

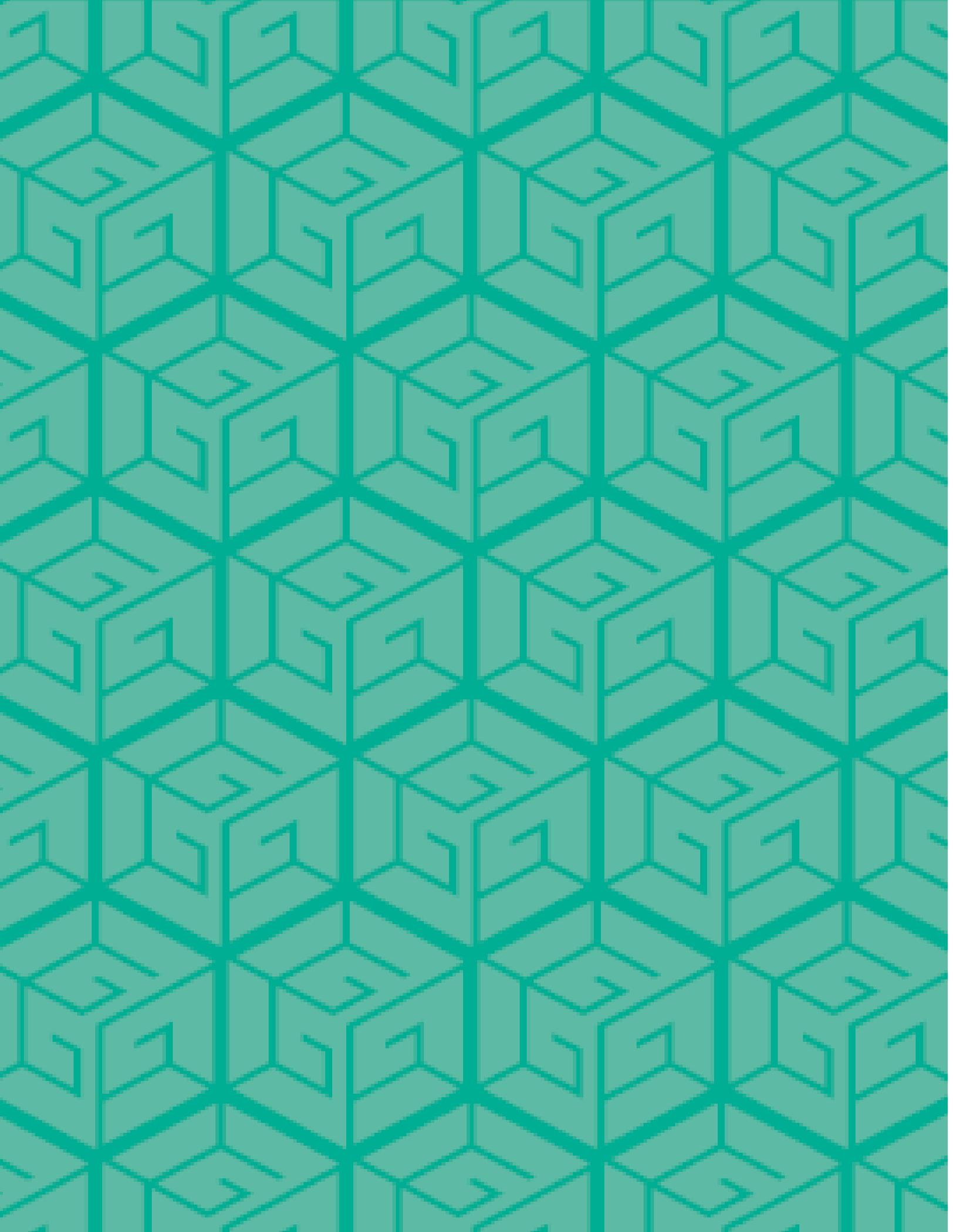
Final Evaluation Report

Independent Evaluation of GGGI's Green City Strategies

Prepared for:

Impact and Evaluation Unit, GGGI

May 2019



About the Independent Evaluation Team

The independent evaluation of GGGI's green city strategies was conducted by a two-member team from Goss Gilroy Inc.

About Goss Gilroy Inc.

Goss Gilroy Inc. (GGI) is a Canadian owned management consulting firm, offering consulting services, in the areas of evaluation, performance measurement, organizational review, market research, and management studies, since 1981. GGI has a staff of over 30 professionals in offices in Ottawa, St. John's and Vancouver, Canada. With an extensive network of strategic partners and associates across Canada and around the world, GGI has successfully completed over 3,400 consulting assignments ranging in scope from several days of consulting effort to complex multi-phase, multi-year, multi-country projects.

Over the last 37 years, GGI has a long history of working with diverse clients in the international development sector. Furthermore, GGI has provided consulting services to a variety of clients in the public sector at the Federal, Provincial, Territorial and Municipal levels, the nonprofit and the private sectors in Canada.



GOSS GILROY INC.

Management Consultants
Conseillers en gestion

Management Consultants
Suite 900, 150 Metcalfe Street
Ottawa, ON K2P 1P1
Tel: (613) 230-5577
Fax: (613) 235-9592
E-mail: ggi@ggi.ca

Team members were:

Dr. Peter King

Dr. King has been providing environmental policy advice for more than 40 years. In his home state of Victoria, in the late 1970's, Dr. King advised the newly established Minister for Conservation, as the State Land Studies Coordinator, on how a landscape approach should be adopted for land use planning. In the 1980's, his knowledge and experience in watershed management and payment for ecosystem services was translated to the international level through the Environment and Policy Institute of the East-West Center in Hawaii. In the Asian Development Bank (ADB), in the bank's newly established Environment Division, the 1990's provided an opportunity to formulate and promote new environmental and social safeguards that have remained a foundation of ADB's approach to green growth and sustainable development. He subsequently became the leading practitioner of environmentally sound development in ADB's Agriculture Department and Director of the Pacific Operations Department, when many doubted that developing countries would borrow funds for "green" projects. He finished his career at ADB as a Senior Policy Advisor in the Regional and Sustainable Development Department in 2005.

Since 2005, Dr. King has been a Senior Policy Advisor for the Institute for Global Environmental Strategies (IGES). He was a Coordinating Lead Author of the policy section of the sixth Global Environment Outlook for UN Environment, focused on a path-breaking assessment of policy effectiveness. Throughout his career, Dr. King has demonstrated mastery of the institutional context, development processes and key drivers for both rural and urban policies, strategies and programs, often with a focus on sustainable development at a sub-national level. Dr. King was a co-author of the Cities chapter in *Realizing the Transformative Potential of the SDGs* (IGES, 2018). He is actively engaged in helping developing countries to prepare project proposals for climate change mitigation and adaptation, including for urban areas vulnerable to climate change impacts.

Dr. King's career has been almost entirely in a multicultural, international sphere, with nearly 30 years living and working in Asia-Pacific. He has worked in national/state government, development agencies, nongovernmental organizations, and the private sector, always with a focus on green growth. He has advised multiple institutions on

green growth strategies and planning, including the World Bank, Asian Development Bank, African Development Bank, UN Environment, Economic, and Social Commission for Asia and the Pacific, UN Development Programme, and World Wildlife Fund, amongst others. Through his extensive experience, Dr. King brings strong knowledge and expertise of the institutional context, process, and drivers for developing, financing and implementing urban and other development policies, strategies or programs at national and sub-national level. He has conducted multiple institutional evaluations and advised on restructuring and institutional reform, including a prior evaluation of GGGI's mid-term progress for the Strategic Plan (2015-2020) in 2017 and the Green Growth Best Practice Assessment Study in 2014.

Hubert Paulmer

Mr. Paulmer, Partner at GGI, brings 25+ years of experience as an evaluator and management professional. He has lived and worked in four continents and has completed assignments in more than 50 countries (including Rwanda, Cambodia, and Senegal). He is a Credentialed Evaluator of the Canadian Evaluation Society and has completed evaluations with diverse clients – multilateral development banks (including the World Bank/IFC, ADB, AfDB, CDB, IADB, and IFAD), UN agencies (UNICEF, FAO, UNFPA, UN Women, UNHCR and PAHO/WHO), bilateral agencies (Canadian, British, Belgian Dutch, Swiss, and Swedish), global foundations, NGOs and think tanks. He has also led consulting assignments (direct contract) with developing country governments (South Africa in 2014 and Jamaica in 2013 and 2017-2018).

He has evaluated projects (of USD 2 million) to country programs (USD 600 million) covering various technical/thematic areas and development effectiveness of UN agencies, (UNICEF, UNFPA, UN Women). He has also led evaluations/reviews of institutions (e.g., GGGI, International Institute of Democracy and Electoral Assistance, Canadian Foreign Service Institute, and North-South Institute) and global strategies/programs and platforms, in addition to assessments/studies in the private sector. Mr. Paulmer also brings extensive experience designing and leading several multi-country evaluations for various development agencies.

As a team leader, in addition to leading and coordinating the team in data collection analysis and inputs for report preparation, Mr. Paulmer brings extensive cross-cultural work experience developing evaluation methodology, developing and finalizing evaluation data collection tools (interview and focus group protocols, surveys, questionnaires, etc.) and evaluation matrices. Furthermore, as team leader, he has been the principal author of several evaluation reports and brings excellent quantitative/qualitative and financial analytical skills.

Mr. Paulmer has a proven track record of providing strategic and appropriate recommendations for program, policy and organization improvement/management for top management/senior officials. He has excellent communication skills and regularly presents at the Canadian and American Evaluation Conferences. He also brings extensive experience as a top-level executive in the private sector.

Disclaimers

Both team members were engaged by GGGI in 2017 for the independent evaluation of GGGI's progress against the Strategic Plan 2015-2020. This was an organization-wide evaluation which covered an overview of the green cities thematic area but did not include a detailed assessment of specific green city strategies developed by GGGI.

Green Growth Best Practices Initiative (GGBP) engaged 75 authors in evaluating practices and lessons from cases of green growth programs and strategies. Dr. Peter King was one of the authors who produced the study on Public Policy and Implementation (By Anne Olhoff, Peter King, and Kevin Urama with Flavia A. Carloni, Edith Gathoni, Isabelle de Lovinfosse, Krishna Rao Pinninti, and Shannon Wang) in 2013.

Dr. King is a part-time consultant for the Institute for Global Environmental Strategies (IGES) and was not involved in the work conducted by IGES in Cambodia.

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Acronyms

AFD	Agence Française de Développement
AfDB	African Development Bank
BMGF	Bill and Melinda Gates Foundation
COP	Community of Practice
CPF	Country Planning Framework
CRF	Corporate Results Framework
CRGC	Climate Resilient Green Cities
EE	Energy Efficiency
FONERWA	Rwanda National Climate and Environment Fund
FSM	Faecal Sludge Management
GCAP	Green City Action Plan
GCF	Green Climate Fund
GCSP PP	Green City Strategic Plan for Phnom Penh
GEF	Global Environment Facility
GGGI	Global Green Growth Institute
GHG	Greenhouse Gas
GUDP	Green Urban Development Program
HQ	Headquarters
IEU	Impact and Evaluation Unit
IPCC	Inter-governmental Panel on Climate Change
IR	Implementation Roadmap, Senegal
KII	Key Informant Interview
KEQ	Key Evaluation Question
MININFRA	Ministry of Infrastructure, Rwanda
MOE	Ministry of Environment, Cambodia
MOESD	Ministry of Environment and Sustainable Development, Senegal
MOI	Ministry of Interior, Cambodia
NR	National Roadmap, Rwanda
NCSD	National Council for Sustainable Development, Cambodia
PPCA	Phnom Penh City Administration
PSE	Plan Senegal Emergent
REEF	Renewable Energy and Energy Efficiency Fund, Senegal
RGBO	Rwanda Green Building Organisation
RHA	Rwanda Housing Authority
SDG	Sustainable Development Goals
SME	Small and Medium Enterprise
TWG	Thematic Working Group
UNEG	United Nations Evaluation Group
UNIDO	United Nations Industrial Development Organisation
WASAC	Water and Sanitation Corporation, Rwanda
WEF	World Economic Forum
WPB	Work Program and Budget

Executive summary

Introduction

Under its *Strategic Plan 2015-20*, “green cities” is one of four thematic areas of focus chosen by GGGI. Within this theme, 5 specific priorities were set, one of which is to mainstream green growth into urban planning and management. To deliver on this priority, GGGI has developed green city strategies in 12 countries since 2015, making this one of the most common types of outputs delivered in GGGI’s overall program portfolio. GGGI, through its Impact & Evaluation Unit, decided to commission an independent evaluation with the aims of:

- 1) Assessing the outcomes of the Institute’s green city strategy work in 3 selected countries (Cambodia, Rwanda and Senegal);
- 2) Based on lessons from the sampled countries and external literature, develop and test a diagnostic framework that embeds known success factors to strengthen GGGI’s development of green city strategies in future; and
- 3) Identify opportunities for GGGI to more effectively share thematic knowledge on green cities, so that country teams avoid reinventing the wheel, and systematically learn and apply lessons on similar work in other countries.

Three Key Evaluation Questions (KEQs) were formulated with these objectives in mind which are described below along with the findings from the evaluation and related recommendations.

KEQ A: What were the key outcomes in the 3 countries assessed?

This first KEQ assessed the outcomes of green city strategies developed in Cambodia, Rwanda and Senegal. The outcomes included policy changes, contributions to investments mobilized and other results including strengthened capacity of local stakeholders arising from GGGI’s green city strategies.

Cambodia: The focus of the evaluation was on the Green City Strategic Plan for Phnom Penh (GCSP PP) developed by GGGI. This was based on the Green City Strategic Planning Methodology also developed by GGGI in 2016.

- **Policy outcomes:** The methodology was endorsed by the Minister of Environment in August 2016. The GCSP PP was also endorsed by the Phnom Penh City Administration (PPCA) in December 2018, more than two years after it was completed in July 2016. Even though strong national level support was noted, the lack of ownership of the GCSP PP by the PPCA was the main reason for the long time period delaying endorsement and suggests limited progress in implementation. In addition, the actual positioning of the GCSP PP amongst other strategic plans in Phnom Penh is not clear yet and it has yet to be mainstreamed into existing masterplans for the city.

Building on the endorsed methodology and the urban planning experience gained in Phnom Penh, GGGI has commenced similar work in secondary cities such as Battambang, Siem Reap, Sihanouk Ville, Kampot, and Kep, which are also undergoing rapid urban growth. GGGI developed a National Strategic Plan for Green Secondary Cities and a list of priority green city projects. This was not examined in detail as part of this evaluation as the plan was still being finalized at the time of this evaluation.

- **Investment outcomes:** The GCSP PP included a list of 48 priority projects to showcase tangible implementation actions. Several of the priority projects are progressing in partnership with the government and development partners, although no investment has been mobilized to date. GGGI is currently preparing proposals to fund improved access to finance for energy efficiency of SMEs and promotion of e-bikes.
- **Other outcomes:** GGGI conducted five consultation workshops attended by 350 stakeholders during the development of the methodology and the GCSP PP. However, the extent of capacity development through these workshops has not been documented.

Rwanda: The key output prepared by GGGI is the National Roadmap for Green Secondary City Development (NR), which was intended to inform revisions to District Development Strategies (DDS) in six secondary cities. The DDSs are aligned to Rwanda’s National Strategy for Transformation (2018-2024) (NST I).

- **Policy outcomes:** A national, cross-ministerial Steering Committee approved the NR in September 2015 and oversees its implementation. Following its approval, the NR was used to guide the revision of DDSs in six secondary cities, as well as the annual investment planning processes of these districts. Based on this initial success, the NR is being used to revise a further 24 DDSs in other districts. GGGI is also implementing a Green Climate Fund (GCF) readiness project to support the preparation of a detailed green master plan for one priority secondary city, also informed by the NR.
- **Investment outcomes:** GGGI supported FONERWA (Rwanda Green Fund) to access funding from the GCF, including a readiness grant of USD 0.3 million, a project preparation facility of USD 1.5 million and funding for a project in Gicumbi district for USD 32.8 million. In partnership with the private sector, GGGI has also helped mobilize USD 5 million from KfW for a feasibility study for the Cactus Park Green City Pilot in Kigali, with potential for a further USD 11 million in project finance. Other project opportunities are being pursued with an approximate total value of USD 20 million. GGGI has also mobilized earmarked funding from the Italian Government for a wetland rehabilitation project in Kigali, and other opportunities are also being pursued.
- **Other outcomes:** Capacity strengthening has been done as part of workshops in developing policy outputs. Training of trainers benefitted 112 local sector level technicians in the six secondary cities who are attached to One Stop Centers at the district level where they are helping to build capacity of the local staff.

Overall, Rwanda has proven to be a model of green growth for many countries and a leader in the green cities space within the organization through its engagement and support to other countries. Its roadmap was presented at the World Economic Forum (WEF), Africa in 2016. In recognition of its contributions, GGGI was invited to join the Mayor of Kigali’s high-level urban advisory committee, as well as a Kigali Master Plan Review Technical Advisory Group.

Senegal: The key policy documents prepared by GGGI were the Green Secondary City Guidelines (GSCG), Green Secondary City Implementation Roadmap (IR) and Green Cities Strategies and Roadmaps for several secondary cities.

- **Policy outcomes:** Both the GSCG and the IR were endorsed by the National Commission on Sustainable Development in 2016. The Ministry of the Environment and Sustainable Development, Ministry of Urbanization and the Ministry of the Plan Senegal Emergent (PSE) also endorsed the IR for implementation. According to the IR, an inter-ministerial committee to oversee the implementation of the IR was to be established and a draft ministerial decree is pending approval at the time of this evaluation to facilitate this.

Based on the GCSG and IR, during 2017-2018, GGGI developed Green City Strategies and the Roadmaps for implementation in the secondary cities of Kolda and Tivaouane (by May 2018 and June 2018 respectively). These have been integrated into formal Strategic Development Plans in the two cities. However, there have been some challenges in a third location, Diamniadio, as it is a new city and there have been delays in decision-making among the key governance bodies.

- **Investment outcomes:** GGGI is supporting the development of a faecal sludge management project in Tivaouane valued at about USD 0.2 million. In the Kolda Roadmap, there are 9 project ideas, and in Tivaouane there are 16 project ideas with potential funders/partners identified. These projects remain at an early stage but there appears to be good potential for some to reach the financing stage in future.

In addition, GGGI has mobilized earmarked funding from Luxembourg for a project to manage domestic wastewater in Tivaouane, plastic wastes in Touba and electronic waste in Dakar. Earmarked funding has also been mobilized from the Bill and Melinda Gates Foundation for inclusive sanitation initiatives in selected secondary cities that also support climate resilience and green growth.

- **Other outcomes:** Capacity strengthening has been through the workshops organized to develop policy outputs. A key highlight has been the training of 20 resource persons at the national level (Expert Panel), the creation of the Senegalese Green Cities Network and the Forums of the Future at the secondary city level.

Overall, strong national support was seen and local ownership at the city level was high. Private sector inclusion and involvement also played a key factor in the results achieved so far. Senegal is replicating the work in Kolda and Tivaouane to another 10 cities initially, with plans for 12 more in future, making a total of 25 cities (including Diamniadio). This scale up will be led by members of an Expert Panel, supported by GGGI.

KEQ B: What were the key lessons learned from GGGI's experience in the 3 countries?

The focus of the second KEQ was to analyze the reasons behind the achievement of outcomes or lack thereof in the 3 countries evaluated. Data on this was gathered from a wide range of stakeholders in Cambodia, Rwanda and Senegal. To help structure and strengthen the analysis, this data was mapped and assessed against an adapted version of a framework developed by the World Bank¹ (Sivaev, 2015), which identified 17 key success factors in developing green city strategies based on a large body of evidence. The framework organizes key success factors in 3 groups, relating to required *preconditions*, *content* of green city strategies, and *implementation* planning. Details of the analysis for the 3 countries are included in the Annexes to this evaluation report. Specific recommendations are also included to guide country teams to improve future programming.

Overall, the analysis found that in Cambodia, GGGI had room to improve on all 3 groups of success factors in the framework. In Rwanda, GGGI met many of the success factors in the *preconditions* and *content* groups but could have done better on factors in the *implementation* group. Finally in Senegal, GGGI was found to have done well on all three groups of success factors. In all 3 countries, the extent to which GGGI addressed the success factors appeared correlated with the extent of outcomes achieved in each location, as predicted by the framework.

Based on the above analysis, the following recommendations have been identified for the 3 countries, as well as other countries where GGGI is currently undertaking (or planning to conduct) similar green city strategy work.

Recommendations 1-7

- 1. Focus on building capacity of city level stakeholders to ensure green city strategies are adopted and implemented.** Build capacities at the municipal level to develop project ideas into bankable and viable projects. In addition to training, this could include assisting in the development of initial projects to enable municipalities to gain practical experience and confidence. Green cities development tools in the local languages are also needed due to the frequent turnover in staff. When the focus is on secondary cities, GGGI needs to have a presence in those secondary cities to ensure technical assistance and mentoring is effective.
- 2. Develop one or two bankable projects simultaneously while developing green city strategies.** This will reduce down-time between the development of the strategy, endorsement by government, and implementation. Projects could be funded by the private sector, development partners, government and/or commercial banks.
- 3. Improve clarity of proposed monitoring mechanisms for green city development.** This should include roles and responsibilities and clear indicators with baseline, targets and timelines. Some core indicators can be developed by HQ-based experts, but these then need to be customized to country contexts. There should be a monitoring mechanism in each city with indicators that could be consolidated at the national level. Avoid creating parallel systems and integrate into existing structures and systems.
- 4. Improve visibility and communications beyond the primary stakeholders,** through brochures highlighting green city work, participation in development partner groups, and presentations in national forums/conferences. Simplify communication materials so that they are easily understood, even by non-technical and community stakeholders. Importantly, once the strategy is completed, clear feedback is needed to all stakeholders who contributed, where necessary explaining why certain ideas could not be accommodated.

