

## **Mid-Term Review**

# **“Governance of inclusive green growth in cities (DEALS)”**

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Synthesis report

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## Abbreviations

Akvo	<i>Stichting Akvo</i> (Akvo Foundation)
AMCO	<i>Área Metropolitana de Centro Occidente</i> (Western Central Metropolitan Area)
ASOCAPITALES	<i>Asociación Colombiana de Ciudades Capitales – Asocapitales</i> (Colombian Association of Capital Cities)
CARDER	<i>Corporación Autónoma Regional de Risaralda</i> (Regional Autonomous Environmental Authority of Risaralda)
CB	Capacity Building
CEMPRE	<i>Compromiso Empresarial para el Reciclaje</i> (Business Sector Commitment to Recycling)
CFP	City Focal Point. Key local staff of DEALS project.
CFP	City Focal Person
COGEDES	<i>Commission de Gestion des Déchets</i> (Waste Management Commission)
CRA	<i>Comisión de Regulación de Agua Potable y Saneamiento Básico</i> (Water and Basic Sanitation Regulation Commission)
CSO	Civil Society Organization
DALMS	Department of Agricultural Land Management and Statistics in The Ministry of Agriculture and Irrigation (MoAI);
DAO	Development Affairs Organisation, also called the Department of Municipal Affairs (DMA)
DoP	Department of Planning
DUHD	Department of Housing and Urban Development
GAD	General Administration Department
IAT	<i>Incentivo al Aprovechamiento y Tratamiento de Residuos Sólidos</i> (Incentive financed by Recycling Tax according to Decree 2412/2018)
IATI	International Aid Transparency Initiative
IMIF	International Municipal Investment Fund. Managed by United Nations Capital Development Fund and supported by United Cities and Local Governments
IRR	<i>Iniciativa Regional para el Reciclaje Inclusivo</i> (Regional Initiative for Inclusive Recycling)
JICA	Japanese International Cooperation Agency
KMA	Kumasi Metropolitan Assembly
KNUST	Kwame Nkrumah University of Science and Technology, Kumasi
MDP	Municipal Development Plan
MoALI	The Ministry of Agriculture, Livestock and Irrigation
MoBA	Ministry of Border Affairs
MoC	Ministry of Construction
MoHA	Ministry of Home Affairs
MoNPED	Ministry of National Planning and Economic Development
MONREC	The Ministry of Natural Resources and Environmental Conservation (NSDF), National Spatial Development Framework
MoPF	Ministry of Planning and Finance
MoT	Ministry of Transport and Communications
MSWRR	Ministry of Social Welfare, Relief and Resettlement - Department of social welfare (gender focal point),
MTR	Mid-Term Review
NGOs	Non-governmental Organisations
PGIRS	<i>Plan Integral de Gestión de Residuos Sólidos</i> (Integrated Solid Waste Management Plan)
PwD	Persons with disabilities
SAD	<i>Service Affaires Domaniales</i> (Public Affairs Department)

SAS	<i>Service Affaires Sociales</i> (Department of Social Affairs)
SDCD	<i>Service Development et Décentralisation</i> (Department of Development and Decentralisation)
SMEs	Small and medium enterprises
SPEDR	<i>Service Prospective Economique et Developpement des Ressources</i> (Economic Forecasting and Resource Development Department)
SSPD	<i>Superintendencia de Servicios Públicos Domiciliarios</i> (Superintendence of Public Domiciliary Services)
ST	<i>Services Techniques</i> (Technical Department)
SWM	Solid Waste Management
TDAC	Township Development Affairs Committee
TFAB	Township Farmland Administration Body
TMC	Township Management Committee
ToC	Theory of Change
TPFIC	Township Plan Formulation and Implementation Committee
TPO	Township Planning Office
TSCF	Township Scrutinizing Confiscated Farmlands and Other Lands Committee
UNCDF	United Nations Capital Development Fund
UTP	<i>Universidad Tecnológica de Pereira</i> (Technological University of Pereira)
VNG	<i>Vereniging van Nederlandse Gemeenten</i> (Dutch Association of Municipalities)
VNG International	International cooperation department of VNG
VNG-I	VNG International
WCSG	Ward Cleaning and Supporting Groups
Zongo	An informal settlement.

## **1. Introduction**

### **1.1 Background**

This chapter briefly describes the objectives and key activities of the DEALS programme and projects and the key stakeholders involved in the DEALS projects that are being implemented in four municipalities and in the DEALS programme in general. It furthermore refers to key elements of the City Theories of Change that were presented in the Annual Plan 2020. The key stakeholders will be classified according to the capacity development clusters and sub-clusters presented by the programme as part of the 5C toolkit.<sup>1</sup>

### **1.2 Purpose, scope and approach of the Mid-Term Review**

The Mid-Term Review (MTR) of the DEALS programme addresses three sets of questions related to, respectively, process, results and learning and recommendations. It focuses on the period September 2017-December 2019, but will also cover some recent developments, especially related to the impact of COVID-19 on programme implementation and results.

We will adopt a theory-based approach to assess whether the use of inputs of the DEALS programme has contributed to – or is expected to contribute to – results at the levels of output, (intermediate) outcomes and (programme or global) impact.<sup>2</sup> We will use the revised City Theories of Change presented in the Annual Plan 2020.<sup>3</sup>

In short, the review will assess how different stakeholders have collaborated, what has been achieved so far and what is likely to be achieved, and what could or would need to be changed to improve the process and results in the remaining programme period and (possibly) beyond.

The analysis will be based on a review of relevant documentation, semi-structured interviews with, among others, staff of VNG International, City Focal Persons, experts and local key stakeholders, as well as more open interviews with selected ultimate beneficiaries. The analysis will also draw on results of a short telephone survey with closed questions (using a 4-point Likert scale) among selected stakeholders in the four cities. In addition, an inventory will be made of sets of indicators in various monitoring/progress reports and reporting systems (such as IATI). Using a triangulation of information from the different sources, we will draft the findings and share them with selected stakeholders for validation.

### **1.3 Organisation of this report**

The remainder of this report is structured as follows. Chapter 2 gives a brief description of the main aspects of the DEALS programme in the four municipalities. Chapter 3 reviews the process of the programme. Subsequently, Chapter 4 assesses the results achieved so far and the likelihood of achieving planned results in the remainder of the implementation period. Finally, Chapter 5 focuses on learning and presents recommendations. Annex 1 contains the questionnaire applied in the semi-structured interviews, Annex 2 the list of persons interviewed and Annex 3 the results of the survey among selected stakeholders. In addition, Annex 4 gives an overview of the projects' activities implemented in 2018 and 2019 classified by category of activity.

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<sup>1</sup> See document 'capacity development clusters.pptx' provided by VNG International.

<sup>2</sup> The adjusted OECD/DAC definition of impact is "The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.", see OECD/DAC (2019).

<sup>3</sup> VNG International (2019b). *Annual plan 2020. Governance of Inclusive Green Growth in cities (DEALS)*. 31 October 2019.

## 2. The DEALS programme in the four municipalities

This chapter briefly describes the objectives and key activities of the DEALS programme and projects and the key stakeholders involved in the DEALS projects that are being implemented in four municipalities and in the DEALS programme in general. It furthermore refers to key elements of the City Theories of Change that were presented in the Annual Plan 2020. The key stakeholders will be classified according to the capacity development clusters and sub-clusters presented by the programme as part of the 5C toolkit.<sup>4</sup>

### 2.1 Objectives and Theories of Change

The objective of the DEALS programme is “to improve the quality of life of the residents given the inequality and urban poverty we identified in the cities targeted (Beira, Kumasi, Manila, Pathein, Pereira, Sèmè-Podji)” (see e.g. VNG International 2020a:4). More specific objectives were defined in the City Theories of Change that were elaborated in the inception phase of the programme.

The Annual Plan 2020 explains that the City Theories of Change for the cities of Kumasi, Pathein, Pereira, and Sèmè-Podji were revised following insights gained during a two-day session on result frameworks organised by the ministry of Foreign Affairs of the Netherlands.<sup>5</sup> The major adjustment concerns a shift of (long term) urban institutional and policy ‘changes’ from output to outcome level and considering as output specific ‘products’ that contribute to convoking change. These ‘products’ relate to the six key elements of the integrated governance approach developed in DEALS (Table 1).

**Table 1: Six key elements of the integrated governance approach in the DEALS programme**

1	Coordination of strategies, plans, budgets and activities among different departments within local government around the goals of the deal
2	Coordination of strategies, plans, budgets and activities among local government and other government actors and levels (e.g. national government ministries and their local agencies, other municipalities, local councils) to achieve the goals of the DEAL
3	Active cooperation with non-government stakeholders to achieve the goals of the DEAL: citizens' representatives, business sector, knowledge institutions, civil society and community-based organisations, donor agencies
4	An (area-based) pilot approach which develops linkages and synergies between social, economic, environmental, spatial and governance aspects, taking the needs of people in the pilot area or group as the starting point and involving them actively in the pilot's implementation
5	Integrating relevant public(-private) investment in infrastructure in the project area with the development of institutional and management capacities and the active participation of all stakeholders
6	A framework with targets and indicators which support integrated thinking, and a methodology for joined monitoring and learning

Source: Van Reesch, Ellen (2019). *Background paper on integrated governance approach in cities*. The Hague: VNG International, February 2019.

It is important to emphasise, however, that the adjustments made in the ToCs do not have implications for the implementation of the projects. The activities remain the same, and in most cases also the underlying assumptions of the intervention. What does change is the assessment of the results of the programmes in terms of output and outcome – and to a lesser extent in terms of impact.

The revised City Theories of Change were used in the case study reports of the reviews of each of the four city programmes. These (revised) ToC's contain various common elements, which allows for ‘generalising’ the City Theories of Change. A ‘generalised’ or ‘generic’ Theory of Change contains among others the results at the following three levels:

- **Output:** Products related to the six key elements of the integrated approach that contribute to integrated municipal policies and institutions;
- **Outcome:** Integrated municipal policies and institutions to address the identified urban development challenges; and

<sup>4</sup> See document ‘capacity development clusters.pptx’ provided by VNG International.

<sup>5</sup> VNG International. *Annual plan 2020. Governance of Inclusive Green Growth in cities (DEALS)*. 31 October 2019.

- **Impact:** Improved living conditions of targeted urban poor and vulnerable population.

Examples of **input** are human and financial resources, knowledge, expert advice and plans. Annual budgets for the city projects were in the range of 113-131 thousand Euros in March-December 2018 and in the range of 133-141 thousand Euros in 2019. The budgets were not exhausted in 2018 and there continued to be underspending in Pathein (-18%) and Pereira (-7%) in 2019, while spending in that year was respectively 12% and 23% higher than budgeted in Kumasi and Sèmè-Podji (VNG International 2019a, 2020a).<sup>6</sup> Expert advice was provided by, among others, associated experts of VNG International.

**Key conditions** for input leading to output and higher-level results include a stable (political, social and security) environment, political will or commitment, and DEALS interventions being aligned with and embedded in ongoing initiatives and legal frameworks.

**Key assumptions** relate to the causal relations between the results at the three levels, but their formulation in the City ToC's is cumbersome. Nonetheless, they appear to boil down to the following two assumptions:

1. Regarding the link between output and outcome, municipal and other (regional, national) government officials 'will be sensitised to the wider needs of communities' so that 'their needs can become part of national and local development strategies'.<sup>7</sup>
2. Similarly, regarding the relationship between outcome and impact, integrated, multi-stakeholder and inclusive governance approaches are adopted, and improved policy measures are taken that effectively address the needs of the targeted communities.

While there are many similarities between the four projects, there are also some differences related to differences in their focus and selected target population groups, as well as to differences in context.

In Pathein, the programme interventions were designed to support the local government in improving the provision of public solid waste and water management services. The projects in Pereira and Sèmè-Podji also focus on solid waste management, while the project in Kumasi has a broader scope (i.e. decongestion of the city and slum development), but also covers waste management.

All four projects target the urban vulnerable and poor population, but the target group in Kumasi city includes slum dwellers of Moshie Zongo and Dagomba line, head porters, scrap scavengers, market women and people living with disability (PwDs), while in Pereira it is limited to informal waste workers.

Another example of a difference is that the project in Pereira does not cover all the six key elements of the integrated approach.

<sup>6</sup> The programme budget includes furthermore budgets for other cities, programme-wide activities, and management, as well as a so-called flexible response budget.

<sup>7</sup> See ToC for Pereira in VNG International (2019b). Note that in the ToC for Kumasi, this is an underlying assumption of the link between outcome and impact.

Table 2 presents details of the four projects in terms of objectives and expected results.

**Table 2: Results of the projects envisaged in the City ToC's**

Kumasi	Pathein	Pereira	Sèmè-Podji
<i>Inclusive Green Growth in Kumasi through decongestion and Zongo development</i>	<i>Governance of inclusive green growth for squatter settlements and neighbourhoods in Pathein Township</i>	<i>Inclusive Waste Management in Pereira</i>	<i>My waste, my treasure</i>
<b>Impact</b>			
Enhanced living conditions for urban poor in Kumasi	Reduced environmental impact of and enhanced living conditions for urban poor residents living in flood-prone areas in Pathein	Enhanced working and living conditions of informal waste workers in Pereira	Enhanced living conditions of the urban poor in Sèmè-Podji
<b>Outcome</b>			
Responsive integrated, inclusive and multilevel governance of Kumasi Metropolitan Assembly (KMA) on slum development, sustainability and decongestion in Kumasi	Improvement of capacity and policies of Pathein Township for integrated, multi-stakeholder and inclusive approaches to sustainable waste and water management for urban poor communities in flood-prone areas	- Responsive integrated (waste, social, environmental) municipal policies to the formalisation of informal solid waste workers (Decree 596) in Pereira; - Responsive integrated institutional development of the municipality of Pereira to the needs of informal solid waste workers	Improved capacity and policy of Sèmè-Podji municipality for integrated, multi-stakeholder and inclusive governance approaches to face the challenge of waste management
<b>Intermediate outcomes</b>			
<i>Changes in policy and capacity</i>  1. Inclusion of stakeholders in the formulation of KMA's decongestion strategy; 2. Policies on decongestion and slum development promote gender equality and the living conditions of the urban poor; 3. Through an integrated governance approach, KMA is responsive to input of stakeholders related to the development of satellite markets; 4. KMA successfully establishes cooperation mechanisms with other (non-)governmental stakeholders related to decongestion sustainability and slum development; 5. KMA engages in co-creation with other stakeholders on circular economy initiatives through its Circular Economy Hub.	<i>Changes in policy formulation/implementation:</i> 1. Inclusion of all stakeholders (including men, women, informal settlers) in policy making process; 2. Sustainable waste management strategy is inclusive; 3. Implementation of policy measures (budget and activities) that enhance sustainable waste and water management for urban poor.  <i>Change in institutional capacity:</i> 4. Increased participation of poor urban residents in township meetings regarding sustainability; increased sense of urgency of Pathein township staff on sustainability challenges; 5. Improved participatory budgeting and planning for integrated waste management services 6. Public-private partnerships for sustainable waste and water management established	<i>Changes in policy formulation/implementation:</i> 1. Inclusion of informal waste recyclers in the policy making process; 2. Improved policy measures (budget & activities) that support the formalisation of recyclers organisations in line with their needs; 3. Implementation of policy measures (budget & activities) that support the formalisation of recyclers organisations in line with their needs; 4. Increased influence of the municipality in relation to other actors in the waste management chain.  <i>Changes in institutional capacity/policies:</i> 5. Responsiveness of the municipality, through an integrated governance approach, on the formalisation of recyclers process; 6. Increased participation of recycling organisations in the PGIRS coordination group of the municipality; 7. Municipality believes that formalisation of recyclers contributes to their policy objectives. 8. Increased effectiveness of internal municipal procedures on interinstitutional cooperation	<i>Changes in policy and capacity</i>  1. Inclusion of stakeholders in policy making processes; 2. Strengthened organisation and functioning of the PME (collection) sector; 3. Increased awareness at the municipal level of sustainable and inclusive waste management, practices and (health) risks; 4. Increased number of public-private sector initiatives; 5. Participatory waste-related policies and regulations formulated; 6. Implementation of the different policies and steps of the waste-management chain
<b>Output</b>			
Key elements 1-6 of the integrated governance approach	Key elements 1-6 of the integrated governance approach	Key elements 1-3 and 6 of the integrated governance approach	Key elements 1-6 of the integrated governance approach

## 2.2 Description of key activities

The key activities that are or were typically carried out in the projects include:

- Identification missions;
- Studies and analyses (Identification of urban development challenges, political economy analysis, organisational capacity analysis, inclusivity analysis focussed on gender and slum dwellers);
- Training and other forms of capacity building, including awareness campaigns;
- Facilitation of the collaboration between stakeholders/supporting meetings;
- Facilitation of the signing of agreements between stakeholders;
- Designing and implementing pilot projects, small investments in physical improvements;
- Identification of additional sources of funding;
- Creation of platforms for exchange of knowledge and experience;
- Monitoring progress; and
- Reporting.

Table 3 gives an overview of selected project activities.

**Table 3: Selected key activities of the projects**

Kumasi	Pathein	Pereira	Sèmè-Podji
<ul style="list-style-type: none"> <li>Support to interdepartmental cooperation</li> <li>Training for staff of Kumasi Metropolitan Assembly on topics like communication, interdepartmental cooperation and scenario planning</li> <li>Multi-stakeholder cooperation related to pilot sites</li> <li>Mapping of functions of central- and satellite markets</li> <li>Support to the development of a strategic plan for decongestion of Kumasi Metropolitan area</li> <li>Support to the development of civic education and engagement initiatives</li> <li>Upgrading of a meeting room to create a sustainability and participation showcase and project hub</li> </ul>	<ul style="list-style-type: none"> <li>Technical assistance</li> <li>Training and coaching on multi-stakeholder cooperation</li> <li>Training and coaching on communication and public awareness for inclusive waste management</li> <li>Capacity development on the governance of water and waste management</li> <li>Technical advice to promote gender mainstreaming throughout the project</li> <li>Facilitation and support for pilot projects</li> <li>Support to the development and implementation of multi-stakeholder pilot projects on water and waste management</li> <li>Facilitation of citizen engagement and awareness for sustainability</li> <li>Facilitation of multi-stakeholder meetings</li> <li>Facilitation and support for integrated cooperation on sustainability (cooperation with different departments)</li> <li>Learning and exchange</li> <li>Study visit to the Netherlands (2018)</li> <li>Domestic study visit to Mandalay</li> <li>On-demand city-to-city learning.</li> </ul>	<ul style="list-style-type: none"> <li>Facilitation of the coordination of the City Lab on inclusive waste management</li> <li>Support to the municipality on the development of a material flow analysis and circularity assessment</li> <li>Support to the municipality for training recyclers' organisations on entrepreneurship (business management, finance, logistics, etc.)</li> <li>Facilitation of coordination of inclusive recycling forum in the city</li> <li>Support and facilitation of the coordination of communication, public awareness and education strategy and activities for inclusive waste management</li> <li>National forum / workshops on SWM settlements</li> <li>Citizen engagement activities for education on waste management (e.g. workshops for families on waste separation, musical instruments fabrication, discussion platforms)</li> </ul>	<p>Contribution to the proper functioning of the waste chain</p> <ul style="list-style-type: none"> <li>Two study trips (Netherlands and Ghana)</li> <li>Two training sessions (team building, Ouidah and Grand-Popo)</li> <li>Capacity building of SMEs (collection services)</li> <li>Support for SMEs and GIEs for pre-collection of waste (through consultants)</li> <li>Investments in a temporary site</li> <li>Elimination of illegal landfills (3)</li> <li>Support to the municipality in the transport of waste to processing sites</li> <li>Construction of two platforms (to serve as a temporary waste collection point)</li> <li>Provision of light equipment to the health committees (gloves, wheelbarrows, shovels, rakes, etc.)</li> </ul> <p>Awareness raising campaigns with the focal team</p> <ul style="list-style-type: none"> <li>Awareness campaign - "Zero Waste week and public health day"</li> <li>Strengthening the integrated and project-oriented approach of the municipality</li> <li>Strengthening the multi-stakeholder approach of the municipality (and while involving private parties)</li> </ul>

Please also refer to Annex 4, which provides a table of activities laid out in the VNG 2018 progress report and the Annual Plan 2019, comparing the activities of the four projects for the two years, by category of activity.

As outlined in the DEALS proposal, each of the projects started with an inception mission, the execution on the analyses mentioned above, and the recruitment of City Focal Persons (and the formulation of Netherlands/local VNG project teams). This was followed by the set-up of an institutional structure to support the work to be done. For instance, the project in Sèmè-Podji established a focal team, made up of municipal staff. Kumasi set up a KMA Steering Committee. This was then followed by workshops for the presentation of the projects, the selection of the pilot projects and prioritization of problems.

In many cases, the process (when related to interactions between government departments) started with initial training (of the government officials) on integrated approaches, followed up by support to cross-departmental meetings to identify areas of common interest and develop supporting actions. This was followed by support and coaching on anti-silo interdepartmental cooperation. The teams also undertook (training on conducting) multi-stakeholder workshops, followed with facilitation of multi-stakeholder meetings and joint actions. All technical assistance and capacity building activities were interspersed with facilitation and support activities.

The table above reflects the fact that capacity building played an important role. The project documentation shows that capacity building activities can be categorised under 1) colleague-to-colleague, 2) coaching, 3) study visits, 4) training, 5) advice and assessments, 6) grants, 7) outreach/media coverage.

