

Please read carefully the "Guidelines for the Submission of Proposals" which outline the modalities for application and the criteria for the selection of proposals spelled out in the Cities Alliance Charter. Please ensure that all necessary supporting documentation is attached to this form. Additional information may also be enclosed, **but total submission should not exceed 12 pages.**

Rec'd: 19 March 2010

DATE: March 2010

1. TITLE of PROPOSAL: Grant for Lilongwe City Development Strategy (Phase 3)

2. PROPOSAL SUBMITTED BY:

Name and Title: Kelvin Mmangisa, Chief Executive
Organization: Lilongwe City Assembly
Address: P.O Box 30396, Lilongwe 3, Malawi
Telephone/Fax/E-mail: +265(0)1775757 / Fax: +265(0)1770885
Email: kmmangisa@coldstorage.co.mw

Contact person for questions on the application:

Name and Title: Kalimujiso J Banda, CDS Operations Manager
Organisation: Lilongwe City Assembly
Address: P.O. Box 30396, Lilongwe 3, Malawi
Telephone/Fax/E-mail: +265(0)1775757 / Fax: +265(0)1770885 / Email: kalimujiso@gmail.com

3. CITIES ALLIANCE MEMBER(S) SPONSORING THE APPLICATION:

Name and Title: Elizabeth Gateau, Secretary General
Organization: United Cities and Local governments
Address: Carrer Avinyo, 15 08002 Barcelona, Spain.
Telephone/Fax/E-mail: +34 933 428 750; Fax: +34 933 428 760;
Email: s.hoeflich@cities-localgovernments.org

Name and Title: Godfrey Kapalamula, Senior Planning Officer
Organisation: JICA Malawi
Address: P.O. Box 30321, Capital City, Lilongwe3, Malawi
Telephone/Fax/E-mail: +265 1 775575; jicamw-econ@jica.go.jp

4. RECIPIENT ORGANISATION: – organisation that will receive and execute the grant:

Task Manager Name & Title: Kalimujiso J Banda, CDS Operations Manager,
Organization: Lilongwe City Assembly
Address: P.O Box 30396, Lilongwe, Malawi
Contact Person/Title: Kalimujiso J Banda, Lilongwe CDS Operations Manager
Telephone/Fax/E-mail: +265(0)1775757 / Fax: +265(0)1770885 / Email: kalimujiso@gmail.com

5. OTHER IMPLEMENTING PARTIES (if any):

Task Manager Name & Title: Mr. P Kabambe, Secretary for Local Government and Rural Development
Organization: Ministry of Local Government and Rural development
Address: P.O. Box 30312, Lilongwe 3, Malawi
Contact Person/Title: Mr. P Kabambe
Telephone/Fax/E-mail: +265 1788 388 Email: pkabambe@yahoo.com

INFORMATION ON PROPOSED PROJECT:

6. Type of project (*check one*):
Phase 3: Implementation of City Development Strategy

7. Geographic scope of project (*specify*):
City: Lilongwe
Country: Malawi

8. Expected duration: **5 years with an initial 18 month period (Year 1 implementation support)**

BUDGET SUMMARY:

9. Amount of total budget requested from Cities Alliance funding: US Dollars: **249 000**
 10. Co-financing amount of total budget, including local partners: US Dollars: **870 000**
 11. Total project budget cost: US Dollars: **1 119 500**
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DESCRIPTION OF PROPOSED PROJECT:

12. Background

Lilongwe City Assembly is a member of United Cities and Local Governments/Africa (UCLGA). The CDS process was initiated in July 2007 as part of United Cities Local Governments (UCLG) and Cities Alliance's CityFutures programme. On 6 March 2008 the Mayoral Committee of the City of Johannesburg approved a request from United Cities and Local Governments of Africa (UCLGA), United Cities and Local Governments (UCLG) and SALGA that the City of Johannesburg become a mentor city for the City of Lilongwe to develop a City Development Strategy (CDS). The development of the CDS was divided in 3 phases, namely:

- Phase 1: Preparatory phase
- Phase 2: Development of the CDS
- Phase 3: Implementation and action plans

Cities Alliance provided a preparatory grant for Phase 1. Phase 1 assisted with the provision of some basic information and data toward understanding and categorising the critical issues. The focus was thus on an assessment of the information environment, an institutional audit/scan, an audit of development partner funded projects and the potential contribution to the CDS process, and a stakeholder analysis.

During *Phase 2*, the Lilongwe CDS was developed building on the base information compiled in *phase 1*. The policy context in Malawi, the MDGs, the key challenges and opportunities were extracted to guide the preparation of the long term vision and the goals and objectives for the City. A common set of 'building blocks' were used to arrive at the agreed set of goals, objectives and interventions. The building blocks included the following:

- The identification of the City's key development challenges and opportunities;
- Consultation and participation in the strategic planning process;
- The preparation of the vision, goals and objectives linked to a consultative process;
- The preparation of priority actions and indicative costing linked to a consultative process;
- The process of institutionalisation to integrate the action plans into the city's routine operating procedures and systems.

The Lilongwe CDS document was completed in November 2009 and the official launch took place on 12 February 2010. The City of Johannesburg's mandate for support to the Lilongwe City Assembly officially terminated at the end of Phase 2. Certainly, the strategic framework has been set in place. The City of Johannesburg provided an active mentorship role during the preparation of phase 1 and 2 of the Lilongwe CDS.

