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Sida Decentralised Evaluation

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Mid Term Review of SymbioCity Kenya. The Sustainable Urban Development Programme in Kenya – 2015-2018

Final Report

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February 2018**

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Foreword

The review team is grateful to all those who participated in and facilitated this evaluation. Visits were conducted to project partners in both Sweden and Kenya, the Embassy of Sweden and beneficiaries in the counties benefitting from the pilot programmes. In each case, the hosting teams extended invaluable facilitation, while many individuals participated enthusiastically in discussions and reflections, generously sharing their thoughts and insights in order to assist the review team in their exploration of the programme and its work.

A further thank you is extended to the external actors, including local governments in the counties and wards, as well as members of the working groups in those locations visited for equally sharing their observations and thoughts with the evaluators. Finally, individuals with whom we could not meet in person also generously discussed with us via Skype calls. Thank you to all who participated in the process.

A special recognition must be given to the staff of SALAR/SKL-I and Council of Governors for their support, patience, and making themselves available to the review team. We hope that this mid-term review also has been a learning experience contributing to future urban sustainable projects for all involved parties.

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Abbreviations and Acronyms

CEC	County Executive Committee
CO	County Officer/Chief Officer
CoG	Council of Governors, formally The Council of County Governors
CIDP	County Integrated Development Plan
CSP	County Spatial Plan
CSUDP	Civil Society Urban Development Platform
DEVCON	Devolution Conference
EoS	Embassy of Sweden, Kenya
FGD	Focus Group Discussions
FMA	Financial Management Agent
GoK	Government of Kenya
ICLD	International Centre for Local Democracy
IGRA	Intergovernmental Relations Act, 2012
ISUDP	Integrated Strategic Urban Development Plan
JSC	Joint Steering Group
KADP	Kenya Accountable Devolution Program
KenUP	Kenya Urban Programme (World Bank financed)
KEPSA	Kenya Private Sector Alliance
KII	Key Informant Interview
KMP	Kenya Municipal Program
KSCCC	Kenya SymbioCity Coordination Committee
KSCP	Kenya SymbioCity Programme. Original name of programme, also known as SCK
M&E	Monitoring and Evaluation
ME&L	Monitoring, Evaluation and Learning
MoLHUD	Ministry of Land Housing and Urban Development (no longer exists – became MoLPP)
MoLPP	Ministry of Lands and Physical Planning (previously MoLHUD)
MoTIHUD	Ministry of Transport, Infrastructure, Housing and Urban Development
MoU	Memorandum of Understanding
PC	Pilot Coordinator of individual SCK pilot projects
PIU	Programme Implementing Unit
PM	Project Manager / Programme Manager
SALAR	Swedish Association of Local Authorities and Regions
SC /SG	Steering Committee, or Steering Group of individual SCK pilot projects,
SCA	SymbioCity Approach
SCK	SymbioCity Kenya (previously KSCP)
SCKP	SymbioCity Kenya Programme (previously KSCP)

ABBREVIATIONS AND ACRONYMS

SKL-I	SKL International (SKL is the Swedish abbreviation of SALAR)
TA	Technical Assistance
TOR	Terms of Reference
TTL	Technical Team Leader
UDC	Urban Development Committee
UDD	Urban Development Directorate (previously part of MoLHUD, now part of MoTIHUD)
UDS	Urban Development Secretariat / Urban Development Specialist
USR	Urban Sustainability Review (a component of the SymbioCity Approach)
USRG	Urban Sector Reference Group
WG	Working Group of individual SCK pilot projects

Executive Summary

This report presents the findings, conclusions and recommendations of the mid-term review of the SymbioCity Kenya Programme implemented by the Council of Governors and Swedish Association of Local Authorities and Regions, December 2014 – December 2018. The evaluation was conducted during November 2017 to January 2018 by a three member team.

The programme is intended to promote inclusive, innovative, and sustainable urban development planning in Kenya. The rationale for the programme was that the new Kenyan Constitution of 2010 led to the creation of 47 Counties and the devolution of many responsibilities and powers. At the time there was no national urban policy, Government services tended to be centralised and worked with a ‘silo’ mentality even when all agreed that integration and coordination were needed. Public sector organisations were relatively weak, and the new County level organisations weaker still, being very young, but with wide variations among them.

The need for a framework for sustainable urban development at various levels from policy making, through planning to programme development and implementation was identified by urban development stakeholders. The SymbioCity approach was recognized as having the potential to provide a reliable framework for implementing sustainable urban development in Kenya. The Council of Governors with its mandate of governing and managing urban areas was the natural choice to lead the programme despite being newly established and in need of institutional strengthening.

The SymbioCity Kenya programme was developed around four main objectives i) Institutional development of CoG, ii) Application of the SymbioCity approach in seven counties, iii) Capacity enhancement of Urban stakeholders, and iv) Sharing of experiences and networking in urban development. The first two objectives have been the primary focal points of the project while the other two have been secondary focal points awaiting the outcome of the first two. Recently, the third and the fourth groups of objectives have been merged with the first two, and a new Results Framework has been drawn up.

The ToR called for the mid-term review to carry out an external review of how the programme has evolved from its conception until now and to identify whether it needs to be re-aligned to ensure optimal final results are achieved. The review would support Sweden to assess progress as well as to take informed decisions about the future of the programme and what potential adjustments and improvements are needed in the programme set-up.

The programme has been hampered by long delays and limited progress due to some funding problems related to the CoG institutional framework as the funding modality was designed to split the finances between the two implementing partners. Local project costs were to be funded through a budget administered by the CoG with the oversight of a Finance Management Agency (FMA). The contracting of the FMA took much longer than anticipated and the funding stream through the Kenyan bureaucracy was more complicated than anticipated.

The institutional development of CoG was interpreted to be on a broad scale and to be divided into two parts, namely i) Development as an organisation and its operations and ii) enhancement of the capacity of the CoG to support urban planning, management and development. After the inception period this was refocused on the

capacity of the CoG to support urban planning, management and development. The limited resources within the CoG Secretariat to support urban issues and the delay of funding to set-up an Urban Development Secretariat limited the CoG's response to the development initiatives of SALAR.

The SymbioCity approach is being implemented through pilot projects in seven counties, namely Kitui, Meru, Nakuru, Trans-Nzoia, Kakamega, Kisumu, and Homa Bay targeting secondary town and urban areas where project teams have been set up. In each county pilot project Steering Committees (SC), Working Groups (WG) and Stakeholder Forums (SF) were established, and a Project Coordinator appointed. Terms of Reference for the SCs and WGs were produced to guide the work of each. In the first few visits to the Counties, considerable time was devoted to explaining the SCA, and the purpose of the Pilot exercises to SC and WG members and to stakeholders in the communities.

The review team found that:

- The rationale of the programme is by and large **relevant**. It conforms to the challenges of the devolution process set out in the new constitution, the need for building urban planning capacity in the counties and inclusion of a sustainable approach for urban development. The programme is also in-line with the Swedish strategies and aspirations of supporting the urban sector in Kenya. It targets the institutional capacity building needs of the CoG though the programme design team appears to have been badly informed of the relevance of the assumptions being made, and the realities of the institutional framework of CoG. The programme design was also unclear about the original primary intent of the programme.
- The **effectiveness** of the programme in terms of delivery towards objectives is uneven. The initial delays in the start-up of the programme have resulted in the implementation of the interventions falling behind schedule. The SALAR has diligently proposed several institutional and capacity building initiatives and many of them have not been acted upon by CoG. Currently there are different views on the scope of the institutional and capacity building objective, which need to be resolved. The pilot process was delayed due to the funding problem but has progressed well since a year ago and they are delivering according to the structure of the SymbioCity approach. Capacity building on the county level appears to be on-going.
- The **sustainability** of the entire programme is relatively hard to assess at this point. The sustainability of the institutional capacity building in the Urban Support Team inside CoG does not show favourable signs. The UST was a functioning team after the staffing was put in place early this year and working procedures are being implemented. However, since then there has been staff changes and most of the staff are being funded by the programme and the prospect of retaining the team in CoG when the programme ends is unclear. At the same time the CoG is undergoing a transition since the last election; 50% of the governors are new and the UDC will have a new chairperson and new members.

The improvements to the seven urban areas will be implemented in 2018. The implementation of the projects is believed to deliver benefits likely to remain but other aspects of the projects such as working across departmental borders and innovative and intensive participative interaction with local stakeholders will be sustained only if they are institutionalized and embraced in the County administration.

- **Cross-cutting issues** were not mentioned in the inception report but the programme document included the poverty aspect and gender mainstreaming.

The progress reports are also fairly void of a systematic approach to cross-cutting issues. Inside CoG a **gender** audit has been supported by the programme resulting in a gender policy. The gender aspect has been considered in the pilot projects but gender mainstreaming could have been more deliberately and systematically pursued. **Environmental** impact is present in most of the pilot projects but mostly as a secondary result of the projects. Both environmental and climate change issues could have been given higher and more explicit attention. In the pilot projects there is nothing explicit proposed for dealing with **poverty**, however this may be subsumed in other factors and the projects will undoubtedly benefit poor people.

Despite a number of assessments and reviews by SALAR/SKL resulting in several concept notes a structured and systematic plan for the strategic institutional capacity building of CoG in the urban area has not been possible to be developed. It appears that the capacity or the will of CoG management to engage in a participatory process in elaborating such a plan has not been there. Nonetheless several contributions to the internal workings of CoG have come out of the project.

Within the Pilot exercises, an enormous amount of good work has been done, probably much more than is reflected in the Urban Sustainability Reviews. Our reflection is that there should be some form of celebration of the work done and recognition of the people involved. For future reference, accomplishments along the way should be celebrated especially of ordinary citizen inputs.

Based on our interviews, our County visits, our reading of innumerable project documents, we are not overly optimistic of the chances of the SCA being sustained beyond the end of the current pilots and programme period, unless considerable effort is made to meet the basic pre-conditions for this sustainability. Unless systematic steps are taken in the pilot counties to institutionalise one way or another the approaches, methods and tools used, we are not convinced that there will be a replication of the process in other urban areas.

The total budget of the SCK programme is 78 million SEK divided between the two project partners. The budget includes 20 million SEK in a seed fund to fund the so called Quick win and change projects in the Pilot projects and another 2 million SEK is set aside for the Financial Management Agent. The remaining 56 million SEK is split between CoG (11.2 million SEK) and SALAR (45.2 million SEK). As of June 30 2017, 32.2 million (57%) remained plus the seed fund. This indicates that the project has been moving slowly during the first 2.5 years. During the last 12 months the Pilot projects have started and the activities picked up.

The MTR team has made the following recommendations and the listing is grouped in selected areas rather than a prioritisation:

Programme Management in the Year Ahead

1. The CoG and SALAR should jointly examine the project plan and the financing needs for meeting the expected outcomes and completing the programme. First priority should be to accomplish a successful completion of

the pilot projects, second to disseminate the experiences and results of the pilots to all stakeholders and counties, and third to cater for any institutional development needs of CoG.¹ Based on the outcome the EoS, CoG and SALAR should revisit the budget and reallocate according to the need. The restrictive regime of not catering for field costs should be balanced towards the need for a successful completion of the pilots.

2. CoG and SALAR should, as part of the programme plan, jointly develop exit strategies for retaining the experience and competence acquired in the Urban Support Team to ensure future capability to support the UDC and spearhead the SCK programme including determine if there is a need for a no-cost extension. The remaining funds will most likely be sufficient with proper re-allocations. The Programme should simultaneously prepare a strategy covering Result areas 1, 3, and 4 from the original Results Matrix, however now configured.
3. With one year left for the programme under its current timeline, we recommend that the Programme prepare a well formulated plan for progressively increased responsibility of CoG, closure, handover, or alternatively a new phase. In view of the different circumstances in the seven pilot counties, any such plan should be tailored to potentials, pre-conditions, risks, and most of all interest. The Programme should consider supporting County level SGs and WGs, together with stakeholder forums, to undertake a joint review of the pilot exercise, with a view to identifying those aspects that they wish to continue with and even institutionalise. These reviews should lead to concrete action plans stretching beyond the programme period.

Capacity Building

4. The parties need to agree on a way forward and how the priorities should be set as there is little time left in the project for any major impact in institutional capacity building. The Embassy of Sweden needs to assess if it is willing to keep it to a smaller scale until legal conditions and the structure of the CoG becomes clearer. SALAR should consider applying a more demand driven strategy of looking for capacity building opportunities, and CoG should decide if they believe that SALAR can provide the right institutional and organisational support needed for CoG to grow and develop its capabilities in the right direction, and if so commit to it. This needs to be in place for a successful continuation.
5. As a fundamental input to sustainability of the SCA in Kenya, we recommend that the Programme begin a process of Training Trainers. Experiencing the process, participating in early structured and on-the-job training is not sufficient to ensure that additional counties can or will be trained. Designing training programmes and modules, running training workshops with appropriate pedagogical skills, follow-up and support mechanisms, are skills

¹ Priority here does not refer to temporal sequence, but to relative importance especially with respect to division of resources.

that have not been passed on to the current Working Groups, possibly even the UTS and SKL-I Kenyan team. The opportunity should be taken to teach practical skills in using poverty, gender and environmental perspectives in conducting USRs, project identification, management, implementation, and ME&L.

County Pilots in the Year Ahead and Beyond

6. We recommend that the programme encourage and support Counties to establish (new) core teams to manage and oversee the implementation of Quick Win and Change Projects. These should include individuals with experience in procurement, project management, contract supervision, and technical experience reflecting the specific needs of the projects. This team could include appropriate members of the current Working Groups, but should be distinct from it.
7. We recommend that the existing Working Groups should be kept but with a new set of objectives over the remaining period of the programme. Among other things, they could for example focus on issues relating to sustainability of the SCA beyond the pilot period, and within the context of the County.

The Future of SCA in Kenya and its Preconditions

8. The SCK programme investigate in depth the pre-conditions necessary for the replication and 'localisation' of the SCA within those Counties that have hosted pilot exercises on the one hand, and for the wider replication and adoption of SCA across Kenya. This should lead to a concrete plan of action for the remaining period of the programme, to collect evidence to prove the concept and package into a communication package. This should include consultations with pilot Counties on lessons learned for incorporation or institutionalisation, channels through which to disseminate SCA as a concept, methods to build on the experience of the pilots but also including incorporation of other innovative elements of participatory development in Kenya. Finding 'champions,' at County as well as National levels, who have the interest, willingness and capacity to work with CoG to further disseminate and develop the concept in the Kenyan context.
9. The Embassy of Sweden, in light of the delays that occurred at the start-up of the programme and during the second half of 2017, should seriously consider and discuss, not only a no-cost extension of the current programme, but the possibility and the preconditions for a follow-up funding cycle. This would provide time for in-depth assessment of, and learning from the pilot exercises, for CoG's operational framework to be finalised, its capacity strengthening to rest on firmer ground, its new members to take up their roles, and for stronger networks within the urban sector to be established.

1 Introduction

This mid-term review has been conducted on behalf of the Embassy of Sweden, Development Cooperation Unit in Nairobi, Kenya.

The evaluation followed two distinct lines of exploration, focusing on the institutional support to the Council of Governors (CoG)², asking how well the project has performed in relation to strengthening the capacity of CoG and how well the CoG has been able to absorb the capacity building interventions; and examining how well the partners have managed to transfer and implement the SymbioCity approach to the project teams and local governments in the participating Counties. The review team has also reviewed the internal operational and financial management systems of CoG to the extent these supported the implementation of the SCK Programme.

Conducted between November 2017 and January 2018, the evaluation comprised three primary data collection means: i) a series of face-to-face interviews conducted with SALAR, SKL-I, and CoG as well as stakeholders; ii) a series of focus group discussion conducted in three of the seven counties of the project and with PCs of the other four and iii) an extensive document review of progress reports, governance and guiding documents and outputs from the pilot projects.

Quality assurance was provided by a senior quality assurance expert in the QA pool of the Framework Consortium. The QA reviewed the inception report, the methodology and approach, the findings and conclusions of the review as well as the overall logic and consistency of the first draft of the report, providing feedback prior to its submission to Sida.

² The correct name of the council according to the legislation is Council of County Governors, but since it is commonly named Council of Governors, this is also used in the report.

2 Rationale and purpose

2.1 BACKGROUND AND PURPOSE

The new Kenyan Constitution of 2010 led to the creation of 47 Counties and the devolution of many responsibilities and powers to them. At the time there was no national urban policy, the development of which Sida subsequently supported. Government services tended to be centralised and worked with a ‘silo’ mentality even when all agreed that integration and coordination were needed. Public sector organisations were relatively weak, and the new County level organisations weaker still, being very young, but with wide variations among them.

Transparency of decision-making processes, by Swedish standards, was relatively low. Professional and technical skills were, and still are, relatively scarce in comparison to the needs. Responsibility for many closely related services is distributed in several different authorities. Urbanisation and population growth rates are relatively rapid though skewed across the country. Kenya passed a new Urban Areas and Cities Act in 2011, with amendments made in 2012 and 2015. This Act provides for the classification, governance and management of urban areas and cities; to provide for the criteria of establishing urban areas, to provide for the principle of governance and participation of residents to be a county responsibility.

This opened opportunities for new approaches and integration of economic, environmental and social concerns. Among other aspects this Act requires the development of urban plans to be consistent with County development plans. The new Act imposes challenges to the way urban planners approach their work. There are numerous other challenges and constraints, including political uncertainties, availability and accessibility of needed information, a lack of technical and professional skills, and planning technologies in place and regularly updated.

Meanwhile, the Swedish Association of Local Authorities and Regions (SALAR) had been commissioned by Sida to develop the SymbioCity Approach, a concept for sustainable urban development. This can be applied within a range of development processes such as conducting multi-disciplinary or sector reviews of urban environment in a region or municipalities or as a support tool for urban planning, development and management on different urban scales.

In this context the flexibility of SymbioCity to begin modestly and driven by contextual needs and aspirations is vital. Ultimately, it must work for a change towards systems thinking, from product to process orientation, from sectoral isolation and competition to integration and symbiosis, from opaque to transparent and

welcoming of stakeholder engagement, not only among planners themselves, but among all affected authorities at every level of Government.

The preparations for a SymbioCity Kenyan Programme (SCKP) started with a workshop in 2012 to introduce the SymbioCity concept to Kenyan partners.³ The workshop was attended by 120 participants and the outcome of the workshop was an agreement that a Kenya- specific programme should be developed. In 2013 a letter of intent was signed between the Embassy of Sweden and Council of Governors (CoG) in support for the SCKP and after a second workshop in November 2013 it was agreed to develop the SCKP to be hosted at the CoG. The programme was started in 2015 but implementation has been marked by long delays and limited progress in several areas.

This assignment is a mid-term review of the SymbioCity Kenya programme. The objective is to assess the results, the relevance, effectiveness and sustainability of the programme design, governance and programme management and to make recommendations on changes and improvements in the programme approach. It is also expected to support the Embassy of Sweden to assess progress as well as to take informed decisions about the future of the programme and what potential adjustments and improvements are needed in the programme's set-up. A change of the fundamentals of the programme could entail a wide range of adjustments from an extension of the programme under new conditions to an early closure of some components.

2.2 EVALUATION OBJECT AND SCOPE

The review object is the SymbioCity Kenya Programme being funded by Sida through the Swedish Embassy in Nairobi, Kenya. The programme is a partnership between the Council of Governors (CoG) and the Swedish Association of Local Authorities and Regions (SALAR). Separate Agreements of support to the programme were signed in December 2014 with SALAR and in April 2015 with the National Treasury representing CoG for project duration from January 2015 to December 2018. The total budget is 78 million SEK whereof 45.7 million SEK is allocated to SALAR for providing technical assistance and 32.3 million SEK to CoG to be monitored and supervised by an independent Financial Management Agency (FMA). Of the funding contracted to CoG 20 million SEK is allocated to a seed fund for project implementation during the pilot projects in seven counties and 2 million for the Financial Management Agency.

For the first time, a government agency linked to the devolved structure of government was awarded full responsibility for a development programme and budget. However, it appears that the feasibility study misconstrued some fundamental assumptions of the programme and vital aspects of the political context in which the CoG operates. It was soon discovered that the CoG was not able to attach the expected personnel to the programme and there were some significant issues in the

³ Initially the programme was termed Kenya SymbioCity Programme (KSCP) but was later changed to SymbioCity Kenya Programme (SCKP) or simply SCK which are used throughout this report.

mandate of CoG in handling the funds made available by Sida, notwithstanding having a FMA. This caused delays and to some extent a re-design of the project. The impact of this on the programme is elaborated later in the report.

The Programme operates at two levels, national and local. The result framework presented in the original programme document was set up with four programme objectives, which were further defined in four results areas in the inception report.⁴ Three of the four result areas were directed at the national level with potential implications for all of Kenya:⁵

- R1) Support to CoG institutional building
- R3) Capacity enhancement of urban stakeholders
- R4) Networking and synergies

One result area operates at local level:

- R2) County pilot projects with focus on the application of the SymbioCity Approach.

Each result area targets a particular group of people and organisations, with some overlaps, particularly between areas 1, 3, and 4. This and other developments in the implementation of the project resulted in a revision of the results framework in 2017, reducing it to two main programme objectives:⁶

- R1) CoG has improved capacity to be responsive to counties' needs and to support urban planning, management and development.
- R2) The SymbioCity Approach is applied in urban planning, management and development in selected urban areas in seven counties, providing useful experience and innovative solutions to other counties and stakeholders.

The target groups at County level are those County and town level authorities and stakeholders who are directly involved in learning, adapting and applying the approach in real life situations. It is these groups and individuals that will be part of any real change that takes place on the ground, and who may feel the impact. However, their ability to share their experience and influence decision-makers beyond their own Counties and settlements is limited. As a result the programme's two-level strategy was seen as crucial in the long term.

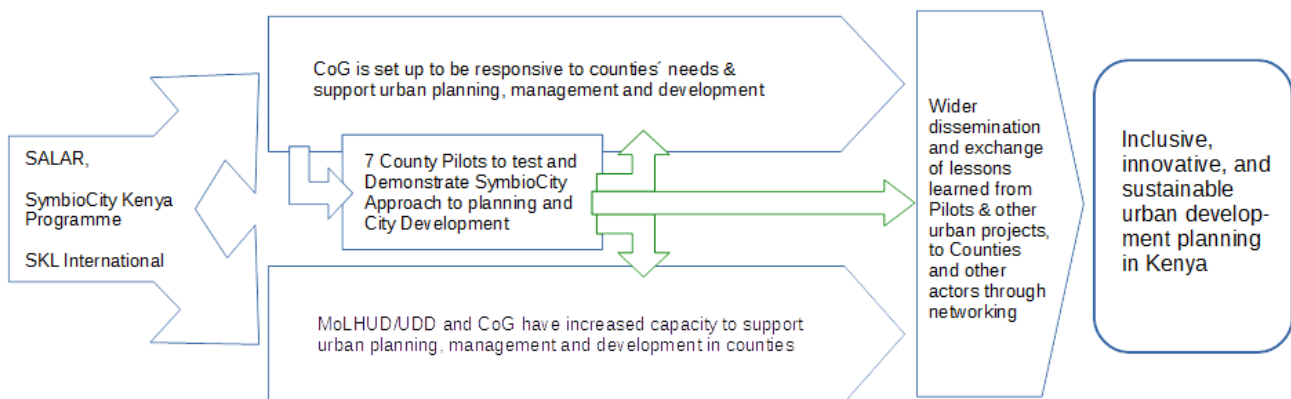
The intervention logic has not been clearly expressed in any of the programme documents and has been interpreted by the review team in overall terms as illustrated in the graphic below.⁷

⁴ This is further discussed in the findings section.

⁵ R1 – R4 refers to the four programme objectives in the programme document and further refined in the inception report.

⁶ Both frameworks are attached for reference in Annex 6

⁷ This graphic is an attempt by the evaluation team to illustrate a theory of change applied in the programme.



Sweden's development cooperation with Kenya has a strong focus on poverty reduction, gender equality and mainstreaming, environmental and climate change mainstreaming and the upholding of human rights for marginalised groups. These goals also appear in the programme document. According to Kenya's 2010 Constitution, County Assemblies are to have "six nominated members to represent marginalised groups (persons with disabilities, and the youth)" and "a number of nominated members as is necessary to ensure that neither male nor female members constitute more than two-thirds of the assembly."⁸

The wider context of the programme is one in which both the devolution and the urban policy implementation processes continue, not entirely without difficulties of different types in different parts of the country, and urbanisation carries on, driven by other economic and environmental forces. The programme document describes a number of other major efforts in the area of urban planning and infrastructure investment by external actors (World Bank, China, Japan, Netherlands, France, the UK and UN-Habitat to name a few), all of which compete for attention of many of the higher level stakeholders in the SymbioCity Kenya Programme.

2.2.1 Establishment of the Council of County Governors (CoG)⁹

The Constitution of Kenya 2010 stipulates that sovereign power of the people is exercised at the National and County Levels. The Constitution further contemplates that governments at these two levels would conduct their mutual relations on the basis of consultation and cooperation. The National Government and the County Governments are expected to assist, support and liaise with each other in the performance of their functions; exercise of their powers; and in implementation of policies and legislation.

In this regard, the Intergovernmental Relations Act, 2012, (IGRA), created two critical bodies that would facilitate intergovernmental relations between the National

⁸ Constitution of Kenya, 2010. Article 177 (covers both quotations above)

⁹ From the CoG website

Government and County Governments and amongst County Governments themselves. The bodies are the National and County Government Coordinating Summit and the Council of County Governors, CoG respectively.

The Council of County Governments, CoG is established under Section 19 of the IGRA and consists of the Governors of the forty-seven (47) County Governments. It was formally constituted in March 2013, after the elections that brought into office the County Governments.

In August 2013 sectoral committees that would guide the operations of the CoG were formed during the first meeting.

Mandate of Council of Governors (CoG)

The Council provides a forum for

- a) Consultation amongst County Governments;
- b) Sharing of information on the performance of the counties in the execution of their functions with the objective of learning and promotion of best practices and where necessary, initiating preventive or corrective action;
- c) Considering matters of common interest to County Governments;
- d) Dispute resolution between counties within the framework provided under this Act;
- e) Facilitating capacity building for governors;
- f) Receiving reports and monitoring the implementation of inter-county agreements on inter-county projects.

2.3 REVIEW QUESTIONS

The Terms of reference outlines a set of specific review questions to be addressed as part of the review and the answers of which will allow development of evidence based recommendations on future cooperation. The review is expected to assess the relevance, effectiveness and sustainability of the programme design, governance and programme management.

- 1) **What was the original intention of the programme?**
 - a) How was it meant to be working and how is it working now?
 - b) As there have been some differences in the interpretation of this among the stakeholders, it would be important to have an independent interpretation of the original objective.
- 2) **What are the effectiveness and the status of the programme at present, both in terms of programme organisation, set-up and progress to achieve intended outcomes?**
 - a) How has governance and implementation been adjusted to meet new/not foreseen context/precondition/capacities and what effect has that had on the results?
 - b) The review should assess the governance of the programme to date – at programme partner level as well as at Embassy level, such as key decisions made, which have influenced the trajectory of the programme implementation.
 - c) The MTR should also review the working arrangement between COG & SALAR, gaps and areas of improvement.

- d) Has the programme been governed as planned – both by partners as well as Embassy of Sweden?
 - e) Has it been implemented as planned? If so, why? If not, why not?
 - f) To which extent have the programme contributed to achieving the intended outcomes?
- 3) **What is the ownership and sustainability of the programme results:**
- a) To what extent do the implementation partners feel ownership of the programme?
 - b) Is it likely that the benefits of the programme are sustainable?
- 4) **In addition, the following questions on cross-cutting and mainstreaming issues have to be addressed:**
- a) To what extent has a poverty perspective been integrated in the programme?
 - b) Has the programme had any positive or negative effects on gender equality?
 - c) Could gender mainstreaming have been improved in the planning, implementation or follow up? If so, how?
 - d) Has the programme had any positive or negative effects on the environment and/or climate change?
 - e) Could environment and/or climate change considerations have been improved in planning, implementation or follow up? If so, how?

The review questions have been analyzed and are further structured according to the OECD/DAC criteria in the methodology section in a review matrix as shown in Annex 2.

The review will include both a **summative and a formative element**. The **summative component** aims to assess and provide a comprehensive account of the achievements of the programme outcomes in accordance with the OECD/DAC standard criteria; relevance, effectiveness, and sustainability as well as cross-cutting issues. The **formative part** of the review will provide evidence-based learning and advice – lessons learned and conclusions – about providing guidance to the future of the programme and potential adjustments and improvements needed.

3 Methodology

3.1 OVERALL APPROACH¹⁰

Our overall review methodology was based on our team's expertise in various review methods and approaches, their understanding of institutional capacity building and strengthening processes, as well as various subject matters involved in urban and local government development.

The review was planned and implemented in a transparent and participatory manner respecting stakeholders' views while ensuring the independence of the team. The review has applied a utilisation focused process and was designed in close coordination with the Swedish Embassy, CoG, SALAR, and other relevant stakeholders. Opportunities for stakeholder discussions and feedback have been provided during interviews and debriefings, thus promoting stakeholders' ownership of the review results to maximize the utilization of the review by the Embassy, CoG, and SALAR.

The overall review has been a mixed methods approach, using both qualitative or quantitative data and analysis to answer questions. Mixed methods allow for greater explanatory power and triangulation. In the assessments we have used methods such as desk research, key informant interviews, stakeholder consultation, and beneficiary interviews¹¹. These different methods have to a large extent complemented each other.

3.2 INSTRUMENTS FOR DATA COLLECTION

The primary sources of data included: document review, key informant and expert interviews at national and county level and focus group discussions at the field level, and direct observations.

Document reviews: The team has reviewed an extensive array of project documents provided by the Swedish Embassy, SALAR, CoG, and other stakeholders.¹² The documents have included programme documents, the programme's inception report,

¹⁰ A detailed explanation of the methodology in this review is available in the Inception Report of December 1, 2017

¹¹ Beneficiaries refer to the working groups and other county stakeholders being affected by the programme.

¹² The documents reviewed are presented in Annex 3.

programme log-frame, progress and financial reports, work plans, annual review meeting minutes, assessments, mission reports and other relevant documents.

The documentation for the desk review was collected during the entire review process, i.e. inception, data collection and analysis phases. The documentation collected and reviewed during the inception phase was fairly limited but informed the refined review methodology and the development of reviews questions. Most of the documentation was retrieved during the data collection and analysis phases and resulted in a heavy load of review during the analysis phase to verify and triangulate the results and progress made against the indicators and targets set out in the project result frameworks.

