CORPORATE SCORECARD
2016

Cities Alliance
Cities Without Slums

CONTENTS

CORPORATE SCORECARD

1. CITIES ALLIANCE RESULTS AND PERFORMANCE MANAGEMENT

COMMENTS ON THE CURRENT EDITION:

The Cities Alliance Results Framework at the basis of this Scorecard was tested for a three-year period starting in 2013. Geographically, the Scorecard covered those communities, cities and countries that were part of the five initial Cities Alliance Country Programmes: Burkina Faso, Ghana, Mozambique, Uganda and Vietnam. Targets were set to the end of 2016, coinciding with the expected operational closure of these programmes. As those programmes ended as expected in Q4 2016, this edition of the Scorecard is particularly significant. As in the past, it captures the progress made; most importantly, though, it captures the developmental results of these programmatic interventions through the collection of end-line studies.

In 2016 the Cities Alliance also engaged Accenture to evaluate the performance and impact of its Country Programmes in Ghana, Uganda and Vietnam. The Accenture report was issued in March 2017 and is available on the Cities Alliance website. The evaluation was instrumental in validating the overall strength of the monitoring approach of the Cities Alliance, as well as the data and results featured in this Scorecard.

1.1 BACKGROUND

As per its Charter, the main objective of the Cities Alliance is to reduce urban poverty and promote the role of cities in sustainable development. To assess the extent to which its efforts and those of partners are making progress toward that objective, the Cities Alliance monitors, evaluates and reports its activities within an agreed-upon performance and results framework and through dedicated comprehensive systems.

Corporate Scorecard. This corporate scorecard serves as a snapshot of the Cities Alliance's overall performance and results up to the end of 2016 and as a report to the Management Board. It provides the Cities Alliance with information on the achievement of development results, effectiveness in achieving those results, and efficiency of its operations. The scorecard is also meant to support strategic planning to fill crucial gaps, foster learning and corrective actions, and promote accountability for results.

The Scorecard comprises two major components: The Results Framework (RF) and the Performance Indicators Monitoring System (PIMS).

Results Framework. The Charter and three-year Medium-Term Strategy (MTS) establish the developmental objectives of the Cities Alliance, its approach, and the type of activities it supports. The

Results Framework articulates the different tiers of results (outputs, intermediate outcomes, outcomes and impact) expected by Cities Alliance interventions that lead to the achievement of the organisation's objectives through causal and logical relationships (see Figure

1 below). The Results Framework includes selected Indicators to help measure and document progress and performance across the various tiers of results.

The Results Framework is approved by the Consultative Group [now Assembly] as part of its responsibility for setting the strategic direction of the Cities Alliance, and for reviewing and evaluating the organisation's overall performance. The Consultative Group approved the current version of the Cities Alliance Results Framework at the 2013 Annual Meetings in Ouagadougou.

Performance Indicators Monitoring System. The Results Framework is defined operationally by the PIMS, which operationalises the 47 indicators into baselines, milestones and targets, data sources, and tools and frequency for data collection. The PIMS operates across Secretariat operations, programmes and portfolios and the organisation as a whole. The PIMS is not only about monitoring, controls and tracking emerging results; it is also about learning – for both clients and the Cities Alliance as a partnership – that can be applied in the planning and design of new activities.

1.2. TIERS EXPLAINED

Tier I: Millennium Development Goals. This tier is primarily contextual and reports on the long-term development goals that countries are achieving. The universe of measurement is the countries where Cities Alliance has a long-term engagement. Developmental impact is measured in terms of livelihood of the target population – the urban poor – across three aspects: slums (Target 11 – entrenched with Cities Alliance history), health, and participation. Impact levels here are well beyond the control of the Cities Alliance which, as

such, is not responsible for delivering these objectives. In the future, some of these indicators will be revised to align them to the new Sustainable Development Goal (SDG).

Tier II: Partner results as supported by Cities Alliance members. The Cities Alliance provides technical assistance programmes and services to leverage the financing that helps cities to be more effective, participatory and able to deliver improved, responsive services to the urban poor.
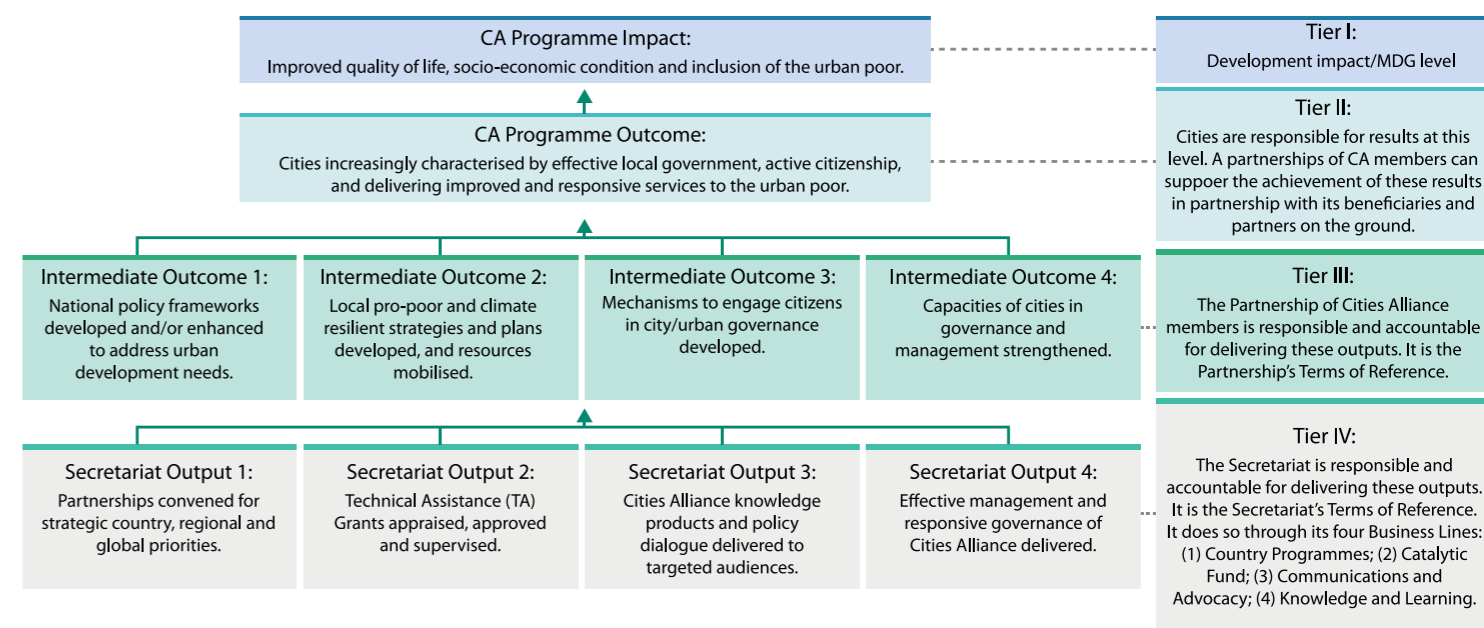
While Cities Alliance members are the clients of the Secretariat, the city (broadly defined) is the client of the Cities Alliance. Cities and national government partners are responsible for results at this level. A partnership of Cities Alliance members can only support the achievement of these results in partnership with beneficiaries and partners on the ground.

Tier III: Cities Alliance programmatic results. This tier covers the programme activities of the Cities Alliance. With the support of the Secretariat, the partnership of Cities Alliance members provides

financing and implementation of technical assistance to local and national partners within a long-term programmatic framework of cooperation (Country Programmes). Indicators reflect the typical suite of technical assistance services that the Alliance delivers to leverage investments: policy frameworks, local planning, institutional participation and community engagement, and capacity development and institutional strengthening. The partnership of Cities Alliance members – with the support of the Secretariat – is responsible and accountable for delivering these outcomes. It is the Partnership's Terms of Reference.

Tier IV: Secretariat performance. This tier covers the organisational efficiency of the Cities Alliance Secretariat across four major areas of operations: partnerships; Technical Assistance activities; knowledge products and policy dialogues; and management of Cities Alliance governance. The Secretariat is responsible and accountable for delivering these outputs. It is the Secretariat's Terms of Reference. It does so through its three Business Lines: (1) Country Programmes; (2) Catalytic Fund; and (3) Joint Work Programmes.

