accenture
High performance. Delivered.
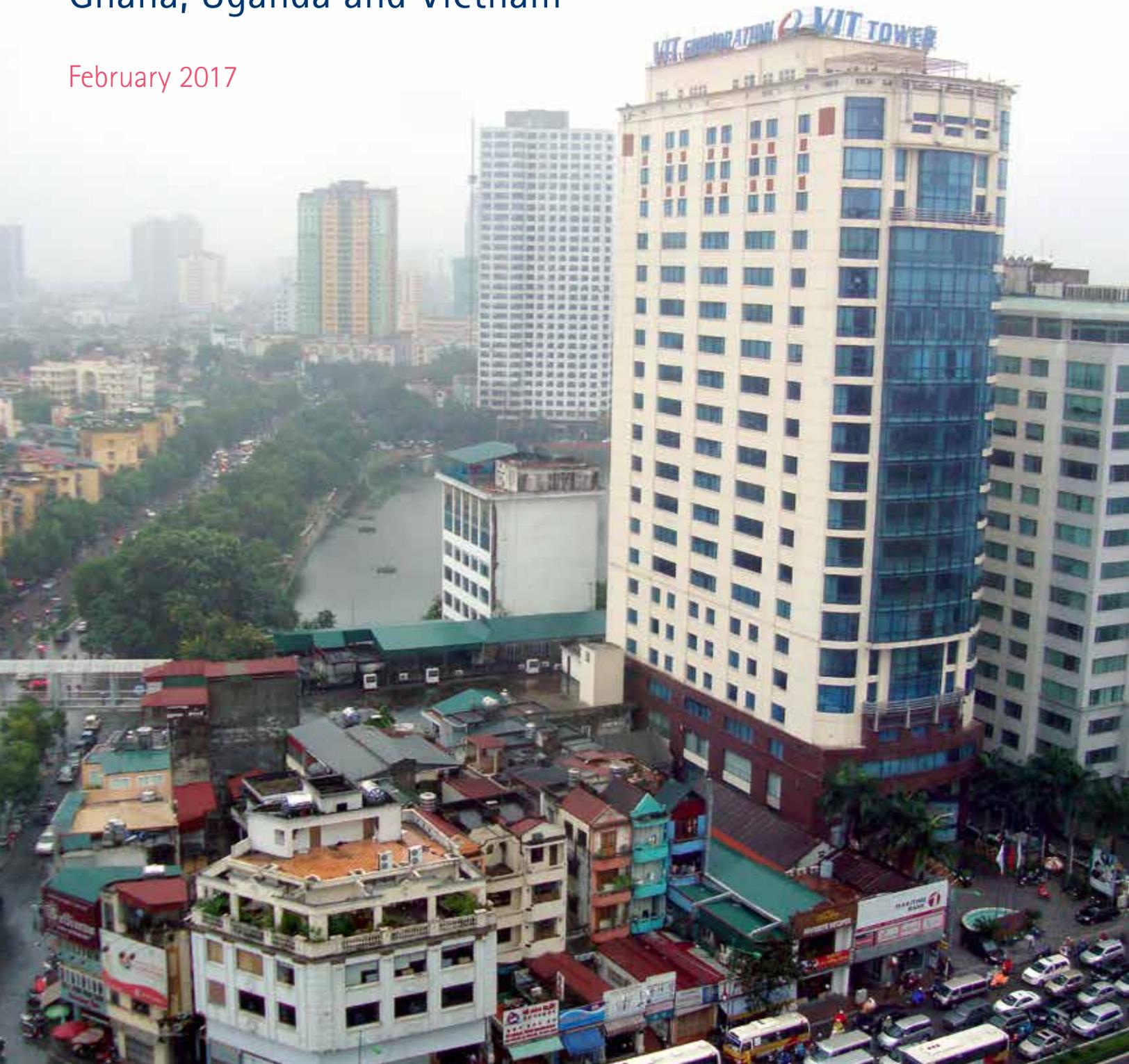
Cities Alliance
Cities Without Slums

Programme Evaluation of Cities Alliance Country Programmes

Ghana, Uganda and Vietnam

February 2017

Contents

Executive summary

Introduction

Cities Alliance is a global partnership for poverty reduction and the promotion of sustainable development in cities, hosted by the United Nations Office for Project Services (UNOPS) (Cities Alliance, 2016). Launched in 1999 jointly by the World Bank and UN-Habitat, the Cities Alliance provides technical and financial assistance to address urban poverty in developing countries. To help gauge the effectiveness—and highlight the success—of its efforts, Cities Alliance commissioned an independent evaluation of the first wave of its Country Programmes, which included Ghana, Uganda and Vietnam. The evaluation sought to inform future strategies and programming by investigating the existing processes and their performance in the field. Additionally, the evaluation could help promote a common understanding of the programmes, while fostering dialogue regarding their assumptions, modalities and achievements among both beneficiaries and a wider international audience.

Methodology

The evaluation was conducted over 16-weeks, from September 2016 to January 2017. An evaluation framework and indicators were determined leveraging the Organisation for Economic Co-operation and Development's (OECDs) pillars of Relevance, Effectiveness, Efficiency and Sustainability, in conjunction with Cities Alliance's Results Framework and input from key stakeholders. The report also includes a separate pillar on Partnerships, a core indicator of the effectiveness of the programmes. Primary data was collected through visits to each country, interviews and surveys, and was supplemented by secondary data from project documentation. All findings were synthesized and analysed to produce recommendations per country and pillar.

Recommendations

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.

Relevance	• Perform detailed country reviews. • Sequence and connect projects in the programme design. • Adapt the approach to address new challenges.
Effectiveness	• Select best-for-purpose partners. • Develop in-country capacity.
Efficiency	• Ensure Cities Alliance presence on the ground. • Improve grant mechanisms.
Sustainability	• Implement a long-term programmatic approach. • Streamline the monitoring and evaluation processes.
Partnerships	• Engage partners outside Cities Alliance. • Engage the private sector. • Increase knowledge sharing.

Key Findings

Relevance
Did the projects respond to external priorities, and did they align to the Country Programme objectives?

All three Country Programmes were found to respond to national and international priorities; and to align with the objectives defined in the Country Programme Framework. This was due in part to Cities Alliance working closely with local governments and partners to design the work. The Ghana Programme focused on advocacy-based initiatives to develop public awareness of urban issues, whereas in Uganda and Vietnam, the focus was primarily on policy development. Although the programmes were tailored to each country, they were all designed to foster active citizenship involvement, support access to services and help develop policies for cities. Cities Alliance was acknowledged as having 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. The evaluation also found that the key contributions from Cities Alliance (other than funding), centred on the provision of technical assistance, coordination support and international experience. Partner organisations agreed that the same level of outputs, over the same timeline, could not have been achieved without the support of Cities Alliance.

Effectiveness
Did the projects achieve the objectives defined in the Country Programme Framework?

A total of 87 percent (122 out of 140) of all project activities were completed across four areas: National Policies, Local Strategies and Plans, Citizen's Engagement and Capacity Development. All three countries are now in possession of an inclusive National Urban Policy. Uganda and Vietnam have developed effective Municipal Development Strategies to plan and prepare their cities for future urban development. Citizen's 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 training, partnering, knowledge production, sharing and exchange.

Efficiency
Did the projects have the appropriate structure and management capabilities in place to deliver their objectives?

All three Country Programmes were found to have appropriate structure and management capabilities in place to deliver objectives. Cities Alliance helped enable a participatory approach in each country by initiating governance mechanisms such as National Urban Forums, Advisory Groups and Programme Steering Committees. However, the extent to which these mechanisms were effective was largely reliant upon coordinating partners.

For example, in Ghana, the Steering Committee was found to be less effective and efficient than in the other countries due to limited local partner capacities. In both Ghana and Uganda, Cities Alliance was perceived as fulfilling more of expert role and facilitating role than one of coordination. Programme management support was found to be most efficient where Cities Alliance had its own human resource in-country for the duration of the programme, reducing the reliance on local partners for coordination (for example in Vietnam). Funding and proposal processes were seen as transparent by most. However, a shift from The World Bank to United Nations Office for Project Services (UNOPS) in 2013 may have hindered proposal processes due to a transition to new procedures and the need to redevelop grant legal arrangements. On average, across all three countries, the time from proposal submission to the first disbursement of funds was 249 days.

Sustainability
Will the results and outcomes of the projects continue after funding or support ends?

The evaluation found that the continuation of results and outcomes may suffer from a lack of funding and capabilities in-country. All partners would need additional funding and capacity development in order to sustain project outcomes. The projects found to be the most sustainable were those where follow-on funding and synergies with other large international programmes had already been secured. The replicability of mechanisms and projects within the Country Programme is high. For example, the World Bank Uganda Support to Municipal Infrastructure Development (USMID) programme has leveraged and scaled the Municipal Development Forums; and Ghana is rolling out the participatory National Urban Forum to its municipalities. However, stakeholders indicate that replication is reliant on in-country funding and capacity. 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.

Partnership
Was there a focus on partnerships?

In all countries, 100 percent 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. Stakeholders further acknowledged that the partnerships connected appropriate, complimenting capabilities to the Country Programme; with the highest level of interdependency and synchronization between projects recorded in Uganda. Opportunities for improvement were noted in Ghana as a result of project sequencing and Cities Alliance staff turnover, as well as delays in timelines or limited local partner capacity to coordinate initiatives. Knowledge sharing and learning exchange was found to be a key outcome of the Country Programmes, with a total of 102 different learning initiatives having taken place at all levels across the three countries. On an international scale, learning exchange has also occurred across countries (however, to a lesser extent in Vietnam).

General

USD **10.8m** of investments through the Cities Alliance across the 3 country programmes

USD **2.6m** from partner co-financing

23 partner organisations and

6 member organisations involved across the programmes

Relevance

12.3% decrease in city population living in slums from 2009 to 2014

Uganda average municipal expenditure increase per person per year of **168%** between 2013 and 2016

Ghana **30.5%** increase in the proportion of households in slums and/or low income areas with regular access to portable water between 2013-2016

Uganda **473.8%** increase in the average proportion of households in slum and/or low-income areas with regular electricity connections between 2013-2016

Vietnam **29.9%** increase in the average proportion of household in slum and/or low-income areas with regular access to portable water

Vietnam **30%** increase in access to a sewerage system between 2013-2016
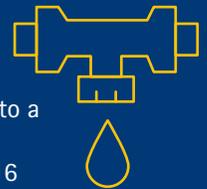
Effectiveness

3 National Urban Policies developed

16 Municipal strategies developed in Uganda and Vietnam
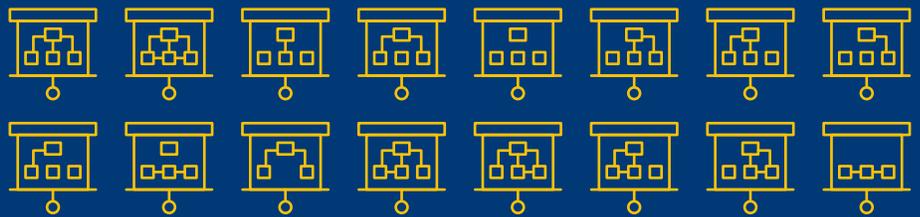
Citizen's Engagement

Ghana **45** savings groups federated in **22** communities

Uganda 123 Community Upgrading Fund Projects in Uganda, benefiting about **523,185** inhabitants of urban poor communities.

Vietnam 45 Community Development Fund Projects benefitted **2,411** households

Sustainability

Follow-on investment:
Ghana

US $150m

from the World Bank for a
sanitation programme

Uganda
the Municipal Development Forums
forming the basis of the

US $150m

World Bank USMID programme.

Vietnam
Follow-on investment –
Leveraged an additional

US $2m

from Asian Development Bank and
The World Bank contributed

US $292m

in a Mekong Delta Region Urban
Upgrading Project

Efficiency

Average days from Proposal Submission to

1st Disbursement of funds = 249 days

Vietnam's National Urban forums'
membership base grew from

23 in 2003 to

120 in 2016

Partnerships

100%

of survey respondents stated that Cities
Alliance helped establish a platform for
building effective partnerships

Capacity Development

4,813
participants to training sessions

Ghana

75%

of projects contained at least one
capacity-building initiative

Uganda
Produced a suite of training materials
that helped

59 communities and

14 local governments

Vietnam

100%

of survey respondents stated Cities
Alliance strengthened the institutional and
community capabilities significantly or
very significantly

Introduction

Established in 1999, Cities Alliance is a global partnership for poverty reduction and the promotion of sustainable development in cities, hosted by the United Nations Office for Project Services (UNOPS) (Cities Alliance, 2016).

Hosted by the United Nations Office for Project Services (UNOPS), headquartered in Brussels and supported by a Secretariat; its members include international non-governmental organisations, foundations, multi-lateral organisations, national governments, local authorities, research institutions and the private sector. Its key objectives are to support cities in providing effective local government, an active citizenship and a growing economy characterised by both public and private investment. Since 2009, Cities Alliance's activities have helped leverage over US$1.5 billion in additional funding[1]. The organisations' current Medium Term Strategy is focused on promoting equity in cities through equitable economic growth, gender equality and partnerships[2].

Objectives and Scope of the Evaluation

As a global leader in strategic city planning, slum upgrading and inclusive national policy development, this evaluation is paramount to informing future strategy and programming, and is in accordance with Cities Alliance's standard operating procedures which call for periodic independent assessments of selected programs and projects.

Cities Alliance operates through four business lines: Country Programmes, the Catalytic Fund, Joint Work Programmes and Communications and Advocacy Activities[2]. This evaluation covers the first (and most advanced) wave of Country Programmes in Ghana, Uganda and Vietnam, with grants closed out by the 31st December 2016.

The objectives of this evaluation are three-fold:

Investigate the process and the results. Analyse and determine, as systematically as possible, the mechanisms and early results of the Country Programmes.

Learn from the field. Enable Cities Alliance's Secretariat, members and partners to understand and interpret successes and challenges, as well as how to improve both current and future Country Programmes.

Communicate Cities Alliance's programmatic approach. Promote a common understanding and foster communication of the assumptions, modalities and achievements of the Country Programmes with the programme beneficiaries and the wider international audience.

This evaluation will identify the Relevance, Effectiveness, Efficiency, Sustainability and Partnership of the three Country Programmes and recommend improvements for future programmes. It is tied to the objectives set out in the initial Country Programme Framework documents (2009) and therefore, does not include analysis on the climate or gender objectives that were defined in Cities Alliance's Business Plan (2011) or Mid-Term Strategy documents (2014).

The target audience for this evaluation includes:

- The alliance of members at large who have financed and implemented some of the programme activities; as well as prospective members which may be interested in the organisation's developmental impact.

- National and local partners whose ownership of the programme was a major objective.

- The Secretariat that has overseen and coordinated the programmes.

Structure of the Report

The report will consist of four chapters: one per country, and a final chapter focused on conclusions and recommendations. Each country will be evaluated individually against Relevance, Effectiveness, Efficiency and Sustainability.

Figure 1 Cities Alliance governance model
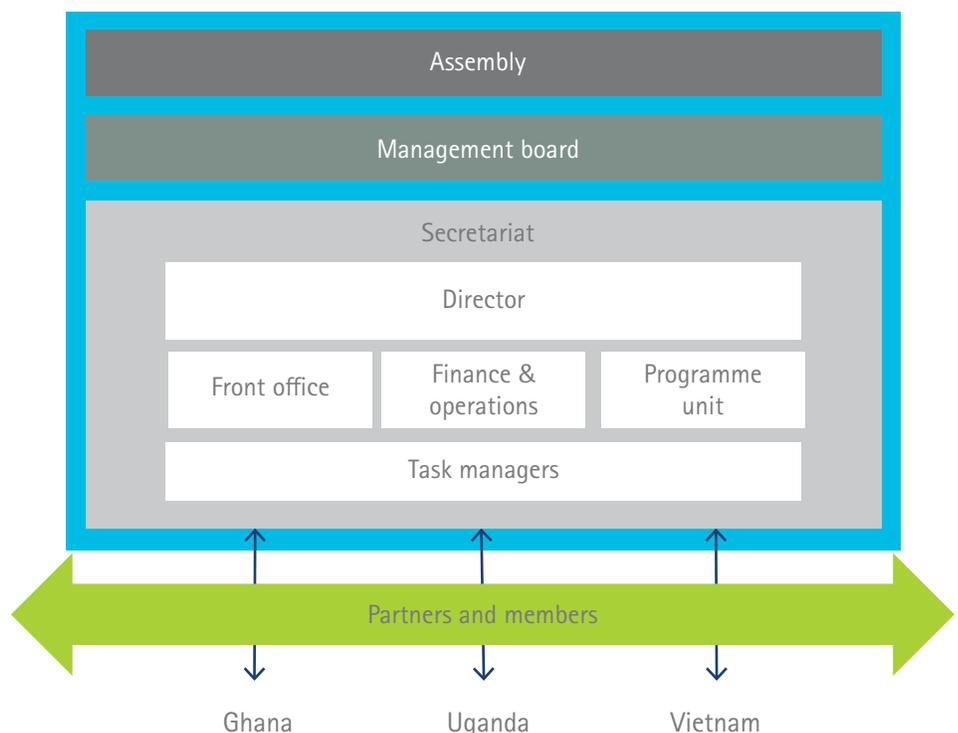
Cities Alliance

Cities Alliance governance structure

Cities Alliance has a representative global membership of 33 full and associate members. The membership includes six constituencies[3], which are represented at the annual Cities Alliance Assembly meeting. Cities Alliance activities are overseen by a 12-member management board representing the six constituencies. The Secretariat implements Cities Alliance's Work Programme and manages its day-to-day operations through several dedicated staff. All major programmes, including the Country Programmes, have designated task managers to provide oversight to the programme, and administer the various grant-funded projects implemented by partners and members.

UNOPS and Cities Alliance

Prior to 2013, Cities Alliance was hosted by the World Bank. Over the course of 2013, UNOPS worked with the World Bank to assume the trustee and Secretariat function for Cities Alliance and successfully transitioned the partnership from the World Bank into the UNOPS system. This included relocating Cities Alliance's secretariat from Washington, D.C. to Brussels; opening a new account for Cities Alliance funding with an initial roll-over of funds from the World Bank-administered trust fund; and transferring key ongoing projects and the World Bank's database for Cities Alliance to UNOPS. Separately, UNOPS successfully set up a core multi-donor fund to support operations for the Country Programmes, and established legal templates for future contributions. This core fund is managed in close collaboration with Cities Alliance's secretariat[1].

Country programme

Core principles

The Country Programmes were designed in 2009 as a new model of intervention for Cities Alliance. The idea was to move away from shorter-term, one-time initiatives towards a longer-term, programmatic approach to address the specific development needs of a selected country, typically in the context of rapid urbanisation and growing urban poverty. The programmes seek to coordinate and fund a series of projects in a coherent manner, to achieve a single broad vision and impact at scale. The Cities Alliance Country Programmes are tailored to a specific country's context, to emphasize a collaborative design that engages and mobilises members and partners behind a jointly-designed programme of support. The programmes typically link past and current initiatives of Cities Alliance members and partners, filling technical assistance gaps and/or scaling up strategic work, as well as fostering local partner ownership of initiatives.

Country Programmes are guided by a set of core principles that build on key lessons learned through years of global experience:

Long-term, pro-poor programming
... in which urban programmes are strategically developed to ensure that city governments can address urban growth and poverty reduction more effectively.

Collaborative programme design
... that engages and mobilises partners behind a programme of support that they have designed together. The programme links past and current initiatives of Cities Alliance members and partners and also fosters client ownership.

Multi-sectoral, aligned approach
... that seeks to bring national government policies, city development processes, and community activities across sectors into alignment in support of integrated urban development.

Building long-term institutional capacity
... by engaging and investing in national, regional, local and community institutional structures, including universities. Helping ensure national capacity exists to implement the programmes in the long term.

Engaging for systemic change and impacts at scale
... by supporting the emergence of an appropriate policy framework and the institutionalisation of dialogue between citizens and local and national governments, building on local knowledge and global good practice.

Creating conditions for follow-up investments
... by aligning technical assistance activities to future investment programmes and providing a partnership platform where funding opportunities can be coherently identified.

Objectives

The Country Programmes aim to create inclusive cities without slums, maximising the potential of urbanisation by proactively managing urban growth. Cities Alliance funds are primarily used across projects for[2]:

National Policies: Supporting national policy dialogue and policy development to promote pro-poor urban systemic change.

Local Strategies and Plans: Strengthening the capacity of local governments to inclusively plan and manage urban growth.

Citizen's Engagement: Strengthening citizen's engagement in addressing urban development issues.

Capacity Development: Strengthening the capacity and resources available to the urban poor, better enabling them to enter development partnerships with local government.

All Country Programmes operate across three levels of governance—national, municipal and community—and the multiple constituencies which operate at these levels. This collaborative approach, both horizontally across partners (that is multi and bilateral agencies, NGOs and local stakeholders) and vertically between national governments, municipal governments and communities, allows the Country Programmes to offer integrated solutions that differ from traditional sectors and siloed approaches. Through the Country Programmes, Cities Alliance aims to encourage local ownership of development strategies, alignment with national strategies, harmonisation of development interventions, management for results, and the promotion of mutual accountability and transparency. These actions reflect the global consensus on effective aid delivery attained in the 2005 Paris Declaration on Aid Effectiveness[3].

Geographic focus

The geographic focus for developing Country Programmes is primarily on low-income countries, with priority given to countries in Sub-Saharan Africa. Cities Alliance prioritises the development of Country Programmes with governments that are committed to, or are in the process of, proactively addressing urbanisation challenges and the needs of the urban poor. These governments are also aware that this process must be undertaken in the context of citywide or nationwide reforms. The first wave of Country Programmes was rolled out in five countries (Burkina Faso, Ghana, Mozambique, Uganda and Vietnam) from 2010 with US$15 million funding from the Bill and Melinda Gates Foundation under the theme "Land, Services and Citizenship for the Urban Poor (LSC)." The sample Country Programmes for this evaluation (Ghana, Uganda and Vietnam) were funded to the total amount of US$13,372,263.

Activities and outputs

Within the Country Programmes, Cities Alliance primarily provides technical assistance support (such as diagnostic, planning, policy development and community work). Cities Alliance supports long-term institutional strengthening and capacity development[4] by engaging and investing in national, regional, local and community institutional structures, including universities. Additionally, Cities Alliance contributes to small infrastructure developments, typically delivered through community engagement and dedicated funds.

The Country Programmes focus on four main intervention areas (see Figure 3 below). Each output in these areas is achieved through a series of activities determined by appropriate partners for each specific country, with a thematic and geographic focus. Figure 3 highlights some sample outputs and activities for each intervention area.

Figure 2. Cities Alliance tier three objectives and levels

Local Governance – Active Citizenship – Access to Services

National | Municipal | Community

National policies | Local strategies and plans | Citizen's engagement | Capacity development
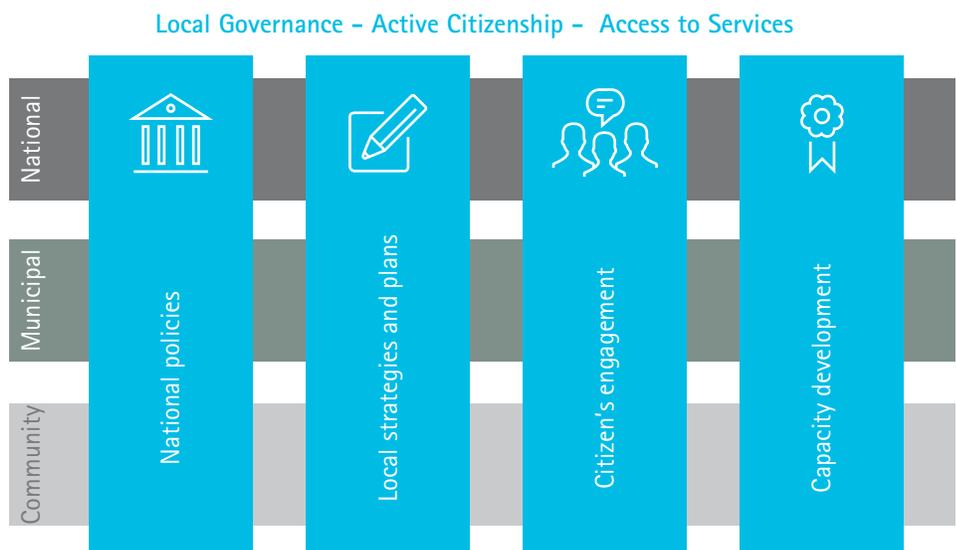
Gender mainstreaming in the early Country Programmes

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[5]. As such, gender is not included in the early country programme framework documents.

In January 2016, through its Joint Work Programme 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 ("Diagnosis of Gender Equality Integration in Cities Alliance Country Programmes"). The diagnosis intended to serve as the basis for, and guide the prioritisation, design and implementation modalities of Cities Alliance' operations on the subject. Specifically, the main objective of the Gender Diagnosis was to promote "increased awareness of current policies and practices of Cities Alliance Country Programmes with regard to promotion of/attention to gender equality, as well as guidance for a broad integration of women's rights and gender equality policies in all Cities Alliance operations, based on synthesized recommendations and action plans"[6].

The gender diagnosis serves the purpose of assessing Cities Alliance and 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 appliance 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 as an organisation when it comes to 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 publicly available online and, although out of scope for this evaluation, will complement the findings presented here.

Figure 4. Gender diagnosis report of the Vietnam Country Programme
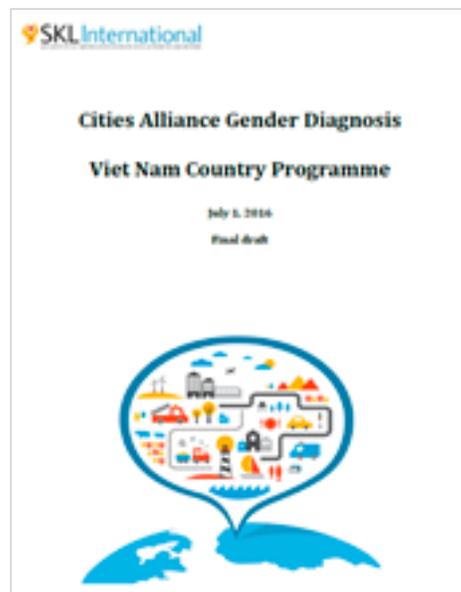
Figure 3. Cities Alliance primary intervention areas and sample outputs

Main intervention areas			
National policies	Local strategies and plans	Citizen's engagement	Capacity development

Sample Outputs/Activities

• Advocacy and dialogue on urban policy • Institutional strengthening of relevant Ministries • Macro research and analytical activities on urbanisation and cities • National urban policies and frameworks	• City-level diagnostic (enumeration, mapping and rapid assessments) • City development strategies (CDS), municipal plans and slum upgrading plans • Facilitation of linkages between planning and follow-up investments	• National, city and settlement level forums • Establishment and strengthening of urban poor organisations • Civil society and community engagement and mobilisation • Community-led development infrastructure	• Organisational development of local authorities, urban institutions and city associations • Training of local authorities and communities • Practitioner materials (toolkits, manuals, guidelines and learning platforms)

Methodology

The evaluation was conducted over a 16-week timeframe, from September 2016 to January 2017, corresponding with the close dates of the last grants. The evaluation was comprised of three key phases:

1. Determination of an evaluation framework and indicators.

2. Collection of primary and secondary data.

3. Synthesis and analysis of findings.

Evaluation framework

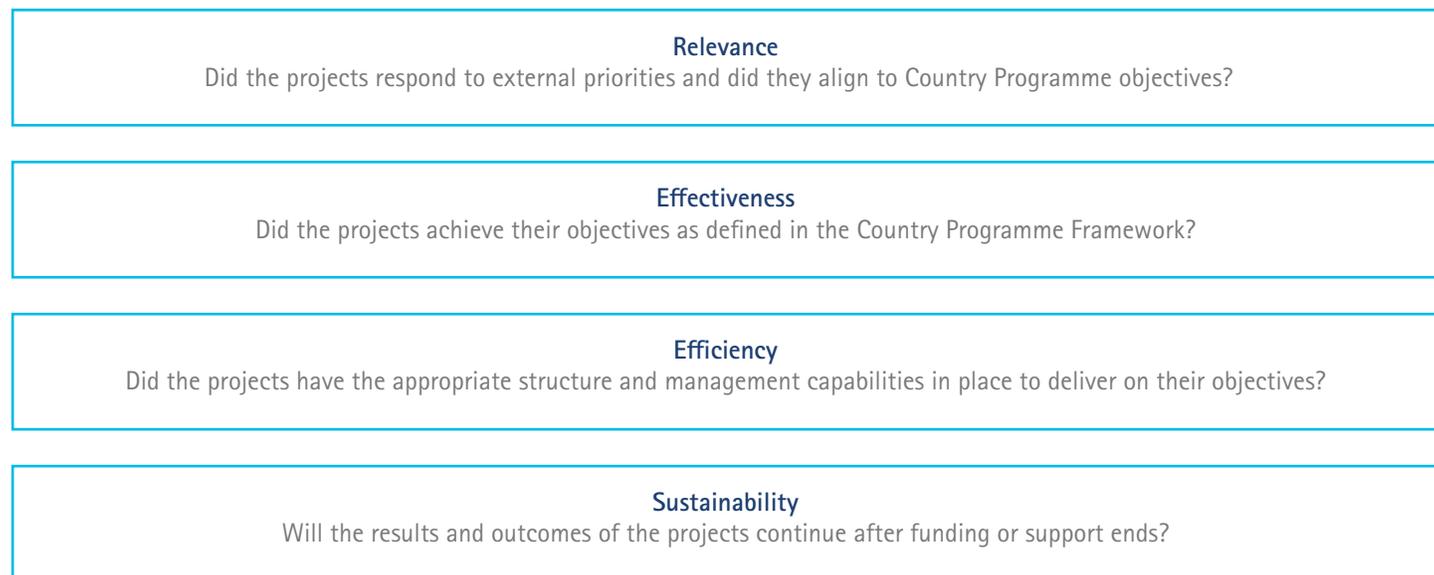## Existing Cities Alliance Results Framework

Cities Alliance's Country Programmes are monitored by a Results Framework that centres around four tiers, tied to objectives set out in Cities Alliance Charter and Medium Term Strategy. The tiers articulate the outputs, intermediate outcomes, outcomes and impact expected by Cities Alliance interventions. The framework was approved by assembly members for evaluating the organisation's overall performance, and was therefore included in this evaluation. Where possible, tiers two and three of the framework were also addressed for the countries under examination.

- **Tier One:** Millennium Development Goals[7] (impact).

- **Tier Two:** Partner results as supported by Cities Alliance members (outcomes).

- **Tier Three:** Cities Alliance programmatic results (intermediate outcomes).

- **Tier Four:** Secretariat performance (outputs).

Evaluation framework

The evaluation is structured around the OECD/DAC recommended criteria of Relevance, Effectiveness, Efficiency, and Sustainability[8]. In collaboration with members of the Secretariat (Country Task Managers, the Head of Programmes, and the Senior Officer), a set of key questions and detailed indicators were identified. Please refer to Appendix 4 for further information on the pillars and their corresponding indicators.

Figure 5. The four pillars in the Evaluation Framework

Relevance
Did the projects respond to external priorities and did they align to Country Programme objectives?

Effectiveness
Did the projects achieve their objectives as defined in the Country Programme Framework?

Efficiency
Did the projects have the appropriate structure and management capabilities in place to deliver on their objectives?

Sustainability
Will the results and outcomes of the projects continue after funding or support ends?

The indicators per pillar were created with a focus on the pre-existing Cities Alliance tier two and three outcome areas—Local Governance, Active Citizenship, Access to Services, National Policies, Local Strategies and Plans, Citizen's Engagement, and Capacity Development—and encompass both the Country Programmes and the projects and grants within those programmes.

In addition to the incorporation of tiers two and three under the four OECD evaluation pillars, indicators around Partnerships were also included where relevant. The Country Programmes leverage partnerships as a key means of implementation, with Cities Alliance working across implementing partners on the ground to enhance, sustain and maximise impact. The 2030 Agenda for Sustainable Development and

the New Urban Agenda, as well as the Sustainable Development Goals, highlight partnerships as a key driver of sustainable development, for example to improve financing, develop capacities, and improve data and accountability[9]. Cities Alliance recognises partnerships as an instrument to help implement strong governance through cooperation and knowledge exchange, and they are the essence of how it operates in countries[10]. Due to its significance, a separate section has been created for Partnerships under each Country Programme's evaluation.

Figure 6. The link between the Corporate Scorecard and The Evaluation Framework

Local Governance – Active Citizenship – Access to Services

Primary and secondary data collection

27 projects across 37 cities and districts where Cities Alliance operated in Ghana, Uganda and Vietnam were included in scope. All projects and partner organisations who played an active role were evaluated. However, due to the length and detail of the evaluation, a representative subsample of sites were chosen in each country:

- **Ghana:** Accra Metropolitan Assembly and Ashaiman Municipal District.

- **Uganda:** Kampala and Jinja, Gulu.

- **Vietnam:** Hanoi, Tam Ky and Quy Nhon.

Primary data collection: interviews

A total of 79 stakeholders (board members, secretariat, in-country partners, governments, municipalities, institutions and communities) were interviewed using a semi-structured guide based on the agreed upon indicators. 82 percent were held in-person, and 18 percent were conducted virtually.

Figure 7. 72 in-country interviews

Vietnam
17 interviews;
Site visits to
Hanoi, Tam Ky,
Quy Nhon

Ghana
19 interviews;
Site visits to
Central Accra
and Ashaiman

Equador
Attended the Habitat III
conference in Quito

Uganda
29 interviews;
Site visits to Kampala,
Jinja and Gulu

CA Secretariat
10 interviews

Board Members
4 interviews
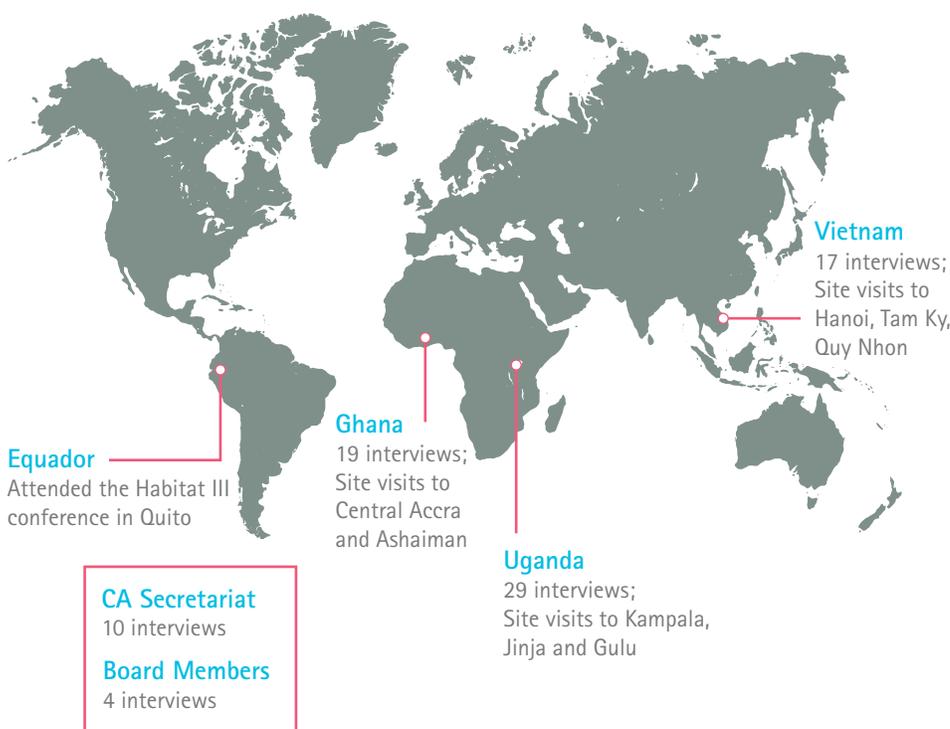
Figure 8. 79 interviews held

- Interviewed **79 key stakeholders** from **27 projects** across the three Country Programmes

- Travelled to Vietnam (Hanoi, Tam Ky, Quy Nhon); Ecuador (Quito); and Ghana (Accra, Ashaiman municipality) to conduct in-person assessments

- Worked with Bosco Uganda to collect data in Uganda (Kampala, Jinja, Gulu)

- Secondary municipal sites for evaluation were selected through consultation with task managers to help ensure appropriate coverage of projects

Figure 9. Interviewed stakeholders

Sept 28 – Nov 18

(6) Board Members
(1) Cities Alliance
(2) SDI
(1) SIDA
(1) World Bank
(1) GIZ

*2 interviews outstanding

(10) CA Secretariat
(1) Director
(1) Head of Programmes
(6) Task Managers
(1) Senior Programmer
(1) Partnerships Officer

In–country, the team interviewed 79 stakeholders from all 27 projects.

Oct 10 – Nov 5

(17) Vietnam
(1) Cities Alliance
(2) World Bank
(2) Ministry of Construction
(2) Association of Cities of Vietnam
    (ACVN)
(1) UN Habitat
(1) Urban Development Agency (UDA)
(8) Municipalities

(29) Uganda
(1) World Bank
(1) ACTogether Uganda
(1) Urban Authorities Association
    of Uganda (UAAU)
(1) International City Management
    Association (ICMA)
(5) Ministry of Land Housing
    and Urban Development
(1) UN Habitat
(2) Makerere University
(2) National Slum Dwellers Federation
(15) Municipalities

(19) Ghana
(1) Channel Two Communications
(1) CitiFM
(1) Global Communities
(1) People's Dialogue
(1) Ghana Federation of the Urban Poor
(2) GIZ
(2) Ministry of Local Government and
    Rural Development
(2) Institute of Local Government Studies
(1) African Center for Cities
(2) Cities Alliance
(1) Ministry of Environment, Science,
    Technology and Innovation
(2) Other (i.e. freelance)
(2) Ashaiman Municipality

Primary data collection: surveys

A total of 70 surveys were distributed to partner organisations within the timeframe, a valuable source of quantitative data. The survey received a 58 percent response rate: Ghana (57 percent), Uganda (48 percent), Vietnam (58 percent), and 75 percent from respondents who did not identify with just one Country Programme). As identified in Figure 10, seven types of organisations were surveyed across the three countries.

Figure 10. Participating organisations

Number of different organisation that participated in the survey

Universities and institutes: 4
Communications corporations: 1
International NGOs: 6
Local NGOs: 4
Multidonor Fund (and consultants): 1
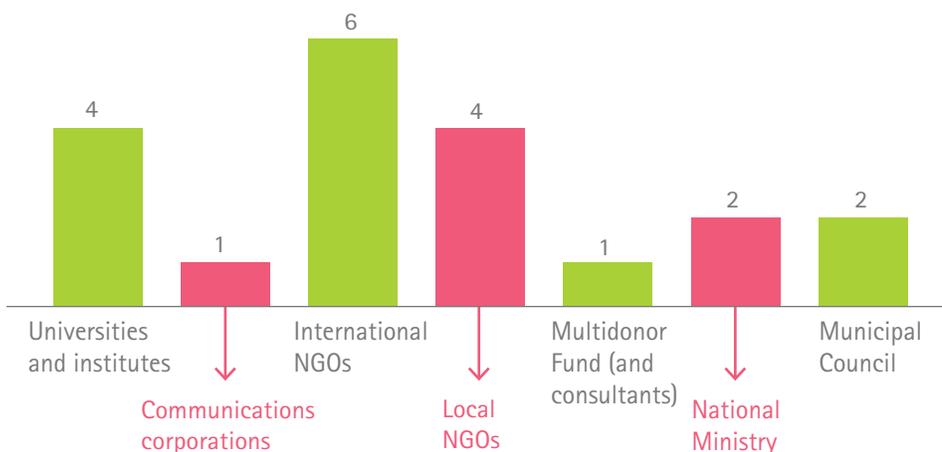National Ministry: 2
Municipal Council: 2

Figure 11. 70 Surveys sent

- Surveyed **70 stakeholders**, including secretariat members, partner organisations and governments

- Board members who were not directly involved in a Country Programme were excluded, as well as community members without access to the survey platform

Secondary data collection

Over 190 Cities Alliance documents were reviewed over the evaluation.
These consisted of project reports from the central Cities Alliance database and other general materials.

Document Analysis
27 Projects Analysed
Analysed 190+ Cities Alliance proposal documents, project reports and financials

Analysed by an extended team of Accenture consultants according to evaluation indicators

Project reports from the database:
- Project overview information
- Final Proposals
- Grant agreements
- Fiduciary assessments
- Output documents
- Progress reports
- Completion reports

General Cities Alliance materials:
- Country programme frameworks
- Cities Alliance corporate scorecard
- Previous Cities Alliance evaluations (i.e. GHK, COWI, SKL)
- Partnership strategy
- Mid-term strategy documents
- Annual reports
- Country programme factsheets

Synthesis and analysis of findings

All findings were triangulated and synthesised, per indicator, into the evaluation framework. The final report was then built upon this analysis.

Methodological limitations

Limitations to the data collection and analysis were identified throughout the evaluation, with mitigation plans put in place where possible:

- The project documentation reflected variances in the quality and completeness of the data available.

  - Standard indicators from the Evaluation Framework were used to compare results over time, and feedback sessions with Cities Alliance Secretariat were completed.

- Only attendance numbers were monitored for training and capacity development sessions (not names). Thus, an aggregate total of all individuals trained was unobtainable.

  - Numbers of attendees are reflected per training session, but not at the aggregate level.

- Due to staff turnover during the programmes, data regarding interviews with partner organisations was incomplete.

  - Further stakeholders were identified to bridge these gaps. All primary and secondary data was triangulated with on-site assessments.

- Wider outcomes from the Country Programmes and projects cannot be determined due to challenges in attributing impact and outcomes directly to Cities Alliance.

  - Illustrative case studies were narrated to demonstrate impact.

- A positive bias in project assessments may have occurred due to reliance on a pre-defined sample set of stakeholders and self-reported surveys.

  - All data was triangulated and cross-checked against alternative sources, for example, across interviews, surveys and project documents.

- In Vietnam, translation via a Cities Alliance focal point was required in interviews. This may have resulted in unintended positive bias.

  - All data was triangulated with survey results and project documentation. An independent translator was engaged to interpret survey results. The evaluation report lists any assumptions made during the field visits.

- Information and opinions between recipient and partner organisations may have differed due to individual agendas.

  - These differences are shared throughout the report and triangulated through interviews with in-country focal points and Secretariat Task Managers.

Figure 12. Triangulation methodology
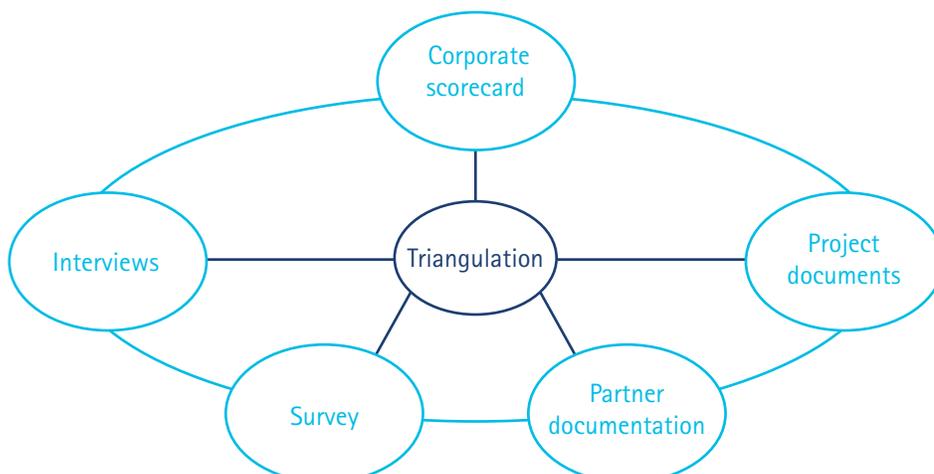
Ghana

Introduction

Country context

The Ghana Country Programme was initiated in 2011 and closed in December 2016. It was designed under Cities Alliance's programme on Land, Services and Citizenship (LSC) to enhance coordination between urban resilience efforts in the country. Cities Alliance sought to capitalise on its deep experience to support the government of Ghana in tackling the significant challenges to urban development in the country.

According to Cities Alliance, Ghana was identified as a country with a challenging political environment, however, in 2010 it was chosen as a priority for the following reasons:

- An emerging policy process in need of support: after urbanisation had initially been neglected in the country[11], a healthy national debate was starting to take shape on urban growth and the future of cities and slums.

- The Cities Alliance membership presence and interest in Ghana's urban sector was responsive to the relevant issues, including Agence Française de Développement (AFD), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Habitat for Humanity International (HFHI), Slum Dwellers International (SDI), UN–HABITAT and the World Bank.