It is noteworthy that some of the activities involved direct support and inputs from the VNG team and international experts, but, in many, DEALS played a more indirect or peripheral role, as a ‘facilitator’: e.g. in Pereira, DEALS supported the communication campaign in public campaign on household waste separation to promote recycling of materials in the city. This underlines the fact that the approach taken was, in many cases, to act as an ‘enabler’. In Sèmè-Podji as well, the interaction of the team with the Mayor resulted in the passing of two byelaws: 1) for compulsory subscription to waste collection services and 2) against illegal dumpsites and the commitment of a budget line to SWM.

## 2.3 Key stakeholders involved

The major stakeholders involved in the DEALS projects in the four cities can be grouped into five clusters (Table 4).

*Table 4: Classification of key stakeholders*

<b>Target local government</b>	<ul style="list-style-type: none"> <li>▪ The Mayor/Mayor’s Office</li> <li>▪ Departments within the municipal government</li> <li>▪ Municipal companies in charge of administration</li> <li>▪ Municipal public service providers</li> </ul>
<b>Other government actors and levels</b>	<ul style="list-style-type: none"> <li>▪ Regional or national level governmental organisations that were relevant for addressing the identified problem(s), such as line ministries, regional governments, association of municipalities, regulatory/supervisory entities and, environmental authorities</li> </ul>
<b>Non-governmental stakeholders</b>	<ul style="list-style-type: none"> <li>▪ Local, regional, national or international level organisations that are relevant for addressing the identified problem(s), such as beneficiary groups, private companies and CSOs</li> </ul>
<b>Technical Assistance</b>	<ul style="list-style-type: none"> <li>▪ City Focal Person(s) (CFP)</li> <li>▪ Other local project staff hired by VNG International</li> <li>▪ Associated experts of VNG International</li> <li>▪ Local experts hired to make inputs into the project and for elaboration of monitoring reports</li> </ul>
<b>Foreign local government</b>	<ul style="list-style-type: none"> <li>▪ Municipalities in the Netherlands that provided experts</li> <li>▪ Other municipalities participating in the DEALS programme</li> <li>▪ Other donors, when beneficial</li> </ul>

In Kumasi, those involved have been:

- *City departments:* Planning Department, Waste Management Department, Environmental Health Department, Transport Department, Department of Social Welfare, Market management, Public Relations Department, Urban Roads Department, Town & Country Planning Department;
- *Governmental:* Government Ministries and Agencies (Ministry of Local Government and Rural Development, Ministry of Finance, Ministry of Transport and Ministry of Planning)
- *Non-governmental:* Women Groups, Youth Groups, Market Manager, Market Queen, Traditional leaders, Civil Society Organizations, Kwame Nkrumah University of Science & Technology, Cooperatives engaged in recycling, Religious community leaders, transport operator unions, and vulnerable groups such as people living with disability (PwDs);
- Also neighbouring municipalities, experts and consultants (Kwadaso Municipal Assembly (M/A), Asokwa M/A, Tafo M/A, Asokore M/A and Suame M/A.)

In Pathein, the stakeholders have been:

- *Governmental Township level:* Township Development Affairs Organizations (RDAO and TDAO) and Township Development Affairs Committee (TDAC) (Pathein municipality), the General Administration Department (GAD), the Health Department, Ward Administrators and the Ward Cleaning and Supporting groups (WCSGs);
- *Governmental Regional level:* Ayeyarwaddy Regional Government (Minister and parliament), the Regional DAO. *Union ministries and their agencies in Pathein:* i.e.: Ministry of Construction - Department of Urban and Housing Development, Ministry of Transport, Ministry of Social Welfare, Relief and Resettlement - Department of Social Welfare (gender focal point), Ministry of Home Affairs - General Administration Department (GAD);
- *Non-governmental:* Pathein University, Civil Society Organizations (CSOs) such as ATAA and Clean Pathein and private companies such as Pathein Industrial City.

In Pereira, there has been the involvement of:

- *City departments:* Secretaría de Desarrollo Rural y Gestión Ambiental de Pereira, Secretaría de Planeación de Pereira, Secretaría de Desarrollo Social de Pereira, Secretaría de Gobierno de Pereira and Secretaría Jurídica de Pereira;
- *Governmental:* Aseo de Pereira, Ministry of Environment, Ministry of Housing, Drinking Water and Sanitation regulatory Commission (CRA), and the Metropolitan Area Centro Occidente (AMCO), Superintendence of Public Domiciliary Services (SSPD);
- *Non-governmental:* The community and waste pickers of Pereira, Entrepreneurial Agreement for Recycling (CEMPRE), Regional Initiative for Inclusive Recycling (IRR), Fundación Grupo Familia, National Open and Online University (UNAD), Technological University of Pereira (UTP).

In Sèmè-Podji, the stakeholders have been:

- *Local government:* The town hall of Sèmè-Podji and the Mayor, the Municipal Council, the Secretary General and the staff of the Administration: Services Techniques (ST), Service Affaires Domaniales (SAD), Service Affaires Sociales (SAS), Service Prospective Economique et Developpement des Ressources (SPEDR), Service Development et Décentralisation (SDCD), Affaires Générales, Affaires Juridiques, Caisse municipal;
- *Governmental:* District-level Commission de Gestion des Déchets (Waste Management Commission, COGEDES), Ministère Cadre de Vie, Direction Général de l'environnement et du climat, Programme national de gestion des changements climatiques, Agence l'environnement et le climat;

- *Non-governmental:* Representatives of pre-collection/waste collection SMEs, NGOs on environmental protection, Research Centre Valdera, the Association of female gardeners and women's associations.

It is clear that all projects managed to get good representation of the stakeholder groups targeted in the projects and in the integrated approach. The key beneficiaries, the urban poor, or the informal waste pickers in the case of Pereira, had a strong presence.

### 3. Review of process

This chapter addresses the following first set of review questions included in our proposal.

- 1a. How did project teams and target cities develop and implement the Theories of Change (ToC)?*
- 1b. How did the project team build capacity of the key stakeholders involved in the programme?*
- 1c. With which stakeholders did programme team engage and how did the project team and partner cities deal with conflicting interests as part of the stakeholder engagement process?*
- 1d. What challenges have the programme teams been dealing with and how have they addressed them?*
- 1e. How were outputs monitored and has there been a review of the original ToC?*

The chapter starts with a discussion of the development and implementation of the Theories of Change in Section 3.1. This section addresses the first review question, but also touches upon the issues of monitoring and review of the original ToC (question 1e). Section 3.2 is about capacity building of key stakeholders (question 1.b). Section 3.3 elaborates on the stakeholder process, conflicting interests and challenges (questions 1c and 1d). Section 4 discusses, in more detail, how output (and other results) are monitored. The four sections will make references to the integrated governance approach that was adopted in the programme and the projects in the four cities. Section 3.4 sums up the main findings.

#### 3.1 Development and implementation of Theories of Change

Generally, the teams working on the projects in the four cities are composed of a project manager based in The Hague, one or more (full-time) City Focal Persons, other (part-time) local experts hired by VNG, as well as international associate experts of VNG and Dutch municipal staff who occasionally provide support. In the cases of Pathein and Sèmè-Podji there is also a junior project manager. Project teams generally collaborate closely with staff of the municipal government in the target cities.

The projects in the four cities started with an inception phase during which City Theories of Change were developed. These were made on the basis of a general ToC elaborated in the proposal phase of the DEALS programme, as well as the findings of identification missions, a series of studies and analyses (i.e. political economy analysis and organisational capacity analysis, etc.) and of multi-stakeholder meetings at local level that were organised to present and discuss the contents of the ToCs. The programme used, as a starting point, an integrated, bottom-up approach that is partly reflected in the original, general ToC and the City Theories of Change; these ToCs were presented in, respectively, the proposal of 2017 and the inception report of March 2018 (see VNG International 2017a,b; 2018a).

The proposal furthermore referred to the 5Cs framework for an assessment of changes in capacity – identifying five capabilities – and a ‘localised’ set of 5C indicators for each city.<sup>8</sup> The idea was that the municipal governments would have ‘a stronger degree of local ownership for the identification of capabilities to be addressed and for indicators to be used’ (VNG International 2017b). The inception report explains that the ‘focus of capacity development will be on effective interaction with and participation of stakeholders and on (vertical and horizontal) policy coordination within government’. The organisational capacity analysis refers to the discussion on the 5Cs approach in the proposal and the need to elaborate capacity indicators (VNG International 2018a). This suggests a link between the integrated approach and the 5Cs framework, also for monitoring purposes.

In practice, however, the 5Cs framework was not used in the programme and projects – as least not explicitly. Indicators in the City ToCs were not defined in terms of the 5Cs. After the inception phase,

<sup>8</sup> The five capabilities are the capabilities to act and to commit, to deliver on development objectives, to adapt and self-renew, to relate to external stakeholders and to achieve coherence.

the DEALS programme developed a framework for collecting information to monitor progress with the application of the integrated approach (see Van Reesch 2019). As explained in Chapter 1, the City Theories of Change were reviewed later, and their revised versions are included in the Annual Plan 2020. The revised ToCs, with new sets of (output) indicators appear to incorporate the concepts of the integrated approach more effectively.

Some of the persons that were interviewed for this Mid-Term Review indicated that they participated in the initial meetings focusing on the original ToCs. Most interviewees were not familiar with the revised ToCs. Somewhat surprisingly, two thirds of the respondents of the survey that we conducted indicated to be (quite) familiar with the ToC. But only a third was quite or strongly involved in its development. Over half of the respondents were not (very) familiar with the fact that the ToC was revised and only a minority was really involved in that revision (see Annex 3).<sup>9</sup> Apparently, the revised ToCs were not shared widely with local stakeholders.

Survey respondents tended to be less familiar with the ToC than with the objectives of the projects (see Annex 3). Persons interviewed had a general idea of what the envisaged impacts of the projects are. In Pereira, for instance, all stakeholders interviewed identified waste collectors as the target population, although for several of them, the expected impact of the project is the institutional strengthening of the waste recyclers' organisations. Stakeholders also frequently had difficulty in distinguishing between different levels of results. Logically, people tended to be more familiar with the ToC – and hence the different levels of results – the more closely they have been involved in project implementation. This is confirmed by the survey results (Annex 3).

The Inception Report and the Annual Plans of the DEALS Programme list several activities to be implemented by the project teams in cooperation with (other) local stakeholders. As explained in the previous chapter, key activities include the facilitation of collaboration among municipal government departments and that between municipal governments and, respectively, other governmental organisations and non-governmental actors, as well as capacity building activities such as training, coaching and awareness raising.

### 3.2 Capacity building of key stakeholders

As stated before, the DEALS proposal defined, for each project, a number of analyses that had to be undertaken at the beginning of the project, one of which was the organisational capacity analysis. The aim of the organisational capacity analysis is *to identify the capacity gaps of the urban government to perform on its tasks and responsibilities in the City Deal for the DEALS programme to identify what capacity development interventions it can support* (VNG International 2018a: Ch. 3). The tool that was developed for the analysis requires the user to define the tasks of the local government, the capacity needed and existing gaps. It also requires the definition of the indicators to measure capacity development. The tool refers again to the 5Cs approach, and the use of the capabilities and indicators that are part of this approach.

A review of the documentation shows that, though these analyses were executed per project, they were not used in the manner intended: the analyses lacked depth and no reference was made to the 5Cs as a guiding framework. As stated before, the 5Cs approach was included in the proposal, but not used in practice in the projects. As this programme relied heavily on capacity building, the lack of in-depth analysis of the capacity needs and gaps seems a missed opportunity. In the monitoring of

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<sup>9</sup> It is not surprising that survey respondents who were hardly or not involved in the development of the ToC were often also not (much) involved in its revision.

progress, outcome indicators are used that are somehow related to capacity, but they do not refer to different types of capacity development and do not measure capabilities.

In fact, when asked to reflect on the use of the 5Cs<sup>10</sup>, most VNG respondents admitted to the fact that the framework did not play a role, and that with the revision of the ToC it was difficult to use. Others admitted that it was, from the outset, complicated to use; one respondent also mentioned that younger staff were not familiar with the use of the tool.

Capacity, with the revision of the ToC, became an outcome of the projects; i.e. for Pathein and Sèmè-Podji: *the capacity for integrated, multi-stakeholder and inclusive governance* or for Kumasi and Pereira: *responsive integrated, inclusive and multi-level governance/policies/institutional development*. The integrated approach, and more specifically the first three of the six key elements), became the framework to guide capacity building. In addition, as remarked in Kumasi, the pilot projects (the 4<sup>th</sup> element of the integrated approach, were seen as the means to build capacity rather than as ends in themselves.

In general, the types of capacity building activities that took place were:<sup>11</sup>

- Outreach/media coverage: mostly awareness raising activities targeting larger numbers and diverse groups of stakeholders;
- Training and study visits: targeted to smaller groups, target groups specifically chosen on the basis of their direct relationship with the learning objectives of the activity.
- Coaching and colleague-to-colleague: referred to more one-on-one interaction, or just to meetings to discuss and coordinate;
- Advice and assessments: these referred to expert advice hired to do a study or audit;
- Grants: financial support to the implementation of physical interventions, i.e. in Pathein, under the DEALS Grant scheme.

The types of activities ranged from larger events, involving information sharing (mostly one-way communication, 50-100 participants), to mid-size events that involved two-way interaction (multi-stakeholder events or training with up to approximately 40 participants), and smaller, more personal and intermediate events (coordination meetings, coaching with 2-10 people).

The typology also reflects the target groups: smaller events were typically targeted to government partners (or small meetings with a range of stakeholders) to stimulate inter-departmental working; mid-size events were targeted to stakeholders that were key for the pilot projects and multi-stakeholder working, and larger events were targeted to a wider and diverse group of stakeholders, i.e. those with an interest in the thematic focus on the event, but not necessarily directly involved in the pilot projects (see also Box 1). During the multi-stakeholder workshops, for instance, there was a strong mix of actors: the public sector, University, NGOs, CSOs and the community. The private sector was visible, but perhaps to a lesser degree, depending on the project.

Respondents at the local level generally agreed that capacity building played an important role in the projects and that they were able to apply learning in their work. They generally agreed that the range of activities contributed to increasing capacities for inter-departmental cooperation and multi-stakeholder collaboration. They appreciated the participative, practical and the 'learning by doing' nature of the events. Respondents perceived the study visit in 2018 to the Netherlands as a turning point: effective in creating commitment to the project, being exposed to international experience, and providing the opportunity for exchange of experience. Many of the respondents felt that awareness

<sup>10</sup> and when asked about the possibility of gaining access to the indicators used for capacity building.

<sup>11</sup> Explicit reference was made to these categories in the Pathein documentation; and though they were not explicitly described in the documentation of the other projects, they were used widely in the annual plans.

raising activities were important and made a difference. This differed somewhat, however, depending on the project; awareness raising is perhaps a more common activity in Kumasi and Pereira than in Sèmè-Podji and Pathein.

*Box 1: Example of target groups of capacity building activities*

In Kumasi, the key stakeholders who received capacity building support are KMA staff, heads of department of KMA, the Mayor and assembly members of KMA, Community Service Organizations (CSOs), students and youth involved in surveys, market women, scrap dealers and residents' groups from the two pilot Zongos.

In Pathein, the stakeholders that received capacity building were the Township DAO/DAC, the Ward Administrators, the Ward Cleaning and Support Groups, the household leaders, students of Pathein University involved in collection of baseline information, the children of the town and wider community members during awareness raising events.

In Sèmè-Podji, for instance, the focal team reported the ability to work better in a team, to improve work processes and the working atmosphere within the team. Members also mentioned having an increased knowledge of the sector, which helped them to better understand, target and organize actions (e.g. Zero Waste Week or household awareness). Finally, they mentioned a better understanding of the roles and expectations of actors, helping to better support them. They found travel, training (in general), team building and the support relating to the role of actors the most useful.

In Kumasi, respondents remarked that the support to the tangible activities in the pilot projects were seen both by the international team and local stakeholders as an important means of promoting collaboration and an integrated approach. This implies, again, that the pilot projects (and the investments made during the projects) were also an important vehicle for facilitating capacity building. For instance, the disused KMA rooms were converted to meeting rooms and later became the focus of the incipient Kanko Circular Hub. This hub, which aims to be a centre for information on the circular economy, was launched with an innovative participative training workshop (the "design sprint").

In Pereira, the recyclers' organisations received technical advice and support (in the form of uniforms, equipment, software, etc.). The software they received helped the administration of the organisation to keep track of the entry and exit of materials and allowed them to keep a database of the recyclers. The assistance provided by VNG saved the organisations from incurring administrative costs and expenses that they were unable to afford. The support given was useful as it gave them more confidence when approaching the community, wearing their uniforms and carrying their equipment/posters.

In Pathein, responses focused more on the nature of the support, namely: practical and learning by doing (on the job, technical assistance, linked to application of learning). For example, respondents mentioned report writing, analysis and review, waste auditing, sorting of waste, use of GPS, and awareness raising. The practical nature of the support implied that application to the job was possible, also in the technical aspects. Capacity building was useful as it led to physical results, i.e. drilling of the canals and provision of drains, (see fifth key element of the integrated approach) and therefore a reduction in flooding. Others reported being able to better coordinate and cooperate with other institutions, and to coming to decisions that were not dominated by one player. For many, awareness raising was the most important, in particular for the community, but also for government officials.

Five survey questions concern capacity building and learning. The survey asked respondents 'to what extent ... (see Table 5).

**Table 5: Average survey scores on capacity building and learning**

Question	To what extent ...	AVG	n
S8	... has the programme contributed to capacity development?	3.5	39
S9	... has the capacity building support been useful for your participation in the DEALS programme?	3.6	35
S10	... have you learned from the programme?	3.5	37
S11	... have you been able to implement learning in your work?	3.4	36
S12	... have other stakeholders learned from the programme?	3.2	34

The responses showed relatively high average scores on a scale of 1 to 4,<sup>12</sup> i.e. 3.2 to 3.6 out of 4. The scores are highest for the usefulness of capacity building support for participation in the programme, the extent to which the programme contributed to capacity development and the extent to which respondents learned from the interventions. The average results were marginally lower for the extent to which learning could be implemented and for the opinion on learning by other stakeholders. The slightly lower score on ability to implement what is learned from the programme is most likely related to some of the constraints to implementation that were mentioned in the interviews. These involved a range of issues, namely: budgetary restrictions, internal bureaucracy and therefore a lack of flexibility, the practicalities of working with multiple parties and coordination issues, having to do the project alongside daily tasks, the lack of access to technology, and equipment received that did not completely meet their needs. The change in personnel during the project and as a result of elections were also mentioned.

**Fout! Verwijzingsbron niet gevonden.** elaborates on the types of capacity building activities that took place in each project. It also includes technical assistance provided.

Also of importance was the extensive use of local capacities, coupled with a 'facilitating' role on the part of VNG International. The latter used external consultants but tried to limit the traditional approach of consultants flying in and leaving after delivering a report. The project took a more practical perspective, based on two important principles: 1) putting the local authorities in the driver seat, therefore ensuring ownership, also over the longer term and 2) building local capacity that would remain in country after the project finished. These two principles are likely to influence sustainability (see also section 4.2).

<sup>12</sup> 1 = "Very little/nothing"; 2 = "Little"; 3 = "Some" or "Somewhat"; 4 = "A lot".

