Cities Alliance
Cities Without Slums

PORTFOLIO SUMMARY

FISCAL YEAR 2009

September 2009

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1. INTRODUCTION

The 2009 portfolio review summary is intended to provide a brief report on Cities Alliance funding activities for country-specific[1] and regional and global[2] activities in fiscal year 2009 and to provide a comparison with the funding activities from the last two fiscal years (2007 and 2008). In this report, funding activities related to (1) Secretariat budget managed allocations and (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities) were excluded from the analyses. The report will present the following summary analyses:

> Number of projects and funding amount approved
> Approved grant size for country-specific projects
> Distribution of country-specific projects by DAC list of ODA recipients
> Project sponsorships for country-specific projects
> Project partners for country-specific projects

The data used for the analyses were made available from the Cities Alliance Secretariat project database, and the report was prepared by the Secretariat Information Management Team.

2. NUMBER OF PROJECTS AND FUNDING AMOUNT APPROVED

The total number of projects and funding amount approved in fiscal year 2009 increased in comparison with the total number of projects and amount approved for funding in fiscal years 2007 and 2008, as illustrated in Table 1. In fiscal year 2009, a total of 30 projects (with total funding of US$ 6,434,489) were approved for funding, of which 16 were country-specific projects (with total funding of US$ 3,945,339) and 14 were regional and global projects (with total funding of US$ 2,489,150).

While the number of projects and funding amount approved for country-specific projects varied over the fiscal years 2007, 2008 and 2009, the number of projects for funding approved for regional and global projects increased significantly in fiscal year 2009. The increase is partly due to the large proportion of Joint Work Programmes with Alliance members that were approved in fiscal year 2009.

**Table 1   Distribution of Country-Specific and Regional and Global Projects* and
Amount Approved in Fiscal Years 2007, 2008 and 2009**

[1] These activities are primarily focused on achieving results through country-specific activities. Project proposals typically originate from local authorities, but in all cases must be approved by the government of the recipient country, be sponsored by at least one member of the Cities Alliance, and have established channels to meet investment requirements.

[2] These activities are designed to raise awareness, increase learning and disseminate good practices. They include establishing knowledge sharing networks and databases for city development strategies, scaling-up urban upgrading programmes, mainstreaming indicators as well as developing guidelines and other tools that advance collective know-how.

	Country-Specific		Regional & Global		Total	
Fiscal Year	Number of Projects	Amount Approved (US$)	Number of Projects	Amount Approved (US$)	Total Number of Projects	Total Number of Projects
2007	17	2,643,625	0	0	17	2,643,625
2008	23	5,145,450	3	620,000	26	5,765,450
2009	16	3,945,339	14	2,489,150	30	6,434,489

Note: Projects do not include (1) Secretariat budget managed allocations and (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities).
*Cancelled projects were included in the calculation.

Of the 16 country-specific projects approved for funding in fiscal year 2009, 12 were classified as City Development Strategy (CDS) projects and the remaining 4 were classified as Slum Upgrading (SU) projects[3] (Table 2). For the regional and global projects, of the 14 regional and country projects approved in fiscal year 2009, 4 were classified as CDS projects and 7 as SU projects (Table 3). These figures indicate that the overall number of CDS and SU projects approved for funding (including both country-specific and regional and global projects) is fairly balanced. In fiscal year 2008 the number remains relatively balanced as well, while in fiscal year 2007 no CDS and SU regional and global projects were approved for funding.

Table 2   Distribution of CDS and SU Country-Specific Projects* and Amount Approved in Fiscal Years 2007, 2008 and 2009

	CDS		SU		Total	
Fiscal Year	Number of Projects	Amount Approved (US$)	Number of Projects	Amount Approved (US$)	Total Number of Projects	Total Number of Projects
2007	13	1,798,925	4	844,700	17	2,643,625
2008	12	2,397,475	11	2,747,975	23	5,145,450
2009	12	2,967,339	4	978,000	16	3,945,339

Note: Projects do not include (1) Secretariat budget managed allocations and (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities).
*Cancelled projects were included in the calculation.