FIGURE 1: THE CITIES ALLIANCE RESULTS CHAIN

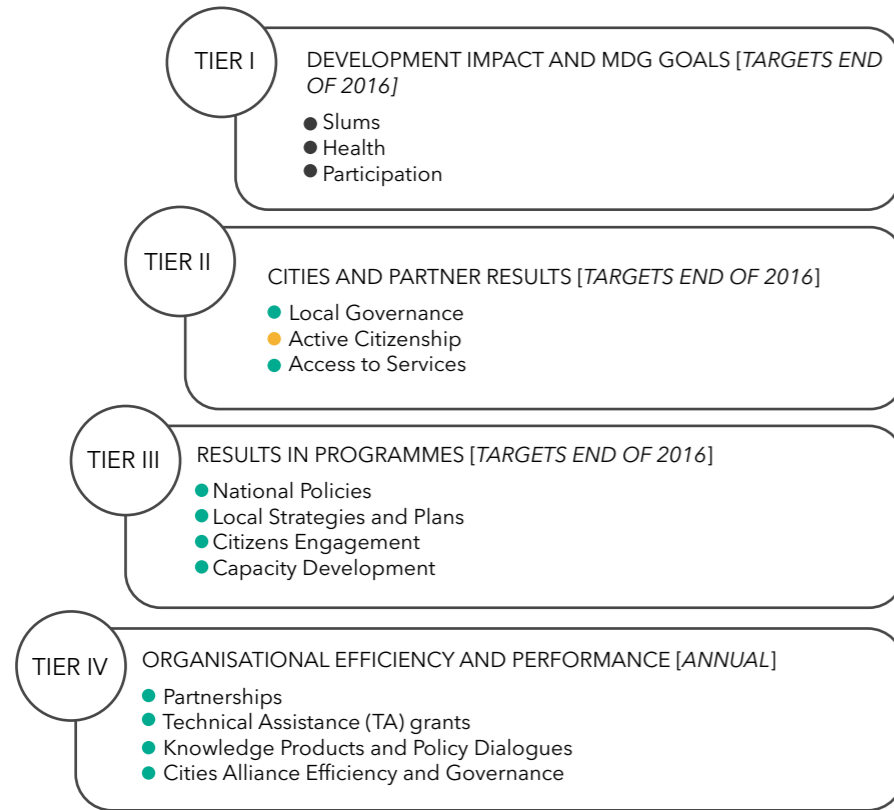|	Tier I: Development impact/MDG level
CA Programme Impact: Improved quality of life, socio-economic condition and inclusion of the urban poor.	
CA Programme Outcome: Cities increasingly characterised by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.	**Tier II:** Cities are responsible for results at this level. A partnerships of CA members can suppoer the achievement of these results in partnership with its beneficiaries and partners on the ground.
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.	**Tier III:** The Partnership of Cities Alliance members is responsible and accountable for delivering these outputs. It is the Partnership's Terms of Reference.
Secretariat Output 1: Partnerships convened for strategic country, regional and global priorities. / **Secretariat Output 2:** Technical Assistance (TA) Grants appraised, approved and supervised. / **Secretariat Output 3:** Cities Alliance knowledge products and policy dialogue delivered to targeted audiences. / **Secretariat Output 4:** Effective management and responsive governance of Cities Alliance delivered.	**Tier IV:** The Secretariat is responsible and accountable for delivering these outputs. It is the Secretariat's Terms of Reference. It does so through its four Business Lines: (1) Country Programmes; (2) Catalytic Fund; (3) Communications and Advocacy; (4) Knowledge and Learning.

WHAT'S NEW FROM LAST YEAR

New indicators. We have added new key performance indicators at the Secretariat level (Tier IV) to cover three important corporate areas which were not previously captured: Our environmental footprint, progress on gender mainstreaming (a pillar of the Medium-Term Strategy), and ability to deliver against the corporate workplan. The new indicators are numbered respectively IV.4.7, IV.4.8 and IV.4.9 (see Annex I for a detailed definition).

Geographic expansion. The RF/PIMS was pilot tested within the five active Country Programmes. Given its usefulness in the management of these programmes, many of these indicators were also included in the M&E plan of the Country Programme in Liberia and Tunisia. This means that the next period already has a new geographical universe in place against which our progress can be measured.

Alignment. As envisaged, this year we have further structured the Annual Report around the Scorecard. The quantitative results are thus complemented by the qualitative narrative of the Report, which captures the most significant changes within Cities Alliance programmes in the current calendar year.

2. SUMMARY OF CORPORATE SCORECARD
[*targets end of 2016*]

TIER I — DEVELOPMENT IMPACT AND MDG GOALS [*TARGETS END OF 2016*]
- Slums
- Health
- Participation

TIER II — CITIES AND PARTNER RESULTS [*TARGETS END OF 2016*]
- Local Governance
- Active Citizenship
- Access to Services

TIER III — RESULTS IN PROGRAMMES [*TARGETS END OF 2016*]
- National Policies
- Local Strategies and Plans
- Citizens Engagement
- Capacity Development

TIER IV — ORGANISATIONAL EFFICIENCY AND PERFORMANCE [*ANNUAL*]
- Partnerships
- Technical Assistance (TA) grants
- Knowledge Products and Policy Dialogues
- Cities Alliance Efficiency and Governance

LEGEND:

- **CHALLENGE.** Majority of indicators show decrease from baseline, have failed in achieving the established target or are significantly far under the established performance standards.

- **WATCH.** Majority of indicators show no significant increase or decrease from baseline, have not yet achieved the established targets, or are under the established performance standards although within tolerance.

- **ON TRACK.** Majority of indicators show significant increase from baseline, have achieved the established targets or meet/exceed the established performance standards.

- **SUSTAINABLE.** Targets/performance standards are consistently achieved and mechanisms/processes underlying change are institutionalised and/or maintained without external assistance.

- ○ **NOT APPLICABLE.** Insufficient data to establish a trend, or no target or performance standard is set.

For Tiers I, colour-coded traffic lights and targets are not provided since they pertain to the macro developmental context.

3. THE SCORECARD

LEGEND:

- **CHALLENGE.** For indicators based on targets (Tiers II&III), indicator shows a decrease from baseline and/or has failed in achieving the established target. For indicators based on performance standards (Tier IV), indicator is significantly far under the established performance standard.

- **WATCH.** For indicators based on targets (Tiers II&III), indicator shows no significant increase or decrease from baseline and/or has not yet achieved the established target. For indicators based on performance standards (Tier IV), indicator is under the established performance standard although within tolerance.

- **ON TRACK.** For indicators based on targets (Tiers II&III), indicator shows significant increase from baseline and/or has achieved the established target. For indicators based on performance standards (Tier IV), indicator meets/exceeds the established performance standard.

- **SUSTAINABLE.** Targets/Performance standards are consistently achieved and mechanisms/processes underlying change are institutionalised and/or maintained without external assistance.

- ○ **NOT APPLICABLE.** There is insufficient data to establish a trend, or there is no target or performance standard.

TIER I - IMPACT

IMPACT	INDICATORS*	CRITERIA [ONLY MEASURED IN CITIES AND COUNTRIES WHERE CITIES ALLIANCE WORKS]	BASELINE [2007/13]†	CURRENT [2014/16]	STATUS
I.1 Improved quality of life, socio-economic condition and inclusion of the urban poor.	I.1.1 Percentage of city population living in slums‡	%	55.1% [2007/09]	53% [2014]	○
	I.1.2 Percentage of households in urban areas that exist without secure tenure	%	N/A	N/A	○
	I.1.3 Under age 5 mortality rate in urban areas §	Per 1000	93.2 [2008/10/13]	81.3 [2016]	○
	I.1.4 Participation of urban poor in the voting population**	%	60.3% [2007/08/09/11]	64.4% [2012/14/15/16]	○

* Tier I indicators lack some values. This reflects data gaps in the MDG official statistics provided by the national institutes of statistics and UNStats (data on tenure security have never been collected). Furthermore, Tier I indicators are also expected to be changed to reflect and realign to the consensus on the new SDGs.

† The baseline and end-line years are not always the same for all countries due to data availability. However, the essential is that change is measured over a period of approximately 3 to 6 years.

‡ To be noted that significant improvements have been made in Ghana, Mozambique, Uganda and Vietnam, but this is offset by the negative data trends for Burkina Faso.

§ Figures based on Burkina Faso, Mozambique and Uganda only. Data not available for Ghana and Vietnam. Due to the lack of data, figures are estimated by projecting the baseline data to 2016 using the WHO annual relative change in the indicator.

** As not available, data for the voter participation has not been disaggregated for the urban poor. The data used here is for the turnout of the total voting age population in parliamentary elections.

