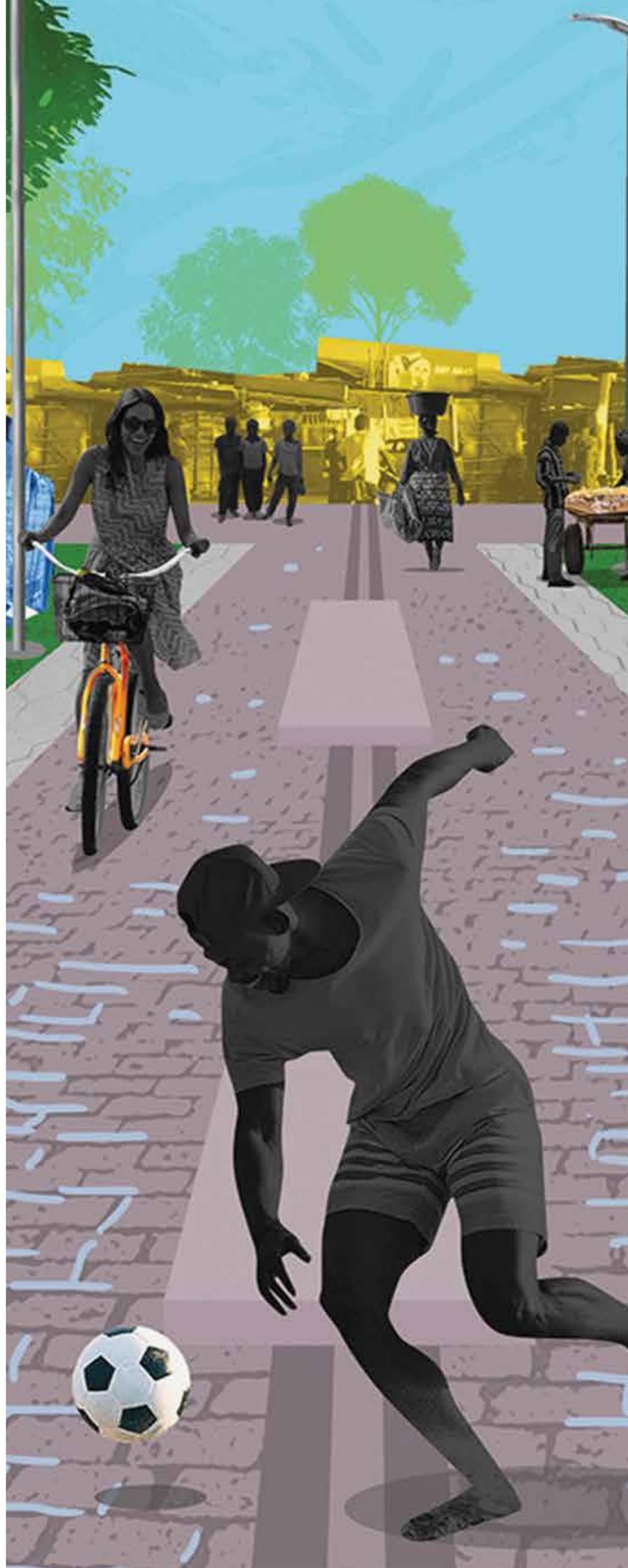


**ANNUAL REPORT 2016**

**Cities Alliance**  
Cities Without Slums



**Front and back cover image**

Maputo, Mozambique. ©Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Designed by: Vincent Caudry



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# FOREWORD

It gives me great pleasure to provide the Foreword to the 2016 Annual Report of the Cities Alliance. While all years are declared special, 2016 certainly stands out.



In 2016, the Cities Alliance completed a number of major, complex work programmes. First, the World Bank successfully completed and closed the Legacy portfolio of projects that it had managed following the relocation of the Cities Alliance in 2013. I wish to record our appreciation to the World Bank for the professional and efficient manner in which this was completed.

Secondly, the Cities Alliance completed five Country Programmes that marked the decisive shift in the move to a longer-term and more effective approach to development. Again, I need to record our thanks to the Bill & Melinda Gates Foundation, which showed its confidence in the Cities Alliance with an all-important grant of \$15 million. I further wish to acknowledge their flexibility, which was a key ingredient in the success of the Country Programmes, which have been well reviewed by Accenture.

Third, the Cities Alliance completed the Future Cities Africa programme, with the financial support of the UK's Department for International Development (DFID). The FCA programme was the centrepiece of the very successful workshop on our Africa Strategy, which we co-hosted with the Government of Ghana in September 2016. The programme delivered a feasibility study, critical research, digital tools and innovative studies and tools for the four-country, 21-city focus.

Finally, the Cities Alliance is in the final stages of completing its contract with the Bill & Melinda Gates

Foundation, through which the Cities Alliance provided oversight to the balance of the Foundation's urban portfolio. This, too, has been an extremely valuable undertaking; one of the direct outcomes is the Liberia Country Programme, spearheaded by the Monrovia City Corporation.

At the Corporate level, 2016 saw the outcome of the governance reforms initiated following the move to Brussels and to the UNOPS platform. The expanded membership met in Brussels in April 2017 to elect Khalifa Sall, Mayor of Dakar, as President of the Cities Alliance Assembly, and to elect a new Management Board, representing the six constituencies of the Assembly. For my part, I was honoured to be elected as the first Chairperson of the new Board, and thank the members for the confidence they have shown in me.

At a global level, the highlight was undoubtedly the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in Quito, which led to the adoption of the New Urban Agenda. Following the adoption of Agenda 2030 for Sustainable Development and the Paris Climate Agreement in 2015, the international community now has a very clear roadmap for the next 15 years. For the first time, the role of cities in achieving this agenda has been clearly and unambiguously recognised.

Ordinary residents, in slums and in suburbs, are unlikely to be very familiar with the content of these agreements. But they will certainly be aware of the challenges that the agreements address: Growing inequality, social exclusion, dangerous trends of increasing intolerance and real threats to our common future. In 2017, the Cities Alliance will build upon its existing track record and seek to maximise its contribution to the implementation of these global agreements.

A handwritten signature in black ink that reads "Clare Short". The signature is written in a cursive, flowing style.

Clare Short  
*Chair, Cities Alliance Management Board*

# THE CITIES ALLIANCE PARTNERSHIP

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

We are a responsive and dynamic global partnership committed to innovation, improved collaboration, and coherence of effort. Members promote longer-term and integrated work programmes, while actively promoting gender equality throughout all activities.

Cities Alliance currently has a representative global membership of over 30 full and Associate members. They comprise six constituencies:

- National Governments
- Multilateral Institutions
- Associations of Local Governments
- International Non-Governmental Organisations
- Private Sector and Foundations
- Universities and Knowledge Networks

## Inaugurating the Cities Alliance Assembly

The Cities Alliance partnership marked a milestone event when the Inaugural Assembly meeting was held in Brussels on 6 and 7 April 2016. The meeting exceeded expectations with its thought-provoking thematic sessions, invigorating debates and structured governance procedures. It resulted in the appointment of a new governing body that will lead and shape the Cities Alliance for the next three years.

Among the highlights were the election of Mayor of Dakar Khalifa Sall as President, and The Right Honourable Clare Short, United Kingdom's former Secretary of State for International Development, as Chair of the Management Board.

On 7 April Cities Alliance also welcomed a new 11-member<sup>1</sup> Management Board made up of the six constituencies in the partnership. The new Management Board is represented by:

### Governments:

- Ghana (Ministry of Local Government and Rural Development)

*“At the Cities Alliance, informal workers sit round the same table as large donors. Community activists, urban analysts and city associations come together to develop global agendas and local solutions. There’s no other organisation quite like it, creating urban connections, urging a coherence of effort between critical constituencies in cities around the world.”*

- Simon Kennedy, CMAP, at the 2016 Cities Alliance Assembly

- South Africa (National Department of Human Settlements)
- Switzerland (Swiss State for Economic Affairs)
- United Kingdom (Department for International Development)

### Local governments:

- ICLEI - Local Governments for Sustainability
- United Cities and Local Governments (UCLG)

### Non-governmental organisations:

- Habitat for Humanity International (HFHI)
- Slum Dwellers International (SDI)

### Private Sector/Foundations:

- Omidyar Network

<sup>1</sup> United Nations Environment was subsequently confirmed as the 12<sup>th</sup> member of the Board.

# The Cities Alliance Partnership



Empowered lives.  
Resilient nations.

## Universities, research centres and knowledge networks:

- Sustainable Development Solutions Network (SDSN)

## Multi-lateral organisations:

- UN-Habitat

## A Strategy for Partnership

In 2016, the Cities Alliance produced its first Partnership Strategy, agreeing on a common framework for its business approach. For Cities Alliance, a partnership is an ongoing relationship between organisations from different sectors. Combining resources and competencies, sharing risks and rewards, and achieving agreed partnership objectives that maximise net value to all partners.

Members agreed to strengthen and consolidate Cities Alliance's identity as a global partnership with a diverse constituency, and confirmed the partnership's principles of equity, transparency and value for all Cities Alliance members.

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 Alliance to achieve its vision of sustainable cities without slums. Membership expanded to include seven new members in 2016:

## Full Members:

- The Government of Ghana
- Omidyar Network
- New York University - Marron Institute
- Sustainable Development Solutions Network (SDSN)

## Associate Members:

- Inter-American Development Bank (IADB)
- The United Nations Office for (UNISDR)
- The Avina Foundation

## GETTING TO KNOW CITIES ALLIANCE MEMBERS

In the leadup to the inaugural Assembly meeting in April 2016, Cities Alliance created a series of postcards to help members get to know each other. The postcards were sent out to members via email and posted on Youtube: [https://www.youtube.com/watch?v=\\_4b18T-Swsc](https://www.youtube.com/watch?v=_4b18T-Swsc)



Getting to Know Cities Alliance Member (1)

# PORTFOLIO REVIEW

During 2016, Cities Alliance approved 38 projects with over \$6.4 million of funding through grant and procurement contracts. All amounts are in U.S. dollars.

## By Region

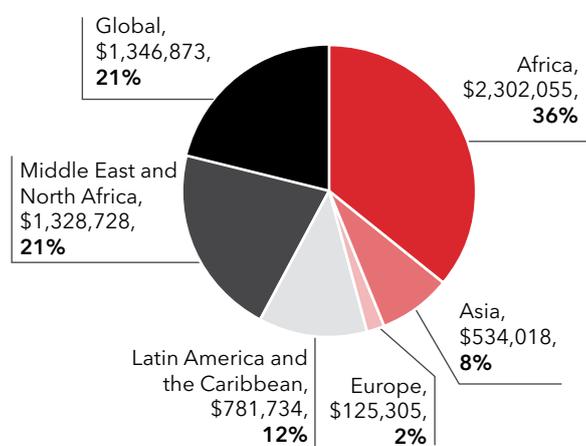
The bulk of funding was allocated to projects in the Africa region in 2016:

NUMBER OF PROJECTS APPROVED BY REGION, 2016

REGION	NUMBER OF PROJECTS	\$ AMOUNT*
Africa	15	2,302,055
Global	9	1,346,873
Middle East and North Africa	4	1,328,728
Latin America and the Caribbean	5	781,734
Asia	4	534,018
Europe	1	125,305
TOTAL	38	6,418,713

\*Includes projects funded through grant and procurement contracts.

GEOGRAPHIC DISTRIBUTION OF PROJECTS APPROVED BY REGION, 2016



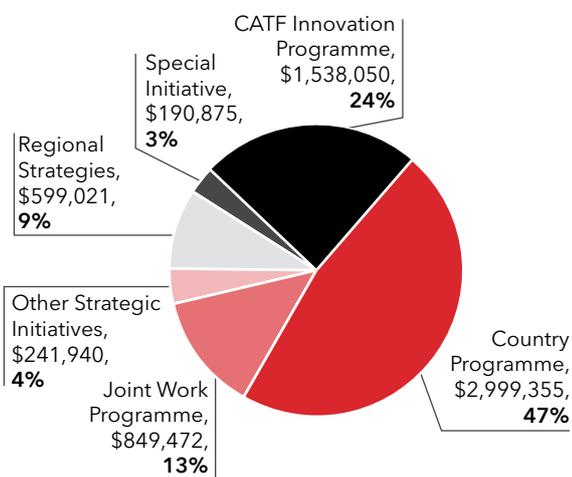
## By Cities Alliance Business Line

When broken down by business line, most approved funding went to country and innovation programmes in 2016:

### PROJECT APPROVAL BY BUSINESS LINES / PROGRAMME TYPE

TYPE OF ACTIVITY	NUMBER OF PROJECTS	\$ AMOUNT*
CATF Innovation Programme	11	1,538,050
Country Programme	14	2,999,355
Joint Work Programme	5	849,472
Regional Strategies	3	599,021
Other Strategic Initiatives	3	241,940
Special Initiatives	2	190,875
<b>TOTAL</b>	<b>38</b>	<b>6,418,713</b>

\*Includes projects funded through grant and procurement contracts.



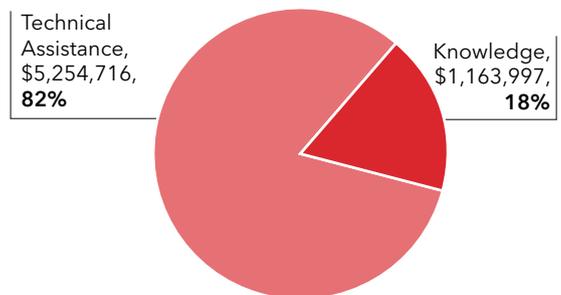
## By Delivery Type

In 2016, 82 per cent of projects approved were for technical assistance:

### PROJECT APPROVAL BY DELIVERY TYPE

DELIVERY TYPE	NUMBER OF PROJECTS	\$ AMOUNT*
Technical Assistance	28	5,254,716
Knowledge	10	1,163,997
<b>TOTAL</b>	<b>38</b>	<b>6,418,713</b>

\*Includes projects funded through grant and procurement contracts.



# GLOBAL

Cities Alliance's global activities in 2016 were mainly implemented through our Joint Work Programmes and the Future Cities Africa programme, undertaken with support from DFID.

## Joint Work Programmes

Joint Work Programmes (JWPs) are multi-year projects between Cities Alliance members, facilitated by the Secretariat, that focus on the coordinated development and dissemination of joint knowledge products, such as studies, toolkits and e-learning courses. The JWPs facilitate implementation of priorities laid out in the Cities Alliance Medium-Term Strategy, which for 2013-2017 includes Equitable Economic Growth, Gender, Advocacy for Habitat III, and Resilient Cities.

## EQUITABLE ECONOMIC GROWTH

In 2016, the JWP on Equitable Economic Growth took Cities Alliance into new terrain, both thematically and geographically. Its first year of operations was devoted to exploring and mobilising support for its fundamental mission and approach: To foster equitable economic growth through improved access to public goods and services in cities. This is simultaneously one of the most important and difficult challenges facing local and national leaders, particularly in small and medium-sized cities.

The JWP operates through three components: Global policy dialogue, generating globally relevant knowledge, and Equitable Economic Growth Campaign Cities. Chaired by DFID, members also include the Commonwealth Local Government Forum (CLGF), Women in Informal Employment: Globalizing and

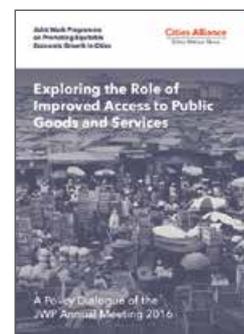
Organizing (WIEGO), the Ford Foundation, UNCDF, UN-Habitat, and the World Bank.

## Global Policy Dialogue

In May 2016, the JWP organised its first annual policy dialogue to explore the capacity of widespread public goods and service access to generate local economic development.

Gathering some 50 participants from 35 institutions, the London meeting provided a forum for participants to share experiences and recommendations on available tools, remaining knowledge gaps, and how to raise global awareness of local solutions. A brainstorming session provided ideas to guide the production of a series of knowledge products, including a discussion paper on gender-responsive service delivery.

The meeting confirmed the relevance and importance of the thematic direction of the JWP, while also highlighting the complexity of the issues. The conversation was captured in a report published on the Cities Alliance website, and republished online by OECD and WIEGO, a Cities Alliance member.



The JWP will organise another global policy dialogue in 2017 to share additional ideas and champion the role of cities in

fostering equitable, inclusive and sustainable economic development.

The JWP has actively engaged with various partners to ensure broad support and cooperation. It is clear from the Habitat III process and the formulation of the New Urban Agenda that the idea of promoting the economic potential of cities, together with conscious efforts to curb rising inequalities, is gaining traction in the global development agenda.

In March 2016, the Organisation for Economic Cooperation and Development (OECD) and the Ford Foundation, a member of Cities Alliance, launched their Inclusive Growth in Cities Campaign in New York. Cities Alliance joined the campaign as a supporting institution. The JWP participated at the launch in New York and at the second meeting of the Champion Mayors in Paris in November. The Cities Development Initiative for Asia (CDIA) joined the JWP group as a partner in June.



The JWP mainstreams gender in all its research and advocacy products.

## Globally Relevant Knowledge and Advocacy

Active communication efforts supported the JWP's global advocacy:

- Two online articles shared members' views of equitable economic growth and the partnership with the Inclusive Growth in Cities Campaign.
- A newsletter was disseminated in September providing an update on past and upcoming activities. It reached 97 recipients representing 53 institutions and was published by partners such as the OECD.
- A JWP brochure was produced.
- A webinar was held in November to cover lessons learned from the development of a diagnostic toolkit to foster equitable economic growth.

The JWP's global knowledge production and advocacy work will accelerate in 2017 with a series of discussion papers exploring specific issues, such as gendered barriers to public goods and service access, and the

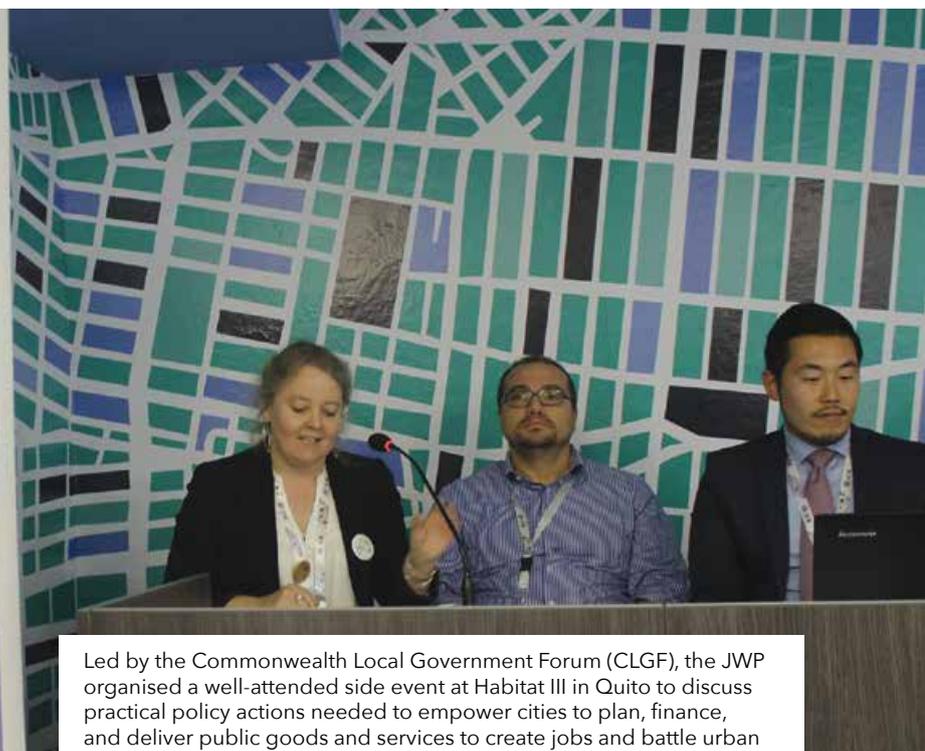
significance of access to public space for informal economic activity and livelihoods.

## Equitable Economic Growth City Campaign

At the local level, the JWP initiated activities under its third component, the Equitable Economic Growth City Campaign, in two countries: Uganda and Bangladesh. In these Campaign Cities, JWP members support local initiatives to promote equitable access to public goods and services through focus areas adapted to the city's specific needs and context. Each Campaign City produces an Institutional Enabling Environment Report, a Local Assessment Report, and city-level, evidence-based policy briefs and recommendations.

### Uganda

The two Ugandan secondary cities of Mbale and Gulu were the first to endorse the declaration and kick off the two-year Campaign. Both cities held the first of three workshops in December to identify priority areas related



Led by the Commonwealth Local Government Forum (CLGF), the JWP organised a well-attended side event at Habitat III in Quito to discuss practical policy actions needed to empower cities to plan, finance, and deliver public goods and services to create jobs and battle urban inequality. Photo: Cities Alliance



A woman participates in the Mbale City Campaign workshop. Photo: Cities Alliance

to specific goods or service deficits for further in-depth research, which will eventually provide an evidence base for action-orientated policy recommendations.

The city campaign in Uganda is based on a participatory model, allowing contributions from public, private and civil society stakeholders - enabled by the Municipal Development Forums supported under the Cities Alliance Country Programme Transforming Settlements of the Urban Poor in Uganda (TSUPU).

The workshop discussions were informed by an Institutional Enabling Environment Report (IEER)

produced by the Secretariat that mapped powers and responsibilities of each campaign city related to the provision and financing of public goods and services. Recognising the detrimental effect of gendered barriers to public goods and service access that are often embedded in national governance frameworks, the IEER's analytic framework pays special attention to the representation of women. The ongoing City Campaign in Uganda will be led by the United Nations Capital Development Fund (UNCDF).

### Bangladesh

For the first time as a partnership, Cities Alliance launched activities in Bangladesh when the two cities of Sylhet and Narayanganj were selected for the Equitable Economic Growth City Campaign. The first outputs under the initiative are expected in the first quarter of 2017, including the Kick-off Workshops and IEERs. To secure maximum local buy-in and expertise, the City Campaign in Bangladesh will be implemented by the BRAC Institute for Governance and Development, a Bangladeshi NGO.

### Looking ahead

In 2017, the JWP will initiate City Campaigns in Nigeria and Ghana. As the campaigns progress, priorities are set, and evidence is gathered, the coming year will also provide opportunities to draw on local realities for globally-relevant policy recommendations through peer-to-peer learning and wider dissemination of knowledge and good practice.



Kickoff of the Equitable Economic Growth Campaigns in Mbale and Gulu, Uganda. Photos: Cities Alliance

## EQUITABLE ECONOMIC GROWTH DIAGNOSTICS

Responding to its focus on supporting equity and economic growth in cities, Cities Alliance has developed a diagnostic toolkit to help cities assess barriers and opportunities for equitable economic growth.

Positioned within the conceptual framework of the Cities Alliance JWP on Equitable Economic Growth in Cities, and building on the work of the Country Programmes, the toolkit consists of a set of workbooks and a user manual designed to assess levels of access to public goods and services and the impact on equitable economic growth in cities. The project was funded by the Bill & Melinda Gates Foundation, managed by the Cities Alliance Secretariat, and implemented by IPE TripleLine.

The workbooks and manual are intended to assist city administrations to collect and analyse data highlighting how economic growth trajectories are related to the provision of and access to urban infrastructure and services, as experienced by individuals, communities and formal and informal businesses. The toolkit is designed to respond to the data scarcity and capacity constraints that characterise most secondary cities in Africa by incorporating a mix of quantitative and qualitative indicators at levels of disaggregation adaptable to the local context.



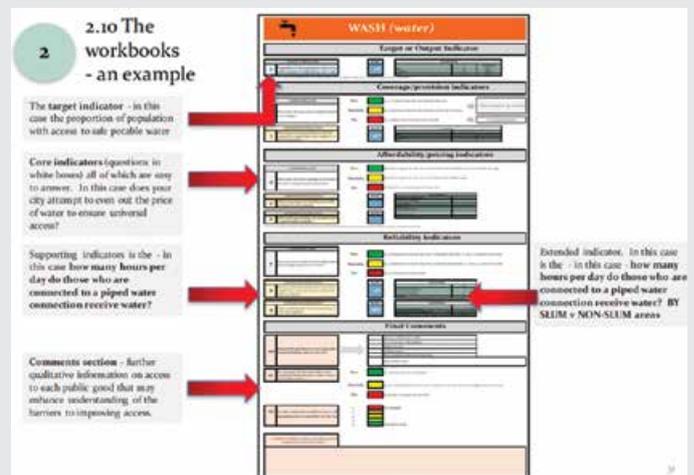
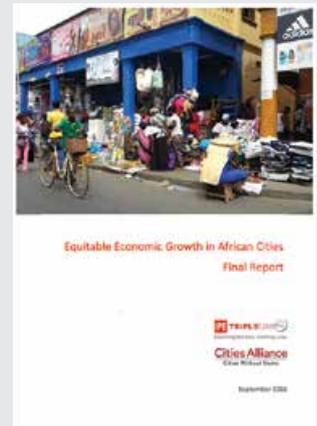
The toolkit applies extended and supporting indicators to facilitate the collection of gender disaggregated data on, for example, employment patterns, land usage, road and ICT connectivity. Beyond the data collection phase, the manual provides a specific section on gender inclusion and its importance in designing policies and strategies to promote equitable economic growth.

The toolkit was piloted in four secondary cities in Africa: Dori, Burkina Faso; Mbale, Uganda; Tema, Ghana; and Nampula, Mozambique. The piloting exercise generated important lessons about the toolkit and the city economies in which it was tested – snapshots of the state of access to public goods and services, as well as insights on potential drivers and constraints to equitable economic growth.

The development and piloting of the toolkit developed key insights and established relationships that subsequently provided the basis for the JWP on Equitable Economic Growth in Cities. The thematic focus on the

role of improved access to public goods and services in fostering more equitable and productive cities has been mainstreamed in the JWP. It has also established a continued engagement to support equitable economic growth in Mbale, building directly on the engagement around the toolkit.

A webinar was held in November to present the toolkit to JWP members and partners. The session recordings, along with a feature article, accompanied the public release of the toolkit on the Cities Alliance website. It generated positive feedback and interest from a range of members and partners and was covered in an article on [nextcity.org](http://nextcity.org).



Extract from the Toolkit Manual: one-page workbooks

## HABITAT III

In 2014, Cities Alliance established a JWP aimed at mobilising members to create and deliver a common set of priority messages to inform and influence the Post 2015 Agenda in preparation for the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III). The first phase of the JWP ended in 2016, and the second phase - which will focus on implementing the New Urban Agenda - will begin in 2017.

According to its members, the JWP has been a resounding success, participating in global negotiations as a coherent, dedicated group with a strong voice in support of the important role cities play in sustainable development. Chaired by BMZ, it comprises 12 members and two permanent observers, DFID and SECO.

Over the course of phase one, members jointly developed advocacy material with key messages for promoting the role of inclusive cities in the 2030 Agenda. The JWP's common message at policy dialogues in the leadup to Habitat III centred on the key role of partnerships between national governments, local governments, and organised civil society in creating well-run, productive, inclusive and sustainable cities with opportunities for all. (A joint position paper highlights the value, experience and crucial role of partnerships in achieving poverty reduction in cities and implementing the New Urban Agenda.)

The JWP also increased its participation and engagement at other global negotiations closely linked to Habitat III, such as United Nations Climate Change Conference (COP 21) and the Sustainable Development Goal (SDG) and Africities Summits. Joint side events opened up space for discussion and the opportunity to promote the JWP's key messages and the urban agenda.

At the SDG Summit, it became clear that local urban stakeholders will have to be substantially involved in implementing the SDGs to achieve 65 per cent of the targets. In view of this assessment, demonstrating the value of inclusive partnerships for shaping the future of our cities became even more relevant.

The JWP increased the Cities Alliance partnership's visibility in support of a common agenda towards Habitat III. It supported close coordination among members and strengthened coherence of effort in their global advocacy activities. Continuous updates allowed the flow of information to close knowledge gaps within the JWP and its diverse constituencies.

The JWP also conducted regular analyses of the process and political situation around Habitat III. With the numerous processes and events that took place in the run up to Habitat III, these joint assessments helped JWP members prioritise their efforts and resources. Members also identified priority topics for the New Urban Agenda and jointly worked on lessons learned and key messages for these focal areas. This substantive work was a valuable contribution to the

JWP members' engagement in the negotiations and consultations towards Habitat III.

### Survey shows member satisfaction with the JWP Habitat III

The Cities Alliance Secretariat conducted a survey of members at the end of the first phase of the JWP to assess whether its objectives had been met. The survey found that members were overall very satisfied with the results of the JWP (see Figure 1).