- A nascent government institutional leadership, with the Ministry of Local Government and Rural Development (MLGRD) recognising the scope of urbanisation challenges. As a response to these challenges, the Ministry set up the Urban Development Unit (UDU) in 2009.

Urban population growth

In 2009, 40.1 percent of Ghana's total city population lived in slums[12]. Over the last three decades, Ghana's urban population has more than tripled, from 4 million to 14 million people, outpacing rural population growth. Urbanization has also enabled higher quality education to reach a larger proportion of the population, and as a result, the quality of life has improved for millions of Ghanaians through greater access to urban services. Migration to urban areas has led to a structural transformation away from subsistence agriculture and an increase in industry and service jobs from 38 to 59 percent between 1992 and 2010, boosting Ghana's economy[13]. This rapid urban population growth has led to side effects such as congestion, unregulated expansion and limited access to services and housing. There is therefore an increasing need to manage urbanisation and improve citizens' inclusion.

Economic situation

Ghana's economy has seen sustained growth since 1984, with annual Gross Domestic Product (GDP) averaging 5.7 percent, and an increasing service sector[14]. Its economy grew by 4.9 percent during the first quarter of 2016, higher than 4.1 percent during the same period in 2015, and supported by strong services sector performance. Additionally, the inflation rate fell to 16.7 percent in July 2016—the lowest since March of 2015, reflecting the stable cedi (the currency of Ghana) and the maintenance of a tight monetary policy stance. The GDP growth rate is expected to reach around 7.5 percent by 2018, assuming that the fiscal consolidation programme remains on track and technical problems are resolved in the oil and gas sectors[15].

Figure 13. Ghana – Population living in slum

Percentage of city population living in slums

2009
40.1%

−5.5%

2014
37.9%
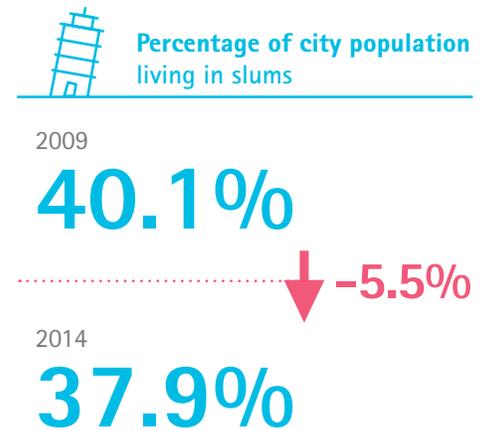
Political environment

Since its return to a multi-party system of governance more than two decades ago, Ghana has made major strides towards consolidating its democratic achievements. Its judiciary for instance, has proven to be independent and has generally gained the trust of Ghanaians even after the dismissal of 22 justices implicated in a corruption scandal. Ghana constantly ranks among the top three countries in Africa for freedom of the press and freedom of speech. The broadcast media is strong, with radio being the most far-reaching medium of communication. These democratic characteristics put Ghana in an enviable political position, and equip the country with formidable social capital[16].

The Urban Development Unit

To consolidate Ghana's urban growth, the Urban Development Unit (UDU) was created in 2009, as an urban policy and coordination unit within the MLGRD, to serve as a secretariat of the National Urban Policy (NUP) and the inter-ministerial body that has oversight over the coordination, monitoring and review of the NUP. Its objective is to "spearhead the formulation, coordination and monitoring of urban development in Ghana"[17]. However, as the UDU was not given the mandate for direct implementation, and only the mandate to play a coordination role, its effectiveness has been questioned. Currently, its scope does not give it a free hand to mobilize and release funds to the urban local authorities or to monitor the proper utilisation of funds for implementation of schemes by relevant bodies. This is a concern to the staff of the unit. The UDU is in a bid to become a directorate to expand its mandate and resource-base, however, it is being hindered by a government net freeze on public sector employment[18]. This freeze has withdrawn government agencies' licence to hire, which now requires clearance from the Ministry of Finance. The move forms part of government measures to reinforce its strict expenditure control in order to ensure that the wage bill remains within approved budget limits. The freeze will remain in place through 2017[19].

Objectives

Objectives of the Country Programme and alignment with the Results Framework

The development objective of the Ghana Country Programme was to create inclusive and resilient cities without slums, enabling the proactive management of urban growth.

The Land Services and Citizenship Programme has three broad objectives[20]:

- Get at least 50,000 squatter and slum dweller households in Ghana to actively engage in securing their rights and honouring their responsibilities through improved urban governance and formalization.

- Get at least 50,000 squatter and slum dweller households in Ghana to improve their qualitative and quantitative access to municipal services.

- Help the Government of Ghana (national and sub-national), in partnership with interested stakeholders, to develop effective and efficient inclusive urban development policies and strategies enabling the better management of future urban growth to positively affect the lives of 200,000 slum dweller households nationwide.

Geographic scope

Cities Alliance Country Programme was geographically focused on the Greater Accra Metropolitan Area (GAMA). GAMA consists of 11 metropolitan/municipal assemblies and includes the city of Accra, the administrative, commercial and political capital of Ghana. GAMA is a rapidly growing and expanding metropolis with a large floating population that comes to the city to trade or work. The rapid growth of GAMA, both in terms of population and area, has generally taken place amid planning constraints and inadequate provision of basic services.

Project overview

Cities Alliance Country Programme projects focused on advocacy around urban issues to change policies and mind-sets, promote participatory mechanisms to involve the urban poor in planning, support the provision of basic infrastructure and services, develop national policy, and build capacity to enhance coordination between urban development efforts in the country.

There were a total of eight grants and three supporting activities in the Ghana Country Programme since its start in 2011, all of which were closed by the end of 2016. Each project was designed with partners to address certain Country Programme objectives across national policies, local strategies and plans, citizen's engagement, and capacity development. Further details on the projects and the objectives they addressed can be found in Table 2.

The different projects were programmed as interventions at the national, municipal, and community levels. National level interventions primarily covered urban policies; municipal level interventions included governance mechanisms; and community level interventions included community development mechanisms and infrastructure projects. Full descriptions can be found in Table 3.

Table 2. Ghana – Projects mapped to intervention areas

	Project	Great Recipient	Implementing Partner	National Polices	Local Strategies & Plans	Citizen's Engagement	Capacity Development
All	G1 Ghana Urban Voice – Radio Program - Phase 1	Cities Alliance Secretariat	Channel Two Communications	✓		✓	
All	G2 Fixing the Urban Mess - Radio Programme – Phase 2	World Bank	Channel Two Communications	✓		✓	
National	G8 Support The Urban Development Policies & Strategies - Phase 1	GIZ	GIZ	✓			✓
National	G9 Support The Urban Development Policies & Strategies - Phase 2	GIZ	GIZ	✓		✓	✓
National	G12 Preparation for the State of Ghanaian Cities Project	ACC	ACC MoLGRD, Kwame Nkrumah Uni	✓			
Municipal	G3 Improving & Expanding Sanitation in Greater Accra Workshop	World Bank	World Bank		✓		
Municipal	G4 Integrated environmental sanitation strategy for GAMA	World Bank	World Bank		✓	✓	✓
Municipal	G10 Urban Local Government Capacity Building – An Enabling Platform – Phase 1	ILGS	ILGS	✓			✓
Community	G6 Building the Capacity of the Urban Poor - SDI Phase 1	SDI	People's Dialogue on Human Settlements			✓	✓
Community	G7 Building the Capacity of the Urban Poor - SDI Phase 2	SDI	People's Dialogue on Human Settlements			✓	✓
Community	G11 Building the Capacity of the Urban Poor for Inclusive Urban Development in Ghana – Phase 2	ILGS	ILGS	✓	✓		✓

Table 3. Ghana – Project descriptions

|	Project	Project descriptions
All	**G1** Ghana Urban Voice – Radio Program – Phase 1	Elevating the urban agenda in Ghana required a change in attitude and political commitment. To this end, Cities Alliance members and local partners developed a project focused on advocacy and raising awareness regarding urban issues. Each radio programme aimed to expose all citizens to topics of importance to urban development. The idea was to level the playing field and include all social classes in the debate.
	G2 Fixing the Urban Mess – Radio Programme – Phase 2	"Fixing The Urban Mess" was a communications advocacy campaign designed to address the challenges of urbanisation; generate public awareness and debate; and provoke both public and local government action to make a positive impact on Ghanaian cities. The aim was to generate public awareness and debate, and to provoke public and local government action aimed at making a positive impact on our cities.
National	**G8** Support to Develop a National Urban Agenda Focused on Inclusive Policies & Strategies - Phase 1	This project sought to prepare the Urban Development Unit (which currently sits within the Ministry of Local Government and Rural Development) to assume the leadership in promoting the urban agenda in the country. Its aims were to strengthen the institutional capacity of the Urban Development Unit; support the development and institutionalization of the National Urban Forum to enhance policy dialogue; enhance the policy debate through research into defined urban issues; increase public and political awareness of the importance of "inclusivity" as a core principle; and to strengthen partnerships through the establishment of a Steering and Advisory Committee. Phase 1 focused on capacity development, and phase 2 focused on the establishment of the forums and a review of urban policy and plans.
	G9 Support to Develop a National Urban Agenda Focused on Inclusive Policies & Strategies - Phase 2	
	G12 Preparation for the State of Ghanaian Cities Project	The goal of this project was to support the preparation of the State of Ghanaian Cities Project. The State of Ghanaian Cities Project is a multi-phase project with three main objectives in the preparation phase. The first objective was to support the establishment of a coalition of urban stakeholders inclusive of national and local government, academia and civil society. Through a consultative process, this coalition would discuss and agree on the priorities and processes for the launching of research on urban systems in contemporary Ghana. The second objective was to design a process to assess, and take stock of, contemporary urban trends in Ghanaian cities in a systematic manner. This would enable policy makers and scholars to use the resulting analytical work to improve decision making and inform the training of the next generation of urban practitioners. The third and final objective was to build consensus through a national workshop on the structure of a project vehicle to drive the research and dissemination of the final products of the proposed State of Ghanaian Cities Project.

	Project	Project descriptions
Municipal	**G3** Improving & Expanding Sanitation in Greater Accra Workshop	The rapid growth of the greater Accra metropolitan area (GAMA) in terms of population and area, has generally taken place in the absence of planning and the necessary development of basic services—particularly sanitation. This, combined with a lack of capacity to operate and maintain the few existing wastewater facilities, has created a situation that may have serious health and environmental consequences. The objectives of the workshop were to present the current situation with regard to accessing improved sanitation in the GAMA; identify what studies or interventions are ongoing or planned; and develop a realistic roadmap to improving and expanding the services.
	G4 Support to an Integrated Environmental Sanitation Strategy for GAMA	The objective of this project was to start a dialogue among GAMA municipalities regarding the need to address environmental sanitation from a metropolitan perspective, rather than at an individual municipal jurisdiction level, as was the status quo. The end goal was to establish a metropolitan sanitation entity that deals with cross-boundary sanitation issues so as to bring about efficiency gains and increase the capacity to plan, execute and manage these issues. The support project was intended to contribute to this end goal by defining a set of sanitation and water interventions for low-income communities in GAMA based on strong community consultation and participation. The project sought to conduct community and technical/social assessments of the sanitation market; and to develop a strategy for effective community engagement in the design, implementation and management of water and sanitation services.
	G10 Urban Local Government Capacity Building – An Enabling Platform – ILGS Phase 1	This project aimed to provide key stakeholders involved in urban service delivery with the requisite knowledge and skills to enable them provide strategic leadership for sustainable and equitable urban development. The project involved the eight municipalities comprising GAMA and sought to enhance the strategic planning, governance and resource mobilization capabilities in Ghana. This would strengthen local governments to strategically lead and manage inclusive cities, as well as to increase spatial and human settlement planning, financial management, governance and responsiveness skills.
	G11 Building the Capacity of the Urban Poor for Inclusive Urban Development in Ghana – ILGS Phase 2	The main objective of this project was to build on phase 1, and enhance the strategic planning, governance and resource mobilization capabilities of Ghana cities; as well as to strengthen and enlarge previously successful and on-going urban development interventions.
Community	**G6** Building the Capacity of the Urban Poor - SDI Phase 1	The main objectives of this project were to increase the public knowledge and information available on the magnitude and characteristics of settlements of the urban poor in GAMA; to strengthen the capacity of communities to actively engage in constructive, results-oriented public community dialogue: and to prepare for the establishment of a Community Social Investment Fund for GAMA.
	G7 Building the Capacity of the Urban Poor - SDI Phase 2	This project sought to widen the experiences of the first project, and to deepen the relationships between slum dwellers and assemblies, as well as between slum dwellers and future programmed national infrastructure investments. It aimed to develop city-wide settlement profiles and maps across GAMA including profiling markets and informal economic activities. Additionally, this project sought to create dialogue platforms within each of the assemblies to promote a more participatory local government system.

Country Programme Management

Timelines and support

The Country Programme kicked off in 2011, and closed in December 2016. The 11 projects were staggered across this the duration as shown in Figure 14. Cities Alliance supported the programme through its Secretariat, as well as in-country support from a part-time consultant (2011 - 2013) and Future Cities Africa staff (2015 - 2016).

Figure 14. Ghana – Project timeline & programme management support
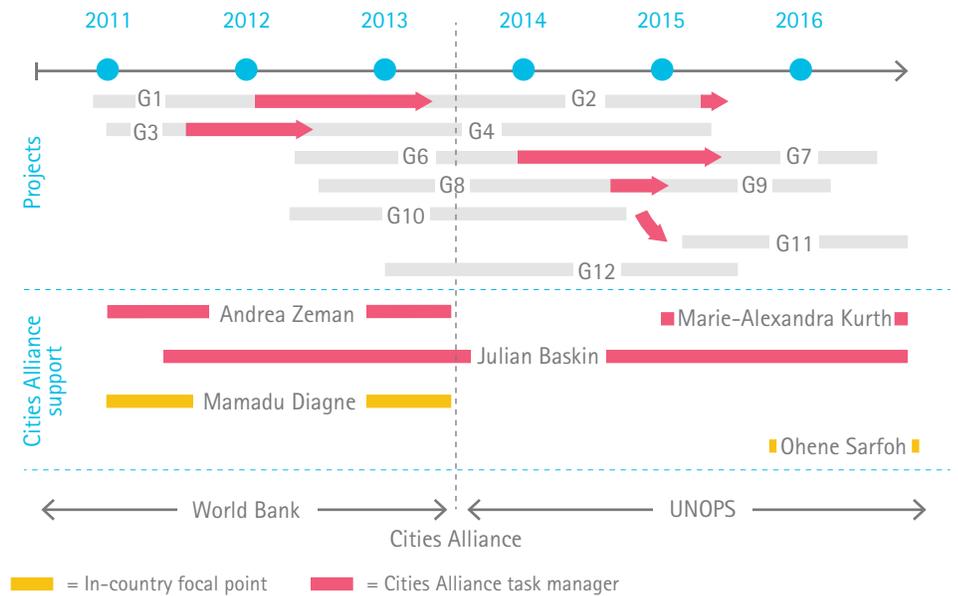
Partners and members

Cities Alliance engaged several partners and members for the Ghana Country Programme. Partners are organisations which are not members of Cities Alliance, but with whom Cities Alliance may work on specific projects. Members are organisations formally affiliated to the Cities Alliance, who participate to its governance, contribute financially to the organisation, and may implement some of its interventions[21].

Figure 15. Ghana – Partners and members

Partners	Members
• National Development Planning Commission • Municipal Assemblies • People's Dialogue • Ghana Federation of the Urban Poor • Global Communities • Channel Two Communications • Citi FM • Institute of Local Government Studies • National University • Africa Centre for Cities • Community Land and Development Foundation (COLANDEF) • Nimba Community Support Services (NIMCOSS)	• Ministry of Local Government and Rural Development • World Bank • Gesellschaft für internationale Zusammenarbeit (GIZ) • Slum Dwellers International

Governance mechanisms

The Country Programme implemented three governance mechanisms as part of its activities in Ghana.

• The National Urban Forum (NUF).

• The Advisory Committee.

• The Steering Committee.

These mechanisms enabled a participatory and collaborative approach by promoting dialogue and interaction between the different levels of local stakeholders and the international development partners.

Programme financing

A total contribution of US$3,791,749 was allocated to the Country Programme, with US$3,022,905 from Cities Alliance, and US$768,844 from partner co-financing.

A shift occurred in 2013 when Cities Alliance transitioned from the World Bank to UNOPS. This resulted in some projects going through a restructuring, which led to slight delays in the timeline. However, all implementing partners continued with the intended programmed activities under UNOPS.

Table 4 Ghana – Programme financing

Programme Financing	USD
Cities Alliance	3,022,905
Partner Co-Financing	768,844
Total	**3,961,749**

Ghana | 27

Relevance

Did the projects respond to external priorities and did they align to Country Programme objectives?

In-country challenges and needs

Ghana was committed to tackle the challenges of urbanisation at the national, municipal and community levels

Prior to 2010, the national government of Ghana had discussed mid-term and long-term (40-year) development plans with a clear vision and indicators to track urban and rural development. The government also had a framework in place to address urban challenges with a focus on capacity development in this area. This provides some indication that the country was already beginning to think through its urban agenda. Survey results further support that the Country Programme was aligned with existing priorities: 100 percent of respondents either agreed or strongly agreed that the programme met priorities at a national and municipal level, with 90 percent agreeing the same at the community level.
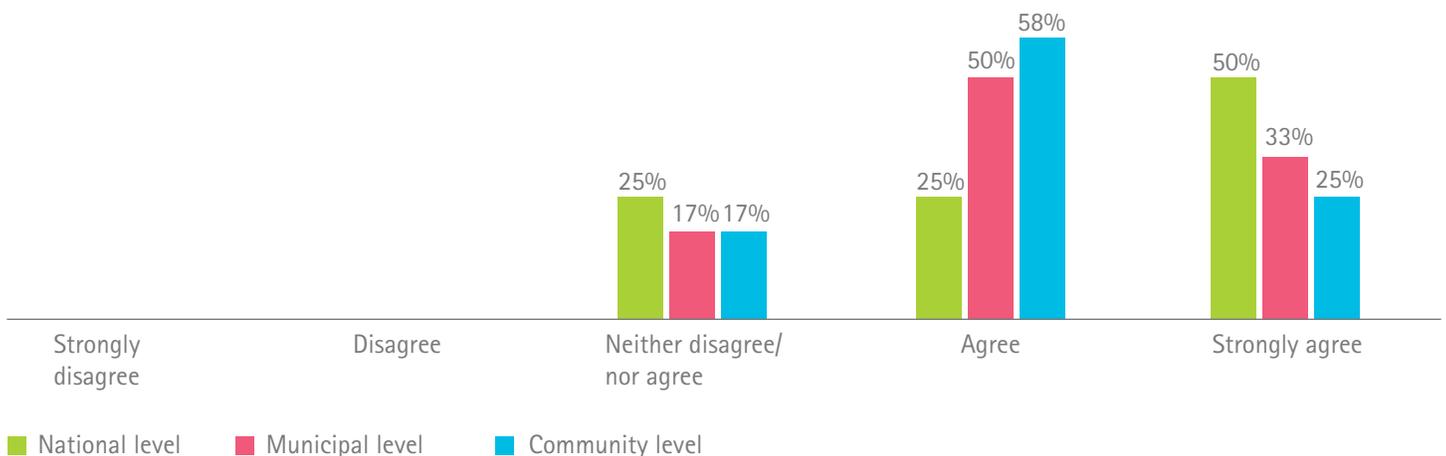
Interview results also support the fact that projects within the Country Programmes responded to in-country priorities: "The spreading of slums is a big problem for most of Ghana's bigger cities (especially in the GAMA area). So issues tackled by the Country Programme, such as slum-upgrading and prevention, improvement of living conditions and participatory planning, are of high relevance for Ghana's municipal authorities" (Bilateral Development Organisation).

> " Ghana was urbanising rapidly but was not being proactive. Cities Alliance's interventions helped address this and the LSC responded to the agenda on the neglected urban poor. "
>
> Director of Policy, Planning, M & E, Ghanaian Ministry

Figure 16. Ghana – Programme aligned to priorities

Perception that the country programme was aligned with existing priorities

	Strongly disagree	Disagree	Neither disagree/ nor agree	Agree	Strongly agree
National level			25%	25%	50%
Municipal level			17%	50%	33%
Community level			17%	58%	25%

■ National level ■ Municipal level ■ Community level

The Country Programme developed organically, responding to in-country needs

At the outset, the Country Programme set out to understand the needs and priorities in Ghana by conducting a partnership consultation to assess the suitability of Ghana for the Programme. In 2010, the Ghanaian census found that 52 percent of the population lived in urban areas[22]. Interviews with national ministries suggested that although there was a lack of recognition of urbanisation, it was increasingly discussed at the national level, meriting a development policy thrust. The Country Programme was therefore responding to an increasing need: "Cities Alliance came in a time when the country was starting to talk about the urban challenges and the LSC was in demand from the national government in Ghana." (Bilateral Development Organisation). Despite the increasing dialogue at the municipality level, local governments lacked direction from the national government on how best to approach urban challenges and community engagement. Furthermore, the use of participatory mechanisms was limited.

Members and partners at all levels requested the Country Programmes, and the concept for Ghana developed organically from conversations between members, partners and Cities Alliance. 100 percent of survey respondents and all interviewees advocated that the Country Programme was in high, or very high demand. The collaborative project proposal approach, which included an ongoing dialogue between Cities Alliance and the recipient organisations, also helped ensure that the projects were demand-driven.

All 11 projects indicated priorities to be addressed, defined target outputs and outcome statements, and were aligned to the objectives set out in the Country Programmes' framework. "Everything we do are aligned with Cities Alliance's objectives. There is always an overarching national programme that underlies anything Cities Alliance does with the media" (Radio Programme Moderator; Broadcasting Organisation).

Harmonisation of urban efforts

Cities Alliance played a harmonising role, particularly in bridging the gap between grassroots organisations and local and national governments.

One of Cities Alliance's primary roles was to support and help stabilise the work that implementing partners were already doing in-country. Cities Alliance therefore helped govern and provide structure around currently siloed urban initiatives in Ghana. The harmonisation between Country Programme projects and the existing urban actors was a critical success factor for the programme. The Programme brought urban stakeholders together at all levels, including those that previously worked independently. Cities Alliance established strong relationships between implementing partners, Ghanaian institutions and organisations at all levels. Although Cities Alliance harmonised projects and stakeholders to an extent, further support was needed in-country due to capacity restraints at the Urban Development Unit. The UDU has advocated that they need additional oversight and coordination support. In a report produced by the Organisational Development Institute, it was noted that the UDU lacks expertise in urban project financing (a sector-wide problem), geo-spatial and physical planning, revenue mobilisation, and coordination support. Moreover, the report states the level of coordination to be ineffective[24].

> " Before Cities Alliance came in, perception has been rural, rural, rural development. It's going to be urban development now. "
>
> Head of Unit, Ghanaian Ministry

> " Not enough harmony. The ministry should be the master of the orchestra.
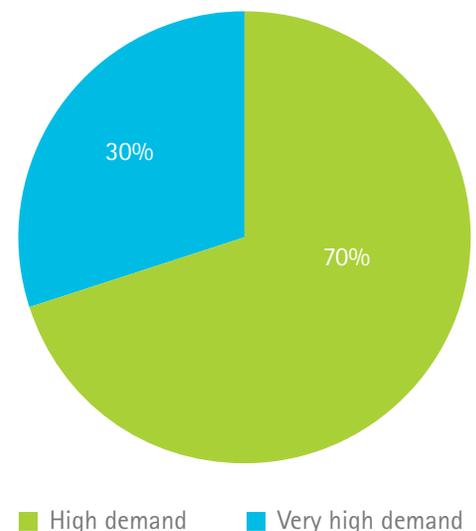>
> Needs more coordination and harmonizing the urban agenda in the country.
>
> Ministry needs oversight and responsibility. "
>
> Urban Development Planner, Ghanaian Ministry

Figure 17. Ghana – Programme in demand

Perception that the country programme was in demand

30%

70%

■ High demand ■ Very high demand

Spotlight on
City FM Radio Programmes

The City FM Radio Programmes were designed as part of the first two projects in the Country Programme, supporting the need to change attitudes and the political commitment in Ghana to elevate the urban agenda. The two projects ran from 2010 to 2016, with Channel Two Communications, CitiFM, the World Bank and Cities Alliance Secretariat, and consisted of two series: "Fixing the Urban Mess" and "Our City." Each radio programme aimed to expose all citizens to topics of importance to urban development. The idea was to level the playing field and include all social classes in the debate, and to improve public awareness around urban challenges.

Fixing the Urban Mess. Broadcast monthly, these four documentaries spearhead the advocacy campaign. The first episode focused on sanitation and the perennial flooding of Accra, seeking answers directly from the Mayor. The second looked at town planning and inappropriate land use, and their

consequences. Episode three focused on urban transportation and the traffic crisis in Accra; and the fourth episode argued the case for accountability and autonomous local government. Each episode was rebroadcast as a radio documentary on CitiFM, targeting the general public[23].

Our City. Broadening the issues and taking them to a wider audience, CitiFM broadcast 26 weekly programs—radio documentaries and studio debates. Furthermore, in phase two in 2013, four forums were established to discuss issues with assembly members. The documentaries were re-broadcast and discussed on social media, and DVD copies and edited transcripts were disseminated to the relevant ministries, stakeholders, civil society organisations and the media.

Radio DJs have seen a shift in the mind-sets of their listeners. Public opinion has moved away from slum evictions towards in-situ upgrading, and the public feel they have a voice to engage in debate around

the gravity of urban challenges. Citi FM is the third most listened to radio station in the GAMA region, offering an interactive approach that encourages listeners to call in and voice their opinions. "In the past three year the public awareness on urban issues is very high. The rich content has provided citizens with a better awareness of the issues and Accran citizens have now moved into more whistleblowing and advocacy" (Radio Programme Moderator; Broadcasting Organisation). People are calling in, sending pictures of urban issues on WhatsApp (a mobile messaging application) and tweeting about the urban challenges. Hashtags such as #ThisMustStop and #AccraFloods are just some of the many that are trending as dialogue has increased on social media fuelled by the radio initiatives.

Figure 18. Ghana – Social media campaign on twitter
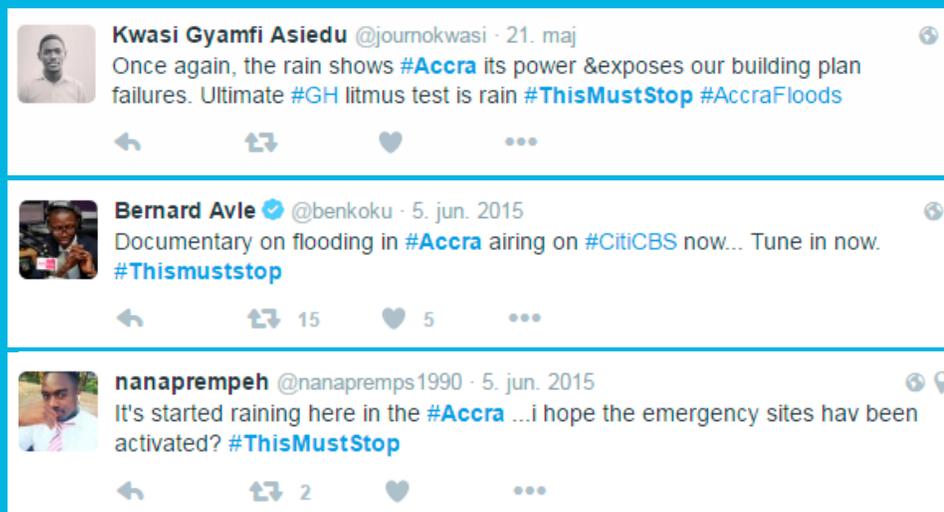
Survey results showed that 90 percent of respondents either agreed or strongly agreed that Cities Alliance played a role in harmonising and coordinating existing efforts in country. Additionally, Cities Alliance has made the most progress in breaking down vertical silos in-country. It was evident that communities, municipal governments and national governments corresponded both informally and formally, for example, with slum dwellers attending national urban forums, and local governments attending capacity development training and urban policy workshops. At the community level, although slum profiling projects were already occurring before Cities Alliance involvement in Ghana, there had been no alignment with the national government. The national government and municipal authorities had not worked with the organisation called 'People's Dialogue' before Cities Alliance harmonised efforts and catalysed the impact of the projects: "Most assemblies don't know anything about profiling and GPS data collections. We could absolutely not have done it without People's Dialogue and SDI" (Chief Executive, Ghanaian Municipality).

With regard to the horizontal relationships between partner organisations, interviews reflected different opinions. Many partner relationships had existed before Cities Alliance's involvement in Ghana, for example, between People's Dialogue and the Ghana Federation of the Urban Poor. These relationships had sometimes lacked structure and/or common objectives, which the Cities Alliance Country Programme provided to an extent. The UDU, with help from Cities Alliance and GIZ, did begin to pull in urban actors and to align interventions for the first time. However, in Ghana, it was found that there was limited coordination between partners, and a lack of interdependency between certain projects. Partners and members were found to be carrying out activities without reference to each other, for example, the national urban policy monitoring and evaluation plan developed in 2016 could have been better coordinated with the other parts of the Country Programme.

Additionally, Country Programme Steering Committee meetings were not held or attended frequently. This was noted throughout interviews not to be a "failure of Cities Alliance but a structural issue. Everyone is working in silos and time is needed to make institutions more aligned" (Bilateral Development Organisation). As an example, the Africa Centre for Cities (ACC) State of Cities grant and World Bank WASH projects were found to have weaker interdependencies than other projects that were part of the Country Programme. As aforementioned, responsibility for the coordination of horizontal relationships was placed in the hands of the UDU with limited success. The UDU was acknowledged by members and partners to have limited capacity, and suffered from high staff turnover (for example a senior official was moved to the Ministry of Environment Science, Technology and Innovations)[25], which led to interruptions in the coordination of the Country Programme. The report published by the Organisation Development Institute noted this capacity gap, particularly in the UDU's lack of a mandate to implement, and play an effective coordination role[26].

In addition, projects that were not originally part of the design of the Country Programme were noted to lack interactions with other partners or members. The ACC grant was included in the Country Programme in 2013, to create a State of Ghanaian Cities Report, to support the establishment of a coalition of urban stakeholders to discuss and agree on priorities for urban research, take stock of contemporary urban trends in Ghanaian cities to enable policy makers to improve decision making, and to disseminate the outputs. However, due to an incomplete first preparatory phase and the alignment of a World Bank urbanisation review into the Country Programme, phase two of the project did not move forward. As this grant was not built into the design of the Programme and was not aligned, ACC stakeholders stated that there was a lack of information shared across the programme and disagreed that Cities Alliance played a harmonising role across projects: "Cities Alliance could have been a much better

conduit of information" (Urban Researcher, Research Organisation). Thus, the necessity for projects to be built into the design of the Country Programme, to have alignment and interdependencies with other projects, is seen to be fundamental for collaboration.

Delivery and funding

Cities Alliance was the catalyst for delivery of outputs, providing funding and technical assistance to local partners

Interviewees noted that the Cities Alliance Country Programme provided much needed technical, financial and political force at dealing with, and benefiting from, urbanisation. Survey results indicated that the strongest capability provided by Cities Alliance (aside from funding), was its technical assistance and international experience. 50 percent of survey respondents further advocated that members and partners could not have independently delivered similar outputs without Cities Alliance.

Respondents all indicated that what Cities Alliance provided in Ghana was its coordination, for example in supporting the UDU with managing the National Urban Forum, coordinating the projects and aligning the different in-country initiatives.

At the national level, interviewees and secondary sources agreed that the UDU's capacity was limited and that the organisation needs further resourcing and technical knowledge to continue the work: "the capacity was simply not in the country and less would have happened without Cities Alliance" (Programme Manager, Bilateral Development Organisation). Cities Alliance and GIZ supported the UDU throughout the Country Programme to bring the expertise and finances required to recruit urban development consultants to support the UDU in developing the policy, and encouraged nationwide consultation. 60 percent of survey respondents stated that Cities Alliance contributed significantly or very significantly to informing the national strategies or plans.

In cases where partners had already started to produce outputs and develop answers to urban challenges, Cities Alliance provided funding to enhance quality and improve timelines. For example, the Institute for Local Government Studies (ILGS) had already started to develop "Sustainable Urban Local Government Capacity Building" courses, with in-house resources. However, interviewees suggested that capacity was initially limited, and that the financial and human resources provided as part of the Country Programme were the core catalysts for the implementation of the project. ILGS was enabled to provide courses such as Strategic Leadership, Citizen Participation and Policy Planning (See Appendix 6.1 for a full list of ILGS training courses).

Funding was inadequate due to lack of resources within partner organisations and due to poor partner planning skills

Interviewees provided almost unanimous agreement that they could use more money and would have liked to have developed larger infrastructure projects. This is common in evaluations, and is seen as a more general sector-wide issue around entitlement which often occurs in development contexts[27]. However, stakeholders also acknowledged that Cities Alliance's Country Programme focused primarily on providing technical assistance and building capacities in partner organisations, and was never intended to support large infrastructure projects. 50 percent of survey respondents stated that grant funds were not adequate to achieve objectives, with 30 percent agreeing that funding was adequate and 20 percent declining to comment. Funding was found to be inadequate where there was misalignment between project plans and partner capacities. This meant that implementing partners co-financed some projects, when there were initial resourcing constraints. For example, GIZ had to hire a full-time local resource with expertise in urban development to complete the national urban policy work with the UDU as the planned human and financial resource capacities were not sufficient.

Additional funding was allocated to international knowledge transfer, for example with Ghana's attendance at the Habitat III Conference in Ecuador in October 2016. Support was provided to the UDU and the MLGRD to lead a delegation of professionals from Ghana and for them to actively participate in the different preparatory meetings. The project facilitated discussion regarding the Habitat III country report and the definition of Ghana's position, which was then conveyed to the Habitat III secretariat in preparatory conferences and meetings. This funding allowed the UDU to contribute to the formulation of global agendas which will influence the country's policies.
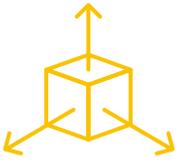
> "
> Could not have done this without the information, the structure, the discussion and the commitment from Cities Alliance "
>
> Radio Programme Moderator;
> Broadcasting Organisation

Figure 19. Ghana – Cities Alliance's capabilities
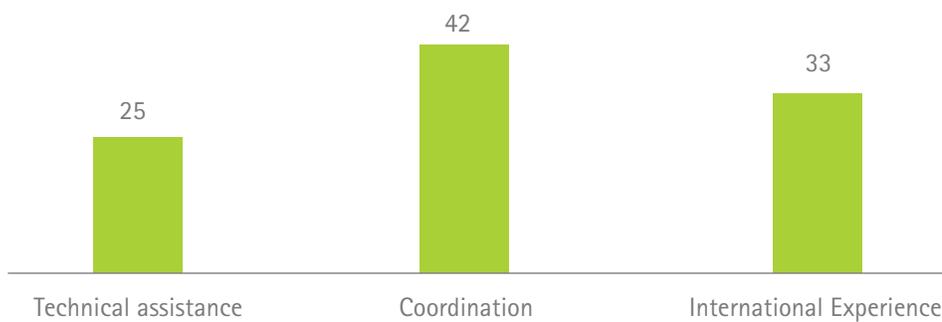
Most value Cities Alliance's capabilities

Effectiveness

Did the projects achieve their objectives as defined in the Country Programme Framework?

The Country Programme focused on delivering outputs in four different areas: National Policies, Local Strategies and Plans, Citizen's Engagement and Community Development.

In Ghana, 47 out of 59 project outputs (79 percent) were delivered as part of the grant agreement[28]. The remaining 12 (21 percent) outputs include a grant withdrawal from Africa Centre of Cities. Following internal discussions, a decision was then made to shift funding to the World Bank-supported Urbanisation Review project, which covered similar outputs. The delivered outputs are being used and have been disseminated. The 11 projects showcased many outputs by type, ranging from urban policies to television and radio documentaries, workshops, reports, assessments and strategic recommendations and participatory strategies.

National policies

Ghana now has a National Urban Policy that has been disseminated locally and internationally

The Country Programme placed a strong focus on advocacy campaigns, creating awareness of urban challenges and contributing to a change in the public narrative to increasingly encourage in-situ slum upgrading.

As an example, the aforementioned case study on Cities Alliance's work with the media on television and radio campaigns created awareness of urban issues (for example, drainage and waste disposal) amongst the both the population and politicians.

60 percent of survey respondents reported that Cities Alliance had a significant to very significant contribution in informing the national strategies and plans.

The government is now collaborating with the hosts of radio shows, inviting them to ministerial meetings to discuss their feedback and their views regarding public perception. This knowledge has been used to inform new governmental strategies, for example, the Mining Strategy and the Flooding Strategy.

There has been a fundamental turnaround in Ghana around urban issues. President John Mahama openly championed the continental urban agenda and appointed a Minister of Local Government and Rural Development with a long history of involvement in urban policy and management issues[29]. An Urban Development Unit was established in 2009 to coordinate urban resilience initiatives, acknowledging that the government was taking the right steps to address issues of urbanisation in the country. In addition, several interviewees noted that public awareness of urban issues has increased and it was recognised that the radio programmes helped to influence urban policies.
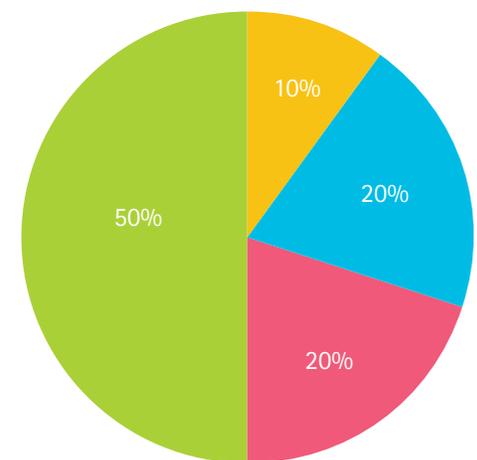
"
In the past three years the public awareness on urban has risen and is now very high.

People are more aware of the issues "

Radio Programme Moderator; Broadcasting Organisation

Figure 20. Ghana – Informed strategies or plans

Cities Alliance informed national strategies or plans

- Very significant contribution
- Significant contribution
- Moderate contribution
- Limited contribution

GIZ was brought on to the Country Programme as an implementing partner, mainly responsible for the National Urban Policy. Through its Support to Decentralization Reform program, GIZ had already worked with various stakeholders in Ghana's urban sector for a number of years, including the staff in the newly set-up Urban Development Unit (UDU) and the Institute for Local Government Studies (ILGS)[30]. As GIZ had already supported the drafting of a National Urban Policy by the MLGRD, the activities that were implemented under the Country Programme were a logical extension and augmentation of this groundwork.

Specifically, GIZ was responsible for providing support to the Urban Development Unit to increase its capacity to drive a national urban agenda centred on inclusive, sustainable cities, including institutionalizing the National Urban Forum as a regular mechanism for national level dialogue on urban issues. In addition, it played the role of Secretariat of a Steering and Advisory Committee for the LSC programme to be convened by the MLGRD.

While progress is being made, there is further room for improvement to fully recognize the range and challenge of urban issues, shown in the UDU's attempts to gain directorate status: "the Urban Development Unit still sits under the Ministry of Local Government and Rural Development, and only has a handful of staff. The growth of this unit would enhance its ability to play a coordination role in country, and improved ownership and financial backing would further catalyse outputs" (Independent Consultant).

Figure 21. Ghana – Newspaper clip on slum prevention

Spotlight on:
The National Urban Policy

The National Urban Policy projects sought to strengthen the institutional capacity of the UDU, support the development and institutionalization of the National Urban Forum to enhance policy dialogue, enhance the policy debate through research into defined urban issues, strengthen partnerships through the establishment of a Steering and Advisory Committee, and review and build on Ghana's National Urban Policy and Plans[31]. Cities Alliance worked with GIZ and the UDU to build capacity, engage citizens and deliver an inclusive national policy and action plans (refer to Appendix 6.3 or all the objectives in the policy). The policy has been disseminated both nationally and internationally (at industry conferences).

The policy has been ratified by the cabinet, and is a working document. Evidence of municipalities readily using the policy to form strategies and priorities was noted, and their focus has shifted from rural to urban. For example, in the Ashaiman municipality, the Chief Executive has: "started to roll it out already. Policies are guides, you start using them... we use it for everything we do". The municipality has used the policy to inform its vision and "city blueprint," as well as to set its priorities. Other interviews suggested that more focus needs to be placed on policy training with municipalities, local NGOs and communities in order to supplement its dissemination.

Local strategies and plans

Ghana's Country Programme Framework included an objective to develop an institutional framework and coordinate a Metropolitan Development Strategy for the Greater Accra Metropolitan Area (GAMA) region. Due to a disconnect between the municipalities that make up the GAMA region, it was concluded there was a need to set an overarching framework that promoted integration and coordination across municipalities. The aim was to create a partnership of municipalities and stakeholders across the region to adopt a proactive approach to regional growth and planning issues, while recognizing a need for implementation at the local level. The aim was to develop a strategic plan for managing change in the urban region of Greater Accra[32]. However, due to the national approach to decentralization—which favoured a district-based approach—and the opportunity to support the emerging Word Bank sanitation programme on a Country Programme priority area, the programme opted instead to develop participatory Water, Sanitation and Hygiene (WASH) strategies and District Environmental Sanitation Strategic Action Plans at the metropolitan level.

As part of the overall objective to support the development of local strategies and plans to promote pro-poor urban systemic change, Cities Alliance sought to improve existing municipal sanitation plans. The WASH project was initiated to support the development of an integrated environmental sanitation strategy for GAMA; to promote dialogue among the eight MMAs that constitute it; to understand the needs and challenges of providing sanitation and water services to low income communities and develop a strategy for community participation; and to promote donor coordination around environmental sanitation. The project delivered an assessment of WASH needs in nine selected low income urban communities (LIUCs) and developed participatory strategic WASH services in GAMA. District Environmental Sanitation Strategic Action Plans were also delivered for three new municipal assemblies in GAMA, as well as a Rapid Results Initiative: Coordination and Environmental Sanitation Initiatives for MMAs in GAMA.
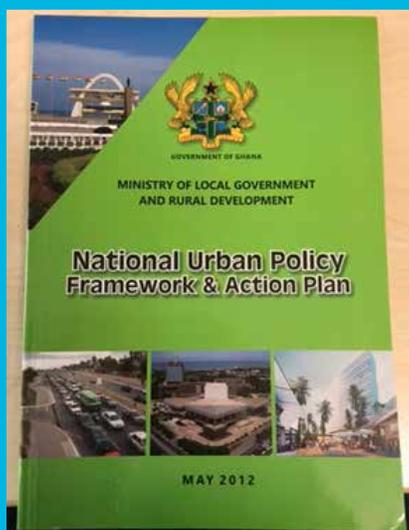
Figure 22. Ghana – National Urban Policy

Figure 23. Ghana – Newspaper clip on the National Development Plan

Citizen's engagement

Community participation has contributed to valuable data for city upgrading

A key priority for Cities Alliance is promoting community participation around urban issues and policy development. Furthermore, a central pinnacle of the Country Programme was recognising that slum dwellers were a significant part of the solution to long-term incremental upgrading of slum areas. A partnership between slum dwellers and municipal and national governments would help ensure success in long-term incremental upgrading of slum areas. To enable the effective partnering of slum dwellers it was important to mobilise and empower them. To this end, Cities Alliance brought in Slum Dwellers International (SDI), a transnational network of slum dweller organisations united at city, national and international levels to form federations of the urban poor[33]. SDI has intensive networks in the East African region and internationally. Through its active federations and affiliate NGO People's Dialogue, it had gained experience from working in Ghana since 2003. SDI uses exchanges, saving schemes and enumerations as mobilising

and developmental tools, creating accountability, self-reliance and financial and human resource management skills amongst the urban poor[34]. SDI's key role was to mobilise the urban poor through "learning by doing"[35], and to work closely with municipal staff to ensure coordination and cooperation on the ground.
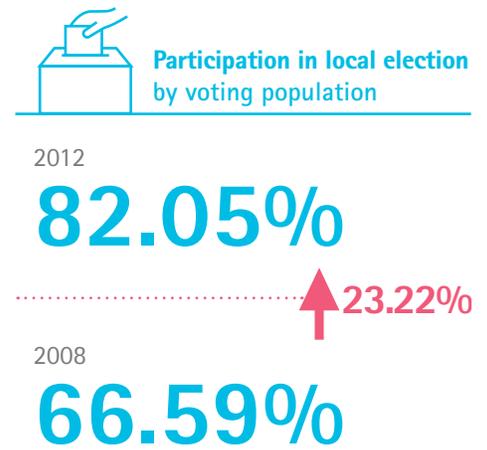
With the involvement of People's Dialogue, SDI and Ghana Federation of The Urban Poor, citizens living in slum areas have been involved and engaged in the Country Programme, particularly with the enumeration and profiling. The projects focused on training the community and community leaders to produce city-wide slum profiles and maps, establishing local facilities to incentivise community involvement, and to produce and disseminate the profiles. Community capacity was also strengthened through various initiatives including identifying and training community leaders on effective engagement methods; knowledge-sharing and network set-up across the municipalities; informing key decision makers through seminars; and by engaging communities in a forum for community-government dialogue[36].