OUTCOME	INDICATORS*	CRITERIA [ONLY MEASURED IN CITIES AND AREAS WHERE CITIES ALLIANCE WORKS]	BASELINE [2010 - 13]	ENDLINE [2015 - 16]	TARGET 2016	STATUS
II.1 Cities increasingly characterised by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.	II.1.1 Average municipal expenditures per person per year	US$ [total expenditures / population]	42.58 USD [2013]	66.11 USD [2015/2016]	44.71 USD	●
	II.1.2 Average number of municipal employees per 1000 inhabitants per year	1000 [# Employees / total population]	3.14 [2013]	3.33 [2015/2016]	3.29	●
	II.1.3 Average number of women among municipal employees	% [# women employees / total municipal employees]	35% [2013]	35% [2015/2016]	37%	●
	II.1.4 Proportion of municipal employees with post-secondary education.	% [# employees with education / total municipal employees]	47% [2013]	52% [2015/2016]	49%	●
	II.1.5 Average percentage of voter participation ††	% of all eligible voters	58% [2010/2013]	56% [2015/2016]	61%	●
	II.1.6 Average percentage of women voter participation	% of all eligible women	62% [2010/2013]	63% [2015/2016]	65%	●
	II.1.7 Average ratings on existence of a municipal website for citizen questions and complaints.	Scale [0-2]	0.96 [2013]	1.01 [2015/2016]	1.02	●
	II.1.8 Average ratings on functioning of local-level structures for consultations	Scale [0-2]	1.43 [2013]	1.51 [2015/2016]	1.50	●
	II.1.9 Average ratings on participatory planning process in place (budgetary or other)	Scale [0-2]	1.41 [2013]	1.23 [2015/2016]	1.48	●
	II.1.10 Average ratings on levels of civil society activity in municipality.	Scale [0-2]	1.30 [2013]	1.40 [2015/2016]	1.37	●
	II.1.11 Average proportion of households in slum and/or low-income areas with regular access to potable water	%	59% [2013]	74% [2015/2016]	62%	●
	II.1.12 Average proportion of kilometres of maintained roads/paths in slum and/or low-income areas	%	35% [2013]	41% [2015/2016]	36%	●
	II.1.13 Average proportion of households in slum and/or low-income areas with sewerage connections	%	51% [2013]	51% [2015/2016]	53%	●
	II.1.14 Average proportion of households in slum and/or low-income areas with regular electricity connections	%	56% [2013]	71% [2015/2016]	59%	●
	II.1.15 Average proportion of households in slum and/or low-income areas with regular solid waste collection	%	46% [2013]	60% [2015/2016]	48%	●
	II.1.16 Effectiveness of advocacy and knowledge product dissemination – Average Official Development Assistance for urban development	US$ (,000,000) [# ODA flows]	30.6 [2013]	N/A	32.1 [2015]	○
	II.1.17 Effectiveness of advocacy and knowledge product dissemination – Average ratings for prominence of city and urban themes in corporate strategic directions [Cities Alliance members]	Scale [0-2]	1.6 [2013]	N/A	2 [2015]	○

†† Data from Burkina Faso is a strong outlier: there was a drop of 29% while all other countries have improved. The figures in Burkina Faso could be explained by the different electoral recording systems employed by the Government but also by a growing political disillusionment on the wake of the 2013 political crisis.

TIER II: BACKGROUND AND METHODOLOGY

This Tier describes the impact that Cities Alliance's technical assistance services aim to have on cities, specifically on more effective governance (indicators II.1.1 to II.1.4), inclusiveness and participation (indicators II.1.5 to II.1.10), and ability to deliver improved, responsive services to the urban poor (indicators II.1.11 to II.1.15). These 15 indicators are mostly of a quantitative nature. Results within this Tier assume that the Cities Alliance's technical assistance services are, in fact, able to leverage and translate into effective follow-up investments and/or additional fiscal transfers. Indeed, investments to strengthen local authorities and develop pro-poor infrastructure allow cities to better cater to their citizenry – especially the most marginalised.

During the period under analysis (2013/14 to 2016), data for these city indicators was initially collected through baseline studies, and has been updated in conjunction with programme closure – i.e. second half of 2016 – as end-line studies. Collecting data for this Tier annually was judged to be too expensive and not very effective in measuring progress and attribution. Impact at this level needs to be assessed over longer timeframes, so that it includes actual outcomes from the funds leveraged through the technical assistance and the community investments on the ground. Improvements are measured by comparing baseline and end-line data and by linking variations to investment interventions. A 5 per cent increase in the value of the indicators between the baseline and the end-line has been calculated as the standard target.

Baselines studies were carried out between 2013 and 2014 for all the first-round Cities Alliance Country Programmes (Uganda, Ghana, Mozambique, Burkina Faso and Vietnam), which comprise the universe for the initial pilot phase of the PIMS. In Burkina Faso, the baseline study on Tier II indicators was carried out by Agence Perspective, a national consultancy firm which provided the initial diagnostic for the development of the Country Programme. In Ghana, the work was carried out by the Institute of Local Government Studies (ILGS) as part of the 'sustainable urban local government capacity building' grant. In Mozambique, the work was carried out in the context of the FCA programme. In Vietnam, the work was undertaken by ACVN. Given the high number of participating Vietnamese cities, a representative sample was selected based on factors including size, geography, and degree of involvement in the programme. In Uganda, the baseline study was conducted by a team within the Ministry of Lands, Housing and Urban Development.

In Ghana, the end-lines were collected by JMK Consulting Ltd; in Uganda by Statworld Consult Uganda Ltd; in Vietnam by the Association of Cities in Viet-Nam (ACVN); in Burkina Faso by UrbaConsulting; and in Mozambique by KPMG. Within this process, some of the baselines were readjusted for consistency and full synchronisation with the end-line methodologies.

TIER II: EXPLANATION OF THE VARIANCES AND ATTRIBUTION

The assessment of Tier II indicators has been carried out based on the data collected for the five countries (Burkina Faso, Ghana, Mozambique, Uganda and Vietnam).

Overall, between baselines and end-lines, **10 out of the 15 indicators exceed their targets** of 5 per cent positive change. The group of indicators measuring **better service delivery and access by the urban poor (II.1.11 to II.1.15) show on average the best performance (20 per cent increase)**, closely followed by the indicator group on effective governance (indicators II.1.1 to II.1.4) with 19 per cent increase. The indicator group measuring inclusiveness and participation (indicators II.1.5 to II.1.10) registered the lowest improvement (1 per cent). Among individual indicators, the sharpest increase is observed in indicator II.1.1 (Average municipal expenditure per person per year), which registered a 55 per cent increase between 2013 and 2016.

As also highlighted in a recent assessment, an area that calls for more attention in the Country Programmes is gender. The two related indicators (II.1.3 Average number of women among municipal employees, and II.1.6 Average percentage of women voter participation ‡‡) fall short of their targets. Another challenging indicator is II.1.9, Average ratings on participatory planning process in place (budgetary or other). §§ While this indicator showed improvements in Uganda and Vietnam, it decreased largely in Ghana and slightly in Burkina Faso during the period under examination. Despite the successful implementation of both the community strengthening activities and the multi-stakeholder engagements through municipal and settlement level fora within the Ghana and Burkina Faso Country Programmes, this has not (yet) translated into a perceived structural change. Generally, there may be the time lapse between the investments in institutional change and the broader impact on citizens' perception of that change. Specifically, the Greater Accra Metropolitan Area (GAMA) underwent a lengthy municipal election process, which weakened ownership around some of the newly established participatory mechanisms; and in Burkina Faso, the maturity of the participatory processes was delayed by the political crisis. Indicator II.1.5 (Average percentage of voter participation in the most recent municipal election) also shows a decline due to the data from Burkina Faso, where there was a drop of 29% (while all other countries improved). The figures in Burkina Faso could be explained by the different electoral recording systems employed by the Government, but also by a growing political disillusionment on the wake of the 2013 political crisis.

‡‡ The availability of data for indicator II.1.6 also proved challenging.

§§ Please note that the overall average of the indicator is also affected by its baseline data. At the point of baseline data collection (in 2013), some of the participatory mechanisms of the country programmes had already been put in place with many cities hence receiving the maximum score of 2. Since the maximum score was already attained, additional gains and improvements could not be captured at the end-line point. This has also affected the overall averages of the indicator's group.
  Most of the cities which had scored a 2 in the baselines again registered the maximum score of 2, although clear improvements had been made in their mechanisms for participation and inclusiveness as elaborated in Tier III. This means that the measurement of this group of indicators did not sufficiently capture the positive change that had taken place in the country programme.

TIER II: ATTRIBUTION OF AND CONTRIBUTION TO IMPROVEMENTS

There are three main modalities in which the improvements recorded in Tier II indicators can be causally connected to Cities Alliance interventions. Due to the well-known attribution gap, some instances may be attributed more directly, while others should be considered as a contribution.

