

Cities Alliance

Cities Without Slums

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2015

Cities Alliance

Cities Without Slums

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I. Overview

About the Partnership

Cities Alliance is the global partnership for poverty reduction and promoting the role of cities in sustainable development.

Partnerships are critical to achieving the 2030 Agenda for Sustainable Development. We bring together organisations with different perspectives and expertise on city issues around common goals: well run, productive cities that provide opportunities for all residents. Our members include multi-lateral development organisations, national governments, local government associations, international NGOs, private sector and foundations, and academia.

The Cities Alliance Secretariat is based in Brussels, and is hosted by the United Nations Office for Project Services (UNOPS).

How we work

The Cities Alliance's overall objectives are to support cities in providing more effective local government, with an active citizenship and a growing economy characterised by both public and private investment. We do this through four business lines:

- **Country Programmes** are longer-term, programmatic approaches that operate at community, local and national levels, typically in the context of rapid urbanisation and growing urban and rural poverty.
- The **Catalytic Fund** is a competitive grant facility to promote innovation and catalyse city transformation, often around a theme.
- **Joint Work Programmes** are member-led analytic and strategic activities designed to tackle major policy challenges affecting cities and sustainable development.
- **Communications and Advocacy** activities promote policies and practices that contribute to the vision of sustainable, inclusive cities.

I. Overview

About the Partnership

Our Members

LOCAL AUTHORITIES

Commonwealth Local Government Forum (CLGF), ICLEI - Local Governments for Sustainability, Metropolis, United Cities and Local Governments (UCLG)

GOVERNMENTS

Brazil, Chile, Ethiopia, France, Germany, Norway, Philippines, South Africa, Sweden, Switzerland, United Kingdom

NON-GOVERNMENTAL ORGANISATIONS

The AVSI Foundation, Habitat for Humanity International, Slum Dwellers International (SDI), Women In Employment: Globalizing and Organizing (WIEGO)

MULTI-LATERAL ORGANISATIONS

The World Bank, United Nations Environment Programme (UNEP), UN-Habitat

PRIVATE SECTOR/FOUNDATIONS

Omidyar Network

UNIVERSITIES, RESEARCH CENTRES AND KNOWLEDGE NETWORKS

The Institute for Housing and Urban Development Studies (IHS) of Erasmus University, Rotterdam

ASSOCIATE MEMBERS

The Ford Foundation, UNICEF, United Nations Capital Development Fund (UNCDF), United Nations Development Programme (UNDP)

I. Overview

About the Partnership

Strategic initiatives

Promoting Equity in Cities is the primary focus of our work programme through 2017, which includes:

Country Programmes in Burkina Faso, Ethiopia, Ghana, Mozambique, Uganda and Vietnam with Liberia and Tunisia under development.

Future Cities Africa, a partnership project in 21 cities in 4 countries that challenges the way different cities plan for resilience and respond to challenges and threats.

Joint Work Programmes on Equitable Economic Growth, Gender Equality and Resilient Cities.

An active **Habitat III Joint Work Programme** to keep members informed and formulate common advocacy messages for Habitat III in October 2016.

Innovative **Catalytic Fund** projects in over 30 countries on different themes: Migration and the Inclusive City, Know Your City, and Youth and the City.

Regional work programmes in Africa, Latin America and the Caribbean, and Asia.



I. Overview

Message from the Cities Alliance Director

In September 2015, Heads of State attending the United Nations Summit in New York adopted **Transforming our world: the 2030 Agenda for Sustainable Development**. This comprehensive new Agenda, captured in 17 Sustainable Development Goals (SDGs) and operationalised through 169 targets, is presented as “...a supremely ambitious and transformational vision”. This new Agenda explicitly builds upon the Millennium Development Goals (MDGs) and seeks to complete what they did not achieve, “particularly in reaching the most vulnerable”¹. In a major advance on the MDGs, the 2030 Agenda is now a universal set of goals and targets, underscoring indivisible developmental linkages.



For the first time, too, the new Agenda explicitly recognised the role of cities – both as areas requiring developmental attention, but also as sub-national players that can make a decisive contribution to solving global challenges. This means that the local has the opportunity to become global.

A careful reading of the goals and targets opens the possibility – indeed, the necessity – for cities to play an important part in achieving this common development agenda. While this will clearly require a fundamental mindshift in our collective understanding of cities, their needs and their current limitations, the mandate and the agenda is very clear. In the first instance, it is national governments that will need to decide on how much space and support they provide to their cities: cities of all sizes, especially small and medium size cities, where the bulk of the developmental challenge is to be found.

Subsequent to New York, the success of the Paris COP21 meeting further reinforced the presence and willingness of city and regional governments to play an active, even a leading role, in responding to the existential threat posed by climate change. It is largely at the city level where fundamental changes in daily life, and patterns of consumption and distribution, will most markedly have to change.

Through these events in 2015, global partnerships such as the Cities Alliance, and its members and partners, have both helped to frame, and now need to respond to, a bold, forward-looking and ambitious agenda. For the Cities Alliance, the 2030 Agenda needs to be viewed with a wide angle lens, and cities placed within a national framework.

As Director, I believe that our members have made a number of far-reaching choices that have placed the Cities Alliance in a unique position internationally, and have provided the new Management Board with a very strong platform and mandate. In conclusion, through the Chairperson Jean-Pierre Elong Mbassi, I would like to thank all members of the interim Management Board for their valuable support and guidance through this final transition.

¹ United Nations General Assembly, A/70/L.1, Clause 16.

I. Overview

Highlights of the Year

National Urban Forums held in Ghana, Burkina Faso and Liberia. The 2015 Forum was Ghana's fifth; in both Burkina Faso and Liberia, it was the first time such national dialogue has been held.

New Country Programmes in Tunisia and Liberia under development that build on member activities and foster cooperation with new partners

Catalytic Fund Call for Proposals issued with the theme "Migration and the City".

A new **Joint Work Programme for Resilient Cities** launched that brings together over 14 international development partners to highlight and address the relationship between resilience and poverty in cities.

In all four **Future Cities Africa** countries, significant progress has been made in working with counterparts in ministries and local governments – leading to an increased understanding of inclusive growth and resilience, and strengthening both ownership and commitment to the project.

Participation at COP21, which produced the Paris Climate Change Agreement. It was clear that Cities Alliance has a specific niche that adds value to the Paris Agreement: A focus on strengthening the climate resilience of informal settlements and informal communities.

Sustainable Development Goal 11. The Cities Alliance JWP for Habitat III strongly supported the campaign in support of a standalone goal for cities, which has been proposed in the draft SDGs – the first time we have global recognition of the importance of cities, both as objects of the need for assistance and as players in their own right.

The partnership grew in 2015 and welcomed nine **new members**, including our first from the knowledge institution/academia constituency.

The Cities Alliance supported **23 events** in 2015 to raise the visibility of the partnership and feed into our strategic goals.



I. Overview

Medium Term Strategy Focus

Study: Promoting Gender

It is not common for gender to be addressed as a matter of course in development, and that is what Cities Alliance is trying to change – starting with our own work programme.

Promoting gender equality is one of the three pillars of the Cities Alliance Medium Term Strategy for 2014-2017, in addition to equitable economic growth and partnership. It is also a transformational challenge for the Cities Alliance, requiring adjustments to the work programme, the composition and practices of our membership, and the work of the Secretariat itself.

In order to begin thinking about how we can incorporate gender into our work programme, the Cities Alliance Secretariat held a gender workshop in Brussels on 9-10 November 2015 for all staff members. The goal was to provide a better understanding of gender in development for staff with varying backgrounds and levels of experience.

The two-day workshop was ably facilitated by Mr. Julian Walker, Co-Director of the Gender Policy and Planning Programme at the Development Planning Unit of University College London. It also featured presentations by Ms. Jordana Ramalho, a PhD student in the Geography and Environment Department at London School of Economics and Political Science (LSE) who is researching the gendered dimensions of household adaptation to extreme weather and climate-related disasters in the Philippines.

I. Overview

Medium Term Strategy Focus

Study: Promoting Gender

Mr. Walker and Ms. Ramalho presented an overview of gender approaches in development, and two different tools for assessing gender in projects: a gender analysis methodology and the web of institutionalisation. These tools can help challenge common urban planning assumptions, such as household structure and organisation of tasks within the household, and provide a better understanding of which elements to prioritise in a project. They can also help determine if a project made a real impact on gender or maintained the status quo.

The presenters' key messages were that:

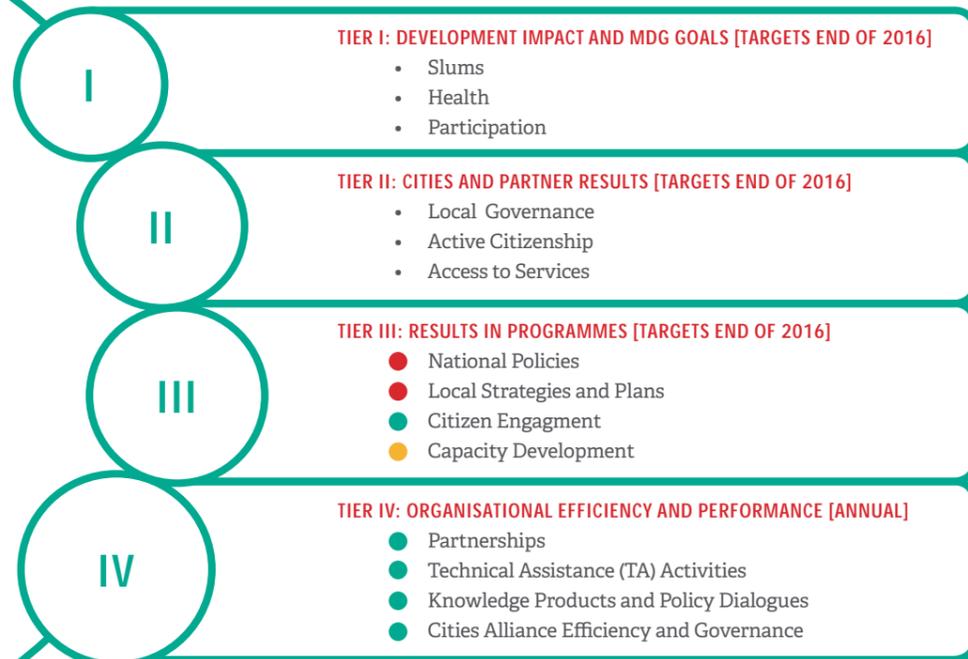
- We need to take a nuanced approach to gender and disaggregate, especially when it comes to collecting data. For instance, economic data generally does not include much of the work done by women, such as caretaking, running a household, and volunteer work around the community. As a result, policies often do not take them – and their contributions – into account. Taking a deeper look and counting not just how many women and men, but how they spend their time will provide much more accurate data as a basis for policy.
- Gender projects must take both men and women into consideration. For example, a campaign to help reduce domestic violence is much more effective if it targets both men and women and addresses the underlying conflict.
- It is critical to do a gender analysis of a project and identify where the key priorities are. A 50-50 approach is not always the best way. There may be women in politics, for example, but that doesn't mean that women's rights or interests are being represented.
- In many cases there may be deeply held cultural beliefs at play, such as in the case of female genital mutilation. Claims for change must come from men and women themselves, and we can create the conditions and space to allow people to critically reflect on their assumptions.

It was the first time Cities Alliance has held such a workshop, and it was very well received by staff who enjoyed the opportunity to learn something new or get a refresher on gender thinking.

In addition to the workshop, the Cities Alliance is drawing attention to gender in development through our Joint Work Programme on Gender Equality, which serves as a platform for promoting the role of women in development and ensuring that gender equality is mainstreamed across Cities Alliance activities. We have also established a Gender Task Force within the Secretariat and formulated a Gender Equality Strategy to guide our activities through 2017.

I. Overview

Summary 2015 Corporate Scorecard (See p.81 for the Complete Scorecard)



LEGEND

- **Challenge.** Majority of indicators show a decrease from baseline, have failed to achieve / complete the established target or are significantly below the established performance standards. However, most are expected to complete by the target-date of end 2016.
- **Watch.** Majority of indicators show no significant increase or decrease from baseline, have not yet achieved the established targets, or are under the established performance standards although within tolerance.
- **On Track.** Majority of indicators show significant increase from baseline, have achieved the established targets or meet/exceed the established performance standards.
- **Sustainable.** Targets/performance standards are consistently achieved and mechanisms/processes underlying change are institutionalised and/or maintained without external assistance.
- **Not Applicable.** Insufficient data to establish a trend, or no target or performance standard is set.

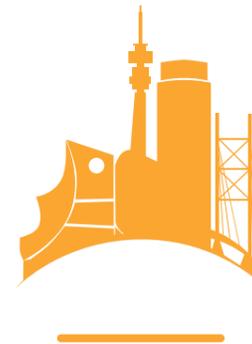
For Tiers I and II, colour-coded traffic lights are not provided since they pertain to the developmental context and are results driven by city partners which are tracked on a three-year basis.

II. Programme Results



INNOVATION (CATALYTIC FUND)

- Supporting the Chicoco Maps mapping project in Port Harcourt, Nigeria to train over 100 waterfront residents in radio production and management, with a particular focus on young people
- 717 young people signed up to the youth employment centre project in Nouakchott, Mauritania



COUNTRY PROGRAMMES

- National Urban Forums institutionalised in four countries
- Developed municipal development forums, savings groups and engaged communities in 13 districts and 14 municipalities in 5 Country Programmes
- Capacity of 14 municipalities in Uganda and 5 national/regional institutions strengthened
- Community Upgrading Funds (CUF) up and running in 32 municipalities/districts in Uganda, Ghana and Vietnam



JOINT/REGIONAL WORK PROGRAMMES

- Contributed to global policies on Sustainable Development Goal 11 and COP 21.

II. Programme Results National Policies

A national policy framework that supports urban poverty reduction and promotes the role of cities in sustainable development is a key step in responding adequately to urbanisation. Such a policy can provide a structure for coordination among ministries – an especially important factor for cities, which require a multi-sectoral approach. It can also facilitate cooperation between national and local governments to allocate the necessary resources for public and private interventions.

The Cities Alliance supports its partners to develop and enhance national policy frameworks that address urban development needs and enable local governments to close the policy and investment gaps for basic services, particularly in slums.

A National Urban Development Strategy for Vietnam

Kicking off the first phase of a strategy to promote partnerships and mobilise resources for sustainable, efficient and resilient urban development in Vietnam.

An important component of the Cities Alliance Country Programme in Vietnam has been the establishment of a National Urban Development Strategy (NUDS) to guide the country's urban development. In September 2015, the process took a major step forward when Cities Alliance signed an agreement of cooperation with the Vietnamese Ministry of Construction for the foundation phase of developing the strategy.

NUDS will be the central instrument in Vietnam for managing urban development in partnership with provincial and local governments. Based on in-depth diagnostics, it will provide the provinces with strategic direction, guidelines and toolkits to support urban planning, as well as a basis for budgeting and resource allocations for future development. The strategy has significant high-level political support, and is expected to be legalised through a decree by the Prime Minister.

Within the Cities Alliance Country Programme framework, the initial phase of NUDS will support institutionalising the City Development Strategy (CDS) by bringing together spatial, infrastructure, social and economic plans at the city level. It will also help scale up the Community Development Fund approach for improving the access to basic services in cities.

II. Programme Results National Policies

Activities in the Foundation Phase of NUDS include:

- A comprehensive analytical overview of the legal and policy framework for urban development;
- Diagnostics in representative cities across Vietnam's urban hierarchy;
- An assessment of national strategies successfully adopted in other countries;
- Advocacy in support of adopting a national approach to urban development; and
- Framing the Terms of Reference for the Follow-Up Phase of the project, which will cover the formulation of the strategy.

The foundation phase is expected to conclude in October 2016, when the follow-up phase will be launched. This second phase will be delivered by the Asian Development Bank (ADB) through Technical Assistance for "Sustainable and Resilient Urban Development in Viet Nam," which is being co-funded by ADB, USAID and Nordic Development Fund with a committed budget of USD 2.5 million.

In addition, the Urban Development Agency at the Ministry of Construction has created an Advisory Group to provide expert guidance in formulating NUDS. This group includes ADB, AfD, SECO, UN-Habitat, the World Bank, and the Cities Alliance Secretariat.

Overview: The Cities Alliance Country Programmes

One of the partnership's main business lines, the Cities Alliance Country Programme is a long-term programmatic approach to addressing the specific urban development needs of a selected country, in the context of rapid urbanisation and the growth of urban poverty. It also promotes the development of inclusive cities.

Country Programmes target national government, local authorities and communities by developing two main components: a framework to enhance cooperation among all stakeholders, and funding to complement Cities Alliance member and partner activities by filling action or knowledge gaps.

In 2015 Cities Alliance had six active Country Programmes, in Uganda, Ghana, Vietnam, Mozambique, Burkina Faso and Ethiopia. Over the course of the year new programmes were approved in Tunisia and Liberia.

Each programme is tailored to meet the needs of a specific country and its priorities, and support the government's strategic vision. In the cases of Uganda, Ghana, Mozambique, and Ethiopia, the Country Programme has laid the foundation for their participation in the Future Cities Africa programme funded by Cities Alliance and DFID.

II. Programme Results National Policies

A National Urban Policy in Uganda

The new policy has a long-term vision of “Resilient Urban Areas that are Liveable, Productive, Organised, and Sustainable by 2040”.

The Government of Uganda is in the final stages of formulating an overarching National Urban Policy to respond to the rapid urbanisation growth and challenges with support through the Cities Alliance Country Programme in Uganda (Transforming the Settlements of the Urban Poor in Uganda, or TSUPU).

The national urban policy has been finalised by the Policy Working Group and is expected to be submitted to the Cabinet for consideration and adoption by April 2016.

Uganda’s new policy aims to promote development of resilient urban areas that are liveable, productive, organised, and sustainable through effective good urban governance. It emphasises the following:

- Improving urban environmental management
- Improving competitiveness and productivity of the urban economy
- Improving basic urban infrastructure and services
- Developing an efficient integrated urban transport system
- Promoting equitable and inclusive social development
- Improving access to affordable and decent housing
- Improving urban administration and management in all urban areas

The policy defines urban areas in the Ugandan context and outlines a hierarchy of settlements, ranging from large metropolitan areas to small rural settlements. It is based on smart growth principles that aim to enhance the quality of life, improve competitiveness, optimise land use, preserve the natural environment, and conserve resources in the long run.

Uganda’s new urban policy promotes development of compact urban forms, a system of cities, and mixed use development patterns to enhance functionality.

II. Programme Results National Policies

Learning Exchange Brings New Perspective to Ghana’s Fifth Urban Forum

Cities Alliance facilitated participation from Liberia and Uganda at the Ghana Urban Forum, bringing a welcome international perspective to the event and setting the stage for future partnerships.

Ghana has an established history of successful National Urban Forums, and the event held on 25 August 2015 – its fifth – was no exception. Cities Alliance supported the Forum through a grant to GIZ, a key implementing partner in the Ghana Country Programme.

The Forum drew more than 215 participants from across the country to discuss the theme “Building Resilient Cities – Deepening Spatial Planning and Land Value Capture for Development” as Ghana prepares to implement its National Urban Policy.

It concluded with a message that local governments have to strengthen their participatory spatial planning approach to assure that all interest groups are involved, and that land value capture can be an important source of revenue for local governments. (Land value capture is a method of funding infrastructure improvements that successfully recovers all or some of the increase in property value generated by public infrastructure investment.)

In 2015, a new element was added: a learning exchange with Liberia and Uganda, two countries with which the Cities Alliance has long-term partnerships. Ghana’s Urban Development Unit requested the exchange because it was interested in seeing how other Cities Alliance Country Programmes carry out National Urban Forums and use them to support the national urban agenda.

The exchange brought a welcome international and regional perspective to the Ghana National Forum, as the representatives shared experiences about how their respective countries were trying to include the urban poor in planning and promote the national urban agenda. For example, Liberia holds municipal forums, while Ghana does not.

II. Programme Results National Policies

Liberia Moves Closer to a National Urban Policy

Liberia's first-ever National Urban Forum established a road map for developing a National Urban Policy.

Since 2012, the Government of Liberia has been working on developing a National Urban Policy to bring people into the planning and decision-making process by devolving political, administrative and fiscal authority to local governments.

