

Cities Alliance

2014 CORPORATE SCORECARD



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1. CITIES ALLIANCE RESULTS AND PERFORMANCE MANAGEMENT

1.1 BACKGROUND

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

Corporate Scorecard. This corporate scorecard serves as a snapshot of the Cities Alliance's overall performance and results in 2014 and as a report to the Cities Alliance Management Board. It provides the Cities Alliance with information on the achievement of development results, effectiveness in achieving those results, and efficiency of its operations. The scorecard is also meant to support strategic planning to fill crucial gaps, foster learning and corrective actions, and promote accountability for results.

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

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

The Results Framework is approved by the Consultative Group as part of its responsibility for setting the strategic direction of the Cities Alliance, and for reviewing and evaluating the organisation's overall performance. The Consultative Group approved the current version of the Cities Alliance Results Framework at the 2013 Annual Meetings in Ouagadougou. At that time, it also decided to operationalise and test the framework within the

five Cities Alliance Country Programmes with a 2016 target.

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

1.2. TIERS EXPLAINED

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

Some of these indicators will be revised to align them to the Sustainable Development Goal (SDG) debate after 2015.

Tier II: Partner results as supported by Cities Alliance members. The Cities Alliance provides technical assistance programmes and services to leverage the financing that helps cities to be more effective, participatory and able to deliver improved, responsive services to the urban poor. While Cities Alliance members are the clients of the Secretariat, the city (broadly defined) is the client of the Cities Alliance. Cities and national government partners are responsible for results at this level. A partnership of Cities Alliance members can only support the achievement of these results in partnership with beneficiaries and partners on the ground.

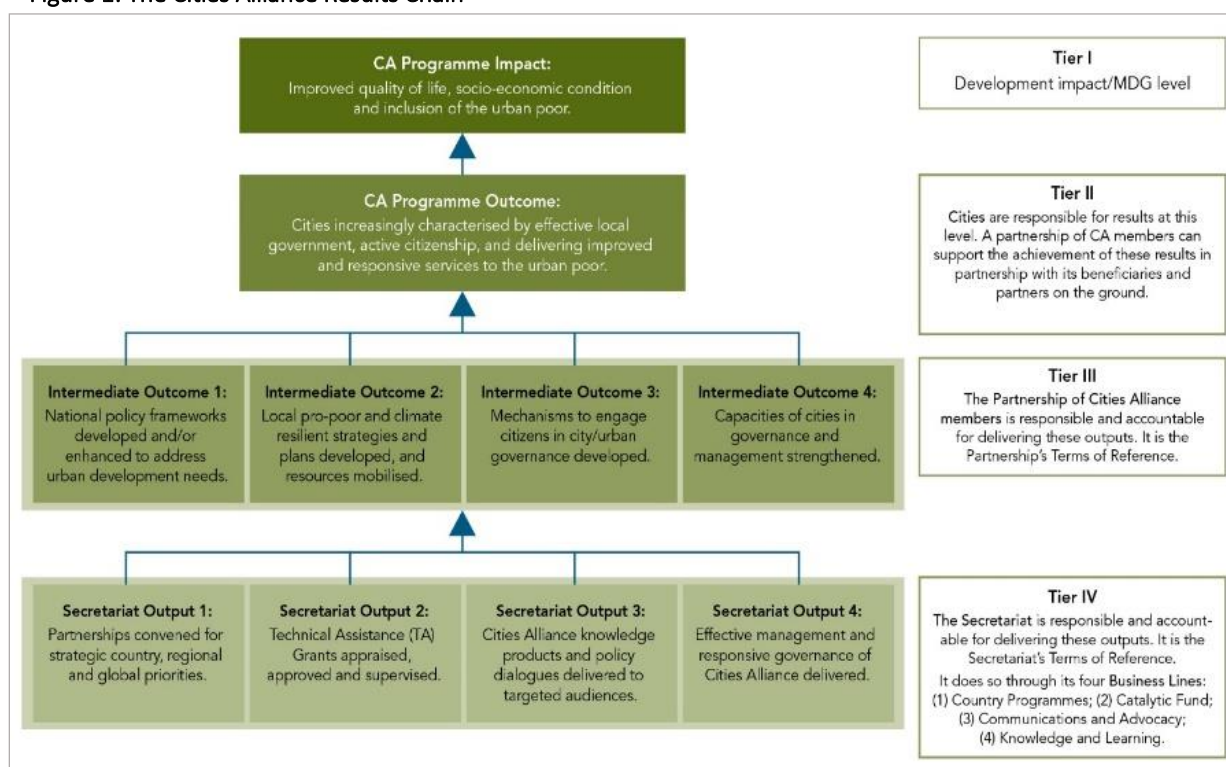
Tier III: Cities Alliance programmatic results. This tier covers the programme activities of the Cities Alliance. With the support of the Secretariat, the partnership of Cities Alliance **members** provides financing and implementation of technical assistance to local and national partners within a long-term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