- The most direct linkages to the indicators on access (indicators II.1.11 to II.1.15) are through direct physical interventions funded by community development/upgrading funds. The programmes in Burkina Faso, Ghana, Uganda and Vietnam have established local Funds to support several small community infrastructure projects which have directly improved access to basic services in many of the targeted communities. **One hundred and eighty-eight (188) community infrastructure projects have been implemented in these four Country Programmes.** In Mozambique, some of the funding was used to physically upgrade the Chamanculo C neighbourhood of Maputo, through the tripartite partnership between the Cities Alliance, the Government of Brazil and the Government of Italy. Across all countries, infrastructure projects were selected through a participatory approach by the communities themselves according to their infrastructure priorities and aligned with municipal plans. Projects were mainly on the construction, improvement and maintenance of basic infrastructure such as WASH facilities, electricity supply, waste management, roads and public/communal spaces. **These small-scale projects have made a significant impact and explain many of the positive variations in the above numbers.** The beneficiaries of the small infrastructure projects include the estimated 22,371 households of Chamanculo C neighbourhood, 92,300 individuals in low income urban areas of 5 cities in Burkina Faso, about 523,185 inhabitants of urban poor communities in 5 Ugandan municipalities, 2,411 households in 10 Vietnamese cities, and the inhabitants of Ashaiman and Ledzokoku-Kwokor municipalities as well as Old Fadama slum community in the Greater Accra Metropolitan Area.

- **A more indirect contribution (on the same set of indicators) is provided by those funds that have been directly leveraged by the TA assistance activities for follow up infrastructure investments.** In Ghana, the World Bank invested USD 150 million on water and sanitation infrastructure in GAMA areas – improvement and expansion of the water supply network as well as rehabilitation/construction of priority treatment facilities – based on the detailed water and sanitation assessment and technical options developed by the Country Programme. In Uganda, the World Bank invested USD 150 million within the Country Programme to provide substantial additional funds to the targeted municipalities for investment in urban infrastructure (roads, waste management, local economic infrastructure and urban transport such as bus terminals). These capital investments were identified and prioritised through the municipal and settlement level forums established by the Country Programme. The Detailed Implementation Strategy for the National Urban Upgrading Programme (NUUP) in Vietnam, which was funded by the Country Programme, was material to the follow-up investment of USD 292 million by the World Bank in the Mekong Delta Region Urban Upgrading Project (MDR-UUP) for infrastructure projects in low income areas.

- For those indicators related to the effectiveness of local governance and citizenship, the link with the Technical Assistance (TA) is less direct; however, an important contributing factor is still traceable. The positive attention generated on urban issues, together with the establishment of legal and policy frameworks and the strengthening of local and national institutions on urban issues, have undoubtedly raised the profile of cities – drawing attention and corrective actions to the way they are managed, their capacity and financial resources. We expect that these legal and policy changes will have significant direct and indirect impacts over time. Initial signs of these changes are strongly evidenced by the CEE rating reports,*** which attest an improved evolution of the city enabling environment in the five countries of focus in the period between 2012 and 2015. It is also easy to link improvements on the citizenship indicators of the TA activities undertaken by the Cities Alliance, where the municipal development forums and the strengthening of the community organisations, and the information and evidence on the city issues, have brought to surface and favoured the beginning of a process of political recognition of segments of society who were invisible to public policies and authorities. This is also important for the Cities Alliance; these positive examples can be demonstrated to other countries and governments in Africa.

*** See Cities Alliance and UCLG-A (2012 and 2015), "Assessing the Institutional Environment of Local Governments in Africa", Morocco: UCLG-A.

TIER III - INTERMEDIATE OUTCOMES [NOTE: READ THIS IN CONJUNCTION WITH ANNEX II]

OUTCOME	INDICATORS	CRITERIA	BASELINE 2011	TARGET 2016	CURRENT 2016	% IN PROGRESS	% COMPLETE	STATUS
III.1 National policy frameworks developed and/or enhanced to address urban development needs.	III.1.1a Number of countries with national urban policy(ies) developed	Unit (aggregate from scale: values = or > 2)	0	4 [†††]	3	0%[0]	75%	Completed
	III.1.1b Number of countries with national urban policy(ies) adopted	Unit (aggregate from scale: values = 3)	0	3	1	67%[2]	33%	Uganda national policy submitted to the Cabinet for adoption. Vietnam NUDS advanced to 2nd phase.
	III.1.2 Number of countries with national urban policy frameworks developed	Unit (aggregate from scale: values= 3)	0	3	3	0%[0]	100%	See above.
III.2 Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised	III.2.1 Number of local pro-poor and climate resilient strategies/plans developed	Unit	0	42	32 [‡‡‡]	0%[0]	76%	Completed
	III.2.2 Average total financial resources mobilised by partners for strategy implementation (yearly)	US$	0	500K	99.3mn [§§§]	Tracking	100%	Completed
III.3 Mechanisms to engage citizens in city/urban governance developed	III.3.1 Number of cities which have regularly functioning governance mechanisms to engage citizens in urban governance	Unit (aggregate from scale: values = or > 2)	0	42	41	0%[0]	98%	Completed
	III.3.2 Number of countries which have regularly functioning governance mechanisms to engage citizens in urban governance	Unit (aggregate from scale: values = or > 2)	1	5	5	0%[0]	100%	Completed
	III.3.3 Number of projects with sustainable mechanisms to engage citizens (Catalytic Fund projects & CP projects at the city level)	Unit (as project)	0	25	18	0%[0]	72%	CATF projects to be included.
III.4 Capacities of cities in governance and management strengthened	III.4.1 Number of cities where the capacity of local governments has been strengthened in areas such as strategic planning, financial management, and human resources management.	Number (aggregate from scale = 2)	0	37	45	0%[0]	122%	Completed
	III.4.2 Number of countries in which the capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future technical experts has been strengthened.	Number (aggregate from scale = 2)	0	4	5	0%[0]	125%	Completed

[†††] Targets were initially established in 2013 and have been slightly revised in the same year after consultation and validation with country partners.

[‡‡‡] In Ghana, the in-depth WASH assessment and plans/options for GAMA were considered for this indicator. These assessments were used to inform the investment of USD 150 million by the World Bank in the WASH sector in GAMA. These plans are currently being updated and broadened to include a stronger resilience angle and link with the current municipal mid-term development plans.

[§§§] Calculated across a six-year period (2011-16).

TIER III: BACKGROUND AND METHODOLOGY

These indicators are mainly maturity scales which develop from an initial stage at inception to maturity at the end of the programme (in terms of optimisation, institutionalisation, scaling up, etc.). Most of the targets have been set to be 'green' at the end of 2016, which coincides with the end of the Land, Services and Citizenship (LSC) programme that funded the initial five Country Programmes subject of this scorecard. Annex II provides a snapshot of Tier III across the different cities and countries participating in the Country Programmes.

TIER III: EVIDENCE

III.1.1a and b. Number of countries with national urban policy(ies) developed and adopted

Development. The **Uganda** National Policy was developed over a period of four years through extensive analysis and consultations driven by the Policy Working Group of the Ministry of Land, Housing and Urban Development (MLHUD). The policy was finalised in 2014. The **Ghana** National Urban Policy (NUP) was developed by the Ministry of Local Government and Rural Development with the support of GIZ through a participatory process over a four-year period and finalised in May 2012. Subsequently, the NUP has been further strengthened in the context of the Country Programme with the addition of an implementation plan and a monitoring and financing framework for its implementation. In **Vietnam**, the initial Cities Alliance investment to develop a national urban policy has leveraged an additional USD 2 million from Asian Development Bank (ADB) and USAID in support of the activity. What started as a Cities Alliance process has grown into a broader policy dialogue that is expected to culminate in a Prime Ministerial decree in support of the urban development policy by 2018. In **Mozambique**, the Decentralisation Working Group, comprising of the national government and development partners has been established and is actively championing national urban policy dialogues.

Adoption. The Ghana National Urban Policy was launched in March 2013 along with an Action Plan for its implementation, which is now fully in progress. In Uganda, the final national urban policy has been submitted to the Cabinet for final adoption.

III.1.2 Number of countries with national urban policy frameworks developed

Both the national policies in Ghana and Uganda are general frameworks that move beyond a sectorial lens in favour of a more integrated approach to urban development. The **Uganda** National Urban Policy provides direction for government agencies and local authorities to plan, implement, and effectively manage urban growth. The policy comprehensively tackles issues of urban poverty, waste management, unemployment, pollution and environmental degradation, urban disasters, crime, housing, congestion, infrastructure and urban governance.

The Ghana National Urban Policy is a framework of integrated directives on urban demographics and distribution, landforms, safety, governance, economy, service delivery, financial management, and the environment. The policy pays due consideration to the need for inclusion of the urban poor and vulnerable by targeting the provision of adequate and affordable housing. Participation and accountability is emphasised through the roles of local governments. In Vietnam, a comprehensive assessment of the various national sectoral strategies has been carried out first to make comprehensive recommendations for the urban national framework.

III.2.1 Number of local pro-poor climate resilient strategies/plans developed

In **Ghana**, WASH assessments and plans were carried out for nine Low Income Urban Communities (LIUCS) within 11 Metropolitan/Municipal Assemblies (MMAs) in the GAMA area. The plans took the form of an assessment of sanitation needs, recommendations and guidelines on options for WASH service provision, and estimations of cost implications. The plans have informed and guided the World Bank's USD 150 million capital investment on the 'GAMA Water and Sanitation Project', and the Global Partnership for Output-Based Aid (GPOBA)'s USD 4.8 million investment to provide support for low income households in GAMA.

