Cities Alliance

Cities Without Slums

Performance Indicators and Monitoring System for the Cities Alliance: A Results-based Approach

October 2013

Acronyms

CA	Cities Alliance
CATF	Catalytic Fund (Cities Alliance)
CP	Country Programme
CRS	Creditor Reporting System
IBSA	India-Brazil-South Africa
IO	Intermediate Outcome
IT	Information Technologies
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
PMS	Performance Monitoring System
RF	Results Framework
SOCR	State of the Cities Report
TA	Technical Assistance
UR	Urbanization Review
VAP	Voting Age Population
VIP	Ventilated Improved Pit
WUF	World Urban Forum

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Exhibits

1.1 Leveraging for Impact

As its Charter proclaims, the main objective of the Cities Alliance is to strengthen and promote the role of cities in poverty reduction, and in sustainable development. To assess the extent to which its efforts and those of its partners are making progress toward that objective, the Cities Alliance Secretariat monitors and evaluates its operational activities within an approved results framework.

The Results Framework is a tool that defines an organisation's theory of change. It articulates the different levels of results expected by the interventions of an organisation, as well as the causal and logical relationships that lead to the achievement of its agreed objectives. It lays out—in realistic results that are easy to understand—the products and services that will be delivered over a period of time (the Outputs), the effect these products and services will have on the client (the Intermediate Outcome, or IO), the effect on the clients' client (the Outcome), and the impact on the livelihood of the target population (Impact). The Results Framework also includes selected Performance Indicators to help measure and document progress across the various tiers of results at different intervals of time.

The Cities Alliance Secretariat is responsible, and should be held accountable, for effectively delivering Activities and Outputs. These form the basis for the Terms of Reference of the Cities Alliance Secretariat. Moving up the chain, the level of control decreases and therefore risk increases. For this reason, and at the IO level, the Secretariat has a *shared responsibility* with its Members to deliver the desired change. Outcome and Impact levels are well beyond the control of the Cities Alliance which, as such, is not responsible for delivering these objectives. Because these Outcomes and Impacts are the basis for any future evaluations, however, it is in Cities Alliance's interest to track progress against key indicators with other partners. This is especially true for the Outcome tier -- the core and *raison d'etre* of the organisation.

The Results Framework forms the basis of a Performance Monitoring System (PMS), which operationalises the performance indicators into baselines, milestones and targets, data sources, as well as tools and frequency for data collection. The PMS operates at the grant/activity level, across grant portfolios and for the programme as a whole. The Performance Monitoring System is not only about monitoring, controlling and tracking emerging results; it is also about learning that can be applied in the design of new activities, for both clients and the organisation.

1.2 The Narrative of Change

While Cities Alliance members are the clients of the CA Secretariat, the city (broadly defined) is the client of the Cities Alliance. The Cities Alliance's aim is to **enable cities to be more effective, participatory and able to deliver improved, responsive services to the urban poor** - thus contributing to improving their socio-economic condition in an inclusive environment.

These objectives are outlined in the Programme Impact (Tier I) and the Programme Outcome (Tier II).

In order to realise the Programme Impact and Outcome of Tiers I and II, the partnership of Cities Alliance members will achieve four interrelated Intermediate Outcomes (Tier III)[1]:

- **IO 1**. National policy frameworks developed and/or enhanced to address urban development needs;
- **IO 2.** Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised;
- **IO 3.** Mechanisms to engage citizens in city/urban governance developed; and
- **IO 4.** Capacities of cities in governance and management strengthened.

Each Intermediate Outcome is designed to address specific urbanisation needs and/or gaps at different levels of intervention (National, City, or Community). However, they should also be regarded as a comprehensive framework. All four IOs work together to foster conditions for effective city management, an active citizenship, and service delivery to the urban poor. No local government can be effective without an enabling national environment; at the same time, no local or national strategy can have an impact without sufficient technical capacity, nor without the inclusion of citizens.

To enable the Partnership to achieve each Intermediate Outcome, the Secretariat will deliver four Outputs (Tier IV) through the four Cities Alliance Business Lines. Those outputs are:

- **OUTPUT 1.** Partnerships convened for strategic country, regional and global priorities;
- **OUTPUT 2.** Technical Assistance (TA) grants appraised, approved and supervised;
- **OUTPUT 3.** Cities Alliance knowledge products and policy dialogues delivered to targeted audiences; and
- **OUTPUT 4.** Effective management and responsive governance of Cities Alliance delivered.

The Business Lines as defined by the Cities Alliance Business Plan for the period June 2011 to 2014 that deliver these Outputs, are: Country Programmes, the Catalytic Fund, Knowledge and Learning, and Communications and Advocacy.