These efforts received a major boost on 24-25 June 2015, when the Cities Alliance, UN-Habitat, and the Liberian government co-hosted the country's first-ever National Urban Forum. Centred on the theme "Towards a National Urban Policy," it was the first time all stakeholders in Liberia had the chance to come together and discuss their ideas, concerns and experiences regarding the country's urban agenda.

The Forum provided an all-important space for discussion and building the partnerships between state and non-state actors that will be critical to developing an inclusive national urban policy. For example, community representatives and slum dweller organisations shared experiences in how to conduct participatory urban data collection, settlement profiling, and slum upgrading policies.

The Forum also included some concrete steps, such as a road map for developing a national urban policy, recommendations for better municipal governance in support of decentralisation, and endorsement of a National Housing Policy.

II. Programme Results National Policies

The Burkina Faso Urban Country Programme Picks Up Steam

The first National Urban Forum was a major milestone in Burkina Faso's efforts to bring citizens into the urban planning process, and it gave all stakeholders the space to provide input into the formulation and implementation of national urban policies.

In 2014 the Burkina Faso Urban Country Programme suffered a setback as a result of a very unstable political situation, civil unrest, and the establishment of an interim government in late 2014. The programme moved forward in 2015, achieving a major milestone with the country's first-ever National Urban Forum, held in Ouagadougou on 26-28 October 2015 with support from Cities Alliance and UN-Habitat.

The Government of Burkina Faso hosted the Forum, and it was clear that the urban agenda has strong support at the highest level. President Michel Kafando and Prime Minister Yacouba Isaac Zida were both in attendance, as was Minister of Housing and Urban Development Bessolé René Bagoro, other sectoral Ministers, regional Governors and additional high-ranking officials.

A series of seven thematic dialogues provided the opportunity for national government, local governments, civil society organisations and representatives of the private sector to contribute and share experiences on themes such as financing the access to basic services, civil society participation, resilience and climate change, and public-private partnership for the financing of housing. A high-level session co-chaired by the Minister of Housing and the Minister of Infrastructure brought together external donors to debate ways of fostering alignment and coordination of efforts. All of these discussions will feed into the formulation and implementation of national urban policies.

The event concluded with a declaration stressing the importance of the Forum as a platform for dialogue and consultation. Significantly, the National Urban Forum has been included in the government's Priority Investment Plan, effectively institutionalising it as a vehicle for participatory planning and engagement. A second Forum is already planned for Bobo-Dioulasso in 2016.

II. Programme Results National Policies

Influencing National Frameworks Through Knowledge

In 2015, UCLGA and Cities Alliance jointly produced the second edition of *Assessing the Institutional Environment of Local Governments in Africa*.

The original 2012 edition identified ten criteria to assess the enabling environment that each African government provides for its cities and local governments. Each country was analysed to assess its progress with – and constraints on – decentralisation, and then rated on a scale of 10 to 40. The second edition looks at what has been done in the intervening three years, the current situation, and a means for measuring progress.

The overall trend is one of modest but tangible improvement in the latitude governments are affording to city and local government action. Across Africa, the average rating in 2015 rose by 6% over the 2012 ratings. Twenty-three countries have made progress, mainly in Southern Africa and, to a lesser extent, in East Africa.

With some variation from country to country and across regions, these improvements are in four main areas:

- Financial transfers from central governments to local authorities;
- Transparency in the management of local affairs;
- Citizen participation; and
- Frameworks established for local government capacity building.

Despite these improvements, a clear majority – some three-quarters of the countries – received ratings below average, and still need to make major progress in implementing structural reforms.

Surprisingly, the assessment criteria that saw the least progress was the existence of urban strategies. The Sustainable Development Goals' recognition of the role played by cities in development is particularly significant in Africa, which has one of the highest rates of urban growth in the world, especially among small and medium-sized cities.

Through the adoption of its roadmap "Agenda 2063: The Africa We Want", the African Union clearly sees cities as drivers of the continent's structural transformation. This vision will feed into the October 2016 Habitat III Conference, where the international community is expected to adopt a new urban agenda – one that will need African cities and local governments to be sufficiently empowered and resourced to meet Africa's challenges and opportunities.



II. Programme Results

Local Strategies

The city's role as an engine of economic growth has become more important as the world becomes increasingly urbanised. Cities must be strategic about their investments and growth in order to capitalise on the opportunities of urbanisation. It is equally important that they ensure that all citizens, especially the poor, benefit from these opportunities. Cities Alliance supports the development and implementation of citywide strategies and plans that link economic growth with poverty reduction.

Participatory City Development Strategies in Seven Vietnamese Cities

The CDS approach is being introduced as a planning tool that integrates socio-economic, infrastructure and spatial development in urban areas.

An initiative to prepare community-based, participatory CDS in seven cities in Vietnam was launched in January 2015. It is one of three building blocks of the Vietnam Country Programme, in addition to interventions at the national and community levels.

The initiative has been designed to apply a CDS approach in cities where communities are highly organised and mobilised, with an active CDF in place. It will foster a participatory approach to urban planning by opening up spaces for dialogue and consultation among communities and public and private partners. It also aims to build coherence among diverse existing plans at the city level, determine priorities, and agree on common actions.

The activity is supporting the formulation of CDS in two cities that are participating in the Community Development Fund component of the Vietnam Country Programme (Tam Ky and Quy Nhon). Five other CDF cities (Ben Tre, Ha Tinh, Hai Duong, Hung Yen and Viet Tri) will learn by participating in the planning process in Tam Ky and Quy Nhon.

The CDS for Tam Ky and Quy Nhon are currently being formulated. The implementation structure has been established in both cities, including the creation of committees for coordination and city-level steering, task forces, working groups focused on prioritised urban issues, and municipal forums. In addition, assessments have identified key issues, analytical frameworks have been developed, and primary and secondary databases created for the formulation of the CDS. Both strategies will be linked to spatial, sector development, and multi-sector investment plans for the cities.

II. Programme Results

Local Strategies

Municipal Development Strategies Launched in 14 Ugandan Secondary Cities

The launch the Municipal Development Strategy initiative in Uganda is an excellent example of using the Country Programme framework as a foundation for further activities.

The Municipal Development Strategy (MDS) initiative promotes long-term, proactive, and participatory planning in 14 secondary cities in Uganda so that they will be better positioned to accommodate future urban growth. It focuses on bringing all stakeholders together to develop a shared vision for their city that benefits all residents, especially women and youth.

It is a key component of the Cities Alliance Country Programme in Uganda and is directly linked to a USD 150 million World Bank loan for infrastructure improvement in 14 Ugandan municipalities (the Uganda Support for Municipal Infrastructure Improvement Development initiative, or USMID).

The MDS initiative was launched in February 2015 along with the Future Cities Africa programme in Uganda, which focuses on resilience in city development. Over the course of the year induction workshops were held in the 14 participating cities, where members of the local Municipal Development Forums were orientated in both the MDS and Future Cities Africa.

Rapid City Resilience Assessments and SWOT analysis conducted as part of Future Cities Africa informed the formulation process for the municipal strategies. Makerere University, a partner in the Uganda Country Programme, was actively engaged in the MDS project and prepared guidelines, manuals for training facilitators, and a toolkit for monitoring and evaluation. Next steps include further training for government officials and city planners, validation of the SWOT analysis, and development of a vision as well as key strategic focus areas for the MDS.

II. Programme Results

Local Strategies

Integrated Slum Upgrading in Mozambique Inspired by Brazil

The successful slum upgrading methodology used in Salvador, Brazil has been deconstructed and adapted to the Mozambican context, with global support.

The slum upgrading initiative in the Chamanculo C neighbourhood of Maputo, Mozambique is a true example of global cooperation. It derives from successful integrated, participatory slum upgrading experiences undertaken in Salvador de Bahia, Brazil, with the support of Cities Alliance and the governments of Italy and Brazil. The success of the integrated methodology used in Salvador led delegations of many African states to visit Brazil to learn about its upgrading experiences. In order to test whether the methodology was transferable to an African city slum, the organisations and partners that implemented the project in Salvador – including the Italian NGO AVSI – partnered with the City of Maputo to adapt the methodology to Chamanculo C.

The relative weakness of civil society and local government capacity in Mozambique required a rethink of the methodology. Ultimately, the Salvador experience was deconstructed into core principles and practices, and then reconstructed into a new methodology adapted to the Mozambican context. At its heart the methodology suggests that in-situ upgrading is a process that centres around people and communities, focusing not only on hard investments but also on key life skills required for urban living – a major shift from policies aimed either at slum clearance or at simply establishing environmental health conditions. The Chamanculo C project has become part of the curriculum of a Masters learning programme in Slum Upgrading at Eduardo Mondlane University, the first of its kind in the world.

In 2015, the following activities were implemented:

- 12 technicians from the Municipal Directorate of Urban And Environment Planning were trained in how to use Geographic Information Systems to better link data with geography.
- An integrated diagnostic of the Chamanculo C Community was undertaken and a Local Development Plan produced.
- Two local community associations were created (MBEU and *Despertar*).
- Community Development Funds financed the renovation of a local school through the project *Apoio à Associação Amandla*, which directly benefitted 59 children, aged one to five.
- 17 families were resettled and compensated for the value of their houses through the project; an additional 57 families that were not required to resettle received compensation for indirect losses.

II. Programme Results

Local Strategies

The following activities were implemented through partnerships with Cities Alliance members and partners in Mozambique:

- Through AVSI, 11,500 traditional stoves were replaced with more efficient ones;
- Professional training and support for finding employment and financing of local enterprises; and
- The associations *Asscodecha* and *Salesianos* improved their professional formation courses and trained social workers, administrators and logistical support staff.
- The Chamanculo C project was also able to leverage the following investments:
 - World Bank: Paving of 1.7 km of Avenue Amaral Matos was 67% completed, with finalisation set for March 2016; and
 - World Bank: A drainage ditch and its connection to the municipal drainage system built.

II. Programme Results

Local Strategies

Local Governments' Pocket Guide to Resilience



This [guidebook for local governments](#) was produced by UN-Habitat as part of the Cities Alliance Joint Work Programme for Resilient Cities, and launched at COP21 in December 2015.

It shows how cities everywhere – from Eastern and Southern Africa to Western Europe, to Southeast Asia, to the Southern United States – are responding to current and future challenges by thinking differently about how to strategically design, plan, and manage for resilience.

It also includes relevant case studies that highlight the experiences, lessons learned, and stories of resilience building from the perspective of local authorities and communities actively engaged in the programmes and initiatives led by the Medellín Collaboration on Urban Resilience (MCUR),² of which Cities Alliance is a member.

² Established at the World Urban Forum in 2014, the MCUR is a partnership of international development organisations that aims to facilitate the flow of knowledge and financial resources necessary to help cities become more resilient to disruptions related to climate change, disasters caused by natural hazards, and other systemic shocks and stresses, including the socio-economic challenges associated with rapid urbanisation.

II. Programme Results

Institutional Strengthening and Capacity Development

Cities in the developing world gain an average of five million residents each month. Much of this growth is in informal areas, which already lack basic municipal services such as water, sanitation, waste collection, storm drainage, street lighting, paved sidewalks and roads for emergency access. Often overwhelmed by the growth, cash-strapped city and local governments are frequently unable to provide basic services to all residents for a number of reasons, such as limited resources, capacity constraints, inappropriate policies and other urban governance issues. Cities Alliance supports activities that improve cities' ability to provide basic services to their poorest citizens.

Strengthening Capacity at UCLGA

Increasing the voice of local government in Africa at a critical time for cities.

In 2015, Cities Alliance signed a grant agreement to provide USD 825,000 in funding to build capacity of the United Cities and Local Governments Africa (UCLGA). The grant is within the context of an agreement between UCLGA and the European Union, which is providing EUR 20 million between 2015 and 2017 to help UCLGA grow and better meet the needs of its members.

The support will help UCLGA, which represents some 350 million African citizens through 40 national associations of local government, increase the voice of local government at a critical time for the new urban agenda.

The first portion of the EU grant (EUR 6.9 million) will be used to create regional offices, strengthen national associations of local governments, and support a capacity building programme to help the national associations deliver on their mandate to target local associations.

All of these activities are part of UCLGA's Government Advocacy for Decentralised Development in Africa strategy, a robust, long-term approach which began in 2007 and will run through 2021. It involves advocacy targeting the African Union and regional economic authorities to support the emergence of champions among local governments; developing a set of tools to govern knowledge, such a sort of local government barometer to assess how well local governments are doing; and creating a network to put local government on the map in Africa.

Cities Alliance is supporting two components. The first involves enhancing institutional and delivery capacity of the UCLGA Secretariat, including Knowledge and Information Management, Communication, Finance and Administration, and the establishment of regional resource centres within UCLGA Regional Offices. The second includes the establishment of five new national associations of local governments and capacity building for existing ones.

II. Programme Results Institutional Strengthening and Capacity Development

Building Capacity to Implement Ghana's National Urban Policy

Ghana's Institute for Local Government Studies is taking concrete steps towards building capacity among local authorities to implement the National Urban Policy.

In 2015, the Institute for Local Government Studies (ILGS) – a key partner in the Cities Alliance Ghana Country Programme – made significant strides towards building capacity among local authorities to implement the country's National Urban Policy.

The role of ILGS is an important one. City planning in Ghana is segregated, and ministries tend to operate within silos without adopting a holistic approach that is needed for effective strategic planning. This is especially true in a very large agglomeration such as the Greater Accra Metropolitan Area (GAMA), which is struggling with sheer population growth and growing demand for services. Adding to the challenge is the fact that GAMA is divided into 30 municipal assemblies.

These divisions and challenges are making it difficult for Ghana to implement its National Urban Policy and urban action plan. Questions such as which organisation has oversight, who is financing the policy, and who will ensure implementation loom large and must be addressed. Ghana's Urban Development Unit has significant responsibilities in this area, but it lacks the capacity to implement them effectively.

With support from Cities Alliance, ILGS – which is also a government institution – is providing valuable institutional capacity strengthening to help GAMA local authorities be prepared to implement the National Urban Policy. In 2015 ILGS held three training workshops with goal of providing local government officials, city authorities and planners with the know-how to better manage and plan cities, and to increase their knowledge of resilience and climate change. Two of the workshops, held in May 2015, were devoted to training on how to implement the National Urban Policy and National Urban Action Plan. At these workshops, municipalities agreed to implement specific follow-up activities. A third workshop was held to follow up on the training and the specific activities.

The Cities Alliance support is also serving to strengthen ILGS as an institution so that they are able to assume this crucial role in capacity building and become a leading government institution on resilience, climate change and municipal financing.

II. Programme Results Institutional Strengthening and Capacity Development

City exchanges in Vietnam

Building capacity at the local level with CDS training and city-to-city exchanges.

Two training programmes were organised as part of the participatory City Development Strategy initiative in Vietnam, a component of the Country Programme. Held in two of the participating cities, Tam Ky and Quy Nhon, the training brought city leaders from all seven participating cities together to learn about CDS principles and methodology.

Several city-to-city exchanges were organised through a separate grant to support citywide upgrading process in 20 small and medium cities in Vietnam.³ The exchanges were an excellent opportunity for the leaders and communities of the new and existing Community Development Fund cities to share their experiences with establishing CDF management units at the city and ward level, developing community savings groups, and mobilising community resources and participation for small upgrading projects. These exchanges helped new cities build the capacity to start and manage the CDF process.

The citywide upgrading in 20 cities grant also funded on-the-job training for 26 officials of Tam Ky in developing and using GIS for urban management.

The city-to-city exchanges have helped successfully implement Community Development Fund projects in 10 new cities.

³ The exchanges included Lao Cai City to Hung Yen city in April 2015 and to Bac Kan in September 2015; Dong Ha city and Dong Hoi City to Vinh City in May 2015; Ninh Hoa town and Song Cau town to Quy Nhon city in September 2015; and Bim Son town to Lao Cai city, which was combined with the first Training Course on financial management of Community Development Fund in September 2015. Other systemic shocks and stresses, including the socio-economic challenges associated with rapid urbanisation.

II. Programme Results Institutional Strengthening and Capacity Development

Evaluation of Catalytic Fund Youth Integration Project in Mauritania

Establishing centres to help young people in Mauritania's capital, Nouakchott, find jobs.

Through the Cities Alliance Catalytic Fund, the French international development NGO GRET received funding to set up two youth employment centres in the Dar Naim and Arafat neighbourhoods of Nouakchott, in cooperation with the Urban Metropolitan Authority of Nouakchott (*Communauté urbaine de Nouakchott*).

The project, formally known as *Centre d'Appui à l'Insertion des Jeunes de Nouakchott* (Support Centre for the Integration of Youth in Nouakchott) was selected under the Cities Alliance's 2012 Call for Proposals for the Catalytic Fund, which focused on Youth and the City.

Initially planned with a duration of 12 months and a grant amount of USD 250,000 from Cities Alliance, the project's implementation period was extended to 20 months in order to overcome challenges in its institutionalisation by the Urban Metropolitan Authority of Nouakchott.

The project's four components were: 1) Strengthening the capacity of local and national authorities to manage unemployment; 2) Developing partnerships between local authorities, companies, training organisations, youth and other stakeholders; 3) Developing young people's autonomy; and 4) Sensitising wider members of the Urban Metropolitan Authority of Nouakchott on the issue of youth integration and ensuring the project's institutionalisation within the Ministry of Employment.

A desk evaluation of the project in December 2015 highlighted the project's key results:

- Meetings held with 192 formal and informal enterprises.
- New partnerships established with 65 leaders and local partners.
- 717 young people signed up to the youth employment centre.
- 184 young people enrolled in a training, internship, apprenticeship programme or employment.
- 6,400 people from the general public reached through the awareness-raising and sensitisation campaigns.
- A fund was created to provide financial assistance to young people and help them access employment; 35 grants were awarded.

II. Programme Results Institutional Strengthening and Capacity Development

Development Workshop Angola Project Concludes

Developing partnerships and cooperation among government, communities, and civil society to improve basic services.

A USD 5 million grant from the Bill & Melinda Gates Foundation to Development Workshop Angola to promote more inclusive public planning processes and improve basic services for 4.5 million of the city's residents concluded in 2015. Cities Alliance has overseen the grant on behalf of the Gates Foundation as part of our Gates Intermediation Portfolio.

In its fifth and final year, the project has achieved significant successes. Most important is the increased engagement between local government structures, Development Workshop Angola (the oldest NGO in the country) and partner civil society organisations, which has led to positive actions to improve living conditions in the slums of Luanda. Development Workshop is considered as a serious partner and now has direct access to ministers and national directors to advocate, together with the citizens of Luanda, to influence the plans, budgets and activities.

In addition, the project has established participatory mechanisms – such as municipal forums and community and social media channels – that have helped urban civil society become more effective in making its voice heard and in demands for more accountability on how public investments are developed and spent.

Key results on capacity development in 2015 include:

- Municipal Forums created by the project are held regularly, and their recommendations feed into annual plans and budgetary consultations.
- The online Municipal Atlases created by the project are all up and running, using the social media-linked platforms where the general public can find data on core poverty indicators. The online portals created serve as public debating spaces for citizens and local administrations. This investment supported the capacity for the city to have more evidence-based planning that took in to account urban poverty issues using these data platforms.
- The Angolan National Policy on sustainable water management was developed to address community water management issues. Under that policy, Development Workshop Angola created a manual on community water management to support institutional partnerships with Luanda Water Company and the National Water & Sanitation Directorate, which has significantly improved water coverage in urban slums. The NGO continues to provide support at 244 public stand posts.

II. Programme Results

Institutional Strengthening and Capacity Development

IncluCity: Closing the Gap between Slum Dwellers and Local Governments in Ghana

Improving urban services and local governance in Ghana, and building capacity among poor residents to participate in city planning processes.

In Ghana, the NGO Global Communities worked with local organisations to expand access to credit, provide vocational training, upgrade water and sanitation systems and improve housing conditions for residents of slums in the cities of Accra and Sekondi-Takoradi. Known as IncluCity, the project helped increase the participation of slum residents in governance, inclusive planning and budgeting processes, while building the capacity of the local governments to generate revenue.