In Vietnam, community-based, participatory city development strategies have been prepared for the cities of Tam Ky and Qui Nhon. Five additional cities (Viet Tri, Hai Duong, Ben Tre, Ha Tinh, and Hung Yen) were involved to learn from the process, and it is expected that they will now undertake similar strategic exercises.

In **Uganda**, evidence-based Municipal Development Strategies (MDS) have been prepared by 14 municipalities under the coordination of the national government to promote long-term, proactive, and participatory planning so that they will be better positioned to accommodate future urban growth. The planning process has been directly linked to municipal capacity development; a very low planning skill base existed within the municipalities of focus, and considerable extra training has been required.

In **Mozambique**, a city development strategy (CDS) with a strong focus on resilience has been prepared by the municipality of Nampula. Local government capacity development was a strong component of this process which also involved the municipalities of Nacala and Tete with possibility for replication. In Maputo, (Chamanculo C) an integrated slum upgrading plan for the settlement was developed together with a drainage system plan for the greater area, since flooding in Chamanculo C cannot be separated from the neighbourhood's drainage deficiencies.

In **Burkina Faso**, harmonisation of different planning processes, namely the Programme Communal de Développement (PCD) and the Programme d'Occupation des Sols (POS), has been successfully piloted in Tenkodogo, and, as the result, the Burkina Faso National Urban Forum (2016) has recommended the replication of this process in other cities of the country.

III.2.2 Average total financial resources mobilised by partners for strategy implementation

As mentioned above, building on the technical groundwork laid by the Country Programmes, there have been several direct follow-up investments by country programmes' partners in the countries of focus:

- **Ghana**: The World Bank has invested USD 150 million in WASH infrastructure. The Bank's WASH programme started in 2013 and is expected to run through 2018. The four components of the programme are: (i) provision of environmental sanitation and water supply services to priority low-income areas of the GAMA, including targeted campaign for WASH behaviour change; (ii) improvement and expansion of the water network in the GAMA; (iii) planning, improvement and expansion of GAMA-wide environmental sanitation services; and (iv) Institutional strengthening through providing technical assistance to MMAs and national institutions. DFID has also invested USD 4.8 million to support the provision of sustainable toilet facilities in low-income areas of GAMA through the World Bank-administered Global Partnership for Output-Based Aid (GPOBA). The GPOBA investment pilots an output-based approach that provides targeted, partial subsidies that encourage households to construct facilities and service providers to serve low-income neighbourhoods. The GPOBA project started in 2015.

- **Uganda**: The World Bank has invested USD 150 million in the Uganda Support to Municipal Infrastructure Development programme, which started in 2013 and is expected to run until 2019. The programme aims to enhance the institutional performance in urban service delivery of selected municipalities. Its approach involves providing funds for investment in urban infrastructure in a way that in parallel improves the capacities of local and national level institutions.

- **Vietnam:** The World Bank has invested USD 292 million in urban infrastructure in the Mekong Delta Region Urban Upgrading Project (MDR-UUP). The MDR-UUP started in 2012 and will close in December 2017. The programme has been progressing on activities that support upgrading primary, secondary and tertiary infrastructure in low-income urban areas of Vietnam, as well as the development of resettlement areas for affected persons. The ADB and USAID will also be funding USD 2 million for a Phase II of the Country Programme's National Urban Development Strategy project. This second phase will be comprised of a broad-based needs assessment and service coverage inventory, and the outputs will include a national urban resilience strategy and programme, improved national urban planning capacity, and improved capacity at national and city levels to implement climate change resilience.

- **Mozambique:** USD 2,442,800 was the financial contribution by Brazil and Italy as part of the tripartite partnership in support of the neighbourhood upgrading of Chamanculo C. Further investments in the area summing to a total of USD 5,980,731 have been made by other development partners including the World Bank and AVSI on infrastructure projects (such as the upgrading of the principal road and drainage running through Chamanculo C) and to cover the relocation costs required to meet the safeguard standards for resettlement. An additional investment of some USD 20 million is currently under discussion by the Italian Cooperation for further upgrading work in the area and to replicate the model to other neighbourhoods.

III.3.1 Number of cities with regularly functioning governance mechanisms to engage citizens in urban governance

Most of the cities within the five Country Programmes have experienced significant achievements in community strengthening, which is a crucial precondition to any engagement. Overall, **31 mapping/enumeration** exercises have been carried out in slum communities, fostering skills and knowledge in the communities and strengthening their negotiating power with municipal authorities. Adding to community empowerment, over **386 community savings groups** have been mobilised, **three national federations developed**, and multiple settlement fora established across the areas and cities of intervention.

Most cities have also seen the creation and regular functioning of participatory mechanisms, where urban development priorities, issues, and investments are discussed on a multi-stakeholder and open platform. **Forty-three (43) municipal**

level fora have contributed to promoting participatory local governance by establishing regular dialogue between national government agencies, local authorities, communities, and the private sector. In Uganda, the success of the municipal development fora have been utilised by the World Bank's USMID project in support of infrastructure identification and prioritisation. Cumulatively across all countries, over **700 dialogue and consultative sessions** have been held between community groups and their local governments to inclusively plan and implement urban development, especially around the Community Upgrading Fund project implementation.

To further support participatory governance, guides, tools, policy papers and action plans have been developed on urban governance themes and processes.****

III.3.2 Number of countries with regularly functioning governance mechanisms to engage citizens in urban governance

National Urban Forums (NUFs) have been created and are operational in all five countries. The Mozambique National Urban Forum was successfully launched in November 2016 and is being promoted as a platform for dialogue, preparation, promotion and implementation of a national urban agenda. In Uganda, Vietnam, Burkina Faso and Ghana, the NUFs are fully institutionalised, and the responsible Ministries for urban development have mechanisms in place to plan and hold NUFs regularly. NUF charters, resolutions and strategies have been drafted and adopted to guide the scope, activities and operations of the fora. The NUF model not only serves to engage, create awareness and prioritise crucial urban issues in the countries but – in the case of Ghana – also as a platform to prepare for international policies and agreements (Habitat III).

III.3.3 Number of sustainable mechanisms to engage citizens (Catalytic Fund projects & projects at the city level)

Several mechanisms for effective citizen engagement developed over the course of the Country Programmes have been lodged sustainably in the national urban management systems. In all the countries, the NUFs have been taken up by the Ministries in charge of urban development, not only as an annual event but as a continuous process to engage urban stakeholders in policy making. 43 municipal-level fora and more than 386 community savings groups have been mobilised through the Country Programmes, and they have been instrumental in defining community infrastructure projects such as the USMID project in Uganda. In Uganda, the National Urban Policy included the municipal forum as an institutional mechanism for citizen engagement.

III.4.1 Number of cities where the capacity of local governments has been strengthened in areas such as strategic planning, financial management, and human resources management.

Capacity development has been a strong component within Country Programmes, often cutting across all projects and consistently applying a learning-by-doing approach with the local counterparts. To date, training programmes have been completed around participatory community mapping/enumeration, financial management skills, community development and upgrading funds, municipal leadership, municipal finance, municipal service delivery. Accompanying manuals and tools have been published and disseminated widely. Further capacity building is on-going in the context of the National Urban Development Strategy development in Vietnam, the Municipal Development Strategies in Uganda, and the Community Upgrading Fund in Ghana.

Over the course of the Country Programmes, **about 96 training workshops and meetings and 34 exchange missions have been organised, with more than 4,800 people trained**, including representatives from government ministries/departments, local government officials and technical staff, CBOs, and community leaders.

About 27 toolkits have been produced to facilitation training on urban themes such as community development, city development strategies, data collection, enumeration, strategic leadership, etc. ††††

III.4.2 Number of countries in which the capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future technical experts has been strengthened.

The capacities of urban institutions and training and support organisations have been improved over the course of the programmes by direct funding, providing platforms for networking and exchange, diagnostics and assessments, and facilitating the inclusion of these organisations into national policy making.

For instance, the institutional capacity of the Ministry of Local Governance and Rural Development in Ghana has been strengthened through support for the establishment of an Urban Development Unit (UDU) within the Ministry, and by organising capacity development for the Unit's personnel. ILGS – the main local governance training institution in Ghana – has been provided with direct funding to support its core mission around training for local authorities and production of skill development materials on topics such as resilience, strategic planning and metropolitan governance. A new curriculum and course framework has been developed for the Mid-Level Institute for Physical and Environmental Planning (IMPFA) in Mozambique to facilitate the training of municipal technicians, especially those working in secondary cities. In Burkina Faso, support has been given to the Ministry of Housing and Urban Development to establish the Country Programme Coordination Unit and to deliver training to local governments, especially in secondary cities.