The four Outputs should be viewed as an interrelated system of products and services offered by the Secretariat through the set of activities defined by its four Business Lines. Technical Assistance grants (Output 2), which are principally delivered through the County Programmes and the Catalytic Fund, target most of the Intermediate Outcomes at Tier III. Country Programmes do so through a holistic, concerted and medium-term approach, while the Catalytic Fund uses a single-standing but innovative effort.
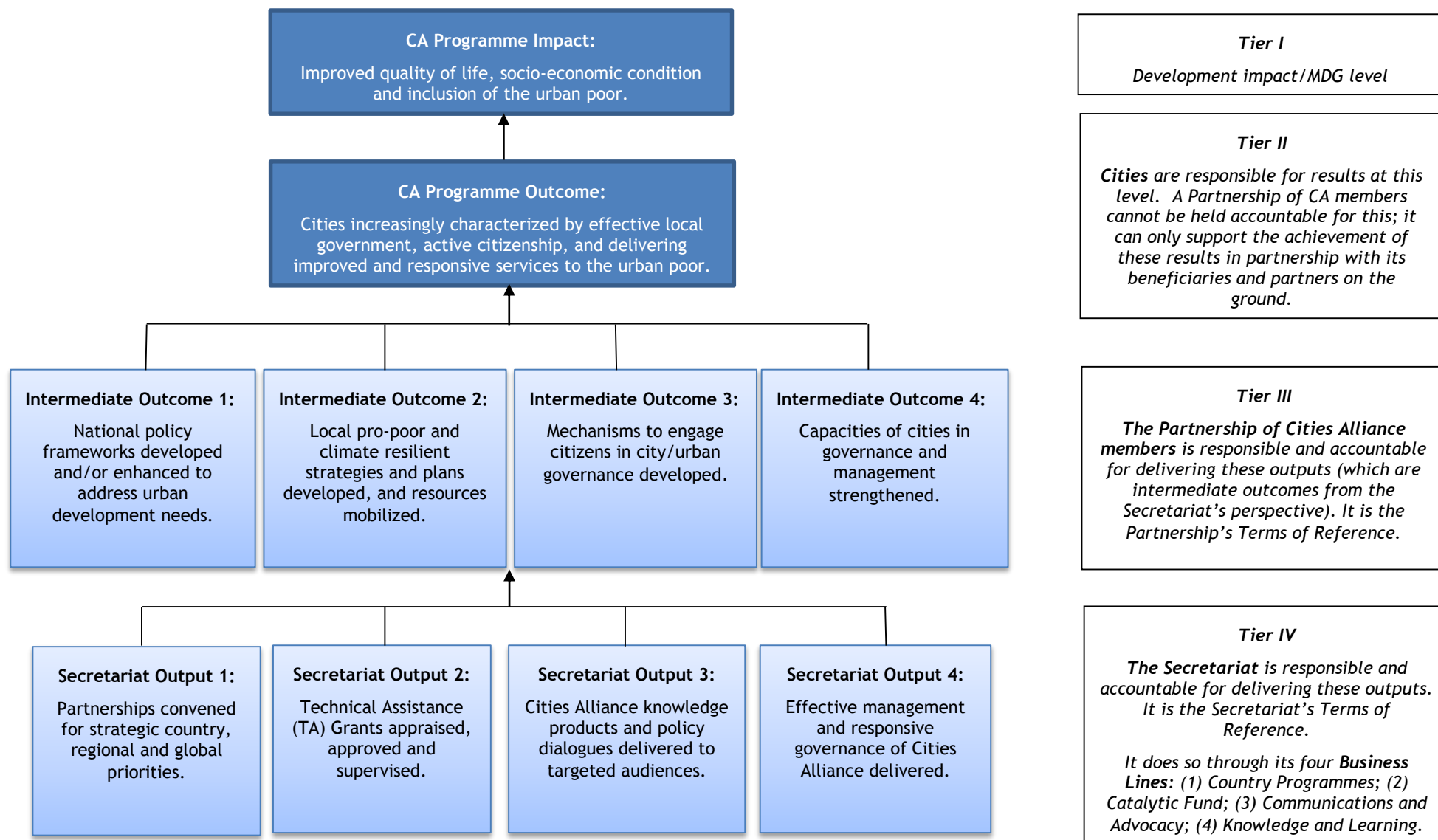
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[1] From the Secretariat's perspective, partnership outputs are considered Intermediate Outcomes.

According to the Cities Alliance Theory of Change, the delivery of TA needs to operate along two dimensions in order to be effective: the establishment of partnerships to bring together international aid efforts and national priorities (Output 1); and the promotion of learning and dialogue necessary to change public opinion and shape behaviour around inappropriate policies affecting urbanisation and cities (Output 3).

The crucial importance of a partnership approach is reflected in the governance structure of the Cities Alliance and is firmly embedded in its flagship operation, the Country Programmes. The approach also espouses most of the Paris Agenda principles, which deem harmonisation and alignment essential for effective development policies, but that are still not sufficiently practiced in the field. Knowledge products and policy dialogues are complementary efforts essential for changing dominant practices and narratives, such as the exclusion of the urban poor, or national policy approaches to cities that are trapped in a sectoral, "urban" discourse instead of adopting an integrated and citywide viewpoint.

While there is no exact one-to-one correspondence between a Business Line and an Output, some elements are geared towards certain specific products or services. The Country Programmes are in principle implemented through partnerships (Output 1). In a Country Programme, the channeled TA builds up to a comprehensive approach that covers most of the IOs and Outcomes at Tiers II and III. The Catalytic Fund delivers smaller-scale TA (Output 2) targeted around specific themes, from which knowledge, learning and innovation (Output 3) can easily be produced. The Business Lines on Knowledge/Learning, and Communications/Advocacy are articulated mainly through Output 3, although some advocacy efforts have to mould around a full-fledged partnership to prove effective.

Exhibit 1.1. Cities Alliance Programme Results Chain

CA Programme Impact:
Improved quality of life, socio-economic condition and inclusion of the urban poor.

CA Programme Outcome:
Cities increasingly characterized by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.

Intermediate Outcome 1:
National policy frameworks developed and/or enhanced to address urban development needs.

Intermediate Outcome 2:
Local pro-poor and climate resilient strategies and plans developed, and resources mobilized.

Intermediate Outcome 3:
Mechanisms to engage citizens in city/urban governance developed.

Intermediate Outcome 4:
Capacities of cities in governance and management strengthened.

Secretariat Output 1:
Partnerships convened for strategic country, regional and global priorities.

Secretariat Output 2:
Technical Assistance (TA) Grants appraised, approved and supervised.

Secretariat Output 3:
Cities Alliance knowledge products and policy dialogues delivered to targeted audiences.

Secretariat Output 4:
Effective management and responsive governance of Cities Alliance delivered.

Tier I
Development impact/MDG level

Tier II
Cities are responsible for results at this level. A Partnership of CA members cannot be held accountable for this; it can only support the achievement of these results in partnership with its beneficiaries and partners on the ground.

Tier III
The Partnership of Cities Alliance members is responsible and accountable for delivering these outputs (which are intermediate outcomes from the Secretariat's perspective). It is the Partnership's Terms of Reference.

Tier IV
The Secretariat is responsible and accountable for delivering these outputs. It is the Secretariat's Terms of Reference.

