pivoted its support at the national level. SURGE initially intended to work very closely with the Vice-ministry of Housing and Urbanism in implementing the National Integral Cities Development Policy. Changes in government, priorities and staff, led the World Bank team to instead expand its collaboration with the Ministry of Development Planning in order to support design Territorial Planning guidelines in support of the National Economic and Social Development Plan 2021 - 2025 (NESDP).
- The SURGE TA was designed to fill critical gaps in capacity. Stakeholders in the municipalities noted that TA helped to address areas where there the cities had deficiencies (e.g. disaster-risk management, including early warning systems), engage in completely new areas (Climate Action Plans), or update existing approaches to planning, as illustrated in the update to La Paz's emblematic neighborhood improvement program and new planning techniques in support of the Santa Cruz de la Sierra strategy for the city center.
- The emphasis on municipal finance. From the outset, the SURGE results framework included the intent to support the development and diversification of financing for urban resilience. Although the TA program had to shift its strategy at the national level, the emphasis on urban finance is still relevant. The Climate Action Plans were valued at the municipal level because of their potential to generate alternative finance.

Peru

In Peru, the TA program is focused on urban cadaster, an area of urban governance and management where the country has lagged for decades.

- The SURGE TA aligns to national priorities and supports the new legal framework. SURGE's technical assistance has been aligned with the Peruvian government's normative framework and policies and their evolution. After the adoption of the Sustainable Urban Development Law (LDUS, 31313)) and the National Housing and Urban Policy in 2021, the SURGE TA positions its activities in support of the government's efforts to draft some of its regulations. The LDUS refers to financing instruments that can recover land value increases that result from public investments, which alludes to Land Value Capture (LVC), one of the policy approaches that is addressed by the SURGE TA.
- The TA addresses key capacity gaps at national and municipal level. The SURGE TA has prioritized the legal and institutional frameworks because of the challenges of implementing the regulatory and executing roles for the Ministry of Housing, Construction and Sanitation (MVCS) and the Agency for the Formalization of Informal Property (COFOPRI). It also addresses local capacity for the use of cadastral information and land value capture instruments; these emphases represent gaps in municipal capacity and are particularly valued by stakeholders. For municipal stakeholders, relevance includes potential to raise the profile of the urban cadaster as a tool for urban planning, and for own source revenue generation.
- Development of territorial information inter-operability standards is a critical activity provided by the TA to streamline collaboration and smooth data sharing amongst public agencies (both horizontally between sectors and vertically from national to local agencies).

Serbia

SURGE TA responded to needs expressed by local authorities to adjust the Sustainable Urban Development Strategy (SUDS) to the needs of local authorities and address waste management, further urban sprawl, and other issues that arose during implementation.

- The TA aligns with national and local priorities. SURGE-funded activities were expected from the outset to inform the ongoing development of national urban strategies and plans. According to respondents at the Ministry of Construction, Transport and Infrastructure, the program clearly addresses the need for revising the national SUDS. Interviews confirm that sustainable waste management is also a priority, and the methodologies developed by SURGE will support the Ministry of Environmental Protection and the regions in preparing their waste management plans and facilitating the intermunicipal cooperation that is required. Local Self Governments (LSGs) have the same obligations for waste management, regardless of their size, so it is necessary to support them through guidelines and adapted methodologies.
- The program addresses the needs of municipal governments. The country program aims to enhance the capacity for urban planning among municipal governments, with a particular focus on climate adaptation and resilience. This is particularly relevant for Novi Sad, badly hit by recent storms, where SURGE-financed activities are informing local plans for the reconstruction of green areas and parks. Based on interviews conducted on-site, the program was designed to be responsive to the specific needs of local authorities.
- The program also focuses on gaps in capacity and methodologies for urban planning. The program is set up to address the gaps and needs identified by the cities. SURGE is also a relevant program in terms of integrating different sectors- waste, water, energy, which are key in achieving sustainable planning. In Leskovac and Nis, program objectives were aligned with needs expressed by municipal authorities for data collection and capacity building around water management, waste management, and urban planning.

4.1.2 Relevance as a Collaboration Instrument

Finding 4: The SURGE Umbrella Program is closely aligned with SECO’s priorities in urban development and has served as a funding instrument that is complementary to other SECO investments. Other donors have only recently contributed to SURGE.

State Secretariat for Economic Affairs (SECO) has had a long-standing interest in supporting sustainable and resilient urban development. In SECO’s 2021-2024 Economic Development Cooperation Strategy, Urban development and infrastructure services is a business line related to promoting reliable economic framework conditions, as components for economic growth and sustainable prosperity.¹² Its partnership with the World Bank spans more than a decade. It was a key contributor for the Multi-Donor Trust Fund (MDTF) for Sustainable Urban Development (SUD I and II), which preceded the SURGE Umbrella program. Between 2019 and 2022, SECO has provided US \$11 million to SURGE for global programs, and US \$33 million for country programs.¹³

The design of the SURGE umbrella program considered the SECO Value Chain Approach and SECO priorities in the selection of countries for the UA&TA and Country programs. SECO remains geographically focused. SECO systematically considers gender equality, climate and resource efficiency as transversal themes. There is also the issue of accommodating requests from SECO to adjust the content and structure of annual report, which is addressed in [Finding 14](#).

In Bolivia, Peru, and Serbia, SURGE country programs provide a mechanism for SECO to have continuous stakeholder engagement on urban issues in all three countries.¹⁴ Country programs align to Swiss cooperation strategies, build on other SECO regional experience, and have drawn on (or plan to draw on) Swiss expertise through Swiss Accompanying Measures (SAM) in case of Bolivia and Peru. SAM is a bilateral cooperation mechanism managed and funded directly by SECO. The World Bank teams provide a facilitating role in introducing Swiss counterparts to national stakeholders. In Peru, for example, the mid-term evaluations consultations suggest that Swiss expertise may be able to support the integration of urban and fiscal cadaster, which is one of the critical issues to address in order to contributed to the planned results of the TA and the World Bank project.

Austria and Korea have more recently joined and made contributions to SURGE. Interviews suggest that these donors value SECO engagement in the Umbrella Program and the possibility of preferencing their contributions in the Anchor MDTF or earmarking through associated country programs. As more donors enter the mix, they will also bring expectations for Partnership Council. The Partnership Council provides a platform for strategic discussion among donors and Bank urban specialists, and recent meetings have facilitated this exchange. While donors appreciate the exchange of information, they are also keen to provide strategic guidance and direction.

¹² Swiss Confederation Federal Department of Economic Affairs, Education and Research, State Secretariat for Economic Affairs (SECO), “For Sustainable Prosperity: SECO’s Economic Development Cooperation 2021-2024,” n.d.

¹³ World Bank Group - SURGE, “Welcoming New Partners to the World Bank’s SURGE Umbrella Program – Promoting Cities and Regions as Drivers of Green, Resilient, and Inclusive Economic Development,” 2023, <https://www.worldbank.org/en/topic/urbandevelopment/brief/new-partners-to-world-bank-surge#:~:text=Switzerland's%20SECO%20is%20SURGE's%20founding,has%20increased%20to%20%202450%20million.>

¹⁴ UA&TA activities can also provide opportunities for SECO engagement, depending on country presence. Uzbekistan and Viet Nam provide two examples.

Donor respondents indicated the need for balance between sharing of knowledge, and space for strategic discussions that help steer the umbrella program.

Finding 5: The SURGE Umbrella Program provides a framing for the World Bank’s priorities in urban development and is a unique trust fund that facilitates holistic, ‘whole-of-city’ TA options for engaging clients on this agenda. It is strategically and operationally relevant to the Bank and is beginning to leverage its strengths and expand its donor-base.

Strategic Relevance

At a strategic level, the World Bank’s GPURL identified a set of five priority areas that are organized into Global Solution Groups for sustainable urban and regional development. Those five areas (see [Textbox 4](#)) informed the concept of SURGE and have translated into the SURGE pillars and Results Framework.

In 2023, the World Bank’s Evolution Roadmap¹⁵ added “in a livable planet” to the World Bank’s existing twin goals (eradicating extreme poverty and boosting shared prosperity) and identified eight global challenges to be part of this new mandate (climate/adaptation, fragility and conflict, pandemic prevention, energy access, food security, water security, digitalization, and protecting biodiversity and nature). Even though urban development and urbanization is not explicitly identified as one of the global challenges in the Roadmap document; the

Textbox 4: GPURL Global Solutions Groups

1. City management, governance and financing
2. Territorial and spatial development
3. Sustainable urban infrastructure and services
4. Urban poverty and housing
5. Resilience and disaster risk management

cross-sectoral nature of urban issues directly relates to most of those global challenges. Urbanization trends are also one of the structural factors that affect the fight against poverty. Moreover, in its commitment to client engagement, the Roadmap proposes more focus at subnational level (including municipalities) to enhance creditworthiness and regulatory environment but also to continue with knowledge as a centerpiece of the World Bank offer to client countries. SURGE is therefore well placed to support the Evolution Roadmap.

In the design of SURGE, there was also an expectation that the umbrella fund could provide the flexibility and means for more strategic fundraising for the Bank’s urban development agenda. From inception through 2022, SURGE was essentially a single-donor fund, with SECO, the founding donor, providing US \$44 million for global and country programs. This has helped to continue and strengthen the partnership with SECO at global level, and in country programs. Country teams have good cooperation with SECO and value the potential to draw on SAM (Peru and Bolivia), an initiative which is managed directly by SECO.

Towards the end of 2022, SURGE received EUR €5 million Austrian and KSW ₩1.5 billion Korean contributions, and at the end of 2023 DKK 38 million from Denmark, which have increased the total SURGE budget to US \$57 million using current exchange rates. SURGE has proven to a flexible instrument that can accommodate both

¹⁵ International Bank for Reconstruction and Development and International Monetary Fund, “Ending Poverty on a Livable Planet: Report to Governors on World Bank Evolution,” September 28, 2023, <https://www.devcommittee.org/content/dam/sites/devcommittee/doc/documents/2023/Final%20Updated%20Evolution%20Paper%20DC2023-0003.pdf>.

global and country contributions, either through the Anchor MDTF or, if appropriate, through Associated Country TFs (determined on a case-by-case basis), allowing for donor preferencing for certain geographies or thematic focus areas.

The Austrian contribution was preferenced toward supporting urban climate mitigation and adaptation with a regional focus on Europe, the Western Balkans region, and Central Asia (funds have been channelled largely toward the Europe and Central Asia Cities and Climate Change Program), while the Korean government has preferenced contributions on work related to smart city development. Such flexibility is one of the stated advantages of the umbrella fund, but as noted by one senior World Bank manager, it also limits the possibility of the World Bank to direct TA and knowledge resources to countries and sub-national governments where there is expressed need and potential for engagement but fall outside donor priority countries. Aiming to further grow its donor base, SURGE is reaching out to other development partners, in close coordination with other relevant umbrella and trust fund programs in the urban development space, which could increase the level of resources available to respond to a broader range of clients.

Relevance to operations

The feedback from World Bank TTLs points to three critical dimensions of the operational relevance of SURGE:

- A unique approach to urban issues. SURGE is unlike any other trust fund in the World Bank because of its general support for urban and territorial planning, to influence how cities should grow and evolve. Although it is smaller in size than the Global Facility for Disaster Reduction and Recovery (GFDRR), it is more important in keeping balance of focus on global urban issues. As noted by one senior manager, “a dedicated financing facility for Bank executed work in the urban practice is key and helps to maintain an urban focus.”
- Funding areas that are multi-faceted and holistic. Several TTLs compared SURGE to other trust funds. SURGE is useful for TTLs in supporting their clients because of its holistic nature; many other TF programs only provide support for single-sector activities (e.g. GFDRR on resilience/DRM, PROGREEN on environment, etc.). SURGE allows for a cross-cutting or multisectoral approach, given that urban development issues are multidisciplinary by nature. As one TTL noted, the existence of SURGE – which brings together resilience, Disaster Risk Management (DRM) and Disaster Risk Reduction (DRR), and urban planning-- “allows us to make TA that is fit for purpose for the client.” The TTL notes an example from Kyrgyz Republic, where the client wanted support for seismic and energy retrofits in urban areas. Those two types of activities naturally should be done together, but to work with the client, the TTL had to go to two different trust funds (GFDRR and ESMAP). SURGE can help integrate these client demands.
- Multiple tools for engaging clients on the urban agenda. SURGE-financed activities consistently provided a means for engaging clients on the urban agenda and have the potential to inform decision-making on the design and/or sequencing of future Bank loans. In Angola, for example, the Urbanization Review provided an “engagement instrument” for being able to dialogue with government on a broader range of urban issues, beyond the immediate requests of government that focused on developing municipal plans in a sample of municipalities. That has led to a new project on housing that is now in the pipeline.

The Mid-Term Evaluation (MTE) of SURGE did not analyze counterfactuals, i.e., an analysis of how the World Bank’s engaged in the urban agenda in countries that are not covered by SURGE.

- Flexibility of SURGE funding. SURGE provides autonomy to Bank teams to define the parameters of the work that they wish to carry out on the ground. This was another quality of SURGE that enhanced its operational relevance.

4.1.3 Internal Coherence of Program Design

Finding 6: The SURGE Umbrella Program is structured by separate Pillars, programs and activities, and carried out uniquely in each country. This overall structure and country focus is coherent with SURGE’s holistic and flexible approach. Opportunities for synergies across the different components of SURGE have until recently remained untapped. Recent efforts to foster exchanges across country programs have been a valuable addition to the SURGE model.

The SURGE Results Framework and Theory of Change demonstrate how SURGE activities, structured under separate Pillars, programs, and activities across countries, together contribute to SURGE’s Development Objective: *‘To enable cities and regions in developing countries to function as drivers of sustainable and inclusive economic development’*. Results reported reflect progress towards this objective (see [Finding 7](#)), as does stakeholder feedback.

As discussed in [Finding 5](#), SURGE is designed to be holistic, flexible, and responsive to clients and donors. In this way, it recognizes the multi-faceted nature of urbanization, and how factors such as climate change, governance, finance, and other issues, interconnect to influence urbanization. While this is a strength of the ‘Umbrella Program’, it is then structured as separate pillars, programs, and activities, carried out uniquely in each country.

A demand-driven approach and country focus has allowed countries to adapt SURGE-funded programs and activities to respond to their specific needs. At the same time, as each country individually takes on its own path to addressing urbanization within its borders, there is opportunity for cross-country learning exchange. Until recently, this opportunity remained untapped. However, in May 2023, SURGE organized a knowledge exchange event between the five SECO-funded country programs (Bolivia, Indonesia, Peru, Serbia, South Africa), joined by two new possible country program teams (Tajikistan and Uzbekistan). Based on a description offered by a SURGE team member, *“It was a lively exchange which reaffirmed the expectation of the value of cross-fertilization among teams, topics and approaches. The initiative originated from one of the country program TTLs and given the very positive uptake by the country teams, it was decided – by popular demand, to continue this exchange on regular intervals going forward, subject to budget availability.”* Documented feedback on the knowledge exchange event confirms that the event was useful for country teams, despite staying at a high level, and that future knowledge sharing events would benefit from focusing on specific themes that enable a more substantive discussion, potentially with a smaller selection of country programs. This events’ focus on country program teams (including potential country programs in the case of Uzbekistan and Tajikistan), rather than the UA&TA program, seems relevant considering that such exchanges are most valuable to those involved when discussing substantial and targeted themes over time, which is more possible with programs with larger (\$3-\$5 million USD) budgets and longer timelines (3-5 years).

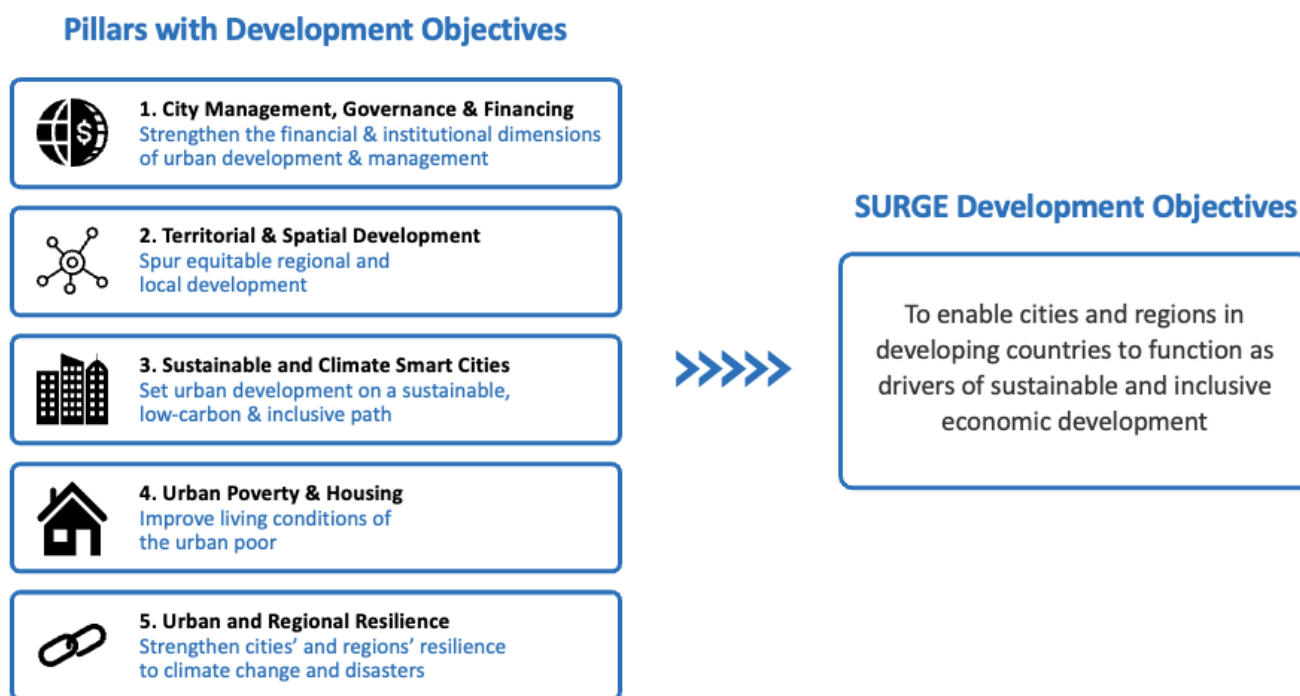
The FY23 Annual Report also points to other synergies within SURGE, such as UA&TA countries (including Nepal, Uzbekistan, and Viet Nam in our sample) which are participating in at least one other SURGE global or regional

program as well.¹⁶ Exploring these synergies (e.g. with the City Planning Lab [CPL] and City Resilience Program [CRP]) was beyond the scope of this evaluation, however, the data collected does indicate that ability to capitalize on different dimensions of SURGE may add value to the Umbrella Program as a whole.

4.2 Effectiveness and Impact

This section addresses the effectiveness of SURGE. Although it is still early to assess impact, the section provides evidence of progress towards SURGE objectives and outcomes, drawing on SURGE reporting on indicators and the primary and secondary data collected through the mid-term evaluation. The section also reflects on the financial and non-financial additionality of SURGE. SURGE's overall development objective and pillar objectives are presented in [Figure 4.1](#) below.

Figure 4.1 SURGE Objectives



¹⁶ World Bank Group - SURGE, "SURGE Annual Report FY 2023," 2023, 142.

4.2.1 Progress Towards Objectives

Finding 7: At mid-term, the SURGE Umbrella Program has made significant progress in delivering its intended outputs and is on track towards meeting most of its outcome indicator targets.

The latest indicator data, which presents the cumulative results achieved by SURGE from inception to the end of FY23 (June 30, 2023)¹⁷, suggests that the SURGE Umbrella Program has delivered intended outputs and is on track towards meeting its outcome indicator targets.

SURGE tracks progress against its Results Framework, which comprises a total of 42 indicators. At the output level, SURGE reports at an aggregate level on the delivery of analytical products and capacity building activities, which are delivered through Country Programs and the Global Program (UA&TA and Technical Deep Dives). Most indicators (31 of 42) are at the output and intermediate-outcome levels. These feed into five Outcome Indicators that correspond to each of the five SURGE pillars. There are also six stand-alone, overarching Program Indicators. Current progress tracked against the Program Indicators is presented in [Table 4.1](#) and Outcome Indicators in [Table 4.2](#). Together, all 42 indicators feed into SURGE's development objective: *'To enable cities and regions in developing countries to function as drivers of sustainable and inclusive economic development'*.

The following Findings (Findings [8](#), [9](#), [10](#), [11](#), [12](#)) draw on SURGE's Results Framework to provide a qualitative illustration of SURGE's progress towards outputs and outcomes across the different programs. Overall, at the mid-term, SURGE has already met the targets for three of four Outcome Indicators being monitored (note that Outcome Indicator 4/Pillar 4 is not being monitored as it has no active portfolio), while the other Outcome Indicator is 'on-track' to being met.¹⁸ Program Indicators do not have targets, but their tracking demonstrates that SURGE is well underway in building up its reach to contribute to key programmatic outcomes in terms of supporting cities and people, influencing strategies and policies, mobilizing finance and investment projects, and improving participatory planning processes. Outputs across the different SURGE components have contributed to progress towards these intended outcomes (with UA&TA particularly reporting to Outcome Indicator 2/Pillar 2, and the country programs reporting to various Pillars relevant to their programming).

¹⁷ World Bank Group - SURGE, "SURGE Annual Report FY 2023."

