

# TRANSFORMATIVE ACTIONS PROGRAM URBANSHIFT

Annual Report 2022

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# BACKGROUND

Recognizing the climate crisis facing both humanity and cities, as well as the imminent subnational demand for economic resources for investment in sustainable infrastructure, the Transformative Actions Program (TAP) in 2022 has reopened its annual call for proposals.

UrbanShift is one of the main funding partners of TAP as it is embedded in its global initiative as part of the finance offer. In this sense, TAP provides its services to all GEF-6 and GEF-7 cities, screening the project applications, provision of technical support from finance experts and connection with potential investors and project preparation facility providers (PPFs).

The present report corresponds to the second TAP call relevant for UrbanShift. Therefore it is dedicated to summarize the project applications received during the 2022 TAP call, as well as the activities conducted around the projects already in the pipeline since 2021. To learn more about the application process and the results obtained from the 2021 TAP call, please consult the previous report: <u>https://www.shiftcities.org/publication/transformative-actionsprogram-urbanshift</u>.

### **TAP IN A NUTSHELL**

TAP is a partnership initiative led by ICLEI attending the pressing challenges and recognizing the limitations of many subnational governments to access finance for their net zero emission and climate resilient infrastructure projects. It is also part and partner of global initiatives, such as the <u>Cities</u> <u>Climate Finance Leadership Alliance</u> (CCFLA), the <u>City Climate Finance Gap Fund</u> and the <u>Leadership for Urban Climate Investment</u> (LUCI).

Its vision is multi-faceted and deeply committed to addressing the challenges of climate change and sustainability. Firstly, it aims to enable access to finance for local climate action projects, empowering communities to scale up their efforts and create real change. Secondly, it is looking to accelerate the development of net-zero emission and climate-resilient infrastructure. recognizing the urgent need for bold action on a global scale. Finally, it supports national ambitions by advocating for transformative local infrastructure projects that can make a significant impact at both levels. TAP acknowledges that by pursuing these objectives, we can make meaningful progress towards a more sustainable and equitable future for all.

#### **TAP** Partners

- 100% Renewable Energy Platform;
- bettervest;
- C40 Cities Climate Leadership Group (C40);
- Cities Alliance;
- European Investment Bank (EIB);
- GIZ/CoM SSAIII;
- GIZ/FELICITY;
- Global Covenant of Mayors for Climate and Energy (GCoM);
- Global Fund for Cities Development (FMDV);
- Global Infrastructure Basel (GIB)
   Foundation;
- R20 Regions of Climate Action (R20);
- Sustainable Infrastructure Foundation (SIF);
- The Lincoln Institute;
- UN Capital Development Fund (UNCDF);
- UN-Habitat;
- United Cities and Local Governments (UCLG).

The main eligibility criteria for TAP include: (i) focus on infrastructure, (ii) submitted by subnational governments or their partners, (iii) transformative impact potential, as described in the figure below:



Figure 1. Elements of transformative impact potential

To apply to TAP, applicants must fill out and submit an application form, which is available on the official website (<u>https://tap-potential.org/</u>) in English, Spanish, French. As it is illustrated by **Figure 2** "TAP processes", after receiving the applications, ICLEI assesses their completeness and checks if the eligibility criteria are met. If these are fulfilled, a comprehensive screening starts evaluating the project's **financial maturity and transformative impact potential**.



Figure 2. TAP processes

To be approved for the <u>TAP pipeline</u>, a project must achieve at least 80% as a final score following its evaluation against the defined criteria. Depending on the score TAP projects can benefit from multiple **tailored services offered by ICLEI and the TAP partners** to guide project development and achieve maturity and financeability. Differentiating TAP from other PPF providers, there are services that are available for all applicants, such as the customized recommendations, the access to <u>toolkits and knowledge products</u>, invitation to webinars and peer-exchange events, as well as to get regular updates on opportunities relevant for their project.

In addition, pipeline projects are **connected with potential technical and financial partners and PPFs** and receive international visibility.

Since 2015, at least 37 TAP projects managed to access technical assistance or got implemented. In the past 2 years, more than 70 projects were connected with financiers, PPFs providers and partners.