¹ World Bank working paper (101720) – *What makes a good city strategy* by D. Sivaev, December 2015 – <https://openknowledge.worldbank.org/bitstream/handle/10986/23567/What0makes0a0good0city0strategy0.pdf;sequence=1>

5. **If there are opportunities to work through existing planning processes in a country, these should be given preference over standalone processes.** It may be more effective for GGGI, rather than writing new green city strategies in additional countries, to focus on improving/greening existing municipal planning, M&E, budgeting, reporting and fiscal systems. Such an approach would go straight to the core of how cities are managed and avoid parallel plans. This would resolve many of the issues highlighted relating to ownership, institutional issues, alignment with national targets, implementation arrangements. Also, ensure that all/most of the basic institutional preconditions necessary for success are present in a country before a strategy is developed, to increase the likelihood of success.
6. **GGGI should ensure that all earmarked funding related to the green cities thematic area (or other thematic areas) is aligned to green city strategies to ensure maximum impact.** Green city strategies have provided a strong platform in identifying priorities, projects and building relationships with city level stakeholders. GGGI should leverage this platform when mobilizing earmarked funding. Countries are already doing it, albeit inconsistently. There is a danger in pursuing attainable earmarked funding for lower priority projects, while some priority projects languish due to lack of funds. GGGI must keep the priorities at the forefront when engaging funding agencies.
7. **GGGI green cities team should adopt and refine the diagnostic framework presented in the report to guide country teams to develop or assess the quality of green city strategies.** The framework draws from a large body of evidence but can be refined for further application across GGGI. It has been customized to GGGI's context to the extent possible while doing the assessments in the 3 sampled countries. Based on scoring from the country assessments conducted as part of the evaluation, GGGI can develop clearer definitions to facilitate meaningful comparison across countries and time.

KEQ C: How well does GGGI share best practices and provide guidance for future programming in support of green cities?

A framework that embeds known success factors is important, but by itself not enough to ensure GGGI avoids reinventing the wheel in each country, avoids repeating past mistakes, and systematically learns and applies best practices when developing green city strategies across multiple countries. This requires a robust knowledge management system, and this was the focus of the third KEQ.

Overall, the evaluation noted that currently there is no official/formal written policy or strategy in GGGI on thematic knowledge management, although various working documents include information regarding its approach. The evaluation team drew from one such document which included a description of GGGI's "knowledge cycle"², to address this KEQ. An assessment was carried out to identify current practices, what is working well, and areas that could be improved, in relation to various stages of the cycle: needs assessment; knowledge generation; knowledge storage/dissemination; and review and feedback. It is important to note that the assessment was limited to the green cities thematic area, although the lessons drawn from this have potential applicability to other thematic teams as well.

Needs assessment: Knowledge needs in member and partner countries related to topics under the green cities thematic area are identified through GGGI's formal, structured processes for program planning and project development – e.g.: through the biennial Work Program and Budget (WPB), Country Planning Frameworks, and the Project Idea Note (PIN) approval process. The green cities thematic team based in headquarters has a key advisory role in each of these processes ultimately leading to the PIN approval.

Knowledge generation: The green cities thematic team is the corporate level knowledge holder of what is done under this thematic area. However, with no systematic, core, institutionalized knowledge management strategy and plan, most current knowledge generation is through corporate reporting requirements and ad-hoc publications.

² Internal discussion paper dated March 2017

Knowledge storage and dissemination: Knowledge storage and dissemination (apart from corporate reports) are informal and person-dependent (person’s interest/expertise) and dependent on consistency in budget allocation. Relying only on informal systems/interactions with no systematic process (corporate mechanism) does not add value and is unlikely to be sustainable. The monthly green cities Community of Practice (COP) calls, side-events during biennial Global Green Growth Weeks organized and identification of thematic experts from country teams are some of the mechanisms that currently exist, or have been newly introduced, for knowledge generation/dissemination, review, and feedback. The new GGGI Online (project management system) is emerging as a key platform for information capture, storage and dissemination in addition to corporate reporting processes. However, there is no assigned “knowledge manager” to capture, synthesize and disseminate information (knowledge) from various GGGI systems. In addition, the documents produced (in this context on green cities) in countries where English is not the main language are not always translated into English systematically by GGGI. Informal collaboration between the green cities team and the Thought Leadership (TL) team exists; however, there is no structured process to promote this collaboration.

Review and feedback: Currently, the primary mechanism for review and feedback is the COP meetings which serve as a platform for “an open and free-flowing discussion.” In addition, when the green cities thematic team is developing publications, the country teams are involved in providing feedback on what is useful or not for national stakeholders. The key risk here is related to the need for an institutionalized knowledge management strategy, plan and process which can then provide for a systematic review and feedback mechanism for knowledge management under the green cities thematic area.

Recommendation 8

8. Develop a thematic knowledge management strategy and plan and appoint a knowledge manager with defined responsibilities.

A diagnostic framework that embeds known success factors is important, but by itself not enough to ensure GGGI avoids reinventing the wheel in each country, avoids repeating past mistakes, and systematically learns and applies best practices when developing green city strategies across multiple countries. This requires a robust knowledge management system and the evaluation noted that currently there is no official/formal written policy or strategy in GGGI on thematic knowledge management. Therefore, a formal thematic knowledge management strategy to allocate formal roles and responsibilities is required.

This could then cascade down to thematic teams with one person in each team having primary knowledge management responsibilities. Informal systems can add value as long as there is a systematic process in place that is continuously supported with budget and human resources. The knowledge management strategy should specifically focus on a more formal distribution of responsibilities between the TL and thematic team to help increase collaboration, define how information captured through various processes will be used in a systematic way, assign specific responsibility to a knowledge manager to capture, synthesize and disseminate information (knowledge) from various GGGI systems and institutionalize a systematic review and feedback mechanism for knowledge management. Specific language requirements are a particularly important aspect that should be stipulated under this institutional approach to allow for easy transfer of knowledge across GGGI’s diverse country programs.



GGGI in Rwanda: developing implementation roadmaps for green urbanization in secondary cities

1. Introduction

1.1 Global Green Growth Institute (GGGI)

The Global Green Growth Institute (GGGI) was established in 2012 to support countries to pursue a model of economic development known as “green growth,” which aims to promote economic growth that is both environmentally sustainable and socially inclusive. To achieve this, GGGI works with partner countries to design and deliver programs that demonstrate practical pathways to achieve green growth. GGGI, with its headquarters in Seoul, Republic of Korea, has current operations in 33³ countries. GGGI’s strategic priorities and directions are laid out in its Strategic Plan 2015-2020, updated in 2017 outlining six strategic outcomes (see box) that the Institute intends to contribute to in partner countries.⁴ The Strategic Plan is accompanied by a Corporate Results Framework (CRF),⁵ a tool that identifies the indicators and targets required to monitor and gauge the performance of GGGI’s progress in delivering the Strategic Plan.

GGGI’s Strategic Outcomes

1. Greenhouse Gas (GHG) Emission Reduction
2. Creation of Green Jobs
3. Increased Access to Sustainable Services
 - 3.1. Increased Access to Clean Affordable
 - 3.2. Increased Access to Improved Sanitation
 - 3.3. Improved Access to Sustainable Waste Management
 - 3.4. Increased Access to Sustainable Public Transport
4. Improved Air Quality
5. Adequate Supply of Ecosystem Services Ensured
6. Enhanced Adaptation to Climate Change

1.2 Green city development context – Key urban challenges

In 2018, cities represented 55% of the world’s population, and this was expected to increase to 68% by 2050.⁶ This represents an additional 2.5 billion people living in urban areas by 2050; with 90% of the increase occurring in Africa and Asia. The fastest growing urban areas will be cities with fewer than one million inhabitants.

The Fifth Assessment Report of the Inter-governmental Panel on Climate Change (IPCC) in 2014 reported that urbanization is associated with an increase in income; however, higher urban income is correlated with higher energy use and GHG emissions.⁷ The report also highlighted that urban areas account for 67% to 76% global energy use and 71% to 76% of global CO₂ emissions. Key urban challenges⁸ that relate to GGGI’s strategic focus areas include:

- Lack of planning and capacity to implement plans at the local level;
- Lack of low carbon, resource efficient and connected cities;
- Poor solid waste management;
- Lack of access to basic services such as water, sanitation, and energy;
- Inadequate green mobility options;
- Poor outdoor air quality;
- Urban poverty and inequality; and

³ As per Work Program and Budget 2019-2020

⁴ GGGI Refreshed Strategic Plan - <http://gggi.org/site/assets/uploads/2017/11/GGGI-Refreshed-Strategic-Plan-2015-2020.pdf>

⁵ Corporate Results Framework - <http://gggi.org/site/assets/uploads/2017/12/Corporate-Results-Reporting-Framework.pdf>

⁶ United Nations Department of Economic and Social Affairs (2018) World Population Prospects: The 2018 Revision - <https://population.un.org/wup/Publications/Files/WUP2018-KeyFacts.pdf>

⁷ IPCC (2014) The 5th Assessment Report - https://www.ipcc.ch/site/assets/uploads/2018/02/SYR_AR5_FINAL_full.pdf

⁸ Summarized from the Evaluation Approach Paper which elaborates each challenge in detail -

<http://gggi.org/site/assets/uploads/2018/08/GGGI-Evaluation-of-Green-City-Strategies-Approach-Paper-final.pdf>

- Lack of access to finance.

Cities need to address these challenges by embracing a low carbon development pathway that promotes economic growth, enhanced quality of life, and improved access to sustainable urban services, underpinned by compact and connected cities, innovation and civic engagement, while contributing to the objectives of the Paris Agreement,⁹ the Sustainable Development Goals (SDGs)¹⁰ and the New Urban Agenda.¹¹

1.3 Green city development and GGGI

GGGI works across four thematic areas to enable green growth – green cities, sustainable landscapes, sustainable energy and water and sanitation. The **Green Cities** theme addresses the challenges associated with urbanization, particularly in developing countries. Under this theme, GGGI aims to address urban issues related to resource inefficiencies, negative environmental and social costs, and inequality. The 2017 GGGI *Thematic Strategy for Green Cities* details five priority areas of focus:

- 1) Mainstreaming green growth into urban planning and implementation;
- 2) Creating more resource efficient and low-carbon cities in support of a circular economy;
- 3) Decentralized solutions for sanitation and wastewater which better meet the needs of the urban poor and minimize the environmental impact of untreated effluent;¹²
- 4) Urban waste management through waste-to-resource strategies; and
- 5) Creating more connected accessible cities in dealing with the challenges of transportation and mobility which supports healthier cities with good air quality.

GGGI's thematic focus on green cities supports an integrated, cross-sectoral and scalable approach that responds to local, national, and global needs and commitments through a green growth approach. GGGI plays a catalytic role through technical advice in sustainable urban planning and linking green investment to green cities implementation. Further details on the context for this work are contained in the *GGGI's Green City Strategies Evaluation Approach Paper*.¹³

Between 2015 and 2018, twelve country programs¹⁴ have been working in the Green City thematic area. For this evaluation, a sample of three country programs and green city strategies were selected for assessment.¹⁵ The three chosen countries also represent a balance of geographical locations and different approaches adopted. The projects selected include:

- 1) Green City Strategic Plan for Phnom Penh (GCSP PP) in Cambodia;
- 2) National Roadmap for Green Secondary City Development (“NR”) in Rwanda; and
- 3) Green Secondary City Guidelines and Implementation Roadmap (IR) in Senegal.

The *Evaluation Approach Paper* details: (i) the urban context in each country; (ii) GGGI's country program evolution and objectives; (iii) the main outputs under the green city thematic area delivered since inception; (iv) the process map describing the key steps in the development of the green city strategies in each country; and (v) specific outcomes achieved till mid-2018. These details are not repeated in this evaluation report and can be reviewed in the Approach Paper published on GGGI's website.

⁹ UNFCCC (2015) Paris Agreement - https://unfccc.int/sites/default/files/english_paris_agreement.pdf

¹⁰ SDGs - <https://sustainabledevelopment.un.org/sdgs>

¹¹ UN (2016) New Urban Agenda of Habitat III - <http://habitat3.org/wp-content/uploads/NUA-English.pdf>

¹² Currently, this priority area is implemented jointly by Green Cities and Water and Sanitation thematic area teams.

¹³ GGGI Green City Strategies Evaluation Approach Paper (2018) - <http://gggi.org/site/assets/uploads/2018/08/GGGI-Evaluation-of-Green-City-Strategies-Approach-Paper-final.pdf>

¹⁴ Five countries with multi-sector focus: Cambodia (2015), Rwanda (2014), Senegal (2016), Uganda (2016), and Viet Nam (2015) and seven countries with sub-sector focus: Fiji (2017) Indonesia (2013), Lao PDR, (2017) Mongolia (2015), Mexico (2013), Morocco (2017), and Nepal (2017). The year indicated in brackets indicate the year of inception of the work in-country.

¹⁵ Based on the available budget and timeline for this evaluation, a sample of country programs and green city strategies was selected during the design and planning phase of this evaluation and elaborated as part of the Evaluation Approach Paper. The sampling was based on an analysis of the portfolio of green city development projects based on several criteria: (i) current status of the output (strategy development completed); (ii) city-wide strategies (rather than sub-sector specific projects); and (ii) demonstrated progress made in moving towards implementation.

2. Evaluation objectives

GGGI's Impact and Evaluation Unit (IEU) developed an Evaluation Approach Paper to guide and support the independent evaluation team in conducting the evaluation. The focus of the evaluation has been on the process rather than results or impacts as the green city programs are still in their early stages.

2.1. Purpose and objectives

This evaluation was envisaged to examine whether GGGI's work to develop green city strategies in partner countries has translated into concrete changes to urban development policies and contributions to increased green investments in capital and/or secondary cities.

The objectives of this evaluation are:

- Determine the key outcomes to date of a sample of GGGI's green city strategies, regarding key urban development policy changes that have resulted from the adoption of the strategies, the green investments that GGGI helped mobilize and the increased capacity of local stakeholders for planning and implementation as a result of the strategies.
- Document lessons from the approach adopted by different country teams in the development of their respective green city strategies to enable the sharing of best practices and provide guidance for future programming in support of green cities.¹⁶
- Develop a diagnostic framework based on the lessons learned to serve as a guide for future programming in this area. The framework can include key success factors relating to preconditions, content, and implementation that can be used by project managers initiating the development or revision of urban development strategies. As contextual differences exist, the aim is to not replicate the specific solutions but provide guidance on the approach and method of reaching the solutions.

2.2. Key Evaluation Questions

The following Key Evaluation Questions (KEQs) guided the evaluation approach and methodology:

- A. For the sample of green city strategy projects selected, how much progress has been made in creating an enabling environment for green growth in the cities where GGGI is working?
- B. What are the key criteria to ensure the successful implementation of a green city strategy?
- C. As an organization, is GGGI learning from the different green city strategy approaches adopted in the selected sample countries to replicate and deliver results rapidly and at scale, across multiple countries?

¹⁶ Although not explicitly stated, the evaluation will also assess the knowledge sharing among countries as part of its approach.

3. Evaluation approach and methodology

3.1 Approach

The overall approach to this evaluation was elaborated in detail in the Evaluation Approach Paper. It provided adequate background and initial analysis for the independent evaluation team. The Approach Paper laid the foundation and the basis for moving forward in this evaluation.

The evaluation team used a collaborative and participatory approach in conducting the evaluation, at the same time ensuring the independence of the evaluation. A transparent and inclusive approach was used to ensure utilization-focused evaluation findings and recommendations. Although, the evaluation focused on the process of developing green city strategies, it also looked at interim outcomes of these strategies. The evaluation adhered to the United Nations Evaluation Group (UNEG) Norms and Standards.

The summary approach to the evaluation is presented in Table 2.

Table 2: Summary approach to evaluation

KEQs	Summary of Approach	Data sources
KEQ A: Assessment of a sample of green city strategies	Using the process maps, document review, country missions and key informant interviews (KII), validate the: <ul style="list-style-type: none"> ✓ Results achieved to date in terms of key urban development policy changes (due to the adoption of the strategy) ✓ Green investments that GGGI helped mobilize ✓ Increased capacity of local stakeholders and other results 	<ul style="list-style-type: none"> • Program document reviews • Key informant interviews • Country missions
KEQ B: Develop a diagnostic framework to develop green city strategies	<ul style="list-style-type: none"> ✓ Examine the set of criteria proposed, process maps and preliminary diagnostics conducted in the Approach Paper ✓ Using country-specific documentation and literature review, complete an initial diagnostic and refine criteria and process as required ✓ Test the criteria in the first country mission (Cambodia); refine criteria and process as required ✓ Use the refined criteria to assess the sample of green city strategies (for quality and likelihood of success), with input from consultations and country missions to complete diagnostic ✓ Analyze results and narrow down the key set of criteria that are critical to ensuring the successful implementation of green city strategies 	<ul style="list-style-type: none"> • Literature review • Consultation with program teams • Expertise/experience of the evaluation team • Country missions
KEQ C: Assessment of GGGI's approach to knowledge	<ul style="list-style-type: none"> ✓ Through document review, interviews and country missions, assess GGGI's current institutional approach in guiding programs to achieve successful implementation of green city strategies 	<ul style="list-style-type: none"> • Key informant interviews with GGGI HQ staff, including thematic team and any other teams involved in knowledge sharing

KEQs	Summary of Approach	Data sources
management for green city strategy development	(including ongoing structural reforms; how GGGI currently shares best practices and lessons learned) ✓ Provide actionable recommendations to strengthen the current approach	<ul style="list-style-type: none"> Review of Green City Thematic Strategy and Green City Development Technical Guidelines No.2 (2016) Country missions, and virtual calls with Uganda and Viet Nam country teams

3.2 Methodology

The evaluation team used a mixed-method approach, as a best practice, to collect data. The use of a mixed-method approach helped to triangulate the evidence being gathered and analyzed.¹⁷ Data triangulation, methodological triangulation, and specialist triangulation were used to strengthen evaluative conclusions.¹⁸ A combination of the following methods was used to collect data and evidence.

- **Document review** – A comprehensive review of GGGI’s relevant corporate documents and program and other national documents of Cambodia, Rwanda, and Senegal were conducted by the evaluation team (refer Annex 2 for an indicative list of documents reviewed). Additionally, annual results reports of Uganda and Vietnam were reviewed. The review of documents was an ongoing process starting from the inception phase of the evaluation to prepare the inception report and subsequently to collect evidence to address the three KEQs.
- **Key informant interviews (KIIs)** – Interviews and consultations were carried out in-person during country missions and virtually (by Skype) with other GGGI stakeholders at headquarters in Seoul and country teams in Uganda and Viet Nam. The KIIs helped in gathering diverse insights and perspectives on various aspects of the green city strategies to address all three KEQs. The KIIs were semi-structured with an indicative list of questions. The team also undertook **group interviews** where feasible to bring a group of stakeholders together to get a collective perspective.

The remainder of this evaluation report is structured as follows:

Section 4: Findings: This is divided into three sections according to the 3 KEQs: (i) Identifies the specific outputs delivered in each country (Cambodia, Rwanda and Senegal), the outcomes realized till the time of this evaluation and the key lessons learned; (ii) Provides a consolidated table of lessons learned from the sample of green city strategies assessed and guidance to GGGI project managers initiating the development or revision of urban development strategies; and (iii) Findings from the assessment of GGGI’s approach to knowledge management to promote green city strategy development across its different country programs.

Section 5: Conclusions and Recommendations: These have been consolidated based on the findings noted above.

Annexes: Details of the assessments of the sample of green city strategies in Cambodia, Rwanda and Senegal are included with specific recommendations for each country team to consider.

¹⁷ A common misconception about triangulation is the thinking that the purpose is to demonstrate that different sources or inquiry approaches yield essentially the same result. The point is to “test” for such consistency. In the real world there may be differences, and therefore, understanding inconsistencies in findings across different kinds of data can be illuminative and important. The finding of such inconsistencies should not be viewed as weakening of the credibility of results, but rather as offering opportunities for deeper insights. (Michael Q. Patton, 2014, Qualitative Research & Evaluation Methods: Integrating Theory and Practice, p 656-660)

¹⁸ Data triangulation is collecting the same information from a variety of sources (e.g. country, global, government, private sector, development partner, etc.) to increase accuracy of data. In methodological triangulation information is collected using different methods (e.g. interviews, document review, etc.). Specialist triangulation is possible when multiple evaluators are involved in data collection.

4. Findings

4.1. Progress in creating an enabling environment for green growth

The focus in responding to the first KEQ was to gather adequate evidence of results achieved to date in the sample of countries selected for this evaluation where GGGI has developed green city strategies. The results include key urban development policy changes stemming from the adoption of the strategy and the green investments that GGGI helped mobilize. Information was also collected regarding the increased capacity of local stakeholders for planning and implementation and other results noted from the activities implemented during the development of each strategy.

This section identifies the specific outputs delivered in each country, the outcomes realized till the time of this evaluation and the key lessons learned. The objective is to provide a reasonable level of assurance to GGGI's stakeholders about the outcomes of the green city strategy work done in Cambodia, Rwanda and Senegal.

It is important to note that GGGI's work in each country has been guided by the respective Country Planning Framework (CPF) which is jointly developed with the respective governments. Each CPF presents the outcomes that need to be achieved in the country. The green cities work is part of the CPF mandate in creating an enabling environment for green growth in the country, supported through WPB biennial budgets. Some countries, including Cambodia, have completed a Green Growth Potential Assessment (GGPA) to identify and prioritize a country's opportunities for green growth which has helped guide programming.

4.1.1. Cambodia

A. Policy related results

Key outputs in Cambodia

- Developed the Green City Strategic Planning Methodology (2015-2016)
- Developed the Green City Strategic Plan for Phnom Penh (GSCP PP) – July 2016

Policy changes achieved and key lessons learned:

A key policy output in the period 2015-2016 was the **Green City Strategic Planning Methodology**¹⁹. It is intended to guide policy makers, at national and sub-national levels, on how to mainstream principles of sustainable, inclusive green growth in their urban development strategies. The methodology is organized around (i) governance arrangements, (ii) baseline assessment, (iii) vision and goal setting, (iv) review of key urban sectors, (v) priority objectives and actions, (vi) identification of potential projects and prioritization, (vii) modelling urban green growth scenarios, (viii) priority projects, and (ix) implementation arrangements. The methodology was endorsed by the Minister of Environment on behalf of the Royal Government of Cambodia in August 2016.