The institutional capacities of city associations have been strengthened across all Country Programmes by acknowledging and reinforcing their role as the main convener and representatives of local authorities' issues and interests. In Vietnam, this occurred through the provision of direct funding to the Association of Viet Nam Cities (ACVN) to manage and execute development projects in cities. In Uganda, the Urban Authorities Association of Uganda (UAAU) has been working in close collaboration with the International City/County Management Association (ICMA) to provide training on municipal leadership to local governments, as well as developing a gap analysis assessment and implementation plan to strengthen itself. The targeted municipalities of the Burkina Faso Country Programme have been trained through an approach designed to also strengthen the institutional capacity of the Association of Municipalities of Burkina Faso (AMBF). In Mozambique, GIZ has been delivering technical assistance to support the National Association of Mozambican Cities (ANAMM) in its advocacy towards effective urban development and the Ministry of State Administration and Civil Service in leading the preparation of the National Urban Forum.

Educational institutions have also been brought on board such as Makerere University in Uganda, which has played a key role in carrying out research recommended by the National Urban Forum; this research has in turn fed into the drafting of the National Urban Policy for Uganda.

Finally, some significant examples of activities for networking and exchange include the National Urban Fora in all Country Programmes; the Annual Savers' Convention in Uganda; the participation of local organisations and government officials at international urban events such as WUF, Africities, Habitat III PrepComs and GIZ Sector Day; and south-south learning exchanges such as that between Ghana and Brazil.

**** Examples of guides and manuals produced include: The Uganda Urban Citizenship Toolkit: A Learning-by-Doing Approach to Active Urban Citizenship in Uganda; Operational Manual: Community Development Fund in Uganda; Community Profiling Manual, SDI, Ghana; Improving Urban Service Delivery and Strengthening Citizen Engagement through Citizen Report Cards: A Training Manual, ILGS, Ghana; Practitioners' Manual on Human Settlement and Spatial Planning, ILGS, Ghana; Strategic Leadership and Inclusive Urban Management: A Training Manual, ILGS, Ghana; Cahier Technique de Planification, d'Aménagement et de Gestion Urbaine in Burkina Faso; Operational Manual: Community Development Fund in Vietnam.

†††† Data for Ghana, Uganda and Vietnam; still tracking for Burkina Faso and Mozambique.

TIER IV: SECRETARIAT OUTPUTS

OUTPUTS	INDICATORS	CRITERIA	2010	2012	2013 WORLD BANK (UP TO 30 AUGUST 2013)	2013 UNOPS (FROM 31 AUGUST - 31 DECEMBER 2013)	2014	2015	2016	YEARLY PERFORMANCE STANDARD	% COMPLETE	STATUS (END CY 2016)
IV.1 Partnerships convened for strategic country, regional and global priorities	IV.1.1 Multi-member partnership agreements endorsed by the partners per year	Unit	1	2	2	1	1	2	2	2	100%	🟢
	IV.1.2 Total financing per partnership agreement per year	US$ total value (,000)	928	796	3,862	2,959	1,215	6,487	7,484	700	100%	🟢
	IV.1.3 Diversity of partners per multi-member partnership agreement	Scale AVG score	2	2	2.5	1	3	2,5	4	3	100%	🟢
IV.2 Technical Assistance (TA) activities appraised, approved and supervised ‡‡‡‡	IV.2.1 Number of TA activities approved	Unit	21	15	6	1	10	26	23	30	77%	🟢
	IV.2.2 Total value of TA activities approved	US$ (,000)	8,081	3,978	2,792	1,152	5,301	7,132	5,264	7,500	70%	🟢
	IV.2.3 TA activities effectively supervised	% of total reports received	N/A	N/A	75%	75%	70%	90%	90%	90%	100%	🟢
IV.3 Cities Alliance knowledge products and policy dialogues delivered to targeted audiences	IV.3.1 Number of knowledge products produced with grant financing by members and partners	Unit	2	14	14	13	11	8	13	10	100%	🟢
	IV.3.2 Number of knowledge products produced with grant financing by the Secretariat	Unit	5	7	16	0	17	28	20	5	100%	🟢
	IV.3.3 Audience access to knowledge products	Unique Visitor Access	36,656	69,830	78,881	23,874	73,845	76,520	76,530	50,000	100%	🟢
	IV.3.4 Policy dialogues and formal learning events that are financed by grants and implemented by members and partners	Unit	8	8	13	4	1	5	6	5	100%	🟢
	IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat	Unit	8	2	9	2	5	18	6	5	100%	🟢
IV.4 Effective management and responsive governance of Cities Alliance delivered	IV.4.1 Grant Making Efficiency: From initial submission of proposal to approval of grant	Days	113	67	89	86	44	158	127	60	47%	🟠
	IV.4.2 Grant Making Efficiency: From approval of grant to grant agreement	Days	107	80	44	16	59	39	63	30	48%	🟠
	IV.4.3 Grant Making Efficiency: From grant agreement to first disbursement	Days	N/A	N/A	N/A	42	12	10	12	10	83%	🟢
	IV.4.4 Grant Making Efficiency: From final disbursement to closing	Days	N/A	N/A	N/A	N/A	Tracking	Tracking	N/A	120	N/A	⚪
	IV.4.5 Members' impression of Secretariat effectiveness: support to governance meetings	Scale AVG score	N/A	N/A	N/A	3.7	4.8	4.6	4.7	4	100%	🟢
	IV.4.6 Members' impression of Secretariat effectiveness: quality and timeliness of reports to Members	Scale AVG score	N/A	N/A	N/A	4.3	4.6	4.5	4.6	4	100%	🟢
	IV.4.7 [NEW] Secretariat Greenhouse Gas Emissions performance (tonnes CO2 equivalent)	Average emissions per staff	N/A	N/A	N/A	N/A	N/A	13.4 [2014]	12.3 (2015)	5 §§§§	41%	🟠
	IV.4.8 [NEW] Secretariat staff capacity on Gender Mainstreaming	% positive feedback ratings	N/A	N/A	N/A	N/A	N/A	57%	N/A	75%	N/A	⚪
	IV.4.9 [NEW] Secretariat Delivery Performance. Rate of completed activities against the approved annual work plan	% completed activities	N/A	N/A	N/A	N/A	N/A	65%	70%	100%	70%	🟢

‡‡‡‡ This indicator now includes not only TA grants, but also TA activities which have been procured.

§§§§ Target for emissions is based on UNOPS average. Given the diversity of UNOPS with Cities Alliance's business model, data should be taken with due caution until a more longitudinal perspective and other organisational benchmarks will become available. Emissions data include air travel for partners in those cases where these expenditures have been funded by the Cities Alliance.

NOTES TIER IV: METHODOLOGY AND RESULTS

Tier IV, the Secretariat level, is under constant tracking and regularly updated through the information gathered by the Cities Alliance project database. While overall the Secretariat's performance has exceeded most of the performance expectations and annual targets, data on grant processing time is still not in line with the performance standards. The high number of days is due to a combination of internal non-optimised processes, grantee degree of responsiveness, and allocation of time. Cognisant of the challenge, in 2016, the Secretariat identified and put in place significant measures to increase internal efficiency. While the trend is already showing a positive sign compared to the previous years, it is expected that the benefits of these reforms will become fully visible only in the figures for 2017.

For indicator IV.4.1, data used for calculation include Projects which Project Proposals have been approved within the timeframe of a given calendar year (1 January – 31 December). For indicator IV.4.2, data used for calculations include Projects which project related grant agreements have been countersigned within a given calendar year (1 January – 31 December). For indicator IV.4.3, data includes projects for which the first disbursements were made in a given calendar year (1 January – 31 December).

We have added new key performance indicators at the Secretariat level (Tier IV) to cover three important corporate areas which were not previously captured: Our environmental footprint, progress on gender mainstreaming (a pillar of the Medium-Term Strategy), and ability to deliver against the corporate work plan. Please see note below on the GHG emissions target.

ANNEX 1
INDICATOR DEFINITIONS

TIER I: CITIES ALLIANCE PROGRAMME IMPACT

I.1. IMPROVED QUALITY OF LIFE, SOCIO-ECONOMIC CONDITION AND INCLUSION OF THE URBAN POOR.

I.1.1 Percentage of city population living in slums.

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

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

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

- Access to improved water (access to sufficient amount of water for family use, at an affordable price, available to household members without being subject to extreme effort);
- Access to improved sanitation (access to an excreta disposal system, either in the form of a private toilet or a public toilet shared with a reasonable number of people);
- Security of tenure (evidence of documentation to prove secure tenure status or de facto or perceived protection from evictions);
- Durability of housing (permanent and adequate structure in non-hazardous location);

- Sufficient living area (not more than two people sharing the same room).

Source: UN-Habitat

I.1.2 Percentage of households in urban areas that exist without secure tenure.