## **TAP AND URBANSHIFT: ACHIEVEMENTS TO DATE**

The primary objective of this report is to summarize the TAP activities conducted during the last TAP call (May-December 2022), as well as to highlight the progress achieved according to the deliverables listed for the UrbanShift project.

After two years of operations, TAP has conducted several activities towards the accomplishment of the project's deliverables. The following table summarizes the progress achieved in each deliverable:



annual reports that include results from UrbanShift cities projects submitted via TAP:

TAP approved projects received technical support from ICLEI's finance specialists;

TAP projects presented to Project Preparation Facilities, TAP partners providing further services and/or to potential investors (public and private).

#### Status as of 2022



annual calls were open and promoted through UrbanShift official channels:



projects screened and received recommendations from ICLEI's finance experts;



report published (from the results of the 2021 TAP call):



ΞΞ

projects in the TAP pipeline received support by ICLEI finance experts to improve and strengthen the project concept, apply to PPFs opportunities and prepare their project pitch;



project pitched: "Mobility plan for the future" from Buenos Aires, Argentina at ICLEI 2022 Daring Cities and accessed technical assistance from the Gap Fund.



### **Project mobilization**

The 2022 annual TAP call was open from April to December 2022 and received in total 47 applications from 32 countries (mostly from Global South). Similar to the previous call, Africa was the region with the highest number of applications (20 projects) submitted to TAP, followed by the Latin American (LATAM) region (15 applications) and Asia (7).

Regarding sectors, in 2022 land use and nature-based solutions represented 29.8% of the total sectors, followed by Energy (25.5%), Waste Management (17%) and others such as information and communications technology and forestry (17%). See **Figure 3** "Sectoral distribution of the applications submitted to the 2022 TAP call".



Figure 3. Sectoral distribution of the applications submitted to the 2022 TAP call Concerning UrbanShift, 6 projects from UrbanShift's cities<sup>1</sup> were received in 2022 (see **Table 1** "Full list of project applications received in 2021 and 2022 TAP call from UrbanShift and GPSC cities").

To meet the goals set by UrbanShift and to mobilize projects to apply to TAP, outreach and promotion from each partner in each UrbanShift region is crucial.

Table 1. Full list of project applications received in 2021 and 2022 TAP call from UrbanShift
and GPSC cities

Name of applicant	Country	UrbanShift City	GPSC City	Project title	Main sector
Belem	Brazil, South America	•		Murutucu Environmental Park	Green spaces
Kigali	Rwanda, Africa	•		Enhancing environmental protection through School Project Competition*	Waste management
Mendoza	Argentina, South America	•		Strengthening Public Tree Management in San Carlos, Mendoza	Green spaces
Musanze	Rwanda, Africa	•		Knowledge is the key	Waste management
Muhanga #1	Rwanda, Africa	•		Retrofit of Muhanga, community centres*	Energy
Muhanga #2	Rwanda, Africa	•		Reforestation Programme	Forestry
Buenos Aires	Argentina, South America	•		Mobility plan for the future**	Transport and mobility
DKI Jakarta	Indonesia, Southeast Asia	•		Establishing integrated municipal solid waste management facilities in DKI Jakarta**	Waste management
Kigali	Rwanda, Africa	•		Inclusive Public Spaces for a healthy and resilient Kigali**	Public Spaces
Kigali	Rwanda, Africa	•		Resilient Food Systems	Food system
Recife	Brazil, South America		•	Urban Tree Inventory of Recife	Forestry

\* Project accepted to be part of the TAP pipeline in 2022

\*\* Project accepted to be part of the TAP pipeline in 2021

<sup>1</sup> San Jose (Costa Rica), Belem and Teresina (Brazil), Florianópolis, Buenos Aires, Mar de Plata, Ushuaia, Salta, and Mendoza (Argentina), Kigali (Rwanda), Marrakech (Morocco), Freetown (Sierra Leone), Surat, Pune, and Chennai (India), Bitung, Balikpapan, Palembang, Jakarta and Semarang (Indonesia), Chengdu, Ningbo, and Chongqing (China). Note: Musanze and Muhanga were added as they are UrbanShift's secondary cities in Rwanda (see more information <u>here</u>).

