

Catalytic Fund (CATF), the red book

Handbook

DRAFT

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CA	The Cities Alliance
CA-S	Cities Alliance Secretariat
CATF	Cities Alliance Catalytic Fund
CAPAT	Cities Alliance Programme Administration Team
CG	Consultative Group
CN	Project Concept Note
DGF	Development Grant Facility
EEP	Expert Evaluation Panel
FEU	Finance, Economic & Urban unit of SDN
FM	Financial Management
FP	Project Full Proposal
GFR	Grant Fund Request
GMA	Grant Manager Agreement
ICP	In-Country Programmes
ITA	Independent Technical Assessment
K+L	Knowledge and Learning
PPD	Cities Alliance Proposal/Project Database
TTL	Task Team Leader

1. After 10 years of existence, the Cities Alliance (CA) Open Access Grant Facility is being replaced by a Catalytic Fund (CATF) positioned as one of the four strategic pillars of a redefined CA business model, the other three being the In-Country Programmes (ICP), Knowledge and Learning (K+L) and Communication and Advocacy.

1.1 Principles

2. The Catalytic Fund (CATF) has been developed in accordance with the following principles:

- ❖ *Strategic alignment with the new CA business model (principle 1)*: The CATF harmonizes with the new CA business model, following the MTS, adhering to the theory of change and complementing the other CA tools, namely In-Country Programmes (ICP), Knowledge and Learning (K+L) and Communication and Advocacy.
- ❖ *Global Reach (principle 2)*. The CATF is to maintain a wide geographical scope of the CA, much beyond the limited number of countries envisaged for ICP. However, global reach is also intended thematically as to include a vast array of issues¹, and constituency-like as to include all the main stakeholders².
- ❖ *Demand orientation (principle 3)*. Cities with members' support are at the centre of the CATF, and mechanisms will be in place to foster ownership and commitment.
- ❖ *Process optimization and transparency (principle 4)*. The CATF will intend to systematically lower transaction costs for CA members and partners, while maintaining transparency in the selection process and increasing the developmental value of its projects.
- ❖ *Portfolio Quality Enhancement (principle 5)*. The CATF is to enhance the quality of the CA portfolio by selecting projects which are able to reflect CA comparative advantages and strategically leverage CA impact and learning.

1.2 Objectives

3. The Catalytic Fund has two major and complementary strategic objectives. The first objective is oriented towards the specific local and national situation while the second aims at the broader CA constituency.

- ❖ **Objective 1**. The Catalytic Fund aims to have catalytic effects on initiating and enhancing urban transformation processes promoting more inclusive cities³. [see table 1]
- ❖ **Objective 2**. The Catalytic Fund aims at advancing collective know-how through the learning that can be distilled from the project experiences and shared among CA partners, CA members and beyond.

¹ E.g. empowerment and engagement of citizens, city management; security of tenure and access to shelter, environment, access to economic opportunities, access to affordable services (adapted from the 'Hexagon' of the CA Theory of Change)

² E.g. Local Authorities, National Government, Civil Society, Private Sector, Supporting partners (adapted from the 'Drivers' of the CA Theory of Change)

³ Transformation processes are to be intended as occurring not only at the city-level but also at the national level, e.g. through the development of a national policy.

Table 1. Defining ‘Catalytic’

A ‘catalytic effect’, as intended by the Catalytic Fund, will:

- ❖ *Bring Impact.* A catalytic effect is about impact and change, and the action of a catalyst able to initiate and then mediate this process of transformation.
- ❖ *Shape a ‘cooperation system’.* A catalytic effect develops only through the building and development of a dense system of partnerships. Positive change in complex systems such as cities adapts to the idea of multiple drivers where different approaches, activities and competencies are being aligned for synergetic effects towards a common goal.
- ❖ *Innovate.* The catalytic effect is creative and value-added. It often relies on diverse combinations of inputs, alternative pathways and new solutions. Innovation will be measured in terms of new ideas, products and processes in the local city context.

1.3 Key characteristics and process overview

4. The CATF builds around the following five major tenets:

- ❖ Grants are awarded in a **competitive** process intended to increase the quality and focus of the portfolio (see *principles 1, 2 and 5* above).
- ❖ The window for CATF support will be open **twice a year**. Proposals will be processed in a batch, instead of appraising proposals individually throughout the year. This is a direct consequence of the need to evaluate proposal comparatively. At the same time, this simplified process will also contribute to the lowering of transaction costs (see *principle 4*) and with it stimulate the demand (see *principle 3*).
- ❖ An **expert evaluation panel** (EEP) will be used in the selection process to aid the CA Secretariat (CA-S) in assessing the relevance and quality of proposals, and in supporting objectivity and transparency. The final decision will be taken by the CA-S, while also considering the composition and characteristics of the overall CA portfolio. (see *principle 4 and 5*)
- ❖ The **grant size** will be limited to US\$50,000 – US\$250,000. The CA-S is forecasting funding about 20 activities per year, 10 for each call.

5. The following figure and paragraphs outline the major steps of the envisioned selection process. The following sections 2 and 3 elaborate on the full details of this process and the tools needed.

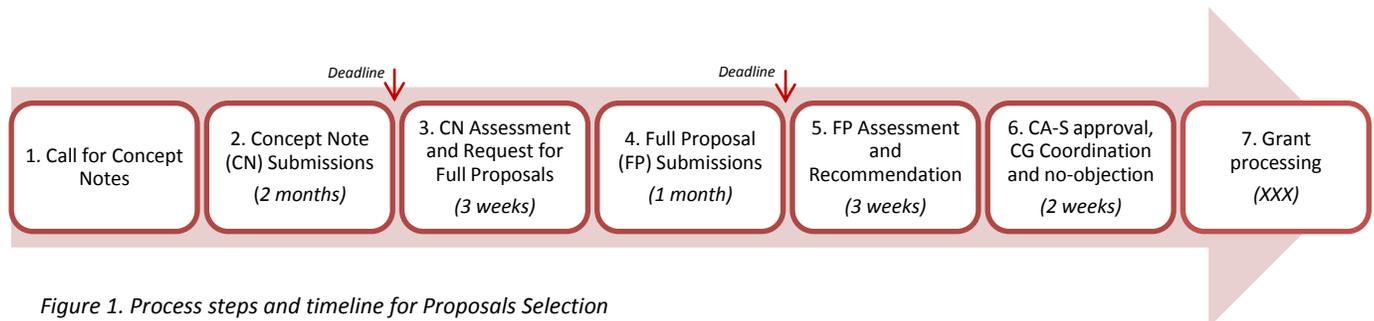


Figure 1. Process steps and timeline for Proposals Selection

6. Every six months the CA-S will issue a call for Concept Notes, which will last for period interval of two months during which the CA will accept submission of applications [Step 1]. The *Concept Note*⁴ is a concise outline of the

⁴ For more details on the Concept Note see section 2.2 and Annex 1.

intended project and will follow a simple format designed to answer the basic questions of who, what, why, where and how much **[Step 2]**.

7. The CA-S will undertake an initial screening of the submitted Concept Notes to ensure that they meet the minimum criteria for eligibility.⁵ The Concept Notes which passes this minimum threshold are then referred to an Expert Evaluation Panel (EEP).⁶ The EEP will be in charge of evaluating the Concept Notes on a *competitive* basis though a pre-defined set of criteria and recommend to CA-S which proposals are qualified to proceed to the following step of the process. The EEP short-list is reviewed by CA-S and, if needed, revised on the basis of additional strategic criteria which pertain to the overall portfolio composition.⁷ This process is expected to be of three weeks duration **[Step 3]**.

8. The CA-S will then invite qualifying applicants to submit a *Full Proposal* within a one month time frame. The full proposal template will include specific details on the overall project design including the results framework, budget and timeline⁸ **[Step 4]**. Full proposals will be referred to the EEP who after a competitive evaluation will recommend to the CA-S which proposals are eligible for funding.⁹ The EEP recommendation is reviewed by the CA-S and, if needed, revised on the basis of additional strategic criteria which pertain to the overall portfolio composition. This process is expected to be of three weeks duration **[Step 5]**.

9. The final list is approved by the CA-S and is referred to the CA Consultative Group for final endorsement on a no-objection basis. The CG will test whether approved projects conflict or duplicate members' programs or activities. The process of evaluation and approval is expected to be 5 weeks **[Step 6]**.

10. The CA-S will then undertake the fiduciary and legal process. **[Step 7] [Under development]**.

⁵ For more details on the Eligibility Criteria see section 3.1.

⁶ For more details on the EEP and the evaluation mechanism at this stage see section 3.4.

⁷ For more on the Strategic Portfolio Criteria see section 3.2 par. 24.

⁸ For more details on the Full Application see section 2.3 and Annex 2.

⁹ For more details on the EEP and the evaluation mechanism at this stage see section 3.4.