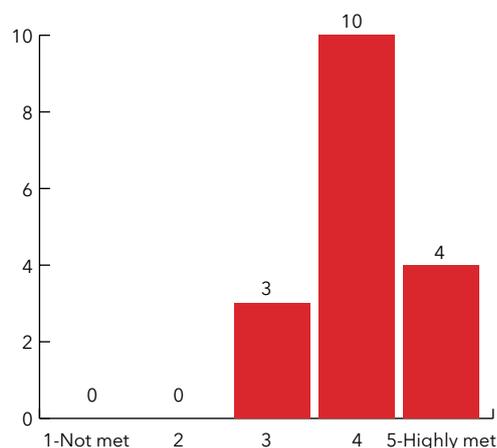
The JWP members highlighted that the overall objective of delivering common messages was met, even though they all have different focus areas and institutional perspectives. However, some members mentioned that the messages could have been stronger, more compelling, and more specific.

Almost all member organisations mentioned that their expectations were fulfilled, as their voices were heard and the JWP suggestions were integrated in the New Urban Agenda and Agenda 2030. The main objective and the delivered outputs of the JWP was highly rated (81 per cent satisfaction), while the management of the JWP received an approval rating of 86 per cent.

Most members noted that their interest in Habitat III and the possibilities to enhance and create successful partnerships with key stakeholders were high motivating factors in their decision to join the JWP. Members also mentioned that they expected to improve the advocacy work of their organisations both in Brussels and in Quito during Habitat III by discussing the main sustainable urban development issues with relevant actors.

Most members were interested in joining a singular multi-stakeholder platform that would allow them to influence policy making regarding the SDGs and the New Urban Agenda. A decisive factor was the opportunity to make a difference by working with like-minded organisations concerned with raising the visibility of the issues of sustainable cities.

FIGURE 1: RESULTS OF JWP HABITAT III MEMBER SURVEY ON HOW WELL ITS OBJECTIVES WERE MET:



The overwhelming majority of members said that their expectations were fulfilled.

## Deliverables by Output

**Output:** Synthesised Cities Alliance and member experiences to develop evidence-based advocacy messages promoting the role of cities and sustainable development in the Post 2015 Agenda/ Sustainable Development Goals in the preparation process for Habitat III.

According to the JWP members, this output was fully met with the following deliverables:

- JWP position paper
- Advocacy strategy
- Factsheet with infographics
- JWP website and one-pager about its work
- A Background Paper on the role of partnerships between the organised civil society and governments to foster a sustainable future for all in cities by Prof. Peter Herrle, head of the Habitat Unit, Berlin University of Technology, was finalised and published on [www.citiesalliance.org](http://www.citiesalliance.org).
- Social media campaigns around different JWP events.
- Advocacy web campaign in cooperation with Devex to promote the New Urban Agenda. A webinar on the NUA was organised on 10 August 2016: "Exploring the local and global impacts of Habitat III".
- CoLab for Change video series: A multimedia case study collection to provide supporting evidence for the JWP's key message. The case studies highlight

the work of Cities Alliance members in fostering partnerships. It was launched at the Cities Alliance booth at Habitat III.

- Articles on "Finding a truly common vision for African cities" published on Citiscope and El Pais; and "Why we need inclusive partnerships for the new urban agenda" published on the Cities Alliance website.
- With support of the Centre of Partnerships for Development (CAD) the JWP developed the video "Towards Habitat III: The Power of Partnerships", establishing the link between Habitat III and the Climate Agreement which was shown at COP22 in Marrakesh.

**Output:** To increase the participation and engagement of the Cities Alliance partnership at global negotiations for the Post 2015 Agenda/ Sustainable Development Goals in the preparation process for Habitat III

- A discussion paper "Framing, Impacts and Key Elements of the New Urban Agenda" was published following the JWP planning workshop in Bonn January 2016.
- A JWP meeting to respond rapidly to the Zero Draft of the New Urban Agenda was organised in May 2016 in New York.
- Several input papers were developed by the JWP to inform the discussions around the Zero Draft of the New Urban Agenda on the following issues: The principle of subsidiarity, enabling conditions for local governance, monitoring and review mechanisms, inclusive multi-level partnerships for building liveable cities, integrated territorial development including rural-urban linkages, and the Right to the City.

## WATCH: TOWARDS HABITAT III: THE POWER OF PARTNERSHIPS

This video from the Cities Alliance JWP for Habitat III highlights the importance of partnerships in the Habitat III process and in implementing the New Urban Agenda. It was produced by CAD on behalf of the JWP: <https://www.youtube.com/watch?v=LkTenCBNVyA>



Cities Alliance - Towards Habitat III: The Power of Partnerships

## GENDER EQUALITY AND WOMEN'S EMPOWERMENT JOINT WORK PROGRAMME

**Cities Alliance believes strongly that women are sources of positive and transformational change in cities, and as a partnership we are committed to helping make this change happen.**

Cities Alliance is working to position itself to be gender-responsive by the time the Strategic Plan 2018-2022 is produced. In 2016, the Joint Work Programme on Gender Equality focused on mainstreaming gender in the internal work of the Cities Alliance Secretariat and supporting other working programmes in mainstreaming gender. This required a year-long, inward-looking exercise with members of staff, gender-mainstreaming specialists, and a gender diagnosis of our main programmatic line: The Country Programmes.

The exercise was implemented in three steps:

- 1. The Secretariat established the Gender Equality Team (GET).** The GET is an internal structure to guide and institutionalise gender equality processes. It provides guidance, institutional monitoring, and quality assurance for the Secretariat's work. In January 2016, the Secretariat adopted a Terms of Reference that outlines a comprehensive gender mainstreaming approach throughout its work.
- 2. A gender-responsiveness assessment undertaken.** An assessment of the Secretariat's level of gender-responsiveness involved informed data, experience, and reflection among staff members, and it led to concrete actions for change. A set of baseline assessments on priority areas was conducted with recommendations for follow up action and targets for the Secretariat. In 2016, the focus was on internal processes and Cities Alliance staff. In 2017, the focus will be on changes to Tier III Outputs, Tier IV Outcomes, and the Results Framework. By the beginning of 2018, these three areas will be gender-responsive and the Cities Alliance partnership will be able to demonstrate measurable progress towards gender equity.
- 3. SKL evaluated gender mainstreaming in Country Programmes.** Cities Alliance provided a grant to SKL International – the implementing partner of SIDA – to diagnose gender-responsiveness in the Country Programmes (see below).

### Mobilisation and Campaign Efforts

Over the past year, the Gender JWP engaged in numerous activities and dialogues to help ensure that gender was embedded in the New Urban Agenda.

### Producing a report in collaboration with Habitat III JWP and Huairou Commission

The Gender JWP joined efforts with the Habitat III JWP and the Huairou Commission to provide advice on how to embed gender in the New Urban Agenda. A report was produced and presented by Jan Peterson, Chair of the Huairou Commission, to the members of the Habitat III JWP in New York City on 5 June.

### Expert Group Meeting on Gender Perspectives in the New Urban Agenda

In June, members of the Gender JWP held an Expert Group Meeting on Embedding Gender in the Zero Draft of the New Urban Agenda in partnership with UN Women, UN-Habitat and the Huairou Commission. Outputs of the meeting included:

- A joint communiqué containing key messages of these institutions for engendering the New Urban Agenda, and
- Language Recommendations on the Zero Draft that were officially submitted to the Habitat III Secretariat.

The Expert Group Meeting was followed by a parallel event hosted by the Gender JWP, UN Women, Huairou Commission and UN-Habitat during the Habitat III informal hearing sessions at UN Headquarters on 6 June. At the well-attended meeting, UN staff and civil society activists heard presentations on the results of the Expert Group Meeting, its key messages, and priorities.



### Highlighting Gender at the Cities Alliance Africa Strategy Workshop

From 14-16 September, Cities Alliance hosted an Africa Strategy Workshop in Ghana that featured a session on gender mainstreaming in projects and programmes in Africa. Panelists included representatives from

Burkina Faso, Tunisia, Mozambique and Liberia, who shared their experiences on how cities and national governments in their home countries have mainstreamed gender in projects and programmes.

### Putting Gender at the Forefront of Cities Alliance Participation in Habitat III

At Habitat III in Quito 17-20 October, the Cities Alliance partnership presented Gender Equality and Women's Empowerment as one of its main commitments towards improving cities. Cities Alliance hosted three events on gender at Habitat III:

- **Event I: Technologies and Data-Gathering for Women's Empowerment.** This event was held in partnership between Cities Alliance, Safetipin (grantee of the Cities Alliance Catalytic Fund), the municipality of Bogotá, the City of Nairobi and AVINA Guatemala. In a two-part discussion, panelists explored how gender-disaggregated data through a diverse range of technologies can support the empowerment of women in cities. They also discussed how partnerships can best implement this approach in cities in a way that involves a wide range of stakeholders and is conducive to better urban design, planning, and monitoring of interventions and programmes.
- **Event II: Are you Mainstreaming Gender Without Knowing it?** This side event shared findings from SKL International's Gender Study, with emphasis on the importance of leadership and a structural and monitoring framework to successfully mainstream gender development in projects. It was a joint venture between SKL International, Cities Alliance, and panelists from SDI affiliates in Zimbabwe and Ghana. The event gathered approximately 60 participants.
- **Event III: Coaching Session provided by SKL International at the Cities Alliance booth in Habitat III.** The coaching session was a follow-up to the side event held by SKL and Cities Alliance. As part of its commitment to supporting gender mainstreaming in other institutions, Cities Alliance provided space in its booth so that interested parties, gender-focal points, and the general public could receive coaching, guidance and advice from SKL on how to mainstream gender in their own institutions.



Dr. Kalpana Viswanath, co-founder of Safetipin, at a Habitat III event on data gathering and women's empowerment 18 October 2016. Photo: Laura Lima/Cities Alliance

### Training

During fieldwork missions to the Country Programmes, SKL International provided one-day training sessions to members and partners of the Cities Alliance on gender mainstreaming strategies and how to apply them to further phases of the Country Programmes. In the four countries visited by SKL International, a total of 98 people (58 females and 40 males) received training on gender mainstreaming.

## DIAGNOSIS OF GENDER EQUALITY INTEGRATION IN CITIES ALLIANCE COUNTRY PROGRAMMES

Designed in 2009 - 2011, the Ghana, Uganda and Vietnam Country Programmes were conceptualised prior to the incorporation of gender as an organisational priority and programmatic cross-cutting issue<sup>2</sup>. As such, gender is not included in the original Country Programme framework documents.

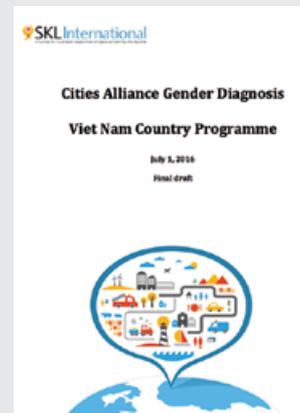
In January 2016, through its JWP on Gender Equality, Cities Alliance awarded a grant to the Swedish Association of Local Authorities and Regions (SALAR/SKL) to assess the gender-responsiveness of its Country Programmes.

The diagnosis guided the prioritisation, design and implementation modalities of Cities Alliance gender operations. Its main objective was to promote increased awareness of current policies and practices of Cities Alliance Country Programmes regarding gender equality and guide a broad integration of women's rights and gender equality policies in all Cities Alliance operations, based on synthesised recommendations and action plans.

The gender diagnosis assesses Cities Alliance, targeted Country Programmes, and their partners in terms of current practices and policies addressing gender equality. It provides:

- An understanding of where Cities Alliance and its partners stand today in terms of knowledge and the application of gender equality principles in daily operations;
- Specific recommendations and guidance to the respective Cities Alliance Country Programmes on how to better integrate gender equality principles in their work; and
- Recommendations to Cities Alliance on mainstreaming gender in its internal and external operations.

The diagnosis identified valuable insights for future programmatic work by Cities Alliance. Its results and final report are available online.



## RESILIENT CITIES

The Resilient Cities JWP had a banner year in 2016. It engaged in three major new projects and participated in global international events, including Habitat III and COP22, to highlight the importance of city resilience. In September, it welcomed the International Institute for Environment and Development (IIED) from London, bringing total membership to 16 members, five observers and two knowledge partners, and broadening the Cities Alliance's partnership engagement.

### Major Projects in 2016

Over the past year, the Resilient Cities JWP has actively undertaken three major projects: Building climate resilience in cities based on the Climate action for URBan sustainability' (CURB) tool; a grant to ICLEI to improve financing for resilience at the local level; and a partnership with the World Resources Institute (WRI) to work on Urban Community Resilience Assessments (UCRAs).

#### Partnership for climate resilience based on CURB

A new project with the C40 Cities Climate Leadership Group (C40) to build climate resilience in cities through evidence-based scenario planning, target setting and climate action planning kicked off in September 2016.

The partnership is co-implemented by C40, the World Bank, and the Los Angeles-based multinational engineering firm AECOM under the JWP on Resilient Cities. It builds on the 'Climate action for URBan sustainability' (CURB) tool, which was developed by AECOM and managed by the World Bank and C40. CURB is an interactive planning tool designed to help cities take action on climate change by mapping out different action plans and evaluating their cost, financial feasibility, and impact.

As part of this initiative, the CURB tool will be enhanced to better integrate informal settlements into the energy transition and climate action planning process. This will involve developing models of informal household energy use, energy cost, income, and energy-related health and social equity impacts as well as community-level infrastructure.

CURB has been selected as an official decision-support tool of the Compact of Mayors, which recently merged with the new Global Covenant of Mayors for Climate and Energy, and this project also aims to help cities develop the capacity to meet their commitments under the Compact.

In 2016, a grant to C40 was finalised to support six cities in Asia, Africa and LAC in climate change mitigation planning as part of the Global Covenant of Mayors for Climate and Energy in partnership with the World Bank and AECOM. Initial workshops were held in Quito (13-15

<sup>2</sup> Gender became a pillar of Cities Alliance's most recent Medium-Term Strategy in 2013.

September 2016), Quezon City (25-17 November 2016), and Accra (13-14 October 2016) on greenhouse gas emissions accounting as per the GPC+ methodology. Follow-up technical assistance is ongoing.

### Facilitating Investment in Transformative and Inclusive Urban Resilience Actions

During the United Nations Framework Convention on Climate Change COP22 meeting in Marrakesh, the issue of finance – especially at the local level – was raised repeatedly. Identifying catalytic and innovative urban resilience projects to better match them with finance opportunities is the central motivation behind a new grant from Cities Alliance to ICLEI – Local Governments for Sustainability in support of the Transformative Action Program (TAP). The grant for \$80,000 was approved in December 2016.

As part of the project, ICLEI will work in collaboration with the World Bank to support cities in developing bankable resilience projects.

The TAP is a 10-year initiative by networks of local and subnational governments to accelerate the implementation of local action to tackle climate change. The Cities Alliance grant to ICLEI will support more robust city resilience projects and linking resilience projects to appropriate funding mechanisms.

The main objective of the project is to catalyse access to finance that will enhance cities' ability to reduce exposure and vulnerability to multiple shocks and stresses and increase their resilience and adaptive capacity. The project aims to increase the capacity of cities to develop feasible, inclusive, and bankable resilience projects. These may include, for example, actions for climate change adaptation, disaster risk reduction, and pro-poor urban development. Secondly, it aims to connect projects with potential funders and implementation partners, facilitating improved access to resilience finance and contributing to the elaboration of new finance mechanisms.

### Partnering with WRI on Urban Community Resilience Assessments

In December 2016, Cities Alliance kicked off a new project with the World Resources Institute (WRI) to work on Urban Community Resilience Assessments (UCRA) in three cities: Rio de Janeiro, Brazil; Surat, India; and Semarang, Indonesia.

Developed by WRI with input from community and city leaders, the UCRA is a tool to help cities include citizen and community capacities into broader assessments of urban resilience. By assessing social cohesion, familiarity with local risks, early warning systems and disaster readiness, the UCRA provides a snapshot of preparedness behaviours, risk perception, and strength of community relations. This helps cities rapidly identify public policies and concrete actions that they can take based on the specific traits of each community, including geography, history, culture and habits.

The project will be co-implemented with 100 Resilient Cities and undertaken in close collaboration with SDI, drawing on its expertise with engaging communities in data collection. It will work with slum communities in the three cities to design small projects to address resilience

gaps and needs identified through a combination of the UCRA and the overall city resilience planning process. The goal is to move these projects from the idea stage to investment-ready status.

## Global Advocacy

### Habitat III

The Resilient Cities JWP made a tangible contribution to the Cities Alliance's presence at Habitat III as part of the dedicated 'Climate Change and Resilience Day' at the Cities Alliance Booth. These included:

- A CURB event moderated by Seth Shultz, Director of Research and Measurement for C40. It brought together representatives from the World Bank and Swiss SECO to highlight the importance of the Paris Agreement in implementing the New Urban Agenda and SDGs 11 and 13.
- The JWP organised an interactive panel debate between the Inter-American Development Bank, ICLEI and IIED on the topic of 'Financing Resilience for Cities,' chaired by GIZ.
- JWP members hosted an informal planning meeting where a more place-based approach to technical cooperation was emphasised for the JWP's 2017 work planning, in close collaboration with the five pilot cities selected by the Medellín Collaboration on Urban Resilience (MCUR). In 2017, the JWP seeks to consolidate those tools and focus on city-level coherence, building across members' different investments.
- The Secretariat participated in its first face-to-face meeting of the MCUR after becoming a member this year with World Bank, Rockefeller Foundation and UN-Habitat sponsorship. The meeting reached consensus on the five pilot cities of the MCUR (Jakarta, Maputo, Accra, New York and Mexico City).

### COP22

The Resilient Cities JWP was a visible presence at COP22 in Marrakesh, Morocco in November. The JWP organised several side events and meetings, and at a high-level political segment on Cities and Human Settlements organised on Cities Day (10 November), ICLEI-Local Governments for Sustainability recognised the Resilient Cities JWP as one of several champions for resilience-related initiatives.

At a City Climate Action Planning side event, the World Bank and C40 shared details of the CURB tool. Swiss SECO shared global good practices in climate energy planning for cities including the European Energy Award (EEA), which they are deploying outside of Europe in selected cities in Tunisia and Morocco.

At a side event on Sustainable Solid Waste Management for Climate Change and Communities, Zero Waste Europe – a partner nominated by WIEGO and the International Solid Waste Management Association (ISWA), nominated by UNEP – joined the Cities Alliance Secretariat to present good practices in promoting solid waste management strategies which address both environmental action while promoting formalisation and

decent work for informal waste pickers. “Informal recyclers are city environment champions” was a key message for stakeholders from this session.

### ICLEI’s Resilient Cities Congress

Cities Alliance participated in the seventh annual Resilient Cities Congress, a global platform for knowledge sharing and exchange on urban resilience and adaptation to climate change. The congress is organised by ICLEI – Local Governments for Sustainability and co-hosted with the city of Bonn, Germany. It convenes participants from local government, academia, international organisations, NGOs, and the private sector, connecting a vibrant global community of resilience experts and practitioners.

From 6-8 July, Resilient Cities 2016 gathered over 320 participants – 21 per cent representing local governments – in Bonn. Participants discussed strategic approaches to the local implementation of newly adopted global frameworks, innovative solutions to financing resilience, and best practices toward building a sustainable, inclusive and resilient urban future.

The Resilient Cities JWP co-organised a thematic forum on Inclusive and Resilient Urban Development 6-7 July which focused on how cities can work with the urban poor, including those living in informal settlements and working in the informal sector, to increase citywide resilience. The thematic forum added significant value to the overall event; it allowed discussion on questions of secure housing, access to basic services, and inclusive governance. The inclusive and resilient theme also linked to discussions on how to finance urban resilience – from the bottom up and from the top down – and how to advance local progress on the SDGs.

### Deliverables produced in 2016

ACTIVITY/DELIVERABLE	DESCRIPTION
	A brochure on the JWP was launched and distributed at Habitat III in Quito
	Accelerating City Resilience video promoting the JWP
	Resilient Cities Scorecard developed to improve tracking and monitoring of results
	The Resilience Tools Platform (resiliencetools.org), developed by UN-Habitat with a grant from the JWP, has been populated with tools, case studies and publications developed by members and partners of the JWP. The website is a knowledge sharing platform for practitioners working on resilience in cities to access key tools and information relevant for their work. In October, Cities Alliance took over management of the platform from UN-Habitat.

## YOUTH MUST BE A PART OF RESILIENT CITIES

A highlight for the Cities Alliance team at COP22 was a side event on Climate Action Planning co-hosted with C40 and the World Bank. Aimed at practitioners and city planners, a group of young women and girls from a Moroccan environmental NGO, Alfetra, also attended the event. The NGO is focused on engaging youth on environmental issues, and one way they have done so is by developing a game about cleaning up the environment that people can play on their smartphones.

The spokesperson for the group, a 13-year-old Moroccan girl who speaks six languages, challenged the speakers of the session about what kind of tools have been developed that young people could use to help their cities plan more effectively for climate change. It was a strong message powerfully delivered, and yet another reminder that youth must be a part of developing resilient cities.



## Looking Ahead

The outlook for 2017 is exciting and extremely active. The JWP will have three projects in full implementation and will start several additional projects. There is increased interest in the JWP and a good chance that it will grow.

With the Resilient Cities Scorecard, the JWP will be much more focused on delivering results at both the global and local level, including tracking sex-disaggregated data, gender analysis as part of resilience planning, and the incorporation of gender and resilience discussions at events and in publications.

The JWP will continue to emphasise the central role of local communities in resilience and the need for partnership to strengthen resilience efforts. Its direction for 2017 is influenced by the COP22 outcome document, including emphasis on aligning and supporting city action under country frameworks, and localising climate finance to support implementation.

## The Future Cities Africa Programme

Future Cities Africa (FCA) was a 24-month programme undertaken by the Cities Alliance and financed by the UK's Department for International Development (DFID) with a budget of \$7.5 million (£4.81 million).

A survey of JWP members taken in October and November 2016 found that members overwhelmingly viewed the group as a valuable platform for knowledge exchange and building new partnerships.

Implementation of the FCA programme was completed by November 2016.

The FCA programme aimed to make cities work for the poor, with a focus on resilience and economic growth. It supported 21 cities in four countries: (1) Ethiopia, two cities<sup>3</sup>; (2) Ghana, two cities<sup>4</sup>; (3) Mozambique, three cities<sup>5</sup>; and (4) Uganda, 14 cities<sup>6</sup> to anticipate and minimise future challenges in terms of climate, environment and natural resources – essentially giving them the tools to future proof themselves to be inclusive, resilient and have growing economies.

The Cities Alliance used the FCA programme to collect research and evidence to give African cities the information and tools they need to undertake more focused urban action plans. It would enable them to carry out investments now and in the future to address local market barriers and target areas of need for maximum results, so cities get the best returns on their investments.



The Future Cities Africa programme is helping cities integrate resilience into their strategic planning. Above, flooded roads in Lira Municipality, Uganda. Photo: Ronard Mukuye

<sup>3</sup> Regional capital cities Mekelle and Dire Dawa.

<sup>4</sup> Accra and Tema as parts of the Greater Accra Metropolitan Area (GAMA).

<sup>5</sup> Economic corridor cities Nampula, Nacala and Tete.

<sup>6</sup> Secondary cities: Arua, Entebbe, Fort Portal, Gulu, Hoima, Jinja, Kabale, Lira, Masaka, Mbale, Mbarara, Moroto, Soroti and Tororo.

The FCA programme was designed as an inclusive process, involving in-depth consultation with local governments, other donors and development actors, research institutions, and the private sector. Replicability for broader use was also an important factor, with the idea that the tools and knowledge generated by the FCA programme could be adapted for use in other cities.

## BUILDING ON A PLATFORM OF PARTNERSHIP

Cities Alliance has historically had a strong focus on convening partnerships and ensuring alignment between the objectives and programmes of national government, local government and civil society. It has also worked to ensure improved coherence of effort of development partners in support of city programming.

Building on this platform, the FCA programme has enabled the Cities Alliance to collect information on, and strengthen its understanding of, the challenges facing African cities across five key areas: governance, citizenship, economy, services, and the environment. Through the FCA programme, the Cities Alliance now has an effective development approach, rigorous analysis, and a growing constituency of African countries engaged in effective, inclusive urban planning.

## OVERCOMING CHALLENGES

While implementing the FCA programme, several challenges were confronted and addressed. The main one was how to ensure strength of national ownership, as well as the quality of data collection and reporting. This was addressed by recruiting high-quality national teams and basing them in or close to the relevant national ministry, with access to additional international support.

The programme also faced the challenge of ensuring that the research questions were both scientific and topical to national government, local government, and community interests. This was achieved by undertaking rapid assessments in 21 cities and reporting back on the findings to a workshop of national government officials, local government city managers and mayors, civil society, and academia in each of the four countries. The approach allowed a broad multi-stakeholder consensus on priorities and key research questions.

## RESULTS ACHIEVED IN 2016

Diagnostics conducted through the FCA programme have resulted in some important findings:

### A flawed urbanisation process

The diagnostics demonstrated that the process of urbanisation and city growth is fundamentally flawed in each of the four countries assessed, and there is little evidence of transformational change. The nature of the urbanisation process reflects the political economy of national and city economies, often based on resource extraction with rents captured by powerful interest groups combined with a high share of low productivity – non-tradeable service activities supporting most of the urban population.

Growth is occurring, but the economy changes in aggregate only; it gets bigger because more resources are extracted and life improves through a trickle-down process. Structural transformation is lacking, movement in the product space is hardly visible, productivity in the urban economy stagnates, and inequalities rise. The quality of growth is poor and cities are increasingly vulnerable to climate change, environmental and natural resource risks.



Gender is a cross-cutting issue that makes responding to effects of unplanned urbanisation in Africa much more complex, and it has been an important part of the Future Cities Africa programme. Photo: Cities Alliance

## Capacity for managing urbanisation is deficient

Diagnostics generated by the programme have clearly demonstrated that the capacity of African governments – national and local – to manage the urbanisation process and foster productive, inclusive and resilience cities is severely deficient. The immediate causes of this deficiency are dysfunctional governance (distorted incentives), severe administrative and technical capacity constraints, and major infrastructure and service deficits. Interventions are needed throughout the policy and project cycles, albeit varying in relative emphasis across the four countries.

## Gender must be a part of the urban planning process

Adding to the dysfunctions, gender is a cross-cutting issue that makes responding to effects of unplanned urbanisation in Africa significantly more complex. To respond to the challenges faced by men and women in urban Africa, gender must be taken into consideration throughout the planning process.

## OUTPUTS AND DELIVERABLES PRODUCED IN 2016

### Output 1: Feasibility Study

A Feasibility Study was produced outlining the four-country, 21-city focus of the programme, detailing institutional and financial arrangements needed and relevant stakeholders to inform a business case for future programming. The study provides as a clear identification and integration of the key issues confronting African cities, enabling a better knowledge base for designing effective programmes.

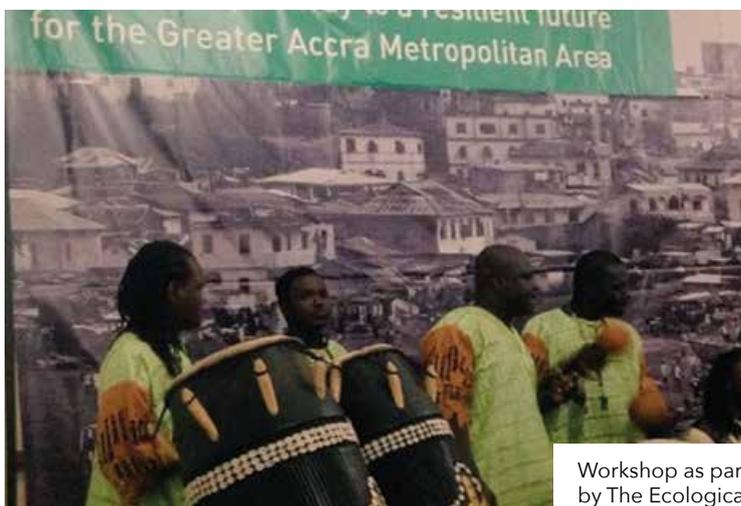
### Output 2: Critical Research

The research focused on improving 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.

It has provided key direction on how best to manage city growth and has helped shape the future research agenda for African researchers. A key recommendation is the need to strengthen African research capacities to respond to this emerging agenda.