Key results on capacity development in 2015 include:

- Strengthening the city's capacity for better data through the first-ever digital mapping of the twin cities of Sekondi-Takoradi to provide every resident an address and develop a fair taxation system to fund public services. This data strengthening was also the objective of the Citizens' Report Card: Data collection completed with surveys done in more than 800 households. The survey marked the first time citizens had ever been asked directly for feedback on the city's performance in ten key areas of service such as water, basic education and public health. The Citizens' Report Card team monitoring resulted in electricity and water extension to other parts of the city.
- To respond to the data and address the 10 areas of service, 56 small grant projects were completed. No new small grants are being funded, but assemblies have funded over 15 of their own projects.
- IncluCity mentored and strengthened the capacity of selected CBO members in citizen mobilisation so that they were able to plan, budget and regularly monitor city performance. A total of 126 CBOs from the Accra Metropolitan Area and Sekondi-Takoradi were trained in Inclusive Governance, Participatory Planning and Budgeting which led to Completion of Community Action Plans where Medium-Term Development Plans were prepared and content incorporated.
- The project built the institutional capacity of the Land Use Planning Management Information System (LUPMIS), which is now being implemented with over 10,000 bills distributed.

Cities Alliance manages the IncluCity grant on behalf of the Gates Foundation.

II. Programme Results

Community Engagement

People have a vested interest in their city and its development. By participating in the city planning process, residents have a voice in the future of the place where they live. It is a way that they can participate in the process of shaping and realising a strategy for their city, monitor the government's progress in achieving it, and hold authorities accountable for the results. The Country Programmes, with their emphasis on mobilising slum dwellers and community-based activities, are the main ways Cities Alliance works to engage citizens in urban governance.

Building the Capacity of the Urban Poor for Inclusive Development in Ghana

Expanding the programme from four municipalities to all 11 in the Greater Accra Metropolitan Area.

Part of the Ghana Country Programme, this activity builds on previous efforts to raise awareness of urban poor settlements in Greater Accra and strengthen communities' capacity to engage local authorities in a constructive dialogue.

The first phase of the project has already been completed, with a focus on four municipalities. The second phase – which is currently under implementation – is expanding the initiative to all 11 municipalities within the Greater Accra Metropolitan Area and deepening established partnerships.

The main outputs include creating community and informal trading profiles, establishing forums for dialogue and advocacy, piloting community development projects, creating a citywide network of community-based organisations and NGOs, and support for a community social investment fund. It is also mainstreaming climate change mitigation approaches and pilot water and sanitation projects undertaken in partnership between the communities and local governments.

The activity is being implemented by the NGO People's Dialogue, Shack/Slum Dweller International's local affiliate.

II. Programme Results Community Engagement

Results during the period under review include:

- Strengthened capacity of informal settlement dwellers on profiling and mapping by working with informal settlement dwellers in their own communities. They have learned how to identify and locate their communities on maps, service facilities, inadequacy of services, estimated population and household sizes, among others.
- Strengthened partnerships and new ones built with city authorities, especially with community development officers, in the various assemblies, local community cities, elected assembly members, youth groups, and other associations.
- Knowledge products produced, including citywide slum profiles of four cities in GAMA with boundary and service maps.
- Active participation by community groups in the 2015 National Urban Forum; their inputs during group work and the plenary triggered heated policy discussions and debates around land value capture and how to redistribute values to all, including the poor.

Some key lessons were learned during 2015, including the need to:

- Build communities' knowledge on participatory planning processes.
- Sustain assembly and community enthusiasm on identified community needs, such as household toilets and alley pavements, by continuing to encourage assemblies and communities to raise funds through the established savings groups.
- Institutionalise the community-level funds through savings groups, which have proven to be a sustainable source of funds to leverage community development needs.

The next phase of activities will centre on establishment of a Housing and Urban Advocacy Network/Platform (HUDNET) platform as well as the city forums and platforms.

II. Programme Results Community Engagement

Engaging Burkina Faso's Citizens and Civil Society

Bringing citizens and civil society into the development planning process with municipal urban forums and training for CSOs.

Through the Country Programme framework, several mechanisms were established to engage citizens and civil society organisations (CSOs). These include:

- Establishing databases of civil society organisations in four cities.
- Developing six radio broadcasts in four cities.
- Training 25 staff from civil society organisations in five cities on enumeration and profiling, using SDI's approach.

The Municipal Urban Forums were among the most important vehicles for community participation. Four were held over the course of 2015 in Tenkodogo (15-16 January), Dori (7-8 May), Bobo-Dioulasso (9-10 July), and Dedougou (13-14 July).

New to Burkina Faso, these forums provided a platform for dialogue and consultation among local stakeholders on city development issues and priorities. Each forum gathered around 150-200 people, including representatives from civil society (who made up approximately one third of attendees). Women made up nearly half of all participants at the four forums.

II. Programme Results Community Engagement

Expanding the Community Development Fund in Vietnam

Funding 50 small infrastructure projects in ten cities.

Part of the Vietnam Country Programme, a grant to support citywide upgrading process in 20 small and medium cities in Vietnam has established the Community Development Fund approach in ten cities. Other cities are also participating in the project as learning cities, but without investment.

Under the grant, 50 small infrastructure projects were selected for funding from CDF in the ten cities. These projects include activities to improve community access to sanitation facilities and water supply, and for the construction of community centres. The 50 projects are currently being implemented.

Efforts are underway to institutionalise the CDF approach in the ten participating cities through a Memorandum of Understanding, in which the cities would agree to provide complementary funds for seed capital along with a project grant of USD 20,000 per city.

II. Programme Results Community Engagement

Supporting the Human City Project in Nigeria

Chicoco Maps gives young people in communities threatened with forced eviction the skills and tools to participate in a neighbourhood visioning process.

The 2012 Catalytic Fund Call for Proposals focused on Youth and the City: Challenges of and Visions for Demographic Change, a choice that signalled Cities Alliance's strategic decision to put itself at the forefront of efforts to integrate youth into sustainable city development. Six projects were selected through the call for a total portfolio value of USD 1.3 million.

Of those six, the Human City Project proposal from the Collaborative Media Advocacy Platform (CMAP) in Port Harcourt, Nigeria was especially intriguing. In 2009 the government of Rivers State, Nigeria, began a programme to demolish largely informal 'waterfront' settlements in the state capital, Port Harcourt, that are home to up to 480,000 people. The Human City Project is building the strategic and technical capacity of these excluded communities to participate meaningfully in their own development and the shaping of their city. The project focuses on rights-based media advocacy, collaborative architecture and participatory urban planning.⁴ It is a community-driven human rights movement.

The purpose of the project is to move from a process of demolition without prospect of regeneration to partnership-driven development within the waterfronts of Port Harcourt and the city at large. Core programmes include: the design and build of a floating community radio station and media centre; an extensive professional radio training programme for waterfront residents and the establishment and support of a community-based organisation to govern and operate it; a youth-led participatory mapping project; and a multi-stakeholder pro-poor urban planning programme. The Human City Project also includes a mobile cinema programme, a litigation programme and university teaching and research collaborations.

⁴ Source: The Collaborative Media Advocacy Platform website <http://www.cmapping.net/>

II. Programme Results Community Engagement

The Cities Alliance Catalytic Fund supported CMAP to launch Chicoco Maps, a participatory digital mapping project and collaborative urban design process with young people from marginalised communities across the city. Originally called 'Urban Futures', Chicoco Maps allows residents of Port Harcourt's informal waterfront settlements to give voice to their vision of the city, to literally put themselves on the map. The programme helps give young people in communities threatened with forced eviction the skills and tools to participate in the mapping and planning of their neighbourhoods.

The Human City Project created links between Chicoco Radio, a community radio training programme, and Chicoco Maps. Support from Cities Alliance contributed to the training of over 100 waterfront residents as broadcast journalists, radio drama directors, sound engineers, programme presenters, studio operators, music producers, station managers and community correspondents. Some 38 core volunteer journalists and technicians from CMAP were trained in participatory mapping principals and practice. They also wrote and produced a mini radio drama series exploring urban governance and design issues called 'Many Voices Make a City.'



II. Programme Results Community Engagement

Global Urban Poor Networks Meet in South Africa for Learning Exchange

Strengthening knowledge and developing a strong foundation for collaboration among organisations with similar interests.

In September 2015, Cities Alliance convened a learning exchange between three global urban poor networks: Shack/Slum Dwellers International (SDI) and Women in Informal Economy: Globalizing and Organizing (WIEGO), both members of the partnership; and the Fundación Avina, a non-profit based in Ecuador that promotes sustainable development in Latin America.

While the three organisations adopt a different approach, they all share a common vision of equitable, inclusive cities. The idea behind the learning exchange was for them to come together and compare approaches related to mobilisation strategies, building partnerships, and global advocacy from the perspective of community leaders.

Representatives from the three organisations met in Durban, South Africa for a four-day programme hosted by the South African SDI Alliance from 21-24 September. Participants included community leaders and supporting organisations from: Brazil's SDI Alliance, the Ecuadorian Waste Picker Network, the Ecuadorian Network for Fair, Democratic & Sustainable Cities, the Association of Recyclers in Bogota, Colombia (Asociación de Recicladores de Bogota), Fundación Avina in Peru and Ecuador, WIEGO, Asiye eTafuleni (a network of informal workers in Durban), and the South African SDI Alliance (Federation of the Urban Poor, Informal Settlement Network, and the Community Organisation Resource Centre).

Visitors had a chance to learn first-hand about the South African Alliance's approaches to community organising, including site visits to housing and informal settlement upgrading projects, a savings scheme and data collection for slum profiling. Each day ended with a reflection on the outcomes of the day and what worked or did not work.

Participants in the exchange also had the chance to accompany the South African SDI Alliance to a meeting with municipal and provincial authorities and the national government to discuss the progress of housing and upgrading projects. At the meeting, the visitors were able to see how the community had leveraged its savings and data collection activities into a partnership with local authorities based on trust and a willingness to work together.

In one of the exchange activities, a WIEGO affiliate in South Africa, Asiye eTafuleni, illustrated how it has adapted SDI's enumerations tool to audit a large informal market in Durban. The South African SDI Alliance intends to establish a relationship with Asiye eTafuleni in Durban and possibly Cape Town. This relationship is important because it will enable the sharing of mobilising methodologies and a greater focus on informal workers within the South African SDI Alliance.

All of the participants found the exchange to be extremely useful. The Latin American representatives very much appreciated how the South African Alliance used savings groups and enumerations to build social capital, upgrade communities, and work in partnership with local government. In turn, South African representatives were particularly interested to learn from their Latin American counterparts about mobilisation and partnership strategies used by waste pickers and recyclers' movements. This will be the focus of a second part of the exchange, to be hosted by WIEGO in Colombia.

II. Programme Results Community Engagement

Improved Primary Waste Collection in Poor Communities in Liberia

Promoting livelihood of waste pickers in Monrovia through community Ebola prevention responses

Financed by the Bill & Melinda Gates Foundation and managed by the Cities Alliance, the Improved Primary Waste Collection in Poor Communities (IMPAC) initiative is a package of projects that promote livelihoods of the urban poor in Monrovia, in particular waste pickers. Through IMPAC, waste pickers received direct support in the form of equipment, a fee structure for household collection of waste, and training in business skills to help them establish their own community-based enterprises (CBEs).

In 2015, the Ebola Virus Disease (EVD) had a huge impact on the project. Waste pickers who initially focused on collection of waste were mobilised as part of the community response to the devastating epidemic. The turning point of EVD in Liberia came when the government implemented a decentralised approach to curb new infections. It was ultimately the flexibility shown by the Liberian government in adapting their response to the crisis which helped turn the tide in the city on infections.

Operation Stop Ebola, launched by Monrovia City Corporation (MCC), received support from the city's waste pickers who were trained on the community Ebola prevention response. Cities Alliance supported the restructuring of the project to respond to Ebola risk in communities by providing financial support to SLUMDAL, an affiliate of SDI, to conduct community awareness of water, sanitation and hygiene with MCC. This training was beneficial for the waste pickers too because they were handling household waste and were at high risk of becoming infected with EVD.



Nana Ammons shows one of the motorised waste collection vehicles, introduced under the IMPAC scheme. Nana can afford the running, maintenance, and replacement costs from the small fees she receives from beneficiaries

II. Programme Results Community Engagement

As Mayor Clara Doe Mvogo explained in *Monrovia Mayor Clara Doe Mvogo on Ebola's lessons* an interview with Citiscope in July 2015:

"In each of these communities I personally went and talked to the leaders. We brought them together, we gave them training in the Monrovia City Hall. Then we went into each of their communities and did training with their block leaders. My staff and I worked very hard to carry this message. The solid waste people who collect waste in the city were spreading the news. The community service department was spreading the news. The environmental health department was spreading the news. Be it Ebola or any epidemic that breaks out, the powers that be, the international community, the government must have real coordination of what their support is to a community."

Due to the outbreak, the project introduced robust door-to-door public awareness and behaviour change campaigns on the benefits of improved hygiene, appropriate handwashing, environmental sanitation, community health monitoring and clean communities to the wellbeing of the residents. The campaigns were facilitated by the Community Management Teams of the host communities which were set up and managed by the project.



II. Programme Results Community Engagement

SDI's Know Your City Global Platform

Compiling an interactive, online platform of data on informal settlements.

At the World Urban Forum in 2014, SDI launched the Know Your City global campaign to gather citywide data on slums as the basis for inclusive partnerships between the urban poor and local governments. Through the campaign, residents of informal settlements have collected data about their everyday lives and the spaces they reside in – a practice that is at the heart of SDI's methodology and its mission to develop and sustain an informed, united voice of the urban poor.

That data has been used to populate an interactive, online platform on city-level informal settlements, with support from the Bill & Melinda Gates Foundation, UCLGA, Cities Alliance and the Santa Fe Institute. The public platform gives communities a powerful visual tool to strengthen their advocacy and advance their demands.

Cities Alliance has supported the Know Your City campaign from the outset and oversees the project's implementation on behalf of the Gates Foundation.

In 2015, SDI achieved a number of key results for the global platform. The organisation now owns and manages a massive dataset, and is able to make the software platform accessible to all.

SDI's profile survey tool has been standardised, and an emerging protocol established that supports the rigour of the process and the verifiability of the data collected. Additional tools for settlement profile data collection have also been standardised and rolled out across SDI's network.

In the second half of 2015 there has been a marked increase in the number of profiles captured onto the central database by federations, demonstrating management and ownership of data platform.

II. Programme Results Community Engagement

On an institutional level, the platform helps SDI offer “on demand” enumeration and profiling services to other institutions and has supported learning, monitoring and evaluation of the process. It also opens up possibilities for exploring the general properties of informal settlements in research publications.

Through a separate grant from the Gates Foundation, the Santa Fe Institute (SFI), worked closely with SDI to build the database and provide the “back end” technological platform for the tool. SFI also helped standardise the data; the SDI Secretariat in Cape Town, South Africa collected the data from its local federations, and the team in Santa Fe cleaned and standardised it so that it would be suitable for the database. Cities Alliance oversaw the grant on behalf of the Gates Foundation.

The Know Your City online global platform is providing evidence-based, reliable data on informal settlements, which often brings to light the implicit challenges faced by people living in these settlements. This greater transparency and information sharing is raising these issues at national and international level and is galvanising stakeholders to action by working with communities to find solutions.



Screenshot of the Know Your City Global Platform.

II. Programme Results Global Advocacy and Public Policy

In 2015, two of our key thematic Joint Work Programmes (JWPs) – Habitat III and Resilient Cities – were highly visible in advocating and moving forward the partnership’s priorities as well as influencing major global public policy making processes.

Cities Alliance Joint Work Programme on Habitat III Shows Value of Partnership

Demonstrating the value of Joint Work Programmes as a distinct partnership vehicle for Cities Alliance and increasing the partnership’s visibility on a global level in advance of Habitat III.

The year 2015 was key for shaping the global policy environment for international development. The UN General Assembly took a number of crucial decisions on how the global community can ensure a sustainable future with milestone meetings in Addis Ababa, New York and Paris. The role of cities as drivers and spaces of development has been clearly acknowledged, which represents a major success for all of us who have been advocates for cities.

With these major achievements in hand, it is imperative to use this great momentum for cities in order to successfully prepare for the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in October 2016 in Quito, Ecuador.

Cities Alliance has been actively involved in advocating for cities to be at the forefront of a new global sustainable development agenda. Through active participation at the Open Working Groups that discussed elements for the SDGs, the Cities Alliance Joint Work Programme in support of the preparation process for the Post-2015/SDG Agenda towards the Third United Nations Conference on Housing and Sustainable Urban Development (JWP HIII) joined with the Global Task Force of Local and Regional Governments and Sustainable Development Solutions Network (SDSN) to support a dedicated goal for cities as part of the Urban SDG Campaign.⁵ Through these concerted efforts, the global cities community was able to celebrate the inclusion of SDG Goal 11: Make cities inclusive, safe, resilient and sustainable in September 2015.

⁵ For more information about the Urban SDG Campaign, see <http://urbansdg.org/>

II. Programme Results Global Advocacy and Public Policy

For the JWP HIII, one of the most important contributions was to clearly articulate and disseminate the value of partnerships between national government, local authorities and organised civil society as a key mode for achieving global development goals, such as the SDGs. Reflecting the diverse membership structure of the JWP itself, this key message continues to inform policy dialogue at various stages that have not only shaped the formulation of SDG Goal 11, but also the preparation process for Habitat III.⁶

Through the JWP's presence at key moments in international negotiations⁷, it was able to interact directly with national delegations and members of the UN General Assembly to influence the general debate on the political floor. A number of knowledge products were jointly produced to influence the debate, such as a discussion paper on Sustainable Development Goals and Habitat III: Opportunities for a successful New Urban Agenda.⁸

For Cities Alliance, the Joint Work Programme partnership:

- Increased coordination among JWP members on global advocacy activities through continuous updates, monthly telephone conference calls and joint events;
- Demonstrated the value of partnerships between national governments, local authorities and organised civil society;
- Created a flow of information to close knowledge gaps within the JWP group and its diverse constituency;
- Increased the visibility of the Cities Alliance partnership in support of a common agenda towards Habitat III; and
- Strengthened in a collective manner already existing initiatives, including the Global Task Force of Local and Regional Governments and Sustainable Development Solutions Network.

II. Programme Results Global Advocacy and Public Policy

Members of the JWP for Habitat III:

- Government of Brazil
- Deutsche Gesellschaft fuer Internationale Zusammenarbeit (GIZ)
- French Ministry of Foreign Affairs and International Development (MFA)
- Ford Foundation
- German Federal Ministry of Economic Cooperation and Development (BMZ) - Chair
- Habitat for Humanity International (HFHI)
- ICLEI - Local Governments for Sustainability
- Institute for Housing and Urban Development Studies (IHS)
- Shack/Slum Dwellers International (SDI)
- Swiss State Secretariat for Economic Affairs (SECO) - observer
- Department for International Development (DFID) - observer
- United Cities and Local Governments (UCLG)
- UN-Habitat

⁶ For more about the JWP for Habitat III, see its Position Paper: http://www.citiesalliance.org/sites/citiesalliance.org/files/20150514%20-%20Position%20Paper-%20Final%20Version%20Proposed_0.pdf

⁷ These include Habitat III Prepcom II in Nairobi in April 2015, the UN General Assembly Summit in New York in September 2015, and COP21 in Paris in December 2015.

⁸ Access Sustainable Development Goals and Habitat III: Opportunities for a successful New Urban Agenda at <http://www.citiesalliance.org/sites/citiesalliance.org/files/Opportunities%20for%20the%20New%20Urban%20Agenda.pdf>

II. Programme Results Global Advocacy and Public Policy

Cities Alliance Launches New Joint Work Programme on Resilient Cities at COP21

Bringing together over 14 international development partners to highlight and address the relationship between resilience and poverty in cities on a global level.

The 21st Conference of Parties (COP21) held in Paris in December 2015 was noteworthy for several reasons. For the first time during a global event, representatives from slum dweller federations and working poor associations had the opportunity to have their voices heard at a high-level meeting. There was also a strong focus and emphasis on the role of local governments in the Paris Agreement, which has been largely missing from previous international agreements.

The Cities Alliance Joint Work Programme influenced COP21 outcomes through a declaration by the Joint Work Programme members on strengthening the resilience of informal settlements and places of work. The declaration was made under the auspices of the Lima Paris Action Agenda, which is co-chaired by the Government of France and the United Nations Secretary General Office.

For the Cities Alliance, one of the biggest moments at COP21 was the launch of our new Joint Work Programme on Resilient Cities on 8 December (Cities Day). The event was hosted by ICLEI, a new member of the Cities Alliance and a driving force behind the Joint Work Programme.