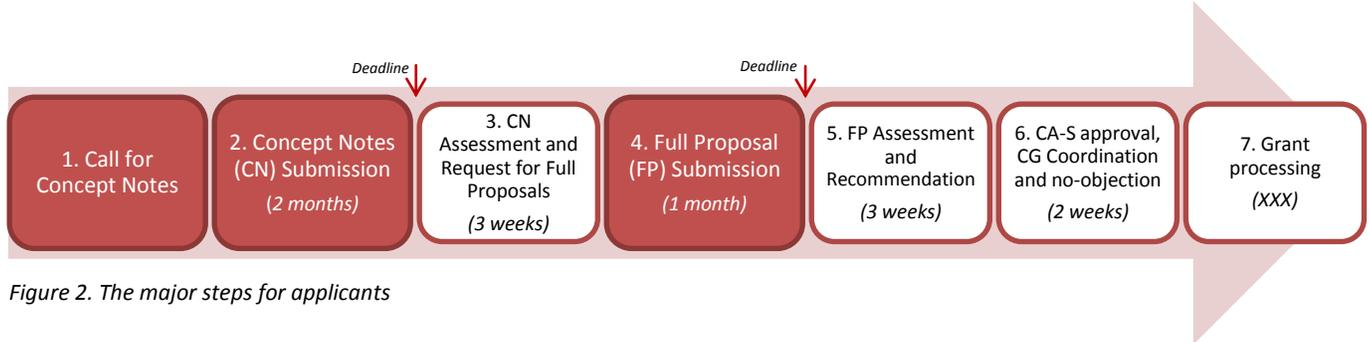


Figure 2. The major steps for applicants

11. Applicants’ access to funding from the CATF follows three major steps. The first step refers to the period intervals, twice a year, during which CA is open for submission of applications (see par. 2.1). When the window is open, interested applicants apply for funding to the CA by submitting project concept notes (see par. 2.2). Those applicants whose concept notes CA assess to be qualified will then be invited to develop full project proposals (see par. 2.3).

2.1 The Call for Concept Notes

12. The CA will issue a call for project concept notes twice a year at set times and for specific durations. Proposals received before or after such an interval are not considered. The call for Concept Notes is posted on the CA website along with the major instructions for application, scope and eligibility criteria. Additional posting and marketing is decided by the CA-S on a discretionary basis depending also on the available resources and the response rate.

2.2 The Concept Note

13. The CATF Concept Note is the official format through which applicants respond to the Catalytic Fund Call for Concept Notes. Concept Notes must be submitted in English¹⁰ and must strictly observe the relevant provisions contained in the call for concept notes and accompanying guidelines. Concept Notes shall be sent by e-mail to the CA-S Secretariat at catf@citiesalliance.org.¹¹

14. The rationale of the CATF Concept Note is to allow the EEP to judge the potential of a project without burdening excessively the applicant with premature requirements as well as the evaluators with unnecessary documentation. The major functions of the CATF Concept Note are (i) to provide sufficient understanding of a project as to enable a competitive assessment in terms of its catalytic and knowledge potential; and (ii) early flag potential risks connected with the project and downstream activities. The CATF Concept Note maintains the general following characteristics:

- ❖ It provides basic information on the minimum criteria for proposal eligibility¹²
- ❖ It focuses on the concept and the strategic relevance of the project rather than on its design
- ❖ It is very short

15. All the relevant information for applicants is contained in Annex 1. Guidelines for the preparation of the Concept Note to apply to the Cities Alliance Catalytic Fund. The Annex contains:

¹⁰ [Other languages?]

¹¹ [TO BE CREATED]

¹² For more details on the Eligibility Criteria see section 3.1.

- ❖ Sub-Annex 1.A. Concept Note Template
- ❖ Sub-Annex 1.B. List of eligible countries
- ❖ Sub-Annex 1.C. List of current Cities Alliance members
- ❖ Sub-Annex 1.D. CA sponsors TOR
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2.3 The Full Application

16. CATF Full Application is the official format through which qualified applicants are invited to continue further in the process after a successful Concept Note. Full Applications must be submitted in English¹³ and must strictly observe the relevant provisions contained in the accompanying guidelines. Full Applications shall be sent by e-mail to the CA-S Secretariat at catf@citiesalliance.org.¹⁴

17. The rationale behind the CATF Full Application is to provide a solid basis for recommending proposals for funding and justifying final selection over competing projects. The major functions of the CATF Full Application are (i) to provide full understanding of a project design and its major implications for the CATF objectives as well as the CA portfolio; (ii) provide full understanding of a project design so it can be followed by the CA M&E system; (iii) to highlight compliance with WB policies. The CATF Full Application maintains the following characteristics:

- ❖ It is thorough in testing the relevance of the proposed project to CATF objectives.
- ❖ It focuses on the design of the project encompassing results framework, M&E, timeline, institutional arrangement and budget.
- ❖ It builds on the Concept Note but is also a stand-alone document.

18. All the relevant information for applicants is contained in Annex 2. Guidelines for the preparation of the Full Application to apply to the Cities Alliance Catalytic Fund. The Annex contains:

- ❖ Sub-Annex 2.A. Full Application Template
- ❖ Sub-Annex 2.B. Developing a Results Framework
- ❖ Sub-Annex 2.C. Safeguards Guidance
- ❖ Sub-Annex 2.D. List of eligible countries
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¹³ [Other languages?]

¹⁴ [TO BE CREATED]

SECTION 3 – THE FRONT END: HOW TO JUDGE AND SELECT

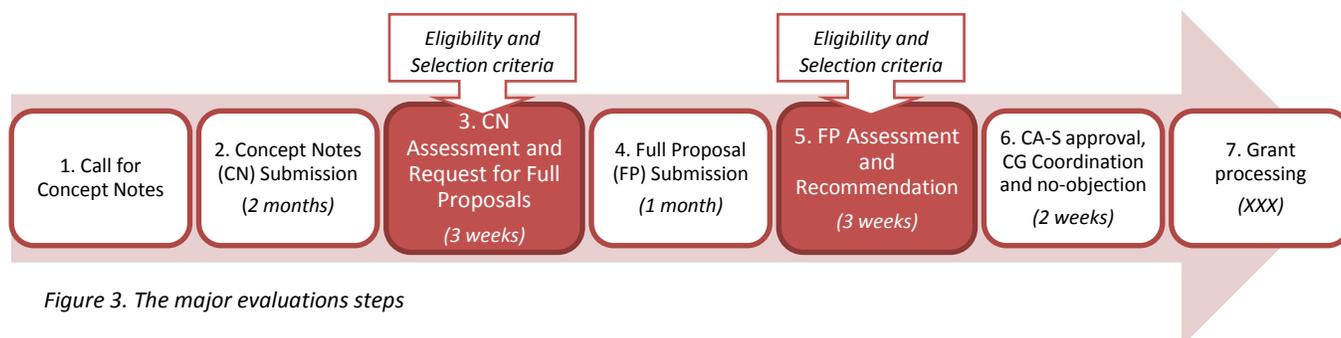


Figure 3. The major evaluations steps

19. In order to be further processed, Concept Notes and Full Applications must be verified in full compliance with a set of eligibility criteria (see par. 3.1). Eligible Concept Notes and Full Applications will be assessed through a defined set of selection criteria (3.2) and their guidelines (3.3). In this process of assessment the CA-S will benefit from the support and recommendations of an Expert Evaluation Panel (EEP) (3.4).

3.1 Eligibility Criteria

20. Each application submitted to the CA-S needs to comply with the minimum criteria of eligibility listed below. Applications which do not comply with the eligibility criteria will not be considered for further processing. The initial and main verification for compliance with the eligibility criteria occurs once the Concept Notes are received and batched and will be undertaken by the CA-S. All eligible Concept Notes are forwarded to the EEP. Compliance is additionally re-assessed once the Full Applications are received¹⁵.

- ❖ Country eligibility
- ❖ CA member(s) support
- ❖ Government commitment and approval
- ❖ Within scope
- ❖ Budget
- ❖ Specific submission and application modalities

Country eligibility. Applications must be implemented in countries that are included on the OECD Development Assistance Committee’s List of Aid Recipients, which can be found on the OECD Website (www.oecd.org/dac).¹⁶ Countries where the CA has an ICP¹⁷ are also excluded from funding under the CATF. This list will be updated previous to each call.

Cities Alliance Member(s) Sponsoring the Application. Applications must be sponsored by at least one member of the Cities Alliance.¹⁸ Sponsorship is defined in its scope and responsibilities by the sponsors’ terms of

¹⁵ TO BE MOVED IN WORKFLOW. Once the concept notes have been reviewed for eligibility, the CA-S will prepare a report listing: (i) Eligible and ineligible concept notes; (ii) Reasons for ineligibility. The concept notes selected for full proposal development will be posted on the website(?).

¹⁶ The current list of eligible countries, as of the date of these guidelines, is provided in Sub-Annex 1.C.

¹⁷ Currently Ghana, Uganda and Vietnam.

¹⁸ Please see Sub-Annex 1.C or 2.E for a list of current Cities Alliance members.

reference.¹⁹ However, projects are usually expected to have multiple sponsors, because a primary objective of the Cities Alliance is to improve the coherence of urban development cooperation. Cities Alliance members active in the city/country shall be contacted by the proponent for possible sponsorship prior to submitting the Concept Note.

Government commitment and endorsement. Government commitment and endorsement of the proposed project is essential for success, and is a fundamental requirement for eligibility.²⁰ Activities at the city level must demonstrate strong commitment from local authorities. Projects at the national level must demonstrate strong commitment from the national government. In all cases, country-specific activities (whether at the local, provincial/state or national level) must be endorsed by the government of the country, specifically by the Ministry in charge of international aid. If the concept note is successful the applicant will be invited, together with the full proposals, to submit supporting letters proving the government commitment and endorsement.

Within Scope. Project activities and objectives must be in line with the mandate and scope of the Cities Alliance as defined by the CA Charter. Specifically, the Catalytic Fund will support those operational activities that address the issue of urban poverty. Projects can support this objective more directly for example through a slum upgrading programme - or more indirectly - through promoting policies and strategies designed to manage urban development, or through knowledge and learning activities aimed at sharing and documenting relevant experiences on inclusive cities.