Four studies were produced:

1. **The Climate Change and Energy Debate in the Context of Ethiopia.** This study investigates viable alternative energy choices that can support inclusive growth within secondary cities in Ethiopia, considering future climate change and the need for environmentally sustainable, low-carbon, and universally accessible energy sources.
2. **Urban Governance and Service Delivery in the Context of Ghana.** This study explores the structure, form and capability of the various dimensions of urban governance in Ghana to identify the main drivers of change and transformation towards more inclusive, resilient growth. It identifies the potential for change in the capability and quality of urban governance that will contribute to improvements in service delivery.
3. **The Urban Expansion and Compactness Debate in the Context of Mozambique.** This study fills crucial theoretical and evidence gaps related to the comparative merits of planned expansion and compactness by collecting and analysing data on cities and urban land expansion in Mozambique, testing the relevant theories/models, and feeding the results into the current academic and policy debates at the national and international level.
4. **Informality and Economic Growth in Uganda - The role of the informal economy in city growth in the context of Uganda.** This study identifies important theoretical and evidence gaps in the approaches, understanding and analyses of urban informal activities in Sub-Saharan Africa generally, and more specifically in Uganda. It aims to understand the implications for economic management and governance of informal activities, and how they can be supported to help build the urban economy in secondary cities of Africa, particularly Uganda.



Workshop as part of the development of the resilience.io model, developed by The Ecological Sequestration Trust (TEST) and piloted in the WASH sector in Accra. Photo: Cities Alliance

## Output 3: Digital Tools

Two digital tools pre-selected by DFID were developed (Resilience.io) or tested (Knowledge Platform) during the course of the FCA programme.

1. **Resilience.io - An open source, decision-making model prototype.** 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 available and ready for deployment in African cities. It was developed and piloted in the WASH sector in GAMA for potential use in future urban programming in Africa.
2. **Knowledge Platform.** This was designed to share results, data, and establish peer-to-peer contact between cities. Developed by Gaiasoft, the platform uses off-the-shelf software that can be reconfigured and improved based on specific needs. The platform tested the relevance of and appetite for knowledge management as a part of the process of managing cities.

## Output 4: Innovative Studies and Tools

Studies produced through the FCA programme focused on a theme or specific city/country challenge that explored new ideas and innovative thinking to building resilience in African cities.

1. **City Development Strategies (CDS) Toolkit 2.0.** The toolkit updates the existing CDS approach to enable city managers to develop more resilient approaches to urban planning in primary and secondary cities. It aims to improve the usefulness and impact of CDS processes by moving beyond the traditional approaches and incorporating new strategic focal areas of resilience and inclusive economic growth, in addition to other more traditional, cross-cutting issues of governance, participation poverty alleviation and gender.

2. **Innovative Data Toolkit.** The toolkit addresses the data challenges faced by city officials, both for day-to-day management and long-term resilience planning. It helps officials understand where critical data gaps are, how to address these gaps, and the benefits of expanding data resources. The toolkit serves as a one-stop-shop manual for city officials on data use for city planning. It focuses on supporting cities to create a process for data management and identifies opportunities to improve data maturity. The toolkit supports a city's data management lifecycle and be can used iteratively and comparatively to support data needs for day-to-day operations.
3. **Human Resources Capacity Benchmarking: A Preliminary Toolkit for Planning and Management in Africa.** This assessment toolkit provides an intervention in understanding urban service delivery gaps. It takes staffing as a key driver and an entry point to achieving desired service level standards and benchmarks. It is a first attempt to develop an analytical device that provides a systematic, rational model so that towns and cities in Africa can conveniently and rapidly assess their existing levels of staffing against a model framework.
4. **The Future Proofing City Studies: Urban Risk / Environment Risk Framework.** The framework covers a specific country, its national urbanisation strategy, and its specific planning typology for regional capitals in Ethiopia, metropolitan cities in Ghana, secondary cities in Uganda, and urban growth corridors in Mozambique. The framework helps to analyse each city's institutional and physical capacity and the environmental risks. It aims to help cities better understand the specific challenges and opportunities they are facing.

## LOOKING AHEAD

Thanks to the Future Cities Africa programme, Cities Alliance is equipped with a proven approach, rigorous analysis, and a set of relevant tools that can help support African cities to manage urban growth in a way that enables social inclusivity, economic growth and effective mitigation and adaptation against climate change. These can help Cities Alliance deepen and widen its African Strategy with activities that:

- Develop its understanding of, and support to, strengthening local government implementation capacity;
- Promote CDSs that incorporate resilience and the long-term effects of climate change;
- Enable cities to support local economies in a way that helps transform the economy and improves equitable economic growth; and
- Empower citizens to be active development partners with clear rights and responsibilities.



Testing the Gaiasoft knowledge platform in Mozambique. Photo: Cities Alliance



Through the Future Cities Africa programme, Cities Alliance now has tools that can help support African cities to manage urban growth in a way that enables social inclusivity, economic growth, and effective mitigation and adaptation against climate change. Above: Accra, Ghana, which faces serious flooding and drainage issues. Photo: Cities Alliance

## Regional Strategies

In recent years, Cities Alliance has been in the process of developing regional strategies for Africa, Asia and Latin America and the Caribbean (LAC). During 2016, progress was made across all three strategies, especially LAC, which benefited from the mobilisation in the leadup to Habitat III.

### AFRICA

The Africa Strategy is the framework for Cities Alliance's activities in Africa from 2014 to 2017. Its activities in 2016 include:

#### Support to United Cities and Local Governments-Africa (UCLG-A) Institutional Strengthening

This activity supports the establishment of national associations of local governments in selected countries where they do not exist, and strengthens the institutional capacities of both the existing associations and UCLG-A as their convener.

The capacity of UCLG-A Secretariat to support local government associations (LGAs) has been strengthened through the hiring of a knowledge management officer and three communications consultants. Administrative and financial tools and office equipment have been procured, and further staff training will take place in 2017.

In March 2016, a national association of local authorities was created in Djibouti. The establishment of a national association of local authorities is being finalised in Liberia in close collaboration with the Cities Alliance Liberia Country Programme, and a similar process is being explored in Equatorial Guinea. Analyses and needs assessments have been

conducted in eight other countries, with the goal of creating national associations of local authorities in at least two more countries. Needs assessments have been carried out on existing LGAs in six countries (Burundi, Cameroon, Ghana, Malawi, Rwanda and Sierra Leone), with four more planned for 2017.

The regional resource centre of the UCLG-A West Africa Regional Office has been equipped with computers, software and other office equipment. The resource centres of the East Africa Regional Office and Southern Africa Regional Office are expected to benefit from similar activities in 2017.

#### The Cities Alliance Think Tank

The Cities Alliance Think Tank was launched in Johannesburg, South Africa on 10 September 2015 to support the definition and implementation of the Cities Alliance Africa Strategy through strategic reflection, analysis and recommendations on Africa's urban challenges and new trends. It also promotes and informs public international debates on urban policy through a pro-urban narrative that highlights the role of cities in the structural transformation and sustainable development of Africa.

Hosted by the African Centre for Cities (ACC) at Cape Town University, the Think Tank consists of 11 eminent urban-related experts from both the public and private sectors.

In 2016, the Cities Alliance Think Tank was represented at and contributed to the content of regional and global agreements such as the Abuja Declaration for Habitat III in February 2016 and the New Urban Agenda in October 2016.

A comprehensive narrative document for the Cities Alliance Africa Strategy was drafted by Edgar Pieterse of the ACC, and discussed with Think Tank members

at a Cities Alliance workshop in Accra, Ghana in September 2016.

Two policy briefs have been conceptualised and commissioned on the topics 'Urban Policy Coalitions' and 'Infrastructure and Smart Transitions'.

## Promoting the Role of Cities: Africa Strategy Workshop

Cities Alliance convened a workshop in Accra, Ghana 14-16 September as part of the Africa Strategy. Drawing on the experience of the Cities Alliance portfolio in Africa, the workshop provided a platform for Cities Alliance members and partners to share lessons learned, debate key issues, and inform future action in support of cities and the urban transition in Africa. Its findings and outcomes are helping to guide Cities Alliance and its members in contributing to the implementation of Agenda 2030 (particularly SDG 11) as well as the Paris Agreement.

With its broad, high-level participation, the workshop highlighted the convening power of Cities Alliance. It brought national governments, local governments and communities to the same table to discuss, listen to and share solutions for the challenges in African cities. Organised in close collaboration with Ghana's Ministry of Local Government and Rural Development, it was attended by more than 250 participants, including delegations from Cities Alliance Country Programmes in Burkina Faso, Ethiopia, Ghana, Liberia, Mozambique, Tunisia and Uganda; the Kenya Council of Governors; research and professional teams engaged in the Future Cities Africa programme; members of the Africa Think Tank to provide strategic guidance to the Cities Alliance members in shaping future programming.

The workshop aimed to consolidate Cities Alliance's work in Africa through discussion and presentation of the Country Programmes, the Future Cities Africa programme and the Africa Strategy by facilitating learning among members, building synergies, and mapping a way forward for Cities Alliance programming.

The workshop was very well received; a survey conducted by the Cities Alliance Secretariat found that 81% rated the workshop as very good or excellent, and it generated considerable Twitter coverage with the hashtag #africastrategyworkshop.

### Recommendations

As part of promoting a new and more optimistic narrative on the urban transition on the continent, the Africa Strategy workshop made the following 12 recommendations:

- Support city administrations to find **leaders committed to the change agenda** of urban development.
- National and local governments should take full advantage of international conventions such as the SDGs (Agenda 2030), Paris Agreement and Agenda 2063 (Africa Development Agenda) to change the narrative of urban development in their respective countries.
- Local governments should be continuously viewed as partners in development and not as competitors. They should be resourced and supported to **get the right human resource mix** to address issues on urban growth. Accountability measures should be instituted to ensure judicious use of resources.
- Getting the **right energy mix** for development in cities is an imperative, not an option. Industrialisation which will lead to the transformation of the urban economies can only thrive with energy sufficiency.
- **Informality is an integral part of growth** in urban economies in Africa. There is a need to recognise informality, get enough data on it, and include it in policy reforms for change.
- Promote measures to **empower and involve women** in the development of urban economies across the continent. Give them access to capital and right to land ownership for development.
- **Commit more resources for urban research** for evidence-based decision making. Partner academia and research institutions to come up with solutions that meet the needs of Africans.
- Ensure adequate **participation in decision making** processes with emphasis on the role of women and youth.
- Make land ownership and administration transparent to enhance access to land for development in both major and secondary cities.
- Partner with African cities to **invest in infrastructure projects** to enhance service delivery. Cities on their own cannot bring about the needed urban transformation; there is a need for partnership with the private sector, development organisations, NGOs, and international community.
- Increase **platforms for experience sharing** among cities and governments to ensure the localisation of lessons learned for the right impact.
- Lessons from the Country Programmes, Future Cities Africa, and other stakeholders in the urban sector should be documented and shared with other nations in Africa. Possible **areas for scale-up must be explored for further investments**.

“Cities Alliance explicitly wants to be provoked. It wants to be engaged with critical thinking, with criticism as a mechanism to ensure that its own programming that happens across the world, but particularly in Africa, is as sharp as possible.”

- Edgar Pieterse, *Cities Alliance Think Tank Director, African Centre for Cities.*



Participants of the Africa Strategy Workshop during a field visit to the Old Accra Participatory Upgrading Programme. Photo: Tutut Christen



The day two World Café session; Dina Abdel-Fattah from Development Gateway listens to a participant's feedback. Photo: Tutut Christen



Sarah Nandudu, Vice Chairperson of the National Slum Dwellers Federation of Uganda shares lessons from the Uganda Country Programme. Photo: Tutut Christen



The afternoon session on day two of the workshop was focused on Innovative Tools for City Management. Photo: Tutut Christen

## WATCH: THE AFRICA STRATEGY WORKSHOP

As part of its Africa Strategy, Cities Alliance convened a major Workshop in Accra, Ghana 14-16 September 2016. Nearly 100 videos of the workshop are available on the Cities Alliance Youtube page. Here is just a sample:

Africa workshop day 1 think tank: [https://www.youtube.com/watch?v=\\_zjE5b\\_Jep8](https://www.youtube.com/watch?v=_zjE5b_Jep8)

Africa workshop day 2 climate change: [https://www.youtube.com/watch?v=qobS5RJna\\_Q](https://www.youtube.com/watch?v=qobS5RJna_Q)

Africa workshop day 2, world cafe: <https://www.youtube.com/watch?v=XyivvaXdLGA>

Day 2 toolkits: <https://www.youtube.com/watch?v=8-aF9Xd11xw>

Africa workshop, day 3 delivering agenda 2030: <https://www.youtube.com/watch?v=XLI1P8DZGtU>

Africa strategy Day 3 field visit: <https://www.youtube.com/watch?v=o6z8ZraLM-4>

Africa workshop closing Sept 2016: <https://www.youtube.com/watch?v=T-50PpQkgUw>



Cities Alliance: Africa Strategy Workshop - Day 1: The Cities Alliance Africa Think Tank

## ASIA

The Cities Alliance Asia Strategy provides the framework for the Cities Alliance's overall regional programme for 2015-2017, in line with the partnership's MTS 2014-2017. It identifies priority sub-regions, countries and thematic work areas, and will facilitate coherence of effort and participation of Cities Alliance members and partners.

The Cities Alliance Asia strategy builds on and consolidates partnerships in selected countries with a strong history of collaboration - India, Indonesia, the Philippines and Vietnam. It includes establishing a new network of cities, countries and institutions through collaboration with selected Country Programmes and existing Cities Alliance Joint Work Programmes on inclusive economic growth, resilient cities, and gender equality.

The Asia Strategy was developed following a summary Strength, Weaknesses, Opportunities and Threats (SWOT) analysis of the region, assessment of Cities Alliance's current and legacy portfolio, and discussions with members and partners in the region.

### Activities

The Asia Strategy is still in the early stages of implementation, with the bulk of activities and impact yet to come. Here are some regional activities that took place in 2016:

#### **City and Local Government Enabling Environment (CEE) Rating of 30 Countries in the Asia-Pacific Region**

In September 2016, Cities Alliance, together with United Cities and Local Governments Asia Pacific (UCLG ASPAC), and the United Nations Development Programme (UNDP), launched a new initiative to support local governments in achieving sustainable

urban development. The CEE Rating launched in 30 countries in the Asia-Pacific region will help identify and address gaps in policy, legal and institutional frameworks that are impacting the efficiency of local governments.

A rating will be assigned to each country based on in-depth quantitative and qualitative assessment using 12 criteria. Two additional criteria<sup>7</sup> have been added to the CEE Rating in Asia:

- **Women's participation in local governance** assesses the national provisions on temporary special measures for women's participation in local governance. Women's representation in national and local government is low in Asia Pacific countries, although it is well recognised that gender parity would promote national development.
- **Environmental and climate change governance** assesses countries' commitment to city-level action for environmental protection and promotion, including climate change and disaster risk reduction. It also assesses their integration into countries' international commitments, funding, and the capacity support committed for cities to drive national implementation, as well as codes and standards for disaster risk management and climate risk mitigation at the city level. The criterion was developed based on global environmental challenges and the potential role cities play in meeting them, as well as national commitments to the Paris Agreement.

The process will provide a situational analysis, highlighting the progress and constraints to effective decentralisation. It will outline potential ways to improve implementation of decentralisation - helping local governments manage their effectiveness in sustainable development.

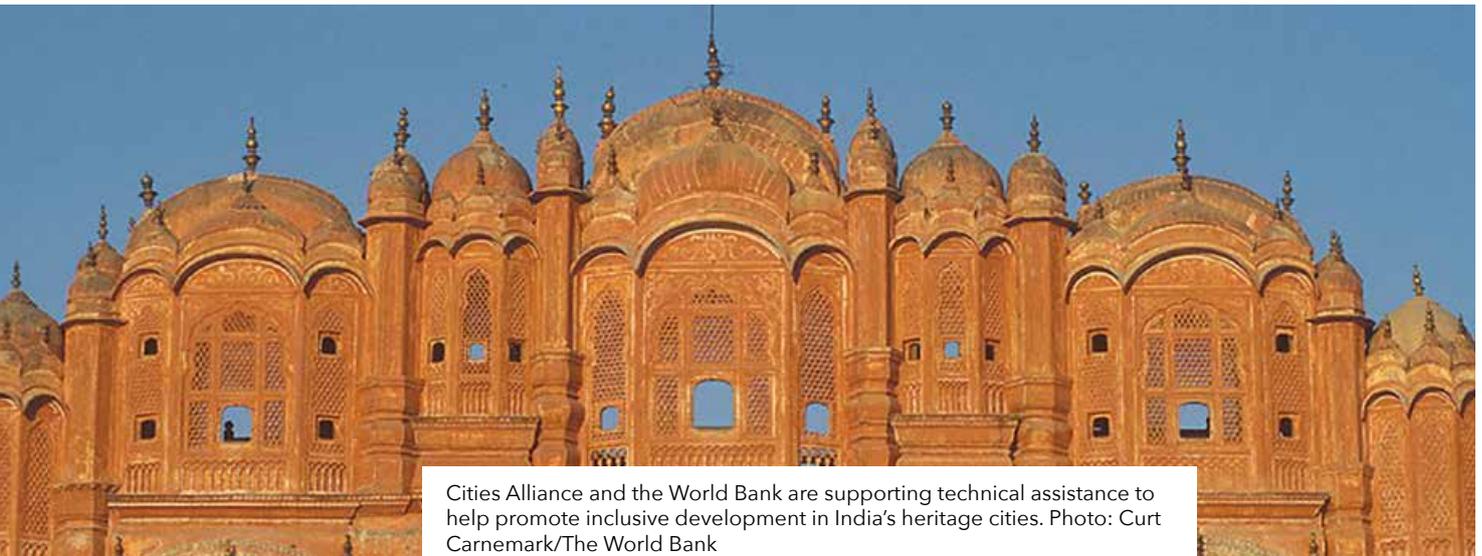
## ASIA STRATEGY MISSION STATEMENT

To strengthen institutional capacity of cities and create an enabling environment for cities to undertake governance reforms, planning and programmes implementation to achieve the goal of sustainable and inclusive cities.

It focuses on the following thematic areas:

- Institutional strengthening and capacity building of human resources in cities for integrated city development planning, and formulation and implementation of development programmes to reach the goal of sustainable and inclusive cities.
- Promoting equitable access to habitat and economic opportunities through supporting linkages between economic and physical upgrading approaches.
- Promoting the value of the urban informal economy and fostering links between informal habitat and livelihoods actors.
- Integrating city resilience strategies and approaches with key urban institutions and decision makers.
- Promoting gender responsive measures to city decision-making and women's meaningful political participation in local government.

<sup>7</sup> Ten criteria were identified for the 2012 and 2015 editions of the Africa CEE Rating.



Cities Alliance and the World Bank are supporting technical assistance to help promote inclusive development in India's heritage cities. Photo: Curt Carnemark/The World Bank

The rating system allows countries to draw lessons from better-rated countries and identify areas for urban reforms, and it will help local governments advocate with higher tiers of government for legislative reforms.

The initiative in Asia-Pacific draws on a very successful CEE Rating activity undertaken by Cities Alliance and UCLG in Africa from 2012 – 2015. It is also a key component of the Cities Alliance Asia Strategy.

#### *Kicking off the CEE Ratings in Gunsan, Korea*

The CEE Rating of countries in the Asia-Pacific region kicked off at an inception workshop organised by UCLG ASPAC 4 September 2016 in Gunsan, Republic of Korea. Sixteen Local Government Associations joined experts from UNDP and Cities Alliance to discuss the CEE rating process. The participants also discussed changes to the proposed criteria and indicators within the context of various countries. At the conclusion of the workshop, the local government associations who will be undertaking the country-level assessments had a shared understanding of the objectives, assessment criteria, indicators, timeline, and outputs.

In addition to co-financing the initiative, Cities Alliance is also mobilising members for peer review of the country and regional assessments, sharing knowledge from the CEE Ratings process in Africa, and providing technical support.

#### **Technical Assistance in support of Heritage Cities Development in India**

In 2016, Cities Alliance and the World Bank continued broad-based support for the implementation of the Heritage City Development and Augmentation Yojana (HRIDAY), at the request of the Ministry of Urban Development. The technical

assistance specifically targets state governments of Rajasthan, Karnataka and Odisha for support to develop programmes and strategies for their associated heritage cities.

The Technical Assistance directly supports the creation of governance and institutional arrangements that promote more socially inclusive growth in urban areas, and it is fully aligned with Cities Alliance's Asia strategy. It expands and builds on a foundation for institutionalising the approaches, methodologies and tools tested under the "Demonstration Program for Inclusive Heritage-based Development in India (IHCDP)" project, which was conceptualised and implemented by the World Bank and Cities Alliance from June 2012 to December 2013.

The Technical Assistance will:

- Provide technical and advisory support to the Ministry of Urban Development on the implementation of HRIDAY;
- Review national guidelines for urban revitalisation tailored to state and city officials;
- Provide technical and advisory support to selected states and cities on urban revitalisation at policy, planning and investment levels; and
- Strengthen capacity and systems in selected states and cities for convergence and coordination of heritage-sensitive service provision and urban development.

#### **Indian NGOs Launch Network to Scale-up Reach to the Urban Poor**

Prominent NGOs and research institutions in community-led urban habitat development from across India came together in 2016 to launch the Indian NGOs for Community Led Urban Development (INCLUDE) network.

INCLUDE will focus on community processes for inclusive planning and design of urban upgrading and development. It is supported by the Cities Alliance Secretariat, UNDP, GIZ India, the World Bank, UN-Habitat, and USAID.

Members include the Society for the Promotion of Area Resource Centers SPARC (a member of the National Slum Dwellers Federation and SDI affiliate), Mahila Housing Trust (affiliate of the Self Employed Women's Association and member of WIEGO), the Centre for Urban and Regional Excellence (CURE), Shelter Associates, South Asia HomeNet (a WIEGO member), Habitat for Humanity India, Youth for Unity and Voluntary Action (YUVA), the National Institute of Urban Affairs (NIUA), and the Human Settlement Management Institute (HSMI).

It will offer a variety of products and services to local, state and national government to strengthen urban policy and programming and capacity for community-led sustainable urban development. These include:

- Knowledge products - reviewed process documentations of models and good practices;
- Services - policy reviews, strategy notes, communitarian approach logs, technical support for implementation of projects;
- Capacity building products - manuals, guidelines, tool kits, e-modules;
- Data products - data inputs to plans, imaged data, digital tracking/spatial GIS systems;
- Assessment products - templates for evaluation studies/real-time evaluations, baseline studies;
- Interactive platforms - policy/institutional spaces;
- Mentoring services - local governments, institutions, NGOs, CBOs, civil society organisations; and

- Models of slum upgrading for replication and scale up.

Specifically, INCLUDE will contribute to the development of a national slum development policy and a curriculum on participatory planning and implementation. INCLUDE will be an open network that will expand as new NGOs and institutions come on board.

### Training Course Promotes Inclusive Growth in Asian Cities

Cities Alliance, in cooperation with the Cities Development Initiative for Asia (CDIA) and the GIZ Project Inclusive Metropolitan Environments for the Urban Poor, organised training on Promoting Inclusive Growth in Asian Cities in Can Tho, Vietnam 31 May - 1 June 2016.

Around 30 participants - including Mayors and Vice Mayors, Construction Engineers and Urban Management Officers - from 23 small- and medium-sized cities participated in the training course, which focused on governance approaches, institutional arrangements, cooperation models and infrastructure investments for inclusive local economic development.

The comprehensive course has been integrated into the national Urban Management Training Programme for Chairpersons and Vice Chairpersons of the Academy of Managers for Construction and Cities, a government agency under Vietnam's Ministry of Construction.

### Symposium on Inclusive Cities in Asia Issues Recommendations for the New Urban Agenda

A regional symposium was held in New Delhi February 23-24, 2016 to discuss case studies on inclusive approaches in Asian cities and metropolitan regions. Participants came up with



Cities Alliance supported events to help partners in the LAC region mobilise for Habitat III, such as the Regional Habitat III Meeting in Toluca, Mexico in April 2016. Photo: Cities Alliance

a set of recommendations for the New Urban Agenda and for implementing SDG 11.

The symposium involved various stakeholders, including representatives from eight countries, governments at the national and subnational levels, public agencies, civil society, community-based organisations, development financing agencies, and academia.

The event was organised by Cities Alliance, the Cities Development Initiative for Asia, the GIZ Inclusive Cities Partnership Programme, the GIZ Inclusive Metropolitan Environments for the Urban Poor Project and the GIZ Sector Network Governance Asia.

The workshop focused on the social and economic well-being of the urban poor and questions of accessibility in face of accelerated urban growth. It discussed stakeholders, urban and others, that act in the city and collectively impact urban development; ongoing urbanisation, which is simultaneously the spatial and social expression of “the urban”; and the best ways to address these issues.

### Looking Ahead

After a busy 2016, the coming year will focus on mobilising Cities Alliance members and regional/country partners in support of the Asia Programme and implementing specific activities in the focus countries. That involves positioning the Philippines and UCLG ASPAC as lead members for the regional programme, and building on existing partnerships with knowledge resources in the region, particularly Korea and China, and possible expansion to other

countries. Cities Alliance will also continue to support dialogues on the New Urban Agenda in the region.

## LATIN AMERICA AND THE CARIBBEAN

The year 2016 was a milestone for the Cities Alliance LAC Regional programme, mainly due to Habitat III. While the Habitat III process and the adoption of a New Urban Agenda has had a global impact, it has been particularly important for LAC.

As the host region of the Habitat III conference, it was almost inevitable that LAC would be strongly impacted by the process. There was already a high level of political and social capital in both public and non-governmental organisations, which mobilised at historic levels around the issue of inclusion and social justice in cities in advance of the conference.

In turn, the experience of LAC and its pre-Habitat III mobilisation efforts significantly impacted the discussions in Quito and the final New Urban Agenda, and offers valuable lessons for the future.

### Catalysing Collaboration for Habitat III and Beyond

In the leadup to Habitat III, Cities Alliance played a significant role as a catalyst for thought and action. It was a natural role for the partnership, which has a long history of successful collaboration in Latin America, especially in Brazil and Chile.

Throughout the entire Habitat III process, Cities Alliance supported and convened its core regional



SDI-AVINA-WIEGO knowledge exchange facilitated by Cities Alliance.

membership around researchers, thinkers, policy makers and practitioners at high-level events throughout the region. These events include the Cuenca Meeting on Intermediate Cities, the Mexico Meeting on Finance, the Regional Meeting in Toluca, the MINURVI Annual Assembly, the expert consultation on the regional report, as well as parallel conferences and gatherings in Argentina, Brazil, and Colombia.

This support represented a strong institutional contribution from Cities Alliance to the regional and global Habitat III process and the New Urban Agenda itself.

The Habitat III Conference itself was diverse, bringing together key stakeholders from all regions and the Cities Alliance partnership organised many events both within the official programme and parallel debates. Partners in LAC placed significant emphasis on topics such as informality and inclusion, national urban policies and legal frameworks, the role of research and collaboration initiatives, housing, and the Right to the City. This clearly demonstrates that these concepts will be the background for the regional implementation of the New Urban Agenda in the region.

### **A niche for Cities Alliance**

Looking ahead, both the Habitat III conference and the entire process show potential paths for the Cities Alliance in LAC. First and foremost is the partnership's niche as a recognised honest broker fostering collaboration. Cities Alliance has played this role since its foundation, and it is one that meshes well with the New Urban Agenda.

In the LAC region, there was a clear need to join efforts and resources to expand access to knowledge and experiences, strengthen collaboration among a broader set of stakeholders, and build social capital and networks of universities and research institutions.

Cities Alliance helped facilitate this collaboration and can continue to do so in the future. Such a cycle will enable the region to scale up and replicate concrete advances and tackle the challenges ahead, eventually with limited support from international organisations, but much more strategic and with higher impact.

Several strong initiatives have emerged from the Habitat III process that touch on the core mission of the Cities Alliance and its collaborative approach. They include the Urban Housing Practitioners Hub,

a new and core initiative led by Cities Alliance members in LAC, networks of universities such as REDEUS and LANHUR, both an indirect and unexpected outcome from the Global Housing Research grant/initiative; strategic engagements with the national government *fora* MINURVI and SISCA in Central America, and local government regional representation.