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[3] Classification of either CDS or SU projects is based on the main focus of the planned project activities. Some of the projects have both CDS and SU components, but were classified as either CDS or SU based on a consideration of components.

Table 4   Distribution of CDS and SU Regional and Global Projects* and Amount Approved in Fiscal Years 2007, 2008 and 2009

Fiscal Year	CDS		SU		Total	
	Number of Projects	Amount Approved (US$)	Number of Projects	Amount Approved (US$)	Total Number of Projects	Total Number of Projects
2007	0	0	0	0	0	0
2008	2	445,000	1	175,000	3	620,000
2009	4	1,400,950	7	748,200	11	2,149,150

Note: Projects do not include (1) Secretariat budget managed allocations and (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities).
*Cancelled projects were included in the calculation.

3. APPROVED GRANT SIZE FOR COUNTRY-SPECIFIC PROJECTS

There was an equal distribution of small and large grants approved for country-specific projects in fiscal year 2009—44% for each, with the remaining 13% for medium grants (Figure 1). In comparison, in fiscal year 2008 the distribution of grant size was much more balanced among all three categories, whereas in fiscal year 2007 a larger percentage of small grants were approved.

Figure 1   Number of Grants Approved by Grant Size in Fiscal Year 2007, 2008 and 2009

Note: Projects do not include (1) Secretariat budget managed allocations, (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities) and (3) Regional and global projects. Cancelled projects were included in the calculation.

*Small Grant: $75,000 or less

**Medium Grant: $75,000 to $250,000

***Large Grant: over $250,000

The distribution of grant size between CDS and SU projects for each category is illustrated in Table 4. Annual figures have been adjusted for grant increases where applicable.

Table 4   Number of Grants Approved by Grant Size for CDS and SU Projects in Fiscal Year 2007, 2008 and 2009

Fiscal Year	Small Grant*			Medium Grant**			Large Grant***		
	CDS	SU	Total	CDS	SU	Total	CDS	SU	Total
2007	9	2	11	2	1	3	2	1	3
2008	5	4	9	5	3	8	2	4	6
2009	5	2	7	2	0	2	5	2	7

Note: Projects do not include (1) Secretariat budget managed allocations, (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities) and (3) Regional and global projects. Cancelled projects were included in the calculation.

*Small Grant: $75,000 or less

**Medium Grant: $75,000 to $250,000

***Large Grant: over $250,000

4. DISTRIBUTION OF COUNTRY-SPECIFIC PROJECTS BY DAC LIST OF ODA RECIPIENTS

In fiscal year 2009, the distribution of country-specific projects by DAC list classification was somewhat equally distributed between Least Developed Countries (LDC), Other Low Income Countries (OLIC), Lower Middle Income Countries and Territories (LMIC), and Upper Middle Income Countries and Territories (UMIC), as illustrated below (Figure 2) in comparison with the DAC list of ODA recipients' distribution for fiscal years 2007 and 2008.

Figure 2   Distribution of Country-Specific Projects by DAC List* of ODA Recipients Fiscal Year 2007, 2008 and 2009

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Note: Projects do not include (1) Secretariat budget managed allocations and (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities).

* Classification of Cities Alliance projects has been based on the most current list available at the time of project approval.

**For Fiscal Year 2009, DAC List includes data for 1 project with 3 countries.

5. PROJECT SPONSORSHIPS

Table 3 lists all Cities Alliance member sponsorship for approved country-specific projects in fiscal years 2007, 2008 and 2009.

Table 3   Project Sponsorship for Country-Specific Projects (Fiscal Years 2007, 2008 and 2009)