The second major output in this period was the **Green City Strategic Plan for Phnom Penh (GCSP PP)**²⁰, which followed the above planning methodology and involved extensive consultations. Five consultation workshops were held over the period August 2015 to April 2016 to build the capacity of local stakeholders and seek inputs on the GCSP PP. The Plan was finally endorsed by the Phnom Penh City Administration in December 2018, more than two years after it was completed in July 2016.

The GCSP PP is consistent with Cambodia's national development strategies including the National Green Growth Roadmap (2010), the National Policy on Green Growth (2013), the National Strategic Plan on Green Growth

¹⁹ <http://gggi.org/wp-content/uploads/2016/08/Annex-A-AAS1507-REP-006-Final-Green-city-strategic-planning-methodology.pdf>

²⁰ <http://gggi.org/wp-content/uploads/2016/08/Annex-B-final-Phnom-Penh-Green-City-Plan-010716-Final-for-Approval1.pdf>

(2013-2030), the Cambodia Climate Change Strategic Plan (2014-2023), and the Climate Change Action Plan (2016-2018), the draft National Urban Development Strategy Framework, as well as other national sector plans.

The planning horizon was to 2025 and through the multiple consultation workshops the following vision was identified “By 2025 Phnom Penh will become a clean, green and competitive city offering safe and quality lifestyle to its residents”. Four overarching goals were identified (i) decouple economic growth from environmental impacts; (ii) increase social inclusion, reduce poverty levels, and improve urban welfare; (iii) provide urban resilience for all citizens to natural, climatic and other risks, and (iv) ensure urban competitiveness and attractiveness to businesses.

The urban planning experience gained in Phnom Penh was vitally important for embarking on assistance to Cambodia’s secondary cities such as Battambang, Siem Reap, Sihanouk Ville, Kampot, and Kep, which are also undergoing rapid urban growth. **The Green Urban Development Program Phase II** developed a National Strategic Plan for Green Secondary Cities and a list of priority green city projects. This was not examined in detail as part of this evaluation as the plan was still being finalized at the time of this evaluation.

Strong national support was seen but local ownership at the city level was weak. The lack of ownership of the GCSP PP by the Phnom Penh City Administration (PPCA) was the main reason for the long time period for endorsement and suggests limited progress in implementation at the capital city level. A possible reason for this could be that the GCSP PP consultants referred to “privatization of the planning process,” in Phnom Penh, meaning that private interests often overwhelm strategic planning considerations.²¹

Institutional structures/mechanisms are a key part of creating an enabling environment in terms of continuity and implementation of the policy outputs on green city development. However, there was no Steering Committee established in Cambodia, although support was provided through the National Council on Sustainable Development (NCSA). Furthermore, although the establishment of an Advisory Board and four Technical Working Groups are recommended in the GCSP PP, this has not been done yet.

B. Green investments related results

Accompanying the GCSP PP, a list of 48 priority projects were identified to promote green growth in Phnom Penh. Some of these projects were further developed by GGGI to enable implementation and these are described below.

Key outputs in Cambodia

- Energy Efficiency Fund for Small and Medium Enterprises
- Wastewater treatment in peri-urban areas of Phnom Penh
- Background analysis for project 23 “Parking support package for Phnom Penh”.
- Preparing an EU SWITCH funding proposal for project 35 “Improve Access to Finance for EE at SMEs”
- Preparing a Green Climate Fund (GCF) proposal with NCSA for project 22 “Promotion of e-bikes”
- Early discussion conducted with PPCA, industries and partners on projects 36, 38, 39, 40, 43 regarding waste management.

Contributions to green investments mobilized and key lessons learned:

According to key informants, a significant proportion of the consultant’s time in preparing the GCSP PP was devoted to identifying and prioritizing the 48 projects covering (i) urban planning (6); (ii) urban vulnerability (6); (iii) energy (8); (iv) transport (6); (v) built environment (5); (vi) manufacturing (7); (vii) solid waste management (5); and (viii) public spaces and cultural heritage (5). Each project has a one-page concept note, including possible sources of funding.

²¹ Page 37 of GCSP PP – “The recent approval by the Council of Ministers of the draft Master Plan is an important signal of the end of “privatized planning” which has been widespread for the past decade, and a move towards a more orderly and equitable development of the capital city”

Projects already covered by the Urban Transport Master Plan and Phnom Penh Plan for Drainage and Sewerage, which have already been assessed, were not repeated in this list of 48 projects.

From the 48 priority projects identified, 13 projects were further shortlisted, and more detailed (3-page) project descriptions were included as part of the GCSP PP. During the 2015-2016 period, GGGI selected two projects to further develop investment action plans to enable implementation:

- **Energy Efficiency (EE) Fund for Small and Medium Enterprises (SMEs):** The investment action plan was for a pilot fund to improve access to finance for energy efficiency at SMEs in the manufacturing sector. The plan includes both a pre-feasibility study and resource mobilization plan. The pre-feasibility study identified solutions to how SMEs can invest in EE through either loan or guarantee schemes and the latter was found to be conducive to the needs of the SMEs in Cambodia. It was noted that the Fund will require an equity investment of USD 6.4 million, to facilitate approximately USD 30 million in loans for energy efficiency investments.
- **Wastewater treatment in peri-urban areas of Phnom Penh:** GGGI developed a prefeasibility study, resource mobilization and implementation plan for two pilot wastewater management systems and a replication program for the greater peri-urban areas of Phnom Penh. The study found that small-scale decentralized systems require low initial investments and operational costs and modular forms can be mass produced and easily installed. The highly treated effluent can be discharged locally in accordance with environmental regulations or reused for garden watering or irrigation.

In addition, GGGI has initiated work on the following projects since 2017:

- GGGI in 2017 also undertook the background analysis for project 23 “Parking support package for Phnom Penh”. Further work was however put on hold, as government counterparts preferred GGGI to focus on the sanitation projects.
- GGGI is currently preparing an EU SWITCH funding proposal for project 35 “Improve Access to Finance for EE at SMEs”
- GGGI is preparing a GCF proposal with NCS D for project 22 “Promotion of e-bikes”
- GGGI is in early discussion with PPCA, industries and partners on projects 36, 38, 39, 40, 43 regarding waste management

Some of the 48 priority projects identified in the GCSP PP are also being implemented by the government or other development partners (DPs). These include:

- PPCA has implemented project 24 “Piloting pedestrianized areas”
- The Ministry of Environment (MoE) has implemented project 42 “regulations for banning plastic bags”
- A DP, Palladium’s “3i” project addresses the needs identified in project 19 “Policy and institutional support for RE”
- DPs including Habitat for Humanity, People In Need (PIN), Worldbridge/UNDP and Archidev are each taking forward low-cost sustainable housing projects (project 27)
- The Korea International Cooperation Agency (KOICA) has recently signed a project agreement with NCS D regarding guidelines for energy and resource-efficient buildings (project 30).
- Eurocham Green Business Committee is also in negotiation with the government on a Green Building Code.
- DPs Nexus for Development and the Institute for Global Environmental Strategies (IGES) completed project 41 “Waste Management Strategy for PP”
- World Bank’s Working Paper “Urban Development for Phnom Penh” extensively draws from the GCSP PP

However, the extent to which the GCSP PP was the starting point for the projects implemented by government and DPs is difficult to assess. Nexus, IGES and the World Bank explicitly refer to the GCSP PP in their project documents, while others have not.

C. Other results including increased capacity of local stakeholders

Capacity strengthening is done as part of workshops in developing policy outputs, train the trainer workshops, institutional support, development of projects, training on green cities/green investments, among others. In Cambodia, the capacity development activities included:

Key outputs in Cambodia

- Policy Workshop on the vision of green urban development (6-7 August 2015)
- Policy Workshop on the methodology for green city strategic planning (26-27 October 2015)
- Policy Workshop on green urban development goals and identification of potential green city projects for the city of Phnom Penh (18-19 January 2016)
- Policy Workshop on prioritization of the green city development projects (24 March 2016)
- Policy workshop on the green city strategic plan and list of priority green investment projects (28-29 April 2016)

Increased capacity of local stakeholders, other results and key lessons learned:

The five consultation workshops were also an opportunity for capacity building. A **Policy Workshop on the vision of green urban development** in Kep was attended by over 70 people from local government, relevant line ministries, civil society, and development partners, including a large delegation from PPCA. The **Policy Workshop on the methodology for green city strategic planning** in Siem Reap was attended by over 80 participants. The **Policy Workshop on green urban development goals and identification of potential green city projects for the city of Phnom Penh** in Phnom Penh was attended by 90 participants, largely from PPCA. The **Policy Workshop on prioritization of the green city development projects** in Phnom Penh had 40 participants. The final **Policy workshop on the green city strategic plan and list of priority green investment projects** was held in Sihanoukville, with 70 participants. However, the extent of capacity strengthening through these workshops was not documented.

In addition to the above activities, GGGI organized study tours to Malaysia (Malacca) and Indonesia (Surabaya) for Cambodian officials. However, subsequent follow through and potential establishment of productive partnerships with Malacca did not take place. NCSD has expressed an interest in a partnership with Surabaya and a Cambodian secondary city (not Phnom Penh), to be taken forward in the future.

Partnerships have been developed with other players in the green cities space – Academic and NGO partners like Cambodia Institute for Urban Studies (CIUS), Royal University of Phnom Penh (RUPP), Urban Voice – Cambodia, People In Need (PIN), Nexus and the NGO Forum on Cambodia. The policy workshops were initial steps in building relationships with key government partners beyond MOE, the host ministry and most importantly the Ministry of Interior (MOI) which is key for the secondary cities.

D. Overall assessment of progress in Cambodia

In terms of progress, therefore, GGGI has accomplished its work program and budget outputs for the Green Urban Development Program (GUDP) Phase I. Some questions were raised by key informants, however, about the “needs assessment” before the GCSP PP was embarked upon. For example, given that the 328-page French White Book (**Livre Blanc du Développement et de l’aménagement de Phnom Penh to 2020**) was being used as a “reference guide” for PPCA and the December 2015 approval of a revised Master Plan, or “Strategic Orientation” for Phnom Penh, the actual positioning of GCSP PP in the mesh of strategic plans in Cambodia is not clear. Some informants suggested that GCSP PP should be the overarching document, whereas others felt that it would have some guiding power but no formal implementation status.

This status issue is exacerbated by the apparent lack of involvement and ownership of PPCA in the planning process, despite some PPCA officials participating in the various consultations. One informant said that parallel planning was not appreciated by PPCA and they felt that selection of priority projects was biased. The same informant said that it would have been better to sequentially separate the strategy planning and the identification of priority projects, only commencing the prioritization process once PPCA, respective ministries, and the Council of Ministers had endorsed the strategy. While the situation in Cambodia was more attributable to the lack of institutional coordination and cooperation, it is generally preferable, however, to prepare for project

implementation at the same time as the strategy is being developed. In this way, there is no delay between endorsement of the strategy and implementation of the priority projects.

4.1.2. Rwanda

A. Policy related results

Key outputs in Rwanda

- Developed National Roadmap for Green Secondary City Development
- Supported the six Secondary Cities with the development of the District Development Strategies (DDS)
- Supported MININFRA in the dissemination of the National Urban Policy to Rwanda's 30 Districts
- Supported Rwanda Housing Authority (RHA) on the development of the Green Building Minimum Compliance Standards and the establishment of the Rwanda Green Building Organisation (RwGBO)
- Policy advice to the Water and Sanitation Corporation (WASAC) to help design and implement faecal sludge management and sanitation bankable projects under Rwanda Water and Sanitation program

Policy changes achieved and key lessons learned:

The key policy document prepared by GGGI is the **National Roadmap for Green Secondary City Development (NR)**. A national Steering Committee was established to oversee its implementation and this cross ministerial committee approved the NR in September 2015. The NR is being implemented through funding by GGGI of technical assistants in the six secondary cities and support to revision of the **District Development Strategies**. The DDSs will serve as the next generation of Rwanda's medium-term strategy under the National Strategy for Transformation (2018-2024) (NST I). In addition, together with the Ministry of Infrastructure (MININFRA), GGGI supported the dissemination of the **National Urban Policy** to Rwanda's 30 Districts.

Another significant policy support was the development of **Green Building Minimum Compliance Standards** through support to the Rwanda Housing Authority and establishment of a Rwanda Green Building Organization. Strategic guidance and policy advice were provided to the **Water and Sanitation Corporation (WASAC)** to prepare a 3-year program covering selection of technical solutions, business models, contract management, and valorization of sludge.

Strong national support was seen and local ownership at the city level was moderate. In Rwanda, there was already a receptive government policy for green cities, which allowed rapid incremental progress like the green building code and fundraising through FONERWA. The Master Plan for Kigali is an award-winning sustainable city effort by a Singaporean firm, which creates avenues for the pilot green city and green airport, for example. There is also a commitment from the mayors of the 6 secondary cities. It is too early to tell, however, if the green growth principles will be fully implemented in the 6 secondary cities.

Institutional structures/mechanisms are a key part of an enabling environment in terms of continuity and implementation of the policy outputs on green city development. In Rwanda there was a national Steering Committee to oversee the implementation of the NR. In addition, technical committees (existing structures) and One Stop Centers in the six secondary cities were used to identify potential projects. Interns (technical assistants) were also appointed to support the One Stop Centers.

Private sector inclusion and involvement was noted in Rwanda to a moderate extent. The challenge in Rwanda is that most of the private sector actors are in their nascent stage of operation and the small pool of big players still receives some support from government. However, the Cactus Park Green City Pilot and the new airport are clear examples of the involvement of the private sector and are described below.

B. Green investments related results

Key outputs in Rwanda

- Through facilitating FONERWA's access to GCF: (i) readiness grant (USD 300,000); (ii) project preparation facility (USD 1.5 million); and (iii) funding for Gicumbi District (USD 32.8 million)
- Technical advisory support on the green certification of new Bugesera International Airport
- Cactus Park Green City Pilot Project – KfW (Euros 4.5 million) with potential for another Euros 10 million in project finance (expected private investment for the project is USD 60 million)
- Rubavu Eco-tourism park project with potential USD 800,000 funding from FONERWA

Contributions to green investments mobilized and key lessons learned:

GGGI has consistently supported the **Rwanda Environment and Climate Change Fund (FONERWA)**, which is transitioning to become an independent, sustainable financing vehicle for green growth in Rwanda, through capacity development and a multi-year business plan. Through facilitating FONERWA's access to a GCF readiness grant (USD 300,000) and the project preparation facility (USD 1.5 million), a funding proposal for USD 32.8 million was approved by the GCF Board in March 2018 for increased resilience in Gicumbi District. A further grant of USD 600,000 from GCF will support implementation of the **Green Growth and Climate Resilient Strategy**, with GGGI as a nominated delivery partner.

For the new **Bugesera International Airport**, GGGI has been assisting the Portuguese concessionaire with “greening” the airport, including the use of sustainable building materials, and its green certification when completed. The private sector is also being supported at the **Cactus Park Green City Pilot** in Kigali where GGGI has worked with the developer. GGGI is providing technical assistance that has resulted in KfW now funding a feasibility study (for Euros 4.5 million) with potential for more than Euros 10 million in project finance.

In terms of earmarked funding, the Italian Ministry of Environment, Land and Sea is funding a GGGI project on wetland rehabilitation in Kigali. Several other proposals have been prepared and there are good prospects for additional earmarked funding to be arranged.

Rwanda's success in mobilizing green investment has been largely due to GGGI's support to FONERWA and facilitating its access to funding from GCF and partly due to seizing ad hoc opportunities (e.g., greening the Bugesera International airport). In 2015-2016, GGGI supported the development of an investment strategy for green infrastructure in secondary cities. Furthermore, an outreach program was conducted targeting all six secondary cities to identify a minimum of ten projects per city.²² The aim was to develop at least two projects per year and solicit funding through FONERWA.

C. Other results including increased capacity of local stakeholders

Capacity strengthening is done as part of workshops in developing policy outputs, train the trainer workshops, institutional support, development of projects, training on green cities/green investments, among others. In Rwanda, the capacity development activities included:

Key outputs in Rwanda

- Training of trainers - 112 persons
- Support to the draft Infrastructure Gender Mainstreaming Strategy
- Support to FONERWA (in terms of human resources)
- Support to One Stop Centers in the 6 secondary cities.

²² An outreach report was prepared which served as the basis for the project concepts submitted to FONERWA using the MININFRA (Ministry of Infrastructure, Rwanda) Secondary Cities Feasibility Studies for the six secondary cities.

Increased capacity of local stakeholders, other results and key lessons learned:

Training of trainers on the National Roadmap implementation was delivered to 112 local sector level technicians in the six secondary cities in 2017. The technical assistants are attached to One Stop Centers, where they are also helping to build capacity of the local staff.

MININFRA was supported in drafting an **Infrastructure Gender Mainstreaming Strategy** (2017-2022) which facilitates evidence-based gender programming, budgeting and accountability.

Following the cessation of DFID technical assistance in 2015, GGGI entered into an agreement with the Government to provide a Technical Support Facility to FONERWA to help capacitate the Fund's secretariat as well as develop a business and sustainability plan for the Fund. The Fund is rapidly expanding and looking to substantially increase its staffing levels and readily acknowledges the substantial contribution of GGGI.

Rwanda has proven to be a model of green growth for many countries. Its roadmap was presented at the World Economic Forum (WEF), Africa in 2016. In addition, the Mayor of Kigali has shown support for GGGI's technical advice through the inclusion of GGGI in a high-level urban advisory committee, as well as a member of the Kigali Master Plan Review Technical Advisory Group.

D. Overall assessment of progress in Rwanda

The Country Planning Framework envisions Rwanda's urbanization as being guided by green growth principles. The focus, however, is supposed to be on the secondary cities, where significant policy level assistance has been provided. Paradoxically, much of GGGI's investment work has been in the capital city, Kigali. Several informants suggested that it was natural that GGGI would be asked to assist with investment opportunities in Kigali, because the senior staff are located there and not in the secondary cities (where relatively junior technical assistants are located). Local government informants suggested, however, that the secondary cities need more direct, hands-on support from technical and senior GGGI staff based in Kigali. There is a possibility that engagement of GGGI staff in Kigali-based activities is cutting into the time that should be devoted to spending time with local stakeholders directly supporting the secondary cities. The success in facilitating GCF funding in Rwanda has also set up future opportunities for GGGI as a delivery partner for GCF projects. The technical capacity of GGGI has also been recognized by several government agencies, the Mayor of Kigali, and Mayors in the secondary cities. Overall, GGGI has performed admirably in greening Rwanda's urbanization.

4.1.3. Senegal

A. Policy related results

Key outputs in Senegal

- Developed Green Secondary City Guideline (GSCG)
- Developed Green Secondary City Implementation Roadmap (IR)
- The IR led to a ministerial decree to formalize an inter-ministerial committee
- Developed the Strategy for the Development of Kolda as a Green City and a Green City Action Plan (GCAP) as a roadmap for Kolda (2 documents)
- Developed the Strategy for the Development of Tivaouane as a Green City and a Green City Action Plan (GCAP) as a roadmap for Tivaouane (2 documents)

Policy changes achieved and key lessons learned:

The first and key policy output developed in 2016 was the **Green Secondary City Guidelines** (GSCG) which serves as a reference framework for green city development in secondary cities in Senegal. The guidelines focus on five key themes (pillars) – energy and energy efficiency, transport, land use, water and sanitation, and solid waste. For

each pillar, strategic axes have been identified, and 23 guidelines were formulated to facilitate the development of green cities. The entire process was completed in 6 months (July – December 2016).

The second key policy output was the development of the **Green Secondary City Implementation Roadmap (IR)**, 2016. This included a definition of a secondary city, development of criteria for the multi-criteria analysis to identify 25 secondary cities, shortlisting of 6 secondary cities for pre-feasibility studies and selection of the three pilot cities by the Government. Pre-feasibility studies provided insights into the finalization of the IR.

Both the **GSCG and the IR were endorsed** by the National Commission on Sustainable Development. Additionally, the Minister of the Environment and Sustainable Development, as the chair of the Steering Committee, officially adopted the IR. Furthermore, the Ministry of Urbanization and the Ministry of the Plan Senegal Emergent (PSE) also jointly adopted the IR for implementation. According to the IR, an **inter-ministerial committee** to own and oversee the implementation of the IR was to be established. A draft ministerial decree to establish the committee (prepared in June 2018) is pending approval to formalize the committee officially.

Based on the GCSG and IR, during 2017-2018, GGGI was focused on developing the green city strategy and action plan for Kolda, Tivaouane and the urban pole of Diamniadio, as part of the IR. GGGI has been successful in developing **Green City Strategies and the Roadmaps** for implementation of the respective strategies in **Kolda and Tivaouane** (by May 2018 and June 2018 respectively). However, there have been some challenges in Diamniadio as it is a new city and there are delays in decision-making among the key governance bodies. Key highlights in the process (of development of the strategy and roadmap) included: (i) commitment letters from Mayors of Kolda and Tivaouane before the start of the process in developing the Green City Strategy; (ii) establishment of local committees consisting of the Mayor, municipal council, technical staff from the government, civil society, private sector and community representatives, through a Mayoral decree (in Kolda and Tivaouane) with responsibility to implement the strategy; and (iii) a commitment charter signed by the Mayor and relevant local stakeholders (in both cities) to ensure continuity in implementation regardless of political changes in the future. The roadmap in each city included specific green city project ideas to enable implementation. These projects and the strategies and roadmaps have been **integrated into Kolda and Tivaouane secondary city Strategic Development Plans** which are key policy changes.

Senegal is moving forward in **rolling-out/replicating the work of Kolda and Tivaouane** initially in 10 cities and subsequently in 12 more cities, making it a total of **25 cities**. The scale up to 10 and then 12 more cities will be led by members of an **Expert Panel** and supported by GGGI. GGGI will only provide technical backstopping and review support, in addition to being part of preparatory mission in each city.