All these initiatives target the New Urban Agenda and the urban SDGs to leverage regional resources and capacities for implementing and monitoring the process in LAC, based on close cooperation. Cities Alliance will help sustain and consolidate these initiatives, which reflect the core mission and spirit of the partnership and its diverse, collaborative membership approach.

### **Strengthening the Main Pillars of the LAC Strategy**

Cities Alliance's support for LAC in 2016 also helped strengthen the partnership's regional strategy, which is based on the potential of regional innovation and knowledge on urban issues - an approach that has value not just for the LAC region, but for the rest of the urbanising south.

#### **Knowledge sharing and advocacy, with a gender focus**

Local players are recognised as key stakeholders for implementing the New Urban Agenda, and sharing lessons learned and experiences through knowledge exchange is key component. The Cities Alliance LAC strategy draws on this approach and targets key stakeholders at the national and community level and through South-South exchanges.

In 2016 the focus was gender and women's leadership. The Cities Alliance Secretariat organised a series of exchanges involving our members Chile, SDI, AVINA and WIEGO, uniting grassroots women leaders from South Africa, Brazil, Chile, Ecuador, Peru, Bolivia and Colombia. These exchanges, financed by the Bill & Melinda Gates Foundation Intermediation grant, facilitated sharing of practical and daily experiences, as well as broader policy and advocacy matters - with a general recognition of the value such exchanges add to strengthening community organisations and their connection with the global agendas.

### Knowledge products

Two major publications were produced in 2016 that tapped into Cities Alliance's lengthy history in Brazil:

- An evaluation of the Cities Alliance presence in Brazil, with a focus on structuring and consolidating Brazil's National Urban Policy framework in the country; and
- *City Statute - The Old and the New Urban Agenda - an analysis of 15 years of the law* reflects on the 15 years since Brazil enacted its City Statute. It examines the City Statute's impact on the national urban policy framework in Brazil, housing policies, the judiciary system, access to land and equity, and citywide planning processes. Launched during the Habitat III Conference in Quito, the publication has been translated into English, Spanish and Portuguese, and was one of the most requested publications on Cities Alliance's social media in 2016.

### Technical Assistance

There is still a need for Technical Assistance in Latin America, especially Cities Alliance's expertise, know-how and diverse 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.

For example, our members Chile, GIZ, IDB and Habitat for Humanity are actively supporting urban innovations in Paraguay. In 2016 the Cities Alliance - with the three-way cooperation of Chile, GIZ and Paraguay - began a process to support Paraguay on

the participatory design of a National Habitat and Housing Policy, with a strong social component. Throughout this process, which will formally kick off in 2017, it is expected that lessons learned from projects and cooperation efforts by our members will be incorporated in a local-driven process, led by SENAVITAT (National Secretary for Housing and Habitat) with strong participation of key local stakeholders for Paraguay's urban agenda.

### A Catalytic Fund Portfolio in LAC

The Cities Alliance Catalytic Fund now has a significant portfolio in LAC, with grants in Bolivia, Peru, Argentina, Guatemala and Jamaica. Catalytic Fund projects are a great opportunity for learning and engaging in different topics with a range of actors, and they provide an entry point for more strategic technical assistance engagements in some countries. One example is Guatemala, where Cities Alliance has two active grants, and Jamaica, where other members are actively involved in the country's urban agenda.

There is a common denominator among all these grants: A sharp focus on women and issues of crime and violence, a major topic for Latin American cities. Considering the synergies, the Cities Alliance Secretariat is planning to promote learning exchanges among these grantees in 2017 that will also serve as an opportunity for strategic reflection on the regional challenges under the SDGs and the New Urban Agenda perspective.

## IMPACT OF THE CITIES ALLIANCE IN BRAZIL – A CRITICAL ANALYSIS

This study by development specialist Francesco Notarbartolo di Villarosa analyses the Cities Alliance presence in Brazil from its initial operations in 2001 to 2016. It assesses the contribution of Cities Alliance activities to the evolution of urban development policies in Brazil across all levels of government – municipal, state and federal – and to their international dissemination, extracting lessons learned to guide Cities Alliance activities and provide a benchmark for other countries.

The portfolio in Brazil is Cities Alliance's largest, with more than 30 projects and total investments of \$20 million. Through its partnership with Brazil, the Cities Alliance has built a unique body of experiences in urban development, especially in integrated slum upgrading and social housing. Many of these experiences have served as references in other countries.

The study's primary results indicate that Cities Alliance's trajectory in Brazil has followed – and at the same time stimulated and supported – the evolution of urban development policies at the national, state and municipal level with productive synergies among different projects.

The analysis also highlights the importance of a long-term vision and continuity of collaboration between the Cities Alliance and its government counterparts, the flexibility to adapt to evolving policies, and the importance of having support in place to disseminate the knowledge gained, among others.

Key findings include:

- **Long-term vision and continuity.** Sustained cities Alliance support to São Paulo, the state of Bahia, and the Ministry of Cities was fundamental to establishing dialogue and mutual trust, which helped identify priority requests for support and overcome changes in political administrations.
- **Cities Alliance support was sequential and cumulative.** Because it was not limited to sporadic assistance, Cities Alliance support could evolve along with its Brazilian partners' policies, programmes, and projects and meet new demands.
- **Flexibility.** The possibility of just-in-time grants for technical assistance lent agility to the process of meeting counterparts' requests. Cities Alliance members and partners also showed flexibility, such as in relocating resources from Bahia to the federal level.
- **The presence of a Cities Alliance office and team in São Paulo.** This was important to ensure continuity of contact with counterparts, access capabilities and qualified human resources, and facilitate regular interaction with the Ministry of Cities.
- **A clear vision for innovation by Brazil.** Brazil had clear demands for Cities Alliance support for its policies, programmes and projects, helping Cities Alliance achieve concrete results with its strategic support.
- **Institutional learning by the Cities Alliance.** Continued collaboration with Brazilian counterparts led the Cities Alliance to embark on a process of institutional learning and perfecting operations and tools.
- **Institutions and policies can achieve scale.** With very few exceptions at local level, there were no large scale slum upgrading and social housing interventions without institutions and national policies in place to drive them. This lesson possibly contributed to creating the Country Programme strategy, in which support to local governments was necessarily coupled with an effort to strengthen institutions and to design policies with a national coverage.
- **Dissemination is not the same as knowledge transfer.** Methodologies developed in Brazil were effectively adapted to the Mozambican context in Maputo, and, to a lesser extent, Durban. In both cases, there was specific technical and financial support for knowledge transfer.
- **International dissemination and dialogue about national policies are fundamental.** lessons learned became more productive when focused on fewer specific themes and when equally specific products were expected because of dissemination, as in the case of the comparative analyses resulting from the Sector Dialogues between Brazil and the European Union.

In the future, Cities Alliance can help strengthen Brazil's international interaction, continue the dissemination of the Brazilian experience, and fuel the already growing presence and operation of Cities Alliance members in Brazil.

# COUNTRY LEVEL

The main vehicle for Cities Alliance activities at the country level is the Country Programme. In 2016 Country Programmes in Ethiopia, Ghana, Mozambique, and Uganda provided the partnership foundation for our Future Cities Africa initiative, which helped cities in those four countries include resilience into their planning. Cities Alliance also wrapped up oversight of the Bill & Melinda Gates Foundation portfolio, which it had been managing since 2013.

## Country Programmes

A Cities Alliance Country Programme is a longer-term, programmatic approach to addressing the specific urban development needs of a selected country, in the context of rapid urban growth and the growth of urban poverty. It also promotes the development of inclusive cities. Country Programmes target national government, local governments and communities by developing two main components:

- A framework to enhance cooperation among national and local governments, urban poor communities, Cities Alliance members, investors and other partners; and
- Funding to complement Cities Alliance member and partner activities by filling action or knowledge gaps.

In 2016, Cities Alliance had active Country Programmes in Burkina Faso, Ghana, Liberia, Mozambique, Tunisia, Uganda and Vietnam.

## COUNTRY PROGRAMME EVALUATIONS

Two programme evaluations were completed in 2016. The first was a closure report for the five original Land, Services and Citizenship (LSC) Country Programmes, which were funded by the Bill & Melinda Gates Foundation. They included Burkina Faso, Ghana, Mozambique, Uganda and Vietnam. Three Country Programmes - Ghana, Uganda and Vietnam - were the subject of a more intensive independent evaluation, undertaken by Accenture in late 2016.

### Land, Services and Citizenship for the Urban Poor Programme Closure Report

In 2009, the Bill & Melinda Gates Foundation provided Cities Alliance with a \$15 million grant to fund a new, comprehensive and programmatic approach in five developing countries faced with rapid urban growth and poverty.

The resulting Land, Services and Citizenship programme became a flagship initiative of the Cities

The LSC programme spanned five countries, 53 cities or municipalities, and benefitted some 1.5 million slum dwellers (directly and indirectly).

Alliance partnership, and formed the basis for design and implementation of the Cities Alliance Country Programmes. It also transformed the Cities Alliance; the LSC approach was instrumental in encouraging Cities Alliance to change its entire business model in 2010.

### Overall Achievements

- **Leveraged funds.** The original \$15 million grant from the Gates Foundation has directly and indirectly leveraged over \$700 million in investments from major development organisations for cities and services, and just over \$9 million in co-financing from Country Programme partners.
- **Created coherence of effort.** The Country Programmes have mobilised wide Cities Alliance membership involvement, with 12 members strategically and operationally engaged through the course of the programme. The coherent institutional framework further facilitated the participation of more than 70 non-member partners - evidence that the LSC partnership methodology is successful in creating coherence of effort.
- **Training provided at all levels.** LSC developed training programmes for national government, city government and urban poor communities with potential for replication. 96 training workshops and 34 exchange missions have been organised and more than 3,600 people trained, including representatives from government ministries, local government officials and technical staff, CBOs, and community leaders.
- **Strategic planning.** LSC catalysed and consolidated municipal development plans or city development strategies in 34 cities.

“We realised we had to talk to the urban poor and include them in the planning. The urban poor had been neglected. We are now celebrating the urban poor.”

- Director of Policy, Planning, M & E, Ghanaian Ministry

- **Mobilised slum dwellers.** At least 386 community savings groups have been created and strengthened through the LSC programme. Slum dweller federations in Burkina Faso, Ghana, Uganda, and Vietnam are actively engaged in local-level dialogue with government and other stakeholders.
- **Created space for dialogue.** 43 Municipal Forums have been established.

#### Country-specific Achievements

- In **Uganda**, major infrastructure projects are underway in 14 secondary cities, all with direct support of the Country Programme.
- An advocacy campaign has raised the profile of urban issues in **Ghana** with an urban agenda openly championed by (then) President John Mahama.
- There are now active national urban fora in **Uganda, Ghana, Burkina Faso, Mozambique** and **Vietnam** formulating national responses to rapid urbanisation.
- Land for the urban poor has been released by the local governments working with the Cities Alliance in **Uganda**.

#### Accenture Evaluation of Country Programmes in Ghana, Uganda and Vietnam

Cities Alliance commissioned Accenture to produce a closure report evaluating the LSC programme in Ghana, Uganda and Vietnam. The evaluation was conducted over 16 weeks, from September 2016 to January 2017.

It found that the Country Programmes met their objectives. All three countries now have an inclusive National Urban Policy, and Uganda and Vietnam have developed effective Municipal Development Strategies to plan and prepare their cities for future urban development.

Citizen engagement has increased through savings groups, forums and profiling exercises, and the urban poor now have opportunities to be heard at the political level. Local capacity has also been

developed through partnering, knowledge sharing and exchange.

Other key findings include:

- Cities Alliance played a prominent role in encouraging a bottom-up approach to urban development, with its participatory approach helping enable grassroots community organisations to collaborate with national governments and international donors, empowering communities, and providing them with a voice in the urban agenda.
- In all countries, 100 per cent of the stakeholders acknowledged that Cities Alliance helped establish a platform for partnership. Cities Alliance also helped to strengthen existing in-country relationships by enabling collaborative and participatory ways of working.
- Collaboration with Cities Alliance has provided partner organisations and recipients with an existing platform and strong credential that they can use to secure further work, thereby creating a multiplier effect external to the Country Programmes themselves.

The evaluation found that Cities Alliance has a viable opportunity to advance its Country Programmes by leveraging the momentum generated, and lessons learned, during the first wave in Ghana, Uganda and Vietnam. Cities Alliance should continue to work through partnerships to strengthen the urban agenda. Moreover, it should continue with its Country Programmes to help improve programme management and sustainability in the countries in which it operates.

“We still need Cities Alliance because they opened our eyes and the ears of the government.”

- Grassroots Federation

## INCORPORATING A GENDER FOCUS INTO THE COUNTRY PROGRAMMES

When the first Country Programmes were conceptualised in 2009, Cities Alliance members had not yet incorporated gender as a corporate priority. That changed in 2013, when the Cities Alliance Consultative Group<sup>8</sup> made promoting gender equality a pillar of its Medium-Term Strategy for 2014-2017 and established gender as a cross-cutting theme in all its work.

To support that vision, the Bill & Melinda Gates Foundation contributed \$150,000 to fund a Gender Diagnosis of how Country Programmes can incorporate gender into their programming. Conducted by SKL International, the Gender Diagnosis evaluated the Burkina Faso, Ghana, Uganda, Mozambique, and Vietnam Country Programmes and their local partners to assess current practices and policies addressing gender equality.

Based on the gender diagnosis, comprehensive roadmaps and action plans are being produced for each Country Programme as well as for Cities Alliance's implementing partners so they can better integrate gender issues across all aspects of design, appraisal, implementation, monitoring and evaluation.

In addition, capacity building is taking place in each of the countries. So far, around 35 staff of partner ministries and cities in Uganda, Ghana and Vietnam have been trained on gender mainstreaming. SKL and Cities Alliance also held a gender-mainstreaming advisory session at Habitat III in Quito.

## BURKINA FASO COUNTRY PROGRAMME

The Burkina Faso Country Programme - *Programme-pays urbain du Burkina Faso* (PPUB) - is a partnership initiative undertaken by the Government of Burkina Faso and its support partners to align urban development efforts at the national, city and community levels. Burkina Faso is the first Cities Alliance Country Programme in francophone Africa. It aims to:

- Support the Government of Burkina Faso's efforts to implement national housing and urban development strategies;
- Build the capacity of cities to strategically manage urbanisation;
- Empower and strengthen community organisations to actively engage in city development and national policy debate; and
- Focus on primary cities (Ouagadougou and Bobo-Dioulasso) and secondary cities (Dori, Dedougou, and Tenkodogo).

### Activities in 2016

#### Second National Urban Forum

Burkina Faso held its second National Urban Forum (NUF) in Bobo-Dioulasso 10-11 November 2016, with over 600 participants. The NUF has considerable support; the national government has made the event a priority in its planning and budget.

The main theme of the 2016 Forum was rural-urban linkages, and recommendations included:

- Further fiscal and administrative decentralisation in favour of local governments;

Two thirds of the participants at Burkina Faso's 2nd National Urban Forum were women.

- A national capacity building programme to support urban planning and management;
- An integrated and participatory approach to urban development;
- Harmonisation of planning tools piloted in Tenkodogo; and
- Monitoring and evaluation mechanisms at the local level to follow up on the *Plan National de Développement Economique et Social - PNDES 2016-2020* (the national social and economic development policy).

#### Development of an urban database

A database of urban indicators has been developed through a three-phase process. In the first phase, a permanent framework for dialogue and coherence of effort between organisations producing urban data was established. Phase two involved the actual collection of data and development of the database, as well as training technical staff on how to use it. The final phase focused on continued dialogue and working with stakeholders to turn the database into a full-fledged national observatory that responds to the information needs of urban stakeholders.

#### Other activities

- A new project activity has been designed to develop an urban development framework within the context of the national social and economic development policy.

<sup>8</sup> The Cities Alliance Consultative Group was the precursor to the current Assembly.

- The Burkina Faso State of the Cities Report is in the final stages of drafting. The report will provide an understanding of the country's cities and inform the action plan for urban development.
- Planning tools have been piloted in Tenkodogo, including the *Programme Communal de Développement* and the *Programme d'Occupation des Sols*.
- Following the May 2016 municipal elections, new local officials have been trained on the activities of the Country Programme, including participatory urban planning.
- A mid-line study was carried out by UrbaConsulting to provide data for the assessment of the Country Programme outcomes. Preliminary findings show some improvements, especially in Bissighin, where some infrastructure projects had already been completed.



Cities Alliance Lead Urban Specialist Serge Allou addresses the 2nd Burkina Faso National Urban Forum in November 2016. Photo: Michaela Solnická Volná

### Infrastructure projects

Infrastructure projects identified and prioritised through a participatory approach involving the communities are being implemented in five cities. They are:

CITY	TYPE OF PROJECT	DESCRIPTION
Bissighin	Priority infrastructure	<ul style="list-style-type: none"> <li>• Construction of a community centre to serve as office for the neighbourhood development committee and equipment storage for community projects</li> <li>• Improved storm water drainage</li> <li>• Construction works on the main access road and the roads on Bissighin's steep slopes</li> <li>• Renovation of the town health and social centre</li> </ul>
Bissighin	Small community upgrading projects	<ul style="list-style-type: none"> <li>• Construction of public toilets in Bissighin market</li> <li>• Construction of unit for photovoltaic energy systems installation and training of youth and women in solar energy systems</li> <li>• Training youth and women in plumbing</li> <li>• Collecting, sorting and recycling household waste</li> </ul>
Dori	Priority infrastructure	<ul style="list-style-type: none"> <li>• The construction of a community market in Yarala</li> <li>• Expansion of the two main roads in Yarala and Petit Paris neighbourhoods</li> <li>• Construction of three water fountains</li> <li>• Construction of a multipurpose stage</li> </ul>
Tenkodogo	Priority infrastructure	<ul style="list-style-type: none"> <li>• Expansion of the two main roads in Sector 3 of the Municipality</li> <li>• Construction of two boreholes</li> </ul>
Dédougou	Priority infrastructure	<ul style="list-style-type: none"> <li>• Construction of a market facility to benefit women of the Madagascar informal settlement in Sector 3 of the Municipality.</li> </ul>
Bobo-Dioulasso	Priority infrastructure	<ul style="list-style-type: none"> <li>• Construction of waterpoints and expansion of the main road for inhabitants of KOA informal settlement.</li> </ul>

## GHANA COUNTRY PROGRAMME

The Cities Alliance Ghana Country Programme started in 2011 with the objectives of supporting the capacity and resources available to the urban poor, strengthening the capacities of local governments to inclusively plan and manage urban growth, and supporting national and local policy dialogue to promote pro-poor urban systemic change.

Programme implementation has focused on the Greater Accra Metropolitan Area (GAMA), with some activities having nationwide outreach. The main themes of the programme are urban policy, participatory urban governance, capacity development, and urban infrastructure.

Activities in 2016 included a National Urban Forum, support for Ghana's Habitat III discussion process, and training for local governments.

### National Urban Forum

In 2016 the Urban Development Unit (UDU), which is located within the Ministry of Local Government and Rural Development (MLGRD), was very active in urban policy dialogues on international platforms, providing good visibility for Ghana.

The UDU has successfully convened seven Ghana National Urban Forums, which have served as platforms for policy dialogues among key actors actively engaged in the country's urban development process.

The 2016 National Urban Forum was held in the secondary city of Sunyani, capital of the Brong Ahafo Region. More than 150 participants from district, regional and national level, governmental as well as civil society, academia, private sector and international cooperation partners attended the event. The topic of 2016 was "Localising the New Urban Agenda: A Catalyst for Financing Urban Infrastructure for Equitable Economic Growth in Ghana," in line with actual discussions and elaborations of the New Urban Agenda.

One follow up action was to agree on clearly defined rules and regulations (Terms of References or Operational Framework) for the Ghana Urban Forum to secure its independence and sustainability.

### Capacity Building and Training

As part of capacity building, an Organisation Development process was conducted in 2016 with 21 officers from the MLGRD, whose work directly influences the UDU.

Three different training sessions were held for zonal and unit committee members in 11 municipalities, with the last taking place in 2016. This training involved 300 committee members, representatives of local community, and the zonal council officers of the Metropolitan, Municipal and District Assemblies (MMDAs).

The training resulted in a commitment by Municipal Assemblies to increase grassroots participation

## The Community Investment Fund in Ghana will prioritise women-led projects.

in decision-making processes through organised stakeholder fora and meetings. They also committed to support the monitoring teams that were established following the training programmes.

### New Documentaries Launched

A robust national urban advocacy campaign with documentaries, radio, and social media was delivered from the outset of the programme. The campaign helped place Ghana's urbanisation into the spotlight of policy making and change the mindset and behaviour of urban dwellers towards their environment.

The "Fixing the Urban Mess" documentary series was an exemplary product of this campaign. Following its success, a second round of 14 TV documentaries entitled Urban Diaries was launched in 2016, further reinforcing the collective understanding of urban issues.

### A National Housing and Urban Advocacy Network (HUDNET)

The HUDNET was launched as a national advocacy platform on housing and urban development. It brings together various groups to advance the cause of sustainable, equitable urban development. The HUDNET has been used to lobby key decision makers at both the municipal and national levels to prioritise budgeting and resource allocation for pro-poor housing development. The aim is that, beginning in 2017, Ghana's national budgets will address needs of the urban poor with an increased allocation for the Ministry of Water Resources, Works and Housing.

In August 2016, HUDNET played an important role in reviewing the National Slum Upgrading Policy and Strategy, which has been adopted by both MLGRD and Ministry of Works and Housing. Following sustained engagement with all political parties prior to the 2016 election, the newly established Ministry for Inner Cities is an important initiative that aims to address the needs of slums and informal settlements. The coming months will reveal the extent of the new government's commitment to resourcing of this new Ministry.

### An Operational Manual for a Community Investment Fund

An operational manual for a Community Investment Fund was developed and presented to the MLGRD. The Fund is expected to complement efforts on slum upgrading in low-income communities, especially in GAMA. It was inaugurated with \$300,000 in seed funding for community groups. Urban poor communities and informal traders can take advantage of this fund to promote their entrepreneurial activities and participatory social development of communities.

## LIBERIA COUNTRY PROGRAMME

In 2015, Cities Alliance launched a new Liberia Country Programme to 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 social and economic recovery from the 2014-15 Ebola Virus Disease outbreak. The Liberia Country Programme is largely financed by a five-year grant of £3.9 million from UK charity Comic Relief and the Big Lottery Fund.

The Country Programme aims to improve the lives of at least 400,000 slum dwellers and working poor by empowering local people and enabling them to create lasting change in their communities in partnership with government and the private sector. It will mobilise urban poor groups and equip them to improve their own lives. Access to community grants will support slum upgrading including improved access to water and sanitation. Investments in citywide slum upgrading and incremental housing policy frameworks will transform the living conditions of urban poor households.

The first year of the Liberia Country Programme focused heavily on building an urban poor federation in Monrovia, which is crucial its implementation, ownership and sustainability. A nascent slum dweller federation has been established and is developing closer ties with city officials, who are beginning to depend on data collected by slum dwellers to make cases for issues in the city. City officials are accepting the federation as a medium for discussions between slum settlements and city governments, and township commissioners and the profiling team are working together to organise town hall meetings with community leaders.

The Liberia Country Programme also supported the design of a \$1 million Community Upgrading Fund (CUF) that will support at least 100 community projects between \$5,000-15,000 each of which will cater to 400,000 slum dwellers.

In 2016, the Liberia Country Programme directly benefited the living and working lives of over 2,000 urban poor in greater Monrovia by laying the ground for a more inclusive city through a dynamic partnership with local and national government.

### Launch of the Programme's Community Activities

The Country Programme's community component kicked off in 2016. SDI and WIEGO are the grant holders, with YMCA of Liberia, community savings groups, the Durban-based StreetNet International, and the National Association of Petty Traders of Liberia (NAPETUL) as implementing partners.

The community component began with a *learning-by-doing* knowledge exchange organised by SDI affiliates, followed by three key activities: the enumeration of West Point, Liberia's largest slum precariously situated on a narrow spur into the Atlantic Ocean; citywide profiling of informal settlements in Monrovia and other cities and townships in the Greater Monrovia Area; and the mobilisation and organisation of communities into savings groups.

### Knowledge exchange

A team of seven community members and NGO support staff with experience in community mobilisation, citywide profiling, and enumeration from SDI affiliates from Kenya, Ghana, Sierra Leone, and South Africa visited Liberia. They worked hands-on with emerging federation members in Liberia



Cities Alliance announced a Clinton Global Initiative Commitment to Action to achieve transformative change in Liberia during the CGI Annual Meeting 19-21 September in New York. Photo: Clinton Global Initiative

through a series of practical exercises, known as learning-by-doing, aimed at enabling the Liberian team to further develop their skills to mobilise the urban poor around savings.

This mobilisation should ultimately lead to the formation of a national federation which can enable communities to collect and manage their own data. The learning exchange provided space for community members to deepen their understanding of SDI's organising processes and the federation's role in the Country Programme.

One of the main objectives of this exchange was to transfer knowledge from more experienced federations to the Liberian team around community-led data collection. During the exchange, 50 federation members were trained in profiling, mapping and enumerations, and they now make up the core federation data team. Thirty people (28 residents of West Point and two YMCA volunteers) were trained in basic community enumeration skills, while 20 others from five informal settlements acquired practical knowledge in citywide profiling and community mobilisation over the course of the week-long exchange.

Enumeration trainees learned how to digitally code and map structures and households, measure the size of houses using various techniques, administer enumeration questionnaires, and produce GIS maps of the data they collected. As for profiling trainees, they mastered the use of GPS to capture boundary and service points of slum settlements; categorising houses as permanent, temporary, and different usage; counting settlement structures; conducting focus group discussions; and forming community mobilisation and saving groups.

### Enumeration of West Point

The enumeration of West Point, Liberia's largest slum, began in July 2016. Though challenging, the intervention recorded several successes:

- Enumerators have completed the mapping/coding of 2,265 structures; 1,758 are classified as permanent and 507 as temporary.

- 1,619 of the total structures are residential quarters, while 85 units are solely used as business centres.
- 388 houses in West Point serve a dual purpose for both residential and business needs.
- 173 structures that are used for other purposes (religious, storage, social centres, service points, etc.).
- Household interviews have been completed in 6 of the 7 zones of West Point. The process continues in the remaining zone (Zone 405).
- A complete GIS structure map of West Point has been digitised/produced.
- Digitalisation of GIS household map of West Point is nearing completion.
- A registry of all structures and households in West Point is nearing completion.
- Data editing and cleaning is ongoing.

### Citywide profiling and mapping

In July 2016, profiling of informal settlements began in the Samuel K. Doe community of Garwolan Township, in the Greater Monrovia area. Since then, communities have been profiled and mapped in Monrovia, Congo Town, and New Kru Town Borough.

- Eight communities (Samuel K. Doe Community, Little White Chapel, Vicky Spot, Zinc Camp, Zondo Town, King Peter Town, Gbandi Town, and Blamo Town) have been profiled and mapped in Garwolan Township, Bushrod Island.
- Two communities (Buzzy Quarter and PUC community) in central Monrovia have been profiled and mapped.
- One settlement (Peace Island, 540 community) in Congo Town was profiled and mapped.
- 6 communities (Zuma Town, Zinc Camp, Whea Town, Crab Hole, Island Clinic and Fundaye) in New Kru Town Borough were profiled and mapped.
- 10 community boundary maps were produced.



SDI affiliates trained Liberian communities in enumeration and mapping through SDI's global "Know Your City" campaign, which promotes grassroots data collection and partnerships between communities and local governments, and has been supported by Cities Alliance. Photo: Slum Dwellers International



Mapping West Point, Liberia's largest slum. Photo: Slum Dwellers International



Information is Power: As part of the enumeration process, trained community members go door-to-door collecting data and household information on a settlement. The community can then use this data to negotiate with local government. Photo: Slum Dwellers International

### Encouraging a culture of savings

One of the key activities of the emerging federation in Liberia is the mobilisation and organisation of communities into savings groups. These savings groups form the basis for organising and federating the urban poor communities and are vital to the long-term survival and sustainability of an urban poor movement.

Activities began in July 2016 with a two-prong strategy: Maintaining and reaching out to savings groups affiliated with SDI/YMCA initiatives that had become dormant prior to the Country Programme coming into full swing; and mobilising new groups in communities where profiling and mapping was taking place. In 2016, the mobilisation:

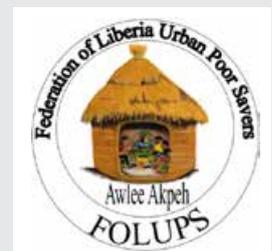
- Created 33 new groups in five communities;
- Reactivated 15 previously dormant groups;
- Verified 48 old and new savings groups in 6 communities; and
- Verified and confirmed the membership of 1,674 savers (calculation is based on records that were submitted at the reporting time).

