

**CITIES ALLIANCE MEETING DOCUMENTATION
HANOI ANNUAL MEETINGS
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Cities Alliance

Cities Without Slums

2012 Annual Meetings
Weekly Overview, 30 October – 2 November
Hilton Hanoi Opera Hotel*
Hanoi, VIETNAM

TUESDAY, 30 OCTOBER 2012		
8h00	Depart for the Vietnam Urban Forum	<i>Venue: Hotel Lobby</i>
9h00 – 17h00	Vietnam Urban Forum Theme: Vietnam Cities Tomorrow – Actions Today	<i>Venue: National Convention Centre</i>
18h00 – 21h00	Executive Committee Meeting followed by Dinner	<i>Venue: Ho Chi Minh Board Room</i>
WEDNESDAY, 31 OCTOBER 2010		
8h00	Depart for Viet Tri City	<i>Venue: Hotel Lobby</i>
10h00 – 17h30	Site Visit to Viet Tri City	<i>Venue: Viet Tri City</i>
THURSDAY, 1 NOVEMBER 2012		
9h00 – 13h00	Consultative Group Meeting	<i>Venue: Hai Phong Meeting Room, Hilton Hotel</i>
13h00 – 14h30	Lunch	<i>Venue: Chez Manon, Hilton Hotel</i>
14h30 – 18h30	Consultative Group Meeting	<i>Venue: Hai Phong Meeting Room, Hilton Hotel</i>
19h30 – 21h00	Cocktail Reception	<i>Venue: Pool-side</i>
FRIDAY, 2 NOVEMBER 2012		
9h00 – 13h00	Consultative Group Meeting	<i>Venue: Hai Phong Meeting Room, Hilton Hotel</i>
13h00 – 14h00	Lunch	<i>Venue: Ba Mien, Hilton Hotel</i>
14h00 – 16h00	Consultative Group Meeting	<i>Venue: Hai Phong Meeting Room, Hilton Hotel</i>

* 1 Le Thanh Tong St, Hanoi, Vietnam, tel: 84-4- 3933 0500



THE VIETNAM LAND, SERVICES AND CITIZENSHIP (LSC) FOR THE URBAN POOR PROGRAMME



Hanoi, Vietnam. Photo: Andrea Zeman/Cities Alliance

Vietnam LSC at a Glance

The LSC programme is a partnership initiative undertaken by the Government of Vietnam and its support partners to align urban development efforts at the national, city and community levels. It aims to:

- * Support the Government of Vietnam's efforts to scale up inclusive urban development policies
- * Build the capacity of cities to strategically manage urbanisation
- * Empower community organisations to actively engage in city development
- * Focus on enhanced community participation, replication and scale

Vietnam has a population of around 85.8 million, of which 25.4 million live in cities — a figure that is expected to double by 2025.

WHAT IS THE VIETNAM LSC PROGRAMME?

The Land, Services and Citizenship for the Urban Poor Programme (LSC) is an initiative undertaken by the Government of Vietnam to align urban development efforts at the national government, city government and community levels. It aims to include the urban poor in the planning and decision-making processes.

WHAT ARE THE OBJECTIVES OF LSC?

LSC seeks to support Government—both national and city—and urban poor communities so that they can effectively manage urban growth, improve access to services, and formulate inclusive urban development policies that benefit the poor at scale.

It does this by:

- **Bringing coherence of effort** by creating an institutional framework that allows stakeholders to align their activities and financing towards common objectives.
- **Building effective partnerships** among the national government, city governments, urban poor communities and other stakeholders that enable inclusive city management and development to be scaled up.

WHO ARE THE PARTNERS IN LSC?

The Government of Vietnam is implementing LSC through the Ministry of Construction's Urban Development Agency. The Association of Cities of Vietnam (ACVN) is implementing efforts at the community level. These partners are supported by international organisations including the World Bank, UN-Habitat, and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

The programme is facilitated and supported by the Cities Alliance, a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development.

The challenge is now to scale up urban upgrading to a citywide level and to mobilise the urban poor so that they benefit from Vietnam's economic growth as well.



Woman washes clothes on the street in Vinh, Vietnam.
Photo: Andrea Zeman/Cities Alliance

Urbanisation in Vietnam

- * One of the fastest urbanising countries in East Asia, Vietnam has undergone a remarkable process of economic reform in recent decades that has spurred economic growth and driven an urbanisation rate of around 3 per cent per year.
- * At the same time, the country has made great strides in reducing urban poverty. Since the Cities Alliance began engaging with Vietnam in 2000, the country's focus has moved from pilot upgrading projects to broad-based upgrading programmes.
- * A national urban upgrading policy is in place but runs the risk of not reaching secondary cities, where the bulk of urbanisation is taking place.



Planned upgrading in Vinh, Vietnam. Photo: Andrea Zeman/Cities Alliance

WHAT ARE THE MAIN ACTIVITIES OF THE LSC?

In Phase 1, the LSC activities in Vietnam focus primarily on rolling out a national urban upgrading programme, strengthening the Vietnam Urban Forum as a national platform for dialogue on urban issues, and expanding the existing Community Development Fund (CDF) network, a network of 30 cities engaged in community-led upgrading activities. Subsequent phases will also include community-based City Development Strategies (CDS) and training for city authorities.

At the National Level

LSC activities at the national level focus on supporting the Government of Vietnam in its efforts to scale up its upgrading programmes and develop a more effective urban agenda centred on sustainable, inclusive cities.

- **The National Urban Upgrading Programme (NUUP).** Finalised in 2008, the programme provides, for the first time, an overall demand assessment and cost estimate for urban upgrading in low-income areas in more than 100 cities and towns throughout Vietnam. It is expected to lead to an upgrading approach that is based on partnerships with local governments and urban communities – a significant urban development shift in highly centralised Vietnam.

The Country Programme is supporting the development of a detailed strategy to operationalise and guide the rollout of the NUUP through 2020. The activity is being implemented by the Ministry of Construction, which was responsible for the formulation and preparation of the NUUP.

- **The Vietnam Urban Forum.** Originally launched in 2003, the Forum is garnering new attention as a result of the debate surrounding the NUUP. LSC is supporting the revitalisation of the Vietnam Urban Forum as a platform for discussion

on urban issues. It also informs stakeholders by regularly reviewing and reporting on the state of urban development programmes in Vietnam, including mobilising the rollout of the NUUP and promoting the CDF.

- **Vietnam Urbanisation Review.** Produced by the World Bank, the Urbanisation Review is a strategic analysis of the country's urban transformation that will guide the Government's urban policies and serve as a basis for national dialogue. The completed Review was presented at the Vietnam Urban Forum in October 2011.

At the City Level

At the city level, LSC activities support strategic urban planning that includes engaging communities as well as capacity building for city authorities.

- **City Development Strategies.** Of the 30 cities that are part of the Community Development Fund network, several will be selected to undertake community-based City Development Strategies. Through the participatory CDS process, communities will engage with local governments to work together to achieve the city's development goals.
- **Training for city authorities.** As part of the LSC programme, mayors and other city officials will receive training on strategic urban planning and management from the Academy of Managers for Construction and Cities (AMCC), which is part of the Ministry of Construction.

At the Community Level

The community component of LSC focuses on strengthening and expanding the Community Development Fund network. This part of the programme is being implemented by the Association of Cities of Vietnam, a network of cities that represents the interests of local governments in the country.

LSC activities mobilise and empower communities by setting up savings groups, establishing a CDF at the city level, and undertaking citywide community mapping in the participating cities. This mapping, which is schematic rather than physical, provides a common framework that the cities can use to identify key issues and prioritise their interventions. LSC also supports seed funding for small community-led projects.

In order to facilitate expansion of the CDF, ACVN has developed an operational manual that includes information on conducting mapping exercises, implementing small community-driven upgrading projects, and financial management guidelines. ACVN has also conducted training workshops for CDF network members and developed financial operations software.

There are also plans to institutionalise the CDF with a joint city-community management structure. Cities would include contributions to the CDF in their budgets, providing matching funds for community savings groups.



Local planning official showing upgrading plans for the neighbourhood in Viet Tri, Vietnam. Photo: Andrea Zeman/Cities Alliance



Initial Results

1. The Association of Cities of Vietnam (ACVN) has completed an operations manual for expanding the Community Development Fund to 20 cities. ACVN has also created financial operations software and conducted training workshops for CDF network members.
2. A Vietnam Urbanisation Review has been completed and presented to policymakers at the Vietnam Urban Forum in October 2011.
3. The Vietnam Urban Forum (VUF) has convened regularly and is well on its way to becoming a fully functional, effective platform for urban sector exchanges and structured dialogue that includes a wide range of stakeholders. Recently, VUF members have established a first thematic platform for shared learning and dialogue: the *Community of Practice on Urban Climate Resilience in Vietnam*.
4. The LSC programme has leveraged an additional \$3 million from the World Bank for technical assistance in the rollout of the National Urban Upgrading Programme.



DIỄN ĐÀN ĐÔ THỊ VIỆT NAM

BỘ XÂY DỰNG

LIÊN MINH CÁC THÀNH PHỐ

Update 11/10

HỘI NGHỊ ĐÔ THỊ VIỆT NAM 2012
Nhân Ngày đô thị Việt Nam 8/11 &
Hội nghị thường niên Liên minh các thành phố trên Thế giới 2012
Tương lai đô thị Việt Nam - Hành động hôm nay
30-10-2012
VIETNAM URBAN CONFERENCE 2012
 on the occasion of the **Vietnam Urban Day 8/11** and the
Cities Alliance Annual Meeting 2012
Vietnam Cities Tomorrow - Actions Today
30 Oct 2012

Nhân Ngày Đô thị Việt Nam (08/11), cũng là dịp thành viên của tổ chức Liên minh các thành phố thế giới (CA) đến Hà nội- Việt Nam họp thường niên với mục tiêu hỗ trợ cho Diễn đàn đô thị Việt Nam và tăng cường mạng lưới hợp tác quốc tế trong xu thế hội nhập, tạo cơ hội cho các đối tác trong và ngoài nước đóng góp xây dựng cho tương lai đô thị tốt đẹp hơn. Bộ Xây dựng/ Diễn đàn đô thị Việt Nam phối hợp với tổ chức Liên minh các thành phố thế giới (CA) tổ chức Hội nghị Đô thị năm 2012, đây là một trong những hoạt động chính của Diễn đàn đô thị Việt Nam (VUF) hợp tác quốc tế, tạo cơ hội cho các bên tham gia gặp gỡ trao đổi kinh nghiệm. Hội nghị Đô thị sẽ có sự tham dự của các nhà hoạch định chính sách, các cơ quan trung ương và chính quyền địa phương, các tổ chức, cá nhân trong nước và quốc tế cùng nhau chia sẻ ý tưởng về những hành động thiết thực để giải quyết những thách thức của đô thị Việt Nam hiện nay, hướng tới tương lai phát triển bền vững.

On the occasion of the Vietnam Urban Day 8th November and the Cities Alliance will align their Annual Member Meeting to Hanoi-Vietnam, to support the Vietnam Urban Forum to strengthen effective networking and dialogue between national and international partners for a better urban future. Ministry of Construction/ Vietnam Urban Forum and the Cities Alliance cooperation to organize the Vietnam Urban Conference 2012, this is the outstanding international activity of Vietnam Urban forum (VUF). It creates opportunities for relevant parties to meet and exchange knowledge. This national flagship conference will bring together decision-makers and practitioners from central and local authorities and international and domestic organizations in order to share ideas on today's necessary actions to efficiently tackle the challenges for Vietnam's urban future toward sustainable development.

1. Tên Hội nghị: “Tương lai đô thị Việt Nam - Hành động hôm nay”

Name of Conference: “Vietnam Cities Tomorrow - Actions Today”

2. Thời gian: Ngày 30/10/2012 (Thứ năm)

Time: Tuesday, 30/10/2012

3. Địa điểm: Trung tâm hội nghị Quốc gia – Mỹ Đình – Từ Liêm - Hà Nội

Location: National Conference Centre – My Dinh – Tu Liem - Hanoi

4. Thành phần: khoảng 250-300 đại biểu với sự tham gia của

Participants: About 250-300 delegates, including:

- Đại diện Lãnh đạo Nhà nước, các Bộ, Ngành Trung ương, Địa phương;
- *Representatives of State leaders, the Ministries of the Central Government, Local Authorities;*
- Đại diện các tổ chức thành viên Diễn đàn đô thị Việt Nam bao gồm: Các tổ chức tài trợ quốc tế, các cơ quan Trung ương và địa phương, các viện và hiệp hội nghiên cứu, các tổ chức khoa học, học viện, các tổ chức phi chính phủ và các tập đoàn kinh tế tư nhân;
- *Representatives of Vietnam Urban Forum member organizations, including: International Donor Agencies, National and Local Authorities, Professional Institutes and Associations, Science and Academia, NGO's and Private Sector Corporations;*
- Các tổ chức trong nước và quốc tế khác;
- *Further relevant National and International Organizations;*
- Đại diện của Cộng đồng.
- *Representatives of communities.*

5. Mục đích của Hội nghị:

The purpose of the Conference:

- Nhằm động viên và thu hút sự quan tâm của các tầng lớp nhân dân, chính quyền các đô thị, các nhà quy hoạch, kiến trúc, các nhà đầu tư phát triển đô thị, các chuyên gia và các tổ chức xã hội - nghề nghiệp tích cực tham gia xây dựng đô thị hướng tới sự phát triển bền vững.
- *In order to motivate and attract the attention of the state and local governments, planners and architects, investors, urban development experts and social organizational professions to actively participate in urban construction orientation towards urban sustainable development;*
- Tăng cường hoạt động của Diễn đàn đô thị Vietnam, phát triển thành viên diễn đàn, định hướng hoạt động của Diễn đàn. Mở rộng hợp tác và liên kết với các Diễn đàn Thế giới và khu vực.
- *Strengthening VUF activities, extending VUF member base, and orienting further VUF activities. Expanding international cooperation and joining in the network of the World Urban Forum and other relevant regional Forums.*

- Tạo điều kiện trao đổi kinh nghiệm về phát triển đô thị giữa các địa phương, các chuyên gia trong và ngoài nước.
- *To facilitate exchange of experience on urban development between local and foreign experts.*
- Tăng cường hợp tác quốc tế, phối hợp với Liên minh các thành phố (CA) tổ chức Hội nghị về Phát triển đô thị nhằm quảng bá, thu hút sự quan tâm đầu tư, hỗ trợ của thế giới trong phát triển đô thị Việt Nam;
- *To enhance the international cooperation and to coordinate with the Cities Alliance (CA) in organizing the Conference, in order to promote and attract investment attention and support from the world to the development of Vietnam's cities and towns;*

6. Các hoạt động chính của Hội nghị

Main Activities of the Conference

- **Phiên tổng thể:**

- **Plenary Session:**

- Phát biểu chỉ đạo của lãnh đạo Nhà nước, Bộ Xây dựng, Tổ chức quốc tế, Hiệp hội đô thị Việt Nam và thành phố Hà Nội.
- *Speeches of leaders of the Government, MoC, International Organisations, ACVN.*
- Thông điệp của Hội nghị Diễn đàn đô thị thế giới lần thứ 6 (WUF6).
- *Dissemination of messages from the 6th World Urban Forum (WUF6)*
- Kiện toàn hoạt động và phát triển Diễn đàn đô thị Việt Nam.
- *Presenting and orientating the activities of the Vietnam Urban Forum.*

- **03 thảo luận chuyên đề song song:**

- **03 Parallel Sessions**

Hội nghị dự kiến sẽ tổ chức 3 phiên thảo luận song song (A, B, C) với 3 chủ đề chính về những ý tưởng mô hình đô thị Việt Nam trong tương lai ứng phó với tác động của biến đổi khí hậu, xác định rõ vai trò và năng lực của các cấp chính quyền đô thị chỉ đạo, tạo lập những mô hình như thế nào, nguồn lực từ đâu để thực hiện các mô hình ý tưởng trên.

- + Phiên thảo luận A: Phát triển thành phố sinh thái ứng phó với Biến đổi khí hậu;

- + Phiên thảo luận B: Vai trò và năng lực của chính quyền địa phương trong phát triển đô thị;

- + Phiên thảo luận C: Cạnh tranh lành mạnh, huy động đa nguồn lực cho phát triển và nâng cấp đô thị;

- *The expected Conference will hold three parallel seminars (A,B,C), focusing on the following contents: Contribution of ideas for models of VN urban Development with Adaptation to Climate Change, identification of the roles and capacities of local Governments who leading the Boards towards the modes, discussion of where all resourceces for creating the models*

- + *Session A: Eco-City Development with Adaptation to Climate Change;*
- + *Session B: The Role and Capacity of Local Governments in Urban Development;*
- + *Session C: Multi-resource mobilization for investment in competitive urban development and urban upgrading*

- **Phiên tổng kết/Conclusion**

7. Tổ chức Hội nghị

Organization

- **Đơn vị chủ trì:** Bộ Xây dựng/ Diễn đàn đô thị Việt Nam
(Cục Phát triển đô thị thường trực)
- **Chair organization:** MoC/ VUF – UDA;
- **Đơn vị phối hợp:** CA, ACVN, AMC, UN-HABITAT, ISET, WB,...
- **Collaborating organizations:** CA, ACVN, AMC, UN-HABITAT, ISET, WB,...

8. Đơn vị tài trợ/sponsors : CA và một số thành viên Diễn đàn/ CA and VUF partners

HỘI NGHỊ ĐÔ THỊ VIỆT NAM 2012

Tương lai đô thị Việt Nam - Hành động hôm nay

30-10-2012

(Nhân Ngày đô thị Việt Nam 8/11 & Hội nghị thường niên Liên minh các thành phố trên Thế giới)

VIETNAM URBAN CONFERENCE 2012

Vietnam Cities Tomorrow - Actions Today

30 Oct 2012

on the occasion of the Vietnam Urban Day 8/11 and the Cities Alliance Annual Meeting 2012

NỘI DUNG CHƯƠNG TRÌNH/ TENTATIVE AGENDA

Thời gian Time	Nội dung Contents	Người thực hiện Agency in charge
CHƯƠNG TRÌNH BUỔI SÁNG NGÀY 30/10/2012 MORNING PROGRAM ON 30.10.2012		
8:30-9:00	Đăng ký đại biểu <i>Registration of Participants</i>	Ban tổ chức <i>Organization</i>
9:00 - 9:10	Giới thiệu đại biểu, giới thiệu chủ tịch đoàn và Chương trình hội nghị <i>Introduction of Chair Persons and Participants/ Agenda</i>	Đại diện VUF- EB <i>VUF Representative</i>
ĐOÀN CHỦ TỊCH CHAIR PERSONS Chủ trì: Đại diện lãnh đạo Nhà nước, Bộ trưởng Bộ Xây dựng (Chủ tịch diễn đàn đô thị); Chủ tịch UBND thành phố Hà Nội (Chủ tịch Hiệp hội các đô thị Việt Nam); Đại diện Ngân hàng thế giới – WB; Đại diện Liên minh đô thị TG - CA; Đại diện Điều phối viên LHQ; Cục trưởng Cục PTĐT. <i>Chair: Representatives of VN Government; Minister of Ministry of Construction (Chairman of VUF); Chairman of CPC Hanoi (Chairman of ACVN); Representative of WB; Representative of Cities Alliance; Representative of UN Resident Coordinator; Leaders of UDA.</i>		
9:10 - 9:25	Bài phát biểu khai mạc và chỉ đạo Hội nghị <i>Welcome Address</i>	Lãnh đạo Nhà nước (PTTg Hoàng Trung Hải) <i>Representative of Government (Deputy Primate Minister Hoang Trung Hai)</i>
9:25 - 9:40	Định hướng phát triển đô thị Việt Nam – tầm nhìn mới <i>Vietnam urban development orientation - new vision</i>	Ông Trịnh Đình Dũng Bộ trưởng Bộ Xây dựng (Chủ tịch diễn đàn đô thị VN) Mr. Trinh Dinh Dung, Minister of <i>Ministry of Construction, Chairman of VUF</i>
9:40 - 9:50	Phát triển Thủ đô Hà Nội và đề xuất những hành động cấp bách đối với công tác quản lý phát triển các đô thị lớn tại Việt Nam. <i>Hanoi Capital development introduction and proposal for swift actions for management of big cities in Vietnam</i>	Đại diện Lãnh đạo của TP Hà Nội (Chủ tịch Hiệp hội các đô thị VN) <i>Representative of Hanoi Capital City (Chairman of ACVN)</i>
9:50 - 10:00	Bài phát biểu của World Bank <i>Speech by World Bank</i>	Đại diện lãnh đạo WB <i>Representative of WB</i>
10:00 : 10:10	Bài phát biểu của Điều phối viên Liên Hợp Quốc <i>Speech by UN Resident Coordinator</i>	Điều phối viên LHQ <i>UN Resident Coordinator</i>
10:10 - 10:35	Giải lao Coffee Break	

10:35 - 10:50	Giới thiệu các thông điệp của Diễn đàn đô thị thế giới lần thứ 6. Bài học kinh nghiệm cho Việt Nam <i>Message from the 6th World Urban Forum (WUF6). Lessons learned for Vietnam</i>	Đại diện UN-Habitat <i>Representative of UN HABITAT</i>
10:50 - 11:10	Báo cáo hoạt động của Diễn đàn đô thị Việt Nam và định hướng phát triển <i>Report of past activities and outlook on future orientation of the Vietnam Urban Forum</i>	Ban điều phối Diễn đàn đô thị <i>VUF Executive Board</i>
11:10 - 11:30	Phát triển thành viên Diễn đàn đô thị Việt Nam (Công bố các thành viên mới và các thành viên tiềm năng). <i>Extension of VUF member base (New member admission ceremony and introduction of potential members)</i>	Ban điều phối Diễn đàn đô thị/ Lãnh đạo VUF trao Chứng chỉ thành viên mới <i>VUF Executive Board/ The Leader of VUF-EB to deliver the Certificate to VUF member</i>
11:30 - 11:50	Phát biểu của đại diện thành viên mới tham gia Diễn đàn <i>Speech of representative of new VUF member organizations</i>	Đại diện thành viên mới <i>Representative of new VUF members</i>
11:50 - 12:00	Thông báo về chương trình buổi chiều <i>Announcement on afternoon program</i>	Cục PTĐT/Ban điều phối Diễn đàn đô thị <i>UDA, on behalf of VUF Executive Board</i>
12:00 - 13:30	Nghỉ ăn trưa/ Thăm quan cung Quy hoạch Quốc gia/ Lunch Break/ Visit the National Exhibition Planning Hall	
CHƯƠNG TRÌNH BUỔI CHIỀU NGÀY 30/10/2012 AFTERNOON PROGRAM ON 30.10.2012		
(Gồm: 03 phiên thảo luận chuyên đề song song từ 13:30h đến 15:30h) (<i>Incl: 03 parallel thematic sessions from 13:30h to 15:30h</i>)		
PHIÊN THẢO LUẬN A: Phát triển thành phố sinh thái ứng phó với Biến đổi khí hậu SESSION A: Eco-City Development response Adaptation to Climate Change		
ĐOÀN CHỦ TỊCH: Cục Phát triển đô thị - Bộ Xây dựng, Bộ Kế hoạch và đầu tư, UN HABITAT, ISET.		
CHAIR: Representatives of UDA-MOC, MPI, UN HABITAT, ISET.		
Thời gian Time	Nội dung Contents	Người thực hiện Agency in charge
13:30 - 14:30	Mô hình và chỉ tiêu phát triển đô thị sinh thái và đô thị xanh một số nước trên TG và định hướng đô thị Việt Nam <i>Model and Criteria for Ecological and Green City Development in some Countries in the World and towards for Vietnam Urban</i>	Cục Phát triển đô thị - UDA <i>Representative of UDA</i>
	Thành phố có khả năng thích ứng biến đổi khí hậu- Kế hoạch hành động <i>The city with the ability to adapt to climate change - Action Plan</i>	Viện nghiên cứu Môi trường và xã hội <i>ISET</i>
	Tăng trưởng xanh tại Việt Nam và định hướng phát triển thành phố xanh <i>Green growth in Vietnam and Green Cities development orientation</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
	Xu hướng dịch cư dân số đô thị ảnh hưởng đến phát triển đô thị sinh thái bền vững <i>Effect of urban population migration on sustainable development of Eco-City</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
	Phát triển thành phố Cần Thơ ứng phó với Biến đổi khí hậu và nước biển dâng <i>Development of Can Tho City to responding to CC and sea level rise</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
	Phát triển thành phố Hạ Long gắn với bảo vệ di sản thiên nhiên <i>Development of Ha Long City with integration of the protection of natural heritage</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực.
	Áp dụng mô hình ECO ² tại Việt Nam/ <i>Application of ECO² model in Vietnam</i>	Đại diện World Bank <i>Representative of WB</i>

	Quy hoạch thành phố sinh thái thân thiện với môi trường & Cơ chế xây dựng đô thị sạch (Urban CDM) <i>Planning for environment-friendly Eco-cities & clean urban development mechanisms (Urban CDM)</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
14:30 - 15:30	Thảo luận, tổng kết phiên <i>Facilitated discussion and conclusions for session</i>	
PHIÊN THẢO LUẬN B: Vai trò và năng lực của chính quyền địa phương trong quản lý phát triển đô thị SESSION B: The Role and Capacity of Local Governments in Urban Development ĐOÀN CHỦ TỊCH: Hiệp hội các đô thị Việt Nam (ACVN), Tỉnh Thừa Thiên Huế, Học viện quản lý cán bộ xây dựng đô thị (AMC), WB/CA, Cục Phát triển đô thị (UDA), CHAIR: ACVN, UDA, AMC, Thua Thien Hue Province, WB/CA, UDA		
	Vai trò, năng lực và những thách thức trong quản lý phát triển đô thị của Chính quyền đô thị <i>Role, capacity and challenges in urban development management for city authorities</i>	Đại diện chính quyền địa phương <i>Representative of local authorities</i>
	Tăng cường năng lực các cấp chính quyền địa phương thông qua các chương trình đào tạo quốc gia & quốc tế <i>Capacity development for local authorities through national and international training programmes</i>	Lãnh đạo Học viện quản lý cán bộ xây dựng đô thị Representative of AMC
13:30 - 14:30	Phát triển đô thị dựa vào cộng đồng - Kinh nghiệm quốc tế và bài học cho Việt Nam <i>Community-based urban development – international experience and lesson learned for Vietnam</i>	Đại diện của WB/CA Representative of WB/CA
	Đổi mới tổ chức và mô hình chính quyền quản lý đô thị <i>Innovation of organization and model of urban management authority</i>	Đại diện chính quyền địa phương <i>Representative of local authorities</i>
	Mô hình thích hợp cho chính quyền đô thị Việt Nam <i>Appropriate models for city governments of Vietnam</i>	Đại diện Bộ Nội vụ Representative of MOI
14:30 - 15:30	Thảo luận, tổng kết phiên <i>Facilitated discussion and conclusions for session</i>	
PHIÊN THẢO LUẬN C: Cạnh tranh lành mạnh, huy động đa nguồn lực cho phát triển và nâng cấp đô thị SESSION C: Multi-resource mobilization for investment in competitive urban development and urban upgrading ĐOÀN CHỦ TỊCH: Thành phố Cần Thơ, Bộ KHĐT, (Đ/d Ngân hàng hoặc Doanh nghiệp), JiCa (Nhật Bản), Tổ chức Sáng kiến Phát triển các TP châu Á (CDIA).		
	Chủ động nguồn lực của doanh nghiệp cho đầu tư phát triển đô thị/ Active involvement of private business resources for urban development construction	Các nhà đầu tư và các công ty tư vấn <i>The investors and the consulting companies</i>
	Sự tham gia của cộng đồng trong hoạt động đóng góp quá trình cải tạo và phát triển đô thị <i>The participation of communities in contributing activities for urban development and upgrading process</i>	Đại diện Hiệp hội các đô thị Việt Nam (Đại diện Cộng đồng) <i>Representative of ACVN (community)</i>
13:30 - 14:30	Kết hợp đa nguồn lực tạo hiệu quả cao cho phát triển đô thị <i>Combined multi-resources for effective urban development</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
	Huy động nguồn lực để đầu tư hợp lý giữa nhu cầu phát triển và nâng cấp đô thị <i>Financial mobilization for effective investment in urban development and upgrading demands</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
	Chiến lược phát triển thành phố (CDS)/ với sự tham gia của đa nguồn lực <i>City Development Strategy (CDS)/ multi sources involvement</i>	Mời đại diện đơn vị hoặc chuyên gia về các lĩnh vực. <i>Representatives of agency or expert from the field.</i>
	Sự năng động của chính quyền địa phương trong công tác huy	Đại diện chính quyền địa phương

	động vốn đầu tư cho phát triển đô thị/ Bài học kinh nghiệm và những thách thức/ <i>Dynamics of local government in urban investment resource mobilization/ Lessons learned and challenges</i>	<i>Representative of local authorities</i>
	Đầu tư phát triển khu đô thị mới - đổi mới cơ chế chính sách nhằm thu hút nguồn lực <i>Investment for development of new urban areas – Innovation policies in order to attract resources;</i>	Cục Quản lý nhà và thị trường Bất động sản <i>MOC - Department for land, housing and real estate management</i>
14:30 - 15:30	Thảo luận, tổng kết phiên/ Facilitated discussion and conclusions for session	
15:30 – 15:50	Giải lao/Coffee Break	
15:50 – 16:50	Tổng kết kết quả từ các thảo luận A- B - C, thảo luận Reporting back from Sessions A-B-C, facilitated discussion	Chủ trì Session Chairs
16:50 – 17:05	Bài phát biểu của Đại diện Liên minh các đô thị Speech by representative of Cities Alliance	Đại diện CA Representative of CA
17:05 – 17:15	Tổng kết, bế mạc Hội nghị/ Conclusions, Wrap-up of Conference	Cục Phát triển đô thị/Ban điều phối Diễn đàn đô thị /UDA, <i>on behalf of VUF Executive Board</i>

Nội dung cụ thể các phiên thảo luận:

HỘI NGHỊ ĐÔ THỊ VIỆT NAM 2012 **Tương lai đô thị Việt Nam – Hành động hôm nay**

PHIÊN THẢO LUẬN A

1/ Chủ đề: Phát triển thành phố sinh thái ứng phó với Biến đổi khí hậu.