Key informant interviews (KIIs): Semi-structured interviews have been conducted with respondents that were selected through a stakeholder mapping and a continuous sampling process during the review process. Key stakeholders interviewed includes staff at Sida, and at the Embassy of Sweden, staff at CoG, staff at SALAR and SKL-I in Sweden, SKL-I SCKP team members, the Urban Support Team, USRG, County Government officials, County Pilot coordinators, County working committees, Pilot project leaders, Pilot facilitators.

Stakeholder groups having an in-depth understanding of the SCKP as well as its contextual issues have been the prime targets of the interviews to get in-depth information/knowledge on selected areas as well as allow us to triangulate with data from other sources. The interviews have been guided by a checklist of questions with flexibility for probing. An important purpose of the interviews has been to expand qualitatively on the issues identified during the desk review, in particular to find out the causes of and possible solutions to any problems encountered.

Focus group discussions (FGD): FGDs have been conducted with selected groups of beneficiaries primarily in the field. Cognisance has been given to socio-cultural factors that cause reticence. The groups were small groups of members from the pilot groups, stakeholders and project staff. As much as possible the groups were gender focused to reflect the experience and the technical background of the participants to match the purpose of the discussion.

Field visits to counties were made to three of the seven counties where the pilot projects are implemented. The target counties chosen were Trans-Nzoia, Kisumu, and Nakuru. The objectives of the visits were mainly to observe the implementation of the pilot projects, and interview the county urban leadership and working groups to review their perception of the programme. The discussions with the Pilot Coordinators, SCKP Urban Development Specialists, and facilitators were held in three of the counties and Pilot Coordinators from the other four counties were assembled in Nairobi for a half-a-day discussion.

3.3 PROCESS OF ANALYSIS AND DEVELOPING CONCLUSIONS

Data has been documented in standardised interview templates and protocols for the use of the review team and summarised in a review matrix.

Qualitative data has been analysed through recurring themes, the process of change, and identification of quotes and unexpected/controversial findings. Conclusions and recommendations are based on findings from the review based on the experience of the team.

The Theory of Change of the programme has been discussed with the SCKP project management and compared with the process of change. The experience of the team

using analogies with similar change processes have been of particular importance while developing conclusions and recommendations.

Triangulation: Triangulation has been used through cross verification by combining multiple observations, theories, methods, and experience. The review has aimed to overcome any biases and problems that might otherwise arise from dependence on any single method or single observation or data point.

3.4 ETHICS AND PARTICIPATION

The team have used the following **guiding principles**:

- Findings will be made from triangulated data.
- Interviews have been conducted on a variation of the Chatham house rule, in that no comments have directly or indirectly been ascribed to any individual without their full informed consent.
- No interviewee will be placed in danger by the data gathering.
- A participatory and gender-sensitive approach has been applied in our dealings with all stakeholders.
- Both men and women are represented among the key informants and were represented whenever we chose to conduct focus groups. However, the purpose of the interviews and the information we were looking for guided the selection of KI's. The team has also deliberately ensured that during the discussions women have been given a chance to give their views.
- Consent has been confirmed with respondents to ensure voluntary participation and confidentiality.
- Comments on the draft report will be processed by the review team and a response sheet organized where all comments are recorded and any action taken communicated. The review team will protect its independence in drawing conclusions and formulating recommendations by unilaterally deciding if any comments should result in a correcting action.

3.5 CONSTRAINTS

The preparations for the review were partly constrained by limited availability of documents and other programme data during the inception period, additional documentation arrived just prior to the data collection period. This resulted in a heavier workload during the data collection phase in preparation for the interviews and later during the analysis and reporting process.

The progress reports does not appear to include all major interventions and deliverables the programme has delivered during the reporting period. Most M/E procedures start with listing the activities in a timeline or a log-book fashion. This enables an efficient follow-up of the result chain. From an evaluation stand-point the

lack of such a timeline is a constraint. To compensate for this the review team put together a log book of programme events based on different sources of available documentation. This cannot be guaranteed to be complete or 100% accurate.¹³

Quantitative data and other information underlying the Urban Sustainability Reviews has not been available, resulting in an incomplete picture of the contributions of the SCA process to urban planning and development, as well as to potential impacts on poverty, gender equality and environment/climate change adaptation.

The initial implementation plan called for visits to two counties and after request by the Embassy another county was added, which limited the time available to meet all relevant stakeholders. This was further exacerbated by a national holiday during the second week and the occurrence of a Governor Induction Meeting to which the staff and all the Governors and Deputy Governors were called during the last three days of the visit by the team to Kenya. This resulted in not being able to meet with the Chairman of CoG and other Governors.

The team also relied on CoG to use their network to enable the team to visit with other stakeholder in the sector. Due to difficulties for CoG to engage with other institution such as the MoLHPP, MoDP and UNDP, the team did not manage to organize meeting. This was not possible to mitigate in the short time available to the team.

Capacity building is usually difficult to assess in quantitative terms. Here there was a lack of effective indicators, quantitative data and lack of a dependable baseline. The review team had to rely on using only qualitative data to determine how capacity had been strengthened during the course of the programme. We focused on what planned activities have been implemented so far and on output level achievement but couldn't evaluate outcomes in terms of the extent to which learning has been absorbed to the point of regular application.

As mentioned above time constraints, the general political situation in Kenya where the election had just been settled, and a major shift in County Governorships all played a role in making key County Governors unavailable for interviews. The new Governors had not been inducted at the time of our visit and they were called for an induction meeting making them unavailable for interview during the review time period. This was a drawback for the review since the Chairman of the CoG was of particular interest as was the previous Chair of the Urban Development Committee. Their input could have enlightened the review team on how well founded the Programme was in the CoG, and what expectations the council had in terms of the results. This was partially mitigated by having a meeting with two representatives of the Urban Sector Reference Group (USRG).

Political changes had also taken place at the County level and several high level officials replaced with new County Executive members and Members of County Assemblies. Fortunately the team managed to meet several high ranking County officials both new and re-elected in each of the three counties visited.

¹³ Annex 7:Reconstructed Timeline

4 Findings

4.1 FINDINGS ON PROGRAMME FORMULATION

4.1.1 Formulation of the programme document¹⁴

The process of formulating the SymbioCity Kenya Programme was a long and all-embracing participatory procedure. The dialogue and negotiations that lead to the project took over two years. Activities leading to its preparation started with a SymbioCity workshop organized in 2012 by the Embassy of Sweden and Business Sweden in collaboration with Kenyan and Swedish partners. The workshop was used to introduce the SymbioCity concept to Kenyan partners. The participation of different stakeholders at the workshop was very wide and included about 120 participants. The outcome of the workshop provided a platform for the appreciation of sustainable urban development and of the SymbioCity Approach. It was agreed that a Kenya-specific programme should be developed.

Concurrently, ICLD¹⁵ was undertaking a series of international training programmes, financed by Sida, spreading knowledge and awareness for the SymbioCity Approach. Three Kenyan teams with change projects were admitted into this training, which included sharing of knowledge with regional and Swedish partners.

The Council of Governors was identified as a key stakeholder early in the process. CoG had written a letter to the Embassy of Sweden in Nairobi for support and collaboration on urban development and the promotion of SymbioCity approach. At the time the Swedish development cooperation in Kenya was heavily engaged in the urban development and was already financing programmes in the sector together with the UNDP, the World Bank, the civil society and NGO's. In 2013, the dialogue with the Council of Governors and the Embassy of Sweden, led to signing of a letter of intent for support of the Kenyan SymbioCity programme.

The Swedish and Kenyan partners came together in a second workshop, held in November 2013, and agreed on the following:

¹⁴ Partly extracted from the "Kenya SymbioCity Programme document", dated 2014-11-21 and supplemented by interviews and internal project documents.

¹⁵ The Swedish International Centre for Local Democracy. ICLD's principal is the Swedish Association of Local Authorities and Regions (SALAR). ICLD's operations are financed by Sida (the Swedish International Development Cooperation Agency) and are regulated by both national and international policy documents and agreements between Sida and ICLD.

- a) To develop a Kenyan SymbioCity Programme;
- b) That hosting of the programme would be arranged at the Council of Governors;
- c) To mandate a Core Group (constituted by representatives of the Urban Development Department, Council of Governors, CSUDP and representatives from the Academia) to start working with stakeholders to develop the Kenyan SymbioCity Programme.

The SALAR had been commissioned by Sida to promote and develop the SymbioCity approach and thus it was natural that SALAR, with the support of a local consultant, was given the task to formulate a SymbioCity Kenya programme. The Core Group embarked on collating initial inputs for the programme. CoG is said to have participated in most of the meetings, but their involvement in writing the programme document was limited. One should keep in mind that the CoG at the time was a very young and weak organization, barely established and constituted in March 2013.

The programme document defined CoG as the principal owner of the SCKP. As host to the SCKP it was to establish a programme implementation unit (PIU) for its implementation and become the resource centre for promoting the process further after the programme's completion. To achieve this the build-up of the PIU was to include a Programme Manager, a Programme Coordinator and a Finance Manager to be seconded by the CoG in addition to two urban specialists. The UDD of MoLHUD was to second two additional staff members to be part of the implementation team, thus raising capacity of the UDD.

The programme outlined four principal components to be implemented:

- Institutional development of CoG
- Application of SymbioCity approach in seven counties
- Enhanced capacity of MoLHUD/UDD and CoG to support urban planning and development
- Sharing of experiences and networking in urban development.

Initially the local consultant and the Core Group wanted a bigger emphasis on the SymbioCity component in the counties and argued for involving twenty project sites while SALAR were arguing for far fewer in order to concentrate the efforts and were suggesting three, then five. Later seven counties were agreed to. There was also a clear understanding among the Core group, the consultant and the EoS that most of the funding should be channelled directly through the CoG despite some reservations by SALAR/SKL-I.

The CoG role in the programme was envisaged to include responsibility for the results and overall direction of the project, as well as for coordination of project activities, fund management, monitoring and reporting. It would host the Project Implementation Unit (PIU), allocate staff, mobilize counties' participation and

contribution to the project and liaise with the national government on policy, standards and legislation. CoG's systems for financial management and procurement were to be used to the extent that they supported implementation.

However, there were some concerns whether the CoG would have the capacity to take responsibility for a large capacity building programme both internally and externally, but CoG is said to have been confident of its ability. The Embassy of Sweden contracted an audit firm (Baker Tilly Miralis) to do a capacity assessment of the CoG.¹⁶ The audit identified a series of weaknesses in the areas of internal control systems, the organizational structure and staffing, and risk management. In general there was an urgent need for capacity building and alignment of structures for proper functionality. To make sure that the finances were managed a Financial Management Agency was to be contracted by the Embassy, and SALAR/SKL-I were given the task to provide technical assistance (TA) to the programme.

The Government of Sweden was to enter into an agreement with the National Treasury on behalf of the Council of Governors. A Kenya SymbioCity Coordination Committee (KSCCC) was to be set up to provide project steering, composed of stakeholders in the county and national governments, urban experts and civil society. Overall political direction was to be provided by the Urban Development Committee of the Council of Governors.

However, it soon became evident during the inception period that several of these assumptions were unrealistic.

4.1.2 Inception period and programme plan

The Grant agreement between the Embassy of Sweden and SALAR was signed in December 2014 and the Specific agreement between the National Treasury of Kenya and Sida was signed in April 2015.¹⁷ A memorandum of understanding was later signed between CoG and SALAR in 2015.

According to the programme document a six months inception period was to expand the details of the programme, the implementation schedule, as well as to set up the Programme Implementation Unit (PIU).¹⁸ The inception period started in April 2015. The reason for this late start is said to have been the mobilization of the programme team and the need for other preparatory activities. Another reason may also have been that the contracting of CoG was late. One of the preparatory activities was a visit to Stockholm and SALAR by a delegation from CoG. This visit took place in March 2015 and the main achievements were initiation of a dialogue and exchange between COG and SALAR, demonstrating the role of SALAR in the Swedish political landscape, presenting what it had to offer to CoG, showing "good practice" of

¹⁶ Audit of the assessment of internal management and control of Council of Governors (CoG) for the planned SymbioCity Programme in Kenya, 19 September 2014, Draft report, Baker Tilly Miralis

¹⁷ Memorandum of Understanding between the Council of Governors (cog) and the Swedish Association of Local Authorities and Regions (SALAR)

¹⁸ The inception period was later extended to ten months and ended in February 2016.

sustainable urban development in Stockholm and discussing the SymbioCity Approach. The delegation consisted of 14 people including 8 governors, 2 county executives, 2 CoG staff, the Urban Advisor to CoG and the Urban Advisor to the EoS.¹⁹

The programme document had outlined the activities of the inception period and was divided into five parts (see Annex 9):

- Set up of the Urban Development Secretariat
- Overall project planning
- Institutional development of CoG
- Preparations of County pilot projects
- Development of a programme manual

A major hindrance during the inception period was the significant delay by the EoS in the procurement and appointment of the Financial Management Agent (FMA). The flow of money through the Treasury and the Kenyan bureaucracy was dependent of the appointment of the FMA and the detailing of the procedures. The procurement started in November 2015 and the FMA was first contracted in February 2016, however, the ToR had to be amended and the FMA was not in place until August 2016, a delay of 18 months.

Since most of the funding for local costs, recruitment of staff, and the pilot projects were part of the CoG budget the impact of the delay in releasing the funding significantly delayed activities in those areas. To overcome some of the initial hindrances a few project costs were covered temporarily by the SALAR/SKL-I budget allocations.²⁰ Another hindrance was that the FMA was expected to provide advice, to formulate the procurement regulations for the Urban Development Secretariat and to identify solutions to facilitate programme implementation. Both CoG and SALAR/SKL-I feel this did not happen.²¹

i. Set up of the Urban Development Secretariat.

Fairly early in the inception period it became clear that CoG did not have the capacity to take charge of the project and there were difficulties finding someone to liaise with on a daily basis. There was no staff that could be seconded to the UDS. At this point it was also discovered that CoG was not able to employ any personnel, so any personnel would have to be seconded from elsewhere. In retrospect it is doubtful that any promise or assurance of seconding people to the CoG was made during the design phase. It not clear to which extent it was discussed with CoG and UDD. The

¹⁹ “Strong local governance, more sustainable cities”; Visit of Council of Governors to Sweden, March 2015, Publication by SALAR/CoG

²⁰ Despite an agreement that these funds should be transferred back to the SALAR budget, CoG has refused to pay.

²¹ Interviews with SALAR/SKL and CoG UST

secondment of a Project Manager, Finance manager, Communication manager, and urban development specialists were the most critical. This was reported to the Embassy already in June 2015 and since it was deemed almost impossible to continue without a CoG project manager a reallocation, with the approval of the Embassy of Sweden, was made in the budget to recruit a project manager by diverting some of the funding from the budget for a communication officer. The Project Manager joined the team in September 2015, recruited by the CoG with the support and insistence of the SKL-I Technical Team Leader and paid from the CoG project budget. It was soon noticed that the other recruitments such as Communication Officer, Finance Officer, and Administrative Assistant were stalled by the management of CoG. In reality, the UDS was not properly manned and in place until early 2017, which has seriously affected the progress. Transitional funding arrangements could have been considered by the EoS for funding of essential personnel since the constraint was largely due to not having the FMA in place.

The SKL-I recruited project staff included in the SKL-I budget, i.e. Urban development experts and Pilot Coordinator who came on board in November 2015.

ii. Overall Project Planning

The inception team managed to establish a broad project implementation plan and definition of roles and functions of the key actors despite the absence of counterparts within COG. The recruitment of the Project Manager provided the project with a link within the CoG during the latter part of the inception period. This improved the communication. Financial reporting routines and mechanisms between EoS, FMA and COG were to be implemented during the inception but had to be put on hold due to the delay of contracting the FMA.

iii. Institutional development of CoG

Consultative meetings were initiated between the SALAR Technical Team Leader and the CoG to discuss implementation plans for the institutional development interventions. As mentioned above a visit to Stockholm by a delegation of CoG Governors and staff took place in the beginning of the inception phase and discussions between the SKL-I TA team and the CoG UDC took place. This included development of various concept notes and regular support to the CoG secretariat. However, despite the concept notes any initiation of actual institutional building never took place. In the early stage of the inception there was a proposal and concept note to initiate a joint Peer Review of the organisation; however as the CoG performed an internal Annual Review the TA team decided to use the outcome of that process to develop a concept note for institutional development, which was also presented during the first Joint Steering Group Meeting. This concept note was never acted upon.

SALAR/SKL-I also implemented a project to develop a series of maps and graphics to create what was called a Kenya County Inventory in which particular urban development issues in different counties over the entire Kenya were displayed. Nine different layers were developed covering different issues. These maps enabled the

UDC and the secretariat to have a comprehensive picture of urban specifics across the country and these were said to have been very effective as they provided comparable data on urban development in the country by counties and presenting these in a very accessible way. These were also displayed during the DEVCON 2015 as well as during the Urban Leadership Conference 2015.²²

The role of SALAR/SKL-I in the initial programme document was perceived as a supplementary TA resource while the main role and responsibility was given to CoG. Since this did not seem to happen it was agreed with CoG and EoS to expand the role of SALAR to become an equal partner with CoG. This is described in the inception report as a partnership. This development most likely has had an impact on the perception of the ownership and management of the programme.

iv. Preparations of County pilot projects

During the inception period preparations for the pilot projects took place. The criteria and process for the pilot selection was agreed and the programme was developed. The lack of CoG funds barred the actual selection process from being formally launched, but the SKL-I Technical Team developed in-depth material for the pilots including ToRs for various committees and groups, MOU's for the counties and launch materials and plans. This enabled the team to initiate a quick start when the funding became available. The pilot application process was formally launched during the third annual devolution conference in April 2016.

v. Other significant changes to the programme

As mentioned above the inception period revealed that several assumptions in the programme document were not valid and significant changes had to take place. The KSCCC was determined not to be able to function as both a coordinating committee and a reference group. The main reason was that the composition of the committee was not such that it could have a steering role. Instead a Joint Steering Group was established in which one high-ranking person from each organisation participated as a voting member. The CoG had already established an advisory group, the Urban Sector Reference Group (USRG) in late 2014, and it was decided not to establish a parallel structure but to use the USRG instead.

The programme Implementing Unit (PIU) was intended to be the main implementing team comprised of staff from CoG, specialists seconded from CoG/Counties and MoLHUD/UDD and technical experts from SALAR/SKL-I. The PIU was intended to build the foundation of an urban development unit inside CoG and to be integrated and institutionalized into CoG by the end of the project. The PIU was renamed the Urban Development Secretariat (UDS) which indicated that it would become a secretariat for urban matters and also for the UDC. The intended set-up of the UDS is presented in Annex 10. Since the possibility of having seconded personnel was not available, the UDS would be populated by project staff and it was decided to add two

²² The nine layers of data was Urbanisation, Urban infrastructure and services, Urban planning initiatives, Legislation, Urban economy; revenue and expenditure, Geographic Spread of Donor Funds, Urban governance and management, Public participation

Urban Development Specialists, one for Urban Development and one for Lands. The recruitment of these was later proved to be difficult due to the employment conditions of CoG. The UDS was later expanded and renamed to the Urban Support Team (UST) to note it is a permanent support team.

4.2 PROGRAMME MANAGEMENT AND FINANCIAL OUTCOMES

Overall findings:

- The organizational assessment contracted by the Embassy of Sweden failed to identify institutional issues critical to the implementation of the programme as designed and did not analyze its formal standing as a statutory organisation.
- The build up of a support team for the UDC finally took place and a proper project team with urban development specialists, financial officer, and administrative assistance was in place in early-2017; two years after the inception of the project.
- SALAR/SKL-I had taken on all the practical aspects of running the project and a joint steering committee (JSC) was formed which effectively provide strategic guidance.
- The monitoring and evaluation of the programme is weak as very little assessment of its effectiveness is recorded
- It is apparent that there is a need to improve the working climate on an operational level and to forge a joint view on the way forward by pulling the resources together to achieve the intended results.

The project management of the SCK programme does not give the impression of a joint and cohesive partnership between the CoG and the SALAR/SKL-I. The funding modality with split budgets and a delay in part of the funding is probably one contributing factor. Another could be the fundamentally faulty assumptions in the programme document regarding the available capacity of CoG to manage and administer such an undertaking. Adding to this, the organizational assessment contracted by the Embassy of Sweden failed to identify institutional issues critical to the implementation of the programme as designed. For example, support the UDC was supported by 30% of a committee clerk's time, and an over-reliance on the capacity of the technical and professional skills of KSCCC. Most critical of all was the unclear legal basis of the CoG secretariat, which is not confirmed in the Intergovernmental Relations Act. One explanation for this is that the organizational assessment was not described as a due diligence and the follow-up by the EoS programme officer appears to have been inconclusive. The organizational assessment team reviewed the organisational set-up of CoG but did not analyze its formal standing as a statutory organisation.

As has been described above, the participation and contribution of the CoG during the inception period to set the project on the right footing appears to have been minimal. Not until a Programme Manager (PM) was hired and came on board in September 2015 did SALAR/SKL-I have a counterpart to collaborate with. The Programme Manager was hired on the CoG programme budget and was as such a CoG asset contribution, but to be assigned to the SCK programme 100%.²³ Over time the PM became engaged by the management in other CoG matters and his involvement in the SCKP fell to approximately 50%. Later on, with the resignation of the CoG Programme Department Head in 2017, the PM was made Acting Department Head, which has had an impact on the coordination of the programme. The assignment of the PM as an Urban Coordinated was agreed during the Joint Steering Committee meeting in September 2016.

As time went by SALAR/SKL-I hired resources for the implementation of the Pilot projects and planned for TA interventions and it became obvious that the programme was becoming driven more and more by SALAR/SKL-I, as the CoG resources were only finally hired (largely through a recruitment process by SKL-I) late 2016 and put in place from 2017. The build up of a support team for the UDC finally took place and a proper project team with urban development specialists, financial officer, and administrative assistance was in place in early-2017; two years after the inception of the project.

Meanwhile SALAR/SKL-I had taken on all the practical aspects of running the project. The Inception Report and the progress reports all appear to have been driven and elaborated the SALAR/SKL-I TA team and there is no minutes of any meeting during which these reports were discussed or approved by the CEO or the UDC. However, the first Joint Steering Committee meeting (JSC1) discussed issues related to the implementation of the programme and there is a separate document, not annexed to the minutes, summarizing discussions and decision of the Inception Report. This document appears to more of an internal document.²⁴ The involvement of the PM and the project team is unclear. The absence of a timeline of implemented activities or deliverables makes it difficult to follow the logical flow of the implementation and assess output and outcomes.. The monitoring and evaluation of the programme is thus regarded as weak as very little assessment of its effectiveness is recorded.

It has been difficult to make an assessment on how the different review meetings have taken place and how often the EoS have had their stipulated review meetings with CoG, and with SALAR. The mechanism for coordinating meetings between the CoG management/UDC and SALAR/SKL-I project team on the ground is not clear, yet it appears it has not been systematic.

²³ The cost of the Programme Manager is allocated to the CoG programme budget, but is not clear how it was financed. There is a note in a document from SALAR saying it was paid by SALAR initially but never reimbursed. The cost of the programme manager has since been reimbursed to SALAR by the Embassy allowing them to recover this cost from this year's budget.

²⁴ JSC1_Summary_Discussion_Decisions_FINAL, undated, no author, no origin.

As mentioned above a joint steering committee (JSC) was formed consisting of the UDC chairman from CoG and the Head of International Affairs from SALAR.. This committee is to meet roughly every six month and deals mainly with strategic decisions within the framework of the overall guiding contracts and the MoU. Except for the two voting members other representatives from CoG, SALAR/SKL-I and EoS are in attendance. This makes it an effective forum for discussing overarching issues of the programme and progress reports. Notably, it has not been successful in dealing with the apparent hindrances in planning the institutional capacity building. A similar forum appears to be missing at the operational level. This is also evident when it comes to the day-to-day management of the implementation of the activities as the mission plans have to be approved by the CEO of CoG before they can be launched. This sometimes creates delays even though the missions are part of the approved work plan. The involvement of the CEO contributes to keeping the CoG management informed, but it also appears as if there is a need for a forum where the operational plans are discussed.

During our interviews and discussions with individuals, it is apparent that there is a need to improve the working climate on an operational level and to forge a joint view on the way forward by pulling the resources together to achieve the intended results.

4.2.1 Financial outcomes

- There has been a slow absorption rate of the funds over the 2.5 years the programme has been running.
- 32.2 MSEK (57%) remained in the budget excluding the 20 MSEK seed fund with 18 months left of the programme

The financial outcomes per June 30th, 2017 indicate that there has been a slow absorption rate of the funds over the 2.5 years the programme has been running. However, it should be kept in mind that actual implementation on the ground had only taken place over the previous twelve months. Nevertheless, 57 % (32.2 MSEK) of the funding remained if the seed fund money is not included. Of the CoG budget 76% (8.5 MSEK) and on the SALAR budget 52% (23.7 MSEK) remained. Indeed, this appears to be sufficient funding to complete the project, although the actual absorption rate is not clear, as the project has been gaining momentum over the past year. None of the budget categories seems to be dangerously depleted, as shown in the attached financial statement.²⁵ No other consolidated budget is available to the team to estimate how the absorption rate has increased and the financial outcome is not known as of December 2017.

When comparing to the progress of the programme and the work left to do the MTR finds that it is doubtful if it will complete before the end of 2018, especially the pilot projects. The MTR suggest that the project team revisit its planning to determine if the pilot projects will complete in time or if a no-cost extension is needed. Certain budget re-allocations might be necessary and perhaps also a re-distribution between the two budgets. Even if the entire programme budget is split in two different budgets

²⁵ Annex 11: Financial statement as of June 30th, 2017.

with separate purposes, the funding is still intended to support the SCK programme to meet its intended objectives as a whole.²⁶

4.3 FINDINGS ACCORDING TO THE EVALUATION CRITERIA

4.3.1 Relevance

The programme document elaborates on the need for an urban development initiative as most legislation and frameworks do not engage in the issue of sustainability; most policy makers and practitioners do not clearly understand how to formulate and implement this on the ground. The National Urban Development Policy recognizes that this is a cross-cutting issue and needs to be embedded into the various thematic concerns that policies deal with. The (draft) National Land Use Policy²⁷ emphasize that the sustainable use of land and resources is enshrined in the Constitution of Kenya²⁸.

As described above, the SymbioCity Approach has a framework for implementing sustainable urban development and solutions to challenges in Kenya.²⁹ The devolution principle with simultaneous decentralization of key services and transferring urban management responsibility and power to the county government poses a challenge. Thus, the SymbioCity Approach was identified as an opportunity to import and adapt practices for this urban transition.

The programme document and its results framework elaborate on an overall goal being *“Inclusive, innovative, and sustainable urban development planning in Kenya”* and an intermediate objective being *“Urban development stakeholders have increased capacity and ability to guide Kenyan urban development in a more sustainable direction”*. This would lead to the assumption that *the original intent of the programme* was to demonstrate the effectiveness of the SymbioCity approach in a devolved urban planning framework that would result in more cross-cutting engagement and sustainable planning, and through dissemination of the results enable the county governments to embrace the concept.

The programme document also recognized that this could not be achieved unless there was a supporting institutional framework; that existing institutions, a wider set of urban sector stakeholders and processes would need orientation and strengthening. It would not be possible to have one without the other.

²⁶ See also the recommendations

²⁷ Ministry of Lands and Physical Planning, Physical Planning Department, MoLPP, May 2016. Draft National Land Use Policy

²⁸ GoK, 2012. Constitution of Kenya, Articles 42 and 69

²⁹ Kenya SymbioCity Programme, 2014-11-21

The original intent appears to have been to implement the SymbioCity approach in a decentralized county framework as a pilot to demonstrate its applicability. This is also implied by the fact that there were strong arguments from some of the stakeholders to implement in greater number of counties, i.e. 20 counties. At the same time, as a parallel objective, the institutional framework had to be strengthened in order to be able to support this implementation, including not only the CoG but also Counties, other organisations and stakeholders actively involved in the urban development sector. However, the CoG was identified as the logical entry point for the SCKP due to its mandate under the Intergovernmental Relations Act, and the establishment of its Urban Development Committee. It was seen as crucial in the further support and dissemination of the SCA beyond the pilot phase. The programme was to engage in activities on both a vertical (from national government to county government) and a horizontal (engaging a broad set of stakeholders) level.

The capacity level of CoG is not analyzed or discussed in the programme document other than that it recognized that the CoG *“is a relatively young organization which could benefit from the vast knowledge on local and regional governance from SALAR”*.³⁰

As the programme objectives are formulated both as programme intervention areas and as key activities, the institutional development of CoG takes a much more prominent place in the programme document. Even if the development objective for CoG is to *respond to the need and support in urban planning, management and development*, i.e. institutional development to strengthen its urban development capacity, the details are on a broader organizational level. The institutional support is also said to be a response to the expressed interest of CoG to engage in institutional co-operation.³¹

As the original intent seems to be the implementation of the SymbioCity approach in urban planning in seven counties, the institutional strengthening of CoG was to ride piggy-back on that objective but the more the programme document is studied the more the ulterior motive appears to be institutional strengthening. This is also indicated by making it Result area 1, suggesting a first priority.

This is not the way the implementation of the programme has been going, which is not solely explained by the initial obstacle on not having access to the funding on the CoG side. Experience has been that the management of CoG has not been very cooperative when it comes to the broader institutional of CoG envisaged during development of the programme. In fact, it appears that it has not acted upon most of the activities suggested by SALAR, including any assessment of the departure point for potential interventions. This could partly be because SALAR/SKL-I was eager to fulfil this objective, as outlined as a primary priority in the programme document; perhaps this part of the programme was not entirely anchored with the CoG management from the beginning; and perhaps the absorption capacity was low. Additionally, the engagement by the Embassy of Sweden of an FMA in the start-up

³⁰ Kenya SymbioCity Programme, 2014-11-21, p.15

³¹ Ibid p. 19

phase was anything but supportive, as the build-up of capacity at CoG was severely hampered by the funding modality chosen and by the inability of the Embassy to come up with alternatives to mitigate the serious misconceptions that had been made in the programme design phase.

The current state of the operations of the project puts most the focus on implementing the pilot projects, while the institutional strengthening of CoG is more or less limited to the needs related of the implementation of the SymbioCity approach.

