Country Programmes

Guidelines

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Index

[Acronyms and Abbreviations 3](#_Toc355260265)

[1 Concept and Key Characteristics 4](#_Toc355260266)

[1.1 Principles 5](#_Toc355260269)

[1.2 Objectives 5](#_Toc355260270)

[1.3 Partners 6](#_Toc355260271)

[1.4 Indicative Activities, Outputs and Outcomes 7](#_Toc355260272)

[1.4.1 Activities and Intermediate Outcomes 7](#_Toc355260273)

[1.4.2 Expected Outcomes and Impact 7](#_Toc355260274)

[2 Initiation 9](#_Toc355260284)

[2.1 Geographic Focus 9](#_Toc355260285)

[2.2 Country Identification 9](#_Toc355260286)

[2.2.1 Country Identification Criteria 10](#_Toc355260287)

[2.2.2 Collaborative Programme Design 11](#_Toc355260288)

[2.3 Concept Note 12](#_Toc355260289)

[2.4 Framework document 12](#_Toc355260291)

[3 Appraisal 13](#_Toc355260292)

[3.1 Initiation of Proposals under the Framework Document 13](#_Toc355260293)

[3.2 Fiduciary review 14](#_Toc355260294)

[3.2.1 Financial Management 14](#_Toc355260295)

[3.2.2 Procurement 14](#_Toc355260296)

[3.2.3 Safeguards 14](#_Toc355260297)

[4 Approval 15](#_Toc355260298)

[5 Grant Set-Up and Disbursement of Funds 16](#_Toc355260299)

[5.1 Memoranda of Understanding and Grant Support Agreements 16](#_Toc355260300)

[5.2 Creation of Records 16](#_Toc355260301)

[5.3 Disbursement Package Preparation 16](#_Toc355260302)

[5.4 Grant Effectiveness 16](#_Toc355260303)

[6 Supervision, Monitoring and Evaluation 17](#_Toc355260304)

[6.1 Reporting 17](#_Toc355260305)

[6.2 Performance Monitoring System [to be developed] 17](#_Toc355260306)

[6.3 Disclosure policies and record retention [to be developed] 17](#_Toc355260307)

[ANNEX A Country Programmes Flow Chart [to be developed] 18](#_Toc355260308)

[ANNEX B Country Programmes Application Template 19](#_Toc355260309)

[ANNEX C Country Programmes Concept Note Template [to be developed] 26](#_Toc355260310)

[ANNEX D Country Programmes Framework Document Template [to be developed] 27](#_Toc355260311)

# Acronyms and Abbreviations

CA Cities Alliance

CDS City Development Strategy

CG Cities Alliance Consultative Group

CP Country Programme

LICs Low-income countries

M&E Monitoring and Evaluation

MICs Middle-income countries

MTS Medium-Term Strategy

NGO Non-governmental organisation

PMS Performance Monitoring System

SDI Shack/Slum Dwellers International

SOP Cities Alliance Standard Operating Procedures

SSA Sub-Saharan Africa

TM Cities Alliance Task Manager

UCLG United Cities and Local Governments

UN United Nations

UNOPS United Nations Office for Project Services

# Concept and Key Characteristics

1. The developing world is experiencing significant and transformational demographic shifts. Over the next two decades, hundreds of millions of poor people will find their way to cities of all sizes, seeking a better life for themselves and their descendants. Between 2000 and 2030, the urban population of Asia is expected to jump from 1.36 billion to 2.64 billion, and that of Africa from 294 million to 742 million.
2. While there is often a focus on the megacities of the world such as Lagos, São Paulo, Mumbai and Cairo, most of this urbanisation will actually take place in small and medium-sized cities. For example, in Ethiopia – Africa’s second most populous country and one of the world’s poorest – the bulk of urbanisation will take place in some 800 small towns. Such towns have very real resource constraints, adding a further dimension to the challenge.
3. Within this context, it is critical to focus on two essential challenges which, if left unchecked, will have multi-generational consequences:

* Current patterns of urbanisation are extremely inefficient, wasteful and dysfunctional; and
* The urban and urbanising poor are marginalised and exploited in this process.

1. One of the most important contributing factors to dysfunctional urbanisation is the negative response of local and national governments to urban growth. Many governments believe that urban growth can be curtailed, while some have even attempted to control rural-urban migration flows. Most, if not all, of these attempts have ended in utter failure. The impact of these failed responses is evident in the growth of slums throughout Africa and Asia; the poor are increasingly excluded and relegated to the margins of society, denied access to land, services or legal recognition.
2. After over a decade of working towards sustainable urbanisation, the Cities Alliance believes that the ongoing, systematic extension of land, services and citizenship to the world’s urban poor is the most urgent and essential pre-condition for cities to benefit from the urban transition.
3. A number of developing countries have recently begun to explore policy changes that anticipate an urban future. It is vital that these countries are encouraged to implement bold new approaches that will allow their cities and countries to respond to the needs of existing slum dwellers, and simultaneously anticipate the needs of future urban dwellers.
4. At the same time, few effective strategies have been developed that provide the poor with sufficient quantities of land to settle and develop, or for commercial development, health, education or other services. The most important enabling strategy for the creation of affordable housing in developing-country cities is one that makes land available for people to settle and progressively build their homes, and where services can gradually be provided. Moreover, the rights of the urban poor to the city and its services must be acknowledged through the extension of citizenship.
5. With positive and forward-looking policy approaches based on these principles, significant steps can be taken at the national, local and community levels to capture the benefits of urbanisation, and provide a framework within which cities can be seen as vital players in the social, economic and political transformation of the country.
6. These concepts are at the heart of the Cities Alliance’s Country Programme (CP) model, through which a country’s national and local governments can engage with Cities Alliance members on a significant, long-term basis. One of the partnership’s four main Business Lines, CPs are longer-term and programmatic approaches to addressing the specific urban development needs of a selected country, in the context of rapid urbanisation and the growth of urban poverty. They also promote the development of inclusive cities.