¹⁸ See Finding 16 for a brief analysis of reporting at different levels of results and examples of progress against outcome indicators (Table 4.6)

Table 4.1 Progress against Program Indicators

PROGRAM INDICATORS	
PI 1	64 cities benefited from SURGE support.
PI 2	3, 886 people participated in events on sustainable and inclusive regional or urban economic development.
PI 3	37 strategies, policies, plans, procedures, or regulations were influenced or informed by SURGE.
PI 4	US \$5.0 million additional financing mobilized for sustainable and inclusive regional or urban development.
PI 5	US \$2.6 billion World Bank investment projects were influenced through SURGE support to cities or regions.
PI 6	24 municipalities/cities improved participatory planning processes, including with a focus on gender

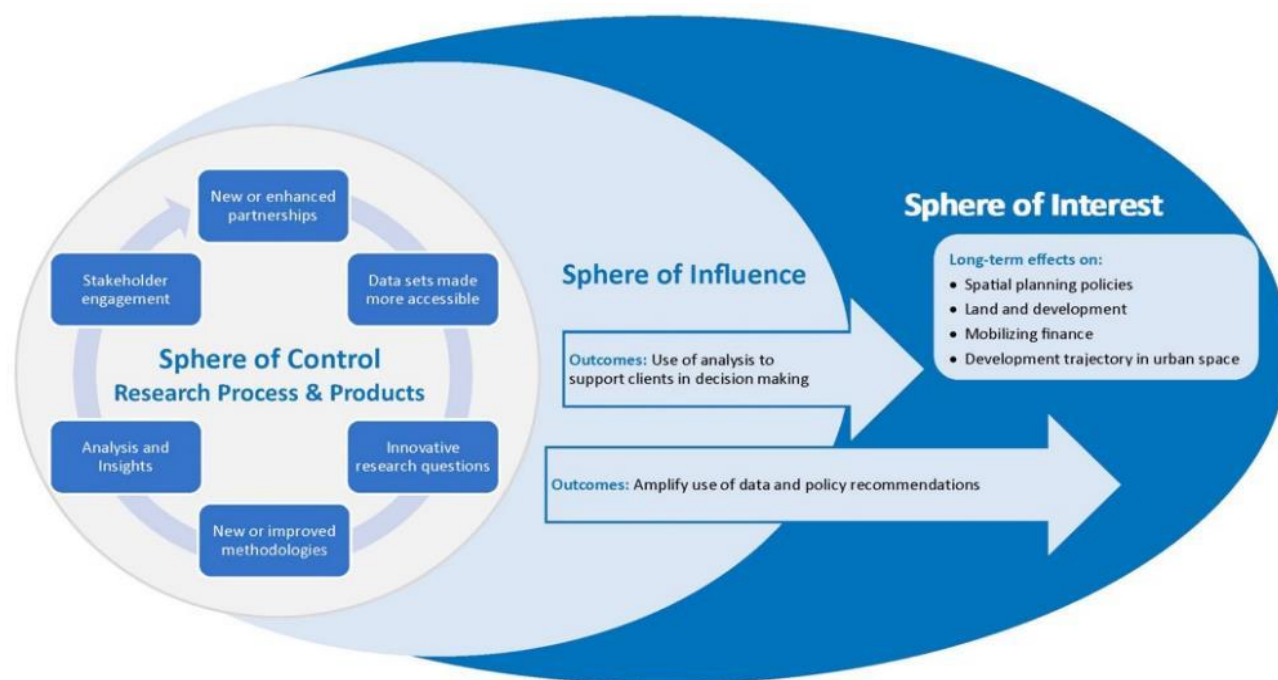
Table 4.2 Progress against Outcome Indicators

OUTCOME INDICATORS	
OI 1	4 cities/regions with strengthened financial/institutional dimensions of urban development and management (<i>target: 4</i>)
OI 2	25 cities/regions which spurred equitable regional and local development (<i>target: 25</i>)
OI 3	10 cities/regions increased their focus/awareness on low carbon and sustainable development (<i>target: 17</i>)
OI 4	No active portfolio
OI 5	10 cities/regions with strengthened (awareness raised) resilience to climate change and disasters (<i>target: 7</i>)

Finding 8: The three technical deep dives have delivered a range of outputs that relate to the research process and the final products, i.e. the reports on Pancake to Pyramids, Vibrant Cities, and Mobilizing Finance. Although the three reports are at different stages in their contributions to outcome level change, there are already good examples with Vibrant Cities and Pancakes to Pyramids.

The technical deep dive reports, along with other aspects of the global program are reported under Pillar 2 (Territorial and Spatial Development) and support its objective of spurring equitable regional and local development. These global analytics are flagships or near-flagships that are expected to have long-term effects on development trajectory in the urban space, on spatial planning policies, land use development, and on mobilizing finance. While it still early to report on the uptake of Mobilizing Finance for Development, which was published in June 2022 and is still being disseminated, and Vibrant Cities, which has not yet been formally launched, both reports are already showing early signs of uptake. Pancakes to Pyramids, on the other hand, has uptake effects that have been generated over a period of more than three years (see textbox 5).

The types of changes that the SURGE technical deep dives can enable, catalyze and contribute to are illustrated in [Figure 4.2](#). All of the technical deep dives demonstrate achievement of outputs including new insights, methodologies and partnerships that are within the sphere of control of research teams and SURGE. To various degrees, the technical deep dives have also contributed to changes in knowledge, attitudes, and practices of actors beyond the control of research teams, beginning with World Bank operational teams. The following paragraphs and [Textbox 5](#) illustrate these different types of contributions.

Figure 4.2 *Types of outputs and outcomes for technical deep dives*¹⁹

All three technical deep dives have delivered the following outputs:

- They provided strong multi-disciplinary urban analytics and have promoted innovative ways of considering spatial and urban planning through different lenses.
- Knowledge products have been completed and disseminated to audiences in the World Bank. Pancakes to Pyramids has been widely disseminated through different channels. Mobilizing Finance and Vibrant Cities have not yet been widely disseminated.
- Stakeholder engagement during the research and analysis helped strengthen collaboration and partnership. According to the authors of Vibrant Cities and Mobilizing Finance, the reports created unique opportunities to engage with new stakeholders such as municipal staff in charge of local economic development and urban planning.

Even though two of the reports are in early stages of dissemination (i.e., Vibrant Cities and Mobilizing Finance), they are showing signs of uptake. According to respondents, the Vibrant Cities report in Cairo and in Amman contributed evidence-based analytics for land use and transport investments. The findings informed development of the Bus Rapid Transit System and the adoption of new bylaws on urban planning for the Greater Amman Municipality. Following this early success, stakeholders interviewed noted that the Vibrant Cities process could be replicated in other regions and cities as long as it is tailored to the specific needs and contexts of those areas. The Mobilizing Finance report has had effects on the different case study countries and is generating interest in several Indian and South African Local Self Governments as a way to promote an integrated land use approach.

¹⁹ Adapted from a general theory of change for research contributions developed by Belcher, Brian and Janet Halliwell, *Conceptualizing the elements of research impact: towards semantic standards.*, Humanities and Social Sciences Communications (2021).

In order to expand the use of these products, the authors and other World Bank staff interviewed stressed the importance of having sufficient resources for a communications strategy that sustains dissemination over a period of time. Other interviewees highlighted the importance of simplifying the key messages of the deep dive reports' research and analytics. This would not only generate interest among peer researchers and World Bank teams, but also make the reports more accessible to additional stakeholders. These stakeholders include local decision makers such as mayors, subnational government teams responsible for planning, local finance teams, and departments of local economic development.

Textbox 5 - Uptake Story: Pancakes to Pyramids

Pancakes to Pyramids: City form to Promote Sustainable Growth was the first technical deep dive financed by the SURGE global program. Although it was published in 2021, the uptake began as early as 2020 during the analysis and drafting of the report.

Outputs: Research products and process

- **Increased visibility and use of a publicly available data set.** The data on building heights from 516 cities that was critical for the P2P approach is a non-proprietary resource available from the German Aerospace Center.²⁰ Among World Bank respondents, P2P was referred to as the first major publication to draw on this building volume data (core data set of the study) to measure livable density. It helped to accelerate the uptake of this data set in the World Bank.
- **Validated concepts and data.** The overall approach and differentiation between crowding and density in urban settings were also validated by Slum Dwellers International, which according to the World Bank team, provided positive feedback on how this research illustrated the World Bank's use of global technology and data that could provide tailored local solutions.
- **Methodology/model with various applications.** In 2020 (prior to publication), the methodology used for P2P was quickly re-packaged into a simple and rapid methodology²¹ to help city leaders prioritize resources towards places with the highest exposure and contagion risk during the COVID-19 pandemic.
- **Analysis and insights that pushed boundaries.** World Bank respondents in the regions indicated that P2P breaks down “things that we think we know” and questions the conventional wisdom about density and sprawl. As one manager noted, “when you talk to (country) teams and to clients in low-income countries you hear the perception that density is bad, but density in itself is not bad, it is how that density is structured.” Data on city form also questioned the notion that urban sprawl leads to economic growth.

Outcome-level change

- **City-level response to contagion.** The World Bank used the P2P algorithms and datasets to support 55 cities in their response to COVID-19 by predicting where there was greater likelihood of contagion (distinguishing crowding from density) and then directing World Bank support to help them inform policy and response measures. The World Bank reports that in Kinshasa, Democratic Republic of Congo, this became the foundation not only for emergency response, but for long-term recovery plans, helping to identify where the city should provide safe spaces for health care facilities.
- **Using the data and framework in urbanization reviews.** The World Bank used the P2P material and data base for the Urbanization and Territorial Review of the Dominican Republic, for example. As the TTL noted, being able to draw on the data, meant that they did not have to “re-invent the wheel.” The urbanization review for Angola drew on P2P for framing policy options and the sequence of investments by recommending that economic development should encompass planning, infrastructure, housing, and then address the economic or industrial drivers. (The government wanted to jump right to the industrial drivers.)
- **Further assessing implications for climate change adaptation.** Although not intended to inform work on climate change, there are clear implications for emission reduction and resilience. As noted by one World Bank senior manager, country teams can reference P2P and indicate the importance of compact cities, where pyramid cities are less energy intensive, and more resilient. A 2023 World Bank publication *Thriving: Making Cities Green, Resilient and Inclusive in a Changing Climate* expands the analysis of city form and its impacts on land, consumption, the environment and productivity.

²⁰ Thomas Esch et al., “World Settlement Footprint 3D - A First Three-Dimensional Survey of the Global Building Stock,” *Remote Sensing of Environment* 270 (March 2022): 112877, <https://doi.org/10.1016/j.rse.2021.112877>.

²¹ Gaurav Bhardwaj et al., “Cities, Crowding, and the Coronavirus: Predicting Contagion Risk Hotspots,” Working Paper (World Bank Group and German Aerospace Centre, April 21, 2020). And Somik V. Lall and Sameh N. Wahba, “Crowded Cities: New Methodology in COVID-19 Risk Assessment,” *Sustainability* 13, no. 13 (January 2021): 7167, <https://doi.org/10.3390/su13137167>.

Finding 9: To varying degrees, the country-level activities of the UA&TA program have contributed to strengthening policies and institutions in countries, at their targeted levels of government (e.g., national, regional, city).

Considering current progress in implementation, most existing evidence of progress towards intended results is from the urban analytics phase (Phase 1), with some evidence from the TA phase (Phase 2). Although Phase 2 grants have closed in most cases, the delivery of outputs and contributions to outcomes is still ongoing in all countries, most of which have already mobilized or influenced additional funding from other sources (i.e., public and private financing, or World Bank lending) to continue activities in tandem with, and beyond SURGE support.²² This itself represents significant progress towards SURGE’s Program Indicators 4²³ and 5²⁴, at the mid-term (as discussed in [Finding 7](#)). SURGE-supported activities have also contributed to strengthening policies and legal frameworks to varying degrees across countries in the UA&TA program, demonstrating significant progress overall towards Program Indicator 3²⁵.

It is important to recognize that SURGE is one mechanism that is contributing to sustainable urban and regional development, and that many other factors also influence progress towards sustainable urban and regional development ambitions in countries. Stakeholders consulted (World Bank TTLs, national, and sub-national stakeholders) most often cited the political appetite for change, and the political situations in countries (e.g., elections, changes in government) as influencing the pace at which progress has been possible.

At the mid-term, progress towards objectives can be classified into two main categories: i) delivery of outputs, and ii) contributions to outcomes. Some key examples of both types of progress are outlined in [Table 4.3](#).

Table 4.3 Types of Progress Towards Objectives

DELIVERY OF OUTPUTS	CONTRIBUTIONS TO OUTCOMES
<ul style="list-style-type: none"> Urbanization Reviews and other urban analytics Targeted studies & diagnostics Knowledge sharing events and workshops 	<ul style="list-style-type: none"> Changes in, or the development of new legislation and regulatory frameworks Establishment of national or subnational coordination structures

The ‘delivery of outputs’, mainly in Phase 1, created and disseminated knowledge that had an ‘eye-opening’ effect in many countries, either on specific issues (in the case of more targeted Urbanization Reviews, studies, and diagnostics) or broadly on general urbanization trends, challenges, and opportunities in countries. Angola and Uzbekistan are two stand-out examples of the broader eye-opening effect, which has contributed greatly to contributions to intended results in both countries.

²² SURGE activities have influenced the mobilization of either public or private financing, or World Bank lending, in Angola, Costa Rica, Madagascar, Nepal, Nigeria, Romania, and Uzbekistan. Viet Nam is planning to use Technical Assistance in Phase two as a basis for project identification for potential additional financing.

²³ Program Indicator 4: Additional financing mobilized for sustainable and inclusive regional/urban development (in USD, of which public and of which private financing).

²⁴ Program Indicator 5: Number and volume of World Bank investment projects influenced through SURGE support to cities/regions.

²⁵ Program Indicator 3: Number of strategies, policies, plans, procedures, or regulations of which the formulation / implementation was influenced / informed by SURGE support to cities/regions.

To illustrate, in Angola, very little research had been conducted on urbanization, making the Urbanization Review funded by SURGE a first of its kind. The report was launched soon after the general election in 2022, through a consultation event that involved newly appointed government officials. This coincidental timing has offered a window of opportunity of four years of policy influencing before the next election cycle, at the same time as social and political pressure is mounting on the newly elected government to address major urban challenges such as housing. Most stakeholders consulted say that the Urbanization Review clearly articulated long-standing issues based on solid evidence—to the extent possible in a country which had very little pre-existing data on urbanization—and offered useful recommendations for driving forward contributions to intended results. Indeed, in line with the Review’s evidence and recommendations, the government immediately requested that Phase 2 focus on housing, including doing further diagnostics of the housing sector and setting up a national housing program. The government has also requested World Bank loans to expand and continue the progress that has been launched by SURGE.

Similarly, in Uzbekistan, evidence from the Urbanization Review has had a clear eye-opening effect that has influenced the government’s policies and institutional approaches on urban development. More specifically, prior to the UR, the government of Uzbekistan was focused on achieving 60% urbanization. According to their data, Uzbekistan was only at 51%. The Urbanization Review exposed the reality that the categorizations of urban and rural were flawed (e.g., one side of a street was categorized as urban and the other side as rural), and that the actual level of urbanization was closer to 70%. This opened the eyes of the government to no longer be so focused on achieving this flawed number of 60%, but instead focus on a more comprehensive approach to addressing urban development. The study was a landmark study in Uzbekistan that is referred to by the government, media, and other key actors and helped to influence a land reform law and open opportunities for investment that are strategic and more conducive to sustainable development.

Beyond these two examples, in general across UA&TA countries, SURGE-financed analytical and knowledge-producing outputs have led to contributions to outcomes by providing new insights into long-standing issues and providing technical assistance to tackle those issues through policy and institutional advances in the areas of housing, waste management, green & climate resilient infrastructure, secondary and medium-sized cities, etc. Key policy and institutional advances of the 5 (out of 9) UA&TA countries selected for more in-depth study are highlighted in [Table 4.4](#) below. These are further detailed and explained in each of the five country assessments provided in Volume II. The country assessments also highlight key examples of how UA&TA has supported countries to mobilize additional financing, which is also discussed in [Finding 15](#) (see ‘financial additionality’).

Table 4.4 Key Policy and Institutional Advances in 5 UA&TA Countries

COUNTRY	KEY POLICY AND INSTITUTIONAL ADVANCES
Angola	<ul style="list-style-type: none"> • Strengthening of the National Housing Program
Costa Rica	<ul style="list-style-type: none"> • Supporting the elaboration of the Urban Development Plan of the Brunca Region • Supporting the Development of a National Urban Upgrading Program • Supporting the reform of municipal planning frameworks and instruments
Nepal	<ul style="list-style-type: none"> • Informing the KTMV Master Plan • Informing the Solid Waste Management Policy • Informing the Solid Waste Management Act • Integrated planning approach to investment identification

COUNTRY	KEY POLICY AND INSTITUTIONAL ADVANCES
Uzbekistan	<ul style="list-style-type: none"> • Developing a National Urbanization Strategy • Developing the National Law on Non-agricultural land • Redefining urban areas and boundaries for more efficient land management
Viet Nam	<ul style="list-style-type: none"> • Deployment of a Collaborative Governance Index (CGI) • Early Identification Phase for City-Region scale investments • Developing a Capital Investment Planning Framework and Methodology • Planning around a Regional Investment Fund • Technical Assistance around Elaborating a Regional Planning Commission Model • Technical Assistance around Municipal Asset Management

Finding 10: In Bolivia, the country program is more than half-way complete. The TA outputs in Santa Cruz de la Sierra and La Paz have contributed to institutional capabilities for planning and DRM (municipal level) and set foundations for implementation of the Bolivia Urban Resilience Project in targeted municipalities.

The country program aims to improve technical and financial capacity in Bolivian cities to plan and invest in resilient and sustainable development. The country program had completed a range of technical products and capacity building outputs. The early effects of those outputs on organizational capacity and the policy environment are described below.

La Paz (LP) and Santa Cruz de la Sierra (SCS) Municipalities increased their capacity to plan for low-carbon and sustainable development at the local level through Climate Action Plans (CAP). The first Municipal Climate Action Plans in Bolivia were completed with support from SURGE and both LP and SCS were in the process of defining the process for formally adopting the plans. In SCS and LP, the teams will link the CAPs to their medium-term plans (known as PTDI) that are required by the national planning system in Law 777. Both municipalities noted that the reporting requirements of the Global Covenant of Mayors for Climate and Energy provided an additional incentive for developing the plans.

Both municipalities have enhanced participatory planning capacities. At the request of the client, SURGE provided SCS with support for tactical urbanism pilots, which are designed to provide a different, more inclusive approach to planning. These pilots faced a few challenges such as citizens' resistance to change, misinformation and political and administrative constraints. The immediate results suggest that perhaps the SCS did not have the degree of institutional readiness (technical and political) to engage citizens in such a radically different way. Elements of the approach have been taken forward and adapted as SCS develops its strategy for the historical city center. The municipality of La Paz successfully updated its emblematic neighborhood improvement program, “Barrios de Verdad”, into the new phase referred to as “Barrios de Mil Colores”, improving its citizen engagement methodology and urban upgrading approach, and enhancing its criteria for selecting neighborhood public infrastructure projects.

The two municipalities have improved regulatory frameworks and tools for DRM. In SCS, stakeholders valued the technical reviews that informed the Draft Municipal Law of a Local System for Risk Reduction, Emergency Response and Climate Adaptation (SIMPATEDAC), which was approved by the Autonomous Municipal Government of Santa Cruz de la Sierra. The SIMPATEDAC law will provide a legal foundation to establish and operationalize the municipal DRM system, which until now has not had a clear institutional structure and

coordination mechanism for risk identification, risk reduction and emergency preparedness and response. The flood risk map upgrade is an essential input to municipal spatial planning, with a focus on existing needs for the update of the city's Stormwater Drainage Master Plan, which should be part of the development of an Early Warning System (EWS). In La Paz, the geohazard and flood risk methodology supported by SURGE was considered as an important contribution to the DRM plan that has been developed by the municipality. Moreover, the methodology provides recommendations for investment options to upgrade the city's flood and geohazards early warning system, which the Bolivia Urban Resilience Project could finance.

La Paz and Santa Cruz de la Sierra are at different stages with regards to creating the enabling conditions for diversifying financing sources for resilience. Stakeholder interviews in La Paz clearly indicated that their primary objective was to use the CAP to diversify financial resources for the municipality. The team was in the final stages of identifying the possible projects that could be funded by green financing mechanisms. The Municipality of La Paz also requested TA that would enable a stronger link between cadaster and tax administration given the challenges the municipality faced in own source revenue generation. The La Paz leadership and technical capacity means that it is better positioned to diversify funding. In Santa Cruz de la Sierra, the CAP was viewed primarily as a planning tool. In addition, the team in SCS had prioritized actions at the level of the concept, but still required more technical analysis to convert the concepts into viable projects.

There have been more challenges in fostering an enabling environment at a national level to complement the work being done in each of the municipalities. SURGE supported the Vice Ministry of Housing and Urban Planning (VMVU) and the Ministry of Development Planning to structure an Urban Development Fund, aimed at aiding the implementation of the National Integrated Development Cities Policy (NIDCP). In FY23, interest in the Fund at the national level diminished despite SURGE's technical support. Following the government change in November 2020, which led to staff changes at the VUH, the NIDCP's prominence in government priorities also decreased. Nonetheless, the Urban Development Fund and the NIDCP are still being considered by the national government. Meanwhile, SURGE enhanced its support to the Ministry of Development Planning (MPD), focusing on developing territorial planning and urban risk management strategies. These strategies are crucial for the national planning system, as established by Law 777 in 2016. The assistance provided for developing territorial planning guidelines was in the initial stages during this mid-term evaluation.

Finding 11: In Peru, despite COVID-19 and leadership change at key ministries, TA program has made important contributions to strengthening the institutions and generating a base of cadastral information that, if adequately used in planning and management, can support more sustainable cities.

The country program objective is to strengthen the capacity of national and municipal governments towards improved territorial and financial management and urban institutional governance by leveraging urban cadasters and related urban management instruments. There has been solid progress in completing outputs that are filling in legal, regulatory, methodological, data and institutional gaps in the system of cadaster.

There has been good progress in finalizing the technical groundwork for adopting the Land Administration Domain Model that ensures interoperability of urban cadasters, one of the critical outputs of the SURGE TA. The government has approved the LADM model, including the guidelines for its application. Target municipalities have been trained in the conceptual aspects and practical implications of LADM and are now preparing to adapt cadastral and other municipal processes to the new model, with the support of the TA program. The objective is

to keep up to date cadastral information that can serve multiple purposes including planning, revenue generation, disaster risk management and meeting the data needs of the different sectors and departments in the municipality,

The simplification of the cadastral forms and valuation approach, approved in 2023, is an important step forward in making cadasters more agile and cost-effective. The simplification of the cadastral forms, approved by a ministerial resolution, considers information on the size of the property and characteristics of the building, including cladding. The form has been reduced from seven to three components and no longer requires an inspector to enter the buildings.