*It does so through its four **Business Lines**: (1) Country Programmes; (2) Catalytic Fund; (3) Communications and Advocacy; (4) Knowledge and Learning.*

CITIES ALLIANCE - PROGRESS TOWARDS RESULTS

LEGEND

(note: aggregation methods and thresholds for traffic lights still to be refined)

Off track. Decrease from baseline, or for indicators based on a target (Tiers I & II) or a performance standard (Tiers III & IV), achievement is not close to the target or performance standard. 🔴

Watch. No increase or decrease, or for indicators based on a target or a performance standard, achievement is close to but does not meet the target or performance standard. 🟡

On track. Increase from baseline or, for indicators based on a target or a performance standard, achievement meets or exceeds the target or performance standard. 🟢

Sustainable. Mechanisms or processes underlying change have become institutionalised and/or maintained without external assistance. 🟢

Not applicable. There is insufficient data to establish a trend, or there is no target or performance standards ⚪

TIER I - IMPACT

RESULT	INDICATORS	CRITERIA [only measured in cities and countries where CA works]	BASELINE [YEAR]	CURRENT 2013	TARGET 2016	% COMPLETE	STATUS
I.1 Improved quality of life, socio-economic condition and inclusion of the urban poor.	I.1.1 Percentage of city population living in slums	%	N/A	N/A	N/A		⚪
	I.1.2 Percentage of households in urban areas that exist without secure tenure	%	N/A	N/A	N/A		⚪
	I.1.3 Under age 5 mortality rate in urban areas	%	N/A	N/A	N/A		⚪
	I.1.4 Participation of urban poor in the voting population	%	N/A	N/A	N/A		⚪

TIER II - OUTCOMES

RESULT	INDICATORS	CRITERIA	BASELINE [YEAR]	CURRENT 2013	TARGET 2016	% COMPLETE	STATUS
II.1 Cities increasingly characterized by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.	II.1.1 Municipal expenditures per person per year.	AVG US$ Person / Population]	N/A	N/A	N/A		
	II.1.2 Number of municipal employees per 1000 persons per year.	AVG [# Employees / 1000 Persons]	N/A	N/A	N/A		
	II.1.3 Average number of women among municipal employees	AVG [# women employees / total municipal employees]	N/A	N/A	N/A		
	II.1.4 Proportion of municipal employees with post-secondary education.	AVG [# Employees with edu / tot municipal employees]	N/A	N/A	N/A		
	II.1.5 Average percentage of voter participation	% of all eligible voters	N/A	N/A	N/A		
	II.1.6 Average percentage of women voter participation	% of all eligible women	N/A	N/A	N/A		
	II.1.7 Existence of a municipal website for citizen questions and complaints.	Scale	N/A	N/A	N/A		
	II.1.8 Aggregate ratings of functioning of local-level structures for consultations	Scale	N/A	N/A	N/A		
	II.1.9 Aggregate ratings of participatory planning process in place (budgetary or other).	Scale	N/A	N/A	N/A		
	II.1.10 Aggregate levels of civil society activity in municipality.	Scale	N/A	N/A	N/A		
	II.1.11 Access to regular potable water in slum and/or low-income areas. (approach based on MDGs)	%	N/A	N/A	N/A		
	II.1.12 Kilometres of maintained roads/paths in slum and/or low-income areas.	Km	N/A	N/A	N/A		
	II.1.13 Proportion of households in slum and/or low-income areas with sewerage connections	%	N/A	N/A	N/A		
	II.1.14 Proportion of households in slum and/or low-income areas with regular electricity connections.	%	N/A	N/A	N/A		

	II.1.15 Proportion of households in slum and/or low-income areas with regular solid waste collection	%	N/A	N/A	N/A		⬭
	II.1.16 Effectiveness of advocacy and knowledge product dissemination - Official Development Assistance for urban development.	Number	N/A	N/A	N/A		⬭
	II.1.17 Effectiveness of advocacy and knowledge product dissemination - City and urban themes in corporate strategic directions.	Scale	N/A	N/A	N/A		⬭

TIER III - INTERMEDIATE OUTCOMES

RESULT	INDICATORS	CRITERIA	BASELINE 2011	CURRENT 2013	TARGET 2016	% COMPLETE	STATUS
III.1 National policy frameworks developed and/or enhanced to address urban development needs	III.1.1a Number of countries with national urban policy(ies) developed	Unit (aggregate from scale: values = or > 2)	0	3	7	43%	⬭
	III.1.1b Number of countries with national urban policy(ies) adopted	Unit (aggregate from scale: values = 3)	0	0	3	0%	⬭
	III.1.2 Number of counties with national urban policy frameworks	Unit (aggregate from scale: values= 3)	0	1	5	20%	⬭
III.2 Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised	III.2.1 Number of local pro-poor climate resilient strategies/plans developed	Unit	0	1	43	2%	⬭
	III.2.2 Total financial resources mobilized by partners for strategy implementation.	US$	N/A	N/A	500K		⬭
III.3 Mechanisms to engage citizens in city/urban governance developed	III.3.1 Number of cities which have regularly functioning governance mechanisms to engage citizens in urban governance (cities of Country Programmes)	Unit (aggregate from scale: values = or > 2)	0	5	44	11%	⬭
	III.3.2 Number of countries which have regularly functioning governance mechanisms to engage citizens in urban governance	Unit (aggregate from scale: values = or > 2)	1	5	12	42%	⬭
	III.3.3 Number of sustainable mechanisms to engage citizens (Catalytic Fund projects & projects at the city level)	Unit	N/A	tracking	25		⬭
III.4 Capacities of cities in governance and management strengthened	III.4.1 Number of cities where the capacity of local governments has been strenghtened in areas such as strategic planning, financial management, and human resources management	Number (aggregate from scale = 2)	0	0	21	0%	⬭

RESULT	INDICATORS	CRITERIA	BASELINE 2010	2012	CURRENT 2013	YEARLY PERFORMANCE STANDARD	% COMPLETE	STATUS
	III.4.2 Number of countries in which the capacity of training and support organizations (national public organizations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts has been strengthened	Number (aggregate from scale = 2)	0	0	3		0%	◯