Budget. The grant request to CA must be limited to US\$50,000 - US\$250,000.

Specific submission and application modalities. The CA regulates the submission of the Concept Notes and Full Applications according to specific time intervals previously communicated. Both the Concept Note and the Full Application templates are accompanied by specific instructions with regard to the questions to be answered and the maximum length allowed.

3.2 Selection Criteria

21. Selection criteria are used by the EEP and the CA-S to assess first Concept Notes and then Full Proposals. The CATF selection criteria are in line with the core principles of the CA Charter²¹ and capture its nine criteria, but they are aggregated to be more specific. This reflects a redefinition rather than a substantial change of the criteria. The rationale is to provide the EEP and the CA-S with a tool which not only allows them to judge if a proposal qualifies according to a set of criteria, but to decide among qualifying proposals which ones are comparatively better.

22. The criteria for evaluating the proposals are deduced from the objectives of the CATF: (1) to cause catalytic effects on urban transformation; and (2) advancing collective know-how. The first objective informs the development of three clusters of criteria outlined in accordance with the definition of catalytic [see table 1, section 1], i.e. 'Bring impact', 'System of Cooperation' and 'Innovation'. The second objective of the CATF informs the cluster of criteria labeled 'Knowledge and Learning'. The 'Implementation Conditions' cluster of criteria does not map to any specific CATF objective but rather covers the probability of successfully concluding the project.

¹⁹ Please see Sub-Annex 1.D or 2.F for the CA sponsors' terms of reference.

²⁰ Letters of support at the full proposal stage.

²¹ As of 23 January 2009.

23. It is worth noting that the criteria and sub-criteria are not meant to aggregate mathematically into a final numerical score. Criteria and sub-criteria are rather to function as guidance for evaluating those aspects that are most important to the CA, and that therefore need to be considered when evaluating the proposals competitively. To safeguard objectivity and uniformity, the next section elaborates a set of *guidelines* which help navigating each criteria cluster.

Table 2. The CATF selection criteria

1. Implementation conditions	<ul style="list-style-type: none"> • Capacity • Cost-Effectiveness • Results Framework • Fiduciary Management • Risks and Mitigations • Co-Funding
2. Impact	<ul style="list-style-type: none"> • Scalability • Transferability • Institutionalization • Follow-up investments • Targeting the objective
3. Cooperation	<ul style="list-style-type: none"> • Ownership • Harmonization • Alignment • Partnerships, Dialogue and Consultations
4. Innovation	<ul style="list-style-type: none"> • Innovative design, process and products
5. Knowledge and Learning	<ul style="list-style-type: none"> • Learning from M&E • Learning and dissemination • Applicability

24. The CA-S might also apply some additional criteria designed to maintain the **strategic balance of its portfolio**. The strategic portfolio criteria are the following: (i) the geographical scope of the portfolio, (ii) the balance between MIC and LDC, (iii) optimal member engagement, (iv) knowledge gap-filling²² and (v) thematic balance.

3.3 Guidelines on the Criteria

25. To guide the screening and assessment process this section provides the definition of the different selection criteria.

A. IMPLEMENTATION CONDITIONS

- ❖ **A.1 Capacity.** The capacity of an organization refers to its potential to perform, i.e. to successfully utilize its skills and resources in the forms needed to accomplish the objectives of the project. Generally, capacity to perform is captured along organizational dimensions, such as human capital, financial and technical resources, and partnerships. Other aspects also include more ‘intangible’ criteria such as the leadership and the history of the organization. The external operating environment shall also be taken into consideration especially when it might constitute a significant obstacle to an organization’s performance.

²² Project research-related activities should be able to cover areas and aspects which are not fully covered by previous research or for which exists a well motivated knowledge demand.

- ❖ **A.2 Cost effectiveness.** The project shall provide rationale for its major costs which shall be well proportioned with regard to the project activities and the intended results. The project shall also make an adequate use of existing local and/or national resources.
- ❖ **A.3 Results Framework.** The central idea behind the project and how this idea is captured in the result framework shall be clear, realistic and achievable within the two-year or less timeframe of the project implementation. The project shall have a realistic plan with concrete steps/activities for achieving the project objectives. The project shall also have clear and measurable results that will have a direct impact on the intended beneficiaries.
- ❖ **A.4 Fiduciary management.** The Project need to be in compliance with specific World Bank policies which regulates the use of CA grants. This aspect covers procurement, financial management and disbursement policies and is informed by CA-S financial and procurement assessment.
- ❖ **A.5 Risks and Mitigations.** The project should adequately identify any potential social and/or environmental impacts and risks connected to its activities and accordingly outline relevant mitigation measures.²³
- ❖ **A.6 Co-Financing.** All proposals shall include co-financing from the recipient organization, implementing partners, and other sources. The amount of co-financing shall match the financial capacity of the proponent as well as the size of the project. Co-Financing might also be 'In-kind' contribution if it is directly related to project activities.²⁴

B. IMPACT

- ❖ **B.1 Scalability.** Scalability refers to the potential of a project to be expanded over its initial geographic area to benefit more people within a city/country. In order to increase the potential for scaling-up, the selected city shall preferably have (or have realistic ambitions to develop) appropriate links to other cities in the country, for example, through local authority associations.
- ❖ **B.2 Institutionalization.** Institutionalization refers to the potential of a project to become an integral part of the urban governance of the city/country. The project shall then preferably reflect activities which directly or indirectly are able to impact on policy formulation, legal framework, institutional reform or work processes. Since the process of institutionalization might take place after the end of the project, a relevant proxy to understand the likelihood of it resides in the project financial sustainability.
- ❖ **B.3 Transferability.** Transferability refers to a project whose design is flexible enough to be potentially adapted in a new and different context. While scalability is country-oriented and related more to a quantitative increase in inputs and outputs, transferability refers rather to the 'concept' of a project and its adoptability in different cities worldwide.
- ❖ **B.4 Follow-up investments.** In order to strengthen a catalytic transformation project activities shall be able to stimulate, mobilize and attract potential capital to ensure follow up activities. Private and public sector investment partners shall thus be clearly identified and involved from the beginning in the design of the activity so as to increase the odds of investment follow-up and the project shall establish mechanisms to foster continued financing beyond its life span.
- ❖ **B.5 Targeting the objective.** - The project must aim at the reduction of urban poverty and... **[this will be defined by the revised CA Charter].**

²³ At the proposal full proposal stage this will be informed by an environmental and social management framework [under development].

²⁴ TO BE MOVED IN THE APPLICATION FORM. Examples of in-kind co-financing include: (i) A local authority assigns a staff member from its planning office to work on the project full-time for a period of 18 months. (ii) A computer and GIS software needed for a project component will be donated for the exclusive use of the project for a period of two years.

C. COOPERATION

- ❖ **C.1 Ownership.** A project shall reflect strong ownership of the city and/or government supporting the application. The local/national partner shall be committed and in a condition to lead the development and implementation of the project as well as account for its results. In difficult contexts, capacity development and participatory activities might be critical in creating, strengthening and broadening ownership and shall be adequately reflected in the project design.
- ❖ **C.2 Alignment.** Project activities shall reflect domestic priorities. The expected results shall be aligned with the overall national poverty framework and with urban strategies at the national and/or local level as well as with relevant urban development and urban poverty alleviation projects on the ground.
- ❖ **C.3 Harmonization.** Project activities shall be designed to promote multi-donor coordination. The project shall reflect complementary cooperation among CA members' activities on urban development in the country/city and other national or international development partners.
- ❖ **C.4 Consultations, dialogue and partnerships.** Project proposals must be conceived as a participatory process with local stakeholders including both the private sector and community organizations. The project design must include appropriate strategies and actions to ensure adequate participation of communities paying attention to gender, age and other relevant characteristics. The project will need to demonstrate the nature and extent of participation by relevant stakeholders.

D. INNOVATION

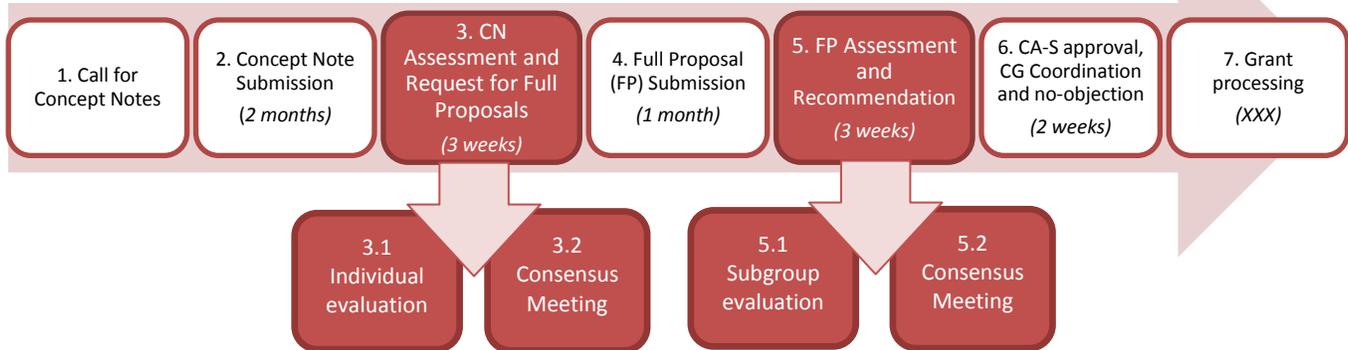
- ❖ **D.1 Innovative design, process and products.** This criterion considers the extent to which a project idea is innovative within the specific context of the project and how this is justified in the project proposal. This criterion includes also the method employed is distinctive compared to other approaches as well as how the project outputs are potentially of innovative use in the local context.