Strong national support was seen and local ownership at the city level was high. In Senegal, there was a receptive government requesting focus on green cities development because of the relevance and alignment to Plan Senegal Emergent (PSE). The ministerial decree at the national level to set up a Steering Committee, and the mayoral commitment letter (at the start of the process) and municipal decree (after development of the strategy/roadmap) at the secondary city level (in Kolda and Tivaouane) created a strong enabling environment for green city development in the secondary cities in Senegal. For a better ownership of the process, the local committees include the professionals of the media/news and the local press to allow popularization of the information and a role of watch and alert.

GGGI used a consultative process to develop the strategy. Extensive consultations and participation were noted in Senegal, mainly because the strategy and roadmap were developed at the secondary city level with involvement of local stakeholders, officials, and key community members. Every key informant interviewed in Senegal highlighted the “inclusive and participatory” process adopted by GGGI. For example, the Forum for Kolda’s Future and the Summit of Tivaouane’s Future were 2-3 days events involving 70 -100 people in the community – both were part of the process in the development of the green city strategy and roadmap for the respective pilot cities. This was aided by the fact that the preliminary analysis and diagnosis was done by GGGI Senegal staff along with the mayor, municipal councilors, technical staff, and key community stakeholders.

Institutional structures/mechanisms are a key part of an enabling environment in terms of continuity and implementation of the policy outputs on green city development. In Senegal there was a national Steering Committee to oversee the implementation. This committee was formally established with a Ministerial Decree approved by the Prime Minister. Supporting the Steering Committee is the Technical Committee (with 16

institutions²³) and five technical working groups. The Technical Committee was also established by a draft ministerial decree (pending approval to formalize the committee).

Private sector inclusion and involvement was noted in Senegal to be an essential factor: This helped to promote the enabling environment especially for the technical knowledge and investments (if projects are economically viable). The participation of the private sector at various levels of consultation in the development of green city strategies/roadmaps was noted at the national and local level.

B. Green investments related results

Key outputs in Senegal

- Tivaouane Faecal Sludge Management (FSM) project (USD 200,000)
- The Renewable Energy and Energy Efficiency Fund (REEF)²⁴ is a national financing vehicle with a capitalization target of USD 200 million. The first-round contribution from the Government of Senegal/FONSIS was USD 5 million
- THECOGAS (slaughterhouse waste to energy) to leverage guarantee from FONGIP to get debt finance from AfD through a commercial bank.
- Rice husk waste to energy initiative in rice mills (potential GCF funding)

Contributions to green investments mobilized and key lessons learned:

A key point highlighted by various informants was to have demonstrable results (of the strategy and the roadmap) on the ground in the pilot cities. GGGI has begun work to facilitate this by developing projects for implementation (in line with the roadmaps and IR).

- **Tivaouane FSM project:** The project consists of strengthening the integrated waste management of Senegal by bringing the green growth dimension into the development of Tivaouane as a green secondary city. The focus is two-fold: (i) the developing of sustainable service delivery models for FSM, and (ii) improving the value addition on waste by transforming it into energy and compost from the FSM plant in Tivaouane.

In terms of earmarked funding, GGGI has pursued the following projects for implementation:

- **Luxembourg project:** A proposal has been submitted to Luxembourg for management of domestic wastewater (in Tivaouane), management of plastic wastes (in Touba) and management of electronic and electronic equipment waste (in Dakar) through public-private partnership business models and North-South cooperation solutions.
- **Bill and Melinda Gates Foundation project:** The project will promote city-wide inclusive sanitation through climate resilience and green growth. A proposal has been submitted.²⁵

In the Kolda Roadmap there are 9 project ideas, and in Tivaouane there are 16 project ideas with potential funders/partners identified. However, these ideas have yet to be converted into bankable projects for results to be seen in green city development.

Key informants also noted that there are opportunities for GGGI with high potential to leverage funding for green city development activities within the country.²⁶ These included:

²³ Including private sector, non-governmental organizations, and government ministries and agencies

²⁴ REEF was designed by GGGI in collaboration with AfDB and Sovereignty Investment Fund (FONSIS) to give priority to public-private partnerships. Funding will be sought from GCF and AfDB.

²⁵ GGGI Senegal did not provide value of these three projects as they were being finalized at the time of this evaluation.

²⁶ This is based on discussions with stakeholders who indicated they have funds and are willing to partner with GGGI. Some of these stakeholders have already begun dialogue with GGGI.

1. Global Environment Facility (GEF) funding through Municipal Development Agency (MDA) for urban poles (Diamniadio - USD 2 million and St. Louis – USD 1 million) with green city concepts;
2. Programme to Support Creation of Green Jobs in Senegal (PACEV)²⁷ funding on green jobs and other green city aspects such as solid waste management, sanitation, solar panels, etc.;
3. WASH-FIN of USAID to improve access and service provision;
4. ENDA²⁸ - for capacity development in project budget development;
5. Association for Economic and Regional Development (ADER) on solar pumps, solar dryers, and solar public lighting;
6. GCF (rice husk) project; and
7. The private sector on wastewater, energy efficiency/alternative energy, etc.

In Senegal, green investment is a work in progress but with high potential. Key recent examples are the earmarked proposals for funding from Luxembourg and BMGF. GGGI has already been working on a faecal sludge management project in Tivaouane and also on projects on waste to energy. The REEF funding will be a great boost, with initial funding of USD 5 million already secured from the Government of Senegal/FONSIS for operationalizing. The identification of the 25 project ideas during the development of roadmaps in Kolda and Tivaouane can also be potentially developed into bankable projects. However, a key area for improvement was the time lag between the completion of the strategies/roadmaps and initiation of work on the investment projects. This has led to a delay in contributions to green investments mobilized and could have been developed in parallel.

C. Other results including increased capacity of local stakeholders

Capacity strengthening is done as part of workshops in developing policy outputs, train the trainer workshops, institutional support, development of projects, training on green cities/green investments, among others. In Senegal, the capacity development activities included:

Key outputs in Senegal

- Methodological workshop
- Regional workshop
- National validation workshop
- Creation of five technical working groups and working sessions
- Setting up of Technical Advisory Committee
- Training workshop in pilot cities (Tivaouane)
- Training at the University of Saint Louis
- Training of trainers for Expert Panel
- Creation of Senegalese Green Cities Network
- Forums at the secondary city level (including Forums on the Future)

Increased capacity of local stakeholders, other results and key lessons learned:

Discussions with various stakeholders during the mission in Senegal indicated that not only did the training workshops of GGGI, but also the GGGI process in the development of documents (strategies and roadmaps) and planning, helped stakeholders to develop/strengthen their technical capacities.

A key change noted during discussions with all stakeholders was the change in the perspective of what a green city means.²⁹ GGGI has been able to create a better understanding of the green city concept through its training/workshops and process of developing strategies and roadmaps. The demand to create green cities is not

²⁷ Funded by United Nations Development Programme (UNDP)

²⁸ Environment Development Action in the Third World – International NGO with headquarters in Dakar, Senegal (<http://endatiersmonde.org/instit/>)

²⁹ Before 2016, a “green city” meant planting of trees and creating landscaped green spaces.

only driven because of national priorities but also due to the realized need in the secondary cities and excitement of the mayors.

As part of the development of the Green Secondary City Guidelines and IR, GGGI's process included a methodological workshop, technical committee meetings, the creation of 5 technical working groups (TWGs)³⁰ with each TWG having its own working sessions, a regional workshop to discuss challenges and a final validation workshop.

As part of the green city strategy and roadmap development in Kolda and Tivaouane **local institutional mechanisms were put in place and consultations** were held with a broad range of stakeholders (e.g., women and youth, traders, transporters, civil societies, religious leaders).

At the national level, **20 experts were identified as resource persons (i.e. Expert Panel)** to roll-out the work of green city development to other identified cities (initially 10 more and then another 12). GGGI organized information sessions **and training of trainers** for these experts so that they can carry out the strategy and roadmap development under the overall guidance of GGGI. Two experts are allocated to a specific city. This is a very innovative (at the same time bold) mechanism. Furthermore, GGGI is planning to appoint one intern in each of these cities to support green city development, following the example of Rwanda.

GGGI is also working at the national level with the Municipal Development Agency and United Nations Industrial Development Organisation (UNIDO) to establish the **Senegalese Sustainable Cities Platform** to promote integrated urban development and green urbanization to share best practices, improve national urban policies and conduct capacity development activities. The creation of the **Senegalese Green Cities Network** comprising 40 cities is expected to facilitate collaborative knowledge sharing. Beyond this, the setting up of the Panel of Experts aims at reinforcing the capacities of the high officials of the state for better mainstreaming of green city principles in the formulation and implementation of the national policies at the level of the different ministries.

Furthermore, GGGI is planning to provide support to the Government Agency for Major Works (APIX) as part of the urban upgrading project of Saly Resort. Also, to facilitate the mainstreaming of green city principles, GGGI is involved in the task force of the Municipal Development Agency for the formulation of the masterplans of the city of Saint Louis and the new urban pole of Diamniadio. GGGI was also requested to join the National Urban Development Committee, which replaces the Habitat 3 committee.

GGGI is involved in a number of decision-making processes on urban development issues, (Scientific Committee of the African Ministerial Forum on Housing and Urban Development, Technical Committee for the Sustainable Cities Program, Technical Committee of the National Urban Policies Formulation, Technical Committee in Dakar on the Sustainable Urban Mobility Plan), in major conferences (National Conference on Land Use Planning and Attractiveness), in dossiers (National Urban Policies, Master Plan of Diamniadio, Master Plan of Saint Louis, National Land Use Plan) and in the coordination mechanism of major urban development projects.

D. Overall assessment of progress in Senegal

Within a period of two years, GGGI has carved a niche for itself in Senegal with technical expertise in green growth and green cities, at both national and municipal levels. GGGI's style of working with and alongside the government collaboratively has been appreciated by the government officials at various levels. The focus on secondary cities has been appreciated as there are always several sources of funding for Dakar. Significant work has been done in developing strategies and roadmaps; however, the ability to show demonstrable results through bankable projects will determine the ultimate success/impact of GGGI's interventions. This is required to sustain interest and also for scaling-up. There is also a lack of capacity at the municipality level to identify projects and develop them into bankable projects. GGGI's support in building capacities to develop projects from ideas into bankable projects is an area for improvement. Based on lessons learned in the pilot cities, the development of projects will be done along with strategy development process. In addition, to fund these projects, it will be important to tap into local

³⁰ The members of the TWGs included representatives from various ministries/agencies and civil society groups. The TWGs were led by – energy and energy efficiency by National Agency for Renewable Energy (ANER), transport by Executive Council of Urban Transport in Dakar (CETUD), land use by the Directorate of Urban Planning and Architecture, water and sanitation by the World Bank's Water and Sanitation Millennium Project and solid waste by the African Institute for Urban Management (IAGU).

resources available through the private sector, development partners and government, while still planning to tap into funds at the global level.

4.2. Diagnostic framework for green city strategies

4.2.1. Organization wide lessons for GGGI

A framework to guide programming has been adopted. Under the second KEQ of this evaluation, the focus was to adopt a framework to serve as a guide for future programming in GGGI related to green city strategy development. The existing Green City Thematic Strategy and Green City Guidelines in GGGI do not provide explicit guidance to program teams on the process to develop a green city strategy and this framework is aimed to fill this gap. The objective of the framework is to identify the most important factors in the process which can be used as reference by project managers initiating the development or revision of urban development strategies. As contextual differences exist, the aim is to not replicate the specific solutions but provide guidance on the approach and method of reaching the solutions.

A process-based approach has been adopted. A good green city strategy can play a crucial role in guiding and shaping economic development initiatives as part of the city's journey towards green growth and competitiveness. However, there are methodological issues associated with the evaluation of the quality of city strategies and most of the secondary literature points to the challenges in adopting an outcomes-based approach. This is mainly because of the difficulty of isolating the impact of the strategy from various other countervailing and intermediating factors. A process-based approach allows for the assessment of the key criteria required to ensure that a strategy is successful (i.e. implemented) and can result in real outcomes. This is compounded by the fact that GGGI's work in this space has been ongoing for only a few years and tangible long-term outcomes in terms of GGGI's 6 Strategic Outcomes have not been realized till date.

The approach adopted to answering this KEQ was to examine a sample of green city strategies developed by GGGI (as described in Section 4.1) and determine the key success factors (KSF) required to ensure implementation in terms of concrete changes to urban development policies, contributions to increase green investments in capital and/or secondary cities and contributing to GGGI's Strategic Outcomes. These criteria against which KSFs can be identified was built on existing literature to develop a context specific diagnostic framework applicable to GGGI. In addition, the process provided key insights on the quality of the green city strategies developed in the sampled countries and their likelihood for success (i.e. implementation in terms of concrete changes to urban development policies and contributions to increase in green investments).

The following process was followed through the design and planning and implementation phases of this evaluation to develop the diagnostic framework:

- 1. Identification of an appropriate framework:** A World Bank working paper³¹ (Sivaev, 2015) was used as the basis as it provides a synthesis of findings from a large number of evaluations of city strategies and provided a systematic framework to evaluate the quality of GGGI's green city strategies. This original framework was grouped under three main stages of a green city strategy (preconditions, content and implementation) and included 12 key elements / criteria in total.
- 2. First revision of the criteria in the framework:** GGGI's IEU team, based on discussions with GGGI program teams in Cambodia, Rwanda and Senegal, revised the framework (additions and merging criteria) to include 20 criteria covering the three stages from the original structure. An initial diagnostic was conducted against this framework which served as the basis for the independent evaluation to develop this framework further.

³¹ World Bank working paper (101720) – *What makes a good city strategy* by D. Sivaev. December 2015 – <https://openknowledge.worldbank.org/bitstream/handle/10986/23567/What0makes0a0good0city0strategy0.pdf;sequence=1>

- 3. Second revision of the criteria in the framework:** The independent evaluation team reviewed the sample of GGGI's green city strategies and further refined the framework based on their experience. This revision led to the identification of 17 criteria against the three stages in the framework³².

The refined framework is presented in this report after its pilot application in three countries to serve as guidance for future green city strategy development or revision of existing strategies which are planned to be conducted by GGGI. The framework provides this guidance through key success factors that can be implemented to perform well against each criterion based on the lessons learned from three country level assessments. The examples of how the framework was applied in the three sample countries are provided in the Annexes of this evaluation report.

A simple traffic light system was employed to assess the sample strategies against each criterion within the three components and this was based on expert opinion and conclusions drawn from stakeholder consultations. Green means that the criterion was essentially met, orange means partially met, and red means unlikely to have been met. While these assessments are quite subjective, they help to clarify the difference in experiences in each sample country. More importantly, this pilot application and refined framework with guidance can be adopted by GGGI for further application. GGGI will need to refine the scoring methodology (guided by the scores from the country level assessments in this evaluation and develop clear definitions to allow for meaningful comparison across time and countries) and utilize the framework for ongoing assessments of the quality of the green city strategies being developed in various countries.

The feedback gathered from stakeholders in the three countries on the key success factors and areas for improvement coincided well with the criteria included in the diagnostic framework, which validates the usefulness of the tool in guiding future programming in GGGI. The following is a consolidated table of lessons learned from the sample of green city strategies assessed and includes guidance against each criterion to GGGI project managers initiating the development or revision of urban development strategies.

³² Key changes made on the framework presented in the Evaluation Approach Paper include: (i) In the preconditions column added "detailed needs assessment and an adequate corporate mechanism to identify needs and recruit staff accordingly."; (ii) In the content column deleted "priority action and targets are realistic within the timeframe of the strategy/plan and considers baseline" as it was not applicable; (iii) In the content "clear priorities" and "clear measures of success" were merged with "clear vision" to create "clear strategic vision, priorities, and targets."; (iv) In the content column "clear mechanism/criteria to measure the success of the plan" was deleted as it was reflected in the implementation column under "clarity in monitoring and evaluation processes and systems."; and (v) In the content, column added, "the extent to which the strategy is aligned with corporate strategic guidance."

Table 3: Lessons learned and key success factors based on the assessment of green city strategies developed by GGGI in 3 sample countries

Stages	Process criteria	Lessons learned and key success factors (KSF)
Pre-conditions	Detailed needs assessment and an adequate corporate mechanism to identify needs and recruit staff accordingly	GGGI can sometimes to be too ambitious and therefore create concerns when delivery is less than expected or city level demands are greater than GGGI can reasonably deliver. KSF: Developing a core competence in greening secondary cities and ensuring in-country staff are recruited according to these needs.
	Strong leadership/ commitment from the head of the city government	Proceeding to develop a green city strategy without the buy-in of the city leadership would be a major mistake. KSF: Obtain a clear decree or regulation plus a MoU outlining GGGI's specific role. Where the institutional set up and leadership are non-existent, GGGI's value chain proposition stipulates a clear value add and entry point.
	Participation and ownership of key local actors	Inclusive planning processes need to ensure that participants are kept fully informed till the end of the process. KSF: Maintain contact details for all participants in the planning process and ensure that draft and final documents are disseminated widely.
	Private sector inclusion	It is often difficult to engage the private sector in green city strategies, unless specific incentives are recognized. KSF: Ensure that the business opportunities of green city approaches are used to entice private sector participation. These opportunities need to be demonstrated using clear examples.
	Level of focus on local institutional structures and local government capacity building	GGGI tends to operate more at the national government level and has less physical presence at the local government level, which can reduce impact at the secondary city level. KSF: Consider having senior staff spend a significant proportion of time working directly with local government staff as well as the Ministry of Interior (or equivalent supervising ministry). Formal structures (local technical committees) and focusing capacity building here can also be useful.
	Support from national government	Selecting the right national government agency to work with is crucial, as the Environment Ministry is often not the most significant actor for green cities. KSF: Embedding staff in national ministries is a strength of GGGI but careful selection of the most appropriate agency is needed for green city work. It is often cross-ministerial, so careful engagement is required.

Stages	Process criteria	Lessons learned and key success factors (KSF)
	Relevance / strategic fit to national policy, targets, goals	<p>National policies, targets, and goals often change, so green city strategies need to become “living” documents and not stuck in former policy positions.</p> <p>KSF: Do not assume a sequential approach of planning then project selection/implementation will always work but provide for the possibility of shifting national and local government positions.</p>
Content	Quality of baseline data collected and analysis conducted	<p>Secondary cities often do not have the detailed baseline data needed for developing a green city strategy.</p> <p>KSF: Where necessary, consider a baseline data collection phase before embarking on developing the green city strategy.</p>
	Quality of future foresight analysis conducted	<p>Scenario planning is an essential tool for green city strategies but GGGI may not have the appropriate staff for associated social and economic modelling.</p> <p>KSF: GGGI should consider developing additional modelling and scenario planning capacities, either internally or through a long-term arrangement with an institution with these skills or like-minded development partners doing this work.</p>
	Clarity in the understanding of local political economy context	<p>Often there is a stark difference between official government policy and on-ground realities.</p> <p>KSF: Assess the risk to effective implementation of green city strategies from a disconnect between official policy and local political realities.</p>
	Clear strategic vision, priorities, and targets	<p>Absence of priorities and targets makes monitoring and evaluation (M&E) difficult.</p> <p>KSF: Getting the priorities and targets agreed is time consuming but essential for effective M&E.</p>
	The extent to which the strategy is aligned with corporate strategic guidance	<p>There is insufficient evidence that corporate level strategic guidance has been a significant contributor to the sampled green city strategies.</p> <p>KSF: Consider using HQ experts for gap filling roles in developing green city strategies, rather than supervisory roles.</p>
	The extent to which safeguards, poverty reduction, and social inclusion (including gender) have been mainstreamed into the strategy	<p>Generally, safeguards have been mainstreamed into the green city strategies, although arguably poverty reduction is not a key feature.</p> <p>KSF: Safeguards need to be carried through from the strategies into detailed implementation plans and M&E systems, currently a perceived weakness.</p>

Stages	Process criteria	Lessons learned and key success factors (KSF)
Implementation	Clear implementation plan and distribution of responsibilities	<p>Creating a “wish list” of possible projects, without identifying responsibilities is a key weakness.</p> <p>KSF: GGGI’s role in implementation needs to be clarified, as being a project “arranger” is not sufficient. GGGI may request involvement in project implementation supervision missions, as this will help to avoid implementation weaknesses in future investment project designs.</p>
	Clarity in monitoring and evaluation processes and systems	<p>As GGGI has not anticipated an implementation role for its green cities strategies, detailed M&E systems have been rather neglected.</p> <p>KSF: GGGI could consider an enhanced role in the implementation and post-project evaluation stages, thus requiring greater attention to M&E requirements.</p>
	An identified institutional mechanism/ arrangement to protect the strategy from political and economic changes	<p>As the green city strategies have often been seen as a deliverable rather than a living document, plans can become outdated as political and economic changes take place.</p> <p>KSF: The key requirement is to ensure that city level authorities have the necessary understanding and capacity to keep revising the green city strategy as political and economic changes occur.</p>
	Clarity about sources of funding and links to the budgeting process	<p>There is little evidence that the green city strategies have been fully embedded in national or local government budgeting processes and a majority of priority projects have not had confirmed funding.</p> <p>KSF: As part of the planning process, conduct a study of multi-year budgets and gain a firm understanding of how priority projects are incorporated into annual budgets (balance long-term versus short-term). Even if this information is not readily available, GGGI should at least attempt to get this information.</p>

4.2.2. Specific lessons from the sample country assessments

To complement the table presented above, further details on the specific activities undertaken by the sample countries (Cambodia, Rwanda and Senegal) are provided below. The objective is to provide tangible solutions based on what has worked and what has not worked in these countries. The focus here is on a sub-set of the criteria under each stage in the diagnostic framework. These criteria have been identified as critical and should, in the minimum, be considered when developing a green city strategy. Further details are included in the Annexes.

Preconditions diagnosis

The diagnosis of preconditions is about the institutional/contextual characteristics that should be in place before a green city strategy is developed, to ensure the ultimate success of the strategy. There are four important criteria to consider for this stage: (i) Strong leadership/ commitment from the head of the city government; (ii) Participation and ownership of key local actors; (iii) Private sector inclusion; and (iv) Support from national government.