2/ Giới thiệu về phiên thảo luận A.

Khái niệm Đô thị sinh thái đã và đang được nghiên cứu, thảo luận, áp dụng ở nhiều quốc gia, là loại hình đô thị có khả năng đảm bảo cho các cư dân sinh sống trong điều kiện chất lượng cuộc sống tốt hơn, sử dụng tối thiểu các nguồn tài nguyên thiên nhiên, hướng tới sự phát triển bền vững, ứng phó linh hoạt với biến đổi khí hậu. Phát triển các Đô thị sinh thái/đô thị xanh là lựa chọn mang tính chiến lược cho sự phát triển bền vững và là xu thế đang diễn ra trên toàn thế giới. Tuy nhiên, dựa vào những đặc điểm riêng của mình, mỗi quốc gia lựa chọn những chiến lược và cách thức riêng cho việc phát triển loại hình đô thị này.

Tại phiên thảo luận này, Diễn đàn đô thị Việt Nam mong muốn nhận được những trao đổi cởi mở về mô hình lý tưởng, các tiêu chí xác định “Đô thị sinh thái” tại các quốc gia và khả năng áp dụng cho Việt Nam. Đây là thời điểm mà các cơ quan quản lý đô thị có thể cùng xây dựng một cách tiếp cận toàn diện hơn để đạt được mục tiêu phát triển đô thị sinh thái ở Việt Nam, tìm ra những biện pháp phối hợp liên ngành như tăng cường khả năng tiếp cận thông tin, nâng cao nhận thức cộng đồng, áp dụng công nghệ sạch, sử dụng các vật liệu xây dựng sinh học, sử dụng các nguồn tài nguyên thiên nhiên thiên nhiên (năng lượng mặt trời, gió...), giảm tiêu thụ năng lượng, giảm thiểu phát thải khí nhà kính... Phát triển Đô thị sinh thái, đô thị xanh là xu hướng tất yếu cho phát triển đô thị của tất cả các quốc gia. Việt Nam mong muốn chia sẻ, học hỏi kinh nghiệm của bạn bè quốc tế trong việc phát triển loại hình đô thị này và cam kết tạo điều kiện tốt nhất cho các nhà đầu tư quan tâm phát triển Đô thị sinh thái tại Việt Nam.

3/ Các bài tham luận của phiên A (*)

- Mô hình và chỉ tiêu phát triển đô thị sinh thái và đô thị xanh tại Việt Nam
- Thành phố có khả năng thích ứng biến đổi khí hậu – Kế hoạch hành động.

- Tăng trưởng xanh tại Việt Nam và định hướng phát triển thành phố xanh
- Xu hướng dịch cư dân số đô thị ảnh hưởng đến phát triển đô thị sinh thái bền vững
- Phát triển thành phố Cần Thơ ứng phó với Biến đổi khí hậu và nước biển dâng
- Phát triển thành phố Hạ Long gắn với bảo vệ di sản thiên nhiên
- Áp dụng mô hình ECO2 tại Việt Nam
- Quy hoạch thành phố sinh thái thân thiện với môi trường & Cơ chế xây dựng đô thị sạch (Urban CDM)

4/ Các nội dung thảo luận

- Khái niệm đô thị sinh thái, đô thị xanh các tiêu chí và các mô hình, kinh nghiệm phát triển đô thị sinh thái có thể áp dụng tại Việt Nam,
- Quy hoạch đô thị sinh thái ứng phó Biến đổi khí hậu tại Việt Nam
- Các hành động để hỗ trợ quá trình thực hiện định hướng phát triển đô thị sinh thái, ứng phó với biến đổi khí hậu.

(*) Mỗi phiên thảo luận sẽ chọn 03 bài dẫn luận để trình bày trong các phiên. Tất cả các bài viết khác sẽ được tập hợp đăng trong kỷ yếu của Hội nghị và thảo luận

PHIÊN THẢO LUẬN B

1/ Chủ đề: Vai trò và năng lực của chính quyền địa phương trong phát triển đô thị

2/ Giới thiệu về phiên thảo luận B.

Trong những năm qua, tình hình phát triển đô thị Việt Nam đã có những bước tiến đáng kể. Hệ thống đô thị Việt Nam đã và đang từng bước phát triển theo hướng bền vững, mở rộng về quy mô, chất lượng hạ tầng đô thị ngày một nâng cao. Chính quyền đô thị Việt Nam đang ngày càng được phân công và phân cấp quản lý nhiều hơn về tài chính, đất đai, quy hoạch và quản lý các dự án đầu tư phát triển đô thị. Đây là xu hướng tốt, tuy nhiên trước những vấn đề mới mang tính toàn cầu, Biến đổi khí hậu và nhiều vấn đề khác là áp lực lớn đối với vai trò và năng lực của chính quyền địa phương trong điều hành quản lý phát triển đô thị là rất lớn, đặc biệt trong điều kiện lực lượng cán bộ về quản lý phát triển đô thị còn chưa hoàn thiện cả về bộ máy, lực lượng cán bộ và phân công phân cấp còn chồng chéo.

Phiên thảo luận này, Diễn đàn đô thị mong muốn nhận được sự chia sẻ phối hợp tích cực của chính quyền địa phương, các tổ chức xã hội dân sự và khu vực tư nhân để nhận diện rõ hơn các vấn đề cần được đổi mới về vai trò, năng lực, trách nhiệm của các tổ chức trong công tác lập chính sách và kế hoạch của chính quyền địa phương trong phát triển đô thị. Tăng cường mối quan hệ đa dạng giữa các đối tác. Hình thành các cơ chế tiếp cận các nguồn tài trợ cho hoạt động phát triển, nâng cấp đô thị hướng tới phát triển đô thị sinh thái, bền vững ứng phó với BĐKH.

3/ Các bài tham luận của phiên B (*)

- Vai trò, năng lực và những thách thức trong quản lý phát triển đô thị của Chính quyền đô thị
- Tăng cường năng lực các cấp chính quyền địa phương thông qua các chương trình đào tạo quốc gia & quốc tế
- Phát triển đô thị dựa vào cộng đồng - Kinh nghiệm quốc tế và bài học cho Việt Nam
- Thành phố Hồ Chí Minh - Đổi mới tổ chức và mô hình chính quyền quản lý đô thị
- Mô hình thích hợp cho chính quyền đô thị Việt Nam

4/ Các nội dung thảo luận

- Những khó khăn và thách thức đối với chính quyền đô thị là gì?

- Làm gì để nâng cao vai trò và năng lực của chính quyền đô thị?
- Công tác đào tạo nên tập trung vào lĩnh vực gì?
- Đổi mới công tác quản lý như thế nào?

(*) Mỗi phiên thảo luận sẽ chọn 03 bài dẫn luận để trình bày trong các phiên. Tất cả các bài viết khác sẽ được tập hợp đăng trong kỷ yếu của Hội nghị và thảo luận

PHIÊN THẢO LUẬN C

1/ Chủ đề: Cạnh tranh lành mạnh - Huy động đa nguồn lực phát triển và nâng cấp đô thị

2/ Giới thiệu về phiên thảo luận C.

Đa dạng hóa huy động các nguồn lực, khai thác và sử dụng có hiệu quả từ nội lực và nguồn lực từ bên ngoài, cùng với việc tranh thủ sự hỗ trợ từ các cấp, huy động sức dân để tập trung tổng lực đầu tư xây dựng kết cấu hạ tầng, nâng cấp, chỉnh trang đô thị là hết sức quan trọng. Trong những năm qua nhiều đô thị đã tập trung một số giải pháp nhằm đẩy mạnh việc huy động nguồn lực, đó là: Làm tốt công tác quy hoạch và quản lý quy hoạch đô thị; Tiếp tục đẩy mạnh phát triển kinh tế, chuyển dịch cơ cấu kinh tế theo hướng phù hợp với tính chất của nền kinh tế đô thị và định hướng mục tiêu CNH-HĐH; Đẩy mạnh huy động nguồn lực nhất là nguồn lực tại chỗ và các cơ chế hỗ trợ, khuyến khích đầu tư thích hợp để xây dựng kết cấu hạ tầng, chỉnh trang đô thị; Tăng cường công tác tuyên truyền vận động nhân dân tham gia nếp sống văn minh đô thị... Để đầu tư và phát triển đô thị thành công, ngoài nguồn vốn Trung ương, vốn ODA cần thu hút đầu tư bằng hình thức xã hội hóa đối với các chương trình và dự án phát triển.

Trong khuôn khổ phiên thảo luận C, Diễn đàn mong muốn chia sẻ những kinh nghiệm về “Cạnh tranh lành mạnh - Huy động đa nguồn lực phát triển và nâng cấp đô thị” với hy vọng rằng sẽ là những kinh nghiệm giúp ích cho chính quyền đô thị, các nhà quản lý chuyên môn, các nhà đầu tư và toàn thể cộng đồng có cách nhìn thấu đáo lớn, lành mạnh hơn trong quá trình cạnh tranh, vận động huy động đa nguồn lực phát triển và nâng cấp đô thị.

3/ Các bài trình tham luận của phiên C (*)

- Chủ động nguồn lực của doanh nghiệp cho đầu tư phát triển đô thị.
- Sự tham gia của cộng đồng trong hoạt động đóng góp quá trình cải tạo và phát triển đô thị
- Kết hợp đa nguồn lực tạo hiệu quả cao cho phát triển đô thị.
- Huy động nguồn lực để đầu tư hợp lý giữa nhu cầu phát triển và nâng cấp đô thị
- Chiến lược phát triển thành phố (CDS)/ với sự tham gia của đa nguồn lực
- Sự năng động của chính quyền địa phương trong công tác huy động vốn đầu tư cho phát triển đô thị / Bài học kinh nghiệm và những thách thức
- Đầu tư phát triển khu đô thị mới - đổi mới cơ chế chính sách nhằm thu hút nguồn lực

4/ Thảo luận:

Nội dung thảo luận tập trung vào các vấn đề chính sau:

- Huy động nguồn lực đối với đầu tư tại các đô thị cần một giải pháp như thế nào?
- Cần phải làm gì để đa dạng hóa nguồn lực trong đầu tư?
- Vai trò của các bên liên quan trong việc đa dạng hóa nguồn lực?

(*) Mỗi phiên thảo luận sẽ chọn 03 bài dẫn luận để trình bày trong các phiên. Tất cả các bài viết khác sẽ được đưa vào phiên thảo luận và đăng trong kỷ yếu của Hội nghị và là nội dung thảo luận

SESSION A

1/ Topic: Eco-City Development with Adaptation to Climate Change.

2/ Introduction of Session A

The theme “Eco-City” has been studied, discussed and applied in many countries. The Eco-City model ensures better living conditions, living quality and saving of resources towards sustainable urban development and climate change resilience. Development of Eco-Cities is the strategic choice for sustainable development and it is a global trend. However, based on its own context and characteristics, each country has chosen their own strategies and methods for the development of this urban form.

In this discussion, the Vietnam Urban Forum would like to receive the open exchange of ideas and experiences about the ideal model, the criteria for "Eco-Cities" in other countries and the ability to apply them for Vietnam. It's about time for urban management agencies to build a more comprehensive approach together to achieve development goals for Eco-Cities in Vietnam and to find inter-sectoral coordination measures such as improving information accessment, raising awareness of communities, applying clean technologies, using bio-building materials and natural resources (solar, wind, etc.), reducing energy consumption and greenhouse gas emissions etc.

The development of Green Cities and Eco-Cities is an inevitable trend for urban development in all countries. Vietnam wants to share and learn from the experience of international partners in this urban development model. Vietnam is committed to create the best conditions for investors interested in the development of Eco-Cities in Vietnam.

3/ Presentations Session A (*)

- *Model and criteria for ecological and green urban development in Vietnam*
- *The City with the ability to adapt to climate change - Action Plan*
- *Green growth in Vietnam and Green Cities development orientation*
- *Effect of urban population migration on sustainable development of Eco-Cities*
- *Development of Can Tho City responding to CC and sea level rise*
- *Development of Ha Long City with integration of the protection of natural heritage*
- *Application of ECO-2 model in Vietnam*
- *Planning for environment-friendly Eco-Cities & clean urban development mechanisms (urban CDM)*

4/ Discussion Topics

- *The Eco-City concept, Eco-City models; experiences and criteria applicable for Vietnam*
- *Urban planning to cope with climate change in Vietnam*
- *Actions needed for the orientation of development of “Eco-Cities” and climate resilient cities in Vietnam*

() 03 selected presentations will be presented in each session. Other papers will be collected and published in the Proceedings of the Vietnam Urban Conference 2012 and for discussion*

SESSION B

1/ Topic: The role and capacity of local governments in urban development

2/ Introduction of Session B

In the recent years the situation of urban development in Vietnam has made significant progress. Vietnam's urban system has been gradually developed in a sustainable manner, expanding the scale and improving the quality of urban infrastructure. Local authorities are more empowered in the management of urban development, creating conditions for active local land management, municipal finance and investment project management. This is a good trend, but new global issues such as climate change and many other issues are challenging the role and capacity of local cities in management and operation, especially in the context of limited workforce as well as the problems of overlaps in assigning tasks and responsibilities within the local authorities.

In this session the Urban Forum would like to receive input and active collaboration from local authorities, social organizations and the private sector to better identify the issues with needs for innovation: e.g. regarding the renewal of roles, capabilities and responsibilities of organizations in the formulation of policies and planning activities of local governments in urban development, the strengthening of relationships among diverse partners, and the identification of mechanisms to access funding sources for development activities and urban upgrading towards ecological sustainable urban development with integration of climate change response.

3/ Presentations Session B (*)

- *Role, capacity and challenges in urban development management for city authorities*
- *Capacity development for local authorities through national and international training programmes*
- *Community-based urban development – international experience and lessons learned for Vietnam*
- *HCM City – Innovation of organization and model of urban management authority*
- *Appropriate models for city governments of Vietnam*

4/ Discussion Topics

- *What are the difficulties and challenges for urban administration?*
- *What has been done to enhance the role and capacity of urban authorities?*
- *What are the focused sectors for training of local city governments?*

() 03 selected presentations will be presented in each session. Other papers will be collected and published in the Proceedings of the Vietnam Urban Conference 2012 and for discussion*

SESSION C

1/ Topic: Multi-resource mobilization for competitive urban development and urban upgrading

2/ Introduction of Session C

Diversifying resource mobilization, exploitation and efficient use of internal and external resources, and using the support of all levels by mobilization of people to concentrate the total investment in infrastructure construction, upgrading and urban renovation is very important. In recent years, many municipalities have focused on a number of measures to promote the mobilization of investment resources such as: good planning and urban management; continuous promotion of economic development, transition of the economic structure in the appropriate direction suitable to the nature of the urban economy and modernization industrialization; promoting resource mobilization, especially local resources and suitable support mechanisms to encourage investment for the construction of infrastructure and urban renovation etc. For a successful urban development and urban development investment there are needs to attract investment through socialization calls for development programs and projects in addition to central funds and ODA.

In the frame of the Session C, the Forum would like to receive input and sharing of experiences on the topic "Multi-resource mobilization for investment in competitive urban development and urban upgrading", in the hope that this will provide meaningful insights for investors, urban managers and the entire community into the process of urban competition in resource mobilization for urban development and upgrading.

3/ Presentations Session C (*)

- *Proactive corporate resources for investment in urban development*
- *The participation of the community in the activities contribute to the process of urban rehabilitation and development*
- *Combining multiple resources for effective urban development*
- *Mobilizing resources for effective investment between the needs of urban development and upgrading*
- *City Development Strategy (CDS) / with multi-sources involvement*
- *Dynamics of local authorities in mobilizing capital for urban development / Lessons learned and challenges*
- *Investment in development of new urban areas - innovation policies in order to attract resources*

4/ Discussion Topics:

- *What are the solutions to mobilize investment resources für urban areas?*
- *What should be done to diversify the investment resources?*
- *What are the roles of stakeholders in the diversification of resources?*

() 03 selected presentations will be presented in each session. Other papers will be collected and published in the Proceedings of the Vietnam Urban Conference 2012 and foer discussion.*

Field Visit Program to Viet Tri city on 31st October 2012

Time	Content	Participants	Location
8:00 -10:00	Depart from Hanoi to Viet Tri	ACVN, (40 CA internationals and 20 nationals)	
10:00 – 11.00	Introduction CA ' Delegation	Ms Vu Thi Vinh – Vice Secretary General of ACVN	Meeting hall of Viet Tri city PC
	Welcome by the Viet Tri City People's Committee	Viet Tri City PC Chairman	
	Presentation on city CDF performance by Viet Tri CDF	Viet Tri city CDF Management Board (Ms Pham Thanh Giang)	
	Representative of CA' Delegation thanks		
11.00 - 12:30	Presentation by two communities on community projects and savings	Viet Tri city CDF Management Board, Visitors (CA and ACVN)	Community Center of Doan Ket Block, Tien Cat ward
12:30 – 13:30	Lunch with City leaders and Communities		Community Center of Doan Ket Block, Tien Cat ward
13:30 -15:30	Site visits to 4 CDF communities	Viet Tri city CDF Management Board, Visitors (CA and ACVN)	
15:30	Depart from Viet Tri to Hanoi		

Annual Meetings
Hanoi, Vietnam
30 October-2 November 2012

Support Document: Catalytic Fund Update

Background:

1. EXCO

Background:

At its July 2011 meeting in Accra, EXCO endorsed a proposal that the Catalytic Fund be used thematically, and asked the Secretariat to develop recommendation for themes. A short-list of themes was considered by EXCO at its November 2011 meeting in Maputo, and its recommendation for the theme of Youth and the City was endorsed at the CG on November 8, 2012. The Call for Concepts Notes was this issued in January 2012.

The following note provides a briefing on the status of processing the 2012 thematic call, and details on the 203 proposal concepts that were received.

Typically, it would have been expected that EXCO and CG would consider the theme for the 2013 Call at the November 2012 meetings in Hanoi, for a Call that would then be issued early in 2013. However, given the Secretariat's perception that it is not efficient to administer the Catalytic Fund within the World Bank using the new Small Grant Guidelines for trust funds, and given the consideration being given to relocating the CA to a new host organization, it is recommended by the Secretariat that the 2013 Call be postponed until a stable arrangement is in place.

Further, given the heavy agenda for these EXCO and CG meetings, it is recommended that the selection of a Theme for the 2013 Call also be postponed.

2. CG

Background:

At its November 2011 meeting in Maputo, the CG endorsed EXCO's recommendation that the 2012 Catalytic Fund be administered on a thematic basis, with the 2012 theme of Youth and the City. The Call for Concepts Notes was this issued in January 2012.

The following note provides a briefing on the status of processing the 2012 thematic call, and details on the 203 proposal concepts that were received.

Typically, it would have been expected that the CG would consider the theme for the 2013 Call at its November 2012 meeting, for a Call that would then be issued early in 2013. However, given the Secretariat's perception that it is not efficient to administer the Catalytic Fund within the World Bank using the new Small Grant Guidelines for trust funds, and given the consideration being given to relocating the CA to a new host organization, it is recommended by the Secretariat that the 2013 Call be postponed until a stable arrangement is in place.

Further, given the heavy agenda for the CG meeting, it is recommended that the selection of a Theme for the 2013 Call also be postponed.

Recommended Action:

EXCO Recommended Action:

1. That EXCO recommend to the CG to postpone the 2013 Call for Concept notes until the hosting arrangements for the CA are determined and the Call can be administered with the selected hosting arrangement.
2. That EXCO recommend to the CG that consideration for the Theme for the 2013 call be delegated to EXCO, with opportunity for CG members to comment on the themes and confirm EXCO's decision virtually.

CG Recommended Action:

1. That the CG consider EXCO's recommendations for handling the 2013 Call for Concept notes and process for selection of a theme.

Cities Alliance

Cities Without Slums

Catalytic Fund Briefing to EXCO and CG: Towards the Third Call for Proposals

October 12, 2012

I. Background

The Catalytic Fund replaced the old grant facility in 2010 as one of the core elements of the new Cities Alliance business model under the revised Charter. First presented to EXCO in July 2010, the Catalytic Fund model was discussed among members at the November 2010 Consultative Group meeting in Mexico City, and the final design of the Catalytic Fund was adopted in January 2011. The first global Call for Proposals of the Catalytic Fund was issued in January 2011 as a pilot test of the new instrument. The second Call for Proposals, the first with a thematic focus, was issued in February 2012 under the title ‘Youth and the City’.

The Catalytic Fund is organised around the following characteristics:

- ✓ Grants are awarded through a competitive process following a public Call for Proposals.
- ✓ Calls for Proposals are scheduled once or twice a year (compatible with budget) and initial submissions are made through a Concept Note.
- ✓ A Call for Proposal might cover traditional CA themes (CDS, slum upgrading strategies, national policies on urban development) or a more specific theme.
- ✓ As part of the selection process, an Expert Evaluation Panel (EEP) helps the Secretariat assess the relevance and quality of proposals. This evaluation is undertaken in parallel with coordination among CA members.
- ✓ The grant size is limited to between US\$50,000 - US\$250,000.
- ✓ Sponsorship of a project by CA members is required.

II. The Second Call for Proposals: Going Thematic

After the successful pilot Call for Proposals—and the incorporation of Secretariat recommendations on refining the design of the Catalytic Fund—EXCO agreed in June 2011 that the second call would be thematic in order to increase the overall focus and coherence of the CATF portfolio. The idea was also that a thematic focus would benefit a better and more targeted sharing and dissemination of project experiences, fill crucial knowledge gaps, and prioritise issues of crucial relevance in international debates.

In preparation for the November 2011 EXCO and CG meetings in Maputo, the CA Secretariat developed a shortlist of 4 possible themes that covered priorities of CA members and the Business Plan. The potential themes were:

1. ‘Youth and the city: challenges of and visions for demographic change’;
2. ‘Meeting the demands of growing cities: innovative approaches to financing urban services’;
3. ‘Planning for green growth in secondary cities’; and
4. ‘Adaptive strategies for resilient communities: local adaptation strategies and disaster risk prevention in slums’.

In Maputo, EXCO was requested to make a recommendation for adoption to the CG. The theme that was finally selected was ‘Youth and the City’.

The Call for Proposals on the theme ‘Youth and the City’ was issued as scheduled in February 2012. The application period was two-and-a-half months, with the closing deadline at the end of April 2012. In total, the Cities Alliance Secretariat received 203 Concept Notes. After initial screening by the Secretariat, 101 Concept Notes were found to meet the basic eligibility criteria. Those that did not were ineligible due to two main reasons: they were out of scope or lacked CA member sponsorship.¹ The 101 eligible Concept Notes were then sent to the Catalytic Fund Expert Evaluation Panel for technical evaluation.² On the basis of the recommendations from the EEP, the CA Secretariat is currently working on consolidating a shortlist of Concept Notes for potential funding that will be circulated for donor coordination in the next weeks.

III. The Second Call for Proposals: Initial Assessment

Detailed statistics on the 101 eligible Concept Notes are included in Annex 1. Some data highlights are as follows:

1. Demand. The cumulative amount requested by the 101 Concept Notes is more than USD 20,000,000; that is an average of around USD 210,000 per grant. Secondary cities are well represented. In 2011, there were none.

2. Geography. Regional distribution showed remarkable predominance of proposals from Sub-Saharan Africa (51%) followed, most notably, by Latin and Central America (20%) and MENA (10%). Good distribution is found across country groups, with predominance of proposals from low income countries (39%), followed by lower-middle income (35%) and upper-middle income (20%), with the rest of them having a regional or global scope (13%). There was one proposal from ECA versus 52 from SSA. Kenya was the most represented country among the 101 eligible proposals with 5.

3. Sponsorship. All 24 CA members are represented except for Chile, Philippines and Spain. Last year, 15 CA members were represented. The maximum number of members supporting a proposal is 5 (Egypt ‘Youth engagement in neighbourhood development towards a more inclusive city, Cairo’). On average, 1.3 members supported each proposal. Nine proposals are sponsored by France (MFA, AFD) and 8 by Germany (BMZ, GIZ, KFW). In the previous Call, there were no proposals supported by AFD and only one from GIZ among the 73 proposals received. UN-Habitat sponsored 45% of the 101 eligible proposals in 2012. In 2011, UN-H sponsored 36% of proposals.

Other more general observations include:

A. Very high response. The remarkably strong response to the Call for Proposals—203 Concept Notes—indicates that there is a clear demand for a targeted funding instrument such as the Catalytic Fund. The number of applicants is particularly significant considering that this Call was issue-specific, and as such more restrictive especially considering that the baseline from last year’s broader offering was 74.