**Table 6: Capacity building interventions**

Kumasi	Pathein	Pereira	Sèmè-Podji
<ul style="list-style-type: none"> <li>• Training workshops to support the development of the de-congestion strategy, and also to support small pilot areas activities</li> <li>• Training workshop to support participative planning and data collection (with Almere) (described as colleague-to-colleague benchmarking and training)</li> <li>• Design sprint for the establishment of the Kanku Kumasi Circular Hub with Noordwind (colleague to colleague,)</li> <li>• (Planned Action research consultative conference took place early 2020)</li> </ul> <p>On-job coaching:</p> <ul style="list-style-type: none"> <li>• anti-silo working</li> <li>• participative meetings</li> <li>• application for IMIF financing</li> <li>• development of the de-congestion strategy</li> <li>• training of enumerators and data collection for markets</li> <li>• training of enumerators - route analysis</li> </ul> <p>Support to multi-stakeholder working:</p> <ul style="list-style-type: none"> <li>• Multi-stakeholder meetings at pilot sites</li> <li>• Validation meeting with stakeholders on market functions and (social) amenities (did not take place in Abinkyi Market)</li> <li>• Validation meeting with stakeholders on Master plan for decongestion related to pilot areas.</li> <li>• TA on: Financial sustainability (ongoing)</li> <li>• TA on Land use planning, compliance and enforcement (ongoing)</li> <li>• TA on Decongesting/Zongo development strategy (ongoing)</li> <li>• TA to KMA interdepartmental DEALS team meetings (ongoing)</li> <li>• Support to development of KMA Strategic or “Master” plan for decongestion related to pilot areas</li> <li>• Support to the bid to get IMIF funding</li> </ul>	<ul style="list-style-type: none"> <li>• Workshop Pilot project ward selection for selection on 2 pilot wards (coaching),</li> <li>• Multi stakeholder workshop to prioritize and agree on problems in 2 wards (Coaching)</li> <li>• Training on collection and analysis of baseline data</li> <li>• Waste Awareness Training of trainers</li> <li>• Awareness raising 1) Anti-plastic for kids, 2) World Environment Day, 3) Waste and Health 4) World Clean Up Day.</li> <li>• Meetings on follow up action plan with the government and community leaders, CSOs (TA and coaching)</li> <li>• Meetings in wards to raise awareness of waste and the project</li> <li>• Waste Audit (advice, coaching)</li> <li>• Training waste reduction the government and community leaders, CSOs</li> <li>• Study visit to Mandalay</li> <li>• Ongoing support to ensure gender mainstreaming throughout the project</li> <li>• Meetings with the government for technical support (TA)</li> <li>• Analysis of planning and budgeting (advice)</li> <li>• Review of the municipal law and support in waste strategy (TA, Advice)</li> </ul>	<ul style="list-style-type: none"> <li>• Diagnosis and training on administration, industrial safety, hazardous materials management and solid waste separation.</li> <li>• Workshop on inclusive recycling held on 28 September 2018, with participation of over 20 public and private entities, coordinated by VNG International and PGIRS Technical Committee</li> <li>• Awareness raising: Global Recycling Day: First Municipal Recycling Fair “Pereira Recicla” (17 May 2019) and the Seventh Campaign of Hazardous and Special Waste Collection</li> <li>• Mayor’s candidates’ debate on inclusive waste management (September 2019)</li> <li>• Theatre play on recycling in schools and parks</li> <li>• Communication campaign in collaboration with CEMPRE and municipal government</li> <li>• Second Municipal Recycling Fair “Pereira Recicla” (12 November 2019)</li> <li>• Forum on circular Economy (November 2019)</li> <li>• Training to recycler organisations</li> <li>• Dutch municipal visit to exchange on the leasing of municipal land for housing. Practical experiences for policymakers</li> <li>• Visit of Dutch waste management company to develop concept of waste stations for the disposal of large items</li> <li>• Support to the municipality on the development of a material flow analysis and circularity assessment</li> <li>• Support to the development of guidelines for the strengthening and formalisation of recyclers</li> </ul>	<ul style="list-style-type: none"> <li>• Workshop and coaching on interdepartmental cooperation and clarification of coherent strategy of sustainable and inclusive waste management</li> <li>• Workshop and coaching on stakeholder analysis and multi sectoral partnerships</li> <li>• 2018 study visit to the Netherlands</li> <li>• Study visit to the Centre Valdera at the University of Abomey-Calavi</li> <li>• On the job coaching of the focal team</li> <li>• Team building activities for the focal team</li> <li>• On the job coaching on multiparty stakeholder cooperation around waste management and circular economy</li> <li>• Training in multi stakeholder partnerships</li> <li>• Training and coaching on the implementation of the communication and awareness strategy</li> <li>• Execution of two awareness campaigns in two pilot areas</li> <li>• Organisation of a zero-waste week in the two pilot projects in line with the communication and awareness strategy</li> <li>• TA to develop an integrated waste management strategy</li> <li>• TA to demolish waste dumpsite</li> <li>• TA to the budgetary process for waste management</li> <li>• TA to hold a stakeholder consultation regarding the circular economy</li> </ul>

### 3.3 Stakeholder engagement, conflicts of interest and challenges

This section reflects on the manner in which the project teams engaged with stakeholders and how they and the partner cities dealt with conflicting interests as part of the stakeholder engagement process.

The integrated approach applied in DEALS puts people at the centre. VNG International therefore had to spend time identifying the key stakeholders in the programme and the projects. Sustainability issues, such as solid waste management, can be looked at from different perspectives – economic, social, environmental, for instance. Each perspective can bring in different interests from stakeholders and different solutions. This can imply conflicts of interest and interests and solutions can become very complex. Stakeholder management is then key.

Before looking at stakeholders and their interests, some information on the scope of the pilot projects and investment is given in Table 7. The stakeholders mentioned above, and the nature of the projects are an important for understanding interests and possible differences in these.

**Table 7: Stakeholder collaboration, area-based pilot projects and investment**

Kumasi	Pathein	Pereira	Sèmè-Podji
Stakeholder collaboration			
In relation to the components of the pilot projects	Especially at ward level	Organised around activities	At the district level, in pilot areas
Area-based pilot projects			
<p>A pilot project that focused on the decongestion of the city's Central Business District.</p> <p><i>Components were:</i></p> <p><i>Markets:</i> Abinkyi (Afia Kobi) Market (later dropped) and the Racecourse market</p> <p><i>Slum development:</i> Dagomba Lines and Moshie Zongo;</p> <p><i>Sustainability and collaboration:</i> Development of office spaces as a Project Hub with meeting spaces.</p>	<p>Pilot projects on water and waste management.</p> <p>Pilot projects in two wards in Pathein township that used a multi-stakeholder and integrated approach to waste and flooding issues, with specific attention to the improvement of the living conditions of informal settlers and inclusion of women in these neighbourhoods.</p>	<p>No areas-based pilots, although the waste recyclers' organisations supported first have been referred to as pilot organisations</p> <p>Instead the project focused on setting up COLABORA, a City Lab, in Pereira, dealing with the Circular Economy and Inclusive Waste Management using integrated, multi-level and inclusive waste and environment governance approaches to the challenges facing informal solid waste pickers and recyclers.</p>	<p>Development of an inclusive environmental management system in the Agblangandan district. The district is strongly impacted by the accumulation of waste, flooding and the effects of urbanization.</p> <p>The project, called <i>my trash, my treasure</i>, focused on the involvement of various stakeholders; as well on the recycling and reuse of waste towards value-added products, economic development and to promote the emergence of a circular approach to waste.</p>
Investment			
<p>The pilot area activities have had budgets for limited investments:</p> <ul style="list-style-type: none"> <li>Disused KMA rooms were converted to meeting rooms and later became the focus of the incipient Kanko Circular Hub ;</li> <li>Projects in selected markets and slums.</li> </ul>	<p>The DEALS grant programme also allowed for small investments in the wards: i.e. drilling of the canals and provision of drains.</p>	<p>No public investments</p>	<p>Construction of dumping sites</p> <p>Investment in social and community infrastructure (public latrines) on the sites formerly occupied by illegal dumps.</p>

In Kumasi, the project used training workshops to support the development of the de-congestion strategy, and also to support small pilot areas activities connecting the overall strategy to satellite markets (initially two, later one) and two informal housing or Zongo areas. In addition, disused KMA rooms were converted to meeting rooms and later became the focus of the incipient Kanko Circular Hub. The pilot projects were seen as a means to build capacity, this was true for all projects.

In Pathein, the focus was on pilot projects in two wards in Pathein township that used a multi-stakeholder and integrated approach to waste and flooding issues; they also included small investments via a grant programme.

In Pereira there was no pilot project. Instead the project focused on setting up COLABORA, a City Lab, in Pereira, dealing with the Circular Economy and Inclusive Waste Management. The waste recyclers' organisations supported by the project have been referred to as 'pilot organisations.'

In Sèmè-Podji, in the Agblangandan district: The project, called 'my trash, my treasure', focused on the involvement of various stakeholders; as well on the recycling and reuse of waste towards value-added products. The pilot project concentrated on -pre-collection phase of the value chain.

Some of the projects reported, interestingly enough, minimal conflicts of interests. In Pathein, for instance, though respondents admitted to the fact that interests were different (which became apparent during the multi-stakeholder sessions), all local respondents stated that there were **no** conflicts in interests. This is an interesting response, as it is clear from some comments that finding a common ground was sometimes difficult. But these responses perhaps reflected that, overall, local stakeholders were looking for the same outcomes (interests were complementary), and therefore the differences (conflicts) were 'manageable'. The statements that there were no conflicts of interest were refuted by respondents from VNG. One respondent particularly underlined the difficulty of building relations of trust, in a (historically affected) setting laden with mistrust, also mentioning that having stakeholders commit to taking responsibility (being accountable) was also an uphill battle. Other VNG respondents underlined the differences in interests and the challenges of finding methods to allow for equal voice in making decisions.

In Kumasi, the CFPs reported that the multi-stakeholder anti-silo governance approach was used to build trust and foster collective ownership of the programme. After this, they saw no serious conflict in interest issues. At the initial stages, driver unions and transport operators felt their livelihoods were at risk, but through dialogue and assurances of how the decongestion strategy would enhance their operations, such issues were resolved.

In Sèmè-Podji, the involvement of the Mayor in the design and implementation of the project was key to his understanding and support of the intervention model and strategy, and in aligning interests (often via the focal team). With the change of Mayor (and therefore the focal team) and the new vision of the State setting up waste management companies with free, temporary collection), actors changed, as did the interests. Building support and trust has been a challenge.

In Pereira there were two types of conflicts regarding the waste recyclers' organisations. First, a former official commented that "at the beginning the recyclers did not completely trust the possibilities offered by the project, they showed resistance"; but the project team has been gaining confidence and, although not all organisations are satisfied, some are collaborating. Another type of conflict was the friction over the management of the resources from the IAT, which is a recycling tax charged to users on top of the tariff for waste collection. Waste-collection companies (including the dominant company ATESA) collect the tariffs and IAT from users. They have to transfer the IAT resources to municipal government and a part of the tariff resources to the waste recyclers. The municipal government manages the IAT resources. Some organisations believe that the tariff resources are not managed transparently and that the 'resource conciliation round tables' established by law are not complied with and are managed in an unequal manner, without allowing the organisations to really participate. So, there are indications that the conditions of competition in the solid waste management market in the city are unequal, and that they are detrimental to the organisations of waste recyclers.

Table 8 underlines where conflicts of interests occurred, as well as what challenges were (or are) faced. An additional challenge that all projects currently face is how to deal with the limitations as a result of the COVID-19 pandemic.

Some challenges are related to political factors and the availability and allocation of resources. The main local beneficiary, KMA, identified the inadequate resource envelope to deliver the tangible projects envisaged in the decongestion and slum re-development strategy as a key challenge. Because

of limited funds, they have been unable to fix roads, bridges and provide other social amenities. However, the project team is exploring PPPs and external funding support to address this challenge.

**Table 8: Conflicts of interest and challenges**

Kumasi	Pathein	Pereira	Sèmè-Podji
<b>Conflicts of interest</b>			
At first, stakeholders perceived their interests as being threatened, but this was managed through the participatory approaches used. The CFPs reported that the multi-stakeholder anti-silo governance approach was used to build trust and foster collective ownership of the programme. Since, there have been no serious conflict of interest issues.	Interests were different (which became apparent during the multi-stakeholder sessions), but all respondents stated that there were <b>no</b> conflicts of interest. <sup>13</sup>	Conflict of interest regarding management of tariff resources: dominant player in market for recycling is also administrator of tariff resources.	The change of the Mayor (and therefore the focal team) brought new actors and interests. These have yet to be resolved.
<b>Challenges</b>			
Balancing between limited resources and expectations; focusing on capacity building, but tangible results important for credibility and stimulus for people who are working hard.  Initially, misunderstanding of the objectives of the programme by drivers and slum dwellers; this challenge was addressed.  Poor enforcement of KMA.	The practicalities of the anti-silo approach: the challenges related to coordination (or integration) of responsibilities between departments.  Interest and willingness to cooperate; actual cooperation; communication channels; and, decision making.  Weakness of government organisations and sensitivity to particular topics.	Challenges for project team to continue to build trust among stakeholders.  Challenges for recyclers' organisations is to strengthen themselves and to survive in a market characterised by a lack of a level playing field.	Strong mayor system implies that the project is highly dependent on the support of the mayor.  Elections and a new mayor have meant rebuilding support. There has been a high level of uncertainty.  The realities of implementing an anti-silo approach, change takes time.  Budgetary restrictions.  Change in staff locally and in VNG, continuity
<b>Response to COVID-19</b>			
Protective supplies provided to participating communities.  Support by the project to KMA telecommunications.	In line with Union level requirements, limits to sizes of gathering, use of face masks.  Stepping up online support, dependency on local capacities	Support for provision of protective supplies to recyclers.  Stepping up online support.	Limits to sizes of gathering, use of face masks.

Another challenge mentioned in Kumasi is that the project has had to strike a balance between capacity building (leading to soft results in the first place) and tangible results. While the project is heavily oriented to capacity building, the interviews indicated that tangible results are important for credibility and stimulus for people who are working hard. This was also echoed as a difficult balance in Pathein.

In Pathein, an additional challenge related to striking a balance between the ambitions of the project and what was possible within the current (political and administrative) context of the country. In Myanmar decentralisation is essentially a form of 'deconcentration', because '*powers and responsibilities are passed to lower administrative levels of organisations that are still part of the national administration*'.<sup>14</sup> This implies two things: (1) states and regions are still primarily tasked with

<sup>13</sup> This was refuted by respondents from VNG, who underlined the differences in interests and the challenges of finding methods to allow for equal voice in making decisions. It has also been explained that common issues to be addressed were discussed in multi-stakeholder sessions and that they were prioritised based on that discussion. Moreover, most of the stakeholders are from the same locations and they know well about their community's needs.

<sup>14</sup> State and Region Governments, Asia Foundation, 30 Oct 2018: <https://asiafoundation.org/publication/state-and-region-governments-in-myanmar-new-edition-2018/>. (Accessed 28 January 2020).

the execution of Union policies, despite the transition to a federal system with increasing powers to the state/regional level; and (2) township organisations look to their Union ministries in making decisions, while the DAO looks to the region/state minister/DAO department.<sup>15</sup> This results in complexity in coordination between departments, both vertically and horizontally.

This is also reflected in Sèmè-Podji where the election of a new mayor brought the project to a standstill. The hierarchical nature of the government implied heavy dependence on the mayor and his support to provide the impetus for the project. With the election of the new mayor, the team is still adjusting and working on gaining the same level of support that the former mayor provided. The respondents also mentioned budgetary restrictions, this was echoed in other projects.

One challenge mentioned several times by respondents in different cities is the reality of implementing an integrated and anti-silo approach. Respondents in Sèmè-Podji underlined . . . cultural change takes time! Anti-silo management implies a new distribution of responsibilities. *The challenge was to gain acceptance for the idea that waste management is the responsibility of several departments, in particular the planning department, the resource mobilization department, the social affairs department, etc.*

A challenge in Pereira was related to the market power of a dominant waste company and the strengthening of waste recyclers' organisations that are in the process of formalisation and creating a more level playing field in the market for recycling of solid waste.

Lack of trust and efforts to continue to build trust were also mentioned as a challenge. And again, the challenge mentioned in Kumasi, was the initial misunderstanding of the objectives of the programme by drivers and slum dwellers.

All four cities have faced and are facing challenges related to the COVID-19 pandemic. Local stakeholders interviewed generally agree that the COVID-19 situation limits the implementation of various project activities, such as the organisation of events (awareness campaigns, etc.). Visits of international experts are currently also not feasible. This implies a dependence on local capacity and the need to invest in this as a priority.

### 3.4 Monitoring

Activities and results are monitored at the local level. Across the programme, the CFPs and VNG (Junior) project managers report on activities each month. The international consultants submit mission reports to the project manager at the end of each input. There is standard format for reporting, but this is not used consistently across the programme. The CFPs are key in providing input to the Annual Reports of the DEALS programme.

Several interviewees mentioned that they were not, or at least not strongly involved in monitoring. This is especially true for those interviewees who were not closely involved in implementation of the projects. These findings are confirmed by the survey results in Annex 3.

Table 9 gives an overview of key aspects of the monitoring process in the four cities.

The project indicators are identified in the ToC and reported in the annual reports and are shown on the AKVO website. A new reporting system with an extensive questionnaire was developed and implemented in 2019, but was found to be difficult to administer and has been discontinued. The projects implemented detailed reporting of activities and results and provided these to the VNG project leaders. In Pereira, the project hired the services of local consultants for the elaboration of

<sup>15</sup> The DAO has no Ministry at the Union level, the region is the highest level of power.

monitoring reports for the years 2018 and 2019. At the international level, monitoring was done by the project leader, reporting to the overall programme leader.

**Table 9: Monitoring**

Kumasi	Pathein	Pereira	Sèmè-Podji
<p>Project indicators identified in ToC reported in annual reports and AKVO website.</p> <p>New reporting system with an extensive questionnaire developed and implemented in 2019 but discontinued.</p> <p>Detailed reporting of activities; reports provided to the VNG project leader.</p> <p>At city level, CFPs monitor outputs (at different levels).</p> <p>At international level, monitoring done by project leader (who reports to the overall programme leader)</p> <p>The target local beneficiary, KMA, also reports internal monitoring of outputs through quarterly and annual progress reports on projects, as well as periodic visits to pilot sites.</p>	<p>At local level, limited knowledge of who is monitoring the project, how the project and its outputs/outcomes/impacts are being monitored.</p> <p>The local team collects information and reports on activities that take place; as well experts write mission reports, though these are not often done in a systematic manner. This information is made available for the VNG project leader. It is however not clear how to contribute to or is an input to monitoring.</p> <p>The push to make sure that information related to the outcome indicators is available often occurs only when it comes time to write the annual report, improving this is a current focus of the team.</p> <p>The monitoring process and framework needs some thought, particularly strengthening the link between monthly reporting, mission reports, the annual report and the ToC</p>	<p>Monitoring reports elaborated by local consultants.</p> <p>CFP monitors and provides input to the VNG project leader.</p> <p>Not all indicators used in annual programme reports of DEALS.</p> <p>Changes in indicators limit assessment of progress over time.</p> <p>Part of the stakeholders not familiar with how project is monitored and what results are.</p>	<p>Monitoring and reporting of indicators is the sole responsibility of the CFP/VNG project manager, who work on the basis of data collected by the focal team.</p> <p>The output indicators (and their objectives) are presented in the Annual Plan, which is in English. This implies that it is not accessible to local stakeholders.</p> <p>The focal team is involved in the implementation and monitoring of the operational plan. The CFP/project manager use the data provided to fill in the logical framework.</p>

From examination of the monthly reports, useful points are made on the activities carried out, but these are not linked directly to the activities identified in the annual plan. The overall reporting in annual reports is insightful, but it is difficult to follow the links between activities and outputs. The form of reporting on monthly activities is difficult to connect to the annual planned activities and the logic of the ToC.

In Kumasi, at the city level, the CFPs monitor outputs. According to the CFP (social), outputs were monitored at different levels through submission of monthly narrative (technical) reports, invoices, time sheet, site visits and oral presentation of progress of work at stakeholder meetings.<sup>16</sup> The target local beneficiary, KMA, also reports internal monitoring of outputs through quarterly and annual progress reports on projects, as well as periodic visits to pilot sites.

In Sèmè-Podji, the inter-departmental focal team also provides inputs to the reports. The CFP/project manager use the data provided to fill in the logical framework.

In Pathein, VNG respondents revealed that information is not systematically collected and that the push to make sure that information related to the result indicators is available occurs only when it comes time to write the annual report. The process of monitoring has room for improvement.

<sup>16</sup> The monitoring at different levels is in line with the sixth key element of the integrated governance approach (see Table 1).

### 3.5 Summing up

This chapter addressed the following questions:

- *How did project teams and target cities develop and implement the Theories of Change (ToC)?*
- *How did the project team build capacity of the key stakeholders involved in the programme?*
- *With which stakeholders did programme team engage and how did the project team and partner cities deal with conflicting interests as part of the stakeholder engagement process?*
- *What challenges have the programme teams been dealing with and how have they addressed them?*
- *How were outputs monitored and has there been a review of the original ToC?*

To sum up, the involvement of local stakeholders in discussions on the ToC and awareness of the contents of the ToC varied across projects. Stakeholders in Kumasi were marginally more involved, and certain individual respondents across projects reported awareness of the contents. Several stakeholders of the projects that were interviewed were not aware of the nature of the changes to the ToC as a result of the review process or involved in the discussions on this.

Were the projects able to communicate the objectives of the projects (and the ToC) in a manner that stakeholders understood and embraced them? Local respondents across projects showed an awareness of the objectives of the projects, though responses were sometimes inconsistent and there were different perceptions of the objectives, as well as of the levels of results. In addition, though many were involved in the discussions and planning of the activities, those interviewed were largely unaware if the projects were being implemented according to the ToC (in line with the expected results).

Table 10 summarizes the major findings of the review of the process.

In looking at the importance of capacity building to the integrated approach, the core of the programme (and the projects) is capacity building for integrated multi-stakeholder governance (elements 1-3), concentrating on and facilitating the anti-silo work of municipal departments, with different levels of government and in cooperation with non-government actors (see also Table 11). The programme used different capacity building approaches and events to support the development of strategies and policies, and also to support small pilot areas activities. Each of the pilot area activities have budgets for limited investments to provide a focus for the capacity building. These pilots are then the means to build capacity.