Rank	Cities Alliance Members	FY 2007	Rank	Cities Alliance Members	FY 2008	Rank	Cities Alliance Members	FY 2009
1	World Bank	11	1	World Bank	19	1	World Bank	13
2	UN-HABITAT	7	2	UN-HABITAT	9	2	UN-HABITAT	6
3	United States	5	3	United States	6	3	Germany	4
4	Germany	2	4	Germany	4	4	Asian Development Bank	3
4	Japan	2	4	Italy	4	4	Brazil	3
4	UCLG	2	4	UCLG	4	4	UNDP*	3
5	Asian Development Bank	1	4	UNDP*	4	5	France	2
5	Brazil	1	5	Asian Development Bank	1	5	UCLG	2
5	Canada	1	5	Brazil	1	6	Canada	1
5	France	1	5	Canada	1	6	Italy	1
5	Italy	1	5	EC	1	6	Japan	1
5	UNEP	1	5	Ethiopia	1	6	Philippines	1
5	United Kingdom	1	5	France	1	6	UNEP	1
			5	Japan	1	6	United States	1
			5	Philippines	1			
			5	South Africa	1			
			5	UNEP	1			

Note: Projects do not include (1) Secretariat budget managed allocations, (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities) and (3) Regional and global projects. Cancelled projects were included in the calculation.

* Associate Member

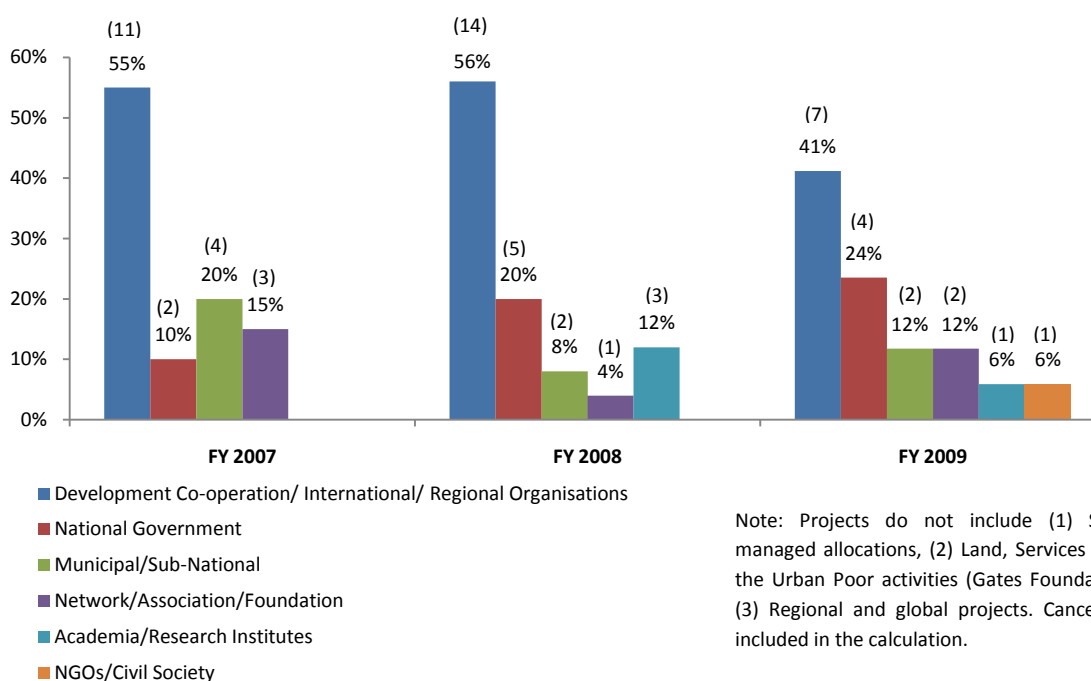## 6. PROJECT PARTNERS

6.1 GRANT RECIPIENTS

The grant recipient is normally the organisation that receives the funding tranches/advances and is responsible for the funds allocated for the project and reporting. The grant recipient may or may not be an implementing partner, and a project may have more than one grant recipient.

Data on grant recipients for fiscal years 2007, 2008 and 2009 presented in this report is largely based on signed grant agreements. For projects in which the grant agreements are underway or not yet initiated, information captured in the approved project proposals is used.

6.1.1 GRANT RECIPIENTS FOR COUNTRY-SPECIFIC PROJECTS

Figure 3 shows the total number of grant recipients for fiscal years 2007, 2008 and 2009 by organisation category. In fiscal years 2007 and 2008, more than 50% of grant agreements were signed by the international/regional organisations (development co-operations, multi- and bi-lateral organisations). This number declined in fiscal year 2009 to 41%, with more grant agreements signed equally among other recipient categories as illustrated in the following figures (Figure 3).