- **Leadership /commitment from the head of the city government:** In Rwanda and Senegal, the Mayors and/or Vice-Mayors of the cities were committed and fully involved. In Senegal, the Mayors issued a commitment letter after the approval of the municipal council (before the design work commenced). In Senegal in each city, a focal point is formally designated by the Mayor to serve as a coordinator with local stakeholders, to prepare and accompany the missions of GGGI. This plays a key role in the process at the local level. In Tivaouane and Kolda, the vice mayors have been designated for this role).
- **The continuous participation and ownership of local actors:** Discussion in Cambodia and Rwanda indicated that participants who had been involved in the consultations had not seen the final outputs and/or were not aware of projects being finalized. Inadequate public participation was highlighted as an issue during the development of the green city strategy in Cambodia. In Rwanda, this may be due to high turnover rates in many government institutions. At the sub-national level in Rwanda (District Leadership, Council, Sector heads, and the cells and villages) key local stakeholders are invited to consultations carried out in the local language by national staff. Also, recent work with the One Stop Centers is supporting the strengthening of local institutions in the six secondary cities. In Senegal, the process was considered inclusive and participatory by all stakeholders interviewed, and many considered it as a “bottom-up” approach. At the city level, the process included the participation of representatives from women and youth groups, traders, transporters, religious leaders, municipal councilors, technical staff of line ministries/local government, civil societies among others.
- **Private sector inclusion:** Although an attempt was made in Cambodia, it was not enough to attract the private sector, which tends to find alternative ways to support their investment intentions. As discussed earlier, the private sector in Rwanda is mostly quasi-government, and the secondary cities are still quite small. In Senegal, the need for private sector involvement and inclusion is recognized at all levels; they are involved at the national level and secondary city level consultations. The importance of private sector investment and public-private partnership is recognized and pursued in Senegal.
- **The support from the national government:** Various cross ministerial committees and working groups were formalized and governed the development of the green city strategies in each of the countries assessed.

Content diagnosis

The diagnosis of the content is about what is in the strategy; which includes clarity of the vision and how the priorities and targets were identified. There are five important criteria to consider for this stage: (i) Quality of baseline data collected and analysis conducted; (ii) Quality of future foresight analysis conducted; (iii) Clarity in the understanding of local political economy context (actions identified are politically feasible to implement); (iv) Clear strategic vision, priorities, and targets; and (v) The extent to which safeguards, poverty reduction, and social inclusion (including gender) have been mainstreamed into the strategy.

It should be noted that while methodologies and approaches in developing green city strategies in Cambodia, Rwanda, and Senegal have some common features, they are also very different. While strategies share common themes, their focus and priorities differ among countries and cities.

- **Systematic baseline data collection:** This will ensure more effective subsequent analysis and interpretations. In Cambodia, the analysis was done with existing data; no new data or research was done. Informants described the green city strategy in Cambodia as a good compilation of existing information. In Senegal, preparatory missions and diagnosis of the context was done.
- **Future foresight analysis:** In Rwanda and Cambodia some work was done on future foresight analysis; however, no scenario analysis or modeling was done. In Senegal, there was no clear evidence of future foresight analysis or scenarios.
- **Clarity in the understanding of the local political context:** GGGI was not able to counteract stronger external forces in Cambodia that were prevalent during the development of the green city strategy. In Rwanda, the risk was that green city concepts were driven by strong national leadership and may or may not be responding to specific local conditions/needs. In Senegal, the strategy was developed at the local (city level) involving local stakeholders and hence was more grounded in the continuing development process (with the potential to leverage existing networks, institutions) with an understanding of local conditions. The preparatory missions in the secondary cities included mayors, councilors, technical staff, religious leaders, and other key community stakeholders. Additionally, the priority projects and green city concepts are being integrated into the Kolda and Tivaouane Strategic Development Plans.
- **Clear strategic vision, priorities, and targets:** In Rwanda and Senegal, the green city strategies have a clear vision and a roadmap for achieving it through prioritized interventions/projects. In Cambodia, there is a vision statement, and in January 2019, agreement was reached with PPCA to integrate selected priority projects in their upcoming investment planning cycle, and GGGI will be starting support to Phnom Penh investment planning in 2019. The investment plan determines municipal budget allocations, but also determines which projects are submitted for funding to national ministries and to donors.
- **Mainstreaming of safeguards, poverty reduction and social inclusion (including gender):** In Rwanda, GGGI supported MININFRA's gender mainstreaming strategy and brought in the Rwanda Women Network. In Senegal, women (including representatives of women/youth) groups were involved in the development of the strategy and roadmap. Ministry of Women is part of the technical committee in Senegal. The Kolda and Tivaouane strategies specifically address capacity building for women, increasing the productivity of women and facilitating increased economic opportunities for women. In Cambodia, although mentioned in the vision statement, there are no detailed gender and poverty reduction initiatives as part of the GCSP PP.

Implementation diagnosis

The diagnosis of implementation is about factors that would ensure that the strategy would be implemented with demonstrable results. There are four important criteria to consider for this stage: (i) Clear implementation plan and distribution of responsibilities; (ii) Clarity in monitoring and evaluation processes and systems; (iii) An identified institutional mechanism/ arrangement to protect the strategy from political and economic changes; and (iv) Clarity about sources of funding and links to the budgeting process.

- **Clear implementation plan and distribution of responsibilities:** Only Rwanda has each action identified with responsibilities assigned. Although in Senegal, roadmaps have been developed for each secondary city with timelines and priority projects and potential partners, there are no assigned responsibilities for the implementation of actions. In Cambodia, besides a structural diagram in the GCSP PP, there is no clarity on linkages and responsibilities for the implementation of the plan.
- **Clarity on monitoring and evaluation processes:** There is an indication that initial discussions about monitoring are taking place in all three countries. In Senegal, a decree created Green City Local Committee in each city and these are expected to be monitoring progress made. In Rwanda, there is a monitoring tool recommended through the index which is expected to be mandated by Ministerial order from MININFRA to measure urban performance and will enable the National Institute of Statistics (NIS) to coordinate with sector ministries for regular monitoring. In Cambodia, following an agreement with PPCA, support to Phnom Penh investment planning in 2019 will allow GGGI to monitor, to a certain extent, the implementation of the GCSP PP through the regular municipal planning and reporting system. In Senegal, the roadmap included a timetable of broad activities including monitoring as one of the activities. Furthermore, the Green City local committee was

created by a decree with a mandate to also undertake monitoring. Although structure is in place there is no defined system or process for monitoring.

- **Identified institutional mechanism/arrangements to protect the strategy from political and economic changes:** In Rwanda, the NR does show the institutional framework/mechanism set up by government to implement strategies and plans, including the NR. This was expanded with the roles and responsibilities set up within these institutions and mechanisms which intended to ensure continuity. In Senegal, there is a multi-tiered arrangement. The local steering/technical committee (which includes technical people who are immune to political changes, community members and other actors) should ensure continuity in the implementation. A commitment charter has been signed by the Mayors of Kolda and Tivaouane and other relevant local stakeholders to ensure continuity. The mayoral decree will also ensure continuity, even though there are political changes. At the national level, there is an inter-ministerial committee, established by a ministerial decree to ensure the implementation of the IR.
- **Clarity about sources of funding and links to budgeting process:** In Cambodia, the assumption in the plan is to get external, national, municipal funding for implementation and significant progress is being made. For a number of projects, this has materialized. In Rwanda, while lots of proposals are developed, conversion has been an issue. FONERWA support has been mainly for technical assistance. Investment projects where commitment has been secured are in Kigali and not in secondary cities. Although funding for the secondary cities was not articulated at the time of developing the NR, the resultant investment outcome has been very positive. In Senegal, there is clarity about funding for projects. Although in its early stages of implementation, funding commitment for Luxembourg, GCF and BMGF to implement projects are promising. The operationalization of FONSIS, development of REEF, and exploring innovative financing mechanism through commercial banks by providing guarantee through FONGIP, and private sector are clear evidence of clarity. Some government ministries and agencies have also indicated the availability of budgeted funding for implementation of projects with GGGI technical assistance on green cities development.

Cross cutting issues

The following two cross cutting issues were noted during the assessment of the three sample countries which do not fit into the above framework but are important strategic choices that will impact GGGI's work on green city strategy development and implementation.

- **Capital city versus secondary cities:** There appears to be no specific guidance from HQ that would deter country offices from working in capital cities. Nevertheless, it was widely recognized that capital cities are more complex and possibly more difficult to have a major impact on "greening" than the smaller, secondary cities. In some cases, the location of a GGGI office in a capital city and the need for GGGI to find its niche in a country may lead to an initial emphasis on working in the capital city. The key question going forward is whether GGGI should continue working in capital cities or develop its overall competence in greening secondary cities.
- **Emphasis on accessing climate change funding:** The question about climate change and green cities is whether climate change is the major priority to address in these cities, especially in secondary cities where basic infrastructure and good urban planning may be more important than climate change. The increasing availability of climate finance may mis-direct attention to climate change issues, when they are not the major problem in the selected cities.

4.3. Approach to knowledge management for green city strategy development

The focus of this KEQ was to analyze GGGI's institutional approach in guiding programs to achieve the successful implementation of green city strategies. The KEQ looked at how GGGI can facilitate the sharing of best practices and lessons learned between countries working on green city strategies, which would have broader implications for GGGI's internal structure and approach to knowledge sharing. This KEQ also looked specifically at the Green City Thematic Strategy and Guidelines and if these are being considered by the country teams.

It is important to note that currently there is no official/formal policy or strategy in GGGI on knowledge management, although various updates to GGGI's Council and MPSC include information regarding its approach.

Therefore, in order to conduct this review, the evaluation team drew from one such document which included a description of GGGI's "knowledge cycle."³³ This section traces how knowledge needs assessment is done, how knowledge is generated, stored and disseminated, and how the review of the process to collect feedback is undertaken. The goal is to identify what is working, key risks in the process and areas that could be improved.

In terms of the scope of the evaluation, there are two important aspects that must be noted. Firstly, the following is an assessment of the current knowledge management system and some of these approaches were not in place when the green cities strategies assessed under this evaluation in the previous sections were being developed. The focus is on the current system in order to develop actionable recommendations for improvements. Secondly, the focus is on internal knowledge management on topics under the green cities thematic area. It does not cover other types of knowledge and information that is shared within GGGI and is not related to knowledge sharing with external stakeholders. The assessment highlights key initiatives undertaken under the green cities thematic area, but the issues raised are related to GGGI's institutional approach to knowledge management and extends beyond the role of the thematic team based in headquarters.

4.3.1. Needs Assessment

Knowledge needs in member countries related to topics under the green cities thematic area are identified through GGGI's formal, structured processes of developing the biennial Work Program and Budget (WPB) and continuous project development process using the Project Cycle Management (PCM) manual covering the Project Idea Note (PIN) approval process. In addition, informal means are adopted to identify needs of country teams on an ad-hoc basis. This helps to determine what knowledge and support are required based on the project ideas identified by the country and the available expertise. The following is a description of the current formal and informal processes.

- **GGGI's WPB process** helps to identify countries interested in working in the green cities thematic area. During the development of the current WPB (2019-2020), the green cities thematic team based in headquarters provided inputs/feedback on 23 country business plans (which included the intended results of the country programs over the biennium period). The formal process adopted during this process included a) submission of draft country business plans by the country teams based on opportunities identified; and b) a one-hour meeting with the thematic heads and senior management to identify barriers and opportunities and share experiences from other countries. This process helped to identify a broad list of ideas (in green cities and other thematic and/or crossover areas).
- The **PIN process** enables country teams to develop projects throughout the WPB period and is guided by the country business plans. This ongoing process of project approvals includes the review by the thematic team (through a notification to review the idea/note received through the GGGI Online project management system). The thematic team provides feedback to the project managers on the budget, technical expertise required for implementation, and other factors. Once the initial idea is approved by GGGI's Management Team, the thematic team also helps the countries to develop a fully-fledged proposal. During this stage, the thematic team provides guidance on the structure of project implementation teams which can include personnel from the thematic team or from other countries depending on their technical expertise and availability.
- A less common and more **informal process** is that a country team seeks information from the thematic team on new areas/ideas to work on by directly reaching out through emails and other informal channels of communication. The thematic team then walks the country team through examples (what has worked/not worked) and shares information/reports to help the country team shape the idea in response to the opportunity identified. If the country team is interested in talking to other country teams, the connections are provided by the thematic team. Once they are informed and ready with a concrete idea, the country team then goes through the formal PIN approval process. This informal process usually happens when the idea was not identified in the WPB, and a new opportunity is identified based on evolving needs in the country. A recent example is the Peru country team which had not worked in the green cities thematic area before, and an opportunistic discussion

³³ Internal discussion paper dated March 2017

with the new leadership of the City of Lima municipality led to their indication of interest in green cities and waste management in particular. The thematic team then provided support to explore this opportunity further.

The green cities **thematic team has a guardianship role in each of these processes** ultimately leading to the PIN approval. **Members of the thematic team are assigned to deliver specific outputs in some of the projects.**³⁴ During the evaluation it was noted that the country teams interviewed have involved the thematic team in project implementation to a varying extent. The **level of involvement by the green cities team depends on the country needs/request** for assistance, familiarity with the region, value addition to the country, language, and expertise of the team member. It was also noted that the thematic strategy provides guidance on the priority areas for GGGI to work in so that project ideas can draw from them. These priority areas are generally broad enough to accommodate diverse ideas. **The thematic team also plays an important role in bringing in expertise from other thematic units.** This is particularly important as the green cities thematic area often requires inputs from the sustainable energy, water and sanitation and sustainable landscapes teams. A recent focus has been on developing cross-sectoral projects to improve coordination and promote integrated implementation which is clearly useful to meet client demands.

In addition, the **green cities thematic team has a budget** allocated under the Global Business Plan in the WPB. This helps the thematic team **to originate projects in new thematic opportunities** based on emerging trends, not necessarily captured by the PIN process. This helps the team **to produce publications to stimulate country teams to move into new areas** (e.g., low-cost green building materials; climate resilience and green growth in which three country teams are working with the thematic team to develop a publication; climate change and resilience in cities or integrating SMEs³⁵/informal sectors into green city planning among others). The thematic team identifies these new areas (or areas that are on the fringe) and brings them into the mainstream. The thematic team involves the country teams to gauge their interest in these new areas, a process that started only in 2018 and being implemented during the 2019-2020 biennium. This could be seen as a cross-over between needs assessment and knowledge generation and is a good initiative. **However, the allocation of a budget which enables the thematic team to develop “global programs”³⁶ in its current form and produce publications is very recent (2019 is the first year).**

The **key risks** in this process are the **continuity of budget allocation**, the selection of topics for each publication is **currently dependent on the team members’** technical expertise and areas of interest, and there is **no clear evidence of an institutionalized mechanism to identify topics (for these publications) based on a structured needs assessment in GGGI countries.**

4.3.2. Knowledge Generation

The **green cities thematic team is the corporate level knowledge holder of what is done under this thematic area.** Some of the details presented in this section bridge both knowledge generation and knowledge dissemination and includes activities of other teams in GGGI. The **current knowledge generation in the green cities thematic area is primarily through GGGI corporate reporting and management process/requirements.** For example:

- The thematic team provides regular updates to GGGI’s senior management team and also helps identify demand across countries.
- The annual results reporting process, at a high-level, captures information on work done/results in green cities projects across countries, in addition to capturing some aspects of key lessons from implementation.
- There are regular updates provided to GGGI’s Council and MPSC on progress under the thematic area and key lessons learned during the implementation of projects.

³⁴ Each member in the green cities thematic team has responsibilities for certain topics (e.g., capacity building, air quality, transportation, city planning, infrastructure, built environment and SMEs) and/or specific countries.

³⁵ Small and medium enterprises.

³⁶ The “global program” means more than two countries – the scale of the program was not defined (as the budget allocation is very recent). Variations of these types of programs have been implemented by specific HQ-based specialists in the past but the current form of these types of programs are driven by thematic teams.

- The GGGI annual staff meeting provides a platform for countries to highlight their work and lessons learned. During the meeting the green cities thematic team presents the overall picture and captures the key points of discussions in the annual meeting and outcomes report.

In addition, **highlights on specific activities undertaken to generate knowledge products under the green cities thematic area** include:

- A **two-hour side event organized during GGGI's bi-annual Global Green Growth Week**, where country representatives share highlights and knowledge.³⁷ This has become a permanent fixture during this event to promote knowledge sharing among GGGI country teams as well as external stakeholders.
- A new practice has been initiated to **identify thematic experts from the country teams** on specific technical areas under the green cities theme. For example, Rwanda on transportation, Indonesia on green industry, and Mexico on air quality and transportation. The thematic team encourages and coordinates with these experts to present their experiences via webinars on these topics. In addition, the thematic team promotes and encourages high performing countries to present their learning and experience in forums within and outside GGGI which serves as an additional motivation/recognition provided to country teams.
- **Country teams can also connect directly with the Thought Leadership (TL) team** based in headquarters to discuss project activities and identify topics for development of knowledge products.³⁸

The **key risk** in this approach is that **a lot of project information is being captured through various processes but there is no documented strategy or process in place which helps define how this information will be used in a systematic way**. This could lead to duplication or overlaps in effort, different approaches being adopted by different teams or some information not being adequately shared between country teams even if this information is flowing between country teams and headquarters.

The thematic strategy and guidelines that are developed by the thematic team help in identifying topics to some extent but these are broad and all-encompassing with examples included on country experiences. At the country level, the use of the existing guidelines varied with each country. When work started in Cambodia, there was no guideline in place. Guidelines were referred to in both Rwanda and Senegal. In Uganda, the country team found the guidelines very useful and printed a large number of copies to be distributed to national stakeholders. The Viet Nam team noted that they played an important role in developing the guidelines which have been used extensively in ongoing programming. The key point is that the city level context will vary from country to country (or even within a country) so while corporate level, generic guidance is helpful, it should not become dominant or any form of “blueprint”.

4.3.3. Knowledge Storage and Dissemination

There are three main platforms for knowledge dissemination in GGGI:

- Currently, the monthly **urban Community of Practice (COP) meetings are the primary way to share experiences** internally across countries including lessons learned, new topics, and work being done. It was noted that some countries send written reports prior to these meetings which serves as reference material for other country teams.³⁹ The discussions not only help synthesize emerging topics but also identify common needs across countries and connect project implementation teams. To complement this approach, regular updates are shared via email and a dedicated SharePoint site with the urban COP which currently includes 95 staff members.
- The **new GGGI Online** (project management system) **is emerging as a key platform for information capture, storage and dissemination**. The constituent relationship management system (CRM) is another mechanism in GGGI for sharing information. This includes information about formal meetings, events and also other meetings

³⁷ The March 2019 event at Seoul will focus on Asia-Pacific countries' green city work. The last one in Addis Ababa was focused on African countries.

³⁸ Many of the TL team staff have more than half their time allocated to country (as they are involved in 15 country projects).

³⁹ Each country gets only 1-3 minutes to make a presentation.

with various stakeholders and enables the tagging of people to distribute materials. In addition, **corporate reporting processes** also help to disseminate information across GGGI.

- Discussions revealed that as GGGI is a small organization, **information is shared “quite freely.” Informal platforms of interactions** in GGGI include the annual meetings, divisional meetings (where the focus is more on operational issues) and individual ad-hoc interactions (which can be more technical). This reveals a key risk that there is **no systematic process for dissemination** and the reliance is mainly on informal processes.

A key point related to knowledge dissemination, highlighted in all three countries visited during this evaluation, is that GGGI does not have a systematic way to share knowledge products developed by non-English speaking countries. The **documents produced** (in this context on green cities) **in countries where English is not the main language are not always translated into English** (systematically by GGGI) and therefore the knowledge from non-English speaking countries is sometimes not available to most of the GGGI staff who speak mainly English.

The responsibility for knowledge generation and dissemination is currently shared and based on the **informal collaboration between the green cities team and the Thought Leadership (TL) team**. The collaboration depends on the expertise in the TL team and/or their (personal) connections with the green cities team (e.g., in transport). However, there is no structured process in GGGI to promote this collaboration with clear roles and responsibilities to avoid any duplication of efforts. As of 2019, the TL team has been integrated back into the same operational division (Investment and Policy Solutions Division) as the thematic team which is expected to increase collaboration.

With reference to the role of the TL team in relation to knowledge management, one of its key objectives is to capture lessons, synthesize and share them from a global perspective. However, documentation of lessons from in-country experience has not been done systematically in the past. It is expected that the new GGGI Online system will contribute to documenting in-country experience. Nevertheless, it was highlighted that there is **no knowledge manager role to sift through results/information and pull out the lessons learned**. Also, the knowledge management role is ad-hoc and currently resides with program teams. Although the annual report captures and reflects on some of the in-country lessons/experiences, this is at a more corporate level.

Furthermore, the TL team is similar to the thematic team in some ways (supporting research and analysis, knowledge sharing, and capacity building) but with more of a cross-cutting, multi-country/multi-sector and global focus. Examples of the cross-cutting and global focus of TL’s work can be highlighted through its work on the Green Growth Knowledge Platform (GGKP),⁴⁰ Green Growth Index, State of Green Growth Report and Green Growth Potential Assessments. Discussions highlighted that in terms of making GGGI a “go-to” organization specific to green cities the responsibility should reside with the green cities thematic team, as TL works to make GGGI the main place for green growth as a whole. It is also likely that the TL team may not have the necessary expertise (capacity) in all the thematic areas/topics relevant to green growth so a **more formal distribution of responsibilities can help increase collaboration between the two teams**.

4.3.4. Review and Feedback

Currently, the primary mechanism for review and feedback is the COP meetings which serve as a platform for “an open and free-flowing discussion.” In addition, when the green cities thematic team is developing publications, the country teams are involved in providing feedback on what is useful or not for national stakeholders. There is also a publication committee at GGGI which reviews all major publications, a process facilitated by the TL team. The list of publications serves as one way of capturing priorities across the organization but is limited to only major publications and does not include other knowledge products being developed in the organization.

The **key risk** here is related to the need for an institutionalized knowledge management strategy, plan and process which can then provide **for a systematic review and feedback mechanism for knowledge management under the green cities thematic area**.

⁴⁰ GGKP also serves as a platform for global knowledge sharing where country teams can publish their material.

5. Conclusions and Recommendations

5.1. Key Conclusions

The conclusions presented are based on findings presented in this report.