E. KNOWLEDGE AND LEARNING

- ❖ **E.1 Learning from M&E.** Project design shall incorporate ways to capture the experience and results of the project implementation. Of particular importance will be the quality of the indicators and other monitoring tools that track (and re-adjust) project progresses as well as dedicated activities targeted at measuring project success (e.g. impact assessment).
- ❖ **E.2 Learning and dissemination.** A project shall convey and/or stimulate learning oriented activities with the aim of sharing and disseminating those experiences, information and knowledge stemming from project implementation and outputs. Peer-to-peer exchanges, write-shops, communities of practices, centers of excellence, study tours are all possible examples.
- ❖ **E.3 Applicability.** Project which focus on the development of knowledge shall envisage outputs which are ready for use by practitioners engaged in similar contexts. In other terms, the quality of the knowledge product shall not only consider their potential interestedness but mostly its direct applicability and relevance on the field.

3.4 Expert Evaluation Panel (EEP) and final approval

Figure 4. When the panel is called in



27. The idea of a panel of experts supporting the CA-S in the selection process rests on three major rationales. (i) Lower the transactions costs of the CA-S; (ii) to pool that diverse set of skills and expertise needed to foresee the catalytic and knowledge potentials of a project; (iii) safeguard the transparency and fairness of the process in light of an open competition.

28. **Panel composition.** EEP membership²⁵ shall be drawn from preeminent urban experts in a specific thematic area and/or region. Members’ knowledge and experience shall be relevant not only for judging a full-fledged proposal but also for understanding from a short concept note the potentials of a project in terms of the nested knowledge value and the catalytic effect. The panel will maintain a regional and gender balance. Finally, diversity will also be considered in regard to the professional experiences of the experts. Nominations for the EEP are recommended by the CA-S and subsequently approved by EXCO. EEP are appointed for three years and can be confirmed by EXCO for a further mandate following a CA-S review.

29. **The Panel Process.** As per the figure 4, the Panel is called in twice during the appraisal process.

First assessment – Individual evaluation of Concept Notes [fig. 4, stage 3.1]. The batch of Concept Notes for panel consideration will be transmitted by the CA-S after check for concept notes’ compliance with the eligibility criteria (see section 3.1). Each panel member will evaluate the whole Concept Notes batch in light of the selection criteria (see section 3.2) along with a simplified classification system [e.g. A = ‘qualified’; B = ‘possible’; C = ‘not qualified’].²⁶

First assessment – Consensus meeting on Concept Notes [fig. 4, stage 3.2]. The panel will then convene through a videoconferencing to consolidate the different evaluations, arrive at a consensus and make recommendations to the CA-S as to which proposals are qualified to proceed to the next phase. The number of proposals recommended shall equal the CATF allocated budget plus 70% that number.²⁷ CA-S retains the option to make changes in the EEP’s recommendations in cases where strategic portfolio criteria (see par. 24) will need to be taken into consideration. Changes at this stage shall be recorded and conveyed to CA management.

²⁵ Initially they will be ITAs.

²⁶ The above as some of the following are initial ideas. Details will be decided in consultation with the panel chair that will be in charge of coordinating the process.

²⁷ No. of proposals covered by the budget are calculated on an average. E.g. budget 1,000,000 USD and average per proposal 100,000 USD = 10 proposals. 10 proposals + 70% = 17 proposals to be recommended.

Second assessment – Sub-group evaluation of Full Proposals [fig. 4, stage 5.1]. Full proposals will be grouped by the CA-S by affinity criteria and submitted separately to panel sub-groups. Each sub-group shall consist of 2/3 panel members. For each subgroup, members will independently evaluate the proposals assigned to their subgroup. The evaluation method shall be based on a clear-cut classification system (e.g. A = ‘good’; B = ‘satisfactory’; C. ‘not fully satisfactory’; D. ‘insufficient’; E. ‘N/A’) to be applied to each of the five criteria clusters (‘Implementation conditions’, ‘Impact’, ‘Cooperation’, ‘Innovation’ and ‘Knowledge and Learning’). For each subgroup, members will then convene and consolidate their individual evaluations into a subgroup recommendation²⁸ for that assigned batch of proposals.

Second assessment – Consensus meeting on full proposals [fig. 4, stage 5.2]. The different subgroups will convene in a one-day videoconference meeting. The objective of the meeting is to consolidate the views and recommendations of the different subgroups into a final list for CA-S approval and CG no-objection. Panel deliberation will be based on the different subgroups evaluations and on the dialogue and insights stemming from the comparison analysis across subgroups’ evaluations. The panel will be chaired by a nominated senior expert.²⁹ The CA-S will participate with a right to speak in the meeting. Decisions will be taken on consensus³⁰.

30. The EEP recommendations are reviewed by the CA-S and revised in cases where the strategic portfolio criteria (par. 24) will need to be taken into consideration. Changes at this stage shall be recorded and conveyed to CA management. The final list approved by the CA-Manager is referred to the CG for endorsement on a no-objection basis.

31. The CG will ensure that the approved list is not in conflict or duplicate members’ programs and activities. This step aims also at improving members’ coordination and convey comments³¹ and recommendations to the proponents to be taken into consideration during project implementation. If the above processes reveal any issue/objections of donor coordination, the Secretariat shall endeavor to resolve such matters through appropriate consultation. Matters that cannot be resolved in this manner will be deferred to EXCO.

²⁸ There is no limit on the number of proposals that each sub-group can recommend since meritorious proposals can be differently distributed across the different subgroups’ batches.

²⁹ Initially this might be an ITA.

³⁰ In the event that consensus is not reached within the day of the meeting, additional sessions will be scheduled following panel chair’s decisions.

³¹ CG comments (if any) will be conveyed to proponents together with CA-S comments (if any).

SECTION 4 - BACK END. THE PROCESS DURING AND AFTER SELECTION

[UNDER DEVELOPMENT WITH PAT]

4.1 The Workflow

4.2 Fiduciary

4.2.1 Financial Management

4.2.2 Procurement

4.2.3 Disbursement

4.3 Safeguards

4.4 Disclosure policies and record retention

5.1 Monitoring and Evaluation

31. The general objective of the M&E system of the CATF is to gather information in order to provide the CA-S, the main stakeholders and the CA members with:

- A. Regular information the progresses of each CATF project towards the agreed project results (the 'M')
- B. An assessment of each concluded CATF project (the 'E'). Since there are different possible focuses for a final assessment, projects' evaluation sets out to determine and reflect upon: (i) the extent to and modalities through which project results have been achieved; (ii) the extent to and modalities through which the project has impacted on the stakeholders along the two major dimensions defined by the CATF objectives - catalytic transformation and knowledge spin.

32. The following are the major tools and activities involved in the CATF M&E system and how they relate to (A) and (B) above.

Quarterly progress and financial report (fig. 5 steps 2 and 4)³². M&E at this level will be concentrated mainly on the project progress of activities in accordance with the timeline and the delivery of the outputs and will take into consideration obstacles that are encountered. The progress report will be accompanied by a financial report³³.

The midterm report (fig. 5 step 3)³⁴. This report is submitted after one year of project implementation and provides a more detailed analysis of the project status, which moves beyond checks on the project management to verify its progresses in the more broader context defined by the objectives of the CATF. Thus, for instance, questions on involvement of stakeholders and CA members as well as progresses on learning are measured. The progress report will be accompanied by a financial report.

The completion report (fig. 5 step 6)³⁵. The completion report has a threefold function. First, it provides detail on the project implementation to measure what has been achieved vis-à-vis what was initially planned as per the result framework, timeline and budget. Second, the report further elaborates on aspects central to the CATF (e.g. cooperation system, innovation, change etc.). Finally, bridging with a K&L function, the completion report provides an initial reflection on the project experiences and a look forward on potential follow up activities to enhance its impact. The completion report will be accompanied by a financial audit.

The completion report shall build on the results of a **stakeholder evaluation workshop (fig. 5 step 5)** which aims at bringing more objectivity to the process of reporting by gathering different viewpoints and experiences. The



Figure 5. The M&E Cycle

³² For the template, see Sub-Annex 3.A.

³³ The financial report requirement based following FM assessment might also be set every six months.

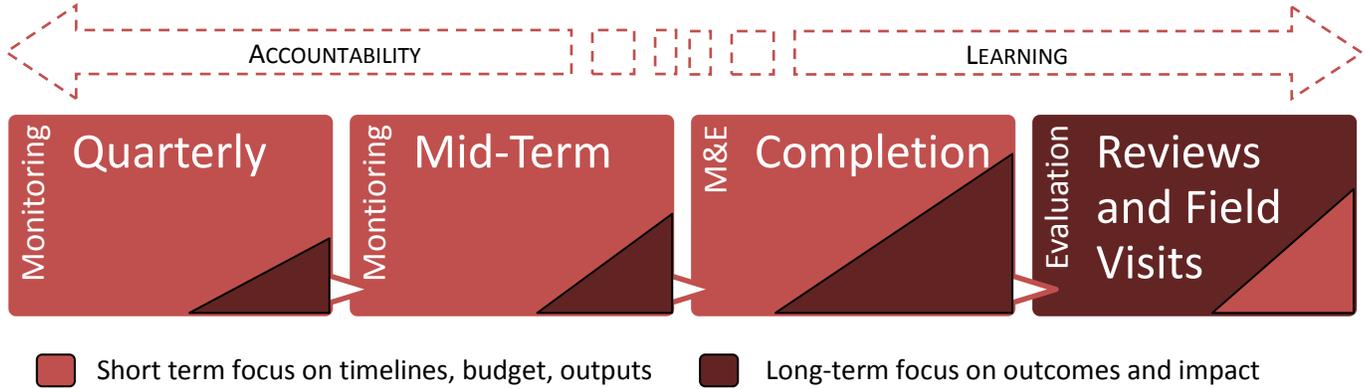
³⁴ For the template, see Sub-Annex 3.B.