The partnership of Cities Alliance members – with the support of the Secretariat – is responsible and

accountable for delivering these outputs. It is the Partnership's Terms of Reference.

Tier IV: Secretariat performance. This tier covers the organisational efficiency of the Cities Alliance Secretariat across four major areas of operations: partnerships; Technical Assistance grants; knowledge products and policy dialogues; and management of Cities Alliance governance. The Secretariat is responsible and accountable for delivering these outputs. It is the Secretariat's Terms of Reference. It does so through its four Business Lines: (1) Country Programmes; (2) Catalytic Fund; (3) Communications and Advocacy; (4) Knowledge and Learning

Figure 1: The Cities Alliance Results Chain



1.3. THE WAY FORWARD

1

INTRODUCING QUALITY TO TIER IV.

Some of the performance indicators (Tier IV) – most notably those related to knowledge outputs – will be increased and further refined to capture quality assessment aspects.

2

SETTING MORE PRECISE TARGETS FOR TIER II.

Now that the baseline for Tier 2 has been collected, new, more realistic targets can be set with partners in the countries. At the moment, targets feature a traditional 5% increase over a period of three years.

3

ENLARGING THE UNIVERSE.

The RF/PIMS was pilot tested within the active Country Programmes. Given its usefulness in guiding the design and management of programmes, it is suggested that some relevant indicators, baselines and tracking systems are also expanded to include countries under the new Future Cities Africa programme, funded by DFID. In this way results could be captured should this initial phase be followed up by further investments.

4

TESTING NEW INDICATORS FOR THE MTS.