TIER IV - SECRETARIAT OUTPUTS

RESULT	INDICATORS	CRITERIA	BASELINE 2010	2012	CURRENT 2013	YEARLY PERFORMANCE STANDARD	% COMPLETE	STATUS
IV.1 Partnerships convened for strategic country, regional and global priorities	IV.1.1 Multi-member partnership agreements endorsed by the partners per year	Unit	1	1	tracking	2		◯
	IV.1.2 Total financing per partnership agreement per year	US$ total value and ratio of $ for Sec funding	N/A	tracking	tracking	700K		◯
	IV.1.3 Diversity of partners per multi-member partnership agreement	Scale AVG score	3	3	tracking	3		◯
IV.2 Technical Assistance (TA) grants appraised, approved and supervised	IV.2.1 Number of TA grants approved	Unit	24	15	6	30	20%	◯
	IV.2.2 Total value of TA grants approved	US$ (mn)	8.43	3.97	1.86	7.5	25%	◯
	IV.2.3 TA grants effectively supervised	% of total reports received	N/A	N/A	75	90	83%	◯
IV.3 Cities Alliance knowledge products and policy dialogues delivered to targeted audiences	IV.3.1 Number of knowledge products produced with grant financing by members and partners	Unit	tracking	tracking	tracking	10		◯
	IV.3.2 Number of knowledge products produced with grant financing by the Secretariat	Unit	tracking	tracking	tracking	5		◯
	IV.3.3 Audience access to knowledge products	Unique Visitor Access - Top downloads - per product	N/A	164	92	400	23%	◯
	IV.3.4 Policy dialogues and formal learning events that are financed by grants and implemented by members and partners	Unit	tracking	tracking	tracking	5		◯
	IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat	Unit	tracking	tracking	tracking	5		◯

IV.4 Effective management and responsive governance of Cities Alliance delivered.	IV.4.1 Grant Making Efficiency: From initial submission of proposal to approval of grant	Days	N/A	63.3	136	60	227%	◯
	IV.4.2 Grant Making Efficiency: From approval of grant to grant agreement	Days	N/A	70	55	30	184%	◯
	IV.4.3 Grant Making Efficiency: From grant agreement to first disbursement	Days	tracking	tracking	tracking	10		◯
	IV.4.4 Grant Making Efficiency: From final disbursement to closing	Days	tracking	tracking	tracking	120		◯
	IV.4.5 Members' impression of Secretariat's effectiveness: support to governance meetings	Rating	N/A	N/A	N/A	4		◯
	IV.4.6 Members' impression of Secretariat's effectiveness: quality and timeliness of reports to Members	Scale AVG score	N/A	N/A	N/A	4		◯

III. Definitions of Indicators

Tier I: CA Programme Impact

I.1. Improved quality of life, socio-economic condition and inclusion of the urban poor.

I.1.1 Percentage of city population living in slums. The number of people living in slums of a city (numerator) divided by the total population of this city (denominator) expressed as a percentage. At the country level, this percentage is the total number of people living in slums of all the cities of a country (the numerator), divided by the total population living in all the cities of the given country (the denominator), expressed as a percentage.

Sources: GCIF;
http://mdgs.un.org/unsd/mdg/seriesdetail.aspx?srid=710

UN-HABITAT has developed a household level definition of a slum household in order to be able to use existing household level surveys and censuses to identify slum dwellers among the urban population. A slum household is a household that lacks any one of the following five elements:

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

Source: UN-Habitat

I.1.2 Percentage of households in urban areas that exist without secure tenure. The number of households in urban areas without secure tenure (the numerator) divided by the total number of households in the same urban areas (denominator) expressed as a percentage. Secure tenure is the right of all individuals and groups to effective protection against forced evictions. People have secure tenure when there is evidence of documentation that can be used as proof of secure tenure status or when there is either de facto or perceived protection against forced

evictions. **Sources: GCIF;** UNSTAT (Last update: 02 Jul 2012)   : http://unstats.un.org/unsd/mdg/SeriesDetail.aspx?srid=711

I.1.3 Under age 5 mortality rate in urban areas. (MDG-related) The under-5 mortality, also called infant mortality, is a rate defined as the number of infants dying before reaching their fifth birthday per 1,000 live births in a given year. It is an indicator of the Millennium Development Goals, which seeks to reduce the under-5 mortality rate by two-thirds between 1990 and 2015. Under-5 mortality measures child survival and reflects the impact of social, economic, and environmental circumstances as well as other causes of death on infants, toddlers, and young children, including access to health care.

Sources: MDG - United Nations; UNICEF
http://www.unicef.org/sowc2012/pdfs/SOWC%202012-Executive%20Summary_EN_13Mar2012.pdf

I.1.4 Participation of urban poor in the voting population. The total number of voting urban poor per 1000 voting persons. This definition refers to the concept of voting age population (VAP), which includes all citizens above the legal voting age. **Source: IDEA.**

Tier II: CA Programme Outcome

II.1. Cities increasingly characterized by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.

II.1.1 Municipal expenditures per person per year [Effective Local Government]. Numerator: Total operating expenditures of municipality in a given year. Denominator: total population (estimated) of municipality in same year. **Sources:** Operating budget of municipality; national population census and population estimates.

II.1.2 Municipal employees per person [Effective Local Government]. Numerator: Total number of employees directly or indirectly employed by the municipality in a given year. Denominator: Total population of municipality in same year. **Sources:** Human Resources department of municipality; national population census and population estimates.

II.1.3 Average number of women among municipal employees [Effective Local Government]. Numerator:

Total number of female employees directly or indirectly employed by the municipality in a given year. Denominator: Total number of employees directly or indirectly employed by the municipality in the same year. **Sources:** Human Resources department of municipality; national population census and population estimates.

II.1.4 Proportion of municipal employees with post-secondary education [Effective Local Government]. Numerator: Number of well-trained employees (engineers, technical experts, etc.) in municipality in a given year. Denominator: Total population of municipality in same year. **Sources**: Human Resources Department of municipality; national population census and population estimates.

II.1.5 Voter participation in most recent municipal election (as % of eligible voters) [Active Citizenship]. Numerator: Number of eligible voters who voted in most recent municipal election. Denominator: Number of eligible (or registered) voters in municipality for the same election. **Sources:** GCIF; voting records.

II.1.6 Average percentage of women voter participation [Active Citizenship]. Numerator: Number of eligible female adult voters who voted in most recent municipal election. Denominator: Number of eligible (or registered) female voters in municipality for the same election. **Source:** voting records.