TA has contributed to strengthening the institutional landscape for cadaster at the national level. The standard and norm-setting role of MVCS has been strengthened with the proposed modification of its regulation of organization and functions as “lead agency” in cadaster. In late 2023, that regulation was in the last stages of approval. The regulation for COFOPRI, which clarifies its implementation role in cadaster, was still a work in progress and there were ongoing discussions relating to its role in the National Urban Cadaster. While there is progress with regards to defining formal roles, there is still some way to go in clarifying the cadastral system at the national level.

Steps have been taken towards the design and delivery of land value capture instruments. This is a critical issue for local governments with limited capacity for own source revenue generation who are dependent on resources from the national government. SURGE TA has helped develop regulations (such the *Reglamento de Acondicionamiento Territorial y Planificación Urbana del Desarrollo Urbano Sostenible (RATUDUS)*²⁶) that, among other things, define the approach to territorial planning, orient public and private investments, promote cooperation among municipalities and with the MVCS, and include the update and maintenance of urban cadaster. Two other key regulations, on the calculation for Land Value Capture instruments and implementation of the urban land public operators are expected in 2024. There is also on-going support for the national urban observatory, in coordination with Swiss Accompanying Measures (SAM).

Local governments are benefiting from new instruments for the development of cadasters, especially in the provincial municipalities of Chiclayo, Piura, and Lambayeque. These municipalities have participated in training and advisory services related to LADM and other areas. Feedback from officials of the Provincial Municipality of Chiclayo, report favorable changes in how cadaster is conceived and used, recognizing the importance of the interoperability of the system.

Finding 12: In Serbia, despite a late start, the program Green Livable and Resilient Cities (GLRC) has made significant contributions to sustainable urban development at the national level. In several SURGE cities (GUPS), it has reinforced the capacity of LSGs in the areas of planning, DRM and waste. It has improved communication among administrations, and it has developed methodologies for sustainable waste management.

The GLRC program aims to strengthen the capacity of both national and local governments in Serbia to enhance urban sustainability through technical assistance and analytical work. Despite delays in early stages, the program

²⁶ Decreto supremo N° 012-2022 VIVIENDA del 5 de octubre de 2022

made significant progress in 2023. In its first component, the program focused on strengthening the capacity of the ten selected Local Self Governments (LSGs) for strategic urban planning and resilience with, in particular, city scans and tailor-made workshops. In the second component, the program published three important reports and is expected to support the reform of the SUDS: Sustainable Urban Development Strategy

The following achievements or contributions to program outcomes derive from SURGE-supported activities.

- **Improved local urban development strategies:** Technical assistance activities have resulted in the development of General Urban Plans, the creation of monitoring units (Nis), the improvement of nature-based solutions (Nis) and flood/storms risks management methods (Nis, Leskovac, Novi Sad). In Nis, the development of a monitoring unit on urban resilience, supported through the GLRC, is expected to inform data-driven approaches to urban planning. In Leskovac, the urban local action plans will also include the development of public benches for elderly people and for breastfeeding mothers. Partly as a result of these workshops and consultation sessions, municipal authorities report that prevention and disaster risk management issues have been identified as a priority for the city administration. The team in Leskovac acknowledged the integration of their recommendations into future urban plans and design (e.g., the management of rainwater and drainage).
- **Revisions to national urban strategies.** At the national level, SURGE-financed TA activities have sought to promote an integrated approach on urban development. Analytical work produced through the GLRC informed discussions with national officials and partners, influencing the SUDS strategy revision.
- **Emergent multi-level governance and multi-sectoral collaboration.** The program has also been recognized by stakeholders as facilitating cooperation between national government ministries, including the MCTI and the MEP, as well as coordination between the different sectors such as waste, water, and energy, for example, which is key to sustainable urban development.
- **Increased awareness of resilient and sustainable development practices.** Several respondents also mentioned that the SURGE program created the possibility to embed sustainability principles into the general urban plans, and to work on disaster risk management, including discussion of concrete solutions with other cities through city-to-city dialogue. The technical assistance activities and City Scans supported through the GLRC are, for example, promoting participatory planning practices in Kraljevo and Leskovac. In Kraljevo, awareness raising workshops were held to integrate citizen participation, inclusivity, and gender-responsiveness into urban planning processes. Subsequently, the municipality of Leskovac installed the first bench for disabled persons in the city central square because of the participatory planning exercise.
- **Setting the foundations for waste management strategies.** the program has provided foundational analytics and data that are expected to feed into regional waste management plans in future. The methodologies proposed by the Waste Management Situation Analysis Report, which identifies obstacles and recommendations to enhance waste management are expected to be implemented at the regional level.
- **City-to-City dialogue, networking and exchange** are identified as a strong result by all stakeholders interviewed in Serbia. The exchanges and relations that have been developed through TA activities offer potential for long-term coordination and dialogue between different municipalities.

Finding 13: Fragility conflict and violence (FCV) and gender equality are cross-cutting objectives of SURGE, but not a focus of activities funded through the SURGE Umbrella Program to date. However, many SURGE-financed activities intersect with key policy issues (e.g., around climate vulnerability, public housing, participatory urban planning) that will likely have indirect effects on social inclusion and equity. These types of considerations are variably or not explicitly addressed in project design or reflected in reporting obligations.

SURGE recognizes that “good urban design and development is key to reaching the gender goals as set out in the World Bank’s Gender Strategy for 2016-2023 – improving human endowments; removing constraints to more and better jobs; removing barriers to women’s ownership and control of assets; enhancing women’s voice and agency and engaging men and boys.”²⁷ SURGE considers FCV and gender equality to be cross-cutting issues, and collects and monitors results along these categories through its results reporting. SURGE supports countries and regions that it considers to be in FCV contexts (such as the Democratic Republic of Congo and Northeastern Kenya) and recognizes the importance of supporting inclusive governance, citizen engagement, and spatial development in such contexts.²⁸

For UA&TA, the majority of TTLs consulted expressed that gender was not a specific consideration in the analytics or TA activities. Several explained that gender considerations were integrated indirectly, or by default, through the nature of the context (e.g., by working in a country that has high rates of GBV, or in a country that already has many women with decision-making powers). A review of the UR shows that six out of nine UA&TA countries integrated gender considerations into the urban analytics phase as a cross-cutting consideration. Costa Rica’s Urbanization Review stands out because it

Textbox 6: Costa Rica Urbanization Review Recommendation on Improvements in Public Transport

Women’s mobility needs should be addressed, such as security concerns and affordability considering that women make more, and more interrupted, daily trips than men. In the case of active mobility, women should be able to ride a bicycle and walk safely, and this means that infrastructure should respond to their needs.

analyzed how the lack of transport systems in the southern corridor of the greater metropolitan area affects women’s economic opportunities and access to services and recommends that improvements in public transport should include gender considerations (see [textbox 6](#)). It is worth noting that gender issues were not systematically considered across the urbanization reviews; in Uzbekistan, Nigeria and Angola, the explicit links between gender inclusion and urban policy have yet to be fully appreciated by government stakeholders according to TTLs consulted.

SURGE-financed activities intersect with key policy issues (e.g., around climate vulnerability, public housing, participatory urban planning) that will likely have indirect effects on social inclusion outcomes. Two out of the three country programs (Bolivia and Serbia) focus on many dimensions of climate change and disaster risk reduction. Many UA&TA World Bank TTLs explained that climate was more of a major cross-cutting concern in their work than gender & FCV; correspondingly, climate considerations are evident in all nine UA

²⁷ World Bank Group - SURGE, “SURGE Umbrella Trust Fund Program Concept Note.”

²⁸ World Bank Group - SURGE.

outputs/Urbanization Reviews sampled and analyzed. The lack of affordable housing and presence of informal housing, which integrate social inclusion and equity considerations, were often addressed in UA outputs/Urbanization Reviews. Seven out of nine UA outputs/Urbanization Reviews analyzed integrated considerations around affordable housing, and four out of nine around informal housing.

These types of contributions are not adequately captured - or are otherwise not explicitly visible - in project design or reporting, as further discussed in [Finding 16](#). Although UA&TA address housing issues, it does not report under Pillar 4 (urban housing and poverty). Similarly, UA&TA does not report on SURGE Pillars/Outcome Indicators 3 and 5, which look at cities' increased awareness/capacities of low-carbon and sustainable development (OI3), and of resilience to climate change and disasters (OI5).

In its RF, SURGE has one Program Indicator which captures FCV and gender, with a focus on participatory planning, *'Program Indicator 6: Number of municipalities/cities with improved participatory planning processes influenced / informed by SURGE support, including with a focus on gender (of which in fragile and conflict-affected situations)'*.²⁹ Three out of nine UA&TA countries covered by the evaluation (Nigeria [Lagos], Philippines, Viet Nam) and two out of three country programs (Bolivia and Serbia) have reported on PI 6. All activities reported under PI 6 take the form of workshops, dialogues, and capacity strengthening exercises.

It is, however, worth underscoring the empirical limitations in reporting against this indicator. It is difficult to precisely measure the qualitative impact, or participatory or collaborative nature, of planning processes influenced through SURGE interventions. Most progress reports consulted by the evaluation team that do report against PI 6 do not go into sufficient detail as to the nature of these workshops or dialogue sessions, how they were received by local stakeholders, or on whether civil society stakeholders were invited and why.

Moreover, as reporting on PI 6 does not require follow-up activities or concrete actions, nor a gender or FCV focus (only to specify if these were considered/included), results reported do not always capture the effects that participatory planning processes may have had on social inclusion outcomes, nor concrete 'improvements' that have been achieved. The only country that reported on follow-up activities and social inclusion was Serbia, which held gender-focused participatory planning workshops with the twenty-three representatives from eight cities, with follow-up actions in the city of Leskovac (which installed its first bench for persons with disabilities in the city's central square as a result of the participatory planning exercise).

4.2.2 *Additionality*

As a final dimension of the effectiveness and impact of the SURGE Umbrella Program, this section reflects on the additionality of SURGE TA in countries where it has provided support.

²⁹ World Bank Group - SURGE, "SURGE Indicator Scores FY23," 2023.

Finding 14: SURGE-financed activities illustrate non-financial additionality in that they facilitate engagement with clients and foster an enabling environment for policy dialogue. A growing number of SURGE activities have also influenced or supported the preparation of new World Bank projects or complemented existing World Bank projects, demonstrating SURGE’s downstream influence and its contribution to a number of high-value investments. Within the range of consulted client counterparts and donors, a relatively small amount of additional non-World Bank funding was mobilized, compared to the more significant World Bank project amounts influenced through SURGE.

For the purposes of this evaluation, additionality is defined as the added value of SURGE-financed activities in a given context, understood in both its financial and non-financial dimensions.

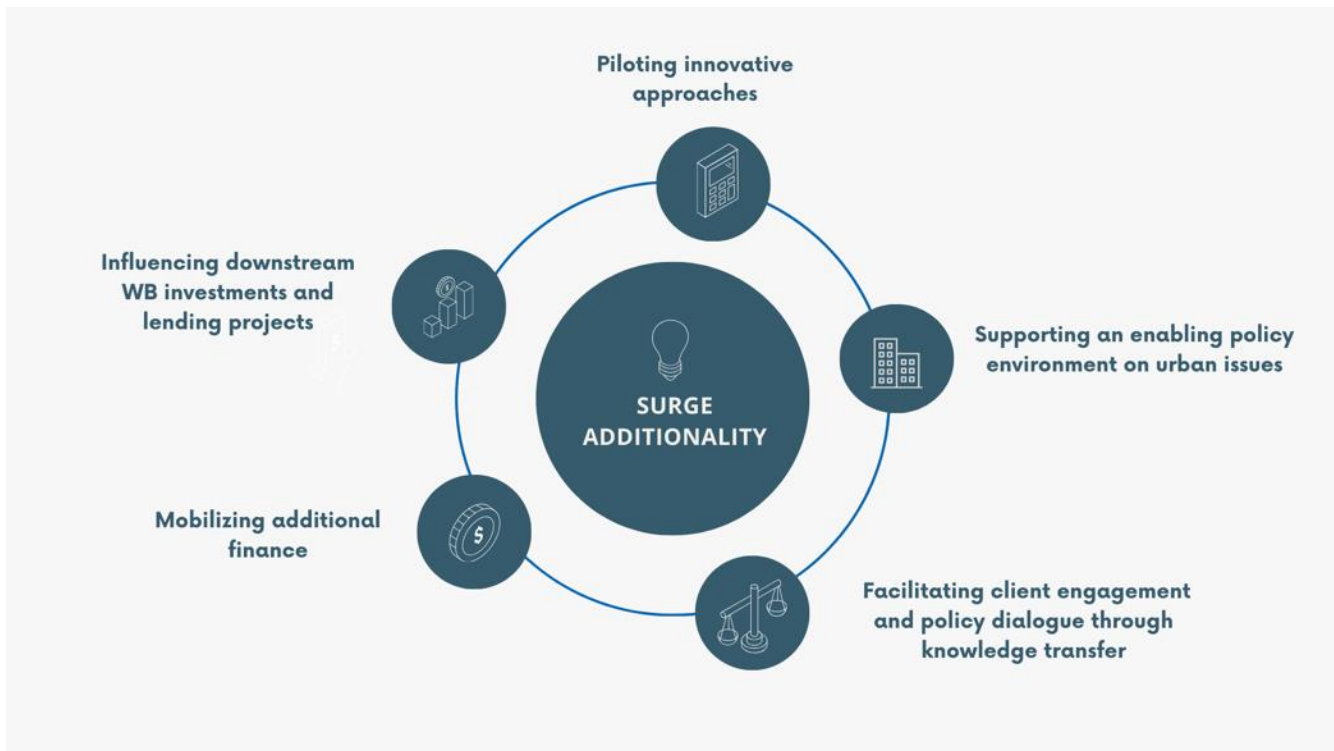
Based on discussions with SURGE program managers and related literature,³⁰ SURGE’s additionality can be understood as:

1. **Non-financial or qualitative additionality:** when SURGE TA supports an enabling environment for policy dialogue on urban reforms, including relationship building and client engagement that may not have occurred in the absence of the SURGE activity. Research and analytical products financed through SURGE have also been used as key engagement tools for World Bank teams vis-à-vis government stakeholders, which also opens doors for policy dialogue on sustainable urbanization.
2. **Financial additionality:** when SURGE TA helps (1) mobilize co-financing from the World Bank (other than loans) and resources from other donors to sustain or expand activities and (2) the SURGE-financed activities influence or complement new or existing World Bank lending operations.

As illustrated in [Figure 4.3](#) and the narrative that follows, there is evidence of various types of non-financial and financial additionality of the country programs (Bolivia, Peru, and Serbia) and the country-level UA&TA activities supported through the anchor trust fund.

³⁰ Ole Winckler Andersen, Henrik Hansen, and John Rand, “Evaluating Financial and Development Additionality in Blended Finance Operations” (Paris: OECD, February 17, 2021), <https://doi.org/10.1787/a13bf17d-en>; Emilie Bagby et al., “GPE Multiplier Evaluation Report” (Mathematica, March 27, 2023).

Figure 4.3 SURGE's financial and non-financial or qualitative additionality



Non-financial or qualitative additionality

Piloting innovative approaches

SURGE technical assistance activities provided the space for testing and learning, and in some cases, pushing the boundaries of conventional urban planning. In Serbia, SURGE-supported City Scans and capacity building workshops are promoting integrated and innovative approaches to sustainable planning in the ten selected cities, going beyond traditional planning practices to encourage participatory methods such as multi-stakeholder workshops and practical exercises for local planning teams.

Bolivia is another case where SURGE activities aimed to introduce participatory or inclusive urban planning initiatives for the first time. In Santa Cruz de la Sierra, the SURGE TA sought to encourage a paradigm shift in how the city engages with citizens through techniques like tactical urbanism that differ from traditional medium-term and centralized planning. However, such approaches faced resistance from citizens, private sector groups, and a municipal government seemingly unprepared for such a paradigm shift. SURGE TA activities nevertheless provided the World Bank team and the client with a platform to test and learn from new tools and concepts. Other clients interviewed for this evaluation concurred with the importance of TA that allows for risk-taking and testing approaches that can support better planning and implementation, which may not always be possible in a project that is financed by a loan.

Support for an enabling policy environment: Brokering relations and facilitating stakeholder engagement

SURGE activities facilitate linkages between World Bank teams, government stakeholders, and non-state actors around issues like investment prioritization and regional integration. In Serbia, Viet Nam, and Angola, SURGE-financed activities have been perceived by stakeholders to inform policy dialogue around questions like regional integration and national urban or spatial planning strategies.

SURGE activities also encourage linkages and promote coordination between government actors within city administrations for more integrated urban planning and development. Efforts to incentivize intersectoral collaboration and coordination can be found in the Bolivia, Peru and Serbia cases. In Nis, the World Bank team provided technical assistance to improve the quality of communication and coordination regarding urban development matters within the city administration. Similarly, in Bolivia, a benefit of the development of Climate Action Plans is the cross-sectoral approach that is required, which helps break the silos that can evolve in municipal government.

The TA in Viet Nam fostered collaboration between cities and regional governments. Government stakeholders and Bank staff underscored the SURGE contribution to inter-regional dialogue, opening up communication channels among various regional governments and ministries. Analytical products directly informed policy dialogue among Viet Nameese government officials and presented a roadmap for pursuing regional governance reforms. Along similar lines, in Serbia SURGE has supported city-to city dialogues to share knowledge and best practices around key urbanization challenges and promote the cooperation that is required for effective DRM. The addition of data monitoring units to inform DRM also reinforces intermunicipal cooperation. Interviewed stakeholders appreciated such efforts and expressed interest in more activities to support intermunicipal and inter-regional cooperation on various sectors, especially around sustainable waste management.

Facilitating World Bank engagement with clients through knowledge transfer

World Bank country teams view SURGE as a valuable source of flexible financing for innovative research that can be used to initiate and then sustain engagement with clients on urban issues. In the words of one World Bank urban specialist, the diagnostic and analytical work enabled through SURGE have been “really powerful instruments and tools to engage our clients and to open up dialogue.” Across all UA&TA country activities reviewed, World Bank teams have used the urbanisation reviews and other analytical products as tools for engaging with government stakeholders in subsequent technical assistance activities. In each country, analytical products have touched on a range of cross-cutting issues of relevance to the priorities of municipal governments, including public housing, urban sprawl, urban mobility and infrastructure, solid waste management, sanitation, and public transit. Several World Bank regional practice managers stressed the value of SURGE-funded analytical work as piloting innovative, transnational research into issues like disaster risk management and climate change and in pushing both client governments and World Bank teams to think creatively, and more strategically, about urbanization at the country level.

Financial additionality

Mobilizing additional financing³¹

SURGE activities have helped to draw in additional financing from World Bank trust funds and bank budgets.

In **Bolivia**, the cooperation between the country team and the Municipality of El Alto has led to securing additional funds from the World Bank's City Climate Finance Gap Fund (Gap Fund). These funds are designated for planning El Alto's proposed bicycle network. This effort is part of a broader strategy to lay the foundation for

³¹Sources: World Bank Group - SURGE, “SURGE Annual Report FY 2023.” And interviews with development partners.

potential future investments under the second phase of the Bolivia Urban Resilience Project (BURP), which is currently being discussed with the Bolivian Government. Meanwhile, the Municipality of La Paz has shown an interest in seeking funding for an Early Warning System (EWS) to address flood risks. This interest is in line with the aims of the ongoing BURP. It represents a step by local authorities towards improving urban resilience and readiness for future natural disasters.

In **Lagos, Nigeria**, SURGE has successfully attracted additional financing through the PROBLUE TF, amounting to USD 950,000. The PROBLUE team collaborated with the Lagos State Government, conducting a comprehensive analysis of an agreed roadmap on solid/plastic waste management. This analysis provided short- and medium-term targets, measures, and key performance indicators to enhance solid waste, including plastic waste, management in Lagos.

In **Uzbekistan**, SURGE's initiatives in urbanization trends spatial analysis received additional financing of USD 50,000. Although not formally accounted for in the project budget, this extra support was instrumental in expanding the project's scope. The World Bank Central Asia Country Management Unit played a key role in supporting this activity, demonstrating a collaborative approach within the broader World Bank network to enhance the impact of SURGE-financed projects.

Influencing downstream World Bank lending operations

Government, donor representatives and World Bank staff noted the important role that SURGE activities play in informing or contributing to downstream investments. Capacity building through SURGE often helps lay the groundwork for government stakeholders to implement larger projects. [Table 4.5](#) presents a selection of World Bank operations that have been complemented or influenced by SURGE-financed activities. The extent of influence varies on a case-by-case basis. In some instances (e.g., Serbia), SURGE-financed activities are expected to complement recent World Bank operations, while in others (e.g., Angola under the UA&TA program), SURGE TA activities have influenced client engagement with the World Bank in the design and implementation of pipeline projects in line with sustainable urban planning, public housing, and decentralization processes.

In **Serbia**, synergies are expected to develop with the Local Institutional Development Project (LIID), a larger project supporting the type of programming initially supported through the GLRC. Co-financed by the World Bank and the Agence française du développement (AFD), the LIID aims to reinforce the planning capacities of Serbian municipal governments. Initiated upon the request of the Serbian government, the LIID program is also expected to provide opportunities for municipalities involved in the GLRC program to request funding for future investments into climate-resilient infrastructure and sustainable or low-carbon transport. Potential investments were identified through SURGE/GLRC activities in collaboration with municipal stakeholders.

In **Peru**, SURGE-financed outputs informed government efforts to refine the technical specifications for the various components of the Bank-financed National Urban Cadaster and Municipal Support Project. TA activities also influenced the design of the project in its approach to capacity building for the targeted municipalities. Within the framework of the UA&TA program, SURGE-financed activities carried out in Angola, Madagascar, and Uzbekistan stand out as clear examples of additionality.

As of Fiscal Year 2023, SURGE-financed activities have demonstrated a tangible, if indirect, influence on a total of 12 projects of this kind, collectively worth about \$2.6 billion USD, according to figures reported against Program Indicator 5 (*Number and volume of World Bank investment projects influenced through SURGE support*

to cities/regions). Among these, \$1.9 billion USD is attributed to seven pipeline projects. This includes an additional \$120 million USD pipeline project in Guatemala, which falls outside the scope of this Mid-Term Review.