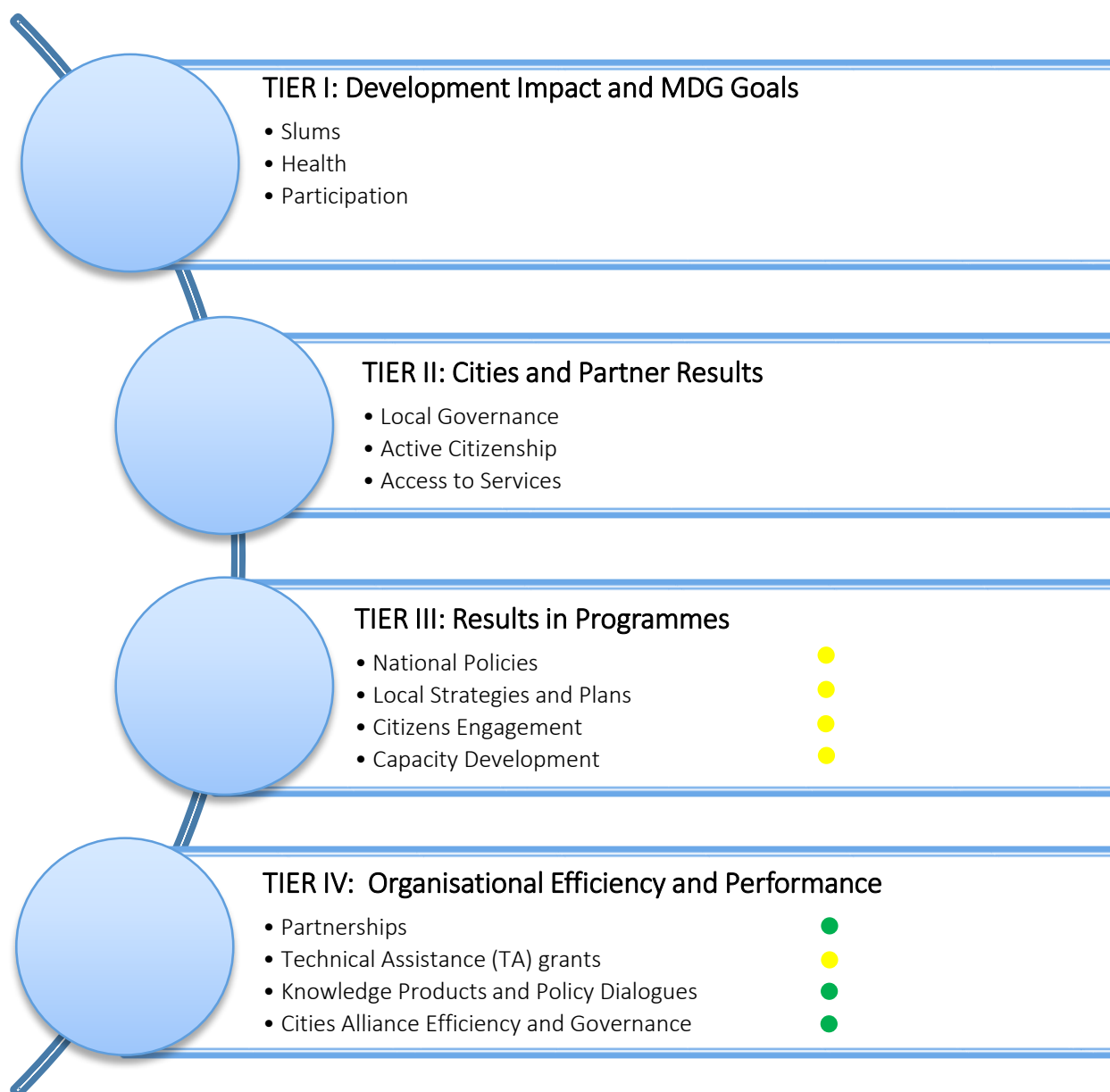
The RF/PIMS should be also able to engage with the new thematic and operational priorities which the MTS delineates. It is advised that in countries where the new MTS strategic directions are operationalised into TA projects, new indicators are also tested. These indicators could then be included in an updated version of the RF at the end of the current cycle to 2016.

5

MAKING IT THE CORE OF THE ANNUAL REPORT.

The scorecard data will be at the core of the 2014 Annual Report. The quantitative results will be complemented by qualitative narrative capturing the most significant changes within Cities Alliance programmes in the current calendar year.

2. SUMMARY OF THE 2014 CORPORATE SCORECARD



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

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 ¹	CRITERIA [Only measured in cities and countries where Cities Alliance works]	BASELINE [2007/2013]	CURRENT 2013	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%	N/A	
	I.1.2 Percentage of households in urban areas that exist without secure tenure	%	N/A	N/A	
	I.1.3 Under age 5 mortality rate in urban areas	Per 1000	73.5	N/A	
	I.1.4 Participation of urban poor in the voting population	%	N/A	N/A	

¹ TIER I/MDG Indicators have not been tracked regularly in many countries as expected. Currently are under revisions to align them to the post 2015 agenda and the Sustainable Development Goal (SDG).