In financial terms, the investment needs identified in these six projects represent approx. €8,3 million, ranking waste management as first and followed by other sectors, such as food systems, transport and mobility, forestry and public spaces (see **Figure 4** "Investment need per sector").

Half of the applications received in 2022 represent small-scale projects (i.e. below 1 million EUR of investment potential), which in terms of finding potential investors may be a limitation. Only two projects have around 3 million EUR investment potential. Moreover, all scoring on the financial viability was lower than the transformative impact potential, mainly due to the lack of business models presented, limited budget secured for the project, and limited access to international finance.

Most of the applications received are from projects that are in early stages of development (67%) and only two of them (33%) are more mature, being in the preimplementation and implementation stages (see **Annex 1** "Main findings and results of UrbanShift and GPSC cities applications to TAP in 2022 and 2021"). Similar to the previous call, projects mainly need technical assistance and capacity building opportunities before being able to request and access financing.

Finally, and according to the eligibility criteria, out of the 6 applications received in 2022, one project was not eligible for the TAP pipeline: Musanze, Rwanda's "*Knowledge is the key*" due to the fact that the application was submitted by a private company without any letter of support from the subnational government. In addition, the scope of the project was not hard infrastructure.

As for the other applications, to date only the projects from Kigali (*"Enhancing environmental* protection through School Project Competition") and Muhanga #1 (*"Retrofit of Muhanga,* community centres") scored the necessary points to be included on the TAP pipeline.



Figure 4. Investment need per sector



TAP is constantly developing new resources that might serve subnational governments to dive deep into the use of innovative financial instruments, such as:

- <u>Public-Private Partnerships Toolkit</u>, which summarizes the steps to establish a public private partnership, models and challenges at the local level;
- Introduction to carbon markets that provides an overview of the different types of markets and regulations to help local governments to identify the most suitable carbon market mechanism; and
- Daring Cities 2022 Compendium of <u>Best Practices</u> which showcases successful stories and opportunities at the subnational level dealing with a climate emergency finance accessing project preparation support, financing adaptation and resilience, and using innovative finance instruments.

In terms of the existing knowledge products, the <u>Catalog of regional and global</u> <u>climate finance opportunities</u> was updated. It now enlists financial institutions and other actors that have programs, funds and initiatives which support local and regional governments in their

project preparation and implementation.



Successful stories of TAP projects that managed to access finance or technical assistance are promoted through case studies published on the official TAP website (<u>https://tap-potential.org/</u> <u>case-studies/</u>). In 2022, one case study was developed: Pingtung County, Chinese Taipei: <u>Zero</u> <u>budgeting model to mitigate climate change</u>.



#### TAP annual webinar, held on 27 April 2022

As regular practice, prior to the opening of the annual call, a dedicated webinarp was offered to prospective applicants, colleagues, and partners in order to ensure that the application procedure was clear to all, as well as to encourage new applicants to submit their applications.

### Webinar: Introduction to Land Value Capture, held on 21 June 2022

Every year, there is at least one demand-driven thematic webinar organized. The 2022 webinar was jointly organised by ICLEI and experts from the Lincoln Institute to explain in detail how Land Value Capture can be utilized as a tool related to climate investments and land use.

### Live pitch workshop, held on 6 October 2022, during Daring Cities 2022

Projects on the pipeline are invited to attend pitch events organized by ICLEI and its partners, where project applicants have the opportunity to improve their skills in appealing to investors and experts from different PPF providers and financial institutions. In partnership with ICLEI's regional offices, projects are supported with







preparations for these events, providing tailored assistance in presentations and information. As part of the preparatory process and the services offered by TAP, city officials from the undersecretariat of Mobility Planning of Buenos Aires were supported to prepare their speech to pitch the project "Mobility plan for the future". After the pitch, participants from Buenos Aires had the opportunity to learn from financial experts from the World Bank, United Cities and Local Governments (UCLG) and the German Agency for International Cooperation (GIZ) who shared insights and recommendations on how to improve their project concept. The general comments issued by the jury members during the presentations were compiled in the following <u>Compendium of Good Practices</u> (page 11).