## Principles

1. While each Country Programme is developed according to the specific national context, it is guided by a set of core principles that build upon key lessons learned through years of accumulated global experience of the Cities Alliance:
2. **Long-term, pro-poor programming**, where urban programmes are strategically developed to ensure city governments are better able to effectively address urban growth and poverty reduction.
3. **Collaborative programme design**, whereby the partners are engaged and mobilised in support of a jointly designed programme of support. The CP seeks to coordinate and align efforts towards common objectives, link to past and current initiatives of members and partners, and foster client ownership.
4. **Multi-sectoral, aligned approach**, that seeks to bring national government policies, city development processes and community activities across sectors into alignment in support of integrated urban development.
5. **Building long-term institutional capacity**, by engaging and investing in national, regional, local and community institutional structures, including universities, to ensure meaningful national capacity to implement programmes on a sustainable basis.
6. **Engaging for systemic change and impacts at scale,** by supporting the emergence of an appropriate policy framework, and the institutionalisation of dialogue between citizens and government[[1]](#footnote-1), building upon both local knowledge and global good practice, at local and national levels.

## Objectives

1. Country Programmes support the emergence of a more effective urban agenda centred on sustainable, inclusive cities.**[[2]](#footnote-2)** Towards this end,Cities Alliance support focuses on improving the quality of relationships and coherence of effort among national and local governments, urban poor communities, CA members and other partners.
2. In accordance with the Paris Agenda, coherence of effort is defined by three key elements: (i) strong city and national government ownership; (ii) alignment with the overall national poverty framework and with urban strategies at the national, local government, and community levels; and (iii) harmonisation among CA members’ activities on urban development in the country/city and with other national or international development partners.
3. To improve ownership, alignment and harmonisation of urban assistance in a given country, CPs have two inter-related components:

* A **Framework** to enhance the cooperation system in a given country among national and local governments, urban poor communities, Cities Alliance members and other partners; and
* **Funding** to complement CA member and partner activities by filling action or knowledge gaps.

1. While the fundingfor CPs is modest, the framework is intended to enable a vast number of stakeholders to align their efforts and finance towards common objectives. It is designed to facilitate domestic (and international) public and private investment into the urban sector by providing a clear policy and institutional framework enabling a wide range of organisations to find the institutional hooks on which to hang support programmes.

## Partners

1. Partnership lies at the core of a Country Programme and is the key instrument for achieving coherence of effort. Partnerships are brokered around the shared objectives and commitment to supporting the emergence of a more effective urban agenda centred on sustainable, inclusive cities.The shape and form of a country partnership will depend on the specific context of each country, but will always be in support of the national urban agenda.Partnerships are brokered at four different levels.
2. **National primary partners**: Every CP invests in promoting a partnership between three key primary partners – national government, city governments and urban poor communities. This partnership is brokered around the joint objectives of alignment and ownership, such that national policy creates the enabling environment for city governments to better serve their citizens and that urban poor communities are in turn empowered to maximise the opportunities provided by improved service delivery.
3. **National support partners**: CPs identify national/local organisations that play a supporting role to the primary partners, including local government associations,[[3]](#footnote-3) training institutes, academia, NGOs and the private sector and will invest in building partnerships that improve the quality or widen the scope of the support given to the primary partners.
4. **Cities Alliance Members**: CPs invest in the mobilisation of Cities Alliance Members to seek common purpose among them and to ensure that the Cities Alliance as a partnership coherently engages with the national partners with a high quality support programme.
5. **Other international support partners**: CPs develop a set of institutional arrangements that enable an array of additional partners to effectively engage with the national urban agenda. Any international NGO, private sector company, foundation or academic institution can strengthen the national urban agenda and gain access to these partnerships by identifying a point of access and demonstrating common purpose.

## Indicative Activities, Outputs and Outcomes

### Activities and Intermediate Outcomes

1. By principle, the Country Programmes are implemented through implemented through partnerships (output 1, of the Cities Alliance Results Framework). In a Country Programme, the channeled Technical Assistance (output 2) builds up to a comprehensive approach that jointly with CA members deliver the four main intermediate outcomes of the Alliance as defined in the Results Framework:
   1. National policy frameworks developed and/or enhanced to address urban development needs;
   2. Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised;
   3. Mechanisms to engage citizens in city/urban governance developed; and
   4. Capacities of cities in governance and management strengthened.
2. As a Business Line of the Cities Alliance, Country Programmes are unique in that, because of their comprehensive nature, they deliver on each of these four Intermediate Outcomes. While the exact activities vary from one programme to the next because they are defined by partners in-country to fit the specific context, they draw on a menu of activities within the core competencies of the Cities Alliance.
3. Given the nature and scale of the urban transformation, a combination of national policy dialogue and policy preparation[[4]](#footnote-4), as well as city development strategies[[5]](#footnote-5) and city-wide slum upgrading strategies[[6]](#footnote-6), are the key support offered through the Cities Alliance. The further focus is on linking these strategies with processes at the national level and at the community level for greater alignment and synergies. The types of activities and outputs that constitute a Country Programme are included in Table 1.