Held at the Cities and Regions Pavilion, the launch attracted a range of key members and partners in support of the initiative, including the Swiss State Secretariat for Economic Affairs (SECO), World Bank, ICLEI, C40, the Global Facility for Disaster Risk Recovery (GFDRR), Shack/Slum Dwellers International (SDI), Women in Informal Employment: Globalizing and Organizing (WIEGO), UCLG, and 100 Resilient Cities (100RC). Local government representatives included a mayor from Shimla, India and city officials from Pretoria, South Africa and Dakar, Senegal.

As a next step, the Joint Work Programme will begin preparing technical assistance concepts concerning urban climate vulnerability assessments that incorporate slum profiling data – something that has never been done before. The concepts will also address capacity development to cities for climate finance readiness and inclusive energy management plans.



II. Programme Results Global Advocacy and Public Policy

Members of the Resilient Cities Joint Work Programme:

- Arup;
- Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ);
- C40 Cities Climate Leadershi Group;
- The French Alliance for Cities and Territorial Development (PFVT);
- ICLEI - Local Governments for Sustainability;
- Inter-American Development Bank (IDB);
- 100RC;
- OECD;
- SDI;
- SECO;
- The Ecological Sequestration Trust (TEST);
- UNEP;
- UN-Habitat;
- United Nations Office for Disaster Risk Reduction (UNISDR);
- WIEGO;
- GFDRR; and
- The World Bank.

II. Programme Results Global Advocacy and Public Policy

Cities Alliance Think Tank on Africa Assembled

Convening some of Africa's top minds on urban issues to develop a new, positive narrative on African cities.

In 2013, Cities Alliance took a decision to prioritise the dynamic processes of urbanisation in Sub-Saharan Africa within its global portfolio. The Cities Alliance Africa Strategy seeks to propose a set of common guidelines for future action and to help achieve the overarching objectives of Cities Alliance in the African context.

With support from Cities Alliance, the African Centre for Cities (ACC) has established a high-level think tank to generate compelling analysis of Africa's urban transition and disseminate a pro-urban narrative. The establishment of this think tank aims to help develop the Cities Alliance Africa Strategy and provide leadership. The think tank will also set out the steps for implementation of the Africa Strategy, and assist with promotion and dissemination.

The think tank met for the first time in Johannesburg 9-10 September 2015. Seven of its 11 members were present⁹, and the meeting was chaired and facilitated by Edgar Pieterse, Director of ACC. The objective of the meeting was to agree on key issues to be addressed with a view to producing a compelling narrative on Africa's urban transition, and a basic communications and marketing strategy for creating greater visibility for the urban debate in Africa in future forums.

The meeting provided an opportunity for think tank members to start exchanging views on our current understanding of what an African city is today, and rethinking what we would like it to be. Its reality – marked with informality, inequalities, inefficiency of current service provision models, a job/growth hiatus, but also a vibrant culture with dynamic entrepreneurs – needs to be looked at with new lenses, norms, models and indicators.

With regard to communication and advocacy, think tank members agreed that there is little need to organise new conferences, but rather to identify targeted audiences and lead advocates to propel the pro-cities message in the lead-up to Habitat III and beyond.

The think tank's next steps will be to refine the pro-urban narrative, draft a position paper that draws on best practices, and develop a research agenda.

⁹ Fantu Cheru, Mohamed Halfani, Trevor Manuel, and Febe Potgiete-Gqubule were unable to attend the inaugural meeting of the Africa Think Tank.

II. Programme Results Global Advocacy and Public Policy

Members of the Cities Alliance Africa Think Tank

The think tank brings together 11 widely recognised experts and thinkers on urban issues in Africa. They are:

- Yemi Cardoso, Chairman of Citybank Nigeria;
- Jean-Pierre Elong Mbassi, Secretary-General of UCLGA;
- Alcinda Honwana, member of the Editorial Boards of the Journal of the International African Institute, the African Sociological Review, and the Journal for Higher Education in Africa;
- Gustave Massiah, President of the Strategic Support Group of Africities;
- Clare Short, Cities Alliance Senior Policy Advisor;
- Kadiatou Sy, former Minister of Town Planning in Mali;
- Jane Weru, member of the Kenyan National Task Force for the preparation of a Community Land Bill and an Evictions and Resettlement Bill;
- Fantu Cheru, Senior Researcher at the African Studies Centre in the Netherlands;
- Mohamed Halfani, former Head of Research at UN-Habitat headquarters in Nairobi;
- Trevor Manuel, former Cabinet Minister for South Africa; and
- Febe Potgiete-Gqubule, Deputy Chief of Staff at the Bureau of the Chairperson for the African Union Commission.

II. Programme Results Global Advocacy and Public Policy

Supporting Latin America as the Region Mobilises for Habitat III

Cities Alliance has supported many preparatory events in the region, facilitating knowledge exchange and cooperation that has helped Latin America prepare for Habitat III.

As the host region, there is a lot of momentum in Latin America for Habitat III and for urban development in general. In preparation for October, stakeholders and experts from across the region have been gathering to reflect on the opportunities for the regional urban agenda. While the launch of a new urban agenda will have a global impact, it will be even greater for Latin America because of its high levels of mobilisation beforehand.

Cities Alliance has supported many of these preparatory events, bringing together knowledge, expertise and experiences from the region and offering an international perspective. Cities Alliance has a history of promoting innovations in Latin America, and the partnership is widely recognised as a key global player in the region with considerable expertise.

And as a partnership with broad connections and a strong reputation in Latin America, Cities Alliance can bring members and partners together in a way that they haven't experienced before.

For example, Habitat for Humanity International and GIZ (the German Agency for International Cooperation) are two members of the Cities Alliance partnership that are very active in Latin America, and we have worked with both to maximise knowledge sharing in the lead-up to Habitat III.

Cities Alliance worked with HFHI to support the 2nd Latin America and the Caribbean Regional Forum "Vivienda para la Vida" (Housing for Life) in Monterrey, Mexico this past May as part of the preparations for Habitat III.

At a November Habitat III thematic meeting on Intermediate Cities in Cuenca, Cities Alliance, GIZ, the Inter-American Development Bank and the Latin American Faculty

The Habitat III process has underscored how the Cities Alliance partnership adds value to Latin America: through knowledge and cooperation.

II. Programme Results Global Advocacy and Public Policy

of Social Sciences (FLACSO) co-hosted a very successful side event that brought together experts from the region to discuss its contribution to Habitat III and the new urban agenda.

Cities Alliance has also supported various knowledge sharing activities of Brazil and Chile. These include a series of joint dialogue between Brazil and the European Union to exchange technical know-how on a range of sectors and issues; and participating in meetings of the General Assembly of Ministers of Housing and Urban Development of Latin America and the Caribbean (known by its Spanish acronym MINURVI), as well as consulting on the Assembly's Habitat III report.

In addition, Cities Alliance has fostered cooperation between Chile and Brazil through the Cities Alliance Joint Work Programme on Gender Equality. Both countries were interested in finding ways to strengthen the gender approach in national policies, and Cities Alliance facilitated hiring a consultant to study policies and provide recommendations. The findings will be included in the Habitat III process, used as input for international advocacy, and presented at the next meeting of MINURVI.

We have also fostered cooperation with other members of the partnership. For example, Chile has been working at the community leader level to promote exchanges among community leaders to discuss how projects can include a gender angle. The Cities Alliance LAC team facilitated a connection with SDI, which has extensive experience in this area. SDI and Chile are now working together to discuss how to improve gender in projects and perspective among community leaders, many of whom are men.

II. Programme Results Global Advocacy and Public Policy

Tapping Cities Alliance Expertise for Habitat III: Regional Adviser Anaclaudia Rossbach

Cities Alliance's Latin America presence and its regional support for Habitat III is driven by our office in São Paulo, Brazil and its dynamic head, Anaclaudia Rossbach, Regional Adviser for Latin America and the Caribbean.

In 2015, Anaclaudia was selected as a Special Expert for the Habitat III Policy Unit #3 on National Urban Policies. Driven by UN-Habitat, these Policy Units bring together high-level expertise to identify good practices, lessons learned, and policy recommendations on urban issues. Each unit produces a document in their specific area that will feed into Habitat III and the so-called "zero draft" document of outcomes.

The National Urban Policies Unit met twice in 2015, organised by UN-Habitat, CEPAL (United Nations Economic Commission for Latin America and the Caribbean) and OECD. Anaclaudia led a working group on key stakeholders along with representatives from DFID, Colombia and Argentina, and participated in the [Policy Unit#3 Draft Framework Document](#).



Anaclaudia Rossbach, third from the right

II. Programme Results Global Advocacy and Public Policy

A Cities Alliance Strategy for Latin America and the Caribbean

Tapping the momentum for Habitat III to inform a regional strategy for the partnership.

The preparation process for Habitat III offered Cities Alliance a unique opportunity to get input and support from key members and partners for a new strategy to guide the partnership's activities in Latin America. As a result, we spent much of 2015 crafting a regional strategy that is connected to both regional demands and global trends, and promotes synergy among key members as much as possible.

The Cities Alliance Latin America and the Caribbean regional strategy is based on two important pillars:

1. **Knowledge sharing and advocacy**, both in the region and internationally. Germany, a key player in the region, has a strong strategy for Latin America that sees the regional countries as equal partners in overcoming policy and inequality, and identifying key solutions that can be shared. The Cities Alliance strategy draws on this approach and targets key stakeholders at the national and community level and through south-south exchanges.
2. **Technical assistance**. There is still a need for it in Latin America, not so much funding but rather Cities Alliance's expertise, know-how and strength of membership to add value to projects. There is a strong demand for countries to learn from each other, strengthen national policy, and institutionalise the urban agenda.

The Cities Alliance LAC strategy is being soft launched 1 March 2016 at a regional Habitat III conference in São Paulo.

III. Management Effectiveness and Efficiency

New Partnerships for Global, Regional and Country Priorities

As part of the Cities Alliance Results Framework, the Secretariat is responsible for four main outputs: partnerships convened around strategic global priorities; Technical Assistance provided; knowledge products and policy dialogues; and effective governance and management of the Secretariat. This section outlines the results achieved in these four areas.

Over the course of the year under review, the Cities Alliance established and engaged in a significant number of new partnerships at the strategic and operational level, internationally and at country level.

New Joint Work Programmes

The Resilience Joint Work Programme, which was launched to operationalise one of the key priorities of the Cities Alliance Medium Term Strategy 2014-17, is now formally established and fully operational.

The Joint Work Programme brings together over 14 international development partners to highlight and address the relationship between resilience and poverty in cities. It will partner with the Medellín Collaboration on Urban Resilience (MCUR) under an action-orientated commitment to support 500 cities to the strengthen the resilience of their informal communities by 2020.

The Cities Alliance Joint Work Programme, which is coordinated by UN-Habitat, brings together a broad range of organisations active in different areas of urban development and aligns their efforts in support of a common objective: to promote resilient and inclusive cities.

Over the course of 2015, preparatory activities were undertaken to lay the foundation for new Joint Work Programmes for Equitable Economic Growth and Gender.

III. Management Effectiveness and Efficiency

New Partnerships for Global, Regional and Country Priorities

New Country Programmes

In May, the Cities Alliance Board approved a new long-term partnership programme with Liberia that will bring Greater Monrovia's slum dwellers – who make up 70 per cent of its population – into the national development process, and help improve living and working conditions for the poor as part of the local recovery from the Ebola Virus Disease. The programme is expected to run from 2016-2020.

As part the preparatory work for the Monrovia programme, the Secretariat in 2015 undertook a number of activities, including: going on several stakeholder consultation missions; co-convening the National Urban Forum in June 2015 with the Government of Liberia; holding the inaugural meeting of the programme's Steering Committee; drafting a Framework Document which was formally approved at a meeting of the Interim Management Board in October; and securing USD 6 million in funding to support the programme.

Although not yet formally approved and established, in 2015 the Secretariat also laid the groundwork for a Country Programme in Tunisia. The initial scoping and diagnostic work has consolidated the three main focal areas around which the Country Programme's operations will develop:

1. Supporting strategic urban planning through the development of CDSs in a number of secondary cities, with priority given to lagging non-coastal cities;
2. Strengthening local democracy by developing tools and setting up mechanisms at the local level for stakeholder engagement in city governance, with a particular focus on citizen participation and women's engagement in decision-making processes; and
3. Launching innovative studies to inform further public urban policies around major areas of interest, such as metropolitan governance, the role of cities in regional development, and laying the groundwork for the elaboration of a national urban policy.

III. Management Effectiveness and Efficiency New Partnerships for Global, Regional and Country Priorities

Other New Partnerships

100 Resilient Cities-Pioneered by the Rockefeller Foundation (100RC)

During March 2015, the Cities Alliance formalised its relationship with the 100 Resilient Cities- Pioneered by the Rockefeller Foundation (100RC) campaign by becoming a Platform Partner. The global campaign is dedicated to helping cities around the world become more resilient to the physical, social and economic challenges that are a growing part of the 21st century. It promotes a view of resilience that includes not only shocks – disasters like earthquakes, fires, and floods – but also the stresses that weaken the fabric of a city on a daily or cyclical basis, such as unemployment and social inequality.

The partnership with 100RC is an important one for Cities Alliance, and it has been formalised by the signing of a Memorandum of Understanding between the two organisations. Cities Alliance serves as a member of 100 RC's global support platform, which supports cities in their resilience planning work by providing technical assistance in the preparation of their city development strategies. One of the main components of this technical assistance is through the provision of Chief Resilient Officers, who work closely with local governments and stakeholders to strengthen city resilience planning. The estimated combined value of this support platform is USD 200 million.

Through this platform, Cities Alliance is able to channel direct support services to bolster city resilience, including for cities participating in the Country Programmes and Future Cities Africa. A good example is Accra, a focus city for both a Cities Alliance Country Programme and Future Cities Africa, which is also a city in the 100 RC network.

III. Management Effectiveness and Efficiency New Partnerships for Global, Regional and Country Priorities

FT/IFC Transformational Business Awards

The Cities Alliance partnered with the Financial Times and International Finance Corporation for the 2015 Transformational Business Awards. The Transformational Business Awards are a unique global programme that highlight groundbreaking, long-term private sector solutions to key development issues. They are open to all financial and non-financial private sector organisations, with an emphasis on private sector-led public-private partnerships.

Cities Alliance sponsored the special Excellence in City-led Transformation Category that underlines achievements by municipal governments around the world. The award was won by Da Nang, Vietnam for its comprehensive, citywide reform programme, which also included firm targets backed by administrative reforms to make the process effective. India's Agra Municipal Council was highly commended for its citywide slum upgrading plan, which was also supported by the Cities Alliance.

For the Cities Alliance, sponsoring the award was a chance to draw international attention to cities that are trying innovative, citywide approaches to promoting inclusive growth for all citizens. It was also an excellent opportunity for the partnership to connect with new constituencies that are becoming increasingly important in development, particularly in the private sector. The FT/IFC Transformational Business awards were sponsored by the Omidyar Network, which joined the partnership in 2015. Cities Alliance will sponsor the Excellence in City-led Transformation award again in 2016.



Representatives of Da Nang, Vietnam, Winner of the 2015 Excellence in City-led Transformation Award, with Cities Alliance Director William Cobbett (Second from right)

III. Management Effectiveness and Efficiency

New Partnerships for Global, Regional and Country Priorities

Partnering with Naerus for Compelling Analysis of City Issues

Cities Alliance has entered into a collaboration with Naerus, a 20-year-old network of European researchers working on urbanisation in the Global South. The objective of the partnership is to generate compelling analysis and arguments, drawing on the experience and findings of network members, and then use this analysis to inform decision-making and generate policy transformation in support of city development.

The partnership with Naerus is the first of its kind for Cities Alliance, and a unique collaboration with academia. The Cities Alliance's role in the partnership is to help consolidate a network and voice for issues concerning urbanisation in the Global South. From its base in Brussels, the Cities Alliance is well-placed to support Naerus with advocacy efforts and to strengthen Naerus' links with academic institutions in Europe.

The partnership with Cities Alliance focuses on three mutually beneficial areas:

1. Production of research and policy papers, in which Naerus will produce policy orientations based on research;
2. Reflection on the needs of research at the European level and how Cities Alliance can help structure an agenda for research in Europe; and
3. Advocacy from Cities Alliance to support Naerus' direct engagement with European policy makers.

The initiative currently involves 25 researchers from the USA, France, Germany, Italy, the Netherlands, Belgium, the UK, Switzerland, Ethiopia, Uganda, India, Argentina and Colombia. Three working groups have been set up – on Informality, Governance and Planning – with the objective of producing policy-orientated position papers to inform the Habitat III process.

III. Management Effectiveness and Efficiency

New Partnerships for Global, Regional and Country Priorities

Cities Alliance Provides Expertise to the International Guidelines on Urban and Territorial Planning



Cities Alliance Lead Urban Specialist Serge Allou was chosen to participate in an ad-hoc Expert Group convened by UN-Habitat to support the elaboration of International Guidelines on Urban and Territorial Planning (IG-UTP). The UN-Habitat Governing Council endorsed the Guidelines on April 2015 and published them along with a Compendium of Inspiring Practices.

The IG-UTP develop a reference framework to guide urban policy reforms and capture universal principles from national and local experience that could support the development of diverse planning approaches adapted to different contexts and scales.

III. Management Effectiveness and Efficiency

Technical Assistance

As part of its core work in 2015, Cities Alliance provided technical assistance through grant and procurement funding in support of identified activities within the context of country and regional programmes, as well as the Catalytic Fund, the partnership's funding window for innovation.

The Catalytic Fund

The 2015 Catalytic Fund Call for Proposals was issued in March. With the theme "Migration and the Inclusive City", the call was innovative and noteworthy for several reasons.

Migration is generally viewed as an international and national issue, and approaching it from a city perspective is still somewhat of a novelty – despite the fact that migration is a pressing issue whose consequences are mostly felt at the local level. With the 2015 Call, the Cities Alliance sought to promote innovative policy responses and practical approaches at city level that adopt an inclusive response to migrants, including access to land, services, employment opportunities as well as voice in the recognition that migrants are for cities an invaluable cultural, social and economic resource.

In addition, the 2015 Call was the first held since the Cities Alliance opened up the organisation to new types of members, and the increase in applications from international organisations, foundations and academia reflected the new and diverse nature of the partnership. Almost all Cities Alliance members sponsored applications, making clear that the Catalytic Fund is a valued tool for engaging the partnership around themes of global concern.

The 2015 Call formally closed on 8 May, with a total of 115 Concept Notes received from a broad range of organisations across the globe. Eleven innovative projects have been selected for funding to support local authorities, national governments, civil society, citizens and migrants in making cities more inclusive.

The projects propose a range of approaches, including integrating migrants through sports, social and cultural activities; improving migrants' access to education, employment and services through social business creation; and integrating them into local economic development plans, national policies and city-level action. With these catalysing approaches, the projects promote inclusion of a variety of different types of migrants, such as refugees, involuntarily returned migrants, internal migrants, and second-generation migrants.

III. Management Effectiveness and Efficiency

Technical Assistance

Technical Assistance Operations in Country and Regional Programmes

Cities Alliance approved several Technical Assistance activities to support Country Programme operations and Country Programme activities. They include:

- Vietnam National Urban Development Strategy (NUDS);
- Support to the Development of a National Urban Agenda in Mozambique;
- Building the Capacity of the Urban Poor for Inclusive Urban Development in Ghana (SDI);
- Enhancing the Planning Capacities of Cities in the Nacala Corridor (Nampula, Tete and Nacala); and
- Equitable Economic Growth in Cities: An exploratory diagnostic to understand and assess equitable growth potentials and challenges in selected cities of Cities Alliance Country Programmes.

Technical Assistance Operations in Special Initiatives

Future Cities Africa

Future Cities Africa involves collecting research and evidence that will give African cities the information and tools they need to develop and implement "future proofing" action plans to support inclusive growth and resilience.

It is designed to be an inclusive process, involving in-depth consultation with national ministries, local authorities, civil society, donors and development actors, research institutions, and the private sector. Replicability for broader use is also an important factor with the idea that the tools and knowledge generated by the Future Cities Africa project can then be adapted for use in other African cities.

Future Cities Africa is implemented through, and builds upon the work of, Cities Alliance members and partners by securing their active involvement in shaping the substantive content. In each of the countries where Future Cities Africa is being implemented, it has utilised an existing local forum of Cities Alliance members and partners established under the Country Programmes.