II.1.7 Existence of active municipal website for citizen questions and complaints [Active Citizenship]. Indicators measures existence and quality of the municipal ICT enhancing public accountability towards citizens. **Rating scale:**

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

Sources: City IT Departments.

II.1.8 Functioning of local-level governance structures for consultation, at ward or sub-ward level [Active Citizenship]. Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. It is a deliberation, discussion, and dialogue. The objective of a consultation is to seek information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The organizer seeks to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented. Providing and sharing information is seen as the foundation of an effective consultation process (World Bank). Rating scale:

0	Little or no governance structures for consultations
1	*Ad hoc* or irregular governance structures for consultations
2	Governance structures that are legally mandated and functioning actively.

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

II.1.9 Participatory planning process in place (budgetary or other) [Active Citizenship]. Participatory planning is a tool for identifying the collective needs of all individuals within a community, a way of building consensus, and a means of empowering disadvantaged or disenfranchised groups (World Bank). Rating scale:

0	Little or no participatory planning
1	Formal planning structures in place for budgets and planning projects
2	Regular use of local participatory processes for budgetary and project purposes

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

II.1.10 Level of civil society activity in municipality [Active Citizenship]. The term civil society refers to the wide array of non-governmental and not-for-profit organizations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. Civil Society Organizations (CSOs) therefore refer to a wide of array of organizations: community groups, non-governmental organizations (NGOs), labour unions, indigenous groups, charitable organizations, faith-based organizations, professional associations, and foundations (World Bank). **Rating scale:**

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

Sources: CA Secretariat, Civil Society Index.

II.1.11 Access to regular potable water in slum and/or low-income areas [Delivering services to the urban poor]. Access: within 200 metres from a home; Adequate: 20 litres / day / person; Safe: water does not contain biological or chemical agents directly detrimental to health. Numerator: total number of households in slum and/or low-income areas with regular supply of potable water from municipal source (calculation based on MDG criteria). Denominator: total number of households living in slum and/or low-income areas.

Sources: City Engineer's office/Municipal Public Works Departments.

II.1.12 Kilometres of maintained roads in slum and/or low-income areas [Delivering services to the urban poor]. Total number of kilometres of maintained roads in slum and/or low-income areas. [Implies that roads are graded regularly, there are culverts or runoff drains for the rainy season, and roads are passable for

vehicles such as ambulances, taxis, and trucks for access to markets.]

Sources: City Engineer's office/Municipal Public Works Departments.

II.1.13 Proportion of households in slum and/or low-income areas with sewerage connections [Delivering services to the urban poor]. Numerator: total number of households living in slum and/or low-income areas that are connected to a main sewerage system in a given country. Denominator: total number of households living in slum and/or low-income areas.

Sources: Municipal water/sanitation departments.

II.1.14 Proportion of households in slum and/or low-income areas with regular electricity connections [Delivering services to the urban poor]. Numerator: Total number of households living in slum and/or low-income areas that are formally connected to electricity. Denominator: total number of households living in slum and/or low-income areas.

Sources: Municipal/local electricity supply agency.

II.1.15 Proportion of households in slum and/or low-income areas served by regular solid waste collection (either publicly or privately) [Delivering services to the urban poor]. Numerator: Total number of households located in slum and/or low-income areas that are served by regular solid waste collection (either publicly or privately). Denominator: total number of households located in slum and/or low-income areas.

Sources: Municipal sanitation departments.

II.1.16 Effectiveness of advocacy and knowledge product dissemination - Official Development Assistance for urban development. Official Development Assistance (ODA) in urban development is defined as an umbrella of flows captured by the OECD Creditor Reporting System (CRS) 43030 Urban Development and management (integrated urban development projects; local development and urban management; urban infrastructure and services; municipal finances; urban environmental management; urban development and planning; urban renewal and urban housing; land information systems) and 16040 Low Cost Housing.

Source: AidData.

II.1.17 Effectiveness of advocacy and knowledge product dissemination - City and urban themes in corporate strategic directions. This indicator is defined as the prominence of themes related to city and urban areas that are integrated at the country and regional levels into the directions the CA members take with the objective of achieving business success in the long term. **Rating scale:**

0	Little or no reference to city and urban themes
1	Representation of urban and city themes
2	Urban and city agenda considered as a corporate priority

Tier III: CA Intermediate Outcomes

III.1. National policy frameworks developed and/or enhanced to address urban development needs

III.1.1 (a and b in the Indicators Scorecard) Status of national urban policy(ies). Indicator rates the status of national urban development policy(ies) in countries where the CA works. National policies on urban development may include sectoral policies covering some or all of the following aspects: housing, slum upgrading, transport, land, fiscal decentralization. Policies are officially adopted through ministerial decree or pertinent legal declaration (must have legal status and budgetary commitment). Rating scale – status of an urban development policy in a given country:

0	Policy not developed
1	Policy under development
2	Policy developed
3	Policy adopted

Sources: Copies of the official policies; members and Secretariat ratings.

III.1.2 Status of development of national urban policy frameworks. The rating scale measures the development of an urban policy framework in countries where the CA works by measuring the qualitative evolution from single sectoral policies related to urban issues, to an integrated and comprehensive framework for city planning and governance. Characteristics of national policy frameworks include: (a) long term strategic vision of cities; (b) creation of an enabling legal and fiscal environment; and (c) integrated and comprehensive approach to urban planning. Rating scale:

0	Policies not developed
1	Single sectoral policy developed
2	Sectoral policies developed
3	Comprehensive and integrated policy framework developed

Sources: Copies of the official policies; member and Secretariat ratings.

III.2 Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised

III.2.1 Number of local pro-poor and climate resilient strategies/plans. The indicator measures the number of local pro-poor and climate resilient strategies/plans developed in cities in which CA works in a given year. Local pro-poor and climate resilient strategies may be city development strategies (CDSs), slum upgrading strategies, or other local strategies that include pro-poor and climate resilient elements.
Sources: Copies of the CDSs, slum upgrading strategies, and Secretariat records.