### Expected Outcomes and Impact

1. By moving away from shorter-term, ad hoc initiatives and adopting a longer-term, programmatic approach, CPs are expected to support sustainable impacts at scale.
2. The Partnership of Cities Alliance members is responsible for delivering the four Intermediate Outcomes listed in Table 1 as part of a CP. These Intermediate Outcomes are intended to result in ‘Cities increasingly characterised by effective local government, active citizenship, and delivering improved and responsive services to the urban poor’, the overarching Outcome of the Cities Alliance Results Framework.
3. Specifically, Country Programmes contribute to this Outcome by achieving the following:

* National policies that enable pro-poor city development adopted;
* Cities access increased investment for an inclusive and resilient future;
* Increased recognition of the urban poor and their needs; and
* Capacity and influence of institutions is in place to sustain the urban agenda.

**Table 1: Intermediate Outcomes and Activities of a Country Programme**

|  |  |  |  |
| --- | --- | --- | --- |
| **Intermediate Outcome 1: National policy frameworks developed and/or enhanced to address urban development needs** | **Intermediate Outcome 2: Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised** | **Intermediate Outcome 3: Mechanisms to engage citizens in city/urban governance developed** | **Intermediate Outcome 4: Capacities of cities in governance and management strengthened** |
| **Activity 1:** Establishing and maintaining a dialogue through national fora to garner citizens’ and municipal inputs and build a consensus around policy issues. | **Activity 1:** Establishing and maintaining a dialogue through municipal fora as a mechanism to share information, assess needs, broker partnerships, and negotiate development priorities. | **Activity 1:** Establishing, strengthening and promoting recognition of organisations of the urban poor at settlement, municipal and national levels. | **Activity 1:** Providing organisational-development support to cities and institutions mandated to steer the urban development agenda, incl. national gov’t, municipal associations and educational institutions |
| **Activity 2:** Supporting national partners to collect baseline, elaborate and submit policy paper and/or recommendations. | **Activity 2:** Elaborating City Development Strategies (CDS) and city-wide slum upgrading strategies that are inclusive and climate resilient through participatory planning processes | **Activity 2:** Establishing and maintaining a dialogue through settlement-level community fora as a mechanism to identify local development solutions. | **Activity 2:** Training city officials and representatives of other organisations mandated to steer the urban development agenda, incl. municipal associations. |
| **Activity 3:** Promoting resilient and inclusive cities and related pro-poor urban policies through advocacy and awareness activities. | **Activity 3:** Building partnerships, including with the private sector, to mobilise resources for implementing of city development and city-wide slum upgrading strategies. | **Activity 3:** Implementing community-led upgrading projects identified through local-level dialogue. | **Activity 3:** Conducting cross-learning exchanges for stakeholders and encouraging cross-country and city cooperation. |

# Initiation

## Geographic Focus

1. The Cities Alliance develops CPs primarily in low-income countries (LICs), with a focus on Sub-Saharan Africa (SSA).[[7]](#footnote-7) The fastest urbanising region in the world, SSA is set to double its urban population in the next 20 to 30 years, potentially creating a huge opportunity for governments that adopt enabling policies. While the spatial distribution and impacts of urbanisation will vary from country to country, most growth will take place in small and secondary cities, where capacity constraints are most extreme. However, the largest slums and pressures will be felt in the primary cities.
2. While the main focus of the CP approach is on lower income countries (LICs) in SSA, support is also extended to a limited number of middle-income countries (MICs) that have large populations of the urban poor and whose experience might be relevant to other LICs. Programming in MICs focuses on developing an asset base for South-South exchange and/or regional policy influence. A key element of the CP is the identification of examples that might be relevant in a different geographic context, including policy, planning practice and implementation modalities.

## Country Identification

1. The Cities Alliance prioritises working to develop CPs with those governments already committed to change and reform over time. Indeed, most of the countries where Cities Alliance support is required will have to consider fundamental reforms in order to overcome huge social, economic and infrastructural backlogs. A city that has 40, 50 or 60 percent of its population living in slums, un-serviced and socially excluded, does not have a ‘slum problem’ – it has a city problem. It is no real surprise that the Cities Alliance’s most effective work has been undertaken in cities in countries where a set of reforms is underway, or where there are very clear signs of a move towards reform.
2. Natural partners of the Cities Alliance CPs are, therefore, those governments that have already taken the decision (or are in the process of doing so) to decisively address the needs of their urban poor and have recognised that, in order to make this sustainable, it must be undertaken in the context of citywide or nationwide reforms.
3. Countries where CPs have the potential to achieve the greatest impact and to support activities that can achieve scale are identified using a set of criteria endorsed by the Executive Committee (EXCO) by which each country is ranked by the Secretariat (2.2.1). The list of potential countries is then submitted to the EXCO for discussion, review and final selection of the country(ies) that should be invited to participate in the programme. Once the country government indicates commitment and accepts the invitation, the Secretariat facilitates a collaborative design process (2.2.2) that brings together the various stakeholders in a series of engagements to develop a common understanding of existing programmes, gaps and priorities.
4. Interested countries with support from Cities Alliance member(s) and/or the Secretariat can motivate their selection to the Executive Committee by demonstrating the degree to which they meet or exceed these criteria with supporting information and analysis. Those low-income countries in Sub-Saharan Africa where CA currently has active projects, with a primary focus on countries with multiple grants, as well as other countries at the direction of EXCO, will be prioritised for analysis.

### Country Identification Criteria

1. The identification of countries by EXCO with whom the Cities Alliance works to develop CPs is guided by the following criteria:
2. **Demonstrated political commitment to the urban poor**

A key tenet of the Cities Alliance is to support governments that are already beginning to strategise for their urban future and which have a constructive attitude towards their urban poor. Evidence of varying degrees of this commitment includes:

* Clear political commitment to slum upgrading;
* Establishing targets and budgeting national (and local) funds for slum upgrading;
* Willingness to adopt a partnership and process approach to slum upgrading; and
* A commitment to providing opportunities for the urban poor.

