



Evaluation of Project Implementation Modalities

Findings and Recommendations

Washington DC 11 March 2011



Objectives

- “The evaluation of client and of non-client grant implementation for city development and slum upgrading projects in cities or at national level should provide evidence to assess the applicability and effects of [client and member] implementation modalities”.



Method / Evidence

- Desk Reviews & Field Investigations
- 33 Projects reviewed – in depth coverage of 14 projects - weighted to Africa
- Performance Benchmarks
 - Ownership: Government support/Institutionalisation/Linkages to Investment
 - Quality: Pro-poor / Participatory
 - Catalyst: Scaling up / Replication / Awareness
- Guidance to the Alliance on improving ownership, ease of administration and the quality of projects – link to emerging strategy and business model



Client vs Member Grant Execution

- No necessary link between mode of execution and strength of client ownership
- Members play an important role in either mode especially in terms of project quality
- Partnerships and flexibility are the key

Coherence of Effort

- Where there is coherence of effort – from Application to Execution - CA value added is likely to be enhanced – this needs to be strengthened as not systematic

Quality of Projects / Knowledge Leverage is a Key

- CA support, via client or member execution, contributes to better evidence on urban poverty and more participatory pro-poor planning approaches
- CA provides valuable inputs in terms of approaches and techniques and knowledge sharing

National and Local Levels are both Necessary

- Alignment among national, regional & local levels a key success factor that requires greater attention

From Findings to Recommendations

- Designed to strengthen value added and enhancing CA reputational leverage
- Build on case evidence to identify general improvement areas

- Logical Progression of Recommendations
 - Streamline Grant Making
 - CA Business Model Focused on Partnership
 - Strengthen Coherence of Effort
 - Risk Assessment
 - Flexible Choice of Mode of Execution
 - Prepare 3 Year Business Plan with rolling Annual Plan
 - Strengthen Knowledge and Learning

Recommendation	Comment
Streamline grant making: Critical to reduce transaction costs and timeframes to complete	<ul style="list-style-type: none">• Simplify the Grant Application form / process (reduce interaction)• Grant Application processing time should be standardised and reduced: target should be less than 3 months given the size of the Grants and the need for flexibility to respond to opportunities

Recommendation	Comment
<p>CA business model focused on partnerships: Assess merit of a shift from simple “one off” grant provider towards partnership / longer term engagements of the <i>Alliance</i> (more than grants)</p>	<ul style="list-style-type: none"> • Create a country specific framework with members / clients that provides structure and predictability to engagement • Ensure flexibility to complement member / client requirements : recognise variable points of entry and evolving programme needs • Lead member nominated based on strength of presence in target country / city • Elements of engagement can include grants and other forms of support - investment, capacity building and knowledge sharing from the <i>Alliance</i> and its partners • Think about implementation requirements from the start - a part of a longer term process of engagement and transformation

Recommendation	Comment
<p>Strengthen Coherence of Effort: Key source of value-added BUT <i>needs more systematic approach to secure alignment</i> among members and joint working</p>	<ul style="list-style-type: none"> • All CA Members active in a given country/city convene a (virtual?) meeting up front to discuss roles and responsibilities throughout the Grant / engagement period – define <i>realistic areas where coherence of effort adds value</i> to all partners • Nominate lead manager, preferably in country, to be the client engagement manager throughout the engagement process • Agree MoU outlining roles/responsibilities and co-ordination mechanisms for the whole engagement period and ratified by managers of each member – make a part of funding requests / CATF documentation

Recommendation	Comment
<p>Risk Assessments: Assess merit of options for entry strategies and risk assessments for each project or for selected countries</p>	<ul style="list-style-type: none">• Create a mechanism to identify opportunities / constraints to successful projects• Members should have a strong role here given their operational presence on the ground• Link to concept of longer term partnership and sequence/package of interventions

Recommendation	Comment
<p>Flexible Choice of Mode of Execution: The preference should be what works in any given context</p>	<ul style="list-style-type: none">• Preferred mode of execution should be determined by Members / Client as part of the wider engagement process discussions / arrangements• Selected mode based on practical considerations and fit for purpose client needs• Allow to evolve over time

Recommendation	Comment
<p>Prepare 3 Year Business Plan with Rolling Annual Plans</p>	<ul style="list-style-type: none"> • Establish objectives / results for the Alliance as a whole, the Secretariat and key implementing Members within the context of Alliance supported activities • Align pillars to the new engagement model • Define mechanisms to leverage the strengths of the Alliance – especially coherence of effort and knowledge transfer / sharing • Establish priority action areas with budget allocations • Secretariat to lead business plan preparation with participation of selected members • 3 Year Plan to be ratified by Exco / CG • Annual Plans monitored by Exco • Secretariat to report on results against business plan objectives

Recommendation	Comment
<p>Strengthen Knowledge and Learning: Key source of CA value-added BUT <i>needs more systematic approach</i> to knowledge capture and sharing – cascade through the suite of CA activities</p>	<ul style="list-style-type: none"> • Define K&L results targets as part of 3 Year Business Plan process – linked to wider CA results framework development (in progress) • Design K&L mechanisms as part of engagement strategy at country / city level • CA products should have agreed results framework in place up front and defined in evaluation criteria / agreements: Catalytic Fund, LSC country programmes and other CA initiatives • Results of funded projects (all above an agreed threshold / sample of smaller projects) should be presented <i>by grant recipients/ partners</i> at the CG meeting – this could be linked to other international events (e.g World Urban Forum, WB Urban Week) • Create / link to product improvements – CDSs / SU / leading practice guides for policy development – and shared among members