Table 4.5 Illustrative links and contributions to World Bank projects³²

SURGE-FINANCED ACTIVITY	WORLD BANK PROJECT OR INITIATIVE INFLUENCED	DESCRIPTION
<p>Angola (UA&TA Umbrella TF)</p>	<p>Angola Public Financial Management for Improved Local Service Delivery Project (P170123)</p>	<p>The proposed Angola Public Financial Management for Improved Local Service Delivery Project (P170123), led by the Governance GP, includes a component to strengthen urban planning and urban land management in 12 cities across Angola. The design of Subcomponent 2C: Improving Urban Planning and Land Management of Municipal Governments (USD \$36 million) was directly informed by activities supported by the SURGE grant, including background notes and client dialogues. As a follow up to analytical work supported through SURGE, the Angolan government also requested a lending operation from the World Bank to strengthen the design and implementation of the National Housing Program.</p>
<p>Uzbekistan (UA&TA Umbrella TF)</p>	<p>Medium Size Cities Integrated Urban Development Project (MSCIUDP)</p>	<p>Initial results from the urbanization analysis in Uzbekistan influenced the formulation and development of additional financing for the Medium Size Cities Integrated Urban Development Project (MSCIUDP). Approved by the World Bank Board in June 2021, this project is financed by a \$100 million concessional credit from IDA, a \$100 million loan from Asian Infrastructure Investment Bank, and \$40 million in co-financing from the government of Uzbekistan.</p>
<p>Madagascar (UA&TA Umbrella TF)</p>	<p>Enhancing Governance Capacity for Decentralized Service Delivery Program (P180018)</p>	<p>The analytical work on urban governance and financing conducted in Madagascar through the UA&TA program informed the development of the Government of Madagascar's decentralization action plan (PNDE). The implementation of this plan will be partly supported by a new World Bank project, <i>Enhancing Governance Capacity for Decentralized Service Delivery Program</i> (P180018). The grant is also financing assessments of urban local governments, informing the preparation of this Bank project and ongoing dialogue efforts with government ministries around issues like decentralization, infrastructure, and fiscal transfers.</p>
<p>Serbia (Country Associated TF)</p>	<p>Local Institutional Development Project (LIID)</p>	<p>The Green, Livable, and Resilient Cities (GLRC) program, financed through SURGE, coincides with the World Bank project Local Institutional Development Project (LIID), a substantial \$300 million (€285 million) initiative co-financed by the Agence Française de Développement (AFD). This collaboration, with \$100 million from the World Bank and \$200 million from AFD (P174251), exemplifies the interconnectedness facilitated by SURGE,</p>

³² The table presents only a selection of these projects.

SURGE-FINANCED ACTIVITY	WORLD BANK PROJECT OR INITIATIVE INFLUENCED	DESCRIPTION
		facilitating synergies across projects with a shared vision for local institutional development and creating funding opportunities for the GLRC cities.
Peru (Country Associated TF)	National Urban Cadaster and Municipal Support Project (US\$50 million, P162278)	The Peru TF Program's outputs inform and support the government in its efforts to refine the technical specifications for the different activities of the ongoing Bank-financed National Urban Cadaster and Municipal Support Project (US\$50 million, P162278) as well as other urban cadaster activities. In addition to the support provided for the adoption of the LADM, the TF Program is helping in the preparation of technical specifications for key components of the project, such as cadastral surveyance, the design of the information technology aspects of the project, and the capacity-building activities. TA activities also influenced the approach to capacity building for the 22 cities included in the World Bank project. TA activities are also being used to address emerging developments – such as Ministry of Finance desire to move forward quickly with the fiscal cadaster- to help maximize the project's effectiveness.

4.3 Sustainability

This section explores evidence of the sustainability of the benefits generated by analytical work and TA supported by SURGE at country level. It focuses primarily on Country Programs where there has been a larger investment of time and resources.

4.3.1 Sustaining Benefits

Finding 15: At this stage of implementation, there is *potential* sustainability of the effects of the TA to date. This is most visible in Country Programs where strong client-Bank engagement over time, links to World Bank projects, and approaches to capacity development may enable sustainability. However, ensuring financing to allow for the concretization of plans and policy recommendations is crucial to sustaining benefits over the long-term.

As noted in [Finding 1](#), many of the UA&TA countries are only beginning to move into Phase 2, in which more targeted TA support to address country needs is provided. In countries where Phase 1 and 2 have been completed, the prospects for amplifying the benefits of TA products vary and depend on government priorities and funding. For example, as noted in [Finding 14](#), in Angola there will be immediate follow-up to Phase 2 through the preparation of a World Bank project focused on housing. In other cases, stakeholder feedback indicates that the analytics will continue to inform long-term urban planning and investment prioritization, even though there are or have been lulls due to changes in government and its priorities (e.g., in Costa Rica).

Interviews with national and sub-national stakeholders also pointed to the need for on-going capacity building to be able to carry out projects in the longer term. This relates to the fact that SURGE provides small amounts that act as ‘start up’ funding to provide an evidence base than can incentivize and help prioritize further investment in the urban resilience space. Recognizing this characteristic of its TA, SURGE has a program-level indicator in the results framework that reflects the intent to help countries mobilize more money from other sources to continue to carry out this work (especially World Bank loans).

Sustainability is analyzed in each of the country programs, where SURGE has made a larger albeit still modest investment in TA support. Enablers of sustainable benefits from SURGE activities include:

- **Client - Bank engagement over time.** Analytical and TA work have involved close collaboration and regular consultations with government, private sector, and other stakeholders in UA & TA countries reviewed. In Country Programs, continuity of engagement and government ownership of TA activities has been critical in fostering buy-in of government partners for sustainable urban development planning and investment prioritisation (in line with SURGE Umbrella objectives) over the long run.
- **Links to on-going World Bank Projects.** The possibility to make further investments in the Early Warning System (Bolivia), to immediately apply the Land Administration Domain Model (LADM) for cadaster (Peru), or invest in prioritized projects for city center revitalization (Bolivia) provide the opportunity to apply the capabilities build through the TA in the short term. In the case of Peru, the TA is beginning to address some of the long-standing systemic issues that have hindered the regular use of cadaster, such as clarifying the roles and functions of different national ministries, addressing land value capture and spurring the pending Sustainable Urban Development Law (DUS Law) regulation on the public land operator. Addressing these issues may enable revenue collection and maintenance of the cadasters that will be built in 22 cities through the World Bank project.
- **Political will to formalize policies and plans and prioritize tools such as cadasters.** In Bolivia, the city administrators for La Paz and Santa Cruz de la Sierra indicated their plan to approve policies, plans, and guidelines developed by the TA through municipal laws, decrees, or ordinances. In Serbia, the TA has facilitated the approval of integrated General Urban Plans by facilitating the preparation of the plans as well as their formalization and adoption by the Local Self Governments (LSGs). Sustaining cadaster in Peru requires political will: local governments must prioritize cadaster as a policy tool that gradually replaces a culture of expecting resource transfers from the national government.
- **Approaches to TA and capacity development.** In Bolivia, the TA that has used a combination of training and on- site advisory and technical support on a regular basis (accompaniment) is more likely to lead to improved organizational practices. The in-person dimension of the TA was often cited by stakeholders in Bolivia as a key success factor. In Peru, the TA has supported a promising strategy for capacity development of individuals who work in cadaster at the municipal level that not only addresses issues of professional competencies but also recognizes the “political economy” of the profession and includes a development communications component about how the “cadaster” is viewed in municipal administration. The SURGE TA and World Bank project are also emphasizing the role of COFOPRI in sustaining municipal cadaster over time. In Serbia, the workshops and ‘hands on’ training in the ten cities have supported the capacity of planning teams to integrate topics such as climate resilience, and Disaster Risks Management into local development plans.

At the same time, the human and financial capacities to implement new plans, tools, and guidelines remain limited and vary across municipalities in all three countries, which is a risk to sustainability. Country programs have developed strategies to address the on-going needs for reinforcing capacity. In Serbia and Bolivia, for example, there have been efforts to improve both the multi-sector coordination capacities as well as technical capacities. In Serbia, the program facilitated dialogue between the Ministry of Construction, Transport and Infrastructure (MCTI) and the Ministry of Environmental Protection (MoEP).

Funding is still a major impediment for cities to fully capitalize on TA. On the one hand, municipalities do not all have the capacity to prepare investment plans and large projects for the public and private funding that is required to implement new plans. On the other hand, there are limited funding sources available for municipalities. In Bolivia, the initial design of an urban development fund, supported by SURGE, may be re-introduced in the future, which could significantly change the context of municipal access to finance.

In Serbia, the LIID program may enable future investments in local infrastructure for the ten cities supported by SURGE's Green, Livable and Resilient Cities program. All municipalities are eligible to apply for LIID loans to build urban infrastructure while providing a vehicle for follow up to the SURGE-funded urban analytics and technical assistance. The LIID program will run until 2028 and is designed to support capacity strengthening for local governments to invest in a range of areas including water supply and sanitation, energy efficiency and renewable energy, public transport and mobility, environmental protection and climate adaptation, waste management, digital infrastructure, economic development initiatives, and cultural initiatives.

For all three country programs, it will be important to sustain engagement and cooperation between urban experts, government stakeholders and their World Bank counterparts to ensure continued capacity strengthening. Moreover, networks and partnerships across municipalities involved in SURGE-financed interventions could be developed and actively encouraged. This would promote sharing of lessons learned and best practices across different national contexts.

Alternative funding mechanisms should also be identified to ensure the financial sustainability of initiatives once SURGE funding has ended (see also Section 6.3 Country Programs: Recommendation 5).

4.4 Program Management

This section presents findings on evaluation questions that relate to results-monitoring and reporting and the efficiency of the SURGE Umbrella Program.

4.4.1 Monitoring and Reporting: Evidence-base for Results

Finding 16: The SURGE results framework and related reporting generally align with expectations of stakeholder who use that data (i.e., SECO and the World Bank) and are appreciated by World Bank TTLs because of the streamlined reporting requirements.

As noted in [Finding 7](#), SURGE tracks progress against its Results Framework, which comprises a total of forty-two indicators. That results framework is the basis for reporting and the documented progress on indicators constitutes a primary evidence base on results for the SURGE Umbrella Program.

Reporting on results

The World Bank provides annual reports on results to the SURGE donors. SECO and the World Bank agreed on the report's content and structure and indicate that the reporting generally meets their need for aggregate information on the global and country-level activities. The SURGE Annual Reports provide quantitative information on SURGE Program Indicators and Pillar Indicators (see [Finding 7](#)) with chapters dedicated to each program that provide a narrative on progress towards intended results across programmatic components. World Bank TTLs appreciate the simple reporting formats with requirements that are not onerous.

The annual reports do not capture the breadth of SURGE contributions in all the results areas. On the one hand, it is positive that annual reports continuously report on the technical deep dives even after their launch, as that will enable the potential to trace the contributions over time. However, the evidence collected through this mid-term evaluation suggests that the UA&TA program contributes to results beyond those articulated under Pillar 2. Although SURGE reports “no active portfolio” for Pillar 4 (urban housing and poverty)³³, there are examples of contributions to urban housing and poverty, as well as to other pillars, through the UA&TA program. At least four UA&TA countries have delivered outputs or made contributions to results related to urban poverty and housing: Angola³⁴, Nigeria (Lagos)³⁵, the Philippines³⁶ and Romania³⁷. Similarly, Costa Rica³⁸, Nepal³⁹, Nigeria (Lagos)⁴⁰, and Romania⁴¹ have all used UA&TA to support the development of sustainable and climate smart cities (Pillar 3), often overlapping with contributions to urban and regional resilience (Pillar 5). Viet Nam provides an example of how UA&TA has also contributed to Pillar 1 (City Management, Governance, and Financing) by supporting the potential development for a new Regional Governance Model for the Southern Key Economic Region, pending final government decision in the coming months. Viet Nam is further contributing to Pillar 1 by exploring new models for infrastructure development financing through a regional investment mechanism involving regional councils.

For country programs, reporting cuts across multiple pillars (i.e., Bolivia: Pillars 1, 3, and 5; Peru: Pillars 1 and 2; Serbia: Pillars 3 and 5), systematically demonstrating contributions to a wide range of results areas. The formal reporting provided through SURGE annual reports is complemented by regular exchanges between SECO and

³³ World Bank Group - SURGE, “SURGE Annual Report FY 2023,” 13.

³⁴ TA activities in Angola were directed toward reinforcing capacity within the Ministry of Works, Urbanization, and Housing (MINOPUH) to strengthen the design and implementation of a new National Housing Program.

³⁵ Although UA&TA in Nigeria focused on policy and investment coordination in Lagos, parallel to this, numerous workshops took place on a variety of topics related to urban development, including affordable housing.

³⁶ UA&TA activities in the Philippines focused generally on facilitating analytics and capacity building for strategic planning in secondary cities. As part of this, the TA responded to requests from the city of Bacolod and Baguio to share technical expertise on municipal housing projects being financed by the World Bank.

³⁷ UA&TA in Romania contributed to the country's National Housing Strategy. World Bank Group - SURGE, “Global UA&TA Program - Results Table FY23,” 2023.

³⁸ UA&TA in Costa Rica helped mobilize \$370 million USD in World Bank investment for the Costa Rica Climate Resilient Recovery and Territorial Development Project.

³⁹ UA&TA in Nepal supported the development of the Nepal Country Climate Development Report.

⁴⁰ UA&TA in Lagos supported a technical deep dive on cities and climate change and contributed to the city's Climate Action Plan. A Coastal Resilience Workshop was also conducted to enhance the resilience of Lagos to climate impacts (also related to Pillar 5: Urban and Regional Resilience).

⁴¹ UA&TA in Romania supported the development of a report on Green and climate related capital investments at the local government level.

World Bank country teams, which facilitate tracking the status of activities and providing more context and details than can be provided through formal reporting mechanisms. The level of engagement received positive feedback in Bolivia and Peru, with room for more pro-active exchange between SECO by the World Bank team in Serbia. This engagement is also of value in UA&TA countries where there is SECO presence (e.g., Uzbekistan and Viet Nam). For more information on World Bank-SECO engagement, see [Finding 4](#).

Results Framework and Indicators

At the output level, SURGE monitors and reports on the delivery of analytical products and capacity building activities, which are delivered through Country Programs and the Global Program (UA&TA and Technical Deep Dives). Most indicators (thirty-one of forty-two) are at the output and intermediate-outcome levels. These feed into five Outcome Indicators that correspond to each of the five SURGE pillars. There are also six stand-alone, overarching Program Indicators.

Aside from the limitations noted above about being able to capture the extent of UA&TA contributions, the SURGE results framework is relevant to SURGE stakeholders. However, there are assumptions between levels of results that are not explicit in the Results Framework, particularly between outputs and intermediate outcomes, and intermediate outcomes and outcomes. Furthermore, such assumptions are not currently reflected in the SURGE Theory of Change. To illustrate, in terms of assumptions between outputs and intermediate outcomes under Pillar 1, the knowledge and planning products and the training and sharing events may be necessary but are not a sufficient condition to lead to ‘strengthened institutions and improved management capacities.’ That is because the improvement in capacity requires not only know-how, information, data bases, skills, etc. (capabilities), but also the incentives and opportunities to put those into practice. In the reporting on Bolivia (Intermediate Outcome Indicator B.1), the diagnostic on the municipality of La Paz linking cadaster to taxation and the Urban Development Fund concept were indeed completed, but they are not yet being applied to increase Own Source Revenues (OSR). Between intermediate outcomes and outcomes, there are similar assumptions that may need to be monitored. In addition, there is inconsistency in the types of examples reported by TTLs to substantiate their reported results. This may be due to a lack of detailed guidance on what can and should be reported at different levels of results, beyond the definition of the indicator (which is meant to set the standard for what can be reported at each level). **Table 4.6** below outlines each outcome indicator, its definitions, and examples that were provided by TTLs to substantiate how that outcome was achieved.

Table 4.6 Outcome Indicators: Definitions and Examples of Substantiation Reported

OUTCOME INDICATORS	SURGE DEFINITION	CITIES/REGIONS REPORTED	EXAMPLES OF SUBSTANTIATION PROVIDED
OI 1	4 cities/regions with strengthened financial/institutional dimensions of urban development and management (<i>target: 4</i>)	Number of cities or regions with strengthened financial/institutional dimensions of urban development and management when the specific activities are finalized	<p>4 cities in Peru: Lima, Piura, Lambayeque and Chiclayo.</p> <p>Peru: <i>“During FY22 and FY23 the program has provided technical assistance to support the MVCS in the formal approval of legal instruments to simplify the valuation methodology and the urban cadastral surveyance form. The end goal is to facilitate the generation of cadastral information which will strengthen local governments’ capacity to generate revenue...”</i></p>
OI 2	25 cities/regions which spurred equitable regional and local development (<i>target: 25</i>)	<p>Number of cities/regions that have promoted equitable regional and local development due to SURGE activities. We count the cities when specific activities have been finalized (the program can still be under implementation)</p>	<p>4 cities in Peru: Lima, Piura, Lambayeque and Chiclayo.</p> <p>Cities/regions covered by the UA&TA program in Costa Rica, Nigeria (Lagos), Philippines, Uzbekistan, Vietnam, and through Vibrant Cities (Amman and Cairo)</p> <p>Peru: <i>“Supporting the government’s efforts to establish a conducive institutional and regulatory framework for sustainable urban governance...”</i></p> <p>Costa Rica: <i>“The WB provided technical advice and capacity building activities to the Brunca region’s government, assisting in upgrading its urban development planning and formulating a road map for urban investments.”</i></p> <p>Lagos: <i>“A multisector task force has arisen as a key recommendation. Its efforts have been</i></p>

				<i>devoted to policy and investment coordination across multiple sectors with the aim of harmonizing urban development outcomes in Lagos. All sectoral activities are now discussed, planned, prioritized and implemented through this platform..."</i>
OI 3	10 cities/regions increased their focus/awareness on low carbon and sustainable development (target: 17)	Cities that have increased their awareness / capacities related to low-carbon and sustainable development due to SURGE activities. We count the cities when specific activities have been finalized (the program can be still under implementation).	10 cities in Serbia: Kragujevac, Kraljevo, Leskovac, Niš, Novi Pazar, Sombor, Užice, Zrenjanin, Šabac and Novi Sad	<i>"All 10 participating cities (Kragujevac, Kraljevo, Leskovac, Niš, Novi Pazar, Sombor, Užice, Zrenjanin, Šabac and Novi Sad) have increased their awareness related to low-carbon and sustainable development during the City to City (C2C) Dialogues held within the frame of the Program..."</i>
OI 4	No active portfolio			
OI 5	10 cities/regions with strengthened (awareness raised) resilience to climate change and disasters (target: 7)	Cities that have increased their awareness / capacities related to resilience to climate change and disasters due to SURGE activities. We count the cities when specific activities have been finalized (the program can be still under implementation).	10 cities in Serbia: Kragujevac, Kraljevo, Leskovac, Niš, Novi Pazar, Sombor, Užice, Zrenjanin, Šabac and Novi Sad	<i>"The program completed the development of city-level assessments in the ten selected cities and conducted capacity building activities to enhance local capacities in strategic planning for green and resilient urban development."</i>

4.4.2 Efficiency in Implementation

The findings below cover areas of inquiry related to SURGE's efficiency of allocation of financial resources; timeliness of implementation; and appropriateness of program management and delivery costs), as well as examples of efficiency gains under the umbrella trust fund program. The findings draw on aggregate data on

budgets, allocations, and disbursements for SURGE-funded program components, as well as for program management and administration (PMA).

Finding 17: Across all programs, SURGE has approved and implemented activities to produce outputs on time, with few exceptions.

Overall, at mid-term, SURGE-financed activities have been approved and implemented in a timely manner.

Allocations to program activities

By the end of FY23, more than 100% of approved funding from donor contributions to the SURGE Umbrella Program had been allocated to its associated programs. At the end of FY23, a total of USD \$27.53 million had been allocated by the SURGE fund, out of the total of USD \$27.51 million of approved funding received by the Umbrella Program from donor contributions. This level of allocation reflects the over-allocation of USD \$0.20 million compared to approved amounts stems from the Europe and Central Asia Cities and Climate Change program, in particular Component 1 of the program, which allocated USD \$2.3 million against its approved amount of USD \$2.28 million.⁴² Otherwise, for the UA&TA program, and the country programs for Bolivia, Peru and Serbia, 100% of approved funding was allocated to the programs by the end of FY23. Overall, this signals a swift allocation of resources from the SURGE Umbrella to its associated programs. Two TTLs interviewed for UA&TA programs specifically cited their ability to quickly apply for and access SURGE funding as one of the positive features of SURGE. When probed about funding and management procedure, Bank staff involved in the management and implementation of UA&TA program activities and country program activities did not highlight any delays in allocation of SURGE funding to their respective programs.

Timeliness of Implementation

Furthermore, in relation to the timeliness of implementation of SURGE-funded activities, available data on disbursements suggests that SURGE-funded activities are being implemented in line with the expected implementation period of the SURGE Umbrella Program overall (10 years, between November 2020 and December 2030), and the expected implementation time periods of its associated programs included in the scope of the evaluation. A comparison of the rate of disbursement of allocated funds against the implementation period of, suggests an execution of resources that is above 50% at mid-term (see [Table 4.7](#) below). With the exception of a few TA activities within the UA&TA program that were more affected by COVID 19 – related delays in start up or by the national political context that often delayed Phase 2 activities, allocated funding has been implemented in a manner that is in line with, or ahead of, the overall timeframe of implementation of the Fund thus far.

⁴² The annual report for FY22 of the SURGE Umbrella Program does not include financial reporting on the Europe and Central Asia Cities and Climate Change and as such the evaluation did not have information on the reasons for this over-allocation. Furthermore, the program is not in the scope of this evaluation.