1. **Empowered local government**

Effective urban development requires empowered local government. It is therefore necessary to consider the extent to which national government is committed to decentralisation and the mandating and resourcing of local authorities, which is evidenced through the following types of mechanisms:

* Legislative and regulatory frameworks for the transfer of authority to local governments;
* Transparent, predictable and formula-driven system for fiscal transfers; and
* Commitment to enhancing capacity of local governments to deliver on their mandates.

1. **Cities Alliance member engagement**

The CA works through its members. This is particularly important in a CP, which typically involves a number of CA members, each bringing their own specific skills and expertise. Both the quantity and quality of member engagement in the urban sector in a given country should be considered, as well as the willingness/interest to collaborate for greater impact. Ultimately, it is for the national and local government to specify what support is required, and to identify the members they wish to engage.

1. **History of past CA investment(s)**

Where appropriate, a CP builds upon and consolidates previous and current Cities Alliance activities in a given country. It is necessary to consider the outcomes (and impacts, if possible) of Cities Alliance investments, because CPs will consciously seek to build on successful projects, especially those that have already influenced changes in attitudes, policies, behaviours, and/or processes in the field of urban and city development.

1. **Local civil society**

In order to enable constructive dialogue, a CP is designed to create the space for organisations that represent the urban poor, and which are able to articulate the concerns, needs and expectations of the urban poor, as well as the positive contribution that they can make to urban development. Ideally, CPs are undertaken in a country with:

* Local NGO capacity with experience in urban programming;
* Local SDI or similar urban poor movement operational; and
* International NGOs with local urban programming experience.

1. **Investment leverage**

If cities are to become more inclusive they need to approach urban growth in a proactive and long-term manner, while taking steps to facilitate the citywide provision of basic municipal services. However, the real test of the planning and regulatory framework introduced by the local government will be the ability of the city to attract investment from a variety of sources, from the private sector to slum dwellers themselves. It is therefore necessary to consider the availability of:

* Potential to raise enhanced revenue from own sources through new instruments, institutional capacity building measures, municipal reforms and, not least, a willingness to collect;
* Domestic private sector, commercial investment;
* National or sub-national allocation on budget for slum upgrading and transparent, predictable and formula-driven systems for fiscal transfers;
* Loan(s) with urban investment components; and
* Donor support.

1. **National partnerships**

In the context of both utilising and building local capacity, it is important to mobilise a wide range of local partners. The potential for such partnerships is explored, including:

* Private sector, urban institutes, horizontal networks and local universities that can add extra institutional capacity;
* South-South cooperation agreements that are in place or in process; and
* Other funded urban programmes that can be integrated.

### Collaborative Programme Design

1. Once the country government indicates commitment and accepts the invitation, the Secretariat facilitates a collaborative design process to develop the initial pillars of the future Country Programme.
2. A collaborative programme design process is fundamental to the objectives of CPs. The process actively brings the national government and CA members together in a series of facilitated engagements with local authorities and organisations of the urban poor to develop a common understanding of existing programmes and priorities.[[8]](#footnote-8)
3. The dialogue among partners serves to collectively define the demand, establish a framework and inform how resources can best be utilised to:

* Build on and support existing government programmes and CA member and other initiatives currently underway;
* Strengthen the operational synergies between partners; and
* Fill defined programming gaps that will enable an integrated approach to supporting a policy of inclusive cities.

This type of process itself is an important method for building partnerships among diverse stakeholders in a given country, which will ultimately contribute to the achievement of the programme objectives.

## Concept Note

1. As a result of the country identification and the engagements with the relevant stakehodlers, a general Concept Note (Annex C) is developed through a joint forum of partners.The Concept Note broadly:

* **Defines objectives and activities.** Based on the situation analysis, appropriate activities are identified to maximise synergies and meet commonly agreed objectives. This process includes defining the geographic scope.
* **Clarifies roles and responsibilities.** Based on mandates, capacities and commitment of CA members and other country institutions, appropriate roles and partnerships are identified.

1. The Concept Note is finalised by the Secretariat and shared with all partners involved in the design process, as well as all Members of the Cities Alliance CG through Member coordination.[[9]](#footnote-9)

## Framework document

1. The Concept Note is then translated into a more detailed Framework document (Annex D). Original objectives and activities are verified and refined through the joint forum of partners, facilitated by the Secretariat. The Framework adds an important level of detail to the Concept Note. It further defines roles and responsibilities and allocates resources across activities of the proposed Country Programme. The Secretariat provides an indicative budget for the programme, and the amount of resources available from the CA. CA Members and other partners also indicate their expected contributions to the programme and identify those Members/partners who will play a leading role.
2. Country Programme Framework documents are endorsed by the national government and all Members and partners involved in the Country Programme and approved by the Consultative Group of the Cities Alliance on a no-objection basis. Following the endorsement and approval of the Framework, implementing partners (CA Members, national/local governments, institutes, NGOs etc., identified during the design process) develop specific individual proposals for the identified activities and submit them to the Secretariat.[[10]](#footnote-10)