**Table 10: Summary of findings related to process**

Process	Kumasi	Pathein	Pereira	Sèmè-Podji	Comments
1 Awareness / understanding of, involvement in making / reviewing the ToC	Some	Minimal	Minimal	Minimal	Good at programmatic level, too complex at local level
2 Awareness of objectives of the project	Mixed	Mixed	Mixed	Mixed	Different perceptions of the terms
3 Implementation according to the ToC; familiarity with different levels of results	Unaware	Unaware	Largely unaware	Unaware	To a great extent, but stakeholders unsure
4 Role of capacity building	Important, effective	Important, effective	Important, effective	Important, effective	Wider range of modalities, practical, linked to implementation, awareness important
5 Role of local stakeholders in monitoring	Some	Some	Minimal	Minimal	CFP strong role; core team; guidelines from VNG-I The Hague, but could be improved
6 Communication and use of monitoring reports	Some	Some	Minimal	Minimal	Could be improved
7 Challenges, conflicting interests?	Some	Some	Some	Some	All face challenge of COVID-19

**Table 11: Summary of findings related to the integrated approach**

	6 elements of the integrated approach	Kumasi	Pathein	Pereira	Sèmè-Podji	Comments
1	Coordinated strategies, plans, budgets, activities and initiatives between municipal departments	Strong focus	Strong focus	Strong focus	Strong focus	All projects focused on this aspect
2	Coordinated strategies, etc. among local government and other government actors and levels	Strong focus	Strong focus	Strong focus	Strong focus	All projects focused on this aspect
3	Active cooperation with non-governmental actors	Strong focus	Strong focus	Strong focus	Strong focus	All projects focused on this aspect
4	An (area-based) pilot project	Yes	Yes	No	Yes	
5	Public (-private) investment in infrastructure	Minimal	Minimal	No	Minimal	Current focus, to be sustainable
6	A monitoring framework	Faced issues	Faced issues	Faced issues	Faced issues	Problems with what locally collected and what is used; limited comparability over time

The results of the interviews demonstrate 1) the importance of the capacity building activities to the project and its outcomes and 2) the number of different types of interventions used, designed to meet the needs of the projects. The programme defined a range of services and typology of activities (as explained above), designed and provided as necessary to respond to needs, at the individual, organisational and institutional levels. Good thought was put into the nature/scale of the intervention and the definition of the target groups. There was some consistency in the approaches to capacity building across projects, implying that with a closer look, better needs assessment and better reporting, it might be possible to gain better insight into the changes in capacity development.

In effect, the events organised were able to achieve multiple objectives, some of them more subtle. As an example, working together in a participatory manner also served to change attitudes, to build trust, to deal with conflicts, etc.

Also of importance was the extensive use of local capacities, coupled with a ‘facilitating’ role on the part of VNG. VNG used external consultants but tried to limit the traditional approach of consultants flying in and leaving after delivering a report. The programme has taken a practical perspective, based on two important principles: 1) putting the local authorities in the driver seat, therefore ensuring ownership, also over the longer term, and 2) that of building local capacity that would be remain in country after the project finished.

Conflicts were minimal across the projects, though there were some. In general, these were manageable, which demonstrates that the multi-stakeholder, deliberative, problem-driven, and participatory approach was, on the whole, effective in ironing out differences in interests, in allaying concerns, and developing a consensus on the way forward. This also underlines the importance of giving time to these deliberative processes, so participants are given voice.

The challenges faced in the projects are not unusual to projects: political, budgetary, capacity, etc. Of interest was that, in all cases, respondents mentioned that, while working together was seen as a positive aspect of the approach, it was also perceived as one of the main challenges. The challenges in cooperation and coordination were apparent in the first three elements of the integrated approach: coordination between departments, with other levels of government and cooperation between the local government organisations and other stakeholders. Other challenges that all the projects currently face are challenges related to the COVID-19 pandemic.

Finally, the process of monitoring and the structure of the reports have gone through some systematization, but are still being used inconsistently. In addition, the changes in the ToC has influenced/changed the focus of monitoring and information to be collected. The results of the interviews show that making this adjustment has taken some time.

## 4. Review of results

This chapter provides an overview and analysis of results of the DEALS projects implemented in the four cities, using documentation and interview and survey results. Section 4.1 presents and discussed results at output, outcome and impact level. It will also pay attention to innovations of the DEALS programme and, to the extent relevant, gender issues. Section 4.2 addresses the question of the sustainability of impact (and other results). The main findings are summed up in Section 4.3.

### 4.1 Results at output, outcome and impact level

In this section we will address the review questions 2a-2d.

- 2a. What are the monitored results and how do they compare with the original ToC?*  
*2b. What did the targeted vulnerable and poor people in the target cities notice of the DEALS programme?*  
*2c. What is the opinion of local government and other stakeholders of the innovations of the DEALS programme?*  
*2d. What do you think are the main outputs, outcomes and impacts of the DEALS programme?*

We will start with a discussion of results presented in the various reports and data sets of the projects and then continue with a discussion of stakeholder and expert opinions on results, attention to gender issues and the innovative character of the DEALS programme.

#### **Reported results**

It is difficult to analyse whether progress has been made on the basis of reported results, because there have been many changes in the programme since its inception in 2017. Some of the results envisaged in the original ToCs are no longer monitored, the DEALS programme introduced a questionnaire for monitoring output related to the integrated governance approach and the classification of results was modified with the revision of the ToCs. Changes in indicators that are measured and lack of baseline data limit the possibilities of making comparisons over time.

**Fout! Verwijzingsbron niet gevonden.** gives an overview of selected results presented in monitoring and progress reports. It shows that the project activities have resulted in some **output**. The number of government staff and politicians with increased awareness of aspects related to waste management increased in Pathein, Pereira and Sèmè-Podji. There is also some indication of progress in terms of indicators related to the integrated governance approach. However, the indicators that are chosen in most cases do not properly refer to perceived strength of the collaboration between stakeholders, but are a reflection of the perceived relationship between stakeholder collaboration and outcomes.<sup>17</sup> Box 2 illustrates for the case of Pereira how this could have been done differently for both 2018 and 2019.

#### *Box 2: Indicators for stakeholder collaboration in Pereira*

In 2018, the DEALS programme developed a questionnaire to collect information for the monitoring of the integrated governance approach. The Annual Plan 2019 explains that two indicators on number of stakeholder meetings included in the original ToC were replaced by new indicators for 2019 (VNG International 2018b). But actually the reporting on 2018 already partially reflects the change in the indicators. The 2018 and 2019 monitoring reports of DEALS Pereira elaborated by, respectively, Alzate Salazar (2019) and Laina Agudelo (2020) present results of the application of the questionnaire. The report of Salazar presents some scores of the degree of collaboration among different stakeholders. The DEALS Progress Report 2018 shows percentage shares of the stakeholders giving a particular score on a scale of 1 to 5. This is broadly in line with what the two output indicators in the original ToC intended to measure.

<sup>17</sup> Several indicators are defined in terms of a score for the degree in which there is a 'positive correlation' between respectively the first three key elements of the integrated approach and outcomes, rather than being an indicator of the degree of cooperation itself.

**Table 12: Reported results of the projects**

Kumasi	Pathein	Pereira	Sèmè-Podji
Output			
One indicator of the integrated governance approach shows progress in 2018-2019. <sup>a</sup> KMA initiatives developed for civic education and citizen engagement: 0 in 2019, compared to 2 in 2018 and 2019 target of 4.	Number of government staff and politicians with increased awareness of sustainability: 141 in 2019, compared to 2019 target of 30.  2019 values of two indicators of the integrated governance approach below target; one other indicator reached 2019 target. <sup>a</sup>  Correlation between participation of women and informal settlers in pilot projects and DEALS outcomes: 3 in 2019, compared to target value of 4.	Number of municipal staff and politicians with increased awareness on formalisation: increased in 2019 and exceeded 2019 target.  Target values and 2019 actual values for three indicators of the integrated governance approach. <sup>a</sup> No 2018 observations.  A reported indicator about informal settlements is not relevant anymore.	Number of staff and politicians with increased awareness of sustainable and inclusive waste management, practices and (health) risks: increased from 52 in 2018 to 75 in 2019 and exceeded 2019 target of 60. <sup>b</sup>  2019 values of three indicators regarding number of (DEALS-related) meetings and initiatives exceed both baseline and 2019 target values.
Outcome			
2019 value of 0 for intermediate indicator 1 and 2019 values of 1 for indicators 2-4, compared to 2019 target values of 1 and 2017 or 2018 baseline values of 0.  Baseline and 2019 values of 0 for intermediate indicator 6, against 2019 target value of 5.	Number of regulations and policies that promote gender equality and inclusion of the poor that are influenced by DEALS: 1 in 2019, compared to 2019 target of 1 and to actual value of 0 in 2018.  % of increased annual budget for integrated waste and water management service: 0% in 2019, compared to target of 15%.  % of poor urban residents participating in community meetings on sustainability: 38% in 2019, compared to 2022 target of 55%  Number of unmanaged waste sites in pilot wards 7 and 12: 60 in 2019, compared to 100 in 2018 and 2019 target of 80.	Number of regulations and policies that promote gender equality and inclusion of the poor that are influenced by DEALS: 0 in 2019 vs. target of 3.  2019 values for revised ToC outcome indicators generally lower than 2022 target values.  Absolute values in Colombian pesos for two indicators. Information missing or confusing for some other indicators.  Hardly any information available for 2018 (or earlier years).	Nr. of (DEALS-related) policies and regulations adopted following a participatory procedure: 4 in 2019, compared to target of 1; actual 2019 value is set as baseline value.
Impact			
No values reported.	% of poor urban residents living in flood-prone parts of pilot wards: 97% in 2018 and 2019, compared to 2019 target of 90%.	2019-2022 target values for 5 out of 6 indicators referring to recyclers' organisations and ultimate beneficiaries. No 2018 values reported.  Actual 2019 value only reported for share of formalised recyclers: 12.3%, vs. target value of 10%.	No values reported. A baseline study was performed in 2019 (May-June) collecting information on three impact indicators.

Sources: VNG International (2020a). *DEALS Progress Report 2018* ; VNG International (2020a). *Annual Report 2019*.

<sup>a</sup> Strictly speaking, the indicators are not output indicators, but indicators of the relationship between integrated governance and outcomes.

<sup>b</sup> Numbers presented in Chapter 10 of the Annual Report 2019. The increase in the number in 2018-2019 is inconsistent with the decline in the % of staff with increased awareness from 52 in 2018 to 41 in Chapter 7 of the Annual Report 2019.

Another problem is that baseline values of these indicators are either missing or set at zero, while the latter is not a realistic value. The same holds for the indicator regarding the participation of women and informal settlers in Pathein. Three indicators in Sèmè-Podji regarding the number of (DEALS-related) meetings and initiatives are more appropriate output indicators of the integrated approach and show progress in 2019 as compared to the baseline. In contrast, a similar indicator for Kumasi shows that there was apparently some deterioration in this respect in Kumasi.

The immediate results of the projects appear to have contributed to some results at the **outcome** level. Some progress can be observed in Kumasi, Pathein and Sèmè-Podji. For example, in the case of Pathein, there is an indicator of more tangible output which shows that the number of unmanaged waste sites in pilot wards 7 and 12 decreased from 100 to 60 in 2018-2019 and that this decrease was more than targeted. In the case of Pereira, reported indicators tend to show values that are below the defined target values, but it is hard to assess whether progress is being made, for lack of information for 2018 (or earlier years). This also holds for some of the outcome indicators for Kumasi and Pathein.

Reporting on **impact** is even more limited. No values are reported for Kumasi and Sèmè-Podji. Only one impact indicator is reported for Pathein: the percentage of urban poor residents living in flood-prone parts of pilot wards. This percentage did not change in 2019 from the high level of 97% reported for 2018 and thus remained higher than the target of 90% set for 2019. For Pereira, there are six impact indicators. Target values for 2019-2022 are set for five of them. The 2019 target value was exceeded only for the share of formalised recyclers, which was 12.3% (compared to a target of 10%). In comparison, the estimated share was 8.8% in 2018.<sup>18</sup> This suggests that progress was made, but it is not clear whether this progress was also translated into improved living conditions of waste recyclers.

### ***Stakeholder opinions***

In the semi-structured interviews conducted with stakeholders of the project, the interviewees were asked about the results of the projects. It must be emphasised that they did not always make a clear distinction between the different levels of results, i.e. output, outcome and impact. Nonetheless, Table 13 tries to classify results identified in the interviews according to these three levels.

The **output** that interviewees generally referred to include the first three key elements of the integrated approach and more tangible results, such as improvements in the water flow and drainage in Pathein. Interviewees in Kumasi mentioned that outputs are monitored regularly and reported in site meetings. Outputs (and outcomes) are however not so tangible on a day-to-day basis and progress indicators are rather abstract. In general, there was the feeling from the project team (including KMA) that the ToC is still relevant, but also awareness that there need to be more tangible results in the area of Zongo development, which was originally highly profiled in the project document.

Regarding the first identified key output in Sèmè-Podji, it was mentioned that “local actors now understand the need to work in synergy to better manage waste”. In this context, it was also mentioned that the town hall better understands its role in waste and sanitation management and has a strong commitment to invest in the management of this sector.

In addition to the cooperation of municipal departments and cooperation with the Ministry of the Environment, there is in the case of Pereira also cooperation at regional level, for example with the regional environmental authority CARDER in terms of compliance with urban planning and the environment. Examples of cooperation with non-governmental organisations concern CEMPRE, the Latin-American regional initiative on recycling (IRR) and the Technological University of Pereira.

In Pereira, no investment was made in public infrastructure related to solid waste management. Regarding the sixth key element of the integrated approach, it was mentioned that there is still a lack of an integrated monitoring and reporting system which permits giving good feedback to all stakeholders. But this also holds for the other cities.

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<sup>18</sup> Calculated on the basis of information in document Plegable\_DEALS\_2019.pdf.

**Table 13: Selected results of the projects identified in interviews**

Kumasi	Pathein	Pereira	Sèmè-Podji
<b>Output</b>			
<p>Products and pilot initiatives that support inter-departmental cooperation, citizen engagement, multi-stakeholder collaboration, and multi-level governance.</p> <p>KMA application for funding of the decongestion strategy to the International Municipal Investment Fund, IMIF.</p> <p>Establishment of the Kango Kumasi Circular Hub.</p>	<p>VNG staff responses focused on concrete outputs, such as: municipal law and waste strategy, to which DEALS has provided inputs; setup of government and participatory structures; physical changes; inclusive integration of government staff and community.</p> <p>Few respondents in Pathein focused on the cooperation between and integration of stakeholders.</p>	<p>Closer cooperation between various stakeholders.</p> <p>No choice made for a pilot in a particular neighbourhood; though, in the cooperation with CEMPRE in 2019, some specific neighbourhoods in the area of influence of organisations were selected for door-to-door education campaign.</p>	<p>Anti-silo approach which promotes synergies between actors in waste management.</p> <p>SMEs better equipped and in better position to intervene in the waste management and sanitation sector.</p>
<b>Outcome</b>			
<p>Views of vulnerable groups sought as part of integrated approach.</p> <p>Stakeholder inclusion in formation of decongestion strategy.</p> <p>Promote gender equality and better urban living conditions with decongestion and slum development policies.</p> <p>Responsiveness to stakeholder input in developing satellite markets.</p> <p>KMA engaging other (non)governmental stakeholders through its Circular economy Hub.</p> <p>Support for improved waste management.</p>	<p>Existence of sustainable waste and water management systems.</p> <p>Change in knowledge, understanding and attitudes.</p> <p>Improvements in the water flow and drainage.</p>	<p>Learning by and increased capacity of stakeholders.</p> <p>Greater awareness of the issue of solid waste, including awareness of people to separate waste at the source raised through campaigns.</p> <p>Facilitation of the process to direct resources of the integrated solid waste management plan to the strengthening of recyclers' organisations.</p>	<p>Improvement of pre-collection of waste (by SMEs).</p> <p>Greater awareness of the issue of solid waste, through raising awareness among households, in particular through the zero waste week and on the subject of subscriptions to pre-collection structures (municipal decree).</p> <p>More households have subscribed to pre-collection of solid waste; the population is now guardian of its living environment.</p> <p>The functioning of the focal team regarding solid waste management.</p>
<b>Impact</b>			
<p>Targeted vulnerable and poor people involved in discussing city problems, or at least efforts are being made to engage their views or concerns in addressing these problems.</p> <p>Their involvement gives them a voice in decision making on decongestion and slum development.</p> <p>Some urban poor citizens trained and temporarily employed in baseline data collection from pilot slum communities.</p> <p>Reduction in environmental pollution; improved living conditions; reduction of urban poverty.</p>	<p>Benefits for vulnerable groups (either people in the communities of the two wards, or as the 'poor people facing challenges and floods in the two wards.').</p>	<p>Improvement of working conditions of the waste pickers, which will indirectly improve their welfare.</p> <p>Improved working conditions by being organised, because in that way they can have access to training, equipment and other benefits through the Mayor's Office.</p>	<p>Improvement of the living environment of households through better waste management in the municipality.</p>

Results at the **outcome** level mentioned in the interviews concerned improved capacity, strengthened institutions and improved policy, but sometimes also more tangible results. For instance, the first outcome listed for Sèmè-Podji refers to the strengthening of SMEs, construction of two platforms to temporarily accommodate waste pre-collected from households and destruction of three illegal dump sites. There has also been institutional strengthening of the focal team regarding waste management. In a similar vein, stakeholders that were interviewed on the project in Pathein consider that there are sustainable waste and water management systems.

Overall there was a good understanding among interviewees of what the project in Kumasi is aiming at in terms of outcomes. Several stakeholders referred to the inclusive nature of policy formulation. Examples are the promotion of gender equality and better urban living conditions with decongestion and slum development policies and support for improved waste management.

A perceived outcome that is common to all the projects is increased awareness of issues related to solid waste. In Sèmè-Podji, for example, the Zero Waste Week contributed to increased awareness among households. More households have subscribed to pre-collection of solid waste and better protect their living environment (see Box 3).

**Box 3: Increased awareness in Sèmè-Podji**

*"In the past, households used to accept solid waste or even buy it to fill in the shallows and build their houses, but nowadays these vulnerable people understand the importance of maintaining their living environment and the cleanliness of their house and the surrounding area."*

Interview with stakeholder of DEALS Sèmè-Podji

Similarly, a specific example of awareness raising in Pereira is the publicity campaign '*Ciudadano inteligente separa en la fuente*' ('Smart citizen separates at the source') to motivate people to separate waste at the source. The campaign was implemented by the municipality and CEMPRE. The DEALS project in Pereira has furthermore supported fairs and events on waste management. In general, stakeholders consider that VNG International facilitated the processes of raising awareness among the population and supporting the waste pickers on a regular basis. It has helped to direct resources of the integrated solid waste management plans to the strengthening of recyclers' organisations.

**Impact** referred to in the interviews with respect to the DEALS project in Kumasi does not always immediately concern the living conditions of the urban poor population. There is also some overlap with perceived outcomes. Some interviewees did actually refer to impact such as reduction of urban poverty, but others referred to involvement of targeted vulnerable and poor people in the policy process, giving them voice in decision-making on decongestion and slum development. Another reported impact is that some urban poor citizens were trained and temporarily employed in baseline data collection from pilot slum communities.

In the case of Pathein, the mentioned longer-term benefits classified as impact coincide with the impact defined in the ToC (i.e. reduced environmental impacts and improved living conditions . . .). But as shown Table 12, the impact indicator on poor urban residents living in flood-prone parts of pilot wards remained unchanged in 2018-2019, so the benefits have not yet translated into a reduction of the percentage of urban poor residents living in flood-prone parts of pilot wards.

Most stakeholders in Pereira appear to be familiar with the envisaged impact of the project and identified the recyclers as the (ultimate) beneficiary population, but often referred to effects of the project on the organisations of waste recyclers. Some interviewees pointed out that the project is targeted at the institutions and the institutional organisation around the issue of waste management. As pointed out earlier, the monitored impact indicators in Table 12 are also not exclusively defined in terms of ultimate beneficiaries. However, reference to the monitored impact indicators was often only implicit in the interviews.

The project with VNG International facilitated the process of registration of recyclers at the sorting stations, or in other words, the formalisation of the waste recyclers (in line with the observed increase in the formalisation rate shown in **Fout! Verwijzingsbron niet gevonden.**). This contributed to an improvement in their working conditions and, indirectly, in their living conditions. Recyclers have made progress by grouping themselves into organisations, receiving assistance and funding. VNG International has also supported the creation of a second-level waste picker organisation that would allow for economies of scale in dealing with competition.

According to stakeholders interviewed, the waste management policies in Sèmè-Podji contributed to an improvement of the living environment of households.

Results in terms of **gender** appear to be limited. For example, in Kumasi the project team paid close attention to the gender balance in the selection of stakeholders and helped to create a wide and gender aware network, but progress so far in terms of action related to tangible benefits is limited. In Sèmè-Podji, women's associations are involved in the implementation of the project, but the actual involvement of women remains largely limited to women being participants in awareness-raising sessions. Specific activities for the target groups are mainly awareness raising of the risks related to poor waste management and of the possibilities of waste recovery (benefiting from waste). The project that is being implemented in Pathein provided technical advice to promote gender mainstreaming, though, surprisingly, many persons interviewed did not perceive gender as a strong element of the project. Several interviewees consider that gender is not taken into account. In Pereira, the project does not explicitly focus on gender issues.

The majority of the survey respondents rated the DEALS programme as highly innovative (Annex 3). One of the **innovations** of DEALS is said to be that the entry point of each project is finding the problem on the ground. VNG International works to unpack that problem and understand it. Another (perceived) innovation is that the projects adopt an integrated governance approach (see Table 14). Some experts interviewed think that the programme is innovative, but are of the opinion that it is also too complicated and too ambitious. It is hard to take an integrated approach in some cases. In those cases it needs to be a bit more conservative. Other interviewees have emphasised that it is a challenge to adopt the integrated approach. Sometimes more time is needed to explain the approach to people.

In Kumasi, as well as in the other cities, VNG International is said to have identified the right problem, although some interviewees are of the opinion that more time could have been spent on the identification of the problems and causes. The project in Kumasi focused on the central market in Kumasi, where there was a congestion problem. Normally the solution would be to relocate the market. This was not done in the project. Instead, it looked at the different needs of the sellers and developed a financial system which works. The basic principle was to keep the traders in the original location. At the same time, it is perceived that the satellite markets did not work. They were too artificial. This shows that markets have to be where they should be.