B. Innovative thematic choice as advocacy. The significant response to the Call is also a sign that EXCO and the CG were able to select a theme of high pertinence and actuality that reflected a genuine need on the ground, as attested by the events of the Arab Spring. The relevance of the theme was also highlighted

¹ On the basis of the experience of the previous year, non eligibility of proposals due to lack of sponsorship were promptly communicated to recipients upon receipt to provide them with adequate time and guidance to secure a sponsor and resubmit.

² Members of the external evaluation panel are Jamie Simpson (*GHK*); Goran Tannerfeldt (*consultant*); Giorgio Sparaci (*consultant*); Rajivan Krishnaswamy (*consultant*), Peter Herrle (*consultant*) and Marie-Alice Lallemand-Flucher (*consultant*). The process of appointing the panel followed a series of consultations and nominations with the CG and EXCO and was slightly revised due to a member—Serge Allou—joining the CA Secretariat.

in a well attended networking event organised by the CA on the topic at WUF 6. It is clear that the Catalytic Fund can be used not only as a funding and knowledge generation mechanism, but—with a strong communication strategy—also as a powerful advocacy tool for conveying key messages on behalf of the Cities Alliance.

C. Good overall quality of the Concept Notes. In general the quality of the Concept Notes was good—despite some expected variance, considering the large number of submissions— and certainly more satisfactory than the previous year. The theme ‘Youth and the City’ captured a number of emerging trends of urban dynamics: the use of technology as a key tool for engaging and harnessing social change, and new forms of communication and social media that are changing the landscape of decision making. The innovation exemplified by some of the projects that were submitted hold potential lessons for future CA projects and members, and provide a valuable basis for the envisaged knowledge and learning activities.

IV. Towards the next CATF Call for Proposals: Recommendations

With the success of the thematic call on ‘Youth and the City’, the CA Secretariat recommends to EXCO and CG that the next Call for Proposals also feature an innovative thematic approach. However, given the current discussions about a new administrative arrangement for the Cities Alliance, it is further recommended that the next Call be postponed until a stable arrangement is in place.

In this scenario, a different modality from the past for the theme selection should be explored. The CG could delegate to EXCO the selection of a 2013 theme at the first viable EXCO meeting after Hanoi once a timeline has been established. CG members could then be invited to comment and confirm EXCO’s decision virtually.

ANNEX 1- Statistics

Table 1. Regional Distribution - Eligible Batch (101)		
Region	N.	%
LAC	20	19.8
ECA	1	1.0
SSA	52	51.5
SAR	8	7.9
MENA	10	9.9
EAP	7	6.9
Global	3	3.0
TOTAL	101	100

Regional Distribution - Eligible Batch (101)

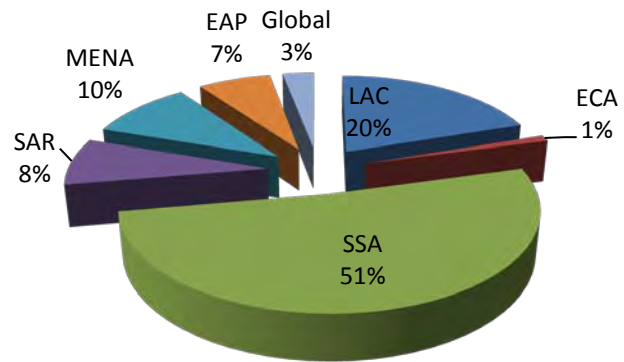


Table 2. Proposals divided by Country Groups – Eligible Batch (101)		
Type	N.	%
Low-income economies (\$995 or less)	39	39
Lower-middle-income economies (\$996 to \$3,945)	35	35
Upper-middle-income economies (\$3,946 to \$12,195)	20	20
Global/regional	7	7
TOTAL	101	100

Country Groups - Eligible Batch (101)

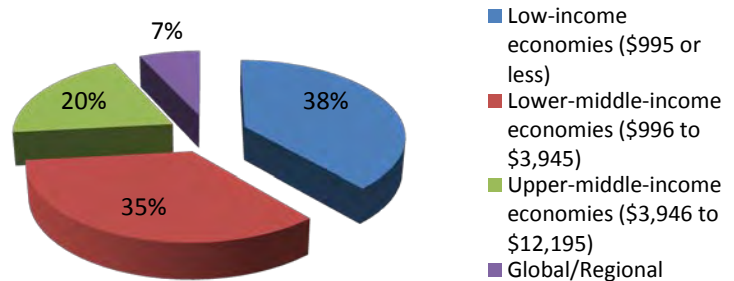
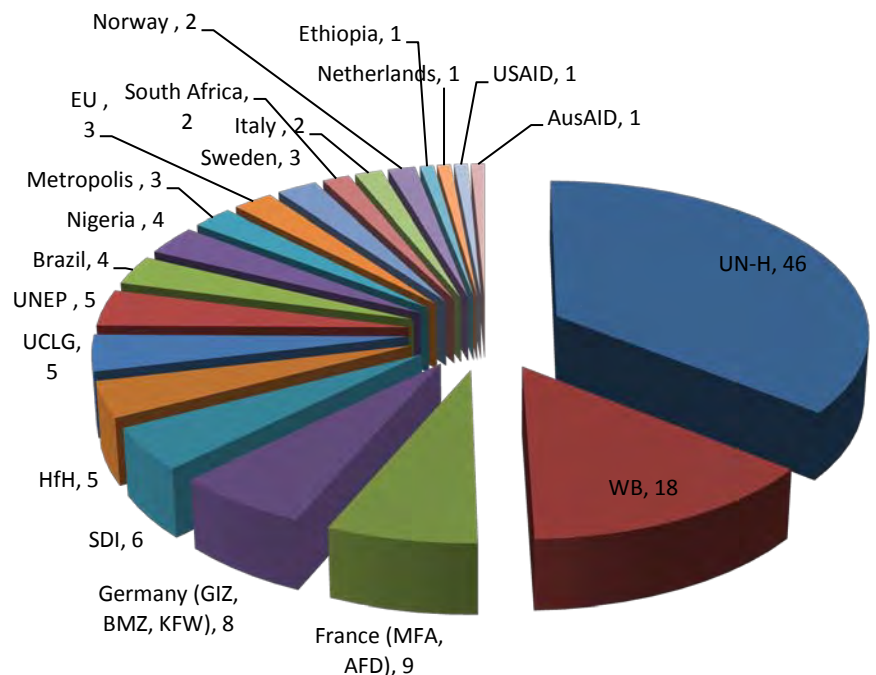


Table 3. Member Distribution - Eligible Batch (multiple sponsors per proposal possible)		
Organization	N.	%
UN-H	46	14.0
WB	18	7.0
France (MFA, AFD)	9	7.0
Germany (GIZ, BMZ, KFW)	8	6.2
SDI	6	4.7
HfH	5	3.9
UCLG	5	3.9
UNEP	5	3.9
Brazil	4	3.1
Nigeria	4	3.1
Metropolis	3	2.3
EU	3	2.3
Sweden	3	2.3
South Africa	2	1.6
Italy	2	1.6
Norway	2	1.6
Ethiopia	1	0.8
Netherlands	1	0.8
USAID	1	0.8
AusAID	1	0.8
TOTAL	129	100

Member Distribution - Eligible Batch (101) [no. of proposal CA members are listed as sponsors - multiple sponsors possible]





**ENGAGING
YOUTH**
THE FUTURE OF CITIES

Youth and the City

—Cities Alliance Catalytic Fund 2012—



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Cities Alliance
Cities Without Slums



Consultative Group Meeting
Hanoi, Vietnam
1-2 November 2012

Support Document: CG Meeting Agenda

Background:

Based on the last CG meeting report from Maputo, Mozambique, November 2011, the Secretariat drafted a meeting agenda, including comments from the Co-Chairs, UN-Habitat and the World Bank.

Recommended Action:

Members are invited to make comments, additions to the meeting Agenda. Agenda to be cleared as final by CG Members.

Cities Alliance

Cities Without Slums

2012 Consultative Group Meeting Agenda 1-2 November 2012

Venue: Hanoi Opera Hilton Hotel, 1 Le Thanh Tong St, Hanoi, Vietnam, tel: 84-4- 3933 0500

DAY 1: THURSDAY, 1 NOVEMBER 2012		
09h00 – 09h30	<i>Welcome Coffee/Tea (light snacks)</i>	Venue: Hai Phong Meeting Room
09h30 – 10h00	<p>Item 1: Introductory Statements and Welcome <i>Co-Chairs:</i> <i>Zoubida Allaoua, Director, Finance, Economics and Urban Division, World Bank;</i> <i>Alioune Badiane, Director of UN Habitat Project Office, UN-Habitat</i></p> <ul style="list-style-type: none"> ➤ Adoption of Meeting Agenda ➤ Approval of meeting report – November 2011, Maputo, Mozambique ➤ Welcome to new Members/Observers 	Handouts: <i>Agenda;</i> <i>November Meeting Report 2011</i>
10h00 – 11h00	<p>Item 2: Report Back: Executive Committee June, September and October Meetings <i>Josep Roig, Secretary-General, UCLG and Executive Committee Chairperson</i></p>	Handouts: <i>June, September 2012 Meeting Reports</i>
11h00 – 11h30	<i>Coffee/Tea Break</i>	
11h30 – 12h30	<p>Item 3: Follow up from Policy Advisory Forum (PAF) <i>Clare Short, PAF Chair</i></p> <ul style="list-style-type: none"> ➤ Vietnam Urban Forum and site visit to Viet Tri 	
12h30 – 14h00	<i>Lunch</i>	
14h00 – 18h30 (Coffee/Tea 15h30 – 16h00)	<p>Item 4: Evaluating the Location and Hosting of the Secretariat <i>Evaluation Team: Phyllis Kibui, Kevin Milroy (Secretariat); and Jamie Simpson (ICF GHK)</i></p> <ul style="list-style-type: none"> ➤ Presentation of findings ➤ EXCO recommendations to CG <p>Member Discussion</p> <ul style="list-style-type: none"> ➤ CG decisions / next steps 	Handouts: <i>Report on the Location and Hosting of the Secretariat;</i> <i>Portfolio Analysis;</i> <i>CA Charter</i>
19h30 – 21h00	Cocktail Reception	Venue: Pool-side

DAY 2: FRIDAY, 2 NOVEMBER 2012		
08h30 – 09h00	<i>Welcome Coffee/Tea (light snacks)</i>	Venue: Hai Phong Meeting Room
9h00 – 10h30	Item 5: Substantive discussions <ul style="list-style-type: none"> ➤ Country Programmes Report ➤ Catalytic Fund Update ➤ Habitat III – discussion of Cities Alliance contribution ➤ Regional work programmes -- update on MENA and Sub-Saharan Africa ➤ Presentation on the Joint Work Programme on Cities and Climate Change by UNEP, UN-Habitat and World Bank representatives 	Handouts: <i>Country Programmes Update;</i> <i>Catalytic Fund Update Note;</i> <i>Regional Work Programmes Update;</i> <i>JWP Cities and Climate Change Note</i>
10h30 – 11h15	Item 6: Results Framework <ul style="list-style-type: none"> ➤ Review of draft Framework 	Handouts: <i>Draft Results Framework</i>
11h15 -11h45	<i>Coffee/Tea Break</i>	
11h45 -12h00	Item 7: Business Matters <ul style="list-style-type: none"> ➤ Review of FY12 financial results ➤ Review of FY 13 WP and ratification of FY13 programme and secretariat budgets 	Handouts: <i>Financial & Budget Report FY12 – FY 13</i>
12h00 – 13h00	Item 8: Partnership Matters <ul style="list-style-type: none"> ➤ Independent Evaluation - review of progress on addressing recommendations ➤ EXCO membership ➤ Next Consultative Group Meeting 	Handouts: <i>Independent Evaluation Finding and Secretariat Comments;</i> <i>EXCO Membership Overview and TOR</i>
13h00 – 13h15	Closing Remarks by the Co-Chairs	
13h15 – 14h30	<i>Lunch</i>	
		<i>Venue: Chez Manon</i>

Consultative Group Meeting
Hanoi, Vietnam
1-2 November 2012

Support Document: Draft CG Participant List

Background:

n/a

Recommended Action:

Please review the contact information under your name. If corrections are needed, please provide to Sid Henderson (shenderson@citiesalliance.org).

CITIES ALLIANCE CONSULTATIVE GROUP MEETING
1-2 NOVEMBER 2012, Hanoi, Vietnam
Attendance

Confirmed	Country Organisation	Mr/ Ms	First Name	Last Name	Title	Affiliation	Address	City, State	Post Code	Country	Phone	e-mail 1	
	CG MEMBERS												
1	AUSAID	Mr.	Rohan	Nandan	Director, Infrastructure, Water and Sanitation	Australian Agency for International Development	GPO Box 887	Canberra	ACT 2601	AUSTRALIA	+612 6178 4187	Rohan.Nandan@ausaid.gov.au	
2	AUSAID	Mr.	Craig	Gilbert	Policy Officer	Australian Agency for International Development	GPO Box 887	Canberra	ACT 2601	AUSTRALIA	61 2 6206 4839	Craig.Gilbert@ausaid.gov.au	
3	BRAZIL	Ms.	Ines	Magalhaes	National Secretary of Housing	Brazil Ministry of Cities	SAUS - Qd. 01 - Bloco H, 11º andar - Ed. Telemundi II	Brasilia	DF 70070-010	BRAZIL	55-61-2108-1929/1912	imagalhaes@cidadess.gov.br	
4	BRAZIL	Ms.	Junia	Santa Rosa	Dir. of Institutional Development and Technical Cooperation	Brazil Ministry of Cities	SAUS - Qd. 01 - Bloco H, 11º andar - Ed. Telemundi II	Brasilia	DF 70070-010	BRAZIL	55-61-2108-1772/1783	junia.santarosa@cidadess.gov.br , junia.santarosa@gmail.com	
5	BRAZIL					CAIXA Federal				BRAZIL			
6	YES	ETHIOPIA	Mr.	Ato Abuye	Aneley	Director General, Urban Development Capacity Building Office	Ministry of Ethiopian Works and Urban Development	P.O. Box 24134, Sudan Street,		Addis Ababa		ETHIOPIA	251 (0)11 5540635 abuye_aneleya@yahoo.com
7		EUROPEAN COMMISSION	Mr.	Christophe	Fleureau-Dauloudet	Secretary-General	Secretariat of the African, Caribbean and Pacific Group of States (ACP)	Avenue Georges Henri, 451		Brussels	1200	BELGIUM	32-2-743-06-00 sg@acp.int , samb@acp.int , mdraymond@acp.int , Christophe.FLEUREAU-DAULOUDET
8		FRANCE	Mr.		Goldblatt	Head, Urban Governance	French Ministry of Foreign Affairs	48 rue de Javel			75015	FRANCE	
9		FRANCE	Ms.	Emilie	Maehara	Advisor, Cooperation on Urban Governance	French Ministry of Foreign Affairs	20 rue Monsieur		75700 Paris 07 SP		FRANCE	0331 43 17 64 45 emilie.maehara@diplomatie.gouv.fr
10		FRANCE				AFD	5, rue Roland Barthes	Paris Cedex 12			75598	FRANCE	
11	YES	GERMANY	Mr.	Franze	Marré	Head of Division 313, Water, Energy, Urban Development and Geo Sector	Federal Ministry for Economic Cooperation and Development (BMZ)	Postfach 12 03 22		53045 Bonn		GERMANY	49 228 99 535 3783 franz.marre@bmz.bund.de , angelica.nickel@bmz.bund.de
12	YES	GERMANY	Mr.	Gunter	Meinert	Programme Manager, Policy Advice for Urban Development	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	Postfach 5180		65726 Eschborn		GERMANY	Tel.: ++49-6196/79 2679 guenter.meinert@giz.de
13		HABITAT FOR HUMANITY INTERNATIONAL	Mr.	Steve	Weir	Vice President, Global Program Development & Support	Habitat for Humanity International	270 Peachtree ST NW, Suite 1300		Atlanta, Georgia	30303	USA	404 733 3102 SWeir@habitat.org , gle@habitat.org
14		ITALY	Ms.	Loredana	Stalteri	Senior Urban Development Expert, Latin America, Caribbean and Asia Office	Ministry of Foreign Affairs	Via Salvatore Contarini, 25		Rome	191	ITALY	loredana.stalteri@esteri.it
15		NIGERIA	Ms.	Edna Deimi	Tobi	Assistant Director, Urban and Regional Development	Federal Ministry of Lands, Housing and Urban Development	Headquarters, Mabushi District		Abuja		NIGERIA	Tel: (+234) 803 305 1952; cp 08033051952 ednatobi@hotmail.com
16	YES	NORWAY	Mr.	Erik	Berg	Senior Advisor, Section for Environment and Sustainable Development, Department for UN, Peace and Humanitarian Affairs	Royal Ministry of Foreign Affairs	Visiting Address: 7. juni plassen 1, Oslo, Norway, Mailing Address: Postboks 8114 Dep., N-0032 Oslo, Norway		Oslo	N-0032	NORWAY	office: 47 22 24 39 72 cell: 47 92 08 99 53 erik.berg@mfa.no
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Consultative Group Meeting
Hanoi, Vietnam
1-2 November 2012

Support Document: Nov. 2011 Consultative Group Meeting Report

Background:

The 8 November 2011 CG Meeting Report was cleared by the CG Co-Chairs (WB and UN-Habitat) and circulated to members. Norway (MFA) and Sweden (Sida) suggested the additional comments:

- A decision was made in the meeting on how the advocacy panel could be expanded. We would like to see this decision reflected in the minutes.
- Regarding conclusion 2a under item 3 (page 3) we would like to see reflected that members agreed with the finding that there is scope for making the "Alliance" more transparent.
- Members expressed support for the work programme outlined in the plan. You may wish to add that members also felt that the business plan was a big improvement particularly as it is well-structured and easy to understand.
- Regarding the Catalytic Fund we would request you to include that members recommended co-operation with UN-Habitat and the World Bank (youth).

Recommended Action:

Approve Norway and Sweden additional comments 2011 Meeting Report

Cities Alliance

Cities Without Slums

Cities Alliance Consultative Group Meeting
8 November 2011
Maputo, Mozambique

Meeting Report

Key Decisions and/or Follow-up Actions:

Independent Evaluation: COWI will take Member feedback into account when preparing draft final report, which will be circulated to EXCO for comment within the next two months.

Cities Alliance Charter: Members ratified the edits made to Charter subsequent to its adoption at the CG's November 2010 meeting in Mexico City and reviewed by EXCO at its March and November 2011 meetings, but deferred consideration of additional edits proposed to Members by World Bank lawyers the week prior to the meeting.

EXCO Member Rotation: France, SDI and AUSAID were nominated to replace Germany, Chile and UNEP on EXCO. A vacancy on the Board remains for the replacement of South Africa as a Developing Country representative.

Business Plan FY12-FY14: Approval of the FY12 work programme was ratified by the CG. Members provided comments to the Secretariat, which will be taken into consideration for the next update of the Business Plan, particularly with respect to strengthening the outcome indicators and results framework of the plan.

Advocacy / International Fora: A working group of Members, including HFHI, Norway and SDI, will work with the Secretariat on CA advocacy strategy and plans, including key advocacy messages to promote at WUF VI and Africities. Other Members are encouraged to join the working group.

Catalytic Fund: Endorsed the theme of Youth and the City for the FY12 cohort.

Business Matters: The FY12 programme budget, including Secretariat budget, was ratified by the CG. The Secretariat will be following up on Members delinquent in their membership dues, and reporting to EXCO during 2012 on membership issues.

Members agreed to hold a one day retreat at some point in time to discuss the Urbanization Review work which was presented to the CG and generated heated debate. Because of lack of time and importance of issue for CA's business model, members agreed this is a discussion that needs to be held. The Secretariat will look for options for such a retreat.

Next Meeting of CG: Vietnam was the nominated venue, pending invitation of the Government.

Meeting Summary

8 November 2011

Attendance: Co-Chairs: Allaoua (World Bank); Meeuwissen (UN-Habitat). See Annex I for full list of Members and Observers participating in the meeting.

Venue: Joaquim Chissano Conference Center, Maputo, Mozambique

Item 1: Opening and Welcome/Adoption of Agenda/Clearance of Previous Meeting Report

- a. The Co-Chairs requested that the presentation on the Urbanisation Review be moved up the agenda to follow the Secretariat's Business Plan presentation. Due to the availability of participants, the Policy Advisory Forum discussion was moved prior to the COWI presentation and the EXCO report back was presented after the COWI presentation
- b. No additions/comments were made to the Mexico City meeting report, October 2010. The report was approved.
- c. Members also requested that the Maputo meeting report be circulated within three weeks after the meeting.

See Annex II for the final agenda.

Item 2: Follow up from Policy Advisory Forum (PAF)

The PAF Chair reported back on the 7 November PAF on theme of Financing of African Cities, noting how the event can be used in a country context to bring partners together, share information, mobilize stakeholders, and bring energy for the urbanization agenda. As with the Mozambique PAF, this implies stepping into the country's space, engaging with them on the programme design. Feedback will be solicited from Members, local participants and others about the event. An evaluation form was circulated to CA Members during the course of the meeting, and a Portuguese version will be adapted to solicit inputs from the Mozambican participants.

During discussion, Members commented on various aspects of the 7 November PAF, and also made specific suggestions for future PAF design, including:

- a. Plan preparatory and follow-up activities for each PAF – to prepare stakeholders to actively participate in the Forum, and to take next steps after the event, facilitated by the Secretariat.
- b. Use a more varied format to allow for more intimate discussions.
- c. Limit formal presentations from CA members.
- d. Include more representatives from civil society and private sector.
- e. Make use of the information produced from the event, for subsequent dissemination.
- f. Consider holding more frequent PAFs, including multiple PAFs in same country to increase and strengthen participation and debate.
- g. Focus PAFs on country programme countries.

Item 3: Independent Evaluation 2011 by COWI/AS

The evaluation team leader from COWI A/S presented the draft findings and recommendations from the Independent Evaluation. The draft findings and recommendations presented include:

- a. The objective of the evaluation is to assess the overall relevance and effectiveness of the CA and to what extent the program's objectives have been achieved.
- b. The old project portfolio has limited potential for creating wider impacts.
- c. The over-arching objectives of the CA are highly relevant, and relevance has improved with the new business model.
- d. Knowledge & Learning (K&L) and Advocacy & Communications (A&C) strategies should be more clear on objectives, target groups, messages, themes, channels and means/activities (both will require in-depth analysis of target groups)
- e. K&L strategy should place the CA within the framework of K&L strategies/activities of members/partners/key actors
- f. Overall strategy should provide clear directions for selection of countries and themes for CPPs and JWPs
- g. Increase focus on attracting new funding

See Annex III for more details on the draft findings and recommendations. COWI's PowerPoint presentation is available on the CA website.

Overall, Members agreed that it was too early for another independent evaluation based on the timing of the adoption of the new Charter (November 2010) and the new business model, but recognized that the IE was needed during 2011 to meet World Bank Development Grant Facility requirements.

During the discussion, Members made comments about (1) recommendations for COWI to consider in preparing the final report; (2) the merits of the draft findings and recommendations; and (3) how the Alliance should respond to the draft recommendations.

(1) Recommendations to COWI for the final report included:

- a. Ensure there is clear distinction in reporting on opinions of Members, facts, and evaluator observations.
- b. Provide evidence or examples of overlap in Knowledge Management activities between CA and members.
- c. Group recommendations by type/categories.
- d. Provide perspective on the implications of non-donor-organizations participating in CA governance.
- e. The views of the clients of CA should be more clearly expressed, as well as that of regional development banks.

(2) Comments on the merits of the draft findings and recommendations included:

- a. Members disputed the finding that the program is not transparent.
- b. The Members page of CA website should be reviewed to determine what should be made public.

(3) Comments on how the Alliance should respond to the draft findings and recommendations included:

- a. A process is needed for EXCO/CG to comment on the final evaluation report and for the Secretariat and Members to respond to the findings.
- b. Identify the outcomes we want to achieve from Country Programmes and from advocacy work programmes, against which we want to be evaluated in the future.
- c. Form a working group of Members to work with the Secretariat on advocacy.
- d. Consider how to better engage European constituencies as part of efforts to increase programme funding.
- e. The evaluation report can be used to describe the shift from old to new business model.

Item 4: Report Back: Executive Committee / Cities Alliance Charter / EXCO Member Rotation

The EXCO Chair briefed Members about new dynamics and strong sense of responsibility that emerged in EXCO over the past year, which should help to facilitate CG decision-making. Reports on EXCO's March and July 2011 meetings were circulated as part of the Maputo meeting documentation, and the EXCO Chair briefed members about results from the 6 November 2011 EXCO meeting.

Cities Alliance Charter

Among business undertaken during EXCO meetings in 2011 was review of edits made to the **Cities Alliance Charter** that was approved at the November 2010 meeting of the CG in Mexico City. Subsequent to its adoption, the Legal department of World Bank proposed minor edits, mostly to clarify and be consistent in use of terms. The edited Charter was circulated to CG members on October 10, 2011, as part of the meeting documentation. EXCO had reviewed and cleared these Charter edits at its March 2011 meeting in Washington, DC, with a final review at its 6 November 2011 meeting in Maputo. EXCO requested the CG to ratify this edited Charter.

- The Consultative Group ratified the edited Charter.

Additional edits to the Charter proposed by World Bank Legal, on adoption/amendment of Charter and on decision-making, had been circulated to the EXCO/CG on November 2, 2011. EXCO recommended that more time be given to Members to consider these edits. EXCO will review these edits during 2012, for recommendation to the CG at its next meeting.

EXCO Member Rotation

Members were briefed about the expiration of terms for four EXCO members, with thanks extended for the service provided by these Members. The Members rotating off EXCO are: one representative from External Support Countries/Agencies (Germany); one from Developing Country (South Africa); and two additional representatives selected by the CG (Chile and UNEP).

- France accepted a nomination to replace Germany.
- Shack/Slum Dwellers International and Australian Agency for International Development (pending HQ approval) accepted nominations to replace Chile and UNEP.
- Brazil was nominated to replace South Africa, but was not prepared to accept. The Secretariat will consult with the other Developing Country Members to identify an alternate candidate.

The Secretariat was asked to consider funding of travel expenses for Developing Country Member(s) to participate in EXCO meetings, to enhance participation.

Item 5: Cities Alliance Business Plan

The Secretariat Manager made opening remarks about the context and rationale of the Business Plan, its key features (including an increased focus on secondary cities), and main proposed product lines and activities. The business plan consolidates a period of repositioning of the partnership, resulting from increased clarity on program objectives resulting from a new Charter; builds upon strengths and addresses identified weaknesses; organizes activities in four main business lines; and uses annual work plans to increase accountability and impact orientation. The FY12-FY14 business plan aims to leverage the current project portfolio; support innovation and new directions through the Catalytic Fund; maximize impacts of Country Programmes; and improve communications and advocacy.

That was followed by a presentation by the World Bank on country analytic work it has been undertaking (Urbanization Reviews). The Urbanization Review provides a framework and diagnostic tools for assessing the complexity of the urbanization challenge that counties and cities face during their economic evolution, identifying policy priorities to unlock factor markets (such as land), and highlighting sectoral and spatial tradeoffs associated with investment choices. Discussion on the Urbanization Review generated heated debate, and members agreed to hold a one day retreat at some point to provide more time to discuss the work presented to the CG, given its importance CA's business model and plans. The secretariat will look far options for such a retreat

During discussion on the BP, **Members expressed strong support for the work programme outlined in the plan, but clearly expressed a demand for a Results Based Management framework, including quantitative and qualitative indicators of results and outcomes.** The FY12 work programme, previously approved by EXCO, was ratified by the CG.