The programme design envisaged a capacitated Urban Development Secretariat (later termed Urban Support Team) staffed with eight to ten people. Originally the intention was that CoG would drive the programme with technical assistance from SLALA/SKL-I. Without capacity within CoG beyond the Programme Manager, SALAR/SKL-I was drawn increasingly into taking greater responsibility for implementation. This led to a shift in the relationship towards a partnership between CoG and SALAR in programme management. This relationship was formally recognised by the formation by the JSC.

It is obvious that the SALAR team was and is directing the activities, especially related to the initiation and the implementation of the Pilot projects. When the CoG funding was finally released during the latter part of 2016 the recruitment for additional staff commenced. This capacity is now geared towards the pilot projects, and capacity building of the UTS (as it is called since 2017) is also being orchestrated by SALAR.³²

It is the view of the MTR team that initially when the programme was first being conceived and later developed, *the main intent and objective was to implement the SymbioCity approach* in a selection of counties to prove its applicability. Sida and the Embassy of Sweden had invested in promoting the concept through two workshops and also by engaging consultants to recommend a framework for collaboration partnership, with the aim of supporting sustainable urban development in Kenya.³³ SALAR has a vested interest in being the custodian of the SC Approach after Sida transferred the previous model “Sustainable Cities” to SALAR. The institutional objective was probably attached to the project after the CoG was identified as the local implementing organisation and as a new statutory organisation created as a result of the devolution was in need of institutional support. SALAR had previous experience with supporting sister organisations, and was quite willing to add this component to the programme.

It is also the view of the MTR that regardless of what the original intent of the programme designers was, both the promotion of the SymbioCity Approach in Kenya, and the support to the Council of Governors as an organisation, were and remain highly relevant in Kenya’s current urban development circumstances. It is not a matter of either or, but both and that may very well be the original intention.

³² For example, in study trip to Sweden mid 2017, solid waste workshops and study tours.

³³ A Collaborative Mechanism to Support SymbioCity-based Sustainable Urban Development in Kenya, Brundin, Lundberg, Persson, Sweco Environment AB, 2013

4.3.2 Effectiveness

What are the effectiveness and the status of the programme at present, both in terms of programme organisation, set-up and progress to achieve intended outcomes?

The effectiveness and the status of the programme and its achievements are addressed in the following sections one for each result area in the results framework. At the end the specific questions in the ToR are being addressed summarizing the findings from all the result areas. Achievements according to the updated Results Framework in 2017 are summarized in annex 7.

Result area 1: Support to CoG institutional building

The overall objective of the SymbioCity Kenya project under this component is to provide institutional support to CoG at a broader organisational level with organisational management, policy development and advocacy, networking and information/statistical provision as possible areas of collaboration and peer to peer collaboration³⁴. **CoG is set up to be responsive to counties' needs and support urban planning, management and development.**

Expected activities are: a) Support to strategic analysis, b) Enhancement of the CoG's strategy for support to councils, including development of action plan for long term development, c) Support to development of capacity and networks, d) Exposure to international examples of institutional and organizational set-up of organisations similar to CoG Consultation with councils and relevant ministries, and e) Support to formation of relevant institutional structure for support to counties

Expected results are: 1. CoG has a clearer strategic direction for its organisation based on identified challenges and opportunities, and 2. The strategic direction for the CoG support to counties and interaction with relevant ministries has been updated through consultations with counties and relevant ministries

Summary of findings:

- The institutional review initiatives by SALAR to engage CoG management in a dialogue and a discussion to arrive at a structured and systematic plan for capacity building has not been acted upon by CoG.
- The programme office was finally in place early 2017 with staff and equipment. Working routines have been established, capacity building of the staff on-going. The retention of the staff beyond the SCK programme is uncertain.
- The SCK responded to a request from UDC to make preparations for CoG representing Kenya at the UN-Habitat 3, 2016. The technical team prepared memos, briefing notes, and involved the Counties to provide input. The MTR has not been able to conclude any significant outcome of the investment and finds there was little apparent value addition.

³⁴ Symbiocity Kenya- Internal Review - of the institutional development efforts- Draft dated 171203

- The urban support team worked together with another inter-governmental task team to develop an induction program for the new governors.
- With the support of SALAR, the UST team developed a strategic priorities document for the committee and a routines and procedures manual for the Urban Support Team.
- The financing model used for the flow of the Sida funding, after the fine-tuning that has taken place, has been used by the UN-Women to fund CoG
- The programme has supported CoG to develop a communication strategy
- The programme contributed significantly to the process of development of the gender policy
- This lack of a clear design for capacity building has resulted in fragmented implementation of the objective resulting in the little achievement in this area.

i. CoG Institutional Review

In addition to the external pre-project organisational assessment mentioned previously, SALAR prepared for a peer review as part of the inception activities as input to the CoG capacity building plan.³⁵ However, CoG initiated an internal annual review process in December 2015 and it was decided to use the outcome of the review as a starting point for the institution building, which was outlined in a concept note presented during the first Joint Steering Committee meeting.³⁶ It was agreed a revised concept should involve “peer” and benchmarking aspects envisaged for strategic development of a local government association. The concept should have a strategic take on the development of CoG and less of an operational perspective. A Rapid Assessment was conducted by SALAR in August, 2016 where a consultant from the SALAR TA team explored the conditions for the organisational development component.³⁷ The institutional review of CoG was an important pre-requisite for any structured capacity building plan. Three different attempts to build such a plan have not managed to develop one. SALAR has tried to explore different alternatives to accomplish this. Without a structured plan the capacity building becomes more or less ad hoc and focuses on opportunities as they arise. There is no finding by the MTR review team that any of the capacity development initiatives from SALAR/SKL-I have been acted upon.

ii. Setting up an office and Increase in Human Resource

The SymbioCity office was planned to be established during the inception phase but was finally established within the CoG offices in the beginning of 2017. This included both the staffing from the CoG side and the furniture and equipment. The SCKP has had office space since the beginning but the moving around and without

³⁵ Peer Review Concept Note, SALAR August 2015

³⁶ Concept note Feb 2016 - following the Annual Review

³⁷ Rapid Assessment at CoG, SALAR August 2016

proper infrastructure. CoG has been able to recruit a programme manager in charge of the SymbioCity project, a finance officer, a communication officer (25% of full time) and an admin officer. In addition to this a communication officer was hired but was dismissed and the position of an urban development officer was filled but the person resigned, and the lands and planning officer position has not been filled. This is partly due to the low salaries and one-year contracts set by CoG that make it difficult to attract and keep good candidates. The urban development specialists and facilitators are mainly involved in the pilot projects and have limited interaction with CoG.

The establishment of the office and staff has improved the capacity of CoG to deliver on the programme and increased capacity within CoG, especially on matters of urban planning. With the arrival of additional capacity it was possible to organize the UST, setting up system, routines, policies and defining roles and responsibilities.³⁸ This process started during the fall of 2016 and despite the loss of some people the sentiment is that it is working fairly well. Challenges remains in the pilot project due to feuding and procurement.

The recruitment of the above staff was carried out through an open and fair recruitment process which was not the case before. This best practice in recruitment has since been adopted by the human resource management at CoG and all recruitment is now carried in a competitive and transparent process. This is a result of the cooperation between the SKL-I and CoG on the institutional level demonstrating the ad hoc approach described above.

The establishment of the office and recruitment of staff may be only a stop gap measure that will help the project during implementation, but it is very likely that the capacity will not be retained by CoG after the project. The CEO has indicated that there are plans to absorb at least two staff at the end of the programme³⁹. However, no clear plans have been set in place to ensure that this happens. This therefore mean no skills transfer and no administrative structures that support urban planning will be left within CoG after the project.

iii. Support to CoG's participation in UN Habitat 3 in Quito, Ecuador

Following a request from UDC, The SCK programme facilitated the urban development, planning and lands committee (UDC) to attend the Habitat 3 conference in Quito in 2016. Before the conference the committee held a consultative meeting with the Ministry of Transport, Infrastructure, Housing and Urban Development, CECs in charge of Land, Planning and Urban Development, and the civil society Habitat III caucus group on the Kenyan position and key strategic interests during the Habitat III.⁴⁰

Participation of the UDC at the conference, the first major global event happening after adoption of the Sustainable Development Goals (SDGs), provided county

³⁸ NM+AB Notes from 160908

³⁹ SymbioCity_Meeting w CEO Mogeni 23 February 2017_minutes

⁴⁰ <http://cog.go.ke/media-multimedia/news-highlights/446-habitat-iii-planning-and-awareness-meeting>

governments with a forum to voice urban concerns, including challenges and related opportunities that may be exploited in order to achieve a New Urban Agenda. Habitat III Conference also provided a platform through which counties may interact with other urban actors, including governments, local authorities, civil society organisations, academia, the private sector, and other stakeholders.⁴¹

However, only the chairman of the UDC attended the conference and was not well prepared to represent the country and achieve the intended objective of the mission. An assessment by the UST technical team concluded that this activity was of limited value for the programme objectives⁴². However, the preparations of the memos, briefing notes, and well as involving the Counties to provide input in the Kenyan Country Habitat 3 report gave the technical team experience in preparing for conferences.

The MTR finds that the use of project funds to participate at the UN habitat III was a noble initiative. However, given the investment that was put in to the process there was little apparent value addition to the project, especially on the achieving the objective to build the capacity of UDC and give a forum for CoG to represent the counties at a global stage.

iv. Induction of New Governors

The urban support team worked together with another inter-governmental task team to develop an induction program for the new governors. The team ensured that issues of integrated county planning were part of the induction curriculum.

The aim of the induction workshop is to familiarize the governors on their mandate, guidelines & standards, i.e. TOR for committee, committee rules and guidelines, strategic priorities, achievements and carryovers from the previous committee.⁴³

v. Support to the Urban Development Committee and Urban Development Unit

The role of the Urban Development Unit is to provide support to the urban committee, provide support to the counties, to link counties with international organisations and engage with development partners and lastly, support intergovernmental cooperation⁴⁴

With the support of SALAR, the UST team developed a strategic priorities document for the committee and a routines and procedures manual for the Urban Support Team. The strategic priorities document outlines four long term objectives and strategies on planning and urban development in Kenya. In addition, the document discusses the standards of operation for both the committee and its technical support team, the

⁴¹ *Paving the way for habitat iii: Contributions from the Counties of Kenya, United Nations Human Settlements Programme 2015*

⁴² Symbiocity Kenya- Internal Review - of the institutional development efforts- Draft dated 171203

⁴³ UST Work Plan 2017-2018. xlsx

⁴⁴ Urban Development Unit at CoG 160614

importance of retaining the current human resources after programme, and continual capacity development of the personnel. Furthermore, it outlines ways for the UST to increase its network and the level of trust among CoG members and external stakeholders in its areas of expertise. The process of having a strategic priority document was embraced by UDC committee members. This approach of developing a tool to help committees prioritise their work was adopted by other committees and CoG has since developed a similar document for the 18 committees.

Weekly internal coordination meetings were also held by the senior staff heading the various committees. During these committees shared updates on their work and planned activities. This has brought synergy within CoG and made it possible for staff to give and receive input into the other committees'. According to interviews this is still on-going, and the meetings have been institutionalized are documented in minutes.

The UST held a planning workshop in Sweden between 14th and 25th May 2017. The aim was to improve the capacity of the UST and enhance the working relationship with UDC members. It involved team building and planning; developing the strategic priority document (see above) for the UDC, design of methods for interaction between the team and the Urban Development Committee. The team also reviewed a draft framework for the seed fund and a programme department manual, and mainstreaming Gender. A session with the communication department and committee administration at SALAR was also included. The objective was to develop a well-established and capable UST.

However, the MTR has observed that the UDC does not meet as planned and often only the technical staff members of CoG committees attend these meetings. The MTR team has found that the support to the UDC has not led to any tangible changes within the operation of the committee itself which could lead to an efficient operation procedure for the UDC and the other CoG's committees. We are unable to predict if this pattern will continue with the recent change of Chairperson and membership. There is no evidence to show that the Urban Sector Reference Group has continued to offer advisory services to the committee as anticipated when it was set up.

The UTS has focussed on activities that are perceived to be priorities (in their eyes) of the UDC and are not guided by the project design on capacity building. For example, the UST has supported the review of four bills before parliament. Though this is an important aspect of the UDC work, it does not contribute directly to building the capacity of the UDC itself or the UTS as the work was primarily done by an lawyer outside of the CoG.

vi. Improved Financial Management

The appointment of the first FMA had many challenges in that the FMA did not fully understand the ToR. The FMA was to set up an accounting system and hybrid procurement procedures that would meet the needs of the programme implementation and in-line with Kenya government requirements. This was not effectively achieved. The FMA did not adequately fulfil the financial management role according to the

ToR. SALAR and EoS therefore agreed at the end of the first FMA contract to formulate a new clearer TOR to guide the work⁴⁵. The outcome of this revised ToR and the new FMA will have to be assessed later as the FMA had just begun its work during the MTR.

The CoG finance department has been supporting the programme since the inception but the in-house accounting system was not set-up to handle double accounting. Instead the SymbioCity Programme decided to install a Quickbook accounting system to handle the SCKP accounting. The arrival of a certified public accountant as SCK finance officer, financial management has improved. In 2017 COG decided to replace its own system with the better suited MS Navision as its software. Transfer of data and training were to occur in December, and the system is to be in operation in January 2018. The SCK programme has decided to migrate to this system and contribute to the procurement. It will make financial reporting easier and improve overall financial management.

The financing model used for the flow of the Sida funding, after the fine-tuning that has taken place, has been used by the UN-Women to fund CoG. The MTR finds that the programme has contributed to improving management of external donor funding at CoG.

vii. Improved Communication and support to the Maarifa Centre

The programme has supported CoG to develop a communication strategy and revamp its website with a view to making it user friendly and ensuring that stakeholders are attracted to the site. The communication strategy is in use and has supported CoG to improve its communication. The project has a dedicated communication officer who provides 25% of her time to the SymbioCity project. However, there is a view in the SCK project management that there is a need for more support to administer the communication required by the programme. The support entails making the SCH magazine, brochures and pamphlets, coordinate with agencies and provide information for the website.

The project communication activities are financed by both the SALAR and CoG project budgets (25% each) and are being managed by a CoG Communications Director and Communications Officer. The plan is to hire an in-house journalist as a replacement for a previous unsuccessful recruitment of a Communication Officer to carry out all communication activities for the project. In addition, SymbioCity Kenya project has its own website which showcases the experiences gained from the application of SymbioCity approach in the pilot Counties. Despite the SymbioCity website having a link on the CoG website, the fact that the project seems to manage their own communication separately from CoG is not perceived well within CoG who are of the opinion that there is need to align all communication through the CoG communication channels. Another challenge that was observed was that the UDS and the facilitators do not share enough information with the communication team to generate news worthy stories from the pilot counties. The reports shared are not

⁴⁵ SCK Notes on Financial Management 170222

adequate and are not in the format that can be used to generate informative media stories. To counter this problem the agency accompanied the working group study visit in Nairobi and is currently visiting Kiminini in Trans-Nzoia County to extract stories on the quick-win projects.

The Maarifa Centre was set up in 2017 during the devolution conference. It is viewed as a platform where counties can share best practices and be a knowledge management hub for CoG. SALAR supported this process by funding the consultancy fees of the gap analysis process which aimed to map out the existence of all online services addressing devolution in Kenya, and identify gaps which the new Maarifa resource could fill and thereby complement the other existing services. The study generated a number of findings, which effectively informed development of Maarifa Centre's knowledge sharing policy and strategy and operational manual. A process on how to develop a framework for how Maarifa and the UST could work with the SCK Pilot team and pilot counties to capture learning and experience for further processing and packaging by Maarifa in order to share experiences and methods with all Counties was started but wasn't finalised.

viii. Development of a Gender Policy

The programme contributed to the process of development of the gender policy for CoG. This was done by the CoG SCK staff contributing to the secondary data review, stakeholder consultations and compilation of findings of gender audit. Together with UN-Women, the SCK programme contributed to the cost of the financing of the workshop to validate the draft gender policy by COG Staff.⁴⁶

During the visit to Sweden the UST visited the "Gendered city" with the gender strategist of Umeå municipality to learn how the city has integrated gender issues in their municipality. Also during the visit, discussions were held on how to find practical ways of integrating gender in the pilot projects. It was agreed that the communications expert focusing on gender equality and human rights will provide gender tools to be used in the pilots' projects and be responsible for analysing the upcoming change project proposals from a gender perspective.⁴⁷ However, there is little evidence to show that this has happened and there is no evidence of how the gender policy is being applied in the organisation and within the SymbioCity project.

ix. General findings

The MTR team established that the capacity building programme has been unclear and there is no clear schedule of interventions, milestones and deliverables in a timeline or table to create an overview of the collaboration and achievements. This lack of a clear design for capacity building has resulted in fragmented implementation of the objective resulting in the little achievement in this area. This is evident during a

⁴⁶ Contribution of SCK Project & UN Women to development of COG Gender Audit & Gender Policy, internal CoG Memo.

SCKP contributed with five million KSH and UN-Women 1.2 million KSH

⁴⁷ SCK Jan-Jun Report 170913 Modified on November 16, 2017

meeting held between CoG /CEO and EoS, EoS expressed that the delays and limited activities under this outcome were likely to have implications on the budget resulting in cutting the budget for this outcome⁴⁸. In an internal meeting held by SALAR, they observed that it was important to re-evaluate the objective and to assess the likelihood of achieving it during the remaining implementation period. SALAR is also concerned by the fact that the CoG secretariat is not recognised legally and unless changes are made to the Intergovernmental Relations Act, to give legitimacy to the secretariat there will be no need to focus any more efforts on building the capacity of a CoG whose structure might change. Nonetheless, some institutional building activities have taken place during the period in review.

Result area 2: Implementation of County pilot projects

Local stakeholders in selected urban areas in seven counties plan, manage and develop their localities with a sustainable perspective.

During its Inception Phase the programme initiated a process to select seven counties, each with a proposed urban area, to participate in the pilot activities. Applications to participate were received from 18 Counties. Seven were ultimately approved and selected by the Council of Governors, and received no objection from the Embassy of Sweden. The Counties were informed in July 2016.

In each county pilot project Steering Committees (SC), Working Groups (WG) and Stakeholder Forums (SF) were established, and a Project Coordinator appointed. Terms of Reference for the SCs and WGs were produced to guide the work of each.⁴⁹ In the first few visits to the Counties, considerable time was devoted to explaining the SymbioCity approach, and the purpose of the Pilot exercises⁵⁰ to SC and WG members and to stakeholders in the communities. A “Kick-off Workshop” was held with key members of each County WG, the CoG/SCK team and international facilitators – providing a basic team building session but also giving all pilot teams the same start.⁵¹ Guidance was given particularly to the PCs and WGs on the individual steps to be taken in compiling the Urban Sustainability Reviews. Visits were planned and reported upon systematically. Support between regular visits was provided by phone from the team at CoG. The nature of support changed over time; we were told in various ways that “in the beginning it was more directive, later it has become more supportive, in nature.”

Each County had its own approach to the establishment of its SC, WG and SF, and the choice of PC also varied, from a location in the Governor’s office to the Ward Administrator. Most frequently he or she was a physical planner, and if not, the

⁴⁸ SymbioCity_Meeting w CEO Mogeni 23 February 2017_minutes

⁴⁹ E. Otieno, 2016. Pilot Steering Committee_ToR_v1-3; J. Coredo. 2016. Pilot Working Group ToR_Final

⁵⁰ See Pre-Intelligence Mission Reports (Jul & Aug 2016), and first Mission Reports from Sep & Oct 2016.

⁵¹ Julius Coredo, Sep. 2016. Pilot Kick-Off Workshop. Symbio_Unpacking_jc

“vice-PC” was a physical planner. In practice the SG did not steer; rather it was kept informed, and involved in approving key decisions, steps or products – such as the USR, the choice of Quick win and Change Projects. The WGs found that attendance at meetings varied, depending on current workloads and the relevance of individual sectoral inputs at different stages in the process. The work of writing the USR was divided among members according to sector and interest. Most Counties experienced a superfluity of WG members, and tended to settle for a two-tier system, with a core group, and the larger formally identified group.⁵²

Two Counties have experienced particular difficulties in maintaining momentum, partly because of change of key personnel (e.g. the PC and Facilitator), difficulties in maintaining interest within the WGs, misunderstandings and expectations, type and frequency of support, or for other political reasons. Other than in these two cases, the MTR has not seen any significant difference in outputs that can be attributed to differences in the membership structures of SCs or WGs.⁵³

It is clear to the review team that the WGs in all the Counties have seen the benefit to working across departmental boundaries, and of encouraging the participation of local stakeholders in identifying issues, assets, and priorities for investments. We have **not** seen an equivalent conviction of the cross-sectoral co-operational benefits among the Steering Committee members, though we have not met as many individual members of these Committees. Being high-level political appointees (members of the County Executive Councils, and departmental Chief Officers) these are also individuals whose period of influence may only last for one Council mandate period. These are the key individuals upon whom decisions to cooperate across departmental boundaries depend almost entirely.

At this point in the programme, it is clear to the MTR that the Counties have been capacitated to plan their work together. This is evidenced by the way in which Project Coordinators have used the Working Group set-up to organise members to collaborate in data gathering, undertaking activities in the pilot areas, and in jointly producing the Urban Sustainability Report. It is in the next year that their ability to develop and manage the pilot urban areas will become clearer. The understanding of “a sustainable perspective” differs. For some, sustainability means nothing more than continuous growth/development of the town. For most of the pilot urban areas, the quality of urban infrastructure is so basic that any improvement (in water supply, sanitation, waste management, road and storm water drainage, street lighting, etc.) represents an improvement in the collective quality of life. We have not seen a specific attention given to special geographic areas of poverty. However, we have seen a general interest in improving the aesthetic and micro-climatic living environment, involving reduction of littering, provision of more shade trees, and development of public green areas for social interaction and recreation.

⁵² Interviews with Facilitators, UST members, PCs and WG members during MTR mission 4-15/12/2017

⁵³ E. Otieno, Mission 7a report Butere 03-10-2017, and E.Otieno Mission 7a report_Nakuru 03-10-2017.

The team has reviewed all the USRs looking for clear signs of an understanding of sustainability and symbiosis in urban systems and functions.⁵⁴ What is evident is that initial steps have been taken to empower local people, either to do something for themselves (clean up campaigns) or demand that authorities fulfil their mandates; and there has been a greater awareness that issues like drainage, sanitation and waste management to provide a more pleasant living environment. We are less convinced that County authorities at a higher level have seen financial or political benefits from working inter-departmentally or that they have a deeper commitment to true sustainability or urban system symbiosis.

The activities expected under this result area, and the achievements thus far are presented in the table below.

Expected activities under result area 2 ⁵⁵	Summary of achievements thus far (2017/12) ⁵⁶
Organizing the county projects	Accomplished in second half of 2016
On-the-job training programmes	A combination of structured and on-the-job Training has been provided in: • The SC Approach generally • Stakeholder analysis and engagement • Present situation data collection and collation in an Urban Sustainability Review (URS) • Visioning for urban areas • Establishing objectives, strategies, action plans, and prioritisation • Project Design and Management
Integrated Urban Planning	Not done, won't be done. Instead an Urban Sustainable Review has been carried out – completed in 5 Counties, on-going in 2.
Integrated Project Development	Integrated Quick Win Projects have been designed in five Counties, under development in one. Larger Integrated Change projects are being developed in all seven counties. In one County the Quick Win and Change Project will be combined.
Support to Urban Improvements	There have been clean-up days in most of the seven Counties and tree planting in two. The quick win and change projects will be implemented during 2018.
Operation and Maintenance Management Support (including seed financing)	To be addressed in 2018
Implementation	To done in 2018

⁵⁴ See Annex 5: USR Review.

⁵⁵ Doc No 7 Results framework

⁵⁶ See Mission Reports for all Counties, Semi-Annual Programme Reports. 5 complete and 2 draft USRs. Also positive comments made on training impact in Trans Nzoia Mission 8 Reflection

- i. *Sustainable and participatory approaches to urban development adopted and applied by decision-makers in seven counties.*
- The pilot exercises have been highly participative in describing current conditions and formulating visions and priorities for development interventions
 - It is not realistic to assume that these participatory approaches, as conducted, are “sustainable” after a single experience
 - A pre-condition of continuous inter-sectoral cooperation is that departmental programmes and projects are better coordinated at the higher level,

The MTR team found that the *Pilot exercises have been highly participative*, both within the County administrative structures and within the urban communities subject to the Pilots.⁵⁷ Apart from holding information gathering meetings with the forum and with individual stakeholder groups (market sellers, youth groups, transport sector groups, etc.), a variety of other participative approaches were used, from community clean up days, to youth photography exhibitions, and participative mapping. The team was told in a number of ways that the sense of ownership by the communities as well as participating County departments was strong. The MTR team was taken to the sites of tree planting and clean-up exercises, and was shown some of the resulting posters of a participative photo exhibition used by the community to gather information and to prioritise action.⁵⁸ At the same time, participation in the SCK programme was preconditioned on the participative approach.

At this phase of the programme it is *not realistic to assume that these participatory approaches, as conducted, are “sustainable”* after a single experience and before the Counties themselves have evaluated their outcomes, but such participation is grounded in the Kenya Constitution, and is likely to continue as long as citizens themselves wish it to.

It may also have been assumed that the approach adopted through working groups would produce an interest in continuing in the spirit of cross-departmental cooperation and coordination. In fact our observation and literature review suggests that this has been very uneven. Most individuals we spoke to seemed enthusiastic, but mission reports show that enthusiasm is not enough particularly if the demands of individual departments hinder the coordination on human resource inputs.⁵⁹ *A pre-condition of such continuous cooperation is that departmental programmes and projects are better coordinated at the higher level*, for example through the CIDPs and the County Budget planning processes. Further these need to be linked to spatial distribution of investments and scheduling through the political mandate period. The

⁵⁷ See for example attendance record for “Stakeholder Meeting in Kiminini, Trans Nzoia County Held at Kiminini Community Hall on 28th July 2016.” In Kiminini-Trans Nzoia stakeholders.

⁵⁸ Visits to, and ‘walk-about’ in Kiminini, Trans Nzoia County (5/12/2017), and Ahero, Kisumu County (6/12/2017)

⁵⁹ I. Munt. Dec 2017. Meru-Mission-Report-8

4th programme result objective incorporates the “cross-fertilisation” of “expertise of relevance to sustainable urban development.” (p 19 of PD). Inasmuch as so much emphasis in the pilots has been put on participation, it is noteworthy that the SCApproach does not include participatory budgeting, as practised elsewhere in Kenya.⁶⁰

ii. *Civil society and local stakeholders participate actively in urban planning, development and management in seven counties urban areas.*

- Genuine effort by the County authorities and the Pilot Coordinators to engage civil society and local stakeholders
- Ordinary citizens are more able to influence planning, development and management decisions
- Risks here include “participation fatigue,” “participation manipulation” and exclusion of poorest groups.
- No hard evidence that special efforts have been made to reach the poorest groups

The team found a *genuine effort by the County authorities and the Pilot Coordinators to engage civil society and local stakeholders* as described above. Mechanisms and channels have been established through which these groups can interact with the Working Groups and beyond them to the Steering Committees. The specific nature of their participation is primarily through sharing their local knowledge of their community, describing their issues even to the level of prioritising their respective priorities, describing their aspirations and visions for their urban areas, and to some extent physically engaging in some types of community improvement activities like clean up days, tree planting and watering.⁶¹ They are *more able to influence planning, development and management decisions* now than under the older approaches of simply providing a brief response to “draft proposals” made by professionals. In Trans Nzoia, the SC and WG have worked closely with the consultant responsible for developing an Integrated Strategic Urban Development Plan for the pilot area. The very participatory USR will inform this plan, and the consultant has shown interest in the participatory approaches used.

Risks here include “participation fatigue” and “participation manipulation” for hidden agendas. High levels of participation entail costs to those who participate as well as to County governments. In proportionate terms the highest costs, in terms of losses of daily incomes are borne by the poorest. Generalised participation mechanisms cannot be assumed to attract the poorest members of the urban areas. The better off and the loudest voices will continue to have the greater influence unless more directed efforts are made to reach the “participation disadvantaged,” which

⁶⁰ Kenya Accountable Devolution Program, 2017. Participatory Budgeting in Kenya. KADP. Supported by Sweden, USAID, DANIDA, UJAID, EU Finland, World Bank. At: https://participedia.net/sites/default/files/case-files/PB%20Photobook_FINAL

⁶¹ See R. Rawinja. 2017. Tree growing report

continues to include the poor, women and children. *We did not find any hard evidence that special efforts have been made to reach the poorest groups.* This does not mean they didn't occur – just that we see no documentation to this effect.

iii. *Seven urban areas counties have sustainable and participatory urban plans and urban improvement projects prepared through a SCA process.*

- No participatory urban plans have been prepared through the SCA approach, though the USRs will contribute to such plans

Five urban areas have submitted and received approval for their Quick Win Projects – as urban improvement projects. Five Counties have also come very far in preparing Change Project proposals. These are considerably more ambitious and integrated than the Quick Win Projects. They have all applied parts of the SCA process.

The remaining two Counties are moving rapidly to catch up. Both have had disruptions to their processes, including changes to key members of their Working Groups (and PCs), explaining why they are less advanced.⁶²

No participatory urban plans have been prepared through the SCA approach. However, in some cases, there has been a deliberate intention that the Urban Sustainability Reviews will provide useful inputs to both County Integrated Development Plans, and to their own Integrated Strategic Urban Development Plans. In one case, an ISUDP has already been commissioned, and close collaboration with the consulting firm has been in place for some time.⁶³ In other cases, the need for planning and development control is seen as a sustainability issue needing urgent attention.

iv. *Staff in seven counties has enhanced capacity to plan, develop and manage urban areas in a holistic and sustainable manner*

The MTR, through its discussions with all Pilot Coordinators, three Working Groups, and through examination of available documents, believe that *new approaches, mechanisms and ideas for planning and developing urban areas of small to medium size, has been enhanced.* This has different dimensions:

- *Understanding the SymbioCity Approach.* All pilot SCs, WGs and many stakeholders have had extensive introduction to the SCA, both through presentations and in practice – at least to the point of designing projects. At least one Facilitator has remarked on the improved understanding of these groups.⁶⁴
- *Interaction,* from an early stage in planning and engaging local citizens, with professionals in different departments, *with different functions and perspectives,* has opened new mutual understanding of the links between administrative sectors, and led to shared experience of the vitality of stakeholder participation.