The project in Kumasi was seen as particularly innovative in the approach to integrated and participative working, with the initiation of inter-departmental working meetings and the approach to IMIF for funding as especially important. Strong involvement of the university and its students and involvement of young people from poor communities was also seen as innovative and positive. The relatively recent "design sprint" related to the Kanko Circular Hub was appreciated both for the new approach and the content.

**Table 14: Perceived innovations of the projects**

Kumasi	Pathein	Pereira	Sèmè-Podji
<p>Problem-oriented.</p> <p>Integrated, anti-silo approach; change in culture towards inter-departmental, interdisciplinary and multi-stakeholder working.</p> <p>Increased stakeholder involvement in decision making. Increased engagement and involvement of the vulnerable people.</p> <p>Successfully initiating the process for IMIF funding for infrastructure investment for decongestion strategy.</p> <p>Kanko Circular Hub initiative for information sharing, feedback and partnerships.</p> <p>Use of waste to earn income: recycling of post-consumer plastic waste to make bricks and pavements.</p>	<p>Project started with a bottom-up approach: built on an understanding of the problems locally and a prioritisation of problems by the local government and community through interaction in participatory events.</p> <p>Adoption of an integrated approach.</p> <p>Different forms of capacity building helped to ensure ownership of and commitment to the project and the process.</p> <p>Focus on sustainability.</p>	<p>Starting point of the project are the identified problems.</p> <p>Demand-driven nature of the project.</p> <p>Adoption of an integrated approach.</p>	<p>Anti-silo approach, looking for synergies between actors and teamwork.</p> <p>Capacity building through training but also through the provision of experts to support the residential manager and to improve the technical capacities and competitiveness of SMEs.</p> <p>Institutionalisation of Zero Waste Week and Public Health Day.</p>

The CFP model and the anti-silo, integrated approach with its six key elements are considered a innovative aspects of the project in Sèmè-Podji. Another reported innovation is the Institutionalisation of Zero Waste Week and Public Health Day.

Innovative aspects of the project in Pathein that have been mentioned by interviewees are, among others, its bottom-up nature, the adoption of the integrated approach with its six key elements, and the approach taken to capacity development – i.e. building local capacity and leaving it in the country, working with a strong CFP model and facilitating support from VNG staff. Through different forms of capacity building, the project ensured ownership of and commitment to the project and the process. Finally, another mentioned innovative aspect is the focus on sustainability.

## 4.2 Sustainability of results

OECD/DAC (2019) defines sustainability as the “extent to which the net benefits of the intervention continue, or are likely to continue.” This definition includes “an examination of the financial, economic, social, environmental, and institutional capacities of the systems needed to sustain net benefits over time.” We therefore assessed the (likely) sustainability of the results by considering institutional and financial sustainability next to other dimensions of sustainability, such as social and environmental sustainability, using documentation and interview results.<sup>19</sup> We addressed the review question 2e:

*2e. What do you think is needed in order to better maintain the impact of the programme over time?*

However, we did not limit sustainability to impact, but also looked at results at output and outcome level, because for interviewees it was often difficult to clearly distinguish between these levels of results, as was also pointed out earlier.

<sup>19</sup> In our proposal we furthermore referred to technical sustainability, but the latter is hardly or not relevant for the DEALS project because they are basically capacity building projects, with in some cases only limited public(-private) infrastructure investment realized so far in pilot areas.

The results of the survey that we conducted show that most survey respondents tend to be (rather) positive about programme impact, while, surprisingly, all respondents tend to be (rather) optimistic about sustainability of impact (see Annex 3). The survey did however not ask about conditions for sustainability of impact (or, more generally, of results) of DEALS. This was asked in (semi-structured) interviews with stakeholders.

Several stakeholders found it difficult to specify clear conditions for sustainability of impact of DEALS Pereira, i.e. a sustained improvement of the working and living conditions of poor urban waste recyclers, according to the ToC. This may be related to the fact that their views on the envisaged impact of the project differed somewhat. One stakeholder in Pereira, for instance, is of the opinion that conditions for sustainability are that first there must be a real understanding the problem, then that one implements things, and furthermore that one should work with the actors with whom one wants to collaborate. Another person interviewed about the project in Pereira associated sustainability at the institutional level with stable relationships between the municipality, the municipal *Empresa de Aseo* and the large waste collection company (ATESA) and suggested that there could be financial sustainability because there is money.

In contrast, several other interviewees referred to limited financial resources as a factor that constrains the sustainability of results.

In Sèmè-Podji, the following key conditions for sustainable impact of the project were mentioned:

1. Maintain the commitment of the local authorities.
2. Increase the financial resources of the programme and redefine the actions to be carried out, following the establishment of the waste management company.
3. Continue the programme's flagship actions, including: Zero Waste Week; the destruction of illegal dumps; the strengthening of SMEs; and the continuation of awareness-raising.

In Pathein, the tone of responses by interviewees demonstrated a concern about the ability of the government and the community to keep up the efforts and motivation. There were several comments indicating something like 'we have just started', 'we need keep going', 'we cannot relax', 'we have a long way to go', etc. It is clear that there is some concern about whether events will continue. For the difficulties encountered with the inclusion of the informal settlers, it is yet to be seen whether the project can achieve continued inclusion of this group of urban poor in waste and water management. Furthermore, social stability may still be limited because of the difficulties to break with old traditions of formality and hierarchy and allow space for 'equal voice' (see also Table 15).

A general feeling expressed in the case of Pathein is that sustainability is likely to be stronger if project activities are embedded in policies, programmes and budgets. This is also likely in the other projects. For example, the fact that the DEALS project in Pereira is being implemented in the context of existing municipal plans and the Decree 596 aimed at the formalisation of waste recyclers can be expected to positively affect sustainability. The Decree also addresses issues regarding the payment of fees to waste recycling organisations. The payment structure of the fees is currently not contributing to financial sustainability of the waste recyclers.

The main activity in Kumasi that focuses on achieving financial sustainability concerns the DEALS support to the application for funding from the International Municipal Infrastructure Fund (IMIF). Factors that contribute to institutional sustainability are the full adoption of the integrated approach by the Kumasi Metropolitan Area (KMA) and the establishment of the Kanko Kumasi Circular Hub. At the same time, it is still a challenge to build stronger relationships with central government institutions.

**Table 15: Sustainability**

Kumasi	Pathein	Pereira	Sèmè-Podji
<i>Financial sustainability</i>			
<p>The main activity focusing on financial sustainability at the broad level of decongestion and connection to informal areas is the support to the development of the IMIF application and terms of reference.</p> <p>In Kumasi there are possibilities to scale up and to achieve financial sustainability.</p>	<p>Considered a clear issue. VNG staff indicated a strong awareness of this.</p> <p>Project is currently focusing on aspects of planning and budgeting and will continue to do so in coming phases.</p>	<p>Structure of payments of collected user fees does not contribute to sustainability of waste collection.</p> <p>Important that recyclers' organisations are able to compete with large companies (such as ATESA) that want to enter the market of recycling of solid waste. Creation of second-level organisations can help in this.</p>	<p>Pre-collection made free of charge for households. SMEs (supported by DEALS) now paid by waste management company to carry out pre-collection from households. As a result, dynamic created in terms of waste management is being called into question.</p> <p>Doubtful whether project is sustainable.</p>
<i>Institutional sustainability</i>			
<p>Limitations due to COVID-19 situation are challenge.</p> <p>KMA fully adopted the new integrated or anti-silo governance approach. The innovations appear to be embedded in KMA and have survived a change of planning department director.</p> <p>KMA steering committee established and regularly holds meetings.</p> <p>Kanko Kumasi Circular Hub started to support the circular economy.</p> <p>Building stronger links with central government institutions is a challenge.</p>	<p>Limitations due to COVID-19 situation are challenge.</p> <p>Focus on effects of the project on the systems in place to provide waste and water services.</p> <p>Clear focus on the first three elements of the integrated approach.</p> <p>Possible changes in government staff due to the elections.</p>	<p>Limitations due to COVID-19 situation are challenge.</p> <p>Process of creation of second-level organisations can also help to enhance institutional sustainability.</p> <p>Continued collaboration among governmental organisations and between governmental and non-governmental organisations.</p>	<p>Limitations due to COVID-19 situation are challenge.</p> <p>Municipal government now aware that effective waste management requires multi-actor approach with municipality as key player.</p> <p>Changes in (focal team) staff as a result of the elections can contribute to weakening sustainability of project. Need for training and support of new staff.</p> <p>Newly established municipal waste management company has retained the SMEs supported by the DEALS project for pre-collection of waste and operates the two platforms built by the project.</p>
<i>Environmental sustainability</i>			
<p>The project's support for decongestion should have sustained positive environmental impacts at wider scale.</p>	<p>Concentration of project on solid waste and water implies potential for environmental sustainability. Work on the municipal law and the waste strategy will help.</p>	<p>Availability of recyclable material no restriction. Waste recycling rate can rise if recyclers' organisations manage to compete in the market for waste recycling and survive (through a second-level organisation)</p>	<p>People can resume with the old practices of throwing waste into the shallows as a result of a change in management arrangements.</p>
<i>Social sustainability</i>			
<p>Initiatives related to improving lives of vulnerable groups, especially slum improvement, have been difficult to establish.</p>	<p>Recognition of improving living conditions as impact, with assumption that they would continue to improve with continued interventions.</p> <p>Project will continue to focus on aspects related to conditions for social sustainability: inclusiveness, gender sensitivity, pro-poor orientation and community involvement in decision-making.</p> <p>Question whether project has managed to break through old traditions of formality and hierarchy to allow for 'equal voice'.</p>	<p>The project's focus on social sustainability not in line with the economic interests of ATESA.</p> <p>Important that rights of the recyclers' organisations respected.</p> <p>If recyclers' organisations manage to compete in the market and survive (through a second-level organisation), they can generate incomes for organised and formalised recyclers, which will contribute to an improvement in their living conditions.</p>	<p>Destroyed illegal dump sites are not being rebuilt. In some cases, social and community infrastructure (public latrines) has been built by the Mayor's office on the sites formerly occupied by the illegal dumps.</p>

In Pereira, there are also factors that contribute to continued intra-municipal, intra-governmental and governmental-nongovernmental organisations. The support to the creation of second-level organisations of waste recyclers is likely to translate into a sustained institutional strengthening. Survival of the waste recyclers' organisations can contribute to a sustained rise in the waste recycling rate and incomes of waste recyclers and therefore to environmental and social sustainability. The economic interests of the dominant waste company ATESA may however continue to be a threat to social sustainability.

In Sèmè-Podji, the establishment of a municipal waste management company is not likely to affect the institutional set-up in terms of involvement of the SMEs supported by DEALS. Socially, some sustained results may be expected of social and community infrastructure on sites where previously waste was dumped illegally. Pro-poor initiatives in Pathein may also contribute to social sustainability. In Kumasi, however, it has been difficult to establish such initiatives in slum areas.

In all four cities, COVID-19 has been identified as a challenge and a factor that potentially affects institutional sustainability, as it requires adjustments in the way capacity is built and may slow down activities and the achievement of results in the remaining programme period and negatively affect the sustainability of results.<sup>20</sup>

### 4.3 Summing up

This chapter addressed the following questions:

- *What are the monitored results and how do they compare with the original ToC?*
- *What did the targeted vulnerable and poor people in the target cities notice of the DEALS programme?*
- *What is the opinion of local government and other stakeholders of the innovations of the DEALS programme?*
- *What do you think are the main outputs, outcomes and impacts of the DEALS programme?*
- *What do you think is needed in order to better maintain the impact of the programme over time?*

Monitored results at **output** level include a rise in the number of government staff and politicians with increased awareness of aspects related to waste management increased in Pathein, Pereira and Sèmè-Podji. There is also some indication of progress in terms of indicators related to the integrated governance approach, though there are some problems with the definition of the indicators and the availability of (reliable) baseline data. The same holds for the indicator regarding the participation of women and informal settlers in Pathein.

Reported **outcome** indicators show that some progress can be observed in Kumasi, Pathein and Sèmè-Podji. In the case of Pereira, reported indicators tend to be below the defined target values, but it is hard to assess whether progress is being made, for lack of information for 2018 (or earlier years). This also holds for some of the outcome indicators for Kumasi and Pathein.

**Impact** reporting even more limited. No values are reported for Kumasi and Sèmè-Podji. One reported indicator for Pathein shows no change yet in 2019. For Pereira, there are six impact indicators, with 2019-2022 target values set for five of them. The 2019 target value was exceeded only for the share of formalised recyclers; this share was also higher than in 2018.

<sup>20</sup> The remaining programme period may be too short to achieve what was planned. In general, one of the persons interviewed mentioned that a programme of more than five years may be needed to obtain sustainable results.

Comparing monitored results with the original theories of change is difficult because these ToCs are no longer fully relevant and have been revised, resulting in a shift in monitored indicators from output to outcome level and reclassification of some of the original outcome indicators into impact indicators.

Stakeholder interviewed did not always make a clear distinction between the different levels of results, i.e. output, outcome and impact. Regarding **output**, interviewees generally referred to the first three key elements of the integrated approach. Interviewees in Kumasi mentioned that outputs are monitored are not so tangible on a day-to-day basis and progress indicators are rather abstract. In Sèmè-Podji, it was mentioned that “local actors now understand the need to work in synergy to better manage waste” and that the town hall better understands its role in waste and sanitation management and has a strong commitment to invest in the management of this sector. Perceived output in the case of Pereira includes cooperation among municipal departments and cooperation with central and regional governmental entities, as well as with non-governmental organisations. The project in Pereira differed from the other projects in that no investment was made in public infrastructure and no area-based pilots were chosen. Regarding the sixth key element of the integrated approach, all projects still lack an integrated monitoring and reporting system which permits giving good feedback to all stakeholders.

**Outcome** mentioned by interviewees include improved capacity, strengthened institutions and improved policy, but sometimes also more tangible results. For instance, one outcome listed for Sèmè-Podji refers to the strengthening of SMEs, construction of two platforms to temporarily accommodate waste pre-collected from households and destruction of three illegal dump sites. There has also been institutional strengthening of the focal team regarding waste management. An outcome of the project in Pathein is that there are sustainable waste and water management systems. Another one concerns more tangible results (e.g. improvements in the water flow and drainage in Pathein). In the case the project in Kumasi, several stakeholders referred to the inclusive nature of policy formulation. A perceived outcome that is common to all the projects is increased awareness of issues related to solid waste. In general, stakeholders consider that VNG International facilitated the processes of raising awareness among the population.

Regarding Kumasi, some interviewees did actually refer to **impact** such as reduction of urban poverty, but others referred to involvement of targeted vulnerable and poor people in the policy process, giving them voice in decision-making on decongestion and slum development. Another impact that was mentioned is that some urban poor citizens were trained and temporarily employed in baseline data collection from pilot slum communities. In the case of Pathein, the mentioned longer-term benefits classified as impact coincide with the impact defined in the ToC (i.e. reduced environmental impacts and improved living conditions . . .). An indicator on poor urban residents living in flood-prone parts of pilot wards remained unchanged in 2018-2019; apparently the benefits have not yet translated into a reduction of the percentage of urban poor residents living in flood-prone parts of pilot wards. For Pereira, reference was often made to effects of the project on the organisations of waste recyclers. Some interviewees pointed out that the project is targeted at the institutions and the institutional organisation around the issue of waste management. The project facilitated the process of formalisation of the waste recyclers. Recyclers have made progress by grouping themselves into organisations, receiving assistance and funding. In the case of Sèmè-Podji, interviewees think that the waste management policies contributed to an improvement of the living environment of households.

Results in terms of **gender** appear to be limited in the projects.

The majority of the survey respondents rated the DEALS programme as highly innovative. **Innovations** mentioned by interviewees are: the entry point of each project is finding the problem on the ground (although some interviewees are of the opinion that more time could have been spent on the

identification of the problems and causes); the projects are demand-driven, adopt an integrated governance approach and focus on sustainability; and use of the CFP model. All four cities have (to a varying degree) adopted the integrated governance approach. The approach is seen as innovative, but the question is whether it is not too complex in certain contexts.

All survey respondents tend to be (rather) optimistic about **sustainability** of impact, but the survey did not ask about conditions for sustainability. In the semi-structured interviews, several stakeholders found it difficult to specify clear conditions for sustainability of impact of DEALS projects, though quite often they referred to limited financial resources as a factor that constrains the sustainability of results. There appear to be consensus about the issue of financial sustainability and about maintaining institutional collaboration. There are limited indications of social and environmental sustainability. A general feeling is that sustainability is likely to be stronger if project activities are embedded in policies, programmes and budgets. Full adoption of the integrated approach is expected to contribute to institutional sustainability. However, it is still a challenge to build strong(er) relationships with central government institutions. In all four cities, COVID-19 has also been identified as a challenge and a factor that potentially affects institutional sustainability, as it requires adjustments in the way capacity is built and may slow down activities and the achievement of results in the remaining programme period and negatively affect the sustainability of results.

Table 16 gives a brief judgement of the results 'on average' of each of the four projects, thus hiding any variation in the results of a project.

**Table 16: Summary of Results**

	Results	Kumasi	Pathein	Pereira	Sèmè-Podji	Comments
1	Output	Good	Good	Reasonably good	Good	Varied understanding of terms, not always right indicators to monitor progress with integrated approach
2	Outcome	Visible, measures improved	Visible, measures improved	Measures improved, but limited observations	Visible, measures improved	Varied understanding of terms
3	Impact	Limited measurement	Limited measurement	Measured, but right choice of indicators?	Not measured	Varied understanding of terms, needs some time
4	Monitored results	Could be improved	Could be improved	Could be improved	Could be improved	Weak link local and programmatic reporting, revised ToC made outputs, outcomes, and indicators clearer; hardly baseline data; as yet, hardly comparisons over time
5	Gender	Difficult, but clear focus	Difficult, but clear focus	1 impact indicator only; no explicit target	Difficult, but clear focus	More required?
6	COVID effects on results	Visible	Visible	Visible	Visible	Limit to multi-stakeholder events, change in programming?
7	Sustainability	Financial a challenge, but clear focus	Financial a challenge, but current focus	Financial a challenge; institutional to some extent	Financial a challenge	Projects focus on institutional, social and environmental sustainability. Finances pose a challenge.

## 5. Learning and recommendations

This chapter presents different opinions on learning and recommendations expressed in the interviews with stakeholders and experts. Where possible, it will make a comparison with survey results. Section 5.1 is about learning. Section 5.2 presents recommendations made by stakeholders and experts.

### 5.1 Stakeholder and expert views on learning

The following three review questions concern learning:

- 3a. How could the theories of change be more transformative/have more impact/be more realistic for the city?*
- 3b. To what degree does the DEALS programme contribute to learning by/in the partner cities?*
- 3c. How does learning by/in the city contribute to up-scaling? (Up-scaling, for example in terms of other comparable cities, neighbouring cities, or other vulnerable groups in the city.)*

With learning, we refer both to what project stakeholders in the four countries have learned and to what VNG International staff, associated experts and Advisory Committee Members have learned about the programme.

Most stakeholders that were interviewed agree that the DEALS programme has contributed to capacity building, that this capacity building was useful for them (or for other stakeholders), and that they or other stakeholders learned from the programme. This coincides with the results of the survey presented in Annex 3. The average scores for the programme's contribution to capacity development, usefulness of the capacity built and learning from the projects were high.

In general, the experience in the four cities with the implementation so far of the DEALS projects has provided some insights about the transformative nature of the projects. The experience so far of the four projects indicates that the objectives (outcomes and impact) formulated in the city theories of change are quite ambitious, in some cases perhaps too ambitious. In terms of outcomes, the revised theories of change are more realistic than the original ToCs. In general, there are signs of progress and that a sound legal and regulatory framework is an important enabling factor, but the projects also face several challenges and constraints, including the difficulty of striking a balance between expectations and limited resources. Some of the interviewees think that larger impact could have been achieved by shifting somewhat the focus of the programme (see Box 4).

#### **Box 4: Focus of the DEALS programme**

*"In this programme, there was a lot of focus on the local government and insufficient focus on the other stakeholders. The projects could have been more transformative in terms of doing more with capacity building at different levels of stakeholders and focusing more on how it is that you communicate between the stakeholder groups."*

Stakeholder interview

Some learnings regarding (potential) impact from the point of view of two Advisory committee members:

- The programme would have had more leverage if only cities were selected in countries where there is international development cooperation with the Netherlands, so where the Dutch government is more involved.
- The approach was not the problem in this programme. It was a question of scale: it was too small and therefore hard to monitor. Linking a programme such as DEALS to other programmes of the Netherlands international cooperation would be preferred.
- The embassies in the countries were involved in the inception phase. In subsequent phases there was less feedback from the embassies, which is considered unfortunate.