III.2.2 Total financial resources mobilized by partners

for strategy implementation. The indicator measures a) Total value (US$) of resources committed (budget) by the city for implementation of strategies and plans in a given year; (b) Total funding leveraged – Total value (US$) of resources committed by partners for implementation of strategies and plans per year. (c) Average funding per $ of seed capital (grants) per year.
Sources: Completion reports; feedback; and Secretariat records.

III.3 Mechanisms to engage citizens in city/urban governance developed

III.3.1 Cities (in Country Programmes) with regularly functioning governance mechanisms to engage citizens in urban governance developed. This indicator rates the degree of participation by citizens, including slum dwellers, at the local level in the determination, approval and implementation of urban development strategies and policies, by cities in which the CA works through Country Programmes. Governance mechanisms include: social accountability mechanisms, slum development committee, municipal forum. **Rating scales**:

0	Mechanisms to engage citizens do not exist at community and municipal level or mechanisms are *ad-hoc* and scarce.
1	Community/saving and other stakeholders groups are formed, processes for municipal Forum (charter development, preparation of a workplan, etc.) are under development.
2	Community groups are federated at municipal level, stakeholders are organised and municipal forum are held.
3	Municipal forum charter is adopted with a budget and an action plan, community federations/groups and other stakeholders actively participate in the municipal forums.

Sources: CP progress and completion reports; CATF completion reports; member survey (lead member).

III.3.2 Countries with regularly functioning governance mechanisms to engage citizens in urban governance developed. This indicator rates the degree of participation by citizens, including slum dwellers, at the national level in the determination, approval and implementation of urban development strategies by country in which the CA works. Governance mechanisms include: national forum, city federation, association of municipalities. **Rating scales**:

0	Mechanisms to engage citizens do not exist at national levels or mechanisms are *ad-hoc*, unstructured and scarce.
1	Processes for national forum (charter development, preparation of a workplan, etc.) are under development and stakeholders are identified and engaged.

2	Stakeholders groups are organised and national forum is held.
3	National forum charter is adopted with a budget and an action plan, stakeholders actively participate in national forums.

III.3.3 Sustainability of mechanisms to engage citizens (all grants at city level). This indicator rates the presence of mechanisms for participatory local governance in CA activities at the city level and their sustainability beyond the project life cycle. Mechanisms include: social accountability activities, local fora, citizenship advocacy and awareness campaigns, grassroots NGO and community involvement. **Rating scales**:

0	No/*ad hoc* mechanism
1	Mechanism integrated into core grant activities
2	Mechanism integrated in implementing grant and likely to be used in the future outside the grant life cycle

III.4. Capacities of cities in governance and management strengthened.

III.4.1 Capacity of local governments in areas such as strategic planning, financial management, and human resources management. This indicator rates the degree of capacity strengthened in the cities in which CA works (through the Country Programmes and the Catalytic Fund) including the capacity of local government authorities (in areas such as strategic planning, financial management, and human resources management). Rating scale:

0	No capacity strengthening activities have been conducted by CA partnership.
1	Capacity development activities have been conducted, but strengthening is not yet evident.
2	Capacity of local government authorities has been strengthened.

Sources: CP progress and completion reports; CATF completion reports; member survey.

III.4.2 Capacity of training and support organizations (national public organizations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts. This indicator rates the degree of capacity strengthened in the countries in which CA works (through the CPs and the Catalytic Fund) including the capacity of training and support organizations (national public organizations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts (in

strategic planning, financial management, and human resources management):

0	No capacity development activities of training and support organizations have been conducted by CA partnership.
1	Capacity development activities for training and support organizations have been conducted, but strengthening is not yet evident.
2	Capacity of training and support organizations has been strengthened.

Sources: CP progress and completion reports; member survey.

Tier IV: CA Secretariat Outputs

IV.1. Partnerships convened for strategic country, regional and global priorities.

IV.1.1 Multi-member partnership agreements endorsed by the partners per year. Indicator measures the number of formalized partnership agreements in a given year as a measure degree of the success of the Secretariat convening process. Partnership agreement may be: framework document for country programmes; resolution of partners; statement of agreement. Multi-member is defined as two or more CA members. **Source:** CA Secretariat records.

IV.1.2 Scaling: Total financing for partnership agreements per year. Indicator measures total funding contributed in a given year to a specific partnership agreement by partners directly and/or jointly fundraised. It also calculates the value ratio of the total funds per Secretariat funding. **Source:** CA Secretariat records.

IV.1.3 Broadening: diversity of partners. This indicator measures the objective to diversify the membership base to other key stakeholders as well as expand financing mechanisms to local private sector. Categories of partners are (i) Civil society/NGOs, academia; (ii) Private sector; (iii) Donors; and (iv) Local governments.[2]

Rating scale:

0	No non-member partners
1	One category of non-member partners
2	At least two categories of non-member partners
3	Three or more categories of non-member partners

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

IV.2.1 TA grants (CP and CATF) approved. Indicator measures the total number of TA grant proposals (CP and CATF) approved in a given year following the appraisal process. The appraisal process includes application of a checklist and, according to specific guidelines, peer reviews and member reviews. **Source:** CA Secretariat records.

IV.2.2 Total value of TA grants approved. Indicator measures the total cumulative US$ value funded by the CA of TA grants (CP and CATF) approved in a given year following the appraisal process.

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

IV.3. Knowledge products and policy dialogues delivered to targeted audiences.

IV.3.1 Knowledge products produced with grant financing by members and partners. Indicator measures the total number and cost of knowledge products developed with grant financing, as well as the alignment of the knowledge products and strategy, and demonstrates clear and proactive management of the delivery of CA knowledge to targeted audiences. Knowledge products may include: thematic publications, published diagnostic studies (e.g., *State of the Cities Report* (SOCR), *Urbanization Review* (UR)), toolkits and other guides, policy papers etc. produced by members and partners with CA Secretariat support and funding. Normally a knowledge product shall have a CA logo. **Source:** CA Secretariat records; knowledge pipeline and distribution schedule.

IV.3.2 Knowledge products produced with grant financing by the Secretariat. Total number of knowledge products (see previous definition) produced with grant financing by the Secretariat. **Source:** CA Secretariat records.