III. Management Effectiveness and Efficiency Technical Assistance

Future Cities Africa will achieve its goals through the following four main outputs:

- Output 1 - **A feasibility study** outlining the four countries and eight cities that are the focus of the project, and detailing institutional and financial arrangements needed as well as relevant stakeholders to inform a business case for future programming.
- Output 2 – **Four research studies** and one city typology reports that will improve the evidence base to enable African cities to fulfil their potential as centres of growth and job creation in the face of climate, environment and resource challenges
- Output 3 - A **knowledge sharing platform** designed to share results, data, and establish peer-to-peer contact between cities. Developed by Gaiasoft, the platform will use off-the-shelf software that can be reconfigured and improved based on specific needs.
- Output 3 - An **open source decision-making model prototype (resilience.io)** developed and piloted in one sector in the Greater Accra Metropolitan Area (GAMA) in Ghana, for potential use in future urban programming in Africa. The model, developed by The Ecological Sequestration Trust (TEST), is designed to enable decision makers and key stakeholders to make better citywide policies, plans and interventions, once it is available and ready for deployment in African cities.
- Output 4 – **Three innovative studies** focused on a particular thematic issue, or a specific city/ country challenge, that explore new ideas and innovative thinking to building resilience in African cities.

Over a year into its implementation, Future Cities Africa is living up to its early promise and already beginning to show concrete results. Through the initiative, the Cities Alliance supports over 20 cities in four African countries (Ethiopia, Ghana, Mozambique and Uganda) to anticipate and minimise future challenges in terms of climate, environment and natural resources risks – essentially supporting the development of diagnostic tools to better equip cities to future proof themselves to become inclusive, resilient and have growing economies.

As part of its technical assistance activities, the Future Cities Africa project in 2015 completed Draft Rapid City Resilience Assessments Reports (RCRAs) for the majority of cities in the four countries which will now be turned into full diagnostics.

III. Management Effectiveness and Efficiency Technical Assistance

It has launched the development of three innovative and practical toolkits in support of African local governments on strategic urban planning, data management and human resources needs. It has also commissioned high-quality research to help shape an African research agenda around the issues of land expansion, urban governance and service delivery, climate change and energy, and informality and economic growth.

Finally, it has provided support for the development of a knowledge sharing platform designed to share results, data, and establish peer-to-peer contact between the participating cities. Future Cities Africa has also provided seed funding to support an open source decision-making model prototype (resilience.io), developed and piloted in one sector in the Greater Accra Metropolitan Area (GAMA) in Ghana, for potential use in future urban programming in Africa.



III. Management Effectiveness and Efficiency Technical Assistance

Future Cities Africa is changing the way cities approach planning

From 11-12 June 2015, Cities Alliance hosted a global knowledge exchange workshop for participants in the Future Cities Africa initiative. From the workshop, it was clear that the project is already helping to change the way municipal governments approach urban planning and inclusive city development. Here is a sample of some of the participants' comments on the project:

"Through Future Cities Africa, Cities Alliance is encouraging us to reflect on how we strengthen ownership at the local level and how we develop cities with inclusivity, especially gender and those most disadvantaged, in mind ... In terms of the way forward my team and I represent different sectors which is an advantage for garnering national and ministerial support. It will be easier for us to sell our ideas to GAMA and we will have a bigger impact."

Hon. Isaac Ashai Odamtten, Metropolitan Chief Executive of Tema Metropolitan Assembly, Ghana

"My three take-home messages are firstly, issues of municipal management need to be constantly monitored as they are often ongoing. Secondly, it is important that municipalities participate in finding solutions to these issues. Thirdly, Future Cities Africa is making a major contribution in my city, Tete, as it will help build the city's resilience through city planning with a focus on sustainable development."

Mr Celestino António Checanhaza, Mayor of Tete Municipality, Mozambique

"I have been impressed with the quality of exchanges and I think that the research areas are important. My opinion is that in Ghana we need to follow up on land value capture, looking at the various options applicable in cities and also give more autonomy to cities."

"We at the Ministry will provide support to make sure that the lessons learned are applied and work plans for the rapid city assessments are rolled out and implemented. We will give directives to other cities, especially in the area of planning so that cities can grow in an orderly manner. The Ministry will follow up with cities to act with speed to ensure that the Future Cities Africa programme is fully implemented. At GAMA, we would like to organise an investment forum to bring on-board private sector entities into city planning."

Mr. Sylvanus Adjornu, Head of the Urban Development Unit, Ministry of Local Government and Rural Development, Ghana

III. Management Effectiveness and Efficiency Technical Assistance

Legacy Portfolio

The legacy Cities Alliance grant portfolio administered by the World Bank was largely completed during 2015. Numerous outputs and outcomes resulted from the projects.

In Sub-Saharan Africa, Urbanization Reviews were completed for Nigeria and Ethiopia, and the State of Ethiopian Cities Report was published. The World Bank's Urbanization Reviews present and analyse key trends across a range of issues related to cities in the country, including the pace and form of urbanisation, opportunities and constraints, and priority government policy options.

The State of Ethiopian Cities Report was undertaken by the Ethiopia Civil Service University with the Government and development partners. It compiled and documented baseline information on urban realities in 27 selected urban centres, serving as a basis for evidence-based policy making and strategy formulation, and will help cities to reflect on their urbanisation-related dynamics as well as facilitate horizontal learning.

In Rwanda, timely policy and sector advice was provided to the Government on urban development and housing, complementing the work of other development partners and serving as a catalyst for scaling up investments, including supporting green growth of secondary cities in Rwanda.

High-level policy advocacy initiatives were aimed at Sub-Saharan Africa governments, including a seminar at the International Monetary Fund/World Bank Spring Meetings 2015 on "Harnessing Urbanization for Shared Growth and Prosperity in Africa", and at events at the 2015 Africities Summit. In Ghana, an advocacy initiative raised the profile of urban issues and is generating debate in an inclusive and constructive way.

In Asia, the portfolios in India, Philippines and the Pacific Islands were completed. Outputs from the Transformation of Mumbai project included studies on appropriate institutional models for a slum-free Mumbai, socio-economic outcomes of previous land reclamation projects, and a report on institutional strengthening for sustainable reforms. At the national level, as part of the Peer Exchange and Reflective Learning (PEARL) programme implemented by National Institute of Urban Affairs, compendiums of global good practice were compiled for various infrastructure sectors; research papers were produced on "smart cities" and managing peri-urban expansion; and numerous knowledge events delivered.

III. Management Effectiveness and Efficiency Technical Assistance

The League of Cities of the Philippines worked with five pilot cities to assess their current transport and traffic conditions; develop a capacity assessment and technical assistance strategy; and formulate traffic and transport management plans.

In Papua New Guinea, a socio-economic and physical conditions survey was completed, settlement upgrading strategy and plans developed, and climate vulnerability assessment undertaken. In Samoa, a city development strategy was undertaken, including assessment of capacity of relevant and national institutions, policy proposition papers on City Development Strategies and its relevance as a planning tool, a knowledge sharing plan, and a monitoring and evaluation framework.

Managing the Urban Portfolio of the Bill & Melinda Gates Foundation

Since 2013, the Cities Alliance Secretariat has provided substantive oversight to the urban portfolio of the Bill & Melinda Gates Foundation. In some countries, such as Uganda and Ethiopia, the Cities Alliance has integrated the Gates Foundation grants into its existing Country Programme. In Liberia, the foundation's initial investment in Monrovia served as the basis for a new Cities Alliance Country Programme. For many of the projects, 2015 was the final year of implementation.

III. Management Effectiveness and Efficiency Knowledge Products and Policy Dialogues

Over the course of 2015 the Cities Alliance Secretariat financed a number of events, learning exchanges and knowledge products aimed at supporting the partnership's objectives and goals. These activities centred around three primary categories:

**ADVOCACY TO PROMOTE KEY MESSAGES
PRIORITISED BY MEMBERS AND TO
INFLUENCE GLOBAL PUBLIC POLICY MAKING.**

- Major global cities events, such as Africities, COP21, European Development Days 2015, and the Financial Times/International Finance Corporation Awards 2015
- Joint Work Programme events and publications, including side events for the Second Preparatory Committee for Habitat III, the UN Sustainable Development Goals summit in September 2015, the launch of our Resilient Cities JWP and Habitat III events at COP21, and a discussion paper and CIVIS on Equitable Economic Growth in Cities for the JWP on Equitable Economic Growth.
- Events aimed at supporting the Habitat III process and Cities Alliance regional strategy in Latin America, including the 2nd Latin America and the Caribbean Regional Forum "Housing for Life" in Monterrey, Mexico; and a side event at the November Habitat III thematic meeting on Intermediate Cities in Cuenca, Ecuador.
- The Cities Alliance Africa Think Tank, a group of experts which met for the first time in September 2015 to provide leadership and profile for the Cities Alliance Africa Strategy.

**KNOWLEDGE SHARING, LEARNING, AND
PEER-TO-PEER EXCHANGE EVENTS AS PART
OF OUR PROGRAMMING.**

- A global knowledge sharing workshop for participants in the Future Cities Africa initiative, held in June 2015 at the Secretariat in Brussels
- A learning exchange between three global urban poor networks – SDI, WIEGO, and the Fundación Avina, a non-profit based in Ecuador – to share approaches.
- A learning workshop at Africities 2015 for projects that received funding through the 2012 Catalytic Fund Call for Proposals on Youth and the City
- National Urban Forums in Burkina Faso, Liberia, and Ghana as part of Cities Alliance Country Programmes

**KNOWLEDGE PRODUCTS TO FILL KEY
KNOWLEDGE GAPS IDENTIFIED BY
MEMBERS.**

- The publication of our flagship study on Systems of Secondary Cities in Spanish
- An updated version of Assessing the Institutional Environment of Local Governments in Africa, which provides a rating system for city enabling environments
- The issue paper From Slums to Sustainable Communities: The Transformative Power of Secure Tenure, published with HFHI
- A Training Facilitator's Guide for the Housing the Poor in African Cities series of Quick Guides published with UN-Habitat

III. Management Effectiveness and Efficiency Governance and Secretariat Management

New Members

2015 saw a conscious growth and expansion of membership in anticipation of the adoption of a SDG on cities. As a global partnership committed to strengthening and supporting the role of cities in sustainable development and urban poverty reduction, Cities Alliance requires members and partners who can bring complementarity to the partnership to achieve its vision of sustainable cities without slums. Membership expanded to include nine new members in 2015, including two new categories of Membership: Private Sector and Foundations and Knowledge Institutions. We are so pleased to introduce our new members:

FULL MEMBERS

The World Bank

The Government of Chile

The Commonwealth Local Government Forum (CLGF)

ICLEI-Local Governments for Sustainability

Women in Employment Globalizing and Organizing (WIEGO)

The AVSI Foundation

The Institute for Housing and Urban Development Studies (IHS) of Erasmus University in Rotterdam

ASSOCIATE MEMBERS

The United Nations Development Programme (UNDP)

The United Nations Capital Development Fund (UNCDF)

III. Management Effectiveness and Efficiency Governance and Secretariat Management

Corporate Projects

In 2015 the Cities Alliance has started developing a risk management (ERM) system for the organisation. The ERM will allow the Board and the Cities Alliance senior management to anticipate and respond to opportunities and threats while prioritising alternatives and mitigation measures. The ERM includes an initial risks register/log providing an analysis of identified risks for the organisation, the identification/selection of five top corporate risks and potential related response measures. The process to develop the ERM has followed the ISO standard for risk management.

Over the past year, the Communications team has worked on creating policies and procedures for the Secretariat's Communications activities, reviewing existing products, and putting the procurement pieces into place for new ones. Another major priority has been a new branding initiative to reflect the expanding partnership and better position the Secretariat from its location in Brussels. As part of that initiative, the team has been working with colleagues in Information Management and Partnership to overhaul the Cities Alliance website to give it a fresh, new look and improve content.

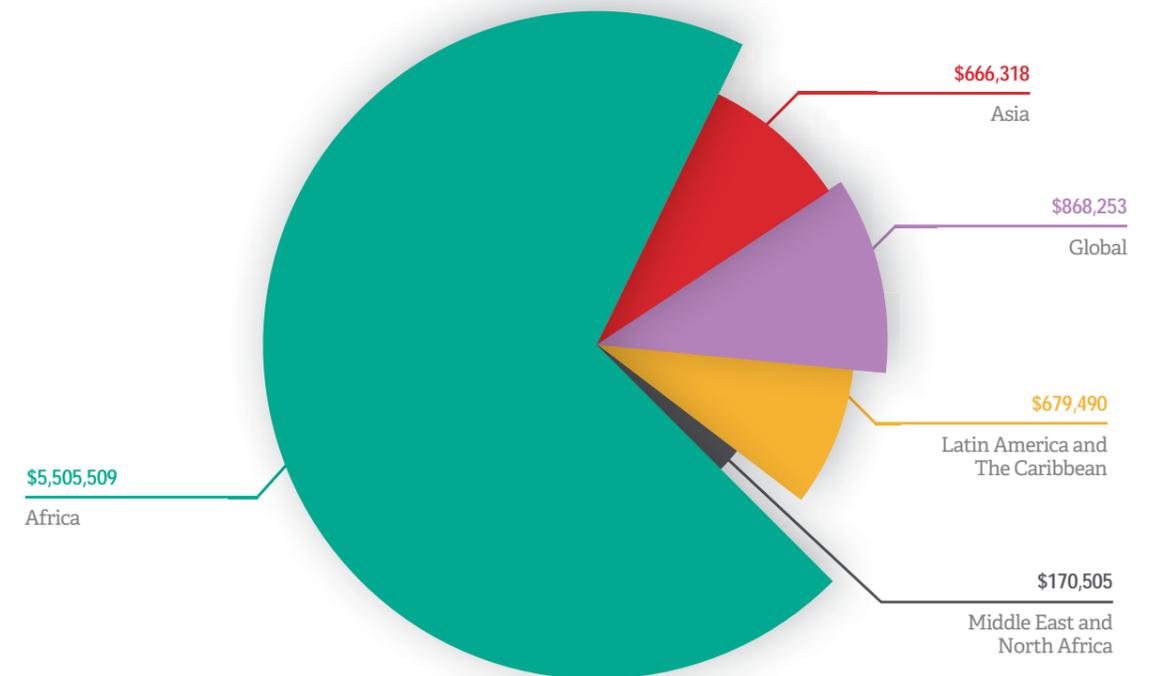


IV. Portfolio Overview

Grant Allocation by Region

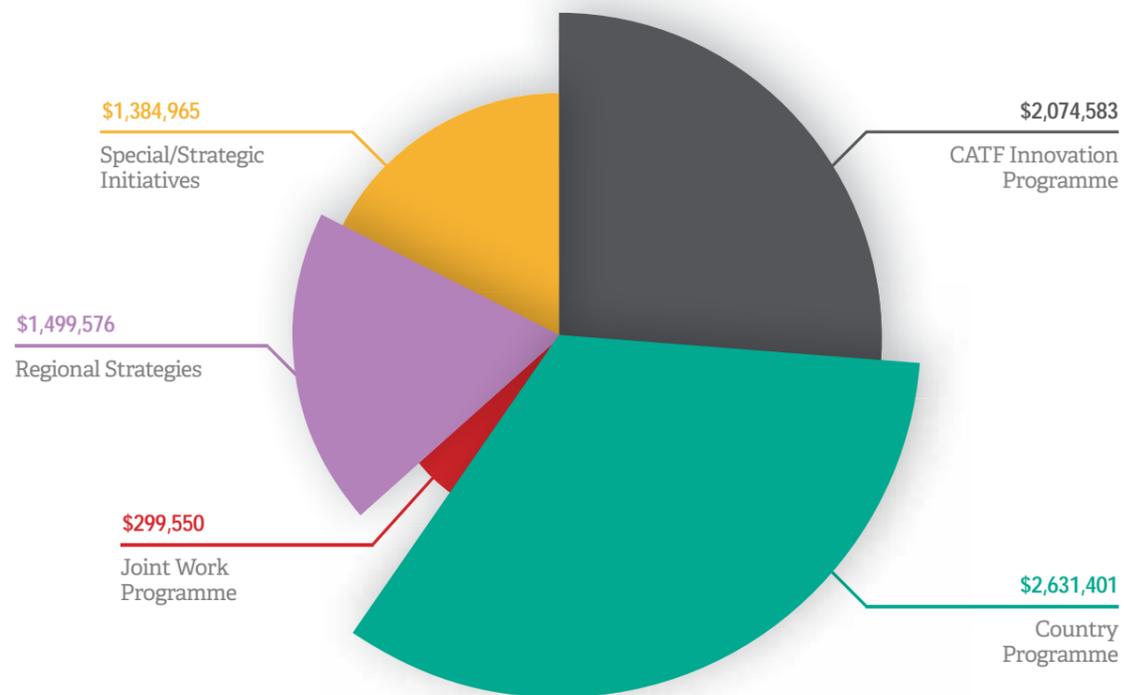
During 2015, 35 projects were approved with over USD 7.8 million of grant funding. The following charts and graphs show the number of projects approved during the period under review and their geographic distribution.

REGION	NUMBER OF PROJECTS	GRANT AMOUNT (USD)
11.1 GRANTS BY REGION		
Africa	18	\$5,505,509
Asia	3	\$666,318
Global	9	\$868,253
Latin America and The Caribbean	4	\$679,490
Middle East and North Africa	1	\$170,505
TOTAL	35	\$7,890,075



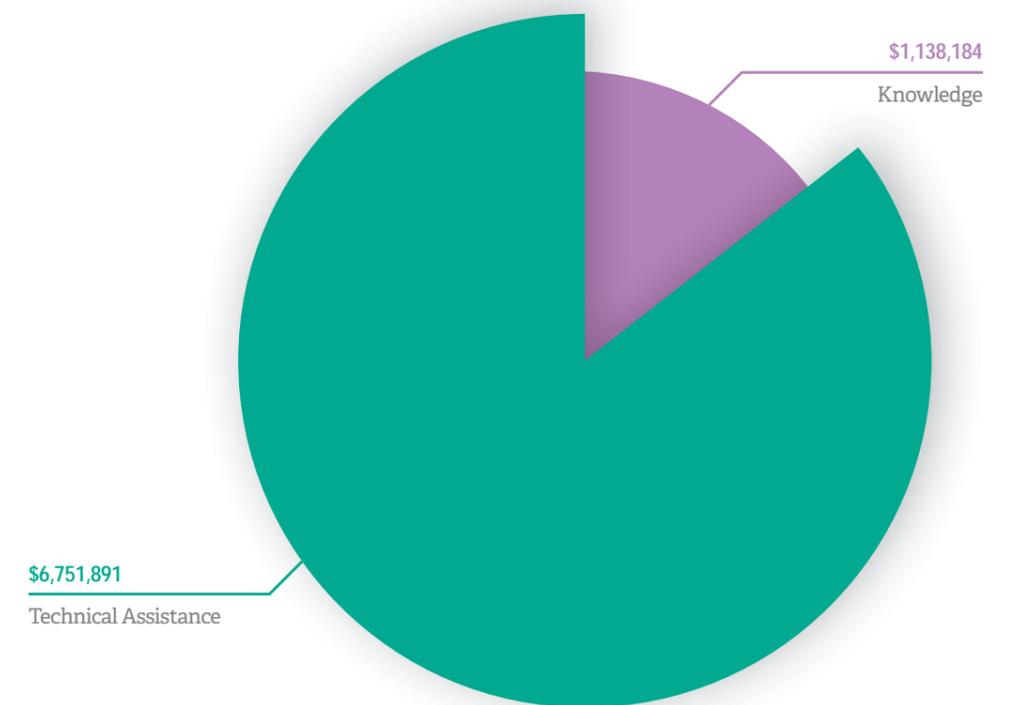
IV. Portfolio Overview Grant Allocation by Programme

TYPE OF ACTIVITY	NUMBER OF PROJECTS	GRANT AMOUNT (USD)
11.2 GRANTS BY TYPE OF PROGRAMME		
CATF Innovation Programme	12	\$2,074,583
Country Programme	7	\$2,631,401
Joint Work Programme	4	\$299,550
Regional Strategies	4	\$1,499,576
Special/Strategic Initiatives	8	\$1,384,965
TOTAL	35	\$7,890,075



IV. Portfolio Overview Grant Allocation by Activity

DELIVERY TYPE	NUMBER OF PROJECTS	GRANT AMOUNT (USD)
11.3 GRANTS BY TYPE OF ACTIVITY		
Knowledge	10	\$1,138,184
Technical Assistance (TA)	25	\$6,751,891
TOTAL	35	\$7,890,075



V. United Nations Office for Project Services (UNOPS)

UNOPS is an operational arm of the United Nations, helping a range of partners implement more than USD 1 billion worth of aid and development projects every year.