# Appraisal

## Initiation of Proposals under the Framework Document

1. The identified implementing partners (CA members or other city/country partners) develop individual proposals as identified under the framework and submit them to the CA Secretariat in order to receive the funding. The proposals for discrete activities add yet another level of detail to what is outlined in the CP Framework and are developed using the Project Proposal Template (Annex B), with the support, as necessary, of the Secretariat.
2. **Appraisal of proposals.** The designated Cities Alliance Task Manager (TM) verifies that the individual proposals capture the agreed-upon objectives and activities outlined in the Framework. The TM also undertakes threshold screening of the proposals to ensurecompliance with general funding eligibility and selection criteria as well as safeguards requirements and facilitates the review of other fiduciary aspects by assigned specialists as needed in accordance to the relevant modalities and tools (see SOP Section 14 and Section 3.2 below). As appropriate, the TM may also ask for internal and external peer reviews of the proposal by experts.
3. A Threshold Screening Report is prepared for each proposal. The Threshold Screening Report includes: (i) the assessment of the proposal against predefined set of relevant criteria, and (ii) a summary of the relevant fiduciary findings emerging from the various assessments and any other relevant comment. For proposals that do not pass the threshold screening in accordance with the TM’s assessment, comments are sent to the applicant with feedback on what revisions may be needed to strengthen the application or address the identified gaps, including recommendations on procurement and FM matters and recommended technical and institutional mitigating measures against identified risks.
4. **Appraisal Completion.** For proposals that pass the threshold screening in accordance with the CA TM assessment, the proposal and the related Threshold Screening Report are sent to the CA Manager, with a copy to all relevant teams, recommending endorsement and clearance to proceed to the next steps. Once the report and the proposal are endorsed and cleared by the CA Manager, they are sent to the CG for Member coordination if the request is for an amount greater than US$75,000. If the request is under US$75,000 the CA Manager may approve the proposal directly[[11]](#footnote-11).
5. After Member coordination:

* If there are no comments, or if the comments do not have a material effect on the proposed activities/budget or other key aspects of the activity, a recommendation for final approval is sent to the CA Manager and/or the CG in accordance with authorisation levels stated in Section 3.2.
* If substantial comments and inputs from Member coordination are received, the TM consolidates them into a Summary, which is shared with applicants asking for further revision of the proposals. If the revised proposal is satisfactory, the TM sends a recommendation for final endorsement and clearance to the CA Manager highlighting how the issues raised were addressed. Final approval will then follow the authorisation levels and modalities stated in Section 4.

## Fiduciary review

### Financial Management

1. All CA grant recipients are required to maintain or cause to be maintained acceptable financial management arrangements (i.e. budgeting, accounting, internal control, funds flow, financial reporting, and auditing, and other risk management systems) that adequately reflect the operations, resources and expenditures related to grant funded activities. Such arrangements should provide assurance that the proceeds of the grant will be used for the purposes for which it was intended. And where feasible, these financial management arrangements should be integral to existing recipient’s institutional systems and processes.
2. CPs proposals are subject to afinancial management assessment of the Recipient organization based on the Integrated Assessment Framework (IAF). The assessment is part of the package that is submitted with the Threshold Screening Report. For additional details on assessment of financial management capacity during the appraisal process, see the SOP, Section 13, *Fiduciary Management of Grant Activities*.

### Procurement

1. CA grant recipients are expected to have acceptable procurement arrangements that ensure efficiency and cost-effectiveness, quality of goods and services, transparency, and fair competition.
2. CPs proposals are subject to aprocurement capacity assessment of the Recipient organization based on the Integrated Assessment Framework (IAF). The assessment is part of the package that is submitted with the Threshold Screening Report. For additional details on procurement assessment during the appraisal process, see the SOP, Section 13, *Fiduciary Management of Grant Activities*..

### Safeguards

1. The Cities Alliance is committed to ensuring that all activities it supports are environmentally and socially sound and that adequate mitigation measures for any potential adverse impacts/risks that may arise from the implementation of project activities are designed and implemented throughout the project life.
2. CPs proposalswill be screened by the TM for any potential adverse impacts/risks using the standard environmental and social screening tool (ISDS). The assessment is part of the package that is submitted with the Threshold Screening Report, and should include adequate mitigation measures for the identified risks. For additional details on safeguards screening during the appraisal process, see the SOP, Section 13, *Fiduciary Management of Grant Activities*.

# Approval

1. The CA Manager approves[[12]](#footnote-12) all proposals requesting funding of USD 250,000 or less, with the Secretariat informing the CG of these approvals on a regular basis. Proposals requesting funding for amounts greater than USD 250,000 are circulated to the CG for approval on a “no objection” basis.

# Grant Set-Up and Disbursement of Funds [under development]

## Memoranda of Understanding and Grant Support Agreements

1. Grants are governed by agreements based on the following modalities: UN to UN Agency Contribution Agreements and Externally Financed Outputs Agreements[[13]](#footnote-13) for inter-agency grants (Annex H); Memoranda of Understanding for grants for Governments (Annex I); Grant Support Agreements for grants for all other external recipients are governed by (Annex J). UNOPS expenditures are specified in the CA annual budget.

## Creation of Records

1. Following the approval of a proposal, the TM in consultation with relevant staff in the Secretariat and in UNOPS creates the relevant records in ATLAS and in other systems as may be required in order to facilitate timely and effective grant payment and monitoring during implementation. Such records are approved in the systems by the authorised officials in accordance with UNOPS regulations and procedures.

## Disbursement Package Preparation

1. The CA TM ensures that the project budget, M&E, activities, outputs and deliverables, milestones and timelines as well as other terms of the grant agreement and reporting templates are agreed upon with the Recipient. The CA TM then prepares the following: (i) Grant Approval Request together with Project Proposal, Evaluation Report and other supporting documentation; and (ii) Standardised legally approved grant agreement, in any of the appropriate modalities, together with its supporting annexes, inclusive of templates for reporting. The package is submitted to the authorising official for review and signing of the grant agreement, in any of the appropriate modalities, in accordance with UNOPS regulations and procedures.