⁶² E. Otieno, Mission 7a report Butere 03-10-2017, and E.Otieno Mission 7a report_Nakuru 03-10-2017.

⁶³ See R.Rawinja, Apr 2017. Trans Nzoia Mission 7 Reflections

⁶⁴ Trans Nzoia Mission 8 Reflection

This reduces the reluctance to engage with one another in future programmes and projects. This sentiment was clear among those three WGs the MTR team met.

- *The increase in the use and understanding of Geographic Information Systems (GIS) through provision of more accessible software and training, adds new technical capacities to visualise, and analyse issues, generate multiple scenarios, assess comparative impacts, and lead potentially to better long-term decisions.*⁶⁵

Our assessment of the USRs and to some extent the proposed projects is that *there is still some way to go before one can speak confidently about holistic approaches* to urban and project planning. The USRs remain fairly sub-system (sectoral) oriented rather than holistic, though there is a wide variation here.

We are not in a position to assess the urban management capacity development of the participating working groups, as this has not been an area of focus of the pilots.

- v. *New and innovative solutions for urban improvements are implemented in seven counties*

None of the Counties have implemented their Quick Win or Change Projects. The implementation phase is expected to start in 2018. It is therefore too early to comment on this aspect. With respect to the proposals, many of the solutions are new for the locality, but not new in the larger context of Kenya or East Africa. This in no way reduces their value or importance.

Result area 3: Capacity enhancement of urban stakeholders

Objective: *Key urban stakeholders have increased capacity to support urban planning, management and development in counties.*

The envisaged support in the inception report is expressed as “*institutional development, collection and showcasing of experiences and active involvement in the application of the SymbioCity Approach in the seven county projects*”.

- The involvement of MoHLUD (now MOLHPP) and the UDD in the SCKP did not materialize and capacity building of UDD on the SC Approach has not happen.
- Systems mapping and reality check of the urban sector with the purpose of establishing an inter-governmental urban forum was planned but did not result in any programme activities.
- The role of the USRG in the capacity enhancement of urban stakeholders was to be re-defined. The collaboration between the USRG and the SCKP and its advisory roll is found to be minimal
- Any substantial achievements in this result area is lacking.

The overall objective was to increase the capacity of CoG and Ministry of Lands Housing and Urban planning (MoLHUD) to support urban planning management and

⁶⁵ Mentioned in two separate interviews in Trans Nzoia, and one in Nakuru.

development in counties. In light of the clarifications and changes during the inception minor adjustments were suggested to the results framework. This adjustment has been applied here since the involvement of MoLHUD/UDD did not materialize and the directorate has subsequently been transferred to the Ministry of Transport, Infrastructure, Housing & Urban Development.

During a meeting with UDD it was concluded that there was general agreement that there is a lack of clear understanding of how the planning system looks after devolution and this was a major cause of conflicts and gaps in terms of planning.⁶⁶

However, there appears not have been an agreement with UDD for cooperation and no other staff was seconded to CoG. The effect was that the programme had much less technical staff than planned. Based on this, a decision was made to recruit a project manager instead of waiting for secondment from UDD. Nonetheless to date no effort has been made to re-engage UDD in the process despite having the UDD technical officers collaborating with SymbioCity team at the initial stages of project implementation.⁶⁷ This has continued to be the case with little interaction with UDD and the Ministry regarding the project.⁶⁸ It appears that there is no evidence to show that capacity in urban planning management and development has been increased at UDD and no evidence to show that UDD has gained experience in the SymbioCity approach and contribute to spread the approach to other counties.

The progress report for 2016 concludes that this result area focuses on intergovernmental cooperation and that there is an “*unsettling disorganisation in the planning landscape*”. Thus, the work plan 1 included a *Systems mapping and reality check* with the purpose of establishing an inter-governmental urban forum. Apparently, this never took off as it lacked an initiative from CoG as the organization did not have the capacity to drive the process and absorb the result. However, the programme team did participate in various sessions with other donors, but this did not result in any programme related initiatives.

The progress reported during the first six months of 2017 again the systems mapping but in a different form as an assessment of policy versus practice in the urban landscape and the involvement of CoG. *A legal audit on legislation and policy is to be done* sector by sector and CoG committees will take lead in their respective sectors. The extent to which this will involve the SCKP is not clear, if any, but appears to be initiated in the next planning period.

Some activities in collaboration between the UST and other on-going activities are mentioned, e.g. the taskforce for the renewal and extension of land leases, developing spatial planning guidelines, and preparations for the induction of the incoming

⁶⁶ Minutes of meeting at UDD.- 05th February, 16

⁶⁷ UDC has engaged UDD on various occasion to seek clarification on certain issues such as the progress in the development of the Kenya Urban Programme (KenUP) which had exclude counties and the COG in the implementation

⁶⁸ Collaboration with the UDD is mentioned in a heading in the Progress report January- June, 2017. But there is no elaboration in the body of the report.

governors. The extent of these involvements, the input and possible outcome for the CoG and the programme is unclear.

The inception report also mentions the role of the USRG in the capacity enhancement of urban stakeholders as to re-define its role either to become more independent from the UDC or strengthen the links between the USRG and UDC to align it more to UDC's agenda. There is also a question if its mandate is still relevant and if its limited resources can enable it to add value to UDC's agenda. There was a recommendation to support a part-time coordinator to support the USRG to deliver on its mandate. The review has not been able to find any trace of discussions to that effect and interviews with the USRG indicates that the collaboration between the SCKP and USRG has been weak. This finding is contradictory to the decision of using the USRG as the main consultative body as its involvement in the SCK programme appears minimal.

Result area 4. Networking and Synergies

The objective for this result area was confirmed in the inception report as: *SCKP experiences shared among counties and urban development stakeholders to stimulate cross fertilization and networking.*

This result area had three main activities outlined for the first year (2016); Urban Days (marketing sessions for launch), USRG (ToR for USRG coordinator and appointment), and UN-Habitat 3 (ToR for CoG coordinator, appointment, and work plan).⁶⁹ The progress report mentions nothing on progress or reason for no progress. The UN-Habitat process is discussed in the narrative section of result area 1 – *Capacity development of CoG as an organization.*⁷⁰

- Several activities related to this result area have been initiated and the overall achievement so far is only that preparations have been done to initiate support.

In work period 2 (WP2) the project embarked on three major activities: the Devolution Conference, Support to Maarifa Centre and international networking.⁷¹

During the *fourth devolution conference* the programme planned an exhibition of the SymbioCity Kenya project and results from the pilot projects, but since most of the pilot counties had not completed their Urban Sustainability Reviews (USR) the participation was cancelled.

A concept note was developed on a *SALAR mentoring programme* on gathering, processing and storing data for the *Maarifa centre*. This was based on a dialogue with the centre manager and the exposure of the CoG leadership and management to SALAR methods during two visits to Sweden. The process was stalled due to other engagement by the Maarifa centre manager. The Head of the Programmes Department was willing to take over the responsibility and the programme was

⁶⁹ SCK Inception Report February 2016, Annex 4: work plan from March to December 2016

⁷⁰ SCK Semi-Annual Report, March – December 2016

⁷¹ SCK Semi-Annual Report, January – June 2017

discussed again during a visit to Sweden in May 2017. However, the Head of the Programmes Department decided to leave CoG a few weeks after the visit. The option still remains if CoG still is interested.

The SCK project also financed a *gap analysis study to map the existence of online services* regarding the devolution in Kenya and identify gaps which the Maarifa centre could fill and complement the other services. The result was a study which supported the development of the knowledge sharing policy, strategy, and operational guidelines of the Maarifa Centre.⁷² This was also captured in a Summary Report.

The TA team developed a framework for how the Maarifa centre and UST could *capture learning and experience from the SCK Pilot projects*. The implementation of this framework stalled due to other engagements and was postponed. Some SCK material is already distributed through the Maarifa Centre. As County experience becomes available in published format (Urban Sustainability Reviews) this material will also be distributed to all counties and other interested organisation through Maarifa.

The progress report June 2017 concludes that although Maarifa is recognized as a key unit for strategic and systematic knowledge management, *“the cooperation with Maarifa has proven very elusive..”*, expressing an uncertainty of the future of the centre. During the interview of the centre manager by the review team he seemed confident that the council regarded this as important. However, it appears that the centre is very donor driven and needs proper anchorage and CoG funding for a successful future.

During a visit by the SALAR International Committee in January 2017 a formal meeting was held with the CEC’s from the pilot countries and a dinner with Governors and CoG’s CEO to discuss continued collaboration and exploring a possible twinning potential with the ICLD.

Though *any immediate outcome of the activities did not materialize* during the work period it is expected to be carried over to the next period. However, several concept notes and a gap study were developed in preparation for future engagements.

i. How has governance and implementation been adjusted to meet new/not foreseen context/precondition/capacities and what effect has that had on the results?

As presented earlier, the governance of the project has been adjusted several times to meet the implications of greater understanding of the context and challenges to the original assumptions. One such adjustment is the formation of the Joint Steering Committee to replace the KSCCC. This was a pivotal change in the governance of the programme where the two partners took direct control over the implementation and also formally acknowledged the joint ownership of the programme. The advisory role was turned over to the Urban Sector Reference Group. The joint steering committee has shown to be effective and has been able to guide the project and make strategic

⁷² A Market Review of Existing Knowledge Management System to Facilitate setting up of Maarifa centre, 2017. Annex 8 to the SCK Semi-Annual Report, January – June 2017

decisions. . On the other hand, the Urban Sector Reference Group has proven ineffective in playing the envisaged advisory role.

The implementation team has also evolved over time in response to reality. The PIU was originally supposed to have staff seconded by CoG and UDD with SALAR providing a TA team. It was quickly found that CoG and UDD were not able to second staff. The mandate of CoG to hire staff on its own budget has been in question and secondments from the counties not available and UDD had apparently never committed itself to second staff. SALAR, partly by temporarily carrying costs initiated the recruitment of the PM contracted to CoG and paid from the CoG component of project funds, SALAR/SKL-I recruited staff, mainly for the SCK pilot team who form the current Urban Support Team already during the inception. As soon as CoG funding became available in September 2016, the SKL-I supported CoG to recruit additional team members to UST. Other changes in the manning of the team were the result of the inability to keep personnel, and changing priorities.

The initial delays arising from the EoS' failure to contract a FMA led to the project restricting its activities to those components that did not rely on CoG held budgets. For instance, the high-level trip to SALAR in Stockholm was carried out using the appropriation in the SALAR budget and while preparations for selection of Counties for the pilot projects could be done, launching them could not be done until funds became available to CoG in 2016..

Ambition levels with respect to capacity building within CoG, and other urban stakeholders have been reduced and aligned with existing absorption capacity and commitment, as various organisational development proposals submitted by SALAR did not meet with enthusiasm within CoG. Capacity development with other urban stakeholders like the UDD and MoLHUD also faced difficulty, compounded by the restructuring of the MoLHUD with the transfer of the UDD to the Ministry of Transport and Infrastructure. SALAR's reaction to these types of challenges was to restructure the Results Matrix Subsuming Result areas 3 and 4 under 1 and 2.

It is not clear whether time limitations or other issues led to a reduction in ambition levels in the Pilot exercises, in particular the decision not to proceed to sustainable urban plans, and stopping short with the Urban Sustainability Reviews, Vision formulation, and prioritisation of initial projects.

The results have been affected both in character and level of likely impact. The expected level of capacity strengthening within CoG will not be met; even if there have been improvements. The levels of accomplishment in the Counties have been considerable, but they have not reached the heights originally anticipated, nor in accordance with the original timelines. It is too early to tell whether or not CoG will itself learn anything of lasting value from the pilot exercises. Some lessons will be collated and disseminated through the Maarifa Centre, and there is still time to strengthen networks among urban stakeholders around the country. Nevertheless, this will certainly be a challenge given that considerable effort will need for focus on the implementation of the Quick win and Change Projects in the pilot Counties.

- ii. *The review should assess the governance of the programme to date – at programme partner level as well as at Embassy level, such as key decisions made, which have influenced the trajectory of the programme implementation.*

At some level within CoG there is a perception that SALAR has misunderstood the character of CoG as an organisation, believing it to be of an equivalent nature, and therefore expecting it to be able to function in the same way. SALAR is a mature membership organisation with a large and highly competent staff. CoG is a very new statutory body whose operations are severely hampered by ambiguous and contested legal rights to have its own secretariat. Misunderstandings and perceptions of misunderstandings (correct or otherwise) have clouded the relationship to some

extent. The proposal to initiate the capacity building process by a tripartite (COG, SALAR, SALGA) peer review was to tailor it to the needs and priorities identified during such a review.

The EoS, for whatever variety of reasons, must share a considerable part of the responsibility for this state of affairs. There appears to have been a failure of due diligence in assessing the legal status of the CoG during the process of formulation, compounded by discontinuity of the level of involvement through changes among its own staff in the early phases, and a failure to act expeditiously on the recruitment of, and instructions to, the Financial Management Agent that it demanded be in place before CoG could disperse funds. The Embassy is not a member of the Joint Steering Committee but is invited to attend its meetings as an observer. At the same time, the EoS exercises considerable power through its veto and 'no objection' authority over many decisions, and the insight it exercises through the directly contracted FMA on all expenditure from the CoG-held portion of the programme budget.

iii. The MTR should also review the working arrangement between COG & SALAR, gaps and areas of improvement.

Details have been given above on the historical development of roles and relationships between the partners, and between them and the EoS. Despite being expected to take the main executing partner in the programme, the CoG has shown a lack of recipient capacity to accept organisational strengthening (partly because of the ambiguous legal status of its secretariat, and an inability to hire its own personnel). As a result the SALAR team has felt a necessity to shoulder an ever increasing responsibility for implementation. Through this process of changing roles, partnership relationships have been strained, and the sense of distance and distinction between the CoG secretariat and the project team has grown.

At the county level, there has been very little direct engagement of the CoG in the pilot exercises. There have been visits to some sites, and to some workshops by some of the CoG staff such as the finance officer in connection with budgeting for project proposals. The PM has joined a few Missions recently, but most of the work is done by the urban development specialists (SALAR employed) and the Swedish Facilitators (SALAR contracted). At least one Facilitator has never been to the CoG office, and it is not uncommon that others travel directly to their respective counties without stopping over in Nairobi itself and meeting with CoG when either coming or going. Given the tenuous employment system at CoG, it is unclear if any staff member will remain, and carry the limited personal knowledge of these County operations into the future. As far as we can ascertain, the current employment conditions are likely to remain until the IGR Act is amended to allow CoG to have a secretariat and a full budget of its own. There appears to be little that the programme can do about this.

It is not clear to the review team how much the CoG and the CEO in particular, have participated directly in significant operational decisions and reporting results. The PM has apparently had a very active role, but even his role within the project (in terms of time) has decreased with time at least until recently. The review team's impression is that the PM is the primary contact point between the CoG CEO and the TA team including the TTL. It may be that when physical structures appear on the ground using the seed funds vested in the CoG, there will be more interest from the CoG leadership and membership. Otherwise, there will be no positive effect on the trajectory of the SCA within CoG and in Kenya beyond this programme period. The PM has a pivotal role inasmuch as he is part of the programme management team and is partly responsible to implement the activities to achieve the objectives as well as being part of the CoG management structure and has direct access to the CEO and the CoG management team responsible to achieve the undertakings of the agreement with the Swedish Government. The PM is thus the person who sits in a position to

influence the trajectory of the programme and the working relationship between the programme partners. As mentioned before, there appears to be a gap between the operational part of the programme and the management of CoG. The view of the MTR is that there is a need for a forum where the operative side of the programme meet with the management of the CoG.

iv. Has the programme been governed as planned – both by partners as well as Embassy of Sweden?

From the discussion above and the reasons given, it is clear that the programme has not been governed as planned by all parties. This is less a question of the partners and Embassy failing to follow a plan (although they did not do so), and more a failure to plan properly, and to ensure that all the preconditions for success were in place before starting the programme with a base within CoG.

This also includes an apparent failure by SALAR to understand the role and status of the CoG, failure to address all of the weaknesses identified in its organisational assessment of CoG, and failure to ensure that a PM was in place and a Financial Management Agent contracted in time for the launch.

The CoG should probably be faulted for not have been sufficiently involved in the programme design phase. There must have been an unrealistic assessment of its own capabilities and ability to meet the conditions for a successful implementation. The contents of the programme document must have been known by the CoG management prior to signing the agreement with EoS/Sida and by agreeing to it and later not has the resources are noteworthy. The same applies to the institutional capacity building component which appears not to be acceptable to CoG, this implies that the involvement during the inception period has been less than participative.

As mentioned earlier, a large responsibility rests also with the Embassy of Sweden for not reacting quickly in the initiation of the SCKP. The failure to contract the FMA immediately after signing the contracts cannot be explained is the cause of a majority of the problems occurring in setting the programme on the right footing. The FMA is in place 18 months after the programme starts and the FMA was a pivotal institution in a pilot project to channel funding directly to a statutory institution in the Kenyan government under a Ministry. This by itself should warrant greater expediency. The EoS could have responded quicker and more firm in the initiation process when it became clear that the assumption for the staff capacitating of the programme had been misjudged and should probably also be more probing into not having a systematic and structured institutional development plan after the inception period. Has it been implemented as planned? If so, why? If not, why not?

The programme has not been implemented as planned. There are many examples on how the implementation has failed. The primary reason why the programme is late is the lengthy inception and as mentioned previously the failure of contracting the FMA and getting the funding process in place immediately. The inception period ended in February 2015, more than 14 months after the Grant agreement was signed with the SALAR and the FMA delayed the programme with almost another 6 months. Almost half of the programme period was consumed by these incidents.

Another extraordinary incident is that the agreement with the Treasury was signed more than three months after the agreement with SALAR.

Of the four result areas outlined in the programme document and in the inception report, only the pilot projects seem to be implemented as planned, though initiated late. The implementation plan is falling a bit behind schedule, less for the majority of the pilots more for two pilots. The reason for this is a replacement of the SKL facilitator and a rotation of the local Pilot Coordinator.

The capacity building component has had its problems of its own, of which most of the problems have already been discussed above.

Result area three and four as already been integrated into result areas one and two due to its problems of implementing them as stand-alone components and the achievements have been very minimal.

The details of each result areas are explained in the previous sections and summarised in Conclusions and Reflections.

v. To which extent has the programme contributed to achieving the intended outcomes?

There are some outputs, as described in the section of Findings. Pilot exercises continue in the 7 Counties and there is some modest progress on outputs in CoG. On the other hand, very little has been accomplished in terms of capacity building among other urban stakeholders or in effective networking across Kenya. We understand outcomes to be of a longer-term nature and therefore believe it is too early to describe definite outcomes, but the implications of failure to deliver the full range of anticipated outputs raises significant questions over whether the outcomes will, or can, now be achieved.

4.3.3 Sustainability

i. What is the ownership and sustainability of the programme results?

The formal partners are SALAR (working through SKL- International) and CoG. The seven pilots Counties are the scene of the majority of work.

The SKL-I project team shows a strong level of ownership to the programme, as verified by their level of dedication to their work in very difficult circumstances. This attitude appears to be shared by their colleagues in the Urban Support Team (UST) who are CoG secretariat staff. The Working Groups in the seven Counties and the urban area stakeholders with whom they have worked also display a strong sense of ownership, though the degree and basis for it varies. The stakeholders at the community level with whom we spoke expressed this through their active participation, not only in meetings, but through their engagements in activities such as tree planting, cleaning days, and gathering information. Their interest is of course founded in the fact that the programme will likely make a difference in their daily lives by improving their living and working conditions. The Working Group members have shown varying degrees of interest depending on several factors – the degree to which their own professional work is implicated (planners, environmentalists, health staff, etc.) and the extent to which their participation could be seen as a positive contribution to their work as opposed to an extra burden on their already heavy workloads.

Within the COG as a body, it is uncertain how many Governors beyond those of the seven pilot Counties are significantly acquainted with the programme in spite of efforts at DevCon gatherings to gain attention. Only 18 of 47 Counties applied to participate in pilot activities and finally only those that had paid their membership fee were eligible. About 50% of CoG members are new since the election in 2017. The Chairman of the UDC under whose “umbrella” the programme operates has been replaced. Even prior to the election, members of the committee did not show an overwhelming interest in the programme. At the level of the organisation SymbioCity Kenya is the only one of several donor-financed projects which CoG staff is implementing. Urban development was not a prioritised subject matter prior to 2014 and the creation of the UDC was urged on the CoG at the same time as the programme was being conceived.

Several of the benefits of the programme are likely to remain. The programme has given considerable support to the UDC through the capacitation of the UST, in terms of on the job training, formal training, institution of routines and procedures, so that the UST and UDC are likely to continue to work well beyond the programme period. However, staff in the CoG operates on 1-year contracts, and turnover is high. If the current UST staff does not continue with CoG much of the knowledge of the SCA will be lost to CoG.

The improvements to the seven urban areas will be implemented in 2018. The MTR has only seen some proposals for these improvements, but believes that many QuickWin and Change Project benefits are likely to remain. Other elements of the pilot projects will be sustainable only under certain circumstances, a number of which are not yet in evidence. These include the way of working across departmental boundaries, and the innovative and intensive forms of participative interaction with local stakeholders. Unless these are embraced more widely within the County administrative structures and institutionalised, they will not continue, as they entail considerably more expense in time and resources than the “normal” approach to work. The constant issues with travel and meeting costs are a testimony to this.⁷³

Unless the CoG takes a more active interest in SymbioCity as a viable approach to urban development and management, it is difficult to see it multiplying in other Counties. Moving forward, networking and collaboration with UDD and MLHUP will be required to get a buy in at the national level. We suspect that even in the Pilot Counties, its replication is likely only in a modified form, unless certain actions are undertaken during the last year of the programme as elaborated in recommendation 4.

4.3.4 Cross-cutting issues

i. *To what extent has the poverty perspective been integrated into the programme?*

- Many of the projects being considered in the pilots will benefit some poor households in each community.
- The MTR does not find convincing evidence that poverty as such, or the poorest segments of people in the communities have been explicitly and deliberately highlighted or targeted.

The SymbioCity background and training documents have excellent material on how to include a poverty perspective in each step of the SC Approach.⁷⁴ Here there are specific issues to watch for and questions to address for “gender and urban development”, “urban poverty alleviation,” “participation and communication.”

The MTR team has studied all of the pilot Urban Sustainability Reviews looking specifically for evidence that a poverty perspective has been used.⁷⁵ In some there is

⁷³ Reference is made to these issues in numerous Mission Reports in most of the seven Counties.

⁷⁴ See especially Gunnar Folke, 2015, rev 2017 The Symbiocity Process Overview, but also SymbioCity Approach 2.0 (September 2015) which was the proposal for SymbioCity Global Programme.

⁷⁵ See Annex 5 USR Review

reference to poverty as an issue, one states that 51.3% of the County (not specific urban area) population is poor and lists a number of generic reasons for this. In another the average daily income of the poor is stated to be US\$ 3.00. In other USRs poverty is named among the stakeholders' lists of issues. In one USR the word 'poverty' doesn't appear. With few exceptions the geography of poverty within the towns is not described. Where it is it refers to general levels of poverty in different named sub-wards – without maps.

We see virtually nothing explicitly proposed for dealing with poverty. This may be because poverty is subsumed in a lot of other factors. And there is little theoretical doubt that many of the Quick Win and Change Projects will benefit some of the poorest groups of people in the pilot towns. In most of them the level of infrastructure is so basic that any investment will boost the area as a whole and most of its residents.

Participation is considered very important in SCA. The MTR found that many people (including those with formal jobs) expected some compensation for participating in meetings and community activities.⁷⁶ One Pilot Coordinator expressed the view that a different MoU between the CoG/SKL-I and the County could have avoided this becoming an issue.⁷⁷ For the poor who are employed or have some form of income generating activity, taking time off work, is particularly difficult because it means an even lower income for the day. Getting this generally voiceless group involved requires participatory approaches that do not impinge on their working lives (to the extent they may have them). The fact that the poor have a particularly difficult challenge in participating means that the usual methods adopted in SymbioCity do not adequately reach them. It may have been assumed that some participating CBO or NGO was representing the poor. If so it was not stated.

More deliberate effort and training could have been devoted to taking a poverty perspective in the programme, especially as such training material exists. The importance of this perspective could also have been highlighted more assertively as drafts were produced. Where there were objections or specific difficulties to applying this perspective, they could have been noted in Mission Reports and acted upon.

ii. Has the project had any positive or negative effects on gender equality?

Gender Equality

- The programme has supported a gender audit and policy in the Council of Governors. It is too early to say whether or not it will have any effect on gender equality in practice, but it gives the basis on which to challenge individual cases of gender discrimination.

⁷⁶ See early phase Mission Reports for evidence of complaints about the lack of allowances or even lunch. In Mission 7a report_Butere 03-10-2017, there is evidence that certain aspects of this issue continue.

⁷⁷ See 10. Ontulili Town PC_received 170412 ss

- The pilot exercises did ensure the attendance and involvement of women in participative processes. Issues such as hygiene and security that are commonly of high priority among women have been addressed to a considerable degree.
- The MTR has not been given any convincing evidence that there will be continued change in the status of gender equality emanating from this programme's activities, or that it can be measured, given that no indicators or baselines were established.

Gender Mainstreaming

- More could have been done in programme planning. The MTR saw no convincing evidence that gender mainstreaming was actively or aggressively pursued. The visit to Umeå was valuable, but came too late to make a significant difference to the pilot activities. Specific measures such as closer description of specific discriminatory practices to address, compilation of gender specific data, selection of practical indicators, setting of targets and development of strategies, are all elements that could have been incorporated within a participative approach, that would also have allowed for future participative monitoring and evaluation.
- The programme's involvement in the gender audit and policy at CoG was positive, but seems to us to have been opportunistic rather than purposely planned. This does not diminish its value, but reinforces the opinion that gender mainstreaming could have been more aggressively designed.
- It is too early to say whether mainstreaming will be a priority in implementation or follow-up of pilot exercises. Monitoring and evaluation of change will be difficult in view of the lack of baseline data or explicit indicators.

In the Results Area 1, targeting CoG, the programme has given some support together with UN-Women working within CoG on a gender audit, and the development of a gender policy. Furthermore, it is reported that the Council of Governors Secretariat has commenced implementation of the Gender Policy in the Annual Work Plan 2017/2018.⁷⁸ It is too early to know what positive or negative effects this Policy has had on gender equality within CoG.

Within the pilot exercises more could have been done to ensure a more even balance of men and women. Kenyan law sets out some standards for representation by men and women in a number of circumstances.⁷⁹ The review of USRs shows that both Steering Groups and Working Groups had many more men than women. Only one

⁷⁸ S. Osiango. Aug. 2017. Contribution of SCK Project & UN Women to development of COG Gender Audit & Gender Policy

⁷⁹ This includes the Constitution that makes special provisions for the inclusion of women, and other disadvantaged groups in Parliament, the Senate, and other organisations. Article 26 (6), Article 27 (8) and Article 81 (b)) secure affirmative action aimed at reducing gender imbalances in leadership positions by providing that no more than two-thirds of the members in any elective or appointive positions shall be of the same gender.

Pilot Coordinator is a woman. Where stakeholders have been invited to be on Steering Groups a single person has been selected rather than a man and a woman. At the same time it is recognised that some local membership associations are themselves predominantly male (Bodaboda Association) or female (Market Sellers). There are also exclusively women's and youth groups.

One County reviewed its participation records, and as a result organised a focus group meeting exclusively for women.⁸⁰ Although this is reported as a workshop in the Semi Annual Report to the Embassy, we have not found it mentioned as such in Mission Reports of the County support team. In general, there is nothing explicit on gender equality. Several Quick Win and Change Project activities address usual women's priority areas (hygiene, security) but were not included explicitly as gender equalizing measures. Overall, gender was not an overriding consideration in the forming of WGs and selection of stakeholders, though it was not entirely ignored. SGs were constituted according to position rather than gender.

Gender mainstreaming could have been more deliberately and systematically pursued and made more explicit in the pilot projects, for example through the introduction of gender disaggregated statistics, more explicit consideration of gender aspects of project identification, planning, implementation, monitoring and evaluation. It is important to make such efforts explicit – the danger of not raising gender perspectives explicitly is that awareness of their value and importance are never noticed or appreciated.

As there is no attempt to provide a comprehensive picture of the current situation regarding gender equality, and no indicators of how this should or could be measured, it is not possible now, or in the future, to assess the impact of the programme on it. We know for example, that many women have attended stakeholder meetings and that in one case, a special workshop exclusively for women was held, but we have no clear evidence that women have been heard, that their opinions have had an impact on decisions made. Furthermore, we know that there are existing women's groups, and that there are other efforts to pursue greater gender equality, so without explicit description of the programme's efforts in this regard, it is not possible to attribute any change in gender equality to the SCK programme.

When discussing gender issues it is common to speak of "men and women, boys and girls." It is seldom realised that addressing urban planning and management specifically from a child's perspective, will almost always cover many of women's basic concerns. In male dominated societies it can be easier to bring up and discuss children's perspectives as opposed to gender perspectives. Whether or not it is used as a proxy approach to include women's concerns, it is important to see the urban system from a child's viewpoint. This is not particularly strong in the USRs.

⁸⁰ Semi-Annual Report January-June 2017, p21

iii. Has the project had any positive or negative effects on the environment?

Environment

- The MTR has not seen any evidence that environmental issues have been pursued within CoG as a capacity building subject.
- The pilot exercises has addressed and will have some local environmental impact, at least in the short term. The medium and long term results will be entirely dependent on the establishment of sustainable (including financial sustainability) operational and maintenance systems.
- Apart from very local urban micro-climates the programme is not likely, in our view, to have appreciable effect on climate change.

Improvements in addressing Environment and Climate Change Issues

- Climate change and environmental factors could have been pursued more actively within CoG. However, it is not clear to the MTR that CoG could have absorbed significant capacity building inputs in this field, beyond as an element in urban development.
- In the pilot exercise, a more active pursuit of environmental and climate related issues could have occurred. Environmental issues beyond stormwater drainage, solid waste management and littering could have been expanded to include control of invasive species, protection of biodiversity, pest control and use of hazardous chemical pesticides, protection of ground water infiltration areas from pollution sources, air and noise pollution, introduction of safe urban agricultural practices, etc.
- Contact could have been made with other organisations active in the field of community level climate change adaptation, and environment for cooperation, information and learning.