IV.3.3 Knowledge products produced with grant financing and freely accessed by targeted audiences. Indicator measures the effective distribution of knowledge products via the CA website (number of unique visitors to the CA website on specific knowledge pages/downloads from targeted countries). Total number of unique visitors to the CA website from targeted countries. **Source:** CA Secretariat records.

IV.3.4 Policy dialogues and formal learning events that are financed by grants and implemented by

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

members and partners. Indicator measures the total number of Policy Dialogues, Advocacy and Knowledge&Learning events that are financed by grants and carried out by member and partners. Policy dialogues may include: (i) formal consultation events with members and/or relevant institutions (e.g., decentralization talks in Tunisia; IBSA; Policy Advisory Forum); (ii) Advocacy/ Communications events (e.g., seminars/workshops at Africities, WUF). Formal learning exchanges could include: peer-to-peer events and study tours, learning workshops and seminars. **Source:** CA Secretariat records.

IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat. Total number of policy dialogues and formal learning events (see previous definition) that are financed by grants and carried out by the Secretariat. **Source:** CA Secretariat records.

IV.4. Effective management and responsive governance of Cities Alliance delivered.

IV.1 Average time for key phases in the project cycle – from initial submission of proposal to approval of grant. Average time, in days, from initial submission of proposal to approval of grant for projects completing this phase in a given year. **Source:** CA Secretariat records.

IV.2 Average time for key phases in the project cycle – from approval of grant to grant agreement. Average time, in days, from approval of grant to signature of grant agreement for projects whose agreement was signed in a given year. **Source:** CA Secretariat records.

IV.3 Average time for key phases in the project cycle – from grant agreement to first disbursement. Average time, in days, from signature of grant agreement to first disbursement for projects receiving first disbursement in a given year. **Source:** CA Secretariat records.

IV.4 Average time for key phases in the project cycle – from first disbursement to closing. Average time, in days, from first disbursement to closing for projects closed in a given year. **Source:** CA Secretariat records.

IV.5 Members' impression of Secretariat's effectiveness: support to governance meetings. Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on rating selected statements. **Source:** CA Secretariat yearly survey of members.

IV.6 Members' impression of Secretariat's effectiveness: timeliness and quality of reports to members. Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on rating selected statements. **Source:** CA Secretariat yearly survey of member

As said above, the Results Framework forms the basis of a Performance Monitoring System (PMS), which operationalises the performance indicators into baselines, milestones and targets, data sources, as well as tools and frequency for data collection. The data gathered in the PMS will be reported through two tools: a result-based annual report and a corporate scorecard.

4.1. Result Based Annual Reports

As part of its accountability requirements to the Consultative Group and related commitments to development partners, clients and other relevant stakeholders, the Cities Alliance Secretariat should prepare a yearly report that outlines progress made towards programmatic objectives and stated results at Tiers II (outcomes), III (intermediate outcomes) and IV (outputs). Grounded in the data collected through the grant progress report, the country programme progress reports, and the grant completion reports, annual results or effectiveness reports should provide an aggregate account of progress along with evidence-based explanations of variances in reported achievements, whether positive or negative[3].

While reported achievements should be tied in with the actual work for which the Cities Alliance and its Members/Partners are accountable (Tiers III & IV), results reports should speak to the Alliance's overall aim of enabling cities to be more effective, participatory and able to deliver improved, responsive services to the urban poor (Tiers I & II). In other words, annual results reports should be consistent, give an overview of sectoral and city-wide progress towards stated development results (Tiers I and II) and provide a succinct account of how the Cities Alliance and its Partners/grantees contributed to those results (Tiers III and IV). As such, the annual results report is the primary instrument through which the Cities Alliance communicates its story to the Consultative Group, Executive Committee, members, partners, and to the wider public. It should offer a snapshot of the Alliance's overall performance, facilitate decision-making, and any significant changes in the internal and external context that either affected or will ultimately affect the Programme's performance.

4.2. Result Scorecard

Increasingly, organisations such as the World Bank group and various UN agencies are relying more and more on scorecard indexes and dashboard or "traffic light" systems to showcase their contributions. The reasons for this are many. First, scorecards provide a quantitative approach that is fairly rigorous. It relies on objectively identifiable indicators that can be reliably measured. Second, by associating quantitative results with a universally recognised colour-coding system (i.e., the dashboard or "traffic light" system component) an observer can readily appreciate areas where progress is on track versus areas where further improvements are warranted. As the World Bank's own experience demonstrates, the scorecard approach can facilitate strategic dialogue between Management and the Board or Council on progress made and areas that need attention. Finally, the scorecard approach helps to create a living document that can be used to continuously monitor

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[3] Most multilateral organizations issue at least two yearly reports, an *annual report* that is presented at annual executive meetings and includes detailed financial information in addition to a description of activities undertaken during the year under review, and more recently an *annual results report*, that concentrates on the results obtained from their operations and normally includes or is based on an organizational results framework. Given the small staff complement of the Secretariat, it may be preferable, at least over the first few years, to issue a combined yearly report, which should serve as the main prospectus of the Cities Alliance's work and contributions, to which traditional information pertaining to financials, human resources, and other relevant issues are appended. A suggested outline for this combined yearly report is presented in Exhibit 3.2 below.

progress towards results and ultimately improvements over time as an organisation's ability to report on results increases, leading to the development of more refined outcome indicators that can give a more accurate measure of progress made.

As per Section II, quantifiable indicator measures are used along with a corresponding colour coding system to facilitate analysis and draw the reader's attention to emerging concerns. Light or dark green are used to indicate areas where progress is on track; yellow points to issues that need to be watched more closely and where performance is improving, relative to baseline data; and red is used to highlight areas where performance is either off track or not improving. The table (below) provides a description of the proposed "traffic-light" system, along with a range of aggregate scoring associated with the proposed colour scheme. The *Aggregate Results* column indicates the mean distribution of results and corresponding colour scheme in instances where the performance of two or more country programmes are collated and averaged out for indicators based on ratings. Numerical ratings should be used to aggregate results only. Final scorecard balance sheets should show the colour only. The definitions used in Exhibit 2.1 borrow heavily from the World Bank's approach.