TIER II - OUTCOMES

OUTCOME	INDICATORS	CRITERIA [Only measured in cities and areas where Cities Alliance works]	BASELINE [YEAR]	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\$ <i>[total expenditures / population]</i>	51.2 USD [2013]	53.8 USD	
	II.1.2 Average number of municipal employees as a percentage of the total population per year	% <i>[# Employees / total population]</i>	0.47% [2013]	0.49%	
	II.1.3 Average number of women among municipal employees	% <i>[# women employees / total municipal employees]</i>	41.8% [2013]	43.9%	
	II.1.4 Proportion of municipal employees with post-secondary education.	% <i>[# employees with edu / total municipal employees]</i>	55.8% [2013]	58.6%	
	II.1.5 Average percentage of voter participation	% <i>of all eligible voters</i>	56.9% [2010/ 2013]	59.7%	
	II.1.6 Average percentage of women voter participation	% <i>of all eligible women</i>	N/A	N/A	
	II.1.7 Average ratings on existence of a municipal website for citizen questions and complaints.	Scale <i>[0-2]</i>	1 [2013]	2	
	II.1.8 Average ratings on functioning of local-level structures for consultations	Scale <i>[0-2]</i>	1.5 [2013]	2	
	II.1.9 Average ratings on participatory planning process in place (budgetary or other)	Scale <i>[0-2]</i>	1.5 [2013]	2	
	II.1.10 Average ratings on levels of civil society activity in municipality.	Scale <i>[0-2]</i>	1.5 [2013]	2	
	II.1.11 Average proportion of households in slum and/or low-income areas with regular access to potable water	%	47.9% [2013]	50.3%	

II.1.12 Average proportion of kilometres of maintained roads/paths in slum and/or low-income areas	%	84.1% [2013]	88.3%	
II.1.13 Average proportion of households in slum and/or low-income areas with sewerage connections	%	21.7% [2013]	22.8%	
II.1.14 Average proportion of households in slum and/or low-income areas with regular electricity connections	%	59.5% [2013]	62.5%	
II.1.15 Average proportion of households in slum and/or low-income areas with regular solid waste collection	%	39.8% [2013]	41.8%	
II.1.16 Effectiveness of advocacy and knowledge product dissemination – Average Official Development Assistance for urban development	US\$ (,000,000) [# ODA flows]	30.6 [2012]	32.1	
II.1.17 Effectiveness of advocacy and knowledge product dissemination – Average ratings for prominence of city and urban themes in corporate strategic directions [Cities Alliance members]	Scale [0-2]	1.6	2	

NOTES TIER II: METHODOLOGY AND QUALITATIVE RESULTS

This tier is aimed at the collection of city indicator baselines for the first five Cities Alliance Country Programmes (Uganda, Ghana, Mozambique, Burkina Faso and Vietnam), which comprise the universe for the initial pilot phase of the PIMS. In Burkina Faso the baseline study on Tier II indicators has been carried out by Agence Perspective, a national consultancy firm which provided the initial diagnostic for the development of the country programme. In Ghana, the work has been carried out by ILGS and is part of the 'sustainable urban local government capacity building' grant. In Vietnam, the work has been carried out by ACVN. Given the high number of participating Vietnamese cities, a representative sample is based on factors including size, geography, and degree of involvement in the programme. In Uganda, the baseline study has been conducted by a team within the Ministry of Lands, Housing and Urban Development. Mozambique data for Tier II has not been collected because the programme's geographic scope is being redefined due to municipal elections across the country. Relevant indicators for the other grants are currently tracked.

Given the strong linkages that have been created between the TA provided and capital investments follow-up in many of the Country Programmes, there is a degree of confidence that some of the above baselines will have a positive evolution. A 5% increase has been calculated as standard target but will be revised in conjunction with partners now that the process of baseline completion has been achieved.

TIER III - INTERMEDIATE OUTCOMES [NOTE: Read this in conjunction with Annex II] ²							
OUTCOME	INDICATORS	CRITERIA	BASELINE 2011	CURRENT 2014	TARGET 2016	% 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	2	4 ³	50%	On track to be completed by 2016 - grants all operational
	III.1.1b Number of countries with national urban policy(ies) adopted	Unit (aggregate from scale: values = 3)	0	0	3	0%	On track to be completed by 2016 - grants all operational
	III.1.2 Number of countries with national urban policy frameworks developed	Unit (aggregate from scale: values= 3)	0	1	3	33%	On track to be completed by 2016 - grants all operational
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	2	42	5%	On track to be completed by 2016 - grants all operational
	III.2.2 Average total financial resources mobilised by partners for strategy implementation	US\$	N/A	N/A	500K	tracking	
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	5	42	12%	On track to be completed by 2016 - grants all operational
	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	2	5	40%	On track to be completed by 2016 - grants all operational
	III.3.3 Number of sustainable mechanisms to engage citizens (Catalytic Fund projects & projects at the city level)	Unit	0	N/A	25	tracking	
III.4 Capacities of cities in governance and management strengthened	III.4.1 Number of cities where the capacity of local governments has been strengthened in areas such as strategic planning, financial management, and human resources management	Number (aggregate from scale = 2)	0	0	37	0%	On track to be completed by 2016 - grants all operational
	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	0	4	0%	On track to be completed by 2016 - grants all operational