Environmental management within urban areas is commonly associated with issues of liquid and solid waste management (including littering), green public spaces, other aspects of public health (pest control), and protection of sensitive ecological or environmental areas (such as river banks, or habitats of endangered species). The (Draft) National Land Use Policy⁸¹ also includes management of the impacts of climate change and disaster preparedness in response to natural weather and climate processes.

Some of these aspects of environmental management are apparent in the Pilot projects. The project has had localised positive effects on the (urban) living environment in pilot towns, often for aesthetic reasons (littering). A number of the towns include improved solid waste management (sorting, recycling, better use of waste tips) in their Quick win and Change Projects. Some have highlighted sanitation issues. Tree planting has been another positive, but very localised benefit to the environment, and several USRs include provision for green open spaces for relaxation

⁸¹ MoLPP, May 2016. Draft National Land Policy.

and recreation. Mbita includes protection and enhancement of the beach front. Improving drainage and maintaining them free of garbage will also reduce localised flooding, and reduce waste loads on local streams, bringing benefits to downstream users. Urban greening is fairly popular among the pilot urban areas, but some of these are targeting aesthetics, and provision of shade (affecting micro-climate positively). Better sanitation and solid waste management will have a positive impact on surface and ground water pollution, and may reduce incidence of some pest insects (these were not mentioned as significant issues).

Conversely, provision of improved services will likely attract more migrants, more buildings, a higher proportion of hard surfaces, creation of an embryo urban heat island, less rainwater infiltration and more runoff, with negative implications for erosion, local and temporary flooding, and so on.

iv. Could environment and/or climate change considerations have been improved in planning, implementation or follow up? If so, how?

Both environmental and climate change issues could have been given higher and more explicit attention. More could have been written in the USRs about pests and the impact of the use of pesticides, control of invasive species, measures to restore species diversity, protection of ground water infiltration areas from pollution sources, necessary health controls for safe and productive urban agriculture, and the nexus of environmental degradation, gender and poverty. As with other issues, the lack of baseline measures of a few basic indicators means that only anecdotal evidence will exist to show any change between 2016/7 and the future environmental status in the pilot urban areas. The explicit use of measurable indicators and current status together with monitoring programmes maintain the conscious attention of development managers and citizens.⁸² Regarding climate change issues, the current state of the art does not give unequivocal evidence of trends at the local level, which might explain some of the reluctance to be specific about impacts and mitigating measures. However, none of the usual proposals for mitigating climate impacts are out of place even without firm climate change predictions.⁸³ Indicators and baselines should be identified out of the context of the projects and best done by the project teams with the aid of the facilitators. A good start could be the SDG's.

The SCK programme could also have contacted the Kenya Climate Change Working Group (KCCWG)⁸⁴ and explored possibilities for cooperation and exchange of information, including the Group's experience of working with communities on climate change issues.

⁸² We emphasise the point of explicitness. There may be data held by Counties that is not shown or referenced in the USRs, and which we have not been told of. However, without such data published, the public is not likely to hold public agencies to account.

⁸³ One USR includes statements about flooding, and others about tenuous water supplies – legitimate concerns, both of which can occur without climate change.

⁸⁴ The Kenya Climate Change Working Group is a national network of Civil Society organisations uniting voices and action on climate change. See <http://www.kccwg.org/index.html>. It is a registered Association.

Sector: _____ (work sector-wise, then consolidate)		
	HAVE	DON'T HAVE
WANT	List all Assets (positive features, qualities)	Vision What qualities you would like to see
	Define strategies to keep and build on these	Define strategies to develop or achieve these
DON'T WANT	List shortcomings (weaknesses, negatives – even assets may be improved)	Future threats, potential risks inherent in achieving the vision (All development has costs – will they be paid by consuming assets or imposing new risks?)
	Define strategies to remediate, get rid of, or minimize these	Define strategies to avoid or minimize these

A better use of the Have-Want GRID tool (in the SC toolbox) in analysis might have improved the combination of measures that could have been used in developing alternative and combined solutions. That tool aims to establish 4 complementary sets of strategies for moving forward: one set for conserving, strengthening and building on assets (including environmental assets/capital); one set for addressing current negative issues (including those relating to the changing environment –

environmental costs); one for moving towards a desirable (environmental) future; and one set of strategies to avoid or minimize the future negative impacts that urban development inevitably has on the natural environment. Little attention appears to have been given to this tool.

Climate change as such does not figure very highly in any of the counties. There is a National Climate Action Plan 2013-2030, to which we have not found reference in any SCK documents,⁸⁵ and which at first glance seems not to have been used in the Pilot exercises. On our site visit in Ahero a stakeholder mentioned that the farming seasons have changed,⁸⁶ so awareness of climate change exists at local level. In one workshop climate change was mentioned in a SWOT table, but was not addressed elsewhere in any action. Even in Kitui where water supplies are a critical issue, water shortages are not placed explicitly within the context of East Africa's changing climate. The measures being proposed are addressing the growing demand for reliable potable water supplies, but there is little in the current proposal working on improving water use efficiency and recycling by larger institutional or industrial consumers. The Kitui Quick Win Project⁸⁷ has clear objectives aimed at improving the supply of water to schools and a dispensary, reducing the "burden of collection," by capturing and storing rainwater, but the proposal does not explicitly include building awareness of better efficiency of water use in the community beyond using rainwater for hand-washing – for example, the use of aerating taps, automatically closing taps to reduce wastage, and so on. It does include retrieval of grey water for watering of shade trees, which is a positive measure. We are not assured that these features already exist, though it is possible they do.

⁸⁵ MinOf Environment and Mineral Resources. 2013 National Climate Action Plan. GoK.

⁸⁶ Personal communication with unnamed local farmer while on the "walk-about" in Ahero, Kisumu County.

⁸⁷ Kitui WG. June 2017. Kitui Quick Win Improvement Application

We have not seen any evidence that environmental baseline data for any indicator has been collected. If it has not, any improvement in the natural environment attributable to the proposed projects cannot be measured. There is still time to identify and measure some indicators prior to implementing the Quick win and Change Projects. By insisting on having environmental baselines and indicators present in the proposals for change projects, for both direct and in-direct effects attributable to the project, the focus on environmental considerations should increase. Selecting indicators suggested and described in the SDG's would align it with UN obligations.⁸⁸

⁸⁸ <http://unsdsn.org/wp-content/uploads/2015/05/150612-FINAL-SDSN-Indicator-Report1.pdf>

5 Conclusions and reflections

i. Programme Formulation and Expectations

The programme formulation suffered from a common condition of over-optimism particularly regarding the ability to overcome apparent risks. To a certain extent there was also too much urgency to start despite the absence of basic preconditions in place (staff in CoG, including a Project Manager, a Financial Management Agent contracted and in place, real commitments from MoLHUD and UDD in particular).

In view of the above, it was probably over-ambitious, particularly with respect to Result areas 1, 3, and 4. Even in result 2, this programme was more ambitious than any previous one SALAR had managed focusing on SCA. There was apparently no direct checking of pre-conditions in the Counties, and total reliance on the word of EoS' urban advisors.

As a result, the evidence is that from the beginning, ambition levels have had to be repeatedly scaled back. Work in the Counties was delayed 18 months, but with programme completion deadlines (2018-12-31) kept. Early drafts of one USR presented a programme covering 5 of the 6 steps in the SCA 'loop.' Later versions reduce this to step 3. Delays continued due to political events, but persist even to the period of the MTR in terms of implementation. The number of staff has been fewer than initially expected, and the specific professional skills represented have had to be modified from the original intentions.

The SCK programme was severely delayed in the beginning for numerous reasons as been discussed above and in reality was only fully operational in the fall of 2016. The MTR has reviewed primarily the time period up to end of June 2017, even though certain activities that have taken place thereafter have been taken into consideration. Our conclusion is that the time period is too short to make any certain observations of outcomes and in some cases even of outputs of implemented activities. With only one more year left of the programme, the effective total implementation time will have been just a little more than two years, not counting the inception period. This would justify an extension of the programme. Considering that this has been a pilot in many respects and that the ultimate goal is to have an impact on the urban planning landscape in Kenya, a successful achievement of all objectives would warrant another funding cycle.

ii. Funding Modalities and Programme Management

The funding modality was largely driven by the Embassy and the pre-project assessment which, with hindsight, did not sufficiently perform a due-diligence of the status of CoG. The subsequent delay by the EoS to engage an FMA early in the inception period is the main reason why the project did not then progress. The project office was not effectively established until early 2017, two years after the start of the project. Mitigation actions could have been devised by the Embassy to relieve some of the problems caused by the delay of making funding available. The inception period should have addressed the capacity constraints within COG and the institutional development needs before it embarked on project implementation activities. As it turned out the inception period was prolonged by almost 6 months and the project was engaging in implementation activities already during the latter part.

Consequently, project management has been adversely affected, as it has proven impossible to establish a true cooperation partnership between the two implementing entities, CoG and SALAR. It appears to the review team that a joint project management on equal terms was not established and yet the successful completion of the programmes depends on cooperation and making joint decisions on funding planned activities. A vital precondition for success assumes full participation, backing and support of the leadership of CoG and this is not in place. It would not be cost effective to pursue the institutional capacity building under the current conditions.

iii. Institutional Capacity Strengthening in the Council of Governors

Despite a number of assessments and reviews by SALAR/SKL-I resulting in concept notes, it has not been possible to develop a structured and systematic plan for the strategic institutional capacity building of CoG in the urban area that the CoG would support. It appears as if the capacity or the will of CoG to engage in a participatory process in elaborating such a plan has not been there. Nonetheless contributions to the internal workings of CoG come out of the project. A model for the financial flow of donor money, review of procurement procedures, transparent recruitment processes, financial management, weekly coordination meetings in the SymbioCity spirit, and development of a gender policy. However, it should be noted that the MTR could not assess to what extent these procedures and processes are systematically used inside CoG. For example, the flow of donor money has only been tried once to our knowledge and not as a continuous flow of financing, the review of procurement procedures has yet to arrive at a satisfied solution for the programme, and the recruitment processes are not documented, as far as we know.

The EoS took a bold step in funding CoG directly especially since it was a young organisation and many donor organisations were still not sure about how to fund CoG. The capacity building carried out on financial management will also increase this capacity. CoG did not have any experience in grant management and through the pilot projects the CoG has and will continue to build the capacity to provide grants to the counties on future donor funded projects. However, the legal status of the secretariat needs to be resolved before more money is put into it.

Capacity building at CoG has not gone according to plan. All the staff in the UST is contracted through the funding from the programme, either through CoG or through SALAR. The UST were also to be strengthened through recruiting two Urban Development Officers, but these positions are still vacant. The urban development specialists and facilitators work directly with the counties in the implementation of pilot projects. The UST's and facilitators' only connection with CoG is through the project manager and they are not to a larger degree involved in wider CoG projects and activities and have limited interactions with the Urban Development Committee.

Despite the challenges mentioned above, **the urban development issues have become more visible at CoG** by being active on shaping urban issues in the country and have contributed to the revision of bills in parliament such as the Land Bill, the community land Bill 2015, Land Laws /Amendment) Bill 2015, Physical Planning Bill 2015, and County Outdoor Advertising Bill 2015. This has strengthened CoG as an equal stakeholder in urban development issues in the country.

There is little evidence to show that CoG will retain any of the project staff including the project manager and the urban development specialists after the end of the project and additionally there is no motivation by the staff to be absorbed within CoG. The review also concludes that the CoG has gained little exposure to the SymbioCity approach and, even if it had, it would not have the capacity to take the approach to other counties without the support of SALAR and the implementing team. The counties have the most exposure to the SC-approach and have learnt how to customise it to their respective county needs.

iv. Pilot Exercises in Application of the SymbioCity Approach

Within the Pilot exercises, an enormous amount of good work has been done, probably much more than is reflected in the Urban Sustainability Reviews.

There have been difficulties and times when extra effort has had to be called upon. Our reflection is that there should be some form of celebration of the work done and recognition of the people involved. This need not be lavish or expensive, but it should be done publicly in the pilot urban area. For future reference, accomplishments along the way in USR work should be celebrated – recognition, especially of ordinary citizen inputs, is a powerful way of maintaining support and improving the reputation of the civil service.

In general, benefits to the poorest segments of the local society, improvements in gender equality, positive impacts to the natural environment, and response to climate change are more incidental than explicitly deliberate, in the Urban Sustainability Reviews. Neither sustainability nor symbiosis is examined as such, no sustainability indicators are applied, leaving the reader wondering why the word “sustainability” is used in the title.

The County pilot Working Groups were selected for a specific programme and had a particular Terms of Reference. They have, in most cases, **shown an extraordinary ability to work across departmental boundaries**, with support from their respective COs and CECs. Any continuation of their work beyond the programme period would require new ToR and new assignments. There has been a suggestion that an equivalent arrangement be put in place to do the work of the County Planning Unit, envisaged in legislation. There are various ideas of the best model for this, whether as a continued core group of key positions with additional representation from different departments as needs require, or as a permanent office that could itself become a “silo” within the County structure. The Counties’ rights to determine the most appropriate form should be respected.

Considering the nature of the work that has been done thus far in the pilots, and the different character of the project implementation phase, we are not convinced that the current Pilot Coordinator is in all cases the best placed to be Project Manager for the Quick win and Change Projects. Already it has been shown that the addition of special competence is needed for the procurement process – a fact not understood early enough to avoid delays. Counties have managed project implementation before (including procurement of consultants and contractors) so this is not a completely new situation, even if the SCA has shown new ways of working that could be adapted. Our conclusions are that the work of a planning team should be separated from that of an implementation team, even if there are some overlapping members.

v. The Future of SCA in Kenya and its Challenges

Based on our interviews, our County visits, our reading of innumerable project documents, we are not overly optimistic of the chances of the SCA being sustained beyond the end of the current pilots and programme period, unless considerable effort is made to meet the basic pre-conditions for this

sustainability. We are not convinced that the requisite commitment exists within the CoG to fulfil its role, if only because of the lack of assurance that it can hold the key, knowledgeable and experienced staff. Unless systematic steps are taken in the pilot counties to institutionalise one way or another the approaches, methods and tools used, we are not convinced that there will be a replication of the process in other urban areas within these countries, and therefore there is unlikely to be any dissemination to other ones.

The sustainability through replication of the SymbioCity Approach in the 7 Pilot Counties is dependent, not on the successful implementation of the Quick Win and Change Projects⁸⁹, but on the County Executive branch understanding and accepting the added net value of the approach, on their determination to adapt it to their particular circumstances and deeds, and to institutionalise it accordingly. This is in turn contingent on these Counties undertaking a serious review of their experience of the pilots.

Its sustainability through replication beyond these counties, and the widespread adoption of a Kenyan version of the SCA is contingent **at least** on CoG taking on the role of SCA (Kenya) Champion. Other urban sector actors need to come on board as well, but no other body has an equivalent entry point at the pinnacle of County-level decision making as the Council of County Governors (through both Governors and CECs responsibly for planning). At present there is little to suggest that the CoG is either willing or able to do this. A second-best alternative is to identify some other ‘champion.’

Other avenues through which replication of the approach on a broader scale could be

- through ensuring that tertiary level educational institutions that have courses in land management, urban planning and/management, architecture, and civil engineering, incorporate the principles of SCA in their curriculum.
- through professional bodies like the Kenya Institute of Planners⁹⁰ and the Town and Country Planners Association of Kenya,⁹¹ the Institution of Engineers of Kenya,⁹² the Environment Institute of Kenya,⁹³ and others. Such bodies have professional development programmes or other events through which the SCA (Kenya) could be presented and taught.
- Through Training of Trainers during the remaining period of the programme, or in a subsequent TA programme. Were CoG to show interest during 2018,

⁸⁹ These projects are financed outside the County Budgets, even if some County's are added their own contributions. In the longer term, the SCA must depend almost exclusively on funds readily available to the Counties, even if those include funds loaned from the WB through National Government – like KenUP.

⁹⁰ <https://kip.or.ke/>

⁹¹ <http://www.tcpak.com/>

⁹² <http://www.iekenya.org/>

⁹³ <http://eik.co.ke/>

this could be championed through that organisation. Such training could take place in combination with study visits to one or more of the pilot towns.

6 Recommendations

The MTR team has carefully reviewed the findings and the conclusions of the MTR and have the following recommendations. The recommendations are grouped in selected areas of the programme and not prioritized. The Partner(s) primarily responsible are indicated in the recommendations.

Programme Management in the Year Ahead

1. The CoG and SALAR should jointly examine the project plan and the financing needs for meeting the expected outcomes and completing the programme. First priority should be to accomplish a successful completion of the pilot projects, second to disseminate the experiences and results of the pilots to all stakeholders and counties, and third to cater for any institutional development needs of CoG.⁹⁴ Based on the outcome the EoS, CoG and SALAR should revisit the budget and reallocate according to the need. The restrictive regime of not catering for field costs should be balanced towards the need for a successful completion of the pilots.
2. CoG and SALAR should, as part of the programme plan, jointly develop exit strategies for retaining the experience and competence acquired in the Urban Support Team to ensure future capability to support the UDC and spearhead the SCK programme including determine if there is a need for a no-cost extension. The remaining funds will most likely be sufficient with proper re-allocations. The Programme should simultaneously prepare a strategy covering Result areas 1, 3, and 4 from the original Results Matrix, however now configured.
3. With one year left for the programme under its current timeline, we recommend that the Programme prepare a well formulated plan for progressively increased responsibility of CoG, closure, handover, or alternatively a new phase. In view of the different circumstances in the seven pilot counties, any such plan should be tailored to potentials, pre-conditions, risks, and most of all interest. The Programme should consider supporting County level SGs and WGs, together with stakeholder forums, to undertake a joint review of the pilot exercise, with a view to identifying those aspects that they wish to continue with and even institutionalise. These reviews should lead to concrete action plans stretching beyond the programme period.

⁹⁴ Priority here does not refer to temporal sequence, but to relative importance especially with respect to division of resources.

Capacity Building

4. The parties need to agree on a way forward and how the priorities should be set as there is little time left in the project for any major impact in institutional capacity building. The Embassy of Sweden needs to assess if it is willing to keep it to a smaller scale until legal conditions and the structure of the CoG becomes clearer. SALAR should consider applying a more demand driven strategy of looking for capacity building opportunities, and CoG should decide if they believe that SALAR can provide the right institutional and organisational support needed for CoG to grow and develop its capabilities in the right direction, and if so commit to it. This needs to be in place for a successful continuation.

One place to start this process is the review of CoG's own Strategic Plan 2017-2022. There are a number of planned interventions relating to institutional development, training and capacity building in both Key Performance Areas 3 (Building a Strong Council of Governors) and 4 (Knowledge Driven Development). Other key performance areas should not be ignored, particularly in terms of support to CoG's mandate to build capacity in the Counties. We recommend that the Project Manager work with others within CoG to "unpack" these particular proposals to identify any particular aspect in which the SCK programme could assist. Given the remaining time available, this assistance may or may not be limited to helping CoG concretise the proposals in terms of more detailed definition, content, scheduling, and so on, rather than implementation. However, the programme's involvement should be at the request of the CoG and largely based on the organisation's own priorities.

5. As a fundamental input to sustainability of the SCA in Kenya, we recommend that the KSC Programme begin a process of Training Trainers. Experiencing the process, participating in early structured and on-the-job training is not sufficient to ensure that additional counties can or will be trained. Designing training programmes and modules, running training workshops with appropriate pedagogical skills, follow-up and support mechanisms, are skills that have not been passed on to the current Working Groups, possibly even the UTS and SKL-I Kenyan team. The opportunity should be taken to teach practical skills in using poverty, gender and environmental perspectives in conducting USRs, project identification, management, implementation, and ME&L.

County Pilots in the Year Ahead and Beyond

6. We recommend that the programme encourage and support Counties through the UST to establish (new) core teams to manage and oversee the implementation of Quick Win and Change Projects. These should include individuals with experience in procurement, project management, contract supervision, and technical experience reflecting the specific needs of the projects. This team could include appropriate members of the current Working Groups, but should be distinct from it.
7. We recommend that the existing Working Groups should be kept but with a new set of objectives over the remaining period of the programme. Among other things, they could for example focus on issues relating to sustainability of the SCA beyond the pilot period, and within the context of the County. Some potential activities could be:
 - a) An internal review and assessment of their experience of the pilot, the approaches, methods, and tools used, with a view to identifying what has been valuable and worthwhile institutionalising in one way or another. This

could include an overview of the types of roles and functions of County administrations that could benefit from integrated (symbiotic) cross departmental coordination and cooperation. Water-sanitation-waste management-health-public safety-and-disaster preparedness-communication links come to mind.

- b) Continued work on the SC Approach, in which the USR and first projects are not the end of the process. If this is not done, the concept of the SCA as process rather than project/product will not be consolidated. There is a need to work, for example, on monitoring, and further refining of specific objectives as well as contributing to physical/spatial planning.
- c) Continued liaison with stakeholders in the pilot urban areas, but with focus on further work, taking the actions proposed in the USRs to the next stage, possibly extending the approaches to include participatory budgeting, as one way to influence financing the second, third and other priorities listed in the USR, with or without re-evaluation by the communities of their priorities.
- d) Involvement in Training of Training course(s) of selected members of SCs, WGs and stakeholder groups with appropriate personal skills, and functional roles, so that sustainability of valuable knowledge and experience can be passed on to others. Among these there may be potential SCA 'champions' who with CoG and other national level individuals could work together to disseminate and further develop the SCA within the Kenyan context.
- e) Arranging for and management of pilot site visits by other Counties interested in the experience gained through the pilot processes.

The Future of SCA in Kenya and its Preconditions

8. The SCK programme investigate in depth the pre-conditions necessary for the replication and 'localisation' of the SCA within those Counties that have hosted pilot exercises on the one hand, and for the wider replication and adoption of SCA across Kenya. This should lead to a concrete plan of action for the remaining period of the programme, to collect evidence to prove the concept and package into a communication package. This should include consultations with pilot Counties on lessons learned for incorporation or institutionalisation, channels through which to disseminate SCA as a concept, methods to build on the experience of the pilots but also including incorporation of other innovative elements of participatory development in Kenya. Finding 'champions,' at County as well as National levels, who have the interest, willingness and capacity to work with CoG to further disseminate and develop the concept in the Kenyan context.
9. We recommend that the Embassy of Sweden considers and discusses future alternatives with the implementing partners, providing clear frameworks for possible extension and pre-conditions of any future phase beyond that. At present there appear to be three future alternatives to be considered for the near future:
 - a) Wind down the project as soon as feasible, given anticipated difficulties and delays surrounding the financing and supervision of the implementation projects,
 - b) Grant a no-cost extension to the current programme period to allow for the completion of the quick wins and change projects;
 - c) Grant the no-cost extension as under alternative b) and begin preparations for an eventual new phase to the SCK to solidify the uptake of the

approach in Kenya by duplication in the current pilot counties, dissemination to other counties, and engagement of other important urban sector actors in the country.

10. The third alternative is itself contingent on such a new phase being consistent with, and within the budget of, Sweden's Country Strategy for Kenya and current agreements with the Government of Kenya.
11. A new phase would provide time for in-depth assessment of, and learning from the pilot exercises, for CoG's operational framework to be finalised, its capacity strengthening to rest on firmer ground, its new members to take up their roles, and for stronger networks within the urban sector to be established.

Annex 1 – Terms of Reference

Terms of Reference for the Mid-term Review of SymbioCity Kenya Programme

Date: Rev 25 October 2017

Mid-term Review background and purpose: Intended use and intended users

The Government of Kenya through the Council of Governors (CoG) with support from the Embassy of Sweden has embarked on the SymbioCity Kenya Programme. It is implemented in cooperation with the Swedish Association of Local Authorities and Regions (SALAR) and SKL International. The programme started in 2015 and has experienced long delays, and limited progress in several areas. To a degree, this can be ascribed to the programme design and setup which is a pilot in Kenya. For the first time, a government agency linked to the devolved structure of government has been awarded full responsibility for a development programme and budget. In 2016 there were staff changes at the Swedish Embassy and the programme manager responsible for the SymbioCity programme left which caused some discontinuity and uncertainty about the original intentions of some programme aspects.

A mid-term review paid for by Sweden was foreseen as part of the programme set-up and therefore stipulated in the agreement between Sweden and Kenya.

The purpose of the mid-term review is to carry out a thorough external review of how the programme has evolved from its conception until now, and identify whether it needs to be realigned to ensure optimal final results are achieved. Such a review would therefore support Sweden to assess progress as well as take informed decisions about the future of the programme and what potential adjustments and improvements are needed in the programme set-up.

A change of the fundamentals of the programme would be a product of a renegotiation between the Embassy of Sweden and the Kenyan government as well as SALAR, and could entail a wide range of adjustments from an extension of the programme under new conditions to an early closure of some components.

The primary intended user of the mid-term review is the Swedish Embassy in Nairobi. The review results should underpin the decision-making process of the Embassy as regards the continuation of the programme. Other Sida departments supporting the implementation of the SymbioCity approach in other countries will also benefit from the mid-term review.

The mid-term review is to be designed, conducted and reported to meet the needs of the intended user, and tenderers shall elaborate on how this will be ensured during the process of the mid-term review. Stakeholders that should be kept informed about the mid-term review include the Council of Governors, the Ministry of Planning and Devolution, and National Treasury as well as SALAR.

Mid-term review object and scope

The mid-term review object is the SymbioCity Kenya Programme from the start in 2015 to end of June 2017.

The scope of the mid-term review is both the results achieved to date, the implementation arrangements and partnership between CoG and SALAR.

For further information, the programme proposal is attached as Annex D. The scope of the mid-term review and the theory of change of the programme shall be further elaborated by the evaluator in the inception report.

Evaluation objective and questions

The objective of this mid-term review is to assess the efficiency, effectiveness and sustainability of the programme design, governance and programme management of the SymbioCity Kenya programme and formulate recommendations on changes and improvements in the programme approach.

The specific evaluation questions are:

1. What was the original intention of the programme? How was it meant to be working and how is it working now? As there have been some differences in the interpretation of this among the stakeholders, it would be important to have an independent interpretation of the original objective.
2. What is the effectiveness and the status of the programme at present, both in terms of programme organisation, set-up and progress to achieve intended outcomes. How has governance and implementation been adjusted to meet new/not foreseen context/precondition/capacities and what effect has that had on the results? The review should assess the governance of the programme to date – at programme partner level as well as at Embassy level, such as key decisions made, which have influenced the trajectory of the programme implementation. The MTR should also review the working arrangement between COG & SALAR, gaps and areas of improvement. Has the programme been governed as planned – both by partners as well as Embassy of Sweden? Has it been implemented as planned? If so, why? If not, why not? To which extent have the programme contributed to achieving the intended outcomes?
3. What is the ownership and sustainability of the programme results: To what extent do the implementation partners feel ownership of the programme? Is it likely that the benefits of the programme are sustainable?
4. In addition, the following questions on cross-cutting and mainstreaming issues have to be addressed:
 - a) To what extent has a poverty perspective been integrated in the programme?
 - b) Has the programme had any positive or negative effects on gender equality? Could gender mainstreaming have been improved in the planning, implementation or follow up? If so, how?
 - c) Has the programme had any positive or negative effects on the environment and/or climate change? Could environment and/or climate change considerations have been improved in planning, implementation or follow up? If so, how?

Questions are expected to be further developed in the tender by the tenderer and during the inception phase of the mid-term review, as appropriate.

Methodology and methods for data collection and analysis

It is expected that the evaluator describes and justifies an appropriate methodology and methods for data collection in the tender. The mid-term review design,

methodology and methods for data collection and analysis are expected to be fully presented in the inception report.

It would be foreseen that the activities undertaken by the evaluators would include a desk review of relevant documentation, interviews both in Sweden and Kenya and field visits in Kenya. Given that the programme involves seven counties selected to do pilot projects on the SymbioCity Approach, it is recommended that the evaluators visit at least two of these counties in the review to get a representative input from some of them, as well as the Management at Council of Governors.

Sida's approach to evaluation is utilization-focused which means the evaluator should facilitate the entire MTR-process with careful consideration of how everything that is done will affect the use of the MTR. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the MTR process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

Evaluators should take into consideration appropriate measures for collecting data in cases where sensitive or confidential issues are addressed, and avoid presenting information that may be harmful to some stakeholder groups.

The following stakeholders are suggested to be interviewed:

- SALAR (Swedish Association of Local Authorities and Regions)
- SKL International (including long- and short-term consultants, international as well as local)
- Sida Stockholm (staff previously involved in the SymbioCity Kenya programme)
- Embassy of Sweden in Nairobi
- CoG secretariat and political leadership and SymbioCity Kenya team
- Programme coordinators, working groups and political leadership in selected pilot counties
- Ministry of Devolution and Planning

Organisation of evaluation management

This mid-term review is commissioned by the Swedish Embassy in Nairobi which is also the intended user of the review. The mid-term review will provide recommendations on potential changes in the programme. The Council of Governors and SALAR have contributed to the ToR and will be provided with an opportunity to comment on the inception report as well as the final report, but will not be involved in the management of the evaluation. Hence the Embassy of Sweden will evaluate tenders, approve the inception report and the final MTR-report. Council of Governors and SALAR will be invited to join the inception meeting and the debriefing meeting.

Evaluation quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation⁹⁵. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation⁹⁶. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. The mid-term review shall be carried out from late October to late December 2017, probably with field work in Kenya in November-December. It is anticipated that the contract can be signed with the winning tenderer around the middle of October. The timing of any field visits, and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the MTR process. The dates for the deadlines are tentative and might be revised, e.g. depending on the date of the general elections in Kenya that are currently set for 17 October.

Deliverables	Participants	Deadlines
1. Start-up meeting, Virtual Video conference with some consultants participating at the Embassy of Sweden	Embassy of Sweden Nairobi	8 November 2017
2. Draft inception report		20 November 2017
3. Inception meeting at Swedish Embassy in Nairobi (tbd if virtual or not)	Embassy of Sweden Nairobi, representatives from CoG; SALAR and the Symbiocity Team	27 November 2017
4. Comments from intended user to evaluators		23 November 2017
5. Final inception report to be approved by Swedish Embassy		1 December 2017
6. Debriefing meeting (possible video link with Sida Stockholm)	Swedish Embassy, CoG, SALAR,	18 or 19 December 2017
7. Draft MTR report		5 January 2018
8. Comments from intended user to evaluators		12 January 2018
9. Final MTR report		22 January 2018
10. Evaluation Brief	Swedish Embassy, Sida Departments engaged in SymbioCity, SALAR	22 January 2018

⁹⁵ DAC Quality Standards for development Evaluation, OECD 2010

⁹⁶ Glossary of Key Terms in Evaluation and Results Based Management, Sida in cooperation with OECD/DAC, 2014

The inception report will form the basis for the continued MTR process and shall be approved by the Swedish Embassy in Nairobi before the MTR proceeds to implementation. The inception report should be written in English and cover evaluability issues and interpretations of evaluation questions, present the methodology, methods for data collection and analysis as well as the full MTR design. A specific time and work plan for the remainder of the MTR should be presented which also cater for the need to create space for reflection and learning between the intended users of the MTR.