## Grant Effectiveness

1. Once the grant agreement in any of the appropriate modalities is signed by UNOPS, the CA TM facilitates its signing by the Recipient and submission of one original countersigned copy. After receipt of the countersigned agreement by UNOPS, the first installment of the grant is paid in accordance with the terms stated therein. Subsequent installments, if any, are paid in accordance with the agreed schedule and satisfactory achievement of the milestones including timely submission of acceptable financial and narrative reports, as may be required under the grant agreement in any of the appropriate modalities.

# Supervision, Monitoring and Evaluation [under development]

## Reporting

1. The specific mechanisms for monitoring CP progress are developed according to the specific programme context, and may vary from project to project, but in each case the lead CA Member is expected to play a key role. The CA Secretariat has the following monitoring and evaluation responsibilities:

* Project oversight via regular missions and/or desktop reviews of quarterly financial reports and bi-annual progress reports against agreed results framework per grant..
* Monitoring progress of CPs against the overall Cities Alliance Results Framework and provide data and information for corporate scorecard reporting and
* Supporting the feedback of knowledge and learning from the above monitoring into the programme and making adjustments as necessary to the programme design and management.

## Performance Monitoring System [to be developed]

1. Each CP has a macro level Results Framework, derived from the overall Country Programmes Results Framework, which articulates overall programme objectives, output and intermediate outcome indicators, how the indicators will be used and a results monitoring framework.
2. Each individual grant proposal also incorporates a Results Framework that stipulates the project level objectives, output and intermediate outcome indicators. These project-level frameworks correlate to the overall programmatic framework. Individual grant recipients (CA members and/or partners) are responsible for reporting to CA Secretariat against the project-level results framework and on progress of individual grant-funded projects.

## Disclosure policies and record retention [to be developed]

# ANNEX A Country Programmes Flow Chart [to be developed]

# ANNEX B Country Programmes Application Template

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**Application Form for Submission**

***Country Programmes***

***Page Limits: Please do not exceed twelve pages.***

|  |  |
| --- | --- |
| **SECTION 1 - GENERAL PROPOSAL INFORMATION** | |
| **1.1 Title of proposed project**  [Create a short but descriptive title that captures the overall scope of the project.] | **1.2 Submission date** |
| **1.3 Proposal submitted by** [A proposal is typically submitted by a mayor or a metropolitan or district governor, or the head of a national local authority association. In the case of national level actions, the proposal is usually submitted by a ministry or urban development agency or authority. Other types of organisations such as civil society organisations or universities can also apply.]  Organisation:  Name and title:  Address:  Telephone/Fax/E-mail: | **1.4 Contact Person** [Please insert full details of the person responsible who will be answering communications related to the proposal.]  Organisation:  Name and title:  Address:  Telephone/Fax/E-mail: |
| **1.5 Organisation Administering the Grant** [Please insert the name of the organisation that will sign the Grant Agreement, receive the funding, and be responsible for grant administration and monitoring, and the name of the person who will represent the organisation.] [Please see recipient TOR for more details available at [www.citiesalliance.org](http://www.citiesalliance.org/ca/sites/citiesalliance.org/files/CA_Images/CATF_TOR_Sponsors%26Recipients_Final_01242011%5B1%5D.pdf)] [The organisation listed here can be the same as 1.3 and, in some circumstances, as 1.7.]  Organisation:  Name and title: Address: Telephone/Fax/E-mail: | **1.6 Cities Alliance Country Programme Partners** [Please insert the name of the Cities Alliance members and organisation(s) that are partners in the Country Programme] [Please see the Cities Alliance website for a list of CA members available at [www.citiesalliance.org](http://www.citiesalliance.org/ca/sites/citiesalliance.org/files/CA_Images/CATF_TOR_Sponsors%26Recipients_Final_01242011%5B1%5D.pdf)]  Organisation:  Name and title: Address: Telephone/Fax/E-mail: |
| **1.7 Main Implementing Organisation [only if applicable]** [If the Recipient will be supported in the Grant Administration in some or all the project activities and deliverables by any partner organisation, the main partner should be listed here.]  Organisation:  Name and title: Address:  Telephone/Fax/E-mail: | **1.8 Other Implementing Organisation (s) [only if applicable]** [Please list additional partner orgainsations that will support in some or all of the project activities and deliverables of the Grant Administration. Please add additional text boxes below if more than one organisation is involved]  Organisation:  Name and title: Address:  Telephone/Fax/E-mail: |
| **1.9 What is the main project theme?** [To mark a checkbox, double-click on it and choose ‘checked’ from the default value section. Try to limit choice to one box.]  Citizen mobilization/engagement  City governance, planning and management  Municipal association capacity  Land and Security of tenure and access to shelter  National urban policy and dialogue  Access to economic opportunities  Access to affordable services  Other (*please specify*)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **1.10 Geographic scope of the project** [To mark a checkbox, double-click on it, and choose ‘checked’ from the default value section. More than one box can be checked.]  City: [specify]  State/province: [specify]  Country: [specify]  Global / Regional / Multi-city / Multi-country: [specify] |
| **1.11 Expected project duration**  \_\_\_\_\_\_\_ Months | **1.12 Budget Summary**   |  |  |  | | --- | --- | --- | | **SOURCE** | **Total** | **%** | | Cities Alliance | [ grant amount requested] | [of total] | | Co-financier 1 [indicate name] | [amount] | [of tot] | | Co-financier 2 [indicate name]  … | [amount]  […] | [of tot]  […] | | Government [indicate name] | [amount] | [of tot] | | **TOTAL Project Cost** |  |  | |