³⁵ For the template, see Sub-Annex 3.C.

stakeholder workshop can also be conceived as a forum in which proposals on the way forward can be discussed and developed.³⁶

Evaluations (Desk reviews and Field visits). Desk reviews³⁷ will be carried out for each completed project within six month from the project’s end.³⁸ Where needed, they can be followed by a field visit³⁹ at discretion of the CA-S. The aim of the evaluations is to learn lessons from past experiences so as to improve the effectiveness of future planning but, most importantly, to avail valuable information to be used for K+L activities of the CA, its members and constituency. The review will assess the project’s ‘success’ based on a series of conceptual benchmarks derived from the objective of the CATF but also from other priorities of the CA which might be strategically relevant at a point in time (e.g. C+A purposes). The evaluations will also include recommendations for improving the quality of future project.

Figure 6. The different CATF M&E tools and their main focuses



³⁶ This represents a continuation of stakeholder involvement in earlier stages of the project, at the planning cycle and rebuts a commitment of the CA towards dialogue and participation. Minutes for the workshop report will be included as a part of the completion report material.

³⁷ For the template, see Sub-Annex 3.D.

³⁸ Evaluation will be carried out by ITAs so that part of the learning can feed into the EEP.

³⁹ Field visits might involve CA members.

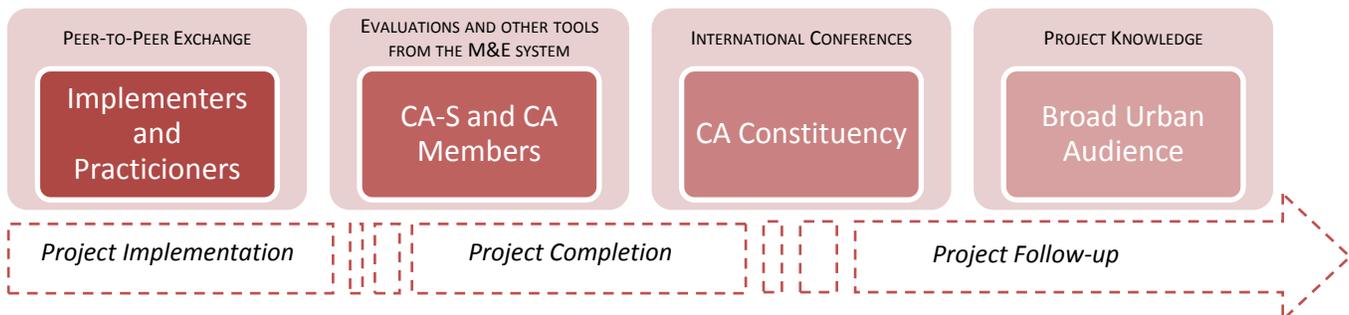
5.2 Knowledge and Learning

33. As per the second objective of the CATF, the K+L component shall aim at actively support projects in view of their potential to become a case studies and generate practical experiences in dealing with a well defined problem, which address local needs as well as the knowledge interest of the CA.

34. The main activities of knowledge generation, sharing and learning envisioned under the CATF are:

- ❖ Peer-to-peer exchange activities during project implementation.⁴⁰ This exchange shall occur between the city/country implementing the project and a city/country from a different countries and be organized around specific learning opportunities stemming from the project implementation.
- ❖ Evaluations. Information gathered through desk reviews and field visits part of the M&E system (see par. 5.1) can be used for knowledge and learning activities. As said in 5.1, evaluations are already targeted on ‘reflection’ and ‘impact’ both of which aspects can be of high relevance for future planning and organizational learning of CA members for their development interventions.⁴¹
- ❖ International Conferences. When opportunities are identified, CATF project results and experiences can be presented directly by the implementers to a to a peer audience of professional and policy makers in the context of international conferences (e.g. at WUF, UCLG congress, Africities, and other).
- ❖ Project Knowledge. Project experiences can also be captured and distilled outside the rigid format of reports and evaluations and be narrated by professional writers in the idea of reaching a broader audience and raise the profile of cities. This category does also include case studies (written and multi-media) and practitioner’s note.

Figure 7. Four Learning Activities and their main audience



35. The EEP process might also reveal as a useful resource for the CA learning function. The debates emerging from the consensus building for the funding decisions might be extremely relevant and insightful with regard to the current trends and innovative solutions in urban development and, as such, be of great interest to an audience beyond the CA-S. A mechanism to facilitate the sharing of this knowledge with CA members, partners and beyond would be to synchronize the selection meetings with a CA event, e.g. the CG meeting, or with renowned international events, e.g. WUF or UCLG congress.

⁴⁰ This is to be budgeted in the proposal.

⁴¹ Possible mechanisms to favor this would be to have ITAs who do evaluation to report back on the results not only to CA-S but also to the Policy Advisory Forum and the members.

Guidelines and tools for the preparation of the Concept Note to apply to the Cities Alliance Catalytic Fund

[CA LOGO]

[BLURB on CA]

[Specification of the selection process]

[Eligibility Criteria]

[Template instructions]

Annex Index

- ❖ Sub-Annex 1.A. Concept Note Template
- ❖ Sub-Annex 1.B. List of eligible countries
- ❖ Sub-Annex 1.C. List of current Cities Alliance members
- ❖ Sub-Annex 1.D. CA sponsors TOR
- ❖ Sub-Annex 1.E. Recipient TOR

Concept Note Template to apply to the Cities Alliance Catalytic Fund



Section 1 - GENERAL PROJECT INFORMATION	
1.1 Title of proposed project (Create a short but descriptive title that captures the overall scope of the project)	1.2 Submission date
<p>1.3 Proposal submitted by [A proposal is typically submitted by a mayor or a metropolitan or district governor, or the head of a national local authority association. In the case of national level actions, the proposal is usually submitted by a ministry or urban development agency or authority. Other type of organizations such as civil society organization or universities can also apply]</p> <p>Organization: Name and title: [Please insert full details of the person responsible that will be answering communications related to the proposal] Address: Telephone/Fax/E-mail:</p>	
<p>1.4 Main Implementing Organization [Please insert the name of the organization and the person responsible that will have overall responsibility for achieving the project's objective, for managing the project, and reporting on progress]</p> <p>Organization: Name and title: Address: Telephone/Fax/E-mail:</p>	
<p>1.5 Recipient Organization [Please insert the name of the organization and the person responsible that will receive and sign the CA grant – [See Recipient TOR Sub-Annex 1.D]</p> <p>Organization: Name and title: Address: Telephone/Fax/E-mail:</p>	
<p>1.6 CA member(s) sponsoring the application [See Sponsor TOR – Sub-Annex 1.E] [It can be the same as in 1.4 and 1.5. Please add additional text boxes below if more than one CA member is sponsoring]</p> <p>Organization: Name and title of representative in charge: Address: Telephone/Fax/E-mail:</p>	<p>Type of sponsorship [To mark a checkbox double-click on it, and choose 'checked' from the default value section] [more than one box can be checked]</p> <p><input type="checkbox"/> Co-implementation <input type="checkbox"/> Co-funding <input type="checkbox"/> Grant Management <input type="checkbox"/> Analytic and/or Advisory Assistance and Support <input type="checkbox"/> Joint Knowledge Management [e.g. M&E, learning events]</p>
<p>1.7 Government entity endorsing the application</p> <p>Ministry/Department/Organization/Unit: Name and title of representative in charge: Address: Telephone/Fax/E-mail:</p>	
<p>1.7 What is the main project theme? [To mark a checkbox double-click on it, and choose 'checked' from the default value section] [only one box can be checked]</p> <p><input type="checkbox"/> Citizen engagement <input type="checkbox"/> City management <input type="checkbox"/> Security of tenure and access to shelter</p>	<p>1.9 Geographic scope of the project [To mark a checkbox double-click on it, and choose 'checked' from the default value section] [more than one box can be checked]</p> <p><input type="checkbox"/> City: [specify] <input type="checkbox"/> State/province: [specify]</p>

<input type="checkbox"/> Environment <input type="checkbox"/> Access to economic opportunities <input type="checkbox"/> Access to affordable services <input type="checkbox"/> Other (please specify)	<input type="checkbox"/> Country: [specify] <input type="checkbox"/> Global / Regional / Multi-city / Multi-country: [specify]
1.9 Expected project duration [please note that this is expected to be two years maximum]	1.10 Budget Summary Total Grant amount requested from CA: [US\$] Total amount of Co-financing: [US\$] Total Project costs: [US\$]

Section 2 – PROJECT CONCEPT and DESCRIPTION [LENGHT TO BE DECIDED] [Please answer each question below in the order presented]
<ul style="list-style-type: none"> ❖ What are the key issues to be addressed? ❖ Why is this project needed? ❖ How different it is this project from other or earlier projects? ❖ What is the main objective of the project? ❖ What are the expected outcomes of the project [The <u>Project Outcomes</u> are the direct short term benefits produced by the project outputs and their utilization. What is the benefit and who will benefit? Where appropriate please pay attention to gender, age and other relevant characteristics] ❖ What are the main activities and outputs of the project? [The '<u>Project Activities</u>' are the actions taken or the work performed to produce the outputs. The <u>Project Outputs</u> are the deliverables, i.e. products, goods and services - including knowledge and skills - that result <i>directly</i> from the project activities. Please list all outputs which are relevant to observe progress towards the objectives] ❖ How does this project initiate, complement and leverage, other urban development programmes? ❖ How will the project facilitate broad participation of stakeholders, build partnerships and achieve complementary cooperation?