Table 4.6 Comparison of disbursement rates with time period covered by programs, as of June 30, 2023⁴³

NAME OF PROGRAM, AND PROPORTION OF TIME PERIOD COVERED, AS OF JUNE 30, 2023 ⁴⁴	ALLOCATED AMOUNT (USD MILLIONS)	DISBURSED AMOUNT (USD MILLIONS)	% OF TOTAL ALLOCATED FUNDS THAT HAVE BEEN DISBURSED
Overall SURGE Umbrella Program Proportion of time period covered: 26.7% (32 months [Nov 2020 to June 2023] out of an expected 10-year implementation timeline ⁴⁵)	29.52	17.03	58%
UA&TA Program Proportion of time period covered: 82% (32 months [Nov 2020 to June 2023] out of an expected 39-month implementation timeline of original SUD-II MDTF [Nov 2020-Jan 2024]) ⁴⁶	6.00	4.05	67%
Bolivia Urban Resilience Technical Assistance Program Proportion of time period covered: 64% (32 months [Nov 2020 to June 2023] out of an expected 50-month implementation timeline [Dec 2020-Jan 2025])	3.76	3.44	91%
Strengthening Urban Cadasters for Urban Governance in Peru Proportion of time period covered: 40.3% (31 months [Dec 2020 to June 2023] out of an expected 77-month implementation timeline [Dec 2020-April 2026])	3.34	1.77	53%
Strengthening Sustainable and Resilient Urban Development in Serbia Proportion of time period covered: 60.3% (32 months [Nov 2020 to June 2023] out of an expected 53-month implementation timeline [Dec 2020-April 2025])	3.32	2.23	67%

As reflected in [Table 4.7](#) above, the disbursement rate of the UA&TA program was 68% at the end of FY23, which is below the proportion of the time covered by the program as of June 30, 2023, 82%. This was largely due to lower rates of disbursement for Phase 2 TA activities (61.2%, or USD \$1.61 million out of USD \$2.63 million of allocated funding), and for new UA&TA activities in six additional countries that were introduced at the end of

⁴³ Based on financial data for FY21-23 provided to the evaluation team by the SURGE Program Team.

⁴⁴ Expected implementation timelines for SURGE-funded programs are based on grant start and closing dates in the FY23 Work Plan and Budget (April 2023) and respective country program Grant Funding Requests.

⁴⁵ As noted in the Operations Manual for SURGE, the end disbursement date for the Umbrella Program is December 31, 2030. The date for the establishment of the SURGE Umbrella is taken as November 2020, as mentioned in SURGE Annual Work Plans for FY22 and FY23-24.

⁴⁶ The implementation timeline for the UA&TA program presented here does not take into the end-date for the new Anchor MDTF, whose close date is December 2030.

2022 (44%, or USD \$0.63 million out of USD \$1.44 million).⁴⁷ Phase 2 TA activities commenced more recently and are still in progress for four out of nine countries in the UA&TA program (Angola, Madagascar, Nepal, and Viet Nam). On the other hand, 100% of allocated funds for Phase 1 activities (Urban Analytics) and the Technical Deep Dives have been disbursed, as of the end of FY23.

Table 4.7 Comparison of disbursement rates by UA&TA program component, as of June 30, 2023⁴⁸

NAME OF PROGRAM, AND PROPORTION OF TIME PERIOD COVERED, AS OF JUNE 30, 2023 ⁴⁹	ALLOCATED AMOUNT (USD MILLIONS)	DISBURSED AMOUNT (USD MILLIONS)	% OF TOTAL ALLOCATED FUNDS THAT HAVE BEEN DISBURSED
Component 1 - Urban Analytics	1.03	1.03	100%
Component 2 - Technical Assistance	2.63	1.61	61%
Component 1/2- New activities after reallocation	1.44	0.63	44%
Component 3 - Technical Deep Dives	0.50	0.50	100%
PMA	0.40	0.28	69%
Total	6.00	4.05	67%

SURGE-funded grants for UA&TA program activities have required extensions in time due to in-country factors. Examples include Angola, for which a four-month extension for Phase 2 TA activities was required due to allow for more time for the project team to conduct necessary dialogue and consultations with the new government about the deliverables. The SURGE-funded grant for UA&TA in Madagascar also required an extension due to political instability in the country in 2022-2023.

Activities in the three SURGE-funded country programs in Bolivia, Peru and Serbia, are being completed in a timely manner, despite delays in the start-up or during implementation. In Bolivia, the TA was delayed due to changes of sub-national and authorities in 2021 and the effects of the COVID-19 pandemic. The elections in early 2022 in Serbia also brought slight delays to the program team's ability to engage national stakeholders and reach agreements on activities. The Serbia national elections in December 2023 may also delay the revision of the Sustainable Urban Development Strategy SUDS and the approval of the general urban plans (GUPs) in several cities. The Peru country program slowed down due to a two-year period of continuous changes in Presidents, Ministers, and key staff in the program's counterpart ministries at the national level. Nevertheless, in-country stakeholders noted the delivery of planned activities is back on track or ahead of schedule. See country case studies for further details.

⁴⁷ The new UA&TA activities that were introduced at the end of 2022 were not covered by this evaluation.

⁴⁸ Based on financial data for FY21-23 provided to the evaluation team by the SURGE Program Team.

⁴⁹ Expected implementation timelines for SURGE-funded programs are based on grant start and closing dates in the FY23 Work Plan and Budget (April 2023) and respective country program Grant Funding Requests.

Finding 18: SURGE program delivery and management costs are reasonable. In general, program management practices have supported the overall efficiency of the SURGE Umbrella Program.

Appropriateness of Distribution and Use of Program Costs

Overall, available evidence would also suggest that SURGE-funded programs have entailed appropriate distribution and use of program delivery costs, over the course of implementation of activities thus far.

As per expectations for umbrella 2.0 programs⁵⁰, SURGE has a Program Management and Administration Unit with a small staff complement. Available data on Program Management and Administration (PMA) costs indicates that costs related to SURGE program management and governance has been budgeted for and spent appropriately thus far.

PMA budget for SURGE: by the end of FY23, the PMA costs for the SURGE Umbrella Program were estimated at 5.9% of the total budget for the Program. There was an increase in the amount of PMA costs budgeted in FY22, in line with the intentions of the World Bank and SECO to increase the PMA budget for the Fund, from 5% to 6% overall.⁵¹ This increase was to allow for expenditures related to the conducting of mid-term evaluations of the SURGE Umbrella and for associated trust fund country programs.⁵² PMA costs at the end of FY23 for the country programs included in this evaluation were budgeted at a similar proportion of their respective total budgets, 5.9% for both Bolivia and Peru country programs, and 6% for the Serbia country program.

A larger proportion (6.7% or USD \$0.4 million out of total budget of USD \$6 million) of the overall budget for the UA&TA program was for PMA costs. Three UA&TA TTLs interviewed stressed that the small budgets for activities in both phases in the program required careful planning and use of funding across various program delivery components to cover costs such as staff time spent managing and sourcing consultants, travel, and consultant time. Although these TTLs noted that larger budgets for SURGE-funded activities would have been beneficial, in two of the cases, the activities have been completed as intended within their budget envelopes.

PMA disbursements for SURGE: Overall, trends in the SURGE Program's PMA expenditures between FY21 and FY23 are reasonable given expected costs for setting up a new trust funds; they also remain within the program's self-defined limits on PMA expenditure. PMA disbursements as a proportion of total disbursements of the SURGE Umbrella Program have decreased between FY21 and FY23, from 17% in FY20,⁵³ to 6.3% in FY23 (USD \$1.04 million out of USD \$17.03 million).⁵⁴ This downward trend reflects the progression in expenses that are common in trust-funded programs, in which the initial years of the trust fund require more PMA resources to design and set up the structure and processes of the program.⁵⁵ Furthermore, PMA disbursements as a proportion of total

⁵⁰ World Bank Group, "Umbrella 2.0 Programs: A Flexible Instrument for Aligning and Managing Development Resources for Results at Scale," Trust Fund Reform Brief, February 2020.

⁵¹ In FY20 and FY21, budgeted PMA costs for the Umbrella Program represented 4.17% and 4.80% for each fiscal year respectively. This further increased to 5.84% in FY22.

⁵² World Bank Group - SURGE, "SURGE Annual Report FY 2022," 2022, 127.

⁵³ World Bank Group - SURGE, "SURGE Annual Report FY 2020," 2020, 40.

⁵⁴ PMA disbursements as a proportion of total disbursements of the SURGE Umbrella Program were 9% in FY21 and 7% in FY22. World Bank Group - SURGE, "SURGE Annual Report FY 2021," 2021, 63; World Bank Group - SURGE, "SURGE Annual Report FY 2022," 127.

⁵⁵ This is as noted in financial reporting sections of SURGE Annual Reports for FY20-23.

donor SURGE Umbrella contributions have been lower than the ceilings that have been set in SURGE financial systems for each fiscal year (see [Table 4.8](#) below).

Table 4.8 PMA and total costs of SURGE funded programs, as of June 30, 2023⁵⁶

	FY20	FY21	FY22	FY23
Amount of disbursed funding for Program Management and Administration (PMA) costs	0.04	0.37	0.79	1.04
Total amount of donor contributions received by the SURGE Umbrella Program	3.28	17.00	23.10	32.96
PMA disbursements as % of total donor contributions to SURGE Umbrella Program	1.21%	2.18%	3.42%	3.16%
Ceiling set for PMA disbursements as % of total donor contributions to SURGE Umbrella Program⁵⁷	5%	5%	6%	6%

For many SURGE-financed activities, as part of the UA&TA program and country programs for Bolivia, Peru and Serbia, the World Bank has engaged the services of external consultants to conduct analytical and TA work. Overall, this practice of utilizing consultant services has worked well for the delivery of SURGE activities. In the case of Bolivia, for example, in the delivery of TA, it has often been the consulting team that has had to adjust methodology and approaches along the way to meet the needs of different municipalities within a fixed-fee contract. The Bolivia case also notes that, given staff turnover in government, this approach requires on-going clarification of the responsibilities for approving consultant deliverables.

SURGE Management

In general, there is positive feedback from TTLs on the management of the SURGE Umbrella Program. TTLs appreciated the flexibility of the SURGE Program Team to discuss and help problem solve during on challenges for implementation in relation to COVID-19, delays due to political instability or changes in government. Most TTLs interviewed indicated that there are lower transaction costs, and higher ease of access for SURGE Umbrella Program funds, compared to their experiences with other multi-donor trust funds at the World Bank. TTLs interviewed also provided positive feedback on the streamlined reporting obligations for SURGE-funded activities (see [Finding 16](#)).

⁵⁶ Based on financial data in SURGE Annual Reports for FY20, FY21 and FY22, as well as financial data provided by the SURGE Program Team.

⁵⁷ This ceiling is noted in SURGE Annual Reports for FY20 and FY 21: "The program has set limitations in the financial systems to ensure that PMA spending cannot go over 5 percent of the total SURGE Umbrella contributions." In FY22, this limit was raised to 6%. The SURGE annual report for FY22 did not include information on reasons for this increase.

Finally, the mid-term evaluation also found some examples of efficiency gains made under the umbrella trust fund program (see [textbox 7](#)).

Textbox 7: Efficiency Gains under the Umbrella Trust Fund Program

Streamlined governance mechanisms and management processes: Instead of separate Partnership Council meetings for different trust funds, there is now one Partnership Council for the Umbrella Program, as the mechanism through which donors, Bank staff and the SURGE Program Team engage in strategic and technical discussion. The umbrella trust fund modality has also allowed for a single Operations Manual for all associated trust funds under the SURGE Umbrella Program, eliminating the need to formulate and negotiate a new manual for every program added to the umbrella.

Knowledge management and exchange amongst Bank teams: As noted in [Finding 6](#), the SURGE Program Team has recently undertaken efforts to convene knowledge exchange events with the participation of different country teams of the SURGE country programs. More knowledge exchange events are also planned, to involve program teams of other associated SURGE programs. This is a promising practice that can generate efficiency gains in circulating knowledge amongst diverse Bank teams engaged in different urban development topics through the common framework of the umbrella program.

Ongoing Challenges in Management of SURGE Program Activities

In relation to the appropriateness of program costs and use of resources, there is a perception that SURGE is flexible in allowing for re-allocation of resources across different project components, expense categories, and priority areas. Some TTLs for UA&TA country activities noted that they were able to re-allocate SURGE funding across components and that this facilitated their program’s response to evolving client needs and priorities and the emerging challenges in national and subnational contexts. For example, one TTL interviewed noted the flexibility of the SURGE Program in allowing for the modification of budgets for U&TA activities to increase the budget allocation for Bank staff time, and away from time and costs of consultants, due to prevailing difficulties in sourcing out consultants, particularly during in the context of COVID-19 and associated travel restrictions. However, there is also a small number of instances where TTLs felt that it was not feasible to make reallocations among phases and components to adjust for changing opportunities and new challenges during implementation. In the Bolivia country program, for example, budget transfers between components were found to be difficult since these require consultation with SECO given that component budgets are endorsed by SECO in annual workplans, similar as for other country programs and aligned with the agreed SURGE Operations Manual. Another example of this was seen in one of the UA&TA countries, for which the TTL noted “we were counting pennies at end of Phase 1 and then Phase 2 was flushed with money. Could have managed a bit better (10-15%) if it was tailored a bit better to our local context which needed a lot of time and resources for phase 1.”

In reference to Bank-executed analytical work (such as Urbanization Reviews), several TTLs cited the ‘cap’ in charging World Bank staff time for work related to both the management of SURGE activities and technical work related to SURGE activities (noted by interviewees as either 15% or 20%), as a limitation. TTLs posited that this resulted in lost opportunities to draw on Bank staff expertise to provide input on TA and analytical work. However, this perception held by TTLs may be a misunderstanding of SURGE TF guidelines, which do not stipulate a cap on staff time, but instead provide a guidance percentage for staff time, and provide space for an increase in this percentage of staff time allocated for activities, provided this can be justified.⁵⁸ Input from the SURGE

⁵⁸ Neither the concept note, nor the Operations Manual, for the SURGE Umbrella Program noted any limits or guidance percentages on the use of Bank staff time for SURGE-funded activities.

Program Team that was provided to the evaluation, through discussion of the evaluation’s preliminary findings, noted that since 2023, the SURGE Umbrella Program has made an effort to be more flexible in allowing for higher amounts of allocation of funds for Bank staff involvement in SURGE-funded TA activities, for which more Bank staff involvement is required than analytical work, for which consultants carry out the bulk of the work.

5. Conclusions

The World Bank established the global SURGE Umbrella Program in 2020 as its central collaborative instrument for working with partners on building inclusive, resilient, and sustainable cities in developing countries. This MTE concludes that SURGE has been an effective vehicle for deepening World Bank engagement with clients and strategic collaboration with its donors on sustainable urban development.

Overall, the MTE confirms the on-going relevance of the SURGE Umbrella Program and its component parts: the Global UA&TA program, including the technical deep dives, and the Associated TF country programs. Each of these components draws out the comparative advantage of SURGE, namely its ability to support evidence-based policy decisions on the multiple challenges that cities face in terms of inclusion, employment, connectivity, productivity, DRR, and climate adaptation among others. SURGE was established on the understanding that urbanization is multifaceted. The Program's holistic approach sets it apart from other trust funds and is a valued source of funding within the World Bank system. It has also been able to provide relevant and just-in-time support to clients. This positions SURGE to support GPURL to play a critical role in informing and elevating the Bank's urban agenda as part of its new Evolution Roadmap.

Despite delayed start-up in several activities during the COVID-19 pandemic, the SURGE Umbrella Program is demonstrating important initial results that meet and exceed the expectations at mid-term. The three Country Programs (Bolivia, Peru and Serbia) are on track with delivering outputs and have begun to contribute to policy and institutional change that should enable them to meet objectives that relate to capacity development and policy reforms at national and sub-national levels. The three country programs supported more evidence-based analytics and the policies of urban development patterns, new approaches to sustainable urban development including DDR and participatory planning, climate adaptation plans in Bolivia, and a necessary revision of cadasters in Peru. They enabled concrete results with the adoption of improved integrated urban plans in several cities in Serbia. They are also expected to lead to the revision of policy documents at the local and national levels.

Global UA&TA activities represent a relatively small level of investment per country compared to the country programs, the evaluation has found that targeted TA and analytical work have helped strengthen client capacity for addressing priority urban reforms. With regard to the technical deep-dives, Pancake to Pyramids has had significant uptake three years after publication. Results go beyond initial expectations, helping clients better understand the links between urban density and poverty areas, and the advantages of 'compact cities'. Data and methods generated through the report have also been used to identify contagion patterns in cities during the COVID-19 pandemic. Although Vibrant Cities and Mobilizing Finance are in early stages of dissemination, they are already leading to concrete results in terms of applied methodologies in several cities – as in the case of Amman Greater Municipality, for Vibrant Cities – and have generated interest among additional cities in different regions.

SURGE has demonstrated a high level of non-financial additionality through efforts to foster an enabling environment for policy dialogue and because of its emphasis on knowledge exchange, which has enabled greater engagement with clients. In terms of financial additionality, there are a growing number of examples that demonstrate how SURGE-funded TA sparked demand for new World Bank lending operations (some of which are now in the pipeline) or helped to make existing operations more effective. Linkages between TA activities and on-going Bank projects, especially in the context of the country programs, are expected to sustain initial

effects of the TA moving forward. Similarly, country programs have fostered trust-building and ensured continuity of client-Bank engagement on urban issues over time, which is a powerful instrument in spurring equitable and regional development.

SURGE has been well-managed and is seen as an agile and accessible trust fund by clients and Bank teams. It is also beginning to demonstrate the benefits of an Umbrella Fund due to its efficient set up, streamlined reporting mechanisms and overall fund management. It has only begun to foster cross-learning across the different countries and components supported by SURGE. Thus, in the next phase of SURGE, it will be important to build on the strengths of the Fund while making small additions that can ramp up the effects of the Umbrella Program, better demonstrate its results, and increase its potential to serve as a strategic vehicle for mobilizing additional financial resources in alignment with the Bank's broader agenda on sustainable urban development.

Table 5.1 SURGE MTE Conclusions: Overall strengths and areas for improvement for SURGE

STRENGTHS
1: Multi-faceted and holistic approach; support for a wide variety of thematic areas in urban and regional development
2: The UA&TA program and the country programs for Bolivia, Peru and Serbia, are relevant to client needs
3: Well-positioned to play a critical role in informing and elevating the Bank's urban agenda
4: SURGE is closely aligned to SECO priorities, and is complementary to other SECO investments; it is beginning to leverage its strengths and expand its donor-base
5: Country Programs for Bolivia, Peru and Serbia are on track to contribute to policy and institutional change at national and sub-national levels
6: Country-specific UA&TA program activities have strengthened client capacity to address priority urban reforms
7: The UA&TA technical deep dives are leading to concrete results in terms of applied methodologies in several cities
8: SURGE has demonstrated high levels of both non-financial and financial additionality
9: SURGE is a well managed, agile and accessible trust fund; it is also beginning to demonstrate the benefits of an Umbrella Fund
AREAS FOR IMPROVEMENT
1: Country programs and UA & TA activities face risks to sustainability of results posed by limited human and financial capacity among client governments to implement new plans, tools and guidelines
2: Communication strategy for technical deep dives needs to be sharpened to ensure wider uptake of these products vis-à-vis clients as well as within the World Bank system
3: Cross-learning across the different countries and components supported by SURGE is still just beginning
4: Annual reports do not capture the breadth of SURGE contributions in all of the results areas
5: While the SURGE results framework is relevant to stakeholders, assumptions between levels of results are not explicit in either the results framework or the Theory of Change for the Fund

6. Recommendations

The recommendations that follow primarily encourage the SURGE Umbrella Program to continue and expand on the work it has carried out since 2020. They also identify a few adjustments that might favor the achievement of SURGE's overall objectives and results as an Umbrella Program. Recommendations are organized into the different components that make up the SURGE Umbrella Program and were considered in this MTE. Recommendations are also linked to the evaluation's findings, and SURGE's strengths and areas for improvement, as outlined in the previous section (Table 5.1).

6.1 Anchor Trust Fund – UA&TA

SURGE UA&TA country-level activities have been relevant clients and have yielded promising results. World Bank TTLs also express high demand for this type of investment to engage countries and municipal authorities on sustainable and resilient urban development issues.

The two-phase model, based on analytical work followed by targeted TA, has been effective and flexible enough to adapt to each country context.

The following recommendations recognize these clear strengths and the need for continued support to be able to contemplate follow up activities to sustain engagement and results.

In relation to Findings: 1, 9, 15, and 18

In relation to strengths: 2 and 6

Recommendation 1: SURGE's UA& TA program should continue with its overall approach, which includes an analytic phase and targeted TA funding, allowing for flexibility in implementation in different country contexts.

Based on evidence in the MTE, the approach, depending on the country, may require: (a) immediate TA or continued TA tailor fit to their needs, building on previous SURGE or non-SURGE activities, (b) an additional phase of upstream analytics, or (c) a combination of additional upstream analytics and TA.

Recommendation 2: SURGE should consider supporting government stakeholders' efforts to secure additional financing to concretize recommendations from the analytical and TA activities supported by SURGE to date.

SURGE-financed TA and analytical activities have had a clear influence on institutional and regulatory frameworks in a range of countries. This offers potential for any future financing, through the World Bank or other sources, to be used more effectively by clients to inform investment decisions and policy making around sustainable urbanization. However, limited access to such finance is one of the factors affecting the potential to sustain benefits of such reforms. In addition, a more strategic capacity building approach is needed to support city governments in their efforts to generate their own revenues and improve municipal budgeting processes.

6.2 Technical Deep Dives

The technical deep dives are at various stages in the process of influencing the thinking, policies, operations and actions of different stakeholders. Early evidence indicates that the process for shaping the technical report as a multi-disciplinary exercise is as important as the product. However, SURGE needs to sharpen its communication strategy to ensure wider uptake of these products vis-à-vis clients as well as within the World Bank system.

In relation to Findings: 2 , 8 and 15

In relation to strengths: 1 and 7

In relation to areas for improvement: 1 and 2

Recommendation 3: SURGE should continue engaging World Bank teams and external stakeholders in strategic multi-disciplinary deep dives, while enhancing the longer- term dissemination and monitoring of the reports being produced.

- **Internal communications.** SURGE and its partners should increase the circulation and dissemination of these products among World Bank staff, TTLs and consultants. This is a critical audience that plays a role in translating the knowledge into relevant policy actions at country level.
- **External communications.** Key messages/ highlights/ recommendations could be distilled into policy-relevant briefs for communication with a wider audience through webinars, online platforms or presentations.
- **Future deep dives.** There are many potential topics and demands that could be addressed by these flagship products; as such, focused efforts for careful selection, engagement, and dissemination are needed. For some analytical products, there may be a need to foresee updates on the findings/ information as the situation evolves in certain countries or regions.
- **Thematic areas.** Global technical deep dives on the theme of climate finance or emissions reductions should be considered. Several stakeholders stressed the importance of this topic in sustainable urban and regional development, which can be linked to incentivizing reforms and operationalizing financing in countries and municipalities. In addition, given the importance of municipal finance and OSR for implementing and sustaining the benefits of TA in client countries, these finance topics should be prioritized in future analytical work.