Figure 24. Ghana – Urban poor participating in voting

Participation in local election by voting population

2012
82.05%

▲ **23.22%**

2008
66.59%

(Source: International Institute for Democracy and Electoral Assistance)

Figure 25. Ghana – Community capacity development

The "Building capacity for the urban poor" project delivered the following outputs:

80 Community leaders trained in SDI rituals

22 Communities federating into new savings groups

1 Training manual produced

40 Monthly reports and consolidated reports on focus group discussions in saving groups

Figure 26. Ghana – Community attendance

Total community attendance in training activities across 11 MMAs

284

851

■ Community members
■ Municipal & Communityleaders
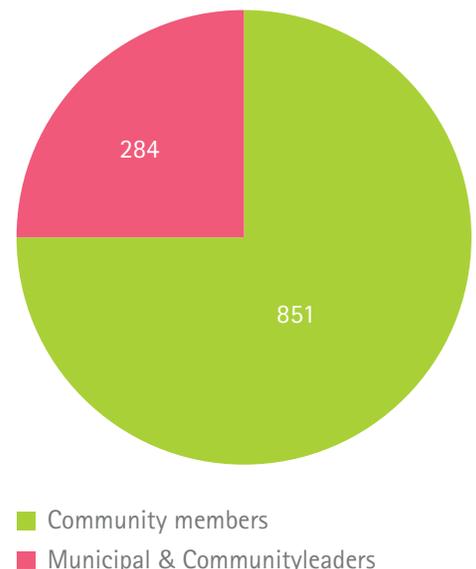
Community members were trained on SDI rituals (such as savings groups, profiling, enumeration) and municipal and community leaders were taught savings; group formation; profiling and enumeration; exchanges; and effective engagement with government and other urban stakeholders. Municipal authority officials were also trained on how to use and update the database of slum profiles. In addition to the training activities, 42 exchanges were organized for savings groups.

45
Savings Groups

Another part of the enablement and empowerment was to teach communities about the power of savings groups through SDI and People's Dialogue. 24 new savings groups were mobilized by the Federation in LEKMA, Ashaiman, Adentan and Tema as well as an additional 12 Savings Groups

in Ayawaso East, Osu Klottey, the Ga East and Ga South Municipal Assemblies and in the La Dadekotopon Municipal Assembly. Furthermore, nine groups were established in GA West, GA Central, and La Nkwantanang Madina Municipal Assemblies. The increase in community participation and active citizenship over the length of the Country Programme is evident at all levels.

Today, there are more slum dwellers attending the National Urban Forum than any other organisation. At a recent forum, more than 60 slum dwellers attended and, in interviews, agreed that their voices are being heard. Prior to the Country Programme, the government did not engage with its citizens: "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).

"This is the first time community groups was going to the local authorities. This couldn't have happened without Cities Alliance's input"

Independent Consultant

Figure 27. Ghana – Governance mechanisms

All
municipalities within the scope of the Country Programme now have regularly functioning governance mechanisms at the city level to engage citizens in urban governance.

(Cities Alliance Corporate Scorecard, 2016)

Spotlight on:

Enumeration in Ashaiman

In Ashaiman municipality, the Municipal Assembly worked closely with People's Dialogue to engage the community on slum profiling and enumerations. According to the planning officer, the local governments have used the enumeration and profiling data as baseline data to prepare the city development plan for the next four years.

The data has given the urban poor a voice and direct access to their decision makers. As a result, the slum dwellers feel empowered and have used the data to highlight their issues when addressing their local government.

The data has also been used to help understand where the municipality should provide services such as access to water

and toilets, and has been leveraged as part of a winning proposal to UNICEF to secure funding to provide select households with toilets. From a leadership perspective, it was noted that the Chief Executive welcomed community participation and a close relationship with the community groups and local NGOs.

Figure 28. Ghana – Sanitation programme in Ashaiman

"Profiling is more than a mobilizing tool. It's the fundamental tool. The tool is an advocacy weapon to prevent eviction"

Executive Director, Grassroots NGO

"It's important to know your city and the history of your community. I now know how many toilets we have and need. That is power"

President and Community Leader, Grassroots Federation

Capacity development

As part of the Country Programme, Cities Alliance contributed to several capacity development initiatives across the national, municipal and community levels. There was also a focus on bringing international experience to the county and exposing the UDU to international stakeholders. 75 percent of Country Programme projects contained at least one capacity-building activity, indicating the importance of this in the country[37].

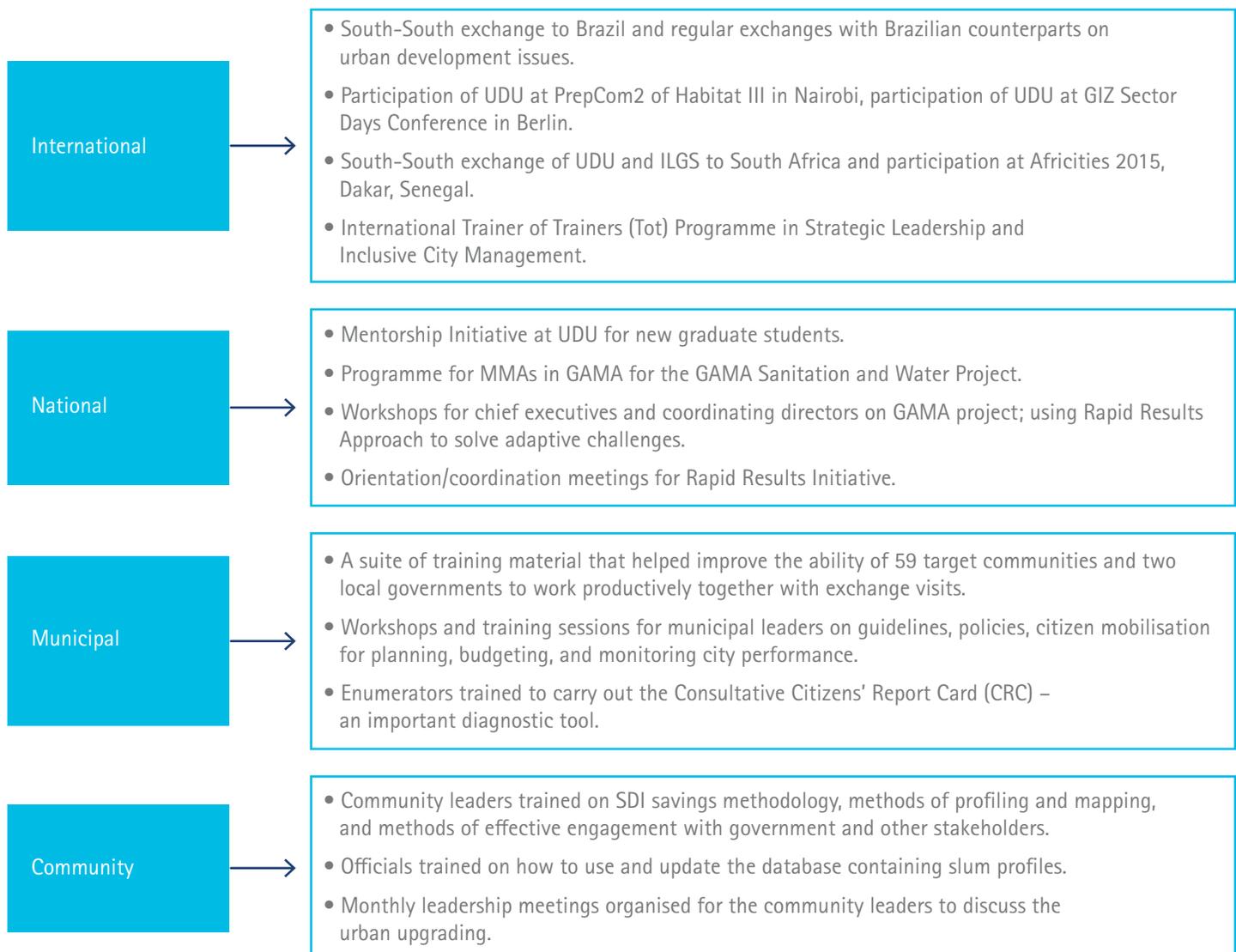## Knowledge and learning activities have increased partner awareness of urban challenges

Cities Alliance knowledge and learning activities contributed to building awareness amongst partners, helping them understand the implications of urbanisation and potential policy instruments to manage the growing shift from rural to urban development. In total, 2,183 people have attended training sessions in Ghana, with the vast majority trained by SDI and People's Dialogue.

2183
Participants at training sessions

Figure 29. Ghana – Capacity development activities

International
- South-South exchange to Brazil and regular exchanges with Brazilian counterparts on urban development issues.
- Participation of UDU at PrepCom2 of Habitat III in Nairobi, participation of UDU at GIZ Sector Days Conference in Berlin.
- South-South exchange of UDU and ILGS to South Africa and participation at Africities 2015, Dakar, Senegal.
- International Trainer of Trainers (Tot) Programme in Strategic Leadership and Inclusive City Management.

National
- Mentorship Initiative at UDU for new graduate students.
- Programme for MMAs in GAMA for the GAMA Sanitation and Water Project.
- Workshops for chief executives and coordinating directors on GAMA project; using Rapid Results Approach to solve adaptive challenges.
- Orientation/coordination meetings for Rapid Results Initiative.

Municipal
- A suite of training material that helped improve the ability of 59 target communities and two local governments to work productively together with exchange visits.
- Workshops and training sessions for municipal leaders on guidelines, policies, citizen mobilisation for planning, budgeting, and monitoring city performance.
- Enumerators trained to carry out the Consultative Citizens' Report Card (CRC) – an important diagnostic tool.

Community
- Community leaders trained on SDI savings methodology, methods of profiling and mapping, and methods of effective engagement with government and other stakeholders.
- Officials trained on how to use and update the database containing slum profiles.
- Monthly leadership meetings organised for the community leaders to discuss the urban upgrading.

Cities Alliance invested in activities ranging from national government and municipal leader-based training courses, to community training in mapping and infrastructure maintenance in slum areas. These initiatives have contributed to increased awareness and understanding of urban issues. 70 percent of survey respondents stated that Cities Alliance provided a significant to very significant contribution to members/partner knowledge and learning, with 60 percent stating that that they always share knowledge with partners/members outside their own organisation. 80 percent stated that Cities Alliance provided a moderate to significant contribution around strengthening institutional and community capabilities.

Capacity building was a key area of focus for Cities Alliance. As part of two ILGS-led projects to build capacity of local governments, the institute was responsible for developing training courses such as: "Sustainable Urban Local Government Capacity Building - An Enabling Platform for Effective Governance and Enhancement of Service Delivery" and for "Building the Capacity of the Urban Poor for Inclusive Urban Development." The developed content, including course materials, workshops, and train-the trainer materials were used throughout the Country Programme with municipal and national government leaders.

Cities Alliance funding to support these projects enhanced the capacity of ILGS to deliver quality outputs in all required subjects. For example, social accountability and social profiling were areas outside their expertise which meant they had to hire an external consultant. Through the interviews and survey responses, it was evident that Cities Alliance has made an impact on the recipients of these courses, and has built confidence in stakeholders and decision makers.

Training to support capacity development was implemented, particularly at the local city level. The ILGS courses on Social Accountability and Participatory Budgeting are being implemented in some municipalities where the local authorities involve the community in preparing the budget, and where the communities can provide feedback to the authorities. A range of toolkits and plans to help enable organisations and city leaders access data and strategize for the way forward were developed.

The focus on capacity development has enabled both partners and recipients to speak publicly about urban issues (such as water and sanitation) and urban policy development at all levels. Recipients report that they now see themselves as global spokespeople for urban development (through their participation in international knowledge sharing with missions and conferences around the world).
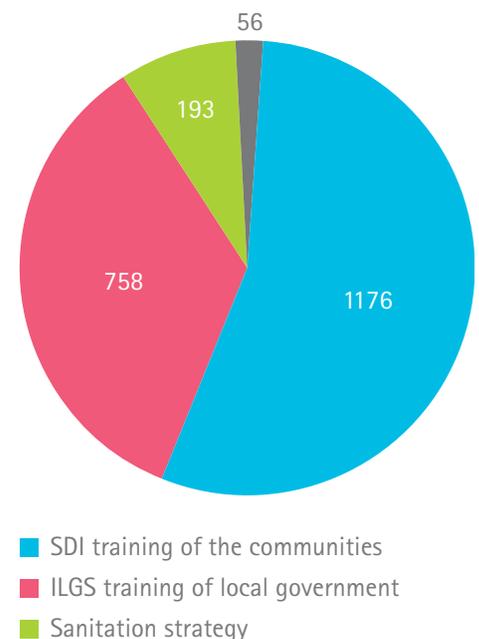
> " I am now able to speak to the issue because I have gone through so much training.
>
> I use the training and learning for everything I do "

Chief Executive, Ghanaian Municipality

Figure 30. Ghana – Attendance across training activities

Total attendance across four training activities

- SDI training of the communities
- ILGS training of local government
- Sanitation strategy

Efficiency

Did the projects have the appropriate structure and management capabilities in place to deliver on their objectives?

Governance mechanisms

Cities Alliance created a participatory approach in-country, with forums and steering committees across all levels

Interviews showed that Country Programme forums created a participatory approach for projects, allowing for discussion and collaboration across all partners. Cities Alliance was aware of the benefits and drawbacks of creating a participatory approach, and all stakeholders acknowledged that the collaboration and knowledge-sharing created value, which was worth the time taken to reach decisions and overcome coordination challenges.

The Country Programme included three forums:

The National Urban Forum:
This forum brings together the government, local government, research institutes, academia, community groups and more, and is coordinated by the Urban Development Unit. High turnout and engagement were noted in all sessions. A total of six forums have been organized, with 150 - 225 people attending each session. In 2015, 217 participants attended[38]. The forum had existed before the Country Programme, however, it was reinforced by Cities Alliance, with updated membership, coordination and renewed content. The knowledge shared at this forum has supported Ghana's participation at PrepCom III and Habitat III international conferences. However, interview analysis pointed to a lack of clear follow-on actions from the forums, for example concrete measures and assigned tasks.

The Urban Advisory Committee:
This committee emerged organically from the Country Programme as a governance mechanism to encourage information sharing amongst partners and a wider group of experts within the urban field. It includes representatives from public and private sectors, and from academia, to discuss the urban issues that had been submitted to the Urban Development Unit. The objective of the committee is to support the UDU with coordinating and steering urban initiatives in the country. Interviews and analysis found that the committee is participatory, with a flat structure. However, an observed shortcoming is that they do not have the mandate to make decisions and follow through on recommendations.

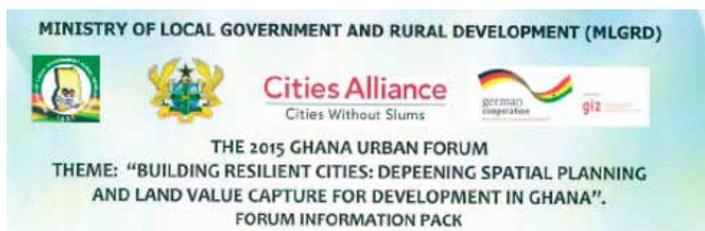Figure 31. Ghana – National Urban Forum

Figure 32. Ghana – Members of the Urban Advisory Group

Urban Advisory Group Members

- Ministry of Local Government and Rural Development (UDU)
- Ministry of Water Resources, Works and Housing
- Ministry of Environment, Science, Technology and Innovation
- Institute of Local Government Studies
- Town and Country Planning Department
- Environmental Protection Agency
- Office of the President
- Peoples Dialogue
- Ghana Statistical Service
- Housing the Masses
- National Development Planning Commission
- Local Governance Service Secretariat
- Ghana Institute of Engineers
- Ministry of Roads and Highways
- Ministry of Finance
- Greater Regional Circles
- Agence Française de Développement (AFD)
- SECO
- African Development Bank
- GIZ
- UN Habitat
- Global Communities

The Steering Committee: Perceptions of the Steering Committee fluctuated, and differences were noted between the first and second phases of the Country Programme, from 2010 to 2013, and then 2013 to 2016. The Steering Committee was responsible for coordinating the different Country Programme activities and grants to ensure a harmonized approach, overall programme understanding, and to support the MLGRD. In the second phase, the size of the committee dwindled to include only Country Programme partners. It was noted in interviews that some implementing partners were unaware of the Steering Committee. The intention was to create alignment and coordination between partners, however, it was noted that committee meetings only took place on an informal basis in the second phase. From 2013, the committee met only once or twice, and there has been no commitment from the ministry to continue the committee. The UDU, as owners, were slow to act and there was limited contribution and participation. This could be due to the capacity restraints faced by the UDU[39].

Programme management and grant making processes

Cities Alliance provided reactive programme management

Cities Alliance was perceived by partners to have provided a moderate to significant contribution to programme management in Ghana. Interviews indicated that Cities Alliance provided reactive programme management support. As part of the programme, many of the coordination activities were transferred to the UDU, which was unable to fulfil an effective coordination role due to limited capacity[40]. The Programme's Steering Committee met infrequently and to varying effect; it was noted in interviews that some implementing partners were unaware that the Steering Committee existed.

Although proactive in-country coordination was lacking, it was noted that the secretariat and in-country focal points did support programme management (with the latter to a lesser extent) where

necessary. Interviewees advocated that close relationships with Cities Alliance staff enabled adequate communication and support, and that programme management improved while a Cities Alliance mission was in Ghana.

Proposal and approval processes were perceived to be mostly transparent

Survey responses indicated that the proposal and approval processes were perceived to be mostly transparent. This was largely because Cities Alliance secretariat supported proposal development. "Cities Alliance helped and assisted to make sure the documents were right. It was open and transparent." (Dean, Academic Institute). The processes were seen to be relatively smooth and "Relatively easy going. Don't remember any difficulty. Setting up the structure and agreeing on the concept – smooth and easy" (Bilateral Development Organisation).

Figure 33. Ghana – Programme management

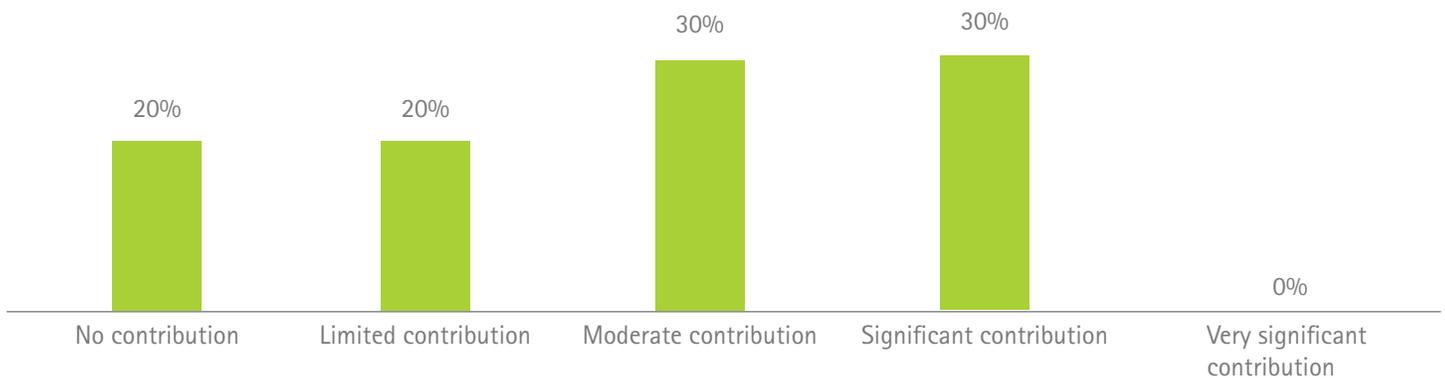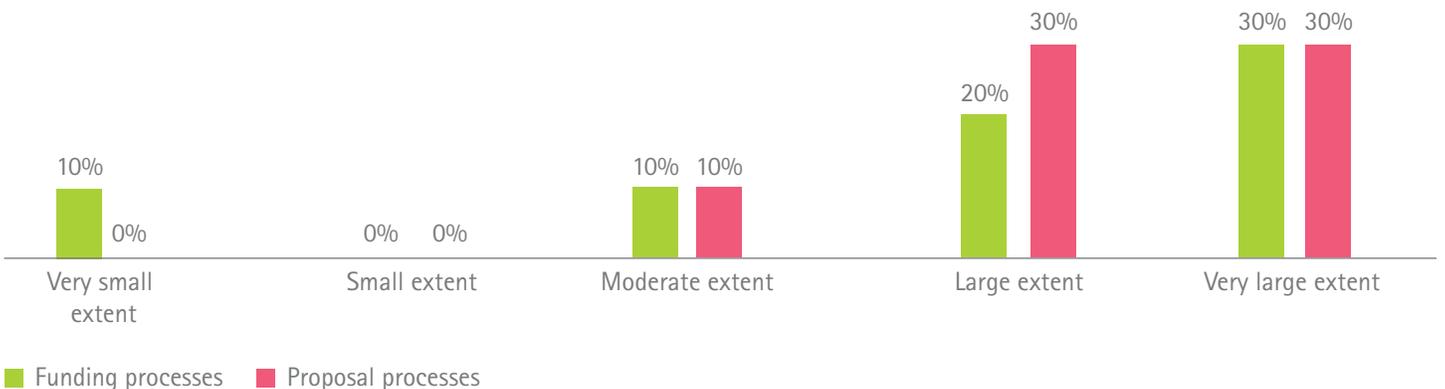Perception that Cities Alliance provided programme management

- No contribution: 20%
- Limited contribution: 20%
- Moderate contribution: 30%
- Significant contribution: 30%
- Very significant contribution: 0%

Figure 34. Ghana – Funding and proposal processes

Perception that funding and proposal processes were transparent

	Very small extent	Small extent	Moderate extent	Large extent	Very large extent
Funding processes	10%	0%	10%	20%	30%
Proposal processes	0%	0%	10%	30%	30%

- Funding processes
- Proposal processes

Grant making processes timing

The grant making processes took an average of 213 days from the proposal submission to the first disbursement of funds. The submission to approval, and approval to grant agreement, phases were noted to take the longest time, with disbursement occurring very shortly after agreement. Reasons for the delays in the grant-making process are partly to be found in the organisational's transition from The World Bank to UNOPS, in mid-2013 which required adjustments to the new procedures and amended legal arrangements.

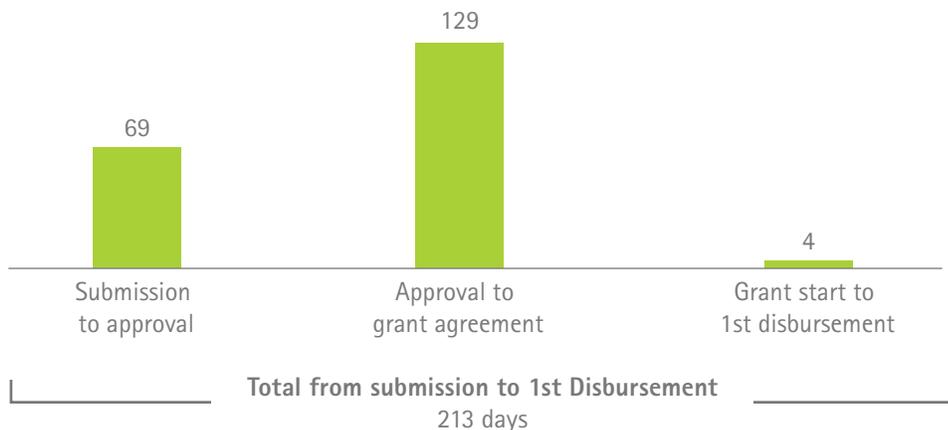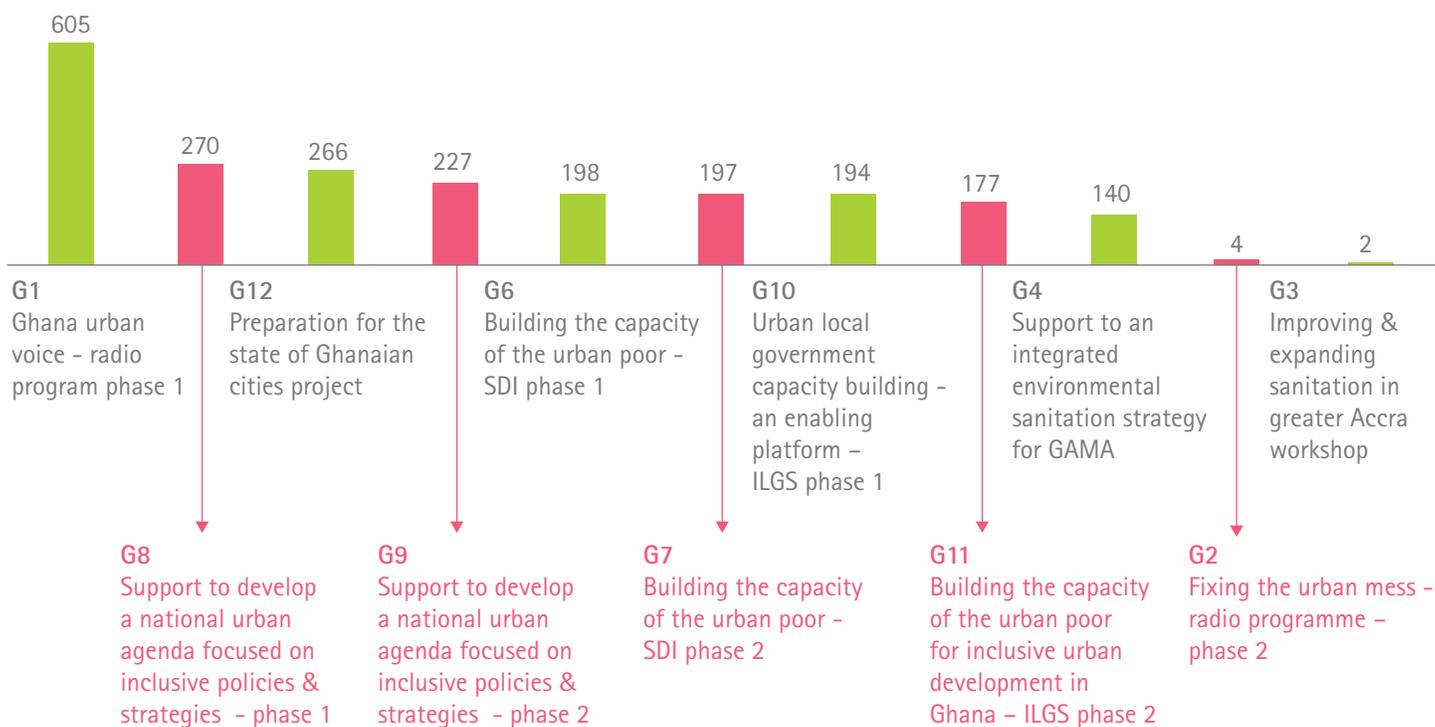**Figure 35. Ghana – Grant making processes**

Days to process grant

Total from submission to 1st Disbursement
213 days

Figure 36. Ghana – Project grant processes

Projects total days from proposal submission to 1st disbursement

G1
Ghana urban voice - radio program phase 1

G12
Preparation for the state of Ghanaian cities project

G6
Building the capacity of the urban poor - SDI phase 1

G10
Urban local government capacity building - an enabling platform – ILGS phase 1

G4
Support to an integrated environmental sanitation strategy for GAMA

G3
Improving & expanding sanitation in greater Accra workshop

G8
Support to develop a national urban agenda focused on inclusive policies & strategies - phase 1

G9
Support to develop a national urban agenda focused on inclusive policies & strategies - phase 2

G7
Building the capacity of the urban poor – SDI phase 2

G11
Building the capacity of the urban poor for inclusive urban development in Ghana – ILGS phase 2

G2
Fixing the urban mess - radio programme – phase 2

Sustainability

Will the results and outcomes of the projects continue after funding
or the end of support?

Continuation of projects and outcomes

The legacy and ability of projects to continue may suffer from a lack of funding and capabilities

57 percent of survey respondents indicated that they had plans[41] to continue beyond the Country Programme. However, only 40 percent had secured additional funding. When survey findings were triangulated with interviews, most partner organisations advocated that they would like to continue the work, and most had partners identified to continue work, however additional funding had not been gained.

At the national level, mind-sets have shifted away from promoting evictions of slum communities and towards allowing for the development of urban spaces, and to in-situ slum upgrading. The public have become aware of, and increasingly vocal about, issues of urbanisation and the Ghanaian President is now an international spokesperson for urban development. However, there is still a way to go for the UDU to obtain directorate status and be allocated a portion of the national budget. The UDU has limited capacity to continue the coordinating forums in the country, however it has advocated to continue to lobby for the implementation of the National Urban Policy. However, although the policy is supported by an action plan, investment plan and a monitoring and evaluation plan, no funds or resources for implementation have been secured. While the action plan has been approved at a national level, with concrete tasks and activities, it therefore remains to be rolled out due to funding and resourcing constraints. With regards to the advocacy projects, the radio programme and

television documentaries will not continue as a dedicated series, however urban issues have been embedded in the radio station's discourse for future programming.

The ILGS has developed a new curriculum focused on the urban agenda, showing continuation of Country Programme outcomes. Local authorities now subsidise the course rather than the government, creating a demand-driven approach that requires continued follow-up and advocacy. This approach has increased the sustainability of the curriculum. Further to this, the materials produced under the Country Programme, such as social accountability and social profiling, are actively being used by students.
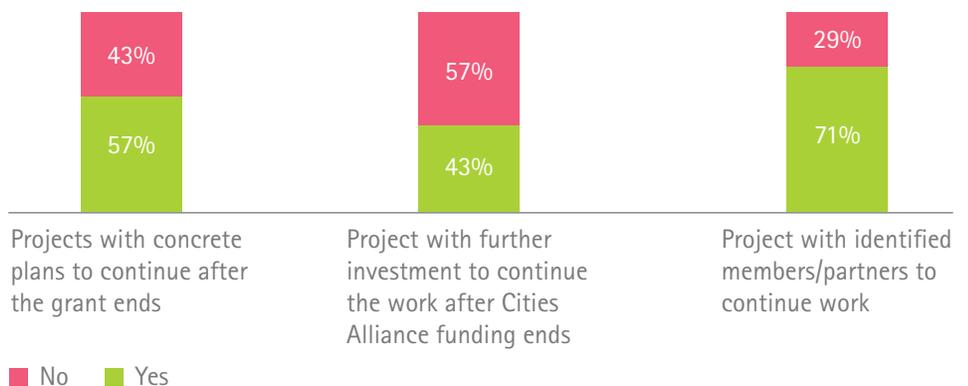
At the local authority level, the municipalities advocated that they will continue to engage with the community and use community data, however, there is also a need to maintain the data quality. For this upkeep, the municipalities and communities need additional funding. Within communities, direct investments for community upgrading projects will continue until they have been completed. For example, the construction of a biofilm system for Amui Dzor communal sanitation

block in Ashaiman municipality, and the construction of alley pavements in Ledzokoku-Kwokor municipality. People's Dialogue will continue to engage with the urban poor and interact with slum dwellers as part of its ongoing programmes, however, it requires funding and new partnerships to continue with projects and on-going city-wide profiling.

Capabilities developed in-country have not yet been fully institutionalised, and are at risk of being dissipated

It was noted that to sustain capabilities developed in-country, more focus needs to be placed on embedding knowledge (for example, around mechanisms to address urban issues) institutionally. Training was made available to those who joined the sessions (such as via ILGS), however, a focus on the "train-the-trainer" aspect was found to be lacking. Local councils need further training and capacity development to sustain knowledge transfer, as it was indicated that the knowledge stays at the municipal level: "it is important to disseminate the learnings and continue the workshops" (Dean, Academic Institute).

Figure 37. Ghana – Project continuation
Perception on project continuation

	No	Yes
Projects with concrete plans to continue after the grant ends	43%	57%
Project with further investment to continue the work after Cities Alliance funding ends	57%	43%
Project with identified members/partners to continue work	29%	71%

■ No   ■ Yes

Additionally, there is a risk of capacity and knowledge being lost through national organisational shifts. The UDU is only a unit within the Ministry of Local Government and Rural Development and has yet to obtain directorate status to gain funds from the national budget. Interviews with stakeholders from other ministries found a perception that UDU is not growing as planned and that the ministry had been weakened. The trained, dedicated resources are being moved out of the unit to other ministerial agencies and they are struggling to hire qualified, experienced staff. The knowledge is therefore at risk of being moved out of the organisation.

Replicability

Projects have the potential to be replicated or transferred

90 percent of survey responses stated that their project has the potential to be replicated or transferred to other areas. It was found that the strengthening of the urban policy has made an impact and that similar strengthening of other related policies could benefit the country. Partners advocate that if the urban policy is disseminated to other government ministries, such as Housing, Finance and Environment, and incorporated into other national agendas, it would further ensure its sustainability.

Local partners have visions to scale and replicate projects to other cities, however, it was noted that the smaller cities still have strong rural agendas, and therefore it may be difficult to gain traction for these initiatives. Partners spoke of the success of the radio campaigns, and advocated that similar campaigns could help to raise awareness of urban challenges. Further to this, it was acknowledged that existing materials could be leveraged by local media partners. The same is true for the learning and training materials produced by ILGS. ILGS has established relationships with the partners and governments required to raise urban issues such as infrastructure development, water and the environment, as well as to create responses to these issues, such as social accountability courses. ILGS has the ambition to scale these courses, however, it lacks the funding necessary to continue: "We would really like to see it expand and disseminate to other cities in Ghana. We believe if replication happened, it would be appreciated" (Dean, Academic Institute).

Without the funding, local governments outside Accra would most likely not have the capacity to engage in similar programmes.

Forums introduced under the Country Programme show a high level of replicability. According to local partners, the National Urban Forum is being replicated at the sub-national level as the Municipal Urban Forum (MUF). All cities will have their own respective urban forums whereby stakeholders within each jurisdiction would engage in dialogue to improve governance. This forum has not been formally launched yet, but was discussed and agreed to at the last National Urban Forum meeting in Sunyani in July 2016.

Reputation and credentials

Working with Cities Alliance provides partner organisations and recipients with an existing platform and strong credential they can use for further work

Cities Alliance has supported members/partners to secure additional funding for future urban development work. At the international level, although the grant with Africa Centre for Cities was not taken into second phase of the Country Programme, the ACC acknowledged that its work with Cities Alliance helped enable it to procure funding for a separate State of the Cities project in Malawi.

To produce a roadmap to further analyse options or implement actions to address the need to improve and extend sanitation, a workshop to understand the current sanitation status in the GAMA region was held[42]. Additionally, a strategy for community participation and donor coordination was developed. This WASH initiative within the Country Programme led to follow-up investment of US$150 million from the World Bank to fund a new WASH project in Ghana. This programme started in 2013 and is expected to run through 2018. The four components of the programme are:

- Provision of environmental sanitation and water supply services to priority low-income areas of the GAMA, including targeted campaigns for WASH behaviour change.

- Improvement and expansion of the water network in the GAMA.

- Planning, improvement and expansion of GAMA-wide environmental sanitation services.

- Institutional strengthening through technical assistance to municipal authorities and national institutions.

The Department for International Development (DfID) also invested US$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 and leverages the information and network base set up as part of the Country Programme[43].

At the community level, the profiling data that was gathered as part of the "Building Capacity of the Urban Poor" SDI-led project enabled Ashaiman's municipal government and People's Dialogue to build new partnerships, for example, a new project with UNICEF. With Cities Alliance's partnership as a credential, and the diagnostic work fulfilled as part of the Country Programme, People's Dialogue and Ashaiman's municipal government could prove their baseline data and request targeted support.

Figure 38. Ghana – Households with potable water

Ghana has seen a

31%

increase in the proportion of households in slum and/or low-income areas* with regular access to potable water, between 2013 and 2016.

(Cities Alliance Corporate Scorecard, 2016)

* study completed only in the low-income areas in which the Country Programme intervened in the GAMA region.

Partnerships

Partner capabilities and collaboration

Most stakeholders advocated that the right partner capabilities were in place, however, increased technical assistance and resourcing were needed in certain cases

90 percent of respondents stated that the right member/partner capabilities were in place to deliver the Country Programme objectives and that Cities Alliance played a catalytic role in partnership selection. This finding was also generally supported by interviewees:

However, there were variations in findings, with some interviewees stating that they were unsatisfied with other partner capabilities. Struggles with capacity were noted in small organisations with resource constraints, or where certain technical skills did not exist (for example,

within the UDU or ILGS). Cities Alliance provided technical assistance aimed at capacity and institutional development for organisations that suffered from a lack of expertise and resourcing. Staff attrition in ILGS was also noted, with three different directors observed between 2015 and 2016. Replacement of staff where there were skill gaps was incomplete. Partner organisations advocated that where capabilities were an issue, ILGS could have outsourced training sessions and course development. They were noted not to have realised the lack of capability in-house, which may have led to difficulties with the quality of outputs and timelines.

In the interviews, members and partners agreed that urbanisation cannot be managed in isolation. Survey responses showed that 60 percent of stakeholders always shared knowledge with in-country stakeholders, thereby providing a vehicle for partnership.

> " People are bringing valuable things to the table. Good technical discussion "
>
> Urban Researcher, Research Organisation

> " Everyone was good in their own area of expertise "
>
> Independent Consultant

Figure 39. Ghana - Knowledge sharing outside project

Perception that partners/members share knowledge with others outside their own project

Never share knowledge	Rarely	Sometimes	Often	Always share knowledge
10%	10%	10%	10%	60%
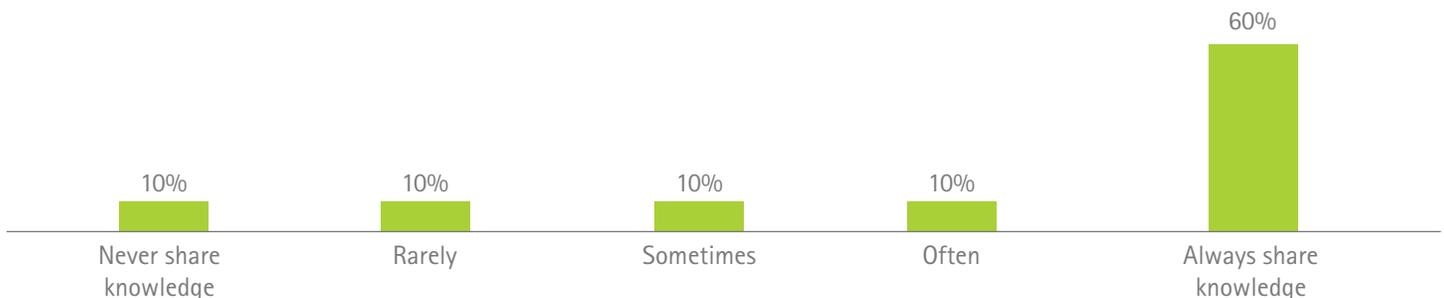
Cities Alliance's role as facilitator of collaboration divided the partners

50 percent of survey respondents stated that Cities Alliance contributed limited or moderate collaboration facilitation with stakeholders, with the other 50 percent indicating that Cities Alliance contributed significant or very significant facilitation. Some noted that Cities Alliance "pressed" the collaboration, while others advocated that collaboration "wasn't difficult" and that partners were easily coming together to share success stories and challenges. Meetings and touchpoints happened on an irregular basis, and not as often as partners would have liked. Clear agendas, action items, and regular attendance were also often found to be lacking.

Although collaboration levels were high, differences in ways of working led to inefficiencies within projects

90 percent of survey respondents stated that the level of collaboration within their projects was high to very high, and in most cases, high consultation and validation took place. However, in certain cases, differences in ways of working led to inefficiencies. For example, in terms of documentation review, some partners noted that "no one ever reviewed the outputs and getting the final comments was so hard. Meeting and verbal discussions are much better than the written feedback" (Bilateral Development Organisation). Additionally, it was found that transparency and information sharing was unevenly distributed "Our partners were hiding information a bit strong from us and were not sharing information" (Bilateral Development Organisation). The evaluation found that this difficulty in collaboration, and resulting inefficiencies, could have been due to clashes in the organisational culture between certain partner organisations. Different ways of working and the varying importance of hierarchy within organisations may have made collaboration difficult.

Platform for partnership

Cities Alliance was found to be a platform for building effective partnerships

All survey respondents stated that Cities Alliance is a platform for building effective partnerships, a finding echoed in interviews. Cities Alliance strengthened existing partnerships in Ghana. Existing urban actors were convened; however, it is unclear how many new partnerships were brokered. Most stakeholders stated that while they knew their partners before, the main contribution from Cities Alliance was in strengthening these relationships. One area in which Cities Alliance played a catalytic role was in academia: "The government and local authorities are much more open to research. Now local authorities change their processes to include new research instead of just updating their four-year plan based on previous years" (Dean, Academic Institute). Aside from ILGS, the University of Ghana (the Department of Geography and the Regional Institute for Population Studies) became an integrated Cities Alliance partner, enabling a wider ecosystem of actors focused on urban development. In 2016, research on rural/urban linkages was supported as part of the ILGS grant.

One interviewee described the Country Programme as a "Learning Alliance" (Chief Executive, Ghanaian Municipality), where various partners, NGOs, governments, institutions and citizens convene to discuss the progress of the urban initiatives.

Cities Alliance created synergies with other large international programmes

Cities Alliance created synergies between in-country partners and its other large international programmes. For example, the DFID and Cities Alliance-funded "Future Cities Africa programme" (FCA). FCA funds and plans were used within the Country Programme to introduce a Resilience Plan and an MDTP (Medium-Term Development Plan)[44]. Refer to "Uganda: Country Context" for further information on the FCA programme.

"
Cities Alliance has created a platform for partnership and platform for international networking. The national partnerships were already there but the funding strengthened the collaboration "

Dean, Academic Institute

Conclusion

Relevance

- The Country Programme in Ghana had a strong focus on advocacy and raising awareness of general public opinion.

- It developed organically, responding to the needs in the country. Ghana was committed to tackling the challenges of urbanisation at the national, municipal and community levels.

- Cities Alliance played a harmonising role, particularly in bridging the gap between grassroots organisations and local and national governments.

- Cities Alliance provided funding and technical assistance to local partners, however, some of the grant amounts were deemed inadequate by partner organisations that suffered from resource constraints.

Effectiveness

- Ghana now has a functioning Urban Development Unit (UDU) and a National Urban Policy that has been disseminated both locally and internationally. Although the UDU still sits within the Ministry of Rural Development and Local Government, it is taking steps towards becoming a directorate.

- The Country Programme enabled dialogue around the importance of metropolitan planning. However, due to the national approach to decentralization—which favoured a district-based approach—and the opportunity to support the emerging Word Bank sanitation programme on a Country Programme priority area, the programme opted for a practical approach and developed participatory WASH Strategies and District Environmental Sanitation Strategic Action Plans at the metropolitan level.

- With the involvement of People's Dialogue, SDI and Ghana Federation of The Urban Poor, citizens living in slum areas have been widely involved and engaged in the Country Programme. Twenty-two communities have been federated into 45 savings groups; communities have been involved in creating city-wide slum profiles and maps to enhance municipal infrastructure decisions; and communities have been involved in the governance forums of the Country Programmes.

- Cities Alliance contributed to several capacity development initiatives across the national, municipal and community levels. Seventy-five percent of projects contained at least one capacity-building initiative. Projects focused on building local capacity and developing academic courses with the ILGS. Knowledge sharing and learning activities have increased partner awareness regarding urban challenges—2,183 people have participated in training sessions. There was a focus on bringing international experience to the county and exposing the UDU to international stakeholders.

Efficiency

- Cities Alliance created a participatory approach in-country, with forums that cut across all levels:

  - National Urban Forum

  - Urban Advisory Committee

  - Steering Committee

- Inefficiencies occurred where the UDU, responsible for the coordination of these groups, had limited capacity to run the forums (such as the Steering Committee).

- Cities Alliance was perceived by partners to have provided a moderate to significant contribution to programme management in Ghana. This was more reactive than proactive; provided when partners reached out for support or a Cities Alliance mission was in-country.

- Proposal and approval processes were perceived to be mostly transparent, with support from Secretariat members. The average time from proposal submission to first disbursement of funds was 213 days.

Sustainability

- The legacy and sustainability of projects may suffer from a lack of funding and capabilities. It was noted that all partners would need additional funding and capacity development activities to be able to sustain project outcomes; with only a few that had already secured this funding. Capabilities developed have not yet been fully institutionalised and are at risk of being dissipated through organisational shifts.

- Most projects have the potential to be replicated or transferred, for example, with ILGS courses and the National Urban Forum being replicated at the municipal level. However, funding is required for the implementation of these activities.