# THE WAY FORWARD

The collaboration and participation of all UrbanShift partners is key to achieving greater reach of the TAP call in UrbanShift cities. Therefore, tailored activities will be carried out to better explain the program and promote it, for example, activities in the relevant languages, meetings and webinars. The main goal is to explain to city officials the added value of the services provided by TAP, which includes relevant opportunities offered by project partners.

In addition, communication between ICLEI and the regional coordinators will be strengthened in order to explore opportunities that could support city officials with their project within UrbanShift activities in their region. This will complement the services offered by the TAP team within and outside its network and partnership.

### ANNEX 1. Main findings and results of UrbanShift and GPSC cities applications to TAP in 2022 and 2021

Name of	Country			Screenii	ng results	Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
				2022		
Belem	Brazil, South	Concept/ design/	Murutucu Environmental Park	<80	<80	Main suggestions:
	America	scope	The area to be protected will provide the maintenance of the forest on foot with the local biodiversity of fauna, flora and water bodies consolidating an ecological corridor in the Belém Center of Endemism, which already has four other State Conservation Units and a legally recognized quilombola territory. This native vegetation to be preserved will allow the connection between the forest fragments separated by the urban occupation of the territory, guaranteeing the integrity of ecological processes such as genetic exchange between species. <i>Investment potential: &gt;3 million EUR</i>	The alignment of the project with the Climate Action Plan is not clear. A holistic and multisectoral approach has not been considered.	There is no business model or a cost-benefit analysis.	<ul> <li>It is necessary to clarify the contribution of each financial source identified and what is the financial gap.</li> <li>Identify the technical studies needed to further develop the project concept (e.g. cost-benefits analysis, climate risk assessment).</li> <li>ICLEI will follow-up to clarify doubts and again consult with WRI about their interest in collaborating with this project, as well as technical and financial opportunities within the TAP network. Based on the focus of the sector, government's officials can be invited to the next Adaptation City Academy hosted by C40 in Brazil (Aug, 2023) and the Nature-based Solutions City Academy in San José, Costa Rica in 2024.</li> <li>Application rejected due to insufficient score. ICLEI Regional Office will follow up in case the project promoter wants to resubmit its application.</li> </ul>

Name of	Country			Screening results		Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
Kigali	Rwanda, Africa	Pre- imple- mentation	Enhancing environmental protection through School Project Competition The aim is to encourage students to come up with innovative ideas for recycling waste materials. Projects are judged on their feasibility, environmental impact, and potential for scalability. The winning projects are then implemented in the schools, with the help of REMA and other environmental agencies. Investment potential: <100 thousand EUR	>80 Scalable project with quantified GHG emissions reduction.	<80 Given the small scale of the project, local and regional sources TA and funding.	<ul> <li>Main suggestions:</li> <li>Consider scaling and bundling possibilities since this project is highly scalable: cost reduction and higher chances of accessing financing.</li> <li>To improve risk identification.</li> <li>It is recommended to identify potential sources of funding and clarify its business model for sustainability purposes.</li> <li>Given the small scale of the project it is recommended to look for regional opportunities. Together with the ICLEI Africa office, relevant projects as well as opportunities are being evaluated that can help to further develop the project and achieve its implementation.</li> </ul>

Name of	Country	_		Screenir	ng results	Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
Mendoza	Argentina, South America	Feasibility	Strengthening Public Tree Management in San Carlos, Mendoza Creation of a new municipal plant nursery that has the capacity to produce tree and shrub species for the urban areas of the municipality, which will be destined for reforestation and compensation for the effects of climate change. Investment potential: <100 thousand EUR	<80 The scope of the project is too small and the expected objectives are not estimated or quantified.	<80 The investment potential is not too low for international and private investors, and there is no budget secured.	<ul> <li>Main suggestions:</li> <li>The scale of the project is too small and does not correspond to the funding instrument sought. It does not have a business model, which also makes it difficult to prove the bankability of the project.</li> <li>It has been suggested to review the application again and to put more emphasis on scaling up the project, either with a larger nursery or with multiple nurseries serving the region. It is also suggested that concrete reforestation targets be set to better visualize the positive impact of the project.</li> <li>Application rejected due to insufficient score. ICLEI Regional Office will follow up in case the project promoter wants to resubmit its application.</li> </ul>