Table 17: Learning

Kumasi	Pathein	Pereira	Sèmè-Podji
<b>Larger impact</b>			
<p>More effective if financial resources could be found to deliver some tangible public infrastructure projects in addition to the capacity building support.</p> <p>Need to deploy wider communications means (e.g. radio discussions) for the views of citizens to be brought on board to realize the desired change.</p> <p>ToC needs to be made more accessible and be actively reviewed locally. There should be more focus on concrete activities and outputs in addition to the review of how they are affecting the desired outcomes.</p>	<p>Achieving larger impact through upscaling and executing similar activities throughout Pathein and the country.</p>	<p>Impact could be larger if the ToC takes better into consideration the dynamics of the environment.</p> <p>Necessary to invest more time in explaining and discussing what the project aims to achieve.</p>	<p>Effectiveness could be improved by making project actions complementary to those of the municipal waste management company.</p> <p>It could also be improved by an increase in resources that would allow physical achievements. In this context, it is proposed to "review the partnership with VNG by including co-financing of activities by the city council"</p> <p>Strengthening of the focal team would also help.</p>
<b>Contribution to learning</b>			
<p>Training on integrating departmental projects was most helpful.</p> <p>Strongest in its main target, KMA, where it has had a strong effect on the working culture of departments related to projects.</p> <p>CFPs could also use new things learned from the capacity building programmes and apply them when needed to assist in the implementation of the programme.</p>	<p>Working with integrated approach was a learning process in itself.</p> <p>Approach made a difference, but was perhaps too complex and aims of the project were too ambitious in Myanmar context.</p> <p>Would not have been possible to achieve results without the flexibility to make changes.</p> <p>Essential to spend (more) time analysing the local context.</p>	<p>Contribution to capacity building, which was useful for stakeholders; stakeholders learned from the DEALS project.</p> <p>Scope for further strengthening of the collaboration with the local government.</p> <p>A challenge for the project is to generate awareness related to consumer habits.</p> <p>One needs to be more conservative in terms of expected results.</p>	<p>The intervention has prioritised exchanges and support for key actors in Sèmè-Podji.</p>
<b>Contribution of learning to up-scaling</b>			
<p>No up-scaling yet, but KMA is considering two more areas as a focus for Zongo upgrading; other municipalities considering adopting some of the approaches.</p> <p>Project seen in Kumasi as being strategic and relevant; it would be useful to expand the approach to other cities.</p>	<p>Desire of other wards to partake in the activities.</p> <p>Spread of thematic focus, approach and learning; knowledge was already being spread to other wards. Other wards inspired to approach the TDAO and TDAC with a request to scale up activities.</p>	<p>No up-scaling yet; discussions on any potential up-scaling can take place once the project in shows results.</p> <p>Potential for extending the project to other cities. The CFP started to make contact with other cities.</p> <p>Potential for up-scaling will also depend on relationships between political parties.</p>	<p>Lessons learned from the project have not yet contributed to the initiation of similar activities.</p>
<b>COVID-19</b>			
<p>COVID-19 affects capacity development activities; new approaches required, including training that can be provided at a distance.</p>	<p>Digital divide will have a negative impact on project activities.</p>	<p>Has prevented the normal execution of the project's activities, limiting the presence of institutions for on-site public awareness campaigns.</p> <p>Partly compensated by virtual support to recyclers' organisations.</p>	<p>The project could be more oriented towards ICTs for its awareness-raising activities, for example through short videos or cartoons that would be shared via social networks.</p> <p>Project could continue with planned activities while avoiding large gatherings, respecting barrier gestures and relying on municipality's radio partners.</p>

One of the persons interviewed expressed doubts regarding the realism of putting the integrated approach into practice in some contexts: “People in the projects might have difficulty dealing with the concept of sustainability (and the integrated approach). This was particularly difficult in Pathein. There is a question as to whether it was realistic to try to be inclusive in Pathein. It was not such a problem in Kumasi, Ghana. Because of that, they decided to keep the interventions small, to keep them integrated but manageable. It was impossible to take on all the large problems in these countries, it would have been too complicated.” Deciding to keep the interventions small appears to be in contradiction with the above-mentioned learning that it would be better to have a larger scale of the programme. Upscaling has been identified also in the case of Pathein as a way of achieving larger impact. However, in a difficult context in countries with large problems it may be wise to start at a smaller scale. In general, one could say that the context for adoption of the integrated approach is more favourable in Kumasi and Pereira – cities in countries with stronger institutions – than in Pathein and – at least currently – Sèmè-Podji.

In Pathein, constraints to the application of learning included different interests of the stakeholders, lack of cooperation between parties, opportunity costs for meeting participants, lack of budget to replicate interventions, lack of access to technology, as well as the difficulty of dealing with the physical aspects of the (re-)location of the informal settlers.

In Sèmè-Podji, the new mayor expressed his willingness and commitment to support the programme. For him, the issue of waste and sanitation is a high priority. He has already organised a consultation session between the SME and the new waste management company, to understand the functioning of the system set up by this company and above all to calm down the misunderstandings that have arisen from the start of the activities of this management company. The new mayor believes that: “the members of the focal team must show more dynamism by being more present in the field”. The difficulty in Sèmè-Podji is that the context changed a lot as a result of the elections, the change in management arrangements and COVID-19 – though the latter of course also affected the situation in the other cities. However, in Kumasi it has been a benefit that the local technical support team and the linkage to the university had been strengthened. The emphasis on local technical inputs has allowed strong connections to KMA to be forged and has laid the basis for stronger long-term relations. While the pandemic has shown vulnerability in the mechanisms to provide external support, the project team has shown good flexibility and flexible response to the COVID-19 situation. The international technical assistance inputs will require a focus on remote support and possibly work with new partners.

There is general agreement among interviewees that there is need for coaching at distance of the project teams, and of the CFPs in particular. The COVID-19 situation has shown that it is important to have a strong and competent local project team. The teams in the four cities have managed to continue a lot of the planned activities, though sometimes they are carried out in a modified form and/or at a slower pace. For example, there has been more focus on awareness campaigns via Internet or radio.

Regarding the project in Pereira, one interviewee pointed out that it would be good if the ToC takes better into consideration the dynamics of the environment and the possibilities to adapt to the unpredictability of the environment. Then it could have more impact. Another learning is that a remaining challenge for the project is to generate awareness related to consumer habits. The community is not yet aware of the importance of separation and the process of waste treatment. So, there is need for more awareness-raising in this area and better ways of realising this. Someone else mentioned that the impact of the project could be larger by extending the project to other areas of the city.

There appears to be interest in up-scaling of the projects, but no up-scaling has taken place so far in the four cities. Learning from the experience with the DEALS programme can help in identifying possible success and failure factors for any up-scaling of the projects, either within the cities or to other cities. The survey results suggest that learning from the DEALS programme is associated somewhat more with learning about replication of project activities to other cities than with learning about within-city replication to other vulnerable groups: 2 out of 3 respondents think that a lot can be learned from the programme for extending it to other vulnerable groups in the city, while 4 out of 5 respondents are of the opinion that a lot can be learned for extending it to other cities (see Annex 3).

## 5.2 Recommendations made by stakeholders and experts

One review question is related to recommendations for up-scaling:

*3d. What are recommendations for up-scaling, considering the tailor-made and demand-driven character of the programme?*

The recommendations should not only provide ideas on ways to improve the process and interaction with key stakeholders, but also on ways to improve or redefine the results and the functioning of the ToC, if necessary. The recommendations should also focus on ways to improve the process, outcomes and impacts of learning. Of note is that learning is important for the stakeholders in the four cities, but also for VNG International internally (staff, CFPs and experts working on the programme).

### **Process**

There is consensus about the facilitating role that VNG International has played in the projects. For example, one of the things regarding process and interaction with key stakeholders mentioned by interviewees in Pereira is that VNG International should continue to play its facilitating role in the collaboration of stakeholders related to solid waste management and intensify its efforts by permanently involving all the relevant stakeholders. Similar answers were given in interviews with stakeholders of the other projects. A recommendation (made in the case of Kumasi) is to ensure that relevant central ministries, the local government association and capacity building institutions have a stronger connection to the project. This is in line with an observation made by an interviewee that “the difficulty is that they are working locally, but need a really good enabling environment at the national level to be able to do what is needed to at the local level.”

Finally, some recommendations have been made for improving internal learning within VNG International: have project staff engage more in exchange of experiences and have discussions among staff, CFPs and experts working on the programme on the integrated governance approach and its application, as well as the use of the ToC.

### **Results and sustainability**

One recommendation (in the case of Kumasi) is to strengthen the social focus and environmental focus of the project. In Pathein, in particular, it was emphasised to have a long-term, strategic approach to capacity building, as well as a strong strategy to build capacity locally. Stepping-up capacity building and building capacity of local staff and experts is also considered important in the other cities. Additionally, in all the cities it has been recommended to continue with awareness raising, which is expected to not only increase impact, but also to foster sustainability of results.

It has furthermore been recommended to clarify the roles of stakeholders and to identify related activities that can lead to development of employment and micro-entrepreneurship (in Sèmè-Podji), to provide further support to create alliances between stakeholders (i.e. recyclers’ organisations in the

case of Pereira) and to provide support to the municipal law and to potentially include lobbying of relevant stakeholders for planning and involving organisations in land management (in Pathein).

### ***ToC and monitoring***

For all projects, recommendations were made with respect to the ToC and monitoring. Regarding the ToC and its use, some interviewees recommend continuing to use it for project development and review. Specifically in the case of Sèmè-Podji, it was recommended to review the project logic (i.e. the ToC) in view of the three changes of context (COVID-19, change of the focal team and a new vision on the state and waste management).

A recurring theme – also discussed in Chapter 4 – is the (difficult) link between the ToC and monitoring. For example, in Pathein, but also in the other cities, a recommendation is to improve the monitoring system. This would help internal learning, but also improve the reporting to the donor and would be a way of refining the ToC and checking to see if the 1) intermediate outcomes and main outcomes make sense and are sensibly linked and 2) assumptions are correct. More in general, a recommendation for improvement of monitoring is to have “more reflexive thinking, more time for reflexive monitoring” and that “local teams would have more of a role to play in reflection on what could have been done better. The projects and the programme should use monitoring to reflect on things.”

Several interviewees agree that the current (revised) City ToCs are too complex as a tool for communication and participation and suggest that there is a need for a simpler version of the ToC, or rather of parts of it, that can be shared with a wider group of stakeholders. This would enable the project teams to better communicate the key project objectives, activities and intended results to these stakeholders. A simpler instrument could help to explain to stakeholders what the programme aims to achieve, how it plans to go about achieving the aims, what it has achieved and how this has been done. This also involves explaining more clearly what the assumptions of the programme are.

### ***Up-scaling***

In the interviews it was frequently recommended to upscale the projects, either within the cities by covering more areas – more wards in the case of Pathein – or other target groups of vulnerable and poor people, or to extend the projects to other cities. In Kumasi, for example, it seems that all stakeholders interviewed recommended a possible extension of the programme to the other cities and vulnerable groups such as school children, street children, drug addicts and mentally ill people in Kumasi. In the case of Pereira also some interviewees think that replication of project activities to other contexts is feasible, but other persons referred to conditions that have to be fulfilled. The same might be said for Pathein and Sèmè-Podji.

The survey results presented in Annex 3 also show that a large share of the respondents appears to be in favour of up-scaling. Recommending the extension of the programme to other vulnerable groups within a city or to other cities is correlated with the views on learning from the programme for upscaling. Nonetheless, the share of survey respondents recommending extension of the programme exceeds the share that is of the opinion that one can learn (a lot) from the experience of the programme. It is also somewhat surprising that thinking about recommending upscaling does not really depend on how one thinks about impact.

While many interviewees appear to agree that upscaling is (in principle) feasible and desired, some of them made recommendations such as:

- Begin with a clear situation analysis and a multi-stakeholder event to set priorities, to ensure that the project is demand driven.
- Carry out a specific context analysis of the new cities and their political and administrative bodies.

- First try to create a similar degree of credibility and trust as in the current project contexts.
- Assess whether all the conditions identified for sustainability of results are fulfilled in other contexts.
- Continue to focus on financial sustainability.
- Pay attention to the need for awareness raising.

### **Dealing with COVID-19**

As mentioned above, it is recommended to put continued emphasis on building capacity of local staff and experts and step up support to the CFPs (through coaching at distance). It has also been recommended to make more use of radios and digital technologies for awareness raising. This is considered even more important in the current COVID-19 situation. Consequently, there is a need for additional investments in information and communication systems and for reducing the 'digital divide'. Specifically in the case of Pathein, it has been recommended to involve township and regional officials as capacity builders.

**Table 18: Recommendations made by interviewees**

Kumasi	Pathein	Pereira	Sèmè-Podji
<i>Process</i>			
Need for ensuring that relevant central ministries, the local government association and capacity building institutions have a stronger connection to the project.	<p>Have a long-term, strategic approach to capacity building, as well as a strong strategy to build capacity locally: spend more time assessing capacity needs and developing a capacity building strategy and roadmap.</p> <p>Focus on sensitive aspects of land and planning for informal settlers, potentially including lobbying of relevant stakeholders for planning and involving organisations in land management.</p> <p>Provide further support to the municipal law (and waste management and action strategy).</p> <p>Improve monitoring system by strengthening links between (monthly) activity reporting, annual reporting and the ToC.</p> <p>Exchange of experience with sister project MAGIC.</p>	<p>VNG International should continue to play its facilitating role in the collaboration of stakeholders related to solid waste management and intensify its efforts by permanently involving all the relevant stakeholders.</p> <p>(Continued) support the process of creating a second-level organisation of waste recyclers.</p> <p>Resolve any conflicts of interest (or at least try to mitigate the effects of such conflicts).</p> <p>Explore how the problem of delays in signing of agreements with the Mayor's Office can be mitigated, to allow for a more fluid operation of the project.</p>	<p>Define role of community in relation to the Municipal Waste Management Company.</p> <p>Clarify Public-Private Partnership.</p>
<i>Results and sustainability</i>			
Ensure that the social focus and environmental focus are strengthened by linking strongly to the decongestion strategy and supporting work for the IMIF funding.	<p>To be more effective and have greater impact, upscale to more wards, have more capacity building, more events and more stakeholder participation.</p> <p>Strong and consistent awareness raising.</p> <p>Ensure that project is financially embedded.</p> <p>Continue focus on financial sustainability.</p>	<p>Step up efforts to build capacity.</p> <p>Create (more) awareness among consumers regarding solid waste issues.</p>	<p>Identify related activities that can lead to development of employment and micro-entrepreneurship.</p> <p>Provide clear information to citizens about waste management and its associated costs.</p> <p>Clarify financing model for the sector.</p>

Kumasi	Pathein	Pereira	Sèmè-Podji
<b>ToC and monitoring</b>			
<p>ToC should continue to be the main tool for project development and review, but need for improvement of how it is used as a tool for participation and communication.</p> <p>A simpler version of the ToC, or rather parts of it could be developed and used with key stakeholders to improve their understanding and monitoring of process and results.</p> <p>COVID-19 and progress of IMIF support require a local participative re-assessment of the ToC and the activities.</p>	<p>Look for simple way of using ToC, to be able to communicate the key project objectives, activities and intended results to stakeholders.</p> <p>Develop set of guidelines on data collection and strong set of indicators.</p> <p>Stimulate learning on how to use the ToC methodology to guide thinking on project design and development of monitoring and feedback learning systems.</p>	<p>Develop a simpler instrument to explain to stakeholders what the programme aims to achieve, how it plans to go about achieving the aims, what it has achieved and how this has been done. This also involves explaining more clearly what the assumptions of the programme are.</p>	<p>Review project logic in view of the three changes of context (COVID-19, change of team, new waste management/state vision).</p> <p>Promote more active involvement of women, also in monitoring.</p>
<b>Up-scaling</b>			
<p>All Kumasi stakeholders interviewed recommended a possible extension to other cities and vulnerable groups.</p>	<p>Begin any future project/upscaling with a clear situation analysis and a multi-stakeholder event to set priorities, to ensure that project is demand driven.</p>	<p>Use the experience in the area of solid waste management to explore extension of the project to other vulnerable groups in Pereira or to up-scale the project or other municipalities.</p> <p>Create alliances (as has been done in Pereira) and communicate results achieved so far in Pereira.</p> <p>Try to create a similar degree of credibility and trust in other municipalities, as that has been key for success in Pereira.</p>	<p>For a possible replication of the project, include a specific context analysis of the new cities and their political and administrative bodies, the dynamics of decentralisation; information to key actors, the commitment of municipal authorities, and collaboration with SMEs involved in pre-collection of waste.</p>
<b>Dealing with COVID-19 situation</b>			
<p>Consider training on use of virtual and social media to facilitate focus group discussions and stakeholder engagement in the COVID-19 pandemic.</p> <p>Further investment in equipment to facilitate communications may be necessary.</p>	<p>Make adjustments to the project to deal with the challenges of COVID-19.</p> <p>Preserve and enhance as much as possible communication channels and events.</p> <p>Step up support to the CFP.</p> <p>Involve township (and regional) officials as capacity builders.</p> <p>Use one volunteer per ward to follow up more closely project implementation.</p> <p>Reduce the 'digital divide'; possible investment in ICT.</p>	<p>Continue the adjustment of plans to the COVID-19 situation as it is likely to develop in the near future – as outlined in Revised Annual Plan 2020 - but also consider a more permanent shift to coaching at distance.</p> <p>Step up support to the CFP.</p> <p>Realise additional investments in information and communication systems and for (online) awareness campaign.</p>	<p>Make more continuous use of means of communication such as radios for awareness-raising, as well as more digital technologies.</p>

### 5.3 Summing up and reviewers' recommendations

This chapter addressed the following questions:

- *How could the theories of change be more transformative/have more impact/be more realistic for the city?*
- *To what degree does the DEALS programme contribute to learning by/in the partner cities?*
- *How does learning by/in the city contribute to up-scaling? (Up-scaling, for example in terms of other comparable cities, neighbouring cities, or other vulnerable groups in the city.)*
- *What are recommendations for up-scaling, considering the tailor-made and demand-driven*

*character of the programme?*

The outcomes and impact envisaged in the city theories of change are ambitious. In terms of outcomes, the revised theories of change are more realistic than the original ToCs. Limited monitored indicators and interview results suggest that there are signs of progress and that a sound legal and regulatory framework is an important enabling factor, but the projects also face several challenges and constraints. Some of the interviewees think that larger impact could have been achieved by shifting somewhat the focus of the programme from the local government to other stakeholders – doing more with capacity building at different levels of stakeholders and improving communication between the stakeholder groups. Embedding changes is also considered important.

Views on learning expressed by stakeholders and experts are:

- The DEALS programme has contributed to capacity building, capacity building was useful and stakeholders learned from the programme.
- The experience so far of the four projects indicates that the objectives (outcomes and impact) formulated in the city theories of change are quite ambitious, in some cases perhaps too ambitious. In terms of outcomes, the revised theories of change are more realistic than the original ToCs.
- There are signs of progress.
- A sound legal and regulatory framework is an important enabling factor, but the projects also face several challenges and constraints, including the difficulty of striking a balance between expectations and limited resources.
- Larger impact could have been achieved by shifting somewhat the focus of the programme. That is, focusing not only on local government, but also on other levels of government.
- Impact could have been larger if there would also be some emphasis on tangible results and if communication would be improved.
- The programme would have had more leverage if only cities were selected in countries where there is international development cooperation with the Netherlands, so where the Dutch government is more involved.
- There are doubts regarding the realism of putting the integrated approach into practice in some contexts.
- There is interest in up-scaling of the projects.
- Learning from the experience with the DEALS programme can help in identifying possible success and failure factors for any up-scaling of the projects, either within the cities or to other cities.

Several recommendations made by stakeholders and experts are:

- VNG International should continue to play its facilitating role in the collaboration of relevant stakeholders
- Provide further support to create alliances between stakeholders
- Ensure that relevant central ministries, the local government association and capacity building institutions have a stronger connection to the project.
- Have a long-term, strategic approach to capacity building, as well as a strong strategy to build capacity locally.
- Step-up capacity building. Put continued emphasis on capacity building of local staff and experts. This is considered even more important in the current COVID-19 situation.
- Consider additional investments in information and communication systems.
- Clarify the roles of stakeholders and identify related activities that can lead to development of employment and micro-entrepreneurship
- Continue to focus on financial sustainability.

- Pay attention to the need for awareness raising.

Specific recommendations regarding a possible extension of the programme to the other cities and vulnerable groups:

- Begin with a clear situation analysis and a multi-stakeholder event to set priorities, to ensure that the project is demand driven.
- Carry out a specific context analysis of the new cities and their political and administrative bodies.
- First try to create a similar degree of credibility and trust as in the current project contexts.
- Assess whether all the conditions identified for sustainability of results are fulfilled in other contexts.

For all projects, some recommendations were made with respect to the theory of change and monitoring:

- Continue to use a ToC for project development and review.
- Make a simpler version of the ToC, or rather of parts of it, that can be shared with a wider group of stakeholders. This would enable the project teams to better communicate the key project objectives, activities and intended results to these stakeholders.
- Improve the monitoring system. This would help internal learning, but also improve the reporting to the donor and would be a way of refining the ToC and checking to see if the 1) intermediate outcomes and main outcomes make sense and are sensibly linked and 2) assumptions are correct.
- Have 'more reflexive thinking, more time for reflexive monitoring'.

Recommendations that were made to improve internal learning within VNG International are:

- Engage project staff more in exchange of experiences.
- Discuss integrated governance approach and its application, and the use of the ToC.