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| **SECTION 2 – Project Background** [This section should provide an overview of the urban development context and policies, the key issues to be addressed by the proposed project, and its added value to previous or ongoing projects on similar issues. This information should provide the background to understand why the proposed approach has been chosen, which will be explained in detail in the following section 3]. [Please answer each question below in the order presented]. |
| **2.1. Project background and rationale**   * What is the context of the project? * What are the key issues to be addressed? * Why is this project needed? * How does the project relate to the Country Programme? |

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| **SECTION 3 – PROJECT DESCRIPTION** [This section provides details on the logical framework of the project and its main approaches on some of the main tenets: coordination, participation, sustainability and knowledge] [Please answer each question below in the order presented. Please be clear and detailed for questions on project outputs, outcomes and objective as these will be included in the Grant Agreement.] |
| **3.1 Project Objectives and Results**   * What is the main objective of the project? * What are the expected outcomes of the project [The Project Outcomes are the direct short- term benefits produced by the project outputs and their utilisation. What is the benefit and who will benefit? Please also include indicators that will be used to measure the outcomes, who will measure them and how.] * What are the main activities and outputs of the project? [The ‘Project Activities are the actions taken or the work performed to produce the outputs. The Project Outputs are the deliverables, i.e. products, goods and services – including knowledge and skills – that result *directly* from the project activities. Please list all outputs which are relevant to observe progress towards the objectives.]   **3.2 Project Approach**   * How will the project facilitate broad participation of stakeholders and build partnerships among urban actors? [Please describe the nature and extent of participation of all important stakeholders in project development and activities. Please also describe potential partnerships including both with the private sector and community organizations. If appropriate, discuss stakeholders’ needs and benefits in terms of gender and age]*.* * How will the project scale up and institutionalise its approach? [Please describe how you intend to increase or extend the impacts of the project and how it can become an integral part of the urban governance of a city or country.] * How will the project engage financing partners to provide capital for the implementation of plans and strategies to be developed by the project? [Please give special attention to capital investment for infrastructure and impact on local/national government budgets.] * How will the project capture experiences and results, facilitate learning processes and disseminate knowledge? [Which mechanisms for monitoring, evaluation and learning will be used or established by the project? How will be M&E and knowledge activities be used to stimulate learning processes within the project management, among stakeholders and beyond? How do you plan to disseminate the project’s experiences on local and national level and for the Cities Alliance? If appropriate, discuss projects’ M&E in terms of gender and age] [Please note that CA strongly encourages peer-to-peer exchange activities and learning among cities with similar experiences] |

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| **SECTION 4 – PROJECT AND FIDUCIARY RISKS AND ARRANGEMENTS** |
| * 1. **Project Risks** * Will the project entail any social risks? [impacts on indigenous people, land acquisition, and/or other relevant potential social impacts]  YES  NO * Will the project entail resettlement?  YES  NO * Will the project entail any environmental risks? [impacts on natural habitats, forest conservation areas, on physical cultural resources and/or other relevant potential environment impacts]  YES  NO * Will the project entail any other risks including, but not limited to political and financial risks? [e.g. upcoming elections that could change government commitment towards the project; required co-finance does not materialise]  YES  NO * If the answer was yes to any of the three above questions, please describe the type of risks involved in the project and the mitigating measures to be undertaken to minimise those potential adverse impacts. |
| **4.2 Fiduciary Risks** [a Financial Management Assessment of the Organisation Administering the Grant is required, see 1.5]   * Is the Recipient a registered organisation under the countries’/cities’ legal requirement?  YES  NO * Can the Recipient provide proof of registration and years of operation?  YES  NO * Does the Recipient have (or can open) a bank account and are they authorized to receive international donor funds?  YES  NO * Is the Recipient liable for audit?  YES  NO * Does the Recipient follow any Procurement Guidelines and if so can this document be provided for review?  YES  NO * Is the Recipient familiar with World Bank Procurement Guidelines?  YES  NO |
| **4.3 Project implementation arrangement** [Please describe major entities involved in the administration of the grant and project implementation activities, their lines of accountability and financial transfer with regard to the grant. To this effect a flow chart/graph illustrating the funds flow and how the project will be managed is well accepted] |