However, the most important Phase 3 now needs to be fast-tracked prior to the envisaged local elections in the third or fourth quarter of 2010. This will enable the newly elected representatives to enter their term with a strategic plan, as well as operational priorities and an implementation agenda. Phase 3 will require the Assembly leadership to obtain financial commitments for the purpose of the implementation from available funding in the 2010/11 Lilongwe budget as well as from development partners and national government. All interventions will require either financial,

capacity and/or resources support. This will need to be secured upfront in order to develop a realistic annual implementation plan.

The proposed scope of work for Phase 3 involves the following:

- Finalisation of an Assembly business plan and departmental scorecards (outlining 2010/11 implementation priorities, funding sources and capacity requirements)
- The formalization of a CDS Unit in the Office of the Chief Executive
- Formalisation of a reporting system (progress against commitments)
- Feasibility investigations of proposed Iconic Projects
- Advocacy and awareness of CDS
- Initiation and facilitation of CDS projects with external support
- Coordination of Year 1 thematic priorities as outlined in CDS Implementation Plan
- Independent oversight and technical advice to Lilongwe Assembly

13. Objectives of Phase 3: Implementation Preparation and Management of the CDS

As outlined above in the proposed scope of work, the associated objectives of Phase 3 would be the following:

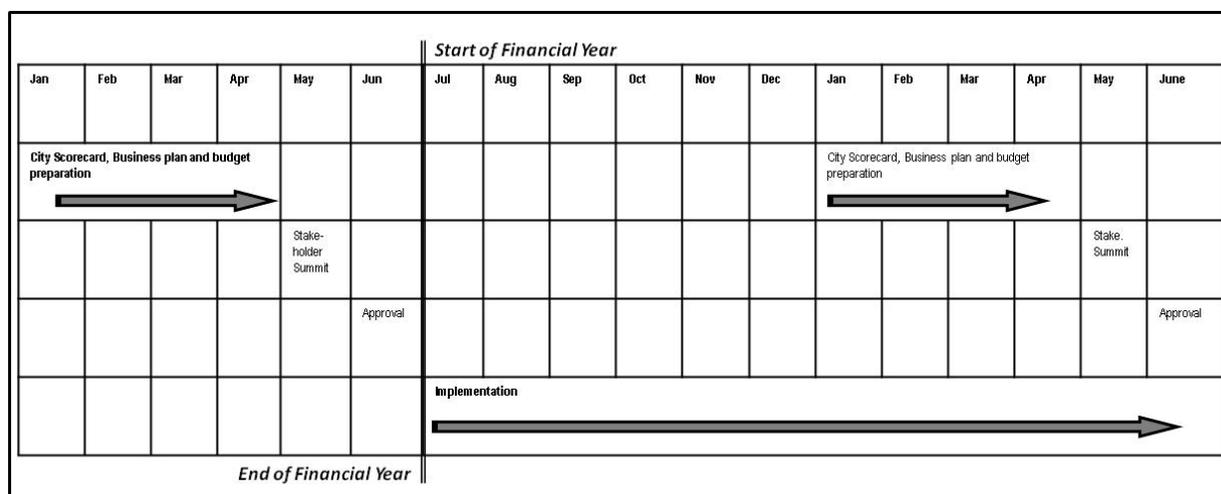
- To develop an Assembly business plan and departmental scorecards to guide day-to-day management and to facilitate oversight by political representatives
- To establish a CDS unit that can provide day-to-day management support for the implementation of the CDS, evaluate the effectiveness of implementation, ensure reporting and awareness
- To develop a system of regular internal and external evaluation reporting to ensure that progress is made against committed programmes and that risks and delays are pro-actively addressed
- To initiate feasibility studies of identified iconic projects to ensure that informed decisions can be taken on the viability prior to implementation
- To create awareness and mainstream the CDS in the City's activities to ensure that staff, investors and stakeholders understand the growth-path and priorities of the City and to enhance City cohesion
- To facilitate externally driven project and programmes supporting the CDS goals and priorities to ensure that benefits are maximized
- To ensure that a thematic priority is actioned and that all role players commit to the successful execution thereof
- Continued stakeholder engagement
- To provide for the appointment of an independent advisor to support the management and implementation of the Phase 3 objectives
- Monitoring, evaluation and reporting on outcome and progress re the implementation of the Stabilisation Plan 2009

14. Methodology and sequencing of activities

14.1 *Managing Annual Cycle of the CDS Implementation*

The implementation of the 2010/15 CDS will occur over a five year period. A number of operational tasks will need to be undertaken on an annual basis if the CDS is to be successful. These include the preparation of city scorecards, business plans and ensuring the integration of projects and programmes into the annual City Assembly operating and capital estimates.

Based on the proposed workflow, the city scorecards, business plans and budget preparation will occur during the months of January to end of April each year. The Assembly budgets will be finalized in May with approval occurring in June with implementation from 1 July. As part of the finalization in May, a stakeholder summit will be held to obtain input into the annual scorecards, plans and programmes.



14.2 Towards implementation of CDS activities

14.2.1 Business Planning, scorecard development and budgeting for 2010/11

Each Department within the City Assembly will prepare a Departmental Scorecard for the 2010/11 financial period which, in the absence of the Council, will be approved by the Chief Executive. Scorecards will be prepared on an annual basis. In addition, a City Scorecard, based on the Departmental Scorecards, will be developed. The Chief Executive will be responsible and accountable to ensure that deliverables in the City Scorecard are met.