² Most of the current indicators values are aligned with the delivery of the targets. Delayed from baselines to current status is due to the upfront time for programme set up and the institutional transition. With minimal exceptions, all CP grants are currently operational and under implementation. All LSC funds will be disbursed and spent by the end of 2016 meeting the programmatic objectives.

³ Targets in red that were initially established in 2013 has been slightly revised after consultation and validation with country partners.

NOTES TIER III: METHODOLOGY AND QUALITATIVE RESULTS

Annex II provides a snapshot of Tier III across the different cities and countries participating in the Country Programmes. These indicators are mainly maturity scales which go from an initial stage at inception to maturity (in terms of optimisation/institutionalisation/scale etc.) at the end point of the programme. Most of the targets are set to be 'green' at the end of 2016, which coincides with the end of the Land, Services and Citizenship (LSC) programme. In addition to impact gauged by the current indicators, the following are some of the Most Significant Changes (MSC) that have occurred during the year:












Burkina Faso. All indicators are on track and in line with the achievement of the 2016 targets. Ownership of the programme has been highly strengthened at both the national and local levels through the establishment of a Programme Steering Committee chaired by the Ministry of Habitat and Urban Development (Comité de Pilotage); the provision of technical staff to coordinate and support Programme implementation (Cellule de Coordination); and the legal establishment of a multi-actor coordination body (Comité de Pilotage) composed by the Ministry of Habitat and Urban Development, the Association of Municipalities of Burkina Faso, and CSOs. The programme is also creating a catalytic effect by attracting more interventions in the targeted areas; UN-Habitat has incorporated its Participatory Slum Upgrading Programme (PSUP) in Ouagadougou into the Country Programme, while the World Bank is carrying out a scoping study to bring in an energy component.







Ghana. All indicators are on track and in line with the achievement of the 2016 targets. The National Urban and Housing Policies provides the first comprehensive urban governance framework in Ghana's history. Cities Alliance has contributed substantially to a new dialogue on urban development and a national urban action plan, in a country where one of the greatest challenges for the urban poor has been the threat of eviction. Urban Development has come onto the agenda guided by the National Urban Policy and meanwhile the fourth National Urban Forum has been held. Both the President of Ghana and the Minister of Local Government and Rural Development (MLGRD) have actively and publicly taken up the urban agenda. In April 2014, for the first time a Ghanaian delegation led by the President attended the World Urban Forum held in Medellin, both with a booth and hosting side events. In this context, the Cities Alliance advocacy campaign was highly successful. A large-scale multi-media dissemination approach has spread the videos' message and radio spots through social media, TV, radio, online, and in leading newspapers, to generate broad public awareness and debate and to stimulate public and local government action aimed at making a positive impact on the cities.

The recommendations of the assessments of sanitation and water needs in nine low-income urban communities carried out in the frame of the LSC set the basis for a \$150 million grant from the World Bank. The grant will address critical sanitation and water issues for low-income communities in Greater Accra Metropolitan Area (GAMA) and the local capacity building efforts of ILGS and People's Dialogue work at community level are linked to leverage this initiative.

Uganda. All indicators are on track and in line with the achievement of the 2016 targets. The national urban policy has been approved by the Parliament, and now the political debate has shifted on the mobilisation of resources for the implementation phase. By virtue of the support from the related Gates Foundation grant, municipal development forums (MDF) and their executive committees have been set up in the nine municipalities participating in the second phase of the programme. All municipalities have agreed upon a 5-year infrastructure development plan and on a first set of priority projects to be financed by the World Bank IDA credit of \$150 million that will be implemented over the next year.