The final report shall be written in English and be professionally proof read. The final report should have clear structure and follow the report format in the Sida Decentralised Evaluation Report Template for decentralised evaluations (see Annex C). The methodology used shall be described and explained, and all limitations shall be made explicit and the consequences of these limitations discussed. Recommendations should be concrete and specific and should in particular focus on the programme design and set-up which could provide conditions for a successful finalization of the programme as well as with a view to supporting the Swedish Embassy to take informed decisions about the future of the programme. Recommendations should further be directed to relevant stakeholders and categorised as a short-term, medium-term (and long-term if deemed appropriate). The report should be no more than 35 pages excluding annexes. The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation⁹⁷.

The evaluator shall, upon approval of the final MTR report by the Swedish Embassy, insert the report into the Sida Decentralised Evaluation Report for decentralised evaluations and submit it to Citrus (in pdf-format) for publication and release in the Sida publication data base. The order is placed by sending the approved report to sida@citrus.com, always with a copy to the Programme Manager at the Swedish Embassy as well as Sida's evaluation unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field and include the name of the consulting company as well as the full evaluation title in the email. For invoicing purposes, the evaluator needs to include the invoice reference "ZZ610601S," type of allocation "sakanslag" and type of order "digital publicering/publikationsdatabas.

Evaluation Team Qualification

The evaluation team should include the following competencies:

- Evaluation experience, minimum 10 years
- Kenyan experience, minimum 3 previous assignments
- Proven experience of Government management programmes and political environments
- Proven experience of Urban Development focused programmes

⁹⁷ Glossary of Key Terms in Evaluation and Results Based Management, Sida in cooperation with OECD/DAC, 2014

- Proven experience in Local government development
- Proven experience in Organisational development
- Project design and planning experience
- Project management experience
- Fluency in English and/or Kiswahili

The team should have a designated team leader. The team leader is expected to be fully involved in all stages of the assignment and to be the main author of all reports. He or she will also be the exclusive point of contact for the Swedish Embassy with the team.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local consultants are included in the team.

The evaluators must be independent from the MTR object and evaluated activities, and have no stake in the outcome of the MTR.

Resources

The maximum budget amount available for the evaluation is 700 000 SEK.

The contact person at Swedish Embassy is Elisabeth Folkunger, Senior Programme Manager, Embassy of Sweden, Nairobi, Elisabeth.folkunger@gov.se The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Elisabeth Folkunger, Senior Programme Manager, Embassy of Sweden, Nairobi, Elisabeth.folkunger@gov.se

Contact details to stakeholders will be provided by Anna Backmann at SALAR, anna.backmann@skl.se and Nicodemus Mbwika, at CoG nicodemus.mbwika@cog.go.ke

The consultant will be required to arrange the logistics in terms of booking interviews and preparing field visits. The Swedish Embassy can provide an introductory letter explaining the MTR process.

Annexes

Annex A: List of key documentation

- SymbioCity Programme Document including Revised Results matrix and original results matrix
- SymbioCity Kenya Inception Report and Annexes
- Bilateral Agreement Sweden-Kenya
- Agreement Sida and SALAR
- Sweden's cooperation strategy with Kenya 2016-2020

Annex B: Data sheet on the evaluation object

Information on the evaluation object (i.e. intervention, strategy, policy etc.)	
Title of the evaluation object	SymbioCity Kenya programme
ID no. in PLANIt	51110060
Dox no./Archive case no.	-
Activity period (if applicable)	2014-12-01 - 2018-12-31
Agreed budget (if applicable)	76 MSEK
Main sector	Sustainable infrastructure and services
Name and type of implementing organisation	Council of Governors (public sector institution) and SALAR (other)
Aid type	Project
Swedish strategy	Kenya 2016-2020

Information on the evaluation assignment	
Commissioning Embassy	Swedish Embassy in Nairobi
Contact person at Swedish Embassy	Elisabeth Folkunger
Timing of evaluation (mid-term review, end-of-programme, ex-post or other)	Mid-term review
ID no. in PLANIt (if other than above).	11555

Annex C: Decentralised evaluation report template

Annex D: SymbioCity Kenya Programme document and Inception report

Annex 2 – Evaluation Matrix

Evaluation criteria	Review questions	Data collection instruments	Sources of information
Relevance	• What was the original intention of the programme? ○ How was it meant to be working and how is it working now. ○ As there have been some differences in the interpretation of this among the stakeholders, it would be important to have an independent interpretation of the original objective.	Desk review Interviews	Policies & Strategies Progress reports Log frame and result reporting Key Informants
Effectiveness	• What are the effectiveness and the status of the programme at present, both in terms of programme organisation, set-up and progress to achieve intended outcomes? ○ How has governance and implementation been adjusted to meet new/not foreseen context/precondition/capacities and what effect has that had on the results? ○ The review should assess the governance of the programme to date – at programme partner level as well as at Embassy level, such as key decisions made, which have influenced the trajectory of the programme implementation. ○ The MTR should also review the working arrangement between COG & SALAR, gaps and areas of improvement. ○ Has the programme been governed as planned – both by partners as well as Embassy of Sweden? ○ Has it been implemented as planned? If so, why? If not, why not? ○ To which extent have the programme contributed to achieving the intended outcomes?	Desk review Focus groups Interviews	RBM Reporting Log-frames Annual progress reports Work plans and activity reports Mission reports
Sustainability	• What is the ownership and sustainability of the programme results? ○ To what extent do the implementation partners feel ownership of the programme? Is it likely that the benefits of the programme are sustainable?	Desk review Focus groups Interviews	CoG Staff & Management SALAR project staff County working groups Annual progress reports Field staff
Cross-cutting Issues	• To what extent has the poverty perspective been integrated into the programme? • Has the project had any positive or negative effects on gender equality? • Could gender mainstreaming have been improved in planning, implementation or follow up? If so, how? • Has the project had any positive or negative effects on the environment? • Could environment and/or climate change considerations have been improved in planning, implementation or follow up? If so, how?	Desk review Focus groups Interviews	Programme planning documents Progress reports County working groups Field staff

Annex 3 – Documentation

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Andersson, S. 2017-10. Program for study visits "Recycling," 7-10 November 2017
Annon., undated. Urban Development and Lands Committee
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Aspiund.G. 2017.06.02 Kakamega - Butere Mission Report 6th Mission
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CEO CoG. 2017-03-02 Invitation letter Nakuru CEC to SymbioCity Kenya Programme Workshop fpr Pilot Counties.
CoG 2016- Council of Governor's Legilsaive Memorandum on the Omnibus Land Bill 2015 (National Assembly Bills No. 55 o 2015)
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Annex 4 – List of Interviewees

Name	Position	Organisation	Dates
Council of Governors			
Jacqueline Mogeni	CEO	CoG	04.12.17 11.12.17
Nicodemus Mbawika	Project Manager	CoG/SCK	11.12.17
David Kasibuli	Finance Officer	CoG /SCK	11.12.17
Jerry Muma	Procurement Assistant	CoG	11.12.17
Joyce Chepkoech	Accountant	CoG	11.12.17
Andrew Teyie	Director Communication	CoG	11.12.17
Stephen Osingo	Manager Maarifa Center	CoG	11.12.17
Ruth Chitwa	Senior Communication Officer	CoG/SCK	11.12.17
Mariam Ndaru	Admin officer	CoG/SCK	11.12.17 15.12.17
SCK UDS and Facilitators			
Maureen Njoga	Project Officer Urban	SKL-I/SCK	11.12.17
Everlyne Otieno	Urban Development Specialist	SKL-I/SCK	14.12.17 15.12.17
Robert Rawinji	Project Officer Urban	SKL-I/SCK	04.12.17
Karin Eberle	Facilitator: Homa Bay & Kisumu	SKL-I/SCK	07.12.17
Ian Munt	Facilitator: Kitui & Meru	SKL-I/SCK	03.12.17
Klas Klasson	Facilitator: Kakamega & Nakuru	SKL-I/SCK	19.20.17
Åsa Forsman	Facilitator: Trans Nzoia	SKL-I/SCK	04.12.17 15.12.17
SCK Programme SKL-I Staff			
Anna Backmann	Project Manager/ Technical Team Leader	SKL-I	Numerous
Anders Olin	Consultant	SKL-I	Several
Jerker Stattin	Head of International Affairs	SALAR	13.11.17
Jenny Jansson Pearce	Managing Director	SKL-I	13.11.17
Paul Dixelius	Development Director	SKL-I	13.11.17 19.12.17
Mats Jarnhammar	SC Advisor	SKL-I	13.11.17 19.12.17
Suzanne Krook	Project Development Director	SKL-I	19.12.17
Annakarin Lindberg	Project Manager	SKL-I	19.12.17
Swedish Embassy/ Sida staff			
Elisabeth Folkunger	Senior Programme Manager	Embassy of Sweden, Nairobi	04.12.17
Nasrin Pourghazian	Programme Manager	Embassy of Sweden, Nairobi	04.12.17
Gabriel Okumu	Operations Controller	Embassy of Sweden, Nairobi	04.12.17
County Pilot Project Staff			
Trans Nzoia County			

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Pius Munialo	County Secretary	County Government of Trans Nzoia	05.12.17
Maurice Lokwaliwa	CEC Environment, Water and Natural Resources	County Government of Trans Nzoia	05.12.17
Elizabeth Nyongesa	CEC Lands, Housing and Urban Development	County Government of Trans Nzoia	05.12.17
Bwile Linnerkar	CEC Lands, Housing and Urban Development	County Government of Trans Nzoia	05.12.17
Beatrice Wangila	Physical Planner	County Government of Trans Nzoia	05.12.17
Edith Barasa	Environmentalist/ WG Member	County Government of Trans Nzoia	05.12.17
John Sitiena	Urban Planner/ WG Member	County Government of Trans Nzoia	05.12.17
Langat Kenneth	Controlled Development/ WG Member	County Government of Trans Nzoia	05.12.17
Faith Muthoni	Volunteer/ WG Member	County Government of Trans Nzoia	05.12.17
Elphas Juma	Youth Leader/ WG Member	County Government of Trans Nzoia	05.12.17
Emmanuel Masika	Youth Representative/ WG Member	County Government of Trans Nzoia	05.12.17
Dennis Waswa	Pilot Cordinator	County Government of Trans Nzoia	06.12.17
Alex Alunga	ICT / Journalist/ WG Member	County Government of Trans Nzoia	06.12.17
Masika Emmanuel	Student/ WG Member	County Government of Trans Nzoia	06.12.17
County Pilot Project Staff Kisumu County			
Nelly Achar	CEC- Land Housing and Urban Development	County Government of Kisumu	07.12.17
Thomas Ouko	Director Tourism	County Government of Kisumu	07.12.17
George Oundo	Trade Officer/ WG Member	County Government of Kisumu	07.12.17
Joel Oron	Resident Ahero Ward	County Government of Kisumu	07.12.17
Fredrick A Odire	Energy Dept.	County Government of Kisumu	07.12.17
Pascal Dulo	Planning	County Government of Kisumu	07.12.17
Jonathan Manyaka	Ward Office Manager	County Government of Kisumu	07.12.17
Hawi Elyira	Environment- Nyando Ward	County Government of Kisumu	07.12.17
Stephen Sule	Pilot Cordinator	County Government of Kisumu	08.12.17
Kennedy Ouma	MCA- Ahero Ward	County Government of Kisumu	07.12.17
Daisy Oikal	Ward Admin- Ahero Ward	County Government of Kisumu	07.12.17
Joseph Amoke	Dept. Agriculture/WG Member	County Government of Kisumu	07.12.17
Emma Onginga	Water Officer/ WG Member	County Government of Kisumu	07.12.17
Charles Ogunda	Stakeholders Forum/ WG Member	County Government of Kisumu	07.12.17
Maurice Onyango	Former MCA – Ahero Ward	County Government of Kisumu	07.12.17
County Pilot Project Staff Nakuru County			
Naomi Murana	Physical Planner/Pilot Coordinator	County Government of Nakuru	13.12.17
John Kamanu	Senior Housing Office/Dep PC	County Government of Nakuru	13.12.17

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Angwenyi Emma	Economist/ WG Member	County Government of Nakuru	13.12.17
Solomon Mbugua	Planning Dept. /WG Member	County Government of Nakuru	13.12.17
Elizabeth Munyui	Physical Planner- Njoro/ WG Member	County Government of Nakuru	13.12.17
Agnes Wakesho	Public Health Officer/WG Member	County Government of Nakuru	13.12.17
Sammy Thuo	Water Officer/WG Member	County Government of Nakuru	13.12.17
Perpetual Wanjiku	Asst. Water Officer/WG Member	County Government of Nakuru	13.12.17
Martin Chege	Youth Rep./WG Member	County Government of Nakuru	13.12.17
Gilbert Ndungu	Business Community Rep/WG Member	County Government of Nakuru	13.12.17
Alice Kwamboka	Open Market Rep./ WG Member	County Government of Nakuru	13.12.17
Bernard Macharia	Ward Admin/WG Member	County Government of Nakuru	13.12.17
Zacharia Kahiro	MCA – Njoro	County Government of Nakuru	13.12.17
Pilot Coordinators Meeting			
Richard Bonyo	Policy & Resource Mobiliser/ Pilot Coordinator	County Government of Homabay	14.12.17
Charles Obondo	Director Physical Planner/ Dep. Pilot Coordinator	County Government of Homabay	14.12.17
Stephen Chune	Director Physical Planner/ Pilot Coordinator	County Government of Kakamega	14.12.17
Sammy Kathika	Physical Planner/Pilot Coordinator	County Government of Kitui	14.12.17
Jefferson Musyoka	Urban Regional Planner/ Pilot Coordinator	County Government of Meru	14.12.17
Other Stakeholders			
Klas Groth	UN Habitat		10.12.17
Gregory Oduor	Manager Assurance/FMA	Ernst & Young LLP	12.12.17
Vincent K. Rotich	FMA	Ernst & Young LLP	12.12.17
Alfred Omenya	Coordinator/ Previously National Urban Advisor	Urban Sector Reference Group (USRG)	14.12.17
George Wasonga	CEO	Civil Society Urban Development Platform (CSUDP)	14.12.17

Annex 5 – USR Review

The following pages present a summary of analyses of the Urban Sustainability Reviews produced thus far in the SymbioCity Kenya Programme. Any review will reflect the assumptions and interpretations of the reviewer. In this case, three important aspects should be borne in mind:

This is a review, not an evaluation. The USRs produced during the program are all first generation pilots, and the hope is that each generation of USRs will be better. The intention here is not to find fault, but to present findings, and where there appears to be a value judgement, it should be taken as a recommendation for the second round of USRs.

The word “sustainability” conjures up different images or concepts in different minds. For some “sustainability” refers primarily to continuity, for example that sustainable development refers to continuous, never ending development; for some, there is no ultimate level of sustainability, that is, the work of achieving greater and greater efficiencies in resource use and reuse will never end, and therefore it is this process of improvement that is important, not a specific level; for others, this is insufficient, for any discussion of improvement implies that there is measurable movement from one level to another, and that some measurable system characteristics are fundamental to social, economic, environmental and institutional sustainability. Unless there is some agreement on the indicators of sustainability there can be no certainty that changes made actually are movements towards and not away from sustainability. Ironically, simple “improvement of the quality of life” is the reason we are now facing an unsustainable situation in the world today.

The word “sustainable” also calls to mind the Sustainable Development Goals of the United Nations. These incorporate measurable indicators that the majority of countries in the world, including Kenya, have accepted to use in their efforts towards sustainability. They include important, measurable indicators for issues such as poverty and gender equality.

“Symbio-“ is another term anchored in biological sciences. Living entities that live in symbiosis mutually support one another – they do not compete or live independently. Degrees of symbiosis vary, and in the urban context can be difficult to quantify, but relative levels of symbiosis can be described comparatively, again with proxy measures.

Both sustainability and symbiosis are terms used when studying and describing systems. Because of this there is a three-fold expectation when beginning to review “Urban Sustainability Reviews” within the SymbioCity Kenya context: a) there will be an attempt to use a holistic systems analytical approach to urban areas; b) there will be some attempt at measuring the level of sustainability of those urban area systems (and sub-systems) most conveniently through using a selection of indicators used in the SDGs; and c) there will also be some attempt to describe the level or degree of inter-sectoral or inter-spatial symbiosis within the urban study area. This expectation is strengthened when one reads about the steps in the SCA process referring to evaluating alternative urban solutions using impact assessment as a fundamental tool. This will definitely require measurable indicators of impact.

These are the considerations that have led to the various features sought in the USRs in this review. There is one glaring caveat in what has been found. We know that a lot

of work has been done by both professionals in the civil service, and by residents in the towns piloted. We are aware that GIS has been used, at least in some cases, and that this implies that there are geodatabases populated with reliable data. There is also references to surveys. However there is almost no reference to the specifics of data collected – i.e. there is no meta-data, and no reference to measurable indicators, nor are there references to supporting technical documents that have this data.

Why does this matter? First, it is the difference between knowing at the end of the change project and beyond, whether or not the pilot towns have in fact progressed towards greater sustainability. (Introducing a sewerage system does not automatically mean the town is more sustainable – its design and implementation could conceivably make the situation worse, rather than better.) Second, without having a better holistic system overview it is possible that some much more effective solutions could have been found, because the system view identifies flows and feedback loops of different types and allows a better picture of ripple effects of any intervention at key points in the system. And thirdly, lack of knowledge about what specific data (and its quality) was collected may mean that this review comes to entirely wrong conclusions of the USRs themselves.

Pilot County Information	
Information	Comment
County	Homa Bay
Pilot town /Urban Area	Mbita
CoG Team members responsible	E. Otieno M. Njaro
Facilitator	Karin Erbele
Pilot Coordinator	Richard Ochiengo Bonyo
Town/Ward Administrator	Joseph Adinda, Sub-County Administrator Mbita
Steering Group	7 members listed in the USR. 1 woman.
Working Group	16 members listed in the USR. 2 Women.
Stakeholders Forum	16 Members listed in the USR , 2 women
Quick Win Project	Mbita Town Solid Waste and Environment Management Project
Change Project	
Vision Statement	An orderly, scenic and vibrant lake town for sustainable growth.
Status of USR	Completed
Criteria for review of USRs:	
Participative in formulation	Yes
Poverty alleviation focus	Not explicit
Gender sensitivity	To some extent. No gender disaggregation of data or issue identification, or prioritisation. In the stakeholder analysis and creation of stakeholder groups efforts towards gender balance are explicitly described.
Consideration of natural environment	There is no consolidated description of the natural environment or natural resources of Mbita. There is some geographical information regarding latitude and longitude, altitude, and lake side location. Some natural environment problems are mentioned, scattered in various sections - pollution of Lake Victoria and invasion of water hyacinth, local flooding because of poor drainage management, deforestation and air pollution because of wood and charcoal burning. Photography is the primary source of information for living and working environments.
Reference to climate change and adaptation	Only in passing when listing issues: "unreliable rainfall owing to climate change factors such as deforestation..." and "food insecurity form poor agricultural practices and effects of climate change e.g. persistent drought." (p45)
Vulnerability analysis (A vulnerable town is not sustainable.)	No comprehensive vulnerability or risk analysis. The main risks mentioned include risk of erosion from deforestation, risks that pollution poses to health, risks to pedestrians and vehicles because of poor drainage systems and open manholes.
Institutional analysis / management	Organisations, administrative structures (National as well as County) and responsibilities, and some relevant legislation (especially on planning) is provided. However, there is little of an analytical nature, beyond showing that laws have not been fully adhered to, and management/enforcement capacity is generally inadequate for the growing challenges.

Root cause analysis	Has a full section on "problem diagnosis." Root causes are not identified and many "problems" are defined as "lack of..." which in fact point to assumed solutions, without identifying or defining the problem being addressed.
Cross-sectoral system analysis	Over 20 sectors and sub-sectors are described. Some very briefly and with no quantitative data, others rather extensively. Broadly speaking there is no comprehensive cross sectoral system analysis, but there are references at times to the effects of one sector on another (e.g. waste management's link to public health).
Analysis of spatial context relevant for sustainability	Three maps in the document are provided to give the geographic context. There is a relatively good section on urban planning, form, and growth pattern, and there is reference to some locational advantages (for fishing). However, apart from stating that a plan is needed to provide for coordinated development, the analysis is not directed at sustainability.
Reference to the UN SDGs	Not mentioned. Standard SCA description in Introduction is not used.
Designed as input to ISUDP/CIDP or other County endeavours	Policy framework includes national Vision, Medium Term Plan, County Development Plan. Spatial planning is given a special section. A long term spatial plan is presented as a pre-condition and physical framework for addressing most other issues
Designed for project intervention	Yes. Based on Vision and Basic Objectives a "popularly agreed" QW project was designed, as was a subsequent Change Project (which is not described in the USR).
Maps of issue distribution	No. Beyond locational maps, there is one map showing the main road network of the County.
Annexes of quantative data	No. The USR would be enhanced by an annex with some metadata on what data and information has been collected, collated and analysed.
General comments on USR	Does not follow the standard SCA introduction fully. Has a good description of the working structure and process through time, including specific milestones. Describes the stakeholder analysis using a graphic – though this is not fully explained. Has a lot of useful and descriptive photographs that give a fairly comprehensive picture of the town and its issues. Has over 20 sectors and sub-sectors listed, some very briefly, some very extensively (e.g. motorised transport). Some sections include opportunities and challenges. Unfortunately this is rather uneven. Does well to have a good section on public health issues. Unfortunately, many issues are described in terms of "lack of..." - indicating assumed solution, without pinning down the real problem(s) An excellent listing of issues identified by specific stakeholder groups, and a good discussion and summary of key issues. Three core objectives under the Vision Statement are presented. The first one is to develop a Mbita Urban Spatial Plan for Sustainable Development. This section is followed by a discussion on strategies and activities, leading to formulation of a title and theme for the Quick Win Project. No mention is here made of the Change Project. Has a communication plan at the end of the document.

Pilot County Information	
Information	Comment
County	Tans Nzoia
Pilot town/Urban Area	Kiminini
CoG Team member responsible	Robert Rawinji (PO),
Facilitator	Åsa Forsman (SCF)
Pilot Coordinator	Ward Administrator: Dennis Waswa
Steering Group	"chaired by the Governor or the CS and comprising all CECs in the county, as well as a few strategic COs and representatives from civil society" (USR para 7.1)
Working Group	"The Working Group consists of roughly 15-20 members, representing different ministries in the county as well as residents of Kiminini. The Pilot Coordinator, PC, is the Ward Administrator for Kiminini and the assistant PC is an urban planner from the department of physical planning. The Working Group is organically changing and expanding according to the different stages in the SymbioCity process" (URS para 7.1)
Stakeholders Forum	"For communication and interaction with the residents in Kiminini, a stakeholder forum has been set up." (URS para 7.1) We have a pdf copy of "stakeholders" who apparently gathered to a specific (unknown) meeting and "signed up."
Quick Win Project	Organic waste recycling (Mission Report 10, ÅF)
Change Project	
Vision Statement	A green vibrant town with opportunities for all.
Status of USR	Completed
Criteria for review of USRs:	
Participative in formulation	Yes, creatively so. Use of photos and public exhibitions
Poverty alleviation focus	Not explicit. But relatively good description of poverty levels by neighbourhood in Kiminini. Average incomes, highs and lows are given.
Gender sensitivity	Not explicitly or generally. Little gender disaggregation of data or issue identification. A graph showing Kiminin's expected population growth shows male and female contributions. In describing the town's vision, the document states that it's residents want services to be available to all regardless of "ethnicity, age, gender or religion." (49)
Consideration of natural environment	In the document Kiminini is introduced within its historical, spatial, economic and institutional setting but not within its natural environmental context. Waste that is not managed well leads to deteriorating living and working environments, and is linked to blocked drainage channels, and detracts from the area's aesthetics. Later sawmills are (dis)credited as causing deforestation, soil erosion, blocked drainage channels, air and noise pollution. (p38) Energy use also leads to air pollution and deforestation (p38).
Reference to climate change and adaptation	There is no description of actual or perceived climate changes in Kiminini (even though there is a general comment about the "threat of climate change"). The global crisis is linked to energy and it is in this context that this single comment is given.
Vulnerability analysis (A vulnerable town is not sustainable.)	There is no actual vulnerability analysis. Risks that are perceived include fires, health from unhygienic public status, transport and traffic risks to pedestrians (especially school children), personal safety in dark places.

Institutional analysis / management	The Trans-Nzoia County administration structure is described and especially the division of Kiminini between 2 Wards. The implications of this for the Pilot are not discussed, but both the Pilot and subsequent ISUDP are intended to lead to gazetting a Town covering the <i>de facto</i> built up area - which has been defined in the Pilot. The National Gov't structure within the County is also given. However, there is little real institutional analysis, nor the Pilot's role in affecting it. "Institution" is used to mean "organisation" such as tertiary education institution. A list of "institutions" (ie. organisations) is given under social functions.
Root cause analysis	No systemic root cause analysis is described for any of the issues described.
Cross-sectoral system analysis	Eight urban systems/functions are identified and described primarily in terms of assets and challenges. The linkages between these "sectors" are not systematically addressed at the higher level, so identifying those interventions that will have the greatest total impact for a given investment is not possible.
Analysis of spatial context relevant for sustainability	This is not explicitly analysed. Some geographical or locational assets are acknowledged (national road) but their impact on sustainability is not elaborated.
Reference to the UN SDGs	In the standard description of SCA SDGs are mentioned. Otherwise not referred to.
Designed as input to ISUDP/CIDP or other County endeavours	There is regular mention of the ongoing ISUDP. From other sources we know that there has been collaboration between the Pilot and the ISUDP Consultant. The ISUDP is mentioned within the context of Goal 2, leading to the formalisation of a "Town" status.
Designed for project intervention	Although the description of the organisation and work process of the Pilot refers to the Steering Group's role in approving the quick win and change projects, this is the only reference to them in the USR. The activities identified under the 4 Goals will most often, be in the form of projects.
Maps of issue distribution	No. But in some cases difference between parts of the town are given in the text. There are several maps of the town.
Annexes of quantitative data	None. The USR would be enhanced by an annex with some metadata on what data and information has been collected, collated and analysed.
General comments on USR	A good and well-structured document. Has a few clear statements on sustainability issues and includes a clear understanding of at least some of the preconditions for social sustainability. Has structured its presentation according to "urban systems": Social Functions, Commercial Functions, Housing, Green spaces, Solid waste, Water and Sanitation, Mobility and Transport, Energy. Unfortunately, the work does not go on to show how these functions work together in the larger system, and instead looks at assets and challenges for each function individually. So the full effect of the "Symbio" aspect of urban sustainability is not achieved. For each urban system as list of assets and challenges is provided. Four Goals were identified. Each is described with short, medium and long term targets or activities. No impact analysis is given for any particular activity, nor are there "alternative and innovative urban solutions" presented or assessed comparatively. The step towards choosing quick win and change projects is not described. This USR has a very good description of the organisational structure and work process used in the pilot. Here we find that for each "urban system" an appropriate selection of relevant local organisations and associations were brought together eight times to produce the results. The innovative and participative photo history of Kiminini, led and run by residents is described.

Pilot County Information	
Information	Comment
County	Kisumu
Pilot town / Urban Area	Aheru
CoG Team members responsible	UDS Ms Everlyne Otieno,
Facilitator	Karin Eberle
Pilot Coordinator	Mr. Sule Stephen. Planning Assistant, Department of City Planning, County Government of Kisumu
Steering Group	15 Members, Governor, CS, 7 CECs, 5 COs, 1 MCA Ahero
Working Group	18 Members, 4 women
Stakeholders Forum	23 Organisational Representatives.
Quick Win Project	Integrated Solid Waste Management and Drainage System
Change Project	Nyando River Multi-Park
Vision Statement	A clean, healthy, resilient, convergent and people-centered city of prosperity.
Status of USR	Completed
Criteria for review of USRs:	
Participative in formulation	Yes. Included clean up. An excellent history of participative events and activities is provided in Chapter 5 (p28ff)
Poverty alleviation focus	There is clear reference to poverty, with its alleviation being described as the 'mission' of the SymbioCity Approach. The specific links between proposed activities and their assumed impact on poverty is not well developed.
Gender sensitivity	Not explicitly or generally. No gender disaggregation of data or issue identification. The status of women in Ahero is described, but there are no specific strategies to empower them, except to organise women's groups and undertake gender impact analysis on proposed projects.
Consideration of natural environment	Most of the reference to the environment is linked to waste management and creation of a clean town. River bank erosion is mentioned, as caused by "free roaming cattle." and will be addressed by a special cattle bridge. Flooding is a serious risk factor - at the micro level this can be caused by blocking of drains; at the river level, the USR describes what the County and national authorities are already doing at a systemic level to combat its occurrence, and how various agencies cooperate to handle any flooding crises that does occur. Fertile soil is seen as a major natural resource, for agriculture.
Reference to climate change and adaptation	No specific reference to climate change and adaptation. Acknowledgement that Ahero has a tropical climate and hence flooding and periodic droughts.
Vulnerability analysis	There is no vulnerability analysis, nor plans for resilience. However, risks and threats or issues are presented under each urban sector description; and the SWOT table produced by stakeholders also lists "threats."
Institutional analysis / management	There are some descriptions of organisational structures, and one of the status of plans/planning for Ahero, which basically indicates that existing plans are not enforced. Elsewhere there are comments such as that health facilities are not equipped to deal with

	results of traffic accidents in the town, nor are security authorities able to deal with crime in the community to the residents' satisfaction. As elsewhere waste management (both solid & liquid, including littering) is described as severely inadequate. There is however no overall analysis of organisational and institutional linkages - strengths, weaknesses, issues.
Root cause analysis	The document has several examples where "causes" of particular issues are named. But there appears to be no systematic root cause analysis.
Cross-sectoral system analysis	There is no systematic analysis of the larger urban system, of which all the sectoral systems subordinate parts. This means that it has not been possible to identify the optimal intervention points that would have the greatest systemic impact, rippling through several sectors. This also means that any impact assessment will not have the benefit of a larger system with which to guide the search for impacts.
Analysis of spatial context relevant for sustainability	There is some description of the spatial or locational context of Ahero. But how this may or may not have consequences for sustainability is not described
Reference to the UN SDGs	In the standard description of SCA SDGs are mentioned. Otherwise not referred to.
Designed as input to ISUDP/ CIDP or other County endeavours	The Change Project has several elements that relate to items in the CIDP.
Designed for project intervention	Yes. With descriptions of QW and Change Project
Maps of issue distribution	No, but some maps of study area and roads.
Annexes of quantative data	No. But references to GIS, so data should exist. The USR would be enhanced by an annex with some metadata on what data and information has been collected, collated and analysed.
General comments on USR	A well structured report. Clear statement of how far in the SymbioCity cycle the project goes (stages 1-3). Beyond that a fairly standardised approach to situation analysis, identification of prioritised issues. Application of the SCA in Ahero "has been translated into a mission for Ahero: To promote, facilitate and coordinate activities of different actors towards sustainable development and poverty eradication in Ahero Town." Poverty alleviation here becomes a primaty goal, but in the rest of the document this is not transformed into explicit activities that will focus directly on the poor or on poverty. 13 different "sectors" are presented. The vision statement is expanded well. What is evident is that the process has been very participative and included many innovative activities that have engaged the general public in getting views but also doing constructive and beneficial things - like arranging clean-up days. Raises the question: will this happen in future exercises or will finances be curtailed in all the truly participative activities? 10 Key issues/priorities are listed: There is an excellent section (§6.3) listing lessons learned from the process that must be applied if it (the SCA) is to be sustainable. Several very practical tips for future exercises.