**Section 5 – PROJECT SCHEDULES and DELIVERABLES (Section 5A) and COST ASSUMPTION SUMMARY (Section 5B)**

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| |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **SECTION 5A - PROJECT SCHEDULES AND DELIVERABLES:** Please indicate the proposed activities, the implementing entity for each activity, the respective deliverables and the planned time-period of their delivery. | | | | | | | | | | | | | ***[COUNTRY NAME, PROJECT NAME]*** | | | | | | | | | | | | | **Key activities** | **Implementing entity for the activity** | **Proposed Budget** | **Deliverables** | **YEAR 1** | | | | **YEAR …** | | | | | *(please add/delete ‘activities’ where needed)* | *(If the entity needs to be contracted please specify ‘individual consultancy’ or ‘firm consultancy’)* | *(approximate cost per main activity only)* | *(mark the respective delivery quarter with X)* | **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** | | **Activity 1.** |  |  |  | | | | | | | | | | Sub-activity 1.1 |  |  | Deliverable …. *(add as many deliverables as needed* |  |  |  |  |  |  |  |  | | Sub-activity 1.X (*add as many sub-activities as needed)* |  | Deliverable …. *(add as many deliverables as needed)* |  |  |  |  |  |  |  |  | | **Activity 2.** |  |  |  | | | | | | | | | | Sub-activity 2.1 |  |  | Deliverable …. *(add as many deliverables as needed)* |  |  |  |  |  |  |  |  | | Sub-activity 2.X *(add as many sub-activities as needed)* |  | Deliverable …. *(add as many deliverables as needed)* |  |  |  |  |  |  |  |  | | **Activity Y.** (add as many main activities as needed) |  |  |  | | | | | | | | | | Sub-activity Y.1 *(add as many sub-activities as needed)* |  |  | Deliverable …. *(add as many deliverables as needed)* |  |  |  |  |  |  |  |  | |
| ***Example on how to fill out the above tabl***   |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **Activity 1.**  Climate Resilient Adaptation Strategies And Action Plans |  | 50,000 |  | | | | | | | | | | **Sub-activity 1.1.** Awareness Training & orientation for senior municipal officials. | UoM Faculty of Architecture (consultancy firm) |  | Awareness raising and orientation workshop for 15 senior municipal officials from 5 cities. |  | X |  |  |  |  |  |  |   **SECTION 5B – COST ASSUMPTION SUMMARY:**  ***Data for this summary should be from the detailed cost worksheet provided in Annex 1 (electronic Excel file)***   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | *[COUNTRY NAME, PROJECT NAME]* | | | | | | | | **Summary of costing details of project main activities** | | | | | | | |  | | | | | | | | **Project Activity/i** | **Total Budget** | **Consulting Services $** | **Dissemination Cost $** | **Training/ Seminars/ Workshops $** | **Others $** | **Remarks** | | Activity 1/ii | 0.0 | 0.0 | 0.0 | 0.0 |  |  | | Activity 2/ii | 0.0 | 0.0 | 0.0 | 0.0 |  | | Activity 3/ii | 0.0 | 0.0 | 0.0 | 0.0 |  | | Project Management Costs/ii | 0.0 | 0.0 |  | |  | | Supervision and Grant Administration *(limited to 15% of CA requested budget)/ii* | 0.0 |  | | | 0.0 |  | | ***Sub Total of the CA Activities Cost*** | ***0.0*** | ***0.0*** | ***0.0*** | ***0.0*** | ***0.0*** |  | | Co financing/iii | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |  | | ***Total Project Cost*** | ***0.0*** | ***0.0*** | ***0.0*** | ***0.0*** | ***0.0*** |  | |  |  |  |  |  |  |  | | */i The items under "Project Activities" are the main activities proposed to be financed by the Cities Alliance Grant.* | | | | | | | | */ii Provide details for proposed budget for this activity in the relevant activity tab. For any additional activity please add a new detail costing tab.* | | | | | | | | */iii Provide the Co Financing information in the Co-financing tab.* | | | | | | | | **Note :** |  |  |  |  |  |  | | *1. The exchange rates applicable for the quarter should be stated. Exchange Rate means the exchange rate used for conversion from the local currency to US Dollar.* | | | | | | | | ***2. Goods, Vehicles and Equipments are not eligible for CA funding.*** | | | | | | | |  |  |  |  |  |  |  |   **See A** |

# ANNEX C Country Programmes Concept Note Template [to be developed]

# ANNEX D Country Programmes Framework Document Template [to be developed]

1. For the urban poor to effectively engage with urban planning processes that affect their lives, it is important that such communities are actively mobilised and empowered to participate in a meaningful way. Such processes should recognise the complexity of urban communities and institutionalise a platform for dialogue that will ensure that each group that makes up the community is given influential voice. [↑](#footnote-ref-1)
2. Inclusive cities promote growth with equity. All residents of an inclusive city, regardless of economic status, gender, race, ethnicity or religion, are enabled and empowered to fully participate in the social, economic and political opportunities that the city offers. [↑](#footnote-ref-2)
3. As the local affiliate of Cities Alliance member UCLG, national associations of local governments/cities are engaged as CA members in the CP design process. [↑](#footnote-ref-3)
4. National urban policies supported by the CA will typically focus on the system of cities in a country and on cities as drivers of economic development with a special focus on the urban poor. [↑](#footnote-ref-4)
5. A CDS is an action-oriented strategic planning process, developed and sustained through participation, to promote equitable and inclusive growth in cities and their surrounding regions to improve the quality of life for all citizens. With a CDS, cities move beyond planning around the short-term political or donor-funding cycle to considering where they should be in 20 or 30 years, and the steps that need to be taken to achieve those goals. [↑](#footnote-ref-5)
6. Slum upgrading is a process through which informal areas are gradually improved, formalised and incorporated into the city itself, through extending land, services and citizenship to slum dwellers. It involves providing slum dwellers with the economic, social, institutional and community services available to other citizens. These services include legal (land tenure), physical (infrastructure), social (crime or education, for example) or economic. [↑](#footnote-ref-6)
7. The Cities Alliance Consultative Group (CG) agreed to focus the Partnership’s support in Sub-Saharan Africa at its November 2010 Annual Meeting. [↑](#footnote-ref-7)
8. In the interest of ensuring the central role of cities in the programme design process the national Municipal Association will be incorporated into the member engagement process as the local affiliate of United Cities and Local Government. [↑](#footnote-ref-8)
9. Member coordination is undertaken to ensure that the proposed activity does not, inter alia, conflict with other donor activities in the country, and that it will contribute to other programmatic synergies. [↑](#footnote-ref-9)
10. In certain circumstances, some initial activities can be funded during the Initiation, Concept Note and Framework stages as part of the preparatory work for the development of a Country Programme. [↑](#footnote-ref-10)
11. This approval does not pertain to signature of grants, which is subject to level of delegation of authority provided. [↑](#footnote-ref-11)
12. This approval does not pertain to signature of grants, which is subject to level of delegation of authority provided. [↑](#footnote-ref-12)
13. If UNOPS confirms this modality (undergoing legal review). [↑](#footnote-ref-13)