Thereafter, a detailed 2010/11 Assembly business plan will be prepared based on the departmental scorecards of each Assembly Department as well as the City Scorecard. The plan will be based on the activities contained in the CDS, including an indication of the capital projects to be completed, the responsible department or agency and the expected outputs. The business plans for the 2010/11 period will build on the stabilisation strategy initiated in 2009 thereby ensuring the further stability of the institution and services rendered by the Assembly. The business plans will also be updated annually.

The City Development Strategy will form the basis of the city-wide performance management system. City-wide performance management is the process through which performance against commitments, as outlined in the CDS, is reported. It is thus informed by the CDS, departmental scorecards and actual delivery reports.

A total budget estimate will then be compiled and reconciled with the expected annual Assembly income, to identify the estimated funding shortfall. The budget estimate will be prepared in both Malawian Kwacha and US dollars. The Assembly will then need to identify key projects for lobbying for funds from National Government and potential development partners.

Only funded activities can eventually be incorporated into scorecards and final business plan for approval. It is thus essential that the organization obtain financial commitments prior to the approval of the business plan and scorecards. For multi-year projects, it is envisaged that the estimated cost will be spread according to the rollout of the activities and the associated expected expenditure. Both capital and operating expenses will be determined.

The summary of the activities include:

- The preparation and approval of departmental scorecards and a city scorecard
- The development and approval of an Assembly business plans
- Aligning budgets and spending and finalizing a 2010/11 budget for approval
- Introducing a performance management system

14.2.2 Establishing the CDS Unit

The coordination of the phase 3 activities and the annual management of the CDS require dedicated capacity. A unit has been established in the Office of the Chief Executive. The CDS Operations Manager is a senior member of staff who as acted as the CDS leader from its inception. Once fully operational, the unit will be staffed by at least four full time persons appointed to facilitate the implementation of the CDS.

The summary activities for the CDS unit include:

- Outlining the roles and responsibilities of the CDS unit
- Linking the CDS unit to the organizational structure
- Staffing the unit
- Equipping and resourcing the unit
- Preparation of guidebooks for Scorecard development, business plan preparation, CDS budgeting, CDS implementation tracking/monitoring and evaluation
- Documenting the CDS process for knowledge management purposes
- Training and capacity building programmes

14.2.3 Reporting and oversight

All Heads of Department report directly to the Head of the CDS Unit on all matters relating to the CDS development and implementation, who in turn reports to the Chief Executive. The Chief Executive is the officer accountable to the Assembly, the Department of Local Government and, in the absence of the Assembly, communities of Lilongwe on all CDS matters. Once local government elections have taken place and the Council is established, the Assembly will be responsible for accounting on CDS implement to National Government and communities.

The key activities for reporting and oversight include:

- Ensure the establishment of appropriate oversight committees
- The establishment of the reporting system formats
- Reporting and oversight quality assurance undertaken monthly

14.2.4 Iconic Projects

Iconic Projects are important for demonstrating the Lilongwe City Assembly commitment to delivering on the goals, objectives and activities of the CDS. Each project is to be developed which at least outlines aspects such as:

- A description of the project;
- Scope of work, including detailed activities and timeframes;
- Expected outcomes;
- Funding requirements;
- Availability of staff and other resources for implementation;
- Target group or beneficiaries, and
- A motivation clearly indicating how the implementation of the project addresses the City's vision.

The identified iconic projects are:

- Financial Systems Review
- Informal settlements programme
- Development of a new City Park
- Upgrade of the Central and Tsoka Flea Markets
- Waste Management Programme
- By-law review programme
- Establishment of a City Police Force

The iconic projects are to be undertaken by the relevant sector department. The key activities include:

- Prepare a format for the preparation of the feasibility investigations or the scope of work
- Prepare guideline notes for the feasibility investigations
- Feasibility investigation/research/planning per iconic project
- Undertake a quality assurance for each of the feasibility investigations or initiatives
- Track/monitor and evaluate the progress/implementation of the Iconic projects
- Prepare a report on the outcome/progress by June 2011
- Training and capacity building

14.2.5 CDS popularization, mainstreaming and continued stakeholder engagement

For the CDS to be successful, the contents and the intentions of the strategy must be well known within the Lilongwe communities, National Departments, Donor Community, Embassies etc. The Chief Executive, CDS unit and other

senior managers will embark on a road show (plus the DVD) to present the content of the plan to different organisations and dignitaries to create awareness and interest in the activities of the Assembly.

A set of presentation slides will need to be prepared on the content of the CDS. The slides will be professional outlining the CDS process, the vision, the goals and objectives and the key activities or projects which the Assembly wishes to deliver within the next five year period.

Stakeholder participation was a key component in the preparation of the CDS, its vision, the strategic directives for each of the thematic areas and its projects and programmes. A wide range of organizations, both government and civil society participated in the Stakeholder forums and the CDS launch. The Assembly relationship with its CDS Stakeholders is to be maintained and strengthened over the 5 year implementation timeframe.