- Working with Cities Alliance provides partner organisations and recipients with an existing platform and strong credential that they can use for further work. Follow-on investments have occurred, for example, the metropolitan planning process resulted in the design of a sanitation and water programme, funded by a US$150 million loan from the World Bank.

Partnerships

- Ninety percent of stakeholders advocated that the right member/partner capabilities were in place to deliver on outputs; and that Cities Alliance played a catalytic role in partnership selection. However, increased technical assistance and resourcing were needed in certain cases.

- Ninety percent of survey respondents stated that the level of collaboration within their projects was high to very high. Although collaboration was high, differences in organisational culture and ways of working are a challenge and caused in some cases inefficiencies within projects (for example, within the National Urban Agenda projects).

- All survey respondents indicated that Cities Alliance is a platform for building effective partnerships; a finding echoed in interviews. Cities Alliance strengthened existing partnerships in Ghana, convening existing urban actors and including academic institutions. Cities Alliance has been described as a "Learning Alliance."

- Cities Alliance created synergies between in-country partners and its other large international programmes. For example with the DFID, Cities Alliance-funded Future Cities Africa programme (FCA) and the World Bank WASH programme.

Uganda

Introduction

Country context

The Uganda Country Programme was the first Land, Services and Citizenship programme, which began in 2010 and ended in October 2016. The Country Programme was designed under the Cities Alliance Country Programme to enhance coordination between urban development efforts in the country and is also known as the Transforming Settlements for the Urban Poor in Uganda (TSUPU) programme. Uganda was chosen as it had a national government that was already actively engaged in addressing the challenges of rapid urbanisation, particularly in slum upgrading. Since the early 1990s, Uganda has been undergoing a process of decentralization, which has contributed to the creation of legal and institutional mandates that empower local governments to make decisions on issues that fall within their jurisdictions, promote popular participation and improve service delivery. While this decentralization laid a foundation for effective urban management, the cities were faced with several critical challenges that, if left unchecked, could result in increasingly marginalized urban poor communities and slum growth[45].

Urban population growth

Uganda's urban population has been increasing rapidly, from 6.7 percent of Uganda's population in 1980 to an estimated 14.8 percent in 2010. Population growth rates for urban areas over the past 30 years have been almost double those of rural areas[46], with 60.1 percent of city populations living in slums in 2009[47]. With almost half of its people under the age of 15 years, Uganda has a high dependency ratio[48] and population growth that generates 700,000 new labour market entrants every year[49]. Between 2011 and 2012, Uganda's Gross Domestic Product (GDP) fell to 3.2 percent due to a combination of internal and external factors including high population growth, a decrease in export performance and high inflation, affecting the country and reducing economic activity[50].

Economic situation

Starting in the late 1980s, the Ugandan government has pursued a series of stabilization and pro-market structural reforms. The resultant macroeconomic stability, post-conflict rebound, and investment response generated a sustained period of high growth between 1987-2010[51]. GDP grew at an average annual rate of 7.1 percent from 1992 to 2011[52]. Going forward, a public investment program and private sector economic activity in the post-election era is expected to drive growth. However, the effects of a volatile global economy on demand for Uganda's exports, and timing of key infrastructure projects in the country's oil sector, could offset the benefits of improved terms of trade due to low oil prices. Under these circumstances, the Ugandan economy is forecast to grow at a rate of approximately 5.9 percent in FY16/17 and increase to 6.8 percent in FY17/18[53].

Figure 40. Uganda – Population living in slum

Uganda has seen an average municipal expenditure increase (per person per year) of
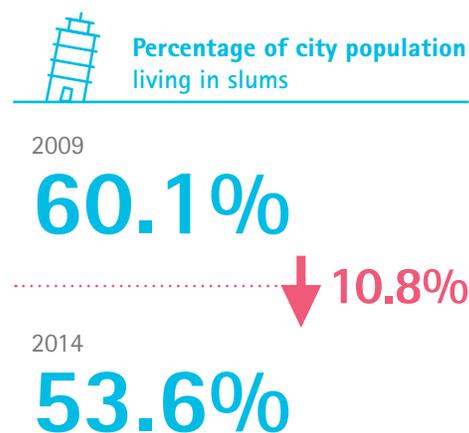
168%

between 2013 and 2016

(Cities Alliance Corporate Scorecard, 2016)
* study completed in the 14 municipalities of County Programme.

Figure 41. Uganda – Population living in slum

Percentage of city population living in slums

2009
60.1%

↓ 10.8%

2014
53.6%

Donor landscape

From the mid-2000's, the Government of Uganda recognized the need to capture the positive impacts of urbanisation, and sought to devise a strategy to enhance the competitiveness of the urban sector in order to harness its potential as a driver of economic growth. The interest of the government of Uganda in urban development is evident in its decentralisation reforms and commitment to the on-going World Bank's Uganda Support to Municipal Infrastructure Development (USMID) programme.

Additionally, the UK's Department for International Development (DFID) and Cities Alliance-funded Future Cities Africa (FCA) programme supported the business case for the Country Programme, offering sustainability and continuity to Cities Alliance's initial investment in 2010.

Figure 42. Uganda – USMID programme

What is the USMID programme?

The World Bank-funded USMID programme was developed around the same time as the Cities Alliance Country Programme.

It started in March 2013 and has an end-date of December 2018.

Its objective:

• To enhance the institutional performance of local governments to improve urban service delivery.

How it will achieve this:

• Provision of funds to municipalities for investment in urban infrastructure to improve the institutional and delivery performance of these bodies

• Provision of resources to access capacity-building inputs

How does this programme link with the Cities Alliance Country Programme?

The Country Programme scaled up its activities to include 14 secondary cities where Municipal Development Forums (MDFs) were developed.

The USMID programme leverages these MDFs for decision making regarding infrastructure investments.

Figure 43. The Future Cities Africa programme

What is the FCA programme?

Initiated in 2015, FCA is a Cities Alliance and DFID-funded programme to build on long-standing partnerships with African governments and cities.

Its objective:

• To support cities with future development and provide them with the information and tools they need to undertake more focused, participatory urban action plans.

How it will achieve this:

• **Capturing knowledge:** Develop a framework and support toolkit with best practices to help partners improve their understanding of the risks to growth, inclusiveness and resilience.

• **Sharing knowledge:** Create a knowledge-sharing platform that will connect stakeholders and track progress within and across cities; as well as a new planning and investment decision-making support tool.

• **Creating forums:** Bring together all relevant stakeholders for dialogue, priority setting and implementation.

(Cities Alliance Future Cities Africa, 2015)

How does this programme link with the Cities Alliance Country Programme?

Cities Alliance's initial vision saw the Country Programmes as a long-term engagement, with FCA being part of the design of a next phase to supplement longer-term funding (Cities Alliance Secretariat, 2016). Cities Alliance and DFID partnered to carry out business case and diagnostic work to identify this next, broader phase, looking at how local countries could develop and grow their own economies to sustain urban development. The proposal for a second phase is currently undergoing DFID review.

Additionally, information was shared between FCA and the Country Programme, for example the baseline data gathered for MDS development.

Objectives

Objectives of the Country Programme and alignment with the Results Framework

The Land Services and Citizenship programme has three broad objectives defined in the Country Programme's Framework:

- At least 50,000 slum dwellers living within the five selected municipalities actively engage in both securing their rights and honouring their responsibilities through improved urban governance and formalisation.

- At least 50,000 slum dwellers living within the five selected municipalities improve their qualitative and quantitative access to municipal services.

- The Government of Uganda (national and sub national), in partnership with interested stakeholders, develop effective, efficient and inclusive urban development policies and strategies enabling the better management of future urban growth positively affecting the lives of 200,000 slum dweller households nationwide.

Geographic scope

The Cities Alliance Country Programme offered nation-wide coverage with a specific focus on the following cities:

TSUPU implementation cities: Jinja, Mbarara, Mbale, Kabale and Arua. The choice of these five cities was informed by regional spread, previous slum upgrading initiatives, political commitment of the local leadership, and the scale of informal settlements. Cities Alliance also leveraged additional support (US$ 1.5 million) from the Bill and Melinda Gates Foundation to scale up Municipal Development Forums to nine additional municipalities and prepare infrastructure project plans.

Municipal Development Strategy (MDS) implementation municipalities: Arua, Jinja, Gulu, Kabale, Hoima, Lira, Mbarara, Masaka, Tororo, Soroti, Mbale, Moroto, Entebbe and Fort Portal. The MDS implementation municipalities consist of the initial five TSUPU municipalities in which infrastructure projects were implemented, plus the additional nine municipalities in which MDFs were established in the groundwork for the USMID programme.

The primary research was conducted in a subsample of Gulu, Jinja, and at the national level in Kampala with interviews.

Project overview

The Uganda Country Programme consisted of eight grants and one support activity, all of which were closed by the end of 2016. Further details regarding the projects and their objectives are in Table 6.

The different projects were programmed as interventions at the national, municipal and community levels. National-level interventions covered urban policies; municipal-level interventions included local strategy development; and community-level interventions included community development mechanisms, infrastructure projects and community profiling. All levels had capacity development components. In Uganda, one grant addressed the national level, with three at the municipal level and community levels. Table 7 outlines all projects and their objectives in detail.

Table 6. Uganda – Projects mapped to intervention areasoutlines all projects and their objectives in detail

	Project	Great Recipient	Implementing Partner	National Polices	Local Strategies & Plans	Citizen's Engagement	Capacity Development
National	U1 Implementation of project set-up activities for A Strategy for Transforming Settlements of the Urban Poor	World Bank	MLHUD, SDI, SPARC	✓			
Municipal	U3 Strengthening urban local governments in Uganda to achieve the goals of the TSUPU project	ICMA	UAAU		✓		✓
Municipal	U5 Leveraging municipal improvement infrastructure investment in support of Transforming Settlements	MLHUD	14 MCs		✓		
Municipal	U8 Preparation of Municipal Development Strategies (MDS) for fourteen municipalities/ secondary cities	MLHUD	Makerere University MLG UAAA SDI		✓	✓	✓
Community	U2 Transforming Settlements of the Urban Poor in Uganda: A secondary cities support programme – SDI (TSUPU)	SDI	SPARC			✓	✓
Community	U4 Transforming Settlements of the Urban Poor in Uganda: A secondary cities support programme - MLHUD (TSUPU)	MLHUD	MLG, WB MUK, ACTogether & 5 MCs	✓		✓	✓
Community	U6 Phase I: Piloting of the Social Tenure Domain Model (STDM)	UN–Habitat	SDI			✓	
Community	U7 Phase 2: Scaling up the use and application of the Social Tenure Domain Model (STDM)	UN–Habitat	SDI			✓	✓

Table 7. Uganda – Project descriptions

|	Project	Project descriptions
National	**U1** Implementation of Project Set-up Activities for A Strategy for Transforming Settlements of the Urban Poor	This project focused on the preparatory activities required to meet the overarching objective of the Transforming Settlements of the Urban Poor(TSUPU) programme: to create inclusive cities without slums in order to maximise the potential of urbanisation by proactively managing urban growth. This preparatory work sought to define clear roles and responsibilities and seamless cooperation and coordination between partners; to empower citizen organizations with high-level female participation to effectively promote the realization of their community rights; and provide a clear definition of problems and the establishment of an urban policy agenda.
Municipal	**U3** Strengthening Urban Local Governments in Uganda to Achieve the Goals of the TSUPU project	This project focused on improving the capacity and effectiveness of local urban governments by devising (or revising) urban management and planning systems. The project provided urban management technical assistance and training to the five pilot municipalities, as well as providing local governments with a strong and effective voice in the development of national urban policies and programmes.
	G5 Leveraging Municipal Improvement Infrastructure Investment in support of the Transforming Settlements	This project set out to ensure that ongoing government schemes integrate participatory capacity and prioritize pro-poor infrastructure projects for investment of available financial resources; and to improve the municipal budgeting and planning capacity of Ugandan local governments. This involved training and establishing a forum; a city-wide plan of infrastructure improvement projects; an agreed resettlement framework; engineering plans; social and environmental mitigation plans; and contractor selection.
	G8 Preparation of Municipal Development Strategies (MDS) for Fourteen Municipalities / Secondary Cities	This project aimed to promote visionary, long-term, participatory and pro-active planning, to prepare 14 secondary cities/municipalities to sustainably accommodate future urban development. This would be accomplished through broad-based stakeholders participation and consensus building on negotiated priorities. Objectives included urban development planning; increased stakeholder engagement; a Municipal Development Strategy proposal; a strategic municipal planning framework to attract public and private investment: and the creation of a linkage between municipal development plans and incoming potential municipal funding/resources (such as USMID).

	Project	Project descriptions
Community	**U2** Transforming Settlements of the Urban Poor in Uganda: A Secondary Cities Support Programme – SDI (TSUPU)	This project focused on using multi-lateral partnerships to cultivate a sense of citizenship and identity among slum dwellers by providing them with the power to collaboratively improve their conditions through policy, governance and strategy re-formulation. It included raising awareness regarding SDI learning via an approach to rights and responsibilities; reports on proposals submitted to community upgrade funds; settlement profiles; enumeration reports; and cadastral maps for each of the five municipalities involved.
	U4 Transforming Settlements of the Urban Poor in Uganda: A Secondary Cities Support Programme - MLHUD (TSUPU)	This project sought to assess and analyze the performance of urban centres in Uganda in terms of service delivery, environmental sustainability, land use and infrastructure, housing, social development, urban economy, and financing of urban development and management, as well as urban governance. It engaged key stakeholders in a participatory planning manner to build consensus in the preparation and adoption of a national urban policy, as well as a strategic urban development plan (2010 – 2025) for Uganda; and developed an Education, Information and Communication (EIC) Strategy to increase awareness amongst stakeholders. It also sought to develop geographic information systems (GIS) capabilities, and to institutionalize and maintain the national urban Indicators as effective tools for monitoring and managing urban development, as well as to promote partnerships among various actors in the urban sector and explore various sources of financing for urban development.
	U6 Phase I: Piloting of the Social Tenure Domain Model (STDM)	UN-Habitat, in collaboration with the Global Land Tool Network (GLTN), International Federation of Surveyors (FIG), International Institute for Geo-Information Science and Earth Observation Management (ITC) (University of Twente), and the World Bank developed a Social Tenure Domain Model (STDM) as a land information management framework with the capacity to integrate formal, informal, and customary land rights—reflecting the realities on the ground in many communities. The specific objective of this first phase of activities was to pilot the STDM, and to document the process and capacity-building requirements around its use and application in a selected city in Uganda for wider learning and application.
	U7 Phase 2: Scaling Up the Use and Application of the Social Tenure Domain Model (STDM)	Building on the lessons learned and experience gained in Phase 1 of the project, UN-Habitat and SDI, with other key implementing partners, committed to implement a second phase. This phase focused on scaling up capacity development initiatives with regard to the use and application of the Social Tenure Domain Model (STDM) in Uganda and in other select cities/countries. Phase 2 activities included interventions around lessons learned; technical assistance and capacity development for slum dwellers; and international advocacy.

Country Programme Management

Timelines and support

The Uganda Country Programme took place from 2010 to 2016. Figure 44 depicts the project timelines and dependencies, as well as Cities Alliance staff members such as in-country focal points and Cities Alliance task managers. It also shows Cities Alliance's shift from the World Bank to UNOPS.

Figure 44. Uganda – Project timeline & programme management support
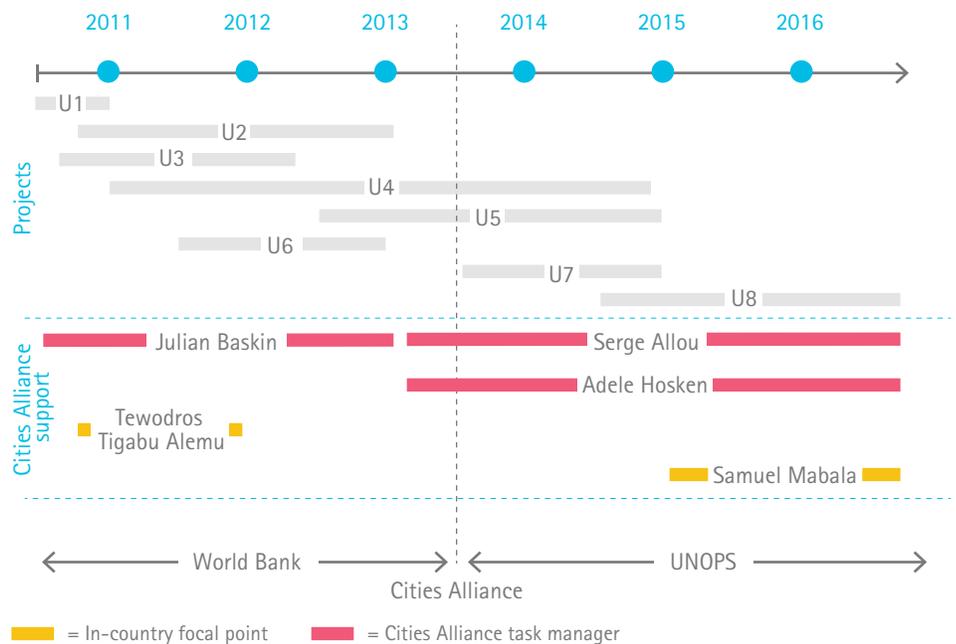
Partners and members

Cities Alliance engaged several partners and members for the Ghana Country Programme. Partners are organisations which are not members of Cities Alliance, but with whom Cities Alliance may work on specific projects. Members are organisations formally affiliated to the Cities Alliance, who participate to its governance, contribute financially to the organisation, and may implement some of its interventions[54].

Figure 45. Uganda – Partners and members

Partners	Members
• Ministry of Land, Housing and Urban Development • Ministry of Local Government • ICMA • UAAU • Makerere University • ACTogether • 14 Municipality Governments.	• UN–Habitat • World Bank • Slum Dwellers International

Governance mechanisms

The Country Programme implemented three governance mechanisms as part of its activities in Uganda.

- Uganda National Urban Forum (UNUF).
- Municipal Development Forum (MDF).
- Country Programme Steering Committee.

These mechanisms contributed to, and enabled, a participatory and collaborative approach. For more information, please refer to Efficiency - Governance mechanisms.

Programme financing

A total of US$ 6,206,400 was financed across the Country Programme, 9.1 percent of which came from partner co-financing.

Table 8. Uganda – Programme financing

Programme Financing	USD
Cities Alliance	5,641,400
Partner Co-Financing	565,000
Total	**6,206,400**

Relevance

Did the projects respond to external priorities and did they align to Country Programme objectives?

Demand and priorities

The Country Programme was demanded and relevant to existing priorities

In Uganda, the Country Programme was found to be relevant, with members and partners requesting Cities Alliance involvement. 83 percent of survey respondents advocated that the programme was in high or very high demand at the time of inception. The government of Uganda had started to identify the issues around urbanisation from mid 2000s, and it was increasingly becoming a topic of focus. It had previously attempted to upgrade slums in Namuwongo-Kampala, Masese-Jinja, Maluku-Mbale and Oli-Arua, however, these initiatives were not participatory, nor sustainably replicated to mitigate the growth of slums and informal settlements[55].

Cities Alliance was approached by the government of Uganda (through the MLHUD) to conceptualise the programme due to limited capacity within the organisation: "an appetite for using partnership as a vehicle to implement the government's urban development ambitions" (Head of Programmes, Multilateral Development Organisation). As a result, the programme had the government's commitment throughout, and was aligned to existing priorities in country. As survey results indicate, 100 percent of respondents either agreed or strongly agreed that the programme met priorities at the national, municipal and community level.

Figure 46. Uganda – Programme in demand
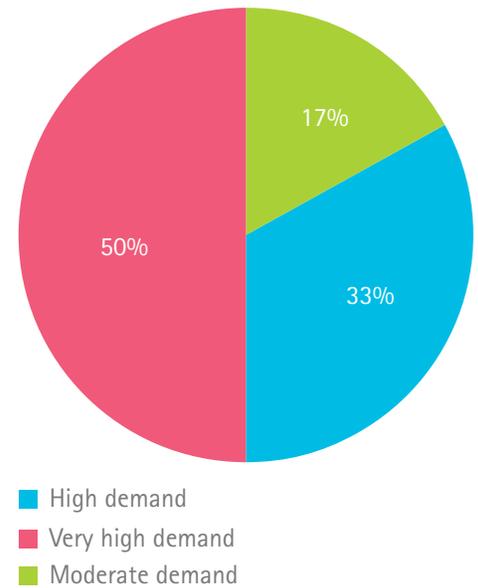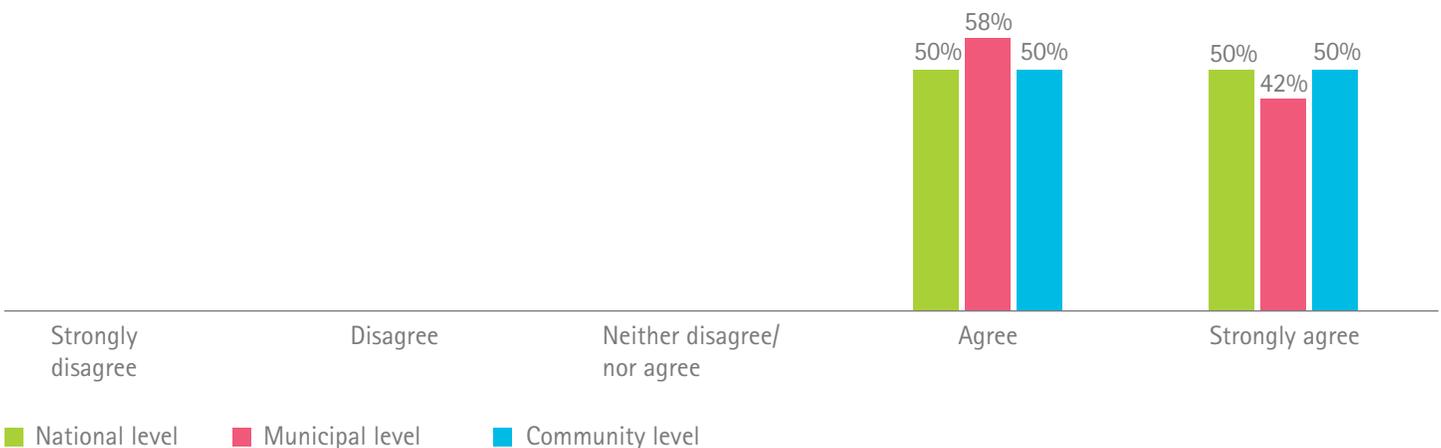
Perception that the country programme was in demand

- High demand
- Very high demand
- Moderate demand

Figure 47. Uganda – Programme aligned to priorities

Perception that the country programme was aligned with existing priorities

- National level
- Municipal level
- Community level

Harmonisation of urban efforts

Cities Alliance's Country Programme was the first time all partners worked on a single programme across the national, municipal and community levels to look at systemic changes

83 percent of survey respondents noted that the Country Programme played a role in harmonising and coordinating existing efforts and interventions. The Country Programme brought partners from various sectors together under one coherent framework and the harmonisation of partners was notable, for example between partners at the national government, municipal and community level. Five out of eight projects engaged citizens and built capacity at all three levels. The Country Programme was recognised by the Ministry of Lands, Housing and Urban Development to have enhanced participatory planning and grassroots contribution, for example, in developing the Municipal Development Strategies. As part of the MDS approach, citizens and slum dwellers gained the opportunity to engage with their local councils and build consensus on matters pertaining to the MDS preparation process. The process is also linked to the Municipal Development Fund framework, where "dialogue on key issues will take place and all project steps and results of the working groups shall be discussed … to build consensus on key strategic objectives as well as priority areas"[56]. Through ACTogether—an affiliate of Slum Dwellers International (SDI)—slum dwellers worked with municipal authorities to participate in public dialogue and support the city profile baseline study, as well as in the sensitisation and awareness programmes.

One partner further stated that: "Initially government had failed to involve people in different programmes because urban areas and the inhabitants were disorganised … therefore National Slum Dwellers Federation took the lead role of organising the community into saving groups as a mobilisation tool and point of contact for different programmes" (Grassroots Federation). Coordination between all levels had a systemic impact. For example, harmonisation between local governments and universities meant that local governments could improve human capacities in the fields of planning and settlement upgrading. The knowledge acquired through cross-organisational collaboration not only helped to improve decision making at the municipal level (for example councillors' improved ability to plan at the municipal budget conference), but also improved personal development.

Across partners, Cities Alliance catalysed efforts that were already starting to take shape, for example the World Bank's USMID programme, a pipeline of investments for municipalities outside Kampala. Alignment at the operational level was strong, however it was recommended that Cities Alliance should work with additional partners at the strategic level to create greater impact, provide additional funding and enhance comparative advantage.

Importantly, Cities Alliance bridged divides within institutions themselves, for example, within ACTogether. When the Country Programme was first initiated, ACTogether experienced fragmentation and organisational misalignment. Cities Alliance played a pivotal role in negotiations with ACTogether over a period of one and a half years, from 2009 - 2010. Playing a strong advisory role through its Task Manager, Cities Alliance facilitated a new board structure and, as a result, the organisation is now much stronger, and has opened up space for dialogue and understanding (Cities Alliance).

"

Cities Alliance's funds created the opportunities for engagement with local councils "

Slum Dweller, Ugandan Municipality

"

Cities Alliance was catalysing the efforts of all of us "

Grassroots NGO

Delivery and funding

Cities Alliance's most valued capability was its technical assistance and international experience

Members and partners all indicated that what Cities Alliance provided most in Uganda was technical assistance, for example, in supporting governments, communities, and local NGOs with guidelines, technical support advice, financial resourcing and vision-setting.

Partners could not have delivered the same outputs without Cities Alliance

All eight projects indicated priorities to be addressed, defined target outputs and target outcome statements, and were aligned to the objectives set out in the Country Programmes' framework. Without Cities Alliance's catalytic presence structuring efforts and bringing parties together, the same outputs would not have been delivered. 83 percent of survey respondents shared that partners could not have delivered the same outputs without Cities Alliance. A Slum Dweller's

Federation representative suggested that without Cities Alliance, the same speed and effectiveness would not have been achieved: "... may be difficult due to the laxities of some people from the municipal authorities in helping us lobby or implement our activities in the project" (Slum Dwellers Federation). It was stated that delivering the outputs would not have been possible without Cities Alliance's efforts to bring people together and to implement appropriate processes.

The 14 Municipal Councils that were helped by Cities Alliance have all now created Municipal Development Strategies. The remaining 10 that were out of scope for the Country Programme do not yet have the Municipal Development Strategies in place and are behind lagging in this area (Ugandan Ministry). Please refer to Effectiveness: Local Strategies and Plans for further information on the MDS.

Grant funds were adequate to address the objectives

The Uganda Country Programme started in 2010 with US$3,7691,500 for TSUPU projects in five cities; and was scaled up in July 2012 to include an additional nine

cities with US$1,499,900 funds from a BMGF Intermediation, and then further supplemented in 2014 with US$450,000 for MDS in 14 cities.

For most projects, grant funds were noted to be adequate to address objectives. However, within the MDS project, there was a strong perception that there was a lack of funding.

It was indicated in survey responses and interviews that for the scaling up from five to 14 secondary cities, more resources were needed. It was found that local partners did not always prepare or plan adequately for the amount of funding needed, with proposals requesting insufficient funding. This may have been due to a lack of capacity or detailed planning. Within the MDS project, low budgets for transport and logistics were found to delay the delivery of project outputs. For example, one vehicle was to be shared by all levels, including the Commissioner from the MLHUD, and eight other officers who were responsible for the 14 municipalities (and travel in-between) (Ugandan Ministry). It was also mentioned that funding was insufficient for the research and internship projects.

Figure 48. Uganda – Cities Alliance's capabilities

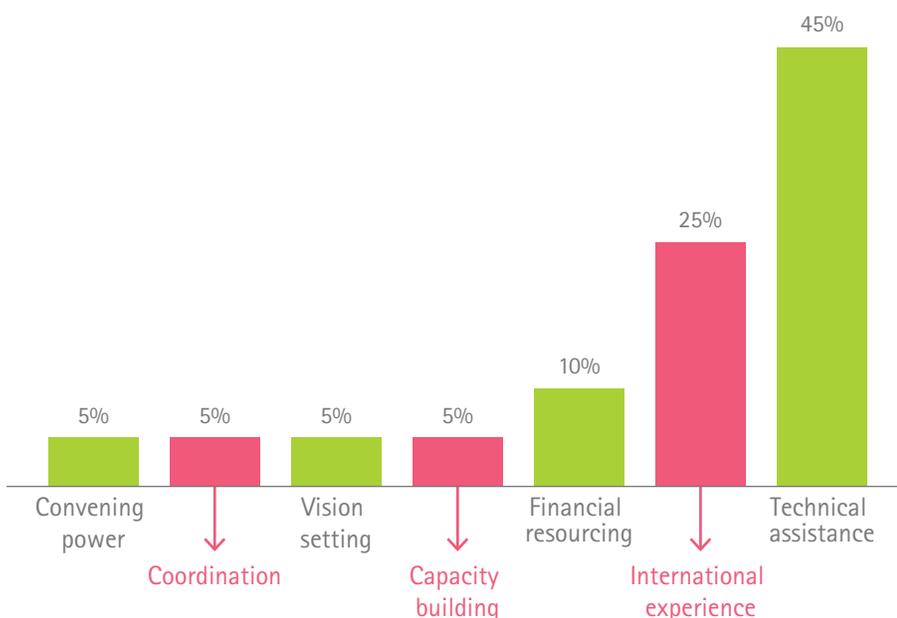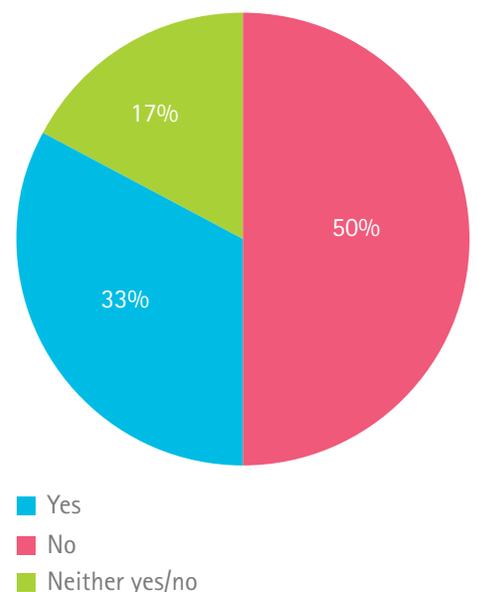Most value Cities Alliance's capabilities

Figure 49. Uganda – Grant funds

Perception that grant funds were adequate to address the objectives as defined in the country programme framework


- Yes
- No
- Neither yes/no

" Regarding the partners'
capabilities without Cities
Alliance, I believe it is not strong
enough yet due to low local
revenue collection, low support
for urban areas from the Central
Government and NGOs, who
prefer majorly to provide in the
rural areas "

Ugandan Municipal Council

" Initiatives like the municipal
development strategy could not
be up scaled to the level where
the entire government planning
machinery would appreciate
it. For instance, I'm not sure
whether Ministry of Finance
and National Planning Authority
which is mandated to coordinate
development planning in the
country are aware and understand
this concept – MDS "

Ugandan Ministry
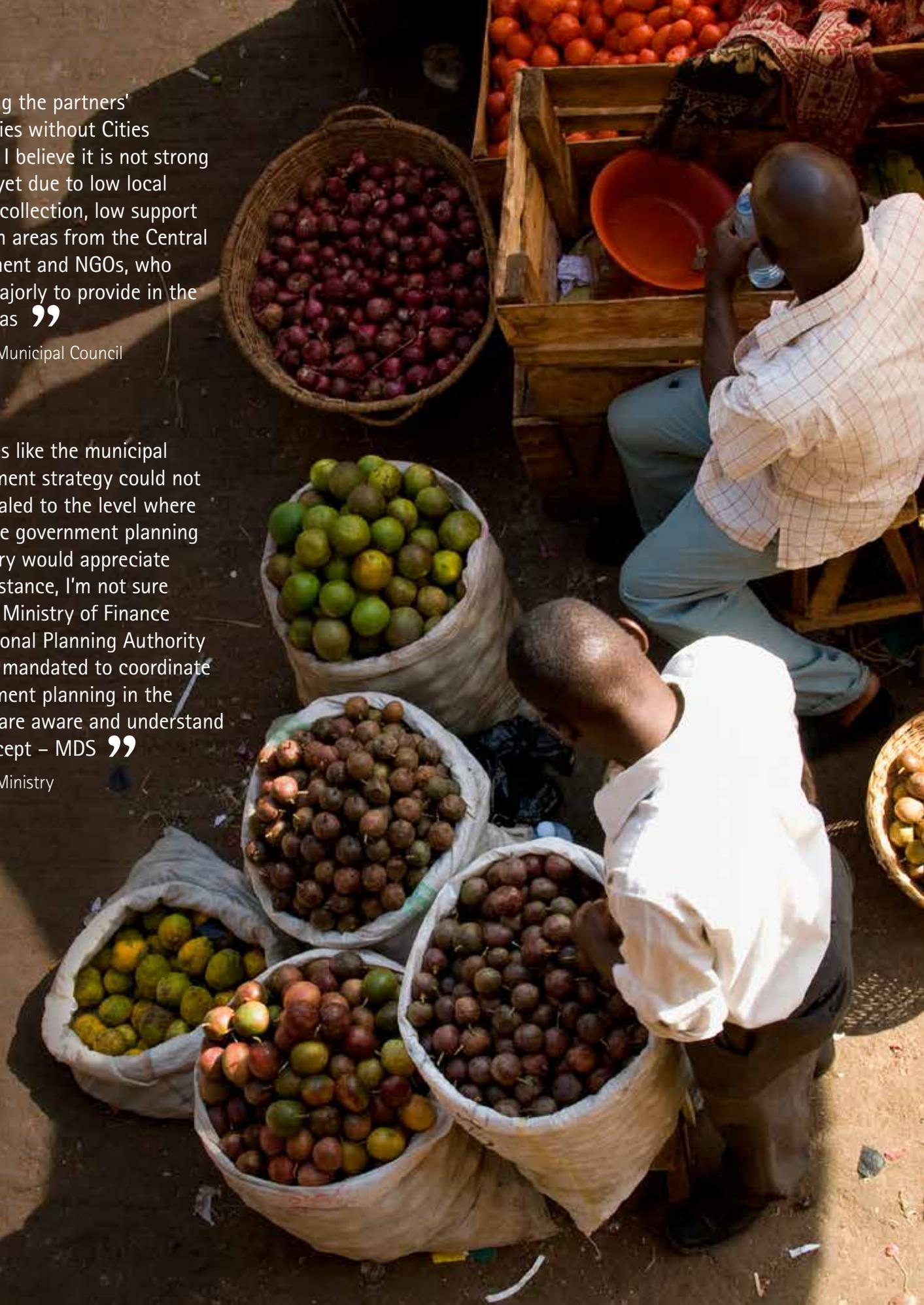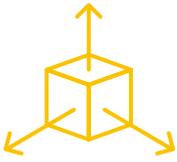
Effectiveness

Did the projects achieve their objectives as defined in the Country Programme Framework?

The Country Programme focused on delivering outputs in four different areas: National Policies, Local Strategies and Plans, Citizen's Engagement, and Community Development.

89 percent (52 out of 58) of outputs were delivered as part of the Uganda Country Programme[57], with three more in the process of finalisation. The projects delivered many different outputs types, ranging from institutional capacity needs assessments, guidelines for action plans, operational manuals, media products, enumeration reports, cadastral maps, training plans, technical support activities, social environmental mitigation plans and handbooks, to training manuals and more.

National policies

According to the survey, 92 percent of respondents perceived that Cities Alliance informed the national strategies or plans in Uganda. At the national level, Cities Alliance contributed to one project and several forums. Project "Implementation of Project Set-up Activities for A Strategy for TSUPU" focused on the preparatory activities required to meet the overarching objective of creating inclusive cities without slums, and to maximise the potential of urbanisation by proactively managing urban growth. This preparatory work sought to define clear roles and responsibilities, as well as to encourage cooperation and coordination between partners, to empower citizen organisations to effectively promote the realisation of their community rights, and to provide a clear definition of problems and the establishment of an urban policy agenda.

The National Urban Policy (NUP) was implemented as a component of the TSUPU project, funded by Cities Alliance. The national ministry secured a consultant in October 2012 to execute the development of the policy and a strategic urban development plan[58]. It sought to guide the urbanisation process, ensure orderly development and enhance urban management, through a participatory process facilitated through the National Urban Forum and other forms of consultations. The Policy aimed to address issues on urban poverty, urban service delivery, rural-urban migration, economic growth, and regional balance.

The draft NUP was subjected to regional consultations across the country with several consultative workshops in the West Nile region (Arua), Eastern region (Jinja) and Far Eastern region (Mbale); Central region, (Mukono), Kabarole (Mid-West), Masaka (Southern Buganda/Central II); and Kampala, with special interest groups and sector-specific consultations with various MDAs. Through various forums and participatory mechanisms such as the Uganda National Urban Forum, communities and local governments could provide input into the policy, enhancing the ability to promote pro-poor urban systemic change. Consultations included representation from ACTogether and the National Slum Dweller's Federation to champion the views and interests of the urban poor. Partnership with Makerere University further enabled research and policy briefs to be contributed to the National Urban policy discussions and development, for example, access to housing and urban planning. A National Validation Conference was presided over by H.E the Vice president of Uganda for the stakeholders to validate the NUP document[59].

Prior to Cities Alliance's involvement in Uganda, the country was lacking a comprehensive national policy on urban development:
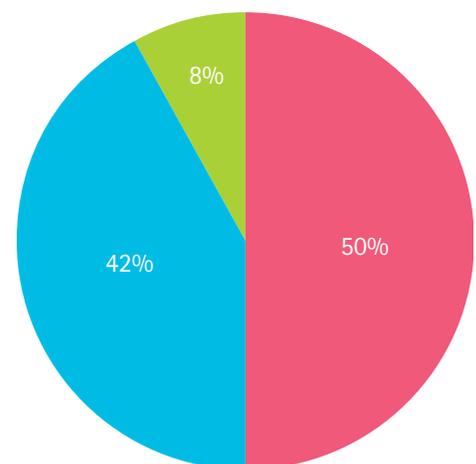
" .. and now stands to benefit from clear guidance, regulation, and management of urban development "

Ugandan Ministry

Figure 50. Uganda – Informed strategies or plans

Cities Alliance informed national strategies or plans

- Moderate contribution — 8%
- Significant contribution — 50%
- Very significant contribution — 42%

In interviews, it was mentioned that the draft National Urban Policy was undergoing final review and was soon be tabled before Cabinet for approval (Independent Consultant). To date, key partners such as the GGGI have also incorporated green growth initiatives in the policy (which were initially lacking) and The United Nations Economic Commission for Africa (UNECA) has addressed the policy priority areas around urban economy, productivity and competitiveness.

International audiences have questioned the NUUP's effectiveness in areas such as urban food security and gender. However, they have acknowledged that it may improve "living conditions for some urban residents and create greater efficiency in the administration of urban areas, particularly in cities at early stages of growth"[60].

Local strategies and plans

As part of the overall objective to support national and local policy dialogue to promote pro-poor urban systemic change, Cities Alliance sought to improve existing municipal planning frameworks in Uganda. At the local level, urban governments are mandated to prepare physical development plans and expenditure plans every five years[61]. However, the existing frameworks did not engage stakeholders and the urban poor, and suffered from limited resources and reactive approaches to planning.

The MDS project was intended to promote a visionary, long-term, participatory and proactive plan with the aim of preparing 14 secondary cities/municipalities to sustainably accommodate future urban development through broad-based stakeholder participation and consensus building around negotiated priorities. The outputs delivered included the Municipal Development Strategies (MDSs), training manuals on the strategy, capacity development and training on MDS reports at national and local levels, and city and profile reports for each of the 14 cities. Combined reports were also developed for the established thematic working groups under the MDFs on the development of MDS in each of the 14 secondary cities. Local governments have noted that the MDS has enhanced capabilities, and is being used to work on annual budgets.

Stakeholders acknowledged that existing efforts such as the internal development plans of the municipality, the work of the Works and Physical Planning Committee, Central Government grants, and community volunteer initiatives (including the "Keep Gulu Clean" drive) were harmonised in the development of the MDS. This helped ensure alignment across other initiatives within the municipalities. By the end of 2016, the MDSs are in the process of being submitted to and endorsed by the municipal councils in each of the 14 cities.

The Municipal Development Strategy (MDS) project between Cities Alliance and the Ministry of Lands, Housing and Urban Development was found to be:

"

relevant because the Municipality and the community needs a concrete framework for managing its urban developments "

Ugandan Municipality

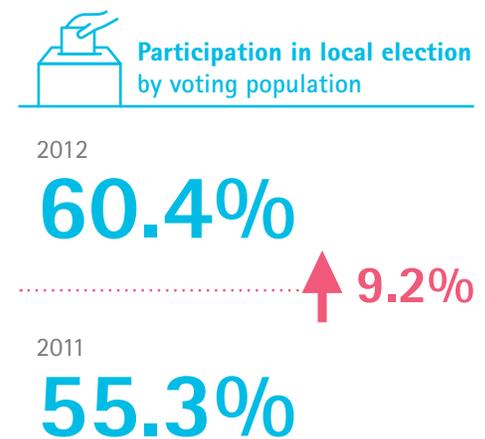Figure 52. Uganda – Urban poor participating in voting

Participation in local election by voting population

2012
60.4%

↑ 9.2%

2011
55.3%

Figure 51. Uganda – Enumeration report

Spotlight on:

# Community upgrading funds and community contracting

Cities Alliance funds were leveraged to develop Community Upgrading Funds (CUF). This activity spanned three phases of the overall Country Programme, with two overarching objectives[64]:

- Enable settlement-based community organisations to access grants to finance initiatives that meet certain clearly-defined criteria. Access to small grants no larger than US$15,000 enables rapid and visible progress to occur while larger policy debates are taking place.

- Enable constructive partnerships between local government and settlement-level Urban Poor Organisations.

This activity entailed the establishment of a CUF operational manual which describes how the fund will function. It includes procedures to apply, criteria for evaluating applications, and a safeguards framework, as well as monitoring and supervision. The manual was agreed on by the municipalities, SDI and Cities Alliance. The CUF sought to improve access to basic health and infrastructure services such as proper solid waste management, environmental conservation and beautification, a safe water supply, improved accessibility and connectivity (especially in the informal settlements), and street lighting for improved security, among other home-grown and localised initiatives.

Figure 53. Uganda – Community Upgrading Funds

CUF projects were implemented in five municipalities.

A total investment of

UGX 2,843,494,867
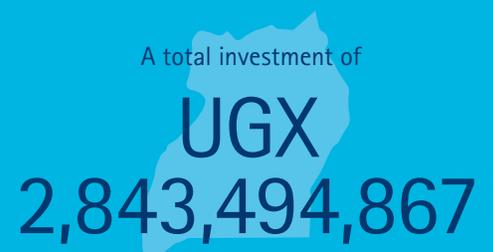
(approximately US$848,395) has been made on 123 CUF projects in Uganda, benefiting about 523,185 inhabitants of urban poor communities. The gender distribution of CUF beneficiaries is 46 percent female and 54 per cent male.

Figure 54. Uganda - Community Upgrading Funds projects in Mbarara municipality

Construction of box culverts at Agip drainage channel in Buchunku 29,229,690/=

Installation/extension of electricity to Lubiri cell 46,954,469/=

Opening of Bishop Kakubi lane II 15,595,650/=

The number of projects implemented in each phase ranged between seven and 12 per municipality, with Arua and Jinja recording the most community-based projects[65].

The CUF took place in low income areas. As part of the CUF initiative in Jinja, Walukuba savings group proposed the building of a community hall. This proposal was approved, and as part of the agreement, community contracting was adopted. Communities organised themselves into associations and money was transferred into their accounts to enable them to procure contractors, or build the infrastructure themselves. The communities established management committees and were empowered to deliver the projects faster. For example, with community contracting, a toilet was constructed with 47 million Ugandan shillings. It would have cost 54 million shillings if the government-run Public Procurement Disposal of Public Assets (PPDA) procurement process was used[66].

The shift to, and recognition of, community contracting as part of the Country Programme has led to a change in the mind-set of the government. It has shown governments that communities can responsibly own procurement processes, receive funds, purchase services and monitor delivery appropriately to reduce costs.

Community Contracting in Walukuba: Community Hall. The community hall in the image above was built with engineers from ACTogether and MLHUD. It is used for watching football as well as training women and youth. The community has been able to sustain its ongoing costs.