Vietnam. All indicators are on track and in line with the achievement of the 2016 targets. The programme's advocacy efforts have been successful in soliciting interest from cities to adopt a community-driven approach to slum upgrading and use the community-driven, bottom-up approach to city development planning. On the back of the successes achieved under the Asian Coalition for Community Action (ACCA) programme in 16 cities in Vietnam – using the Community Development Fund (CDF) for infrastructure and housing improvement in low-income communities – 10 small and medium cities have agreed to implement citywide slum upgrading programmes using a similar approach as well as another 10 cities in the learning network. The coherence of effort of Cities Alliance members and partners in Vietnam is demonstrated by the fact that the National Urban Development Strategy (NUDS) Foundation Phase proposed for Cities Alliance support is synchronised with related World Bank activities and with the subsequent follow-up for the complete NUDS development to be funded by the Asian Development Bank and USAID.

TIER IV: SECRETARIAT OUTPUTS										
OUTPUTS	INDICATORS	CRITERIA	2010	2012	2013		2014 (From 31 Jan - 31 Dec 2014)	YEARLY PERFORMANCE STANDARD	% COMPLETE	STATUS (end CY 2014)
					World Bank (Up to 30 August 2013)	UNOPS (From 31 August - 31 December 2013)				
IV.1 Partnerships convened for strategic country, regional and global priorities	IV.1.1 Multi-member partnership agreements endorsed by the partners per year	Unit	1	2	2	1	1	2	50%	
	IV.1.2 Total financing per partnership agreement per year	US\$ total value (,000)	928	796	3,862	2,959	1,215	700	100%	
	IV.1.3 Diversity of partners per multi-member partnership agreement	Scale AVG score	2	2	2.5	1	3	3	100%	
IV.2 Technical Assistance (TA) grants appraised, approved and supervised	IV.2.1 Number of TA grants approved	Unit	21	15	6	1	10	30	33%	
	IV.2.2 Total value of TA grants approved	US\$ (,000)	8,081	3,978	2,792	1,152	5,301	7,500	71%	
	IV.2.3 TA grants effectively supervised	% of total reports received	N/A	N/A	75	75	70	90	78%	
IV.3 Cities Alliance knowledge products and policy dialogues delivered to targeted audiences	IV.3.1 Number of knowledge products produced with grant financing by members and partners	Unit	2	14	14	13	11	10	100%	
	IV.3.2 Number of knowledge products produced with grant financing by the Secretariat	Unit	5	7	16	0	17	5	100%	
	IV.3.3 Audience access to knowledge products	Unique Visitor Access	36,656	69,830	78,881	23,874	73,845	50,000	100%	
	IV.3.4 Policy dialogues and formal learning events that are financed by grants and implemented by members and partners	Unit	8	8	13	4	3	5	60%	
	IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat	Unit	8	2	9	2	12	5	100%	

IV.4 Effective management and responsive governance of Cities Alliance delivered	IV.4.1 Grant Making Efficiency: From initial submission of proposal to approval of grant	Days	113	67	89	86	44	60	100%	
	IV.4.2 Grant Making Efficiency: From approval of grant to grant agreement	Days	107	80	44	16	59	30	51%	
	IV.4.3 Grant Making Efficiency: From grant agreement to first disbursement	Days	N/A	N/A	N/A	42	12	10	82%	
	IV.4.4 Grant Making Efficiency: From final disbursement to closing	Days	N/A	N/A	N/A	N/A	Tracking	120	N/A	
	IV.4.5 Members' impression of Secretariat effectiveness: support to governance meetings	Scale AVG score	N/A	N/A	N/A	3.7	4.8	4	100%	
	IV.4.6 Members' impression of Secretariat effectiveness: quality and timeliness of reports to Members	Scale AVG score	N/A	N/A	N/A	4.3	4.6	4	100%	