As outlined in the table below: at least four stakeholder engagements will be held with the CDS stakeholders per year commencing in the 2010/2011 financial year:

<i>Month</i>	<i>Purpose</i>
March	Preparation of city scorecards, business plans and budgets
June	Presentation of final city scorecards, business plans and budgets
September	Presentation of previous year CDS achievements – Actual
December	Mid-year reporting on current Key Performance Areas

The key activities for CDS popularization, mainstreaming and continued stakeholder engagement include:

- Preparation of a DVD on the CDS
- Preparation of power point slide packs – general and sector based
- Setting of meetings and road shows
- Quality assurance of meetings and road show outcomes
- 4 stakeholder engagements including preparation and quality assurance
- Training and capacity building

14.2.6 Facilitation of externally driven projects and programmes

The successful implementation of the CDS requires the coordination of a number of externally driven programmes to ensure continuous alignment with the CDS established annual priorities, outputs and outcomes. Some of these initiatives include:

- the JICA preparation of the Master Plan for the City of Lilongwe;
- GTZ
- the Lilongwe Water Board potable water projects and programmes;
- the Escom electrification and maintenance programmes;
- Telecommunications industry
- National sector department projects and programmes;
- Glasgow Solid Waste initiative,
- and the project based mentorship initiatives with the City of Johannesburg.

The key activities include:

- establishing and confirming the requirements from each of the externally driven programmes
- establishing and managing working forums with:
 - Lilongwe Water Board
 - Escom
 - Telecommunications industry
 - National sector departments
- Formulation of joint project proposals with:
 - City of Glasgow
 - City of Johannesburg
- Coordinating the city to city initiatives
- Tracking/monitoring and evaluation of externally driven programmes
- Preparation of guidelines for the management of externally driven programmes

14.2.7 Coordination and reporting on implementation of thematic priorities

The CDS was prepared based on five thematic areas which included:

- Governance
- Shelter and land
- Community development
- Services and environment
- Economic development.
- Programme specific training and capacity building

Priority interventions will be identified in each of the thematic areas for ensuring that the CDS implementation occurs in a comprehensive manner. It is important for demonstrating that all clusters are important for achieving the City's vision and overall development of the City. The approach will also facilitate a new work culture within the Assembly ensuring that delivery is occurring across departments and not only in some.

The thematic priorities, as identified in the scorecards are the following:

- Lobby for and report on plans and improvements to water and electricity
- Ensure the development and implementation of a comprehensive sanitation programme
- Ensure the development and implementation of a clinic stabilization plan
- Ensure the conservation, retention and expansion of sensitive habitats and open spaces and the state of natural water courses
- Oversee the establishment of a GIS Unit and system
- Ensure the implementation of a City IT system

The key activities include:

- The identification of the thematic priorities
- Resourcing and implementing the thematic priorities
- Tracking/monitoring and evaluating the implementation of the thematic priorities
- Preparing case studies/best practice reports for knowledge management purposes

14.2.9 Evaluation and reporting on Stabilisation Plan implementation

A Stabilisation Plan was prepared for the Lilongwe City Assembly at the end of phase 1. The interventions were based on the findings of this phase and included:

- Financial stabilization
- Staff stabilisation
- Equipment and resource stabilisation

Many aspects outlined in the stabilisation plan remain essential for the success of the CDS. The implementation of the plan is to be monitored and evaluated by the CDS unit to ensure and promote organizational stability.

The key activities include:

- Integrating the stabilization plan and CDS activities
- Tracking/monitoring and evaluating the stabilization plan
- Preparation of best practice report on the use of stabilisation plans for knowledge management purposes

14.2.10 International independent technical support and advice

The City of Johannesburg provided an extensive mentorship programme to the Lilongwe City Assembly during the phase 1 and 2 of the CDS development. Now that the CDS is completed, a decision has been taken by Johannesburg to shift its efforts from the mentorship on operational matters to a project based initiatives.

The Lilongwe CDS is the first of its kind in Malawi and indeed within the immediate sub region. The local knowledge bridging the gap between "the strategy" and "implementing the strategy" is limited both within the Assembly and within the broader consulting community. There is thus the need for the appointment of an international independent technical advisor to be funded by the Cities Alliance but via UCLG to for the rendering of assistance.

The success of the Johannesburg Lilongwe mentorship can largely be contributed to the independent nature of the relationship. The independent support and advise will also be important in the current phase to ensure that the programme remains on track, that implementation is aligned to the CDS and that donor funding is spend in line with commitments.

The appointment via UCLG would ensure the ongoing linkage with the organization and the strengthening of external technical support programmes to be shared internationally.

In addition to the international independent technical advisor, there will also be the need to appoint locally based consultants. Based on the experience obtained during phase 1 and 2 of the CDS preparation, the consultants appointed to assist with phase 3 will need to be guided and their outputs monitored and evaluated by the CDS unit, relevant sector department and the advisor.

The activities for the international advisor are linked to the funding area activities and sub activities.