Figure 3   Grant Recipients for Country-Specific Projects (Fiscal Years 2007, 2008 and 2009)

- Development Co-operation/ International/ Regional Organisations
- National Government
- Municipal/Sub-National
- Network/Association/Foundation
- Academia/Research Institutes
- NGOs/Civil Society

Note: Projects do not include (1) Secretariat budget managed allocations, (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities) and (3) Regional and global projects. Cancelled projects were included in the calculation.

Figure 4 shows grant recipients by member and non-member status. More grant agreements were signed by members in fiscal years 2007 and 2008, while in fiscal year 2009, the number of grant agreements signed by members and non-members was balanced.

Figure 4   Non-Member Grant Recipients for Country-Specific Projects (Fiscal Year 2007, 2008 and 2009)
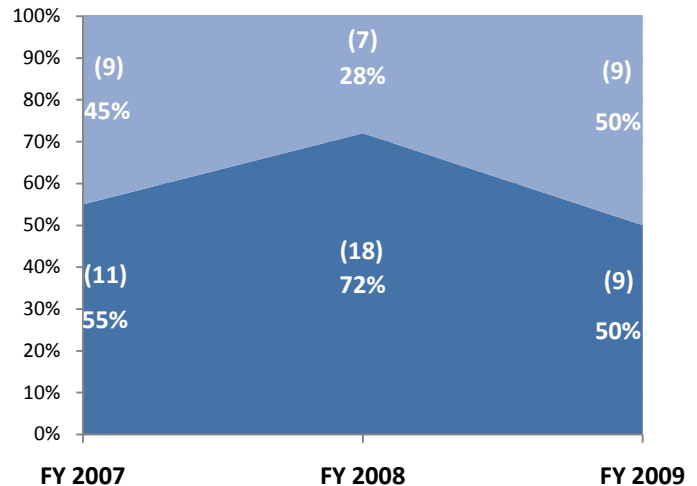
6.1.2 GRANT RECIPIENTS FOR REGIONAL AND GLOBAL PROJECTS

Of the 14 regional and global projects approved in fiscal year 2009, 65% of the grant agreements are expected to be signed by the development and international/regional organisations (development co-operations, multi- and bi-lateral organisations) as illustrated in Figure 5. In comparison with fiscal year 2008, there was an increase in the amount of funding approved for regional and global projects in fiscal year 2009. The figures also demonstrate that grants were awarded to a broader range of organisation types in fiscal year 2009. Data for fiscal year 2007 is not included in Figure 5 because no regional and global projects were approved in that year.