Pilot County Information	
Information	Comment
County	Meru
Pilot town / Urban Area	Ontulili
CoG Team members responsible	Robert Rawinji (PO), Everlyne Otieno (UDS) Maureen Njoga (Programme Coordinator)
Facilitator	Ian Munt
Pilot Coordinator	Jefferson Musyoka Paul
Town/Ward Administrator	Mwongela Bernard Lintari, Ward Administrator
Steering Group	9 Members, 1(?) woman
Working Group	10 Members, 1 Woman, 6 from Department of Lands, ICT and Planning
Stakeholders Forum	
Quick Win Project	Market Area Improvement Lighting and Greening Activities Very well presented; claims to incorporate elements of 8 different main objectives working toward their Vision. Provide both pros and cons.
Change Project	Urban environment improvement – green Ontulili: highway/roadside tree growing and landscaping hubs parking and pedestrian access, shade bodaboda stands, provisions of open spaces, introduction of area based waste management system and awareness creation. Well presented. Claims to integrate elements of 8 different Main Objectives working toward their Vision
Vision Statement	A well planned, managed and economically sustainable town.
Status of USR	Completed
Criteria for review of USRs:	
Participative in formulation	Yes
Poverty alleviation focus	Not explicit. Poverty is acknowledged, but no objectives or strategies are explicitly aimed at reducing poverty. No attempt to identify degree of poverty. Closest is the statement that average small farmer incomes are about \$3 per day (Ksh 300)(p18)
Gender sensitivity	Not explicitly. No gender disaggregation of data or issue identification
Consideration of natural environment	Mentions land degradation, soil erosion, climate change (variability), decline in water resources, deforestation. Greening is part of the QW and change project, but this appears to be mostly focused on aesthetics (landscaping), and micro-climate improvement (shading of parking areas and bodaboda stand) rather than addressing erosion, climatic or ecological issues. Biodiversity is not mentioned, though introduction of non-native species is. Water pollution is mentioned.
Reference to climate change and adaptation	Has information on climate: evapotranspiration, solar radiation, wind speed, no specifics on rainfall. However, rainfall patterns and weather said to be changing, with drought and fluctuations in temperature mentioned.
Vulnerability analysis	No real risk or vulnerability analysis or mapping evident. However, risks due to poor sanitation and storm water management, waste management are mentioned, as are road and traffic risks to both pedestrians and road users.

Pilot County Information	
Information	Comment

Institutional analysis / management	"Ontulili has no administrative and management structure to oversee the delivery of basic services to the town's residents.' the only County institution is the Ward Administrator based in Timau. Urban management is seen as one of Ontulili's sustainability issues. Private institutions, e.g. banks, are located in Nyanuki.
Root cause analysis	Not really.
Cross-sectoral system analysis	"The coordination and linkages with, and between, the various sectors and actors that serve Ontulili town residents is inefficient." (p38) Scattered through the document are small items showing links - between storm water drainage, pollution and health. The proposed alternative "urban solutions" show different degrees of cross-sectoral thinking.
Analysis of spatial context relevant for sustainability	The spatial context is presented primarily as a means to illustrate opportunities for economic growth, as opposed to sustainability as such.
Reference to the UN SDGs	In the standard description of SCA SDGs are mentioned. Otherwise not referred to.
Designed as input to ISUDP/CIDP or other County endeavours	Yes, explicitly. It is hoped that the USR will provide an input to both CIDP and the Sub-County Spatial Plan. (p10) "OBJECTIVE 8: Provide better sustainable urban spatial planning leading to well managed town and enforced development " (p49)
Designed for project intervention	Yes. Each objective area lists specific actions, many of which will involve project approaches and interventions.
Maps of issue distribution	Not in the document.
Annexes of quantitative data	No. The USR would be enhanced by an annex with some metadata on what data and information has been collected, collated and analysed.
General comments on USR	Follows the basic USR (K) model, outlining the current situation, together with establishment of vision and prioritised objectives to address identified issues/challenges. Very few maps showing distribution of assets, opportunities, threats. Good use of symbols in presenting objectives. The USR acknowledges the relationship of Omtulili with Nanyuki (the capital of neighbouring Laikipia County) and their interdependence. This includes reference to Omtulili in Nanyuki's ISUDP. There are a few (but only a few) references to inter-sectoral linkages, an example being between household incomes and housing types. Still no graphic showing these kinds of systemic linkages. The Vision is well stated, and interpreted in 9 objectives. What is positive in these is that they actually address environmental, economic, social AND institutional sustainability issues, though not identifying them as such. In spite of this the "symbio" between them is not explicit. And the danger of leaving it implicit is that there is little conscious awareness of the importance of symbiotic links between sectors, however those sectors are defined. A deliberate and well presented section on alternative, integrated solutions to urban sustainability actions leads to 3 high priority areas. The first has been chosen for QW and CProject. Objective 3 on water, and one proposed change project do address vulnerability of water supply and seek to provide a variety of sources. This demonstrates not only resilience thinking but robustness, as means of reducing degree of vulnerability and adaptation to climate change impacts.
County	Kitui
Pilot town / Urban Area	Kwa Vonza

ANNEX 5 – USR REVIEW

CoG Team members responsible	N. Mbwika (PM) R. Rawinji
Facilitator	Ian Munt
Pilot Coordinator	Sammy Kathike
Town/Ward Administrator	Town Administrator Kitui: Sammy Kathike
Steering Group	10 Members listed in PM of 20161206, 2 women
Working Group	10 (core) members, 3 women
Stakeholders Forum	Not found. In mapping exercise a large number of stakeholders was identified.
Quick Win Project	Enhancing environmental sustainability and service delivery at public institutions.
Change Project	Kwa Vonz Integrated Urban Environmental Improvement Project
Vision Statement	A thriving university town with vibrant economy and sustainable green environment whose people delight in its habitability.
Status of USR	Completed
Criteria for review of USRs:	
Participative in formulation	Yes
Poverty alleviation focus	No. The word 'poverty' does not appear in the text. 'Poor' is only used as an adjective for infrastructure and services. In neither social nor economic situation descriptions is poverty described. Unemployment of youth is mentioned as a concern. There is certainly no focus on poverty alleviation as such.
Gender sensitivity	Not explicitly. No gender disaggregation of data or issue identification, except in a summary table of population figures. (p15)
Consideration of natural environment	The natural environment is described in terms of seasons, average rainfall, temperature range, soil types (low fertility, prone to erosion), and vegetation. Charcoal burning is seen as a threat leading to desertification. The report describes competition in the apportionment of scarce water between households, industries and agriculture. Environment is linked to waste management and public hygienic sanitation, to harvesting rainwater and sustainable conservation, maintenance of a clean town, and function drains.
Reference to climate change and adaptation	Climate change as a term is not mentioned. However, the importance of wise water management is a response to climate issues, whether or not these are changing for the worse.
Vulnerability analysis	There is no risk or vulnerability analysis in the document. Nor is there any impact assessment of proposals beyond listing "pros" and "cons."
Institutional analysis / management	Not as such. However, by implication several public sector institutions are not providing expected or warranted levels of service: water, sanitation and waste management, physical planning and development control, economic development, education, health and security, transport and traffic, energy suppliers
Root cause analysis	Not as such.
Cross-sectoral system analysis	8 "urban systems and functions" are described individually. Their linkages and inter-connections - i.e. the overall "urban system" covering these plus social, economic and environmental sectors are not examined or presented. Some of the prioritised objectives show an element of cross-sectoral linkage in their presentation.
Analysis of spatial context relevant for sustainability	The implications of Kwa Vonz's climate zone, as well as its more specific geographic location are described, though not specifically from a sustainability perspective. A core sustainability issue however is "physical planning and development control" putting local spatial context and configuration as a key issue.
Reference to the UN	In the standard description of SCA SDGs are mentioned. Otherwise not referred to.

SDGs	
Designed as input to ISUDP/CIDP or other County endeavours	Development and adoption of an INUDP is a specific target under Object 3. Target date is June 2018.
Designed for project intervention	Yes. Each objective area lists specific actions, many of which will involve project approaches and interventions. The PM of 20161206 clearly states that projects will be identified through the USR process
Maps of issue distribution	Not in the document.
Annexes of quantative data	No. The USR would be enhanced by an annex with some metadata on what data and information has been collected, collated and analysed.
General comments on USR	Follows the basic USR (K) model. Provides a fairly good, if short description of the geographical and natural features of Kwa Vonz. Only locational maps are shown, though the County maps has a focus on economic investment zones. Otherwise few maps. Some disaggregated population data in tables. Main economic activities described. Several "urban systems and functions" are listed and described individually, but without an overall integrated higher level system, which would have been more consistent with a "holistic" approach. Intervention points within this larger system are therefore neither identified nor discussed in a wider and deeper analysis of sustainability and symbiosis. Eight Sustainability Issues are presented, each one in a pictorial form, with a short, centrally placed summary text. The Vision statement is "unpacked" into 8 Objectives, with targets and sets of activities from quick win to short, medium and long term. In several cases targets are specific in terms of %age change and target date. This begs the question of existing baseline information. Each Objective is given an illustrative graphic, which will no doubt function as a link in future documents and projects. Three priority clusters of activities are grouped for attention. Each one is presented with a Quick Win concept and a larger Change Project concept. Reliable water supply was given highest priority by a significant margin.

No Review of Nakuru (Njoro) or Kakamga (Butere) pilots are included here, as neither is finished. 20180102

Annex 6 – Results Frameworks from Inception Report

Results Framework as elaborated in Programme Document and in inception report.

Goal				Assumptions			
Inclusive, innovative and sustainable urban development planning in Kenya.				General stability in Kenya and favourable economic development. CoG operating in an environment conducive to fulfilling its intended functions.			
Intermediary programme objective							
Urban development stakeholders have increased capacity and ability to guide Kenyan urban development in a more sustainable direction.							
Programme objectives	Indicators	Expected results	Measurable Indicators	Baseline	Target	Assumptions	Activity areas
1. CoG is set up to be responsive to counties´ needs and support urban planning, management and development	1. The institutional setup of CoG is more responsive to the needs of counties and in relation to other stakeholders. 2. CoG has an administrative function supporting urban	1.1. CoG has a clearer strategic direction for its organisation based on identified challenges and opportunities	a. Challenges and opportunities identified in a transparent and inclusive process. b. Strategic plan exists	a. Being a newly established organisation CoG is in the process of defining its strategic direction. b. No	a. Member survey confirm transparent and inclusive process b. Plan exists	Organisational commitment to the process. The legal framework is conducive for CoG to take on an executive role in urban development.	Support to strategic analysis Enhancement of the CoG’s strategy for support to councils, including development of action plan for long term development Support to development of capacity and networks Exposure to international examples of institutional and organizational set-up of

ANNEX 6 – RESULTS FRAMEWORKS FROM INCEPTION REPORT

	planning, management and development. 3. Number of policies and decisions influenced by the usage of gender mainstreaming techniques.	1.2. The strategic direction for the CoG support to counties and interaction with relevant ministries has been updated through consultations with counties and relevant ministries	a. No of consultations b. Mechanism and routines for consultation exists.	a. 0 b. No	a. 4 b. Yes		organisations similar to CoG Consultation with councils and relevant ministries Support to formation of relevant institutional structure for support to counties
2. Local stakeholders in seven counties plan, manage and develop their localities with a sustainable perspective.	1. Sustainability principles introduced in county integrated development plans and integrated urban development plans 2. Local stakeholders have opportunity to influence decision making processes in urban development. 3. Tangible improvements of community services through improved management and small scale investments. 4. Number of policies and decisions influenced by the usage of gender mainstreaming techniques	2.1. Sustainable and participatory approaches to urban development adopted and applied by decision-makers in seven counties	a. No of decision makers participating in activities (m/f) b.No of policies and practices affected/ established by the programme	a. 0 b. 0	a. All relevant decision makers b. 35	County governments; ○ will embrace sustainable urban development process using the	Application of the SymbioCity Approach in seven counties; 1. Organizing the county projects 2. Integrated Urban Planning 3.Integrated Project Development 4. Support to Urban Improvements (including seed financing)
		2.2. Civil society and local stakeholders participate actively in urban planning, development and management in seven counties	a.No of initiatives influenced by local stakeholders b. No of local urban forums actively engaged in urban processes	a.Baseline study to determine level b.Baseline study to determine level	a. Increase by xx% (target to be determined in consultation with the respective county) b. 7	SymbioCity approach, including aspects on gender mainstreaming. ○ have relevant staff and will avail these for the SCA process have a cooperative environment with local civil society, to provide the platform for participatory urban development There will be adequate interest amongst local people and experts in the SymbioCity Process	5. Operation and Maintenance Management Support 6. Implementation

ANNEX 6 – RESULTS FRAMEWORKS FROM INCEPTION REPORT

		2.3. Seven counties have sustainable and participatory urban plans and urban improvement projects prepared through a SCA process	a. No of plans revised or created b. No of plans and projects influenced by the usage of gender mainstreaming techniques. c. No of urban improvement projects developed	a. 0 b. 0 c. 0	a. 7 b. 7 c. 7		
		2.4. Staff in seven counties have enhanced capacity to plan, develop and manage urban areas in a holistic and sustainable manner	a. No of officials at county level trained in the use of SymbioCity approach (m/f) b. Level of urban service improvement based on improved management c. Facilitation has been made for 7 municipal partnership programmes.	a. 0 b. Service delivery baseline built into the USR process c. 0	a. 70 (60/40) b. To be determined in consultation with counties c. Match-making activities involving 7 counties and Swedish counterparts		On-the-job training Training programmes; Integrated Urban Planning and Integrated Project Development.
		2.5. New and innovative solutions for urban improvements are implemented in seven counties	a. No of urban improvement projects implemented b. Level of urban service improvement as expressed by women, men and	a. 0 b. c. Service delivery baseline (in relation to proposed project area)	a. 7 b. To be determined in project proposal	A credible integrated project plan is a prerequisite for further investments. Adequate procurement and control functions are established.	Urban improvement projects identified through the SCA process in the respective counties, to be implemented with support from programme seed funding

ANNEX 6 – RESULTS FRAMEWORKS FROM INCEPTION REPORT

			youth	to be determined as part of project proposal			
3. MoLHUD/UD D and CoG have increased capacity to support urban planning, management and development in counties.	1. UDD/CoG representatives participation in capacity building activities through the programme. 2. Perceived improvement of level of support from UDD/CoG in counties	3.1. UDD and CoG have a joint understanding of bottlenecks and opportunities to sustainable urban development in the current planning system, and a plan of action for optimization	a. Joint understanding expressed through reports/statements. b. Plan of action exists.	a. 0 b. No	a. 2 reports/statements and self- assessment confirming joint understandi ng. b. Yes	UDD and CoG allocate relevant and sufficient resources (capacity) to support and develop the programme. The legal framework is conducive for CoG to take on an executive role in urban development.	Systems assessment of current planning system Consultation with relevant stakeholders for optimisation Development of Action plan for improving the urban planning system, in line with the NUDP SCA experiences adapted to Kenyan context Application of SCA in daily work Active involvement in County Projects, on site and as part of PIU Participation in training and other capacity building activities in county projects
		3.2. UDD and CoG contribute to the County Projects, have gained exposure to SCA and are capacitated to spread SCA experiences to other counties	a. Level of involvement in training and other project activities b. No of initiatives taken to share experiences	a. 0 b. 0	a. Participate in all budgeted activities, self assessment and county survey confirms active involvement (through annual work plan, individual developmen t plans). b. 5		

ANNEX 6 – RESULTS FRAMEWORKS FROM INCEPTION REPORT

		3.3. UDD and CoG have access to SCA and other relevant methods, tools, results and findings - adopted to Kenyan context – and use these to support urban development in Kenya	a. Relevant methods, tools, results and findings documented (including gender mainstreaming tools) b. No of Urban development initiatives in Kenya influenced by SCA.	a. 0 b. 0	a. 8 methods, tools, results and findings documented b. 3		
4. KSCP experiences shared among counties and urban development stakeholders to stimulate cross fertilization and networking.	1. Interactions facilitated between CSOs, private sector and experts from the academia on sustainable urban development programmes	4.1. SCA principles shared with other urban development programmes to stimulate enhancement.	a. No of initiatives for sharing knowledge between KSCP and other urban development programmes	a. 0	a. 10	- There will be adequate interest in all the sectors in the SymbioCity process - Counties not directly involved in the process will be interested in learning about SymbioCity	Identification of possible entry-points (such as KMP, KISIP, CSUDP, UN-Habitat, planning schools, Kenya Institute of Planners etc.) where SCA principles could provide added-value. Providing SCA support in response to demand from other stakeholders and initiatives.
	2. Improved dialogue between selected key urban stakeholders.	4.2. KSCCC established to support dialogue and information sharing among key stakeholders.	a. No of KSCCC meetings and attendance (m/f)	a. 0	b. 6 meetings with attendance by all member organisations, usefulness confirmed by survey	There will be adequate interest from other urban development programmes in cooperation with KSCP KSCCC meeting with discussions and sharing of knowledge.	
	3. Interactions facilitated between counties and between Kenyan and Swedish actors	4.3. Urban stakeholders in all 47 counties are offered exposure to innovative technical solutions and exchange between Swedish and Kenyan private sector is facilitated	a. No of events and participants (m/f)	a. 0	a. 200 participants (50/50) through at least 6 activities (scale and scope to vary)		Organization of events to showcase innovative technical solutions to urban challenges, e.g. based on experiences/examples from county projects, to all 47 counties and other relevant actors

Annex 7 – Results Frameworks Amended April 2017

Results Framework as amended in April 2017 for the SymbioCity Kenya programme 2016-2018

Please note the achievements are noted in the last section as viewed by the MTR team.

This framework describes the results chain of the SCK, how the activities in the programme will achieve outcomes which, taken together, and under some assumptions will lead to the project objectives. It also provides for continuous monitoring of programme progress with the help of indicators. On project objective level there are a few descriptive indicators and some measureable targets.

On outcome level, there are so-called progress indicators, intended to measure incremental progress.

The indicators are grouped in three different categories: Expect to happen, Like to happen, and Love to happen. They are colour coded in different shades of grey with "Expect to happen" being the lightest shade. Theoretically, the outcomes can be considered to be achieved on the border between Expect and Like. anything beyond that is welcome over-performance.

Assumption A: Organisational commitment to the process.

Assumption B: The legal framework is conducive for CoG to take on an executive role in urban development.

	Indicators	Targets 2019-2020	Means of verification	MTR Comments: Achievement to 2017/12
Program objective 1: CoG has improved capacity to be responsive to counties' needs and to support urban planning, management and development	> COG (UST at a minimum) has introduced basic quality assurance for its programmes and services, which means that they are based on evidence, and show a high level of consistency and reliability > COG (UST as a minimum) works strategically, matching available resources with prioritised tasks. >Results (learnings/innovations) from the project are replicated in other counties by way of CoG.	> Documented quality criteria exists for at least two different services > Director Programmes can list tasks which has been down prioritised or postponed and why > At least 3 clear cut examples	External evaluation	An Urban Support Team (UST) exists. It has undertaken or overseen, a number of studies for the COG Urban Development Committee (UDC). It is not currently working on any specifically urban issues, and does not view SCK as one of its projects. SCK has partially or wholly financed some staff who work at least in part with the UST. The MTR has not found any evidence that results from the project thus far are being or have been replicated in other countries by way of CoG.

Expected results/Outcomes	Progress indicators	Baseline (as of April 2015)	Target (at the end of the project)	Means of verification	MTR Comments: Achievement to 2017/12
PO1:1 Urban Support Team established and working effectively with committee, members and external stakeholders	Human resources in place	There was 50% of a full time devoted to Urban, financed by donors.	At least 1 professional with the appropriate qualifications, salaries financed by CoG's own budget. 1,5 person financed by other means	Written confirmation from CEO	There is no 100% CoG financed person devoted full time to urban issues. All staff at CoG work under 1 year contracts; turnover is high. The incentive to stay with the organisation as a career is not high. There is one urban person working for CoG fulltime, paid by the project, and a number of other staff financed wholly or in part by the project.
Expected results/Outcomes	Progress indicators	Baseline (as of April 2015)	Target (at the end of the project)	Means of verification	MTR Comments: Achievement to 2017/12
	Committee and UST is working together according to established procedures to ensure consistency and quality	Committee rules and regulations are not followed, committees meet rarely and rarely in full, Scarce resources in secretariat=weak support, no manual	Manual exists and is known and followed by staff	Interviews with staff, Committee reports etc.	Committee (of Governors) meets very seldom, and virtually never has a quorum of members present. There is a manual on committee and UST procedures and routines.
	Committee work is documented	No documentation	All meetings properly documented and archived	Council records, Committee Reports	We have seen some minutes, but by no means all documents were available for review or comment.
	The UST is taking own initiatives	No UST , no initiatives	Approximately 30% of committee output is initiated by UST on average during a year	Interviews with staff, Committee reports.	As the committee has not met in over a year, all work done by the UST is basically on its own initiative.
	The UST is working strategically with some long term goals	No UST, Mostly reactive work	At least two examples of decisions proving that work planning process is aligned with long term strategy.	Interviews with staff; Council records, Committee Reports	Nothing that we have seen indicates that strategic urban issues have been handled by the committee. There have been inputs to UN Habitat III, and work done on land matters. There have been inputs to legal amendments to a number of laws. A statement of Strategic Priorities for the UDC has been produced.
	The work of UST and committee is enabling and inspiring action among members and stakeholders	The committee work is not reaching stakeholders to any significant degree	Between 5-10 clear cut cases of action due to the committee's work. Members recognise the value of the committee initiatives	Committee reports, Member survey	No change from baseline description.

	The UST is regularly evaluating its activities and takes necessary measures to improve operations	No internal evaluation and learning	Documented learning exists	UST internal records and reports	No systematic evaluation of its work, nor has documented learning occurred. In Maarifa Centre the shelf dedicated to the UDC does not contain any material published by the UDC or COG on urban issues. (Dec. 15 2017 visit).
	Gender and sustainability is considered when planning and reporting UST activities	These issues were not issues	At least three examples of anecdotal evidence of how these factors are being used.	Interviews with staff, Committee Reports, Documents spear-headed by the Committee	These issues were not issues for the UDC. However, The CoG has worked with internal gender issues, and has a Gender Policy.
Typical Activities/Outputs	TA for developing routines and procedures manual				Work has been done on routines and procedures. We were not able to assess the degree to which they have been followed.
	TA for Process analysis and Internal learning exercises				Not yet.
	Practical testing of new ways of working				The PM has initiated regular coordinating meetings with other CoG committees and he indicates that some small initiatives are being taken to work across committee lines - but no documentation been given.
	Support to the design and development of the Maarifa centre				Not yet. Support, including mentoring has been offered but not taken up.
PO1:2 Strategic and systematic knowledge management established at CoG	UST consults with representatives of member county governments on current issues on the urban agenda.	Few and reactive consultation meetings	Minimum 6 formal meetings per year	Annual report of CoG, Committee Reports	
	UST makes full use of the SCK project and secures relevant learnings for later use	No project	Minimum 5 clear cut examples over the last year	SCK reports	Nothing yet. SKL-I has reviewed and commented on Mission Reports, as a concerted effort to summarize "Learnings." The extent to which these "learnings" have affected subsequent work is not clear.
	UST captures, manages and disseminates relevant knowledge about urban development	No systematic capturing	Minimum 5 clear cut examples over the last year	CoG reports	Nothing yet.

	UST has basic tools and procedures in place for gathering data and knowledge, and identifying counties' needs in terms of urban planning and related issues.	Limited consultation, no tools, not systematic	>tools for consultations developed. >Consultations done for all major issues >60% of members reached per year >systematic collaboration with Maarifa	CoG reports; Committee Reports	See Maarifa Centre. Our impression is that this is not seen as the work of the UST
	Urban knowledge products are relevant to the counties' needs, and packaged and accessible in suitable ways	No products	>Proportion of returning customers in Maarifa centre is at least 50% >3 examples of how methodology introduced by SCK turned into products to be used by counties.	Maarifa report; UST reports; Project reports	An embryo library has been in operation at Maarifa for approximately 8 months. It includes a wide variety of publications, some of which are relevant to Counties' needs. At present they are not packaged other than as hard copy publications.
	Urban knowledge products are used by counties	No products	At least 50% of counties have applied some urban advisory or guidance offered by CoG	Project Survey in 2019	N/A
	Urban knowledge products are developed and updated according to new findings and new needs	none	At least three examples of anecdotal evidence of how member consultations have resulted in new products.	Interviews with Maarifa staff	At present Maarifa is not producing its own products. In terms of CoG and its UDC, the only knowledge products are those produced through SymbioCity Kenya.
Typical activities/outputs	Mentoring programme for data management and evidence based advocacy				A concept note has been prepared, sub-mitted and briefly discussed. SCK has been waiting for a response for some time now.
	TA for establishing systematic collaboration btw UST and Maarifa centre on processing learnings				
	TA for building up systematic consultation procedures				
	Project information and communication activities to capture and disseminate project learnings				Maarifa has a minimal number of SCK products on the project. Final approval by Counties on their own USRs is awaited before SCK submits them to Maarifa for dissemination.

PO1:3 UST/CoG achieved strategic and systematic interaction and dialogue with national level and international stakeholders on urban matters	UST has opportunity and request based interaction and dialogue with national stakeholders	Only request based dialogue	5 clear cut examples over the previous year	CoG reports, Committee Reports	The MTR is aware of interaction with UDD on the KenUP, and with MoLPP on Physical Planning Guidelines. The SCK interacted with UN-Habitat in preparation for HABITAT III in Quito. SCK has recently had contact with CSUDP but not at CSUDP's request and not systematically. However, no evidence was provided of "strategic and systematic interaction and dialogue" with other urban stakeholders, nationally or internationally. Though UNDP is working with CoG in environment, and UN-HABITAT has supported urban projects, the MTR found no hard evidence of strategic and system-atic interaction or exchange through which the programme could benefit from lessons learned with either one.
	CoG is providing leadership in different forums for interaction between central government, CSOs, private sector and experts from the academia on sustainable urban development programmes to stimulate cross fertilization and networking	CoG was not providing leadership in any forum.	CoG suggested items on the agenda in at least two meetings per year.	UST internal records and Committee reports	No change from original status.
	UST/CoG is being asked to engage in government task forces and reference groups on current issues	UST/COG was not in any task force	UST/CoG participates in at least one task force per year	CoG reports, Committee Reports	UST has been involved with HLPP on Physical Planning Guidelines.
	UST interaction and dialogue with national stakeholders is guided by a strategic plan	No UST, no strategy	At least 2 examples of anecdotal evidence	Interviews with UST	No evidence of such was provided.
	CoG developing targeted interventions to address bottlenecks to sustainable urban development in the current planning system	No such initiatives	Two targeted interventions per year	CoG reports, Committee Reports	No evidence of such was provided.
	UST bases its advocacy on evidence (knowledge) gathered and managed according to plans and internal procedures.	No UST, no advocacy	1-2 clear cut cases documented	UST internal records and reports	No evidence of such was provided.

	CoG and stakeholders work towards joint plans of action for optimi-zation of the current planning system	No joint planning, and limited collaboration	Joint plans unveiled at Devcon 2018 and 2019	Devcon documents	No evidence of such was provided.
Typical activities/outputs	Technical advice and assistance to develop strategic management				
	Support for strengthened internal and external communication for e g website				SCK has supported CoG's website development.
	Mentoring programme for data management and evidence based advocacy				SCK has given a mentoring concept paper to head of Maarifa but has not received any response.
	TA for mapping the planning landscape				Not reported.

Programme Objective 2

Assumption A: The experience of piloting the SymbioCity Approach in their towns, coupled with the shared experiences of other towns will convince key decision makers to introduce SCA principles in urban planning, development and management.

Assumption B: Civil society actors will, based on their experience, insist on being involved in community and town planning

	Indicators	Targets 2019-2020	Means of Verification	MTR Comments
Program Objective 2: The SymbioCity Approach is applied in urban planning, management and development in selected urban areas in seven counties, providing useful experience and innovative solutions to other counties and stakeholders	> Urban Sustainability Review results (analysis, vision and strategic directions) provide input to County plans (CSP, Sector Plans, CIDP, and ISUDP) > The SCA approach to project development is applied in urban development processes > Consultative approaches piloted during the project are replicated in other processes > Cross-departmental and multi-stakeholder collaboration is continued and institutionalized.	> Clear cut examples from all seven counties > Clear cut examples from projects in more than half of counties > Clear cut examples from processes in more than half of counties > At least 2 examples of anecdotal evidence in each county	External evaluation	Pilot exercises in 7 Counties are underway. The SCA has been applied in stakeholder identify-cation of major issues, visioning, and prioritisation of interventions. It has not been applied in urban planning or in urban management as such.