SECTION 3 – PROJECT and FIDUCIARY RISKS
3.1 Project Risks
<ul style="list-style-type: none"> ❖ Will the project entail any social risks? (e.g. impacts on indigenous people, resettlement etc.) <input type="checkbox"/> YES <input type="checkbox"/> NO [If yes please describe the mitigating measures to be undertaken to minimize potential adverse impacts] ❖ Will the project entail any environmental risks? (e.g. impact on forest conservation area, natural habitats etc) <input type="checkbox"/> YES <input type="checkbox"/> NO [If yes please describe the mitigating measures to be undertaken to minimize potential adverse impacts] ❖ Will it be necessary any early screening to assess, minimize and mitigate potential adverse impacts? <input type="checkbox"/> YES <input type="checkbox"/> NO
3.2 Financial Management [as applies to Recipient organization, see 1.3]
<ul style="list-style-type: none"> ❖ Is the Recipient a registered organization under the countries'/cities' legal requirement? <input type="checkbox"/> YES <input type="checkbox"/> NO ❖ Can the Recipient provide proof of registration and years of operation? <input type="checkbox"/> YES <input type="checkbox"/> NO ❖ Is it the Ministry of Finance aware about the activity? <input type="checkbox"/> YES <input type="checkbox"/> NO ❖ Does the Recipient follow any Procurement Guidelines and if so can this document be provided for review? <input type="checkbox"/> YES <input type="checkbox"/> NO ❖ Does the Recipient have or can open a bank account? <input type="checkbox"/> YES <input type="checkbox"/> NO ❖ Is the Recipient liable for audit? <input type="checkbox"/> YES <input type="checkbox"/> NO

List of eligible countries⁴²

Least Developed Countries	Other Low Income Countries (per capita GNI < \$935 in 2007)	Lower Middle Income Countries and Territories (per capita GNI \$936-\$3 705 in 2007)	Upper Middle Income Countries and Territories (per capita GNI \$3 706-\$11 455 in 2007)
Afghanistan Angola Bangladesh Benin Bhutan Burkina Faso Burundi Cambodia Central African Rep. Chad Comoros Congo, Dem. Rep. Djibouti Equatorial Guinea Eritrea Ethiopia Gambia Guinea Guinea-Bissau Haiti Kiribati Laos Lesotho Liberia Madagascar Malawi Maldives Mali Mauritania Mozambique Myanmar Nepal Niger Rwanda Samoa São Tomé and Príncipe Senegal Sierra Leone Solomon Islands Somalia Sudan Tanzania Timor-Leste Togo Tuvalu Uganda Vanuatu Yemen Zambia	Côte d'Ivoire Ghana Kenya Korea, Dem. Rep. Kyrgyz Rep. Nigeria Pakistan Papua New Guinea Tajikistan Uzbekistán Viet Nam Zimbabwe	Albania Algeria Armenia Azerbaijan Bolivia Bosnia and Herzegovina Cameroon Cape Verde China Colombia Congo, Rep. Dominican Republic Ecuador Egypt El Salvador Former Yugoslav Republic of Macedonia Georgia Guatemala Guyana Honduras India Indonesia Iran Iraq Jordan Kosovo (3) Marshal Islands Micronesia, Federated States Moldova Mongolia Morocco Namibia Nicaragua Niue Palestinian Adm. Areas Paraguay Peru Philippines Sri Lanka Swaziland Syria Thailand *Tokelau Tonga Tunisia Turkmenistan Ukraine *Wallis & Futuna	*Anguilla Antigua and Barbuda (1) Argentina Barbados (2) Belarus Belize Botswana Brazil Chile Cook Islands Costa Rica Croatia Cuba Dominica Fiji Gabon Grenada Jamaica Kazakhstan Lebanon Libya Malaysia Mauritius *Mayotte Mexico Montenegro *Montserrat Nauru Oman (1) Palau Panama Serbia Seychelles South Africa *St. Helena St. Kitts-Nevis St. Lucia St. Vincent & Grenadines Suriname Trinidad & Tobago (2) Turkey Uruguay Venezuela

*Territory

(1) Antigua & Barbuda and Oman exceeded the high income country threshold in 2007. In accordance with the DAC rules for revision of this List, both will graduate from the List in 2011 if they remain high income countries until 2010.

(2) Barbados and Trinidad & Tobago exceeded the high income country threshold in 2006 and 2007. In accordance with the DAC rules for revision of this List, both will graduate from the List in 2011 if they remain high income countries until 2010.

(3) This does not imply any legal position of the OECD regarding Kosovo's status.

As of April 2008, the Heavily Indebted Poor Countries (HIPCs) are : Afghanistan, Benin, Bolivia, Burkina Faso, Burundi, Cameroon, Central African Republic, Chad, Comoros, Congo (Dem. Rep.), Congo (Rep.), Côte d'Ivoire, Eritrea, Ethiopia, Gambia, Ghana, Guinea, Guinea-Bissau, Guyana, Haiti, Honduras, Kyrgyz Republic, Liberia, Madagascar, Malawi, Mali, Mauritania, Mozambique, Nicaragua, Niger, Rwanda, São Tomé and Príncipe, Senegal, Sierra Leone, Somalia, Sudan, Tanzania, Togo, Uganda and Zambia.

⁴² OECD Development Assistance Committee's List of Aid Recipients, www.oecd.org/dac/stats/daclist, approved August 2009, effective for reporting 2009 and 2010 flows.

Cities Alliance Members

NON GOVERNMENTAL ORGANIZATIONS

Slum Dwellers International (SDI)
 P.O. BOX 14038, Mowbray 7705
 Cape Town, South Africa
 Tel: (+27) 21 689 9408
 Fax: (+27) 21 689 3912
 E-mail: sdi@courc.co.za
 Website: www.sdinet.org

Habitat for Humanity International
 121 Habitat Street
 Americus, Georgia 31709-3498 USA
 Tel: 1-800-422-4828
www.habitat.org

LOCAL AUTHORITIES

United Cities and Local Governments (UCLG)
 Carrer Avinyó, 15
 08002 Barcelona
 España
 Tel: (+34) 93 34 28 750
 Fax: (+34) 93 34 28 760
 Email: info@cities-localgovernments.org
 Website: www.cities-localgovernments.org

Metropolis
 Secretariat General of Metropolis
 Avinyó, 15, 08002 Barcelona, Spain
 Tel: (+34) 93 342 94 60
 Fax: (+34) 93 342 94 66
 E-mail: metropolis@mail.bcn.es
 Website: www.metropolis.org

GOVERNMENTS

Australia
 AusAID
 255 London Circuit
 Postal Address: GPO Box 887
 Canberra ACT 2601
 Tel: 61 2 6206 4000
 Fax: 61 2 6206 4880
 E-mail: infoausaid@ausaid.gov.au
 Website: www.ausaid.gov.au

Chile
 Ministerio de Vivienda y Urbanismo (MINVU)
 Alameda 924 - Santiago – Chile. Código postal: 6513482
 Tel. (56-2) 351 3000
 Fax (56-2) 633 7830
 Website: www.minvu.cl

Brazil
 MINISTÉRIO DAS CIDADES
 Esplanada dos Ministérios Bloco “A”, 2º andar
 Zona Cívico-Administrativa, Brasília – DF – CEP 70054-900
 Tel: 00 55 61 411 – 4625
 Fax: 00 55 61 226-5829
 E-mail: mcidades@idades.gov.br
 Website: www.cidades.gov.br

Ethiopia
 Ministry of Works and Urban Development
 PO Box 1238, Addis Ababa, Ethiopia
 Tel: (25-1) 11 55 18 292/11 55 16 166
 Fax: (25-1) 527969
 Website: www.ethiopar.net

CAIXA Econômica Federal
 SBS Quadra 4, lotes 3/4, 21ª andar 70.070-140
 Brasília, D.F. Brazil
 Tel:(61) 414-8543 / (61) 414-9107
 Fax: (61) 414-9718 / 414-97
 E-mail: caixa.imprensa@caixa.gov.br
 Website: www.caixa.gov.br

France
 Ministère des Affaires Etrangères (MAE)
 20 rue Monsieur 75007, Paris
 Tel: (33) 1 53-69-42-24
 Fax: (33) 1 53 69 30 43
 Website: www.diplomatie.gouv.fr

Le Groupe de l'Agence française de Développement (AFD)
 5, rue Roland Barthes, 75598 PARIS Cedex 12, FRANCE
 Tel: + 33 1 53 44 31 31
 Fax: + 33 1 44 87 99 39
 E-mail: site@afd.fr
 Website: www.afd.fr

Institut des Sciences et des Techniques de l'Équipement et de l'Environnement pour le Développement (ISTED)
La Grande Arche, Paroi Nord
92055 La Défense Cedex France
Tel : 33-(0)1-40-81-24-06
Fax: 33-(0)1-40-81-23-31
E-mail: isted@i-carre.net
Website: www.isted.com

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Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ)
Dahlmannstraße 4
53113 Bonn
Tel: +49 (0) 228 99 535-0
Fax: +49 (0) 228 99 535-3500
E-mail: info@bmz.bund.de
Website: www.bmz.de