As a global initiative in support to city development, Cities Alliance is hosted by UNOPS through its Europe and Central Asia Regional Office (ECR) based in Geneva. ECR also manages other portfolios of global outreach, such as the Water Supply and Sanitation Collaborative Council (WSSCC) and the Stop TB Partnership, amongst others. In its delivery of quality services, UNOPS ECR is supported through UNOPS delivery practices in Project Management, Infrastructure, Procurement, Finance and Human Resources. UNOPS continuously focuses on improving performance and innovation to meet partner needs, while aiming at increasing organisational maturity.

UNOPS' range of hosting services and global outreach makes it a solid partner for initiatives such as Cities Alliance who want to retain their own profile and mandate provided by their respective governing bodies, yet, while being part of the UN, also require administrative/operational support services of consistent quality through an established financial and project management control framework.

The expertise of Cities Alliance and other global initiatives also assist UNOPS to further tailor and expand its support services to the benefits of all its partners. Striving for excellence and transparency, UNOPS has acquired a number of external certifications aligning with international standards and has signed up to the International Aid Transparency Initiative (IATI), becoming one of the first organisations to publish data in the standardised IATI format.

UNOPS is proud to continue its support to Cities Alliance and to strengthen its partnership in the implementation of the new universal cities agenda as defined by the Sustainable Development Goals and Habitat III. UNOPS will continue to support Cities Alliance in joint actions together with national governments, local governments and civil society organisations that will make cities more inclusive, safe, resilient and sustainable.

VI. Financials

Statement of Revenues and Expenditure for the Period 1 January - 31 December 2015

The unaudited financial results presented below cover Cities Alliance programme operations from 1 January to 31 December 2015, with a comparative total actual expenditure for 2014.

	UNRESTRICTED	2015 RESTRICTED	TOTAL	2014
A. REVENUE				
Member Core Contributions ¹⁰	\$5,910,015	-	\$5,910,015	\$7,458,656
Project Funding	-	\$5,988,340	\$5,988,340	\$3,461,431
TOTAL REVENUE	\$5,910,015	\$5,988,340	\$11,898,355	\$10,920,087
B. EXPENDITURE - OPERATING COSTS				
Governance, Finance & Administration	\$1,572,787	\$8,642	\$1,581,429	\$2,151,046
UNOPS Fees & Direct Allocable Costs	\$474,728	\$457,087	\$931,815	\$682,715
Programme Support & Operations	\$984,444	\$678,047	\$1,662,491	\$1,923,965
TOTAL OPERATING COSTS	\$3,031,959	\$1,143,776	\$4,175,735	\$4,757,726

¹⁰ Includes softly earmarked funds to support Cities Alliance Medium Term Strategy themes and programmes.

VI. Financials

Statement of Revenues and Expenditure for the Period 1 January - 31 December 2015

	UNRESTRICTED	2015 RESTRICTED	TOTAL	2014
B. EXPENDITURE - PROGRAMME GRANTS & ACTIVITIES				
Country Programmes	\$42,094	\$3,283,941	\$3,326,035	\$2,600,928
Catalytic Fund	\$2,282,474	-	\$2,282,474	\$635,986
Regional Strategies: Africa, Asia & LAC	\$1,368,403	-	\$1,368,403	\$253,739
Joint Work Programmes & Medium Term Strategy Themes ¹¹	\$291,592	\$13,818	\$305,410	\$46,773
Other Strategic Initiatives	\$423,115	-	\$423,115	\$294,774
Monitoring & Evaluation	\$38,295	-	\$38,295	\$64,344
Future Cities Africa	-	\$3,130,360	\$3,130,360	\$799,427
TOTAL PROGRAMME GRANTS & ACTIVITIES¹²	\$4,445,973	\$6,428,119	\$10,874,092	\$4,695,971
TOTAL OPERATING COSTS & PROGRAMME GRANTS & ACTIVITIES	\$7,477,932	\$7,571,895	\$15,049,827	\$9,453,697
BALANCE OF REVENUE OVER EXPENDITURE: SURPLUS/(DEFICIT) FOR THE PERIOD	(\$1,567,917)	(\$1,583,555)	(\$3,151,472)	\$1,466,390
UNALLOCATED FUNDS BROUGHT FORWARD FROM PREVIOUS PERIODS	\$10,407,235	\$6,668,418	\$17,075,653	\$15,609,262
UNALLOCATED FUNDS CARRIED FORWARD TO FUTURE PERIODS	\$8,839,318	\$5,084,863	\$13,924,181	\$17,075,653

¹¹ Includes expenditure for the Gender and Habitat III Joint Work Programmes.

¹² Includes grants (for Country Programmes, Catalytic Fund, Regional Strategies and Joint Work Programmes) awarded during the respective years.

VII. The Cities Alliance Team

1 January 2015-31 December 2015

SECRETARIAT STAFF: BRUSSELS

Lead Urban Specialist
Allou, Serge

Programme Management Specialist
Balocova, Magdalena

Head, Programme Unit
Baskin, Julian

Intern
Bruhn, Fredrik

Intern, Online Communications
Christen, Tutut

Director
Cobbett, William

Programme Officer
Daepf, David

Urban Environment Specialist
Dave, Roshni

Office Assistant
Fasano, Anais

Partnership Officer
Henderson, Susanna

Sr. Urban Specialist
Hohmann, Rene

Executive Associate
Karakhanyan, Nune

Head, Finance & Operations Unit
Kibui, Phyllis

Sr. Urban Specialist
Kurth, Marie-Alexandra

Urban Specialist
Lima, Laura

Programme Assistant
Loi, Gian Nicola

Programme Unit Assistant
Lozet, Florence

Sr. Communications Officer
Ofori-Amanfo, Priscilla

Information Management Specialist
Puspa, Erika

Urban Analyst
Reudenbach, Lisa

Sr. Urban Specialist
Siddique, Omar

Sr. Programme Specialist
Silva, Federico

Intern, Gender Team
Spörcke, Lea

ICT Intern
Tjinbun Ngochi, Desmond

VII. The Cities Alliance Team

UNOPS HEADQUARTERS

COPENHAGEN

Programme Assistant
Hordila, Alex

Programme Assistant
Pligoropoulou, Thalia

WASHINGTON, DC

Communications Specialist
Bunch, Juliet

Programme Analyst
Dai, Ngoc

REGIONAL STAFF

Regional Advisor, Africa | Pretoria, South
Hosken, Adele

Regional Advisor, LAC | São Paulo, Brazil
Rosbach, Anaclaudia

Regional Advisor, Asia | New Delhi, India
Suri, D. Ajay

Programme Assistant | São Paulo, Brazil
Violim Mercurio, Gabriela

FUTURE CITIES AFRICA STAFF

Urban Specialist | Mozambique
Afonso, Artur

Country Team Leader | Ethiopia
Amdework, Efrem

Senior Urban Specialist | Ghana
Arthur, Bernard Abeiku

Urban Analyst | Mozambique
Chemane, Valdemiro

Programme Assistant | Ghana
Essuman, Akosua

Urban Specialist | Ethiopia
Garoma, Belay File

Programme Assistant | Ethiopia
Hawine, Gemtessa

Country Team Leader | Ghana
Kwadwo Ohene, Sarfoh

Programme Assistant | Uganda
Lalam, Betty

Country Team Leader | Uganda
Mabala, Samuel

Urban Specialist | Uganda
Mukuye, Ronard

Future Cities Africa Project Manager
Simpson, Jamie

VIII. Corporate Scorecard for 2015 Cities Alliance Results and Performance Management

1.1 Background

As per its Charter, the main objective of the Cities Alliance is to reduce urban poverty and promote the role of cities in sustainable development. To assess the extent to which its efforts and those of partners are making progress toward that objective, the Cities Alliance monitors, evaluates and reports its activities within an agreed-upon performance and results framework and through dedicated comprehensive systems.

Corporate Scorecard. This corporate scorecard serves as a snapshot of the Cities Alliance's overall performance and results in 2015 and as a report to the Cities Alliance Management Board. It provides the Cities Alliance with information on the achievement of development results, effectiveness in achieving those results, and efficiency of its operations. The scorecard is also meant to support strategic planning to fill crucial gaps, foster learning and corrective actions, and promote accountability for results.

The Scorecard comprises two major components: the Results Framework (RF) and the Performance Indicators Monitoring System (PIMS).

Results Framework. The Charter and three-year Medium Term Strategy (MTS) establish the developmental objectives of the Cities Alliance, its approach and the type of activities it supports. The Results Framework articulates the different tiers of results (outputs, intermediate outcomes, outcomes and impact) expected by Cities Alliance interventions that lead to the achievement of the organisation's objectives through causal and logical relationships (see Figure 1 below). The Results Framework includes selected Indicators to help measure and document progress and performance across the various tiers of results.

The Results Framework is approved by the Consultative Group [now Assembly] as part of its responsibility for setting the strategic direction of the Cities Alliance, and for reviewing and evaluating the organisation's overall performance. The Consultative Group approved the current version of the Cities Alliance Results Framework at the 2013 Annual Meetings in Ouagadougou. At that time, it also decided to operationalise and test the framework for a three-year period within the five Cities Alliance Country Programmes with an end of 2016 target.

Performance Indicators Monitoring System. The Results Framework is defined operationally by the PIMS, which operationalises the 47 indicators into baselines, milestones and targets, data sources, and tools and frequency for data collection. The PIMS operates across Secretariat operations, grant portfolios and the organisation as a whole. The PIMS is not only about monitoring, controls and tracking emerging results; it is also about learning – for both clients and the Cities Alliance as a partnership – that can be applied in the planning and design of new activities.

VIII. Corporate Scorecard for 2015

Cities Alliance Results and Performance Management

1.2 Tiers Explained

Tier I: Millennium Development Goals. This tier is primarily contextual and reports on the long-term development goals that countries are achieving. The universe of measurement is the countries where Cities Alliance has a long term engagement. Developmental impact is measured in terms of livelihood of the target population – the urban poor – across three aspects: slums (Target 11 – entrenched with Cities Alliance history), health, and participation. Impact levels here are well beyond the control of the Cities Alliance which, as such, is not responsible for delivering these objectives.

Some of these indicators will be revised to align them to the new Sustainable Development Goal (SDG).

Tier II: Partner results as supported by Cities Alliance members. The Cities Alliance provides technical assistance programmes and services to leverage the financing that helps cities to be more effective, participatory and able to deliver improved, responsive services to the urban poor.

While Cities Alliance members are the clients of the Secretariat, the city (broadly defined) is the client of the Cities Alliance. Cities and national government partners are responsible for results at this level. A partnership of Cities Alliance members can only support the achievement of these results in partnership with beneficiaries and partners on the ground.

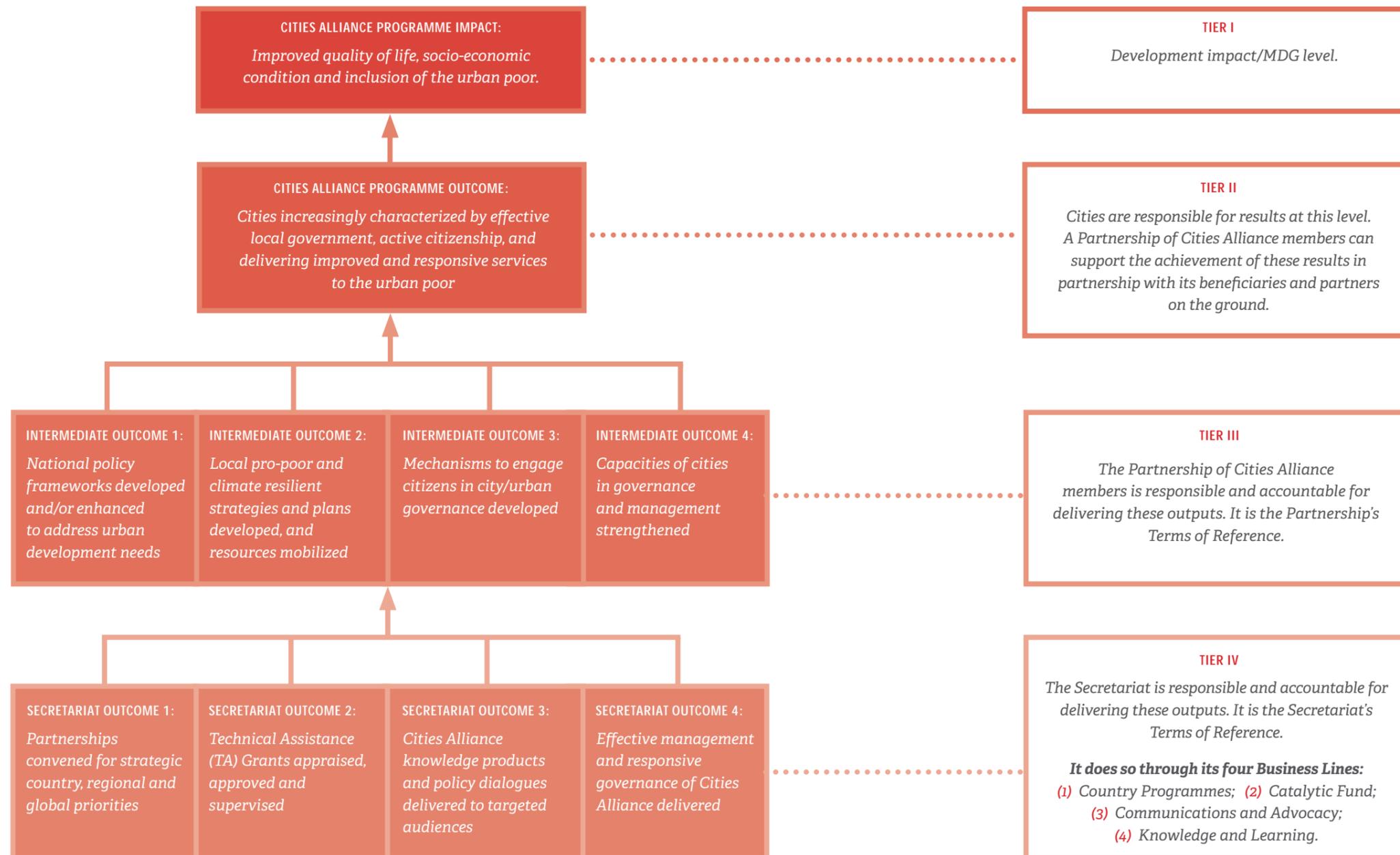
Tier III: Cities Alliance programmatic results. This tier covers the programme activities of the Cities Alliance. With the support of the Secretariat, the partnership of Cities Alliance members provides financing and implementation of technical assistance to local and national partners within a long-term programmatic framework of cooperation (Country Programmes). Indicators reflect the typical suite of technical assistance services that the Alliance delivers to leverage investments: policy frameworks, local planning, institutional participation and community engagement, and capacity development.

The partnership of Cities Alliance members – with the support of the Secretariat – is responsible and accountable for delivering these outputs. It is the Partnership's Terms of Reference.

Tier IV: Secretariat performance. This tier covers the organisational efficiency of the Cities Alliance Secretariat across four major areas of operations: partnerships; Technical Assistance grants; knowledge products and policy dialogues; and management of Cities Alliance governance. The Secretariat is responsible and accountable for delivering these outputs. It is the Secretariat's Terms of Reference. It does so through its three Business Lines: (1) Country Programmes; (2) Catalytic Fund; and (3) Joint Work Programmes.



Figure 1: The Cities Alliance Results Framework



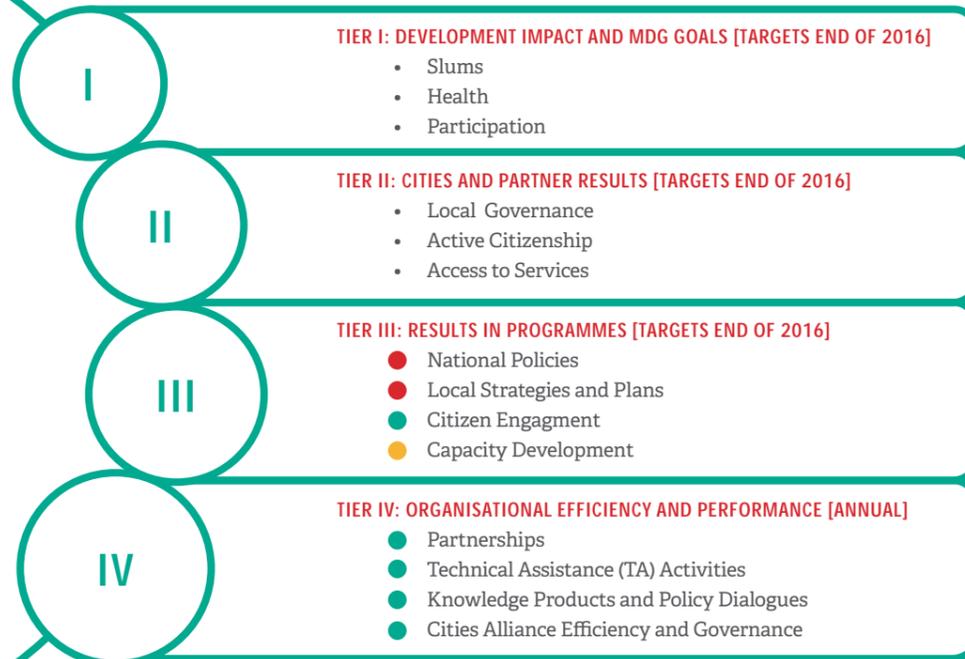
Changes introduced in 2015

New indicators. We have added new key performance indicators at the Secretariat level (Tier IV) to cover three important corporate areas which were not previously captured: our environmental footprint, our progress on gender mainstreaming (a pillar of the Medium Term Strategy) and our ability to deliver against the corporate workplan. The new indicators are numbered respectively IV.4.7, IV.4.8 and IV.4.9 (see Annex I for a detailed definition).

Geographic expansion. The RF/PIMS was pilot tested within the five active Country Programmes. Given its usefulness in the management of these programmes, many of these indicators were also included in the M&E plan of the Country Programme in Liberia. Many of the indicators have also guided and structured part of the diagnostic work of the Future Cities Africa programme. This means that the next period 2017-2020 already has a new geographical universe in place against which our progress can be measured.

Alignment. As envisaged, this year we have further structured the Annual Report around the Scorecard. The quantitative results are thus complemented by the qualitative narrative of the Report which captures the most significant changes within Cities Alliance programmes in the current calendar year.

XI. Summary 2015 Corporate Scorecard (Targets end of 2016)



LEGEND

- **Challenge.** Majority of indicators show a decrease from baseline, have failed to achieve / complete the established target or are significantly below the established performance standards. However, most are expected to complete by the target-date of end 2016.
- **Watch.** Majority of indicators show no significant increase or decrease from baseline, have not yet achieved the established targets, or are under the established performance standards although within tolerance.
- **On Track.** Majority of indicators show significant increase from baseline, have achieved the established targets or meet/exceed the established performance standards.
- **Sustainable.** Targets/performance standards are consistently achieved and mechanisms/processes underlying change are institutionalised and/or maintained without external assistance.
- **Not Applicable.** Insufficient data to establish a trend, or no target or performance standard is set.

For Tiers I and II, colour-coded traffic lights are not provided since they pertain to the developmental context and are results driven by city partners which are tracked on a three-year basis.