6.3 Country Programs

The following recommendations emerge from the findings on Country Programs and their related case studies. Country Programs facilitate multi-year engagements that build rapport and trust with local governments, consultant teams and national governments in countries to achieve sustainable urban development. This level of engagement in countries is a powerful instrument that could have a strong impact in other countries if the program could be replicated elsewhere. In addition, there are design considerations and lessons from each country program that can enhance prospects for sustainability of the SURGE initiatives.

In relation to Findings: 10, 11, 12, 14, and 15

In relation to strengths: 5 and 8

In relation to areas for improvement: 1 and 4

Recommendation 4: The MTE recommends that SURGE deepen engagements with existing donors, while reaching out to other potential development partners, to expand the number, scope, and sustainability of country programs.

- **Resource mobilization.** SURGE should better communicate the impact and added value of country-specific programs under the SURGE Umbrella Program with donors. This could potentially enable an expansion in the number of country programs.

Recommendation 5: To enhance the prospects for sustainability from technical assistance, SURGE should consider emerging lessons from the country programs.

As noted in Finding 15 above, the MTE identified several factors that enhance the prospects for sustainability. These include:

- **Ensuring continued Client - Bank engagement over time ;**
- **Sustaining political will or local buy-in for implementing the urban planning tools, policies and plans supported or encouraged through SURGE-financed interventions ;**
- **Supporting the efforts of municipal or local governments to find alternative revenue streams or generate own-source revenues beyond SURGE financing, including through linkages with on-going World Bank projects ; and**
- **Continuing a hands-on, person-to-person approach to TA and capacity development**

For all three associated country programs (Serbia, Bolivia and Peru) three areas could be further emphasized in program design and implementation:

- **Inclusivity.** Be more intentional about working with civil society and non-state actors in delivering TA to support the sustainability of initiatives (e.g. through participatory planning and long-term engagement in capacity building processes). Involving civil society actors, which in some cases have long-term relationships with municipal governments, will help ensure long-term buy-in for future investments and urban reform processes.
- **Piloting innovative approaches.** Country programs provide an opportunity to take risks in which clients can test or pilot approaches (e.g., tactical urbanism, participatory planning) that can then be integrated into country planning systems or Bank-financed projects.
- **Support for sustainable revenue generation.** A third area for country programs to expand upon is the support for capacity development for generating municipal finance from own source revenue or alternative financing mechanisms.

The following country-specific dimensions should be factored into efforts to address sustainability challenges.

Bolivia : While there is strong political will on the part of municipal authorities to implement policies, plans, and guidelines developed through the country program, the human and financial capacities required to carry out these reforms remain limited. SURGE-financed interventions should:

- Continue to **support the design of urban policies and financing mechanisms, such as the NIDCP and the UDF** and reinforce the ecosystem of organizations that provide technical and financial support to municipal governments, such as the Federation of Municipal Associations of Bolivia⁵⁹ and the concept of the Urban Development Fund. These institutions could play a more significant role when resources from the central government are limited.
- Promote **greater collaboration with civil society organisations** with long-term relationships with municipalities to ensure long-term buy-in for intended policy or urban planning reforms.
- Continue supporting a **hands-on, person-to-person approach to TA** that is appropriate for each municipality: the combination of training and on-site advisory and technical support on a regular basis is likely to lead to improved organizational practices.
- SURGE can play a role in **documenting good practices and lessons learned** from different approaches to TA in La Paz and Santa Cruz.

Peru: TA activities are beginning to address long-standing systemic issues that have hindered the regular use of cadasters at both the national and local levels. But implementing cadaster policy over the long-term requires political will. Sustainability will notably depend on the extent to which municipalities decide to prioritize and adopt cadasters as a policy tool.

SURGE-financed interventions could play a role in promoting a shift in mindset on the part of national and municipal government ministries through:

- Continued **capacity building and support to the Agency for the Formalization of Informal Property (COFOPRI)** in its efforts to mainstream the use of municipal cadasters. COFOPRI requires support to address human resource issues needed to sustain this work over the long term.
- Continued **capacity building activities for municipal staff** in the generation, maintenance, updating and use of cadastral information.
- Follow up on **legal reforms supported through TA activities**, including the implementation of the national Urban Development Law (LDUS), which require adopting regulations around land value capture and mainstreaming cadaster policy.
- The World Bank, and other partners, could play a role in **documenting good practices and lessons learned** from use of TA and evidence to support the change in mindset on cadaster policy in other countries.

Serbia: In Serbia, TA activities have facilitated the approval of integrated General Urban Plans by supporting the preparation of these plans as well as their formalization and adoption by local municipalities. TA activities have supported the capacity of planning teams to integrate topics such as climate resilience, and Disaster Risk Management into local development plans.

To sustain progress made to date, it will be important to:

- Continue **capacity building activities** around urban planning and disaster risk management and potentially expand their reach to include other Serbian cities beyond the current scope of the GLRC program.

⁵⁹ La Federación de Asociaciones Municipales de Bolivia (FAM-Bolivia)

- Ensure the **financial viability of current urban planning and disaster risk management strategies** supported through the GLRC program. Municipal governments should be supported in their efforts to improve municipal budgeting processes or to seek out external funding. In the case of Serbia, additional funding could be secured through programs like the LIID or from European Union funding instruments such as the Instrument for Pre-accession Assistance or the INTERREG program. The extent to which cities are able to mobilize alternative funding or own-source revenue sources could be added as a criterion in program design and in reporting obligations.
- Promote **collaboration and exchanges of best practices and lessons learned** between municipalities involved in the GLRC program and beyond.

6.4 Program Level Trust Fund Management

The World Bank has provided effective and efficient management of SURGE to date. SURGE is a young program, and its early focus was on setting up structures, partnership engagement, reporting mechanisms, and parameters for implementation. It is now a good time to extend outreach and communications and better demonstrate how SURGE is meeting its objectives. With regard to fund governance, as new donors start to provide financing to the SURGE Umbrella Program, their expectations will need to be considered in the Partnership Council.

Recommendation 6: As SURGE continues to evolve, SURGE program management should expand its role in learning exchange, communications, monitoring and reporting, and guidance for World Bank teams, while continuing to nurture ties with the Partnership Council.

In relation to Findings: 2, 4, 6, 8, 13, 14, 16, and 18

In relation to strengths: 4 and 9

In relation to areas for improvement: 3 and 5

- **Learning exchanges.** Continue learning exchange across SURGE-funded programs, both among World Bank staff involved in Country Programs and UA&TA and among client governments and external partners. This may require a specific budget line either at the portfolio or programme level or in the country programs.
- **Communications.** Enhance the overall communications of SURGE-funded activities and outputs to a wider audience; this requires paying attention to budget lines for communications in different components.
- **Results-oriented tools and processes:** There are number of adjustments that can help improve results-oriented monitoring and reporting. These include:
 - **Updating the SURGE ToC and Results Framework** to ensure coherence with the Results Framework, detailing underlying assumptions to clarify links between different levels of results (at the output and outcome-level). On progress reporting, more guidance should be provided to foster a clearer, common understanding of links between activities, outputs and prospects for longer-term change (outcomes).
 - **Revising reporting procedures** to fully capture the multidimensional effects of SURGE-financed interventions across all five pillars. Moreover, reporting and monitoring processes could be further

tweaked to capture the effects of SURGE-financed interventions on promoting inclusive outcomes or encouraging participatory planning processes. Results reports do not always provide the level of detail necessary to measure the effects of SURGE in encouraging participatory planning processes. With regard to both the country programs and the global UA&TA activities, for example, reporting obligations around Program Indicator 6⁶⁰ could be revised to tease out the qualitative and participatory dimensions of capacity development activities (i.e. workshops, dialogue sessions).

- **Encouraging gender and social inclusion.** World Bank teams should be encouraged to consider gender and social inclusion in their proposals and progress reporting, while maintaining a demand-driven approach.
- **Future evaluations.** Subsequent evaluations of the SURGE Umbrella may wish to look into the effects of SURGE-financed interventions from a comparative perspective by analyzing how the World Bank has engaged governments on the sustainable urban agenda in countries with no support from SURGE. This would allow for a more nuanced understanding of the relative uniqueness and added value of SURGE's model of supporting knowledge generation, knowledge transfer, and technical assistance.
- **Donor coordination through the Partnership Council and at country level.** SURGE should continue to nurture the Partnership Council both in its strategic guidance role (which is particularly important for some of the donors) and as a platform for strategic discussions among World Bank urban specialists and representatives of SURGE's donors on priorities in urban development. At country level, it is important for World Bank teams to facilitate information sharing with SURGE donors on a regular and more informal basis by inviting them to the key workshops and meetings, so that they can more directly witness the process and results.

⁶⁰ 'Program Indicator 6: Number of municipalities/cities with improved participatory planning processes influenced / informed by SURGE support, including with a focus on gender (of which in fragile and conflict-affected situations)'

Appendix I Terms of Reference

SURGE Umbrella: Terms of Reference for the Program's Mid-term Evaluation – March 2023

Background Description

The World Bank established the global Sustainable Urban and Regional Development (SURGE) Umbrella Program in 2020 as its central collaboration instrument for working with partners on building inclusive, resilient, and sustainable cities in developing countries. SURGE's overarching development objective is to enable cities and regions in developing countries to function as drivers of green, resilient and inclusive economic development. SURGE tracks progress towards achieving its development objective by monitoring progress on more than 40 results indicators (see SURGE Results Framework in annex 1. Early results show that SURGE strengthens capacity and creates knowledge that helps city leaders and stakeholders in their urban policy and investment decision-making. Activities financed by SURGE support governments of developing countries at different levels to help them strengthen and prioritize their investment portfolios.

Currently there are three donors, however, for the purpose of this evaluation only Switzerland's State Secretariat for Economic Affairs (SECO), funded programs which account for approximately \$20M will be considered. The umbrella has five thematic pillars that are aligned with the GPURL Urban Strategy and the Global Solutions Groups that have proven effective vehicles to channel operational and technical support to World Bank teams and clients: 1. City Management, Governance, and Financing; 2. Territorial and Spatial Development; 3. Sustainable and Climate-Smart Cities; 4. Urban Poverty and Housing; 5. Urban and Regional Resilience (see annex 2 for a description of the SURGE pillars). SURGE currently funds activities across urban themes under each of the 5 Pillars above, except Pillar 4.

SURGE Global and Country Programs

SURGE comprises six Trust Funds: the global anchor Trust Fund contributing to sustainable urban and regional development globally (USD \$6 million budget for FY20-24 for the Urban Analytics & Technical Assistance (UA&TA) program), and five associated country trust funds (ranging from ~USD \$4million to ~USD \$10 million, and FY21-24 to FY23-27) in Bolivia, Peru, Indonesia, Serbia and South Africa. The country program in South Africa was evaluated separately in 2021-22, and the Indonesia country program was established in December 2022; both programs are not part of the current mid-term SURGE evaluation. SECO also provided an additional contribution (~USD \$5 million for FY22-26) to the Anchor MDTF in FY22 for the expansion of the City Planning Lab (CPL) developed in Indonesia, aiming to enhance the capacities of municipalities worldwide to use geospatial data for evidence-led urban spatial planning and management. CPL implementation will start in FY23 and is not part of the current mid-term SURGE evaluation. The evaluation will cover SURGE's global UA&TA program as well as the country programs in Bolivia, Peru and Serbia.

Through its **global UA&TA program**, SURGE helps cities become more competitive and sustainable in Angola, Costa Rica, Madagascar, Nepal, Nigeria, Philippines, Romania, Uzbekistan and Viet Nam. The work being done through the global program has been divided into two phases. Phase 1 seeks to come up with urbanization or similar analytical work to identify cities' key challenges and priority investments for effective urbanization, focusing on problem solving and evidence-based policy making that can be operationalized through subsequent investments and reforms. The second phase builds on the Urbanization Reviews (or other analytical work) and finances the delivery of a comprehensive technical assistance package to support cities in identifying priority investments, including through targeted analytical work, technical studies and capacity building for stronger city outcomes and management.

Most FY22 activities focused on Phase 1, delivering diagnostics to identify key challenges cities face and supporting their efforts to identify priority investments for sustainable urbanization. In FY23 most city engagements will move into building cities' knowledge and capacity to identify investment projects that aim to deliver dynamic, inclusive, and sustainable cities. Late in 2022, SURGE initiated activities in six additional countries through reallocation of available resources. Since these activities have only just started, they are not part of the evaluation.

SURGE has also funded three technical deep dive studies through its global UA&TA program, aiming to help develop solutions to urbanization challenges worldwide: last years' Pancakes to Pyramids: City Form to Promote Sustainable Growth (downloaded 3203 times), and FY22's MNA flagship Vibrant Cities report (discussing the constraints that are limiting cities contribution to economic growth and improved labor market outcomes) and the Mobilizing Finance for Development activity. This latter activity resulted in a guidance paper (finalized in June 2022) that offers a summary of methodologies for assessing the wider socioeconomic impacts of urban infrastructure projects ex-ante across 13 different sectors.

The overall budget for the global UA&TA program is US\$6 million. Through the end of FY22, US\$4.6 million was allocated and US\$3.6 million approved across the program's components, of which US\$2.6 million, or 56%, was disbursed and committed.

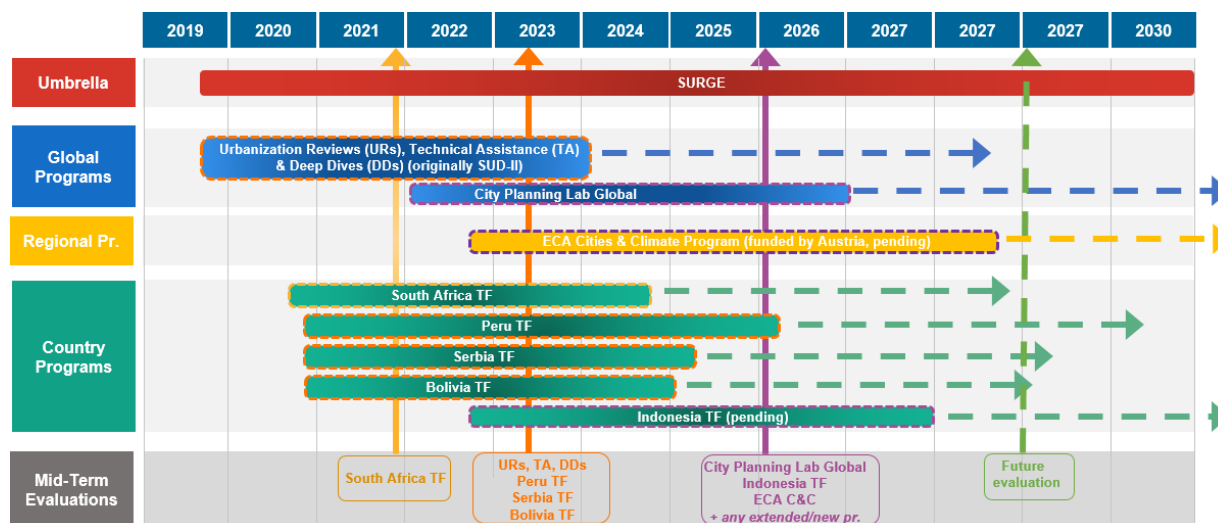


Figure 1: MTR schedule showing which SURGE programs are to be evaluated in the current round (in orange), including the global UA&TA program (consisting of Urbanization Reviews (URs) and other urban analytics, Technical Assistance (TA) and Deep Dive (DD) studies) and three country programs.

The **three country programs under the SURGE umbrella** included in the current evaluation are related to Bolivia, Peru and Serbia:

- The Bolivia Urban Resilience Program is contributing to strengthening the municipal institutional and financial capacity and the national policy environment for resilient urban development. This program was built on the initial results and engagement financed by the World Bank's City Resilience Program, which supported rapid capital assessments for La Paz and Santa Cruz and a comprehensive institutional diagnostic on emergency and disaster management capacity in Santa Cruz. The overall budget for this trust fund is US\$4.38 million. Through the end of FY22, US\$2.97 million was allocated and approved across the program's three components, of which US\$2.01 million, or 68%, was disbursed and committed.
- To help municipalities in Peru strengthen their finances, since 2021, the program's objective is to strengthen national and municipal government's capacity to improve their territorial management

and financial and institutional urban governance by leveraging urban cadasters and related urban management instruments in Peru. The overall budget for this trust fund is US\$5.43 million. Through the end of FY22, US\$3.34 million was allocated and approved across the program's three components, of which US\$1.05 million, 31%, was disbursed and committed.

- In 2021, the World Bank initiated the Green, Livable, Resilient Cities in Serbia Program (GLRC) under SURGE to help cities plan for more green, inclusive, and resilient development. Over four years, selected cities in Serbia will receive support for planning and implementing sustainable, low-carbon, and resilient urban development programs. The GLRC team will also support the national government with the implementation of its first-ever Sustainable Urban Development Strategy (SUDS) and associated action plan to strengthen sustainable and resilient urban development in Serbia. The overall budget for this trust fund is US\$3.85 million. Through the end of FY22, US\$3.31 million was allocated and approved across the program's three components, of which US\$1.55 million, 47%, was disbursed and committed.

After completing three years since its creation, the SURGE team is looking for a consultancy to carry out an external mid-term evaluation of the SURGE program parts indicated in figure 1 which include the global UA&TA program (9 countries activities and 3 global deep dive studies) and three of the country programs (Peru, Serbia and Bolivia TFs).

Objectives, Key Questions, and Scope

The objectives of this rigorous, program-level mid-term review are:

- (1) To review progress and initial results and impacts of the global UA&TA program (9 countries and 3 deep dives) against the SURGE Umbrella development objectives and relevant pillar objectives.
- (2) To review progress and initial results and impacts of the country programs (Peru, Serbia and Bolivia TF) against the SURGE Umbrella development objectives, country TF objectives, and relevant pillar objectives.
- (3) Collect and consolidate lessons learned that can benefit the SURGE program moving forward (overall and specifically related to the global and country programs), also related to *additionality* aspects from SURGE funded activities that influence or inform World Bank operational projects and/or contribute to analytical work, as well as in developing partnerships within and outside the World Bank.

The main audiences of the evaluation report are SURGE's donors and development partners on the one hand and the World Bank SURGE Umbrella team and World Bank management at the other hand. The evaluation report is not meant to be a publicly available document, but a summary can be shared more widely to for example client country counterparts, if relevant. This review is proposed to use the OECD's DAC Quality Standards for Development Evaluation standard

evaluation criteria¹ to answer a set of key questions as follows:

1. Effectiveness: Are the SURGE Umbrella programs contributing to achieving the SURGE development objective and the pillars objectives?
2. Relevance: Are the activities and outputs of the program consistent with, and do they remain relevant to the overall goal and the attainment of its objectives? Is the reporting on the Results Framework accurate in explaining the causal link between outputs/intermediate outcomes and pillar/program outcomes/objectives?

¹ The OECD DAC Network Evaluation has defined 6 evaluation criteria (relevance, coherence, effectiveness, efficiency, impact, and sustainability). These criteria provide a normative framework used to determine the merit or worth of a program. <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

3. Efficiency: Are the different programs under the SURGE umbrella managed efficiently? Are there efficiency gains compared to having separate TF programs (i.e. not under one umbrella)?
4. Impact: To what extent is the SURGE Umbrella generating significant positive high-level impacts and/or facilitating potential positive longer-term outcomes in the future?
5. Sustainability: To what extent will the benefits last? More specifically, to what extent will the SURGE-funded activities support capacity building, institutional strengthening and implementation of concrete investment projects?

The proposed scope of the mid-term evaluation is as follows:

Task 1: Evaluation of the Global US&TA Program - This component of the review will: i) examine the activities implemented and outputs produced to date under the global program (9 countries and 3 deep dives); ii) assess if the program is on-track to meet SURGE development objective goals and pillar objectives; iii) assess whether the activities and outputs of the global program aligned with SECO's Value Chain Approach², and iv) provide lessons learned related to the global program. This task will include analysis of a series of case studies (to be identified by the World Bank SURGE team and the Donor) to assess more comprehensively the program's achievements around its core objectives that captures the *qualitative* impacts and influence of the program, both within and outside the Bank.

Task 2: Evaluation of the Country Programs - This component of the review will: i) examine the activities implemented and outputs produced to date under the country programs (Peru, Serbia³ and Bolivia TF), ii) assess if the program is on-track to meet SURGE development objective goals, country TF objectives, and pillar objectives; and iii) provide lessons learned related to the country programs. The final mid-term review report on the South Africa Mid-Term Review of Phase 2 of the Cities Support Program (CSP) will be shared as part of evaluation documentation for information only.

Task 3: Evaluation of the program's outcomes through the pillar indicators in the results framework. This will include undertaking an assessment to measure progress of indicators toward the program's targets outcomes, both quantitative and qualitative, and at the aggregate level based on the Results Framework (RF) monitoring system. Specific emphasis is to be placed on the SURGE Program indicators related to i) the number of cities/regions that have benefited from SURGE support, and ii) the number and volume of the World Bank's investment projects influenced through SURGE support. Results of the South Africa country program at SURGE program level (i.e. SURGE Program level indicators) are to be included as well.

The following sections provide general guidance. Detailed methodology, general approach and work plan proposed to achieve the objectives delineated above should be included by shortlisted consultancies in

² SECO's Value Chain Approach in Urban Development (plan-finance-operate): cities need to plan wisely, be able to finance their plans, be able to carry through i.e. implement and operate their investments.

This means that in an environment of huge needs, significant investment gaps and insufficient resources, cities need to (i) plan their development by prioritizing objectives and investments with attention to data/evidence driven, multisectoral and participative aspects, (ii) be able to finance the prioritized objectives by achieving cost- efficiencies to minimize costs, in parallel increase revenue, and attract external financing; (iii) be able to operate the new assets/systems by enhancing local capacities.