Conclusion 1: The cities have multiple project ideas; however, the personnel (elected officials and technical/administrative staff) do not have the experience and capacity to develop ideas/concepts into bankable projects and economically viable projects that could attract investments. Without handholding and technical assistance from GGGI, bankable projects development and thereby implementation of strategies will be hindered.

Conclusion 2: There is no clarity on how the results on green city strategies will be measured at the city level and/or aggregated at the national level. There is a lack of baseline and clear targets in addition to clarity on roles and responsibilities for monitoring and evaluation in the countries.

Conclusion 3: Visibility and communications beyond primary stakeholders are issues in all three countries. Stakeholders, including development partners, are often not aware of GGGI's work on green cities in the country, partly due to frequent turnover of staff. Green city strategies are not always understood partly due to inadequate dissemination of core documents but also due to the lack of simplified and condensed versions of the key aspects of the strategy (especially in visual form).

Conclusion 4: Each city has unique characteristics and different political, economic and social contexts but some basic institutional conditions should be in place before a strategy is developed to increase the likelihood of success. Without meeting these preconditions (e.g., strong support from city leaders) having a strategy with good content will not lead to implementation.⁴¹

Conclusion 5: A focus for green city development in the capital city (as in Cambodia) or secondary cities (as in Senegal) or both (as in Rwanda) should be based on the identified priorities of the national Government and GGGI at the country level.

Conclusion 6: It is likely that countries looking for earmarked funding for implementing green city strategies may go after projects that are not aligned (not the top priority) within the country and/or the corporate GGGI thematic focus but are rather opportunistic.

Conclusion 7: With many country programs working on green city strategies, a diagnostic framework such as the one used in this evaluation could be useful for ongoing assessments of the quality of green cities strategies. The principles in the process can be modified and applied to guide country teams working on either green city strategies or other sectoral strategies.

Conclusion 8: The green cities thematic team can identify knowledge needs of the country teams through GGGI's WPB and PIN processes. However, with **no systematic, core, institutionalized knowledge management strategy and plan**, most current knowledge generation is through corporate reporting requirements and ad-hoc publications. Knowledge storage and dissemination (apart from corporate reports) are informal and person-dependent (person's interest/expertise) and dependent on consistency in budget allocation. Relying only on informal systems/interactions with no systematic process (corporate mechanism) does not add value and is unlikely to be sustainable. The monthly COP calls, side-events during GGG week and identification of thematic experts are some of the mechanisms that currently exist, or have been newly introduced, for knowledge generation/dissemination, review, and feedback. However, there is no assigned "knowledge manager" to capture, synthesize and disseminate information (knowledge) from various GGGI systems. It is important to note that this is an institutional issue which is not necessarily under the responsibility of the thematic team which has initiated a number of noteworthy initiatives to try and fill some of the existing gaps.

⁴¹ A focus for green city development in the capital city (as in Cambodia) or secondary cities (as in Senegal) or both (as in Rwanda) should be based on the identified priorities of the Government and GGGI at the country level.

5.2. Key Recommendations

The following key recommendations have been based on the findings and conclusions of this evaluation.

Recommendation 1: Focus on building capacity of city level stakeholders to ensure green city strategies are adopted and implemented.

Build capacities at the municipal level to develop project ideas into bankable and viable projects. In addition to training, this could include assisting in the development of initial projects to enable municipalities to gain practical experience and confidence. Green cities development tools in the local languages are also needed due to the frequent turnover in staff. When the focus is on secondary cities, GGGI needs to have a presence in those secondary cities to ensure technical assistance and mentoring is effective.

Recommendation 2: Develop one or two bankable projects simultaneously while developing green city strategies.

This will reduce down-time between the development of the strategy, endorsement by government, and implementation. Projects could be funded by the private sector, development partners, government and/or commercial banks.

Recommendation 3: Improve clarity of proposed monitoring mechanisms for green city development.

This should include roles and responsibilities and clear indicators with baseline, targets and timelines. Some core indicators can be developed by HQ-based experts, but these then need to be customized to country contexts. There should be a monitoring mechanism in each city with indicators that could be consolidated at the national level. Avoid creating parallel systems and integrate into existing structures and systems.

Recommendation 4: Improve visibility and communications beyond the primary stakeholders.

This can be done through brochures highlighting green city work, participation in development partner groups, and presentations in national forums/conferences. Simplify communication materials so that they are easily understood, even by non-technical and community stakeholders. Importantly, once the strategy is completed, clear feedback is needed to all stakeholders who contributed, where necessary explaining why certain ideas could not be accommodated.

Recommendation 5: If there are opportunities to work through existing planning processes in a country, these should be given preference over standalone processes.

It may be more effective for GGGI, rather than writing new green city strategies in additional countries, to focus on improving/greening existing municipal planning, M&E, budgeting, reporting and fiscal systems. Such an approach would go straight to the core of how cities are managed and avoid parallel plans. This would resolve many of the issues highlighted relating to ownership, institutional issues, alignment with national targets, implementation arrangements. Also, ensure that all/most of the basic institutional preconditions necessary for success are present in a country before a strategy is developed, to increase the likelihood of success.

Recommendation 6: GGGI should ensure that all earmarked funding related to the green cities thematic area (or other thematic areas) is aligned to green city strategies to ensure maximum impact.

Green city strategies have provided a strong platform in identifying priorities, projects and building relationships with city level stakeholders. GGGI should leverage this platform when mobilizing earmarked funding. Countries are already doing it, albeit inconsistently. There is a danger in pursuing attainable earmarked funding for lower priority projects, while some priority projects languish due to lack of funds. GGGI must keep the priorities at the forefront when engaging funding agencies.

Recommendation 7: GGGI green cities team should adopt and refine the diagnostic framework presented in the report to guide country teams to develop or assess the quality of green city strategies.

The framework draws from a large body of evidence but can be refined for further application across GGGI. It has been customized to GGGI's context to the extent possible while doing the assessments in the 3 sampled countries.

Based on scoring from the country assessments conducted as part of the evaluation, GGGI can develop clearer definitions to facilitate meaningful comparison across countries and time.

Recommendation 8: Develop a thematic knowledge management strategy and plan and appoint a knowledge manager with defined responsibilities.

A diagnostic framework that embeds known success factors is important, but by itself not enough to ensure GGGI avoids reinventing the wheel in each country, avoids repeating past mistakes, and systematically learns and applies best practices when developing green city strategies across multiple countries. This requires a robust knowledge management system and the evaluation noted that currently there is no official/formal written policy or strategy in GGGI on thematic knowledge management. Therefore, a formal thematic knowledge management strategy to allocate formal roles and responsibilities is required.

This could then cascade down to thematic teams with one person in each team having primary knowledge management responsibilities. Informal systems can add value as long as there is a systematic process in place that is continuously supported with budget and human resources. The knowledge management strategy should specifically focus on a more formal distribution of responsibilities between the TL and thematic team to help increase collaboration, define how information captured through various processes will be used in a systematic way, assign specific responsibility to a knowledge manager to capture, synthesize and disseminate information (knowledge) from various GGGI systems and institutionalize a systematic review and feedback mechanism for knowledge management. Specific language requirements are a particularly important aspect that should be stipulated under this institutional approach to allow for easy transfer of knowledge across GGGI's diverse country programs.

6. GGGI Management Response

No.	Recommendation	GGGI Management Response
1	<p>Focus on building capacity of city level stakeholders to ensure green city strategies are adopted and implemented.</p> <p>Build capacities at the municipal level to develop project ideas into bankable and viable projects. In addition to training, this could include assisting in the development of initial projects to enable municipalities to gain practical experience and confidence. Green cities development tools in the local languages are also needed due to the frequent turnover in staff. When the focus is on secondary cities, GGGI needs to have a presence in those secondary cities to ensure technical assistance and mentoring is effective.</p>	<p>Agree</p> <p>GGGI agrees that building capacity of city level stakeholders is important in two main ways (i) promoting ownership of planning and investment work at the sub-national level where capacity is generally limited; and (ii) ensuring consistent, frequent and continuous engagement by technical staff.</p> <p>It is also acknowledged that capacity building is important on the right-hand side of GGGI's value chain to develop project ideas, particularly in secondary cities. The main way of doing this is to assist local stakeholders to access finance like in the case of Rwanda where GGGI is working closely with FONERWA. It should be noted that the focus of the continuous, embedded capacity building and implementation support should not be only on bankable projects but also on mainstreaming green growth into urban plans and strategies.</p> <p>GGGI also recognizes the importance of translating tools and strategies developed into local languages and this is elaborated further under Recommendations 4 and 8. In addition, all significant output documents developed by GGGI should be both in English and the local language to cater to the turnover of staff in government agencies.</p> <p>It is recognized that the model of having a physical presence of senior technical staff in the cities (secondary cities in particular) can be consistently applied across GGGI programs and this recommendation is a re-affirmation of the importance of ongoing capacity building. The key challenge is the availability of resources and GGGI is committed to exploring cost effective ways of providing ongoing support to city level stakeholders. Cost effective models have already been adopted in a number of country programs and GGGI ensures that work at the sub-national level is initiated based on the availability of resources to provide ongoing support to city level stakeholders as a necessary pre-condition to working in secondary cities.</p>
2	<p>Develop one or two bankable projects simultaneously while developing green city strategies.</p> <p>This will reduce down-time between the development of the strategy, endorsement by government, and implementation. Projects could be funded by the private sector,</p>	<p>Agree</p> <p>GGGI recognizes the importance of not viewing its value chain as a linear process moving from planning to implementation but a mutually re-enforcing and often a circular process. This is clearly articulated in the Strategic Plan 2015-2020. GGGI agrees that bankable project ideas can be developed simultaneously with green city strategies and roadmaps to</p>

No.	Recommendation	GGGI Management Response
	<p>development partners, government and/or commercial banks.</p>	<p>reduce down-time between the adoption of the strategy and implementation. However, this approach needs to be tailored to the needs of specific countries.</p> <p>As noted in the evaluation report, GGGI simultaneously worked on identifying priority projects along with the green city strategy in Cambodia. Although results have not yet been realized, this approach will be encouraged in other countries developing green city strategies.</p> <p>It is important to note that GGGI's work to promote green city development can be seen from two perspectives (i) initiate with broad planning and then identify specific sectors and related projects like in Cambodia, Rwanda and Senegal (ii) initiate with specific sectors in mind like in the case of Lao PDR. The key risk with adopting a simultaneous approach in the first model is the lack of clarity on the priority sectors during the early stages of implementation of a country program. Therefore, this recommendation will be implemented depending on the specific context and maturity of the country program. This will be determined on a case by case basis and will be assisted by recent reforms implemented in GGGI's continuous project development approach and the priority to deploy cross functional project teams involving country and HQ staff.</p>
<p>3</p>	<p>Improve clarity of proposed monitoring mechanisms for green city development.</p> <p>This should include roles and responsibilities and clear indicators with baseline, targets and timelines. Some core indicators can be developed by HQ-based experts, but these then need to be customized to country contexts. There should be a monitoring mechanism in each city with indicators that could be consolidated at the national level. Avoid creating parallel systems and integrate into existing structures and systems.</p>	<p>Agree</p> <p>GGGI agrees that supporting the development of monitoring mechanisms should be an important part of support to implement green city strategies. There is an increasing focus on developing indicators based on specific country contexts and aligned to some extent to core indicators developed by HQ on long-term outcomes.</p> <p>GGGI has supported sub-national governments in countries like Lao PDR to set ambitious targets against the selected indicators and collect baseline data through sample surveys to frame appropriate responses in the green city strategies. This data is then monitored during the lifetime of the project and local authorities are engaged to adopt data collection methods and indicators for ongoing monitoring. The key challenge is in the secondary cities where baseline data is often difficult to establish and GGGI is working with sub-national governments to identify the gaps and provide continuous capacity building support to improve monitoring.</p> <p>For example, in Rwanda, GGGI is working with the National Institute of Statistics (NIS) to coordinate with sector ministries and adopt specific green city development indicators recommended in the National Roadmap and mainstreamed into the District Development Strategies in the 6 secondary cities. GGGI recognizes the importance to leverage existing mechanisms for monitoring when developing green city strategies and this will be a focus of future work in this area.</p>

No.	Recommendation	GGGI Management Response
4	<p>Improve visibility and communications beyond the primary stakeholders.</p> <p>This can be done through brochures highlighting green city work, participation in development partner groups, and presentations in national forums/conferences. Simplify communication materials so that they are easily understood, even by non-technical and community stakeholders. Importantly, once the strategy is completed, clear feedback is needed to all stakeholders who contributed, where necessary explaining why certain ideas could not be accommodated.</p>	<p>Agree</p> <p>GGGI agrees that improving communications is an area for improvement. Progress has been made through various recent initiatives.</p> <p>The Green Cities Thematic team’s key priority in 2019 is to develop a revised technical guideline for programming which includes a number of case studies of GGGI’s work. In addition, brief two-page flyers are being compiled with examples of work done in countries and a brochure has been developed to communicate GGGI’s overall approach, priority areas and links to the 6 Strategic Outcomes. The thematic team has also developed and published a training module for green city development which can be customized by country teams. The dedicated urban Community of Practice (COP) SharePoint site for staff serves as a platform to store and disseminate new knowledge products and previously developed communication materials.</p> <p>The second aspect of this recommendation is related to following up with stakeholders consulted during the strategy development process. GGGI recognizes the vital importance of this and is committed to making sure that clear feedback is provided once a strategy is completed.</p> <p>Country teams are working on developing simplified versions of the green city strategies developed to communicate the key messages to a wide range of stakeholders who were consulted during the development of the strategies. For example, in Cambodia, GGGI is planning a launch event for the Green City Strategic Plan for Phnom Penh to serve as a platform to re-engage with stakeholders who were consulted during the strategy development process using brochures, posters and other simplified communication materials.</p>
5	<p>If there are opportunities to work through existing planning processes in a country, these should be given preference over standalone processes.</p> <p>It may be more effective for GGGI, rather than writing new green city strategies in additional countries, to focus on improving/greening existing municipal planning, M&E, budgeting, reporting and fiscal systems. Such an approach would go straight to the core of how cities are managed and avoid parallel plans. This would resolve many of the issues highlighted relating</p>	<p>Agree</p> <p>GGGI is focused on localizing the global agenda by working with sub-national actors. GGGI agrees that it is critical to improve the understanding of the basic institutional conditions in a specific context to avoid duplicating existing planning processes.</p> <p>The key challenge is to be able to demonstrate the benefits of green city development to local stakeholders to get buy-in for subsequent mainstreaming into existing urban policies, strategies and plans. The green city strategies in Cambodia, Rwanda and Senegal were platforms to demonstrate the benefits and progress has been noted in mainstreaming green growth into existing urban policies in Rwanda (district development</p>

No.	Recommendation	GGGI Management Response
	<p>to ownership, institutional issues, alignment with national targets, implementation arrangements. Also, ensure that all/most of the basic institutional preconditions necessary for success are present in a country before a strategy is developed, to increase the likelihood of success.</p>	<p>strategies and masterplans) and Senegal (strategic development plans). GGGI recognizes that this is an area for improvement in Cambodia.</p> <p>A related aspect is GGGI's efforts to better understand the political economy conditions and capacities in a country to position its programs with the right counterparts at national and sub-national level and develop institutional mechanisms to coordinate among different stakeholders. These institutional mechanisms have been established in the 3 countries assessed under this evaluation. There is increasing emphasis on engaging the right counterparts and de-risking country programs by positioning support and embedding staff in a wide range of government agencies. It is important to note that in some countries that GGGI operates in certain basic institutional conditions may not exist in cities, especially secondary cities. GGGI is committed to support the development of these conditions by working closely with sub-national authorities.</p> <p>GGGI acknowledges the areas for further improvement as noted in the evaluation findings and progress to address these issues is being made through the recent reforms in the project design process through close involvement of key experts from HQ, including the green cities thematic team.</p>
6	<p>GGGI should ensure that all earmarked funding related to the green cities thematic area (or other thematic areas) is aligned to green city strategies to ensure maximum impact.</p> <p>Green city strategies have provided a strong platform in identifying priorities, projects and building relationships with city level stakeholders. GGGI should leverage this platform when mobilizing earmarked funding. Countries are already doing it, albeit inconsistently. There is a danger in pursuing attainable earmarked funding for lower priority projects, while some priority projects languish due to lack of funds. GGGI must keep the priorities at the forefront when engaging funding agencies.</p>	<p>Agree</p> <p>GGGI agrees that resource mobilization efforts for earmarked funding for green city development should build on previous work done in the country to develop green city strategies to ensure maximum impact. GGGI naturally aligns its resource mobilization efforts with previous work in the specific thematic area and there have been a number of initiatives at corporate level to facilitate this process.</p> <p>In recent years, GGGI has made a strategic effort to mobilize greater amounts of earmarked funding to supplement its core funds. Earmarked funding rose from about USD 12 million in 2015 to around USD 30 million in 2019. Alongside, the resource mobilization approach has evolved and is being further strengthened in 2019. A key aspect of this will be to ensure that GGGI leverages past work and successful examples effectively to help define GGGI's comparative advantage and sharpen its value proposition to potential funders. The Green Cities Thematic Strategy also serves as guidance to country teams. These corporate level initiatives will lead to the natural alignment of future earmarked funding with the green city strategies developed.</p> <p>Progress at country level is being made in this regard already. In Cambodia, current resource mobilization efforts are directly related to the list of projects identified in the green city strategies developed. The earmarked funded projects in Senegal that have recently been initiated are directly related to the green city strategy work done in the</p>

No.	Recommendation	GGGI Management Response
		<p>past. In Rwanda, this can be improved as there are practical challenges that need to be considered in terms of responding to evolving and urgent demands from government counterparts but GGGI is aware of the need to focus on priority areas. Overall, the Country Planning Frameworks in these and other countries are serving as a valuable tool to align programming choices with past efforts, government demand and GGGI's comparative advantage in each country.</p>
7	<p>GGGI green cities team should adopt and refine the diagnostic framework presented in the report to guide country teams to develop or assess the quality of green city strategies.</p> <p>The framework draws from a large body of evidence but can be refined for further application across GGGI. It has been customized to GGGI's context to the extent possible while doing the assessments in the 3 sampled countries. Based on scoring from the country assessments conducted as part of the evaluation, GGGI can develop clearer definitions to facilitate meaningful comparison across countries and time.</p>	<p>Agree</p> <p>GGGI agrees that the diagnostic framework presented in the evaluation report can be adapted to guide future programming by using it to document lessons from past experiences in various countries. However, the framework needs to be customized to align with GGGI's priorities and operating context. In addition, the framework in its current form cannot be used for continuous assessment as there are a number of criteria in the framework which have implications on programmatic choices and management of financial and human resources. These need to be considered based on how GGGI operates in a specific country context and the Green Cities Thematic Strategy and approach.</p> <p>The framework can be enhanced through additional success factors. For example, engagement with various types of national government actors, avoiding parallel institutional mechanisms for implementation and monitoring etc. The method of the European Bank for Reconstruction and Development (EBRD) can also be leveraged to refine this framework.</p> <p>GGGI commits to adapt this framework to serve as a platform to communicate lessons learned using examples from past experiences in developing green city strategies in Cambodia, Rwanda, Senegal and other countries. This adapted framework capturing lessons learned will be included as an annex to the revised green city guidelines due for release in 2019.</p>
8	<p>Develop a thematic knowledge management strategy and plan and appoint a knowledge manager with defined responsibilities.</p> <p>A diagnostic framework that embeds known success factors is important, but by itself not enough to ensure GGGI avoids reinventing the wheel in each country, avoids repeating past mistakes, and systematically learns and applies best practices when developing green city</p>	<p>Agree</p> <p>GGGI agrees that having a clear strategy, structure and systems to guide the management of its thematic functions is essential to maximize both impact and the knowledge brokering potential envisaged for GGGI when it was initially created. Since 2015, the Institute has in fact worked steadily to put in place many of the elements recommended by the evaluators.</p>

No.	Recommendation	GGGI Management Response
	<p>strategies across multiple countries. This requires a robust knowledge management system and the evaluation noted that currently there is no official/formal written policy or strategy in GGGI on thematic knowledge management. Therefore, a formal thematic knowledge management strategy to allocate formal roles and responsibilities is required. This could then cascade down to thematic teams with one person in each team having primary knowledge management responsibilities. Informal systems can add value as long as there is a systematic process in place that is continuously supported with budget and human resources. The knowledge management strategy should specifically focus on a more formal distribution of responsibilities between the TL and thematic team to help increase collaboration, define how information captured through various processes will be used in a systematic way, assign specific responsibility to a knowledge manager to capture, synthesize and disseminate information (knowledge) from various GGGI systems and institutionalize a systematic review and feedback mechanism for knowledge management. Specific language requirements are a particularly important aspect that should be stipulated under this institutional approach to allow for easy transfer of knowledge across GGGI's diverse country programs.</p>	<p>Building on the Strategic Plan 2015-20 which first confirmed the 4 broad thematic areas of focus (including green cities), GGGI developed and presented a Thematic Strategy to Council in 2016. This provided greater institutional clarity by identifying a small number of more specific priorities in each of the 4 themes for GGGI to concentrate on. These were later updated as part of GGGI's Refreshed Strategic Plan 2015-20.</p> <p>GGGI has also addressed structural issues. In 2016, the Investment & Policy Solutions Division (IPSD) – the division responsible for GGGI's thematic functions (including knowledge management) – was restructured to include, for the first time, dedicated teams relating to each of the 4 themes. Recruitment of staff with relevant expertise to these teams was subsequently undertaken. More recently, the Office of Thought Leadership was merged into IPSD at the start of 2019, putting most of GGGI's thematic specialists under the authority of a single divisional manager.</p> <p>Notwithstanding the progress made on strategy and structure, GGGI acknowledges that further work is needed to clarify and roll out operational systems that:</p> <ul style="list-style-type: none"> • systematically build technical expertise, approaches, tools, networks and best practices around chosen thematic priorities within GGGI; and • ensure these assets are deployed to similar interventions across different countries in a way that promotes systematic application of best practices and avoids reinventing the wheel or repetition of past mistakes. <p>The slower progress on this front is partly due to other tasks needing to take priority. In 2018, GGGI embarked on an initiative dubbed iGROW, which involved major reforms to several core business systems, designed to enable the organization to transition to greater reliance on earmarked funding. Since these core business systems also serve as the corporate infrastructure upon which thematic functions run, it was necessary for the iGROW reforms to take precedence.</p> <p>This work is now largely complete, allowing GGGI to attend to other waiting priorities, including strengthening of its thematic functions. Other factors – including the ongoing preparation of Strategy 2030, the impending leadership transition to a new Assistant Director-General for IPSD, and the lessons from this evaluation – provide further impetus to progress this task in 2019.</p> <p>To conclude, GGGI agrees with the recommendation to clarify and improve GGGI's strategy for thematic knowledge management across all 4 thematic areas. This will form part of the responsibilities of the incoming head of IPSD.</p>



Annex 1 – Country Level Assessment – Cambodia

A.1.1. Assessment

The detailed assessment of the green city strategy work in Cambodia is followed by a summary of the findings against each stage in the process of developing the strategy and the key challenges and issues noted. Country specific recommendations are also included. The traffic light rankings were based on a rapid field assessment and is meant to represent an assessment of the process at the time of developing the green city plan reviewed. It is acknowledged that subsequent work by the GGGI country office has addressed many of the identified weaknesses and the rankings could be upgraded based on this additional effort. This is entirely consistent with the concept of green city strategies being “living documents”.