Other Member comments on BP included:

- a. Country Programmes should bring innovative thinking and reflection. Local authorities should be involved in the design and creation of the CP, as should communities.
- b. More attention is needed to promoting governance, and space is needed for debate on the sustainable development model pursued by the CA.
- c. CA should maintain a global reach, as it is a learning alliance.
- d. The greater emphasis on gender and youth was recognized, and welcomed.
- e. Support was expressed for the more focused and thematic Catalytic Fund, and for the Baseline and Scaling Up work programmes, which should facilitate fundraising.
- f. Members requested to see more links to private sector investment and welcome increased engagement with PPIAF and GPOBA, but also cautioned not let that drive agenda away from focus of the CA.
- g. Joint work programmes, such as one proposed for MENA Region, offers potential to leverage Member resources, but should not detract CA focus from other agreed priorities.
- h. Budget of work programme should show how resources being used for CA priority focus on Africa, and budget should include both Core and Non-Core funds. More attention needed on resource mobilization.

Item 6: Cities Alliance approach for upcoming International fora

During brief opening remarks, the Secretariat asked for CG guidance on how it should approach major upcoming international events including Rio+20, COP 17, MDG Next Steps, WUF VI, and Africities.

During discussion, several Members indicated they will be participating in Rio+20, but there was consensus that the CA/Secretariat not directly participate, and instead focus during 2012 on WUF VI and Africities, which have more directly targeted audiences.

Members including HFHI, Norway and SDI will work with the Secretariat on key messages to promote during these events, and more broadly on a CA advocacy strategy.

Item 7: Catalytic Fund

The Secretariat briefed the CG on results from the first Catalytic Fund cohort. Seventy-four Concept Notes were received, covering a wide range of topics relating to environmental, social and economic aspects of urban development. After an initial screening, 45 Concept Notes were referred to the Expert Evaluation Panel for assessment and short listing. From these, the Secretariat selected seven Concept Notes, totaling \$1.6million, for invitation to submit full proposals. Currently, six full proposals have been received and two have been approved, with the others in the appraisal and approval process.

Members were also briefed on recommendations for the second Catalytic Fund cohort, scheduled for FY12, which were endorsed by EXCO at its July 2011 meeting, including the decision to add thematic criteria to increase portfolio focus. The Secretariat was asked to develop recommendations for a theme, and presented four for Member consideration:

- 1) Youth and the city: challenges of and visions for demographic change
- 2) Meeting the demand of growing cities: innovative approaches to financing urban services
- 3) Planning for green growth in secondary cities; and
- 4) Adaptive strategies for resilient communities: Local adaptation strategies and disaster risk prevention in slums.

It was reported to Members that EXCO had considered these themes at its 6 November 2011 meeting, with support expressed for all four, but agreed on recommending to the CG the theme of Youth and the City.

During discussion by the CG, support was expressed for all four themes, including suggestions to pick two themes, to include all four, or to link the youth theme to the other three themes. A suggestion was also made to have a theme be covered over two or three years, so that learning from one cohort of projects can inform future cohort of projects. And support was also expressed for peer-to-peer learning among project recipients.

- After discussion, the CG agreed on the theme of Youth and the City for the FY12 Catalytic Fund.

Item 8: Cities Alliance Business Matters

The Secretariat made a short presentation reviewing highlights from the FY11-FY12 Financial and Budget Report circulated to Members as part of meeting documentation, highlighting variances of FY11 actual versus budgeted results, and summarizing the FY12 Secretariat and program budget approved by EXCO at its July 2011 meeting. Core contributions remained stable in FY11, at approximately \$7.1m. Actual FY11

Secretariat expenditures were \$933,000 less than had been budgeted, due primarily to staff vacancies that were not filled during the year. The FY12 programme budget assumes \$8.0m in new contributions during the year, and \$8.2m in new funding allocations to be made, including \$2.75m for Partnership Operations and a Secretariat budget based on same staffing levels as had been budgeted for FY11.

During discussion, Members expressed the need for a funding strategy and asked for an update on resource mobilization plans.

- The FY12 budgets, including the Secretariat budget, were ratified by the CG.

In a separate discussion on membership matters, the Secretariat briefed Members on the need for EXCO/CG to review membership fees/rates and focus on mobilizing new sources of funds, including renewing the membership of UK-DFID and the EU. The Secretariat will follow up with all delinquent Members about bringing their membership current. The issue of charging U.N. agencies a membership fee should also be reviewed. With the new Charter in place and business model adopted, the CA is now in better position to fundraise.

During discussion, it was suggested to investigate the European Investment Bank as a source of funding, particularly for MENA region.

Item 9: Special Session: Member Presentation

The France-based NGO, Les Ateliers, made a presentation to the CG on the participatory urban planning approach facilitated by its organization through North-South cooperation. Funded by French Ministry of Foreign Affairs, AFD and Ministry of Environment and undertaken with cities or regions in countries including Benin, Senegal and Brazil, Les Ateliers organizes international workshops on topics defined together with local authorities for city or regional planning. The methodology combines analysis, strategies and development of project plans, through a collective assessment process. The Les Ateliers methodology and network are tools to be used by cities and their partners, serving as a catalyst for long term planning. The organization expressed an interest in working with the CA and its Members. Any questions arising should be directed to the Secretariat.

Item 10: Next Governance Meetings

Based on feedback from Members and input from the Secretariat, the CG agreed that the next meeting of the Consultative Group be held in Vietnam, location of a Country Program, subject to invitation by the Government. The Secretariat would review possible dates, around November 2012.

The Secretariat also proposed that the next EXCO meeting be held in Jinja, Uganda, linking with the annual meetings of PPIAF and GPOBA as well as the CA's Uganda Country Programme on secondary cities. The meeting is scheduled for late April or early May 2012. If a second meeting of EXCO (late summer) is needed before the next CG meeting, Norway offered to host the meeting in Bergen.

- The recommendations for the next meetings were endorsed by the CG.

**Consultive Group
List of Participants**

<u>MEMBER</u>	<u>PARTICIPANT</u>	<u>AFFILIATION</u>
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UNITED STATES	Ms. Nancy Leahy	USAgency for International Development
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<u>ADVOCACY PANEL</u>	Ms. Clare Short	Retired Member of Parliament, UK

PRESENTER

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Ms. Adele Hosken Cities Alliance Secretariat
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**The Cities Alliance
2011 Consultative Group Meeting
Agenda
8 November 2011**

Venue: Joaquim Chissano Conference Centre, Av. Marginal nr 4441, Tel: +258 21 48 63 95/7

DAY 1: TUESDAY, 8 NOVEMBER 2011		
08h00	Coffee/tea	<i>Venue:</i> Joaquim Chissano Conference Centre
08h30-9h15	<p>Introductory Statements and Welcome <i>Co-Chairs:</i> <i>Zoubida Allaoua, Director, Finance, Economics and Urban Division, World Bank;</i> <i>Jan Meeuwissen, Acting Director, UN-Habitat Regional Office for Africa and the Arab States</i> <i>Manager: William Cobbett</i></p> <ul style="list-style-type: none"> ➤ Approval of meeting report – October 2010, Mexico City 	<p><i>Handouts:</i> 1) <i>Agenda</i> 2) <i>Mexico City Meeting Report</i></p>
09h15-10h00	<p>Follow up from Policy Advisory Forum (PAF) <i>Clare Short, PAF Chair; Sheela Patel, SDI</i></p> <ul style="list-style-type: none"> ➤ <i>Report Back from PAF</i> 	
10h00 – 11h00	<p>Independent Evaluation 2011 <i>Anders Richelsen, COWI A/S (Team Leader)</i></p> <ul style="list-style-type: none"> ➤ <i>Presentation of draft Findings & Recommendations</i> ➤ <i>Discussion and Next Steps</i> 	<p><i>Handouts:</i> 6) <i>Independent Evaluation Inception Report</i></p>
	<p>Report Back: Executive Committee March, July, and November 2011 Meetings <i>Emilia Saiz, UCLG Director, Institutional Relations and Acting Executive Committee Chairperson</i></p> <ul style="list-style-type: none"> ➤ <i>Charter: Final version</i> ➤ <i>EXCO Rotation</i> 	<p><i>Handouts:</i> 3) <i>March and July Meeting Reports</i> 4) <i>Cities Alliance Charter</i> 8) <i>Partnership Matters report</i></p>
11h00-11h30	<i>Coffee/Tea Break</i>	
11h30-13h15	<p>Cities Alliance Business Plan <i>William Cobbett, Secretariat</i></p> <ul style="list-style-type: none"> ➤ <i>Presentation: BP Overview</i> ➤ <i>Discussion and Next Steps</i> <p>Special Session: Member Presentations <i>Urbanization Reviews -- Somik Lall, Senior Economist, World Bank</i></p>	<p><i>Handouts:</i> 5) <i>Draft Business Plan</i></p>

13h15-14h15	LUNCH	<i>Venue: to be determined</i>
14h15-14h45	<p>Cities Alliance Business Plan continued William Cobbett, Secretariat</p> <ul style="list-style-type: none"> ➤ <i>Discussion and Next Steps</i> <p>Cities Alliance approach for upcoming International fora <i>UCLG and CA secretariats</i></p> <ul style="list-style-type: none"> ➤ <i>Discussion of CA approaches for events including Rio+20, MDG Next Steps, WUF-V, Africities</i> 	
14h45 – 15h45	<p>Catalytic Fund <i>Federico Silva, Secretariat</i></p> <ul style="list-style-type: none"> ➤ <i>Briefing from initial Catalytic Fund cohort</i> ➤ <i>Selection of Theme for 2012 Catalytic Fund cohort</i> <p>Cities Alliance Business Matters <i>Kevin Milroy, Secretariat</i></p> <ul style="list-style-type: none"> ➤ <i>Financial & Budget Report</i> 	<p><i>Handouts:</i> 9) <i>Catalytic Fund report</i></p> <p><i>Handouts:</i></p> <p>7) <i>Financial and Budget Report, FY11-FY12</i></p>
15h45-16h15	Coffee/Tea Break	
16h15-17h15	<p>Special Session: Member Presentations <i>Participatory Urban Planning – Nicolas Detrie, Director, Les Ateliers</i></p>	
17h15-17h30	Next Consultative Group Meeting	
17h30-18h00	Closing Remarks by the Co-Chairs	

Cities Alliance Independent Evaluation

Summary of Draft Findings and Recommendations

- i. Initial findings include:
 - i. The reform process starting with the adoption of the MTS has strengthened the CAs work and the organization considerably
 - ii. The overarching objectives of the CA are highly relevant.
 - iii. The CA is unique in creating an international platform, focused exclusively on urban issues
 - iv. Few undesirable overlaps between CA activities and the activities of other multi- and bilateral development programmes, but knowledge activities need attention
 - v. Relevance has improved with the new business model
 - vi. Plans and objectives of the MTS and BP are being pursued. Preliminary indications of positive results but still early days
 - vii. Increasing focus on K&L after MTS but not all planned targets achieved
 - viii. Increasing attention to A&C after last evaluation/MTS, but unclear strategic intent and limited outreach beyond the CA sphere
 - ix. Need for stronger focus on A&C
 - x. Overhead costs are reasonable, but grant processing time needs to be brought down
 - xi. The programme has a high degree of legitimacy
 - xii. With the new charter, the roles and responsibilities of the different governing bodies are more clearly defined
 - xiii. Strategies for the service lines are unclear, leaving a large room to interpret what to be done (for the Sec./members)
 - xiv. The lack of an effective M&E system has been recognized as a problem for the accountability of the programme
 - xv. The programme is not very transparent for stakeholders who are not members
 - xvi. There are both pros and cons in relation to WB hosting
 - xvii. CA is vulnerable in relation to resource mobilization
- ii. Initial recommendations include:
 - xviii. Increase focus on attracting new funding
 - xix. Elaborate clear and concise strategic framework with three layers
 - xx. Overall strategy, 5-10 years
 - xxi. Medium-term strategy/business plan, 2-3 years
 - xxii. Annual work plans
 - xxiii. Incorporate strategies for each business line (incl. K&L and A&C) into this framework
 - xxiv. K&L and A&C strategies to be clear on objectives, target groups, messages, themes, channels and means/activities (both will require in-depth analysis of target groups)
 - xxv. K&L strategy should place the CA within the framework of K&L strategies/activities of members/partners/key actors
 - xxvi. Overall strategy should provide clear directions for selection of countries and themes for CPPs and JWPs

- xxvii. Review performance in relation to this framework and the four business lines (esp. CPPs) in 2-3 years
- xxviii. Develop M&E system reflecting strategic framework / intervention logics
- xxix. Think M&E system into programme documents / grant agreements for CPPs/CAT.fund projects / JWPs and the reporting requirements
- xxx. Use scoring systems/traffic lights/KPIs
- xxxi. Increase focus on impact evaluation, in particular for CPPs
- xxxii. Make the full website publicly accessible to enhance transparency
- xxxiii. Rethink the website in the perspective of K&L and A&C strategies
- xxxiv. Attract more national local government associations to enhance legitimacy and client focus

Annual Meetings
Hanoi, Vietnam
30 October; 1-2 November 2012

Support Document: Cities Alliance Charter, 2011

Background:

The new Cities Alliance Charter was finalised at the CG meeting in Maputo, Mozambique, November 2011

Recommended Action:

For information

Cities Alliance

CHARTER

8 November 2011

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I. Introduction

The Cities Alliance is a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development.

1 In the last 20 years, the world urban population has grown from 2.25 billion to 3.5 billion. Most of this growth has occurred in developing countries. It is expected that it will reach 4.9 billion in 2030. At the same time, the annual urban growth rate is declining in many parts of the world.

2 Local governments have grown in importance in recent decades and their role is widely recognised, but their political, institutional and financial resources and powers do not match their mandate. Urban governance and decentralisation have progressed in all regions of the world to the benefit of urban dwellers. However, local government capacities remain underdeveloped in many countries, particularly in secondary cities, and there is enormous room for south-south and city-to-city cooperation for urban development.

3 Economically and culturally, cities are effective engines of growth and innovation allowing people to access a variety of job opportunities and personal development at large scale. However, especially in low income countries, many of these jobs are provided by the informal sector and decent work remains a challenge in many cities.

4 Cities, large and small, are also places of growing inequalities and sometimes of squalid poverty, in terms of both income poverty and inadequate access to shelter and basic services. But their neighbourhoods are often marked by human solidarities, community networks and citizen initiatives.

5 By their density, compact cities offer the potential for sustainable development and the efficient use of natural resources. But most cities witness harmful environmental pollution hazards. They are a major contributor to and victim of climate change and related disasters. Sustainable urban development strategies should be matched by adequate investment and resources.

6 The Cities Alliance is a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development. It aims at supporting cities, local and national governments and their partners¹ in the developing world in addressing the above challenges to capture the gains of urbanisation and taking advantage of the above opportunities, for the benefit of their citizens.

¹ Partners are non-CG members and may include cities, national association of local governments, national governments, civil society organisations, NGOs, university and research institutes, private enterprises, etc.

II. Cities Alliance Objectives

7 Cities Alliance is governed by three over-arching objectives:

- a) To strengthen and promote the role of cities in poverty reduction, and in sustainable development;
- b) To capture and strengthen the synergies between and among members and partners; and
- c) To improve the quality of urban development cooperation and lending.

8 The Cities Alliance is primarily a vehicle for partnership, seeking to improve the quality and coherence of support being provided to city and national governments in the developing world, as well as the quality of members' own urban programmes. To this end, the Cities Alliance will not develop separate implementation capacity, but work through the existing capacity of its members, as well as other partners, to promote the vision of '**Sustainable Cities without Slums**'. To achieve this vision, the Cities Alliance will promote new partnerships between local and national government, slum dwellers, private foundations, the private sector, NGOs and other partners.

9 The Cities Alliance prioritises support to cities, local authorities, associations of local authorities and/or national governments that are committed to:

- a) Improving their cities, and local governance, for all residents;
- b) Adopting a long-term, comprehensive and inclusive approach to urban development;
- c) Implementing those reforms necessary to effect systemic change, and to achieve delivery at scale; and
- d) Decentralising resources to empower local government

III. Cities Alliance Activities

10 Support provided by the Cities Alliance falls within the following broad categories:

- a) Citywide and nationwide slum upgrading programmes;
- b) City development strategies; and
- c) National policies on urban development and local government

11 Within these broad categories, Cities Alliance members and partners are able to respond to a range of developmental challenges, which are identified as priorities by the city or national government, slum dwellers, and other members or partners.

City development strategies are generally multi-sectoral and citywide, and can encompass a wide range of priorities on sustainable urban development, including subjects related to three pillars of sustainable development (economic, social and ecological) as well as investments, governance systems and physical implementation.

12 Cities Alliance country-specific activities are limited to those countries listed in the OECD Development Assistance Committee's list of Aid Recipients², as amended (Developing Countries). Any city, national association of cities, or national government with their partners can approach the Cities Alliance for support, either through one or more members of the Cities Alliance, or through the Secretariat, which will attempt to identify appropriate member(s) to provide such support. Cities Alliance members may also apply for support. Cities Alliance will make specific efforts to increase the focus on least developed countries and secondary cities and mobilise the expertise of middle income countries. Programmes of assistance by the Cities Alliance strive to reflect the priorities of the city and its residents, local government association and national government.

13 In general, the Cities Alliance offers support to meet its objectives, including the following types of activities, subject to the availability of resources:

a) Country Programmes

Longer-term programmatic support, at a multiple city / national scale;

b) Catalytic Projects

Shorter-term activities designed to catalyse change;

c) Knowledge activities

Activities designed to fill knowledge gaps and build capacity at local, national, regional and global levels; and

d) Communication support, and advocacy

Activities designed to improve awareness of relevant policies or activities, influencing policies and behaviour and contribute to dynamic local, national, regional and global debates.

IV. Membership of Cities Alliance

14 Membership of the Cities Alliance is open to representatives of (i) national governments; (ii) multi-lateral organisations; (iii) the global organisations of local authorities, UCLG and Metropolis; (iv) international networks of organisations engaged in urban development; and (v) other partners as described below.

² The DAC List of Aid Recipients, as updated from time to time, can be found on the OECD homepage: http://www.oecd.org/document/45/0,3343,en_2649_34447_2093101_1_1_1_1,00.html.

15 There are two categories of membership (a.) Full Members and (b.) Associate Members, both of which are entitled to participate in the Consultative Group meeting of the Cities Alliance.

16 Consultative Group (CG) Full Members include representatives of (i) national governments; (ii) multi-lateral organisations; (iii) the global organisations of local authorities; UCLG and Metropolis, and (iv) international networks of organisations.

17 CG Associate Members may include representatives of (i) foundations, (ii) NGOs, (iii) private companies, (iv) local authorities and (v) other partners as defined by the CG. They are entitled to participate in the CG session without participation in the decision-making process.

18 Others interested in Cities Alliance activities may be invited by the CG Co-Chairs to attend specific CG sessions as Observers and to participate in specific Policy Advisory Forum sessions. Observers are non-decision making and do not need to pay annual membership fees.

19 The current membership of the Consultative Group (as of 30 June 2010) is listed as **Annex I**.

20 Prospective Full Members and Associate Members of the Cities Alliance can apply for membership of the Consultative Group, provided they (i) are sponsored by 3 (three) existing Full Members of the Consultative Group (ii) endorse the Cities Alliance Charter and (iii) undertake to meet their financial contributions to the Cities Alliance Trust Fund.

21 Their applications are reviewed by the Executive Committee for recommendation to the Consultative Group. With the exception of UCLG and Metropolis, all members are required to make a financial contribution to the core funds of the Cities Alliance, according to the Schedule of Annual Membership Fees listed as **Annex II**. The CG, upon recommendation by the EXCO, may decide upon other exceptions to the rule.

22 Members that fail to make their agreed financial contribution for two consecutive financial years will no longer be members of the Consultative Group, and they will be notified by the EXCO.

V. Governance of the Cities Alliance

23 The Cities Alliance is composed of four structures:

- a) The Consultative Group (CG);
- b) The Executive Committee (EXCO);
- c) The Policy Advisory Forum (PAF); and
- d) The Secretariat.

a) The Consultative Group

24 The Consultative Group comprises Full Members and Associate Members of the Cities Alliance, and is the primary decision-making body of the organisation.

25 The Consultative Group meets at least once a year. Two thirds of the membership constitutes a quorum of the Consultative Group. Decisions in the Consultative Group are taken by Full Members by consensus. Consensus means no objection to agreement, but does not preclude the ability to dissent on the record without objecting. It has the authority to form Working Groups.

26 The Consultative Group is co-Chaired by the founding members of the Cities Alliance: the World Bank³ and UN-Habitat.⁴

27 Primary Roles and Responsibilities of the Consultative Group:

- a) Adopt, and amend, the Charter;
- b) Approve the long- and medium-term strategic direction of the Cities Alliance;
- c) Ratify the annual work plan and budget of the Cities Alliance, including that of the Secretariat and the Policy Advisory Forum, following approval by the Executive Committee;
- d) Approve the criteria to be used in evaluating and approving Cities Alliance activities;
- e) Review and evaluate the overall performance of the Cities Alliance;
- f) Establish the membership fees for different membership categories;
- g) Help raise additional resources;
- h) Appoint Rotating Members of the Executive Committee;
- i) Appoint the Chairperson of the Policy Advisory Forum;
- j) Approve the applications of new CG members; and
- k) Decide on the physical location of the Secretariat.

b) The Executive Committee

28 The CG appoints the Executive Committee. The Executive Committee is accountable to the Consultative Group in all matters.

³ Represented by the Vice President of Sustainable Development, or his/her designated representative

⁴ Represented by the Executive Director or his/her designated representative

29 The Executive Committee comprises representatives from a combination of Permanent Members, Rotating Members and an Ex-Officio Member and a potential Observer, *viz.*,

a) Permanent Members:

- a. UCLG, UN-Habitat and the World Bank

b) Rotating Members:

- a. One national government from Developing Countries
- b. Two national governments from non-Developing Countries
- c. Two other Full Members or Associate Members

c) Ex-Officio Member

- a. Manager of the Secretariat

30 The Chairperson of the EXCO may invite the Chairperson of the PAF to participate in the discussion of the EXCO as an Observer.

31 Permanent Members and Rotating Members are decision making and the Ex-Officio Member and Observer are non-decision making.

32 Rotating Members are selected by the CG, for three-year terms, appointed on a staggered basis. The UCLG representative acts as the Chairperson of the Executive Committee. If, for any reason, the UCLG representative is not available, the EXCO members will elect a Chairperson for that meeting.

33 The EXCO's primary roles and responsibilities are to:

- a) Provide guidance to the Secretariat on matters of policy and strategy;
- b) Approve the Business Plan, annual work plan and budget of the Cities Alliance, including that of the Secretariat and the Policy Advisory Forum, subject to ratification by the CG;
- c) Monitor progress and make recommendations to the CG;
- d) Participate in the selection of the Manager of the Secretariat⁵;
- e) Approve any operating manuals produced by the Secretariat;
- f) Select countries for country programmes;
- g) Nominate the Chairperson of the Policy Advisory Forum for CG appointment;
- h) Respond to requests from the CG; and
- i) Consider applications for membership and makes recommendation to the CG.

⁵ The Manager of the Secretariat is selected and appointed by the World Bank in accordance with World Bank policies and procedures. The Executive Committee participates in endorsing the position's terms of reference and is involved in shortlisting and interviewing candidates.

34 The Executive Committee meets as often as necessary, but no less than twice per year. It has the authority to form Working Groups. One of the EXCO meetings precedes the CG meeting.

c. The Policy Advisory Forum

35 The Policy Advisory Forum is the Cities Alliance platform for public discussion, debate and knowledge sharing of activities that improve awareness of relevant policies or activities, changing policies and behaviour.

36 The Forum promotes dialogue between CG members and invited partners on key policy and strategic issues of city and urban development, and advises the Cities Alliance on appropriate policies and strategies.

37 The PAF has a Chairperson for a period of three years. In formulating the work programme and activities of the PAF, the Chairperson will work in close consultation with the Chairperson of the EXCO, the Co-Chairs of the Consultative Group and the Manager of the Secretariat.

38 The PAF provides a platform for Full Members and Associate Members of the Consultative Group to engage in policy dialogue with other parties, including but not limited to representatives of:

- a) Country partners of the Cities Alliance, particularly cities and local authorities;
- b) Universities and training institutions;
- c) Non-governmental organisations;
- d) Community-based organisations;
- e) Foundations; and
- f) Private sector organisations.

39 The main PAF meeting is held in conjunction with the annual meeting of the Consultative Group. In between meetings, the PAF can also be convened, in coordination with the Secretariat and the Chairperson of the PAF, at a country or city level.

40 The PAF Chairperson provides reports to the Chairperson of the EXCO, the Co-Chairs of the Consultative Group and the Manager of the Secretariat.

d) The Secretariat

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

42 The Secretariat is administered by and within the World Bank, and the World Bank serves as trustee of Cities Alliance financial resources. The Cities Alliance Secretariat Manager and staff are part of the Finance, Economics & Urban Development Department of the Sustainable Development Network, Vice Presidency of the World Bank.

43 Cities Alliance Secretariat staff are World Bank staff members recruited and managed according to World Bank policies and procedures. The Secretariat may accept staff members on secondment from other organisations and through junior professional and similar programmes.

44 Under the overall direction of the Manager, the Secretariat has the following roles and responsibilities:

- a) Facilitate Member involvement in the activities of the Cities Alliance;
- b) Screen and evaluate project proposals, in accordance with criteria approved by the CG;
- c) Provide Secretariat services to the CG, EXCO and PAF;
- d) Prepare and present medium- and long-term strategies, for consideration by EXCO and the CG;
- e) Support the CG and EXCO in fundraising on behalf of the Cities Alliance;
- f) Maintain a database of projects of the Cities Alliance;
- g) Monitor the implementation of projects and disseminate lessons learned from CA and other activities, including an Annual Progress Report;
- h) Draft the Work Programme and budget for EXCO approval and CG ratification, and facilitate its implementation; and
- i) Prepare and present status reports on progress and results.

IV. General

45. Nothing in this Charter is intended to be a waiver of, or impair or limit, any privileges or immunities of any Member under its respective Articles of Agreement or equivalent documents, or any applicable law, all of which are expressly reserved.

Annex I:

Full Members of the Consultative Group (30 June 2010)

In Alphabetical Order, by type of member:

National governments – Developing Countries

Brazil
Chile
Ethiopia
Nigeria
Philippines
South Africa

National governments – non-Developing Countries

Australia
France
Germany
Italy
Netherlands
Norway
Spain
Sweden
United Kingdom
United States of America

Multi-lateral organisations

European Commission
United Nations Environment Programme (UNEP)
UN-Habitat⁶
World Bank⁷

Global organisations of local authorities

Metropolis
United Cities and Local Governments (UCLG)

International networks of organisations

Habitat for Humanity International
Slum/Shack Dwellers International

⁶ Founding member

⁷ Founding member

Associate Members of the Consultative Group (30 June 2010)

None

Annex II: Schedule of Minimum Annual Membership Fees

These fees constitute the core resources of the Cities Alliance and are used to fund the annual Work Programme for the Cities Alliance. Members are encouraged to contribute more than the minimum.