Exhibit 4.1 Rating System

CODING	DEFINITION	AGGREGATE RESULTS
(red)	**Off track**. Decrease from baseline, or for indicators based on a target (Tiers I & II) or a performance standard (Tiers III & IV), achievement is not close to the target or performance standard.	0 – 0.8
(yellow)	**Watch**. No increase or decrease, or for indicators based on a target or a performance standard, achievement is close to but does not meet the target or performance standard.	0.9 – 1.5
(light green)	**On track**. Increase from baseline, or for indicators based on a target or a performance standard, achievement meets or exceeds the target or performance standard.	1.6 – 2.4
(dark green)	**Sustainable:** Mechanisms or processes underlying change have become institutionalised and/or maintained without external assistance.	2.5 – 3.0
N/A	**Not applicable**. There is insufficient data to establish a trend, or there is no target or performance standard.	White

The annual results report outline and scorecard should be linked to grant progress and completion reports, as well as country programme reports. The data presented should thus constitute an aggregation of global results rather than a long list of achievements and outputs from the country and grant progress reports. Exhibit 2.2 below provides a tentative outline of what should be considered within the annual results report.

Exhibit 4.2 Annual Results Report Outline with Scorecard

> i. Executive Summary
> ii. Key Results / main conclusions
> 1. Purpose of report, time period covered and brief explanation of the scorecard method.
> 2. Context: Overview of development context. This should include variations (if any) in the broader development context and Tier I indicators from the baseline to the present (i.e., aggregated scorecard results). Changes in the external context that affected results (whether positively or negatively) should be explained (e.g., change in government priorities or spending allocations; increased donor commitments, war or civil unrest, etc).
> 3. Aggregate overview of the performance of cities. Using data and results drawn from Tier II (i.e., aggregated scorecard results), the report should provide an overview of the development results being achieved relative to the capacity of cities to address the needs of the poor.

4. Progress made by the Cities Alliance and its Partners in tackling urban poverty and improving the livelihoods of those living in slums or slum-like conditions. Focus here should be on Tier III indicators and aggregated scorecard results.

5. Key contributions from the Secretariat, country programmes, and partners relative to partnership development and funding leverage; knowledge products, seminars or workshops; and technical assistance grants.

6. Problems encountered / delays / challenges.

7. Conclusions / lessons learned.

8. Planned changes / anticipated developments in the coming period.

9. Other

10. Annexes (e.g., Tier IV outputs per country).

V. Operationalization - Implementation Plan

Code	Tasks	Start	PLANNED Duration (net)	End	IF CONSTANT DELIVERED %	COMPLETED %	2013 - 2 Semester	2014 - 1 Semester / 2 Semester	2015 - 1 Semester
1	**TOOLS**								
1.1	Progress Report Revision	1-Oct-13	23	31-Oct-13	*100*	*100*			
1.2	Completion Report Revision	1-Oct-13	23	31-Oct-13	*100*	*100*			
1.3	Quality Review	1-Jan-14	129	30-Jun-14		*0*			
1.4	IM Systems revision	1-Oct-13	66	31-Dec-13		*0*			
1.5	Scorecard template	1-Apr-14	22	30-Apr-14		*0*			
2	**BASELINE GATHERING**								
2.1	Tier I - Baseline	1-Nov-13	43	31-Dec-13		*0*			
2.2	Tier II - Baseline	1-Oct-13	66	31-Dec-13		*0*			
2.2.1	*Consultancy [Burkina Faso]*	1-Feb-14	63	30-Apr-14		*0*			
2.2.2	*Consultancy [Ghana]*	1-Jan-14	64	31-Mar-14		*0*			
2.2.3	*Consultancy [Mozambique]*	1-Feb-14	63	30-Apr-14		*0*			
2.2.4	*Consultancy [Uganda]*	1-Jan-14	64	31-Mar-14		*0*			
2.2.5	*Consultancy [Vietnam]*	1-Jan-14	64	31-Mar-14		*0*			
2.3	Tier III - Baseline	1-Oct-13	66	31-Dec-13		*0*			
2.4	Tier IV - Baseline	1-Oct-13	66	31-Dec-13		*0*			
3	**SETTING TARGETS**								
3.1	Tier I - Targets	3-Jan-14	84	30-Apr-14		*0*			
3.2	Tier II - Targets	3-Jan-14	84	30-Apr-14		*0*			
3.3	Tier III - Targets	3-Jan-14	84	30-Apr-14		*0*			
3.4	Tier IV - Targets	3-Jan-14	84	30-Apr-14		*0*			
3.5	Initial Validation of Preliminary Targets	1-Nov-13	21	30-Nov-13		*0*			
3.6	3-Year targets for the new Business Plan	1-Apr-14	44	31-May-14		*0*			
3.7	BP and 3-Year Targets approved	1-Oct-14	66	31-Dec-14		*0*			
4	**COMMUNICATIONS**								
4.1	Communication Strategy	1-Dec-13	22	31-Dec-13		*0*			
4.2	Awarness for country and city partners	1-Jan-14	64	31-Mar-14		*0*			
4.3	Training for CA staff	1-Feb-14	20	28-Feb-14		*0*			
4.4	First lessons learnt	1-Oct-14	66	31-Dec-14		*0*			
5	**DATA & EFFECTIVENESS REPORT**								
5.1	Tier I - Data updates	1-Sep-14	22	30-Sep-14		*0*			
5.2	Tier II - Data updates	1-Dec-14	65	28-Feb-15		*0*			
5.3	Tier III - Data updates	1-Sep-14	22	30-Sep-14		*0*			
5.4	Tier IV - Data updates	1-Sep-14	22	30-Sep-14		*0*			
5.5	Data treatment	1-Oct-14	23	31-Oct-14		*0*			
5.6	Template for Effectiveness Report	1-Jul-14	23	31-Jul-14		*0*			
5.7	Production	1-Oct-14	23	31-Oct-14		*0*			
5.8	Presentation	1-Nov-14	20	30-Nov-14		*0*			

Gantt chart timeline milestones: EXCO/CG (2013), EXCO (2014 mid), EXCO/CG (2014 late)