Residents in other communities have shown a strong interest in organising saving groups in their neighbourhoods, and there is a team in place to follow up on this interest and sustain the gains made while mobilising.

## CREATING AN IDENTITY: INTRODUCING FOLUPS

On its path towards becoming a fully functional and recognised federation, the Liberia team has put into place a fundamental requirement: An established identity. For an emerging federation, developing an identity with a name and logo is a milestone achievement.

From September to December 2016, leaders worked together during their weekly meetings to craft a name and logo that would be embraced by the savers. As of January 2017, organised savings groups in Liberia will be known as: "Federation of Liberia Urban Poor Savers" (FOLUPS). All records from this point will bear the FOLUPS logo.



## TETEE'S STORY: HOW COMMUNITY PROFILING CHANGED MY LIFE

Ms. Tete Nyewan did not realise her own potential until she was recruited as a saver under the SDI initiative in Liberia. Here is her story, as told to a team of photo journalists from Comic Relief in October 2016:

"Before I joined the profiling team, the only information I had about my community was what I heard from people, what I saw with my eyes, and sometimes what was on the news. Born and raised in West Point, I did not know West Point was a diverse community until I started collecting information about my community. Being just a very ordinary resident, participation in community discussion was out of the question.

But profiling turned everything around – my status changed from being a subject in West Point to a citizen. Because of the vast knowledge I had about West Point as compared to some political and community leaders of West Point, I was given a space to do a presentation for West Point which made me very proud.

Not only that – I have come to be recognised by people in other slum communities that I have profiled. Right now, I am an integral part of West Point's knowledge base, called upon to talk to international guests who come to West Point.

Personally, I have become aware of the many problems my community faces, and that my participation in forums about West Point is based on factual information. For my community, I think we have the opportunity to use the information we have collected to plan the upgrading of our community."

To maintain the momentum within the emerging federation, saving group leaders meet weekly on a rotational basis and at monthly local exchanges. These meetings create a platform for discussing the growth of the federations and provide space for developing joint strategic plans for implementing work plans. They also help reinforce the viability of the process within communities.

As part of the federation-building, collection and management of data on group membership and daily savings is equally prioritised and meticulously handled. With support from the programme, three types of savings and membership records were produced to keep groups' records intact:

- 500 copies of member savings books have been printed and issued to former savers whose savings books were either destroyed or missing, so that they have current information about their personal savings in the group.
- 94 collector's books were printed and issued to savings groups to ensure that savers' records are regularly updated and correspond with records in individual books.
- 94 copies of treasurer's books were printed and issued to savings groups so that the treasurers can also have a record of the total savings they receive from collectors.

FIGURE 2: NUMBER OF PEOPLE WHO HAVE BENEFITED FROM THE LIBERIA COUNTRY PROGRAMME IN 2016\*

TYPE OF PEOPLE BENEFITING	NARRATIVE DESCRIPTION	PEOPLE SUPPORTED TO DATE		
		Total	Male	Female
People directly benefiting (People who can be counted and have an intensive, regular involvement with Programme activities. An example: slum dwellers using a toilet financed by the CUF)	Slum dweller leaders with capacity to profile and map informal settlements	50	30	20
	Slum dweller association	1,691	170	1,521
	Total number of people directly benefiting	1,741	200	1,541

\* These figures were calculated using the Cities Alliance M&E beneficiary tracking for 2016. The number of slum dweller leaders with the capacity to profile and map informal settlements is calculated by the number of community members trained in data collection methods that make up the federation data team. Slum dweller association is calculated by the number of active members of savings groups, collected and verified through savings group collection books and meeting records.

## Improving the Working Conditions of Street Vendors in Partnership with City Government (WIEGO)

The informal economy makes up over 80 per cent of greater Monrovia's economic activity, with street vendors the largest group of informal workers. The Liberia Country Programme has had tremendous results in this area in 2016.

For the first time, city government planning staff, police and street vendors have established a productive partnership around trading in the city, leading to reduced harassment and stronger livelihoods for around 500 street vendors. Prior to the Programme,

the relationship was characterised by intimidation, distrust and often physical violence.

The National Petty Trader Union of Liberia (NAPETUL) has secured a formal agreement from the Liberia Marketing Association (LMA) to work together in relation to authorities in Monrovia and Paynesville. Street vendors are actively working with the Director of City Planning for Monrovia City Corporation and the Deputy of the City Police Commissioner to find common solutions for public space used for vending. YMCA Liberia and NAPETUL leaders have been trained in negotiation skills, building a relationship of solidarity between petty traders and slum dwellers.

FIGURE 3: NUMBER OF MONROVIA STREET VENDORS WHO BENEFITED FROM THE COUNTRY PROGRAMME IN 2016\*:

TYPE OF PEOPLE BENEFITING	NARRATIVE DESCRIPTION	PEOPLE SUPPORTED THIS PERIOD		
		Total	Male	Female
People directly benefiting <i>(People who can be counted and have an intensive and regular involvement with Programme activities. An example: slum dwellers using a toilet financed by the CUF)</i>	Street vendors and informal trader members of NAPETUL in Montserrado County with secure trading sites as result of negotiated agreement with MCC or PCC	500	200	300
	Total number of people directly benefiting	500	200	300

\*The 500 vendors with secure trading sites are those who have paid for the 500 licenses that Monrovia City Corporation has issued, protecting them from harassment and allowing them to grow their business safely. They have also paid for the official jackets issued by NAPETUL to identify and organise street vendors.

## THE TRANSFORMATIVE ROLE OF CITY-COMMUNITY PARTNERSHIPS IN THE FIGHT AGAINST EBOLA AND BEYOND IN GREATER MONROVIA, LIBERIA

The Cities Alliance partnership commissioned *The Transformative Role of City-Community Partnerships in the Fight Against Ebola and Beyond in Greater Monrovia*, Liberia to document a significant knowledge gap on how the partnerships between communities and local government contributed to the eradication of Ebola in Monrovia.

The Cities Alliance was introduced to Monrovia when it was contracted to act as the substantive intermediary between the Monrovia City Council and the Bill & Melinda Gates Foundation, which financed the Improved Primary Waste Collection in Poor Communities (IMPAC) project. This initiative eventually laid the foundation for the Cities Alliance Liberia Country Programme.

What began as an oversight function of a well-designed, important project was transformed by the impact of the Ebola Virus Disease, not only in Monrovia, but throughout Liberia, Sierra Leone, and Guinea in the largest and most devastating Ebola outbreak in modern history, claiming over 11,000 lives. Ebola also provided a huge setback to the Liberian economy, which was finally beginning to emerge from a crippling civil war.

As this report shows, Liberia's experience with Ebola provides important insights as to how local and collaborative approaches can succeed where traditional responses are shown to be hopelessly inadequate.

Poorer neighbourhoods in Liberia's capital were linked to more intense, widespread transmission of Ebola, compared to more well-off parts of Monrovia, a pattern seen with other infectious diseases. It has been estimated that some 75 percent of victims in Liberia were women and girls because of their role as primary caregivers.

Liberia's strategy shifted in 2015 from a top-down approach resulting in the forced quarantine of slum communities in Monrovia to a decentralised response engaging urban poor communities and local governments in partnership. This move played a key role in turning the trajectory on new Ebola infections in the city. Now, Liberia's response is a success story, serving as a vital lesson for African cities undergoing rapid urban growth.

The report found that in Liberia's urban slums, strong community networks were enlisted to help battle the disease. These networks were functional—and indeed, transformational—despite the infrastructure problems. This in turn facilitated government efforts to engage communities to help overcome the crisis.



## MOZAMBIQUE COUNTRY PROGRAMME

The Mozambique Country Programme was developed to contribute to building the capacity of local communities, local government and national government. Another objective was to promote new approaches to the urban agenda; in Mozambique, the developmental paradigm is largely rural, and the national government has not adequately prioritised urban planning and governance.

The Country Programme is led by GIZ, with support and active collaboration from implementing partners including the World Bank, UN-Habitat, City of Maputo, City of Tete, City of Nampula, City of Nacalala-Velha.

Non-implementing leveraging members who provide active project support include Italian Cooperation, the Brazilian Cooperation Agency, the World Bank, SECO (through the Programme for Municipal Development in North and North-Central Mozambique, or PRODEM), DFID (through partnership on Gender), and the French Development Agency (through a partnership for the Mozambique Urban Festival).

The Country Programme is in its final stages, and several main projects closed in 2016. The current programme will formally complete in 2017.

### Upgrading the Chamanculo-C settlement

A slum upgrading initiative in the Chamanculo-C neighbourhood of Maputo - a key part of the Mozambique Country Programme - formally closed on 31 November 2016.

The Chamanculo-C initiative has been a significant activity for Cities Alliance; it piloted an integrated, participatory slum upgrading approach

For every dollar the four original partners invested in Chamanculo-C, \$2.2 was raised as leverage.

developed in Bahia, Brazil with the support of the Italian Government, World Bank, AVSI and Cities Alliance, and adapted the approach to the Mozambican context. It was implemented by the Municipality of Maputo.

The Chamanculo-C activity has successfully leveraged funding for additional projects. Through an agreement between the City of Maputo, Italian Cooperation, the World Bank and Cities Alliance, the activity has leveraged an additional \$4.4 million from 32 members and partners.

Activities in 2016 included:

- GIZ Mozambique funded the publication of the *in-situ* slum upgrading methodology and its application to the Mozambican context;
- Nine community projects were awarded in Chamanculo-C;
- 50 families were resettled in Chiango;
- A Participatory Evaluation Report was delivered in April 2016;
- A drainage plan for Chamanculo-C was finalised and delivered in September 2016;
- A final partner workshop was held in Chamanculo-C in November 2016; and
- Infrastructure works were finalised in November 2016.

The Mozambique Country Programme activities and investments have leveraged an additional \$9 million in co-funding from partners such as the Governments of Italy and Brazil, GIZ, the World Bank, and local partners.





The Chamanculo-C upgrading project formally closed in November 2016. Photo: Cities Alliance

## National Institute of Physical and Environmental Planning

A new curriculum and course framework has been developed for the Medium Level Institute for Physical and Environmental Planning (IMPFA), making the training of municipal planning technicians much easier, especially for municipal planners working in secondary cities. The new curriculum was developed through a consultative approach involving cross-studies and comparative analysis, and it is pending adoption by the government.

The activity was implemented by the World Bank and closed on 31 November 2016. Key activities during the year included:

- Development of a plan for competency-based curriculum for IMPFA training of mid-level urban planning technicians with a detailed work plan;
- Finalisation of a full set of training materials, lesson plans and supporting materials consisting of 18 modules;
- Development of approved competency-based curriculum and detailed course manuals for each training module;
- Finalisation of competency evaluation manuals;
- Training course for 14 technicians of the District and Municipal Services of Mozambique piloted; and
- Finalisation of an operational management plan for the modular training course that provides educational orientation for the IMPFA.

## Mozambique's First National Urban Forum

In early October 2016, Mozambique held its first National Urban Forum in Maputo. More than 300 representatives participated, including 41 of Mozambique's 53 mayors; international development partners; and representatives from the Ministries of Finance, State Administration and Civil Service, Land, Environment and Rural Development, and Public

Works, Housing and Water Resources. Championed by the First Lady of Mozambique Ms. Isaura Nyusi, the Forum was an effective platform for participatory urban policy dialogue and is expected to continue.

## Second Urban Festival

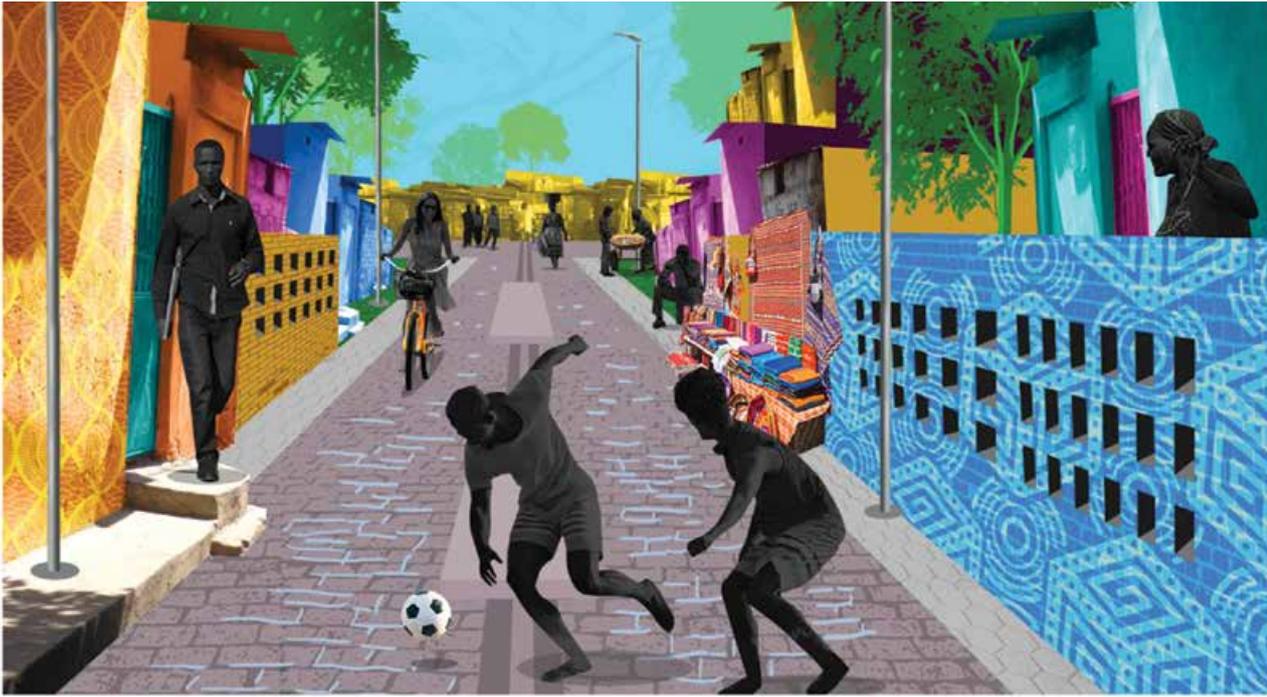
Following on the success of the National Urban Forum, the second Urban Festival was held on 4-5 November in Maputo through a Cities Alliance grant to GIZ. The event raised the profile of stakeholders, actors and associations of civil society in Mozambique that work on urban citizenship and discuss the outcomes of the National Urban Forum and the Habitat III Conference (both held in October 2016). Representatives of 30 Civil Society Organisations (CSOs) participated in the festival.

It also had dedicated spaces for policy discussion, including gender-focused associations on the development of a national urban agenda for Mozambique; an art exhibition on the theme *Moçambique 2030: Urban Imaginaries*; projection of the movie *"Maputo: Ethnography of a Divided City"*; and a fair dedicated to urban citizenship.

The festival was held in partnership with the German Cooperation, UKAid, Dialogo (DFID), French Development Agency, UN-Habitat, Concern Universal and CESC (centro de Aprendizagem e Cooperação da Sociedade Civil).

## South-South Learning Exchange

In the run-up to the Future Cities Africa workshop in Ghana in September, a delegation from Mozambique travelled to Ghana on a South-South Learning Exchange between civil society, local and national governments. This activity was supported by Cities Alliance under its grant to GIZ. Mozambican representatives met their counterparts in Ghana and discussed urbanisation issues and how to face its challenges in Africa. A brief overview of the exchange was recorded by Dr. Dana de La Fontaine (GIZ



**IMAGINÁRIO URBANO**  
MOÇAMBIQUE 2030

**Cities Alliance**  
Cities Without Slums

cooperación  
alemana  
GIZ

**giz** Deutsche Gesellschaft  
für Internationale  
Zusammenarbeit (GIZ) GmbH

Mozambique) and may be accessed at <http://www.urbanet.info/shaping-africas-urban-development/>.

### Strengthening Local Capacity with the Urban Planning Support Unit

The Country Programme aimed to strengthen the planning capacities of local government officials and technicians of Nampula, Nacala and Tete municipalities to promote effective planning of the Nampula-Nacala-Tete urban corridor. This included an Urban Planning Support Unit to provide training and support for local governments.

The project closed in 2016. Activities over the year included:

- Technicians and elected representatives of the cities of Nacala, Nampula and Tete were trained on urban planning and urban resilience. In total, 100 technicians from municipalities, academia, provincial departments, local communities and civil society were trained;
- The Urban Planning Support unit has engaged various stakeholders representing the public and private sectors and set up an ongoing platform that meets three times a year;
- The unit is strengthened with qualified, readily available technical capacities to provide support to the municipalities of Nampula, Nacala and Tete; and
- A City Development Strategy was developed for Nampula. It follows the latest methodology (CDS 2.0) developed by Cities Alliance under the Future Cities Africa Programme.

### TUNISIA COUNTRY PROGRAMME

The Tunisia Country Programme is a \$2.5 million, three-year partnership initiative that aims to foster strategic city planning, bring greater coherence among member and partner activities, and demonstrate the value of participatory local governance in Tunisia. It is the Cities Alliance's first Country Programme in the Middle East-North Africa region.

It is structured around three main pillars:

1. **Scaling up strategic city planning.** The Country Programme will assist eight secondary cities (Beja, Gabes, Jendouba, Kairouan, Medenine, Monastir, Sidi Bouzid and Tataouine) to engage in city development strategies with the goal of strengthening and disseminating strategic urban planning in Tunisia. The National Federation of Tunisian Cities, working closely with the Ministry of Local Affairs and Environment, will provide a platform for consultation so cities can exchange views, learn from each other, and inform the national urban debate.
2. **Setting up participatory approaches to city management.** Local governments are required to produce five-year municipal investment plans and provide evidence that they are building transparent, participatory mechanisms to receive funding for key infrastructure projects. There is a national programme to help, and the Country Programme will seek to bring additional resources to streamline implementation.
3. **Informing the national urban debate.** The Country Programme aims to help Tunisia deal with key issues

related to cities that it will likely confront in the near future, building on the experience of national and international partners. These issues include reflection on topics such as regionalisation and the role of cities, intercity collaborative governance, gender equality in city development and city management, and the elaboration of a national urban policy.

## Activities in 2016

A major achievement of the Country Programme in 2016 was to engage a wide array of Tunisian and international partners to join forces and coordinate efforts towards advancing the decentralisation and city development agendas in the country.

In March, a Country Programme Framework Document was finalised, providing the foundation for implementation. Discussions are also underway with UN-Habitat's Regional Office for the Arab States and the Association of Tunisian Urban Planners to finalise a project proposal in support of the Ministry of Equipment to engage jointly in elaborating a National Urban Policy.

To support the partners in the programme, Cities Alliance hired a country-based Technical Advisor, Kamel Ben Ameer, in September 2016.

### Grant agreements signed in 2016

- With UNDP, in partnership with GIZ, CILG-VNGi and Medcities in support of the National Federation of Tunisian Cities and the eight cities to elaborate City Development Strategies. The project is beginning with setup of municipal teams at the city level, the finalisation of a common methodology, and design of a training agenda. The total grant budget is \$1,345,000 with \$850,000 from Cities Alliance.
- With the World Bank, to support the Ministry of Investment Development and International Cooperation in carrying out an action-study on

the role cities play in the economic development of lagging regions. A consultancy firm was recruited to provide Technical Assistance support to the Directorate General of Regional Development of the Ministry, inform the International Conference Tunisia 2020 in November, and review former interventions and spatial development constraints in three select governorates to draw recommendations for action. The total grant budget is \$300,000 with \$200,000 from Cities Alliance.

### Programme Steering Committee

A Programme Steering Committee was established consisting of 12 members representing public institutions, international partners, associations, and civil society. The committee met for the first time on 9 December 2016 to discuss the direction of the programme as a partnership, agree on a Terms of Reference for its role and mandate, and start design of a Monitoring and Evaluation framework.

## UGANDA COUNTRY PROGRAMME

In 2016 the Uganda Country Programme focused mainly on drafting Municipal Development Strategies (MDS) for 14 secondary cities in Uganda. The process enhanced the institutional and human capacity development of several key partners: The Ministry of Land, Housing and Urban Development (MLHUD) as the oversight agency; local governments; and Municipal Development Forums (MDF) as the main implementing agencies of the MDS. An MDS training manual was produced to streamline this process.

The 14 municipal strategies were finalised in 2016 and are being validated by the municipalities. The Ministry and the local governments are also engaged in an extensive dissemination campaign to publicise the strategies and share the knowledge with stakeholders.



The Tunisia Country Programme Steering Committee held its first meeting in Tunis, 9 December 2016, with Lead Urban Specialist Serge Allou and Urban Specialist Lisa Reudenbach representing the Secretariat. Photo: Cities Alliance

The MDS process linked in with the Future Cities Africa programme, which was also active in Uganda. Through the FCA programme, the 14 municipalities developing strategies carried out Rapid Cities Resilience Assessments (RCRAs), which enhanced their resilience perspective.

The favourable partnership dynamics of the Uganda Country Programme provided a springboard for other Cities Alliance activities in the country, such as a diagnosis on equitable economic growth (carried out by IPE TripleLine Consulting with Mbale as one of the case cities); and a study on the informal sector in Uganda, carried out by the University of Westminster within the framework of the FCA initiative.

## Evaluating Outcomes

An end-line study was carried out by StatWorld Consult Uganda to provide data for the evaluation of the Country Programme's outcomes. Findings indicated that targets have been mostly exceeded, and the levels of governance, citizen engagement and provision of basic services to the urban poor have all improved during the implementation of the Country Programme. Outcomes include:

- The Uganda National Urban Policy has been drafted through participatory research and a consultative process, and submitted to the National Assembly for adoption.
- The Uganda National Urban Forum has been established and institutionalised as an all-inclusive platform for urban policy dialogue.
- Municipal Development Forums and settlement level forums have been established and widely adopted as participatory governance mechanisms in the target 14 secondary cities and Kampala, and have been identified as statutory urban governance instruments in the draft National Urban Policy.

- At least 318 community savings groups and 13,458 savers have been mobilised for local revenue generation.
- 123 community upgrading infrastructure projects have been implemented using the Community Upgrading Fund participatory approach in five municipalities – Arua, Jinja, Kabale, Mbale and Mbarara. Projects included WASH facilities, roadworks, electricity and schools.
- Enumeration/mapping and profiling of settlements of the urban poor has been carried out in all 14 target municipalities of the programme through a participatory learning-by-doing approach, and the information generated has been used by communities to reach out to municipal authorities on planning and development.
- The institutional capacities of national government agencies, local governments, community leaders and related institutions active in urban development have been strengthened.

Gender has been an important aspect of the Country Programme. In common with international experience, saving groups are invariably dominated and led by women. Municipal Development Forums, training workshops and other project activities in Uganda have all targeted balanced gender representation.

## VIETNAM COUNTRY PROGRAMME

Launched in 2010 as one of the first Country Programmes, the Vietnam programme formally closed in September 2016. It has successfully supported the Government of Vietnam in reforming urban planning and enhancing coherence of efforts towards sustainable urban development.



The Uganda Country Programme served as the platform for the Future Cities Africa programme, which helped 14 municipalities developing strategies also carried out Rapid Cities Resilience Assessments (RCRAs), which enhanced their resilience perspective. Photo: Soroti MDF

The Country Programme activities included the Vietnam Urbanisation Review; operationalising of National Urban Upgrading Programme (NUUP); expanding the community development fund (CDF) approach for infrastructure and housing improvement in low-income communities to 20 small and medium cities; converging citywide slum upgrading with overall city development efforts in two of the CDF cities; and the foundation phase of the National Urban Development Strategy (NUDS).

## Activities in 2016

### The CDS process spawns new community projects

The CDS supported by Cities Alliance in Tam Ky has led to the development of a community tourism project in Tam Thanh commune, with a focus on bringing art in the community living environment. The project is funded by the private sector, which will cover artwork, communications and marketing; the city budget for new construction; and the community for upgrading and business development using the CDF approach. The seed fund for CDF in Tam Ky grew to \$15,000, including contribution from the private sector.

City-to-city exchanges for community representatives and city officials are being organised between Tam Ky, Quy Nhon and Can Tho. The exchanges will focus on shared learning in community savings, community-based tourism promotion, and organisation of cooperatives. All three towns participated in the Cities Alliance-supported CDF and CDS projects.

### Asian Development Bank to fund Phase II of the National Urban Development Strategy

Cities Alliance supported the Ministry of Construction in the foundation phase of developing Vietnam's National Urban Development Strategy, which aims to contribute towards major advances in the equity and effectiveness of urban development, reduce urban poverty, and improve living conditions for all urban residents. Cities Alliance also funded the outline structure and content for the strategy's subsequent formulation and implementation.

Building on this foundation, the Asian Development Bank signed a Memorandum of Cooperation with the Government of Vietnam for Technical Assistance to implement the next phase of developing the national urban development strategy. The Asian Development Bank has allocated \$ 2.5 million to the project.

### Gender workshop for Vietnam Country Programme partners

In keeping with the partnership's commitment to integrating gender into all its work, Cities Alliance organised a one-day gender workshop for Cities Alliance partners in Vietnam. Held in Hanoi on 15 April 2016, the training was provided by SKL International and hosted by the Academy of Managers for Construction and Cities of the Vietnamese Ministry of Construction. The sessions focused on key gender concepts, gender analysis, and the relevance of gender mainstreaming in cities.

Participants included officials of Urban Development Agency, the Ministry of Construction, the Association of Cities Vietnam, and UN-Habitat.

### Training course on Promoting Inclusive Growth in Asian Cities

Cities Alliance, in cooperation with the Cities Development Initiative for Asia and the GIZ project Inclusive Metropolitan Environments for the Urban Poor, organised training on 'Promoting Inclusive Growth in Asian Cities' in Can Tho, Vietnam 31 May to 1 June 2016. Around 30 participants including mayors, deputy mayors, construction engineers, and urban management officers from 23 small-and medium-sized cities participated in the training course on governance approaches, institutional arrangements, cooperation models, and infrastructure investments for inclusive local economic development.

The comprehensive course has been integrated into the national Urban Management Training Programme for Chairpersons and Vice Chairpersons of the Academy of Managers for Construction and Cities, a government institution under the Ministry of Construction of Vietnam.

## Bill & Melinda Gates Foundation Intermediation Portfolio

Since 2013, the Cities Alliance Secretariat has provided substantive oversight to the urban portfolio of the Bill & Melinda Gates Foundation. Most projects closed in 2015, but two were still active in 2016:

### Ministry of Urban Development and Housing, Government of Ethiopia

The Cities Alliance Secretariat has been overseeing a project supporting three secondary cities in Ethiopia to modernise their property tax collection systems with the idea to scale up the model to all secondary cities in Ethiopia. In October 2016, the office of the Prime Minister approved the proposal to continue the project. Once it closes, the Ministries of Finance and Housing/Urban Development have committed approximately \$8.7 million to finish the piloting of the three cities and expand to other secondary cities.

### City of Harare and Dialogue on Shelter Zimbabwe

The grant to the City of Harare was responsible for fostering a strong and lasting relationship between informal resident dwellers, Dialogue on Shelter, and the municipal government. This participatory process allowed for barriers to be broken and open communication for all parties. Because of its groundbreaking, long-term private sector solutions to key development issues around security of tenure, housing and services, the City of Harare was highly commended for their Harare Slum Upgrading

Project by the Financial Times/ International Finance Corporation (FT/IFC) Transformational Business awards in June 2016.

## Catalytic Fund

The Catalytic Fund (CATF) is a Cities Alliance global funding instrument which provides grant support for innovative projects that strengthen and promote the role of cities in poverty reduction and in sustainable urban development.

Since its launch in 2012, the CATF has funded 31 innovative projects in 48 cities in 32 countries, disbursing \$6.1 million in grant funding. It has issued three thematic calls for proposals: Migration, Know Your City, and Youth and the City, with one open call.

While most CATF projects are still ongoing, several projects showed some exciting results in 2016.

### Safetipin

As part of the Catalytic Fund Know Your City call for proposals, Cities Alliance supported Safetipin, a map-based mobile phone and online application which works to make communities and cities safer.

Residents and trained auditors collect map-based data related to safety on a city, information that residents can use to identify problem areas. At the core of the app is the Women's Safety Audit, a participatory tool for collecting and assessing information about perceptions of urban safety in public spaces.