15. Deliverables

The deliverables of the activities outlined in 14 above will be as follow:

Business Planning, scorecard development and budgeting for 2011/12

- City scorecard
- Departmental scorecards
- City business plan
- 2010/11 CDS aligned operating and capital budget
- Performance management system

Establishing the CDS Unit

- Staffing the unit
- Equipping and resourcing the unit
- Preparation of guidebooks for scorecard development, business plan preparation, CDS budgeting, CDS implementation tracking/monitoring and evaluation
- Documenting the CDS process for knowledge management purposes
- Report on training and capacity building

Reporting and oversight

- Operational oversight committees
- Reporting systems and formats
- Reporting and oversight quality assurance system

Iconic projects

- Feasibility reports
- Research/planning/implementation reports
- Report on the outcome/progress by June 2011
- Report on training and capacity building

CDS popularization, mainstreaming and continued stakeholder engagement

- Multi-media DVD of the CDS
- Power point slide packs
- Reports on stakeholder meetings and road shows
- 4 stakeholder engagements including preparation and quality assurance
- Report on training and capacity building

Facilitation of externally driven projects and programmes

- Report on agreements with external parties and areas/nature of support
- Reports on outcome of involvement in working forums with:
 - Lilongwe Water Board
 - Escom
 - Telecommunications industry
 - National sector departments
- Quarterly progress reports on externally driven programmes
- Guidelines for the management of externally driven programmes

Coordination and reporting on implementation of thematic priorities

- Report on the tracking/monitoring and evaluation of the implementation of the thematic priorities
- Preparing case studies/best practice reports for knowledge management purposes

Evaluation and reporting on Stabilisation Plan implementation

- Report on the evaluation/outcome of the implementation of the stabilization plan
- Best practice report on the use of stabilisation plans for knowledge management purposes

International independent technical support and advice

Quarterly progress reports against the deliverables outlined above

Perceptions survey on advisor support programme

Report on lessons learnt

16. Expected outcomes and related monitoring indicators and plans

The Lilongwe CDS is pro poor and committed to active growth and development of Lilongwe. An expected outcome of the CDS will be:

- A well-governed, transparent and accountable Lilongwe City Assembly with clear decentralised powers and functions, where participatory decision-making is systematically strengthened and adherence to the rule of law is cultivated'.
- A well-planned, managed and regulated land use system that facilitates development and growth where land and shelter will be accessible to all, meeting minimum standards, offering sustainable services and tenure security.
- Access to quality and reliable water, sanitation, electricity, waste management and a safe transport infrastructure, ensuring sustainable utilisation and management of resources.
- A city in harmony with nature that addresses issues of climate change, especially pollution, and protects and expands environmental assets.
- An inclusive with equal access to quality education, welfare, cultural, recreational and social opportunities and accessible high quality basic health care with active support and involvement of the community and other stakeholders.
- A growing and diversifying economy as a result of a conducive environment that attracts and retains investment and create job opportunities..

One of the activities of the CDS unit will be the development of a set of strategic indicators for monitoring the impact of the CDS over the five year period. In the 2010/2011 financial period, plans will be prepared for the implementation of the Iconic projects and for those associated with the thematic priorities – see section 14.2.

17. Sources of investment to implement the CDS

The Bill and Melinda Gates Foundation is considering the provision of a grant of US\$2 500 000 to the City Assembly. The envisage application of the grant, over a five year period, will be utilized to support the informal settlements upgrading programme as outline in Land and Shelter Goal 3 in the Lilongwe CDS and the related programmes such as tenure security and access to core services. (See objectives and activities relating to the informal settlement programme).

The Lilongwe City Assembly has endeavored to prepare its 2010/2011 budget in line with the CDS year 1 implementation priorities. Once the new city business plan is finalized and approved, this information will be available to illustrate the City's commitment to the implementation of the CDS.

18. Partnerships

The phase two of the CDS managed to mobilize a number of stakeholders who have been involved throughout the development of the CDS. These partners will continue to play a crucial role in the 3 rd phase CDS implementation. Not only will there be at least four stakeholder meetings during the financial year but some organizations such as CCODE will be actively involved in the implementation of some of the Assembly's key priority projects.

The City of Johannesburg was pivotal in the preparation in the CDS in phases 1 and 2. There is an in principle agreement from the City that it will provide project based support in the Phase 3 pending the successful conclusion of the Cities Alliance funding agreement. The nature of the agreement still needs finalization with an anticipated commencement date in August 2010.

It should be noted that once again the City of Johannesburg has provided funding for interim support until the end of May 2010. This clearly demonstrates the City ongoing commitment to the Lilongwe CDS development and implementation.

19. Government commitment and approval

Lilongwe City Assembly is undertaking a CDS with full support of National Government. The CDS has been approved by the Ministry of Local Government. This Ministry has urged all other Malawian cities to begin their own CDS processes replicating the Lilongwe initiative with specific focus in Blantyre and Mzuzu.

IMPLEMENTATION AND FINANCING PLANS:

20. Implementation arrangements

The responsible parties within the Lilongwe City Assembly will comprise the Assembly, the Chief Executive, the Head of CDS and the Heads of Departments. Each will be responsible for different components of the CDS implementation. The key responsibilities are outlined below:

Reporting Level	Roles and responsibilities
Assembly	<ul style="list-style-type: none"> • Account to National Government • Account to the communities of Lilongwe • Monitor and ensure the implementation of the CDS
Chief Executive	<ul style="list-style-type: none"> • Report to the Assembly and in the interim to National Government on the implementation of the CDS • Accounting officer for the implementation of the CDS • Oversee the weekly reporting on CDS activities • Assist with the popularisation of the CDS • Lobbying of funding and resources for the implementation of the CDS
Head of CDS	<ul style="list-style-type: none"> • Prepare weekly reports to the CE on the implementation of the CDS to be tabled at the Management meeting • Facilitate the cost estimates and 5 year budgets including: <ul style="list-style-type: none"> ○ The preparation of templates ○ Ensuring the completion of the cost estimates and 5 year budgets by the Departments ○ Compile the Department cost estimates and 5 year budgets into a single estimate for the Assembly ○ With the assistance of the Head of Finance, identify the funding shortfall • Facilitate and co ordinate the preparation of the annual business plans including: <ul style="list-style-type: none"> ○ The preparation of templates ○ Ensuring the completion of the plans by the Department to the required standard ○ Compile Department business plans into a single business plan for the Assembly ○ Monitor the implementation of the plan • Co ordinate the implementation of the Legacy Projects • Establish a performance management system for the CDS activities • Administer the performance management system • Assist with funding and resource identification for the CDS implementation • Prepare a quarterly briefing sheet to be published in the local newspapers and to be distributed as pamphlets reporting on the progress made on the CDS implementation
Head of Departments	<ul style="list-style-type: none"> • Prepare cost estimates and develop a 5 year budget for all CDS strategic objectives to be implemented by the Department including the identification of the funding shortfalls • Prepare the 2010/11 business plans and for each year thereafter • Implement the Legacy projects • Implement the projects linked to the CDS • Assist with the funding and resource identification for the CDS implementation

Potential external partners will include GTZ for the provision of training and capacity building and the City of Johannesburg.

The Assembly will be developing annual city scorecards based on the CDS year priorities. The scorecards for the 2010/2011 are being in the process of being completed and have been used to inform the preparation of this funding application.

The city scorecards will be used to guide the preparation of the business plan and the City's performance management system.

The motivation for the use of an independent advisor is outlined in Section 14.2.10.

21. Project schedule and delivery targets

Main activity	Sub activities	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Business Planning, scorecard development and budgeting for 2010/11	City scorecards preparation for 2011/2012												
	Assembly and department business plans for 2011/2012												
	Aligning budgets and spending for 2011/2012												
	Performance management system												
Establishing the CDS unit	CDS roles and responsibilities												
	Linking the CDS unit to the organizational structure												
	Staffing the unit												
	Equipping and resourcing the unit												
	Preparation of guidebooks												
	Documenting the CDS												
	Training and capacity building												
Reporting and oversight	Reporting system formats												
	Monthly quality assurance												
Feasibility investigations of iconic Projects	Feasibility/research investigation format												
	Feasibility/research investigation guideline notes												
	Iconic Project - Financial Systems												
	Iconic Project - Informal Settlements												
	Iconic Project - Park Development												
	Iconic Project - Markets												
	Iconic Project - By-laws												
	Iconic Project - City Police												
	Feasibility/research investigation quality assurance												
	Track/monitor and evaluate iconic projects implementation												
Training and capacity building													
CDS popularization, mainstreaming and continued stakeholder engagement	Preparation of CDS DVD												
	Preparation of Power Point slide packs												
	Management of meetings and roadshows												
	Quality assurance												
	4 stakeholder engagements												
	Training and capacity building												
Facilitation of externally driven projects and programmes	Externally driven programmes establishment												
	Establishment and management of working forums												
	Joint city to city project initiatives												
	Tracking/Monitoring and evaluation												
	Preparation of guidelines												
Coordination and reporting on implementation of thematic priorities	Thematic priority identification												
	Thematic priority resourcing and implementation (water and electricity)												
	Thematic priority resourcing and implementation (Sanitation)												
	Thematic priority resourcing and implementation (Clinic stabilisation)												

Main activity	Sub activities	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
	Thematic priority resourcing and implementation (Sensitive habitats and water courses)												
	Thematic priority tracking/monitoring and evaluation												
	Case studies/best practice report preparation												
Evaluation and reporting on Stabilisation Plan implementation	Stabilization plan and CDS integration												
	Stabilization plan tracking/monitoring and evaluation												
	Stabilisation best practice report												

Deliverables	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Business Planning, scorecard development and budgeting for 2010/11												
City scorecard										X		
Departmental scorecards										X		
City business plan											X	
2010/11 CDS aligned operating and capital budget											X	
Performance management system												X
Establishing the CDS Unit												
Staffing the unit		X										
Equipping and resourcing the unit		X										
Preparation of guidebooks for scorecard development, business plan preparation, CDS budgeting, CDS implementation tracking/monitoring and evaluation						X						
Documenting the CDS process for knowledge management purposes							X					
Report on training and capacity building												X
Reporting and oversight												
Operational oversight committees	X											
Reporting systems and formats	X											
Reporting and oversight quality assurance system			X			X			X			X
Iconic projects												
Feasibility reports						X						
Research/planning/implementation reports			X			X						X
Report on the outcome/progress by June 2011												X
Report on training and capacity building												X
CDS popularization, mainstreaming and continued stakeholder engagement												
Multi-media DVD of the CDS					X							
Power point slide packs			X									
Reports on stakeholder meetings and road shows			X			X			X			X
4 stakeholder engagements including preparation and quality assurance			X			X			X			X
Report on training and capacity building												X
Facilitation of externally driven projects and programmes												
Report on agreements with external parties and areas/nature of support		X										
Reports on outcome of involvement in working forums			X			X			X			X