NOTES TIER IV: METHODOLOGY AND QUALITATIVE RESULTS

Tier IV, the Secretariat level, is under constant tracking and regularly updated through the information gathered by the Cities Alliance project database. The major areas of intervention refers to indicator IV2.1. It should be noted that while there were 10 grants approved in CY14, it also rebuilt a significant pipeline with over 20 grants, most in the final stages which will be reflected in the 2015 scorecard. The efficiency indicators (IV.1 to IV.4) are expected to improve significantly now that the Cities Alliance is fully staffed and there is greater familiarity with UNOPS systems and procedures. For indicator IV.4.1, data used for calculation include Projects which Project Proposals have been approved within the timeframe 1 January - 31 December 2014. For indicator IV.4.2, data used for calculations include Projects which project related grant agreements have been countersigned from 1 January - 31 December 2014. For indicator IV.4.3, data include Projects which the first disbursements have been made between 1 January - 31 December 2014. Indicators IV.4.5 and IV.4.6 reflected the members survey questionnaire results (questionnaires were circulated during ExCO meeting in Medellín, Colombia, 6 April 2014 and in Addis, Ethiopia, ExCO and Consultative Group meetings, 5-7 November 2014).

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

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

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%20O12-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 person [Effective Local Government]. Numerator: Total number of employees directly or indirectly employed by the municipality in a given year. Denominator: Total population of municipality in same year. Figure expressed as a percentage.

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

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:**

Sources: City IT Departments.

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

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

Sources: Information from website and/or operating budget; data from municipal administration

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	Little or no participatory planning
1	Formal planning structures in place for budgets and planning projects
2	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:**

Sources: Cities Alliance Secretariat, Civil Society Index.

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

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 US\$.

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	Little or no reference to city and urban themes
1	Representation of urban and city themes
2	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 of the following aspects: housing, slum upgrading, transport, land, fiscal decentralisation. Policies are officially adopted through ministerial decree or pertinent legal declaration (must have legal status and budgetary commitment). Rating scale – status of an urban development policy in a given country:

0	Policy not developed
1	Policy under development
2	Policy developed
3	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	Policies not developed
1	Single sectoral policy developed
2	Sectoral policies developed
3	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	Mechanisms to engage citizens do not exist at community and municipal level or mechanisms are <i>ad-hoc</i> and scarce.
1	Community/saving and other stakeholders groups are formed, processes for municipal fora (charter development, preparation of a workplan, etc.) are under development.
2	Community groups are federated at municipal level, stakeholders are organised and municipal fora are held.
3	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	Mechanisms to engage citizens do not exist at national levels or mechanisms are <i>ad-hoc</i> , unstructured and scarce.
1	Processes for national forum (charter development, preparation of a workplan, etc.) are under development and stakeholders are identified and engaged.
2	Stakeholders groups are organised and national forum is held.
3	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	No/ <i>ad hoc</i> mechanism
1	Mechanism integrated into core grant activities
2	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	No capacity strengthening activities have been conducted by Cities Alliance partnership.
1	Capacity development activities have been conducted, but strengthening is not yet evident.
2	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	No capacity development activities of training and support organisations have been conducted by the Cities Alliance partnership.
1	Capacity development activities for training and support organisations have been conducted, but strengthening is not yet evident.
2	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.⁴

Rating scale:

0	No non-member partners
1	One category of non-member partners

2	At least two categories of non-member partners
3	Three or more categories of non-member partners

IV.2. Technical Assistance (TA) grants appraised, approved and supervised.

IV.2.1 TA grants (CP and CATF) approved. Indicator measures the total number of TA grant proposals (CP and CATF) 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 grants approved. Indicator measures the total cumulative US\$ value funded by the Cities Alliance of TA grants (CP and CATF) approved in a given year following the appraisal process.

IV.2.3 TA grants supervised. Indicator measures quality of supervision. Percent of grants with progress and completion reports that include information on process and results achieved in a given year. Numerator: number of grants with at least 75% of all required progress and completion reports. Denominator: Total number of TA grants 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.

⁴ Sub-indicator to measure private sector engagement.
Numerator: Number of instances private sector participates.
Denominator: total number of partnering activities.

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

ANNEX 2. TIER III - INTERMEDIATE OUTCOMES - 2014 SNAPSHOT

[illegible]