Stages	Criteria	Traffic Light System	Rationale for scoring
Preconditions	Detailed needs assessment and an adequate corporate mechanism to identify needs and recruit staff accordingly		Not fully evident but seems like there were a few consultation meetings and mainly MOE driving the need for this. So not done sufficiently. No evidence that there was a detailed analysis of the baseline situation (not the baseline assessment which is part of the plan) to decide whether you really need to develop a separate plan or not.
	Strong leadership / commitment from the head of the city government		PPCA was engaged in a parallel exercise finalizing its land-use master plan and very little interconnection between the two activities apart from attending consultation workshops. It should be noted that to some extent the weakness of local government ownership reflects the political and institutional reality of Cambodia.
	Participation and ownership of key local actors		This was reasonable but very little community level consultations. This did not need to be public consultations/comment which is best practice, but some form of communication would have been good.
	Private sector inclusion		An attempt was made to engage with industry organizations, but attendance was low.
	Level of focus on local institutional structures and local government capacity building		Partly done through the study tours (e.g. to Mallaca) and consultation workshops, which were an attempt at capacity building. But the gap was the time that needed to be spent with PPCA, such as the possibility of embedding someone in PPCA. Stakeholders commented that they learnt quite a lot about the theory and methodology but now need tangible projects for implementation. A question is whether there was substantial assessment of implementation capacity. No capacity needs assessment was done and did not have a PMU in place (like for the secondary cities plan) to own the process.
	Support from national government		Through NCS and MOE. NCS is the right coordinating body at the national level so a good choice of partner at the national level. Ministerial support was also pretty good. One missing group was the Ministry of Land Management. It did not make a massive difference on the outcome but should have been more engaged as they were working on revising the master plan. Downside of this is that the traditionally tense relation between NCS and PPCA contributed to weaker ownership of PPCA.

Stages	Criteria	Traffic Light System	Rationale for scoring
	Relevance / strategic fit to national policy, targets, goals		The plan was relevant but how it fits strategically is a question. NCS D says it is the overarching plan and PPCA says it is one of the many plans that fits under the master plan. The GCSP PP refers to the other plans but whether they strategically fit is a concern. The white book from 2007 is in French and available online but unclear if they drew from it. The master plan appears to draw guidance from the White Book, but it is not clear if the GCSP PP does. One comment was that the section on waste management in the GCSP PP was broad enough that it did not duplicate the detailed waste management strategy that NEXUS/IGES are working on (it is actually project #41).
Content	Quality of baseline data collected and analysis conducted		The plan was regarded as a reasonably good compilation of existing information, but no new data was collected, or original research was done. Very little quantitative analysis and there was a need for granular understanding of the city's needs (each commune density, sub-sectoral analysis, infrastructure needs, lake filling issues, provision for a new airport etc.)
	Quality of future foresight analysis conducted		Some work was done but qualitatively. This was an issue as the White Book had detailed scenario analyses conducted.
	Clarity in understanding of local political economy context (actions identified are politically feasible to implement)		Not effective. Should have had a MOU, PPCA involvement, working on greening the master plan, working with the team who were simultaneously working on the waste management, transport plan, and drainage plan.
	Clear strategic vision, priorities and targets		It was ok in terms of the vision statement and 48 priority projects but whether PPCA can implement these or not is the issue.
	Extent to which the strategy is aligned to corporate strategic guidance		No technical guidelines in place at the time of the development of the GCSP PP but HQ staff provided guidance and review.
	Extent to which safeguards, poverty reduction, and social inclusion (including gender) have been mainstreamed into the strategy		It is mentioned in the vision statement but no detailed gender and poverty reduction strategies. Women attending workshops does not make it a gender strategy. At the very least a better diagnostic about barriers for women should have been done and what the Ministry of Women Affairs is doing to overcome the barriers, is it enough, what else can be done, are there gender considerations in the design of the priority projects.
	Implementation	Clear implementation plan and distribution of responsibilities	

Stages	Criteria	Traffic Light System	Rationale for scoring
	Clarity in monitoring and evaluation processes and systems		Only half page of explanation provided which is not adequate - no indicators, methodology etc.
	An identified institutional mechanism / arrangement to protect the strategy from political and economic changes		There is no evidence of an institutional mechanism to protect this - like a strong judiciary, like an ombudsman, or like the green tribunal in India. It is also unlikely that GGGI will be able to influence the creation of such a mechanism.
	Clarity about sources of funding and links to budgeting process		Some paragraphs included on external sources and the assumption is that all the funding for the implementation of the projects will come from external, municipal, development partner and GGGI sources. No analysis conducted of the government budgeting process, but starting in 2019, GGGI will support PPCA investment planning. Some development partners noted that PP should have sufficient funds to implement projects so are not working with them. This could allude to the challenges in financing projects for implementation in Phnom Penh.

Summary of assessment

Preconditions

As a relatively new GGGI country office attempting to find its niche in Cambodia, a country that has absorbed considerable development support since the genocide, careful scoping and baseline assessment (including assessment of stakeholder relationships and capacities) would have been a preferred entry process. Given the pressures from the Ministry of Environment and NCSD, however, it was understandable that GGGI would be asked to focus on Phnom Penh, where environmental problems were beginning to loom large. A key opportunity missed, however, was the lack of a MoU with PPCA and the opportunity to embed a GGGI staff in the planning unit of PPCA.

Content

The GCSP PP was regarded by several informants as a reasonably good compilation of existing information, but some felt that it was short on scenario analysis and spatial planning. Some informants suggested that it would have been better to separate the strategic plan (and have that endorsed by PPCA) and then subsequently prioritize projects that could implement the endorsed strategy. It was suggested that the priority projects were biased by several blocs of participants during the workshops and this was a potential sticking point for PPCA.

Implementation

The consultants engaged by GGGI were believed to have performed adequately and substantial effort was made to involve a wide range of stakeholders. Although PPCA staff were involved in the consultation workshops, the lack of ownership and concerns about parallel planning processes hampered effective implementation. Subsequent access to the sub-decree on the Phnom Penh Master Plan led to a revision of the final document in July 2017.

Challenges and issues

Some of the key challenges and issues noted by informants and through review of the relevant documents were as follows:

- (i) Whether the strategic decision to initially focus on a rapidly growing and largely uncontrolled capital city was appropriate for a fledgling, small organization like GGGI, given the other planning activities that were taking place at the same time. Moreover, now that the GCSP PP has been endorsed by the Government, should GGGI remain

engaged in Phnom Penh or change its focus completely to the secondary cities? Key informants were divided on this question, but GGGI staff see it as a mandate to re-engage and cooperate with PPCA on implementation of the plan.

(ii) Having made the decision to prepare a strategic plan for Phnom Penh, the lack of a MoU with PPCA and no embedded staff, along with concerns about parallel planning processes and possibly biased selection of projects, provided a major challenge in working with the agency responsible for implementation of the GCSP PP.

Implementation arrangements recommended through an Advisory Board and 4 technical working groups (urban planning and transport, manufacturing and energy, waste management and urban vulnerability, and public space, culture heritage and built environment) appears to be inconsistent with the organizational structure of PPCA (8 departments and a state-owned company) and its Board of Governors.

(iii) Initially prioritizing 48 projects, ultimately reduced to 13, may have created an impression that GGGI would prepare investment projects for all, rather than the eventual few rather small projects. It is clear that some of these 48 projects will be adopted by other development partners, so it is necessary for GGGI to continue to promote these, facilitate access to funding, and monitor their implementation over the next few years.

A.1.2. Conclusions and recommendations

1. There appears to be some strategic confusion about whether to work in the capital city (Phase 1) versus secondary city involvement (Phase 2) with no clear guidance from headquarters. Key informants were divided on the issue of continuing to work in Phnom Penh (given its potentially greater impact) or in the secondary cities (which are seen as less complicated and easier to work in).

Recommendation: PPCA is regarded as a difficult agency to work with and the GCSP PP observes that “privatized planning” has become the norm in Phnom Penh. At this stage it is recommended that GGGI makes sure that the results of the GCSP PP are well publicized and the documents are widely disseminated, especially to potential donors, but future programming should focus on a few secondary cities.

2. Green city strategies are not always understood partly due to inadequate dissemination of core documents but also due to insufficient localized simple information (especially in visual form). Several of the key informants who had been involved in the consultation workshops said that they had not seen the final GCSP PP. Apparently this is due to delays in official signature on the final drafted plan.

Recommendation: Now that the GCSP PP has been endorsed by the Government, consider a public launch event and make it clear that the plan will contribute to the revision of the Master Plan and the priority projects will be promoted among the donors to Cambodia. At the same time, GGGI can clarify that its future emphasis will be on selected secondary cities.

3. Despite the five consultation workshops and extensive effort to reach key stakeholders, there was a view that GGGI had not achieved an adequate level of public participation, particularly at the grassroots level. In Cambodia, inadequate participation of PPCA, the primary agency for implementation, was seen by several informants as a key strategic error. Local institutional politics may be a factor in relation to this issue.

Recommendation: Without ownership of the GCSP PP by PPCA, there is little prospect of the plan becoming a “living document”. Accordingly, it is important for GGGI to ensure that the key strategic elements are mainstreamed into the revised Master Plan and Investment Plan. A separate MoU with PPCA may be needed to implement this recommendation—a course of action that would be welcomed by PPCA.

4. Reflecting an observation of previous evaluations, GGGI tends to take on too many rather ambitious activities rather than strategic focus for maximum impact. For example, prioritizing 48 projects, then ultimately selecting only a few for implementation creates an impression of preparing a strategic planning document that has little chance of being implemented.

Recommendation: Trying to cover the complex needs of six secondary cities and Phnom Penh is probably too great a stretch for GGGI and its current staffing in Cambodia. It is recommended that GGGI carefully gauge the

staff capacity over the next few years and focus on a few of the identified secondary cities and a narrow selection of thematic needs.

5. Embedded staff are a blessing and a curse but in the green cities case staff may even be embedded in the wrong agencies. At the time, it was felt that a MoU with NCSA was most appropriate as this is the national institution responsible for sustainable development. No MoU was contemplated with PPCA, nor were any GGGI staff embedded in the agency that would ultimately be required to own the GCSP PP and implement it.

Recommendation: Several informants suggested that GGGI was still in the scoping stage when the decision was made to prepare the GCSP PP. Nevertheless, it is recommended that GGGI conduct a careful scoping stage whenever a new country program is being contemplated.

6. Green cities strategies identify large numbers of priority projects or activities (often taking up the majority of plan preparation time) but GGGI can only follow through on a few projects and nor does it monitor implementation or impacts of these projects.

Recommendation: For the 48 priority projects identified in the GCSP PP, continue to keep track of these projects and provide a quarterly report on which projects have been picked up and implemented by other development partners or the national or local governments.

7. There is some cross-country sharing and learning (study tours, COP, HQ/country office visits and regular online meetings) but more could be done.

Recommendation: As several participants during the consultation phase viewed Singapore as the desirable vision for Phnom Penh, consideration should be given to facilitating “twin city” arrangements, where more developed cities could fund more appropriate study tours. An arrangement like this is in the making through the Singapore/ASEAN sustainable city initiative, as GGGI is a member of the working group of this initiative.

8. Client agencies like PPCA are requesting more tangible on-the-ground projects rather than more strategic planning work.

Recommendation: GGGI should make it clear that it is not a funding organization and its current strategy for investment projects is to help facilitate funding but not get involved in implementation, except for a selected few. For the 48 priority projects, the recommendation is mainly to support resource mobilization and monitor the extent to which other development partners fund these, rather than prepare additional investment projects for Phnom Penh.

Annex 2 – Country Level Assessment – Rwanda

A.2.1. Assessment

The detailed assessment of the green city strategy work in Rwanda is followed by a summary of the findings against each stage in the process of developing the strategy and the key challenges and issues noted. Country specific recommendations are also included. The traffic light rankings were based on a rapid field assessment and is meant to represent an assessment of the process at the time of developing the green city plan reviewed. It is acknowledged that subsequent work by the GGGI country office has addressed many of the identified weaknesses and the rankings could be upgraded based on this additional effort. This is entirely consistent with the concept of green city strategies being “living documents”.

Stages	Criteria	Traffic Light System	Rationale for scoring
Preconditions	Detailed needs assessment and an adequate corporate mechanism to identify needs and recruit staff accordingly		It was driven by government demand and no specific study conducted on the green growth needs of the country. Noted that the Green Growth and Climate Resilience Strategy (GGCRS) was adopted by the GoR in 2011. It remains a fact that there was no detailed needs assessment conducted.
	Strong leadership / commitment from the head of the city government		Working with one stop centers in six secondary cities shows commitment at least from the vice mayors. Participation in the consultation process also provides evidence of commitment. In Kigali there is commitment shown from the Mayor through the inclusion of GGGI in the high-level advisory committee.
	Participation and ownership of key local actors		An attempt was made through consultations during the NR process. In addition, the DDS is itself a very consultative process (although quite short). Participation could have been better through the NR process and the weakness in its dissemination is evidence of lack of adequate participation from local actors.
	Private sector inclusion		The challenge is that most private sector players are quasi-government. There was some effort in inviting key players and federations to the consultation process. An example of a project with the private sector is the Cactus Park Green City Pilot where they worked with the developer. Also, at the new airport with the Portuguese concessionaire.
	Level of focus on local institutional structures and local government capacity building		Reached out to 112 local sector level technicians through the TOT program. Also, capacity support to FONERWA helps in developing a pipeline of projects. Also, brought in the University of Rwanda in the process. In addition, the 6 district technicians provided on the job support and training to the district one stop centers.
	Support from national government		Very dispersed range of ministries (MININFRA/RHA, MOE/REMA and MINALOC + FONERWA). Not enough engagement with MINECOFIN even though they were part of the Project Steering Committee. Some assistance was provided to the Rwanda Development Bank for accreditation.
	Relevance / strategic fit to national policy, targets, goals		Clear alignment with the EDPRS 2 and NST 1, Green Growth and Climate Resilience Strategy and National Urbanization Policy.

Stages	Criteria	Traffic Light System	Rationale for scoring
			This is elaborated clearly in the documents (NR and DDSs) as well.
Content	Quality of baseline data collected and analysis conducted		The preliminary analysis and diagnosis report was a good attempt. Note that the Kigali City Masterplan is the gold standard.
	Quality of future foresight analysis conducted		This was a bit weak although attempted in the preliminary analysis and diagnosis. No extensive modelling conducted.
	Clarity in understanding of local political economy context (actions identified are politically feasible to implement)		There is no significant opposition, but this is the risk as it is driven by strong central leadership and may or may not be responding to local needs (e.g. resettlement). The decentralization process is ongoing like the infrastructure (roads, railways, ports and airports). In addition, consultations during the NR process resulted in significant changes to the final document. However, challenges remain like in the case of Huye (moving the universities).
	Clear strategic vision, priorities and targets		IMIHIGO performance management process helps institutionalize the target setting. Regular meetings with MININFRA and MOE. Even the national dialogue is strong evidence. The risk is the high turnover of government officials (either fired or promoted). Most importantly the quality of government officials in terms of understanding their role and their relevant experience shows strong evidence of clarity in vision, priorities and targets. (direct result of sending talented students after the genocide overseas for education).
	Extent to which the strategy is aligned to corporate strategic guidance		The NR included inputs from HQ staff. In addition, ongoing COP calls and direct visits from the HQ thematic team is evidence of strong involvement.
	Extent to which safeguards, poverty reduction, and social inclusion (including gender) have been mainstreamed into the strategy		Gender mainstreaming strategy for MININFRA and bringing in the Women's Network (they got the foot in the door which they wouldn't have had otherwise).
Implementation	Clear implementation plan and distribution of responsibilities		Some 75 actions were identified, and responsibilities were assigned.
	Clarity in monitoring and evaluation processes and systems		Appears to be very weak and there is discussion currently underway to start this in 2019 and possibly bring in a M&E person.
	An identified institutional mechanism / arrangement to protect the strategy from political and economic changes		No clear evidence of this. Reliance on government maintaining a constant approach to green growth is not a guaranteed mechanism

Stages	Criteria	Traffic Light System	Rationale for scoring
	Clarity about sources of funding and links to budgeting process		Seems like it is a bit hit and miss. Lots of proposals being developed but conversion is an issue. The other question is working with FONERWA in terms of funding for TA. Most of the investment projects where commitment has been secured is in Kigali. Could consider the GCF USD 32 million and the support to the development of the SPCR (WB commitments are significant so could be an avenue in the future). However, there is no specific resource management strategy in place.

Summary of assessment

Preconditions

The Green Growth and Climate Resilience Strategy (GGCRS) adopted by the Government of Rwanda in 2011 set up a clear policy framework for GGGI to fit into. The National Strategy for Transformation and the National Urbanization Policy also provided the ideal foundation. Nevertheless, some informants still had unclear concepts regarding green cities, which means that improved communication may be needed. The support of senior government officials, who have their own performance imperatives, has been a major factor in facilitating GGGI's contribution to Rwanda's green cities approach.

Content

Generally, the content of the NR and related documents has been very professional although perhaps there could have been a bit more scenario planning and economic modelling. Possibly creating the impression of overreaching, some 75 actions were identified and responsibilities assigned in the NR. Nevertheless, one informant noted that GGGI was the main actor to open up the minds of professionals in Rwanda about the need for green growth.

Implementation

For the 75 actions identified in the NR there has been no monitoring to date, but this is planned to start in 2019. GGGI has been quite successful in facilitating access to finance, particularly through FONERWA, much of this is focused on the capital Kigali, as well as the secondary cities. The challenge going forward will be to continue raising additional funding for priority projects in the secondary cities.

Challenges and issues

A key challenge in Rwanda is finding the appropriate balance between activities centered on Kigali and support for the six selected secondary cities and potential scaling up of successful outcomes to the other 24 Districts.⁴² It was also noted that some informants had a very unclear concept of green growth, suggesting that it had something to do with planting trees. Involvement in large infrastructure like the new airport also creates some confusion about GGGI's role (including a suggestion that they help with greening a new golf course).⁴³

Some other challenges noted by informants included (i) the lower visibility of "soft" activities supported by GGGI compared to the "hard" projects by major donors; (ii) what additional support will be provided on green buildings once the compliance code is gazetted early in 2019; (iii) as FONERWA scales up to about 50 staff and the MoU expires in December 2018, what is the exit strategy (if any) for GGGI; (iv) avoiding taking on too many *ad hoc* requests from the government agencies in which GGGI is embedded; (v) how to continue funding the technical

⁴² Key informants indicated the need for more face to face time from senior GGGI staff in the secondary cities.

⁴³ The point is not that GGGI should not be involved in such projects; but it has created some confusion about GGGI's role. Making GGGI's role clear to all stakeholders is the challenge. Stakeholders were confused about the extent to which GGGI could become involved in major infrastructure projects.

assistants in the six secondary cities; and (vi) the implications of moving at least 15 government institutions to the secondary cities.

A.2.2. Conclusions and recommendations

1. Green city strategies are not always understood partly due to inadequate dissemination of core documents but also due to insufficient localized simple information (especially in visual form). Several informants in Rwanda thought that green growth involved planting trees alongside a World Bank funded road project or greening a golf course. Given the relatively weaker official capacity in the secondary cities, additional effort may be needed to ensure that the green growth concept and principles are well understood.

Recommendation: Consider preparation of posters and/or brochures explaining the concepts and principles of green growth in the three official languages of Rwanda, with emphasis on visual content.

2. Similar to Cambodia, there is some strategic confusion about the capital city versus secondary city involvement, with no clear guidance from HQ. Almost unintentionally, GGGI is spending a significant proportion of staff time on Kigali-based activities. Arguably this is detracting from the level of attention needed in the six secondary cities and the potential for scaling up to the other 24 Districts. The disposition of some government offices to the secondary cities may also require a revised approach to working in the secondary cities.

Recommendation: As suggested by some informants, senior staff based in Kigali could spend more time in the secondary cities, not only mentoring the relatively inexperienced technical assistants but also identifying additional investment opportunities. Towards the end of 2019, the question of scaling up to the other 24 Districts should be addressed.

3. The need to chase earmarked funds often results in a tendency to take on too many loosely connected activities rather than strategically focus on fewer tightly connected projects for maximum impact.

Recommendation: As one informant suggested, the principal requirement is the art of shaping earmarked funds to align with core priorities. Screening proposals for earmarked funding at HQ may help to screen out projects that are not well aligned.

4. The NR identified a large number (75) of priority actions but GGGI can only follow through on a few projects and has not tracked the extent to which other actions have been taken up by other donors or the government nor does it monitor implementation or impacts of these proposed actions.

Recommendation: As acknowledged by GGGI Rwanda, the upcoming work plan and budget will incorporate a plan to monitor and report on the uptake of these 75 actions.