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

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

I.1.3 Under age 5 mortality rate in urban areas.

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

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

I.1.4 Participation of urban poor in the voting population.

The total number of voting urban poor per 1,000 voting persons. This definition refers to the concept of voting age population, which includes all citizens above the legal voting age.

Source: IDEA

TIER II: CITIES ALLIANCE PROGRAMME OUTCOME

II.1. CITIES INCREASINGLY CHARACTERISED BY EFFECTIVE LOCAL GOVERNMENT, ACTIVE CITIZENSHIP, AND DELIVERING IMPROVED AND RESPONSIVE SERVICES TO THE URBAN POOR.

II.1.1 Municipal expenditures per person per year [Effective Local Government].
Numerator: Total operating expenditures of municipality in a given year.

Denominator: total population (estimated) of municipality in same year. Average expressed in US$.

Sources: Operating budget of municipality; national population census and population estimates.

II.1.2 Municipal employees per 1000 inhabitants [Effective Local Government].

Numerator: Total number of employees directly or indirectly employed by the municipality in a given year. Denominator: Total population of municipality in same year. Figure expressed in absolute numbers (000s).

Sources: Human Resources department of municipality; national population census and population estimates.

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

Numerator: Total number of female employees directly or indirectly employed by the municipality

in a given year. Denominator: Total number of employees directly or indirectly employed by the municipality in the same year. Figure expressed as a percentage.

Sources: Human Resources department of municipality; national population census and population estimates.

II.1.4 Proportion of municipal employees with post-secondary education [Effective Local Government].

Numerator: Number of well-trained employees (engineers, technical experts, etc.) in a municipality in a given year. Denominator: Total number of employees directly or indirectly employed by the municipality in the same year. Figure expressed as a percentage.

Sources: Human Resources Department of municipality; national population census and population estimates.

II.1.5 Voter participation in most recent municipal election (as % of eligible voters) [Active Citizenship].

Numerator: Number of eligible voters who voted in most recent municipal election. Denominator: Number of eligible (or registered) voters in municipality for the same election. Figure expressed as an average. Sources: GCIF, voting records

II.1.6 Average percentage of women voter participation [Active Citizenship].

Numerator: Number of eligible female adult voters who voted in most recent municipal election. Denominator: Number of eligible (or registered) female voters in municipality for the same election.

Source: Voting records

II.1.7 Existence of active municipal website for citizen questions and complaints [Active Citizenship].

Indicators measure existence and quality of the municipal ICT enhancing public accountability towards citizens.

Rating scale:

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

Sources: City IT Departments.

II.1.8 Functioning of local-level governance structures for consultation, at ward or sub-ward level [Active Citizenship].

Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. It is a deliberation, discussion, and dialogue. The objective of a consultation is to seek information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The organiser seeks to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented. Providing and sharing information is seen as the foundation of an effective consultation process (World Bank).

Rating scale:

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

Sources: City IT Departments.

II.1.9 Participatory planning processes in place (budgetary or other) [Active Citizenship].

Participatory planning is a tool for identifying the collective needs of all individuals within a community, a way of building consensus, and a means of empowering disadvantaged or disenfranchised groups (World Bank).

Rating scale:

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

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

II.1.10 Level of civil society activity in municipality [Active Citizenship].

The term civil society refers to the wide array of non-governmental and not-for-profit organisations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. Civil Society Organisations (CSOs) therefore refer to a wide of array of organisations: community groups, non-governmental organisations (NGOs), labour unions, indigenous groups, charitable organisations, faith-based organisations, professional associations, and foundations (World Bank).

Rating scale:

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

Sources: Cities Alliance Secretariat, Civil Society Index.

II.1.11 Access to regular potable water in slum and/or low-income areas [Delivering services to the urban poor].

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

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

II.1.12 Kilometres of maintained roads in slum and/or low-income areas [Delivering services to the urban poor].

Numerator: Total number of kilometres of maintained roads in slum and/or low-income areas. [Implies that roads are graded regularly, there are culverts or runoff drains for the rainy season, and roads are passable for vehicles such as ambulances, taxis, and trucks for access to markets.] Denominator: Total number of kilometres of roads/paths in slum and/or low-income areas. Figure expressed as a percentage.

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

II.1.13 Proportion of households in slum and/or low-income areas with sewerage connections [Delivering services to the urban poor].

Numerator: Total number of households living in slum and/or low-income areas that are connected to a main sewerage system in a given country. Denominator: Total number of households living in slum and/or low-income areas. Figure expressed as a percentage.

Sources: Municipal water/sanitation departments

II.1.14 Proportion of households in slum and/or low-income areas with regular electricity connections [Delivering services to the urban poor].

Numerator: Total number of households living in slum and/or low-income areas that are formally connected to electricity. Denominator: total number of households living in slum and/or low-income areas. Figure expressed as a percentage.

Sources: Municipal/local electricity supply agency

II.1.15 Proportion of households in slum and/or low-income areas served by regular solid waste collection (either publicly or privately) [Delivering services to the urban poor].

Numerator: Total number of households located in slum and/or low-income areas that are served by regular solid waste collection (either publicly or privately). Denominator: Total number of households located in slum and/or low-income areas. Figure expressed as a percentage.

Sources: Municipal sanitation departments

II.1.16 Effectiveness of advocacy and knowledge product dissemination – Official Development Assistance for urban development.

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

Source: AidData

II.1.17 Effectiveness of advocacy and knowledge product dissemination – City and urban themes in corporate strategic directions.

This indicator is defined as the prominence of themes related to city and urban areas that are integrated at the country and regional levels into the directions Cities Alliance members take with the objective of achieving business success in the long term. Figure expressed as an average.

Rating scale:

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

Tier III: Cities Alliance Intermediate Outcomes

III.1. NATIONAL POLICY FRAMEWORKS DEVELOPED AND/OR ENHANCED TO ADDRESS URBAN DEVELOPMENT NEEDS

III.1.1 (a and b in the Indicators Scorecard) Status of national urban policy (ies).

Indicator rates the status of national urban development policy(ies) in countries where the Cities Alliance works. National policies on urban development may include sectoral policies covering some or all the following aspects: housing, slum upgrading, transport, land, fiscal decentralisation. Policies are officially adopted through ministerial decree or pertinent legal declaration (must have legal status and budgetary commitment).

Rating scale – status of an urban development policy in a given country:

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

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

III.1.2 Status of development of national urban policy frameworks.

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

Rating scale:

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

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

III.2 LOCAL PRO-POOR AND CLIMATE-RESILIENT STRATEGIES AND PLANS DEVELOPED, AND RESOURCES MOBILISED

III.2.1 Number of local pro-poor and climate resilient strategies/plans.

The indicator measures the number of local pro-poor and climate resilient strategies/plans developed in cities in which Cities Alliance works in a given year. Local pro-poor and climate resilient strategies may be city development strategies (CDSs), slum upgrading strategies, or other local strategies that include pro-poor and climate resilient elements.

Sources: Copies of the CDSs, slum upgrading strategies, and Secretariat records

III.2.2 Total financial resources mobilised by partners for strategy implementation.

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

Sources: Completion reports; feedback; and Secretariat records

III.3 MECHANISMS TO ENGAGE CITIZENS IN CITY/URBAN GOVERNANCE DEVELOPED

III.3.1 Cities (in Country Programmes) with regularly functioning governance mechanisms to engage citizens in urban governance developed.

This indicator rates the degree of participation by citizens, including slum dwellers, at the local level in the determination, approval and implementation of urban development strategies and policies, by cities in which the Cities Alliance works through Country Programmes. Governance mechanisms include: social accountability mechanisms, slum development committee, and municipal fora.

Rating scale:

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

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

III.3.2 Countries with regularly functioning governance mechanisms to engage citizens in urban governance developed.

This indicator rates the degree of participation by citizens, including slum dwellers, at the national level in the determination, approval and implementation of urban development strategies by country in which the Cities Alliance works. Governance mechanisms include: national forum, city federation, association of municipalities.

Rating scale:

0	1	2	3
Mechanisms to engage citizens do not exist at national levels or mechanisms are ad-hoc, unstructured and scarce.	Processes for national forum (charter development, preparation of a workplan, etc.) are under development and stakeholders are identified and engaged.	Stakeholders groups are organised and national forum is held.	National forum charter is adopted with a budget and an action plan, stakeholders actively participate in national fora.

III.3.3 Sustainability of mechanisms to engage citizens (all grants at city level).

This indicator rates the presence of mechanisms for participatory local governance in Cities Alliance activities at the city level and their sustainability beyond the project life cycle. Mechanisms include: social accountability activities, local fora, citizenship advocacy and awareness campaigns, grassroots NGO and community involvement.

Rating scale:

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

III.4. CAPACITIES OF CITIES IN GOVERNANCE AND MANAGEMENT STRENGTHENED.