Name of	Country			Screenir	ng results	Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
Muhanga #1	Rwanda, Africa	Feasibility	Retrofit of Muhanga Community Centres This project proposal aims to implement retrofits at all the health care centres and sector offices across the district, such as: Installation of solar PV panels, inverter and battery bank; Installation of solar water heaters; Installation of LED lights and other energy efficient appliances; Installation of solar PV street lights on the property. Investment potential: >3 million EUR	>80 Project aligned with national policy and cross-cutting approach. Further improvement is needed as per the rationale of the project inclusivity and ambitions.	<80 No explicit secured budget and business model were provided. More explanation is required on financial revenue as well as its financial status.	<ul> <li>Main suggestions:</li> <li>To clarify technical expectations on their required technical assistance.</li> <li>Include references to and number of engagements with MDBs, NDBs, IFIs, and development partners including ICLEI</li> <li>Include potential for replicability</li> <li>Officials from the local governments were informed about the relevance of applying to the Gap Fund and currently they are finalizing the Expression of Interest with the support of ICLEI's experts - to be submitted in May 2023.</li> <li>They were also introduced to the Call for Applications from the African Water Facility in March (2023) and the Call for Africa (SESA) in March (2023).</li> </ul>

Name of	Country			Screenin	ng results	Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
Muhanga #1	Rwanda, Africa	Imple- mentation	Muhanga Reforestation Programme The project will support the creation of terraces on steep slopes along the main rivers (along the northern borders of the district) to support increased forestation, soil conservation and reduce landslides. It will furthermore explore practical ways to increase composting at a local level, as well as irrigation of woodlots and high-value crops through the use of wastewater. An additional element will be the removal of alien vegetation that will be used for sustainable charcoal, while the areas cleared will be replanted to indigenous trees and shrubs. Investment potential: >1 million EUR	<80 No legally binding proof approving the project at a local level was provided, as well as missing explicit interaction with stakeholders in the project conceptualization and design.	<80 The project lacks any indication of financial maturity, and show its capability to mobilize or borrow external finance.	<ul> <li>Main suggestions:</li> <li>Strengthen the financial viability of the project by including a business model and/or potentials to generate financial savings.</li> <li>To extend the climate impact measurement to GHG emissions reduction quantification.</li> <li>To enhance stakeholder engagement (with a perspective on gender) and risk mitigation</li> <li>Although the quality of the application was not sufficient to enter the TAP pipeline, ICLEI Africa will conduct follow-up calls with the local government to see if they are interested in re-submitting their application, and if necessary, offer assistance during the process.</li> <li>Application rejected due to insufficient score. ICLEI Regional Office will follow up in case the project promoter wants to resubmit its application.</li> </ul>

Name of	Country		<b>.</b>	Screening results		Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
Musanze	Rwanda, Africa	Concept/ design/ scope	Knowledge is the key The project will teach the people how to treat the waste and educate them how to increase their income as it will create jobs for the people who will help the project promoter to teach the village people, mainly girls and women as a source to get some money for their daily life. The project will also contribute to eradicating poverty and enhance good health practice.			ft infrastructure and submitted by a ter from the subnational government.

Name of	Country			Screenir	ng results	Technical advisory and potential
applicant	and region	Stage	Project description	Transformative impact	Financial viability	opportunities
				2021		
Buenos Aires	Argentina/ South America	Pre- feasibility	Mobility plan for the future The objectives of the project are to promote sustainable mobility and ensure transport accessibility through quality infrastructure. The project proposes three working guidelines: i) political discussion to set a target time for the technologic transition according to the type of fleet (public transport, government vehicle fleet, private sector); ii) discussion to promote the mobility district of the future in the productive hub of the City of Buenos Aires, with more assemblers, car parts and vehicle manufacturers; iii) Installation of infrastructure, specifically electric chargers in private establishments and open-public spaces and streets, as well as other infrastructure needed for electro mobility transportation.	>80 The impact of the project in terms of gender equity still needs to be further detailed. At this stage, the integration and consultation of relevant stakeholders needs to begin.	<60 The development of a business model is needed. At this stage the potential revenue generation is not clear, which affects project's financial viability. It is suggested to the LG to secure a budget for the project.	Update: Project pitched at Daring Cities 2022 and accessed technical assistance from the Cities Climate Gap Fund.