Figure 5   Grant Recipients for Regional and Global Projects (Fiscal Years 2008 and 2009)
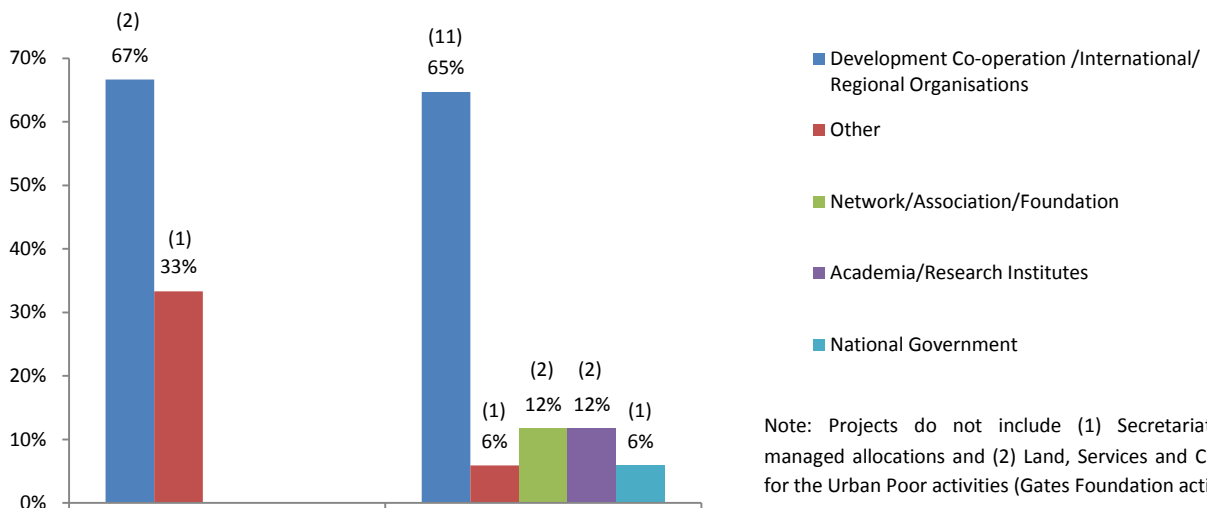
Note: Projects do not include (1) Secretariat budget managed allocations and (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities).
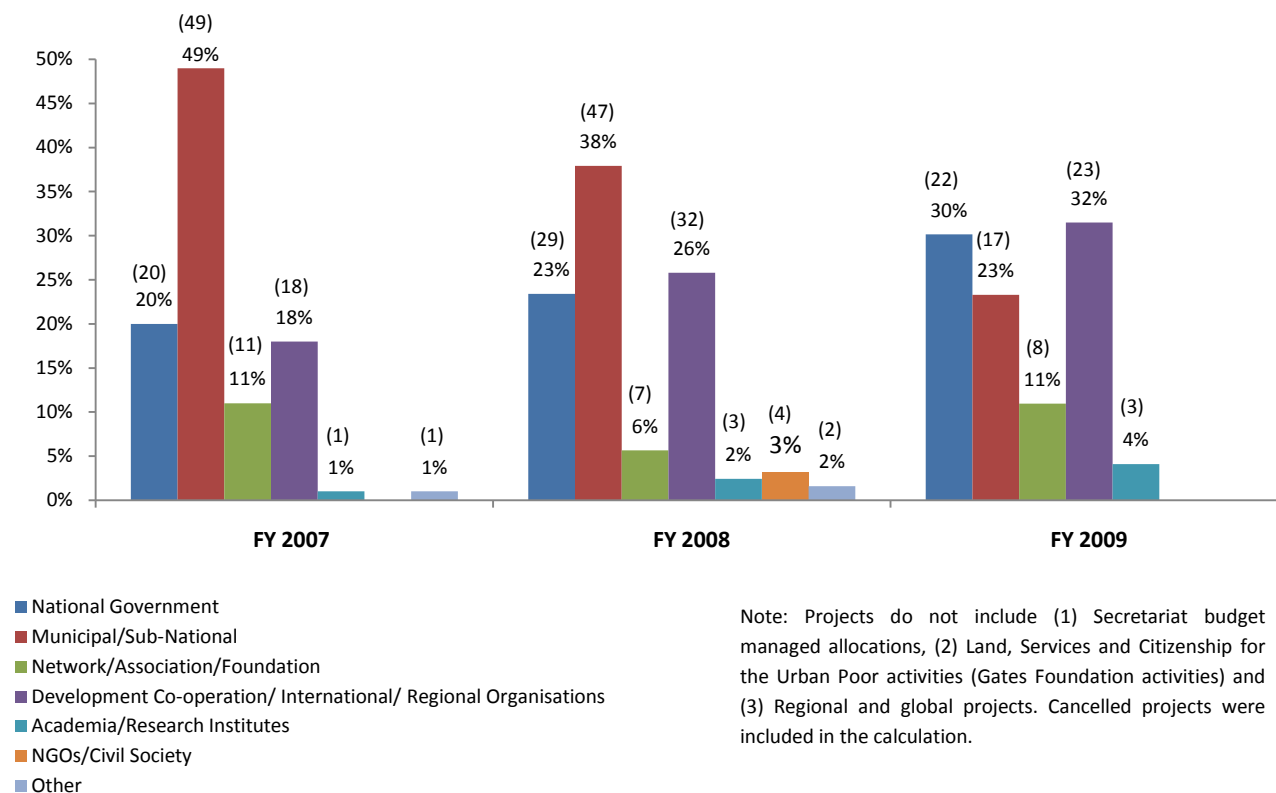
6.2 PROJECT IMPLEMENTING PARTNERS

Grant recipients, co-financing partners and other partners involved in the implementation of a project are considered to be project implementing partners. Data on implementing partners presented in this report is largely based on information captured in the approved proposals.