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH
Regionalization, Decentralization and Municipal Development
Dag-Hammarskjöld-Weg 1-5
Postfach 51 80
65726 Eschborn, Germany
Phone: 0049 - 6196 - 79 -1657 / 1529
Fax: 0049 - 6196 - 79 -6104
E-mail: annette.baehring@gtz.de / sophia.sprenger@gtz.de
Website: www.gtz.de

KfW Bankengruppe
Palmengartenstrasse 5-9
60325 Frankfurt am Main
Phone: +49 180 1 33557
Fax: +49 69 7431-64355
E-mail: infocenter@kfw.de
Website: www.kfw.de

Italy
Ministero degli Affari Esteri
Italian Ministry of Foreign Affairs
Piazzale della Farnesina, 1, ingresso lato Stadio Olimpico
Tel: +39 06.3691.8899
Fax: +39 06.3236210
E-mail: relazioni.pubblico@esteri.it
Website: www.esteri.it

Netherlands
Ministry of Foreign Affairs
Postal Address: PO Box 20061, 2500 EB The Hague,
The Netherlands
Tel: +31 70 3486486
Fax: + 31 70 3484848

Website: <http://www.minbuza.nl/>

Nigeria
Ministry of Housing and Urban Development
Mabushi District, Abuja
Tel: 09-52111631, 09-6713455
Fax: 09-5211847
Website: <http://www.nigeria.gov.ng/>

Norway
Ministry of Foreign Affairs (ODIN)
Møllergata 17, Oslo
Norway
Tel: 47 22 24 50 55
Fax: 47 22 24 95 20
E-mail: pressesenteret@ft.dep.no
Website: www.regjeringen.no

Philippines
Housing and Urban Development Coordinating Council (HUDCC)
9/F, Banco de Oro Plaza, Paseo de Roxas
Makati City, Philippines
Tel: (632) 811-4113
Fax: (632) 811-4118
Website: www.hudcc.gov.ph

League of Cities of the Philippines (LCP)
LCP SECRETARIAT
1278 Estrada corner Lemery Streets
Malate, Manila 1004, Philippines
Tel: 521-6461 or 521-8239
Fax: 521-6461 or 521-8239
E-mail: secretariat@lcp.org.ph
Website: www.lcp.org.ph

South Africa
National Department of Housing, South Africa
National Department of Housing
Private Bag X644
PRETORIA
Republic of South Africa 0001
Tel: +27 12 421 1311
Fax: +27 12 341 8510
E-mail: Tsepho@housing.gov.za / Mmakgosi@housing.gov.za
Website: www.housing.gov.za

Spain
Agencia Española de Cooperación Internacional (AECI)
Av. Reyes Católicos 4- 28040 Madrid, ESPAÑA
Teléfonos:+34 91 583 81 00/01/02
Fax: +34 91 583 83 10 /11/13
E-mail: centro.informacion@aeci.es
Website: www.aecid.es

Sweden
Swedish International Development Cooperation Agency (SIDA)
105 25 Stockholm, Sweden
Tel: + 46 8 698 50 00
Fax: +46 8 20 88 64
E-mail: sida@sida.se
Website: www.sida.se

United Kingdom
Department for International Development (DFID)
1 Palace Street, London SW1E 5HE, United Kingdom

Tel: +44 1355 84 3132
Fax: +44 (0) 1355 84 3632
E-mail: enquiry@dfid.gov.uk
Website: www.dfid.gov.uk
United States
U.S. Department of State
2201 C Street NW,
Washington, DC 20520
Tel: 202-647-4000
Website: <http://www.state.gov/>

The United States Agency for International Development (USAID)
Information Center
U.S. Agency for International Development
Ronald Reagan Building, Washington, D.C. 20523-1000
Tel: (202) 712-4810
Fax: (202) 216-3524
E-mail: pinquiries@usaid.gov

MULTI-LATERAL ORGANIZATIONS

European Union
European Commission
Archimède 73
rue Archimède, 73
1000 - Bruxelles - Belgium
Tel: +32-2-29 53844
Website: <http://ec.europa.eu/>

Development and Relations with African, Caribbean and Pacific States
SC-15 00/70
1040 Brussels - Belgium
Tel: +32 (0)2 299 21 43
Fax: +32 (0)2 296 49 26
Website: <http://ec.europa.eu/development/>

United Nations Human Settlements Programme (UN-HABITAT)
P.O. Box 30030, Nairobi, Kenya
Tel: (254 20) 623120

Fax: (254 20) 623477
E-mail: infohabitat@unhabitat.org
Website: www.unhabitat.org

United Nations Environment Programme (UNEP)
Division of Policy Development and Law
Urban Environment Unit
P.O. Box 30552, 00100 Nairobi, Kenya
Tel: +254-20-624184
Fax: +254-20-624324/623861
E-mail: urban.environment@unep.org
Website: www.unep.org

World Bank
1818 H. St., NW
Washington, DC 20433
Tel: (202) 478-5300
Fax: (202) 614-1582
Website: www.worldbank.org

ASSOCIATE MEMBERS

International Labour Organisation (ILO)
4, route des Morillons
CH-1211 Geneva 22, Switzerland
Tel: +41.22.799.6111
Fax: +41.22.798.8685
E-mail: ilo@ilo.org
Website: www.ilo.org

United Nations Development Programme (UNDP)
One United Nations Plaza
New York, NY 10017, USA
Tel: (212) 906-5558
Fax: (212) 906-5364
Website: www.undp.org

- ❖ Sub-Annex 1.E. CA sponsors TOR
- ❖ Sub-Annex 1.F. Recipient TOR

Guidelines and tools for the preparation of the Full Application to apply to the Cities Alliance Catalytic Fund

[CA LOGO]

[BLURB on CA]

[Specification of the selection process]

[Eligibility Criteria]

[Template instructions]

Annex Index

- ❖ Sub-Annex 2.A. Full Application Template
- ❖ Sub-Annex 2.B. Developing a Results Framework
- ❖ Sub-Annex 2.C. Safeguards Guidance
- ❖ Sub-Annex 2.D. List of eligible countries
- ❖ Sub-Annex 2.E. List of current Cities Alliance members
- ❖ Sub-Annex 2.F. CA sponsors TOR
- ❖ Sub-Annex 2.G. Recipient TOR

Full Application Template to apply to the Cities Alliance Catalytic Fund



Section 1 - GENERAL PROJECT INFORMATION	
1.1 Title of proposed project [Kindly use the same title of the concept note]	1.2 Submission date
1.3 Proposal submitted by [A proposal is typically submitted by a mayor or a metropolitan or district governor, or the head of a national local authority association. In the case of national level actions, the proposal is usually submitted by a ministry or urban development agency or authority. Other type of organizations such as civil society organization or universities can also apply] Name and title: Organization: Address: Telephone/Fax/E-mail:	1.4 Contact Person [Please insert full details of the person responsible that will be answering communications related to the proposal]
1.5 Main Implementing Organization [Please insert the name of the organization and the person responsible that will overall responsibility for achieving the project’s objective, for managing the project, and reporting on progress] Organization: Name and title: Address: Telephone/Fax/E-mail:	
1.5b Other Implementing Organization [Please insert the name of the organization and the person responsible that will overall responsibility for achieving the project’s objective, for managing the project, and reporting on progress] Organization: Name and title: Address: Telephone/Fax/E-mail:	
1.6 Recipient Organization [Please insert the name of the organization and the person responsible that will receive and financially manage the CA grant – [See Recipient TOR Sub-Annex 2.F] Organization: Name and title: Address: Telephone/Fax/E-mail:	
1.7 CA member(s) sponsoring the application [See Sponsor TOR Sub-Annex 2.G] [It can be the same as in 1.5 and 1.6] Please add additional text boxes below if more than one CA member is sponsoring] Organization: Name and title of representative in charge: Address: Telephone/Fax/E-mail:	Type of sponsorship [To mark a checkbox double-click on it, and choose ‘checked’ from the default vale section] <input type="checkbox"/> Co-implementation <input type="checkbox"/> Co-funding <input type="checkbox"/> Grant Management <input type="checkbox"/> Analytic and/or Advisory Assistance and Support <input type="checkbox"/> Joint Knowledge Management [e.g. M&E, learning events]

<p>1.7b CA member(s) sponsoring the application [Please add additional text boxes below if more than one CA member is sponsoring]</p> <p>Organization: Name and title of representative in charge: Address: Telephone/Fax/E-mail:</p>	<p>Type of sponsorship [To mark a checkbox double-click on it, and choose 'checked' from the default vale section]</p> <p><input type="checkbox"/> Co-implementation <input type="checkbox"/> Co-funding <input type="checkbox"/> Grant Management <input type="checkbox"/> Analytic and/or Advisory Assistance and Support <input type="checkbox"/> Joint Knowledge Management [e.g. M&E, learning events]</p>																		
<p>1.8 Government endorsing the application</p> <p>Ministry/Organization/Unit: Name and title of representative in charge: Address: Telephone/Fax/E-mail:</p>																			
<p>1.9 What is the main project theme? [To mark a checkbox double-click on it, and choose 'checked' from the default value section] [only one box can be checked]</p> <p><input type="checkbox"/> Citizen engagement <input type="checkbox"/> City management <input type="checkbox"/> Security of tenure and access to shelter <input type="checkbox"/> Environment <input type="checkbox"/> Access to economic opportunities <input type="checkbox"/> Access to affordable services <input type="checkbox"/> Other (please specify)</p>	<p>1.13 Budget Summary</p> <p>Total amount requested to CA: XXX</p> <table border="1"> <thead> <tr> <th>SOURCE</th> <th>Total</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>CA</td> <td></td> <td></td> </tr> <tr> <td>Co-financier 1</td> <td></td> <td></td> </tr> <tr> <td>Co-financier 2</td> <td></td> <td></td> </tr> <tr> <td>Government</td> <td></td> <td></td> </tr> <tr> <td>TOTAL Project Cost</td> <td></td> <td></td> </tr> </tbody> </table>	SOURCE	Total	%	CA			Co-financier 1			Co-financier 2			Government			TOTAL Project Cost		
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<p>1.11 Expected project duration [please note that this is expected to be two years maximum]</p>																			
<p>1.10 Geographic scope of the project [To mark a checkbox double-click on it, and choose 'checked' from the default vale section]</p> <p><input type="checkbox"/> City: [specify] <input type="checkbox"/> State/province: [specify] <input type="checkbox"/> Country: [specify] <input type="checkbox"/> Global / Regional / Multi-city / Multi-country: [specify]</p>	<p>1.12 Does the recipient organization expect to provide sub-grants to a sub-recipient?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>																		