Multilateral Organisations:	\$250,000 ⁸
National Governments (non-Developing Countries):	\$250,000
National Governments (Developing Countries):	\$ 50,000
Global Organisations of Local Authorities, UCLG and Metropolis	N/A
International Non-Governmental Organizations and Networks:	\$ 50,000
Foundations, Private Sector and Universities:	\$ 250,000
Other Partners (as defined by the CG)	\$ TBA

⁸ For UN agencies, this can be combined as a minimum of \$100,000 cash, and the remainder in-kind (e.g. Staff secondment)

Consultative Group Meeting
Hanoi, Vietnam
1-2 November 2012

Support Document: Country Programme update

Background:

The Cities Alliance currently has five active Country Programmes: Burkina Faso, Ghana, Mozambique, Vietnam and Uganda

Recommended Action:

For information

Country Programmes Update

During the last year, the Country Programme in Uganda was consolidated and began demonstrating real results, while in Ghana and Vietnam the programmes were successfully launched, building on the partnerships established and nurtured throughout the design phase. In Burkina Faso and Mozambique, extensive, inclusive design processes led to broad consensus about the shape and scope of the programmes to be rolled out in the coming year.

Mainstreaming a Culture of Dialogue in Uganda

What began as a programme for five Ugandan secondary cities has expanded to include nine additional municipalities that are part of the World Bank's \$130 million municipal support programme, effectively ensuring clear alignment between the objectives of the TSUPU programme and the future investment of government resources. Further evidence of the mainstreaming of the TSUPU programme is the strong institutional management structure established by the Ministry of Lands, Housing and Urban Development. The structure incorporates a wide range of officials, each of whom is responsible for specific activities and linkages with programme partners.

In another important milestone this year, all five participating municipalities successfully launched Municipal Development Forums, following on the continued success of the National Urban Forum and creating a positive environment for national and local level dialogue.

Makerere University completed a restructuring process, bringing together the urban planning graduate degree programme and the Masters programme under the Faculty of Technology. The University has developed the joint City Development and Slum Upgrading Strategy guidelines in a consultative process. On the basis of these guidelines, the planning faculty will play a central role in the rollout of the CDS process to 14 municipalities. This will fundamentally change how planning has traditionally occurred in Uganda with the development of local capacity and the transfer of such capacity to a new generation of young planners.

After successfully launching active Federations of the Urban Poor in all five municipalities, Actogether (affiliated with SDI), has transformed from a small, highly dependent organisation to one that has developed a capacity and excellence in community mobilisation reflected in SDI's selection of Uganda as its Learning Centre. With the support of Actogether, the Federations have completed slum profiles for all five municipalities and enumeration and mapping activities are in progress. The Federations have also started identifying community projects and have proactively engaged local government for planning support and access to land.

A recent evaluation revealed that TSUPU and its approach has a high degree of credibility, support and buy-in from stakeholders. The collaborative process followed in designing the programme and its subsequent implementation has been instrumental in gaining the strong commitment of partners at all levels. Activities undertaken during the set-up phase over the last year have created an enabling environment for the roll-out of the programme. With the mobilisation of communities and the formation of Municipal Development Forums, the preconditions are now in place for both an inclusive national policy formulation and local development process.

It is also worth noting that many of the principles associated with TSUPU are informing programming in Kampala by other actors, with the Federations as the common link. This underscores the fact that TSUPU is not simply seen as a separate programme, but rather is building a culture of dialogue that is becoming a mainstreamed approach to urban issues.

Scaling Up Urban Upgrading in Vietnam

In Vietnam, the groundwork was laid for scaling up urban upgrading efforts to as many as 50 cities. A Vietnam Urbanization Review was completed, providing the analytical foundation for national government to formulate strategic and cohesive urban policies and to guide investment prioritisation – an important evidence base for national dialogue.

That dialogue has begun to take place at the revitalised Vietnam Urban Forum (VUF), anchored within the Urban Development Agency in the Ministry of Construction. With Cities Alliance support, the VUF is seen as the means for strengthening information dissemination and coordination across the urban sector—leading to a fully functional, effective platform for urban sector exchanges and structured dialogue including a wide range of stakeholders. The VUF also aims to mobilise the rollout of the National Urban Upgrading Strategy (NUUP), which is expected to lead to an upgrading approach that is based on partnerships with local governments and urban communities – a significant urban development shift in centralized Vietnam.

Finally, as a result of a preparatory grant to the Association of Cities of Vietnam (ACVN) supported by the Asian Coalition of Housing Rights (ACHR), the operational guidelines have been completed to expand the Community Development Fund (CDF), a network of 30 cities engaged in community-led upgrading activities. The conditions are now in place to consolidate and expand the CDF to an additional 20 cities.

Forging Partnerships in Ghana

In Ghana, four important grant agreements were put in place during the last year, allowing for the effective launch of the Country Programme. These grant agreements were to:

- GIZ in support of the Urban Development Unit in the Ministry of Local Government and Rural Development to develop an inclusive national urban agenda;
- The Institute of Local Government Studies to develop and deliver a municipal leadership training programme; and
- Peoples' Dialogue through SDI to mobilise and build the capacity of organisations of the urban poor.
- World Bank in support of developing a water and sanitation programme for the Greater Accra Metropolitan Area.

While the Ghana Country Programme is national, it places some focus on the GAMA (Greater Accra Metropolitan Area) where a lack of integrated planning results in spatial exclusion of the urban poor and the lack of effective service delivery across municipal boundaries. In pursuit of the objective of building greater cooperation between the 8 municipalities that collectively make up the GAMA a platform for integrated planning is being forged that brings together the municipalities, Community organizations and other development partners and that will leverage

investments including a World Bank investment of \$150 million and strong potential for future investments from French and Dutch sources.

Building on CDS and Slum Upgrading in Mozambique

In Mozambique, a concept note was completed for the Country Programme that builds on the long history of Cities Alliance involvement in that country. Currently the CA has two current active proposals. The first is an ongoing Cities Alliance grant to UN-Habitat to facilitate a CDS and slum upgrading process in the municipality of Nampula. The second is a partnership with the Governments of Brazil and Italy to deconstruct the successful slum upgrading experience of Bahia, Brazil, and to reconstruct the process in Maputo. These two grants will form the basis of the Country Programme and will be linked to the greater urban context as laboratories for learning and roll out. Building on this platform the Mozambique Country Programme plans to invest in a series of grants that aim to i) build a national dialogue on city issues ii) develop municipal government capacity iii) increase municipal revenue and accountability and iv) strengthen civil society.

Determining Focus Areas in Burkina Faso

In Burkina Faso, members and partners agreed on several main focus areas to guide the development of the Country Programme, including, for example, support to the organisation of the National Urban Forum. Along with the Ministry of Housing and Urban Planning, the Association of Municipalities of Burkina Faso (AMBF) will play a key role in implementing the programme, which will focus on the capital city of Ougadougou, the second city of Bobo Dioulasso, and three secondary cities to be selected during the detailed design phase. It was agreed that the programme should aim to roll out the CDS and other experiences previously supported in Ougadougou and Bobo Dioulasso, and to adapt these tools to secondary cities. UN-Habitat was nominated by national partners and CA members to lead the final preparation phase of the programme.

Summary of Country Programme Grants

Country	Name of Grant	Recipient	Amount (USD)	Status
UGANDA	Project Setup (p119727)	World Bank	195,000	in completion
	Transforming Settlements of the Urban Poor of Uganda (TSUPU) (p122475) *	MoLHUD	1,847,000	in disbursement
	Strengthening Urban Poor Communities to Achieve the Goals of the TSUPU (p122475)	SDI/ ACTogether	595,000	in disbursement
	Preparation of Municipal Development Strategies in 14 Municipalities	MoLHUD	450,000	in processing
	Strengthening Urban Local Governments in Uganda to Achieve the Goals of TSUPU (p122475)	ICMA	229,000	in disbursement
	Support to National Urban Policy and Strategic Plan Development (p121015)	MoLHUD	450,000	in disbursement

	Social Tenure Domain Model (p126966)	UN Habitat	75,000	in disbursement
VIETNAM	Strengthening Urban Forum and Operationalising National Upgrading Strategy (p127175)	MOC, World Bank	500,000	in disbursement
	Building Better Cities through Better City Managers	AMCC,WBI	300,000	in planning
	Support City-wide Upgrading Process in 20 Small and Medium Cities*	ACVN	524,900	in processing
	Scaling Up Upgrading in Additional Small and Medium Towns*	ACVN	775,100	in planning
	Community Based City Development Strategies	UN Habitat	500,000	in planning
	Consolidating Community Fund through ACVN (p125606)	ACVN	70,855	in completion
	National Urbanisation Review (p122324)	World Bank	250,000	in completion
GHANA	Support to Government of Ghana to Development a National Urban Agenda (p129724)	GIZ	755,895	in disbursement
	Municipal Leadership Training Programme for Greater Accra (p129726)	ILGS	414,160	in disbursement
	Greater Accra Sanitation Dialogue (p119063)	World Bank	15,000	in completion
	Greater Accra Integrated Environmental Sanitation Strategy	World Bank	450,000	in disbursement
	Building the Capacity of the Urban Poor for Inclusive Urban Development – Phase 1 (p129329)	SDI/People's Dialogue	250,000	in disbursement
	Building the Capacity of the Urban Poor for Inclusive Urban Development – Phase 2	SDI/People's Dialogue	250,000	in planning
	Community Upgrading Funds*	tbd	1,000,000	in planning
	Awareness and Advocacy – Urban Talk Radio (p125956)	World Bank	200,000	in disbursement
	“Urban Backup” Initiative in Secondary Cities	ILGS	330,000	in disbursement
MOZAMBIQUE	Upgrading the Chamanculo C Settlement of Maputo (p127820)	Maputo Municipality	575,000	in disbursement
	Building Capacity at Municipal Level	World Bank	500,000	in planning
	Promotion of National Urban Agenda and Inclusion of Civil Society	GIZ	500,000	in planning
	Nampula Slum Upgrading Strategy (p115734)	UN Habitat	353,000	in disbursement

	State of Cities Report	ACC/ ANAMM	300,000	in planning
BURKINA FASO	Program Setup (p130976)	UN Habitat	75,000	in disbursement
	Urban Dvt Support (TF099786)	World Bank	28,000	in completion
	National Forum and Policy	tbd	1,000,000	in planning
	Urban Database and Observatory	tbd	300,000	in planning
	Support to Organisations of the Urban Poor*	tbd	1,500,000	in planning
* includes Community Fund(s) for Slum Upgrading				
Total value of grants equals US\$15,557,910.				

Stage	Description
in planning	<ul style="list-style-type: none"> Engagement with stakeholders (incl. potential grantees and beneficiaries) Targeted dissemination of relevant global knowledge products
in processing	<ul style="list-style-type: none"> Technical input to the proposal (incl. from CA members) Integrity due diligence of the partners and stakeholders Risk assessment (e.g. resettlement, pollution, default/negligence) Proposal documentation using the World Bank processes
in disbursement	<ul style="list-style-type: none"> Approved and in supervision Milestone-based tranche disbursement
in completion	<ul style="list-style-type: none"> Acceptance of deliverables Operational and financial closure (incl. M&E) Post-completion monitoring (if needed)
closed	<ul style="list-style-type: none"> Lessons documented and closure procedures exhausted Project documentation archived

Abbreviations:

ACC	African Centre for Cities, University of Cape Town
ACVN	Association of Cities of Vietnam
AMCC	Academy of Managers in Construction and Cities
ANAMM	National Association of Municipalities of Mozambique = Associação Nacional dos Municípios de Moçambique
BMGF	Bill and Melinda Gates Foundation
ICMA	International City/County Managers' Association
ILGS	Institute of Local Government Studies
KNUST	Kwame Nkrumah University of Science and Technology
MOC	Ministry of Construction, Government of Vietnam
MoLHUD	Ministry of Lands, Housing and Urban Development, Government of Uganda
TSUPU	Transforming Settlements of the Urban Poor of Uganda

Consultative Group Meeting
Hanoi, Vietnam
1-2 November 2012

Support Document: Draft Results Framework

Background:

The need for the development of a Results Management and Monitoring System was a key recommendation from the 2011 independent evaluation of the CA. Since the last meeting of the Consultative Group in Maputo, Mozambique, the Secretariat, under the continued guidance of a Senior Results Monitoring Specialist, has made marked progress in designing and making operational a responsive and results-based Performance Monitoring System.

Recommended Action:

For information

Developing Cities Alliance Results Management and Monitoring System October 2012

Results Achieved since the 2011 Cities Alliance Annual meeting (Nov. 2011)

The need for the development of a Results Management and Monitoring System was a key recommendation from the 2011 independent evaluation of the CA. Since the last meeting of the Consultative Group in Maputo, Mozambique, the Secretariat, under the continued guidance of a Senior Results Monitoring Specialist, has made marked progress in designing and making operational a responsive and results-based Performance Monitoring System. The specific results are described below.

- Completion of the Theory of Change, as presented in the Results Chains, for the Cities Alliance Program, the Secretariat and Country Programs.
- Completion of Results Frameworks, which include a revised draft set of performance indicators, for the Program, Secretariat and Country Program levels of Cities Alliance.
- Presentation to EXCO in Uganda of the products developed to date.
- Engagement of CA regional staff during the staff retreat in the methodology and products developed by the Secretariat, with buy in from staff in the regions.
- Completion of a Terms of Reference for a Consultancy to review the draft performance indicators developed by the Secretariat with the aim of proposing a final manageable set of indicators that are realistic for the Secretariat to monitor, with CA's in-country partners and beneficiaries.
- Completion of a set of educational materials (presentations, briefing notes) on the Results Framework methodology and the process being employed by the Secretariat.

Cities Alliance Programme Theory of Change

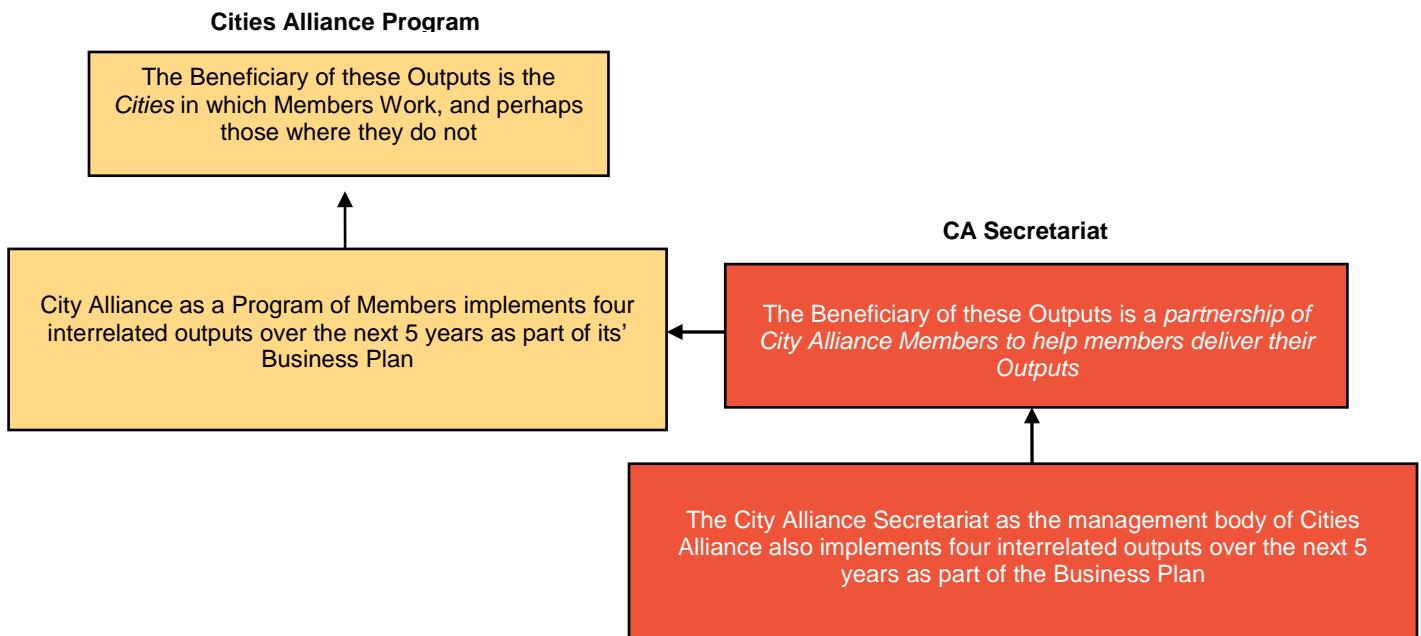
The Narrative

While CA members are the clients of the CA Secretariat, the City (broadly defined) is the client of Cities Alliance. Within the next five years, the Cities Alliance's aim is to **enable cities to deliver improved and responsive services to the urban poor**. To realize this objective (the Intermediate Outcome), partnerships of CA members will deliver four interrelated Outputs, each responding to a specific need and/or gap affecting a cities' ability to deliver services to the urban poor:

1. **developing and/or enhancing national policy frameworks;**
2. **developing and implementing local inclusive strategies and plans;**
3. **developing mechanisms to engage citizens in city/urban governance; and,**
4. **building the capacities of Cities to deliver improved services to the urban poor.**

While each output is designed to address a particular need, they should be viewed as a comprehensive and holistic approach to enable cities to deliver improved and responsive services to the urban poor. In order to deliver each output, a number of activities will be implemented within each of the four CA Business Lines. Just as the Outputs should be viewed as a system of products and services, the CA Business Lines should be taken together as a comprehensive and holistic approach to implementing various activities in order to deliver the Outputs. In other words, there is not a one to one correlation between a Business Line and an Output.

Over the longer term, and as cities are delivering improved and responsive services to the urban poor, the CA Theory of Change aims to see improvements in the health, socio-economic condition and political recognition/validation of the urban poor. Ultimately, and as a result of cities delivering improved and responsive services to the urban poor and improvements in their health, socio-economic condition and political recognition, CA aims to demonstrate Cities increasingly characterized by effective local government, active citizenship, and pro-poor public and private investment. This is the Cities Alliance Theory of Change. The performance indicators now under development for each of the results and at each level of the chain will enable the effective monitoring and evaluation of the CA program and form the basis for results-based reporting.



Cities Alliance Programme Results Chain
October 2012

CA Program Impact:
Cities increasingly characterized by effective local government, active citizenship, and pro-poor public and private investment.

MDG Level.
This is what development practitioners, nations and stakeholders aim to achieve in the long term

Outcome:
Improved health, socio-economic condition and increased political recognition of the urban poor.

*The urban poor are responsible for achieving these results **by using** the health, economic offerings/instruments and platforms to become politically engaged.*

Intermediate Outcome:
Cities delivering improved and responsive services to the urban poor.

*A **City** is responsible for delivering these results. 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*



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

Output 2:
Local inclusive strategies and plans developed and implemented.

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

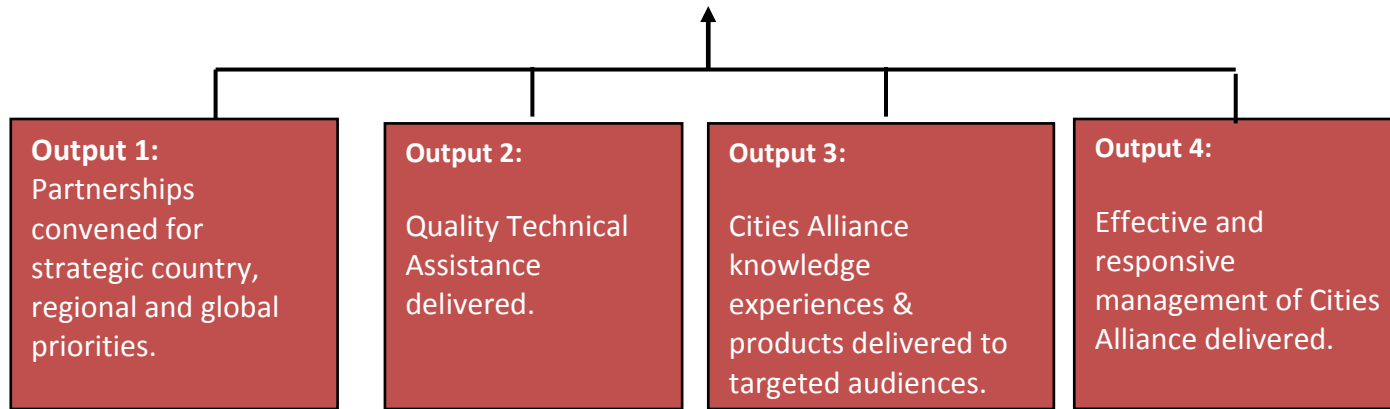
Output 4:
Capacities of Cities to provide improved services to urban poor strengthened.

*The **partnership of CA members** is responsible and accountable for delivering these outputs (its' Terms of Reference)*

Cities Alliance Secretariat Results Chain October 2012

The Secretariat Results Chain

The Secretariat's results chain supports the overall Programme results chain. The Secretariat administers various product lines and undertakes other activities as part of the day-to-day operations of the Cities Alliance that deliver Outputs that feed into Programme Outputs.



*What the **Secretariat** is **responsible and accountable for** delivering – its **Terms of Reference***

Executive Committee Meeting
Hanoi, Vietnam
30 October 2012

Support Document: EXCO Meeting Agenda

Background:

Based on the last EXCO meeting report from Naples, Italy, September 2012, the Secretariat drafted a meeting agenda, including comments from the Chair, UCLG.

Recommended Action:

Members are invited to make comments, additions to the meeting Agenda. Agenda to be cleared as final by EXCO Members.

Cities Alliance

Cities Without Slums

Executive Committee Meeting

30 October 2012

AGENDA

Venue: Hilton Hanoi Opera Hotel 1 Le Thanh Tong St, Hanoi, Vietnam, tel: 84-4- 3933 0500

TUESDAY, 30 October 2012		
18h00	Welcome Coffee/Tea (<i>light snacks</i>)	Venue: Ho Chi Minh Board Room
18h00 – 18h15	Item 1: Opening and Welcome <i>Josep Roig, Secretary General, UCLG and EXCO Chairperson</i> ➤ Adoption of meeting Agenda ➤ Approval of meeting report - Naples – September 2012	Handouts: Agenda; September 2012 Meeting Report
18h15 – 18h30	Item 2: Budget update <i>Kevin Milroy, Secretariat</i> ➤ Review variances in FY12 actual financial results compared to the estimates made at the June 2012 meeting ➤ Propose \$500,000 increase in FY13 budget for Africa regional strategy (based on prospective GIZ additional funding), for EXCO approval	Handouts: Financial and Budget Report FY12 – FY 13
18h30 – 20h00	Item 3: Evaluating the Location and Hosting of the Secretariat <i>Evaluation Team: Phyllis Kibui, Kevin Milroy (Secretariat); and Jamie Simpson (ICF GHK)</i> ➤ Presentation of findings ➤ EXCO recommendations to CG	Handouts: Report on the Location and Hosting of the Secretariat; Portfolio Analysis; CA Charter
20h00 – 20h30	Item 4: Catalytic Fund ➤ Catalytic Fund Update ➤ EXCO recommendations to CG	Handouts: Catalytic Fund Update Note
20h30 – 20h45	Item 5: EXCO Member Rotation and Location and date of next meeting of EXCO ➤ Replace AusAID ➤ Confirm Philippines ➤ Member Rotation (Norway)	Handouts: EXCO Membership Overview and TOR
20h45 – 21h00	Closing Remarks <i>Josep Roig, Secretary General, UCLG and EXCO Chairperson</i>	
21h00 – 23h00	Dinner	Venue: Chez Manon

Annual Meeting
Hanoi, Vietnam
30 October-2 November 2012

Support Document: Draft EXCO Participant List

Background:

n/a

Recommended Action:

Please review the contact information under your name. If corrections are needed, please provide to Sid Henderson (shenderson@citiesalliance.org).

as of 12 October 2011

CITIES ALLIANCE EXECUTIVE COMMITTEE MEETING												
30 October 2012, Hanoi, Vietnam												
Attendance												
Confirmed	Country Organisation	Mr/ Ms	First Name	Last Name	Title	Affiliation	Address	City	Post Code	Country	Phone	e-mail
EXECUTIVE COMMITTEE MEMBERS												
1	FRANCE	Mr.		Goldblatt	Head, Urban Governance	French Ministry of Foreign Affairs	48 rue de Javel		75015	FRANCE		
2	FRANCE	Ms.	Emilie	Maehara	Advisor, Cooperation on Urban Governance	French Ministry of Foreign Affairs	20 rue Monsieur	75700 Paris 07 SP		FRANCE	0331 43 17 64 45	emilie.maehara@diplomatie.gouv.fr
3	FRANCE					AFD	5, rue Roland Barthes	Paris Cedex 12	75598	FRANCE		
4	YES	NORWAY	Mr.	Erik	Berg	Senior Advisor, Section for Environment and Sustainable Development, Department for UN, Peace and Humanitarian Affairs	Royal Ministry of Foreign Affairs	Mailing Address: Postboks 8114 Dep., N-0032 Oslo, Norway		NORWAY	office: 47 22 24 39 72 cell: 47 92 08 99 53	erik.berg@mfa.no
5		PHILIPPINES	Ms.	Celia	Alba	Secretary General	Housing and Urban Development Coordinating Council (HUDCC)	15F, BDO Plaza, Makati Avenue		PHILIPPINES	632-811-4168	jtn.lcp@gmail.com
6	YES	SDI	Mr.	Jockin	Arputham	President	SDI Secretariat	P.O Box 14038 Mowbray		SOUTH AFRICA	27 21 689 9408	sparcssns@gmail.com , sparc@sparcindia.org , jockina@yahoo.co.in
7	YES	SDI	Mr.	Joel	Bolnick	Regional Co-ordinator	SDI Secretariat	P.O Box 14038 Mowbray		SOUTH AFRICA	27 21 689 9408	joel@sdinet.org
8	YES	UCLG	Ms.	Emilia	Saiz	Director, Institutional Relations	United Cities and Local Governments	Carrer Avinyo, 15		SPAIN	34 93 34 28 761	e.saiz@cities-localgovernments.org
9		UCLGA	Mr.	Jean Pierre	Elong Mbassi	Secretary General	United Cities and Local Governments, Africa	22, Essaadyine Street, Quartier Hassan		MOROCCO	212 537260062/63	elongmbassi@yahoo.fr , elongmbasse@uclgafrica.org
10	YES	UN-HABITAT	Mr.	Alioune	Badiane	Director of UN Habitat Project Office	UN-Habitat	P.O. Box 30030		KENYA	254 20 7623075	Alioune.Badiane@unhabitat.org , Theresa.Mailu@unhabitat.org
11	YES	UN-HABITAT	Mr.	Thomas	Melin	Head of External Relations	UN-Habitat	P.O. Box 30030		KENYA		thomas.melin@unhabitat.org , Milka.Ngari@unhabitat.org
12	YES		Ms.	Clare	Short	Rt. Hon.	Chair, Cities Alliance Policy Advisory Forum	23 Larkhall Rise		UNITED KINGDOM	44 7717 223 119	shortclare@gmail.com
13	YES	WORLD BANK	Ms.	Zoubida	Allaoua	Director, Finance, Economics and Urban	The World Bank	1818 H Street, NW,		USA	1-202-473-3720	zallaoua@worldbank.org , jteodosio@worldbank.org , skennedy@worldbank.org
14	YES	CITIES ALLIANCE SECRETARIAT	Mr.	William	Cobbett	Manager	Cities Alliance Secretariat	1818 H Street, NW, MC8-804		USA	(O)1-202-458-9695; (M) 1-202-492-2421	wcobbett@citiesalliance.org
CA SECRETARIAT												
15	YES	CITIES ALLIANCE SECRETARIAT	Ms.	Susanna	Henderson	Sr. Programme Assistant	Cities Alliance Secretariat	1818 H Street, NW, MC8-804		USA	(O) 1-202-458-7269; (M) 1-202-744-2769	shenderson@citiesalliance.org
16	YES	CITIES ALLIANCE SECRETARIAT	Ms.	Phyllis	Kibui	Operations Officer	Cities Alliance Secretariat	1818 H Street, NW, MC8-804		USA	(O) 1-202-473-9738	pkibui@citiesalliance.org
17	YES	CITIES ALLIANCE SECRETARIAT	Mr.	Kevin	Milroy	Sr. Operations Officer/Deputy Manager	Cities Alliance Secretariat	1818 H Street, NW, MC8-804		USA	1-202-473-5264	kmilroy@citiesalliance.org
PRESENTERS												
18	YES	ICF GHK INTERNATIONAL	Mr.	Jamie	Simpson	Director	ICF GHK International	Clerekenwell House, 67 Clerkenwell Road		UNITED KINGDOM	442076111100	jamie.simpson@ghkint.com ,

Annual Meeting
Hanoi, Vietnam
30 October-2 November 2012

Support Documents: June and September 2012 EXCO Meeting Reports

Background:

The EXCO met in June 2012 and September 2012. The meeting reports attached are provided for your information.