5. For specific investment projects, GGGI's exit strategy is at the letter of intent stage, which is clearly inadequate especially if lessons are to be learned. As much of the fundraising effort in Rwanda is through FONERWA, there is little involvement in implementation, except if GGGI is identified as a nominated delivery partner.

Recommendation: GGGI should consider a monitoring role for those projects for which they have some role in facilitating funding, not only those that they have been fully involved in proposal preparation. Monitoring issues associated with implementation and evaluating impacts will provide lessons for future project preparation.

6. There is some confusion about GGGI's role in relation to large infrastructure like green airports. Responding to *ad hoc* requests for support from those government agencies or sector groups which have involved GGGI is difficult to refuse but may lead to diversion of staff time from more important activities.

Recommendation: The memoranda of understanding signed with agencies that agree to embed GGGI staff should make the expected deliverables clear from the outset, perhaps by providing for an annual work plan, and excluding unplanned activities without clearance from HQ.

Annex 3 – Country Level Assessment – Senegal

A.3.1. Assessment

The detailed assessment of the green city strategy work in Senegal is followed by a summary of the findings against each stage in the process of developing the strategy and the key challenges and issues noted. Country specific recommendations are also included. The traffic light rankings were based on a rapid field assessment and is meant to represent an assessment of the process at the time of developing the green city plan reviewed. It is acknowledged that subsequent work by the GGGI country office has addressed many of the identified weaknesses and the rankings could be upgraded based on this additional effort. This is entirely consistent with the concept of green city strategies being “living documents”.

Stages	Criteria	Traffic Light System	Rationale for scoring
Preconditions	Detailed needs assessment and an adequate corporate mechanism to identify needs and recruit staff accordingly	Yellow	Initial scoping was done in 2015. There is no detailed baseline analysis to identify needs. However, the preparation mission in each city for launching the green city development formulation process, includes meetings with local and administrative authorities for identifying gaps and needs for the success of the process. This includes also the workshop meeting with stakeholders which is the main step for the process. The reasons of the preparatory mission are to assess the need required.
	Strong leadership / commitment from the head of the city government	Green	Each city had to submit a commitment letter and participate in the preparatory mission. This letter was prepared based on the approval of the municipal council and the acceptance of the mayor. This reflected the strong commitment from the mayors of Kolda and Tivaouane.
	Participation and ownership of key local actors	Green	Participation of private sector actors (e.g., transportation, traders, etc.), women’s groups, religious leaders, various sector officials at the city level, and council members were noted. Participation was noted during a) the preparatory mission; b) the forum for the future - about 70-100 people participated in these 2-3 days forums, and c) creation of the steering/technical committee in each city
	Private sector inclusion	Green	Private sector actors were included in the process. This included actors in waste collection, transportation, and traders, etc. in addition to the chamber of commerce.
	Level of focus on local institutional structures and local government capacity building	Green	Initially, awareness and understanding were created on the green city concept. The process/mechanism included the approval by the municipal council and a mayoral decree. After the consultation forum, each city created a steering and technical committee.
	Support from national government	Green	There is a well-established/functioning inter-ministerial institutional mechanism at the national level. The mechanism includes a steering and technical committee providing oversight through specific sectoral technical working groups. MOESD, Ministry of Urbanization and Ministry of PSE adopted the Roadmap for implementation. Launch ceremonies in Kolda and Tivaouane were chaired by MOESD and Ministry of Land use respectively.

Stages	Criteria	Traffic Light System	Rationale for scoring
	Relevance / strategic fit to national policy, targets, goals		The green city strategies and development are strategically aligned to the PSE, sectoral policies, and national strategy on sustainable development in addition to the national green growth strategy. MOESD, Ministry of Urbanization and Ministry of PSE adopted the Roadmap, which validates the relevance and strategic fit.
Content	Quality of baseline data collected and analysis conducted		A preparatory mission was conducted, and a diagnostic of the context was also done (a separate chapter in each city's strategy document). All available documentation on urban development in the city has been collected. The masterplans were transmitted by the General Direction of Urban Planning and Architecture. In Kolda, the diagnosis was made by the Regional Development Agency, which is responsible for supporting the municipality in the area of territorial planning. It has all the information available about the Commune. This diagnosis was further refined by GGGI.
	Quality of future foresight analysis conducted		No clear evidence of future foresight analysis or scenario analysis.
	Clarity in understanding of local political economy context (actions identified are politically feasible to implement)		For Kolda and Tivaouane there was approval and a municipal council decision followed by a mayoral decree. This indicated the understanding of the political process needed for ownership to ensure feasibility to implement. Preparatory missions were used to engage with the Mayor, municipal councilors, and other stakeholders/administrative authorities and also to visit potential project sites along with officials to understand the local context.
	Clear strategic vision, priorities and targets		This was clearly identified in the Kolda and Tivaouane Green City Strategy. This includes the overall vision followed by sectoral visions, objectives, and priorities.
	Extent to which the strategy is aligned to corporate strategic guidance		The involvement of the GGGI HQ was ensured from the start of the process with the participation of the Green Cities HQ staff in the methodological workshop. The strategic objectives have all been aligned with the Green Secondary Cities Development Guidelines. The strategic objectives have been defined based on the pillars and strategic axes around which the Directives are set.
	Extent to which safeguards, poverty reduction, and social inclusion (including gender) have been mainstreamed into the strategy		Women and vulnerable groups were involved in the consultations and are part of local and national steering/technical committees. Ministry of Women Affairs is part of a technical committee at the national level. Kolda and Tivaouane strategies specifically address the capacity building of women, increasing the productivity of women and also facilitate increased economic outputs for women.
Implementation	Clear implementation plan and distribution of responsibilities		The roadmaps include envisaged timelines and potential priority projects along with potential partners. However, there is no clear implementation plan with clear distribution of responsibilities (as these were noted to be still project ideas that were yet to be developed into projects with secured funding for implementation).

Stages	Criteria	Traffic Light System	Rationale for scoring
	Clarity in monitoring and evaluation processes and systems		Not evident in the documents. There is a timeline indicated in the roadmap with broad steps (including monitoring). No clarity on who and what will be monitored. It does not indicate which project will be carried out when. Although a decree has created a Green City local committee with mandate to monitor, there is no process or system evident.
	An identified institutional mechanism / arrangement to protect the strategy from political and economic changes		The local steering/technical committee (which includes technical people who are immune to political changes, community members and other actors) ensure continuity in the implementation. A commitment charter has been signed by the Mayors of Kolda and Tivaouane and other relevant local stakeholders to ensure continuity. The mayoral decree will also ensure continuity, even though there are political changes (however, it could slow down). At the national level, there is an inter-ministerial committee, established by a ministerial decree to ensure the implementation of the IR.
	Clarity about sources of funding and links to budgeting process		Potential financial partners have been identified in the project descriptions, based on alignment with respective partner priorities. Funding has been secured/in the process of securing from GCF, Luxembourg, BMGF – this shows that project ideas are being developed into viable projects to tap into finances. However, further work is required to support and build capacities of the local officials to facilitate the development of bankable projects.

Summary of assessment

Preconditions

The Government of Senegal's intent to promote green cities, alignment of GGGI's Green Growth Pathways to PSE and endorsement of the GGGI's Green Secondary City Guidelines and IR to provide a framework for the Government, ensured an enabling environment. GGGI also developed the National Green Growth Strategy (NGGS) to fulfil and better focus the green growth actions on the ongoing Government's work on PSE. The final validation workshop of the Green Secondary City Guidelines was chaired by the Minister of MOESD.

The strong commitment at the national level could be seen from the Ministerial Decree to create an institutional mechanism (including Steering Committee, Program Committee, Technical Committees and TWGs), endorsement of the Guidelines and IR by various ministries/agencies (MOESD, Ministry of Urbanization and Architecture, Ministry of PSE and the National Commission on Sustainable Development, and chairing of the launch ceremonies at Kolda and Tivaouane by the Ministers MOESD and Ministry of Land Use respectively. At the local level, there were commitment letters from the Mayors of Kolda and Tivaouane at the start of the process. Furthermore, municipal council approval, Mayoral decrees, extensive consultation fora involving the private sector, civil societies, women and youth groups, technical staff and religious leaders, and the creation of local institutional mechanisms ensured strong local leadership commitment and local ownership of various actors. Although a detailed needs assessment was not done, it was to some extent offset through the initial scoping/preparatory mission (along with Mayor, council members, and other relevant stakeholders) and the elaborate consultation forum (70-100 people).

Content

Overall, the content and quality of the various documents (strategies and roadmaps) was well appreciated by the stakeholders and was considered to be done in a very professional manner. The clear strategic vision was seen as a key element. However, there was scope to improve the scenario analysis. While priority project ideas were

identified, all stakeholders suggested that it would be better to have one or two concrete projects to start implementation for demonstrable results.

Implementation

With no concrete projects ready for implementation, the momentum has stalled as there is no clear implementation plan and distribution of responsibilities. There is no clarity on the monitoring mechanism on the progress of green cities development. A total of 25 project ideas (9 on Kolda and 16 in Tivaouane) have been prioritized with potential partners for funding. The important next step is to develop these ideas into bankable projects so that the implementation could start to show demonstrable results and value addition due to green city development. There is initial evidence of submitting project proposals for funding (e.g., BMGF, Luxembourg, etc.)

Challenges and issues

The key challenges highlighted with work so far included:

- The mobilization of the community level stakeholders (avoiding any political linkages) – ensuring everyone is included;
- Implementation of the project to show concrete results;
- Lack of capacity in the municipalities to develop bankable projects; and
- Issues in the urban pole (Diamniadio) – the area is within a municipality but is under the control of the General Delegation for developing the Urban Poles of Diamniadio and Lake Rose (DGPU). It is a new city being developed, and there are no people living there. There are delays in decision-making. The solutions are long-term, although there are a strong vision and political support/mandate for the development of urban poles.

Key challenges and issues moving forward include (some of them are inter-linked):

- Development and implementation of bankable projects for the pilot and other secondary cities;
- Lack of a monitoring mechanism and no clarity of roles and responsibilities on monitoring;
- Connecting with the private sector and funders;
- Linkages with existing projects – no mapping yet;
- Risk of scaling-up/rolling out – (i) through the expert panel; (ii) with one GGGI green city specialist and no support team; and (iii) with no demonstrable results in secondary cities; and
- Low visibility of GGGI and inadequate communication/awareness beyond its primary stakeholders with whom it works.

A.3.2. Conclusions and recommendations

1. There is low capacity at the municipal level to develop project ideas into bankable projects. There is an immediate need at the secondary cities level.

Recommendation: Build capacities at the municipal level to develop project ideas into bankable projects. In addition to training, this could include handholding in the development of initial projects to enable municipalities gain practical experience and confidence.

2. While strategies and roadmaps have been developed, they are yet to be implemented. The cities (pilot and future) are looking for concrete results. Sequencing project development activity to be done after development of strategies and roadmaps has led to a time gap between strategy finalization and having a project ready for implementation.

Recommendation: Develop one or two bankable projects simultaneously while developing green city strategies and roadmaps during the roll-out. This will reduce idle-time between development of strategy and

implementation and will help build momentum for quicker adoption of the strategy itself by demonstrating its value through pilot projects. Projects could be funded by private sector, development partners, government and/or commercial banks.

3. There is no clarity about monitoring at any level and this includes no defined roles and responsibilities and well-defined indicators.

Recommendation: Ensure clarity while developing a monitoring mechanism for green city development in Senegal. This should include roles and responsibilities and clear indicators with baseline and targets/timelines. There should be a monitoring mechanism in each city that could be consolidated at the national level.

4. GGGI's work is not communicated adequately to reach beyond primary stakeholders. This has led to low visibility of GGGI's work on green city strategies.

Recommendation: Improve visibility and communications beyond the primary stakeholders, through brochures highlighting green city work, participation in development partner groups, and presentations in national forums/conferences.

Annex 4 – List of stakeholders interviewed

GGGI Headquarters

- | | |
|--------------------------|---------------------------------------|
| 1. Mr. Donovan Storey | Deputy Director and Urban Lead, IPSD |
| 2. Ms. Christina Cheong | Green Cities Specialist, IPSD |
| 3. Ms. Shomi Kim | Green Cities Analyst, IPSD |
| 4. Ms. Aarsi Sagar | Green Cities Analyst, IPSD |
| 5. Mr. Orestes Anastasia | Deputy Head, Thought Leadership, IPSD |

Cambodia

- | | |
|---|---|
| 1. Mr. Virak Chan | Water and Sanitation Specialist, World Bank |
| 2. Mr. Phyrum Kov | Water and Sanitation Specialist, World Bank |
| 3. Mr. Peou Sey | Climate Change Policy Monitoring Project Coordinator, NGO Forum |
| 4. Mr. Menghon Hok | Environment and Agriculture Program Manager, NGO Forum |
| 5. Mr. Sereyrotha Ken | Country Program Director, Wildlife Conservation Society (CWS) |
| 6. Dr. Sopheak Phibal Chao | Director, Sewerage Management and Construction Department, Ministry of Public Works and Transport |
| 7. Ms. Karolien Casaer and rest of the GGGI Cambodia team | Country Representative, GGGI Cambodia |
| 8. Mr. Jerome Fakhry | GGGI Cambodia (Australian Volunteer) |
| 9. Mr. Vimeanreaksmey Dek | Dy. Director, Dept. of Solid Waste Management, Ministry of Environment |
| 10. Ms. Vattanak Thida Kim | Dy. Chief, Office of Waste Management, Phnom Penh Capital Administrative (PPCAA) |
| 11. Ms. Nodira Akhmedkhodjaeva | Program Director, NEXUS for Development |
| 12. Mr. Sarou Long | Program Office, NEXUS for Development |
| 13. H. E. Dr. Ponlok Tin | Secretary General, National Council for Sustainable Development (NCSD) |
| 14. Mr. Mengeang Taing | Director of Green Economy Department, NCSD |
| 15. H.E. Dr. Ciny Tung | Secretary of State, Ministry of Industry and Handicraft |
| 16. Ms. Charlotte Nivollet | Regional Director, GERES Cambodia |
| 17. Mr. Julien Chevillard | Trust Fund Administrator, Cambodia Climate Change Alliance |

Rwanda

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| 1. Mr. Okechukwu Daniel Ogbonnaya and rest of the GGGI Rwanda team | Program Lead, GGGI Rwanda |
| 2. Mr. Harouna Nshimiyimana | Building Regulation, Inspection and Audits Division Manager, Rwanda Housing Authority |
| 3. Mr. Augustin Hitimana | Acting Fund Manager, FONERWA |
| 4. Mr. Florian Mugabo | M&E Specialist, FONERWA |
| 5. Mrs. Juliet Kabera | DG in-charge of Environment and Climate Change, Ministry of Environment (MOE) |
| 6. Mr. Edward Kyazze | Division Manager, Urbanization and Housing Development, Ministry of Infrastructure (MININFRA) |
| 7. Mrs. Coletha Ruhamywa | DG, Rwanda Environmental Management Agency (REMA) |
| 8. Mr. Steven Rurangwa | Vice Mayor, Nyagatre District Office |
| 9. Mr. Wilson Mwesigye | Director of One Stop Centre, Nyagatre District Office |
| 10. Mr. Alfred Byirngrio | Transport Division Manager, MININFRA |

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|----------------------------|--|
| 11. Mr. Janvier Twagirmana | Transport External and Donor Coordinator, MININFRA |
| 12. Mr. Camille Nyamihana | SPIU Green Growth and Climate Specialist, Ministry of Local Government |
| 13. Mrs. Catherine Kalisa | National Technical Advisor on Urbanisation, Regional Office for Africa, UN-HABITAT |
| 14. Ms. Mary Balikungeri | Director and Founder, Rwanda Women's Network |
| 15. Mr. Ndahiro Andrew | Program Manager, Rwanda Women's Network |
| 16. Mr. George Munyaneza | Coordinator, Rwanda Urban Development (RUDP), MININFRA |

Senegal

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|------------------------------------|--|
| 1. Mr. Mamadou Konate | Acting Country Representative, GGGI |
| 2. Mr. Ale Badara Sy | Green City Specialist, GGGI |
| 3. Mr. Amadou Lamine Fall | Investment Officer, GIS, GGGI |
| 4. Mr. Racine Diallo | First Technical Advisor to the Minister, Ministry of Environment and Sustainable Development (MOESD) |
| 5. Mr. Baba Drame | National Coordinator, Program for Creation of Green Jobs (PACEV), MOESD |
| 6. Mr. Kebe | Chief, Agency for Local Development (DADL), Ministry of Territorial Governance and Land-use Planning (MTGLUP) |
| 7. Mrs. Sokhena Ndiouck | Coordinator, Directorate of Environment and Classified Establishment (DEEC), MOESD |
| 8. Dr. Laurice Codou Faye | Climate Change and Land Use, DEEC, MOESD |
| 9. Ms. Marie Ndaw | Technical Director, Municipal Development Agency (ADM), MTGLUP |
| 10. Mr. Amadou Dioulde Diallo | Advisor, Directorate of Urban Planning and Architecture (DGUA), Ministry of Urban Renewal and the Living Environment (MURLE) |
| 11. Mr. M, Oumar Sow | General Manager, DGUA, MURLE |
| 12. Mr. Sergine Mansour Tall | DGUA, MURLE |
| 13. Ms. Fatoumata Fofana Docucoure | Communication, DGUA, MURLE |
| 14. Dr. Gora Niang | General Manager, National Renewable Energy Agency (ANER), Ministry of Energy and Petrol (MEP) |
| 15. Mrs. Oumou Kasloum Seck | Advisor, National Agency for Spatial Planning (ANAT), MTGLUP |
| 16. Mr. Mamadou Djigo | Director of Spatial Planning, ANAT, MTGLUP |
| 17. Mrs. Oumou Kalsom Khoulé Seck | Manager, Institutional Relations, ANAT, MTGLUP |
| 18. Mrs. Pod Estelle Ndour | Advisor, Unit for Waste Management (UCG), MTLUP |
| 19. Mrs. Dieynaba Diop | Office-in-Charge, Development of Sustainable and Smart Cities, General Delegation to the Urban Poles (DGUP), MTGLUP |
| 20. Mr. Alain Sarr | Urban Planner and Environmentalist, DGUP, MTGLUP |
| 21. Mrs. Halima | Technical Assistant, DGUP, MTGLUP |
| 22. Mr. Oumar Ba | President of Green and Ecological Cities Network and Senegalese Mayors' Association and Former Kolda Mayor |
| 23. Mr. Daouda Sidibe | Vice Mayor of Kolda (Secondary City) |
| 24. Mr. Ernest Ndione | Energy Efficiency in Buildings, PNEEB, Ministry of Education |
| 25. Mrs. Ndeye Fatou Diaw Guene | Team Leader, Environment and Climate Changes, UNDP Senegal |

Country Skype Interviews (Uganda and Vietnam)

- | | |
|-----------------------|---|
| 1. Mr. George Asiimwe | Senior Officer, Urbanization, GGGI Uganda |
| 2. Ms. Mariah Kizza | Technical Assistant, GGGI Uganda |
| 3. Mr. Adam Ward | Country Representative, GGGI Vietnam |

Annex 5 – List of documents reviewed

Corporate

- GGGI Refreshed Strategic Plan 2015-20
- GGGI Green City Thematic Strategy
- Green City Development Guidelines, GGGI Technical Guideline No. 2, 2016
- Evaluation Approach Paper – GGGI’s Green City Strategies
- Project proposal submissions for GGGI Work Program & Budgets 2015-2016 and 2017-2018 and Draft WPB for 2019-2020.
- GGGI End of Year Project Results Reports for 2015, 2016 and 2017

Cambodia

- GGGI Cambodia Country Planning Framework 2016-2020
- GGGI outputs delivered under the GUDP project, including:
 - Green City Strategic Planning Methodology
 - Green City Strategic Plan for Phnom Penh 2017-2026
 - Executive Summary and Full Report - Investment action plan 1: Pre-feasibility study and Resource Mobilization Plan: Improving Access to Finance and Technical Support for Energy Efficiency Investments in Cambodia
 - Investment Action Plan 2: Wastewater treatment in peri urban areas of Phnom Penh
 - Sustainable City Strategic Plan for Secondary Cities – DRAFT
 - Scoping study on wastewater treatment in secondary cities – DRAFT

Rwanda

- GGGI Rwanda Country Planning Framework 2016-2020
- GGGI outputs delivered under the CRGC project, including:
 - Rwanda Secondary Cities Preliminary Analysis and Diagnosis
 - Rwanda Green City Framework and Guidelines
 - National Roadmap for Green Secondary City Development in Rwanda (NR)
 - Infrastructure gender mainstreaming strategy for MININFRA
 - Report of the District Consultation Workshops in development of the National Roadmap July 2015
 - Report and Findings of the Secondary Cities Outreach, July 2016 (pipeline of projects)
 - Pilot Green City – inception report and final report - Terms of Reference (TOR) and minutes of meetings of Steering Committee
 - District Development Strategies - draft for 6 cities
 - Financing proposal for eco-tourism park in Rubavu submitted to Rwanda’s green fund
 - 3-year capacity building plan for the Water and Sanitation Corporation (WASAC)
 - Report on Capacity Building Training (Training of Trainers)
 - Green Climate Fund (GCF) proposal for development of one secondary city masterplan

Senegal⁴⁴

- GGGI Senegal Country Planning Framework 2017-2021 - draft
- GGGI outputs delivered under the Green Growth Pathways for Cities project, including:
 - Green Secondary City Guidelines
 - Green Secondary City implementation roadmap
 - Workshop reports, minutes of meetings during the development of the IR

⁴⁴ Includes documents that are in French

- Pre-feasibility studies in secondary cities (Kolda, Tivaouane and Diamniadio)
- Strategy for Development of Kolda as a Green Secondary City by 2035 and the Green City Action Plan (GCAP)
- Strategy for Development of Tivaouane as a Green Secondary City by 2035 and the Green City Action Plan (GCAP)
- Workshop reports, minutes of meetings during the development of the green city strategies and action plans

Others

- Annual Results Report – Uganda
- Annual Results Report – Vietnam

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The Global Green Growth Institute
19F Jeongdong Building, 21-15,
Jeongdong-gil, Jung-gu,
Seoul, Korea 100-784

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