X. The Scorecard

IMPACT	INDICATORS ¹³	CRITERIA ¹⁴	BASELINE [2007/2013]	CURRENT [YEAR]
TIER I - IMPACT				
I.1 Improved quality of life, socio-economic condition and inclusion of the urban poor.	I.1.1 Percentage of city population living in slums	%	55.1%	53% [2014]
	I.1.2 Percentage of households in urban areas that exist without secure tenure	%	N/A	N/A
	I.1.3 Under age 5 mortality rate in urban areas	Per 1000	73.5	N/A
	I.1.4 Participation of urban poor in the voting population	%	N/A	N/A

¹³ TIER I/MDG Indicators have not been tracked regularly by international and national organisations. Currently are under revisions to align them to the post 2015 agenda and the Sustainable Development Goal (SDG).
¹⁴ Only measured in cities and countries where Cities Alliance works

X. The Scorecard

OUTCOME	INDICATORS	CRITERIA	BASELINE [YEAR]	TARGET 2016
TIER II - OUTCOMES				
II.1 Cities increasingly characterised by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.	II.1.1 Average municipal expenditures per person per year	US\$ [total expenditures / population]	51.2 USD [2013]	53.8 USD
	II.1.2 Average number of municipal employees as a percentage of the total population per year	% [# Employees / total population]	0.47% [2013]	0.49%
	II.1.3 Average number of women among municipal employees	% [# women employees / total municipal employees]	41.8% [2013]	43.9%
	II.1.4 Proportion of municipal employees with post-secondary education	% [# employees with edu / total municipal employees]	55.8% [2013]	58.6%
	II.1.5 Average percentage of voter participation	% of all eligible voters	56.9% [2010/13]	59.7%
	II.1.6 Average percentage of women voter participation	% of all eligible women	N/A	N/A
	II.1.7 Average ratings on existence of a municipal website for citizen questions and complaints	Scale [0-2]	1 [2013]	2
	II.1.8 Average ratings on functioning of local-level structures for consultations	Scale [0-2]	1.5 [2013]	2
	II.1.9 Average ratings on participatory planning process in place (budgetary or other)	Scale [0-2]	1.5 [2013]	2
	II.1.10 Average ratings on levels of civil society activity in municipality	Scale [0-2]	1.5 [2013]	2
	II.1.11 Average proportion of households in slum and/or low-income areas with regular access to potable water	%	47.9% [2013]	50.3%
	II.1.12 Average proportion of km of maintained roads/paths in slum and/or low-income areas	%	84.1% [2013]	88.3%
	II.1.13 Average proportion of households in slum and/or low-income areas with sewerage connections	%	21.7% [2013]	22.8%
	II.1.14 Average proportion of households in slum and/or low-income areas with regular electricity connections	%	59.5% [2013]	62.5%
	II.1.15 Average proportion of households in slum and/or low-income areas with regular solid waste collection	%	39.8% [2013]	41.8%
	II.1.16 Effectiveness of advocacy and knowledge product dissemination – Average Official Development Assistance for urban development	US\$ (,000,000) [# ODA Flows]	30.6 [2012]	32.1
	II.1.17 Effectiveness of advocacy and knowledge product dissemination – Average ratings for prominence of city and urban themes in corporate strategic directions [Cities Alliance members]	Scale [0-2]	1.6	2

X. The Scorecard

Notes on Tier II: Methodology and Qualitative Results

This Tier describes the impact that leveraged funding from Cities Alliance technical assistance has on cities from our focus countries; specifically on being more effective, participatory and able to deliver improved, responsive services to the urban poor.

Between 2013 and 2014, city indicator baselines for the first five Cities Alliance Country Programmes (Uganda, Ghana, Mozambique, Burkina Faso and Vietnam), which comprise the universe for the initial pilot phase of the PIMS have been collected. In Burkina Faso the baseline study on Tier II indicators has been carried out by Agence Perspective, a national consultancy firm which provided the initial diagnostic for the development of the country programme. In Ghana, the work has been carried out by ILGS and is part of the 'sustainable urban local government capacity building' grant. In Vietnam, the work has been carried out by ACVN. Given the high number of participating Vietnamese cities, a representative sample is based on factors including size, geography, and degree of involvement in the programme. In Uganda, the baseline study has been conducted by a team within the Ministry of Lands, Housing and Urban Development.

Tier II data is not updated annually, but rather at programme closure - i.e. end of 2016 - as an end-line study. Collecting data for this Tier annually was adjudged to be too expensive, but also not very effective in measuring progress and attribution. Impact at this level need to be assessed over longer timeframes, so that it includes actual outcomes from the funds leveraged through the technical assistance. Tier II endlines for Uganda, Vietnam and Ghana will be prepared by June with Burkina Faso and Mozambique coming at a later stage.

Given the strong linkages that have been created between the TA provided and capital investments follow-up in many of the Country Programmes, there is a degree of confidence that some of the above baselines will have a positive evolution. A 5% increase has been calculated as a standard target. Moreover, Ghana, Uganda and Vietnam have operational community development/upgrading funds which have now financed several small community infrastructure projects.

X. The Scorecard

OUTCOME	INDICATORS	CRITERIA	BASELINE 2011	TARGET 2016	CURRENT 2015	IN PROGRESS [PERCENT]	COMPLETE [PERCENT]	STATUS
TIER III - INTERMEDIATE OUTCOMES [READ THIS IN CONJUNCTION WITH ANNEX 2] ¹⁵								
III.1 National policy frameworks developed and/or enhanced to address urban development needs.	III.1.1a Number of countries with national urban policy(ies) developed	Unit (aggregate from scale: values = or > 2)	0	4 ¹⁶	2	25% [1]	50%	Some delays in the preparation of the Vietnam and Burkina policies.
	III.1.1b Number of countries with national urban policy(ies) adopted	Unit (aggregate from scale: values = 3)	0	3	1	67% [2]	33%	Uganda national policy to be resubmitted to the Cabinet in April.
	III.1.2 Number of countries with national urban policy frameworks developed	Unit (aggregate from scale: values= 3)	0	3	1	67% [2]	33%	See above.
III.2 Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised	III.2.1 Number of local pro-poor climate resilient strategies/ plans developed	Unit	0	42	3	81% [34]	7%	Process in GH and UG slower than expected. Both countries to be completed by 2016.
	III.2.2 Average total financial resources mobilised by partners for strategy implementation	US\$	N/A	500K	N/A	Tracking	Tracking	

X. The Scorecard

OUTCOME	INDICATORS	CRITERIA	BASELINE 2011	TARGET 2016	CURRENT 2015	IN PROGRESS [PERCENT]	COMPLETE [PERCENT]	STATUS
TIER III - INTERMEDIATE OUTCOMES <i>Continued</i>								
III.3 Mechanisms to engage citizens in city/urban governance developed	III.3.1 Number of cities which have regularly functioning governance mechanisms to engage citizens in urban governance	Unit (aggregate from scale: values = or > 2)	0	42	27	33% [14]	64%	On track
	III.3.2 Number of countries which have regularly functioning governance mechanisms to engage citizens in urban governance	Unit (aggregate from scale: values = or > 2)	1	5	4	20% [1]	80%	On track
	III.3.3 Number of sustainable mechanisms to engage citizens (Catalytic Fund projects & projects at the city level)	Unit	0	25	Tracking	14	Tracking	
III.4 Capacities of cities in governance and management strengthened	III.4.1 Number of cities where the capacity of local governments has been strengthened in areas such as strategic planning, financial management, and human resources management	Number (aggregate from scale = 2)	0	37	14	81% [30]	37%	On track to be achieved by the target date – 37% increase from last year
	III.4.2 Number of countries in which the capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future technical experts has been strengthened. future urban technical experts has been strengthened	Number (aggregate from scale = 2)	0	4	1	75% [3]	25%	On track to be achieved by the target date – 25% increase from last year

¹⁵ Delayed from baselines to current status is due to the upfront time for programme set up and the institutional transition. All CP grants are currently operational and under implementation.

¹⁶ Targets were initially established in 2013 has been slightly revised after consultation and validation with country partners.

X. The Scorecard

Notes on Tier III: Methodology and Qualitative Results

Annex II provides a snapshot of Tier III across the different cities and countries participating in the Country Programmes. These indicators are mainly maturity scales which go from an initial stage at inception to maturity at the end point of the programme (in terms of optimisation/institutionalisation/scale etc.). Most of the targets are set to be 'green' at the end of 2016, which coincides with the end of the Land, Services and Citizenship (LSC) programme.

With regard to some of the progress and challenges, the following should be noted. In Vietnam the urban policy process is underway. The initial Cities Alliance investment has served to focus attention on the need for a national urban policy and leveraged an additional USD 1.5 million from the Asian Development Bank and USAID. Cities Alliance initiated a process that has grown into a larger policy dialogue and process involving many more stakeholders, that will culminate in a Prime Minister's decree in support of the urban development policy by 2018. In Burkina Faso considerable delays have been experienced due to political instability and the uncertainty of the powers and functions of cities. The Uganda policy process is complete and scheduled to be submitted to cabinet in April 2016.

In both Uganda and Ghana (27 local plans) the planning process has been directly linked to municipal capacity development. In many municipalities a very low planning skill base exists and considerable extra training has been required. In all municipalities the planning process has started and different municipalities are at various levels of completion and in line with the target completion date of 2016. Quality assurance is currently taking place and plans are being improved through a learning by doing exchange.

In addition to impact gauged by the current indicators, the following are some of the Most Significant Changes (MSC) that have occurred during the year:

Burkina Faso. A major milestone in 2015 was the country's first-ever National Urban Forum, held in Ouagadougou. The Municipal Urban Forums were among the most important vehicles for community participation. Four of these were held over the course of 2015 in Tenkodogo, Dori, Bobo-Dioulasso, and Dedougou. New to Burkina Faso, these forums provided a platform for dialogue and consultation among local stakeholders on city development issues and priorities. Each forum gathered around 150-200 people, including representatives from civil society (who made up approximately one third of attendees). Women made up nearly half of all participants at the four forums.

X. The Scorecard

Ghana. The country held its fifth National Urban Forum in August 2015. The Forum drew more than 215 participants from across the country to discuss the theme Building Resilient Cities – Deepening Spatial Planning and Land Value Capture for Development as Ghana prepares to implement its National Urban Policy. With support from Cities Alliance, the Institute for Local Government Studies (ILGS) – is providing valuable institutional capacity strengthening to help Greater Accra Metropolitan Area (GAMA) local authorities be prepared to implement the National Urban Policy. In 2015 ILGS held three training workshops with goal of providing local government officials, city authorities and planners with the know-how to better manage and plan cities, and to increase their knowledge of resilience and climate change.

Mozambique. The slum upgrading initiative in the Chamanculo C neighbourhood of Maputo, Mozambique is a true example of global cooperation. It derives from successful integrated, participatory slum upgrading experiences undertaken in Salvador de Bahia, Brazil, with the support of Cities Alliance and the governments of Italy and Brazil. The success of the integrated methodology used in Salvador led delegations of many African states to visit Brazil to learn about its upgrading experiences. In order to test whether the methodology was transferrable to an African city slum, the organisations and partners that implemented the project in Salvador – including the Italian NGO AVSI – partnered with the City of Maputo to adapt the methodology to Chamanculo C.

Uganda. The Government of Uganda is in the final stages of formulating an overarching National Urban Policy to respond to the rapid urbanisation growth and challenges with support through the Cities Alliance Country Programme in Uganda (Transforming the Settlements of the Urban Poor in Uganda, or TSUPU). The national urban policy has been finalised by the Policy Working Group and is expected to be submitted to the Cabinet for consideration and adoption by April 2016. The Municipal Development Strategy (MDS) initiative promotes long-term, proactive, and participatory planning in 14 secondary cities in Uganda so that they will be better positioned to accommodate future urban growth. It focuses on bringing all stakeholders together to develop a shared vision for their city that benefits all residents, especially women and youth. The MDS initiative was launched in February 2015.

Vietnam. An important component of the Cities Alliance Country Programme in Vietnam has been the establishment of a National Urban Development Strategy (NUDS) to guide the country's urban development. In September 2015, the process took a major step forward when Cities Alliance signed an agreement of cooperation with the Vietnamese Ministry of Construction for the foundation phase of developing the strategy. In January 2015, an initiative to prepare community-based, participatory City Development Strategies in seven cities in Vietnam was launched. It is one of three building blocks of the Vietnam Country Programme, in addition to interventions at the national and community levels.

X. The Scorecard

X. The Scorecard

OUTPUTS	INDICATORS	CRITERIA	2010	2012	2013		2014	2015	YEARLY PERFORMANCE STANDARD	COMPLETE [PERCENT]	STATUS
					WORLD BANK ¹⁷	UNOPS ¹⁸					
TIER IV - SECRETARIAT OUTPUTS											
IV.1 Partnerships convened for strategic country, regional and global priorities	IV.1.1 Multi-member partnership agreements endorsed by the partners per year	Unit	1	2	2	1	1	2	2	100%	●
	IV.1.2 Total financing per partnership agreement per year	US\$ total value (,000)	928	796	3,862	2,959	1,215	1,108 ²⁰	700	100%	●
	IV.1.3 Diversity of partners per multi-member partnership agreement	Scale AVG score	2	2	2.5	1	3	2.5	3	83%	●
IV.2 Technical Assistance (TA) activities appraised, approved and supervised ¹⁹	IV.2.1 Number of TA activities approved	Unit	21	15	6	1	10	26	30	87%	●
	IV.2.2 Total value of TA activities approved	US\$ (,000)	8,081	3,978	2,792	1,152	5,301	7,132	7,500	95%	●
	IV.2.3 TA activities effectively supervised	% of total reports received	N/A	N/A	75	75	70	90%	90	100%	●
IV.3 Cities Alliance knowledge products and policy dialogues delivered to targeted audiences	IV.3.1 Number of knowledge products produced with grant financing by members and partners	Unit	2	14	14	13	11	8	10	80%	●
	IV.3.2 Number of knowledge products produced with grant financing by the Secretariat	Unit	5	7	16	0	17	28	5	100%	●
	IV.3.3 Audience access to knowledge products	Unique Visitor Access	36,656	69,830	78,881	23,874	73,845	76,520	50,000	100%	●
	IV.3.4 Policy dialogues and formal learning events that are financed by grants and implemented by members and partners	Unit	8	8	13	4	1	5	5	100%	●
	IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat	Unit	8	2	9	2	5	18	5	100%	●
IV.4 Effective management and responsive governance of Cities Alliance delivered	IV.4.1 Grant Making Efficiency: From initial submission of proposal to approval of grant	Days	113	67	89	86	44	158	60	-62%	●
	IV.4.2 Grant Making Efficiency: From approval of grant to grant agreement	Days	107	80	44	16	59	39	30	-23%	●
	IV.4.3 Grant Making Efficiency: From grant agreement to first disbursement	Days	N/A	N/A	N/A	42	12	10	10	100%	●
	IV.4.4 Grant Making Efficiency: From final disbursement to closing	Days	N/A	N/A	N/A	N/A	Tracking	Tracking	120	N/A	○
	IV.4.5 Members' impression of Secretariat effectiveness: support to governance meetings	Scale AVG score	N/A	N/A	N/A	3.7	4.8	4.6	4	100%	●
	IV.4.6 Members' impression of Secretariat effectiveness: quality and timeliness of reports to Members	Scale AVG score	N/A	N/A	N/A	4.3	4.6	4.5	4	100%	●
	IV.4.7 [NEW] Secretariat Greenhouse Gas Emissions performance (tonnes CO2 equivalent)	Average emissions per staff	N/A	N/A	N/A	N/A	N/A	13.4 [2014]	5 ²¹	-63%	●
	IV.4.8 [NEW] Secretariat staff capacity on Gender Mainstreaming	% positive feedback ratings	N/A	N/A	N/A	N/A	N/A	57%	75%	76%	●
	IV.4.9 [NEW] Secretariat Delivery Performance. Rate of completed activities against the approved annual work plan	% completed activities	N/A	N/A	N/A	N/A	N/A	65%	100%	65%	●

¹⁷ Up to 30th August 2013¹⁸ From 31st August - 31st December 2013¹⁹ This indicator now includes not only TA grants but also TA activities which have been procured Committed only²¹ Target for emissions is based on UNOPS average. Given the diversity of UNOPS with Cities Alliance's business model, data should be taken with due caution until a more longitudinal perspective and other organisational benchmarks will become available. Emissions data include air travel for partners in those cases where these expenditures have been funded by the Cities Alliance.

X. The Scorecard

Notes on Tier IV: Methodology and Qualitative Results

Tier IV, the Secretariat level, is under constant tracking and regularly updated through the information gathered by the Cities Alliance project database. While overall the Secretariat's performance has exceeded most of the performance expectations and annual targets, data on grant processing time is an area of concern. The high number of days is due to a combination of internal non-optimised processes, grantee degree of responsiveness and allocation of time. The Secretariat will carry out further analysis on the distribution between internal and external factors. Response measures have already been identified as part of the risk framework process.

For indicator IV.4.1, data used for calculation includes projects for which project proposals have been approved within the timeframe 1 January - 31 December 2015. For indicator IV.4.2, data used for calculations includes projects for which project-related grant agreements have been countersigned from 1 January - 31 December 2015. For indicator IV.4.3, data includes projects for which the first disbursements have been made between 1 January - 31 December 2015.

We have added new key performance indicators at the Secretariat level (Tier IV) to cover three important corporate areas which were not previously captured: our environmental footprint, our progress on gender mainstreaming (a pillar of the Medium Term Strategy) and our ability to deliver against the corporate workplan.

LEGEND

- **Challenge.** For indicators based on targets (Tiers II&III), indicator shows a decrease from baseline and/or has failed in achieving the established target. For indicators based on performance standards (Tier IV), indicator is significantly far under the established performance standard.
- **Watch.** For indicators based on targets (Tiers II&III), indicator shows no significant increase or decrease from baseline and/or has not yet achieved the established target. For indicators based on performance standards (Tier IV), indicator is under the established performance standard although within tolerance.
- **On Track.** For indicators based on targets (Tiers II&III), indicator shows significant increase from baseline and/or has achieved the established target. For indicators based on performance standards (Tier IV), indicator meets/exceeds the established performance standard.
- **Sustainable.** Targets/Performance standards are consistently achieved and mechanisms/processes underlying change are institutionalised and/or maintained without external assistance.
- **Not Applicable.** There is insufficient data to establish a trend, or there is no target or performance standard.

XI. Annex 1: Indicator Definitions

Tier I: Cities Alliance Programme Impact

I.1 Improved Quality of Life, Socio-economic Condition and Inclusion of the Urban Poor

1. **Percentage of city population living in slums.** The number of people living in slums of a city (numerator) divided by the total population of this city (denominator) expressed as a percentage. At the country level, this percentage is the total number of people living in slums of all the cities of a country (the numerator), divided by the total population living in all the cities of the given country (the denominator), expressed as a percentage.

Sources: GCIF; <http://mdgs.un.org/unsd/mdg/seriesdetail.aspx?srid=710>

UN-Habitat has developed a household-level definition of a slum household in order to use existing household level surveys and censuses to identify slum dwellers among the urban population. A slum household is a household that lacks any one of the following five elements:

- **Access to improved water** (access to sufficient amount of water for family use, at an affordable price, available to household members without being subject to extreme effort);
- **Access to improved sanitation** (access to an excreta disposal system, either in the form of a private toilet or a public toilet shared with a reasonable number of people);
- **Security of tenure** (evidence of documentation to prove secure tenure status or de facto or perceived protection from evictions);
- **Durability of housing** (permanent and adequate structure in non-hazardous location);
- **Sufficient living area** (not more than two people sharing the same room).

Source: [UN-Habitat](#)

2. **Target for emissions is based on UNOPS average.** Given the diversity of UNOPS within Cities Alliance's business model, data should be taken with due caution until a more longitudinal perspective and other organisational benchmarks become available. Emissions data include air travel for partners in those cases where these expenditures have been funded by Cities Alliance.

XI. Annex 1: Indicator Definitions

3. **Percentage of households in urban areas that exist without secure tenure.** The number of households in urban areas without secure tenure (the numerator) divided by the total number of households in the same urban areas (denominator) expressed as a percentage. Secure tenure is the right of all individuals and groups to effective protection against forced evictions. People have secure tenure when there is evidence of documentation that can be used as proof of secure tenure status or when there is either de facto or perceived protection against forced evictions.

Sources: GCIF; UNSTAT (Last update: 02 Jul 2012):
<http://unstats.un.org/unsd/mdg/SeriesDetail.aspx?srid=711>

4. **Under age 5 mortality rate in urban areas.** (MDG-related) The under-5 mortality, also called infant mortality, is a rate defined as the number of infants dying before reaching their fifth birthday per 1,000 live births in a given year. It is an indicator of the Millennium Development Goals, which seek to reduce the under-5 mortality rate by two-thirds between 1990 and 2015. Under-5 mortality measures child survival and reflects the impact of social, economic, and environmental circumstances as well as other causes of death on infants, toddlers, and young children, including access to health care.