Any user can do an audit or post a harassment, a hazard, or even a Feeling. Each audit results in a pin on the specific location where the audit was performed and records the time and date. Based on audit data in an area, a Safety Score is generated.

Cities Alliance funding has been used to undertake Safety Audits in three cities - Delhi, Bogota and Nairobi - to help improve safety, especially for women, and expand the use of Safetipin.

Since then, Safetipin has grown and expanded. In 2016, it collected data in the three cities using its two applications, My Safetipin and Safetipin Nite. Overall, the apps have covered 11,230 kilometres with 72,066 safety audit pins (see Figure 4).

FIGURE 4: SAFETIPIN EXPANSION IN 2016, BY KILOMETRE AND NUMBER OF SAFETY AUDIT PINS:

City	Kilometres Covered	No. of Safety Audit Pins
Delhi	7,382	47,852
Nairobi	1,154	7,375
Bogota	2,694	16,839
Total	11,230	72,066

**"A safety pin is used to join things together. Safetipin tries to get communities together to improve safety."**

- Kalpana Viswanath, co-founder of Safetipin

### Partnerships

In each city, Safetipin has forged a formal collaboration with the local city government to share the data and provide them reports and maps which will help improve safety parameters on the ground. It has signed a Memorandum of Understanding with the New Delhi Municipal Council, the Bogota Secretary of Women, and the Nairobi City Council.

### Improvements and changes in cities because of Safetipin

#### Delhi

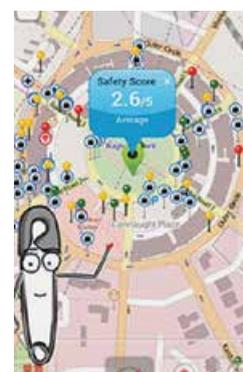
The Safetipin data has been shared with several stakeholders who have started working on initiatives to improve safety and inclusion in public spaces:

- The Delhi Public Works Department has improved lighting in more than 50 per cent of the 7,000 points that were shown as having dark spots. The Minister has publicly committed that all dark spots identified by Safetipin will be fixed by 30 March 2017.
- The Delhi Tourism department is working on improving safety around 10 tourist monuments that have been audited.
- The New Delhi Municipal Commission is working on improving last-mile connectivity in and around the 13 metro stations in their jurisdiction. Architects from the commission joined the Safetipin team during the safety audit phase.
- Delhi police have integrated Safetipin data into their database of crime occurrence and are using it to improve police patrolling.
- The Delhi government's GIS portal has incorporated the Safetipin data into its database.

The New Delhi Municipal Commission chairman presented its collaboration with Safetipin at a transport forum organised by ADB in Manila in September 2016.

#### Nairobi

In Nairobi, efforts have focused on the Eastleigh area, where the city has improved lighting,



cleared sidewalks, and made the public spaces more usable. A main street with the city's market has been organised, lighting improved, and space provided for vendors in consultation with local community members and stakeholders.

In October 2016, the Nairobi city council presented its Safetipin findings at a session at Habitat III in Quito, Ecuador.

### Bogotá

Bike paths across the entire city have been audited using Safetipin to improve walkability and non-motorised transport – the first time such an exercise has been carried out. Safetipin data has been used to light up dark spots in the city, and the data has been used to determine CCTV placement around the city.

Bogotá's Secretary of Women presented Safetipin data at the UCLG Congress Third World Summit of Local and Regional Leaders in October 2016.

### Scaling up the Barrio Digital Programme in La Paz, Bolivia

One of the challenges faced by the Municipality of La Paz (GAMLP) is engaging communities to provide feedback on the performance of its primary urban upgrading initiative. The Cities Alliance Catalytic Fund supported the development of an ICT-enabled platform – called Barrio Digital (Digital Neighbourhood) – that will enable citizens to provide feedback to the municipality.

The project is part of the Know Your City! Call for Proposals issued in 2014, and it was launched by in October 2016 by La Paz Mayor Luis Revilla.

The Barrio Digital platform is based on customisable, open-source software that can be easily maintained by the municipality. It allows citizens to send real-time feedback, grievances and requests for assistance from their cell phones or through the Internet to GAMLP through an online platform.

One of the main goals of the project was to create a platform with functionalities that could be tailored to local requirements. The software development firm SOLID Solutions trained the municipality's team and configured the SMS component of the project. The firm also monitored the platform and components for two months to ensure quality control.

Metropolis, the World Bank partner in this initiative, is providing technical inputs on the design and implementation of the programme and will also support dissemination and knowledge sharing of results and lessons learned. The activity is sponsored by Metropolis and implemented by the World Bank and the Municipality of La Paz.

### Promoting Social and Economic Inclusion for Returning Migrants in Guatemala

In recent years, deportation rates from the U.S. to Guatemala, El Salvador and Honduras have increased due to anti-migrant legislation. Many of the deported migrants end up in Guatemala City, which receives almost 100,000 deportees each year.

The government of Guatemala has struggled to generate enough work-related opportunities for deportees, and support for them upon arrival is limited. There is a missed opportunity to integrate productive human resources that could actively contribute to the city's economy.

With support from Cities Alliance Catalytic Fund, Fundación Avina initiated a project in 2016 to help integrate deported migrants into the labour market and local economy in Guatemala: *Integración de los migrantes en el mercado laboral y la economía local de las ciudades del Departamento de Guatemala*.

The project will establish an Intersectoral Committee for Labour and Social Inclusion, one of the first initiatives of its kind in the country. The committee will bring together representatives from different sectors who are directly related to migration and social inclusion, including the public and private sectors, academia, and civil society. The idea is for all parties to become aware of the existing local programmes



La Paz Mayor Luis Revilla (centre) launched the Barrio Digital tool in October 2016.

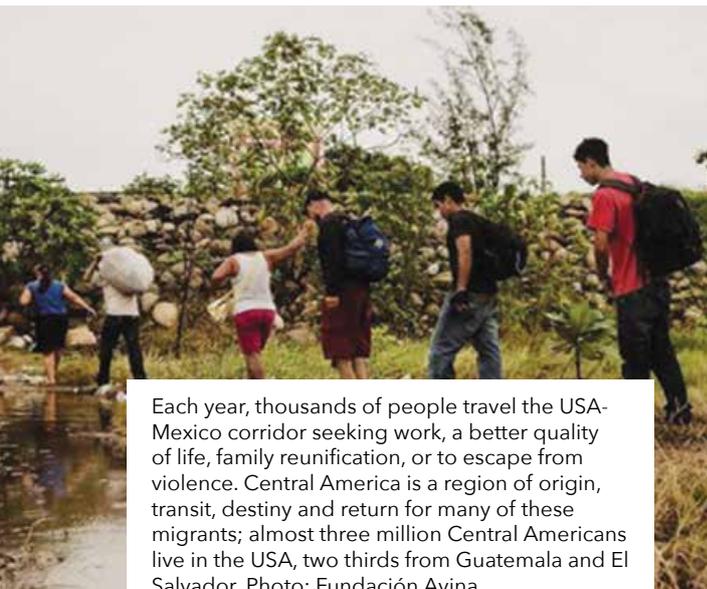
and initiatives so they can join efforts and achieve more effective results. The committee also aims to encourage public institutions and private companies to allot funding to support the project's objectives.

The project also includes:

- Psychosocial support to help the deportees cope with the trauma of their experiences;
- Training on forming technical, financial, political and trade unions; and
- Training to complement competencies migrants have acquired abroad as well as access to job opportunities and entrepreneurship projects.

Fundación Avina will coordinate with other organisations to benefit the project. The foundation will work with the National Center for Social Responsible Businesses (Centro Nacional para la Responsabilidad Social Empresarial-Centrarse), a group of approximately 120 businesses that has managed a programme called "Inclusive Businesses" to promote businesses that are free of discriminatory practices. Fundación Avina will also work closely with Habitat for Humanity Guatemala. Their social housing programmes aim to improve the quality of life for many low-income families, and construction of these housing units can provide jobs for up to 150 deportees.

These partnerships will set a precedent for how programmes can leverage impact to address adverse conditions faced by vulnerable communities and improve the quality of life in Guatemala City. The activity is expected to create employment and provide access to housing, which in turn will help families gain access to services including sanitation, water and electricity.



Each year, thousands of people travel the USA-Mexico corridor seeking work, a better quality of life, family reunification, or to escape from violence. Central America is a region of origin, transit, destiny and return for many of these migrants; almost three million Central Americans live in the USA, two thirds from Guatemala and El Salvador. Photo: Fundación Avina

In keeping with the goals of the Cities Alliance Catalytic Fund, knowledge sharing is an important part of this activity. Lessons learned will be shared with neighbouring countries such as Honduras and El Salvador to gather ideas on scaling up the project with public officials, private sector and other stakeholders.

### **RedACTES: Citizens Action Network for Safe and Efficient Public Transportation in Guatemala City**

Every day in Guatemala City, about two million people (two thirds of the city's population) ride the bus. For many, especially women, it is not a safe journey. The bus system in Guatemala City is widely considered to be one of the most dangerous public spaces in the country; it is notoriously rife with violence, including sexual abuse, extortion, bribery, and overcharging. It is so bad that the system has come to serve as a symbol of the ineffectiveness of public institutions to deliver a critical basic service.

With a grant from Cities Alliance through the Catalytic Fund, Transparency International, Acción Ciudadana and its partner, the Guatemalan Ombudsman for Human Rights, have piloted a systemic approach to provide safe, efficient public transportation in Guatemala City.

Sponsored by UN-Habitat and GIZ, the Citizen Action Network for Safe and Efficient Public Transportation initiative (RedACTES) project is implemented by Acción Ciudadana, Guatemalan affiliate of the global anti-corruption organisation Transparency International.

The approach is a multi-faceted one. It works with bus drivers, bus riders and other key stakeholders to capture and visualise the impact of poor, insecure delivery of public transportation on people's lives. Then, it uses that data and picture of the problem to mobilise key government actors to fix the system in both the short and longer term.

A central feature of this approach is an online platform called "Transporte Seguro" that collects reports by victims and witnesses of corruption, service or security problems and maps those problems along bus routes throughout Guatemala City and outlying communities. Reporting is done anonymously by cell phone, text message, online, post, and in person.

Before the platform went live in July 2016, the Transparency International chapter worked closely with the municipality of Guatemala City to ensure that the city would be responsive to reports of serious corruption, service or security issues. The organisation and the municipality signed a memorandum of cooperation stipulating that the city would provide regular, timely responses to the reports received from the chapter.

Since July, the project has brought about many quick wins and generated political will for more systemic reform. It has led to more than 60 bus drivers being fined for overcharging passengers. In addition, the project identified that the Transurbano, one of the newest bus lines and thought to be the most corruption-free due to its electronic fare system, was allegedly rigging electronic fare cards to overcharge passengers, leading to an ongoing court case.



As a result of advocacy by Acción Ciudadana, the Guatemalan national government has agreed to include a commitment to making the financial streams of public-private partnerships – such as the ones that subsidise the private delivery of buses and security infrastructure along bus routes – more transparent and accountable in its new Open Government Partnership National Action Plan <http://gobiernoabierto.gob.gt/tercer-plan/>.

Numerous bus owners and mayors from municipalities outside of Guatemala City are reaching out to Acción Ciudadana to learn how to extend the platform to bus systems served by their communities.

Perhaps most importantly, through the project Transparency International is showing people directly affected by weak governance and corruption how to be part of the solution, and how they can help change political will by sharing their own accounts of the problems they face.

## Empowering Africa's Youth through Basketball

One non-profit organisation, Leading Youth, Sport and Development (LYSD), has found a novel way to integrate and empower youth in some of Africa's poorest neighbourhoods: through basketball. And with the support of the Cities Alliance Catalytic Fund, LYSD is expanding its programme in Côte d'Ivoire.

LYSD takes the approach that sports speak to youth in a language they understand. It uses basketball as a tool to bring boys and girls from different social backgrounds together, fostering social inclusion and cohesion.

It operates mainly through its main programme, MiLéDou, which means "we are together" in Mina, a southern Togolese dialect. MiLéDou runs from

October to June each year, engaging youth aged six to 20 in various localities throughout Togo and Côte d'Ivoire. The sessions are open to all youth, and a desire to learn the game is the only selection criteria.

The programme relies on a network of local educators to implement weekly basketball sessions during the season. Educators are trained to organise basketball practices and, most importantly, mentor each child in the group. They follow children throughout the entire school year, gathering critical information such as who goes to school and who does not, who demonstrates potential for future educational opportunities, who suffers from poverty, and who possesses athletic talent.

The most promising students have a chance at scholarships (funded by LYSD), integration into good schools, internships, and basketball camps. These students, in turn, move on to become role models in their communities and inspire other young people. The programme pays special attention to gender; one third of participants in MiLéDou are girls.

In 2015, LYSD received a grant through the Cities Alliance Catalytic Fund to extend the MiLéDou programme to young migrants in Yopougon, one of Abidjan's most disadvantaged neighbourhoods. The grant, which was given to the International Office of Migrations (IOM) and implemented by LYSD, funded work with three schools and one club in Yopougon, with special consideration paid to the challenges faced by young migrant girls. Much of this work, such as the construction of new basketball courts, was completed in 2016.



## WATCH: THE POWER OF SPORT IN TRANSFORMING YOUNG PEOPLE'S LIVES

This video highlights LYSD's mission to make a difference in kids' lives through basketball:  
<https://www.youtube.com/watch?v=jQBvB2mNE0>



Cities Alliance: The power of sport in transforming young people's lives

### Young People Have a Message to Cities: We Can Spark Change for the Better

In 2016, Cities Alliance published *Youth and the City*, a report capturing the key messages of a learning exchange event co-hosted by Cities Alliance and UN-Habitat in Johannesburg, South Africa in November 2015. The event brought together 12 youth-focused projects – six from each organisation – to share their experiences, extract lessons learned, and develop recommendations for engaging young people in development. It featured grantees of the 2012 Call for Proposals to the Catalytic Fund on “Youth and the City.”

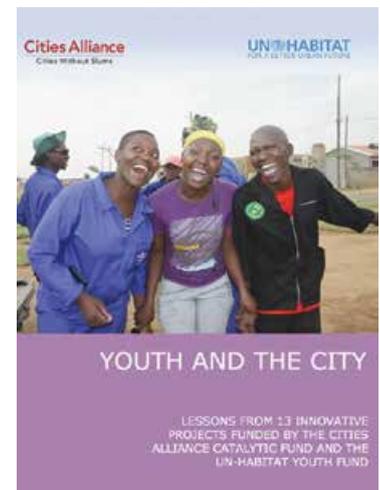
The exchange was a unique opportunity for collective learning about the roles of young people in city development, particularly in development efforts led by them.

Key messages include:

1. It is critical for local governments to create spaces for dialogue and consultation with young people. This strengthens the relationship between community members and local governments, and can result in the implementation better public policies.
2. It is important to include young people and communities in policy making processes, through active involvement, consultative processes, or both.
3. It is important to integrate young people into existing policy platforms and support their participation, rather than creating separate platforms through which they can engage in policy.
4. With the involvement of policymakers in youth projects, and with the involvement of young people

in policy, it is important to share information transparently, including information about what decisions are made and how city resources are allocated.

5. The commitment and active involvement of city policy makers in youth programmes and projects is an important factor for the success of youth-led or youth-focused city development projects.
6. Local governments should create joint funding mechanisms for community-owned projects as a strategy for leveraging what stakeholders are uniquely positioned to offer, while also building synergies to provide sustainable solutions to existing community needs.
7. Local governments need to take the informal sector into account as a positive resource for cities. It is a huge part of most countries' economies, but in many cases, remains an under-utilised resource.
8. National and local governments must see young people not as problems, but as problem solvers. Young people are experts of their own territories, and local governments should use (and value) their innovation and expertise in achieving sustainable city development.



# GLOBAL DIALOGUE/POLICY

Cities Alliance's advocacy and dialogue in 2016 focused primarily on the Africa Strategy Workshop in September, events leading up to Habitat III, and the conference itself in Quito. The Cities Alliance Joint Work Programmes - especially Habitat III, Resilient Cities and Gender - and our LAC Regional Office played a major role in helping shape the global dialogue in support of cities and raising the Cities Alliance's global profile over the course of the year.

That global advocacy paid off. The "Quito Declaration on Sustainable Cities and Human Settlements for All" and the "Quito Implementation Plan for the New Urban Agenda" provide a framework for non-member states, the UN, cities and stakeholders, to achieve a new vision of urbanisation and the role of cities. For the first time, cities were recognised as places of implementation of the SDGs and climate change, and the consequences of urbanisation were placed on the political agenda.

## Communications and Advocacy

In 2016, communications activities aimed to strengthen and consolidate the Cities Alliance identity as a global partnership with a diverse constituency. It promoted greater awareness of the partnership's mandate and members, especially among new members, through high-quality communication products, features, and branded documentation, including in the run-up to the inaugural Assembly meeting.

Advocacy efforts also focused on contributing to a heightened profile of Cities Alliance as the convening partnership on SDG11 through communicating Cities Alliance's commitments to the New Urban Agenda. The Secretariat led communication and advocacy efforts at various global dialogue fora including European Development Days, FT/IFC Awards and the Habitat III conference, and it aimed for a closer working relationship with the United Nations Office for Project Services (UNOPS) Communications Team.

On a granular level, the Cities Alliance team worked to build closer relationships with Cities Alliance members by connecting with their communication staff and encouraging their involvement in the production of communication products, such as during Habitat III, and demonstrating the Secretariat's commitments to members' advocacy efforts through joint communication endeavours, social media plans, and support whenever necessary.

Cities Alliance communications were also active in these areas:

**Blogs.** Cities Alliance Secretariat staff wrote a record number of blogs that were published on the Cities Alliance website and other sites, including Citiscope.org. The blogs supported advocacy efforts in the leadup to Habitat III, including highlighting the importance of inclusive cities

and partnerships. Gender was another important topic, as several blogs commented on how gender was included (or not) in the Zero Drafts of the New Urban Agenda and the threat posed by the Zika virus.

**Social media.** Cities Alliance's Twitter and Facebook pages continued to grow and have become a valuable tool for the partnership. Boosted by Habitat III, Cities Alliance achieved over 9,000 followers by the end of 2016 - a major milestone for our social media efforts.

**Media presence.** Cities Alliance staff gave a number of interviews and were featured in video clips and articles on sites including [www.guardian.co.uk](http://www.guardian.co.uk) and [citiscope.org](http://citiscope.org). Anaclaudia Rossbach, Regional Adviser for LAC and Expert for the Habitat III Policy Unit #3 on National Urban Policies, was a prominent voice for Cities Alliance in the region. Cities Alliance also partnered with Devex to feature content in the leadup to Habitat III, including an interview with Clare Short, Chair of the Cities Alliance Management Board.

For 2017, plans include advocacy in support of implementing the New Urban Agenda and a major overhaul of the Cities Alliance website.

## Global Events

### HABITAT III CONFERENCE

The Habitat III conference was a success for Quito, Ecuador, the Habitat III Secretariat and the international urban community. Cities Alliance provided consistent support to its members and was well represented on multiple panels and networking events. Together with members and partners, Cities Alliance organised or co-organised a large and diverse number of side, networking, training and parallel events.

In total, Cities Alliance was actively involved in 66 events - as panellists, co-organisers, commentators or moderators. Twenty-six events were directly related to our work programme.

### Cities Alliance at the Habitat III Exhibition

The colourful, energetic Cities Alliance booth in the National Assembly hosted a wide range of events and bilateral discussions with delegations. The Cities Alliance booth at Habitat III was much more than a meeting point. It

# The United Nations Conference on Housing and Sustainable Urban Development (Habitat III)

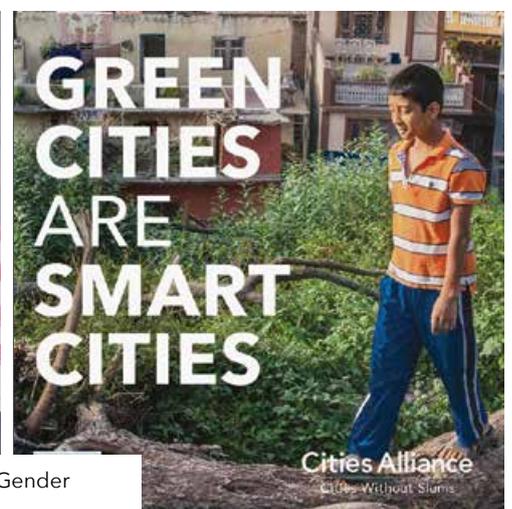
Quito, Ecuador | 17-20 October 2016



was a hub where like-minded individuals committed to Sustainable Development Goal 11 converged to reveal their ideas, share their excitement and agree upon the next steps for implementation of the New Urban Agenda. It was an opportunity for specialists and the general public alike to learn more about Cities Alliance's Joint Work Programmes, its partnership in Liberia, and the importance of secondary cities. After the Secretariat had worked so

intensely, it was wonderful to see the sessions with Cities Alliance members come to life at the booth.

A total of 10 sessions which were open to the public were held at the booth from Sunday 16 - Thursday 20 October; 28 members and partners actively participated in these events. In addition, a cocktail reception was held on 17 October and a meeting of the JWP Resilient Cities Members on 18 October.



The artwork for the Cities Alliance booth at Habitat III focused on our key messages: Gender Equality, Secure Tenure, and Resilient Cities.



Cities Alliance Networking Event on Strengthening partnerships – means of implementation of the New Urban Agenda at Habitat III



Liberia programme panel with UCLG, SDI, World Bank, and YMCA



Winners of the Reducing Urban Poverty essay competition.



Senior Urban Specialist Omar Siddique introduces CURB session with C40, World Bank and SECO



The 2<sup>nd</sup> Urban Housing Practitioners Hub Planning Workshop 16 October 2016. It is a space for research and knowledge exchange that can support the implementation of the NUA.



Some members of the Cities Alliance Secretariat delegation to Habitat III

## CITIES ALLIANCE EVENTS AT HABITAT III

Cities Alliance was directly involved in organising and participating in over 66 events at Habitat III. Here are some highlights:

### 17 October

- BMZ: The integral implementation of the New Urban Agenda in LAC and the Caribbean: Challenges and Potential for Intermediate Cities
- Clinton Global Initiative: Liberia Country Programme - Implementing and Financing the New Urban Agenda
- Joint Work Programme for Equitable Economic Growth in Cities and the Commonwealth Local Government Forum (CLGF) Side Event: Fostering Equitable Economic Growth in Cities
- Cities Alliance, UN-Habitat, and OECD: High-Level Launch of the National Urban Policies Platform
- SKL: Gender Mainstreaming

### 18 October

- Chile (MINVU): Spatial and Territorial Planning: implementing the New Urban Agenda beyond city boundaries
- N'Aerus/Auri/Redeus: The New Urban Agenda in the Global South: Engaging research in policy making
- MIDUVI (Ecuador): National Urban Policy Network: Urban legislation in Latin America: The compared experiences of Brazil, Colombia and Ecuador
- Cities Alliance Joint Work Programme Habitat III: Strengthening partnerships - means of implementation of the New Urban Agenda, Successful partnerships and approaches ensuring inclusive, sustainable and resilient cities

### 19 October

- Cities Alliance Side Event: Technologies and data gathering for the empowerment of women
- UNDP Side Event: Localizing the Sustainable Development Goals: Making Cities for All
- UNDP Networking Event: Towards Sustainable, Inclusive and Resilient Cities: Urbanization that Leaves No One Behind
- SDI Networking Event: Know Your City
- OECD/UN-Habitat Networking Event: National urban policies: how to monitor and evaluate the progress

### 20 October

- HFHI: Housing Policy Unit Dialogue - Housing/shelter in the new urban agenda
- GPEAN Side Event: Capacity building for the New Urban Agenda: The potential of universities to advance the agenda and the challenges they face in doing so

## WATCH: CITIES ALLIANCE STATEMENT AT HABITAT III

In a short statement at the conclusion of Habitat III on October 20, Cities Alliance Director William Cobbett called for greater attention to four specific challenges as the implementation of the New Urban Agenda begins:

1. The relationship between local and national governments needs to be transformed, with roles, responsibilities and resources assigned to each level;
2. There is a need for new relationships between cities and all citizens, especially organisations of the urban poor and the informal and private sectors;
3. The role of women in cities needs to be recognised; and
4. The need to balance more equitable economic growth in cities while protecting the environment.



<http://webtv.un.org/meetings-events/conferencessummits/3rd-international-conference-on-financing-for-development-13%E2%80%9316-july-2015-addis-ababa-ethiopia/interviews-and-other-videos/watch/representative-of-cities-alliance-habitat-iii-7th-plenary-meeting/5178667337001>

**"The challenge is getting cities right."**

- Cities Alliance Director William Cobbett



New Taipei, Taiwan, winner of the 2016 Special Award for Excellence in City Transformation, with Cities Alliance Director William Cobbett. Photo: FT/IFC



Harare City Council was highly commended for its Harare Slum Upgrading Project, which was supported by the Cities Alliance and the Bill & Melinda Gates Foundation. Photo: FT/IFC

## FT/IFC TRANSFORMATIONAL BUSINESS AWARDS

The city of New Taipei, Taiwan won the 2016 Special Award for Excellence in City Transformation, which was sponsored by the Cities Alliance as part of the Financial Times/International Finance Corporation (FT/IFC) Transformational Business awards for the second year running.

New Taipei City is a newly established municipality that encircles Taiwan's capital Taipei City. It was recognised for its comprehensive citywide transformation programme that provides an excellent example of how to make new urban areas genuinely inclusive. Innovative policies have included the Happiness Protection Station, which provides children of disadvantaged families with free meal boxes in convenience stores; the Department of Social Welfare can then collect the data and reach out to the families in need.

Harare City Council was highly commended for its Harare Slum Upgrading Project, which was supported by the Cities Alliance and the Bill & Melinda Gates Foundation. The project aims to promote inclusiveness in the housing sector inclusiveness and reinstall Council service delivery. This has been achieved in part by engaging the urban poor in slum upgrading processes, and mediating between increasingly active citizens and a stretched national government. Operating within a reform-starved, resource-stressed environment, Harare City Council has served as an invaluable example for other councils in Zimbabwe.

A second Cities Alliance-supported project, from Mozambique, was on the short list for the award. Implemented by the municipality of Maputo, the project brought together grassroots organisations and local government to improve waste collection in the city - a new approach for Mozambique.

The Excellence in City Transformation award recognises those cities that, since 2010, have demonstrated tangible progress towards citywide, integrated reforms in one or more of these five areas:

Environment, social, governance, economic, and services.

The Excellence in City Transformation award was presented at a ceremony in London on 9 June following a day-long conference on private sector support for development programmes, especially in Africa.

For the Cities Alliance, sponsoring the award for the second year in a row was a chance to draw international attention to cities that are trying innovative, citywide approaches to promoting inclusive growth for all citizens. Cities Alliance was a very visible partner in the awards; the Secretariat participated in the judges' panel for the Excellence in City Transformation award, and Director William Cobbett served as a judge for all the other award categories.

## IPCC PARTNERSHIP FOR 2018 CLIMATE CHANGE CONFERENCE

In 2016, Cities Alliance entered into an exciting new partnership with the Intergovernmental Panel on Climate Change (IPCC), current members of the Cities Alliance (ICLEI, UCLG, UN-Habitat, UNEP, SDSN), and other organisations active on climate change science and cities (C40, The World Climate Research Programme, Future Earth) on the Cities and Climate Change Science Conference to be held in March 2018.

The conference is an excellent opportunity to help shape a global research agenda on cities and climate change that will support policy and implementation at the city level to the growing challenges of climate change.

A Host City Selection process was launched at the COP22 in Marrakesh. Cities Alliance's participation in the conference will seek to ensure that the urban poor are strongly considered in the planning of the conference and subsequent outcomes, as well as practical application for municipal governments, especially in Africa, LAC, Asia and the Pacific.