EXCO is also scheduled to meet on October 30, 2012, for which the meeting report is not yet available.

Recommended Action:

For EXCO members – approve September 2012 Meeting Report

For CG members – For information only

Cities Alliance

Cities Without Slums

Cities Alliance Executive Committee Meeting

6 June 2012

Kampala, Uganda

Meeting Report

Key Decisions and/or Follow-up Actions:

- Members were pleased and impressed with the Uganda Country Programme, and the overall country programme model. Members indicated that they now had a fuller appreciation of the scope and potential of the model. It was noted that the founding principles of the Cities Alliance in 1999 have been more effectively realized through the Country Programmes.
- UCLG led the discussion on the Independent Evaluation and overall, members were satisfied with the outcome, and in particular, noted the continued importance of maintaining the Cities Alliance as a multi-stakeholder partnership.
- In response to the IE Findings and Recommendations, the Secretariat briefed EXCO on addressing key recommendations, including: (a) moving forward on implementing a Results Framework, progress of which was endorsed by the EXCO, with the caveat to decrease the number of indicators; and (b) development of a Knowledge and Learning Strategy as well as an Advocacy and Communications strategy. (c) EXCO also stressed the need to monitor the ongoing relationship between the Cities Alliance and its host organization, the World Bank, and asked the Secretariat to present EXCO with alternatives in this regard;
- The priorities of the FY12-FY14 Business Plan were reviewed and discussed, including consolidation of Country Programmes, development of Africa regional work plan, and increased attention to knowledge dissemination and utilization;
- The **FY13 Budget** was approved by EXCO, at similar levels as FY12 except for small increases in KM and M&E budgets, and will be presented to the Consultative Group for ratification in October 2012.
- Updates were given on the Catalytic Fund Batch Two: **Youth and the City** as well as the MENA Joint Work Programme
- Members expressed their disappointment with the slow and complex processing of small grants under the existing procedures. Members were also briefed on the new World Bank Small Grants Procedures, which reflect a number of improvements;
- Cities Alliance membership was discussed and it was agreed to formally end the membership of those that had not paid the required dues for two consecutive financial years, as per the new Charter;
- Fundraising and membership are two different issues. It was agreed to develop a Fundraising Strategy, which should be a priority for the Manager, but with the active support of members;
- EXCO members were briefed on changes in World Bank HR policies in regards to *coterminous* staff contracts, and will be kept briefed on the potential implications for staff recruited by the CA.

Meeting Summary

Attendance:

Executive Committee: Caillat (French Embassy, Kampala); Berg (Norway); Nishimori (Philippines); Arputham, Bolnick (SDI); Roig (meeting Chair) and Saiz (UCLG); Elong-Mbassi (UCLGA); Mbye, Kessler, Wegulo (UN-Habitat); Allaoua (World Bank); Cobbett (Ex-Officio) (Secretariat)

Regrets: AusAID

Observers: Ms. Clare Short (Chair, Policy Advisory Forum); Samuel Mabala (Commissioner for Urban, Uganda Ministry of Lands, Housing and Urban Development)

Secretariat: Henderson, Milroy

Venue: Sheraton Kampala Hotel, Kampala, Uganda

See Annex I for Final Meeting Agenda

See Annex II for Final Participant List

Item 1: Opening and Welcome/Adoption of Agenda/Clearance of Previous Meeting Report

- At the invitation of the Chair, members made a *tour de table* and contributed their reactions to the previous two days of activities. Members were extremely pleased and impressed with the Uganda Country Programme, and the overall country programme model. Members indicated that they now had a full appreciation of the scope and potential of the model. It was noted that the founding principles of the Cities Alliance in 1999 have been realized through the Country Programmes.
- The meeting agenda was adopted with no comments.
- No additions/comments were made to the November 2011 EXCO report. The report was approved.

Item 2: Review and Secretariat Response to Independent Evaluation 2011

The 2011 independent evaluation was commissioned by the CA Consultative Group and conducted during 2011 by COWI A/S of Denmark as required by the World Bank's Development Grant Funding (DGF). The preliminary findings and recommendations were presented to the CG at the November 2011 annual meeting in Maputo. The draft final report was circulated to EXCO members for comment on January 6, 2012, and the Final Report was released to the full CG on April 16, 2012. (The Final Report is part of the background documentation for the meeting.).

The Secretariat prepared a Summary of the Key Findings/Recommendations and Secretariat comments background document for EXCO discussion.

In an exchange led by UCLG, members discussed the strong relevance of the Cities Alliance and reinforced their support for the Alliance to remain a multi-stakeholder partnership; the efficiency of the partnership as it relates to its Results Framework reporting; the Alliance's international impact as it relates to its Advocacy Strategy and ability to raise funds; accountability in terms of alignment with the World Bank and procedures for moving funds; the new Governance structure that delegates more decision making authority to the Executive Committee; the new business plan that calls for diversifying partners and possibly membership; and country programmes and the necessity for a strong M&E programme to capture their lessons.

Item 3: Proposed actions in response to Evaluation Findings and Recommendations

In response to the IE Findings and Recommendations, EXCO endorsed progress being made by the Secretariat on implementing a Results Framework, with the caveat to decrease the indicators, as well as plans to develop a Knowledge and Learning Strategy as well as an Advocacy and Communications strategy. EXCO also noted its on-going responsibility to monitor the efficiency of hosting the partnership at the World Bank, and asked the Secretariat to explore viable alternatives.

Results Architecture and Performance Monitoring System Update

The Manager presented the draft Results Framework, using the Uganda Country Programme to illustrate. Overall, the Results Framework was very well received, and praised for its clarity and simplicity

Members stressed the need to raise awareness of the framework and get buy-in and involvement of local and international partners. In County Programmes, this should be a crucial part of the planning process. Members found the Advocacy and Communications topic missing from the draft Results Framework, and made specific recommendations on changing a few of the terms in the framework (e.g., *client* and *corporate*). In FY 13, the Secretariat plans to develop a Results Framework for each of the Country Programmes, a performance monitoring and reporting system, and an initial set of indicators.

While confirming the importance of sound evaluation tools, partners also called for realistic monitoring systems that will answer to objectives and that will not change objectives in order to make them measurable.

Development of Knowledge and Learning Strategy

The Secretariat briefed EXCO on progress for development of a knowledge strategy and improved knowledge management systems. This includes not only knowledge products but also knowledge engagements and use of knowledge networks. The distribution of the products and dissemination of knowledge and experience will be key issues in the future of the Alliance.

Development of Advocacy and Communications Strategy

Cities Alliance

Cities Without Slums

Following up on the discussions held in Maputo in November 2011, where the CG decided to create an Advocacy Working Group led by UCLG, the EXCO held discussion as to the seriousness to which the Cities Alliance should address Advocacy. With Rio+20 in a few weeks and Habitat III approaching in 2016, the EXCO members would like to see the Cities Alliance mandate changed into policy.

The CA must approach this as a multi-stakeholder partnership, and pay particular attention to the process leading up to Habitat III in 2016.

UN-Habitat has a team working on the Habitat III agenda and will keep the Cities Alliance members informed. UCLG will prepare a proposal to elaborate on the idea of an Urban Think Tank that will create collective thinking on a revitalized Habitat Agenda.

The Cities Alliance Secretariat will continue to finalise an Advocacy and Communications Strategy.

Item 4: Business Plan FY12-FY14 Update

The priorities of the FY12-FY14 Business Plan were reviewed and discussed, including consolidation of Country Programmes, development of the Africa regional work plan, and increased attention to knowledge dissemination and utilization.

The Manager made a short presentation on the progress the Secretariat has made in the implementation of the FY12-14 business plan. The business plan was first presented in Maputo in November 2011 and will be updated for each annual Consultative Group meeting.

The priorities of the Cities Alliance are the continued implementation of:

- Country Programmes: **Uganda; Vietnam** – ACVN/multi-partners – CG meeting in November; **Burkina Faso** – UNH, AFD/**Ghana** – lead GIZ – SDI, WB, AFD, non CA members – the EU; **Mozambique** – lead –WB/very crowded development community. We need to find the value added of SDI, UN-Habitat and find a constructive role for a non-implementing partner like Norway. A lot of time, resources and effort are required by the Secretariat to establish the Country Programmes.
- Country Partnership Programmes: The Cities Alliance has large, existing portfolios in the Philippines, South Africa and Brazil, where we have continued ongoing support. There is interesting work happening in these countries such as a piece of work in Brazil, working with the Government to develop a framework of involuntary resettlement in the context of the Football World Cup and Olympics as these large hosting events always lead to controversy. Brazil is providing leadership on a difficult issue, and the policy is expected to be legislated. The Cities Alliance will then have an opportunity to share the Brazil experience worldwide.
- The Cities Alliance Africa Strategy: UCLGA is the primary partner and the objective of Sub-Saharan Africa is the strategic priority for the CA – moving forward to develop an Africa work programme – strengthen association of cities and cities – not in all 54 countries, but to build around our existing work programme in the Country Programmes and through our members in 8-10 countries. UCLG, UCLGA and the CA SEC will develop the framework for a strategic work programme – WBI and UN-Habitat will contribute to the knowledge agenda, and this can be strengthened country by country and regionally with the World Bank on potential leverage in loans.

Review of FY12 Financial Report and Proposed FY13 Budget

The Secretariat reviewed the FY12 financial performance with EXCO members, drawing attention to stable Core contributions, variances from budget for approved funding allocations (\$1.25m less than budgeted), and financial costs of the Secretariat. The FY13 proposed budget was reviewed against programme outputs planned for the year (organized around the CA results framework), and approved by EXCO with small increases from FY12 levels for knowledge and learning and monitoring and evaluation, and a Secretariat budget at the same staffing levels as FY12. The budget will be presented to the Consultative Group for ratification in October 2012.

Catalytic Fund Update

The Secretariat presented the results from the second call for proposals, Youth and the City.

- 203 applications were received, 101 of those met all the criteria and considered eligible for further processing.
- The Main reason for proposal ineligibility is lack of CA member sponsoring
- Most CA members sponsored applications this year. UN-Habitat sponsored 45% of eligible proposals (last year 36%).
- 9 proposals sponsored by France (MFA, AFD) and 8 from Germany (BMZ., GIZ, KFW), an increase from previous year (none from AFD and only one from GIZ among the 73 proposals received).
- 1 proposal from East Europe/Central Asia region versus 52 from Sub-Saharan Africa.
- 5 proposals from Kenya, most represented country among the 101 eligible proposals.
- Max number of members supporting a proposal: 5 (Egypt - FY12_158). Average Member No. per proposal is 1.3.
- Good representation of secondary cities (none last year)
- Very good geographic distribution with 51% of the eligible 101 applications coming from SSA
- Very good distribution across OECD Country Classification with 38% of the 101 eligible applications coming from LDCs

Next steps: The Expert Evaluation Panel (EEP), which consists of last year's panel members along with a replacement for Serge Allou, who is now on secondment by the French Ministry of Foreign Affairs, will meet in mid June and the CA Management decision meeting will be held at the end of June.

France thanked the Secretariat for the selection of Marie-Alice Lallemand-Flucher to the EEP.

MENA Joint Work Programme

As reported on during the Maputo EXCO and CG meetings, several CA members active in the Middle East and North Africa region have come together around a joint work programme for the region.

The JWP members are: Agence Française de Développement (AFD), European Investment Bank (EIB), French *Caisse des Depots* (CDC), French Ministry of Foreign Affairs, German Federal Ministry for

Cities Alliance

Cities Without Slums

Economic Cooperation and Development (BMZ), and the *Deutsche Gesellschaft fuer Internationale Zusammenarbeit* (GIZ), Italian Ministry of Foreign Affairs, MedCities, UN Habitat, United Cities and Local Governments (UCLG), and the World Bank.

The primary objective of this Programme is to strengthen the process of democratization through inclusive city governance supported by enabling national frameworks in selected partner countries of the MENA Region.

The first partner country will be Tunisia, with a particular focus on promoting subsidiarity. The first objective is advocacy on the constitution which will create an opportunity for the local government to speak to the central government.

JWP Meetings have been held in Marseille, Tunis and the next meeting will be held in Rome, in conjunction with the World Urban Forum.

Item 5: Cities Alliance Partnership Matters

Small Grant Processing Update

The Secretariat briefed EXCO on the Small Grants Guidance Note issued by the Bank, which should bring improved efficiencies through standardization of procedures and more streamlined processes during grant set up stage. However, it was noted that new procedures have also been introduced during the project approval stage, which will add additional transaction steps but should result in improved alignment with Bank operations and improved support from Bank country management units. The Small Grants procedures are just beginning to be implemented, so it is still too early to assess their overall impact. During FY13, most CA grants to recipients will be made from DGF funds. Improved efficiencies are also being realized through consistent training of CA staff on Bank procedures, and through administration of the Catalytic Fund.

Membership Update

As per the Cities Alliance Charter, Section IV, para. 22, “Members that fail to make their agreed financial contribution for two consecutive financial years will no longer be members of the Consultative Group, and they will be notified by the EXCO”.

The following members have not paid for two or more years:

Asian Development Bank
Canada (CIDA)
Japan
Netherlands
Spain
UK-DFID
UNEP

At risk:

Ethiopia and Nigeria

The Secretariat proposed the following:

1. Lapsed members are notified and removed from Membership
2. Country Programme governments (Burkina Faso, Ghana, Mozambique, Uganda and Vietnam) are invited to sit as observers on the Consultative Group while the programmes are in progress so that they are able to contribute to the substantive discussions;
3. Bilateral delegations be encouraged to bring representatives of local government to Consultative Group meetings; and
4. The Cities Alliance should allocate resources to ensure that least developed country members are able participate

EXCO noted with caution that membership issues are difficult. Shrinking membership could be viewed negatively by potential new members, but carrying dead weight is unfair to the core, contributing members and detracts from the focus of the multi-stakeholder partnership.

Some of the expired members are the focus of the new fundraising strategy of the Cities Alliance and will be re-engaged in terms of the new business model; others are important to keep, if possible, such as Ethiopia and Nigeria, in light of the Cities Alliance Africa Strategy.

DECISION: It was agreed to notify all non-paying members as per the new Charter.

Fundraising

Until present, Membership and Fundraising have been synonymous. The Secretariat recognizes that membership fees are needed, but we also need a separate Fund Raising strategy.

On 1 July 2013, the World Bank will become a regular member of the Cities Alliance, possibly contributing only at the minimum membership level. The EXCO noted the decrease in contribution and noted that the Bank had been the Alliance's biggest donor. The EXCO also noted the potential for changing roles within the partnership.

The new business model, including Country Programmes, require a significant injection of stable funding, which is one of the goals of the Secretariat Management to move into multi-year fund raising.

Staffing

It was brought the EXCO's attention that effective 1 July 2013, there will be a change to World Bank's human resources policy. There is a move away from open-ended contracts towards term contracts. Within term contracts, there are two types of contracts: a formal term and co-terminus contract. A co-

Cities Alliance

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terminus contract is funded by the programme, not on the World Bank's budget. For good HR reasons, the World Bank wants to remove the co-terminus category; all staff will become term staff. The actual implementation of these policies are still being developed within the Bank, and the Secretariat will keep EXCO briefed on the possible impact this might have on multi-stakeholder programmes whose staff were hired specifically for the Secretariat.

It was noted that the Secretariat could use more technical staff, in particular, in the area of Municipal Finance.

ANNEX I

**Executive Committee Meeting
6 June 2012
FINAL AGENDA**

Meeting room: Lake Room, Sheraton Kampala Hotel, Ternan Avenue, Kampala

8:30 a.m. Tea/Coffee

9:00–9:30 a.m. Item 1: Opening and Welcome

- Josep Roig, UCLG and EXCO Chair
- William Cobbett, Manager, Cities Alliance

Approval of Meeting Report – November 2011, Maputo
Approval of Agenda

Item 1 Handouts: November 2011 Meeting Report; June 2012 Agenda

9:30–10:30 a.m. Item 2: Review and Secretariat Response to Independent Evaluation 2011

- Kevin Milroy, Cities Alliance

Item 2 Handouts: Summary of Key Findings/Recommendations and Secretariat Comments;
Independent Evaluation of the Cities Alliance: Final Report

10:30–11:00 a.m. Tea/Coffee Break

11:00 a.m.–1:00 p.m. Item 3: Proposed actions in response to Evaluation Findings and Recommendations

- William Cobbett, Cities Alliance

Results Architecture and Performance Monitoring System Update
Development of Knowledge and Learning Strategy
Development of Advocacy and Communications Strategy

Item 3 Handouts: Managing for Results

1:00–2:00 p.m. Lunch at Paradise Terrace, Sheraton Kampala Hotel

2:00–3:30 p.m. Item 4: Business Plan FY12-FY14 Update

- William Cobbett, Manager, Cities Alliance

Review of FY12 Financial Report and Proposed FY13 Budget
Catalytic Fund Update
MENA Joint Work Programme

Item 4 Handouts: Cities Alliance Financial and Budget Report FY12-FY13; CA Business Plan FY12-FY14;
MENA Region Joint Work Programme Synopsis

3:30–4:00 p.m. **Tea/Coffee Break**

3:30–5:00 p.m. **Item 5: Cities Alliance Partnership Matters**

- William Cobbett, Manager, Cities Alliance

Small Grant Processing Update
Membership Update
Fundraising

Item 5 Handouts: [Membership Contributions Status Report](#)

5:00–5:30 p.m. **Closing Remarks by Josep Roig, UCLG and EXCO Chair**

7:30 p.m. **Dinner at Khana Khazana** Plot 20, Acacia Avenue Kololo, Kampala (five minute taxi ride)

ANNEX II

List of Participants

<u>MEMBER</u>	<u>PARTICIPANT</u>	<u>AFFILIATION</u>
FRANCE	Ms. Maria Caillat	French Embassy, Kampala
NORWAY	Mr. Erik Berg	Royal Ministry of Foreign Affairs
SDI	Mr. Joel Bolnick Mr. Jockin Arputham	SDI Secretariat SDI Secretariat
PHILIPPINES	Mr. Jeremy Nishimori	League of Cities of the Philippines
UCLG	Ms. Emilia Saiz Mr. Josep Roig	United Cities and Local Governments United Cities and Local Governments
UCLGA	Mr. Jean-Pierre Elong Mbassi	United Cities and Local Governments Africa
UN-HABITAT	Mr. Doudou Mbye Ms. Rocio Kessler Mr. Peter Wegulo	UN-Habitat UN-Habitat UN-Habitat
WORLD BANK	Ms. Zoubida Allaoua	World Bank
<u>ADVOCACY PANEL</u>		
	Ms. Clare Short	Retired Member of Parliament, UK
<u>OBSERVERS</u>		
UGANDA	Mr. Samuel Mabala	Ministry of Land, Housing and Urban Development
<u>SECRETARIAT</u>		
	Mr. William Cobbett Ms. Susanna Henderson Mr. Kevin Milroy	Cities Alliance Secretariat Cities Alliance Secretariat Cities Alliance Secretariat

Cities Alliance Executive Committee Meeting
Extra-ordinary Meeting
4 September 2012
Naples, Italy

Meeting Report

Key Decisions and/or Follow-up Actions:

- **Members approved the Meeting Agenda, 4 September 2012, Naples, Italy**
- **Members approved the 6 June 2012 Kampala, Uganda EXCO Meeting Report**
- **Members approved the Terms of Reference: Evaluating the Location and Hosting of the Secretariat**, with time given to send to the Secretariat any minor alterations, additions or proposed amendments by COB on Thursday 12th September 2012.
- **The Secretariat will circulate the Final TOR by 21 September 2012**, but will commence activities based on the version circulated for the EXCO meeting and hire an external consultant to lead the evaluation process with support provided by the Secretariat team of Kevin Milroy, Sr. Operations Officer/Deputy Manager and Phyllis Kibui, Operations Officer.
- **Members also welcomed and approved the offer from German Cooperation for GIZ to present to the ExCo a concrete proposal presenting what the hosting of CA would entail.**
- **Members also requested for the Evaluation team to meet with UNOPS and evaluate their hosting potential**
- **The World Bank suggested that the CA holds a discussion on Urban Policies at the Hanoi Consultative Group Meeting**
- **The Secretariat will follow-up with HFHI and UCLG to better leverage the World Urban Campaign**
- **Members agreed to ensure continued involvement in the Habitat III advocacy work**

Meeting Summary

Attendance:

Executive Committee: Goldblatt, Maehara (Ministry of Foreign Affairs) and Mouatadid (AFD) (France); Berg (Norway); Alba (Philippines); d’Cruz and Rossbach (Shack/Slum Dwellers International); Roig (meeting Chair) and Saiz (UCLG); Elong-Mbassi (UCLG-A);Badiane, Melin, (UN-Habitat); Allaoua (World Bank); Cobbett (Ex-Officio) (Secretariat)

Regrets: Clare Short.

Observers: Brazil, Ethiopia, Germany, Habitat for Humanity International, Italy, Metropolis, South Africa, Sweden, UCLG Secretariat, Uganda, United Kingdom, United States

Secretariat: Bertolassi, Henderson, Hohmann, Silva

Venue: MGallery Palazzao Caracciolo, Naples, ITALY

See Annex I for Final Meeting Agenda

See Annex II for Final Participant List

Item 1: Opening and Welcome/Adoption of Agenda/Clearance of Previous Meeting Report

- The meeting agenda was adopted with no comments.
- No additions/comments were made to the June 2012 EXCO report. The report was approved.

The Executive Committee of the Cities Alliance decided to take advantage of the presence of many members at the World Urban Forum in Naples, and called an Extra-ordinary meeting. The meeting agenda consisted of a single item – that of the location and hosting of the Cities Alliance Secretariat. Given the importance of the issue, it was decided to invite all available and interested Consultative Group members to participate as Observers.

The issues that serve as the background to the meeting were familiar to Cities Alliance members. Over the past few years, the following matters have been discussed on one or more occasion:

- The increasing difficulty, complexity and slowness of grant-making, particular to non- World Bank implementing partners;

- The need to have more of an advocacy impact and presence in different regions, but particularly in Europe where the bulk of CA donor members are located;
- The challenges presented by the practicalities associated with increased alignment with World Bank operations; and
- The importance of maintaining the Cities Alliance as a multi-stakeholder platform, as envisaged in the recently-revised Charter.

Item 2: Evaluating the Location and Hosting of the Secretariat

➤ *Brief presentation by William Cobbett*

At its June 2012 meeting in Uganda, the Executive Committee resolved to investigate the possibility of alternative options for the hosting of the Cities Alliance Secretariat, if such a move could improve the effectiveness and efficiency of the Cities Alliance in achieving its goals. Subsequently, it has emerged that viable alternatives potentially exist.

The Secretariat undertook consultations with a number of members and partners. In addition, the Manager William Cobbett and PAF Chairperson, Clare Short, also undertook an intense visit to Europe, meeting with member representatives in Paris, Rome, Brussels, Bonn and Oslo, and consulting with Sweden by phone. Subsequently, the Manager has attempted to directly contact every member of the Cities Alliance.

The preliminary conclusion to this exercise was that viable alternatives potentially do exist to the hosting of the Secretariat at the World Bank. Most pertinently, the World Bank's German Executive Director held a very positive meeting with the Vice-President of the Sustainable Development Network to convey her Government's willingness to facilitate the transfer of part, or all, of the Secretariat to Europe, if the CA's members so desired, and so decided.

In preparation for the Naples meeting, and to ensure that the focus was on the future of the Cities Alliance, the Secretariat prepared a **Terms of Reference for Evaluating the Location and Hosting of the Secretariat**. This Terms of Reference was proposed to provide a framework for the evaluation of both the existing arrangements at the World Bank, and any alternative(s) that EXCO might approve for further consideration.

It was proposed that the Secretariat will undertake this task with the support of (i) a consultant(s) familiar with the work of the Cities Alliance, and (ii) with personnel of the proposed hosting agency or agencies. The results of this exercise will be presented to the Consultative Group at its meeting in Hanoi on 1st and 2nd November, for a more formal discussion and, if possible, decision.

Statement by German Cooperation

➤ *Franz Marré, BMZ*

Coupled with the reasons mentioned above and based on the findings of the 2011 Independent Evaluation by COWI/AS, EXCO members expressed their support for the Terms of Reference for

Evaluation the Location and Hosting of the Cities Alliance. Members emphasised the need to ensure that any change of location would be viewed from the perspective of the enhanced effectiveness and efficiency of the Cities Alliance.

In the spirit of improving the Cities Alliance, German Cooperation committed to presenting to the ExCo in Hanoi more detailed information on the full implications and offer by GIZ to facilitate the hosting of the CA Secretariat in Europe.

Initial ideas are for the Secretariat to be based in Brussels with GIZ hosting the programme, with no other intervention from GIZ, save through EXCO and CG meetings. All the members are very keen to maintain the multi-stakeholder platform of the Cities Alliance. Germany and some European partners will find a way to cover the cost of moving the programme. Italy stressed its preference for a multilateral platform, and endorsed the inclusion of UNOPS within the scope of the investigation.

Member Discussion and Approval of Terms of Reference and Next Steps

Members emphasized the important progress made in the work of Cities Alliance since its creation, and particularly since the adoption of the new Business Model. They acknowledged and commended the facilities that have been provided by the World Bank since the launch of the Cities Alliance.

Members continued to stressed the importance of the issue under review, and repeatedly emphasized that the location and hosting of the Cities Alliance should be viewed from the effectiveness of the Partnership, and carry the support of members. Cities Alliance serves each member differently, whether it provides technical assistance funding or helps to influence the international agenda and debate around urban policies. Cities Alliance members reiterated their desire for Cities Alliance to be the place where members can have the ability to support and create new, innovative ideas, and stressed the importance attached to multi-stakeholder nature of the partnership. With Habitat III approaching in 2016, members believe that it is very important for the Cities Alliance to be as strong as possible, and located in the best possible place. Some members further called for the need to renew the political commitment at the highest level by all members in order to make a significant contribution to the definition and implementation of the new development agenda being currently forged internationally.