Name of	Country	_		Screening results		Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
DKI Jakarta	Indonesia / Southeast Asia	Concept/ design/ scoping	Establishing integrated municipal solid waste management facilities in DKI Jakarta The project seeks to address the mounting waste problem while pursuing opportunities to reduce GHG emissions in DKI Jakarta by establishing integrated municipal solid waste management facilities in five administrative cities in DKI Jakarta. The facilities aim to reduce and divert Municipal Solid Waste (MSW) sent to the landfill by increasing the recycling rate and promoting circularity that shall benefit the citizens and help the COVID-19 economic recovery in DKI Jakarta, as well as demonstrate contribution to the fulfillment of the Nationally Determined Contribution (NDC) of Indonesia.	<ul> <li>&gt;80</li> <li>No social, environmental or economic impact assessments have been conducted at this stage. Potential stakeholders and their potential engagements have been identified; however, they haven't yet been consulted.</li> <li>The quantification of socioeconomic benefits must be done in detail.</li> </ul>	<60 Project open to collaborate with the private sector for its implementation and operation. A business model has not been developed at this stage. The budget secured is approximately 17% of the total cost of the project.	Update: The TAP team had a productive collaboration with ICLEI regional offices in Southeast Asia and Indonesia to promote the Gap Fund to city officials from Jakarta. The Gap Fund provides valuable support for early stage projects, including the needs identified to further develop Jakarta's project. Although the team presented this opportunity to city officials in 2021, there have been some challenges in obtaining their approval to proceed with the application process. To overcome these difficulties, ICLEI is currently establishing contact with the relevant ministries and providing additional information about the importance of this opportunity, given the project's characteristics and the country's context in accessing international financing.

Name of	Country			Screenir	ng results	Technical advisory and potential
applicant		Stage	Project description	Transformative impact	Financial viability	opportunities
Kigali	Rwanda/ Africa	Concept/ design/ scoping	Inclusive Public Spaces for a healthy and resilient Kigali The proposed project aims to provide a resilient approach on how public spaces in Kigali are designed and managed, identifying key actors, and articulating the environmental, social, and economic benefits to capitalize and redirect investments towards public spaces in one of the most vulnerable parts of the city - Agatare. The initiative seeks to transform existing public spaces in Agatare into multi-functional places that incorporate smart, green, and human centered design principles.	>80 Project focused on increasing resilience in Kigali, considering a holistic approach to address social and environmental challenges.	<70 The project does not have a business model and part of the resources (26%) will come from the LG. The municipality can borrow from external sources and has done so in the past.	Update: The Gap Fund was promoted as an opportunity, but the city didn't show interest. The projects have been discussed with C40, who also works together with the city, but couldn 't offer any support. Due to the small scale of the projects ICLEI is now looking at local opportunities, such as engaging embassies or private companies (CSR Funds), and also crowdfunding platforms.

Name of applicant	Country and region	Stage	Project description	Screening results		Technical advisory and potential
				Transformative impact	Financial viability	opportunities
Kigali #2	Rwanda/ Africa Brazil/	Concept/ design/ scoping	Resilient Food Systems The initiative is designed to provide sustainable and healthy food production in under-utilized public land and to enable livelihoods for low-income families while reducing emissions and increasing resilience to floods and extreme heat. A pilot project of urban horticulture in three public schools will help inform the necessary urban planning measures to develop a city-wide food security strategy.	>80 Project focused on increasing resilience in Kigali, considering a holistic approach to address social and environmental challenges.	<60 The project does not have a business model and part of the resources (10%) will come from the LG. The municipality is interested in exploring partnerships with the private sector.	Update: The Gap Fund was promoted as an opportunity, but the city didn't show interest. The projects have been discussed with C40, who also works together with the city, but couldn't offer any support. Due to the small scale of the projects ICLEI is now looking at local opportunities, such as engaging embassies or private companies (CSR Funds), and also crowdfunding platforms.



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