Expected results/Outcomes	Progress indicators	Baseline (as of April 2015)	Target (at the end of the project)	Means of verification	MTR Comments: Achievement to 2017/12
PO2:1 Decision makers and staff in seven pilot counties have practical experience and skills for applying the SCA process and concepts on their urban development planning	A sufficient number of decision makers and civil servants at county level have been actively engaged in implementing the SymbioCity approach (m/f).	No one capacitated on SCA	At least 10 civil servants and 5 decision makers per county have been engaged as members in Steering committee and Working group.	Project reports	Target has been fulfilled as stated. This is not to say that there is full capacitation of those sitting on steering and working committees. The full process cycle of the SCA has not been completed.
	Urban sustainability Reviews prepared through a SCA process.	USR unknown concept	All pilot areas have produced USRs	Project reports	5 of 7 Counties have produced USRs
	Urban improvement projects prepared and implemented through a SCA process	Pilot towns do not normally develop project proposals	All pilot areas have prepared and implemented urban improvement projects	Project reports	5 of 7 Counties have produced quick win project proposals, 1 continue to work on these. All 7 are working on change project proposals, 1 of whom is combining QW and change project. No implementation has occurred.
	Pilot towns share their experiences and are informed about the progress and innovation made by the other pilots.	Very limited exchange of experiences between counties	At least 7 peer exchange visits initiated and organised by the pilots	Project reports, Newsletters	Exchange is still limited, though some has occurred.
	SCK project inspires new and increased number of innovative solutions for urban improvements	limited number of innovations	Anecdotal evidence from at least 7 pilots	Project reports, Newsletters	Innovations are local and still limited.
	Urban Improvement projects achieve their stated goals	No projects initiated so far	70% goal fulfillment	M&E of project implementation	No projects initiated so far.
	Improvement project process and results become knowledge products by Maarifa	No projects initiated so far	Atleast Seven Knowledge Products channelled to Maarifa one from each of the seven pilots	Project Reports, Maarifa Centre Products	No projects initiated so far.
Typical activities/outputs	TA to support the SCA process				4 facilitators support the process
	Exposure to new and innovative ideas				Local staff and people have been exposed to things other towns are doing.

	Trainings and other capacity building for specific purposes.				Some work has been done with solid waste management training. Not all counties have been involved.
	Quick-win projects and change projects for demonstration purposes and to strengthen project development capacity				No projects initiated so far.
PO2:2 Civil society and local stakeholders have experience of actively participating in urban planning, project development in seven counties	Stakeholder groups are identified (including citizens, NGOs, private sector) and actively engaged.	Stakeholder consultations rare and ad hoc in character	Consultations have taken place in all pilots	Project reports	Stakeholder consultation has been considerable.
	Innovative ways of consulting with stakeholders are tested and documented	Traditional forms of consultation used	At least 7 examples of anecdotal evidence	Project reports and project newsletters	Two innovative ways reported: participative history of the community; 2. Use of participative community photography used for recording present situation and prioritisation of interventions.
	Design and implementation of improvement projects are influenced by stakeholders	Stakeholder involvement in development project rare and ad hoc	At least 5 examples anecdotal evidence	Project documents and project reports	Choice of improvement projects determined by community stakeholders.
	A number of county initiatives have been influenced by local stakeholder groups.	Limited influence by these stakeholders	Anecdotal evidence from at least 4 pilots	Project reports and project newsletters	To the extent that SCK is seen as a county initiative, stakeholders have influenced decisions. In some cases, SCK will influence SUDPs
	There is collaboration with CSUDP initiated local urban forums where relevant	Such collaboration did not take place	Anecdotal evidence from at least 3 pilots	Project reports and project newsletters	None reported.
Typical activities/outputs	TA to introduce methodologies for working with stakeholders				Done
	TA to organise and facilitate stakeholder consultations				Done
	Monitoring progress and own initiatives in the pilots				done

PO2:3 County and town policies, plans and processes are influenced and inspired by the SymbioCity Approach	Cross departmental work increased	Limited cross departmental collaboration and silo thinking	At least 4 cases of anecdotal evidence	Project reports and project newsletters	Cross-departmental work was done for SCK. Outside of this context we have heard indications that it is happening elsewhere, but have not received evidence of explicit cases.
	Vertical collaboration between county, sub county and ward improved	Rigid hierarchies inhibiting efficient processes	At least 4 cases of anecdotal evidence	Project reports and project newsletters	This has occurred and recorded in at least 4 pilots. Whether or not closer collaboration will continue requires additional time.
	Strengthened (i.e. more holistic) decision making /policy making for sustainable urban development	Limited consideration of sustainability in decision making	At least 2 cases of anecdotal evidence	Project reports and project newsletters	As originally described.
	Proposals for SCA inspired policy changes in political assemblies (NB, not necessarily approved)	SCA unknown concept	Clear cut cases in at least 3 pilots	Assembly records, Project reports and newsletters	No evidence provided to MTR that SCA has inspired policy changes.
	There are traces of the SymbioCity Approach in plans produced by the counties	SCA unknown concept	Clear cut cases in at least 3 pilots	Project reports and project newsletters	Too early for this to happen.
	The following concepts from the USR are visible in planning activities of counties: Environmental, social and economic sustainability, poverty, gender, vision driven development, strategic planning, and consultative processes	SCA unknown concept	At least 7 cases of anecdotal evidence of one or several concepts	Project reports	So far only in the pilot projects.
	The SCA principles of project development and implementation such as pro-poor design, gender mainstreaming and stakeholder consultations are visible in other non-SCK projects	SCA unknown concept	At least 7 cases of anecdotal evidence of one or several concepts	Project reports non-SCK project documents and reports	Other than stakeholder consultation, there is little evidence of pro-poor design, gender mainstreaming, or strategic planning as such.

Typical activities/outputs	TA introduction and facilitation of the SCA process and methodology	Done
	TA induction of decision makers in steering group activities	Done
	Exposure to other organisations & ways of working	No evidence provided to MTR.

Annex 8 – Reconstructed Timeline

Date	Event	Source
2011 →	ICLD runs international training programme on SymbioCity in East Africa. Alfred Omenya is involved.	MJ, interview 2017/12/19
2012/12	EoS, Business Sweden hold a seminar in Kenya, presenting SymbioCity. 120 people attended.	MJ, interview 2017/12/19
2013	CoG signs letter of support for a SCK programme to EoS	
2013	The Land, Planning and Urban Development Committee was formed in the CoG	UDC Strategic Priorities 2017.pdf
2013/11/6	Workshop at which CoG and EoS agreed to: 1. develop a Kenyan SymbioCity Programme 2. house this programme within CoG 3. mandate a core group to start working with stakeholders to develop the KSCP	Draft EoS Organisational assessment of CoG Sept 2014, M. Bhandari, M. Ekedeli, J.Nguta. Pg 6f Programme Document 2014, pg 4
2014	Dixelius & Jarnhammar to Nairobi, work with AO, GA, JN on project proposal. D & J want small project 3 towns, AO et al want at least 20 and with implementation money; finally settle for 7 towns with project money channeled through GoK to CoG. AR was responsible at EoS as senior to JN.	MJ, interview 2017/12/19
2014/8/18-27	EoS commissioned an organisational assessment of CoG carried out in August, Report submitted on September 14	Draft EoS Organisational assessment of CoG Sept 2014, M. Bhandari, M. Ekedeli, J.Nguta.
2014/11	Revived and revised USRG formed as a technical advisory group to CoG's UDC (which had no secretariat at the time). USRG had "same ToR as the CoG and could speak as UDC to the full Council"	MJ, interview 2017/12/19 AO, interview 2017/12/14 at CoG
2014/11/21	SKL-I/SALAR and CoG issue their original Programme Document	SALAR & CoG, 2014-11-21 Kenya SymbioCity Programme
2014/12	The Grant Agreement between EoS and SALAR is being signed.	MoU between CoG and Salar/SKL-I
2015/01	AB moves to Nairobi as Technical Team Leader. No Project Manager has been recruited or assigned.	AB, interview 2017-11-13, at SKL-Int'l Stockholm
2015/03	A delegation of Governors goes to Sweden	
2015/11	SCK has already prepared the series of urban maps covering the entire country.	
2016/1/19	Mtg between JN(EoS), N	
2016/2	FMA contracted, but not operationalised, still no fund.	
2016/2	1 st JSC meets in Nairobi	
2016/2/11	SCK and EoS have mtg in Nairobi. Report that - UD (Sweden) has a revised Results Strategy for Kenya with reduced budget - EoS (JN) seems ambivalent to the role of the USRG	
2016/2/25	Annual Review Mtg KSCP CoG-EoS - approval of the selection criteria of pilots, to include KISIP & KMP counties as eligible - approval of Inception Report including annexes - approval of reporting set up in Annex 6 - approval of re-allocation of funds in CoG budget from Knowledge, Learning and Communication to CoG Project Manager, as per letter of October 2015. - endorsement that KL&C role remains funded through SCK - approval of recruitment of 2 programme officers, Land Administration and Management, and Urban Planning and Management - approval of Work Plan and budget 2016, Annex 4	Annual Review meeting of CoG Sweden Symbiocity 25 February 2016 Final.

ANNEX 8 – RECONSTRUCTED TIMELINE

2016/4/21	“The SymbioCity program was successfully launched on 21 st April 2016...” referring to the beginning of the application process for pilot Counties.	Homabay County-Mbita Town Report.docx pg 1
2016/5/11	The first transfer of funds from MoDP reached CoG accounts.	Minutes of Meeting at Embassy of Sweden, May 11 2016, (Minutes meeting at EoS 160511.pdf)
2016/5/	Induction workshop for Facilitators, in Sweden	Doc No. 0 Pre Reading SUMMARY.docx
2016/6/9	Pilot Assessment Committee meets and deliberates on the selection of Counties. (NB. In this assessment, Wajir was selected and Trans-Nzoia was rejected.)	6 PAC Report FINAL 160620.pdf
2016/6/27	H.E. Dr. Julius Malombe writes formally that the CoG has approved “the following counties: Nakurur, Trans-Nzoia, Homa-Bay, Meru, Kitui, Kisumu and Kakamega.”	7-2 CoG letter to SALAR on selection of pilot counties 160627.pdf
2016/6/30	Jerker Stattin accepts the CoG’s recommendation of counties.	7-3 SALAR response to selection of pilot counties 160630.pdf
2016/7/12-14	Pre-Intelligence visit to Kitui County Julius Coredo, 1 other UDS and Maureen Njoga	Kitui_PreIntelReport£V1_23082016.pdf
2016/7/18-20	Pre-intelligence visit to Njoro, Nakuru County	Nakuru_preIntelReport£1_25082016.pdf
2016/7/20-22	Pre-Intelligence visit to Ahero, Kisumu County Julius Coredo, 1 other UDS and Maureen Njoga	Kisumu County-Ahero Report-Final.doc
2016/7/26-28	Pre-Intelligence visit to Trans Nzoia Julius Credo and Maureen Njoga	Trans Nzoia_PreIntelReport£_Final.pdf
2016/8/9	Mtg between CoG & SCK on upgrading the CoG’s Accounting System	SCK Notes on Financial Management 160809.pdf
2016/8	Financial Operations Manual finalised.	AB in interview on2017-11-13
2016/8/4-5	Pre-Intelligence Visit, Kakamega, with report following. Participating: AB, Urban Specialist, photographer.	Kakamega County- Sabatia pre-intel report.docx
2016/8/8-9	Homabay County Intelligence Report, Mbita Town - general assessment, but also meeting with stakeholders in Mbita – these included national Government department representatives.	Homabay County-Mbita Town Report.docx by E. Otieno
2016/8/10-12	Pre-intelligence Report for Meru County Julius Coredo (JO) and Mats Jarnhammar (MJ)	Meru_PreIntelReport#V2_23082016.pdf
2016/8/10-12	Anders Olin conducts a rapid assessment of CoG	R1 Rapid Assessment CoG August 2016.pdf
2016/9	Financial flows begin (17 months later than planned?).	AB in interview on2017-11-13 said money arrived in 2016/August.
2016/9/7-9	Kick-off workshop, Eldoret. 3 key members of each county WG, 11 from SKL-I/CoG Already here, spatial planning takes a back seat, and ½day to “detailed planning for county projects.”	9 Kick-off Programme and participants.pdf
2016/9/x-14?	1 st Mission to Homa Bay by K.Erbele & E.Otieno. Held a stakeholders workshop on 14 th Sept. 2016	Mission 1 Report HB.docx by K.Erbele & E.Otieno
2016/9/19-24	Week long visit to SALAR by top management of CoG AO provides a long list of items for the “way forward.” Participating: Peter Munya (ChairCoG), Julius Malombe (ChairUDC), Wycliffe Oparanya (Chair FinanceCmtee) J. Mogeni (CEO), N, Mbwiki, (PM, SCK), Eva Sawe (Exec Assist to CEO), Peter Ntonjira (Exec Assist to ChairCoG). 7 part. + SKL-I staff.	R1 Rapid Assessment CoG August 2016.pdf CoG Program September 2016.pdf
2016/09/22	Joint Steering Committee meeting #2, Stockholm	JSC Minutes
2016/9/26-30	Mission 1, Trans Nzoia (ÄF, Julius)	Teamwork Calendar
2016/10/3-6	Mission 1, Kakamega (GA,EO)	Teamwork Calendar
2016/10/4-6	Mission 1, Kitui (Julius)	Teamwork Calendar
2016/10/5-7	Mission 1, Kisumu (EO)	Teamwork Calendar
2016/10/10-14	Mission 2, Nakurur (GA, EO)	Teamwork Calendar
2016/10/17-21	Mission 2, Homa Bay (KE,EO)	Teamwork Calendar
2016/10/24-8	Mission 2, Kisumu, (KE, EO)	Teamwork Calendar

ANNEX 8 – RECONSTRUCTED TIMELINE

2016/10/25-6	Mission 2A, Trans Nzoia (ÅF)	Teamwork Calendar
2016/10/27-8	Staff Gender Training Under Gender Committee CoG, UN Women	Teamwork Calendar
2016/11/1-5	Mission 2 Meru (IM, J)	Teamwork Calendar
2016/11/6-10	Mission 3 Kakamega (GA, Maureen)	Teamwork Calendar
2016/11/7-10	Mission 2, Kitui, (IM, J)	Teamwork Calendar
2016/11/22-25	Mission 3, Trans Nzoia, ÅF	Teamwork Calendar
2016/11/28	Submission of Progress Report November 2016 for activities and findings March-September, and including a Work Plan for January to July 2017. SCK claims to have contributed to urban development in Kenya by supporting the UDC in preparing position papers on - The community land Bill 2015 - Land Laws /Amendment) Bill 2015 - Physical Planning Bill 2015 - County Outdoor Advertising Bill 2015	SKC Semi annual report Jan-July 161128
2016/11/29-12/3	Mission 3, Kisumu (KE)	Teamwork Calendar
2016/11/29-12/3	Mission 3, Meru (IM)	Teamwork Calendar
2016/11/29-12/2	Mission 3, Kakamega, (GA)	Teamwork Calendar
2016/12/02	Annual Review meeting EoS with CoG	Review meeting minutes
2016/12/5-9	Mission 3, Homa Bay (KE)	Teamwork Calendar
2016/12/5-8	Mission 3, Nakurur (GA, EO) Mission 2, Kitui (IM, Maureen)	
2016/12/6-8	Mission 4, Trans Nsoia, (ÅF)	Teamwork Calendar
2017/1/9-15	Mission 4, Kisumu	Teamwork Calendar
2017/1/16-20	Mission 4, Homa Bay	Teamwork Calendar
2017/1/24-27	Mission 4, Nakuru (GA) Mission 4, Meru (IM, Robert)	Teamwork Calendar
2017/1/30-2/3	Mission 4, Kakamega (GA, EO) Mission 4, Kitui (IM, R)	Teamwork Calendar
2017/1/31-2/3	Mission 5, Trans Nzoia, (ÅF.)	Teamwork Calendar
2017/02/21	Joint Steering Committee meeting #3, Nairobi	
2017/2/21-24	Mission 6, Trans Nzoia (ÅF, EO)	Teamwork Calendar
2017/3/14-17	Mission 5, Meru, (IM, MN)	Teamwork Calendar
2017/3/20-21	Mission 5, Kitui (IM Robert)	Teamwork Calendar
2017/3/22-24	Pilot Countries Meeting, Southern Palm Hotel, Mombasa Finalising the USRs, Developing the Quick Win Projects, start exchange programs in different pilot counties, follow implementation of QWs.	Logbook SymioCity TransNzoia 21 April 2017 comments Dennis.docx
2017/3/27-29	Mission 5, Nakuru (GA,	Teamwork Calendar
2017/3/28-29	Mission 5, Kisumu (KE, EO)	Teamwork Calendar
2017/03/30	Annual Review Meeting EoS & CoG	Review meeting minutes
2017/4/6-7	USR Review Mission, Kitui (Robert)	Teamwork Calendar
2017/4/19-21	Mission 5B, Kitui, (IM, Robert)	Teamwork Calendar
2017/4/24-27	Mission 7, Trans Nzoia (ÅF RR) Steering Committee approved Quick Win proposal Started working with GeoDev on ISUDP	Mission 7 Report AF April 2017.docx (not on Teamwork Calendar)

ANNEX 8 – RECONSTRUCTED TIMELINE

	Peer exchange visit to Kisumu being planned.	
2017/4/27-28	USR Review, Meru (MN)	Teamwork Calendar
2017/5/14-25	Visit of UST to Stockholm and Umeå Participating: N. Mbwika, S. Makeyá, Lenah Mulyungi, D. Kisabuli, Joyce Chepkoech, M. Ndaru., Ruth Chitwa. (On this visit, this team put together the UST strategic priorities for UDC/CoG.)	BTOR Sweden.doc (The author dates this “Back to Office Report” at 2/6/2017 but has mistyped date of mission to be 14-25/6/2017. The report covers what was achieved. Anders Olin has confirmed verbally that the visit occurred in May, not June.)
2017/5/19	USR Final Draft for Meru	Teamwork Calendar
2017/5/24-26	Mission 6, Nakuru (GA)	Teamwork Calendar
2017/5/26	USR Final Draft for Kitui	Teamwork Calendar
2017/5/29-31	Mission 6, Kakamega (GA)	Teamwork Calendar
2017/5/30-6/2	Visit between missions to Kitui (Robert)	Teamwork Calendar
2017/6/5-9	Mission 8, Trans Nzoia (ÅF, RR) “brainstormed with the WG on the change project, trained and generated maps with the planners using QGIS, worked on finalising the USR...”	Trans Nzoia Mission 8 Reflections.docx (Not mentioned in Teamwork Calendar)
2017/6/5-8	QGIS training and exhibition in Trans Nzoia with GEODEV (Consultant for ISUDP) (Exhibition was of material produced : 7-8/6)	Logbook SymbioCity Trans Nzoia 22 july 2017.docx
2017/6/10-17	Training in Kisumu (KE, EO)	Teamwork Calendar
2017/6/15-16	Short Visit to Meru (MN)	Teamwork Calendar
2017/6/16	R1 Gender Audit Report Validated	Teamwork Calendar
2017/6/19-28	Workshop for the formulation of the Physical Planning Handbook (CoG UDC and MoLPP-DPP) Mariam N attended.	Teamwork Calendar
2017/6/	Strategic Priorities 2017-2020 for the Land, Planning and Urban Development Committee of the CoG are prepared (much work done in Stockholm 5/14-25, see above). (PDF created in early June...hence this date for ‘publication’)	UDC Strategic Priorities 2017.pdf
2017/7	Working Group Workshop in Nakuru and Naivasha (June 2017).	Ahero USR Report p 7
2017/7/13	Youth Stakeholders’ Photo Exhibition of Kimini Town begins, in Ward Administrator’s Office	
2017/7/10-14	Mission 9, Trans Nzoia (ÅF, RR)	Teamwork Calendar
2017/7/12	Assessment of Kitui, Kisumu and Meru Quick Win projects Attending: AB, EO, GA, MariamN, MJ, NM.	Teamwork Calendar
2017/7/14	Assessment of Homa Bay and Nakuru Quick Win projects Attending:AB, IM, MariamN, MJ, NM, RR	Teamwork Calendar
2017/9/11-15	Project Management Training AB, AO, David K., EO, MariamN, MN, NM, RR	Teamwork Calendar
2017/9/18-21	Mission 10 Trans Nzoia, (ÅF, Simone A, NM) Attending: AO, AB, DK, EO, Hussein G, MariamN, MJ, MN, NM, RR, SA ÅF	Teamwork Calendar
2017/9/25-26	Mission 7a to Nakuru (E. Otieno, M. Njoga, Isabella Gomes-photographer) On this mission EO and MN try to restructure and revitalise the WG under a new PC, and sort out some appointments with the CS.	Mission 7a report_Nakuru 03-10-2017.docx
2017/9/27-28	Mission 7a to Kakamega (E. Otieno, M. Njoga, Isabella Gomes-photographer) On this mission EO and MN try to restructure and revitalise the WG under a new PC, and sort out some funding issues with the CS.	Mission 7a report_Butere 03-10-2017.docx
2017/10/3-6	Kitui and Meru Joint workshop	Teamwork Calendar
2017/10/10-12 (13?)	Kakamega and Nakuru Joint Workshop (Naivasha/Elementaita)	Teamwork Calendar Referred to in future tense in Mission 7a report_Butere 03-10-

ANNEX 8 – RECONSTRUCTED TIMELINE

		2017.docx (
2017/11/6-10	PMP Training (NM, DK, RR) (Strathmore College)	Teamwork Calendar
2017/11/7-10	Study Visits “Recycling” in Nairobi area, by TransNzoia team <i>(from a DRAFT document. We need confirmation that the dates are right. We know the visit took place because we were told of it in Kitale and Kiminini – without specific dates)</i>	Draft – program for study visits Recycling.docx
2017/11/13-16	Visit to Meru County “Meru Getting Organised” (MN, NM)	Teamwork Calendar
2017/11/20-23	Nakuru- Kakamega budget workshop (RR; DK)	Teamwork Calendar
2017/11/22-24	Kitui WG Session in Nairobi (RR, AB, NM)	Teamwork Calendar
2017/11/20-24	(Planned) Mission 7a Kisumu and Homa Bay E.Otieno (UDS), Maureen Njoga (PO), Simone Andersson	Mission Kisumu+Homabay Final.doc
2017/11/27-30	Homa Bay Kisumu Chunky Workshop In Nakuru and Naivasha	Teamwork Calendar Workshop summary 2017-11-30 low res.pptx
2017/11/29-12/1	Mission 8, Meru County (IM NM)	Teamwork Calendar
2017/12/4-7	Mission 8, Kitui (IM, NM)	Teamwork Calendar
2017/12/4-6	Mission 11, Trans Nzoia, (ÅF, RR)	Mission 11 Report ÅF Dec 2017.docx
2017/12/4-15	Mid-Term Review	
2017/12/13-15	“next visit” - Mission 12?, Trans Nzoia (RR)	Mission 11 Report ÅF Dec 2017.docx As of 2017/12/27 there is no report of this visit.

Annex 9 – KSCP Inception Phase Activities

This outlines the key activities of the Inception phase, which is constituted of the initial 6 months of the project.

The inception phase will include the following main activities:

1. Set up of PIU at CoG including:

- Procurement of FMA (before programme start)
- CoG secondment of Programme manager, Project –co-ordinator and Finance manager (before programme start)
- UDD secondment of Co-project co-ordinator (month 1-3)
- UDD secondment of PIU urban specialist (month 3-5)
- Establishment of Technical Team Leader in Nairobi (month 1-3)
- Establishment of procurement regulations for PIU (month 1-3)
- Procurement of necessary equipment for PIU (month 1-3)
- Procurement of Finance Advisor (month 1-3)
- Procurement of two Urban Development experts (month 1-3)
- Procurement of Finance/admin assistant (month 4-6)
- Procurement of Process/Communications officer (month 4-6)

2. Overall project planning

- Establish mechanisms and routines between EoS/FMA/CoG on financial reporting and subsequent release of funds as well as agreement on FMA's recurrent capacity development of CoG with regard to financial management. (month 1-3)
- Establish broad project implementation plan based on results framework (month 2-5)
- Definition of roles and functions of key actors (month 2-5)
- Initiate an exit strategy (month 3-6)

3. Institutional Development of CoG

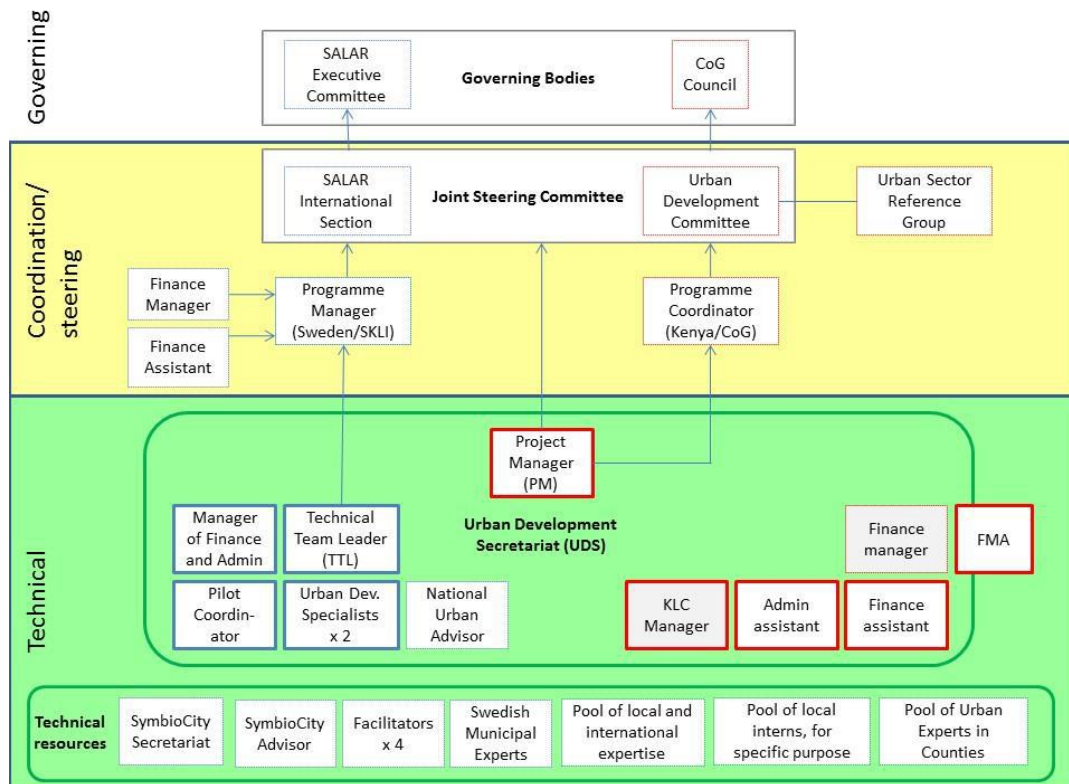
- o Consultative meetings between SALAR/Technical Team Leader and CoG (month 2-5)
- o Agree on expected results and priority areas (month 2-5)
- o Development of broad time schedule for institutional development interventions. (month 2 – 5)

4. County projects

- Establish selection criteria for county selection in consultative process (month 4-6)
- County project awareness raising in counties (month 4-6)
- Develop procedures for competitive selection process of counties (month 4-6)
- Initiate call for proposals from Counties (month 5-6)
- Procurement of SymbioCity facilitators to guide county projects (month 4-6)

5. Development of, and agreement on, Programme manual in a consultative process encompassing: (month 1-4)

Annex 10 – Establishment of the Urban Secretariat



Some organisational details are not shown here, particularly those within the Pilot Counties. Each County has its own capital where the County authorities have their seat. Among these are often the Pilot Coordinator, County Administrator and the County Executive Committee Member responsible for urban issues, all of whom are involved in the local implementation of the programme through either a County Steering Committee (SC) or Working Group (WG). The County WGs vary in size from 9 to 17 members. The pilot itself is not carried out for the county capital but in a selected smaller town or ‘ungazetted’ settlement. Representatives of the pilot settlement sit on the Working Group as well. These variously include representatives of the business community, civil society and where the settlement is a gazetted town Administrator.

Annex 11 – Financial Outcome as of June 30, 2017

2017-09-13

BUDGET FOLLOW-UP

	BUDGET LINE	SALAR	CoG	SALAR 170630			CoG 170630		
		Budget	Budget	Accumulated	Remaining	%	Accumulated	Remaining	%
1	STAFF/LONG TERM CONSULTANTS	27 450 800	2 563 000	14 341 550	13 109 250	48%	770 366	1 792 634	70%
2	TRAVEL AND ACCOMMODATION	5 208 000	3 445 000	1 745 347	3 462 653	66%	917 671	2 527 329	73%
3	EQUIPMENT AND SUPPLIES = ASSET REGISTER	0	275 000	0	0	0%	172 853	102 147	37%
4	OFFICE COSTS	450 000	450 000	113 309	336 691	75%	80 058	369 942	82%
5	OTHER COSTS and SERVICES	3 096 000	4 452 000	1 018 176	2 077 824	67%	705 951	3 746 049	84%
5.8	SEED FUND	0	20 000 000	0	0		0	20 000 000	100%
6	CONTINGENCY	0	0	0	0		0	0	
7	VAT	8 976 200	0	4 265 045	4 711 155		0	0	
8	ADMINISTRATIVE COSTS	0	0	0	0		0	0	
TOTAL		45 181 000	31 185 000	21 483 427	23 697 573	52%	2 646 899	28 538 101	92%
						Excluding Seed Fund	2 646 899	8 538 101	76%



Mid Term Review of SymbioCity Kenya. The Sustainable Urban Development Programme in Kenya – 2015-2018

In 2015, the Government of Kenya through the Council of Governors (CoG) with support from the Embassy of Sweden embarked on the SymbioCity Kenya Programme. The programme is intended to promote inclusive, innovative and sustainable urban development planning in Kenya. It is implemented in cooperation with the Swedish Association of Local Authorities and Regions (SALAR) and SKL International.

The purpose of this mid-term review was to carry out a thorough external review of how the programme has evolved from its conception until June 2017, and to identify whether it needs to be re-aligned to ensure that optimal final results are achieved.

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