<p>Section 2 – PROJECT BACKGROUND</p>
<p>2.1 Project Summary</p>
<p>2.2 What is the context of the project?</p>
<p>2.3 What are the issues and needs that the project will address?</p>

Section 3 – PROJECT DESIGN		
<p>3.1 Stakeholder involvement and contributions [This section should provide a systematic analysis of all possible stakeholders, their interest but also their concerns with respect to the project (gender, age and other relevant characteristics should be taken into account). In a second step, the expected involvement or contributions of each stakeholder should be analyzed. The fastest way to conduct a stakeholder analysis might be in the context of an initial participatory planning workshop, where the project goals and the strategies are discussed with key stakeholders. Complementary interviews with other stakeholders should be conducted in order to get a comprehensive understanding]</p>		
<p>Who are the key stakeholders? [Please feel free to add additional stakeholders that might be relevant for your project. Examples of most common stakeholder include Government institutions, Local government associations, NGO, Private sector, universities, media, urban population and beneficiaries]</p>	<p>What are their interests and/or concerns with respect to the project? [What are their views? Why is the project important to that group or organization? Where do they see obstacles or limitations?]</p>	<p>What are their expected involvement and/or contributions to the project? [What could the group or organization contribute to support the project (know how, financial resources, public relations, etc.) Please indicate which organization will assume responsibility in carrying out specific activities or delivering specific products or services for the project (= implementing partners)]</p>
Stakeholder 1		
Stakeholder 2		
Stakeholder 3		
<p>3.2 Results framework [please see Sub-Annex 2.B for guidance about how to develop the framework]</p>		
Project Logic	Indicators	Assumptions
Goal/Objective		
Outcomes		
Outputs		
Activities		
<p>3.3. In which respects are the project concept and/or activities and/or deliverables innovative in your context?</p>		
<p>3.4 How will the project scale up and institutionalize its approach? [Please describe how you intend to increase or extend the impacts of the project. How will the results and experiences of this project be made useful to solve similar problems in the same city or in others? (e.g. by modifying legal definition or policies relevant for urban development; enhanced institutional mandates or capacities; coordinating mechanisms, workflows, enhanced capacities of stakeholders, other)]</p>		
<p>3.5 How will the project engage financing partners to provide capital for the implementation of plans and strategies to be developed by the project? [Please give special attention to capital investment for infrastructure]</p>		
<p>3.6 How is the project aligned to National and Sub-national policies, strategies and activities?</p>		
<p>3.8 How will the project facilitate broad participation of stakeholders, build partnerships and achieve complementary cooperation? [This section should explain how the interests of the stakeholders and their possible contribution, as indentified in 3.1, will be addressed and mobilized. Please include CA-members and other development partners. If appropriate, consider different needs and potentials of men and women (gender)]</p>		

<p>3.9 How will the project facilitate learning processes and dissemination of knowledge? [Which mechanisms for monitoring, evaluation and learning will be used or established by the project? How will M&E be used to stimulate learning processes within the project management, among stakeholders and beyond? How do you plan to disseminate the project's experiences on local and national level and for the Cities Alliance?]</p>

<p>Section 4 – PROJECT IMPLEMENTATION CONTEXT</p>																					
<p>4.1. Please describe any impacts associated with the proposed project of social or environmental nature. Identify and describe any potential large scale, significant and/or irreversible impacts which project activities might produce</p>																					
<p>4.2. Please describe any potential indirect and/or long term impacts of social and environmental nature due to anticipated future activities in the project area or linked to project follow up</p>																					
<p>4.3 If adverse impact is mentioned in 4.1 and 4.2, please describe measures that exist or can be taken to mitigate potential negative impact of the project</p>																					
<p>4.4 Please identify and describe any associated or parallel project [please describe only those projects which occur in the same context and timespan and which might impact, link or have some practical implications on components and activities of the proposed project]</p>																					
<p>4.5 Please describe the experience and capacity of the implementing organization in executing and supervising projects</p>																					
<p>4.6 Please describe the implementation arrangement and the funds flow [To this effect a flow chart/graph illustrating the funds flow and how the project will be managed is welcomed]</p>																					
<p>4.7 Fiduciary Risks [as applies to Recipient organization, see 1.6]</p> <table border="0"> <tr> <td>❖ Is the Recipient a registered organization under the countries'/cities' legal requirement?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td>❖ Can the Recipient provide proof of registration and years of operation?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td>❖ Is it the Ministry of Finance aware about the activity?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td>❖ Does the Recipient have or can open a bank account?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td>❖ Is the Recipient liable for audit?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td>❖ Does the Recipient follow any Procurement Guidelines and if so can this document be provided for review?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> <tr> <td>❖ Is the Recipient Familiar with World Bank procurement guidelines?</td> <td><input type="checkbox"/> YES</td> <td><input type="checkbox"/> NO</td> </tr> </table>	❖ Is the Recipient a registered organization under the countries'/cities' legal requirement?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	❖ Can the Recipient provide proof of registration and years of operation?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	❖ Is it the Ministry of Finance aware about the activity?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	❖ Does the Recipient have or can open a bank account?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	❖ Is the Recipient liable for audit?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	❖ Does the Recipient follow any Procurement Guidelines and if so can this document be provided for review?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	❖ Is the Recipient Familiar with World Bank procurement guidelines?	<input type="checkbox"/> YES	<input type="checkbox"/> NO
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Section 5 - PROJECT SCHEDULES AND DELIVERABLES									
Key activities [Please mark the duration of the main activities (#####) and indicate what deliverable is planned to be due in which time period] [activities can be grouped in 'components' and/or separated in 'sub-activities' if needed]	WHO [please specify the entity responsible for the DIRECT implementation of the activity. If the entity needs to be contracted please specify 'consultancy']	YEAR 1				YEAR 2			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1. Component									
1.1 Activity: <i>e.g. baseline survey</i>		####	####	<i>Data base</i>					
1.2 Activity:									
1.3 Activity:									
1.4 Activity:									
2. Component									
2.1 Activity:									
2.2 Activity:									
2.3 Activity:									
2.4 Activity:									
3. Component									
3.1 Activity:									
3.2 Activity:									
3.3 Activity:									
3.4 Activity:									
Budget requirements by trimester		US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$

Section 6 - PROJECT BUDGET [Please add or delete lines as needed. This budget is for the grant amount requested to CA]

	Budget per expenditure category (US\$)					Comments
	Consulting Services	Training/ Workshops/ Seminars	Dissemination	Other [please specify in Comments]	TOTAL (US\$)	
A. PROJECT ACTIVITIES [please add/delete lines where needed]						
1. Component						
1.1 Activity: e.g. baseline survey	US\$	US\$	US\$	US\$	US\$	
1.2 Activity:	US\$	US\$	US\$	US\$	US\$	
1.3 Activity:	US\$	US\$	US\$	US\$	US\$	
1.4 Activity:	US\$	US\$	US\$	US\$	US\$	
2. Component						
2.1 Activity:	US\$	US\$	US\$	US\$	US\$	
2.2 Activity:	US\$	US\$	US\$	US\$	US\$	
2.3 Activity:	US\$	US\$	US\$	US\$	US\$	
2.4 Activity:	US\$	US\$	US\$	US\$	US\$	
A. SUB-TOTAL PROJECT ACTIVITIES	US\$	US\$	US\$	US\$	US\$	
B. OPERATING COSTS [maximum 15% of the total]						
Independent Audit					US\$	
Supervision Costs	US\$	US\$	US\$	US\$	US\$	
B. SUB-TOTAL OPERATING COSTS	US\$	US\$	US\$	US\$	US\$	
TOTAL (A+B)					US\$	

Section 6 - BUDGETING ASSUMPTIONS [ONLY FOR CONSULTING SERVICES]

Type of Consulting Services	Unit Description	Unit Cost	No. of units	TOTAL (US\$)
Consultant A [please specify if (a) individual or firm; and (b) scope of assignment]	[e.g. day, hour, lump sum]	US\$		
Consultant B [please specify if (a) individual or firm; and (b) scope of assignment]		US\$		

- ❖ Sub-Annex 2.B. Developing a Results Framework
- ❖ Sub-Annex 2.C. Safeguards Guidance
- ❖ Sub-Annex 2.D. List of eligible countries
- ❖ Sub-Annex 2.E. List of current Cities Alliance members
- ❖ Sub-Annex 2.F. CA sponsors TOR
- ❖ Sub-Annex 2.G. Recipient TOR