<i>Deliverables</i>	<i>July</i>	<i>Aug</i>	<i>Sept</i>	<i>Oct</i>	<i>Nov</i>	<i>Dec</i>	<i>Jan</i>	<i>Feb</i>	<i>Mar</i>	<i>Apr</i>	<i>May</i>	<i>Jun</i>
Quarterly progress reports on externally driven programmes			x			x			x			x
Guidelines for the management of externally driven programmes												x
<i>Coordination and reporting on implementation of thematic priorities</i>												
Report on the tracking/monitoring and evaluation of the implementation of the thematic priorities			x			x			x			x
Preparing case studies/best practice reports for knowledge management purposes												x
<i>Evaluation and reporting on Stabilisation Plan implementation</i>												
Report on the evaluation/outcome of the implementation of the stabilization plan		x										
Best practice report on the use of stabilisation plans for knowledge management purposes						x						
<i>International independent technical support and advice</i>												
Quarterly progress reports against the deliverables outlined above			x			x			x			x
Perceptions survey on advisor support programme			x			x			x			x
Report on lessons learnt												x

22. Financing plan

A. CITIES ALIANCE GRANT REQUEST

Main activity	Sub activities	Total (US\$)	Consulting Services	Training/Capacity building	Dissemination Cost	International advisor	Other including travel/venue hire etc
Business Planning, scorecard development and budgeting for 2010/11	City scorecards preparation for 2011/2012	2000				2000	
	Assembly and department business plans for 2011/2012	2500				2500	
	Aligning budgets and spending for 2011/2012	1000				1000	
	Performance management system	1500				1500	
Establishing the CDS unit	CDS roles and responsibilities	500				500	
	Linking the CDS unit to the organizational structure	250				250	
	Staffing the unit	0				0	
	Equipping and resourcing the unit	0				0	
	Preparation of guidebooks	5000			2000	3000	
	Documenting the CDS	5000			2000	3000	
Reporting and oversight	Training and capacity building	0				0	
	Reporting system formats	750				750	
Feasibility investigations of iconic Projects	Monthly quality assurance	3000				3000	
	Feasibility/research investigation format	500				500	
	Feasibility/research investigation guideline notes	4500			2000	2500	
	Iconic Project - Financial Systems	53000	50000		500	2500	
	Iconic Project - Informal Settlements	2000				2000	
	Iconic Project - Park Development	500				500	
	Iconic Project - Markets	500				500	
	Iconic Project - By-laws	22500	20000			2500	
	Iconic Project - City Police	6000	4500			1500	
	Feasibility/research investigation quality assurance	2500				2500	

Main activity	Sub activities	Total (US\$)	Consulting Services	Training/Capacity building	Dissemination Cost	International advisor	Other including travel/venue hire etc
	Track/monitor and evaluate iconic projects implementation	2500				2500	
	Training and capacity building	0				0	
CDS popularization, mainstreaming and continued stakeholder engagement	Preparation of CDS DVD	42000	40000		1000	1000	
	Preparation of Power Point slide packs	1500				1500	
	Management of meetings and roadshows	1000			1000	0	
	Quality assurance	1500				1500	
	4 stakeholder engagements	24000			3000	6000	15000
	Training and capacity building	1000				0	1000
Facilitation of externally driven projects and programmes	Externally driven programmes establishment	2500				2500	
	Establishment and management of working forums	2500				2500	
	Joint city to city project initiatives	5000				5000	
	Tracking/Monitoring and evaluation	2500				2500	
	Preparation of guidelines	5500			2000	3500	
Coordination and reporting on implementation of thematic priorities	Thematic priority identification	500				500	
	Thematic priority resourcing and implementation (water and electricity)	7000	6000			1000	
	Thematic priority resourcing and implementation (Sanitation)	16000	15000			1000	
	Thematic priority resourcing and implementation (Clinic stabilisation)	7000	6000			1000	
	Thematic priority resourcing and implementation (Sensitive habitats and water courses)	3500	3000			500	
	Thematic priority tracking/monitoring and evaluation	2500				2500	
	Case studies/best practice report preparation	5000				5000	
		0				0	
Evaluation and reporting on Stabilisation Plan implementation	Stabilization plan and CDS integration	0					
	Stabilization plan tracking/monitoring and evaluation	0					
	Stabilisation best practice report	2500				2500	
TOTAL		249000	144500	0	13500	75000	16000

B. CO-FINANCING

	Total USD	Consulting Services	Training/ Capacity Building	Dissemination Costs	International advisor	Other – Operational costs excluding staff cost/ Project costs
Co-financing Partner #1: Lilongwe City Assembly and Government	100000					100000
Co-financing Partner #2: GTZ	20000		20000			
Co-financing Partner #3: Others	250000	250000				
Co-financing Partner #4 Bill and Melinda Gates – Year 1 only	500000					500000
TOTAL B (Co-Financing)	870000	250000	20000			600000

C. TOTAL

	Total USD	Consulting Services	Training/ Capacity Building	Dissemination Costs	International advisor	Other – Operational costs excluding staff cost/ Project costs
TOTAL PROJECT BUDGET COST (A + B)	1119500	395000	20000	13500	75000	616000

23. Costing assumptions Provide details about the assumptions that were used to calculate the costs presented in the summary financing plan (22).