Based on the above, the reviewers' recommendations for upscaling and for implementation in the remainder of the programme period are as follows:

1. Clearly assess the conditions that need to be fulfilled for the sustainability of results and for any possible up-scaling.
2. Make different scenarios about the impact of COVID-19 on programme implementation and results.
3. Assess whether the (possible) implications of the COVID-19 situation and other contextual changes require adaptation of the ToCs and, if so, make the required changes.
4. Step up local capacity building of local staff and experts (e.g. the capacities to act and commit and to deliver on development objectives).
5. Provide (more) distance coaching of the CFP (and other core members of project teams).
6. Make a simpler version of the ToC, to be shared with a wider group of stakeholders, or find a better way of communicating objectives, etc. with target groups.
7. Improve monitoring by strengthening the link between local monitoring and reporting with reporting at the level of the programme, share monitoring result with relevant stakeholders in the countries and promote reflexive thinking – both at local level and programme level.
8. Monitor output indicators that genuinely reflect key elements of the integrated approach (as e.g. included in the revised ToC of the project in Pereira) and try to reconstruct a baseline situation. Keep monitoring some of the output indicators that are presently monitored, to be able to assess whether there is progress. Use operational indicators for activities linked to outputs and provide annual results for activities in meaningful activity groups.
9. Define and use intermediate outcome indicators that actually measure capacity that is built.
10. Create more opportunities for exchanging the experiences of the projects among the project teams.

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## Annex 1: Questionnaire for interviews

This annex contains the questionnaire for the interviews, in which the interview questions are grouped by research question. Not all the questions were relevant for each and every stakeholder interview. Some questions were phrased differently, depending on the type of respondent. Where necessary, an explanation was given to the interviewee.

A selection of (adapted) questions guided the interviews with the programme managers, experts and ministry staff.

Interviews with selected ultimate beneficiaries were based on a selection of the questions, and were of a more open nature.

### 1. Questions regarding process:

#### 1a. *How did project teams and target cities develop and implement the Theories of Change (ToC)?*

1. Do you know what the desired outcomes of the DEALS programme in [city] are?

Explanation: The desired outcomes relate to integrated policies and institutions contributing to achieving the programme impact (i.e. improving the quality of life of poor urban residents).

2. Are you familiar with the ToC developed for the DEALS programme in [city]?

Explanation: The ToC is the results framework, consisting of a chain of results at different levels (output-outcome-impact), and an indication of underlying assumptions, preconditions and indicators. Outputs relate to immediate results of the VNG International support for capacity building.

3. Were you involved in the development of the ToC?
  - a. If yes, what was your role?
  - b. If not, why not?
4. Has the programme been implemented according to the ToC?
5. If you are not familiar with ToC, how have you been involved in the implementation of the programme?

Explanation: We would like to know what your role has been and in which activities you were involved.

#### 1b. *How did the project team build capacity of the key stakeholders involved in the programme?*

1. Did you get capacity building support during the programme?
  - a. If so, what kind of capacity building support? Please explain.

Explanation: We would like to hear examples of support, e.g. training sessions in a group, on-the-job training ...

- b. What kind of capacity building support have you found most useful? Please explain.
- c. In your opinion, how has the capacity building support influenced your work? (What are you able to do better?)

Explanation: We would like to hear examples of things that you can do better as a result of the support that you received.

- d. Have you been able to implement in your work what you learned? How?

Explanation: We would like to hear concrete examples of things that you do differently as a result of the support that you received.

- e. Are there any things constraining your applying what you learned? If so, what kind of things?

Explanation: We would like to hear examples of any limitations that you face in doing things differently when you want to apply what you learned in the DEALS programme.

2. In your opinion, which of the different kinds of support helped you the most? Why?

Explanation: We would like to hear examples of what helped most if you received different kinds of support.

3. Do you know whether other key stakeholders received capacity building support from DEALS? If so who?
  - a. If yes, what kind of support did they receive?
  - b. Did the support influence their work?
  - c. Have they been able to apply what they learned in the training in their work?
  - d. Has there been anything that constrained their application of learning?

*1c. With which stakeholders did programme team engage and how did the project team and partner cities deal with conflicting interests as part of the stakeholder engagement process?*

1. With which other stakeholders have you engaged in the implementation of the programme?

Explanation: We would like to hear what the (up to three) most important other involved parties were with which you cooperated in the programme.

2. Were there any conflicting interests? If yes, what kind of differences in interests? And with whom?

Explanation: We would like to hear the following:

- whether there were different interests of the various parties involved
- which parties had different interests
- what these different interests were
- whether this led to problems

3. How did you resolve these differences in interest?

*1d. What challenges have the programme teams been dealing with and how have they addressed them?*

1. Have there been any challenges that the programme team had to deal with? If yes, which?

Explanation: Challenges relate to difficulties or limitations that the programme team faced in the implementation of the programme.

2. How have these challenges been dealt with? And by whom?

Explanation: We like to hear how the implementation of the programme was changed to deal with the difficulties or limitation and who decided to make these changes.

*1e. How were outputs monitored and has there been a review of the original ToC?*

1. Do you know how outputs are monitored? If yes, please explain.

Explanation: Outputs relate to immediate results of the VNG International support for capacity building.

2. Who take a key role in the monitoring?

Explanation: We like to hear which involved party (parties) are responsible for registering what immediate results of capacity building support have been obtained.

3. Have you been involved in the monitoring of outputs? If yes, how?

Explanation: We like to hear whether you were also responsible for registering what immediate results of capacity building support have been obtained and what role you played in monitoring output.

4. Do you know whether the original ToC was reviewed?

Explanation: The ToC was revised in October 2019. The original ToC was made included in the 2018 inception report of the programme.

5. If yes, do you know how the ToC was modified?
6. If yes, please explain how the ToC was modified.
7. Were you involved in the review of the ToC?
8. If yes, what was your role in the review of the ToC?
9. Did the review of the ToC change the design of the programme? If so, how? If not, why not?

Explanation: We like to know whether and how in your view the revision of the ToC affected the way in which the programme is implemented.

**2. Questions regarding results:**

*2a. What are the monitored results and how do they compare with the original ToC?*

*2b. What did the targeted vulnerable and poor people in the target cities notice of the DEALS programme?*

*2d. What do you think are the main outputs, outcomes and impacts of the DEALS programme?*

1. In your view, what are the three main outputs of the programme?

Explanation: Outputs relate to immediate results of the VNG International support for capacity building.

2. In your view, what are the three main outcomes of the programme?

Explanation: Outcomes relate to integrated policies and institutions contributing to achieving the impact.

1. Are the outputs currently being monitored by the programme? If yes, how? If not, why not?
2. Have the outputs also been monitored in the past?
3. Are the outcomes currently being monitored by the programme? If yes, how? If not, why not?
4. Have the outcomes also been monitored in the past?
5. Who are the vulnerable and poor people targeted in the programme in [city]?

Explanation: The vulnerable and poor people are the ultimate beneficiaries of the programme. The programme aims to improve their living conditions.

6. Have targeted vulnerable and poor people benefited from the programme? How? If not, why not?
7. What has changed for vulnerable and poor people been as a result of the programme?
8. Have gender issues been taken into consideration? How? If not, why not?

Explanation: Gender relates to the role and position of women in society and economic activities, as compared to that of men.

9. Do you feel that the programme achieved what it set out to achieve? If not, why not?
10. If not yet achieved, do you expect that the envisaged output and outcome can be achieved in the remainder of the programme?

Explanation: We like to know what your expectations are of the programme's immediate results in terms of capacity and in terms of policy and institutional changes in the coming two years.

11. How do you think that the COVID-19 situation may affect the results of the programme?

*2c. What is the opinion of local government and other stakeholders of the innovations of the DEALS programme?*

1. In your opinion, has the DEALS programme in [city] been innovative/resulted in new approaches?

Explanation: We like to know whether the programme has resulted in a different way of doing things.

2. If so, what are in your opinion the three main innovations of the programme?

*2e. What do you think is needed in order to better maintain the impact of the programme over time?*

1. Do you think that the main impact of the programme (on the living conditions of the poor and vulnerable urban population) is sustainable? Please explain.

Explanation: We like to know whether the programme leads to a continued improvement of the living conditions of the poor and vulnerable urban population.

2. In your view, which three key conditions need to be fulfilled for sustainable impact?

Explanation: We like to know what in your view is needed for a continued improvement of the living conditions of the poor and vulnerable urban population as a result of the programme.

**3. Questions regarding learning and recommendations:**

*3a. How could the theories of change be more transformative/have more impact/be more realistic for the city?*

1. How do you think that the programme for [city] could be more effective?

Explanation: Effectiveness relates to the realisation of desired outcomes.

2. How do you think that the programme for [city] could have larger impact?

Explanation: Impact concerns the improvement of the quality of life of poor urban residents.

3. How do you think that the COVID-19 situation could be taken into account in the remainder of the programme?

Explanation: We like to know how in your view the programme could deal with effects of, and limitations due to the Corona virus situation.

*3b. To what degree does the DEALS programme contribute to learning by/in the partner cities?*

1. Have you learned from the experience of implementing the programme? Please explain.

Explanation: We like to know whether, looking back, some parts of the programme could have been implemented better.

*3c. How does learning by/in the city contribute to up-scaling? (Up-scaling, for example in terms of other comparable cities, neighbouring cities, or other vulnerable groups in the city.)*

1. Has learning from the programme contributed to extension of the programme to other vulnerable groups in your city? Please explain.

Explanation: We like to know whether the experience of the programme has led to the decision to target also other vulnerable groups in the city and, if so, which groups and how?

2. Has learning from the programme contributed to the initiation of similar activities in the city itself or in other cities? Please explain.

Explanation: We like to know whether the experience of the programme has led the city or other to start similar programmes.

*3d. What are recommendations for up-scaling, considering the tailor-made and demand-driven character of the programme?*

1. How would you recommend the programme be extended to other areas or vulnerable groups in your city? Please explain.

Explanation: We like to hear your views on how you would extend the programme to other areas/groups.

2. How would you recommend the programme be extended to other cities? Please explain.

Explanation: We like to hear your views on how you would extend the programme to another city.

3. How do your recommendations take into account the COVID-19 situation?

Explanation: We like to hear your views on how you would adjust the programme it would be extended to other areas/groups/cities given the COVID-19 situation.

## Annex 2: Stakeholders interviewed

### General

Name	Position	Organisation
Julian Baskin*	Head of Programme	Cities Alliance
Jeroen Diepemaat*	Alderman	Municipality of Enschede (The Netherlands)
Alfonso García	Associate expert	VNG International
Marieke Holzapfel*	Senior Policy Officer	Ministry of Foreign Affairs of the Netherlands
Irene Oostveen	Programme manager	VNG International
Anne-Marie Schreven	Associate expert	VNG International
Giorgia Silvestri*	Researcher and Advisor	DRIFT, Erasmus University Rotterdam
Ellen van Reesch	Associate expert	VNG International

\* Member Advisory Committee of DEALS Programme

## Kumasi

Group	Stakeholders	Person interviewed	Organization/ Position
Non-governmental stakeholders	<i>Citizens:</i> Moshie Zongo residents, Dagomba line residents.	Mr. Abubakar Alhassan Ms. Baxumvolim Vida Mr. Noah Boabil Mr. Pius Akobilah	Dagomba Line Resident Moshie Zongo Resident Moshie Zongo Resident Moshie Zongo Resident
	<i>Citizens' representatives and leaders:</i> Scrap Dealers Association, Traditional leaders <i>Business actors:</i> Transport operators Association and driver unions.	Mr. Mohammed Salifu Mr. Karrim Fuseini  Ms. Afua Kyeiwaa  Mr. Richard Yeboah	Scrap Dealers Association, Business sector/Dagomba Line Resident  Market Queen, Race Course market Transport Operators Union/GPRTU
	<i>Knowledge institutions:</i> KNUST faculty and students	Mr. Kwasi Kwarteng Boamah Prince Aboagye Anokye	KNUST Planning student.  (Prince Anokye was also interviewed on his University view)
	<i>Civil Society Organizations (CSOs):</i> Ghana Federation of Disability Organizations, Muslims Family Counselling Services, Rights and Responsibilities Initiative Ghana, Centre for Mission and Community Mobilization.	Ms. Faustina Prempeh  Ms. Sophia Darkwa  Mr. Jalil Mohammed  Hon. Prince Debrah	Rights and Responsibilities Initiative Ghana, a CSO Centre for Missions and Community Mobilization, a CSO Muslim Family Counselling Services, a CSO Ghana Federation of Disability Organizations, a CSO
	<i>Donor and funding agencies:</i> International Municipal Investment Fund (UNCDF)	Jaffar Machano	Programme manager International Municipal Investment Fund, UNCDF
Other government actors and levels	<i>National government:</i> Ministries of Local Government and Rural Development, Ministry of Finance, Ministry of Transport and Ministry of Planning.	Mr. Phillip Acheampong	Ministry of Planning
	<i>Neighbouring local government:</i> Kwadaso Municipal Assembly (M/A), Asokwa M/A, Tafo M/A, Asokore M/A and Suame M/A.	Ms. Bertha Opoku Mr. Stephen Lunnuah	Suame Municipal Assembly Kwadaso Municipal Assembly
Target local government	<i>Staff/Civil servants:</i> Mayor of Kumasi Metropolitan Assembly (KMA), KMA heads of department, other staff, Steering committee comprising staff from Urban Transport, Environmental Health, Waste Management, Finance, Public Relations departments. <i>Elected politicians:</i> Unit committee and local assembly members.	Mr. Charles Kwesi Adjei  Ms. Abigail Magti Mr. Stephen Ofori	Planning Officer/ Project Coordinator, KMA  KMA staff, Planning Unit Presiding Officer, KMA
Technical Assistance	<i>Experts:</i> VNG international staff Daan Stelder, VNG associates (Jean Eigeman), Almere (Paul Mulder and colleague Maartje) and Maple Consult (Jacob Duut), Crosswise Works (Bas Gadiot), Noordwind (Saane Mylonas and colleague) VNG focal points Prince Anokye (KNUST) and Aba Oppong (social). <i>Programme Advisory Committee members:</i> Julian	Ms. Aba Oppong  Prince Aboagye Anokye Daan Stelder Irene Oostveen  Sanne Mylonas	Local VNG expert/City Focal Person (Social) Local VNG expert/City Focal Person (KNUST) Project leader, VNG Programme leader, VNG. First Project leader Kumasi Associate expert VNG, Governance Partner, Noordwind cooperative-advisor on circular economy

Group	Stakeholders	Person interviewed	Organization/ Position
	Baskin of Cities Alliance and Jeroen Diepemaat, Alderman of Enschede and representatives of Sèmè-Podji.		Interviewed as part of overall programme. Specific Kumasi comments incorporated
Foreign local government	Dutch Municipality of Almere Sèmè-Podji in Benin	Paul Mulder	Technical expert, social research Almere Municipality – long term technical support to Kumasi also earlier under sister cities relationship

## Pathein

Name:	Title/position:	Role in the DEALS programme:
Naw Htee Ku Paw	Project Coordinator VNG	Project Coordinator
U Kyaw Myint	Minister Regional Development Affairs	Signed MOU
U Kyaw Soe	Deputy Director	Township Development Affairs Committee –Secretary
U Zaw Htun Khaing	Chairman of Township Development Affair Committee	Coordination and collaboration in project activities
U Khin Win	Chair of legislation committee	Revising the municipal law
U Yaw Min Tun	Deputy Township Administrator	Involved in implementation of DEALs project as a GAD at Township level
Daw Ye May Oo Zaw	Regional Staff Officer Environment Conservation Department (ECD)	Joined workshops, trainings
Daw Soe Moe Aung	University Student	Clean Pathein (Member)/ participated in data collection as a university student
U Aung Thu	Chairman Ward cleaning and supporting groups (WCSG)	Focal person of Ward for implementation of the DEAL project
U Hla Myint	Chairman Ward cleaning and supporting groups (WCSG)	Focal person of Ward for implementation of the DEAL project
U Ko Ko Naing	Ward (12) Administer	Involved in implementation of DEALs project at the ward level
U Soe Aung	Ward (7) Administrator	Involved in implementation of DEALs project at the ward level
U Zaw Thet Maung	Leader Clean Pathein	Participate in awareness raising and sharing session of the project
U Aung Bo Bo Htet	Project Coordinator ATAA	consultant, trainer
Irene Oostveen	Acting project manager DEALS Pathein	VNG International
Myrthe van der Spek	Junior Project manager DEALS Pathein	VNG International

## Pereira

Name	Position	Organisation
Linda Breukers	Asesora / Prestadora Servicios	VNG International
Carolina Cardona	Experta en Contratación Pública en Residuos	VNG International
Andrés Castrillón	Managing Director	EMAUS
Alfonso García	Associate expert	VNG International
William García Machado	Manager	Superintendencia de Servicios Públicos Domiciliarios
Sandra Granada	Head of Department	Secretaria de Desarrollo Rural y Gestión Ambiental – Alcaldía de Pereira
Hans Peter Reinders	Policy Officer on Nature and Landscape	Municipality of Leusden
Laura Reyes	Executive Director	CEMPRE Colombia
Javier Moreno Méndez	Experto Comisionado	Comisión de Regulación de Agua Potable y Saneamiento Básico
Irene Oostveen	Programme manager, Project manager DEALS Pereira	VNG International
Mario León Ossa	Gerente	Empresa de Aseo de Pereira
Diana Carolina Ramírez	Professional	Centro de Gestión Ambiental – Universidad Tecnológica de Pereira
Carlos Enrique Rodas	Legal Representative	FUNDAMBIENTA
Carlos Mario Sánchez	Technician/Deputy manager	FUNDAMBIENTA
Luis Felipe Vásquez Correa	City Focal Person, DEALS project	VNG International
Jadira Vivanco	Reginal Coordinator	IRR iniciativa Regional para el Reciclaje Inclusivo

## Sèmè-Podji

BESSAN Gilles Faucas, gestionnaire résidentiel du programme

SOSSOU K. Egy, Coordonnateur national de VNG

DEGBESSOU Stanislas Juste, Ancien Président de l'équipe focale

MEDENOU Aimé, Chef service technique, actuel président de l'équipe focale

POSHOU Raymond, Chef division environnement, collaborateur du Chef service technique

YEKINI E. Yacoubou, membre de l'équipe focale

HOUETEHOU H. Marcel, membre de l'équipe focale

BODEOUSSE M. Rigobert, membre de l'équipe focale

AGOSSOU V. Brice, personne ressource environnement de l'équipe focale

GBENAMETO S. Jonas, Maire de la commune de Sèmè-Podji

GBEDIGA F. Thimothé, Premier Adjoint au Maire de la commune de Sèmè-Podji

HOUESSOU Philippe, Administrateur du GIE Union des Verts d'Agblangandan (UVA)

ACHOUKE Alice, Présidente du groupement de femmes "Tanimonla"

HODONOU Reine, Secrétaire du groupement de femmes "Christ Roi"

KPEIFA Denise, Présidente du groupement de femmes "Adoubossou"

HONFO Charlemagne, ancien Maire de la commune (contacté mais n'a pas souhaité participer à l'évaluation)

METOME André, membre de l'équipe focale (contacté mais pas disponible pour participer à l'entretien)

## Annex 3: Survey results

### Introduction

Stakeholders were asked to respond to 20 short questions and to give a score on a scale of 1 to 4. Questions S1-S14 in Table 19 relate to process, questions S15 and S16 to results, whereas questions S17-S20 concern learning and recommendations. In total, 39 persons participated in the survey, but there was partial non-response and some questions did not apply to all respondents. Table 19 contains the average score and number of observations per question, while

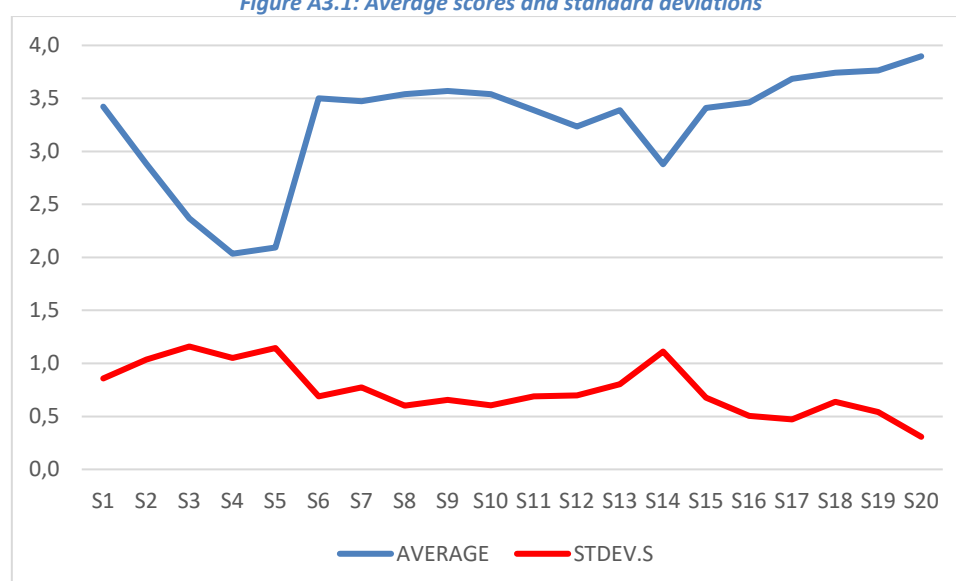
Figure A3.1 shows the average value and spread of the scores for the 20 questions.