# LIST OF KNOWLEDGE RESOURCES



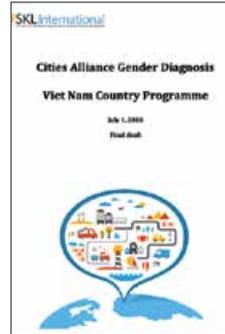
Catalytic Fund Brochure



Cities Alliance in Brazil Evaluation



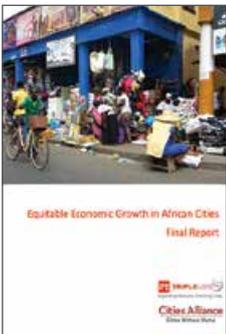
Corporate Brochure



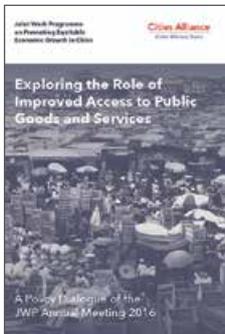
Diagnosis of Gender Equality Integration in Cities Alliance Country Programmes



Equitable Economic Growth JWP Brochure



Equitable Economic Growth Toolkit



Exploring the Role of Improved Access to Public Goods and Services



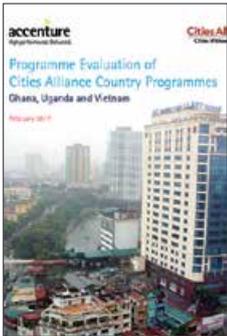
Framing, Impacts and Key Elements of the New Urban Agenda



Future Cities Africa Toolkit



Indonesia's Urban Story



Land, Services and Citizenship for the Urban Poor Programme Closure Report



Liberia Country Programme Brochure



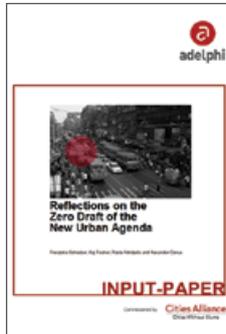
Mainstreaming Gender in the Cities Alliance Secretariat



SDG Academy Webinar with William Cobbett



The New Urban Agenda: The role of partnerships between organised civil society and governments in fostering a sustainable future for all in cities



Reflections on the Zero Draft of the New Urban Agenda



Resilient Cities JWP Brochure



The Transformative Role of City-Community Partnerships in the Fight Against Ebola and Beyond in Greater Monrovia, Liberia



Tunisia Country Programme Brochure

# UNITED NATIONS OFFICE FOR PROJECT SERVICES (UNOPS)

UNOPS is the United Nations' central resource for project management, infrastructure and procurement, and helps its partners by providing a range of high quality, cost-effective project management services. In 2016, UNOPS implemented over 1,000 projects worth over \$1.4 billion on behalf of its partners, often in some of the most challenging and fragile environments, providing a range of advisory, implementation and transactional services. UNOPS has a clear and accountable management and governance structure, and has earned objective recognition in the form of consistently clean audit results, as well as new framework business agreements and strong partner satisfaction ratings.

As a global initiative in support of sustainable urban development, Cities Alliance is hosted by UNOPS through its Europe and Central Asia Regional Office (ECR) based in Geneva, Switzerland. ECR also manages other portfolios of global partnership, including the Water Supply and Sanitation Collaborative Council (WSSCC), the Stop TB Partnership, Scaling Up Nutrition (SUN), and the Platform for Disaster Displacement (PDD).

As a self-financed agency without a thematic mandate, UNOPS is completely impartial, minimising the risk for conflict of interest with Cities Alliance while allowing the partnership to keep its own clear mandate, brand and identity. At the same time, Cities Alliance is extended the same privileges and immunities of the UN, and has access to UNOPS' global network.

In 2016, UNOPS engaged with Cities Alliance and its Joint Work Programme on Resilient Cities during COP22. UNOPS participated at various Cities Alliance events on climate action planning and sustainable solid waste solutions in cities. Moving forward, UNOPS welcomes collaboration with Cities Alliance in its efforts to facilitate partnerships between public and private sectors in the domain of impact investments and communicating UNOPS' social impact investing initiative to a larger urban community.

UNOPS is proud to continue its support to Cities Alliance and to strengthen its partnership in the implementation of the New Urban Agenda and Sustainable Development Goals, particularly SDG 11 on cities and SDG 5 on gender equality. UNOPS will continue to collaborate with Cities Alliance in joint actions together with national governments, local governments, multilateral institutes and civil society organisations that will make cities more inclusive, safe, resilient and sustainable.

# FINANCIALS

## CITIES ALLIANCE 2016 INCOME AND EXPENDITURE STATEMENT (ALL AMOUNTS IN THOUSAND U.S. \$)

A. INCOME	
<b>Funds brought forward from FY2015<sup>1</sup></b>	<b>19,955</b>
<b>Income in 2016</b>	<b>9,905</b>
Annual contributions	1,785
Unearmarked funds	3,868
Project funds	4,252
<b>Interest<sup>2</sup></b>	<b>-</b>
<b>TOTAL</b>	<b>29,860</b>

B. EXPENDITURE	
<b>Operating Costs</b>	<b>Actuals</b>
Governance, Finance & Administration	1,798
Programme Support & Operations	2,048
UNOPS Management Fee & Costs <sup>1</sup>	1,269
<b>Programme Grants &amp; Activities</b>	
Country Programmes	4,467
Catalytic Fund	1,407
Regional Strategies Africa, Asia & LAC	841
Joint Work Programmes	1,189
Other Strategic Activities	203
Future Cities Africa	2,716
Monitoring & Evaluation	245
<b>TOTAL</b>	<b>16,183</b>

C. BALANCE OF INCOME OVER EXPENDITURE	
Funds carried forward to FY2017	13,677
Commitments <sup>1</sup>	7,196
<b>Balance net of commitments</b>	<b>6,481</b>

<sup>1</sup> Includes multi-year commitments

<sup>2</sup> To be confirmed by UNOPS upon completion of accounts for FY2016.

# THE CITIES ALLIANCE TEAM

1 January 2016 to 31 December 2016

## Secretariat Staff: Brussels

**Allou, Serge**

*Lead Urban Specialist*

**Balbuena, Hilary**

*Head, Finance & Operations Unit (as of November 2016)*

**Balocova, Magdalena**

*Programme Management Specialist*

**Baskin, Julian**

*Head, Programme Unit*

**Bruhn, Fredrik**

*Urban Programme Analyst*

**Christen, Tutut**

*Intern, Online Communications (until October)*

**Cobbett, William**

*Director*

**Daepf, David**

*Programme Officer*

**Dave, Roshni**

*Urban Environment Specialist (until January)*

**Fasano, Anais**

*Office Assistant*

**Goel, Priya**

*Financial Management Specialist (incoming January)*

**Greenwalt, Julie**

*Urban Environment Specialist (incoming June)*

**Henderson, Susanna**

*Partnership Officer*

**Hohmann, Rene**

*Sr. Urban Specialist*

**Karakhanyan, Nune**

*Executive Associate*

**Kibui, Phyllis**

*Head, Finance & Operations Unit (retired August)*

**Kurth, Marie-Alexandra**

*Sr. Urban Specialist*

**Lima, Laura**

*Urban Specialist*

**Lozet, Florence**

*Programme Unit Assistant*

**Ofori-Amanfo, Priscilla**

*Sr. Communications Officer*

**Puspa, Erika**

*Information Management Specialist*

**Reudenbach, Lisa**

*Urban Analyst*

**Siddique, Omar**

*Sr. Urban Specialist*

**Silva, Federico**

*Sr. Programme Specialist*

**Spörcke, Lea**

*Intern, Gender Team (until September)*

**Tijinbun Ngochi, Desmond**

*Project Analyst*

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## UNOPS Headquarters- Copenhagen

**Hordila, Alex**

*Programme Assistant (until August)*

**Pligoropoulou, Thalia**

*Programme Assistant (until May)*

**Scarpetta, Marco**

*Programme Assistant (incoming July)*

**Sørensen, Cynthia**

*Programme Assistant (incoming October)*

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## Washington, DC

**Bunch, Juliet**

*Communications Specialist*

**Dai, Ngoc**

*Programme Analyst*

## Regional staff

### **Hosken, Adele**

*Regional Advisor, Africa*  
Pretoria, South Africa

### **Rosbach, Anaclaudia**

*Regional Advisor, LAC*  
São Paulo, Brazil

### **Suri, D. Ajay**

*Regional Advisor, Asia*  
New Delhi, India

### **Violim Mercurio, Gabriela**

*Programme Associate*  
São Paulo, Brazil

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## Future Cities Africa staff

### **Amdework, Efrem**

*Country Team Leader*  
Ethiopia

### **Arthur, Bernard Abeiku**

*Senior Urban Specialist*  
Ghana

### **Essuman, Akosua**

*Programme Assistant*  
Ghana

### **Hawine, Gemtessa**

*Programme Assistant*  
Ethiopia

### **Kwadwo Ohene, Sarfoh**

*Country Team Leader*  
Ghana

### **Lalam, Betty**

*Programme Assistant*  
Uganda

### **Mabala, Samuel**

*Country Team Leader*  
Uganda

### **Mukuye, Ronard**

*Urban Specialist*  
Uganda

### **Simpson, Jamie**

*Future Cities Africa Project Manager*

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## Liberia, Monrovia

### **Andrew, Senjovo**

*M&E Analyst (incoming October)*

### **Leon, Bernadette**

*Project Manager (incoming July)*

# CORPORATE SCORECARD

## 1. CITIES ALLIANCE RESULTS AND PERFORMANCE MANAGEMENT

### COMMENTS ON THE CURRENT EDITION:

The Cities Alliance Results Framework at the basis of this Scorecard was tested for a three-year period starting in 2013. Geographically, the Scorecard covered those communities, cities and countries that were part of the five initial Cities Alliance Country Programmes: Burkina Faso, Ghana, Mozambique, Uganda and Vietnam. Targets were set to the end of 2016, coinciding with the expected operational closure of these programmes. As those programmes ended as expected in Q4 2016, this edition of the Scorecard is particularly significant. As in the past, it captures the progress made; most importantly, though, it captures the developmental results of these programmatic interventions through the collection of end-line studies.

In 2016 the Cities Alliance also engaged Accenture to evaluate the performance and impact of its Country Programmes in Ghana, Uganda and Vietnam. The Accenture report was issued in March 2017 and is available on the Cities Alliance website. The evaluation was instrumental in validating the overall strength of the monitoring approach of the Cities Alliance, as well as the data and results featured in this Scorecard.

### 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 up to the end of 2016 and as a report to the 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.

**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, programmes and 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.

### 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.

In the future, 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.

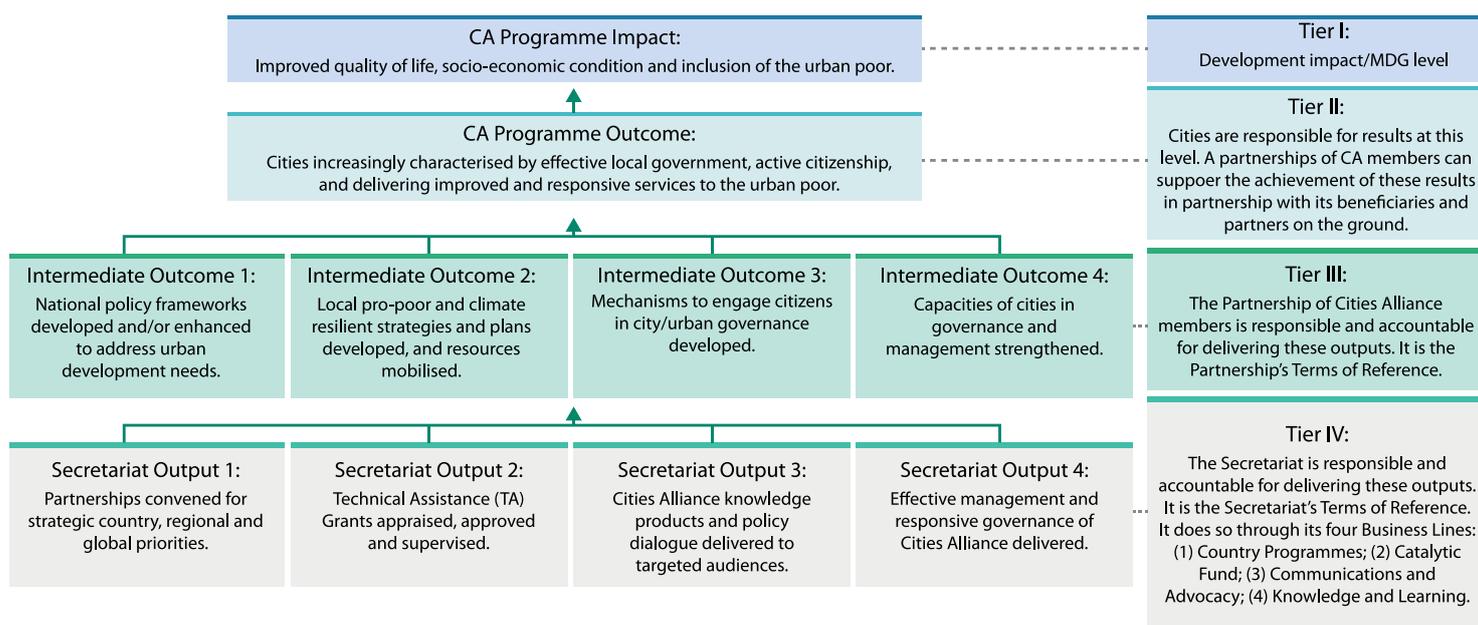
While Cities Alliance members are the clients of the Secretariat, the city (broadly defined) is the client of the Cities Alliance. Cities and national government partners are responsible for results at this level. A partnership of Cities Alliance members can only support the achievement of these results 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 and institutional strengthening. The partnership of Cities Alliance members - with the support of the Secretariat - is responsible and accountable for delivering these outcomes. 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 activities; 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 CHAIN



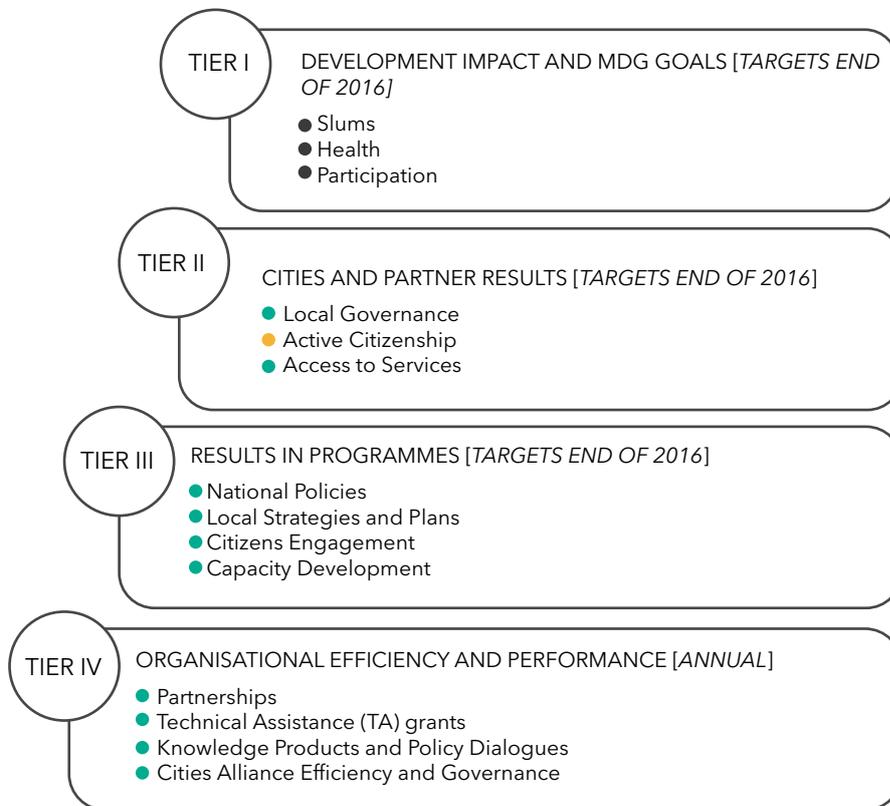
## WHAT'S NEW FROM LAST YEAR

**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, progress on gender mainstreaming (a pillar of the Medium-Term Strategy), and 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 and Tunisia. This means that the next period 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.

## 2. SUMMARY OF CORPORATE SCORECARD [targets end of 2016]



### LEGEND:

- CHALLENGE. Majority of indicators show decrease from baseline, have failed in achieving the established target or are significantly far under the established performance standards.
- 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, colour-coded traffic lights and targets are not provided since they pertain to the macro developmental context.*

## 3. THE SCORECARD

### 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.

### TIER I - IMPACT

IMPACT	INDICATORS*	CRITERIA [ONLY MEASURED IN CITIES AND COUNTRIES WHERE CITIES ALLIANCE WORKS]	BASELINE [2007/13]†	CURRENT [2014/16]	STATUS
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% [2007/09]	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	93.2 [2008/10/13]	81.3 [2016]	○
	I.1.4 Participation of urban poor in the voting population**	%	60.3% [2007/08/09/11]	64.4% [2012/14/15/16]	○

\* Tier I indicators lack some values. This reflects data gaps in the MDG official statistics provided by the national institutes of statistics and UNStats (data on tenure security have never been collected). Furthermore, Tier I indicators are also expected to be changed to reflect and realign to the consensus on the new SDGs.

† The baseline and end-line years are not always the same for all countries due to data availability. However, the essential is that change is measured over a period of approximately 3 to 6 years.

‡ To be noted that significant improvements have been made in Ghana, Mozambique, Uganda and Vietnam, but this is offset by the negative data trends for Burkina Faso.

§ Figures based on Burkina Faso, Mozambique and Uganda only. Data not available for Ghana and Vietnam. Due to the lack of data, figures are estimated by projecting the baseline data to 2016 using the WHO annual relative change in the indicator.

\*\* As not available, data for the voter participation has not been disaggregated for the urban poor. The data used here is for the turnout of the total voting age population in parliamentary elections.

## TIER II - OUTCOMES

OUTCOME	INDICATORS*	CRITERIA [ONLY MEASURED IN CITIES AND AREAS WHERE CITIES ALLIANCE WORKS]	BASELINE [2010 - 13]	ENDLINE [2015 - 16]	TARGET 2016	STATUS
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]	42.58 USD [2013]	66.11 USD [2015/2016]	44.71 USD	
	II.1.2 Average number of municipal employees per 1000 inhabitants per year	1000 [# Employees / total population]	3.14 [2013]	3.33 [2015/2016]	3.29	
	II.1.3 Average number of women among municipal employees	% [# women employees / total municipal employees]	35% [2013]	35% [2015/2016]	37%	
	II.1.4 Proportion of municipal employees with post-secondary education.	% [# employees with education / total municipal employees]	47% [2013]	52% [2015/2016]	49%	
	II.1.5 Average percentage of voter participation <sup>††</sup>	% of all eligible voters	58% [2010/2013]	56% [2015/2016]	61%	
	II.1.6 Average percentage of women voter participation	% of all eligible women	62% [2010/2013]	63% [2015/2016]	65%	
	II.1.7 Average ratings on existence of a municipal website for citizen questions and complaints.	Scale [0-2]	0.96 [2013]	1.01 [2015/2016]	1.02	
	II.1.8 Average ratings on functioning of local-level structures for consultations	Scale [0-2]	1.43 [2013]	1.51 [2015/2016]	1.50	
	II.1.9 Average ratings on participatory planning process in place (budgetary or other)	Scale [0-2]	1.41 [2013]	1.23 [2015/2016]	1.48	
	II.1.10 Average ratings on levels of civil society activity in municipality.	Scale [0-2]	1.30 [2013]	1.40 [2015/2016]	1.37	
	II.1.11 Average proportion of households in slum and/or low-income areas with regular access to potable water	%	59% [2013]	74% [2015/2016]	62%	
	II.1.12 Average proportion of kilometres of maintained roads/paths in slum and/or low-income areas	%	35% [2013]	41% [2015/2016]	36%	
	II.1.13 Average proportion of households in slum and/or low-income areas with sewerage connections	%	51% [2013]	51% [2015/2016]	53%	
	II.1.14 Average proportion of households in slum and/or low-income areas with regular electricity connections	%	56% [2013]	71% [2015/2016]	59%	
	II.1.15 Average proportion of households in slum and/or low-income areas with regular solid waste collection	%	46% [2013]	60% [2015/2016]	48%	
	II.1.16 Effectiveness of advocacy and knowledge product dissemination - Average Official Development Assistance for urban development	US\$ (,000,000) [# ODA flows]	30.6 [2013]	N/A	32.1 [2015]	
	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 [2013]	N/A	2 [2015]	

<sup>††</sup> Data from Burkina Faso is a strong outlier: there was a drop of 29% while all other countries have improved. The figures in Burkina Faso could be explained by the different electoral recording systems employed by the Government but also by a growing political disillusionment on the wake of the 2013 political crisis.

## TIER II: BACKGROUND AND METHODOLOGY

This Tier describes the impact that Cities Alliance's technical assistance services aim to have on cities, specifically on more effective governance (indicators II.1.1 to II.1.4), inclusiveness and participation (indicators II.1.5 to II.1.10), and ability to deliver improved, responsive services to the urban poor (indicators II.1.11 to II.1.15). These 15 indicators are mostly of a quantitative nature. Results within this Tier assume that the Cities Alliance's technical assistance services are, in fact, able to leverage and translate into effective follow-up investments and/or additional fiscal transfers. Indeed, investments to strengthen local authorities and develop pro-poor infrastructure allow cities to better cater to their citizenry – especially the most marginalised.

During the period under analysis (2013/14 to 2016), data for these city indicators was initially collected through baseline studies, and has been updated in conjunction with programme closure – i.e. second half of 2016 – as end-line studies. Collecting data for this Tier annually was judged to be too expensive and not very effective in measuring progress and attribution. Impact at this level needs to be assessed over longer timeframes, so that it includes actual outcomes from the funds leveraged through the technical assistance and the community investments on the ground. Improvements are measured by comparing baseline and end-line data and by linking variations to investment interventions. A 5 per cent increase in the value of the indicators between the baseline and the end-line has been calculated as the standard target.

Baselines studies were carried out between 2013 and 2014 for all the first-round Cities Alliance Country Programmes (Uganda, Ghana, Mozambique, Burkina Faso and Vietnam), which comprise the universe for the initial pilot phase of the PIMS. In Burkina Faso, the baseline study on Tier II indicators was 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 was carried out by the Institute of Local Government Studies (ILGS) as part of the 'sustainable urban local government capacity building' grant. In Mozambique, the work was carried out in the context of the FCA programme. In Vietnam, the work was undertaken by ACVN. Given the high number of participating Vietnamese cities, a representative sample was selected based on factors including size, geography, and degree of involvement in the programme. In Uganda, the baseline study was conducted by a team within the Ministry of Lands, Housing and Urban Development.

In Ghana, the end-lines were collected by JMK Consulting Ltd; in Uganda by Statworld Consult Uganda Ltd; in Vietnam by the Association of Cities in Viet-Nam (ACVN); in Burkina Faso by UrbaConsulting; and in Mozambique by KPMG. Within this process, some of the baselines were readjusted for consistency and full synchronisation with the end-line methodologies.

## TIER II: EXPLANATION OF THE VARIANCES AND ATTRIBUTION

The assessment of Tier II indicators has been carried out based on the data collected for the five countries (Burkina Faso, Ghana, Mozambique, Uganda and Vietnam).

Overall, between baselines and end-lines, **10 out of the 15 indicators exceed their targets** of 5 per cent positive change. The group of indicators measuring **better service delivery and access by the urban poor (II.1.11 to II.1.15) show on average the best performance (20 per cent increase)**, closely followed by the indicator group on effective governance (indicators II.1.1 to II.1.4) with 19 per cent increase. The indicator group measuring inclusiveness and participation (indicators II.1.5 to II.1.10) registered the lowest improvement (1 per cent). Among individual indicators, the sharpest increase is observed in indicator II.1.1 (Average municipal expenditure per person per year), which registered a 55 per cent increase between 2013 and 2016.

As also highlighted in a recent assessment, an area that calls for more attention in the Country Programmes is gender. The two related indicators (II.1.3 Average number of women among municipal employees, and II.1.6 Average percentage of women voter participation <sup>++</sup>) fall short of their targets. Another challenging indicator is II.1.9, Average ratings on participatory planning process in place (budgetary or other). <sup>§</sup> While this indicator showed improvements in Uganda and Vietnam, it decreased largely in Ghana and slightly in Burkina Faso during the period under examination. Despite the successful implementation of both the community strengthening activities and the multi-stakeholder engagements through municipal and settlement level fora within the Ghana and Burkina Faso Country Programmes, this has not (yet) translated into a perceived structural change. Generally, there may be the time lapse between the investments in institutional change and the broader impact on citizens' perception of that change. Specifically, the Greater Accra Metropolitan Area (GAMA) underwent a lengthy municipal election process, which weakened ownership around some of the newly established participatory mechanisms; and in Burkina Faso, the maturity of the participatory processes was delayed by the political crisis. Indicator II.1.5 (Average percentage of voter participation in the most recent municipal election) also shows a decline due to the data from Burkina Faso, where there was a drop of 29% (while all other countries improved). The figures in Burkina Faso could be explained by the different electoral recording systems employed by the Government, but also by a growing political disillusionment on the wake of the 2013 political crisis.

<sup>++</sup> The availability of data for indicator II.1.6 also proved challenging.

<sup>§</sup> Please note that the overall average of the indicator is also affected by its baseline data. At the point of baseline data collection (in 2013), some of the participatory mechanisms of the country programmes had already been put in place with many cities hence receiving the maximum score of 2. Since the maximum score was already attained, additional gains and improvements could not be captured at the end-line point. This has also affected the overall averages of the indicator's group.

Most of the cities which had scored a 2 in the baselines again registered the maximum score of 2, although clear improvements had been made in their mechanisms for participation and inclusiveness as elaborated in Tier III. This means that the measurement of this group of indicators did not sufficiently capture the positive change that had taken place in the country programme.

## TIER II: ATTRIBUTION OF AND CONTRIBUTION TO IMPROVEMENTS

There are three main modalities in which the improvements recorded in Tier II indicators can be causally connected to Cities Alliance interventions. Due to the well-known attribution gap, some instances may be attributed more directly, while others should be considered as a contribution.

- The most direct linkages to the indicators on access (indicators II.1.11 to II.1.15) are through direct physical interventions funded by community development/upgrading funds. The programmes in Burkina Faso, Ghana, Uganda and Vietnam have established local Funds to support several small community infrastructure projects which have directly improved access to basic services in many of the targeted communities. **One hundred and eighty-eight (188) community infrastructure projects have been implemented in these four Country Programmes.** In Mozambique, some of the funding was used to physically upgrade the Chamanculo C neighbourhood of Maputo, through the tripartite partnership between the Cities Alliance, the Government of Brazil and the Government of Italy. Across all countries, infrastructure projects were selected through a participatory approach by the communities themselves according to their infrastructure priorities and aligned with municipal plans. Projects were mainly on the construction, improvement and maintenance of basic infrastructure such as WASH facilities, electricity supply, waste management, roads and public/communal spaces. **These small-scale projects have made a significant impact and explain many of the positive variations in the above numbers.** The beneficiaries of the small infrastructure projects include the estimated 22,371 households of Chamanculo C neighbourhood, 92,300 individuals in low income urban areas of 5 cities in Burkina Faso, about 523,185 inhabitants of urban poor communities in 5 Ugandan municipalities, 2,411 households in 10 Vietnamese cities, and the inhabitants of Ashaiman and Ledzokoku-Kwokor municipalities as well as Old Fadama slum community in the Greater Accra Metropolitan Area.
- **A more indirect contribution (on the same set of indicators) is provided by those funds that have been directly leveraged by the TA assistance activities for follow up infrastructure investments.** In Ghana, the World Bank invested USD 150 million on water and sanitation infrastructure in GAMA areas - improvement and expansion of the water supply network as well as rehabilitation/construction of priority treatment facilities - based on the detailed water and sanitation assessment and technical options developed by the Country Programme. In Uganda, the World Bank invested USD 150 million within the Country Programme to provide substantial additional funds to the targeted municipalities for investment in urban infrastructure (roads, waste management, local economic infrastructure and urban transport such as bus terminals). These capital investments were identified and prioritised through the municipal and settlement level forums established by the Country Programme. The Detailed Implementation Strategy for the National Urban Upgrading Programme (NUUP) in Vietnam, which was funded by the Country Programme, was material to the follow-up investment of USD 292 million by the World Bank in the Mekong Delta Region Urban Upgrading Project (MDR-UUP) for infrastructure projects in low income areas.
- For those indicators related to the effectiveness of local governance and citizenship, the link with the Technical Assistance (TA) is less direct; however, an important contributing factor is still traceable. The positive attention generated by the programme on urban issues, together with the establishment of legal and policy frameworks and the strengthening of local and national institutions on urban issues, have undoubtedly raised the profile of cities - drawing attention and corrective actions to the way they are managed, their capacity and financial resources. We expect that these legal and policy changes will have significant direct and indirect impacts over time. Initial signs of these changes are strongly evidenced by the CEE rating reports,<sup>\*\*\*</sup> which attest an improved evolution of the city enabling environment in the five countries of focus in the period between 2012 and 2015. It is also easy to link improvements on the citizenship indicators of the TA activities undertaken by the Cities Alliance, where the municipal development forums and the strengthening of the community organisations, and the information and evidence on the city issues, have brought to surface and favoured the beginning of a process of political recognition of segments of society who were invisible to public policies and authorities. This is also important for the Cities Alliance; these positive examples can be demonstrated to other countries and governments in Africa.