> " If community contracting is to continue, there is going to be sustainability in the projects unlike when the community is not involved "
>
> Grassroots NGO

> " Among the Key Lessons Learnt from the TSUPU Program was the operationalisation of Community Procurement and Community Contracting which was used under the CUF Projects Phase II & III. Municipal Local Governments appreciated this method and plans are under way to carry it forward in most of the Community Projects "
>
> TSUPU Coordinator, Ugandan Ministry

Figure 55. Uganda – Household with electricity

Uganda has seen a

474%

increase in the average proportion of households in slum and/or low-income areas with regular electricity connections, between 2013 and 2016.
(Cities Alliance Corporate Scorecard, 2016)

Figure 56. Uganda - Community hall in Walukub

Citizen's engagement

Citizens were empowered to engage in the public debate and participation increased

The Country Programme increased participation in urban planning discussions and empowered the community, allowing them to better articulate and communicate their needs, concerns, interests and views to local and national governments. As shown in the project descriptions, four projects addressed the community level, looking to build awareness around SDI's "Learning-by-Doing approach" to rights and responsibilities[62], enhance slum dwellers' knowledge of proposals submitted to community upgrading funds, and encourage participatory planning (for example with the MDS projects). Additionally, two projects which focused on applying the Social Tenure Domain Model[63](STDM) in Uganda, provided communities with their own city profiling data and with information on the levels of basic service delivery. The projects enabled communities

to prioritise their needs and empowered them to approach the local government via open dialogue. In turn, municipal governments valued community opinions and data. Additionally, the information was useful for the USMID programme and is evidence of the programmatic approach integrating projects.

Capacity development

Cities Alliance acted as a capacity builder in Uganda, working with the university and strengthening the communities

Cities Alliance contributed to several capacity development initiatives across the national, municipal and community levels, as depicted in Figure 58, 62 percent of the projects focused on capacity development.

Several toolkits, learning events and training manuals were produced through the capacity development initiatives at each level. Some examples include those below.

> " Cities Alliance funds triggered citizens to realise what they were missing "

Slum Dweller
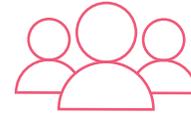
530
Participants at training sessions

Figure 57. Uganda – Capacity development activities

National	• Empowerment of national and municipal technical officers with skills to prepare Municipal Development Strategies • Increased collaboration and partnerships among the key actors in municipal governance, planning and management
Municipal	• Slum dweller organisations supported in engaging with integrated local development processes • Municipal Development Forums established within the 14 cities as platforms for stakeholder participation in urban planning and management • University internship with municipal councils
Community	• Formation of local community savings groups • Formation and capacity development of settlement-level urban poor organisations • Support with profiling; UN–Habitat/GLTN conducted a mission to Uganda to build capacity of the enumeration and mapping teams, including processing of the data within the STDM

High-level assessments of existing capacities took place across several functions at the municipal level before any of the activities were implemented, including electricity, water systems, roads, education, health, waste, finance, IT and so on. The assessment was then used to plan the training sessions. Cities Alliance estimates the total number of in-country stakeholders trained in Uganda over the six-year programme to be 530[67]. This is a conservative estimate as Cities Alliance have thus far only been able to track the number of people trained for about half the training activities.

91 percent of survey respondents perceived an increase in member/partner knowledge and learning due to Cities Alliance's contribution, with 75 percent indicating that Cities Alliance has strengthened the institutional and community capabilities in-country.

Capacity development at the community level focused primarily on building an understanding about participation and the basics of community project management (Ugandan Savings Group). Despite a high number of people trained and an increase in knowledge and learning, interviewees suggested that there needs to be further capacity development efforts to ensure sustainability at the community level:

Cities Alliance acted as a knowledge broker on an international scale

On an international scale, Cities Alliance was seen as a knowledge broker. For example, a learning event on settlement profiling using Social Tenure Domain Models (STDM) in Africa was conducted in August 2013, and another event was held in Manila in October 2013, as well as a session held by ACTogether Uganda at The Habitat III conference in Quito, Ecuador in October 2016.

> "We can write proposals, lobby for projects, advocate for change, and demand developments in our areas". However, we will still need more refresher trainings...
>
> Grassroots Federation

> My team here are now experts in municipal development strategy formulation.
>
> They are the best because the capacity we have built cuts across the continent
>
> Ugandan Ministry

Figure 58. Uganda – Toolkits

Spotlight on:

Municipal capacity development through partnership with Makerere University

Makerere University was invited to participate in the development of the Municipal Development Strategies (MDSs). By linking its teaching with practical experience on the ground, the university supplemented the preparation of the methodology and guidelines for the MDS. The university was also able to provide student internships in municipalities for hands-on experience. The municipalities involved were Kabale, Mbarara, Arua, Mbale and Jinja. The students were assigned to the Municipal Physical Planning Department and their main tasks were to provide technical support to the municipal officials and the community. Core work

included identifying key planning issues and providing key prototype solutions in areas such as drainage, road opening and architectural designs. For example, the students participated in determining a road opening in Mbale.

By leveraging its research for public debates, the university informed both the policy development and improved the outcomes of the Country Programme projects.

> " We're beginning to have understanding with the different universities to see if they can as well contribute students and or knowledge on urbanisation "
>
> Ugandan University

Case Study:

Jinja's Bamu savings group's toilet

Cities Alliance funds through the Country Programme supported several municipalities and savings groups with infrastructure development projects. The Community Upgrading Fund (CUF) was implemented across five municipalities in phase one of the Country Programme (Jinja, Arua, Mbale, Kabale and Mbarara). Savings groups pooled funds which were then supplemented by Cities Alliance, the municipalities, and the national

government, in the form of co-funding, land and labour[68]. These savings groups were then able to build infrastructure as needed in the community. Five savings groups were formed in the Ambercourt market in Jinja due to Cities Alliance and ACTogether's focus on empowering the urban poor: Bamu savings group; Green farmers savings group; Ambercourt youth group; Mukene savings group; and Twanise Obwavu women's group.

The Bamu Savings Group constructed four toilets in 2014 with community savings funds supplemented by funds from the local government (as part of the CUF). The construction of the toilets was completed through community contracting and the work was carried out by the community itself. According to the group, the construction processes were successful and the toilets were well built.

The toilets cost 200 Ugandan shillings per use, and 500 Ugandan shillings for a bath. The average monthly collection is 200,000 shillings a month, which covers the attendant, septic tank emptying, and most of the water bill. However, when the water bill is extremely high, the community finds it difficult to cover the full costs. The savings group intends to lobby for future funds from ACTogether.

Cities Alliance worked with implementing partners to:

- Co-finance the toilet construction (through the local government and CUF).

- Encourage collaboration between the Municipal Development Forum and slum dwellers. For example, there was a toilet which was to be built for the community around the market, however it was noted that a health centre nearby lacked a toilet. Funds were diverted so a toilet could be built for Kimaka Health Center II.

- Provide funds for a temporary office space.

- Increase awareness and visibility. The Bamu savings group members noted that Cities Alliance involvement strengthened their projects and certain members of the group regained interest. Involvement in the Municipal Development Forum has also increased the visibility of the community to municipal authorities and donors, enabling individuals to contribute to investment decisions.

- Build capacity through the implementing partner ACTogether.

ACTogether has taught the community how to save and use loans. It has also empowered them and lobbied to receive funds for projects from local and national governments. The savings group has obtained an additional loan of 40-50 million shillings from Pearl (a local NGO). Furthermore, individual loans used to boost individual business capital have been paid back with interest within six months. The savings groups are also working with Post Bank on future plans—showing that a savings group can scale a project through effective resource management.

Figure 59. Uganda – The Bamu savings group

Efficiency

Did the projects have the appropriate structure and management capabilities in place to deliver on their objectives?

Governance mechanisms: forums

The Country Programme enabled vertical and horizontal cross-collaboration to catalyse efforts

The Country Programme implemented several governance mechanisms as part of its activities in Uganda—across partner organisations and the national, municipality and community levels. These three mechanisms helped enable a participatory and collaborative approach, for example, connecting communities with ministries, and universities with municipalities.

Municipal Development Forum (MDF). The forums were convened and supported by the municipal local authorities and were intended to take place twice every three months[69]. However, evidence shows that the initial five municipalities were found to have met an average of eight times between 2010 and 2014[70]. The forums enabled a participatory and community-based approach for recommending infrastructure projects for approval, as well as monitoring the preparatory and implementation arrangements under the USMID Programme. For example, the MDFs reviewed the engineering designs for two years of infrastructure projects under the USMID programme, and were empowered to monitor the construction of civil works in their respective municipalities. The MDF also helped enable knowledge sharing practices, for example, in June 2013, Jinja's MDF demonstrated ways of working to a delegation from Eastern African countries (the Eastern Hub).

National Urban Forum (UNUF). This forum meets to discuss key urban issues in Uganda as well as the National Urban Policy. The participatory approach with partners at the national level enabled the prioritisation of the urban agenda within Uganda.

Figure 60. Uganda – Forums and commitees
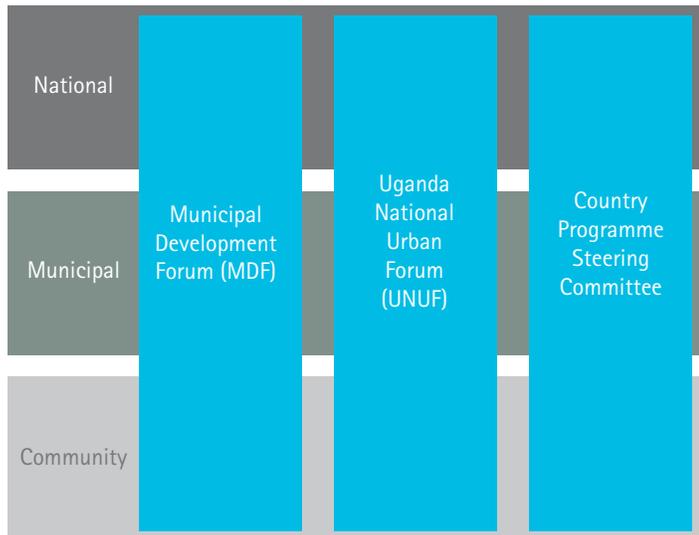
Figure 61. Uganda – Municipal Development Forum

What is the MDF?

What is it?

The Municipal Development Forum (MDF) seeks to formalise municipal-wide development forums where organised urban poor, local government, service providers, private sector, and other stakeholders could meet on a regular basis to exchange views, debate priorities and agree on common actions. The forum is a basic institution that will inform pro-poor approaches to urban development at the municipal level; and implies significant representation from the communities of the urban poor (Cities Alliance, 2014). Participation of women and youth in the forum is essential.

Sample deliverables:

- MDF Charter
- Municipal-wide Strategic Infrastructure Investment Plans
- Terms of reference to guide working relationships and operations between municipal councils and municipal development forums
- Detailed work plans for the forums

For example, Makerere University's research into urban topics such as urban sprawl, constraints to urban planning, and access to housing were discussed during the forum, with the research then fed back into the National Urban Policy and recommendations.

Country Programme Steering Committee. The Uganda Country Programme was facilitated by a Steering Committee that provided oversight and programme management. Over the course of the programme, attendees expanded to include MLHUD, Future Cities Africa and other partners. However, it was noted that the Steering Committee did not play the intended active role over the full course of the Country Programme.

Together, the MDF and UNUF have enabled a collaborative environment across the Country Programme, facilitating open discussion and debate on urban issues. Although these forums may have

lowered efficiency in some cases due to increased participation and timelines, the collaborative approach has allowed communities to be more engaged.

Programme management and grant making processes

Strong programme management and structure contributed to success

The Country Programme was supported by a project coordinator and secretariat for the entire duration, as outlined in Figure 45. This was recognised as a strong approach, with 75 percent of survey respondents advocating that Cities Alliance provided programme management to a significant or very significant extent.

" The steering committee ... has not been very active. We only inform them on how we are implementing "

Ugandan Ministry

Figure 62. Uganda National Urban Forum

What is the UNUF?

This activity aimed at facilitating debate on urban issues to influence policy and legal reforms. The forum was a platform for structured dialogue, focusing on the need to develop policy to resolve real problems experienced by poor, heterogeneous urban communities. UNUF was intended to find a way to enable input from communities and local authorities into the national urban debate, for example with input from the MDFs.

Sample deliverables:
• UNUF Draft Strategic Plan
• Executive Committee in place
• UNUF charter
• A prioritised research agenda

Figure 63. Uganda – Programme management

Perception that Cities Alliance provided programme management

			67%	
0%	8%	17%		8%
No contribution	Limited contribution	Moderate contribution	Significant contribution	Very significant contribution
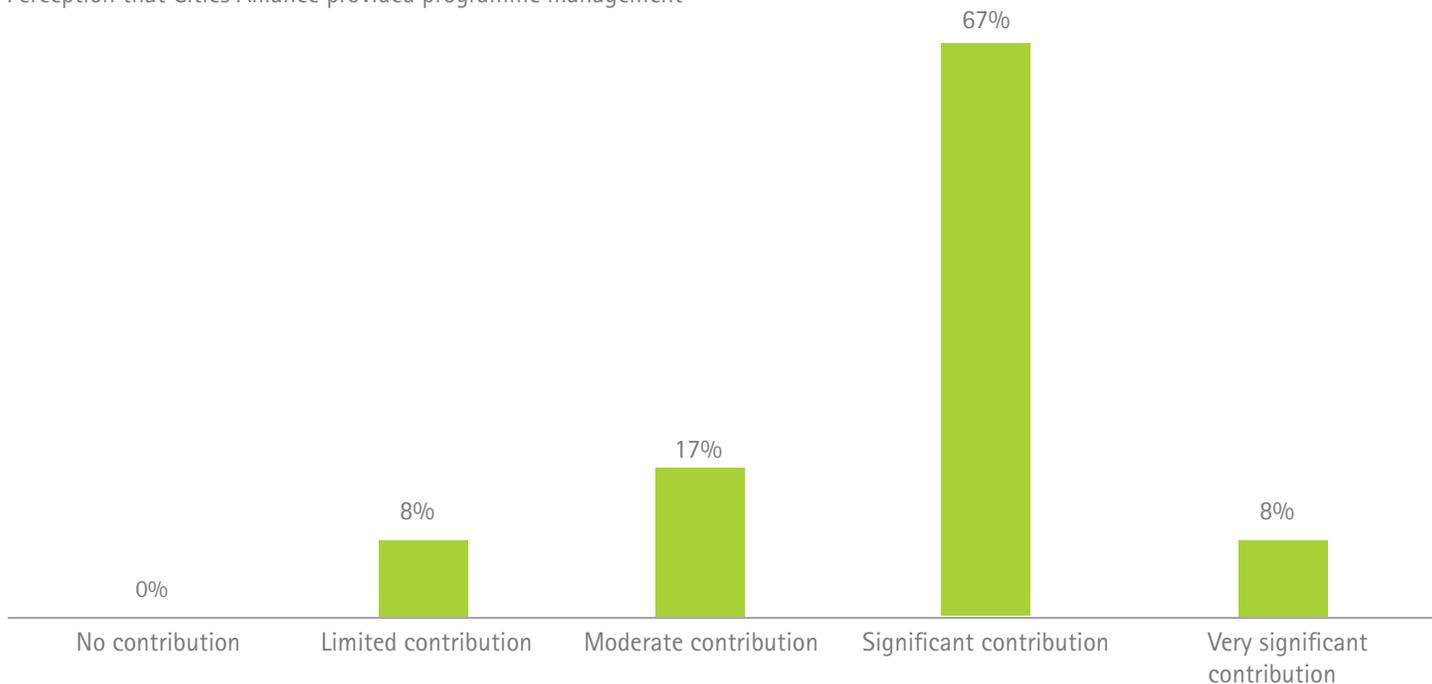
The Country Programme structure helped enable strong programme management:

- At the national level a project coordinator and a secretariat tracked the implementation of the activities. Other staff in the Directorate of Physical Planning and Urban Development were also part of the implementation team.

- At the municipal level a project coordinator and the Municipal Development Forum members, heads of department and sector working groups participated actively in the implementation process. This helped emphasise teamwork and collaboration to ensure work is done and monitored for good progression.

Funding and proposal processes were noted to be transparent, however in initial phases, a greater sharing of information may have allowed communities to hold each other accountable

92 percent of survey respondents found proposal processes to be transparent and that Cities Alliance often communicated throughout the proposal process. The "transparency of the funds was very clear and the motivation to bring in MDF was to enhance transparency and dialogue in the community programmes. Even the contracts were done in a transparent enough manner" (Senior Urban Specialist, Multilateral Development Organisation).

However, certain stakeholders advocated that more information could have been shared as part of the creation of the MDS. Those involved in the MDS stated that the ministry withheld objectives, outputs, requirements, total budget and roles. If this information had been shared, the communities could have taken greater levels of project ownership and thereby become accountable (Ugandan Municipality). The initial phases of the work could therefore have benefitted from greater transparency, where trust needed to be built between the vertical levels.

Figure 64. Uganda – Funding and proposal processes

Perception that funding and proposal processes were transparent

- Funding processes
- Proposal processes
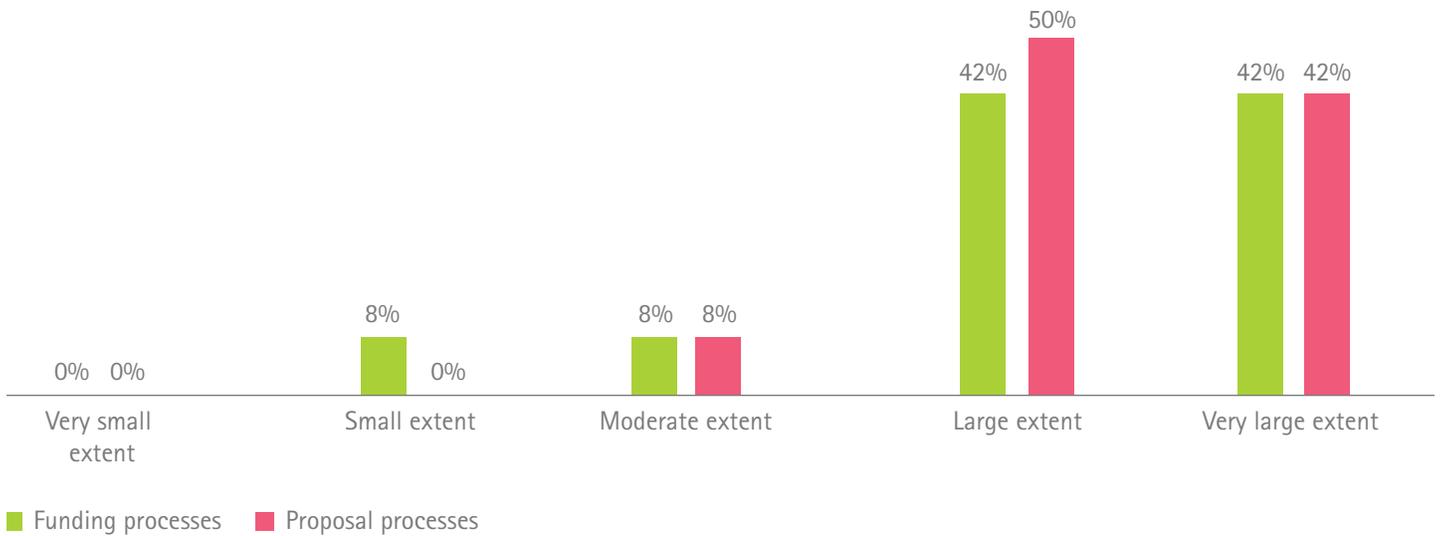
The grant-making processes took an average of 287 days

The grant-making processes took an average of 287 days from the proposal submission to first disbursement of funds. The submission to approval and approval to grant agreement phases were noted to take the longest time.

Delays in the grant-making process were also experienced due to the organisation's transition from The World Bank to UNOPS, in mid-2013. Procedure changes and updated templates resulted in it taking longer to obtain grant. Project U8 in Figure 66 shows evidence of this.

Figure 65. Uganda – Grant making processes

Days to process grant

119	158	19
Submission to approval	Approval to grant agreement	Grant start to 1st disbursement

Total from submission to 1st Disbursement
287 days
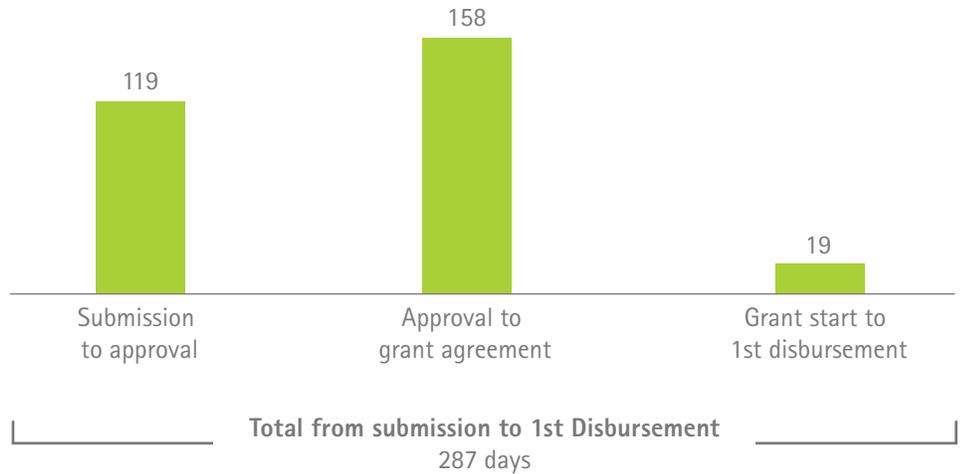
Figure 66. Uganda – Project grant processes

Projects total days from proposal submission to 1st disbursement

690	505	250	245	184	76	41
U8 preparation of municipal development strategies (MSD) for fourteen municipalities/ secondary cities	U2 transforming settlements of the urban poor in Uganda: a secondary cities support programme - SDI (TSUPU)	U3 strengthening urban local governments in Uganda to achieve the goals of the TSUPU project	U4 transforming settlements of the urban poor in Uganda: a secondary cities support programme - MLHUD (TSUPU)	U7 Phase 2: scaling up the use and application of the social tenure domain model (STDM)	U1 implementation of project set-up activities for a strategy for transforming settlements of the urban poor	U6 pase 1: piloting of the social tenure domain model (STDM)

Sustainability

Will the results and outcomes of the projects continue after funding or support end?

Continuation of projects and outcomes

There is likely to be some institutionalisation of outcomes, however additional capacity is required at the national level, and additional funding is required at the municipal and community levels

Although all survey respondents identified partners to continue the work, and noted the replicability potential of projects, only 33 percent indicated concrete plans to continue after their grants end.

At the national level, the draft National Urban Policy is going through parliament reviews at the end of 2016, to incorporate additional topics (such as green spaces), and is due to be adopted and turned into an act. This urban policy includes the MDS which, if approved, will become working documents for the municipality for the next 20 years (Ugandan Ministry). Although the funding is available for the UNUP and MDS, interviewees and survey respondents noted a lack of capacity in the municipalities to embed this outcome: "MDS concept is yet to be appreciated by government. I'm not sure whether the capacity is available to roll this forward" (Survey Respondent). Additionally, interviewees believe that the National Urban Forum can continue without external funding, however, there is a question around the capability and commitment of the ministry to drive it forward. It was suggested that they may need support in the form of capacity, staffing and a dedicated person to run the forum.

The World Bank USMID programme, a grant size of US$150 million, was implemented across the five municipalities originally in the scope of the Country Programme, and scaled up to include 14 municipalities. Grant amounts were provided to the municipalities based on an allocation formula that considers the population size, area and poverty head count. These funds are being used for improvement of infrastructure that would contribute to economic growth in the city. Cities Alliance, and its partnership with the World Bank, has enabled synergies to be created between the two programmes since 2013, and therefore, a continuation of projects post-Country Programme. However, it must be noted that for the MDF process to continue once the World Bank grant has ended, funding would be required.

Figure 67. Uganda – Project continuation

Perception on project continuation

	Projects with concrete plans to continue after the grant ends	Project with further investment to continue the work after Cities Alliance funding ends	Project with identified members/partners to continue work
Yes	33%	66%	100%
No	66%	33%	

■ No   ■ Yes

ACTogether Uganda, with support from SDI, has continued to support the slum dwellers in the Country Programme municipalities, engaging them in participatory governance activities. These have included support to settlement and municipal forums; organising slum dwellers to save daily and consolidate their community funds; and slum upgrade interventions in sanitation, water, housing, renewable energy and solid waste management; among others. The Community Upgrading Fund has also established strong systems which can be built upon. Community savings also increased as a result of the mobilisation of the communities in slums to create savings groups and commit to save on a daily basis. It was noted that the church, private businesses, and government agencies such as the Uganda National Roads Authority are working with communities and contributing to community upgrading via the CUF. However, prolonged commitment from the community and the municipal authorities is needed to raise further funds and to provide for maintenance, repairs and general resource utilisation (Ugandan Ministry). It was also noted that certain communities have become dependent on the funds, and savings contributions have not been encouraged. It was advocated that strong management of growing savings groups is needed in country. The implementation of the Social Tenure Domain Model tool to enhance the use of pro-poor land management systems and improve inclusive land management and security of tenure is also on-going.

Replicability and scalability

The mechanisms of the Country Programme are scalable and have been re-utilised in Uganda

Although not set out as objectives in the Country Programme framework, Cities Alliance's involvement in Uganda has led to increased follow-on work and replication. Cities Alliance's platform and governmental mechanisms set up in country have been leveraged for additional projects outside of the Country Programme, for example, in the World Bank USMID project (refer to Figure 42). The five initial MDFs have been extended to 14, and are being leveraged as decision-making mechanisms for their own municipal investment strategies.

Some challenges arose in the earlier stages when awareness and clarity of the roles of the MDF were not well appreciated and local councillors felt that their roles were being usurped. This has since waned with increased understanding and awareness of the distinct roles and the MDF has been embraced across all 14 municipalities. The MDFs are also present in the final draft of the National Urban Policy, and are therefore moving towards institutionalisation. They are the fundamental building blocks for good governance and the creation of on-going public community partnerships[71].

The networks established in the country have provided an enabling environment for future partnering across organisations. For example, the University has been enabled to approach other partners and donors such as the Ministry of Local Government and the Arab Bank for funding to replicate and scale its activities.

Partner credibility and reputation

Cities Alliance's involvement in Uganda has led to improved partner credibility and reputation

Involvement with Cities Alliance has been leveraged by partner organisations as credentials to gain additional funding and investment for future work. In Gulu, additional partners such as JICA, the World Bank and GIZ have been identified to continue work, for example, with the World Bank utilising the municipal development forums to make infrastructure investment decisions. The Public-Private Infrastructure Advisory Facility provided a grant of US$390,000 for an "Own Source Revenue and Expenditure Management Enhancement" programme (OSREME). This was implemented in Gulu, Lira, Fort Portal, Entebbe and Mbale and is being expanded to other municipalities. The programme focuses on improving municipal records management, updating property registers, valuation, rate assessment, billing, and revenue collection. It also addresses improvement of procurement management in municipalities. The University is also working with local governments to acquire new projects, for example, with UN-Habitat to design roads.

> " We sell our five-year development plan to the various partners and now we have a training with the Japan government and German government who both have good plans for developing our municipality. We have a project with Japan... street lights [due to the roads that have already been done] "
>
> Ugandan Municipality

> " The MDFs and Municipalities are exploring ways of mobilizing more resources to sustain the activities. There is a high potential for replication with adjustments "
>
> Survey Respondent

> " When working with Cities Alliance you look much better. "
>
> Ugandan Ministry

Partnerships

Partner capabilities and collaboration

Partner capabilities were in place to deliver on objectives

83 percent of survey respondents indicated that the right partner capabilities were in place to deliver the objectives. For example, the MLHUD played a role in connecting the communities with municipal councils; ACTogether developed capacity in slum dwellers; and municipalities provided guidance and technical support to communities (Survey Response, 2016). The selection of partner organisations in

Uganda was found to be a success. For example, SDI's role in the project was key to providing technical support to ACTogether and to the National Slum Dwellers Federation of Uganda to effectively execute the Country Programme.

The Country Programmes enabled a collaborative approach

Cities Alliance set out to implement a participatory approach with collaborative mechanisms in its Country Programmes. As seen in Figure 68, 83 percent of survey respondents signalled that the level of collaboration within their projects was either high or very high.

> "The program was really transparent and citizens were involved in all the processes.
>
> Our decisions were honoured during meetings and other forums"
>
> Ugandan Ministry

Figure 68. Uganda – Collaboration within projects

Perception of collaboration within projects

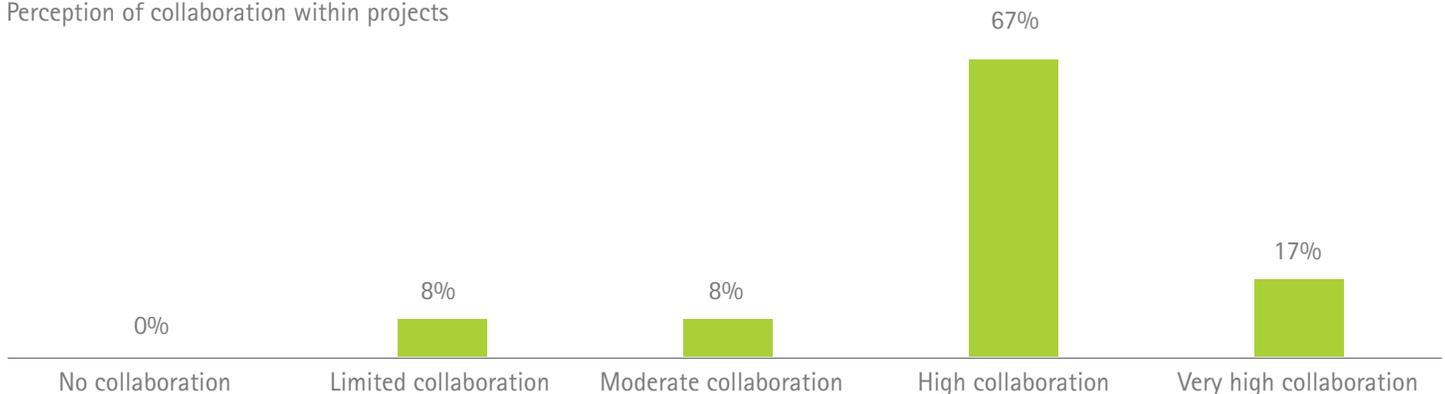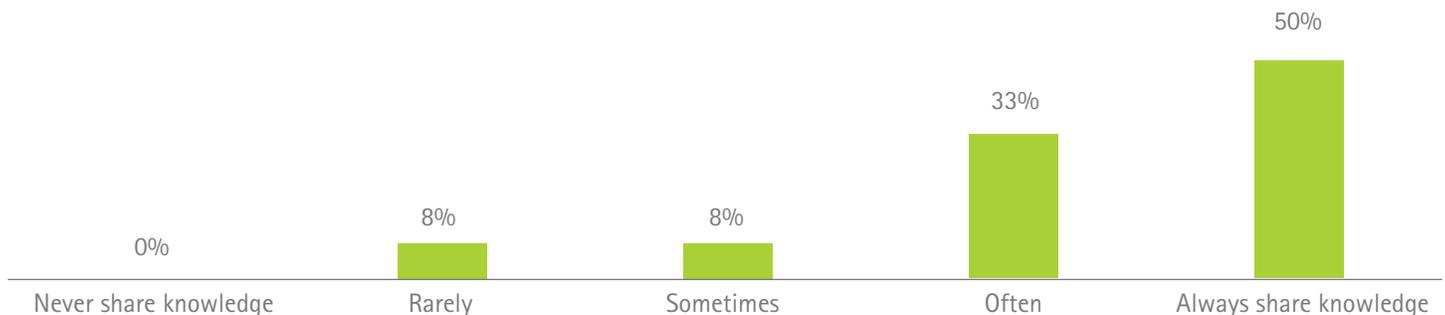| No collaboration	Limited collaboration	Moderate collaboration	High collaboration	Very high collaboration
0%	8%	8%	67%	17%

Figure 69. Uganda – Uganda – Knowledge sharing outside projects

Perception that partners/members share knowledge with others outside their own project

Never share knowledge	Rarely	Sometimes	Often	Always share knowledge
0%	8%	8%	33%	50%

The Uganda programme consisted of several working groups (such as the national urban policy working group, national housing policy working group, and land policies) and forums (including the Municipal Development Forums and the Uganda National Urban Forum). 75 percent of members and partners felt that their input was valued for decision making at project levels. However, due to the size and range of partnerships involved, efficiency in terms of timelines did decrease.

92 percent of stakeholders either agreed or strongly agreed that Cities Alliance facilitated knowledge sharing with in-country stakeholders, thereby providing a vehicle for partnership.

In certain cases, gaps in communication, and therefore collaboration and knowledge transfer, were noted at the national level. For example, between the MLHUD and the Ministry of Local Government. However, this has now been acknowledged and there is discussion around holding a caucus between these two ministries for future knowledge and leading practice sharing. Communication and collaboration at the community level was found to improve post-2013, which can be attributed to specific community-engagement initiatives such as the MDF and MDSs.

Platform for partnerships

Cities Alliance has strengthened existing partnerships, and is recognized as a platform for partnership in Uganda

Cities Alliance has strengthened existing partnerships and provided structure around aligned objectives to create a catalytic effect: "Cities Alliance played a very key role as a development catalyst in this programme" (Senior Urban Specialist, Multilateral Development Organisation).

Cities Alliance was able to coordinate members and partners, and integrate them with the grassroots communities, dispersing funding where "institutions have low financial envelopes to engage in outreach programmes" (Survey Respondent). Through its implementing partners, Cities Alliance integrated the community into the programme and trained them to lobby for service delivery—not only from government,

but also from other potential partners. Partners helped build the communities' capacities, challenged their leaders to account for their actions, and questioned the status quo of service delivery within municipalities. There is also evidence that the working relationship between the community and the municipalities improved from one of mistrust to one of partnership. For instance, the MDF in Jinja now has its office within Jinja's municipal offices and has access to any office for consultation.

All survey respondents acknowledged Cities Alliance as platform for partnership: "a facilitator of coherent strategic interventions, backed by innovative, collaborative projects and programmes within and external to its membership to promote poverty reduction, sustainable development and resilience within cities"[72]. Through partnership strengthening and providing a means for dialogue on urban issues, Cities Alliance has changed mind-sets around "partnership, citizenship and governance" (Grassroots NGO) in Uganda. It is clear from interview findings that members and partners agree that urbanisation cannot be managed in isolation.

Cities Alliance has coordinated a wide range of partners both locally and internationally

The wide reach of Cities Alliance's partner selection has been an important aspect of facilitating collaboration within countries: "The collaboration level among partners has greatly been improved from the awareness that was created by the different actors" (Grassroots Federation). Through the implementation of several forums and participatory mechanisms, Cities Alliance's partnership approach has provided a bridge for citizens to interact with their local and national governments, as well as with other NGOs and donor organisations. The success of Cities Alliance's collaboration efforts can also be seen at an international level, as Ugandan participants at the Habitat III conference in Quito represented several different organisations.

> "Through our SDI Network, Cities Alliance's platform has strengthened our networks with UCLGA, Habitat for Humanity, UN-Habitat, and UNDP among others."

Survey Respondent

> "We still need Cities Alliance because they opened our eyes and the ears of the government"

National Slum Dwellers Federation, 2016

> "There is high collaboration among the member partners as you can see from the composition of our members so that it can be possible for us to knock at any door we come across to enhance development in Gulu municipality"

Municipal Development Forum Member

Conclusion

Relevance

- The Country Programme was required and relevant to existing priorities in Uganda. The government had previously attempted to upgrade slums, however, these initiatives were not participatory, nor sustainably replicated. This was the first time all partners worked on a single programme to look at systemic changes across the national, municipal and community levels.

- Cities Alliance bridged divides within institutions themselves, playing a strong advisory role with local partners. Stakeholders noted that the Country Programme opened up space for dialogue and understanding.

- Partners could not have delivered the same outputs without Cities Alliance, whose most valued capability was its technical assistance and international experience (aside from funding). Grant funds were adequate to address the objectives as defined in the Country Programme Framework.

Effectiveness

- Funded by Cities Alliance, the National Urban Policy was implemented as one of the components under the TSUPU project. Ninety-two percent of survey respondents perceived that Cities Alliance informed the national strategies and/or plans in Uganda.

- As part of the overall objective to support national and local policy dialogue to promote pro-poor urban systemic change, Cities Alliance improved existing municipal planning frameworks in Uganda. By the end of 2016, the MDSs were in the process of being submitted to, and endorsed by, the municipal councils in each of the 14 cities involved.

- Citizens were empowered to engage in the public debate and participation was increased. Four projects addressed the community level, looking to build awareness around SDI's "Learning-by-Doing" approach to rights and responsibilities, enhancing slum dwellers' knowledge of proposals submitted to community upgrading funds, and encouraging participatory planning. Savings groups and community contracting was introduced to provide the communities with increased oversight regarding their infrastructure projects.

- Cities Alliance acted as a capacity builder in Uganda, working with the University and strengthening municipalities (for example, promoting university internships). Capacity development at the community levels focused primarily on building an understanding amongst the community regarding participation and the basics of community project management.

Efficiency

- Cities Alliance created a participatory approach in-country, with forums that cut across all levels:
  - National Urban Forum
  - Municipal Development Forum
  - Steering Committee

- The MDFs were replicated, scaled and further leveraged in the World Bank's USMID programme. Such a collaborative approach improved transparency and ownership, although this had an impact on efficiency, as dialogue between slum dwellers, municipal governments, universities and national governments takes coordination and time.

- Cities Alliance and its partners provided strong programme management and structure which contributed to the success of the Country Programme. Project coordinators were in place across the length of the programme at the national and municipal levels. Seventy-five percent of survey respondents advocated that Cities Alliance provided programme management to a significant or very significant extent.

- Funding and proposal processes were noted to be transparent. However, in initial phases, a greater sharing of information may have allowed communities to hold greater levels of ownership. The average time from proposal submission to first disbursement of funds was 287 days.

Sustainability

- There is likely to be some institutionalisation of outcomes, for example with the UNUP and MDF. Local capacities have also been built and sustained, for example within ACTogether. However, to sustain the continuation of project outcomes, additional funding is required at the municipal and community levels; and additional capacity is required at the national level.

- The mechanisms of the Country Programme are scalable and have been re-utilised in Uganda. Certain mechanisms that have been implemented as part of the Country Programme have further been leveraged in projects, and expanded to 14 secondary cities. For example, the Municipal Development Forums forming the basis of the USD$150 million USMID programme.

- Cities Alliance's involvement in Uganda has led to improved partner credibility and reputation. Additional partners such as JICA, the World Bank and GIZ have been identified to continue work. The University is also working with local governments to acquire new projects, for example with UN-Habitat to design roads.

Partnerships

- Funding and proposal processes were noted to be transparent. However, in initial phases, a greater sharing of information may have allowed communities to hold greater levels of ownership. The average time from proposal submission to first disbursement of funds was 287 days.

- The Country Programme enabled vertical and horizontal cross-collaboration to catalyse efforts. Ninety-two percent of stakeholders either agreed or strongly agreed that Cities Alliance facilitated knowledge sharing with in-country stakeholders.

- Cities Alliance is widely recognised as a platform for partnership. Cities Alliance coordinated members and partners, and integrated them with grassroots communities. For example, the working relationship between the community and the municipalities has moved from one of mistrust to one of partnership.

- Cities Alliance strengthened existing partnerships and coordinated a wide range of partners internationally, acting as a knowledge broker and connector on an international scale.

Vietnam

Introduction

Country context

The Vietnam Country Programme started in 2010 after about 10 years of Cities Alliance technical assistance and policy advice activities in the country. The preparatory studies carried out by Cities Alliance contributed to the National Urban Upgrading Strategy and Overall Investment Plan for Urban Upgrading (NUUP) which was signed and adopted by the government of Vietnam as an official approach to urban upgrading and poverty alleviation[73].

To support the government of Vietnam's commitment to maximize the benefits of urbanisation and to design clear synergies between these efforts, the Vietnam Country Programme was initiated in 2010, and project activities were completed in September 2016. The Country Programme focused on improving relationships and the coherence of efforts among national government agencies and urban local governments, urban poor communities, Cities Alliance members and other partners—all in support of a more effective urban agenda[74]. A large emphasis was also placed on partnership and government ownership throughout the programme.

Urban population growth

With its urban population forecast to double to 52 million between 2010 and 2025, Vietnam is one of the fastest growing countries in the East Asia and Pacific region. Half of the country's population is projected to live in urban areas by 2030. With urban areas growing at an annual rate of 3.4 percent from 1999-2009, Vietnam is confronting challenges in managing its urban transformation[75]. Despite a rapid growing population, the percentage of its city population living in slums has only decreased by eight percent between 2009 and 2014.

Economic and social situation

Since 1990, Vietnam's gross domestic product (GDP) per capita growth has been among the fastest in the world, averaging 6.4 percent per year in the 2000s[76]. Vietnam's economy continued to strengthen in 2015, with an estimated GDP growth rate of 6.7 percent.

Social indicators, such as education levels and life expectancy, have improved substantially over the last decades and are greater than other countries with similar per capita income. Access to basic infrastructure has also improved significantly: electricity is available to almost all households, up from less than half in 1993; and access to clean water and modern sanitation has risen from less than 50 percent of all households to more than 75 percent[77]. However, poverty gains are fragile, as a significant share of the population is still vulnerable, living close to the poverty line (one third of the population—equivalent to about 30 million people—fall into the "poor" or "near poor" groups). The poor and extreme poor are concentrated among ethnic minority groups. Although the government has recognised urbanisation as a positive process, for example, cities today account for 70 percent of economic output[78], Vietnam lags behind in providing adequate housing and basic infrastructure to its urban poor, resulting in the proliferation of informal settlements and poor living conditions in its cities. This points to a need for national strategies and government commitments to be operationalized at the local level and, in partnership with urban poor communities, to address the country's challenges at scale.

Figure 70. Vietnam – Population living in slum

Percentage of city population living in slums

2009
40.1%

↓ −5.5%

2014
37.9%
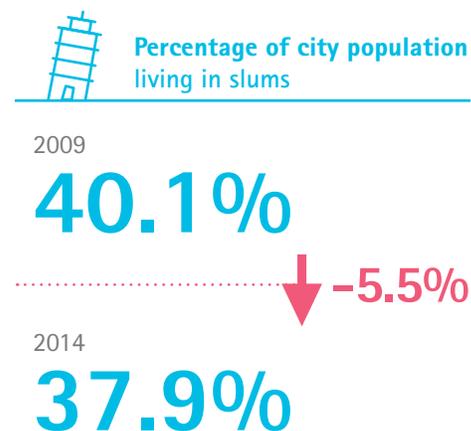
Political environment

For many years, Vietnam's one-party government has taken a long-term strategic view of development, fostered by the country's central planning system[79]. The reform agenda has gradually become more comprehensive, with an increasing emphasis on private sector development, the global integration of Vietnam's economy, and specific policies to combat poverty. Vietnam's 2011 – 2020 Socio-Economic Development Strategy (SEDS) gives attention to structural reforms, environmental sustainability, social equity and emerging issues of macroeconomic instability such as declining Foreign Direct Investment, a devalued local currency and weak financial sector[80]. The strategy defines three "breakthrough areas": promoting human resources/skills development (particularly skills for modern industry and innovation); improving market institutions; and infrastructure development.

Vietnam's future growth will depend on its ability to harness the benefits of urbanisation. For example, access to services, social integration and job creation, as well as its capacity to tackle the challenges associated with it, such as slum growth and environmental degradation[81].

Objectives

The overarching objective of the Vietnam Country Programme was to support a more effective urban agenda centred on sustainable[82], inclusive[83] cities.

The Country Programme also focused on improving relationships and the coherence of effort among national government agencies and urban local governments, urban poor communities, Cities Alliance members and other partners. Specifically, the intent was to provide technical assistance and policy advice to the national government, municipalities and local communities to:

- Increase active citizenship.
- Improve access for the urban poor to municipal services.
- Support the development of effective policies for managing urban growth.

The Programme was designed to function as an integrated urban initiative across national, municipal and community levels, providing support for a mutually-supportive range of priorities.

This support served as a vehicle for stronger national and donor partnerships across government, private commercial and NGO spheres, thereby promoting more coherent and inclusive sector development. It also served as a stimulus for innovative, leveraging of co-financing and downstream technical assistance and investment.

Geographic scope

The Country Programme included six grants and support for the Vietnam Urban Forum (VUF). There were several initiatives underway in Vietnam at the time the Country Programme was designed in 2009, and Cities Alliance sought to support the most successful of these initiatives. The Country Programme had nationwide coverage with the following city-specific components:

- Community Development Fund (CDF) implementation cities:

  Dong Hoi, Lao Cai, Tam Ky, Bac Kan, Bim Son, Dong Ha, Ninh Hoa, Song Cao, Bien Hoa and Dong Xoai.

- City Development Strategies (CDS) implementation cities:

  Quy Nhon and Tam Ky.