SECO's Value Chain Approach refers to a linear continuum where cities start with analytics followed by investment prioritization (PLAN), identify and access instruments and funding for infrastructure financing (FINANCE), and capacity building* for project implementation (e.g. construction of city infrastructure) and operation of infrastructure (OPERATE). * *Capacity building is transversal and also relevant for example in the area of planning.* SECO's support via SURGE spans over analytics-investment prioritization-capacity building, whereas implementation is expected to be achieved with IBRD/IDA/IFI/other development banks' support informed by the SECO-funded work.

³ The Serbia program started later than the other two so this review will focus on progress and a forward look and less on (early) results.

the technical proposal as part of the Request for Proposal (RfP) process and thereafter the Inception Report.

Methodology

The consultancy must propose a methodology to inform different components of the evaluation. The consultancy will prepare all the different aspects of the assignment, such as meeting with the World Bank counterparts, conducting a preliminary review of key documentation and consultations with key stakeholders, develop an evaluation framework and refine the methodology (including the evaluation questions, components, and dimensions), and develop data collection instruments for the review. The methodology should include at least:

- i. Document desk review: The Consultant is expected to review available materials (two Annual Reports (see [SURGE website](#)), Concept Papers, SECO's renewed priorities paper, Country Program related documents, as well as Global activities proposals, progress reports and deliverables, etc.) to understand the ongoing and planned activities, SECO's priorities, earlier commitments as per original Concept Notes, and outputs.
- ii. Virtual and in-person interviews: The consultant will conduct consultations with specific stakeholders including the global SURGE team, World Bank Task Teams, National/ Subnational Government Representatives, SECO managers and (where relevant) SECO country staff, etc. World Bank staff should be present in every (virtual) meeting with external stakeholders.
- iii. Field Visits: The consultant should plan for at least 3 field visits (field visits to the three Country programs, potentially a field visit related to a Global Program activity). These field visits are to be closely coordinated with the World Bank country teams, and will take place after document desk review of relevant documents and virtual interviews with the World Bank country teams and potentially key stakeholders. World Bank staff should be present in every meeting with external stakeholders.

Deliverables and Timeframe

The scope of services outlined above will be performed over a period of **5 months**. The list of deliverables which the consultancy is expected to produce during this period is outlined in the table below.

Deliverable	Notional description	Deadline
Inception Report	Based on the initial analysis and document review, the Inception Report will finalize the review questions and describe the methodology and a work plan; this deliverable should detail the implementation process for the three tasks and provide an outline of the table of contents of the final report (in which each country program should be described in a separate chapter).	<u>One month</u> after contract is in place
Draft Report	Based on the stakeholder consultations, document review, case studies and field visits conducted, the draft report will be a synthesis of findings of the review and will clearly outline any recommendations for improvement of program design.	<u>Four months</u> after contract is in place.
Final Report	The final report will incorporate feedback received and will include specific recommendations.	<u>Five months</u> after contract is in place.

Regular updates: the Bank and the consultancy will regularly meet or hold audio conferences (depending on location of the selected consultancy) to discuss progress.

Required Consultancy Experience

The evaluation team should comprise two experienced and qualified key experts from the selected consultancy or consortia and any supplementary staff as the firm decides. The 2 key staff will be assessed for evaluation purpose, will preferably be staff of the firm, and should exhibit the following range of skills and experience:

- At least 10 years of evaluation experience, including design of evaluation methodologies incorporating both qualitative and quantitative data collection and research methods and formulating actionable evidence-based recommendations, particularly in the field of international development and specifically urban development.
- In-depth knowledge, through at least 10 years of experience, of issues related to urban development in developing countries, including city management, governance, and financing⁴; territorial and spatial development; sustainable and climate-smart cities; urban and regional resilience.
- Master's degree or higher in monitoring and evaluation or an urban development-related field.
- Demonstrated track record and experience evaluating World Bank or other multi-donor Trust Fund programs (financing TA/ASA type of activities) and projects.
- Seniority and high-level experience in engaging senior policymakers as well as a wide range of other important stakeholders.
- Demonstrated experience of working across multiple developing countries and different regions.
- Outstanding interpersonal and written and verbal communication skills in English and Spanish and ability to interact diplomatically with high-level officials/representatives in government and civil society sector.

The consultancy will be engaged on a Lump Sum Contract, with an estimated budget of US\$150.000 (inclusive of remuneration and reimbursement). The consultancy will receive payments on submission of acceptable deliverables as mentioned in the schedule in the Table below.

	Document Submitted	% proportion lump sum
1	Advance payment upon Signing of Contract	10%
2	Inception Report	10%
3	Draft report	45%
4	Final report	35%
		100%

Assignment Management

The consultancy is expected to work relatively independently under the guidance of the World Bank team, which will stay in close consultations with partners in case study and field visit countries. The World Bank will provide all relevant background information to the consultancy and will coordinate internal and external (donors and other sector experts) consultations and review of outputs. The consultancy's contract and invoicing arrangement will be directly with the World Bank. The consultancy work under the overall guidance of the SURGE Program Manager Matthijs Schuring (based in Washington DC).

⁴ Including fiscal decentralization, subnational development and governance.

Appendix II SURGE Results Framework

The SURGE Umbrella Results Framework below has been agreed to by SECO, as founding SURGE donor, and the World Bank in June 2022. Based on additional donor contributions to the Umbrella Program (through Anchor or Associated MDTFs), additional indicators can be added when relevant and agreed by donors and the World Bank.

SURGE tracks progress towards achieving its development objective through results indicators presented in this results framework. The framework features program level indicators and pillar level indicators:

- The **program indicators** measure aggregate results for the entire umbrella program. This means that all activities funded through SURGE will report upon these indicators, hence including activities funded through the associated and anchor trust funds. The program indicators also monitor progress on SURGE's crosscutting themes of gender and FCV.
- The **pillar indicators** measure activities' contributions towards achieving the objectives and outcomes. Only the country program or the anchor trust fund to which a specific indicator refers will report on the relevant indicator. They are logically folded under the SURGE pillars for which the activity helps achieve the pillar's development objective.

(Note that indicators are only defined for pillars and outcomes with currently committed funding streams.)

SURGE OBJECTIVE: Enable cities and regions in developing countries to function as drivers of sustainable and inclusive economic development

Program Indicators *(all global and country programs report on these)*

1. Number of **cities/regions** that have benefitted from SURGE support for implementing or formulating sustainable and inclusive urban/regional economic development strategies, policies, projects, plans, procedures, or regulations (of which in fragile and conflict-affected situations)
2. Number of **participants** of events on (aspects of) sustainable and inclusive regional/urban economic development (of which women)
3. Number of **strategies, policies, plans, procedures, or regulations** of which the formulation / implementation was influenced / informed by SURGE support to cities/regions
4. Additional **financing** mobilized for sustainable and inclusive regional/urban development (in USD, of which public and of which private financing)
5. Number and volume of **World Bank investment projects** influenced through SURGE support to cities/regions
6. Number of municipalities/cities with improved **participatory** planning processes influenced / informed by SURGE support, including with a focus on **gender** (of which in fragile and conflict-affected situations)

Pillar 1: City Management, Governance & Financing					
Objective: Strengthen the financial & institutional dimensions of urban development & management					
Outcome Indicator 1: Cities/regions with strengthened financial/institutional dimensions of urban development and management (# of cities/regions)					
Total [target: 4]		Bolivia [target: 2]		Peru [target: 2]	
Intermediate Outcome Indicators			Output Indicators		
Intermediate Outcome B: Municipal Own Source Revenues (OSR) and Property Tax Systems are improved					
B.1 Systems, policies, instruments, or strategies that contribute to increased municipal Own Source Revenues (OSR) are introduced / improved / adopted (# of systems, policies, instruments, or strategies)			B.1.1 Knowledge and planning products delivered that help improve municipal revenue (# of products)		
			Total [target: 7]	Bolivia [target: 4]	Peru [target: 3]
Total [target: 6]	Bolivia [target: 3]	Peru [target: 3]	B.1.2 Training and knowledge sharing events that contribute to improving municipal revenue (# of events)		
			Total [target: 7]	Bolivia [target: 3]	Peru [target: 4]
Intermediate Outcome C: Cities have strengthened institutions and improved management capacities					
C.1 Cities have strengthened institutions and improved management capacities (# of cities)			C.1.1 Knowledge and planning products delivered that help cities strengthen their institutions and management capacities (# of products)		
			Total [target: 1]		Peru [target: 1]
Total [target: 2]			Peru [target: 2]		
			C.1.2 Training and knowledge sharing events that contribute to strengthening city management and institutions (# of events)		
			Total [target: 3]		Peru [target: 3]

Pillar 2: Territorial & Spatial Development				
Objective: Spur equitable regional and local development				
Outcome Indicator 2: Cities/regions that spurred equitable regional and local development (# of cities/regions)				
Total [target: 18]	Anchor [target: 16]	Peru [target: 2]		
Intermediate Outcome Indicators		Output Indicators		
Intermediate Outcome E: Governments have improved spatial development planning systems and capacities				
E.1 Government entities with improved spatial development planning systems and capacities (# of entities)	Total [target: 12]	Peru [target: 12]	E.1.1 Knowledge and planning products delivered that contribute to better spatial development planning systems and capacities (# of products)	
			Total [target: 8]	Peru [target: 8]
			E.1.2 Training and knowledge sharing events that contribute to improved spatial development planning systems and capacities (# of events)	
			Total [target: 5]	Peru [target: 5]
Intermediate Outcome F: Urban planners and policymakers use improved city-level data and analytics to inform urban policy and investment planning				
F.1 Laws, policies, procedures, or plans (incl. investment plans, spatial plans, sector plans, action plans, etc.) related to urban/regional development are initiated and/or improved based upon (spatial) data and analytics (# of laws, policies, procedures, or plans)	Total [target: 16]	Anchor [target: 16]	F.1.1 Knowledge and planning products and tools containing urban data and key emerging urbanization topics, diagnostics and/or analytics are produced and shared with government officials (# of products)	
			Total [target: 34]	Anchor [target: 34]
			F.1.2 Training and knowledge sharing events that help stakeholder collaborate and/or improve the use of urban data and analytics for urban policy making and investment planning (# of events)	
			Total [target: 32]	Anchor [target: 32]
			F.1.3 Downloads of SURGE supported official outputs related to improved city-level data and analytics (# of downloads)	
			Total [target: 6000]	Anchor [target: 6000]
F.2 Improved/New data systems, platforms, portals, or tools used by cities/metros (# of systems, platforms, portals, or tools)	Total [target: 4]	Anchor [target: 4]	F.2.1 Planning and data products/tools developed, piloted, and/or improved that help carry out evidence-driven urban planning and management (# of products/tools)	
			Total [target: 4]	Anchor [target: 4]

Pillar 3: Sustainable and Climate Smart Cities				
Objective: Set urban development on a sustainable, low-carbon development path				
Outcome Indicator 3: Cities/regions with increased focus on low-carbon and sustainable development (# of cities/regions)				
Total [target: 7]	Bolivia [target: 2]		Serbia [target: 5]	
Intermediate Outcome Indicators			Output Indicators	
Intermediate Outcome G: Cities/region work towards sustainable, climate smart & low carbon development				
G.1 Government institutions have strengthened their capabilities related to sustainable, climate smart & low carbon development (# of institutions)			G.1.1 Knowledge and planning products delivered related to sustainable, climate smart & low carbon development (# of products)	
			Total [target: 7]	Bolivia [target: 2] Serbia [target: 5]
Total [target: 7]	Bolivia [target: 2]	Serbia [target: 5]	G.1.2 Training and knowledge sharing events that contribute to sustainable, climate smart & low carbon development (# of events)	
			Total [target: 7]	Bolivia [target: 2] Serbia [target: 5]
Intermediate Outcome I: Government entities take actions towards handling solid waste in a more sustainable way				
I.1 Governance entities improved their knowledge/capacity on sustainable solid waste management practices (# of entities)			I.1.1 Knowledge and planning products delivered that promote/inform the sustainable management of solid waste (# of products)	
			Total [target: 1]	Serbia [target: 1]
Total [target: 3]	Serbia [target: 3]	I.1.2 Training and knowledge sharing events that contribute to sustainable management of solid waste (# of events)		
		Total [target: 2]	Serbia [target: 2]	

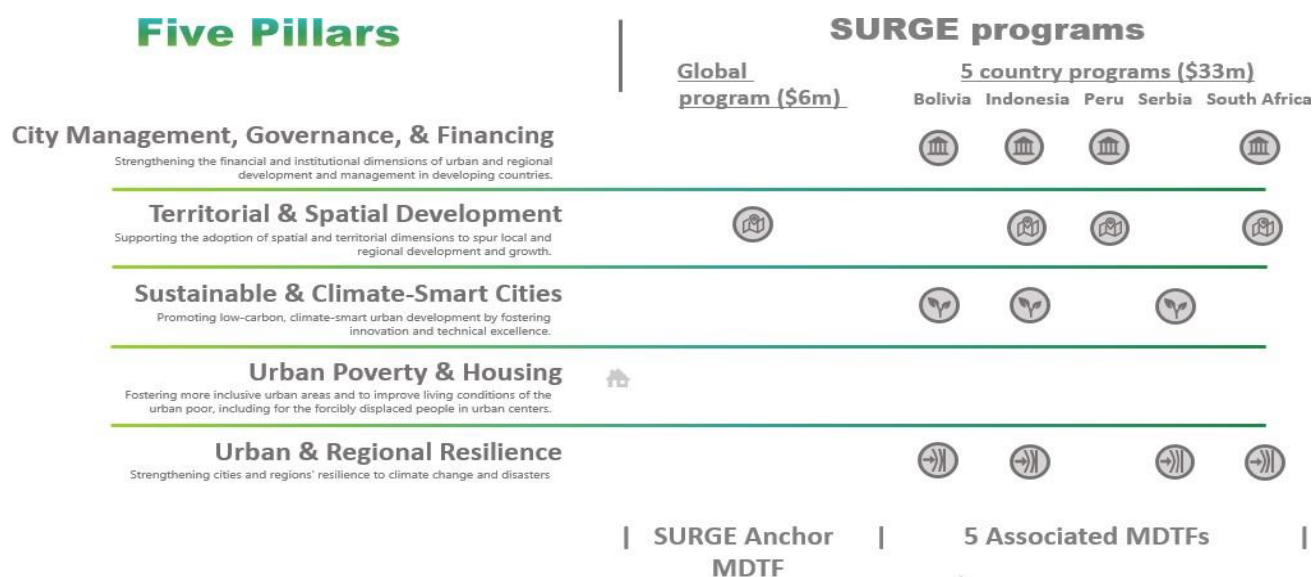
Pillar 5: Urban & Regional Resilience			
Objective: Strengthen cities and regions' resilience to climate change and disasters			
Outcome Indicator 5: Cities/regions with strengthened resilience to climate change and disasters (# cities/regions)			
Total [target: 7]	Bolivia [target: 2]		Serbia [target: 5]
Intermediate Outcome Indicators		Output Indicators	
Intermediate Outcome O: Improved / New regulations, policies or planning instruments that contribute to cities' resilience to climate change and disasters			
O.1 New / Improved regulations, policies or planning instruments that contribute to cities' resilience to climate change and disasters (# of regulations, policies or planning instruments)		O.1.1 Knowledge and planning products delivered that strengthen cities' focus on climate resilience in regulations, policies or planning instruments (# of products, of which include a focus on gender)	
		Total [target: 24]	Bolivia [target: 19]
Total [target: 9]	Bolivia [target: 4]	Serbia [target: 5]	O.1.2 Training and knowledge sharing events that help participants improve/introduce regulations, policies or planning instruments that contribute to cities' resilience (# of events)
			Total [target: 10]
Intermediate Outcome P: Cities/regions enhanced their capability to plan/finance/manage resilient infrastructure			
P.1 Government entities with enhanced capability to plan / finance / manage resilient urban infrastructure (# of government entities)		P.1.1 Knowledge and planning products that help strengthen cities' capabilities to plan / finance / manage resilient infrastructure (# of products)	
		Total [target: 6]	Bolivia [target: 3]
Total [target: 6]	Bolivia [target: 3]	Serbia [target: 3]	P.1.2 Training and knowledge sharing events that strengthen cities' capacity to plan / finance / manage resilient infrastructure (# of events)
			Total [target: 4]

Appendix III SURGE Pillars

The SURGE Umbrella program is structured around the following five pillars:

- **Pillar 1: City Management, Governance and Financing** - strengthen the financial and institutional dimensions of urban and regional development and management in developing countries. Engagement areas include: Own Source Revenue Mobilization, Fiscal Transfers, the City Creditworthiness Initiatives, Institutional Arrangements and Organizational Capacities for Urban Management, Land-based Financing, Results-based Financing and Smart Cities.
- **Pillar 2: Territorial and Spatial Development** - support the adoption of the spatial and territorial dimension to spur local and regional development and growth. Engagement areas include: Urbanization Reviews, Competitive Cities, Cultural Heritage and Tourism, Place-based Planning and Spatial Analysis, Urban and Spatial Economics, COVID-19 Recovery and Resilience.
- **Pillar 3: Sustainable and Climate Smart Cities** - promote innovation and technical excellence in the urban and regional development agenda and promote low-carbon, climate-smart urban and regional development. Engagement areas include: Solid Waste Management, Transit-Oriented Development, Urbanscapes, Global Platform for Sustainable Cities, Climate-smart Cities.
- **Pillar 4: Urban Poverty and Housing** - foster more inclusive urban areas and to address issues related to urban poverty, slum upgrading, low-cost housing, resilient housing and solutions for addressing increasingly urgent issues of migration and forced displacement in urban centers. Engagement areas include: Affordable Housing, Migration and Forced Development, Urban Poverty and Slum Upgrading, Global Program for Resilient Housing.
- **Pillar 5: Urban and Regional Resilience** - increase urban and regional resilience in developing countries by strengthening disaster risk management in cities, enabling resilient recoveries after disasters, increasing understanding of climate risks and supporting resilient investments. Engagement areas include: Building Regulations in Cities, Nature-Based Solutions, Resilient Urban Infrastructure Systems, Urban Floods, Technology and Geospatial Data for Resilience.

The figure below shows which SURGE programs are contributing to the SURGE pillars (note that for this mid-term review the Indonesia and South Africa country programs are not included).



Appendix IV Evaluation Matrix

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
Evaluation Criteria: Relevance				
Internal coherence of program design	Are the activities and outputs of the SURGE Umbrella program consistent with, and do they remain relevant to, the overall goal and the attainment of its objectives?	<p>To what extent are the activities of</p> <ul style="list-style-type: none"> (i) the global UA&TA program; (ii) Bolivia Urban Resilience Program; (iii) Strengthening Urban Cadasters for Urban Governance in Peru; (iv) the GLRC program in Serbia; <p>aligned to the overall objective of SURGE?</p>	Degree of alignment between SURGE-funded activities and outputs, and SURGE's pillar objectives and overall objectives	Document review Field missions Interviews
		To what extent is there coherence to the design of the SURGE Umbrella Program?	Existence of rationale connecting activities to intermediate outcomes and showing internal consistency among activities and intermediate outcomes Evidence that the design of the SURGE Umbrella Program leveraged synergies and interlinkages across its pillars	Document review Field missions Interviews
		To what extent do the SURGE Umbrella Program Theory of Change and Results Framework articulate the necessary links between levels	Evidence of results indicators reflecting change pathways in the Theory of Change Evidence of SURGE Results Framework indicators	Document review Field missions Interviews

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
Responding to Changing Context Client Demand	<p>To what extent is SURGE relevant within the context of the evolving landscape on city management and financing, territorial and spatial development, sustainable cities, and urban and regional resilience?</p>	<p>of intended results, and their related assumptions?</p> <p>To what extent is the SURGE Umbrella Program aligned with global urban development trends and issues (e.g., related SDGs)?</p>	<p>appropriately capturing SURGE's contribution to change</p> <p>Extent to which objectives and interventions of the SURGE Umbrella Program have evolved to address changes in the regional and urban development landscape, at global-, national-, and local-levels.</p> <p>Degree of alignment between SURGE Umbrella Program objectives and pillars, and global urban development trends / SDGs</p>	<p>Document review</p> <p>Field missions</p> <p>Interviews</p>
	<p>To what extent does the SURGE Umbrella Program's activities align with client demands for capacity strengthening and knowledge to support city leaders and stakeholders in urban policy and investment decision-making?</p>		<p>Evidence of grant proposal alignment with client needs, priorities, contexts, frameworks, at national-level and local-level</p> <p>Client satisfaction with alignment of the activities and outputs of the global UA&TA program and Bolivia, Peru and Serbia country programs, with national-level and local-level needs</p>	<p>Document review</p> <p>Field Missions</p> <p>Interviews</p>
Relevance as a collaboration instrument	<p>To what extent is the role played by the SURGE Umbrella Program as a collaboration instrument relevant to the priorities of its partners?</p>	<p>To what extent is the SURGE Umbrella Program (activities and structure) relevant to the strategies/priorities of its donor partners?</p>	<p>Degree of alignment of the objectives, activities and outputs of the global UA&TA program and Bolivia, Peru</p>	<p>Donor interviews</p>

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
			and Serbia country programs with SURGE donor priorities	
		To what extent has SURGE provided the expected flexibility and means for more strategic fundraising for the Bank’s urban development agenda?	Evidence that SURGE has enabled more strategic fundraising for the Bank’s urban development agenda Degree of alignment of the objectives of the SURGE Umbrella Program and the five Global Solutions Groups (GSGs) for sustainable urban and regional development ⁶¹ Evidence of the relevance of SURGE’s role as a vehicle for collaboration within, and outside, GPURL	Document review Field missions Interviews
Evaluation Criteria: Effectiveness				
Progress towards objectives	Are the SURGE Umbrella Programs contributing to achieve SURGE’s development objectives and pillars objectives?	How have the different SURGE components contributed to progress towards <u>SURGE’s development objective and objectives of each of its pillars</u> ? In other words, to what extent have activities of: (i) the global UA&TA program; (ii) Bolivia Urban Resilience Program;	Degree of achievement of outputs, and intermediate outcomes (actual versus target) Evidence of progress made towards SURGE pillar objectives and overall SURGE development objectives Evidence of activities and country programs making	Dataset review (in particular in relation to Program indicator 1 of the SURGE Results Framework) Document review Field missions Interviews

⁶¹ The GSGs are the strategic knowledge structure for GPURL technical and analytical activities. The five GSGs are: City Management, Governance and Financing; Territorial and Spatial Development; Sustainable Urban Infrastructure and Services; Sustainable Urban Infrastructure and Services; Urban Poverty and Housing. (See World Bank, Concept Note – SURGE, August 2020, p. 6-7).