<sup>\*\*\*</sup> See Cities Alliance and UCLG-A (2012 and 2015), "Assessing the Institutional Environment of Local Governments in Africa", Morocco: UCLG-A.

TIER III - INTERMEDIATE OUTCOMES [NOTE: READ THIS IN CONJUNCTION WITH ANNEX II]

OUTCOME	INDICATORS	CRITERIA	BASELINE 2011	TARGET 2016	CURRENT 2016	% IN PROGRESS	% COMPLETE	STATUS
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 <sup>†††</sup>	3	0%[0]	75%	Completed
	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 submitted to the Cabinet for adoption. Vietnam NUDS advanced to 2nd phase.
	III.1.2 Number of countries with national urban policy frameworks developed	Unit (aggregate from scale: values= 3)	0	3	3	0%[0]	100%	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	32 <sup>†††</sup>	0%[0]	76%	Completed
	III.2.2 Average total financial resources mobilised by partners for strategy implementation (yearly)	US\$	0	500K	99.3mn <sup>§§§</sup>	Tracking	100%	Completed
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	41	0%[0]	98%	Completed
	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	5	0%[0]	100%	Completed
	III.3.3 Number of projects with sustainable mechanisms to engage citizens (Catalytic Fund projects & CP projects at the city level)	Unit (as project)	0	25	18	0%[0]	72%	CATF projects to be included.
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	45	0%[0]	122%	Completed
	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.	Number (aggregate from scale = 2)	0	4	5	0%[0]	125%	Completed

<sup>†††</sup> Targets were initially established in 2013 and have been slightly revised in the same year after consultation and validation with country partners.

<sup>†††</sup> In Ghana, the in-depth WASH assessment and plans/options for GAMA were considered for this indicator. These assessments were used to inform the investment of USD 150 million by the World Bank in the WASH sector in GAMA. These plans are currently being updated and broadened to include a stronger resilience angle and link with the current municipal mid-term development plans.

<sup>§§§</sup> Calculated across a six-year period (2011-16).

## TIER III: BACKGROUND AND METHODOLOGY

These indicators are mainly maturity scales which develop from an initial stage at inception to maturity at the end of the programme (in terms of optimisation, institutionalisation, scaling up, etc.). Most of the targets have been set to be 'green' at the end of 2016, which coincides with the end of the Land, Services and Citizenship (LSC) programme that funded the initial five Country Programmes subject of this scorecard. Annex II provides a snapshot of Tier III across the different cities and countries participating in the Country Programmes.

## TIER III: EVIDENCE

### III.1.1a and b. Number of countries with national urban policy(ies) developed and adopted

**Development.** The **Uganda** National Policy was developed over a period of four years through extensive analysis and consultations driven by the Policy Working Group of the Ministry of Land, Housing and Urban Development (MLHUD). The policy was finalised in 2014. The **Ghana** National Urban Policy (NUP) was developed by the Ministry of Local Government and Rural Development with the support of GIZ through a participatory process over a four-year period and finalised in May 2012. Subsequently, the NUP has been further strengthened in the context of the Country Programme with the addition of an implementation plan and a monitoring and financing framework for its implementation. In **Vietnam**, the initial Cities Alliance investment to develop a national urban policy has leveraged an additional USD 2 million from Asian Development Bank (ADB) and USAID in support of the activity. What started as a Cities Alliance process has grown into a broader policy dialogue that is expected to culminate in a Prime Ministerial decree in support of the urban development policy by 2018. In **Mozambique**, the Decentralisation Working Group, comprising of the national government and development partners has been established and is actively championing national urban policy dialogues.

**Adoption.** The Ghana National Urban Policy was launched in March 2013 along with an Action Plan for its implementation, which is now fully in progress. In Uganda, the final national urban policy has been submitted to the Cabinet for final adoption.

### III.1.2 Number of countries with national urban policy frameworks developed

Both the national policies in Ghana and Uganda are general frameworks that move beyond a sectorial lens in favour of a more integrated approach to urban development. The **Uganda** National Urban Policy provides direction for government agencies and local authorities to plan, implement, and effectively manage urban growth. The policy comprehensively tackles issues of urban poverty, waste management, unemployment, pollution and environmental degradation, urban disasters, crime, housing, congestion, infrastructure and urban governance.

The Ghana National Urban Policy is a framework of integrated directives on urban demographics and distribution, landforms, safety, governance, economy, service delivery, financial management, and the environment. The policy pays due consideration to the need for inclusion of the urban poor and vulnerable by targeting the provision of adequate and affordable housing. Participation and accountability is emphasised through the roles of local governments. In Vietnam, a comprehensive assessment of the various national sectoral strategies has been carried out first to make comprehensive recommendations for the urban national framework.

### III.2.1 Number of local pro-poor climate resilient strategies/plans developed

In **Ghana**, WASH assessments and plans were carried out for nine Low Income Urban Communities (LIUCS) within 11 Metropolitan/Municipal Assemblies (MMAs) in the GAMA area. The plans took the form of an assessment of sanitation needs, recommendations and guidelines on options for WASH service provision, and estimations of cost implications. The plans have informed and guided the World Bank's USD 150 million capital investment on the 'GAMA Water and Sanitation Project', and the Global Partnership for Output-Based Aid (GPOBA)'s USD 4.8 million investment to provide support for low income households in GAMA.

In Vietnam, community-based, participatory city development strategies have been prepared for the cities of Tam Ky and Qui Nhon. Five additional cities (Viet Tri, Hai Duong, Ben Tre, Ha Tinh, and Hung Yen) were involved to learn from the process, and it is expected that they will now undertake similar strategic exercises.

In **Uganda**, evidence-based Municipal Development Strategies (MDS) have been prepared by 14 municipalities under the coordination of the national government to promote long-term, proactive, and participatory planning so that they will be better positioned to accommodate future urban growth. The planning process has been directly linked to municipal capacity development; a very low planning skill base existed within the municipalities of focus, and considerable extra training has been required.

In **Mozambique**, a city development strategy (CDS) with a strong focus on resilience has been prepared by the municipality of Nampula. Local government capacity development was a strong component of this process which also involved the municipalities of Nacala and Tete with possibility for replication. In Maputo, (Chamanculo C) an integrated slum upgrading plan for the settlement was developed together with a drainage system plan for the greater area, since flooding in Chamanculo C cannot be separated from the neighbourhood's drainage deficiencies.

In **Burkina Faso**, harmonisation of different planning processes, namely the Programme Communal de Développement (PCD) and the Programme d'Occupation des Sols (POS), has been successfully piloted in Tenkodogo, and, as the result, the Burkina Faso National Urban Forum (2016) has recommended the replication of this process in other cities of the country.

### III.2.2 Average total financial resources mobilised by partners for strategy implementation

As mentioned above, building on the technical groundwork laid by the Country Programmes, there have been several direct follow-up investments by country programmes' partners in the countries of focus:

- **Ghana:** The World Bank has invested USD 150 million in WASH infrastructure. The Bank's WASH programme started in 2013 and is expected to run through 2018. The four components of the programme are: (i) provision of environmental sanitation and water supply services to priority low-income areas of the GAMA, including targeted campaign for WASH behaviour change; (ii) improvement and expansion of the water network in the GAMA; (iii) planning, improvement and expansion of GAMA-wide environmental sanitation services; and (iv) Institutional strengthening through providing technical assistance to MMAs and national institutions. DFID has also invested USD 4.8 million to support the provision of sustainable toilet facilities in low-income areas of GAMA through the World Bank-administered Global Partnership for Output-Based Aid (GPOBA). The GPOBA investment pilots an output-based approach that provides targeted, partial subsidies that encourage households to construct facilities and service providers to serve low-income neighbourhoods. The GPOBA project started in 2015.
- **Uganda:** The World Bank has invested USD 150 million in the Uganda Support to Municipal Infrastructure Development programme, which started in 2013 and is expected to run until 2019. The programme aims to enhance the institutional performance in urban service delivery of selected municipalities. Its approach involves providing funds for investment in urban infrastructure in a way that in parallel improves the capacities of local and national level institutions.
- **Vietnam:** The World Bank has invested USD 292 million in urban infrastructure in the Mekong Delta Region Urban Upgrading Project (MDR-UUP). The MDR-UUP started in 2012 and will close in December 2017. The programme has been progressing on activities that support upgrading primary, secondary and tertiary infrastructure in low-income urban areas of Vietnam, as well as the development of resettlement areas for affected persons. The ADB and USAID will also be funding USD 2 million for a Phase II of the Country Programme's National Urban Development Strategy project. This second phase will be comprised of a broad-based needs assessment and service coverage inventory, and the outputs will include a national urban resilience strategy and programme, improved national urban planning capacity, and improved capacity at national and city levels to implement climate change resilience.
- **Mozambique:** USD 2,442,800 was the financial contribution by Brazil and Italy as part of the tripartite partnership in support of the neighbourhood upgrading of Chamanculo C. Further investments in the area summing to a total of USD 5,980,731 have been made by other development partners including the World Bank and AVSI on infrastructure projects (such as the upgrading of the principal road and drainage running through Chamanculo C) and to cover the relocation costs required to meet the safeguard standards for resettlement. An additional investment of some USD 20 million is currently under discussion by the Italian Cooperation for further upgrading work in the area and to replicate the model to other neighbourhoods.

### III.3.1 Number of cities with regularly functioning governance mechanisms to engage citizens in urban governance

Most of the cities within the five Country Programmes have experienced significant achievements in community strengthening, which is a crucial precondition to any engagement. Overall, **31 mapping/enumeration** exercises have been carried out in slum communities, fostering skills and knowledge in the communities and strengthening their negotiating power with municipal authorities. Adding to community empowerment, over **386 community savings groups** have been mobilised, **three national federations developed**, and multiple settlement fora established across the areas and cities of intervention.

Most cities have also seen the creation and regular functioning of participatory mechanisms, where urban development priorities, issues, and investments are discussed on a multi-stakeholder and open platform. **Forty-three (43) municipal**

**level fora** have contributed to promoting participatory local governance by establishing regular dialogue between national government agencies, local authorities, communities, and the private sector. In Uganda, the success of the municipal development fora have been utilised by the World Bank's USMID project in support of infrastructure identification and prioritisation. Cumulatively across all countries, over **700 dialogue and consultative sessions** have been held between community groups and their local governments to inclusively plan and implement urban development, especially around the Community Upgrading Fund project implementation.

To further support participatory governance, guides, tools, policy papers and action plans have been developed on urban governance themes and processes.\*\*\*\*

### **III.3.2 Number of countries with regularly functioning governance mechanisms to engage citizens in urban governance**

National Urban Forums (NUFs) have been created and are operational in all five countries. The Mozambique National Urban Forum was successfully launched in November 2016 and is being promoted as a platform for dialogue, preparation, promotion and implementation of a national urban agenda. In Uganda, Vietnam, Burkina Faso and Ghana, the NUFs are fully institutionalised, and the responsible Ministries for urban development have mechanisms in place to plan and hold NUFs regularly. NUF charters, resolutions and strategies have been drafted and adopted to guide the scope, activities and operations of the fora. The NUF model not only serves to engage, create awareness and prioritise crucial urban issues in the countries but - in the case of Ghana - also as a platform to prepare for international policies and agreements (Habitat III).

### **III.3.3 Number of sustainable mechanisms to engage citizens (Catalytic Fund projects & projects at the city level)**

Several mechanisms for effective citizen engagement developed over the course of the Country Programmes have been lodged sustainably in the national urban management systems. In all the countries, the NUFs have been taken up by the Ministries in charge of urban development, not only as an annual event but as a continuous process to engage urban stakeholders in policy making. 43 municipal-level fora and more than 386 community savings groups have been mobilised through the Country Programmes, and they have been instrumental in defining community infrastructure projects such as the USMID project in Uganda. In Uganda, the National Urban Policy included the municipal forum as an institutional mechanism for citizen engagement.

### **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.**

Capacity development has been a strong component within Country Programmes, often cutting across all projects and consistently applying a learning-by-doing approach with the local counterparts. To date, training programmes have been completed around participatory community mapping/enumeration, financial management skills, community development and upgrading funds, municipal leadership, municipal finance, municipal service delivery. Accompanying manuals and tools have been published and disseminated widely. Further capacity building is on-going in the context of the National Urban Development Strategy development in Vietnam, the Municipal Development Strategies in Uganda, and the Community Upgrading Fund in Ghana.

\*\*\*\* Examples of guides and manuals produced include: The Uganda Urban Citizenship Toolkit: A Learning-by-Doing Approach to Active Urban Citizenship in Uganda; Operational Manual: Community Development Fund in Uganda; Community Profiling Manual, SDI, Ghana; Improving Urban Service Delivery and Strengthening Citizen Engagement through Citizen Report Cards: A Training Manual, ILGS, Ghana; Practitioners' Manual on Human Settlement and Spatial Planning, ILGS, Ghana; Strategic Leadership and Inclusive Urban Management: A Training Manual, ILGS, Ghana; Cahier Technique de Planification, d'Aménagement et de Gestion Urbaine in Burkina Faso; Operational Manual: Community Development Fund in Vietnam.

Over the course of the Country Programmes, **about 96 training workshops and meetings and 34 exchange missions have been organised, with more than 4,800 people trained**, including representatives from government ministries/departments, local government officials and technical staff, CBOs, and community leaders.

About 27 toolkits have been produced to facilitate training on urban themes such as community development, city development strategies, data collection, enumeration, strategic leadership, etc. <sup>†††</sup>

### **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.**

The capacities of urban institutions and training and support organisations have been improved over the course of the programmes by direct funding, providing platforms for networking and exchange, diagnostics and assessments, and facilitating the inclusion of these organisations into national policy making.

For instance, the institutional capacity of the Ministry of Local Governance and Rural Development in Ghana has been strengthened through support for the establishment of an Urban Development Unit (UDU) within the Ministry, and by organising capacity development for the Unit's personnel. ILGS - the main local governance training institution in Ghana - has been provided with direct funding to support its core mission around training for local authorities and production of skill development materials on topics such as resilience, strategic planning and metropolitan governance. A new curriculum and course framework has been developed for the Mid-Level Institute for Physical and Environmental Planning (IMPFA) in Mozambique to facilitate the training of municipal technicians, especially those working in secondary cities. In Burkina Faso, support has been given to the Ministry of Housing and Urban Development to establish the Country Programme Coordination Unit and to deliver training to local governments, especially in secondary cities.

The institutional capacities of city associations have been strengthened across all Country Programmes by acknowledging and reinforcing their role as the main convener and representatives of local authorities' issues and interests. In Vietnam, this occurred through the provision of direct funding to the Association of Viet Nam Cities (ACVN) to manage and execute development projects in cities. In Uganda, the Urban Authorities Association of Uganda (UAAU) has been working in close collaboration with the International City/County Management Association (ICMA) to provide training on municipal leadership to local governments, as well as developing a gap analysis assessment and implementation plan to strengthen itself. The targeted municipalities of the Burkina Faso Country Programme have been trained through an approach designed to also strengthen the institutional capacity of the Association of Municipalities of Burkina Faso (AMBF). In Mozambique, GIZ has been delivering technical assistance to support the National Association of Mozambican Cities (ANAMM) in its advocacy towards effective urban development and the Ministry of State Administration and Civil Service in leading the preparation of the National Urban Forum.

Educational institutions have also been brought on board such as Makerere University in Uganda, which has played a key role in carrying out research recommended by the National Urban Forum; this research has in turn fed into the drafting of the National Urban Policy for Uganda.

Finally, some significant examples of activities for networking and exchange include the National Urban Fora in all Country Programmes; the Annual Savers' Convention in Uganda; the participation of local organisations and government officials at international urban events such as WUF, Africities, Habitat III PrepComs and GIZ Sector Day; and south-south learning exchanges such as that between Ghana and Brazil.

<sup>††††</sup> Data for Ghana, Uganda and Vietnam; still tracking for Burkina Faso and Mozambique.

## TIER IV: SECRETARIAT OUTPUTS

OUTPUTS	INDICATORS	CRITERIA	2010	2012
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
	IV.1.2 Total financing per partnership agreement per year	US\$ total value (,000)	928	796
	IV.1.3 Diversity of partners per multi-member partnership agreement	Scale AVG score	2	2
IV.2 Technical Assistance (TA) activities appraised, approved and supervised ****	IV.2.1 Number of TA activities approved	Unit	21	15
	IV.2.2 Total value of TA activities approved	US\$ (,000)	8,081	3,978
	IV.2.3 TA activities effectively supervised	% of total reports received	N/A	N/A
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
	IV.3.2 Number of knowledge products produced with grant financing by the Secretariat	Unit	5	7
	IV.3.3 Audience access to knowledge products	Unique Visitor Access	36,656	69,830
	IV.3.4 Policy dialogues and formal learning events that are financed by grants and implemented by members and partners	Unit	8	8
	IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat	Unit	8	2
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
	IV.4.2 Grant Making Efficiency: From approval of grant to grant agreement	Days	107	80
	IV.4.3 Grant Making Efficiency: From grant agreement to first disbursement	Days	N/A	N/A
	IV.4.4 Grant Making Efficiency: From final disbursement to closing	Days	N/A	N/A
	IV.4.5 Members' impression of Secretariat effectiveness: support to governance meetings	Scale AVG score	N/A	N/A
	IV.4.6 Members' impression of Secretariat effectiveness: quality and timeliness of reports to Members	Scale AVG score	N/A	N/A
	IV.4.7 [NEW] Secretariat Greenhouse Gas Emissions performance (tonnes CO2 equivalent)	Average emissions per staff	N/A	N/A
	IV.4.8 [NEW] Secretariat staff capacity on Gender Mainstreaming	% positive feedback ratings	N/A	N/A
	IV.4.9 [NEW] Secretariat Delivery Performance. Rate of completed activities against the approved annual work plan	% completed activities	N/A	N/A

\*\*\*\* This indicator now includes not only TA grants, but also TA activities which have been procured.

	2013		2014	2015	2016	YEARLY PERFORMANCE STANDARD	% COMPLETE	STATUS (END CY 2016)
	WORLD BANK (UP TO 30 AUGUST 2013)	UNOPS (FROM 31 AUGUST - 31 DECEMBER 2013)						
	2	1	1	2	2	2	100%	●
	3,862	2,959	1,215	6,487	7,484	700	100%	●
	2.5	1	3	2,5	4	3	100%	●
	6	1	10	26	23	30	77%	●
	2,792	1,152	5,301	7,132	5,264	7,500	70%	●
	75%	75%	70%	90%	90%	90%	100%	●
	14	13	11	8	13	10	100%	●
	16	0	17	28	20	5	100%	●
	78,881	23,874	73,845	76,520	76,530	50,000	100%	●
	13	4	1	5	6	5	100%	●
	9	2	5	18	6	5	100%	●
	89	86	44	158	127	60	47%	●
	44	16	59	39	63	30	48%	●
	N/A	42	12	10	12	10	83%	●
	N/A	N/A	Tracking	Tracking	N/A	120	N/A	○
	N/A	3.7	4.8	4.6	4.7	4	100%	●
	N/A	4.3	4.6	4.5	4.6	4	100%	●
	N/A	N/A	N/A	13.4 [2014]	12.3 (2015)	5 § § § §	41%	●
	N/A	N/A	N/A	57%	N/A	75%	N/A	○
	N/A	N/A	N/A	65%	70%	100%	70%	●

## NOTES TIER IV: METHODOLOGY AND 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 still not in line with the performance standards. The high number of days is due to a combination of internal non-optimised processes, grantee degree of responsiveness, and allocation of time. Cognisant of the challenge, in 2016, the Secretariat identified and put in place significant measures to increase internal efficiency. While the trend is already showing a positive sign compared to the previous years, it is expected that the benefits of these reforms will become fully visible only in the figures for 2017.

For indicator IV.4.1, data used for calculation include Projects which Project Proposals have been approved within the timeframe of a given calendar year (1 January - 31 December). For indicator IV.4.2, data used for calculations include Projects which project related grant agreements have been countersigned within a given calendar year (1 January - 31 December). For indicator IV.4.3, data includes projects for which the first disbursements were made in a given calendar year (1 January - 31 December).

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, progress on gender mainstreaming (a pillar of the Medium-Term Strategy), and ability to deliver against the corporate work plan. Please see note below on the GHG emissions target.

§ § § § 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.

# 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.

#### I.1.1 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 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

#### I.1.2 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>

#### I.1.3 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](http://www.unicef.org/sowc2012/pdfs/SOWC%202012-Executive%20Summary_EN_13Mar2012.pdf)

#### I.1.4 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

## 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.

#### II.1.1 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.

#### II.1.2 Municipal employees per 1000 inhabitants [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 in absolute numbers (000s).

Sources: Human Resources department of municipality; national population census and population estimates.

#### II.1.3 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.

#### II.1.4 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.

#### II.1.5 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

#### II.1.6 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

### II.1.7 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.

### II.1.8 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: City IT Departments.

### II.1.9 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

### II.1.10 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.

### II.1.11 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.

### II.1.12 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

### II.1.13 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

### II.1.14 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

### II.1.15 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

### II.1.16 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 USD.

Source: AidData

### II.1.17 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
Little or no reference to city and urban themes	Representation of urban and city themes	Urban and city agenda considered as a corporate priority

## Tier III: Cities Alliance Intermediate Outcomes

### III.1. NATIONAL POLICY FRAMEWORKS DEVELOPED AND/OR ENHANCED TO ADDRESS URBAN DEVELOPMENT NEEDS

#### III.1.1 (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 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
Policy not developed	Policy under development	Policy developed	Policy adopted

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

#### III.1.2 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
Policy not developed	Single sectoral policy developed	Sectoral policies developed	Comprehensive and integrated policy framework developed

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

#### III.2.1 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

#### III.2.2 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

### III.3 MECHANISMS TO ENGAGE CITIZENS IN CITY/URBAN GOVERNANCE DEVELOPED

#### III.3.1 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
Mechanisms to engage citizens do not exist at community and municipal level or mechanisms are <i>ad-hoc</i> and scarce.	Community/saving and other stakeholders groups are formed, processes for municipal fora (charter development, preparation of a workplan, etc.) are under development.	Community groups are federated at municipal level, stakeholders are organised and municipal fora are held.	Municipal forum charter is adopted with a budget and an action plan, community federations/groups and other stakeholders actively participate in the municipal fora.

Sources: CP progress and completion reports; CATF completion reports; member survey (lead member)

#### III.3.2 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
Mechanisms to engage citizens do not exist at national levels or mechanisms are <i>ad-hoc</i> , unstructured and scarce.	Processes for national forum (charter development, preparation of a workplan, etc.) are under development and stakeholders are identified and engaged.	Stakeholders groups are organised and national forum is held.	National forum charter is adopted with a budget and an action plan, stakeholders actively participate in national fora.

#### III.3.3 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
No/ <i>ad hoc</i> mechanism	Mechanism integrated into core grant activities	Mechanism integrated in implementing grant and likely to be used in the future outside the grant life cycle

### III.4. CAPACITIES OF CITIES IN GOVERNANCE AND MANAGEMENT STRENGTHENED.

#### III.4.1 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
No capacity strengthening activities have been conducted by Cities Alliance partnership.	Capacity development activities have been conducted, but strengthening is not yet evident.	Capacity of local government authorities has been strengthened.

Sources: CP progress and completion reports; CATF completion reports; member survey

**III.4.2 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 organisations have been conducted by the Cities Alliance partnership.	Capacity development activities for training and support organisations have been conducted, but strengthening is not yet evident.	Capacity of training and support organisations has been strengthened.

Sources: CP progress and completion reports; member survey

## Tier IV: Cities Alliance 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.

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

#### IV.1.2 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.

#### IV.1.3 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.<sup>1</sup>

<sup>1</sup> Sub-indicator to measure private sector engagement. Numerator: Number of instances private sector participates. Denominator: total number of partnering activities.

### 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

## IV.2. TECHNICAL ASSISTANCE (TA) ACTIVITIES APPRAISED, APPROVED AND SUPERVISED.

### IV.2.1 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

### IV.2.2 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.

### IV.2.3 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.

### IV.3.1 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

### IV.3.2 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

### IV.3.3 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 CA website on specific knowledge pages/downloads from targeted countries). Total number of unique visitors to the CA website from targeted countries.

Source: Cities Alliance Secretariat records.

#### **IV.3.4 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.

#### **IV.3.5 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.

### **IV.4. EFFECTIVE MANAGEMENT AND RESPONSIVE GOVERNANCE OF CITIES ALLIANCE DELIVERED.**

#### **IV.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

#### **IV.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.

#### **IV.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

#### **IV.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

#### **IV.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

#### **IV.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

#### **IV.7 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.

#### **IV.8 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.

#### **IV.9 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.

# ANNEX 2

## TIER III - INTERMEDIATE OUTCOMES - 2016 SNAPSHOT

### TIER IV: SECRETARIAT OUTPUTS

INDICATORS	DEFINITION/SUB-INDICATORS	BURKINA FASO	Ouagadougou	Bobo-Dioulasso	Dédougou	Dori	Tenkodogo	GHANA	Ashaiman	Tema	Ledzokuku-Krowor	Adentan	Accra Metropolitan	Kpone Katamanso	La-Nkwantanang-Madina	La-Dade-Kotopon	Ga East	Ga West	Ga Central	Ga South	Shai Osudoku	
III.1 National policy frameworks developed and/or enhanced to address urban development needs	III.1.1 Status of development of national policy(ies) related to urban [Rating scale (0-3)]	N/A						3														
	III.1.2 Status of development of national urban policy frameworks [Rating scale (0-3)]	N/A						3														
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 [RED - Strategy/plan not developed; YELLOW - Strategy/plan under development; GREEN - Strategy/plan development]		N/A	N/A	N/A	N/A																
III.3 Mechanisms to engage citizens in city/urban governance developed	III.3.1 Regularly functioning governance mechanisms at the city level to engage citizens in urban governance [Rating scale (0-3)]		N/A	2	2	2	2		2	2	2	2	2	2	2	2	2	2	2	2	2	2
	III.3.2 Regularly functioning governance mechanisms at the national level to engage citizens in urban governance [Rating scale (0-3)]	3						2														
III.4 Capacities of cities in governance and management strengthened	III.4.1 Capacity of local governments has been strengthened in areas such as strategic planning, financial management, and human resources management [Rating scale (0-2)]		2	2	2	2	2		2	2	2	2	2	2	2	2	2	2	2	2	2	2
	III.4.2 Capacity of training and support organisations to train local government officials and current and future urban technical experts has been strengthened [Rating scale (0-2)]	2						2														

2			2				2		VIETNAM
	2		N/A						Viet Tri
	2		N/A						Lao Cai
	2		N/A						Hai Duong
	2		N/A						Hung Yen
	2		N/A						Ha Tinh
	2		N/A						Dong Hoi
	2								Tam Ky
	2								Quy Nhon
	2		N/A						Cao Lanh
	2		N/A						Ben Tre
2							2		UGANDA
	2								Arua
	2								Entebbe
	2								Fortportal
	2								Gulu
	2								Hoiima
	2								Jinja
	2								Kabale
	2								Lira
	2								Masaka
	2								Mbale
	2								Mbarara
	2								Moroto
	2								Soroti
	2								Tororo
2							N/A		MOZAMBIQUE
	N/A		N/A						Maputo (Chamanculo C)
	2		N/A						Nacala
	2		N/A						Nampula
	2		N/A						Tete
2.0	2.0	2.2	2.0				2.3		AVERAGE
0	0	0	0				0		# score 0
0%	0%	0%	0%				0%		% score 0
0	0	0	0				0		# score
0%	0%	0%	0%				0%		% score 1-2
5	45	5	41				3		# score 2-3
100%	100%	100%	100%				100%		% score 2-3
5	45	5	41				3		TOT # of countries/cities



**Cities Alliance**  
Cities Without Slums