- City Development Strategies (CDS) learning cities:

  Viet Tri, Hai Duong, Ben Tre, Ha Tinh and Hung Yen.

Project overview

There have been a total of six grants in the Vietnam Country Programme since its start in 2010. The table below outlines these six projects and their tier-three outcomes delivered by Cities Alliance and its partners to influence national policies, policy frameworks, local planning, institutional participation and community engagement, and capacity development.

Project activities were designed to be interdependent and to operate at the national, city, and community levels. National-level interventions covered urban policies and governance mechanisms; municipal-level interventions included city development strategies; and community-level interventions included community development funds, forums, and infrastructure projects. There was strong focus on capacity building at the municipal and community levels, with 36 training events and over 2,100 people trained. Full descriptions can be found in Table 10 below.

Table 9. Vietnam – Projects mapped to intervention areas

	Project	Great Recipient	Implementing Partner	National Polices	Local Strategies & Plans	Citizen's Engagement	Capacity Development
National	V1 Vietnam Urbanisation Review	World Bank	World Bank	✓		✓	
National	V2 Strengthening the Vietnam Urban Forum andoperationalising the National Urban Upgrading Programme	UDA/MOC	World Bank	✓		✓	
National	V6 National Urban Development Strategy Foundation Phase	UDA / MOC	UN–Habitat ACVN AMCC	✓		✓	
Municipal	V5 City Development Strategy in seven Cities	UN –Habitat	ACVN		✓	✓	✓
Community	V3 Consolidating the Community Development Fund network	ACVN	ACHR		✓	✓	
Community	V4 City-wide upgrading process (CDF) in 20 small and medium cities	ACVN	ACHR		✓	✓	✓

Table 10. Vietnam – Project descriptions

	Project	Project descriptions
National	**V1** Vietnam Urbanisation Review	Although a one-off exercise, this project aimed at developing an analytical urban knowledge base, indicating trends, that would be followed up with supplementary notes. Its primary target was the ministerial level alongside the donor community, and through it, the full array of urban projects and planning/management services at the city level. An information-sharing platform was also needed for broader dissemination, interpretation and open discourse. This function is primarily served by the Vietnam Urban Forum (VUF).
	V2 Strengthening the Vietnam Urban Forum &Operationalising the National Urban Upgrading Programme	The VUF acts as the central clearing house/exchange instrument for the connections with the ministerial and city levels, together with the other programme activities. It is also the mechanism for donors to connect with the private and NGO sectors. The National Urban Upgrading Programme (NUUP) will demonstrate the ability of city-wide pro-poor upgrading in Vietnam on a national scale, by establishing a feasible national program framework for urban upgrading and slum prevention that considers the institutional, legal, regulatory, financing, and advocacy role of the national government with regard to local governments and communities.
	V6 National Urban Development Strategy Foundation Phase	The overall objective of the National Urban Development Strategy (NUDS) is to contribute towards major advances in the equity and effectiveness of urban development, and in the process, to reduce urban poverty and generally raise the living conditions of all citizens throughout the towns and cities of Vietnam. This will entail the further development of the generalised policy statements within the National Urban Development Programme (NUDP) into evidence-based guidelines; working through the provinces to the local urban levels, and employing a fully integrated, multi-sectoral planning approach.
Municipal	**V5** City Development Strategy in 7 Cities	This project works at the city level (the other two levels of intervention are national government with MoC/UDA, and the urban poor communities with ACVN) and, in accordance with the CA-CP framework, aims to "strengthen the capacity of local government to inclusively plan and manage urban growth." Its objective was to directly support two focus cities (Quy Nhon and Tam Ky) and, through a learning and networking process, five subsidiary partner cities (Ben Tre, Ha Tinh, Hai Duong, Hung Yen and Viet Tri), in developing community-based participatory city development strategies. It sought to foster a participatory approach to urban planning (opening up room for dialogue and consultation among communities and public and private partners), in order to build coherence between diverse existing plans at city level, determine priorities, and agree on common actions.
Community	**V3** Consolidating the Community Development Fund Network	The Community Development Fund (CDF) is a financing mechanism that promotes a community-driven approach to pro-poor urban development, planning and management in partnership with government agencies and other stakeholders. The CDF mechanism was initiated in Vietnam in the 1990s and a national CDF network was created in 2007, with the Association of Cities of Vietnam (ACVN) as the designated secretariat for the network. The objective of this project was to support ACVN in achieving its goals of scaling up the community-driven upgrading approach of the CDF network, building on the foundation and lessons of the last two decades of experience. During this preparatory phase, ACVN aimed to develop a CDF operations manual that would support the creation, management and implementation of CDFs in member cities. This preparatory work would lay the foundation for engagement of the CDF network, and build capacity for management and implementation of the CDF through ACVN.
	V4 City-Wide Upgrading Process (CDF) in 20 Small and Medium Cities	This project sought to address urban poverty by strengthening new development options for the urban poor in a way that will influence approaches to urban poverty reduction in Vietnam, thereby improving the governance of Vietnam cities by consolidating emerging practices of participation and civic engagement around urban management issues. Specific objectives included strengthening the practices of community participation and civic engagement; institutionalizing and scaling up the CDF Network; and promoting a community-driven approach to city-wide upgrading.

Country Programme Management

Timelines and support

The Country Programme kicked off in 2010 and closed in September 2016. The six projects were staggered across this duration supported by Cities Alliance's Secretariat and in-country consultants.

Figure 71. Vietnam – Project timeline & programme management support
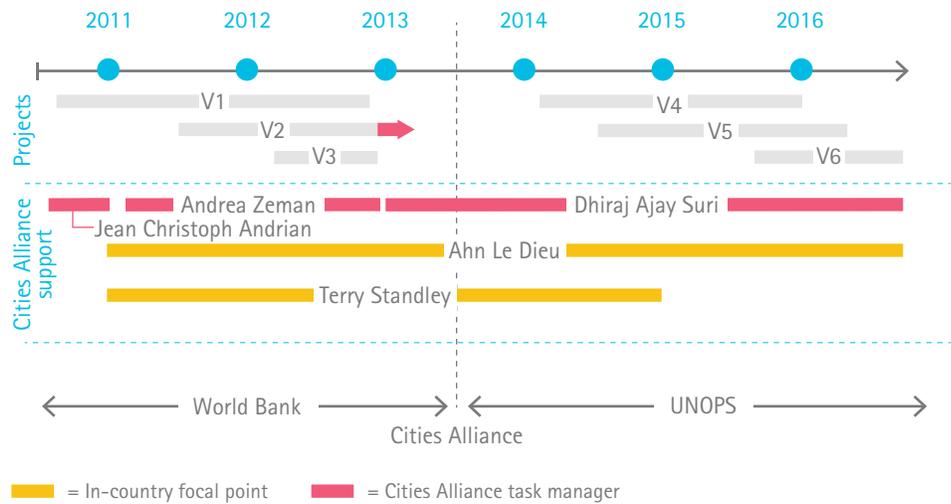
Partners and members

Cities Alliance engaged several partners and members for the Ghana Country Programme. Partners are organisations which are not members of Cities Alliance, but with whom Cities Alliance may work on specific projects. Members are organisations formally affiliated to the Cities Alliance, who participate to its governance, contribute financially to the organisation, and may implement some of its interventions[84].

Figure 72. Vietnam – Partners and members

Partners	Members
• Ministry of Construction (MoC) through the Urban Development Agency (UDA) • Academy of Managers for Construction and Cities (AMCC) • Association of Cities of Vietnam (ACVN), VIUP • Asian Coalition for Housing Right (ACHR)/Asian Coalition for Community Action (ACCA)	• UN Habitat Vietnam • World Bank (WB)/ World Bank Institute (WBI) • Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) • United Cities and Local Government through ACVN.

Governance mechanisms

The Country Programme implemented three governance mechanisms as part of its activities in Vietnam:

- Vietnam Urban Forum (VUF) – national and municipal

- The Vietnam - Cities Alliance Partnership (VNCAP) - Country Programme Committee.

- The Advisory Group, specifically for NUDS.

These mechanisms helped enable a participatory and collaborative approach. For more information, please refer to Efficiency - Governance mechanisms.

Programme financing

A total contribution of US$3,374,214 was allocated to the Country Programme, with US$2,106,723 from Cities Alliance, and US$1,267,491 from partner co-financing.

A shift came about in 2013 when Cities Alliance transitioned from the World Bank to UNOPS. This resulted in some projects going through a restructuring, which led to slight delays in the timeline. However, all implementing partners continued the intended programme activities under UNOPS.

Table 11. Vietnam – Programme financing

Programme Financing	USD
Cities Alliance	2,106,723
Partner Co-Financing	1,267,491
Total	**3,374,214**

Relevance

Did the projects respond to external priorities and did they align to Country Programme objectives?

Needs and priorities

Cities Alliance worked closely with Vietnamese stakeholders to design a Country Programme that addressed the needs of the country

The Government of Vietnam has been taking steps to address challenges stemming from its rapid urbanisation since 2008. It had begun to develop a National Urban Strategy, Orientation Master Plan and Urban Development Plans towards 2025, with a Vision toward 2050. The strategy focused on the "mega urban areas" and on development of basic urban areas[85]. In 2008, the National Urban Upgrading Strategy and Overall Investment Plan for Urban Upgrading to 2020 (NUUP) was developed with sustained support from the donor community. The NUUP aimed to promote a more responsive and community-based participatory planning approach to urban issues. Its objective was to develop a Detailed Implementation Strategy and to carry out a rapid assessment of existing mechanisms for the NUUP implementation[86]. In 2008, the government outlined the first elements of an overall implementation strategy for the NUUP, and in 2009 the Government approved it. In addition to encouraging physical urban upgrading, the NUUP aimed at promoting participatory planning methods in the upgrading process to make it more responsive to citizens' needs.

Although the government had taken steps towards achieving a responsive urban upgrading approach, it was not yet able to effectively move the programme from the planning to implementation stage due to a lack of technical knowledge, experience and human resources. Cities Alliance and its partners helped develop an operational framework for the national programme, its institutional, procedural, and financial specifications, and identified the necessary enabling policies needed for a successful implementation on a national scale. In response to the government's focus on urban issues, Cities Alliance members and their national and local government partners jointly shaped a package of interventions that collectively responded to the challenges that had been identified.

The Country Programme was initiated in 2010 and started in 2012. However, even before this point, Cities Alliance had worked with partners and recipient organisations to identify the country's needs and strategize how to design and build programing that leveraged existing work. According to survey results, all stakeholders felt that the Country Programme was in demand at the time it was designed, with 91 percent believing it was in high to very high demand.

> " This Programme excellently responded to the national agenda! "
>
> Grassroots NGO

Figure 73. Vietnam – Programme in demand

Perception that the country programme was in demand

- High demand
- Moderate demand
- Very high demand

58%
33%
8%
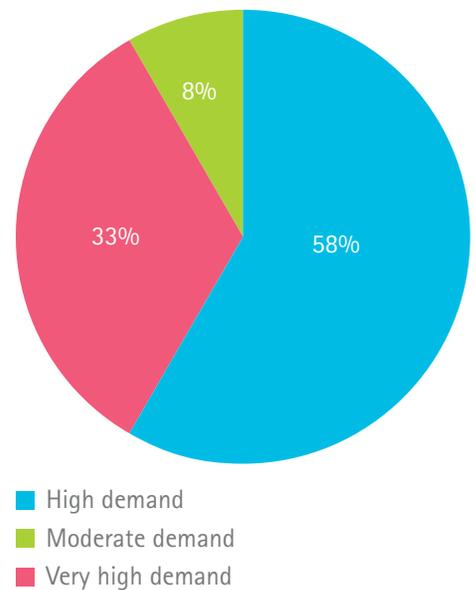
The Country Programme responded to the needs of the country, particularly by building the technical and human capacities of the government, municipal staff and the urban poor community to help manage the complex challenges that accompany rapid urban growth such as an increased number of people living in slums, a lack of access to services, growing environmental disasters, increased poverty in cities and so on. 100 percent of survey respondents agreed or strongly agreed that the Country Programme was aligned with existing priorities at the national, municipal and community levels.

Harmonisation of urban efforts in Vietnam across national, municipal and community levels

Cities Alliance played a role in harmonising the urbanisation efforts in the country across projects and stakeholders

Cities Alliance's role was to align and coordinate various initiatives and projects in Vietnam by bringing urban stakeholders together. The Country Programme intended to engage and mobilise partners behind a programme that was designed together and linked to both past and current initiatives of Cities Alliance's members and partners, as well as to existing priorities and projects in the country[87].

Cities Alliance appeared to be one of the few organisations attempting to bridge the vertical gap (between national, municipal and community levels), and the horizontal gap (between projects at the same level) within the country. The Vietnam Country Programme's success can be attributed in part to Cities Alliance's in-country coordinator, who coordinated and acted as a champion for these partnerships. Horizontally, there was a lot of emphasis on scale and replicability of projects, especially the Community Development Strategies (CDS). The CDS projects incorporated city-to-city learnings through Association of Cities Vietnam (ACVN) and the CDS network laboured to ensure that those participants receiving direct support could act as mentors for others to undertake similar planning processes. The CDS activities were also directly linked to the Association of Managers for Construction and Cities (AMCC) training programme, thereby providing a parallel demonstration tool for improved city planning and the associated governance advancement.

Another example of Cities Alliance playing a harmonizing role was the work supporting both the NUUP and Vietnam Urban Forum (VUF). This link between NUUP and VUF was strengthened and Cities Alliance helped broker the relationship and manage both parties' requirements.

> " At the national level, we really needed it. We did not have much urban experience for development "
>
> Ministry of Construction

Figure 74. Vietnam – Programme aligned to priorities

Perception that the country programme was aligned with existing priorities

	Strongly disagree	Disagree	Neither disagree/ nor agree	Agree	Strongly agree
National level			0%	50%	50%
Municipal level			0%	50%	50%
Community level			10%	50%	40%

- National level
- Municipal level
- Community level
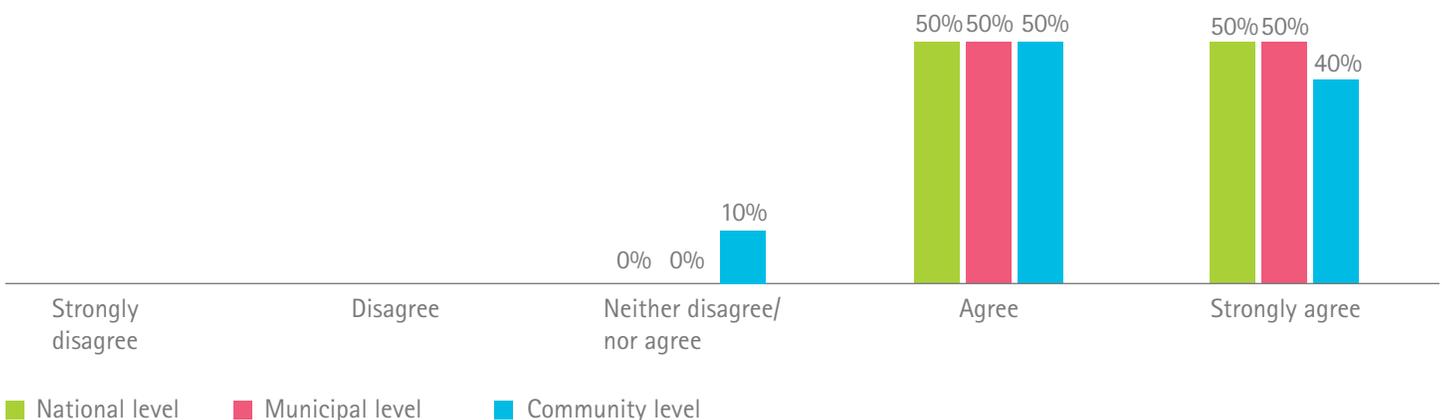
For effective operationalisation of the NUUP, the government continuously fed into the AMCC training, and consulted the ministries and donors through the VUF. The objective with the VUF was to bring together existing and new member organizations from seven different member groups, and provide a platform for member representatives to raise perspectives and ideas, as well as to mobilize active engagement of members in the forum's operations. The VUF focused on developing the new organizational structure, identifying sustainable finance, and the future strategic activities of the VUF. The VUF also fostered collaboration and coordination between member organizations, as well as among member groups, to improve sharing of information/experience and the promotion of joint initiatives (such as thematic working groups, workshops and seminars, policy advice and training).

Vertically, a strong push was made to connect grassroots organisations to donors such as the World Bank. ACVN was selected to be a Cities Alliance implementing partner, representing 96 cities, crossing ministerial sectoral lines and operating at both city-wide and community levels. ACVN had both the track record and a participatory development philosophy well-suited to the Country Programme Framework. Additionally, ACVN's track-record showed that it had experience in reporting to the government and relevant ministries regarding urgent urban issues in building, management and development progress, as well as participating in linking construction regulations to the Urbanisation Review, the NUUP and National Urban Development Strategy (NUDS).

Cities Alliance was acknowledged to be a platform for partnership, both horizontally and vertically. However, it was noted that the connection could have been stronger: "But just because representatives from all levels talk to each, it doesn't mean the actual projects are linked." (International NGO).

Integration between the municipal and community levels was strong, however, the integration between the national and the city (CDS) levels was weaker. This can be partly explained by the intermediate provincial level that adds another layer of bureaucracy and political processes. For example, the CDS has to go through the provincial system before it can go to the national level and become statutorily binding. One of the most evident gaps in the Vietnam Country Programme is the lack of focus on the provincial level. This may be an opportunity and area of focus to consider in future country programming.

Capabilities and funding

Cities Alliance acted as a catalyst in providing coordination and technical assistance

Survey respondents indicated that Cities Alliance mainly contributed to coordination and technical assistance. It was also acknowledged for bringing international experience to the country. Cities Alliance played a catalytic role, linking Vietnamese stakeholders to valuable international experience to learn how to achieve more sustainable urban growth.

> " The country programme plays a role as channel to transfer the message from grassroots to top deciders and facilitates the policy making process from bottom up in harmonizing with top down approach "
>
> International NGO

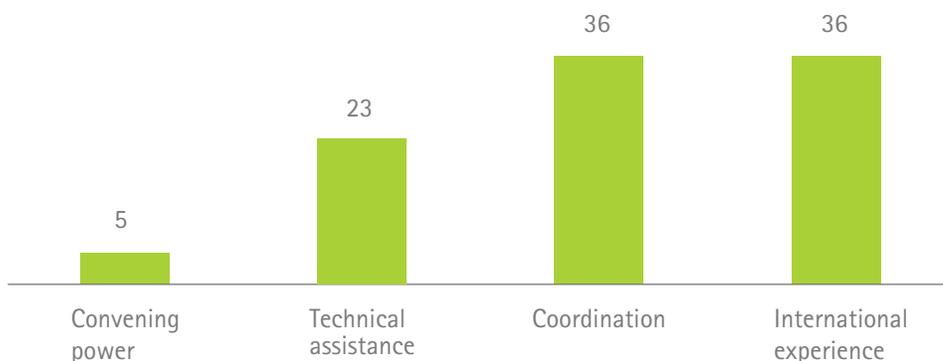> " Communities now feel that they are being heard.
>
> For example the community can now pick up the phone and call the municipality directly "
>
> Community Leader

Figure 75. Vietnam – Cities Alliance capabilities

Most value Cities Alliance's capabilities

Convening power	5
Technical assistance	23
Coordination	36
International experience	36

Cities Alliance also facilitated a North-South cooperation and knowledge exchange between the two regions. In addition, Cities Alliance was recognised for having improved partner learning and organisation capabilities, as well as for acting as a knowledge carrier. Cities Alliance shared experience from working with other development countries on urban planning, resilient strategy planning, and financial planning that in-country partners and recipients lacked. By bringing in a consultant with technical expertise in urban planning, Cities Alliance further helped to write strategies and provide international expertise.

Cities Alliance helped deliver higher quality outputs

Partners perceived that they have achieved better quality and faster results through Cities Alliance than they would have had alone. Funds were also recognized as a key contribution and enabler. "Vietnam was a very capable government, but without the financial support from Cities Alliance it would have been difficult to things done" (Independent Consultant).

Most projects managed to address the agreed objectives within the allocated budget

Although grants were relatively small, most projects managed to successfully address the objectives of the Country Programme. 46 percent of survey respondents agreed that projects had adequate funding and through interviews, it was found that most partners perceived that they received adequate funding. "In fact, honestly, the amount was quite small against the demands of the project, however Cities

Alliance support is quite large." (Deputy Director, Vietnamese Ministry). One reason why funding was primarily seen as sufficient may be due to Cities Alliance working closely with its implementing partners to define the objectives and costs of projects prior to proposal approval. "When we prepare the project, we do the cost estimation and prepare the budget for co-financing. Depending on the amount of funding, we get from Cities Alliance, we can reduce the counterpart funding, and then invest in more projects" (People's Committee Chairman, Vietnamese Municipality). Regardless of stakeholder grant funds satisfaction, all interviewees reported that with additional funding, more progress could have been achieved. For example, the Urban Development Agency said that it would have spent additional funding on drafting policy documents and upskilling communities to implement policy.

" If we have more money we can develop more documents and learning activities to the communities "

Vietnamese Ministry

Figure 76. Vietnam – Grant funds

Perception that grant funds were adequate to address the objectives as defined in the country programme framework

- Yes
- No
- Neither yes/no

15%

46%

38%
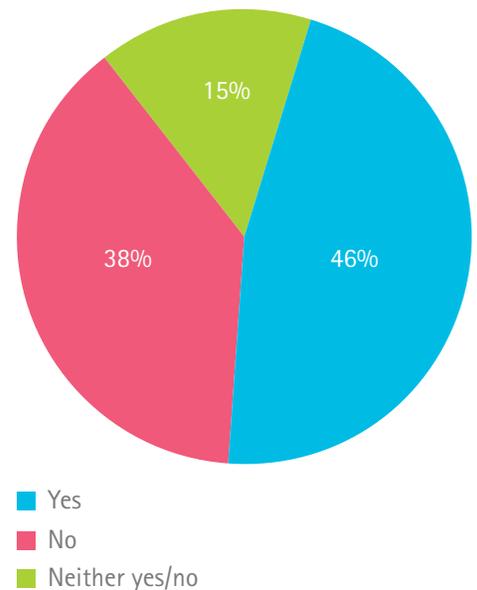
Effectiveness

Did the projects achieve their objectives as defined in the Country Programme Framework?

The Country Programme focused on delivering outputs in four different areas: National Policies, Local Strategies and Plans, Citizen's Engagement and Community Development.

100 percent of project outputs (23 out of 23) were delivered as part of the Vietnam Country Programme, and all were completed and closed by September 2016[88]. Key outputs included:

- The Urbanisation Review.
- National Urban Development Strategy (NUDS).
- Assessment Reports.
- Strategy and Operating Plan for the Vietnam Urban Forum.
- Functional structure for project implementation and a supervision assessment report for the National Urban Upgrading Policy.
- Participatory City Development Strategies.
- Community Development Fund operational manual.

National policies

Vietnam has made major changes in how it sets long-term strategies. For the first time, it invites a broad range of NGOs and donors to review drafts of plans and strategies (such as the recent 10-year plan and the National Urban Upgrading Policy and National Urban Development Strategy). Shaping long-term national strategy (including a development strategy) was, until recently, strictly a party-led

activity. At this point in time, stakeholders have strongly welcomed the government's decree on grassroots democracy as a step in broadening participation and ownership in development processes. 75 percent of survey respondents reported that Cities Alliance had a significant to very significant contribution in informing the national strategies and plans. Interviewees also stated that Cities Alliance was one of the donor organisations that supported policy formulation in an organised and cooperative manner.

Cities Alliance also contributed to creating an environment that brings the voice of the urban poor to the highest levels of policy, and helping the urban poor influence national and local decision-makers. By providing direct financial support to ACVN to manage and execute development projects, the organisation built the institutional capacity and was acknowledged for its role as the main convener and representative of local authorities' and the urban poor's interests. The ACVN is now among the select organisations invited to public hearings on the policies organised by the national assemblies. NGOs and private sector representatives also stated that they now have better access to government information on urban development, which includes participation in state-led meetings and workshops. NGOs and private sector representatives are now, for example, invited to Consultative Group meetings. The consultation in policy making has become more inclusive, contributing to a shift from government ownership of national policies to national ownership.

Figure 77. Vietnam – Informed strategies or plans

Cities Alliance informed national strategies or plans
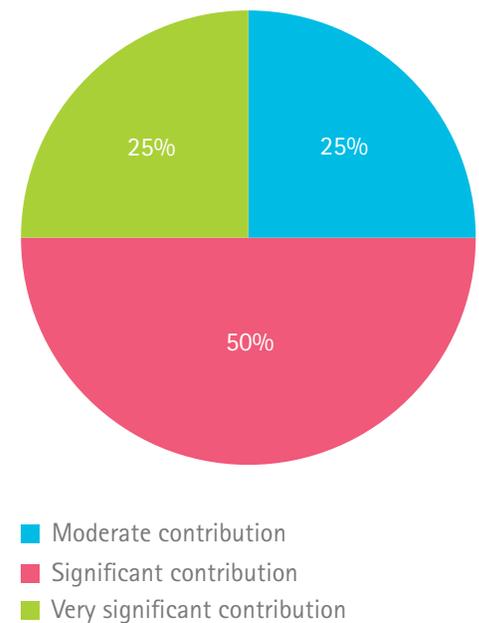
- Moderate contribution
- Significant contribution
- Very significant contribution

Local strategies and plans

Despite an array of initiatives over the years, broad stakeholder involvement (particularly from the urban poor) was uncommon in Vietnam's city planning processes when the Country Programme was initiated. The programme provided an opportunity to apply a more inclusive and participatory approach to creating city development strategies, with communities supported to organise and mobilise themselves to participate. The CDS projects provided a foundation for participatory engagement between communities, local urban authorities and the private sector in order to exchange views, determine priorities and agree on common actions. UN-Habitat was identified as the most appropriate agency to help implement the community-based CDS activities, in partnership with ACVN and the Vietnam Institute of Architects and Planners (VIAP). This was partly due to UN-Habitat having an office in Vietnam with a proven track record of working across partners on housing and urban development issues, including cities and climate change, provincial and city strategic planning, and localizing actions related to The

United Nations Millennium Goals. UN-Habitat had also established a working relationship with ACVN and the Community Development Fund network, which was essential for the implementation. Moreover, it could draw on its global experience (in city development strategies and participatory, community-based planning processes) and technical expertise.

City Development Strategies were created in two cities in Vietnam with five learning cities which may carry out the CDS. The project outputs are now mainly used by city governments and a local task force team.

The training materials related to specific themes such as eco- and community-based tourism development, are disseminated to focal points and leaders in other communes. The goal is to integrate these strategies into the Socio-Economic Development Plan annually, or in five-year and 10-year plans for approval at the provincial and city levels.

Figure 78. Vietnam – Municipality Development Strategies
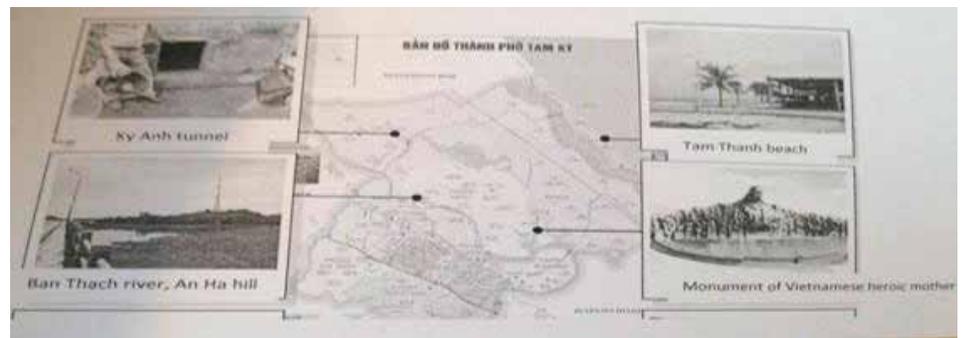
Case Study:
Mural art revitalises central fishing village

In early June 2016, Trung Thanh Village in Tam Thanh Commune was chosen for an art project as part of the CDS programme—a joint effort by the Korea Foundation and UN-Habitat. The objective was to brighten the local living environment and bring art to the public. Under the project, 11 artists and volunteers from the Republic of Korea, and many Vietnamese students, gave the walls of approximately 100 houses a new face. More than 70 paintings were created to reflect the lives of the local people. The mural village project is expected to help boost local tourism by inviting people to

visit the city and explore the art. Through artistic expression, families have been able to share their personal stories, and are able to support themselves by selling water and trinkets to the increased number of in tourists. Along with the wall painting project at Tam Thanh, Tam Ky has upgraded an embankment road from the city centre to the village. Part of efforts to develop eco-cultural tourism, it enables citizens and tourists to walk, run and bike along the beach, something that was not possible before due to a lack of sidewalks.

Figure 79. Vietnam – Trung Thanh Village

Citizen's engagement

Cities Alliance encouraged a participatory approach in all elements of the Country Programme. For example, the National Urban Upgrading Policy shifted from a top-down, to a more bottom-up approach, including donors and communities. At the community level, the participatory approach was incorporated throughout the CDS, and disseminated as good practice for all CDS projects going forward. The approach was designed to be participatory and inclusive, however cross-sector collaboration was noted to be complex and time-intensive to manage.

The concept of community savings and community-led development was initiated with the CDF project in Vietnam in the early 1990s through a project supported by UNDP/UN-HABITAT and ACHR/ENDA[89].

Figure 80. Vietnam – Community Development Fund

What is the Community Development Fund?

The Community Development Fund (CDF) is a financing mechanism that promotes a community-driven approach to pro-poor urban development planning and management in partnership with government agencies and other stakeholders. The main characteristics of CDF are:

• Voluntary participation of urban poor communities in community-managed saving groups

• Coordination between different organisations and different sources of funding for urban poverty reduction by establishing and managing the CDF with community participation at city level with city government support

• Community-led processes (initiation, implementation, management) across all CDF activities

Figure 81. Vietnam – The Community Development Fund phased approach

6 cities

Preparatory First Phase

• Operational Manual

• Financial management regulations

• Applications procedures

• Criteria for evaluating applications

• Safeguards framework

• Monitoring and supervision

30 Cities

Second Phase

• Consolidation of existing CDF network of 30 cities

• City-wide mapping

• Learning exchanges

• Mobilising participation though forums

• Policy advocacy through multi-media interventions

• Legal and financial provisions

• Closer integration with development partners across ACVN programmes

50 Cities

Third Phase

• Extended to an additional 20 cities

• Significant scale up of CDF

• The lessons and experiences fed into the national dialogue

• Inform the roll out of the National Urban Upgrading Program

However, these initiatives largely remained separate pilot activities. In an effort to consolidate and scale up the community-led approach, ACHR and ENDA facilitated the creation of the national Community Development Fund (CDF) network in 2007[90].

The CDF was designed to support several small community infrastructure projects throughout Vietnam. These projects were selected through a participatory approach by the communities themselves according to their infrastructure priorities, and aligned with municipal plans. From Cities Alliance's perspective, the objective was to provide support to ACHR to build capacity for management and implementation of the CDF. The CDF network in Vietnam consisted of 30 member cities, with plans to expand to 20 new cities from 2010 to 2016.

A total of 45 CDF projects were selected and implemented using the community participatory process, with a total estimated 2,411 beneficiary households. The projects improved access to basic services, including:

- Water supply.
- Community halls for gathering and community meetings.
- Road construction/maintenance.
- Toilet construction.
- Electricity connections.

Through its implementing partners, Cities Alliance sought to expand the reach of the CDF by encouraging the development of savings groups. To spur nation-wide promotion of the CDF methodology, contracts were signed with the rapporteur of Vietnam News Agency Television to broadcast the launch workshop in Hai Duong and the National CDF Forum in Da Nang. As a result of these efforts, savings groups were established in 10 Vietnamese cities[12].

Community Development Fund projects have had a total investment of US$424,439, of which Cities Alliance funded 37.8 percent and the communities themselves funded 31.5 percent. The remainder of the funds came from the cities and wards.

2,411
Households

45
CDF Projects

Figure 82. Vietnam – Community Development Forum Funding Sources

CDF funding sources

- Cities Alliance: 30.7%
- Community: 37.8%
- Cities: 31.5%
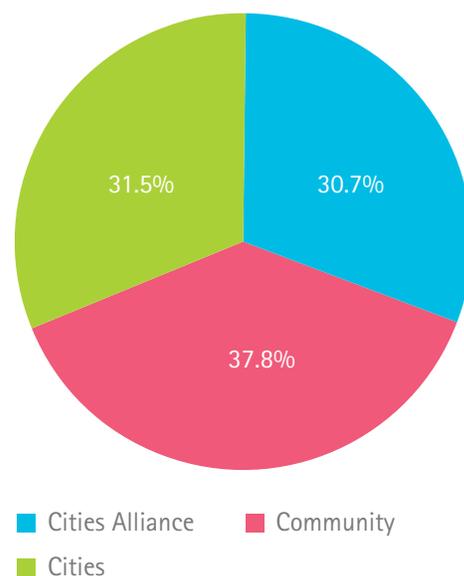
Figure 83. Vietnam – Households with portable water

Vietnam has seen a

30%

increase in the average proportion of households in slum and/or low-income areas with regular access to potable water; and a 30% increase in access to a sewerage system between 2013 and 2016.

(Cities Alliance Corporate Scorecard, 2016)

* study completed only in the low-income areas in which the Country Programme intervened in Vietnam.

Case Study:

Citizen's engagement and savings groups have led to a community centre and the installation of street lights

The Dong Tra commune in Tam Ky consists of 106 households, 36 of which are classified as poor or near poor. The inhabitants are farmers with irregular incomes and no formal education. In 2011, the ACVN profiled the commune to map the city's constituents and their needs. At the time, there was limited urban infrastructure in the commune (roads, streetlights, sewage, or sanitation). From 2012 onwards, ACVN supported the commune with establishing a participatory process. Citizens began to meet on a more regular basis to discuss their needs. These were prioritised by the group and a community centre and street lights were identified as the most important. To secure 55 street lamps, the community had to raise 60 million dong, around 15,000 dong per month. ACVN supported representatives from the commune to approach a local utility provider to ask them to co-fund the project. With support from The People's Committee, the Ward and Cities Alliance, and with co-investment from the local utility company, the commune now has 65 street lamps, surpassing their original target.

In addition to street lamps, the community also desired a centre to meet and discuss their priorities. With co-investment from Cities Alliance, the People's Committee, and the Ward, the community successfully saved and invested enough to build a functioning community centre.

The constituents meet monthly, with over 100 people on average in attendance. The time is used to discuss key issues, and current development projects. There is a management team responsible for running the overall centre and dedicated teams are responsible for targeted infrastructure development areas such as roads, lights, drainage, water et cetera. Decisions are voted on to ensure that all people have an equal say. The centre is also being used by The Women's' Union, Savings Groups and other organisations. The next planned step is to install a toilet in the centre.

Figure 84. Vietnam – Community Centre in Dong Tra commune

Capacity development

As part of the Country Programme, Cities Alliance contributed to several capacity development initiatives across the national, municipal and community levels, as depicted in Figure 85.

Cities Alliance has strengthened the institutional and community capabilities in Vietnam through targeted training

All survey respondents stated Cities Alliance strengthened institutional and community capabilities either significantly or very significantly. They did this by providing knowledge and technical expertise that in-country partners did not have in topics such as urban planning, resilient strategies and financial planning.

Most stakeholders stated that they had learned much by participating in the Country Programme, and that the VNCAP has been one of the primary reasons for strengthening the involved partner's capacity.

Figure 86. Vietnam – Cities Alliance's contribution

Perception that Cities Alliance contributed to increased members/partners' knowledge and learning
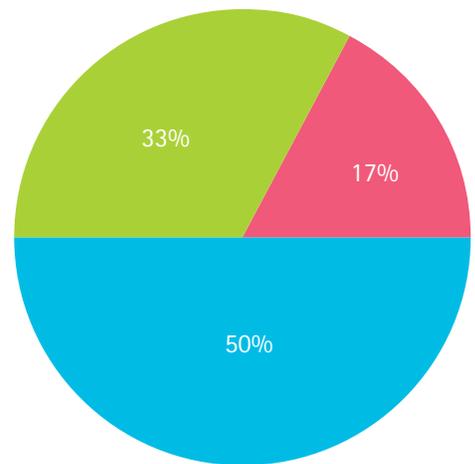
- Very significant contribution
- Significant contribution
- Moderate contribution

Figure 85. Vietnam – Capacity development activities

National	• National Forum with the participation of 105 persons representing 29 cities and national agencies • Urbanisation Review was shared with government counterparts and selected development partners • Regional launch of the Urban Knowledge platform • Workshop with approximately 100 participants representing related ministries, municipal members and professionals.
Municipal	• Operational Manual for CDF was prepared to provide local authorities and communities with a basic toolkit to support community-driven initiatives for urban poverty reduction and community development • Workshops and training on the CDF Manual as well as "City-wide Mapping with Community Participation" • Training courses for young professionals in the Universities of Da Nang and Tam Ky were organised in Tam Ky to promote the knowledge and use of CDF for community and city development
Community	• Capacity building exchanges (city-to-city and community-to-community) organised between 13 CDF implementation and learning cities to share experiences on project implementation and learn from each other • Intra-community and inter-community forums for community leaders

Learning examples include time management and prioritization, financial management, participatory approaches and citizen's engagement. It was also evident that participating in forums strengthened the capabilities of participants. "Upgrading through the capacity building via the network. Participating in network gives an opportunity to learn more and better about the issues of cities"- Project lead. Furthermore, the forums helped build capacity at all levels—from leaders, to local staff and communities.

Most people were trained during the VUF training session (943 participants). All respondents stated that they had gained knowledge and learning, and 33 percent cited Cities Alliance's contribution as being very significant to this learning and knowledge. Training and learning activities taught participants how to

identify the challenges of urban growth, how best to address these, and how to plan for them. Partners learned to prioritise projects, the importance of participatory processes, community engagement and basic financial management. CDS training sessions included eco-tourism, planning for resilience and smart city development (for a full list, see Appendix 7.1)

Three CDF training sessions were held with about 86 participants, and 14 training sessions focused on supporting the city-wide upgrading process in the 20 small and medium cities, training 811 people with an average attendance of 68 (see Figure 87 below). A total of 2,100 attendees to Country Programme training sessions were recorded.
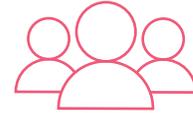
2100
Participants at training sessions

Figure 87. Vietnam – Participants at learning events

Participants at learning events as part of the support city-wide upgrading process in 20 small and medium cities in Vietnam

| Event	Participants
Workshop "Development of Community based biocultural tourism"	11
Conference on CDF financial management	62
Training course an financial management software for CDF members	75
National workshop on CDF Experience	110
International workshop on Drafting of the Planning Bill	113
CDF National worshop intergrating with national community workshop	120
City-to-city Exchange	320

" Cities Alliance has been a huge
support. We've learned a lot from
Cities Alliance's knowledge and
experience. We can now share
management capacity related to
our job. "

Vietnamese Ministry

" The more you understand,
the more challenges you see
and the more help you need "

Vietnamese Ministry
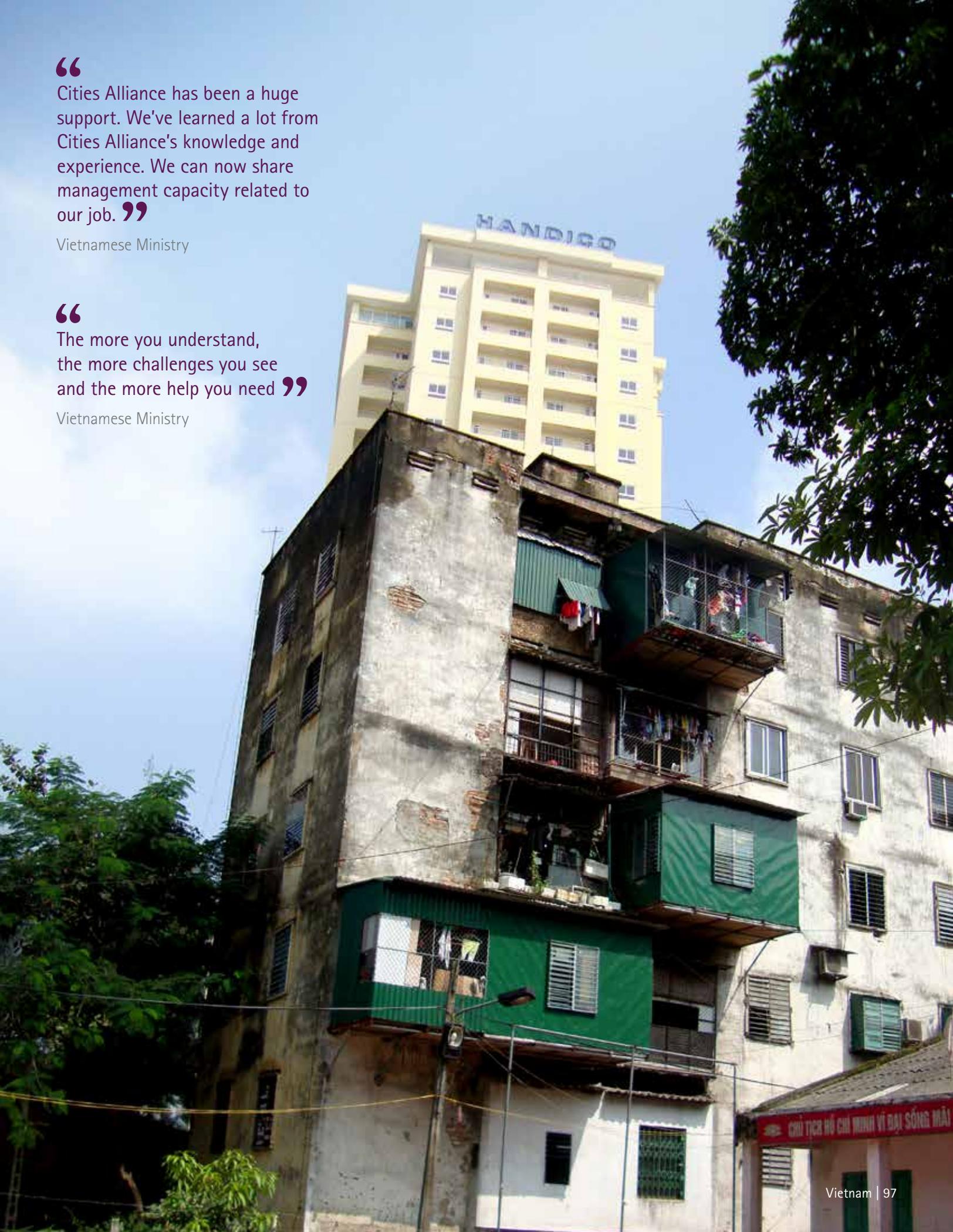
Efficiency

Did the projects have the appropriate structure and management capabilities in place to deliver on their objectives?

Governance mechanisms

The participatory approach was new to most Vietnamese stakeholders; the Country Programme created a space for collaboration

The Country Programme implemented three primary governance mechanisms in Vietnam. These mechanisms enabled a participatory and collaborative approach, for example, integrating communities with ministries, and municipalities with the government. These mechanisms served as accessible information hubs for participants and a place to openly exchange ideas.

The Vietnam Urban Forum (VUF) takes place on annual basis and is designed to be led on a rotational basis. It follows Cities Alliance's principles on participation, including on cadence and leadership. Initially, the Ministry of Construction took the lead as the chair of the forum, with the World Bank acting as the co-chair. Lately, however, the World Bank has pulled out of the role. The Country Programme has been successful in attracting new participants to the VUF membership base, increasing it from 23 members in 2003 to 120 members in 2016, and to seven different institutions including bilaterals, multilaterals, NGOs, universities, associations and cities. International players also participate in the VUF. Despite having strong participation, respondents indicated that participation is not equal.

Figure 88. Vietnam – VUF Membership base

2003   2016
23 ▶ 120
VUF membership base

Figure 89. Vietnam – VUF Participants

Participants	International Consultative Conference on Urban Law and VUF's Member Conference	Members conference of VUF for the preparation for the activity of "Community of Practice on Urban Climate Resilience	National Stakeholder Workshop for kick-off of "Community of Practice on Urban Climate Resilience"	National Urban Conference: "Vietnam Cities Tomorrow - Actions Today"	Meeting to launch the work plan of VUF Vietnam Urban Forum
	March '11	Dec '11	July '12	October '12	February '13
	170	**50**	**223**	**350**	**150**

Often the same people dominate the meetings and there is little transparency into what happens at the meetings. For example, the agenda and follow up minutes are often not circulated to the broader group.