The World Bank will support whatever decision Cities Alliance members make and will continue to engage with the Cities Alliance, regardless of its location, as long as its priorities coincide with those of the Bank's. In hosting the Cities Alliance, the Bank must follow the administrative and operational guidelines set by its Board. There is a growing emphasis on urban development and the role of cities, and the World Bank offered to host a discussion on Urban Policies as part of the Hanoi CG.

- **Members approved the Terms of Reference: Evaluating the Location and Hosting of the Secretariat**, with time given to send to the Secretariat any minor alterations, additions or proposed amendments by COB on Thursday 12th September 2012.
- **The Secretariat will circulate the Final TOR by 21 September 2012**, but will commence activities based on the version circulated for the EXCO meeting and hire an external consultant to lead the evaluation process with support provided by the Secretariat.

- **Members also approved the offer from German Cooperation for GIZ to elaborate a hosting agreement of the Cities Alliance in time for presentation at the CG Meeting in Hanoi, 1-2 November 2012**
- **Members also requested for the Evaluation team to meet with UNOPS and evaluate their hosting potential**
- **The World Bank suggested a discussion on Urban Policies at the Hanoi Consultative Group Meeting**

Other Business

Habitat III

At least four members of the Cities Alliance are also members of the World Urban Campaign (WUC). HFHI offered to work with those members and the Secretariat to provide information to the WUC for use as advocacy work towards the Habitat III agenda 2016.

It was cautioned that a comprehensive urban agenda still requires much work before Habitat III and it was suggested that members use the Cities Alliance as an entry point to the debate.

- **The Secretariat will follow-up with HFHI and UCLG to better leverage the opportunities offered by to the World Urban Campaign and to ensure a prominent role for the CA in the build-up to Habitat III**

Next EXCO Meeting

Tuesday 30 October 2012, 6-9 PM, Hilton Hanoi Opera Hotel

ANNEX I

**Executive Committee Meeting
4 September 2012
FINAL AGENDA**

Venue: MGallery Palazzo Caracciolo, Via Carbonara 112, 80139 - NAPOLI, Italy Tel: (+39)081/0160111

TUESDAY, 4 September 2012		
19h00	Welcome Coffee/Tea (<i>light snacks</i>)	Room: San Carlo
19h00 – 19h15	Item 1: Opening and Welcome <i>Josep Roig, Secretary General, UCLG and EXCO Chairperson</i> <i>William Cobbett, Manager, Cities Alliance</i> ➤ Approval of meeting report - Uganda – June 2012 ➤ Approval of agenda	Handouts: 1-Agenda 2-June 2012 Meeting Report
19h15 – 20h45	Item 2: Evaluating the Location and Hosting of the Secretariat ➤ <i>Brief presentation by William Cobbett</i> Statement by German Cooperation ➤ <i>Franz Marré, BMZ</i> Member Discussion and Approval of Terms of Reference	Handouts: 3-Background Note 4-Terms of Reference
20h45 – 21h00	Closing Remarks <i>Josep Roig, Secretary General, UCLG and EXCO Chairperson</i>	
21h00 – 23h00	Cocktail Reception	Venue: Courtyard Two

ANNEX II

List of Participants

<u>MEMBER</u>	<u>PARTICIPANT</u>	<u>AFFILIATION</u>
FRANCE	Mr. Goldblatt Ms. Emilie Maehara Mr. Hassan Mouatadid	Ministry of Foreign Affairs Ministry of Foreign Affairs AFD
NORWAY	Mr. Erik Berg	Royal Ministry of Foreign Affairs
SDI	Ms. Celine d’Cruz Ms. Anaclaudia Rossbach	SDI Secretariat SDI Secretariat
PHILIPPINES	Ms. Celia Alba	
UCLG	Mr. Josep Roig Ms. Emilia Saiz	United Cities and Local Governments United Cities and Local Governments
UCLG-A	Mr. Jean-Pierre Elong Mbassi	United Cities and Local Governments Africa
UN-HABITAT	Mr. Alioune Badiane Mr. Thomas Melin	UN-Habitat UN-Habitat
WORLD BANK	Ms. Zoubida Allaoua	World Bank
SECRETARIAT	Mr. William Cobbett	Cities Alliance Secretariat
<u>OBSERVERS</u>		
BRAZIL	Ms. Ines Magalhaes Ms. Junia Santa Rosa Mr. Omar Borges do Prado Filho	Ministry of Cities Ministry of Cities CAIXA
ETHIOPIA	Mr. Sissay Dejene	Ethiopian Cities Association Secretariat
GERMANY	Mr. Franz Marré Mr. Gunter Meinert	BMZ GIZ
HFHI	Mr. Steve Weir Ms. Jane Katz	HFHI HFHI

Cities Alliance

Cities Without Slums

	Ms. Susanna Rojas-Williams	HFHI
ITALY	Ms. Loredana Stalteri Ms. Anna Zambrano	Ministry of Foreign Affairs Ministry of Foreign Affairs
METROPOLIS	Mr. Alain Le Saux	Metropolis
SOUTH AFRICA	Mr. Thabane Zulu Ms. Monika Glinzler	Department of Human Settlements Department of Human Settlements
SWEDEN	Mr. Mikael Atterhog	Sida
UGANDA	Mr. Samuel Mabala	Ministry of Lands, Housing and Urban Development
UCLG	Mr. Ricardo Martinez Mr. Mohamed Boussraoui	UCLG Secretariat UCLG Secretariat
UNITED KINGDOM	Mr. Stephen Young	DFID
UNITED STATES	Ms. Nancy Leahy	USAID
<u>SECRETARIAT</u>		
	Ms. Regianne Bertolsassi Ms. Susanna Henderson Mr. Rene Hohmann Mr. Federico Silva	Cities Alliance Secretariat Cities Alliance Secretariat Cities Alliance Secretariat Cities Alliance Secretariat

Consultative Group Meeting
Hanoi, Vietnam
1 -2 November 2012

Support Document: EXCO Membership Overview and TOR

Background:

The membership and responsibilities of the Executive Committee were updated as part of the revisions to the CA Charter made at the October 2010 meeting of the Consultative Group in Mexico City. The Charter gives the CG responsibility for appointing the rotating members of EXCO. See the following briefing note for membership and TOR for EXCO.

At the November 2011 CG meeting in Maputo, France, SDI and AusAID were nominated to replace Germany, Chile and UNEP on EXCO. AusAID subsequently was not able to accept the nomination.

No nomination was made to replace South Africa as a Developing Country representative. The Philippines was subsequently approached about serving on EXCO, and agreed.

Norway's term on EXCO is expiring after the November 2012 meeting of EXCO.

Recommended Action:

1. Member Rotation: Appoint replacement for Norway as External Support Country representative, for 2013-2015 term.
2. Confirm Philippines as replacement for South Africa as Developing Country representative, 2012-2014 term.
3. Member replacement: Appoint replacement for AusAID to complete 2012-2014 term (drawn from full membership).

**Cities Alliance
Consultative Group Meeting
2 November 2012
Hanoi, VIETNAM**

PARTNERSHIP MATTERS

The following background information pertains to the Partnership Matters agenda item for the CG meeting.

New Executive Committee Member Appointments

The Executive Committee was established during the November 2007 meeting of the CG in Manila. The membership of EXCO during 2012 has consisted of:

PERMANENT MEMBERS: UCLG (Chair)
UN-Habitat
World Bank

ROTATING MEMBERS:

External Support Countries/Agencies: France, 2012- 2014
Norway, 2010 – 2012 (to be replaced)

Developing Country: Philippines, 2012 – 2014 (to be confirmed)

Appointed from full Membership: SDI, 2012 - 2014
To be filled, 2012 - 2014

EX-OFFICIO MEMBER: Manager of the Secretariat

Norway is scheduled to rotate off the Committee, under the rules governing EXCO as stipulated by the Charter, 2011.

Previous rotating members of EXCO and its predecessor body, the Steering Committee: Netherlands (2001), United Kingdom (2001-2002), Germany (2002-2003), United States (2003-2004), Sweden (2004-2005), Japan (2005-2006), Norway (2006-2008), Brazil (2006-2008), Asian Development Bank (2007-2008), Nigeria (2007-2008), France (2007-2009), Germany (2009-2011), Chile, (2009-2011), UNEP, (2009-2011), South Africa, (2009-2011)

TOR of the Executive Committee, as per the 2011 Cities Alliance Charter:

1. The primary functions of EXCO
 - a) Provide guidance to the Secretariat on matters of policy and strategy;
 - b) Approve the Business Plan, annual work plan and budget of the Cities Alliance, including that of the Secretariat and the Policy Advisory Forum, subject to ratification by the CG;
 - c) Monitor progress and make recommendations to the CG;
 - d) Participate in the selection of the Manager of the Secretariat;
 - e) Approve any operating manuals produced by the Secretariat;
 - f) Select countries for country programmes;
 - g) Nominate the Chairperson of the Policy Advisory Forum for CG appointment;
 - h) Respond to requests from the CG; and
 - i) Consider applications for membership and make recommendations to the Consultative Group.

2. Composition of the EXCO

EXCO comprises three permanent members, five rotating members, and one ex-officio member.

 - Permanent Members:
 - UCLG (Chair)
 - UN-Habitat
 - The World Bank;
 - Rotating Members:
 - Two representatives from external support countries/agencies;
 - One developing country representative; and
 - Two other members, elected by the CG
 - Ex-officio Member:
 - The Manager of the Cities Alliance Secretariat

3. The Chairperson of the EXCO may invite the Chairperson of the PAF to participate in the discussions of the EXCO as an Observer.

4. Permanent Members and Rotating Members are decision making, and the Ex-Officio Member and Observer are non-decision making.

5. Rotating members are selected by the CG for three year terms, appointed on a staggered basis.

6. The UCLG representative acts as the Chairperson of the EXCO. If, for any reason, the UCLG representative is not available, the EXCO members will elect a Chairperson for that meeting.

Consultative Group Meeting
Hanoi, Vietnam
1-2 November 2012

Support Document: Independent Evaluation Findings and Secretariat
Comments

Background:

The 2011 independent evaluation was commissioned by the CA Consultative Group and conducted during 2011 by COWI A/S of Denmark. The preliminary findings and recommendations were presented to the CG at the November 2011 annual meeting in Maputo. The Final Report was released to the full CG on April 16, 2012.

The key findings and recommendations are summarized in the table on the following pages, along with Secretariat comments and next steps to address issues raised.

Recommended Action:

Provide guidance to the Secretariat on the responses to the findings and recommendations, and on development of action plans to address the recommendations.

**2012 Independent Evaluation of the Cities Alliance:
 Evaluator's Key Findings/Recommendations, Secretariat Comments on
 Findings/Recommendations and Proposed Next Steps
 PROGRESS UPDATE (October 2012)**

FINDINGS & RECOMMENDATIONS	SECRETARIAT COMMENTS	F/U
<p>Key Findings: CA has succeeded in establishing a unique platform for international urban development cooperation, bringing together key actors including bilateral donors, multilateral organizations, associations and NGOs.</p> <p>New business model has strengthened CAs work and organization considerably through:</p> <ul style="list-style-type: none"> • Improved coherence of effort among members and other partners • Defining the concepts on which most partners agree. • The introduction of Country Program concept • Clearer governance structure • Focused and innovative knowledge production through JWP and potentially through catalytic fund. <p>Although new Business Model has improved work of CA, there is potential for further improvement, particularly in relation to development of more comprehensive strategies for advocacy, communication and knowledge and learning as well as in relation to the organization of the work.</p>	<p>The evaluation validates high relevance of the programme and positive changes made with the new business model that the Secretariat has proposed over past few years.</p> <p>It also confirms the Secretariat's views on the main areas needed for improvement.</p>	
Overall and specific findings relating to each of the evaluation criteria:		
Relevance - Key finding:		
<p>Objectives of CA and its programme design have been relevant from the outset and its activities are consistent with the needs of the beneficiary countries and cities.</p> <p>Strategic orientation towards activities aiming at systemic changes has been further developed through development of a theory of change and by the adoption of the new charter and the development of the draft business plan, with the four service lines which are all relevant for achieving CA objectives.</p>	<p>The strategic orientation will be further strengthened through adoption of a coherent results framework and more rigorous performance management system, both currently under development.</p>	
<p>CA's design is well suited towards incorporating new issues within urban development cooperation, especially through JWPs. This is e.g. the case in relation to the development of new knowledge on how CDS may respond to climate change challenges, both in relation to mitigation and adaptation.</p> <ul style="list-style-type: none"> - Effective advocacy is also dependent on the CA members advocacy activities and their political involvement - There is need for European representation of the CA. 	<p>The lessons/experience from the first round of JWPs should result in even more effective JWP instrument going forward.</p> <p>UCLG has proposed that members coalesce around an advocacy JWP that will lead up to Habitat III.</p>	

**2012 Independent Evaluation of the Cities Alliance:
Evaluator's Key Findings/Recommendations, Secretariat Comments on
Findings/Recommendations and Proposed Next Steps**

PROGRESS UPDATE (October 2012)

	The MENA JWP, with strong leadership from European members and targeting EU funding, could be a catalyst to mobilize European representation.	
CA's unique partnership approach, is relevant in relation to a number of international trends and conditions in urban development, especially: <ul style="list-style-type: none"> • Rapid increase in urbanization and number of slum dwellers • World-wide financial crisis, which intensifies the competition for development assistance between different development issues • Continuously increasing demand for improved aid effectiveness. 		
CA's work is complementary to other programmes, with no major overlaps. However, in relation to K&L activities there is need for more intensified collaboration, particularly in relation to WB and UN-Habitat.	More intensified collaboration will not only minimize overlaps, it also offers potential to increase coherence on knowledge supply side so as to increase effectiveness in delivery to demand side.	
Efficacy Findings:		
• Intended outcomes and objectives of the CA are unclear and not directly measurable, although important improvements are found with the results framework of the new business plan.	The objectives under the old Charter were less clear and measurable than those in the new Charter. A results framework with clear indicators will further improve this situation.	
• There is no consolidated capturing of progress achieved or outcomes in relation to the CA's overall objectives or objectives stated at business line or country programme level. Development of an appropriate M&E system is a key area of concern for the CA.	The CA's approach to progress reporting and capturing outcomes has been ad hoc. A Performance Management System is currently under development that will address this deficiency.	
Recommendation: Elaborate clear and concise strategic results framework: (pg. 69) A clearer strategic results framework agreed among the members would enhance focus on the internal logic in the program, provide a more specific mandate and be a good basis for communicating about the CA. This strategic results framework should consist of overall and operational objectives of each business line and means to achieve them, options and requirements for resource mobilization, CPP country selection criteria, target groups and themes for K/L and Advocacy.	Immediately after this recommendation was made at the Maputo CG meeting in Nov 2011, the Secretariat retained an experienced consultant to assist staff and the membership to finalize the results framework that has been in development in the CA for a several years. CG will be briefed on progress at its November 2012 meeting.	Actions under way
Achievement of overall objectives - Key findings:		
• Some progress in relation to achieving the overall	More progress probably would have been	

**2012 Independent Evaluation of the Cities Alliance:
Evaluator's Key Findings/Recommendations, Secretariat Comments on
Findings/Recommendations and Proposed Next Steps**

PROGRESS UPDATE (October 2012)

objectives has been made - in particular in middle-income countries.	found if the CA had a proper results monitoring and reporting system in place.	
• The CPP approach is promising in terms of achieving greater impact, but it is too early to determine the actual effects. M&E in respect to the CPPs will be important to keep them on track.	Plans for FY13 are to develop a results framework for each Country Programme, to be developed from within the overall CA results framework.	Actions under way
Commitment to and financing for urban development challenges in developing countries - Key finding:		
• CA has an important role to play but has not fully released its potential in relation to facilitating commitment to the urban development agenda. There is a need to devise a strategy for the advocacy work.	Agreed	Actions to be dev.
Little evidence of the achievements made by the CA in respect to retaining donors' and developing countries' commitment to continued financing of urban development and slum upgrading.	This is a valid observation. More systematic results reporting will help provide evidence. More self-reporting by CA members might be required. The on-going JWP on national slum upgrading case studies might also yield some evidence at developing country level.	
Country programmes Overall findings:		
• Country Partnership Agreements (CPAs) have been established in accordance with MTS although not in all countries planned	The Country Partnership Agreement was an innovation introduced in the MTS (and established initially for Brazil and Philippines), but subsequently evolved into Country Programmes, a more structured and member-driven instrument.	
• Projects have been successfully implemented in line with CPAs, including Brazil and Philippines, but due to lack of consolidated data, it is not possible to determine outcomes at programme level.	This is a valid observation. More systematic results reporting will help.	
<p>• The CA has made good progress in establishing and implementing CPPs</p> <p>CA has developed and described the CPP concept in the business plan and has embarked on the development of CPPs in Uganda, Ghana, Burkina Faso, Mozambique, and Vietnam, Uganda being the most advanced. Uganda CPP:</p> <p>Important achievements:</p> <ul style="list-style-type: none"> - Increased political awareness at national/local level about urban problems/recognition of the needs of urban poor. - Developed strategies/direction for urban development. <p>Created new working relationships between the national government/municipalities and local communities.</p>		

**2012 Independent Evaluation of the Cities Alliance:
Evaluator's Key Findings/Recommendations, Secretariat Comments on
Findings/Recommendations and Proposed Next Steps**

PROGRESS UPDATE (October 2012)

<ul style="list-style-type: none"> - Established better data on real situation in the five municipalities. - Created forums enabling public participation. - Created saving schemes in the five municipalities. 		
<p><i>Recommendation: Reconsider monitoring and reporting arrangements for the CPPs: (pg. 71)</i></p> <ul style="list-style-type: none"> - CA to discuss with partners involved in CPPs on how to set up monitoring and reporting - Add regional advisors who are devoted to one or several CPPs in their region, devote staff members and travel budget to CPPs, and/or outsource through hiring consultants to monitor contract for CPPs. 	<p>The Secretariat will engage with members and local partners to establish results frameworks for country programmes during the course of FY13.</p> <p>The Secretariat is also learning from experience about what type of staff, consultant and member support is needed for CPs.</p>	Actions underway
<p>Projects - Key findings:</p>		
<ul style="list-style-type: none"> • Due to lack of M&E system systematically collecting data on achieved outputs and outcomes across projects, it is not possible to quantify outputs/outcomes and present an aggregated picture. 	<p>The Secretariat made some improvements in its annual reporting to Gates Foundation on the LSC programme, submitted in May 2012, and is setting up system to improve reporting.</p>	
<ul style="list-style-type: none"> • Data from reviews of samples of projects shows that, in general, projects were successfully generating planned outputs and outcomes in their local setting, which led to improved political awareness (often both at local and national levels) of urban development issues and methods for CDS/SU, capacity building of stakeholders involved, and sometimes to actual changes in institutional and legal frameworks. 		
<ul style="list-style-type: none"> • There was limited success in terms of creating coherence of effort 	<p>The research for this finding was in middle 2011. Coherence of effort is increasingly being realized in all the CPs, and is increasingly a focused objective.</p>	
<ul style="list-style-type: none"> • While local government associations were involved and benefitted from some of the projects, there is no data reflecting a 'systematic engagement' as was planned in the mid-tern strategy. 	<p>The research for this finding was in middle 2011. A systematic engagement with the City/LGA has been achieved in 4 of the first 5 LSC CPs. In addition, more systematic engagement is being pursued at the regional and global levels (eg, with UCLG and UCLGA).</p>	
<ul style="list-style-type: none"> • The MTS focused on increased client execution as a means to achieve increased ownership of cities and partners to the projects but CA has learned the client execution is not necessarily the means to this end. The CPP approach opens up new possibilities for increasing ownership, and builds on 		

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these lessons learned.		
<p>Recommendation: Develop a monitoring and evaluation framework: (Pg. 70) CA should develop the following fundamentals for the future monitoring and evaluation system:</p> <ul style="list-style-type: none"> • Key indicators and performance targets corresponding to strategic objectives, operational objectives and outputs • Performance review corresponding to business cycle • Annual progress reports providing assessment of progress in respect to targets set for the specific year • Progress and completion reports and impact assessment for CPPs and individual grants 	This recommendation is being proactively pursued.	Actions underway.
Knowledge and learning - Overall findings:		
<ul style="list-style-type: none"> • Increasing focus on K&L after MTS but not all planned outputs achieved. Knowledge management system/strategy prioritized in MTS has not materialized 	Agreed. Development of KM strategy and improved KM business processes is under development, targeting initially secondary cities in Africa, to bring more focus to the efforts. Central to the strategy is clear identification of primary audiences to be targeted (eg. city professionals in secondary cities). An expert consultant has been retained to assist both CA and UCLGA secretariats improve their knowledge packaging, dissemination and support efforts.	Further actions to be dev.
<ul style="list-style-type: none"> • A number of JWPs implemented which are appreciated by members and contribute to knowledge generation and coherence of efforts. 		
<ul style="list-style-type: none"> • Limited partner/member involvement in JWPs and the focus is on generation of knowledge rather than on dissemination and learning 	<p>Lessons of experience from first round of JWPs will be applied to future generations.</p> <p>Lack of strategic and systematic knowledge dissemination is a key deficiency. Improving this will be a priority during FY13-FY14.</p>	
<ul style="list-style-type: none"> • M&E strategy based on impact chains (as prioritized in MTS) not materialized, but results-based management indicators established in BP 	This is being addressed in development of CA results framework and performance management system.	
<ul style="list-style-type: none"> • A library is maintained but it is questionable whether it is making any significant contribution to K&L 	The library has allowed the Secretariat to better respond to ad hoc requests, but significant contributions will only be made when this is systematized. This will be key part of development of CA knowledge	

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	management systems over medium-term. New knowledge search function for CA website (expected during 2012) will be important improvement.	
Advocacy and communication - Overall findings:		
<ul style="list-style-type: none"> Although a communications and advocacy strategy was to be prepared according to MTS, no such formal documented advocacy/communication strategy has been put in place. Limited extent of advocacy activities at forums and events outside the CA/urban development community i.e. less focus on non-members and high-level political decision-makers 	<p>This is an acknowledged area where improvements are needed.</p> <p>The Secretariat will provide some initial proposals for focused attention.</p> <p>An increased CA presence in Europe could provide a platform for mobilizing members around an advocacy JWP.</p> <p>CG guidance is sought.</p>	Actions to be dev.
<ul style="list-style-type: none"> The website improved as planned in MTS, but it does not tell the full CA story. 		
<i>Recommendation: CA should further enhance cooperation with members on knowledge & learning and advocacy & communications. (Pg. 9)</i>	Agreed. EXCO guidance is sought.	Actions to be dev.
Efficiency:		
<p>Key finding: The mix of competencies in the secretariat covers the needs and ensures an effective management.</p> <p>The new business plan enhances efficiency by providing grants through the Catalytic Fund and CPP's instead of the open grant facility. However, WB administrative procedures are limiting the efficiency.</p>	Some additional skills might be needed in Secretariat related to improvement of knowledge management, communication & advocacy.	
<p>Overhead Costs - Key finding:</p> <p>CA's overhead costs are reasonable compared to other Global and regional partnership programmes.</p>		
Steps taken to reduce the costs and processing time include a change in the evaluation and approval procedures for applications to the Catalytic fund, compared to the procedures for applications to the previous Open Grant Facility.	Preliminary results from the first cohort of Catalytic Fund are that efficiency improvements have resulted.	
<p>Efficiency in grant making - Key findings:</p> <p>- There is scope for improvement in efficiency of grant making procedures</p>	WB procedures increasingly are limiting efficiency. Alternatives for small grant-making outside the WB are being explored.	

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<p>The CA has taken important steps, but prolonged grant making is caused by changed WB procedural requirements which are:</p> <ul style="list-style-type: none"> • Enforcement of World Bank Country Director concurrence for all country specific projects • Mandatory review by World Bank country Legal Teams of all grant agreements for country specific projects • Introduction of safeguards screening according to WB standards for all grants regardless of size • Requirement that all grants to government ministries must be signed by Minister of Finance or equivalent • Strengthened procurement procedures according to WB standards regardless of grant size. 	<p>While these procedural requirements might negatively affect grant-making efficiency, some also positively affect grant efficacy, such as increased effectiveness on the ground by ensuring tighter linkages with broader country assistance strategies.</p> <p>However, the overall impact in having an increasingly negative effect on efficiency.</p>	
<p>World Bank hosting of the Cities Alliance - Key finding:</p> <ul style="list-style-type: none"> • Although both positive and negative implications, the location of the CA Secretariat in the WB is an asset • There is no obvious alternatives to WB hosting of the CA 	<p>This finding was questioned by EXCO at its June 2012 meeting. The Secretariat was asked to explore if there were alternatives for hosting and location of the Secretariat. Finding from the Secretariat, to be presented to CG in November 2012, are that viable alternatives exist.</p>	
<p>- Operational guidelines need updating: Having clear, useful and applicable guidelines will work in favor of efficiency</p>	<p>Agreed. The operating guidelines of the programme need to be updated to reflect new Charter, business model and product lines. This is proposed as a FY13 deliverable for Secretariat and EXCO.</p>	<p>Actions to be dev.</p>
<p>Governance and management: Overall finding: The government and management structures and processes established in the new charter are well articulated and work well towards bringing about legitimate and effective governance and management.</p>		
<p>Legitimacy- Key finding: The programme has a high degree of legitimacy</p>		
<p>Legitimacy is ensured by the broad composition of the CG and by CA's ability to bring the voices of the poor into various decision making fora. However, cities could be better represented. Not necessarily by full membership of the CG for individual cities, but through either attracting more national city associations or by allowing individual cities to participate as associated members.</p>	<p>There does not seem to be consensus around this issue among CG members. This can be considered again as part of a review of CA membership, which EXCO asked of the Secretariat, especially with respect to representation of developing countries, and of U.N. organizations.</p>	

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Accountability - Key findings:		
• With the new charter, roles and responsibilities of various governing bodies are more clearly defined ensuring a high degree of accountability		
• There is a lack of "ownership" to the CA among (some) members	This can be reviewed as part of the Secretariat's review of CA membership. Increasing CA presence in Europe could partially address this finding.	
• Lack of clearly elaborated strategies in relation to some of the business lines, e.g communication and advocacy, and knowledge management	Agree. These will be addressed during FY13-FY14.	
• Lack of an effective M&E system is a problem for the accountability of the program	Agree. These will be addressed during FY13-FY14.	
Responsibility and Fairness - Key finding: The CA set-up adheres to the principles of responsibility and fairness:		
Poverty reduction is a core element of CA's objectives, and all the above mentioned norms are included in the MTS and the BP as well as in the criteria for evaluation proposals for the Catalytic Fund.		
Transparency: Key finding: The overall transparency of the CA is somewhat undermined by the lack of free access to key strategic documents on the organizations website.		
<i>Recommendation: CA should make more information available to non-members to increase transparency and enhance communication (Pg. 9)</i>	Agree. As a starting point, during FY13 the Secretariat will review all material on the "Members Page" of the CA website and determine which can/should be moved to public pages, in compliance with the WB's Disclosure of Information policies.	Actions to be dev.
Resource mobilization and sustainability Key finding: CA is vulnerable in relation to resource mobilization, which is threatening medium to long term sustainability:		
Both the core and non-core funding come from a small number of donors which makes the CA vulnerable. In the period from 2007 to 2011 the WB has accounted for 36% of the core funding. However, WB funding will decrease to \$ 500,000 membership fee as from FY 2014, which increases	Agree. This is a top priority of Secretariat management for FY13. The new business model and strategic plans now provide a solid foundation and framework from which to increase partnership effectiveness.	Actions to be dev.