Sub activities	Unit/days	Rate 1 (\$500)	Unit/Days	Rate 2 (\$300)	Dissemination Costs and other	Total (US\$)
City scorecards preparation for 2011/2012	4	500		300		2000
Assembly and department business plans for 2011/2012	5	500		300		2500
Aligning budgets and spending for 2011/2012	2	500		300		1000
Performance management system	3	500		300		1500
CDS roles and responsibilities	1	500		300		500
Linking the CDS unit to the organizational structure	0.5	500		300		250
Staffing the unit	0	500		300		0
Equipping and resourcing the unit	0	500		300		0
Preparation of guidebooks	6	500		300	2000	5000
Documenting the CDS	6	500		300	2000	5000
Training and capacity building	0	500		300	0	0
Reporting system formats	1.5	500		300	0	750
Monthly quality assurance	6	500		300	0	3000
Feasibility/research investigation format	1	500		300	0	500
Feasibility/research investigation guideline notes	5	500		300	2000	4500
Iconic Project - Financial Systems	105	500		300	500	53000
Iconic Project - Informal Settlements	4	500		300	0	2000
Iconic Project - Park Development	1	500	15	300	0	5000
Iconic Project - Markets	1	500		300	0	500
Iconic Project - By-laws	45	500		300	0	22500
Iconic Project - City Police	3	500	15	300	0	6000
Feasibility/research investigation quality assurance	5	500		300	0	2500
Track/monitor and evaluate Iconic projects implementation	5	500		300	0	2500
Training and capacity building	0	500		300	0	0
Preparation of CDS DVD	2	500		300	1000	32000
Preparation of Power Point slide packs	3	500		300	0	1500
Management of meetings and roadshows	0	500		300	1000	1000

Sub activities	Unit/days	Rate 1 (\$500)	Unit/Days	Rate 2 (\$300)	Dissemination Costs and other	Total (US\$)
Quality assurance	3	500		300	0	1500
4 stakeholder engagements	12	500		300	18000	24000
Training and capacity building	0	500		300	1000	1000
Externally driven programmes establishment	5	500		300	0	2500
Establishment and management of working forums	5	500		300	0	2500
Joint city to city project initiatives	10	500		300	0	5000
Tracking/Monitoring and evaluation	5	500		300	0	2500
Preparation of guidelines	7	500		300	2000	5500
Thematic priority identification	1	500		300	0	500
Thematic priority resourcing and implementation (water and electricity)	2	500	20	300	0	7000
Thematic priority resourcing and implementation (Sanitation)	2	500	50	300	0	16000
Thematic priority resourcing and implementation (Clinic stabilisation)	2	500	40	300	0	13000
Thematic priority resourcing and implementation (Sensative habitats and water courses)	1	500	10	300	0	3500
Thematic priority tracking/monitoring and evaluation	5	500		300	0	2500
Case studies/best practice report preparation	10	500		300	0	5000
	0	500		300	0	0
Stabilization plan and CDS integration	0	500		300	0	0
Stabilization plan tracking/monitoring and evaluation	0	500		300	0	0
Stabilisation best practice report	5	500		300	0	2500
TOTAL	290		120			249500

24. Expected currency of expenditures

The US dollars would be converted into Malawian Kwacha at a rate of 1USD to 160MK which was the rate on 18 March 2010. The common fluctuation is for 1USD to a range of 150MK and 160MK.

The \$75 000 allocated for the International Advisor is to be paid via UCLG and therefore would need to be disbursed in US dollars.

25. Co-financing arrangements

Co-financing Source	Description of Co-Financing	Committed/Not committed
1. Lilongwe City Assembly and Government of Malawi	US\$100 000	Committed*
2.JICA	US\$2 500 000 Sponsors the Urban Structure Plan – 10% remaining therefore US\$250 000	Committed
4.GTZ	US\$20 000	
5. Bill and Melinda Gates Foundation – can you even mention this?	US\$2 500 000 (to implement the informal settlement programme as outlined in the CDS)	Application submitted – in an advance stage of approval
UCLG	In kind contributions	Committed
City of Johannesburg	In kind contributions for project support	Pending the approval of the CA Application

The \$100000 indicated above is just a nominal amount to demonstrate the level of commitment from the Lilongwe City Assembly. The city scorecards and the budget for the 2010/2011 financial year are in the process of being completed. By way of example, the Internal Audit function has allocated approximately \$132500 to CDS related activities for the coming financial year. In addition, with the support of the City of Johannesburg, the Phase 2 of the CDS preparation was funded internally by the Lilongwe City Assembly as well as by the City of Johannesburg.

26. Additional Financial Management Information from Recipient

- a) Is the Recipient a registered organization under the countries/cities legal requirement? - (Yes/~~No~~)
- b) Can the recipient provide proof of registration and years of operation? -(~~Yes/No~~)
- c) Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes/~~No~~)
- d) Does the recipient have or can open a bank account?- (Yes/~~No~~)
- e) Is the recipient audited annually? - (Yes/~~No~~)
- f) Do you produce periodic financial reports for monitoring and evaluation? (Yes/~~No~~)

Appendix 1 – Draft City Scorecard

Appendix 2 – Letters of Support

Appendix 3 – Request letter to UCLG for Independent International Advisory Support

Appendix 1 – Draft City Scorecard

Appendix 2 – Letters of Support

**Appendix 3 – Request letter to UCLG for Independent International
Advisory Support**