Vietnam Cities Alliance Partners (VNCAP) was the steering committee established specifically for Country Programme partners as a platform for information sharing and project alignment. Participants met on a quarterly basis and the core members determined the chair agency on a rotational basis. The main participants were the Country Programme partners, but the forum was later joined by other parties, including the ADB and AMCC. The seven CDS cities that were part of the learning and collaboration network were also invited to the VNCAP meetings. 27 percent of survey respondents stated that their input within the steering committee was only valued to a small extent. This may have been due to unequal representation and/or because VNCAP did not hold a decision-making function.

The Advisory Group was established for the NUDS project to manage the transition from the first Cities Alliance-phase to the second ADB-phase. Each report (inception, intermediate and draft final) created was shared with the Advisory Group members for comments before UDA approved the deliverables.

Programme management support and grant-making processes

With strong Cities Alliance presence in the country, Vietnamese stakeholders had consistent programme management support

The survey results demonstrated that Cities Alliance provided appropriate programme management support. For the CDS project Cities Alliance and UN-Habitat helped to plan workshops, form discussion groups, and facilitated and moderated workshops, following up on timelines and helping to write project reports.
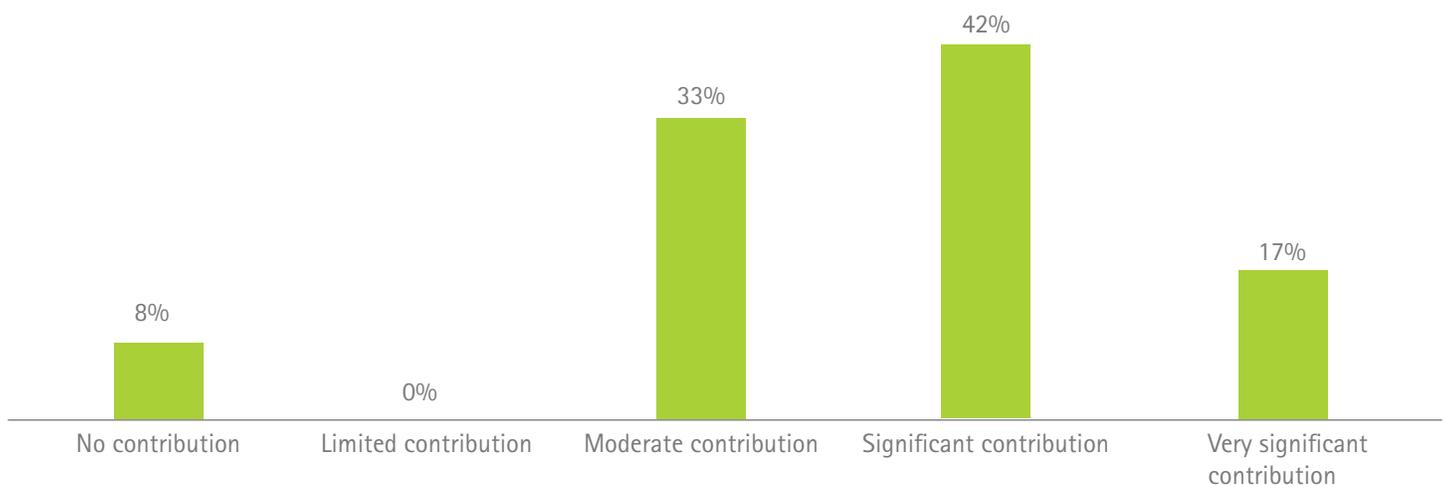
UN-Habitat also provided programme management by helping recipients follow the agreed timelines. A key success factor was the allocation of in-country Cities Alliance consultants through duration of the programme (as seen in Figure 71).

"
Cities Alliance provided the programme management - it was quite good. They not only provided programme management the first year but they also follow up and implement "

People's Committee Vice Chairman, Vietnamese Municipality

Figure 90. Vietnam – Programme management

Perception that Cities Alliance provided programme management

		42%	
	33%		
			17%
8%			
No contribution	0% Limited contribution	Moderate contribution	Significant contribution	Very significant contribution

Funding and proposal processes were mostly seen as transparent

Although funding and proposal processes were viewed as transparent, interviewees stated that the processes were repetitive, slow and frustrating.

Project starts were delayed due to lengthy approval processes. "Bureaucracy in government slows down the processes and sometimes the plan just doesn't work" (International NGO). As shown in Figure 91, grant processes took an average of 247 days from the proposal submission to first disbursement of funds. The submission to approval and approval to grant agreement phases were noted to take the longest time. Participatory processes can take longer than anticipated and should therefore be forecasted and built into proposal contingency periods to allocate sufficient time.

Significant delays were felt in the organisation's transition from the World Bank to UNOPS. With Cities Alliance's move out of the Bank in 2013, the grant process took longer as many recipients had to draft a new proposal and undergo a new legal agreements to secure the grant funding. Work efforts were therefore sometimes duplicated due to the organisational transition: "Moving... had become more complicated" (Vietnamese Ministry and International NGO). Project V4 in Figure 93 shows evidence of this.
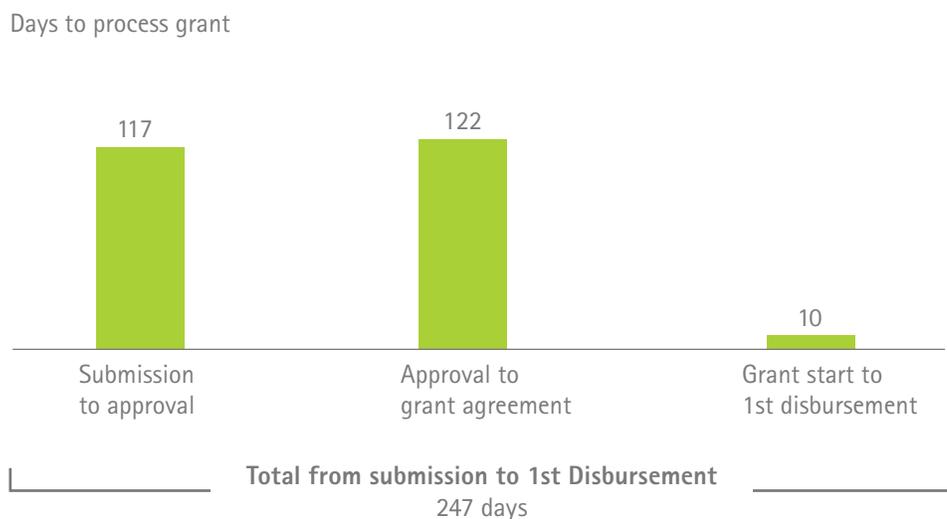
Figure 91. Vietnam – Grant making processes

Days to process grant

| Submission to approval | Approval to grant agreement | Grant start to 1st disbursement |
| 117 | 122 | 10 |

Total from submission to 1st Disbursement
247 days

Figure 92. Vietnam – Funding and proposal processes

Perception that funding and proposal processes were transparent

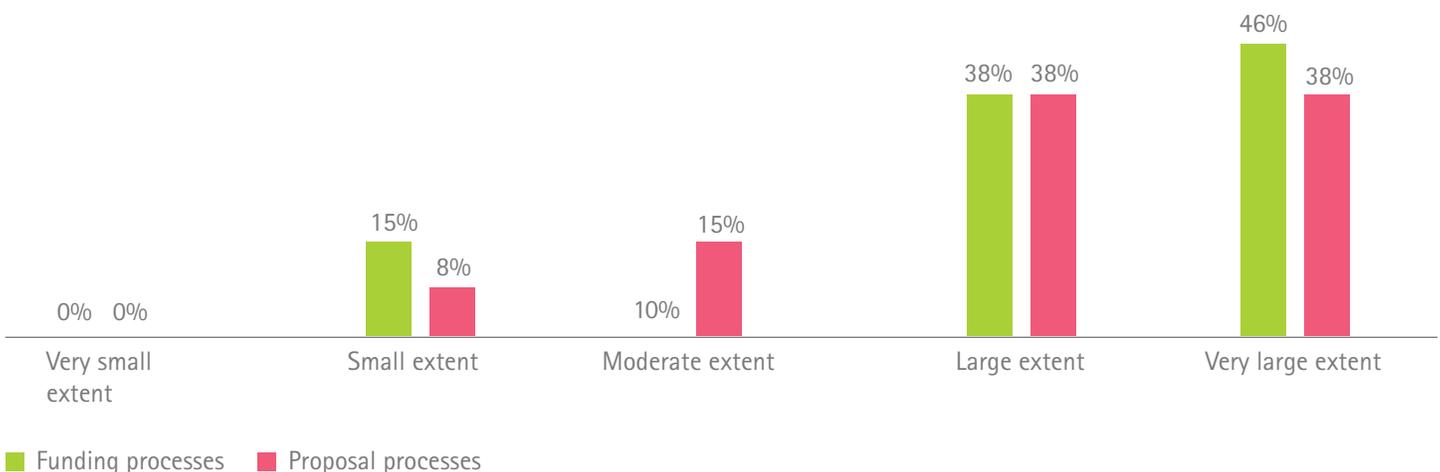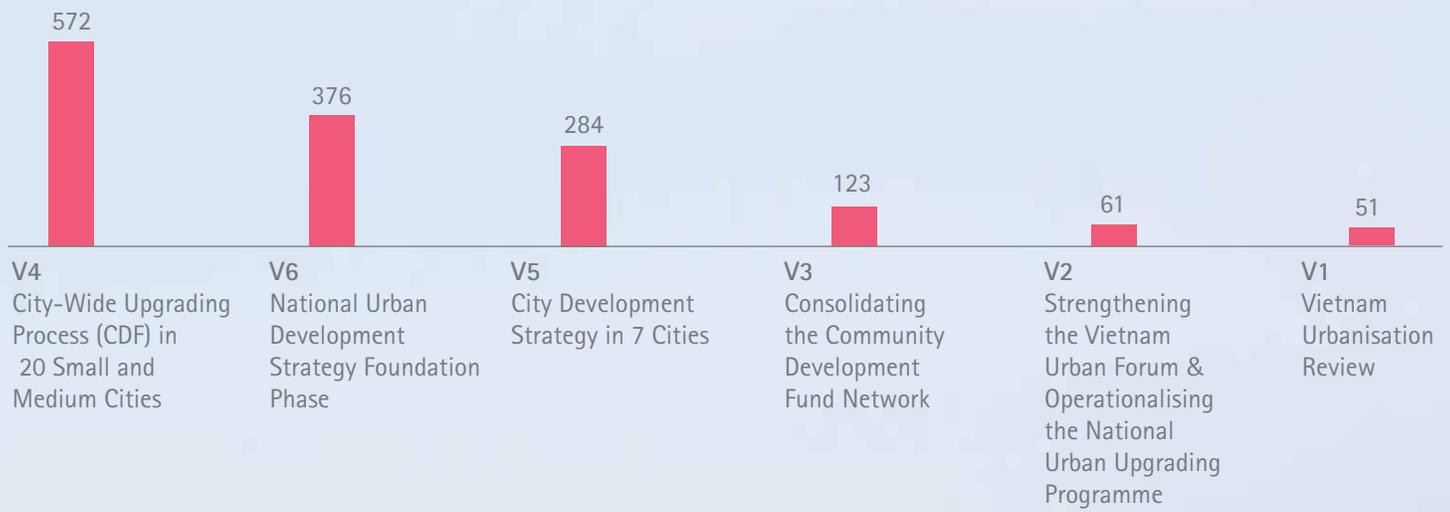| | Very small extent | Small extent | Moderate extent | Large extent | Very large extent |
| Funding processes | 0% | 15% | 10% | 38% | 46% |
| Proposal processes | 0% | 8% | 15% | 38% | 38% |

■ Funding processes   ■ Proposal processes

Figure 93. Vietnam – Project Grant Processes

Projects total days from proposal submission to 1st disbursement

572	376	284	123	61	51

V4
City-Wide Upgrading Process (CDF) in 20 Small and Medium Cities

V6
National Urban Development Strategy Foundation Phase

V5
City Development Strategy in 7 Cities

V3
Consolidating the Community Development Fund Network

V2
Strengthening the Vietnam Urban Forum & Operationalising the National Urban Upgrading Programme

V1
Vietnam Urbanisation Review

Sustainability

Will the results and outcomes of the projects continue after funding or support ends?

Continuation of projects and outcomes

The national level initiatives have seen the greatest level of sustainability

The National Urban Upgrading Policy has been approved for five years, and is being consolidated with the National Urban Development Strategy into the government's strategy for 2020. Cities Alliance's investment to develop the NUDS leveraged an additional US$2 million from Asian Development Bank (ADB) and USAID. What began 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[92]. The second phase of the NUDS development will be comprised of a broad-based needs assessment, and outputs will include a National Urban Resilience Strategy and programme. The goal is to improve national urban planning capacity, and to enhance capacity at national and city levels for implementing climate change resilience.

Investment was also secured based on the Detailed Implementation Strategy output for the NUUP. The World Bank contributed US$292 million in a Mekong Delta Region Urban Upgrading Project (MDR-UUP[93]), for infrastructure projects in low income areas. The programme has invested in activities that support upgrading primary, secondary and tertiary infrastructure in the low-income urban areas of Vietnam, as well as the development of resettlement areas for affected persons[94]. The project builds on the NUUP and will focus on improving the living conditions of the urban poor in selected cities in the Mekong Delta Region by improving urban management capacity and planning in those same cities; and strengthening knowledge and urban management capacity at the national level[95].

There is also evidence that the forums—both VUF and VNCAP—will continue. However, the extent to which these forums were effective remains questionable as it was found that the forum suffers from a lack of clear direction and ownership. To improve effectiveness and sustain progress and strategic planning, the forums require continuous funding and identification of dedicated resources. Cities Alliance has helped to secure this necessary support with the World Bank, GGI and Belgian Cooperation, procuring a consultant for 18 months.

Case Study:

Policy dialogue on housing rights

On 13 May 2014, the policy dialogue, "Right to Adequate Housing: Roles of Communities in Housing Process," was organised by UN-Habitat, Associations of Cities of Vietnam (ACVN) and Asian Coalition for Housing Rights (ACHR), in cooperation with the committees of the National Assembly of the Socialist Republic of Vietnam and Cities Alliance. Many participants from the National Assembly, Central Steering Committee for the Ministry of Construction's Housing and Real Estate Market, national and international experts from different organisations, institutes and associations, as well as representatives from local communities attended the sessions. The policy dialogue focused on how to enable communities, especially the urban poor and vulnerable groups (including women, young people, migrants and disadvantaged people), in the housing process. The Constitution 2013 was made effective and the right to have a house was made legal.

Figure 94. Vietnam – Housing policy dialogue

At the municipal and community levels, Cities Alliance's outputs are being used to drive further outcomes

At the municipal level, the CDS was formulated in two cities. Throughout the project, Cities Alliance facilitated introductions to additional organisations, leading to a policy dialogue with ACHR which resulted in funding for a public housing dialogue.

In certain cases, projects require additional capacity and funding to continue

At the municipal and community levels, partners often lack the funding and capabilities required to drive existing outcomes. With regard to the CDS, there are no concrete implementation plans with secured funding or resources for follow-on work. Nor are there meetings planned or action plans for the future.

However, the strategy does have the potential to be recognised as binding by the government if it passes the Economic and Planning Board at the provincial level. Currently, the government sees the CDSs as non-statutory documents.

Replicability

Projects showed a potential for high replicability, however funding is required to scale outputs

Interviews and project documentation found that at the national level, the NUDS and NUUP were advocated to be internationally replicable; while at the municipal level, the CDS and CDF were mentioned to have high replicability potential across the country. The CDF Network established by the Country Programme has had success with knowledge sharing activities across the county. Relationships have been established, partnerships are taking place, and there is still an open dialogue. The network was recognised as an important initiative by the local municipalities, wards and national government, with a commitment to co-fund projects going forward. However, without further financial support to ACVN, it is unlikely that new cities will be able to join the existing network.

Partner credibility and reputation

Working with Cities Alliance has improved stakeholders' credibility and supported them with attracting additional funding and technical expertise. "We can now get more expertise and more human resources" (Vietnamese Ministry). All respondents reported that Cities Alliance contributed at some level to securing additional funding or staffing, with 59 percent and 58 percent citing a significant to very significant contribution, respectively.

Vietnamese stakeholders have also secured additional funding and partnerships with the private sector for upgrading urban infrastructure. For example, the Quy Nhon port industry supported the building of community centres; the local utility company co-funded street lamps; and a Korean organisation supported the painting of wall murals to attract tourists.

> " We don't want money – we want help! So Cities Alliance's approach was very effective "
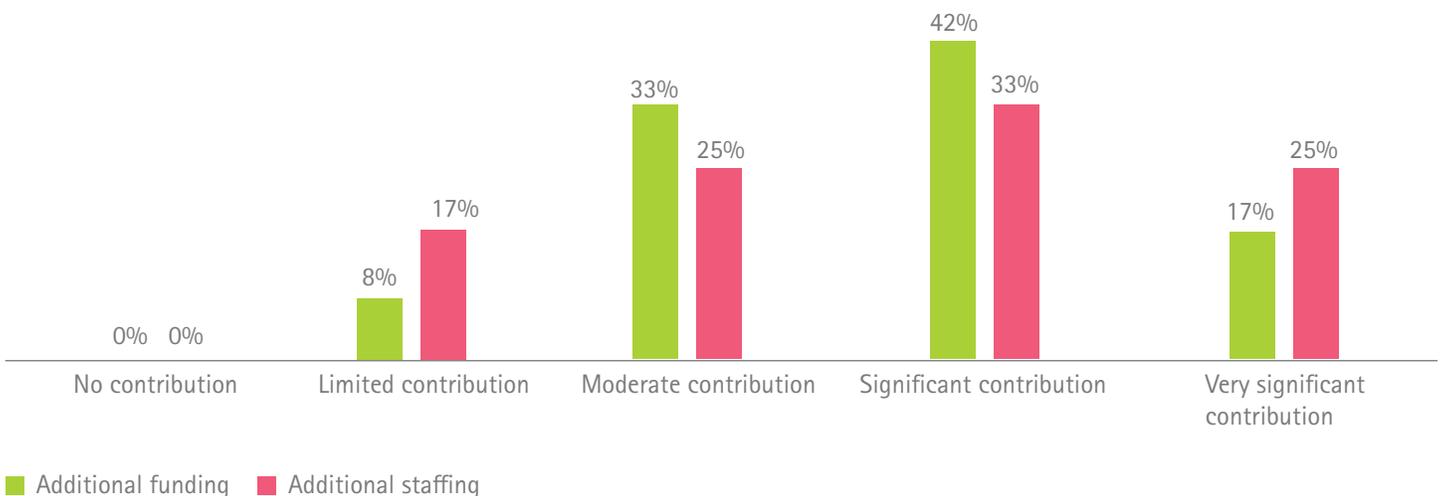>
> Vietnamese Ministry

> " The cities do not know how to realise the CDS "
>
> Vietnamese Ministry

Figure 95. Vietnam – Additional funding and staffing

Perception that Cities Alliance helped secure additional finding and staffing

- Additional funding
- Additional staffing

	No contribution	Limited contribution	Moderate contribution	Significant contribution	Very significant contribution
Additional funding	0%	8%	33%	42%	17%
Additional staffing	0%	17%	25%	33%	25%

Partnerships

Partner capabilities and collaboration

Country Programme stakeholders perceived that partners' capabilities were in place to deliver high quality outputs

Cities Alliance played a role in selecting implementation partners based on their expertise, on-the-ground capabilities and previous experience. 100 percent of survey respondents stated that the right member/partner capabilities were in place to deliver the objectives: "Partners and members had the capacity to deliver quality output and also advocacy for project outcomes" (Survey Respondent). The only exception was a grant for a training project by AMC and WBI.

Although the right partner capabilities were in place to deliver high-quality outputs, some projects suffered from

internal organisational changes, including a lack of sufficient handovers and clear ownership (for example, within ACVN and the Ministry of Construction). Projects further suffered from significant leadership turnover which caused delays, specifically within the CDS projects.

Sharing knowledge was common practice among partners and members in Vietnam, however, cross-project collaboration at the city level was more limited

85 percent of survey respondents said that they often or always shared knowledge with in-country stakeholders. Most members and partners reported that they shared information and transferred knowledge through workshops and forums. The VNCAP and The VUF were prime examples of forums where knowledge was shared with participating stakeholders.

> " Through the forum, cities voice and share what they've learned and that they will continue to work on. There is much more knowledge sharing and exchange now "
>
> Grassroots NGO

Figure 96. Vietnam - Knowledge sharing outside project

Perception that partners/members share knowledge with others outside their own project

Never share knowledge	Rarely	Sometimes	Often	Always share knowledge
0%	0%	17%	67%	18%
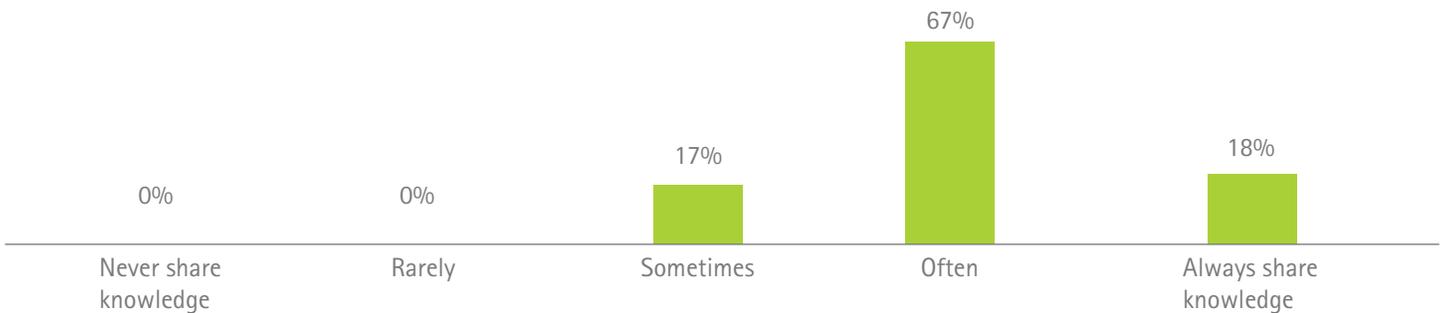
As part of the new CDF network, community members were also exposed to knowledge and experience through exchange visits in-country and elsewhere, on participatory processes and savings groups. Cities Alliance, UN-Habitat and ACVN helped build confidence in and empower community members.

Overall, projects took an inclusive and participatory community-based approach which helped to improve collaboration and community ownership. However, a stakeholder said that knowledge sharing was not always synonymous with effective collaboration, "It's not all about just sharing information it's about collaboration" (International NGO). Particularly at the municipal level, city leaders were encouraged to come together and coordinate their efforts as part of the CDS project. Cities were encouraged to review existing plans with peers. For example, the Economic and Social Plan and The Masterplan. However, despite efforts to bring the CDS cities together, it was found that there was limited collaboration between CDS participants in different cities, resulting in inefficiencies in developing similar outputs. Some perceived working groups as being too busy to participate in the collaboration processes. "They are so busy and it's not always so efficient" (People's Committee Vice Chairman, Vietnamese Municipality).

The high level of collaboration and knowledge sharing may have come at the cost of efficiency. Efficiency was reduced in terms of both timelines and decision-making due to increased participation which required additional coordination.

Platform for partnerships

There was evidence that the Country Programme provided a space for open dialogue where partnerships could be fostered, such as through the Vietnam Urban Forum, The VNCAP and CDF networks. Cities Alliance's promotion of multi-stakeholder participation contributed to the effectiveness of interventions at the national, municipal and community levels. It also helped strengthen cross-level collaboration and emphasized the importance of participatory mechanisms in sustainable urban development.

One of the key achievements with the Country Programme was an increased understanding of the importance of networking and partnership collaboration. Most partners knew each other before the Country Programme, however it added value by bringing structure and a common objective to the partnership.

At the municipal level, partnerships already existed between the business sector and the wards however, Cities Alliance and the Country Programme helped facilitate discussions with the business sector about job creation programmes and local environmental issues. Bringing the private sector closer to the cities' urban challenges was perceived as important to solving challenges more systematically and sustainably.

Despite Cities Alliance being recognised as an international knowledge carrier, there was limited sharing of learning with African Country Programmes. This may be due to the countries having different collaboration platforms (such as different forums, conferences, meetings, general ecosystems), but could also be partly due to language barriers and logistical complexities (for example, visas and travel costs).

"Cities Alliance has helped strengthen my capacity. I've built personal confidence.

We've learned a lot but new challenges come in. The more you understand, the more challenges you see and the more help you need "
Vietnamese Ministry

"If we were more active, we could have been more efficient. The engagement takes a long time but gives better chance for implementations. "
Vietnamese Ministry

"Actually we knew all the organisations already. But via this project and through Cities Alliance, the partnership is becoming closer and stronger. "
Development Director, Vietnamese Ministry

Conclusion

Relevance

- Cities Alliance worked closely with Vietnamese stakeholders to design a Country Programme that addressed the needs of the country. For example, the Government had begun to develop a "National Urban Strategy" and "Urban Development Plans Towards 2025." However, these needed technical support and resources to move from the planning to implementation stage.

- Cities Alliance played a role in harmonising the urbanisation efforts across projects. For example, the NUDS was synchronised with related World Bank activities, and with the subsequent follow-up for the NUDS development, funded by the Asian Development Bank and USAID .

- Overall, the Country Programme achieved greater collaboration and interdependency across the national, municipal and community levels; as well as among development partners. Strong connections between communities and municipalities were acknowledged.

- Cities Alliance acted as a catalyst, providing funding, coordination and technical assistance. Partners perceived that they had achieved better quality and faster results through the Cities Alliance than they would have had alone.

Effectiveness

- Vietnam has made major changes in how it sets long-term strategies—for the first time inviting a broad range of NGOs and donors to review drafts of its plans and strategies. Inclusive consultation in policy development has resulted in a shift from government ownership of national policies to national ownership.

- City Development Strategies CDSs) were created in two cities through community-based, participatory approaches. The CDS will be integrated into Vietnam's Socio-Economic Development Plan annually, or in five-year and 10-year plans, when approved at the provincial and city levels. CDSs are already being used for upgrading projects.

- Cities Alliance provided support to build capacity for management and implementation of the Community Development Fund in 20 new cities. Over the Country Programme, 45 community infrastructure projects were selected and implemented using a participatory approach, with an estimated total of 2,411 beneficiary households.

- All survey respondents stated that Cities Alliance strengthened the institutional and community capabilities either significantly or very significantly. A total of 2,100 people attended Country Programme training sessions.

Efficiency

- Cities Alliance created a participatory approach in-country, with forums that cut across all levels:
  - Vietnam Urban Forum (grew from 23 – 120 members)
  - Vietnam Cities Alliance Partners (VNCAP)
  - Steering Committee

- However, it was noted that inclusive participation and community ownership often took longer than government-controlled activities.

- With a strong Cities Alliance presence in the country, Vietnamese stakeholders had consistent programme management support. Partnership with UN-Habitat provided capacity for support, planning workshops, forming discussion groups, facilitating workshops, and following up on timelines.

- Funding and proposal processes were mostly seen as transparent, however, project starts were delayed due to lengthy approval processes. The average time from proposal submission to first disbursement of funds was 247 days. Significant delays were experienced during the organizational transition from the World Bank to UNOPS.

Sustainability

- National-level initiatives saw the greatest level of sustainability, with the World Bank, and ADB and USAID continuing with second phases of work on the NUDS and Mekong Delta Region Urban Upgrading Projects respectively. Both of these projects build upon the work completed as part of the NUUP project.

- At the municipal and community levels, the City Development Strategies are seen as non-statutory documents by the government. Although funding and capabilities are often lacking for partners to drive existing outcomes forward, they have succeeded in attracting additional funding and staff. For example, partnerships with the private sector to upgrade urban infrastructure.

- Projects showed a potential for high replicability. However, no implementation plans have been established, and replication would be entirely dependent on funding.

Partnerships

- All survey respondents stated that the right member/partner capabilities were in place to deliver on the objectives. However, projects suffered from internal organisational changes including a lack of sufficient handovers and significant leadership turnover.

- The projects took an inclusive and participatory community-based approach which helped to improve collaboration and community ownership. Eighty-five percent of survey respondent stakeholders said that Cities Alliance often or always shared knowledge with in-country stakeholders.

- The Country Programme provided a space for dialogue where partnerships could be fostered, and was recognised as a platform for partnership. Within the Programme, the CDF network was created, enabling cross-country partnership. Ten small and medium cities agreed to implement city-wide slum upgrading programmes. Cities Alliance also facilitated engagement with the private sector.

- The Vietnam Country Programme was less linked on an international scale than the African Programmes. No exchanges were organised by Cities Alliance with the other Country Programmes.

Cross Country Findings

Relevance

The Country Programmes were found to be relevant, responding to country priorities and demands

Although each Country Programme followed similar programming models, they were tailored to the context of each country. Cities Alliance worked closely with the national governments in Ghana, Uganda and Vietnam to design programmes that addressed the needs of each country where issues of urbanisation were acknowledged. For example, Ghana had a much more advocacy-based Country Programme, whereas the Uganda and Vietnam programmes were focused more on policy development. Cities Alliance funds were primarily used across projects to support national policies, local strategies and plans, citizen's engagement and capacity development.

All governments requested the Country Programmes and showed some level of commitment to the urban agenda. For example, Ghana and Uganda were undergoing decentralisation reforms from 2010 and onwards, meaning that local authorities had increased power to implement policy, but were struggling with the management of rapid urban population growth. They therefore requested support from Cities Alliance.

Cities Alliance played a notable role in bringing a bottom-up approach to urban development

In implementing the Country Programmes, Cities Alliance played a harmonising role across existing urbanisation efforts in the countries. The Country Programmes were found to bridge the divides between the vertical levels: communities, municipal and national governments. Cities Alliances' participatory approach helped enable grassroots community organisations to collaborate with national governments, empowering and providing them with a voice in the urban agenda. This approach was a new one in the selected countries. Significant success has been seen between the communities and municipal governments, where mistrust has been overcome and communities feel empowered to advocate for change with their local governments.

In-country partners' perception of Cities Alliance's support: technical assistance, coordination and international experience

Cities Alliance played a catalytic role in all countries. At an aggregate level, survey respondents indicated that the key areas of contribution—aside from funding—were the provision of technical assistance, coordination and international experience. An important differentiator in Ghana was the role that Cities Alliance played in facilitating advocacy programmes and therefore a shift in public mind-set and increased focus on urban issues. All partners in the three countries agreed that the same level of outputs over the same timeline could not have been delivered without Cities Alliance.

All projects were designed to achieve active citizenship, access to services and policy development

All projects were aligned to the three Cities Alliance objectives as set out in the Country Programme Frameworks. Slum dweller households in the impacted city areas were actively engaged in securing their rights and honouring their responsibilities through improved citizen's engagement and capacity development. The creation of effective and efficient inclusive urban development policies and strategies has helped improve the management of future urban growth, positively affecting the lives of slum dweller households nationwide. Furthermore, slum dweller households have improved qualitative and quantitative access to municipal services.

Of the 27 projects, grant funds were found to mostly be adequate. Where this was not the case, it was due to partner resourcing constraints in Ghana, and the scaling up of the Municipal Development Strategy in Uganda.

Effectiveness

Projects achieved objectives as defined in the Country Programme Framework

A total of 87 percent (122 out of 140) of project activities were completed across four areas: National Policies, Local Strategies and Plans, Citizen's Engagement and Community Development.

All countries have developed inclusive National Urban Policies

All three countries now have a National Urban Policy[96]. In all cases, national policy projects incorporated participatory approaches, grassroots involvement and government ownership. Urban organisations now have greater access to some government information, and the involved governments have access to community data. In Uganda, regional and sector-specific consultative workshops took place while building the National Urban Policy (NUP). As a result, the NUP addresses key issues faced by all levels such as urban poverty, urban service delivery, rural-urban migration, economic growth and regional balance[97]. Furthermore, there is room for continuous improvement of the policies, for example, to include food security and gender issues[98]. In all instances, the NUP has been disseminated both locally and internationally. For example, Ghana's NUP influenced the preparatory work for the 2016 UN Habitat III conference in Quito, Ecuador. The processes developing the policies varied to different extents per country, and the capacities of local partners was found to be a key determining success factor. For example, in Ghana, the UDU suffers from technical and resource constraints, and lacks a mandate from the government to implement the policy as it has not obtained a directory status yet.

Vietnam and Uganda have effectively developed Municipal Development Strategies and forums in 16 municipalities

City/Municipal Development Strategies (CDSs/MDSs) have been developed in Vietnam and Uganda to proactively plan and prepare cities to sustainably accommodate future urban development, plan strategically, profile communities, and build priorities based on the enumeration processes. In Vietnam, the creation of the "City Development Strategy" in Tam Ky and Quy Nhon, led by UN-Habitat in partnership with municipal authorities, was facilitated as a bottom-up approach, with close community and municipal authority links. This varied slightly in Uganda, where the "Municipal Development Strategy" was coordinated directly by the Ministry of Local Government. Furthermore, the approach in Uganda was found to be more reactive, and engagement with communities was less significant than in Vietnam. In both cases, the strategies are being used by local governments and taskforce teams. In Vietnam, the aim is to integrate the strategies into a five- to 10-year plan, however this has not yet been institutionalised.

Increased citizen's engagement has contributed to a shift in public mind-sets

Cities Alliance helped create an environment where the urban poor have opportunities to be heard by some of the national and local political authorities. In addition, it leveraged and supplemented on-going partner initiatives to increase citizen's engagement and scale impact. At the community level, projects (with implementing partners) initiated additional savings groups in slum areas, and established networks both within, and across, municipalities. Participation and empowerment increased, with citizens able to engage in other areas of urban development, such as municipal and national forums. With support from Cities Alliance and SDI, communities were able to profile themselves and report on their own data. Effective community contracting was also encouraged as part of the programmes, and saw the highest level of success in

Uganda, where it has been sustained, scaled, and is regularly used in other projects (for example in the World Bank USMID programme). Conversely, in Vietnam, although communities felt that there was open communication with municipal officials, community profiling was led and run by ACHR, meaning that complete community ownership of their data was not facilitated. Community Upgrading Funds (CUFs and CDFs) were established in all three countries. In Vietnam, the CDF and municipal strategy were found to be closely linked and operationalised.

All the Country Programmes have contributed to fostering public awareness around urban resilience. In Ghana, in particular, there has been increased dialogue as a direct result of the radio programmes, "Fixing the Urban Mess" and "Our City". With CitiFM being the third most listened to radio station in the GAMA region, radio presenters have seen a shift in the mind-sets of their listeners. Public opinion has shifted away from slum evictions towards in-situ upgrading, and the public feel they have a voice to engage in debate around the gravity of urban challenges. However, in all three countries there is still work to be done to prevent evictions of slum areas occurring.

Cities Alliance has strengthened capabilities, and has encouraged knowledge exchange at a local and international level

Through forums and learning initiatives, Cities Alliance has increased capacities in-country. In Uganda, a highlight was the university exchange programmes between Makerere University and selected municipal governments. In Ghana, the Institute of Local Government Studies initiated courses and curricula to increase local partners' awareness of urban challenges. Leaders at all levels were able to become spokespeople for urban development, for example, with President Manama championing the African continental urban agenda. In Vietnam, a total of 2,100 attendees to Country Programme training sessions was recorded, and when surveyed, all indicated that the institutional and community capacities had been strengthened significantly to very significantly.

Efficiency

The Country Programmes were participative and created space for dialogue, however, they were dependent on partner resources

Cities Alliance encouraged inclusive participation and dialogue creating a space for dialogue. This participatory approach has been readily adopted and disseminated within the countries—except in Ghana where the steering committee was found to be ineffective. Each Country Programme created three governance mechanisms:

- National Urban Forums.
- Country Programme Steering Committees.
- Advisory Groups.

Programme management support was most efficient where Cities Alliance had in-country consultants and focal points

Cities Alliance played a strong in-country coordination role in Vietnam to support programme management; something the Ghana and Uganda Country Programmes did not receive until 2013. In Ghana and Uganda, Cities Alliance was perceived to be an expert and facilitator, rather than coordination, organisation. In Vietnam, however, the presence of a Cities Alliance resource in-country led to more streamlined programme management and facilitated improved collaboration.

Transparent, but long funding and proposal processes

Funding and proposal processes were mostly seen as transparent, however, the shift from The World Bank to UNOPS may have slowed proposal processes due to having to learn new systems and the need to redevelop grant legal arrangements. In the initial phases of the Country Programmes, when the collaborative approaches were not yet mature, it was found that a greater sharing of information may have allowed communities to hold municipal authorities accountable. For example, in Uganda the communities could perhaps have taken greater levels of ownership if more information around the MDF objectives and budgets had been shared in the initial phases[99].

Sustainability

The legacy and ability of projects to continue may suffer from a lack of funding and capabilities

Without a plan for securing funding, building additional capacities or identifying appropriate partners to work with, the momentum generated by Cities Alliance (at the municipal and community levels) is likely to fade.

National level. Outputs are in the process of being institutionalised. Further funding is not required (for example, the continuation of forums). However, ministries need additional capacity development support (such as the MOC and the UDU). In Vietnam, further raising of awareness is needed at the provincial level (as it was not included in the scope of the Country Programme).

Municipal level. At the municipal level funding and capabilities are often lacking for partners to drive outcomes forward. While the municipal development strategy has been institutionalised in Ghana, funding is needed for the strategy to be implemented. In Vietnam and Uganda, the municipal/city development strategies are going through statutory reviews (as of the end of 2016).

Community level. Strong systems and mechanisms have been implemented, but local partner organisations need funding to scale and continue. The Community Upgrading Funds in each country need additional funding from international organisations and/or the private sector to continue in the long-term. For example, interviewees in Ghana had no plans to refresh profiling data, which means that the data will soon be outdated and insufficient. In Vietnam, there is no available funding for new cities to join and thereby scale the network and impact.

Overall, capabilities developed in-country have not yet been fully institutionalised. This has been noted in Ghana, where high staff turnover in the UDU has contributed to institutional weakening.

In Ghana, Uganda and Vietnam, Cities Alliance-funded initiatives have directly informed and provided support to

more than US$500 million in planned infrastructure investment from the World Bank[100]. Furthermore, building on the technical groundwork laid by the Country Programmes, there have been some direct follow-up investments by Country Programme partners in the countries.

Cities Alliance Country Programmes and projects are replicable

Many elements of the Country Programme approach are replicable, for example, the National Urban Policies, Municipal Development Strategies, Forums and Funds, training materials, and community profiling and saving processes. 87 percent of survey respondents stated that their projects have the potential to be replicated or transferred to other areas. In some cases, this has already been done. For example, the Municipal Development Forums in Uganda were scaled up from five cities to 14, and used directly as part of the World Bank USMID project, to allow for community participation in investment decisions. In addition, Ghana has initiated a Municipal Urban Forum similar to the MDF in Uganda.

Cities Alliance has increased partner reputation and credibility

Working with Cities Alliance provided partner organisations and recipients with strong credentials they can use to take the work forward. At the international level, partners leveraged experience from the Country Programmes to initiate projects in other countries. For example, ACC used Cities Alliance's work as a credential to initiate its "State of Cities Report" project in Malawi. At the municipal level, the profiling data and reputation built within People's Dialogue in Ghana, has enabled People's Dialogue to secure funding and partnership for a new UNICEF WASH programme. Similarly, in Uganda, Makerere University is working with local governments to start new projects, for example, with UN-Habitat.

Partnerships

Partner relationships were strengthened

Although in-country partners had already worked together or knew of each other, Cities Alliance strengthened these relationships by introducing a new collaborative approach. This was evidenced in the 673 forum meetings that were held across the three countries. Cities Alliance attempted to link in-country projects and partners together, for example, the NUUP and NUDS projects in Vietnam. The separate projects that formed the Country Programme were also designed in a sequential manner to help catalyse outputs. This was successful to varying degrees, with the highest level of interdependency between projects found in Uganda, and areas of improvement also noted in Ghana. This interdependency may have been attributable to programme design, Cities Alliance staff turnover, and

delays in timelines or limited local partner capacity to coordinate initiatives. Within organisations themselves, Cities Alliance also helped strengthen implementing partner capacities.

Cities Alliance is largely viewed as a platform for partnership

Cities Alliance helped strengthen partnerships in-country, with the largest successes seen at the vertical level between grassroots communities and governments. In Vietnam, there was notably less horizontal-collaboration between partner organisations than in Ghana or Uganda, for example, between cities and universities. At the city level, different municipal agencies were also found to be siloed, however, these silos broke down over the course of the programmes due to the cross-silo thinking and alignment nature of urban challenges.

Collaboration and knowledge sharing

Through participatory initiatives and forums, there was evidence of knowledge sharing. On an international scale, learning exchange occurred across countries. Figure 97 shows how stakeholders interacted and collaborated internationally, attending conferences, organising exchange visits, going on field trips and so on. Moreover, the exchanges were not only with countries that are part of the Cities Alliance Country Programmes, but also to a broader extent.

As the above picture shows, Vietnam remained siloed without any international exchanges.

Overall, it is evident that Cities Alliance has a global footprint and leverages its international knowledge during the Country Programme to support programme stakeholders.

Figure 97. International exchanges

Conclusion

The Cities Alliance Country Programmes responded to country priorities and demands; achieved their objectives to improve active citizenship, access to services and develop national and local policy; enabled participatory ways of working through mechanisms and forums; provided programme management support; and in some cases, linked countries and projects with international funding to continue.

In all three programmes, Cities Alliance worked closely with local governments and partners to design the work. The evaluation found that the key contributions from Cities Alliance (other than funding) centred on the provision of technical assistance, coordination support and international experience. Partner organisations agreed that the same level of outputs, over the same timeline, could not have been achieved without the support of Cities Alliance.

87 percent of all project activities were completed and achieved the objectives defined in the Country Programme Framework. All three countries are now in possession of an inclusive National Urban Policy. Uganda and Vietnam have developed effective Municipal Development Strategies that are undergoing institutionalisation. Municipal Resilience Plans for the metropolitan areas in GAMA are being finalised; citizen's engagement has increased through savings groups, urban forums and slum profiling exercises; and the urban poor now have opportunities to be heard at the political level. Local capacity has also been enhanced through partnering, knowledge sharing and exchange; with a total of 102 different learning initiatives having occurred at all levels.

All Country Programmes were found to have appropriate structure and management capabilities in place to deliver objectives. Cities Alliance helped enable a participatory approach in each country by initiating several governance mechanisms and forums that spanned community, municipal and national levels. Programme management support and coordination was also provided, and found to be most efficient where Cities Alliance hired a local consultant for the duration of the programme. Inefficiencies were found where a local partner was selected to play a coordination role, and did not always have the capacity to deliver, for example, in the Ghana Country Programme. Funding and proposal processes were mostly seen as transparent, however the shift from The World Bank to UNOPS in 2013 may have hindered proposal processes. In general, the proposal processes were lengthy, with the average time from proposal submission to the first disbursement of funds taking 249 days.

With regards to sustainability, it was found that the continuation of results and outcomes may suffer from a lack of funding and capabilities in-country. In many cases, stakeholders had not secured partners or additional funding to continue. Projects were found to be most sustainable where follow-on funding and synergies with other large international programmes had already been secured in the duration of the Programme. The replicability of the mechanisms and projects in the Country Programme is high. However, stakeholders indicated that replication in all cases is reliant on in-country funding and capacities. 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.

In all countries, 100 percent of stakeholders acknowledged that Cities Alliance helped establish a platform for partnership. Cities Alliance also helped strengthen existing in-country relationships by enabling collaborative and participatory ways of working. Cities Alliance played a significant role in connecting communities and grassroots organisations to municipal and national governments, encouraging community contribution and empowerment, as well as developing trust. Cities Alliance further facilitated partnerships and exchanges on an international scale (although Vietnam has remained siloed from this interaction). In Ghana, Uganda and Vietnam, Cities Alliance is acknowledged as a global leader in urban development, poverty reduction and the promotion of sustainable development in 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

> " We still need Cities Alliance because they opened our eyes and the ears of the government "

Grassroots Federation

Recommendations

As the Bill and Melinda Gates Foundation funding closes, Cities Alliance should to take concrete steps to sustain the groundwork, momentum, knowledge, and leading practices established during the Country Programme in Ghana, Uganda and Vietnam.

There is more to be done to capitalise and build upon Cities Alliance's catalytic role in the countries.

Cities Alliance has an opportunity to advance its Country Programmes after completion of the first phases at the end of 2016. There is evidence that once a country has benefited from a Cities Alliance Country Programme, the local and international community tends to value its urban agenda, advocate for it, and invest in it. However, the path ahead for funding is unclear. Cities Alliance should take a leading role in encouraging donors and in-country stakeholders to prioritise and co-fund additional phases to address further urban challenges that arise. Cities Alliance should also provide guidance for its local partners and members on how to secure additional funding and how to further develop knowledge by leveraging the momentum generated during the Country Programmes.