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<p>the pressure on the CA to raise additional funding.</p>	<p>Any consideration for changing hosting and location of the CA partnership should resource mobilization as a factor.</p>	
<p><i>Recommendation: Continue according to agreed strategy and consider how to attract additional members and resources: (Pg. 69)</i> In order to further enhance legitimacy and increase client focus, CA needs to attract national associations of local government. This would be well in line with the CPP approach and also a support of the knowledge and learning business line, where these associations would be among the key partners.</p>	<p>The role of local government associations can be reviewed as part of the broader review of membership.</p>	

Consultative Group Meeting
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Support Document: CA in Action: A Partnership to Support Cities in Addressing Climate Change

Background:

In 2009 the Joint Work Programme (JWP) Supporting Cities in Addressing Climate Change Challenge comprised of the United Nations Environment Programme (UNEP), UN-Habitat and the World Bank facilitated by the Cities Alliance Secretariat was created. Its goal is to foster a more coordinated, focused and long-term response to the impact of climate change on cities, especially in developing countries.

In 2012, JWP members agreed to work on the contours of a 2nd phase for 2012-14. JWP members would like to take the opportunity to share the achievements of the 1st phase and considerations for activities in the 2nd phase.

Information on the Joint Work Programme is provided.

Recommended Action:

Review, discuss and provide guidance to the JWP for the 2nd phase



A Partnership to Support Cities in Addressing Climate Change

- *Cities are already more vulnerable to the impacts of climate change than at any other time in history*
- *Fifteen of the world's 20 megacities are at risk from rising sea levels and coastal surges*
- *The poor are more exposed to natural hazards than any other urban population group*

Climate change is increasingly affecting cities, and in a variety of ways. Impacts range from an increase in the frequency and intensity of extreme weather events such as heatwaves, to landslides and flooding. The urban poor, often living in flimsy housing in precarious locations with little or no access to basic services, face the maximum risk. Heavy rains can turn into disastrous floods, or a devastating mudslide, especially in a crowded slum settlement with poor drainage.

Globally, we still lack a binding international climate change framework to respond to these impacts. There is, therefore, an urgent need for cities to take on the responsibility of reducing the vulnerability and risk exposure of its residents, especially the poor - and increasingly, many cities are already taking action.

Nurturing a Strong, Strategic Partnership

In 2009, an important collaboration among Cities Alliance members was born to address the challenges posed by climate change. The Joint Work Programme (JWP) called *Supporting Cities in Addressing Climate Change Challenge* comprises the United Nations Environment Programme (UNEP), UN-Habitat and the World Bank, and is facilitated by the Cities Alliance Secretariat. Its goal is to create a more coordinated, focused and long-term response to the impact of climate change on cities, especially in developing countries. Over the years, the JWP has progressed in a manner that directly shapes the climate change agenda for cities of all sizes, in all regions.

Project: Supporting Cities in Addressing Climate Change Challenges: Enhancing Joint Work among Cities Alliance Members

Partners: United Nations Environment Programme (UNEP), UN-Habitat and the World Bank, facilitated by the Cities Alliance Secretariat

Duration: 2009 – 2011

Cities Alliance Financing: USD 500,000

Through close and regular engagement, the JWP concentrates its efforts on five areas: knowledge management, operational support, monitoring, awareness raising and coordination. Seed funding of USD 500,000 from Cities Alliance has helped leverage the impact of the other partners' contributions of approximately USD 5 million through better coordination and the development of joint outputs such as tools to assess climate risk.

Yielding Demonstrable Results

With the Cities Alliance as convener and facilitator, the combined efforts of UNEP, UN-Habitat and the World Bank have contributed to substantial progress in work on cities and climate change. One of the important contributions of the JWP is consensus building on a **protocol** to measure greenhouse gas (GHG) emissions. In the past, cities adopted different methods to measure emissions. The new protocol enables cities to follow a standardised

“What worked for the JWP was that coordination happened.”

Soraya Smaoun, UNEP

approach, making analysis and learning across cities

easier. In addition, a common, verifiable metric helps attract additional finance for cities grappling with limited funds for climate change adaptation and mitigation.

The JWP has also led to the creation of useful tools for better urban management in the context of climate change. The **Urban Risk Assessment** provides cities with a common framework to assess disaster and climate risk for better decision making, urban planning and risk management. A dynamic **Mayors' Task Force on Climate Change, Disaster Risk and the Urban Poor** has been created to support city leaders as they attempt to understand these issues, identify good practice examples, and propose policy and investment programmes to improve the resilience of the urban poor. An online **Knowledge Centre on Cities and Climate Change** (K4C) serves as a platform for sharing knowledge and best practices.

Soraya Smaoun (UNEP) sums up the success of the JWP: “What works for the JWP is that coordination happened. All too often organisations agree to coordinate – but in practice it is difficult. It is the personal commitments that make a difference, and the JWP offers that opportunity.”

Lessons Learned from the JWP

The climate change agenda provides a powerful opportunity for an enhanced focus on improving urban governance, slum upgrading and municipal service delivery. The JWP has successfully promoted this message in all its activities. Looking ahead, the collaborating agencies must focus on the operationalisation and implementation of knowledge generated as a result of its efforts, as well as coalition building. It is essential to build coalitions among stakeholders to foster the mainstreaming of climate-sensitive planning and financing mechanisms in cities.

Over the years a number of tools and climate indices have been developed, and consensus building is essential in order for those tools to become effective at the local level. Consensus needs to be built within the partnership, and among other relevant stakeholders, on the climate tools that can enable cities to adapt, implement and use standardised tools

and indices. This also helps cities reduce their operational transaction costs.

Finally, there is a growing trend among cities and local government organisations to unite on global issues, making them crucial operational partners internationally. These groups of Mayors - some of whom oversee cities with budgets larger than those of many countries - hold significant power in environmental matters. They also contribute to the implementation of climate agreements and shape policies at the global, national and local level. If we are to achieve greater impact in the global and local response to climate change, there needs to be enhanced alignment and coordination between the different existing partnerships and local government organisations.

The JWP on Climate Change contributes to the long-term objectives of the Cities Alliance by:

- Putting cities in the focus of a global action coalition to respond to climate change
- Showcasing the positive effects of successful consensus building in a global partnership
- Demonstrating the important role of knowledge transfer for improving the quality of urban development cooperation

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Support Document: MENA Joint Work Programme Update

Background: *Meeting in Rome, 7 September 2012.* Following the meeting in Tunis 30 May 2012, and the agreement to formulate a Tunisia Country Project as part of the Regional JWP, the members met again in Rome. The Rome meeting was an opportunity to sustain the momentum built in Tunis—with the Tunisian representatives attending the meeting—which solidly anchored the JWP process into a demand-driven approach.

The current Joint Work Programme members are: Agence Française de Développement (AFD), the French Caisse des Dépôts (CDC), the French Ministry of Foreign Affairs, the German Federal Ministry for Economic Cooperation and Development (BMZ), the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the Italian Ministry of Foreign Affairs, MedCities, UN-Habitat, United Cities and Local Governments (UCLG), and The World Bank.

Recommended Action:

For information

Cities Alliance

Cities Without Slums

MENA Joint Work Programme Updates to EXCO and CG

October 12, 2012

I. Background

Recognising the historic importance of the events associated with the Arab Spring and the dangers of fragmented responses, a number of European members of the Cities Alliance called for the development of a longer term, co-ordinated programme for the Middle East North Africa (MENA) region. Subsequently, an agreement was reached with the Marseille-based Center for Mediterranean Integration (CMI) to develop an unprecedented Joint Work Programme that combines the efforts of both partnerships.

The primary objective of the MENA Joint Work Programme is to strengthen the process of democratisation and inclusiveness that cities of the region have already begun. It offers support guided by a long-term view and delivers partnership frameworks, targeted technical assistance, knowledge transfer, and advocacy. Programme activities revolve around three thematic pillars: (i) strengthening cities for inclusive economic growth; (ii) creating accountable cities and towns through participatory governance; and (iii) promoting subsidiarity.

The current Joint Work Programme members are: Agence Française de Développement (AFD), the French Caisse des Dépôts (CDC), the French Ministry of Foreign Affairs, the German Federal Ministry for Economic Cooperation and Development (BMZ), the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the Italian Ministry of Foreign Affairs, MedCities, UN-Habitat, United Cities and Local Governments (UCLG), and The World Bank.

II. Recent updates

1. Meeting in Rome, 7 September 2012. Following the meeting in Tunis 30 May 2012, and the agreement to formulate a Tunisia Country Project as part of the Regional JWP, the members met again in Rome. The Rome meeting was an opportunity to sustain the momentum built in Tunis—with the Tunisian representatives attending the meeting—which solidly anchored the JWP process into a demand-driven approach.

The main objectives of the Rome meeting were to endorse the overall operational framework outlining the Regional Joint Work Program and to further discuss Tunisia as the initial country where to engage on a potential set of common activities. In preparation for the meeting, the CA and CMI Secretariats circulated two documents: (i) a draft framework document for the regional Joint Work Programme, including an indicative project implementation plan and budget; and (ii) a preparation draft document for a Tunisia Country Project, which set out some suggestions for collaborations based on a Tunisia needs assessment and a portfolio review of member activities.

The meeting adopted the Regional Framework document and its indicative budget with minor amendments. The Tunisia Country Project document, in particular the proposed activities, will be refined through further involvement and discussion with JWP technical experts. Once the document has been consolidated internally, it will be discussed with Tunisian counterparts.

The Rome meeting also formalised the Steering Committee (SC) of the JWP as the governing body for strategic and policy decisions regarding the programme. Finally, a fundraising strategy was elaborated, which is discussed in greater detail in Section III of this document.

2. Exchange of letters between CA and CMI. As agreed by members in a February 2012 meeting in Marseille, the MENA JWP will be jointly managed by the Cities Alliance Secretariat and the CMI. A task force with CA and CMI staff is being established to provide structured support to the members of the JWP and to effectively administer the implementation of jointly agreed activities. In view of the Rome meeting, the CA and CMI Secretariats have been formalising their partnership within the context of the JWP through an exchange of letters.

3. Diagnostic tools. Following discussion and endorsement at the Marseille meeting, JWP members agreed to three Tunisian proposals for macro-diagnostic work submitted by the World Bank in collaboration with AFD. These studies, which were requested by the Government of Tunisia, encompass analytical work on 'Decentralisation and Local Governance' (USD 100,000 financed by CMI), 'Municipal Finance' (USD 100,000 financed by CMI) and an 'Urbanisation Review' (USD 200,000 financed by Cities Alliance). This is the first set of activities initiated under the MENA Joint Work Programme. After the Terms of Reference were drafted, three consultation workshops were organised in Tunis on 14 June 2012 to share and discuss these documents, in line with the participatory approach advocated by the JWP. Following clearance by the Tunisian counterparts and representatives, consultants have been recruited and the studies launched

III. Next steps

1. Fundraising. As agreed upon by JWP members in Rome, a concerted fundraising strategy should begin now that the Regional Framework document has been developed, discussed and adopted. It was agreed that out of many other potential interested parties, a dialogue with the European Commission will be sought first. EUCOM DEVCO will be approached by a high-level delegation led by the Governments of France, Germany and Italy and mediated by their permanent representatives in Brussels. The CA and CMI Secretariats are currently securing formal endorsements through exchange of letters with the above governments.

2. Enlarging the scope of the MENA JWP. Discussion will continue on launching a Country Project in a second country after Tunisia. Egypt is still seen as an option but Lebanon and Morocco are also under consideration due to more stable political conditions.

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Support Document: Sub-Saharan Africa Joint Work Programme Update

Background:

The Cities Alliance has identified sub-Saharan Africa as a priority region for the foreseeable future, and also agreed to broaden its focus to improve support to secondary cities, where the bulk of urbanisation is taking place. Many Cities Alliance members have their own significant portfolios in different African countries and cities, while a significant portfolio of CA funded activities has emerged during recent years.

This background document is the first step towards the development of a Cities Alliance Strategy for sub-Saharan Africa, which will be developed during the course of 2013.

Recommended Action:

For Discussion

1 Promoting sustainable and inclusive urbanisation in Sub Sahara Africa (SSA): towards a Africa Strategy of the Cities Alliance

1.1 Background

Africa's urbanization offers a unique opportunity to leverage economic growth and poverty reduction. Urban centres can increase productivity via agglomeration economies and technological innovation, increase household welfare through social mobility and human development, and promote institutional change. Research shows a positive relationship between urbanization and economic growth in most countries, including in SSA. Industrial and services sectors, which are primarily urban-based accounted for at least 60 percent, and averaged almost 80 percent of GDP growth in the SSA region between 1990 and 2003. However, many national governments still view urbanization as a problem to be addressed rather than an inevitable trend that contains enormous potential social and economic benefits, if anticipated and properly managed. The potential of urbanization-driven policies, which have been at the core policy debate in parts of East Asia and, belatedly, in Latin America, has been overlooked in many SSA countries. However, there are recent signs of important policy shifts in some African countries, indicating that a coherent and co-ordinated policy response from international development agencies could have a positive impact.

For its part, the Cities Alliance has identified sub-Saharan Africa as a priority region for the foreseeable future, and also agreed to broaden its focus to improve support to secondary cities, where the bulk of urbanisation is taking place. Many Cities Alliance members have significant portfolios in different African countries and cities. Likewise, recognising the opportunities that the current urbanization process may offer for poverty reduction and sustainable development in SSA, a significant portfolio of CA funded activities has emerged during recent years. These activities can be categorized around three levels of intervention.

At the regional level

- √ A Joint Work Programme with United Cities And Local Governments of Africa (UCLGA) to catalyze a policy debate on creating effective environments that will enable cities to become productive, sustainable, inclusive and bankable. This Work programme includes the nascent City Enabling Environment (CEE) approach, which could be instrumental in framing the city debate in Africa;
- √ The State of Cities Reports programme with the African Centre for Cities (ACC) and UN-Habitat building capacity for locally managed data about cities in region, starting with Tanzania, Ghana and Ethiopia;
- √ The Quick Guides on Housing the Poor in African cities, developed in partnership with UN Habitat, to provide guidance to policy makers at national and local levels;
- √ The Urban Back Up Initiative by BMZ providing directly targeted support to cities and city/LGAs in the region, starting with Ghana and Ethiopia.

- √ A Joint Work Programme with the World Bank, Africa Region, Urban & Water Division (AFTUW leveraging investments on catalyzing national policy making for urban development)
- √ Joint Work Programme with WBI, GIZ, IDB and GIZ on an analysis and assessment of national slum-upgrading policies in 15 countries; and
- √ Collaboration with the Association of African Planning Schools (AAPS), and the Rockefeller Foundation, on the development of a new curriculum for African planning schools.

At the national level

- √ A concerted and joined approach within the four on-going Country Programmes in the region (Burkina Faso, Ghana, Mozambique and Uganda)
- √ Significant portfolios in Ethiopia and South Africa; and
- √ A Nigeria Urbanisation Review to be undertaking in partnership with the World Bank, DFID and Government of Nigeria.

At the city level

- √ A rich portfolio of experience from 36 completed CA projects on slum-upgrading and CDS in SSA; and
- √ Around 20 ongoing CA projects on slum-upgrading and CDS in SSA

However, building upon this portfolio, the Cities Alliance has a very solid platform and a unique opportunity to leverage existing knowledge and experience, and consolidate a more systematic approach. This would focus on, *inter alia*,

- √ Addressing the weak follow-up activities of co-funded City Development Strategies (CDSs) and Slum-upgrading plans, such as investment activities;
- √ The need to further improve the CA portfolio in Francophone countries;
- √ The need to strengthen the involvement of national government commitment, particularly in CA activities at the city level;
- √ Identify the enormous potential for synergies between parallel activities across the region; and
- √ The development of a coherent advocacy strategy for upcoming key events, such as Post MDG and Habitat III.

Formulating an overarching strategic framework for activities in Africa is considered as an effective way to close these gaps. Building upon the richness of already existing portfolio funded by the Cities Alliance as well as by CA members, there is a great opportunity for synergies to be leveraged.

Following decisions of the Cities Alliance Consultative group, the CA Secretariat has commenced the process of engaging with CA members to build a coherent strategic framework to enable concrete interventions and action plans to emerge. The presented framework is therefore part of a broader consensus among members of the Cities Alliance for scaling up support for the urban sector in SSA, as endorsed at the November 2010 meeting of the CA Consultative Group.

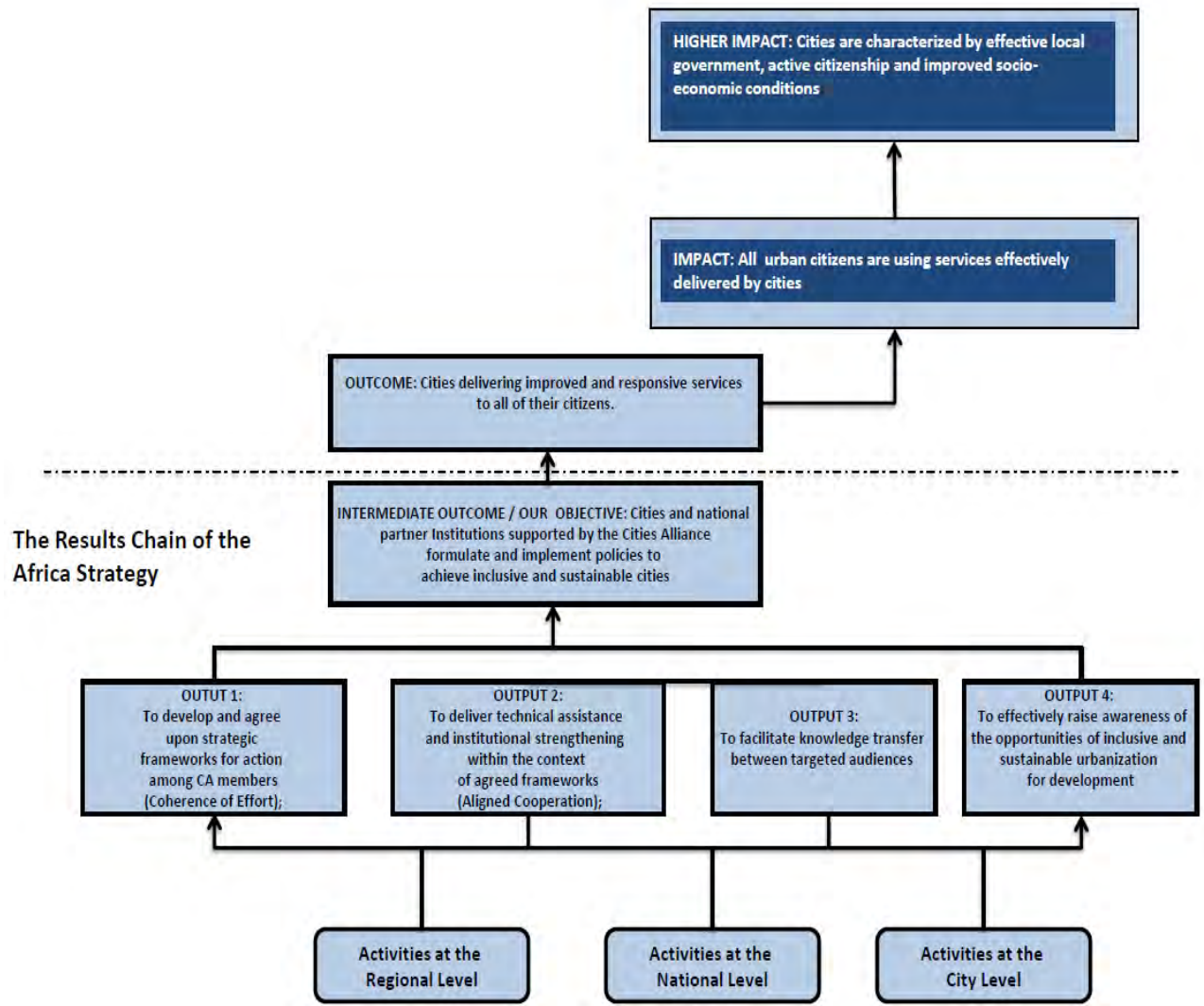
1.2 Key Objectives and outputs

The strategy aims to improve the relevance, impacts, efficiency and efficacy of on-going and future CA-funded activities in the region, identify and address key strategic gaps in assistance where the Alliance has comparative advantages to deliver, and mobilize and support CA members to fill these gaps. The Secretariat envisages the establishment of a Cities Alliance Africa Strategy involving those members with an active portfolio and interest in sub-Saharan Africa, and spearheaded by the leadership provided by Cities Alliance's African members.

The overall development objective is therefore **to support cities and national partner institutions in Sub Sahara Africa to design and implement policies to achieve inclusive and sustainable cities.**

To achieve this objective, the strategy is following four distinct outputs

- OUTPUT 1. Build up and sustain a framework for increasing impacts of existing member operations (Increased Coherence of Effort);
- OUTPUT 2. Support members in developing the capacities of partners in cities and connect them with each other, and with international agencies (Aligned Technical , Financial and Institutional Collaboration);
- OUTPUT 3. Facilitate the exchange of experience, approaches and tools from the wealth of CA members experience and their partner institutions in SSA, including their own cities (Knowledge & Learning);
- OUTPUT 4. Support partner cities in promoting the opportunities of inclusive and sustainable urbanization for development and mobilize additional key partners and financial resources to support activities conducted by CA members and their partners (Advocacy & Communication).



1.3 Elements of an Action Plan

1.3.1 Build up and sustain a framework for increasing impacts of existing member operations (Increased Coherence of Effort)

- √ Develop and agree upon Action Plans among CA members on joint activities at the regional and national level across the region;
- √ Identify and agree upon thematic and country specific priorities;
- √ Provide a permanent space for exchange and programmatic platforms for building synergies between CA members and partners so as to improve the quality of urban development cooperation and lending.

1.3.2 Support members in developing the capacities of partners in cities and connect them with each other, and with international agencies (Aligned Technical Collaboration)

- √ Strengthen the methodology for selecting Country Programmes
- √ Provide TA funding for CA members to support Governments to develop and establish an enabling institutional environment for cities to plan for urban sustainable growth.
- √ Provide TA funding for CA members to support cities to improve performance, inter alia through city development strategies and citywide and nationwide slum upgrading programmes
- √ Enable cross-country peer learning mechanisms on ongoing national reform initiatives in support of local governments and sustainable urban planning

1.3.3 Facilitate the exchange of experience, approaches and tools from the wealth of CA members experience, including their own cities (Knowledge & Learning);

- √ Provide an in-depth review of existing and past portfolio in Sub Saharan Africa and identify potential implementation gaps for follow-up;
- √ Provide knowledge, tools, lessons of experience and other instruments that can be used by CA members to help support cities and their associations and other networks in the region to strengthen their capacity to deliver in their enhanced role.
- √ Finalize and agree upon a knowledge dissemination strategy for Sub Sahara Africa (see Annex);
- √ Populate CA knowledge repository from CA-funded projects to feed into existing dissemination channels. Other products from CA members could also feed into the Africa dissemination system.
- √ Build-up an information distribution channel (e.g. newsletter, info packages, etc) for government decision makers for advocacy and how-to tools (e.g., planning for rapid urbanization; promoting role of cities and fiscal decentralization; financing local investments) using CA members' experiences. Subscriptions could be marketed to city and

local government associations and other networks supporting cities in Africa, including the network of CA members active in the region. The subscriptions could be marketed by UCGLA at no cost to its member associations.

1.3.4 Support partner cities in promoting the opportunities of inclusive and sustainable urbanization for development and mobilize additional key partners and financial resources to support activities conducted by CA members and their partners (Advocacy & Communication).

- √ Organize a series of advocacy and dissemination events promoting already available key products of the Cities Alliance and their partners on Slum-upgrading and City Development Strategies
- √ Partner up and build synergies with existing advocacy campaigns on sustainable urbanization in Africa
- √ Provide a platform for discussion on Post MDG targets with a particular focus on national and local capacity needs in selected countries

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1.4 Key Partners

- UCLGA, AfD/French MFA, BMZ/GIZ, Norway, Sweden, Italy, UNH, WB, SDI
- Governments of Brazil, Burkina Faso, Ethiopia, Mozambique, Nigeria, South Africa, and Uganda.

1.5 Indicative Activity Plan for 2013 (BMZ funding)

Outputs and Activities	DELIVERABLES	POTENTIAL IMPLEMENTATION PARTNERS	INDICATIVE BUDGET ALLOCATION (USD)
<i>I. Build up and sustain a framework for increasing impacts of existing member operations (Increased Coherence of Effort)</i>			
Kick-off workshop with interested members and partners	Definition of overall guidelines and cornerstones of the elaboration of the strategy	CA, BMZ	30.000 (workshop)
Setting-up of a Cities Alliance Africa Group to guide the Strategy	Guidance/inputs given at all critical steps		30.000 (consultants)
Operationalisation of the Africa Strategy	Specific guidelines and Action plans for each output are developed by a Consultant	Tbd	40.000 (Consultant)
Discussion and Endorsement of the Guidelines and Action Plans	Guidelines and Action plans are presented among members and partners and endorsed	Tbd	30.000 (Workshop)
<i>II. Support members in developing the capacities of partners in cities and connect them with each other, and with international agencies (Aligned Collaboration)-</i>			
SSA Inclusive Cities South-South Knowledge Exchange	Web-based platform	WBI, CA, SDI	10.000 (Administration)
Building on the Country programme experience	Main lessons discussed and shared by key members and partners involved	CA and national governments involved	50.000 (workshop)
Exploring partnerships with State-owned regional institutions (AfDB, UEMOA, ECA, etc.)	At least one Joint work programme identified and formulated	CA	20.000 (travel costs and meetings)

III - Facilitate the exchange of experience, approaches and tools from the wealth of CA members experience, including their own cities (Knowledge & Learning)

Translation and dissemination of Sourcebook on Urban Slums Dissemination in SSA	French version of the Sourcebook on Urban Slums available online and hard copies	WBI	20.000 (Translation and Publication cost)
Scaling Up Slum Upgrading and Prevention through National Policies and Programmatic Approaches	Knowledge products on the study are produced in English, French and Portuguese	WBI/GIZ/UN Habitat/Brazil	30.000 (Publication costs)
Translation and dissemination of main CA substantive documents	French versions of the documents available on line and hard copies	CA	60.000 (translation and publication costs)

IV Support partner cities in promoting the opportunities of inclusive and sustainable urbanization for development and mobilize additional key partners and financial resources to support activities conducted by CA members and their partners (Advocacy & Communication)

Scaling Up Slum Upgrading and Prevention through National Policies and Programmatic Approaches	Two dissemination events on the results of the study are organized (Europe and SSA)	WBI/GIZ/UN Habitat/Brazil	60.000 (Workshop)
Debating the way forward on CA ongoing knowledge activities and products (CEE rating, Study on Secondary cities	Dissemination events are organized	CA, Involved partners	60.000 (workshops)
<u>Overheads and Administration costs</u>			60.000
<u>TOTAL</u>			500.000

2 Annex