Sources: MDG - United Nations; UNICEF http://www.unicef.org/sowc2012/pdfs/SOWC%202012-Executive%20Summary_EN_13Mar2012.pdf

5. **Participation of urban poor in the voting population.** The total number of voting urban poor per 1,000 voting persons. This definition refers to the concept of voting age population, which includes all citizens above the legal voting age.

Source: IDEA.

XI. Annex 1: Indicator Definitions

Tier II: Cities Alliance Programme Outcome

II.1 Cities Increasingly Characterised by Effective Local Government, Active Citizenship, and Delivering Improved and Responsive Services to the Urban Poor

1. **Municipal expenditures per person per year [Effective Local Government].** Numerator: Total operating expenditures of municipality in a given year. Denominator: total population (estimated) of municipality in same year. Average expressed in US\$.

Sources: [Operating budget of municipality;](#)
[national population census and population estimates.](#)

2. **Municipal employees per person [Effective Local Government].** Numerator: Total number of employees directly or indirectly employed by the municipality in a given year. Denominator: Total population of municipality in same year. Figure expressed as a percentage.

Sources: [Human Resources department of municipality;](#)
[national population census and population estimates.](#)

3. **Average number of women among municipal employees [Effective Local Government].** Numerator: Total number of female employees directly or indirectly employed by the municipality in a given year. Denominator: Total number of employees directly or indirectly employed by the municipality in the same year. Figure expressed as a percentage.

Sources: [Human Resources department of municipality;](#)
[national population census and population estimates.](#)

4. **Proportion of municipal employees with post-secondary education [Effective Local Government].** Numerator: Number of well-trained employees (engineers, technical experts, etc.) in a municipality in a given year. Denominator: Total number of employees directly or indirectly employed by the municipality in the same year. Figure expressed as a percentage.

Sources: [Human Resources Department of municipality;](#)
[national population census and population estimates.](#)

XI. Annex 1: Indicator Definitions

5. **Voter participation in most recent municipal election (as % of eligible voters) [Active Citizenship].** Numerator: Number of eligible voters who voted in most recent municipal election. Denominator: Number of eligible (or registered) voters in municipality for the same election. Figure expressed as an average.

Sources: [GCIF, voting records](#)

6. **Average percentage of women voter participation [Active Citizenship].** Numerator: Number of eligible female adult voters who voted in most recent municipal election. Denominator: Number of eligible (or registered) female voters in municipality for the same election.

Source: [Voting records](#)

7. **Existence of active municipal website for citizen questions and complaints [Active Citizenship].** Indicators measure existence and quality of the municipal ICT enhancing public accountability towards citizens.

RATING SCALE:

0	1	2
No website or equivalent ICT system	Website (or equivalent ICT system) exists and some information available but is not maintained/interactive	Website exists (or equivalent ICT system), information available and platform is interactive

Sources: [City IT Departments](#).

XI. Annex 1: Indicator Definitions

8. **Functioning of local-level governance structures for consultation, at ward or sub-ward level [Active Citizenship].** Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. It is a deliberation, discussion, and dialogue. The objective of a consultation is to seek information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The organiser seeks to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented. Providing and sharing information is seen as the foundation of an effective consultation process (World Bank).

RATING SCALE:

0	1	2
Little or no governance structures for consultations	Ad hoc or irregular governance structures for consultations	Governance structures that are legally mandated and functioning actively

Sources: [Information from website and/or operating budget; data from municipal administration](#)

9. **Participatory planning processes in place (budgetary or other) [Active Citizenship].** Participatory planning is a tool for identifying the collective needs of all individuals within a community, a way of building consensus, and a means of empowering disadvantaged or disenfranchised groups (World Bank).

RATING SCALE:

0	1	2
Little or no participatory planning	Formal planning structures in place for budgets and planning projects	Regular use of local participatory processes for budgetary and project purposes

Sources: [Information from website and/or operating budget; data from municipal administration](#)

XI. Annex 1: Indicator Definitions

10. **Level of civil society activity in municipality [Active Citizenship].** The term civil society refers to the wide array of non-governmental and not-for-profit organisations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. Civil Society Organisations (CSOs) therefore refer to a wide of array of organisations: community groups, non-governmental organisations (NGOs), labour unions, indigenous groups, charitable organisations, faith-based organisations, professional associations, and foundations (World Bank).

RATING SCALE:

0	1	2
Little or no civil society activity	Moderate civil society activity	Strong and visible civil society activity

Sources: [Cities Alliance Secretariat, Civil Society Index](#)

11. **Access to regular potable water in slum and/or low-income areas [Delivering services to the urban poor].** Access: within 200 metres from a home; Adequate: 20 litres / day / person; Safe: water does not contain biological or chemical agents directly detrimental to health. Numerator: total number of households in slum and/or low-income areas with regular supply of potable water from municipal source (calculation based on MDG criteria). Denominator: total number of households living in slum and/or low-income areas. Figure expressed as a percentage.

Sources: [City Engineer's office/Municipal Public Works Departments](#)

12. **Kilometres of maintained roads in slum and/or low-income areas [Delivering services to the urban poor].** Numerator: Total number of kilometres of maintained roads in slum and/or low-income areas. [Implies that roads are graded regularly, there are culverts or runoff drains for the rainy season, and roads are passable for vehicles such as ambulances, taxis, and trucks for access to markets.] Denominator: Total number of kilometres of roads/paths in slum and/or low-income areas. Figure expressed as a percentage.

Sources: [City Engineer's office/Municipal Public Works Departments](#)

XI. Annex 1: Indicator Definitions

13. **Proportion of households in slum and/or low-income areas with sewerage connections [Delivering services to the urban poor].** Numerator: Total number of households living in slum and/or low-income areas that are connected to a main sewerage system in a given country. Denominator: Total number of households living in slum and/or low-income areas. Figure expressed as a percentage.

Sources: [Municipal water/sanitation departments](#)

14. **Proportion of households in slum and/or low-income areas with regular electricity connections [Delivering services to the urban poor].** Numerator: Total number of households living in slum and/or low-income areas that are formally connected to electricity. Denominator: total number of households living in slum and/or low-income areas. Figure expressed as a percentage.

Sources: [Municipal/local electricity supply agency](#)

15. **Proportion of households in slum and/or low-income areas served by regular solid waste collection (either publicly or privately) [Delivering services to the urban poor].** Numerator: Total number of households located in slum and/or low-income areas that are served by regular solid waste collection (either publicly or privately). Denominator: Total number of households located in slum and/or low-income areas. Figure expressed as a percentage.

Sources: [Municipal sanitation departments](#)

16. **Effectiveness of advocacy and knowledge product dissemination – Official Development Assistance for urban development.** Official Development Assistance (ODA) in urban development is defined as an umbrella of flows captured by the OECD Creditor Reporting System (CRS) 43030 Urban Development and management (integrated urban development projects; local development and urban management; urban infrastructure and services; municipal finances; urban environmental management; urban development and planning; urban renewal and urban housing; land information systems) and 16040 Low Cost Housing. Figure expressed in US\$.

Source: [AidData](#)

XI. Annex 1: Indicator Definitions

17. **Effectiveness of advocacy and knowledge product dissemination – City and urban themes in corporate strategic directions.** This indicator is defined as the prominence of themes related to city and urban areas that are integrated at the country and regional levels into the directions Cities Alliance members take with the objective of achieving business success in the long term. Figure expressed as an average.

RATING SCALE:

0	1	2
<i>Little or no reference to city and urban themes</i>	<i>Representation of urban and city themes</i>	<i>Urban and city agenda considered as a corporate priority</i>

XI. Annex 1: Indicator Definitions

Tier III: Cities Alliance Intermediate Outcomes

III.1 National Policy Frameworks Developed and/or Enhanced to Address Urban Development Needs

1. **(a and b in the Indicators Scorecard) Status of national urban policy (ies).** Indicator rates the status of national urban development policy(ies) in countries where the Cities Alliance works. National policies on urban development may include sectoral policies covering some or all of the following aspects: housing, slum upgrading, transport, land, fiscal decentralisation. Policies are officially adopted through ministerial decree or pertinent legal declaration (must have legal status and budgetary commitment).

RATING SCALE: (STATUS OF AN URBAN DEVELOPMENT POLICY IN A GIVEN COUNTRY)

0	1	2	3
<i>Policy not developed</i>	<i>Policy under development</i>	<i>Policy developed</i>	<i>Policy adopted</i>

Sources: Copies of the official policies; members and Secretariat ratings

XI. Annex 1: Indicator Definitions

2. **Status of development of national urban policy frameworks.** The rating scale measures the development of an urban policy framework in countries where the Cities Alliance works by measuring the qualitative evolution from single sectoral policies related to urban issues, to an integrated and comprehensive framework for city planning and governance. Characteristics of national policy frameworks include: (a) long-term strategic vision of cities; (b) creation of an enabling legal and fiscal environment; and (c) integrated and comprehensive approach to urban planning.

RATING SCALE:

0	1	2	3
<i>Policies not developed</i>	<i>Single sectoral policy developed</i>	<i>Sectoral policies developed</i>	<i>Comprehensive and integrated policy framework developed</i>

Sources: [Copies of the official policies; member and Secretariat ratings](#)

III.2 Local Pro-poor and Climate-resilient Strategies and Plans Developed, and Resources Mobilised

1. **Number of local pro-poor and climate resilient strategies/plans.** The indicator measures the number of local pro-poor and climate resilient strategies/plans developed in cities in which Cities Alliance works in a given year. Local pro-poor and climate resilient strategies may be city development strategies (CDSs), slum upgrading strategies, or other local strategies that include pro-poor and climate resilient elements.

Sources: [Copies of the CDSs, slum upgrading strategies, and Secretariat records](#)

2. **Total financial resources mobilised by partners for strategy implementation.** The indicator measures a) Total value (US\$) of resources committed (budget) by the city for implementation of strategies and plans in a given year; (b) Total funding leveraged – Total value (US\$) of resources committed by partners for implementation of strategies and plans per year; and (c) Average funding per \$ of seed capital (grants) per year.

Sources: [Completion reports; feedback; and Secretariat records](#)

XI. Annex 1: Indicator Definitions

III.3 Mechanisms to Engage Citizens in City/Urban Governance Developed

1. **Cities (in Country Programmes) with regularly functioning governance mechanisms to engage citizens in urban governance developed.** This indicator rates the degree of participation by citizens, including slum dwellers, at the local level in the determination, approval and implementation of urban development strategies and policies, by cities in which the Cities Alliance works through Country Programmes. Governance mechanisms include: social accountability mechanisms, slum development committee, and municipal fora.

RATING SCALE:

0	1	2	3
<i>Mechanisms to engage citizens do not exist at community and municipal level or mechanisms are ad-hoc and scarce</i>	<i>Community/saving and other stakeholders groups are formed, processes for municipal Forum (charter development, preparation of a workplan, etc.) are under development</i>	<i>Community groups are federated at municipal level, stakeholders are organised and municipal forum are held</i>	<i>Municipal forum charter is adopted with a budget and an action plan, community federations/groups and other stakeholders actively participate in the municipal forums</i>

Sources: [Country Programme progress and completion reports; CATF completion reports; member survey \(lead member\)](#)

XI. Annex 1: Indicator Definitions

2. **Countries with regularly functioning governance mechanisms to engage citizens in urban governance developed.** This indicator rates the degree of participation by citizens, including slum dwellers, at the national level in the determination, approval and implementation of urban development strategies by country in which the Cities Alliance works. Governance mechanisms include: national forum, city federation, association of municipalities.

RATING SCALE:

0	1	2	3
<i>Mechanisms to engage citizens do not exist at national levels or mechanisms are ad-hoc, unstructured and scarce</i>	<i>Processes for national forum (charter development, preparation of a workplan, etc.) are under development and stakeholders are identified and engaged</i>	<i>Stakeholders groups are organised and national forum is held</i>	<i>National forum charter is adopted with a budget and an action plan, stakeholders actively participate in national forums</i>

3. **Sustainability of mechanisms to engage citizens (all grants at city level).** This indicator rates the presence of mechanisms for participatory local governance in Cities Alliance activities at the city level and their sustainability beyond the project life cycle. Mechanisms include: social accountability activities, local fora, citizenship advocacy and awareness campaigns, grassroots NGO and community involvement.

RATING SCALE:

0	1	2
<i>No/ad hoc mechanism</i>	<i>Mechanism integrated into core grant activities</i>	<i>Mechanism integrated in implementing grant and likely to be used in the future outside the grant life cycle</i>

XI. Annex 1: Indicator Definitions

III.4 Capacities of Cities in Governance and Management Strengthened.

1. **Capacity of local governments in areas such as strategic planning, financial management, and human resources management.** This indicator rates the degree of capacity strengthened in the cities in which Cities Alliance works (through the Country Programmes and the Catalytic Fund) including the capacity of local government authorities (in areas such as strategic planning, financial management, and human resources management).

RATING SCALE:

0	1	2
<i>No capacity strengthening activities have been conducted by Cities Alliance partnership</i>	<i>Capacity development activities have been conducted, but strengthening is not yet evident</i>	<i>Capacity of local government authorities has been strengthened</i>

Sources: [Country Programme progress and completion reports](#); [CATF completion reports](#); [member survey](#)

XI. Annex 1: Indicator Definitions

Capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts. This indicator rates the degree of capacity strengthened in the countries in which Cities Alliance works (through the CPs and the Catalytic Fund) including the capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts (in strategic planning, financial management, and human resources management).

RATING SCALE:

0	1	2
No capacity development activities of training and support organizations have been conducted by Cities Alliance partnership	Capacity development activities for training and support organizations have been conducted, but strengthening is not yet evident	Capacity of training and support organizations has been strengthened

Sources: [Country Programme progress and completion reports; member survey](#)

XI. Annex 1: Indicator Definitions

Tier IV: Cities Alliance Secretariat Outputs

IV.1 Partnerships Convened for Strategic Country, Regional and Global Priorities.

- Multi-member partnership agreements endorsed by the partners per year.** Indicator measures the number of formalised partnership agreements in a given year as a measure degree of the success of the Secretariat convening process. Partnership agreement may be: framework document for Country Programmes; resolution of partners; statement of agreement. Multi-member is defined as two or more Cities Alliance members.

Source: [Cities Alliance Secretariat records](#)

- Scaling: Total financing for partnership agreements per year.** Indicator measures total funding contributed in a given year to a specific partnership agreement by partners directly and/or jointly fundraised. It also calculates the value ratio of the total funds per Secretariat funding.

Source: [Cities Alliance Secretariat records](#)

- Broadening: diversity of partners.** This indicator measures the objective to diversify the membership base to other key stakeholders as well as expand financing mechanisms to local private sector. Categories of partners are (i) Civil society/NGOs, academia; (ii) Private sector; (iii) Donors; and (iv) Local governments.²¹

RATING SCALE:

0	1	2	3
No non-member partners	One category of non-member partners	At least two categories of non-member partners	Three or more categories of non-member partners

²¹ Sub-indicator to measure private sector engagement. Numerator: Number of instances private sector participates. Denominator: total number of partnering activities.

XI. Annex 1: Indicator Definitions

IV.2 Technical Assistance (TA) Activities Appraised, Approved and Supervised

1. **TA activities (CP, CATF and JWP) approved.** Indicator measures the total number of TA activities [both grants and contracts] approved in a given year following the appraisal process. The appraisal process includes application of a checklist and, according to specific guidelines, peer reviews and member reviews.

Source: [Cities Alliance Secretariat records](#)

2. **Total value of TA activities (CP, CATF and JWP) approved.** Indicator measures the total cumulative US\$ value funded by the Cities Alliance of TA activities [both grants and contracts] approved in a given year following the appraisal process.
3. **TA activities supervised.** Indicator measures quality of supervision. Percent of grants and contracts with progress and completion reports that include information on process and results achieved in a given year. Numerator: number of grants/contracts with at least 75% of all required progress and completion reports. Denominator: Total number of TA activities supervised.

Source: [Cities Alliance Secretariat records](#)

IV.3 Knowledge Products and Policy Dialogues Delivered to Targeted Audiences

1. **Knowledge products produced with grant financing by members and partners.** Indicator measures the total number and cost of knowledge products developed with grant financing, as well as the alignment of the knowledge products and strategy, and demonstrates clear and proactive management of the delivery of Cities Alliance knowledge to targeted audiences.

Knowledge products may include: thematic publications, published diagnostic studies such as a State of the Cities Report (SOCR) or Urbanisation Review (UR); toolkits; and other guides, policy papers etc. produced by members and partners with Cities Alliance Secretariat support and funding. Generally a knowledge product should have a Cities Alliance logo.

Source: [Cities Alliance Secretariat records; knowledge pipeline and distribution schedule](#)

XI. Annex 1: Indicator Definitions

2. **Knowledge products produced with grant financing by the Secretariat.** Total number of knowledge products (see previous definition) produced with grant financing by the Secretariat.

Source: [Cities Alliance Secretariat records](#)

3. **Knowledge products produced with grant financing and freely accessed by targeted audiences.** Indicator measures the effective distribution of knowledge products via the Cities Alliance website (number of unique visitors to the Cities Alliance website on specific knowledge pages/downloads from targeted countries). Total number of unique visitors to the Cities Alliance website from targeted countries.

Source: [Cities Alliance Secretariat records](#)

4. **Policy dialogues and formal learning events that are financed by grants and implemented by members and partners.** Indicator measures the total number of Policy Dialogues, Advocacy and Knowledge and Learning events that are financed by grants and carried out by member and partners. Policy dialogues may include: (i) formal consultation events with members and/or relevant institutions (e.g., decentralization talks in Tunisia; IBSA; Policy Advisory Forum); (ii) Advocacy/ Communications events (e.g., seminars/workshops at Africities, WUF). Formal learning exchanges could include: peer-to-peer events and study tours, learning workshops and seminars.

Source: [Cities Alliance Secretariat records](#)

5. **Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat.** Total number of policy dialogues and formal learning events (see previous definition) that are financed by grants and carried out by the Secretariat.

Source: [Cities Alliance Secretariat records](#)

XI. Annex 1: Indicator Definitions

IV.4 Effective Management and Responsive Governance of Cities Alliance Delivered

1. **Average time for key phases in the project cycle – from initial submission of proposal to approval of grant.** Average time, in days, from initial submission of proposal to approval of grant for projects completing this phase in a given year.

Source: [Cities Alliance Secretariat records](#)

2. **Average time for key phases in the project cycle – from approval of grant to grant agreement.** Average time, in days, from approval of grant to signature of grant agreement for projects whose agreement was signed in a given year.

Source: [Cities Alliance Secretariat records](#)

3. **Average time for key phases in the project cycle – from grant agreement to first disbursement.** Average time, in days, from signature of grant agreement to first disbursement for projects receiving first disbursement in a given year.

Source: [Cities Alliance Secretariat records](#)

4. **Average time for key phases in the project cycle – from first disbursement to closing.** Average time, in days, from first disbursement to closing for projects closed in a given year.

Source: [Cities Alliance Secretariat records](#)

5. **Members' impression of Secretariat effectiveness: support to governance meetings.** Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on rating selected statements.

Source: [Cities Alliance Secretariat yearly survey of members](#)

6. **Members' impression of Secretariat effectiveness: timeliness and quality of reports to members.** Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on rating selected statements.

Source: [Cities Alliance Secretariat yearly survey of members](#)

XI. Annex 1: Indicator Definitions

7. **[NEW - FROM 2015 ONLY] Secretariat Greenhouse Gas Emissions performance.** Average emissions per Cities Alliance staff (tonnes CO₂ equivalent) calculated on the following sources: Air travel, On-site Electricity, On-site Refrigerants, Public transport during official travel, Purchased heat/steam, CFC/HCFCs.

Source: [UNOPS GHG Annual Inventory as part of Greening the Blue initiative](#)

8. **[NEW - FROM 2015 ONLY] Secretariat staff capacity on Gender Mainstreaming.** Average feedback rating by staff in a given year on selected statements evaluating workshops and other capacity development activities focused on gender.

Source: [Cities Alliance Secretariat feedback and evaluation forms](#)

9. **[NEW - FROM 2015 ONLY] Secretariat Delivery Performance.** Indicators measures the rate of completed activities against the approved annual work plan in a given year.

Source: [Cities Alliance Secretariat Annual Work Plan reviews](#)

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