Table 12. Context and recommendations

	Context/challenges raised by final evaluation	Recommendations/actions
Relevance		
Perform detailed country review	Cities Alliance performs a needs analysis, portfolio mapping, and diagnostic assessment before developing a Country Programme. However, Cities Alliance could approach the country review more systematically to ensure a consistent methodology and regular updates. Further structure could also be added to ensure the inclusion of all relevant levels. For example, in Vietnam, the provincial level was originally out of scope, which may have hindered the institutionalisation of municipal strategies.	• Strengthen the detailed country review ahead of Country Programme design and implementation. • Continue to build on successful projects and relationships already in place in the selected countries. • Ensure all relevant institutional levels are included in the design of a Country Programme (for example, the provincial level).
Sequence and connect projects in the programme design	Creating and delivering well-sequenced, interlinked projects within the Country Programmes was proven to be challenging due to an ever-changing environment with new stakeholders and country issues. In Uganda, strong programme design and sequencing led to benefits in project effectiveness and efficiency. For example, communication and collaboration at the community level was found to have improved, which can be attributed to specific community engagement initiatives such as the MDF and MDS. These projects were initiated once the municipal capacity development projects had taken place. Alternatively, in Ghana, the programme suffered from a lack of sequencing and preparation. As an example, there were delays in the Country Programmes as radio programmes had to come first to build awareness of urban challenges before the other projects were implemented.	• Conduct detailed programme design ahead of implementation. • Ensure detailed sequencing of projects before implementing. • Strengthen interdependency of projects. • Enforce quality assurance measures and risk mitigation strategies throughout the programmes. • Plan for strong programme management, including communication strategies.
Adapt the approach to address new challenges	Cities Alliance tried to maintain its flexibility to address arising urban challenges by working closely with partners to adapt projects continually. However, in future, increased earmarking of funds may hinder organisations' agility to tackle new issues. Environmental and gender-based issues that came to the forefront through the Country Programmes could have been incorporated more coherently into project and programme designs and outcomes to increase the reliance of the programmes.	• Address new challenges that may arise on an ongoing basis. • Work with partners to brainstorm new approaches to urban challenges; and incorporate these into the Country Programme on an ad-hoc basis. • Allocate budget lines to new challenges, for example, to improve capacity development and secretariat support functions.

	Context/challenges raised by final evaluation	Recommendations/actions
Effectiveness		
Select Best-For-Purpose partners	One challenge raised in the evaluation occurred when organisational cultural differences between partner organisations and recipients existed. For example, in Ghana, two organisations were required to complete common projects, but due to different managerial and collaborative ways of working, both the process and completion of the deliverables was challenging at times. Programme successes were captured where Cities Alliance had identified and mitigated organisational mismatches in the early phases of the work.	• Conduct fit-to-partner assessments as part of the Country Programme design. • Ensure best fit in organisational cultures between partner organisation and recipients. • Develop coordination and performance management capabilities in local partner organisations where needed. Ensure, or develop, partner "convening power" in the sector.
Develop in-country capacity	Cities Alliance has played a strong role in building capacity across the Country Programme at the national, municipal and community levels by holding learning and training events across the three countries. To institutionalise the learnings, Cities Alliance should consider setting funding aside for capacity development initiatives which focus specifically on implementation, output and learning dissemination.	• Continue focus on local capacity development across the national, municipal and community levels in urban planning and management. • Continue to institutionalise knowledge through train-the-trainer sessions and toolkits. • Continue to develop capacities and knowledge around strategy implementation, dissemination of outputs, and lessons learned.
Efficiency		

Ensure Cities Alliance presence on the ground	Vietnam and Uganda saw the greatest level of programme management support and coordination as there was a dedicated Cities Alliance presence on the ground for the duration of the programmes. It was also noted that programme management support in Ghana suffered when supported by a local partner with limited capacity, and improved when Cities Alliance was in-country. Cities Alliance may benefit from having a local office on the ground, with additional staff members to oversee the Country Programme. Cities Alliance could play both the coordinator and implementer roles related to programme management, thereby having greater ownership and control of the progress.	• Ensure Cities Alliance presence on the ground by locating a Cities Alliance programme office and local resources in-country for the duration of the Country Programme. The resource should:
		  – Be familiar with the local context, and have convening power with local stakeholders.
		  – Facilitate interdependencies and communication between projects.
		  – Facilitate knowledge sharing activities between partners and Cities Alliance.
		  – Provide technical assistance and support with proposal development and grant making activities to ensure streamlined timelines.
		
		• Cities Alliance may want to consider implementing projects directly on behalf of the partnership where the Secretariat has greater capabilities and/or more control, and steering is needed.

Improve grant mechanisms	With the shift from the World Bank to UNOPS, new processes came into place, which caused delays in the grant making processes. The average time to disbursement of funds across the Country Programmes was 249 days, which could be reduced by support from in-country proposal development resources and by improving process efficiency.	• Identify additional mechanisms to improve the grant making process so that delays do not hinder the programme flow and sequencing of projects, and to reduce the days spent on managing grants. • Ensure on-the-ground proposal development support for partners to reduce the lead time from proposal submission to approval. • Ensure continuous, clear lines of communication with the Secretariat.

	Context/challenges raised by final evaluation	Recommendations/actions
Sustainability		
Implement long term programmatic approach	It was found in all countries that the legacy and ability of projects to continue may suffer from a lack of funding and capabilities. At the outset, securing additional funding for partners was not an objective of the Country Programmes. However, it may be beneficial in future planning for Cities Alliance to devote time to helping local partners secure additional funding streams.	• Implement long-term programmes and seek additional funding for partners. • Initiate a donors' roundtable and/or collaborate with partners to identify projects with significant potential for impact and scalability. • Provide additional support for domestic partners to gain capital. • Support local partners to secure or match partners and/or funding to continue with projects and outcomes. Focus this search on local partners who are more likely to sustain involvement in the country, including the private sector. • Provide funding support for periods between preparation and planning activities and their implementation.
Streamline monitor & evaluation processes	Cities Alliance's Corporate Scorecard was developed in 2013 after the design of the Country Programmes. The scorecard was implemented to streamline results management and reporting across the country programmes. Prior to 2013, monitoring and evaluation processes were not integrated into the original project plans.	• Continue to streamline monitoring and evaluation processes across the portfolio. • Use the evaluation framework as a baseline for future comparative evaluations and to support rationalisation and the streamlining of indicators. • Collaborate with partners to monitor outcomes on an ongoing basis. • Streamline and coordinate with implementing organisations to capture additional metrics per the donor's log frame. • It may be viable to track additional metrics, such as follow-on funding (the "multiplier effect") that partner may organisations have received as a result of the Country Programme. However, this may increase transaction costs.
Partnerships		
Engage partners outside Cities Alliance	In all countries, Cities Alliance primarily engaged with the partners that participated in the Country Programme without looking for additional partners. As new stakeholders in the urban space arise and new funding streams occur, an annual review and inclusion of additional partners and donors could potentially yield further synergies, including additional funding and greater impact. Up until 2015, Cities Alliance did not have a Partnership Strategy. Applying their strategy, Cities Alliance can emphasise the importance of being agile and play "a horizon scanning and connecting role to take advantage of the current window of opportunity, access available funds relevant to its mission and promote the role of cities in sustainable development"[101].	• Engage with partners and the private sector outside of the Country Programme and outside Cities Alliance's membership base. • Implement an annual review of urban initiatives within the country to regularly look for synergies and leverage additional investments and potential partnerships. • Continue to engage in strategic initiatives with a wider impact, such that national urban policies inform the strategies and plans in the country at the national, municipal and community levels.
Engage the private sector	There is evidence that those projects within the Country Programme that engaged the local private sector had increased sustainability. For example, community contracting in Uganda has led to cost reductions and improved community accountability. Additionally, partnerships with the private sector in Vietnam has led to additional funding for upgrading urban infrastructure.	• Engage the private sector in the design and implementation of the Country Programme. • Develop local partner capacities to encourage partnerships with the private sector.
Increase knowledge sharing	It was found that local capacities were developed through partnering, knowledge sharing and exchange. However, efficient and formal knowledge sharing processes were not fully in place, which may have led to stakeholders developing tools and frameworks without tapping in to pre-existing knowledge. Additionally, Vietnam was not connected to other international Cities Alliance Country Programmes and therefore, did not benefit from global learning exchanges.	• Increase knowledge sharing across partner organisations. • Continue to encourage knowledge sharing on an international basis via Task Managers, conferences, city exchanges and forums. • Build a knowledge management system to more easily share frameworks and toolkits. • Include tools from other Cities Alliance programmes and business lines into the Country Programmes.

Appendices

Appendix 1 – List of abbreviations

ACHR: Asian Coalition for Housing Rights

ACVN: Association of Cities in Vietnam

AMCC: Association of Managers for Construction and Cities

Cities Alliance: Cities Alliance

CDF: Community Development Forum

CDS: City Development Strategy

CP: Country Programme

CUF: Community Upgrading Fund

DFID: Department for International Development

ESMAP: Energy Sector Management Assistance Programme

FCA: Future Cities Africa

GAMA: Greater Accra Metropolitan Area

GCDDF: Government's Community Driven Development Fund

GIZ: Deutsche Gesellschaft für Internationale Zusammenarbeit

GLTN: Global Land Tool Network

GoG: Government of Ghana

GWCL: Ghana Water Company Limited

HFHI: Habitat for Humanity International

ICMA: International City/County Management Association

IEC: Information, Education and Communication

ILGS: Institute of Local Government Studies

IO: Intermediate Outcome

LIUC: Low Income Urban Community

LSC: Land, Services and Citizenship

MCs: Municipal Councils

MDF: Municipal Development Forum

MDP: Municipal Development Partnership

MDRUP: Mekong Delta Region Urban Upgrading Project

MDS: Municipal Development Strategy

MLG: Ministry of Local Government

MLHUD: Ministry of Land, Housing and Urban Development

MMA: Metropolitan/Municipal Assembly

MOC: Ministry of Construction

MLGRD: Ministry of Local Government and Rural Development

MOU: Memorandum of Understanding

MTS: Medium Term Strategy

NIMCOSS: Nimba Community Support Services

NSDFU: National Slum Dwellers Federation of Uganda

NTNU: Norges Teknisk Naturvitenskapelige Universitet

(Norwegian University of Science and Technology)

NUDS: National Urban Development Strategy

NUF: National Urban Forum

NUP: National Urban Policy

NUPWG: National Urban Policy Working Group

PDHS: People's Dialogue on Human Settlements

PMC: Project Management Committee

PPD: Proposal and Project Database

PPIAF: Public Private Infrastructure Advisory Facility

RIAP: Revenue Improvement Action Plan

SDI: Shack/Slum Dwellers International

SGCP: State of Ghanaian Cities Project

STDM: Social Tenure Domain Model

STMA: Sekondi-Takoradi Metropolitan Area

SUPO: Settlement-level Urban Poor Organisation

TOR: Terms of Reference

TSUPU: Transforming Settlements of the Urban Poor in Uganda

UAAU: Urban Authorities Association of Uganda

UDA: Urban Development Agency

UGX: Uganda Shilling

UN-Habitat: United Nations Human Settlement Programme

UN-Habitat: United Nations Human Settlements Programme

UNUF: Uganda National Urban Forum

URCI: Uganda Resilient Cities Initiative

USMID: Uganda Support to Municipal Infrastructure Development

VIAP: Vietnam Institute of Architects and Planners

VUF: Vietnam Urban Forum

VUUP: Vietnam Urban Upgrading Programme

WB: World Bank

WUF: World Urban Forum

Appendix 2 - Glossary

Assembly – The Assembly comprises Full Members and Associate Members of the Cities Alliance, and is the sovereign body of the organisation. The Assembly provides leadership and overall direction for the Cities Alliance, and deliberates on sustainable urban development and related issues.

Board – To discharge its duties more effectively, streamline decision-making procedures and provide oversight and guidance of Secretariat operations, the Assembly appoints a Management Board. The Management Board is accountable to the Assembly and provides operational oversight to the Cities Alliance.

Secretariat - The Secretariat, located in Brussels, Belgium, carries out the Cities Alliance Work Programme and manages its day-to-day operations. A primary function of the Secretariat is to actively facilitate the participation of members in the activities of the organisation. It also provides appropriate services to its Members, and generally facilitates the work of the partnership.

Member organisation – Cities Alliance is a partnership of bi-lateral and multi-lateral development agencies, governments, non-governmental organisations, international associations of local authorities, foundations, private sector companies and knowledge institutions. Members are organisations formally affiliated to the Cities Alliance through financial contributions to the Cities Alliance There are two types of Membership: Full and Associate.

Partner organisation – Partners are non-Assembly Members and may include cities, national associations of local governments, national governments, civil society organisations, NGOs, university and research institutes, private enterprises, etc. They may receive funds and implement projects.

Projects and grants - Cities Alliance provides grants for technical assistance in urban development for instance in support of city development strategies, citywide and nationwide slum upgrading, and national policies on urban development and local government. The Cities Alliance Secretariat does not typically implement the projects it funds, drawing instead on the existing capacity of Alliance members. In-country work is managed through local consultants, the regional operational units of Cities Alliance members, other multilateral and bilateral partners, and existing global and regional partnership programmes.

Task Manager – The secretariat designates a Task Manager to oversee each Cities Alliance funded activity, in consultation with the implementing agency. The task manager is responsible for ensuring that all appropriate procurement, supervision and reporting procedures are complied with.

Vertical levels – This evaluation has defined 'vertical' levels as the national, the municipal and the community levels in country.

Horizontal levels – This evaluation has defined 'horizontal' levels as between the member / partner organisations in country.

Slum upgrading - Urban upgrading is broadly defined as physical, social, economic, organisational, and environmental improvements undertaken cooperatively among citizens, community groups, businesses, and local authorities to ensure sustained improvements in the quality of life for residents.

Informal Settlements - Informal settlements are residential areas where 1) inhabitants have no security of tenure vis-à-vis the land or dwellings they inhabit, with modalities ranging from squatting to informal rental housing, 2) the neighbourhoods usually lack, or are cut off from, basic services and city infrastructure and 3) the housing may not comply with current planning and building regulations, and is often situated in geographically and environmentally hazardous areas.

National Urban Policy - A National Urban Policy is a coherent set of decisions derived through a deliberate government-led process of coordinating and rallying various actors for a common vision and goal that will promote more trans-formative, productive, inclusive and resilient urban development for the long term. As such a National Urban Policy is often an interactive process.

Municipal / City Development Strategy - A City Development Strategy is an action-plan for equitable growth in cities, developed and sustained through participation, to improve the quality of life for all citizens. The goals of a City Development Strategy include a collective city vision and action plan aimed at improving urban governance and management, increasing investment to expand employment and services, and systematic and sustained reductions in urban poverty.

Municipal Development Forum – These are forums where organised urban poor, local government, service providers, private sector and other stakeholders meet on a regular basis to exchange views, debate priorities and agree on common actions. They are convened and supported by the municipal local authorities as the secretariat, with rotating chairing between the different stakeholders constituting the forum management body. The Forum is a basic institution that will inform pro-poor approaches to urban development at the municipal level which implies significant representation from the communities of the urban poor in all such forums.

Community Upgrading / Development Fund - CDF is a financing mechanism for community infrastructure projects that promotes a community-driven approach to pro-poor urban development planning and management in partnership with government agencies and other stakeholders. The main characteristics of CDF are: Voluntary participation of urban poor communities in community-managed saving groups; Coordination between different organisations and different sources of funding for urban poverty reduction by setting up and management of CDF with community participation at city level with support of city government; and Community-led processes and projects (initiation, implementation, management) across all CDF activities.

Appendix 3 - Satisfaction levels

Appendix 3.1 Ghana Satisfaction Levels

Satisfaction levels

Chart with categories: Not satisfied at all, Small extent, Moderate extent, Large extent, Very large extent

- Not satisfied at all: 0%, 0%, 0%
- Small extent: 12.5%, 25%, 12.5%
- Moderate extent: 25%, 25%, 12.5%
- Large extent: 37.5%, 25%, 50%
- Very large extent: 25%, 25%, 25%
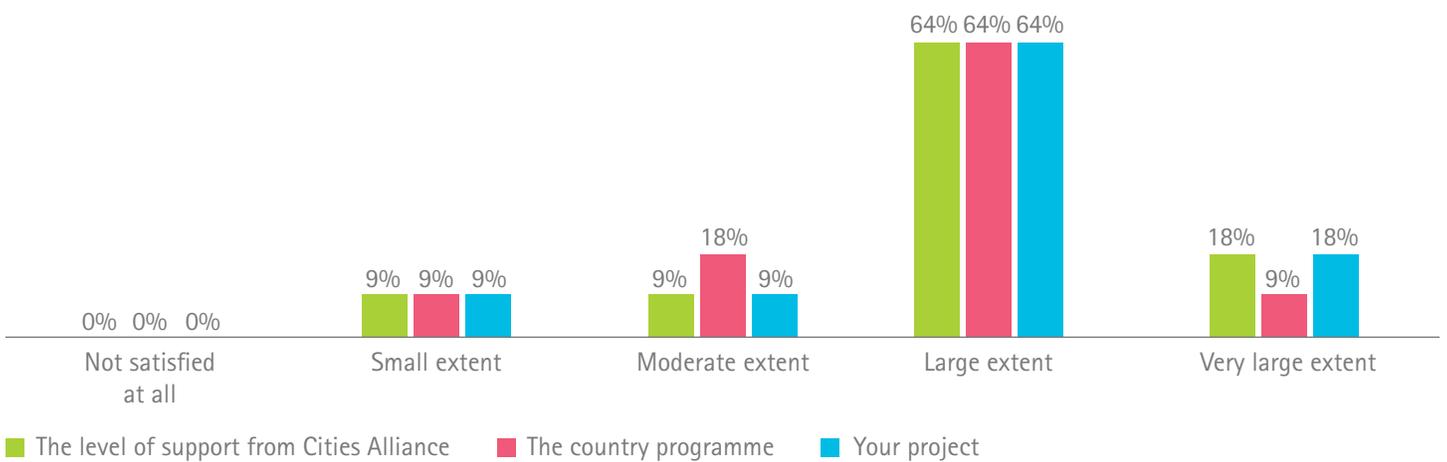
Legend: The level of support from Cities Alliance | The country programme | Your project
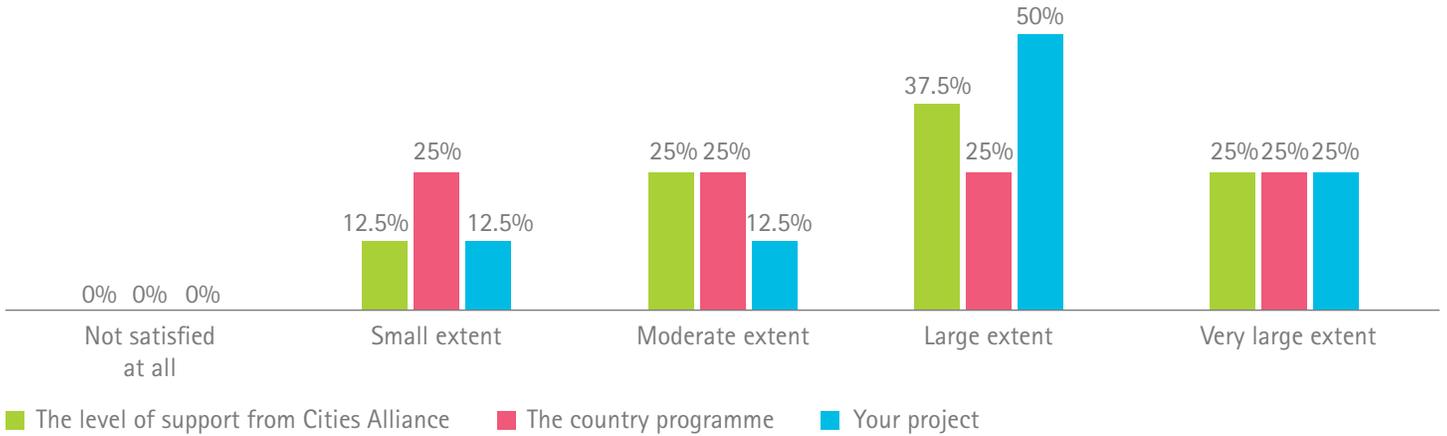
Appendix 3.2. Uganda Satisfaction Levels

Satisfaction levels

Chart with categories: Not satisfied at all, Small extent, Moderate extent, Large extent, Very large extent

- Not satisfied at all: 0%, 0%, 0%
- Small extent: 9%, 9%, 9%
- Moderate extent: 9%, 18%, 9%
- Large extent: 64%, 64%, 64%
- Very large extent: 18%, 9%, 18%

Legend: The level of support from Cities Alliance | The country programme | Your project

Appendix 3.3. Vietnam Satisfaction Level

Satisfaction levels

Chart with categories: Not satisfied at all, Small extent, Moderate extent, Large extent, Very large extent

- Not satisfied at all: 0%, 0%, 0%
- Small extent: 0%, 0%, 0%
- Moderate extent: 33%, 25%, 25%
- Large extent: 33%, 46%, 46%
- Very large extent: 33%, 29%, 29%

Legend: The level of support from Cities Alliance | The country programme | Your project
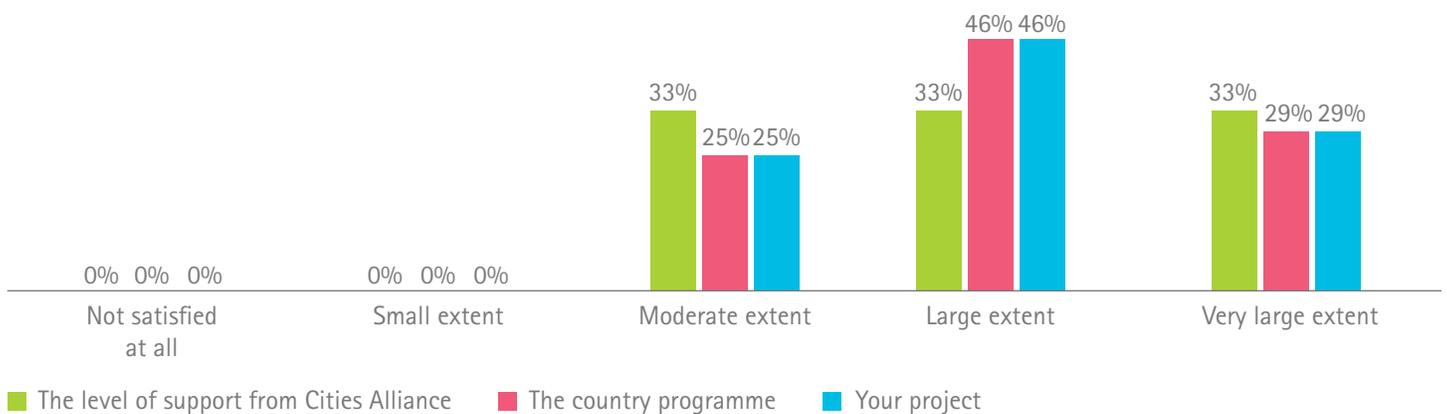
Appendix 4 – The initial evaluation framework and indicators

Relevance

A: Did the projects respond to external priorities and did they align to Country Programme objectives?

Relevance			
Key Questions	ID	Indicator	Source
External – Did the project respond to external priorities?	1	Members/partners who have demand/request for Cities Alliance Country Programmes	Survey
	2	Qualitative: Members/partners' perception that the programmes aligned with existing priorities at national, local and community level	Survey, Interviews
	3	Qualitative: Members/partners' perception that the programme played a role in harmonising & coordinating existing efforts/interventions	Survey, Interviews
	4	Qualitative: Perception that the members/partners could have independently delivered similar outputs without Cities Alliance	Survey, Interviews
Internal - Did the projects align to Country Programme Objectives?	5	% of projects objectives indicating a priority to be addressed	Project Reports
	6	% of projects with defined target outputs	Project Reports
	7	% of projects with defined target outcome statements	Project Reports
	8	% of projects with objectives aligned to objectives in the Country Programme's Framework	CP Framework, Project Reports, Interviews
	9	Qualitative: Perception that the grant funds were adequate to address the objectives as defined in the Country Programme Framework	Interviews

Effectiveness

B: Did the projects achieve their objectives as defined in the Country Programme Framework?

Key Questions	ID	Indicator	Source
Effectiveness			
What outputs did the project deliver?	10	Members/partners who have demand/request for Cities Alliance Country Programmes	Project Reports
	11	Qualitative: Members/partners' perception that the programmes aligned with existing priorities at national, local and community level	Project Reports
	12	Qualitative: Members/partners' perception that the programme played a role in harmonising & coordinating existing efforts/interventions	Project Report, Survey
	13	# / types of Cities Alliance learning events/trainings	Project Reports
	14	# / type of projects approved by the Community Upgrading Funds	Project Reports
	15	Qualitative: Case Studies highlighting how outputs have been used	Interviews
	16	Qualitative: Perception that the members/partners could have independently delivered similar outputs without Cities Alliance	Project Reports
Did the project build capacity?	17	# of projects that include capacity-building activities at the national, local and community levels	Project Reports
	18	% of member/partner organisations who believe that Cities Alliance has helped them secure additional funding/staff for programming	Interview, Survey
	19	% of members/partners indicating that Cities Alliance-funded activities facilitate collaboration with in-country stakeholders	Survey
	20	% of project leads sharing knowledge with each other	Survey, Interview
	21	# of participants from government, local level, communities to Cities Alliance-supported forums and other mobilisation activities	Project Reports
	22	Qualitative: member/partner perceived increase in knowledge & learning due to Cities Alliance's contribution	Survey, Interview
	23	Qualitative: member's/partner's perception that Cities Alliance has strengthened the institutional and community capabilities (e.g. Staff trained, financial resources used effectively, services delivered more effectively, increased mission focus)	Interview, Survey
	24	# of municipal and community leaders trained per year	Project Reports
Did the Cities Alliance's increase collaboration with members/partners?	24	% of projects with in-country member/partner participation	Project Reports
	25	# of partnerships brokered by Cities Alliance	Project Reports, Interviews
	26	Qualitative: Member/partner's perceived value of Cities Alliance' contribution in providing programme management	Interview, Survey
	27	Qualitative: Degree to which Cities Alliance informed national & local strategies/plans (Technical Advisory)	Interviews, Project Reports
	28	% of members/partners who recognise the Cities Alliance role as a platform of partnership[1] across the Country Programme	Survey, Interviews

Efficiency

C: Did the projects have the appropriate structure and management capabilities in place to deliver on their objectives?

Efficiency			
Key Questions	ID	Indicator	Source
Do projects have the appropriate structure in place to deliver on their objectives?	29	Members/partners who have demand/request for Cities Alliance Country Programmes	Project Reports
	30	Qualitative: Members/partners' perception that the programmes aligned with existing priorities at national, local and community level	Project Reports
	31	Qualitative: Perception that the members/partners could have independently delivered similar outputs without Cities Alliance	Project Reports
Do projects have the appropriate management capabilities to work collaboratively and deliver outcomes?	32	% members/partners perceiving funding and proposal processes to be transparent	Survey, Interviews
	33	% members/partners perceiving their input is valued for decision making at project level	Survey, Interviews
	34	% of members/partners perception that the steering committee (programme level) is a participatory process and their input is valued for decision making	Survey, Interviews
	35	Qualitative: Collaboration levels between project leads and members/partners	Survey, Interviews
	36	Qualitative: Member/partner Capabilities in place to deliver on objectives	Survey, Interviews
	37	Qualitative: % Member's/partner's satisfaction with the level of support from Cities Alliance	Survey

We will validate/collect metrics for:
• % of funds disbursement against total budget
• Types / size of projects per country

Sustainability

C: Will the results and outcomes of the projects continue after funding or support end?

Sustainability			
Key Questions	ID	Indicator	Source
Will the results and outcomes of the projects continue after funding or support end?	38	% of projects with plans to continue in absence of Cities Alliance funding	Survey, Interviews
	39	# projects with follow on investments after Cities Alliance funding ends	Survey
	40	% of projects with members/partners identified to continue work	Survey, Interviews
	41	# Number / Type of contributors to the Community Upgrading Funds	Project Reports, Survey
	42	% of external contributions to the Community Upgrading Funds (CUF) and total value (USD)	Interviews
	43	Qualitative: projects with potential to be replicated/transferred to other areas	Interviews
	44	Qualitative: Case studies on institutionalisation of the various forums and platforms (i.e. counterparts developed the capacity / are properly prepared for taking over technically, financially and managerially)	Interviews

[1] "Platform for partnership" – facilitating coherent strategic interventions, backed by innovative, collaborative projects and programmes within and external to its membership to promote poverty reduction, sustainable development and resilience within cities. (Cities Alliance Partnership Strategy, 2016)

Appendix 5 – Cities Alliance tier two corporate scorecard dashboard

Tier 2 Indicators	Greater Accra Metropolitan Area			Uganda			Vietnam		
	Baseline	Current	Change %	Baseline	Current	Change %	Baseline	Current	Change %
II. 1.1 Average municipal expenditures per person per year (USD)	8.63	14.01	62%	23.85	63.97	168%	164.62	221.87	35%
II. 1.2 Average number of municipal employees per 1000 municipal inhabitants (#per 1000)	1.65	1.99	21%	9.93	10.14	2%	2.15	1.79	–17%
II. 1.3 Average number of women among municipal employees (%)	0.41	0.42	4%	0.49	0.48	–1%	0.45	0.48	6%
II. 1.4 Proportion of municipal employees with post–secondary education (%)	0.66	0.68	3%	0.55	0.82	50%	0.98	1	2%
II. 1.5 Average percentage of voter participation in most recent municipal election (%)	0.15	0.18	22%	0.47	0.63	35%	0.99	1	1%
II. 1.6 Average percentage of women voter participation (Rating scale: 0–2)	0.25	0.25	1%	N/A	N/A	N/A	0.99	1	1%
II. 1.7 Average ratings on existance of a municipal website for citizen questions and complaints (Rating scale: 0–2)	1.08	1.15	7%	0.43	0.5	17%	1.3	1.9	46%
II. 1.8 Aggregate ratings of functioning of local–level structures for consultations. (Rating scale: 0–2)	1.23	1.23	0%	2	2	0%	1.5	1.8	20%
II. 1.9 Aggregate ratings of participatory planning process in place (budgetary or other). (Rating scale: 0–2)	0.85	0.23	–73%	2	2	0%	1.8	1.9	6%
II. 1.10 Aggregate ratings on levels of civil society activity in municipality (Rating scale: 0–2)	1.08	1.15	7%	1.43	1.43	0%	1.5	1.6	7%

II. 1.11 Average proportion of households of in slum and/or low-income areas with regular access to potable water(%)	0.48	0.63	31%	0.72	0.92	29%	0.7	0.91	30%
II. 1.12 Average proportion of kilometres of maintained roads/paths in slum and/or low-income areas (%)	0.12	0.12	1%	0.63	0.65	3%	0.29	0.45	56%
II. 1.13 Average proportion of households in slum and/or low-income areas with sewerage connections (%)	0.53	0.54	2%	0.03	0.03	0%	0.74	0.96	30%
II. 1.14 Average proportion of households in slum and/or low-income areas with regular electricity connections (%)	0.82	0.87	7%	0.09	0.52	474%	0.94	1	6%
II. 1.15 Average proportion of households in slum and/or low-income areas with regular solid waste collection (%)	0.42	0.56	34%	0.3	0.44	48%	0.7	0.91	30%

Note: The figures above are sourced through Cities Alliance Corporate Scorecard.

Appendix 6 - Ghana

Appendix 6.1 - ILGS Training Courses

ILGS courses developed as part of the Country Programme:

- International Training of Trainers (ToT) Programme in Strategic Leadership and Inclusive City Management
- Citizens Participation in the Spatial Planning Process
- Mechanisms and Application of Social Accountability for Public Sector Service Delivery
- Post-Africities Summit 2012
- Sensibilisation programme
- Sensitisation of Key Stakeholders on the Urban Policy and Action Plan
- Post Training event - dilate on the achievements of the capacity building, lessons learnt, shared learning, challenges and the way forward.
- Strategic Panning
- Urban climate change resilience planning
- Urban governance and service delivery
- Social audit
- Community score card
- Public expenditure tracking survey
- Spatial planning process
- Strategic spatial planning and sustainable cities
- Institutionalization of social accountability mechanisms

Appendix 6.2. Ghana - Toolkits developed

The toolkits developed under the Country Programmes are:

- Community Profiling Manual
- Ghana Federation Savings Scheme Manual 2012
- Database containing slum profile information developed for each of the four municipalities using the CSPRO.
- Community Social Investment Fund - Operational Manual
- Training of Trainers Manual on Method of Effective Engagement with Urban Stakeholders
- Terms of Reference for Organization and Operation of National Urban Forum
- Terms of Reference for the Urban Development Advisory Committee
- Improving Urban Service Delivery and Strengthening Citizen Engagement through Citizen Report Cards: A Training Manual
- Practitioners' Manual on Human Settlement and Spatial Planning
- Strategic Leadership and Inclusive Urban Management: A Training Manual
- Training material for two-day national training programme on the content of the Ghana National Urban Policy and Action Plan.
- Strategic Planning Manual

Appendix 6.3. Ghana - Objectives of the National Urban Policy

Objectives of the National Urban Policy (Benzoni, 2013):

- Facilitate balanced re-distribution of urban population.
- Promote a spatially integrated hierarchy of urban centres.
- Promote urban economic development.
- Improve environmental quality of urban life.
- Ensure effective planning and management of urban growth and sprawl, especially of the [primary] cities and other large urban centres.
- Ensure efficient urban infrastructure and service delivery.
- Improve access to adequate and affordable low-income housing.
- Promote urban safety and security.
- Strengthen urban governance.
- Promote climate change adaptation and mitigation mechanisms.
- Strengthen applied research in urban and regional development.
- Expand sources of funding for urban development and strengthen urban financial management.

Appendix 7 - Vietnam

Appendix 7.1 - CDS Training Sessions

- Workshop on CDS methodology
- Training on CDS with integration of humanities and ecology values
- Seminar on development framework and CDS methodology
- Training on community based Eco-cultural tourism development
- Workshop with focus on green growth, smart management and planning and resilience
- Workshop on green and smart initiatives for development
- Consultation workshops
- Study tour to Israel
- Specific training on sustainable urban planning
- Mini seminars about the effective and supportive tools for tourism development
- Training programme on Multi-Sector Investment Plan

Appendix 8 - Reading list

Cities Alliance Materials

- Cities Alliance. (2013). Annual Report
- Cities Alliance. (2011). Business Plan
- Cities Alliance, SKL International. (2015). Diagnosis of Gender Equality Integration in Cities Alliance Country Programmes
- Cities Alliance. (2014). Medium Term Strategy
- Cities Alliance. (2016). Organisation - Cities Alliance Organisation
- Cities Alliance, The Partnering Initiative. (2016). Partnership Strategy
- Cities Alliance. (2015). Progress Implementation Reports: Ghana, Uganda, Vietnam
- Cities Alliance. (2011). Country Programme Frameworks, Land, Services and Citizenship for the Urban Poor, Ghana
- Cities Alliance. (2010). Country Programme Frameworks, Land, Services and Citizenship for the Urban Poor, Uganda
- Cities Alliance. (2012). Country Programme Frameworks, Land, Services and Citizenship for the Urban Poor, Vietnam
- Cities Alliance. (2015). Corporate Scorecard
- Cities Alliance. (2012). Uganda Grant Agreement: Municipality Development Strategies
- Cities Alliance. (2014). Uganda TSUPU completion report
- Cities Alliance. (2015). Future Cities Africa: New Thinking for Long-term Transformation FCA-launch
- Cities Alliance. (2016). Cities Alliance - Our members
- UNOPS, Cities Alliance. (2016). Request for Proposals (RFP) for Services for the Programme Evaluation of Cities Alliance Country Programmes. RFP

Online Materials

- Barakat. (2007). The failed promise of multi-donor trust funds. Tandfonline
- Benzoni. (2013). Hope and Skepticism as Ghana Finally Adopts an Urban Policy. Next City Ghana

- Brown. (2013). Uganda's National Urban Policy: the emerging response to poverty, food security and gender in Urban Uganda. Cigionline.org
- Ghana News. (2014). Freeze on Public Sector Employment. Freeze on Employment
- Ghana Web. (2016). No Government Jobs in 2017. Government Jobs.
- Hutcherson. (2016). The benefits and challenges of urbanization
- Interactions. (2016). Social Economic and Political Context Uganda Interactions - Country Profile - Uganda
- Kurth, A. (2016). Partnerships New Urban Agenda
- Organisation Development Unit. (2016). Report on Organisation Development (OD) Process Conducted For the Urban Development Unit (UDU) of the Ministry of Local Government and Rural Development (MLGRD)
- Lehmann, S. (2010). Green urbanism: formulating a series of holistic principles
- Mukwaya et al. (2012). Rural-Urban Transformation in Uganda Rubafrique in Uganda
- Statsghana.gov
- World Bank - Benefit from the gains of urbanization
- World Bank. (2015). Urban development - inclusive cities
- World Bank. (2016). Mekong Delta Region Urban Upgrading Project. Projects
- World Bank. (2016). World Bank Uganda Overview
- World Bank. (2016). Wold Bank Ghana Overview
- World Bank. (2016). World Bank Project Uganda
- World Bank. (2016). World Bank Vietnam Overview
- SECO. (2016). Vietnam Overview. Vietnam Overview
- SDI. (2016). What we do
- UCL, Satterthwaite-aid
- UCGL - aid_effectiveness
- UN-DESA. (2017). Sustainable development UN

References

1   Annual Report, Cities Alliance, 2013

2   Ghana Country Programme Framework, 2010

3   UCLG, 2009

4   Capacity development is 'the process through which individuals (...) obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time. Simply put, if capacity is the means to plan and achieve, then capacity development describes the ways to those means' (UNDP). In Cities Alliance context, these capabilities typically refers to city management (in areas such as strategic planning, financial management, and human resources management). Capacity development at the individual level is also an essential element of organisational/institutional strengthening – intended as increasing the ability of an organisation to effectively generate, allocate and use human, material and financial resources to perform its functions. The latter is also an area Cities Alliance is strongly engaged with, notably with institutions that have a mandate on urban subjects.

5   Gender became one of the pillar of Cities Alliance most recent Medium Term Strategy in 2013.

6   Diagnosis of Gender Equality Integration in Cities Alliance Country Programmes, Cities Alliance: 5

7   N.b. To be updated to the Sustainable Development Goals (Corporate Scorecard, 2016)

8   OECD. Development Assistance Committee Working Party on Aid Evaluation. Glossary of Key terms in Evaluation and Results Based Management. Paris. 2002

9   UN Department of Social and Economic Affairs, 2017)

10   Kurth, 2016

11   Ghana, Progress Report Cities Alliance, 2014

12   Corporate Scorecard, 2016

13   World Bank, 2015

14   World Bank, 2015

15   World Bank, 2016

16   World Bank, 2016

17   Organisation Development Unit, 2016

18   Terkper, 2014

19   Ghana Web, 2016

20   Ghana Progress Report, Cities Alliance, 2016

21   Ghana Progress Report Cities Alliance, 2016

22   statsghana.gov.gh

23   Ghana, Project Proposal, 2013

24   Organisation Development Unit, 2016

25   The substantive Head of the Unit was transferred without adequate notice to partners or ongoing programmes (Project Stakeholder, 2016).

26   Organisation Development Unit, 2016

27   Satterthwaite, 2001

28   Ghana Progress Report Cities Alliance, 2016

29   Cities Alliance, Annual Report 2013

30   Country Programme, Ghana 2010

31   Ghana's National Urban Policy and Plans (Final Proposal, XXXX).

32   Ghana Country Programme Framework, 2010

33   SDI, 2016

34   Ghana Country Programme, 2010

35   Slum Dwellers International's Learning by Doing approach encourages participants within savings networks to learn from each other. Community-to-community exchanges allow participants to see themselves and their peers as experts, and equip them with practical knowledge that they can refine to suit their own community dynamics. (http://www.citiesalliance.org/node/3651)

36   Ghana Progress Report, 2016

37   Cities Alliance Project Reports, 2016

38   UDU Attendance List, 2015

39   Organisation Development Unit, 2016

40   Organisation Development Unit, 2016

41   Plans have been defined as detailed action plans for new projects.

42   Ghana Progress Report, 2016

43   Corporate Scorecard, 2016

44   Cities Alliance Secretariat, 2016

45   Cities Alliance Uganda Completion Report, 2014

46   Mukwaya et al, 2012

47   Corporate Scorecard, 2016

48   The dependency ratio is a measure showing the number of dependents, aged zero to 14 and over the age of 65, to the total population, aged 15 to 64. It is also referred to as the "total dependency ratio." This indicator gives insight into the amount of people of nonworking age compared to the number of those of working age http://www.investopedia.com

49   World Bank, 2016 – Uganda Overview

50   African Development Bank 2013; Interactions, 2016

51   World Bank, 2016 – Uganda Overview

52   African Development Bank 2013

53   World Bank, 2016 – Uganda Overview

54 Cities Alliance, 2016 – Progress Report

55 Cities Alliance, 2014 – Completion Report

56 Cities Alliance MDF Grant Agreement, 2012

57 Cities Alliance Progress Implementation Report Uganda, 2016

58 Cities Alliance, 2014 – Completion Report

59 Cities Alliance, 2014 – Completion Report

60 Brown, 2013

61 Cities Alliance Grant Report, 2016 – MDF / MDS

62 SDI's approach for communities to learn by doing: "Community-to-community exchanges allow participants to see themselves and their peers as experts, thereby breaking isolation to create a unified voice of the urban poor, reclaiming sites of knowledge that have frequently been co-opted by professionals, and strengthening solidarity to increase critical mass" (http://old.sdinet.org/method-exchange-and-learning/)

63 UN-HABITAT, in collaboration with the Global Land Tool Network (GLTN), International Federation of Surveyors (FIG), International Institute for Geo-Information Science and Earth Observation Management (ITC) (University of Twente) and the World Bank have developed the Social Tenure Domain Model (STDM) as a land information management framework with the capacity to integrate formal, informal, and customary land rights—reflecting the realities on the ground in many communities (Cities Alliance, 2016)

64 Cities Alliance CP Framework, Uganda, 2016

65 Completion Report, 2014 - Uganda

66 ACTogether, 2016

67 All Grant Progress Reports

68 Completion Report, 2014 - Uganda

69 Cities Alliance Progress Report, 2016

70 Cities Alliance, 2014 Completion Report

71 Cities Alliance, 2014, Completion Report

72 Cities Alliance, 2016, Partnership Strategy

73 Cities Alliance Progress Report, 2016

74 Cities Alliance Progress Report, 2016

75 Country Programme Framework, 2010

76 World Bank, 2016 – Vietnam overview

77 World Bank, 2016 – Vietnam overview

78 Country Programme Framework, 2010

79 Evaluation Report, World Bank, CDF Vietnam

80 SECO, 2013

81 Hutcherson, 2016

82 A sustainable city, or eco-city (also "ecocity") is a city designed with consideration of environmental impact, inhabited by people dedicated to minimization of required inputs of energy, water and food, and waste output of heat, air pollution - CO2, methane, and water pollution (Lehmann, 2010)

83 An inclusive city is a city in which the processes of development include a wide variety of citizens and activities. These cities maintain their wealth and creative power by avoiding marginalization (Inclusive Urbanism, 2016). The concept of inclusive cities involves multiple spatial, social and economic factors such as affordable services, equal rights and participation, and job creation (World Bank, 2015).

84 Cities Alliance, 2016 – progress report

85 Country Programme Framework, Vietnam, 2010

86 Vietnam Progress Report 2016

87 Vietnam Country Programme Framework, 2010

88 Cities Alliance Progress Implementation Report Vietnam, 2016

89 ACHR is a group of professionals and social activists involved with urban poor development activities in various Asian countries. The group has encouraged the decentralization of various regional activities and has also become the main regional network on human settlements and urban issues consulted by many UN agencies (Vietnam Country Programme Framework, 2010).

90 Vietnam Country Programme Framework, 2010

91 In general, a savings group has, on average, approximately 10 households and most cities have many savings groups.

92 Vietnam Progress Report, 2016

93 MDR-UUP started in 2012 and will close in December 2017.

94 Corporate Scorecard, Cities Alliance, 2015

95 World Bank Project Vietnam

96 Corporate Scorecard, 2016

97 Cities Alliance, 2014

98 Brown, 2013

99 Gulu Municipal Council, 2016

100 Corporate Scorecard, 2016

101 Cities Alliance Partnership Strategy

About Accenture

Accenture is a leading global professional services company, providing a broad range of services and solutions in strategy, consulting, digital, technology and operations. Combining unmatched experience and specialized skills across more than 40 industries and all business functions – underpinned by the world's largest delivery network – Accenture works at the intersection of business and technology to help clients improve their performance and create sustainable value for their stakeholders. With more than 394,000 people serving clients in more than 120 countries, Accenture drives innovation to improve the way the world works and lives. Visit us at www.accenture.com.

16-4369