**Table 19: Average scores and number of observations**

Question	To what extent ...	AVG	n
S1	... are you familiar with the objectives of the DEALS programme implemented in [city]?	3.4	38
S2	... are you familiar with the ToC developed for the DEALS programme implemented in [city]?	2.9	34
S3	... are you familiar with the fact that the ToC was revised in 2019?	2.4	30
S4	... were you involved in the development of the ToC?	2.0	29
S5	... were you involved in the review?	2.1	32
S6	... have you been involved in the implementation of the programme?	3.5	38
S7	... are you satisfied with your involvement in the programme?	3.5	36
S8	... has the programme contributed to capacity development?	3.5	39
S9	... has the capacity building support been useful for your participation in the DEALS programme?	3.6	35
S10	... have you learned from the programme?	3.5	37
S11	... have you been able to implement learning in your work?	3.4	36
S12	... have other stakeholders learned from the programme?	3.2	34
S13	... do you think that the DEALS programme was innovative?	3.4	36
S14	... have you been involved in the monitoring of outputs?	2.9	33
S15	... has the programme benefited targeted vulnerable and poor people in [city]?	3.4	39
S16	... will this impact of the programme be sustainable?	3.5	39
S17	... could what you learned from the programme contribute to extending the programme to other vulnerable groups in [city]?	3.7	38
S18	... would you recommend extending the programme to other vulnerable groups in [city]?	3.7	39
S19	... could learning from the programme contribute to extending the programme to other cities in [country]?	3.8	38
S20	... would you recommend extending the programme to other cities in [country]?	3.9	39

Note: Scores on a scale of 1 to 4; 1 = "Very little/nothing"; 2 = "Little"; 3 = "Some" or "Somewhat"; 4 = "A lot" and 99 = "Don't know/Not applicable".

**Figure A3.1: Average scores and standard deviations**



- The average scores are rather high for most of the survey questions. This is related to some of the respondents are project managers, CFPs or, in the case of Sèmè-Podji, members of the municipality's focal team. Their scores for

questions on process (S1-S14) are on average higher than the average score given by other respondents. They are also slightly more optimistic about sustainability of impact (question S16) than the other respondents, though their average score on impact is somewhat lower than that of the other respondents. The differences for the questions on learning and recommendations are negligible.

- Questions on familiarity with ToC's and involvement in development or revision of the ToC scored lower on average and there was more variation in the scores (as evidenced by the higher standard deviation).
- The question on monitoring (S14) also yielded more varied scores and, consequently, there is a relatively low average score.
- Learning and recommendations generally yielded high scores.

#### Process

S2					
	1	2	3	4	Total
S1	1	2			2
	2	1	1		2
	3		4	1	9
	4	1	3	10	20
Total		4	8	10	33

- Respondents tend to be less familiar with the ToC (S2) than with the programme's objectives (S1)
- Nonetheless, S1 and S2 are somehow correlated

S3					
	1	2	3	4	Total
S2	1	2			2
	2	3	4		7
	3	2	3	1	9
	4	2	1	6	12
Total		9	8	6	30

- Over half of the respondents were hardly or not familiar with the fact that the ToC was revised (S3)
- Respondents tend to be more familiar with the fact that the ToC was revised (S3) than with the ToC itself (S2)
- Nonetheless, S2 and S3 are somehow correlated

S4					
	1	2	3	4	Total
S2	1	2			2
	2	3	1		7
	3	5	2		10
	4	2	1	3	10
Total		12	7	3	29

- Two thirds of the respondents indicated to be (quite) familiar with the ToC (S2), but only a third was quite or strongly involved in its development (S4).

S5					
	1	2	3	4	Total
S3	1	7	1		9
	2	2	1	1	7
	3	2	2	1	6
	4	1	3	3	7
Total		12	8	5	29

- Nearly half of the respondents is quite or very familiar with the fact that the ToC was revised (S3), but only a minority was really involved in that revision (S5).

S5					
	1	2	3	4	Total
S4	1	10	2		12
	2	1	5	1	7
	3	2	1	4	7
	4			3	3
Total		13	8	4	29

- Respondents who were hardly or not involved in the development of the ToC (S4) were often also not (much) involved in its revision (S5).

S6					
	1	2	3	4	Total
S1	1			1	1
	2		3		3
	3		6	3	9
	4		5	17	22
Total		0	0	14	21

- Two thirds of the respondents is very familiar with the programme's objectives (S1)
- Also two thirds of the respondents were involved a lot in implementation (S6)
- Familiarity (S1) tends to be greater, the more the respondent has been involved in implementation (S6)

S7					
	1	2	3	4	Total
S6	1				0
	2				0
	3		3	6	13
	4	1	4	16	21
Total		1	3	8	22

- Two thirds of the respondents are very satisfied with their involvement in the programme (S7)
- Respondents tend to be more satisfied with their involvement (S7), the higher the degree of involvement (S6)

S8					
	1	2	3	4	Total
S7	1			1	1
	2		2	1	3
	3		7	3	10
	4		5	16	22
Total		0	1	14	21

- Satisfaction with involvement in the programme (S7) and contribution of the programme to capacity building (S8) tend to be correlated

S12					
	1	2	3	4	Total
S10	1				0
	2	1	1		2
	3	3	7	3	13
	4	1	8	10	19
<b>Total</b>		<b>0</b>	<b>5</b>	<b>16</b>	<b>34</b>

- Some respondents rate their learning from the programme (S10) more positive than other stakeholders' learning (S12)

S13					
	1	2	3	4	Total
S4	1	3	2	7	12
	2	1	2	4	7
	3		2	5	7
	4		2	1	3
<b>Total</b>		<b>1</b>	<b>3</b>	<b>8</b>	<b>29</b>

- Over half of the respondents had little or no involvement in the development of the ToC (S4)
- Only 3 respondents were involved a lot (S4)
- Opinions on degree of innovativeness of the programme (S13) are not related to the degree of involvement in the development of the ToC (S4)

S14					
	1	2	3	4	Total
S6	1	1			1
	2	1			1
	3	2	2	5	10
	4	2	2	6	20
<b>Total</b>		<b>6</b>	<b>4</b>	<b>11</b>	<b>32</b>

- Half of the respondents had a lower degree of involvement in monitoring (S14) than their degree of involvement in programme implementation (S6)

## Results

S16					
	1	2	3	4	Total
S15	1				0
	2		3	1	4
	3		8	7	15
	4		10	10	20
<b>Total</b>		<b>0</b>	<b>0</b>	<b>21</b>	<b>39</b>

- Most survey respondents tend to be (rather) positive about programme impact (S15)
- Surprisingly, all tend to be (rather) positive about its sustainability (S16)
- No correlation between these two variables

### Learning and recommendations

S18					
	1	2	3	4	Total
S17	1				0
	2				0
	3	3	1	8	12
	4	1	1	24	26
<b>Total</b>		<b>0</b>	<b>4</b>	<b>2</b>	<b>32</b>
		<b>0</b>	<b>4</b>	<b>2</b>	<b>38</b>

- 2 out of 3 respondents think that a lot can be learned from the programme about extending it to other vulnerable groups in the city (S17)
- An even larger share recommends extending it to other vulnerable groups in the city (S18)
- Clear correlation between these two variables

S20					
	1	2	3	4	Total
S19	1				0
	2			2	2
	3		3	2	5
	4		1	30	31
<b>Total</b>		<b>0</b>	<b>0</b>	<b>4</b>	<b>34</b>
		<b>0</b>	<b>0</b>	<b>4</b>	<b>38</b>

- 4 out of 5 respondents think that a lot can be learned from the programme about extending it to other cities (S19)
- An even larger share recommends extending it to other cities (S20)
- Clear correlation between these two variables

S18					
	1	2	3	4	Total
S15	1				0
	2	1	1	2	4
	3	1	1	13	15
	4	2		18	20
<b>Total</b>		<b>0</b>	<b>4</b>	<b>2</b>	<b>33</b>
		<b>0</b>	<b>4</b>	<b>2</b>	<b>39</b>

- Recommending the extension of the programme to other vulnerable groups in the city (S18) does not really depend on how one thinks about impact (S15)

S20					
	1	2	3	4	Total
S15	1				0
	2			4	4
	3		3	12	15
	4		1	19	20
<b>Total</b>		<b>0</b>	<b>0</b>	<b>4</b>	<b>35</b>
		<b>0</b>	<b>0</b>	<b>4</b>	<b>39</b>

- Recommending the extension of the programme to other cities (S20) does not really depend on how one thinks about impact (S15)

S17						
		1	2	3	4	Total
S10	1					0
	2			1	1	2
	3			3	10	13
	4			8	14	22
Total		0	0	12	25	37

S19						
		1	2	3	4	Total
S10	1					0
	2		1		1	2
	3		1	1	10	12
	4			4	18	22
Total		0	2	5	29	36

- Comparison of the two tables above indicates that learning from the programme (S10) is associated somewhat more with learning about replication to other cities (S19) than with learning about within-city replication to other vulnerable groups (S17).

## Annex 4: Activities in 2018 and 2019 by category of activity

	2018			
	Outcome: Improved capacity of KMA for integrated, multi-level, inclusive approaches to the challenges facing slum development and decongesting the CBD	Improve capacity of Pathein Township for integrated multi-level an inclusive approaches to the challenges facing squatter settlements in flood prone areas	Improved capacity of Pereira municipality for integrated multi level an inclusive governance approaches to the challenges facing illegal settlers in risk zones and informal solid waste recyclers	improved capacity of Sèmè-Podji municipality for integrated multi stakeholder and inclusive governance approaches to face the challenges of waste management
Inception	Inception missions, initial situation analyses / studies	Inception missions, initial situation analyses / studies	Inception mission, initial situation analyses / studies	Inception missions, initial situation analyses / studies
Internal HR	Recruitment of City Focal Persons	Recruitment of City Focal Person	Recruitment of City Focal Person	Recruitment of City Focal Person
Institutional strategy	Set up of KMA Steering Committee	Establishment integration working group (in 2019: Set up of a ward committee to mobilise and raise awareness)	Alignment with institutional set-up according to Decree 596 of 2016 on formalisation on waste recyclers, committees for implementation of the municipal solid waste management plan (PGIRS) and institutional set-up according to Decree 2412 of 2018 on resources from waste recycling tax.	Set up of municipal focal team for DEALS project, with business sector as one of the members (SME involved in pre-collection)
MOU	Signing of MoU KMA/Almere/VNG	Signing of MoU	Signing of MoU	
Kick off	Review of inception phase conclusions	Selection of pilot wards (workshops to present project, select wards)	Start of activities for remainder of 2018 that were planned in inception report	Workshops with the focal team to analyse the problems, define project objectives and strategies
Baseline studies	(Baseline studies on markets and traffic carried out in 2019)	(Baseline training and study in 2019)	Review of 2016 Census of recyclers	Baseline study / needs assessment of the inclusivity question, as it relates to urbanisation of waste management and
Internal	Organization of anti-silo interdepartmental cooperation for local comprehensive land use planning and inclusive economic growth in pilot areas (20 meetings)		Facilitation of internal coordination  Workshop for drafting the strategy / policy on settlements	Workshop and coaching on interdepartmental cooperation and clarification of coherent strategy of sustainable and inclusive waste management  Team building activities for the focal team
External (ongoing)	Steering committee meetings (anti- silo)  Facilitation of decongestion multi- stakeholder meetings and joint actions Facilitation of Zongo development multi-stakeholder meetings and joint actions	Facilitation of multi stakeholder meetings and joint actions  Meetings with integration working group in Pathein Township	Facilitation of multi-stakeholder meetings and joint actions	Workshop and coaching on stakeholder analysis and multi sectoral partnerships

	2018			
	Outcome: Improved capacity of KMA for integrated, multi-level, inclusive approaches to the challenges facing slum development and decongesting the CBD	Improve capacity of Patheon Township for integrated multi-level an inclusive approaches to the challenges facing squatter settlements in flood prone areas	Improved capacity of Pereira municipality for integrated multi level an inclusive governance approaches to the challenges facing illegal settlers in risk zones and informal solid waste recyclers	improved capacity of Sèmè-Podji municipality for integrated multi stakeholder and inclusive governance approaches to face the challenges of waste management
Capacity building	Scenario planning workshop for land use planning of markets and Zongos with Almere (April 2018) (Towards a Deal workshop re-scheduled to 2019)	Capacity development of government on urban poor spatial integral planning, geo information/ monitoring, financial	Support to municipality on training courses for waste pickers organisations	
Technical assistance	TA on Financial sustainability (ongoing)  TA on Land use planning, compliance and enforcement (ongoing)  TA on Decongesting/Zongo development strategy (ongoing)		Dutch municipal visit to exchange on the leasing of municipal land for housing. Practical experiences for policymakers  Visit of Dutch waste management company to develop concept of waste stations for the disposal of large items	
Citizen engagement, awareness and education	Citizen engagement, inclusion and education/communication (rescheduled 2019)	Engagement of government and politicians / training sustainability awareness  Citizen engagement and awareness for sustainability  Sustainability visibility moment	Public awareness and education activities	
Study visits	2018 study visit to the Netherlands	2018 study visit to the Netherlands CFP, Minister of Development Affairs, TDOA Executive Officer, Director of the Region Government and the Speaker of the Irrawaddy Parliament	2018 study visit to the Netherlands CFP and former Mayor participated.	2018 study visit to the Netherlands by CFP, few members of the Focal Team and the (former) Mayor  Study visit to the Centre Valdera at the University of Abomey-Calavi
Workshops to work towards a DEAL	Working towards a DEAL (Workshop) / closing the DEAL for decongesting/Zongo development (rescheduled 2019)	Working towards a deal, closing the DEAL for squatter settlement development in pilot wards (change focus target groups)	Working towards a housing DEAL / Working towards a waste DEAL  Workshop on inclusive recycling held on 28 September 2018, with participation of over 20 public and private entities, coordinated by VNG International and PGIRS Technical Committee	
Partnerships with Universities	Learning and innovation Facilitating role of KNUST in program (ongoing). 2 <sup>nd</sup> Focal Point is KNUST staff	Facilitation role for Patheon University in programme	Linking up with universities in Pereira	

	2018			
	Outcome: Improved capacity of KMA for integrated, multi-level, inclusive approaches to the challenges facing slum development and decongesting the CBD	Improve capacity of Pathein Township for integrated multi-level an inclusive approaches to the challenges facing squatter settlements in flood prone areas	Improved capacity of Pereira municipality for integrated multi level an inclusive governance approaches to the challenges facing illegal settlers in risk zones and informal solid waste recyclers	improved capacity of Sèmè-Podji municipality for integrated multi stakeholder and inclusive governance approaches to face the challenges of waste management
Other		'Learning moments' meetings, lessons learned documented	Student research on waste management	Fostering circular economy in Sèmè-Podji
			Support to <i>Pereira Como Vamos?</i>	Participation in a learning benchmark between municipalities organised by the PDDC or OMDelta

	2019 Kumasi	2019 Pathein	2019 Pereira	2019 Sèmè Podji
Outcomes	Improved capacity of Kumasi Metropolitan Assembly for integrated, multi-level and inclusive approaches to the challenges facing slum development and decongesting the central market area	Improved capacity of Pathein for integrated, multi-level and inclusive approaches to the challenges facing squatter settlements in flood prone areas.	Improved capacity of Pereira municipality for integrated multi level an inclusive governance approaches to the challenges facing informal settlers in risk zones and informal solid waste recyclers	Improved capacity of Sèmè Podji municipality for integrated, multi stakeholder and inclusive governance approaches to face the challenge of waste management
Technical assistance	<p>Technical Assistance on integrated and sustainable governance and community participation</p> <p>TA to KMA interdepartmental DEALS team meetings (ongoing)</p> <p>Support to development of KMA Strategic or "Master" plan for decongestion related to pilot areas</p> <p>Support to the bid to get IMIF funding</p>	<p>Continuous support to ensure gender mainstreaming throughout the project</p> <p>Meetings with the government for technical support (TA)</p> <p>Analysis of planning and budgeting (advice)</p> <p>Review of the municipal law and support in waste strategy (TA, Advice)</p>	<p>Support to the municipality on the development of a material flow analysis and circularity assessment</p> <p>Support to the development of guidelines for the strengthening and formalisation of recyclers</p>	<p>TA to develop an integrated waste management strategy</p> <p>TA to demolish waste dumpsite</p> <p>TA to the budgetary process for waste management</p> <p>TA to hold a stakeholder consultation regarding the circular economy</p> <p>Facilitation that led to the adoption of two by-laws: 1) for compulsory subscription to waste collection services and 2) against illegal dumpsites</p>
Baseline/ mapping	<p>Mapping of functions and social amenities in Central Market and Abinkyi market (ongoing)</p> <p>Large scale data collection exercise of traffic related to decongestion plan</p>	<p>Training on baseline data collection.</p> <p>Execution of baseline study for pilots (2 pilots).</p>	Study on recyclers organisations by municipal government and CEMPRE	
Capacity building VNG staff		Training on facilitation and writing skills of CFP and VNG staff		
Capacity building (internal)	<p>On job coaching related to</p> <ul style="list-style-type: none"> <li>• anti-silo working</li> <li>• participative meetings</li> <li>• application for IMIF financing</li> <li>• development of the de-congestion strategy</li> <li>• training of enumerators and data collection for markets (July)</li> <li>• training of enumerators - route analysis (August)</li> </ul>	On the job coaching of TDAO/DAC	<p>Capacity building activities for municipal council</p> <p>Diagnosis and training in administration, industrial safety, hazardous materials management and solid waste separation</p>	<p>On the job coaching of the focal team on inter-departmental cooperation and product approach, quality service and accountability</p> <p>Team building activities for the focal team</p>
Capacity building (external)	<p>Training workshops to support the development of the de-congestion strategy, and also to support small pilot areas activities</p> <p>Training workshop to support participative planning and data collection (April with Almere) (described as colleague to colleague benchmarking and training)</p>	<p>Modular training on integrated multi-stakeholder partnerships-modules 1, 2, 3.</p> <p>Training waste reduction the government and community leaders, CSOs</p> <p>Study visit to Mandalay</p>	<p>Facilitation of the coordination of the city lab on inclusive waste management</p> <p>Training to recycler organisations</p>	<p>On the job coaching on multiparty stakeholder cooperation around waste management and circular economy</p> <p>Training in multi stakeholder partnerships to for inclusive services and waste management and the circular economy</p>

	2019 Kumasi	2019 Pathein	2019 Pereira	2019 Sèmè Podji
	Outcomes			
	Improved capacity of Kumasi Metropolitan Assembly for Integrated, multi-level and inclusive approaches to the challenges facing slum development and decongesting the central market area	Improved capacity of Pathein for integrated, multi-level and inclusive approaches to the challenges facing squatter settlements in flood prone areas.	Improved capacity of Pereira municipality for integrated multi level and inclusive governance approaches to the challenges facing informal settlers in risk zones and informal solid waste recyclers	Improved capacity of Sèmè Podji municipality for integrated, multi stakeholder and inclusive governance approaches to face the challenge of waste management
	Design sprint for the establishment of the Kanko Kumasi Circular Hub with Noordwind (colleague to colleague, benchmarking and training)  (planned Action research consultative conference took place early 2020)			
Support of multi-stakeholder meetings	Multi-stakeholder meetings at pilot sites  Validation meeting with stakeholders on market functions and (social) amenities (did not take place in Abinkyi Market)  Validation meeting with stakeholders on Master plan for decongestion related to pilot areas.	Facilitation and follow up support to the implementation of pilot projects.  On the job coaching and facilitation of multi stakeholder meetings  Round tables for Township and Regional government, politicians and other stakeholders on environment and sustainability  Facilitation of multi-stakeholder interaction	Facilitation of set-up of COLABORA (multi-stakeholder collaboration) for inclusive waste management  Facilitation of the signing of agreements between municipality and CEMPRE (Business Sector Commitment to Recycling)  Organisation of debate on inclusive solid waste management among candidates for election of new Mayor. Debate held on 2 September 2019.	
Support to civic engagement, awareness raising, and education	Support for developing civic education and engagement initiative (planned but did not happen)	Support to the TDAO and WCSG on communication and public awareness for inclusive waste management	Support to and facilitation of the coordination of communication, public awareness and education strategy, and activities for inclusive waste management	Training and coaching on the implementation of the communication and awareness strategy
Awareness activities	Sensitization programmes: on anti-silo approach, communication, participation and the development of the Circular Hub	Support in developing government communication channels, involvement of government in driving awareness raising  Waste Awareness Training of trainers  Awareness raising 1) Anti-plastic for kids, 2) World Environment Day, 3) Waste and Health 4) World Clean Up Day.  Meetings in wards to raise awareness of waste and the project	Facilitation of coordination of inclusive recycling forum in the city  Organisation of citizen engagement activities for education and waste management  Support to the communication strategy and public campaign on household waste separation / recycling of materials in the city  First and second recycling fairs (on 17 May and 12 November)  Via the agreement municipal government-CEMPRE, making 3,558 users aware of the work of	Execution of two awareness campaigns on responsible and inclusive waste management in two pilot areas  Organisation of a zero-waste week in the two pilot projects in line with the communication and awareness strategy

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	Outcomes			
	Improved capacity of Kumasi Metropolitan Assembly for Integrated, multi-level and inclusive approaches to the challenges facing slum development and decongesting the central market area	Improved capacity of Pathein for integrated, multi-level and inclusive approaches to the challenges facing squatter settlements in flood prone areas.	Improved capacity of Pereira municipality for integrated multi level an inclusive governance approaches to the challenges facing informal settlers in risk zones and informal solid waste recyclers	Improved capacity of Sèmè Podji municipality for integrated, multi stakeholder and inclusive governance approaches to face the challenge of waste management
			the recyclers by means of door-to-door visits	
Physical investments	The pilot area activities have had budgets for limited investments: <ul style="list-style-type: none"> <li>disused KMA rooms were converted to meeting rooms and later became the focus of the incipient Kanko Circular Hub</li> <li>Projects in selected markets and slums</li> </ul>	The DEALS grant programme also allowed for small investments in the wards: i.e. drilling of the canals and provision of drains	No public investments	Construction of dumping sites