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
		<p>(iii) Strengthening Urban Cadasters for Urban Governance in Peru; (iv) the GLRC program in Serbia;</p> <p>supported progress towards Umbrella Program-results and relevant pillar results?</p> <p>To what extent are SURGE activities and country programs making contributions to SURGE cross-cutting themes (fragility, conflict and violence and gender equality)?</p>	<p>contributions to SURGE cross-cutting themes</p>	
		<p>What were the major factors influencing the achievement or non-achievement of the objectives?</p>	<p>Factors contributing to the achievement of results</p> <p>Factors limiting the achievement of results</p>	<p>Document review Field missions Interviews</p>

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
Evidence-base for results	To what extent is SURGE developing an evidence base that can demonstrate its contributions to higher level program/pillar results?	To what extent is the reporting on the Results Framework accurate in explaining the causal link between outputs/intermediate outcomes and pillar/program outcomes/objectives?	<p>Appropriateness, use and value of monitoring and reporting mechanisms</p> <p>Evidence that dissemination and use of SURGE knowledge products is being monitored</p> <p>Degree of alignment of progress reporting for the global UA&TA program; Bolivia Urban Resilience Program; Strengthening Urban Cadasters for Urban Governance in Peru; and the GLRC program to the SURGE Results Framework</p>	<p>Dataset review</p> <p>Document review</p> <p>Field missions</p> <p>Interviews</p>
Evaluation Criteria: Impact				
Contribution to outcomes and impact	To what extent is the SURGE Umbrella generating positive effects with potential for the achievement of outcomes in the future? ⁶²	<p>At this stage of implementation, what have been the most impactful results achieved under SURGE? How have SURGE initiatives contributed to these changes?</p> <p>What is the evidence of potential contribution to high-level results? Are SURGE initiatives well</p>	Evidence for plausible, <u>initial</u> contributions of activities and outputs to progress towards achievement of SURGE pillar objectives and the overall SURGE development objective	<p>Document review</p> <p>Field missions</p> <p>Interviews</p> <p>Document review</p> <p>Field missions</p> <p>Interviews</p>

⁶² This question was originally included in the TOR, but the evaluation team has adjusted its formulation. In line with the formative nature of the evaluation, identifying plausible, initial contributions made by the SURGE Umbrella Program to any changes at the outcome level, at the mid-term of the program. Furthermore, the evaluation will also seek to explore the likelihood of contributions to intended outcome-level changes, and will assess the extent to which the SURGE Umbrella Program is headed in the right direction in achieving its intended development outcome and pillar outcome.

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
		positioned to contribute to higher-level change?	Perceptions of most impactful results, by stakeholder group Evidence and perceptions of unexpected positive or negative impacts	
Additionality	To what extent have SURGE-funded activities influenced or mobilized additional financing for clients?	To what extent did SURGE Umbrella Program initiatives mobilize additional financing for sustainable urban and regional development?	Evidence of other developing partners providing financing for initiatives that relate to SURGE-funded activities in targeted countries	Review of SURGE Results Framework monitoring data (SURGE Umbrella Program indicator 4) Document review Field mission Interviews
		To what extent did the SURGE Umbrella Program-funded activities influence the strategies of the client, the Bank, or other partners?	Evidence of World Bank operations, policies, or strategies adopting or incorporating SURGE Umbrella Program approaches/priorities or knowledge Evidence of non-World Bank operations, policies, or strategies adopting or incorporating SURGE Umbrella Program approaches/priorities or knowledge	Review of SURGE Results Framework monitoring data (SURGE Umbrella Program indicators 3 and 5, and indicators at the pillar level) Document review Field mission Interviews
Evaluation Criteria: Sustainability				
Sustaining Benefits	To what extent are SURGE Umbrella Program activities expected to sustain benefits	How are SURGE-funded activities delivered with the view of sustaining benefits achieved to date?	Evidence that SURGE-funded activities are supporting enhanced capabilities,	Document review Field mission Interviews

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
	beyond the individual activities?		<p>opportunity and motivation, among clients' institutions</p> <p>Evidence that SURGE-funded activities are informing the implementation of investment projects underway</p> <p>Evidence of broader additionality (e.g., improving client dialogue; informing investment projects that are in preparation/not yet underway; informing policy reform, strategies, laws, regulations, and investment plans)</p>	
		What have been the major factors that affected the sustainability of results achieved under the SURGE Umbrella Program?	Evidence of factors that support or hinder sustainable achievements	Document review Field mission Interviews
Evaluation Criteria: Efficiency				
Management	Are the different programs (global UA&TA program, country programs for Bolivia, Peru and Serbia) under the SURGE umbrella managed efficiently?	How efficiently does the SURGE Umbrella allocate financial resources to achieve the Program's intended outcomes and impacts?	Appropriateness of distribution of program costs and allocation of resources	Dataset review Document review Field missions Interviews
		Were SURGE Umbrella activities approved and then implemented in a timely manner?	Extent to which funds have been allocated in a timely manner	Dataset review Document review Field missions Interviews

AREAS OF INQUIRY	QUESTIONS	SUB-QUESTIONS	INDICATORS	METHODS AND DATA SOURCES
			Extent to which planned activities and outputs were delivered within the intended time frame	
		To what extent have SURGE programs efficiently translated inputs into outputs?	Comparison of SURGE program management and administration (PMA) costs with program delivery costs	Dataset review Document review Field missions Interviews
Efficiency gains under the umbrella trust fund program	To what extent have there been efficiency gains in relation to the management of the SURGE Umbrella Program, since its restructuring as an umbrella trust fund? ⁶³	What have been examples of significant efficiency gains in the management of the SURGE umbrella program to date?	Evidence of efficiency gains in the management of SURGE under the umbrella trust fund modality. For example, in relation to: <ul style="list-style-type: none"> ▪ Streamlined governance structure ▪ Streamlined or unified reporting processes ▪ Communications and awareness-raising ▪ Knowledge circulation (internally at World Bank and externally) 	Document review Interviews

⁶³ The evaluation team has edited the original question that was included in the TOR on efficiency under the umbrella trust program, to remove the emphasis on comparing the SURGE Umbrella Trust Fund to having separate Trust Fund programs.

Appendix V List of Documents Consulted

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Appendix VI List of Stakeholders Consulted

COUNTRY PROGRAMS

BOLIVIA

NAME	TITLE/POSITION	ORGANIZATION
World Bank TTLs		
Paula Restrepo	TTL Bolivia	World Bank
Other World Bank Staff		
Rodrigo Donoso	Urban Development Specialist	World Bank
Claudia Glen	Consultant	World Bank
Roberto Tejada	Consultant	World Bank
Carina Lakovitz	Urban Development specialist	World Bank
Adriana Torchelo	Consultant	World Bank
Rodrigo Cisneros	Consultant	World Bank
National Authorities		
María del Carmen Estrada	Professional of the Territorial Planning General Direction	MDP
Ronald Ortubé	General Director of Territorial Planning	MDP
Rildo Barrios	Professional of the Territorial Planning General Direction	MDP
Luis Leigue	Former Urbanism Director	VUH
Sub-National Authorities		
José Carlos Campero	Executive Secretariat	LP Municipality
María del Carmen Rocabado	Planning Director	LP Municipality
José Eduardo Galindo	Secretaire of environment and alternative energies	LP Municipality
Juan Pablo Palma	Risk management Secretariat	LP Municipality
José Antonio Rivera	Finance secretaire	LP Municipality
Guilherme Tortato	Living well agency Director	LP Municipality
Durval Parraga	Resilience Director	LP Municipality
Marlene Muriel	Planning Director	SCS Municipality
Robert Rivero	Urban Resilience Project Coordinator	SCS Municipality
Melissa Flores	Environmental Specialist	SCS Municipality
Gloria Aguilera	Focal point	SCS Municipality
José Mora	Environmental technician	SCS Municipality
Alejandra Sibaute	Planning specialist	SCS Municipality
Claudia Perez	Planning specialist	SCS Municipality
Carolina Suarez	Project development specialist	SCS Municipality
Juan Pablo Cabrera	Director	SCS Municipality

Mary Luz Farfán	Risk reduction director	SCS Municipality
Marco Antonio Rodriguez	Consultant	SCS Municipality
Jorge Eid	COEM member	SCS Municipality
Diego Rivero	COEM member	SCS Municipality

External Partner Organizations

Sergio Blanco	Coordinator	UN Habitat
Juliana Gomez	Project Coordinator	EAFIT-URBAM
Angelica Gaviria	Project team leader	EAFIT-URBAM
Gisela Ulloa	Project coordinator	SASA
Liliana Roca	Urban Planning consultant	SASA
Rachel	Adaptation leader	Ricardo SA
Flavia Carloni	Principal consultant	Ricardo SA
Richard Haep	Representant	Helvetas
Jorge Espinoza	Humanitarian response coordinator	Helvetas
Didrik Meijer	Project coordinator	DELTARES
Maria Carrisoza	Project coordinator	UrbanSeed
Therese Köening	Project assistant	Superwein
Nicolas Kersting	Local team leader	Superwein

PERU

NAME	TITLE/POSITION	ORGANIZATION
World Bank TTLs		
Gabriel Arrisueño (virtual)	TTL Peru	World Bank
Other World Bank Staff		
Victor Endo	Consultant	World Bank
Mariela Pérez-Costa	Consultant	World Bank
Karenth Sotomayor	Consultant	World Bank
Bjorn Philipp	Program Leader, Sustainable Development and Infrastructure	World Bank
Cynthia Vila	Consultant	World Bank
Cesar Bazan	Consultant	World Bank
SECO		
Bárbara Gonzales Otoyá	National Program Officer	SECO
National Authorities		
José Antonio Cerrón	Ministerio de Vivienda, Construcción y Saneamiento (MVCS)	MCVS
Hedy Villón	Ministerio de Vivienda, Construcción y Saneamiento (MVCS)	MCVS
Jorge Antonio Huapaya	Ministerio de Vivienda, Construcción y Saneamiento (MVCS)	MCVS
Víctor Távara	Ministerio de Vivienda, Construcción y Saneamiento (MVCS)	MCVS

Manuel Montes	Organismo de Formalización de la Propiedad Informal (COFOPRI)	COFPRI
José Antonio Neira	Organismo de Formalización de la Propiedad Informal (COFOPRI)	COFPRI
Gonzalo Neyra	Ministerio de Economía y Finanzas (MEF)	MEF

Sub-National Authorities

Carlos Paredes	Head of Metropolitan Institute of Territorial Planning and Cadastral Management	MP Chiclayo
Augusto Mendoza	Director	Instituto Metropolitano de Planificación

SERBIA

NAME	TITLE/POSITION	ORGANIZATION
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World Bank TTLs

Olivera Jordanovic	TTL Serbia, Senior Expert Land administration specialist	World Bank
Darko Milutin	TTL Serbia, Disasters Risks Management	World Bank

Other World Bank Staff

Olivera Antic	Expert, Water Management and Climate Change	World Bank
Dubravka Stanic	Disasters Risk Management Specialist	World Bank
Igor Miscevic	Urban Scientific and Technical Consultant Expert	World Bank
Dina Jakovljevic	Scientific and Technical Consultant	World Bank

SECO

Ana Pajkovic	Program Officer	SECO
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National Authorities

Aleksandra Vucinic	Head of Department for Circular Economy and Sustainable Development	Ministry of Environmental Protection
Dragana Ljumovic	Head of department for waste management	Ministry of Environmental Protection
Dragana Mehandzic	Head of Department for project management	Ministry of Environmental Protection
Sinisa Trkulja	Advisor	Ministry of Construction, Transport and Infrastructure
Tijana Zivanovic	Advisor	Ministry of Construction, Transport and Infrastructure
Tanja Obradovic	Planning Advisor	Ministry of Construction, Transport and Infrastructure

Sub-National Authorities

Sasa Mladenovic	Chief of the Department for Social Activity and Local Development Leskovac	City of Leskovac
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Tatjana Zdravkovic	Managing director of the urban planning department	PE Urbanism and Construction Leskovac
Maja Milosevic-Milojic	Urban Planner	PUC Water System Leskovac
Vasa Kismanovut	Advisor	City of Leskovac
Miljana Medarov Vujaklija	Lead of the Monitoring Unit	City of Nis
Lidija Stefanovic-Nikolic	Chief Urban Planner	City of Nis
Miroslava Joksimovic	Advisor on environmental protection	City of Novi Sad

External Partner Organizations

Klara Danilovic	Head of Urban Planning Department	Standing Conference of towns and Municipalities
Dr. Zaklina Gigorijevic	Team Leader KE1 Resiliency Expert	GFA-SEE consultants
Dr. Marina Nenkovic-Riznic	KE2- Senior Research Fellow	GFA-SEE consultants
Dr. Sanja Simonovic Alfirevic	Key expert urban development and urban planning	GFA-SEE consultants
Borjan Brankov	Expert	Institute of Architecture and Spatial Planning Serbia - IAUS
Aleksandra Djukic	Professor	Urban Planners' Association

UA&TA

ANGOLA

NAME	TITLE/POSITION	ORGANIZATION
World Bank TTLs		
Catherine Lynch	TTL	World Bank
Bontje Marie Zangerling	TTL	World Bank

National Authorities

Henrique dos Santos	Architect and urbanism expert	Ministry of Public Works, Urbanization, and Housing
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External Partner Organizations

Allan Cain	Director	Development Workshop Angola
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COSTA RICA

NAME	TITLE/POSITION	ORGANIZATION
World Bank TTLs		
Felipe Montoya Pino	Country TTL	
Carina Lakovits	Country TTL	

National Authorities

Manuel Morales	Government stakeholder (key counterpart in the Ministry of Housing)	
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NEPAL

NAME	TITLE/POSITION	ORGANIZATION
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Abebaw Alemayehu	World Bank TTL	World Bank
Jonas Parby	World Bank TTL	World Bank

Other World Bank Staff		
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National Authorities		
Mandari Naran Passat	Government Stakeholder	Department of Urban Development and Building Construction Nepal (DUDBC)
Sub-National Authorities		
Chiri Babu Maharjan	Mayor of Lalitpur Metropolitan City	Lalitpur Metropolitan City
UZBEKISTAN		
World Bank TTLs		
Rosanna Nitti	Country TTL	World Bank
Dmitry Sivaev	Country TTL	World Bank
Ildus Kamilov	Country TTL	World Bank
Other World Bank Staff		
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SECO		
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National Authorities		
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VIET NAM		
World Bank TTLs		
Cuong Duc Dang	World Bank TTL	World Bank
SECO		
Phong Tran Van Giai		SECO
External Partner Organizations		
Nguyen Dinh Cung	Gov-affiliated thinktank	Gov-affiliated thinktank
Truong Miinh Huy Vu	Gov-affiliated thinktank	Gov-affiliated thinktank
Other UA&TA Countries		
World Bank TTLs		
Fuad Malkawi	TTL - Nigeria (Laos)	World Bank
Dao Harrisson	TTL - Philippines	World Bank
Carli Venter	TTL - Romania	World Bank
Sohaib Athar	TTL - Madagascar	World Bank

UA&TA Deep Dives

NAME	TITLE/POSITION	ORGANIZATION
World Bank TTLs		
Somik Lall	TTL (P2P)	World Bank
Jon Kher Kaw	TTL (Vibrant Cities)	World Bank
Mark Roberts	TTL (Mobilizing Finance)	World Bank
Valerie-Joy Santos	TTL (Mobilizing Finance)	World Bank
Other World Bank Staff		
Joanna Mclean Masic	Staff (P2P)	World Bank
Catherine Signe Tovey	Staff (Vibrant Cities)	World Bank
Sub-National Authorities		
Njoud Aljawad	Responsible for International Relations (Vibrant Cities)	Municipality of Amman
Rima Odeh	Director of Urban Planning (Vibrant Cities)	Municipality of Amman

TASK 3/OTHER

NAME	TITLE/POSITION	ORGANIZATION
World Bank TTLs		
Horacio Cristian Terraza	Technical Urban Lead South Asia	World Bank
Catalina Marulanda	Practice Manager East Africa	World Bank
Yoonhee Kim	Practice Manager East Asia	World Bank
Other World Bank Staff		
Ellen Hamilton	Lead Urban Specialist ECA	Other World Bank Staff
SECO		
Barbara Buser	Global SECO counterpart	SECO
Barbara Jäggin	SECO Program Manager for Serbia	SECO
Nathalie Wyser	SECO Program Manager Peru/Bolivia	SECO
Other Donors		
Verena Hagg	Austria – SURGE contribution allocated to the ECA Cities & Climate Change program	Donor (Austria)

Appendix VII SURGE Financial Data

Table 6.1 SURGE Financial Data and Proportion of Program Time Periods Covered, as of June 30, 2023

OVERVIEW OF SURGE FUNDED PROGRAMS (as of June 30, 2023)

		Overall budget (USD millions)	Allocated Amount (USD millions)	Approved Amount	Disbursed Amount (USD millions)	% of Allocated Amount that has been disbursed
SURGE wide Proportion of time period covered: 26.7% (32 months [Nov 2020 to June 2023] out of an expected 10-year implementation timeline)	Technical Components	47.97	27.53	27.51	15.99	58%
	Program Management and Administration	3.01	2.01	2.01	1.04	52%
	Total	50.98	29.54	29.52	17.03	58%
UA&TA Program Proportion of time period covered: 82% (32 months 32 months [Nov 2020 to June 2023] out of an expected 39-month implementation timeline of original SUD-II MDTF [Nov 2020-Jan 2024])	Component 1 - Urban Analytics	1.32	3.66	1.03	1.03	72%
	Component 2 - Technical Assistance	3.78		2.63	1.61	
	Component 1/2- New activities after reallocation		1.44	1.44	0.63	44%
	Component 3 - Technical Deep Dives	0.50	0.50	0.50	0.50	100%
	PMA	0.40	0.40	0.40	0.28	69%
	Total	6.00	6.00	6.00	4.05	67%
Bolivia Urban Resilience Technical Assistance Program	Comp 1 - Improving capacities for implementing resilient infrastructure, public space & urban mobility	2.21	1.87	1.87	1.79	96%

OVERVIEW OF SURGE FUNDED PROGRAMS (as of June 30, 2023)

		Overall budget (USD millions)	Allocated Amount (USD millions)	Approved Amount	Disbursed Amount (USD millions)	% of Allocated Amount that has been disbursed
(TF073571) – Associated MDTF Proportion of time period covered: 64% (32 months [Nov 2020 to June 2023] out of an expected 50-month implementation timeline [Dec 2020-Jan 2025])	Comp 2 - Mobilization & diversification of financing for urban resilience	1.1	0.88	0.88	0.84	95%
	Comp 3 - Strengthening the capacity of the GoB on urban resilience	0.95	0.79	0.79	0.67	85%
	PMA	0.27	0.22	0.22	0.14	61%
	TOTAL	4.54	3.76	3.76	3.44	91%
Strengthening Urban Cadasters for Urban Governance in Peru (TF073594) – Associated MDTF Proportion of time period covered: 40.3% (31 months [Dec 2020 to June 2023] out of an expected 77-month implementation timeline [Dec 2020- April 2026])	Comp 1 - Support national and municipal Governments' in adoption, adaptation and scaling up of the LADM	0.65	0.53	0.53	0.26	49%
	Comp 2 - Support MVCS to enhance the capacity of municipalities and relevant agencies on urban cadaster production, management, and use	3.05	1.74	1.74	0.79	46%
	Comp 3 - Strengthen institutional capacity of the MVCS and the municipal Governments on the use of cadastral information and LVC instruments	1.53	0.87	0.87	0.63	73%
	PMA	0.33	0.2	0.2	0.08	39%
	TOTAL	5.56	3.34	3.34	1.77	53%
	Comp 1 - Local support: Improving capacity for	2.27	1.91	1.91	1.38	72%

OVERVIEW OF SURGE FUNDED PROGRAMS (as of June 30, 2023)

		Overall budget (USD millions)	Allocated Amount (USD millions)	Approved Amount	Disbursed Amount (USD millions)	% of Allocated Amount that has been disbursed
Strengthening Sustainable and Resilient Urban Development in Serbia (TF073593) – Associated MDTF Proportion of time period covered: 60.3% (32 months [Nov 2020 to June 2023] out of an expected 53-month implementation timeline [Dec 2020-April 2025])	resilience, planning and development					
	Comp 2 - National support: Analytical and Technical Assistance Support to Green, Livable and Resilient Cities	1.49	1.21	1.21	0.77	64%
	PMA	0.24	0.2	0.2	0.08	41%
	TOTAL	4	3.32	3.32	2.23	67%

Table 6.2 PMA and total costs of SURGE funded programs, as of June 30, 2023⁶⁴

OVERVIEW OF SURGE FUNDED PROGRAMS (as of June 30, 2023)					
		Overall budget (USD millions)	Allocated Amount (USD millions)	Approved Amount	Disbursed Amount (USD millions)
SURGE wide	Program Management and Administration (PMA)	3.01	2.01	2.01	1.04
	Total	50.98	29.54	29.52	17.03
	PMA as % of Total	5.9%	6.8%	6.8%	6.3%
UA&TA Program	PMA	0.40	0.40	0.40	0.28
	Total	6.00	6.00	6.00	4.05
	PMA as % of Total	6.7%	6.7%	6.7%	6.3%
Bolivia Urban Resilience Technical Assistance Program	PMA	0.27	0.22	0.22	0.14
	TOTAL	4.54	3.76	3.76	3.44
	PMA as % of Total	5.9%	5.9%	5.9%	3.9%
Strengthening Urban Cadasters for Urban Governance in Peru	PMA	0.33	0.2	0.2	0.08
	TOTAL	5.56	3.34	3.34	1.77
	PMA as % of Total	5.9%	6.0%	6.0%	4.5%
Strengthening Sustainable and Resilient Urban Development in Serbia	PMA	0.24	0.2	0.2	0.08
	TOTAL	4	3.32	3.32	2.23
	PMA as % of Total	6.0%	6.0%	6.0%	3.7%

⁶⁴ Based on financial data for FY21-23 provided to the evaluation team by the SURGE Program Team.