6.2.1 PROJECT IMPLEMENTING PARTNERS FOR COUNTRY-SPECIFIC PROJECTS

Figure 6 shows the total number of project implementing partners by organisation category for fiscal years 2007, 2008 and 2009. Involvement in project implementation by national governments, municipal/sub-nationals, development and international/regional organisations (development co-operations, multi- and bi-lateral organisations), as well as networks/associations/foundations, remained high during the last three fiscal years.

Figure 6   Project Implementing Partners for Country-Specific Projects (Fiscal Years 2007, 2008 and 2009)

- National Government
- Municipal/Sub-National
- Network/Association/Foundation
- Development Co-operation/ International/ Regional Organisations
- Academia/Research Institutes
- NGOs/Civil Society
- Other

Note: Projects do not include (1) Secretariat budget managed allocations, (2) Land, Services and Citizenship for the Urban Poor activities (Gates Foundation activities) and (3) Regional and global projects. Cancelled projects were included in the calculation.

6.2.2 PROJECT IMPLEMENTING PARTNERS FOR REGIONAL AND GLOBAL PROJECTS

Figure 7   Project Implementing Partners for Regional and Global Projects (Fiscal Years2008 and 2009)
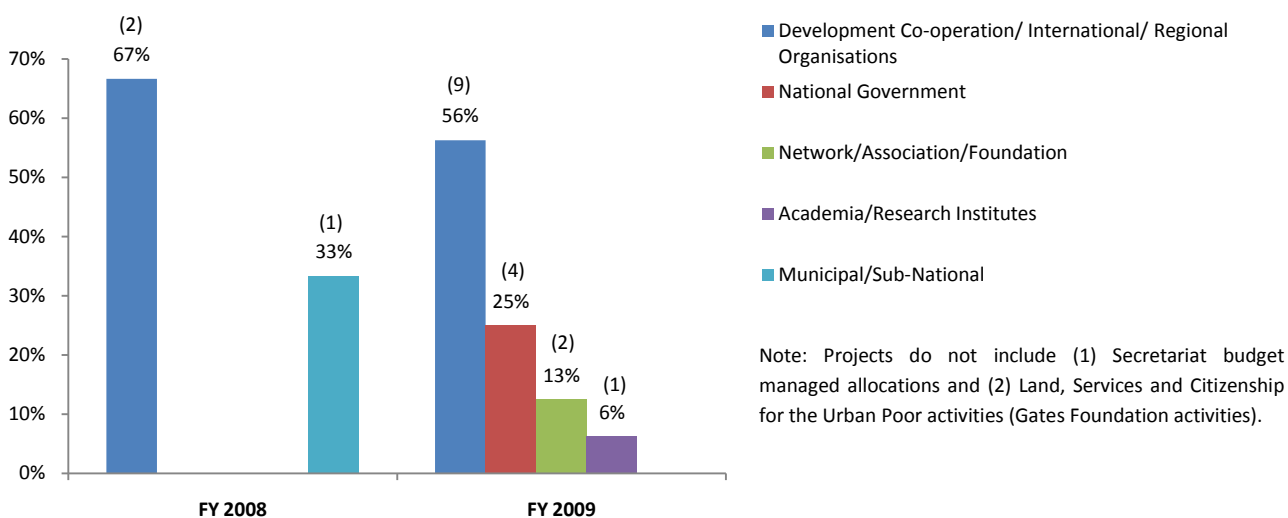

Figure 7 illustrates project implementing partners for regional and global projects in fiscal years 2008 and 2009. In fiscal year 2009, the number of regional and global projects approved for funding increased significantly in comparison with fiscal year 2008. The figures also show an increase in the role of national government, networks/associations/foundations and academia/research institutes. Data for fiscal year 2007 is not included in Figure 7 because no regional and global projects were approved in that year.