III.4.1 Capacity of local governments in areas such as strategic planning, financial management, and human resources management.

This indicator rates the degree of capacity strengthened in the cities in which Cities Alliance works (through the Country Programmes and the Catalytic Fund) including

the capacity of local government authorities (in areas such as strategic planning, financial management, and human resources management).

Rating scale:

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

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

III.4.2 Capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts.

This indicator rates the degree of capacity strengthened in the countries in which Cities Alliance works (through the CPs and the Catalytic Fund) including the capacity of training and support organisations (national public organisations, universities, training institutions, associations of cities, etc.) to train local government officials and current and future urban technical experts (in strategic planning, financial management, and human resources management).

Rating scale:

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

Sources: CP progress and completion reports; member survey

Tier IV: Cities Alliance Secretariat Outputs

IV.1. PARTNERSHIPS CONVENED FOR STRATEGIC COUNTRY, REGIONAL AND GLOBAL PRIORITIES.

IV.1.1 Multi-member partnership agreements endorsed by the partners per year.

Indicator measures the number of formalised partnership agreements in a given year as a measure degree of the success of the Secretariat convening process. Partnership agreement may be: framework document for Country Programmes; resolution of partners; statement of agreement. Multi-member is defined as two or more Cities Alliance members.

Source: Cities Alliance Secretariat records

IV.1.2 Scaling: Total financing for partnership agreements per year.

Indicator measures total funding contributed in a given year to a specific partnership agreement by partners directly and/or jointly fundraised. It also calculates the value ratio of the total funds per Secretariat funding.

Source: Cities Alliance Secretariat records.

IV.1.3 Broadening: diversity of partners.

This indicator measures the objective to diversify the membership base to other key stakeholders as well as expand financing mechanisms to local private sector. Categories of partners are (i) Civil society/NGOs, academia; (ii) Private sector; (iii) Donors; and (iv) Local governments.[1]

Rating scale:

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

IV.2. TECHNICAL ASSISTANCE (TA) ACTIVITIES APPRAISED, APPROVED AND SUPERVISED.

IV.2.1 TA activities (CP, CATF and JWP) approved.

Indicator measures the total number of TA activities [both grants and contracts] approved in a given year following the appraisal process. The appraisal process includes application of a checklist and, according to specific guidelines, peer reviews and member reviews.

Source: Cities Alliance Secretariat records

IV.2.2 Total value of TA activities (CP, CATF and JWP) approved.

Indicator measures the total cumulative US$ value funded by the Cities Alliance of TA activities [both grants and contracts] approved in a given year following the appraisal process.

Source: Cities Alliance Secretariat records

IV.2.3 TA activities supervised.

Indicator measures quality of supervision. Percent of grants and contracts with progress and completion reports that include information on process and results achieved in a given year. Numerator: number of grants/contracts with at least 75% of all required progress and completion reports. Denominator: Total number of TA activities supervised.

Source: Cities Alliance Secretariat records

IV.3. KNOWLEDGE PRODUCTS AND POLICY DIALOGUES DELIVERED TO TARGETED AUDIENCES.

IV.3.1 Knowledge products produced with grant financing by members and partners.

Indicator measures the total number and cost of knowledge products developed with grant financing, as well as the alignment of the knowledge products and strategy, and demonstrates clear and proactive management of the delivery of Cities Alliance knowledge to targeted audiences.

Knowledge products may include: thematic publications, published diagnostic studies such as a State of the Cities Report (SOCR) or Urbanisation Review (UR); toolkits; and other guides, policy papers etc. produced by members and partners with Cities Alliance Secretariat support and funding. Generally, a knowledge product should have a Cities Alliance logo.

Source: Cities Alliance Secretariat records; knowledge pipeline and distribution schedule

IV.3.2 Knowledge products produced with grant financing by the Secretariat.

Total number of knowledge products (see previous definition) produced with grant financing by the Secretariat.

Source: Cities Alliance Secretariat records

IV.3.3 Knowledge products produced with grant financing and freely accessed by targeted audiences.

Indicator measures the effective distribution of knowledge products via the Cities Alliance website (number of unique visitors to the CA website on specific knowledge pages/downloads from targeted countries). Total number of unique visitors to the CA website from targeted countries.

Source: Cities Alliance Secretariat records.

---

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

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

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

Source: Cities Alliance Secretariat records.

IV.3.5 Policy dialogues and formal learning events that are financed by grants and implemented by the Secretariat.

Total number of policy dialogues and formal learning events (see previous definition) that are financed by grants and carried out by the Secretariat.

Source: Cities Alliance Secretariat records.

IV.4. EFFECTIVE MANAGEMENT AND RESPONSIVE GOVERNANCE OF CITIES ALLIANCE DELIVERED.

IV.1 Average time for key phases in the project cycle – from initial submission of proposal to approval of grant.

Average time, in days, from initial submission of proposal to approval of grant for projects completing this phase in a given year.

Source: Cities Alliance Secretariat records

IV.2 Average time for key phases in the project cycle – from approval of grant to grant agreement.

Average time, in days, from approval of grant to signature of grant agreement for projects whose agreement was signed in a given year.

Source: Cities Alliance Secretariat records.

IV.3 Average time for key phases in the project cycle – from grant agreement to first disbursement.

Average time, in days, from signature of grant agreement to first disbursement for projects receiving first disbursement in a given year.

Source: Cities Alliance Secretariat records

IV.4 Average time for key phases in the project cycle – from first disbursement to closing.

Average time, in days, from first disbursement to closing for projects closed in a given year.

Source: Cities Alliance Secretariat records

IV.5 Members' impression of Secretariat effectiveness: support to governance meetings.

Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on rating selected statements.

Source: Cities Alliance Secretariat yearly survey of members

IV.6 Members' impression of Secretariat effectiveness: timeliness and quality of reports to members.

Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on rating selected statements.

Source: Cities Alliance Secretariat yearly survey of members

IV.7 Secretariat Greenhouse Gas Emissions performance.

Average emissions per Cities Alliance staff (tonnes CO2 equivalent) calculated on the following sources: Air travel, On-site Electricity, On-site Refrigerants, Public transport during official travel, Purchased heat/steam, CFC/HCFCs.

Source: UNOPS GHG Annual Inventory as part of Greening the Blue initiative.

IV.8 Secretariat staff capacity on Gender Mainstreaming.

Average feedback rating by staff in a given year on selected statements evaluating workshops and other capacity development activities focused on gender.

Source: Cities Alliance Secretariat feedback and evaluation forms.

IV.9 Secretariat Delivery Performance.

Indicators measures the rate of completed activities against the approved annual work plan in a given year.

Source: Cities Alliance Secretariat Annual Work Plan reviews.

TIER IV: SECRETARIAT OUTPUTS

INIDICATORS	DEFINITION/SUB-INDICATORS	BURKINA FASO	Ouagadougou	Bobo-Dioulasso	Dédougou	Dori	Tenkodogo	GHANA	Ashaiman	Tema	Ledzokuku-Krowor	Adentan	Accra Metropolitan	Kpone Katamanso	La-Nkwantanang-Madina	La-Dade-Kotopon	Ga East	Ga West	Ga Central	Ga South	Shai Osudoku	VIETNAM	Viet Tri	Lao Cai	Hai Duong	Hung Yen	Ha Tinh	Dong Hoi	Tam Ky	Quy Nhon	Cao Lanh	Ben Tre	UGANDA	Arua	Entebbe	Fortportal	Gulu	Hoima	Jinja	Kabale	Lira	Masaka	Mbale	Mbarara	Moroto	Soroti	Tororo	MOZAMBIQUE	Maputo (Chamanculo C)	Nacala	Nampula	Tete	AVERAGE	# score 0	% score 0	# score	% score 1-2	# score 2.3	% score 2.3	TOT # of countries/cities
III.1 National policy frameworks developed and/or enhanced to address urban development needs	III.1.1 Status of development of national policy(ies) related to urban [Rating scale (0-3)]	N/A						3														2											2															N/A					2.3	0	0%	0	0%	3	100%	3
	III.1.2 Status of development of national urban policy frameworks [Rating scale (0-3)]	N/A						3														2											2															N/A					2.3	0	0%	0	0%	3	100%	3
III.2 Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised	III.2.1 Number of local pro-poor climate resilient strategies/plans developed [RED - Strategy/plan not developed; YELLOW - Strategy/plan under development; GREEN - Strategy/plan development]		N/A	N/A	N/A	N/A																	N/A	N/A	N/A	N/A	N/A	N/A			N/A	N/A																					N/A	2	6%	0	0%	32	94%	34
III.3 Mechanisms to engage citizens in city/urban governance developed	III.3.1 Regularly functioning governance mechanisms at the city level to engage citizens in urban governance [Rating scale (0-3)]		N/A	2	2	2	2		2	2	2	2	2	2	2	2	2	2	2	2	2		2	2	2	2	2	2	2	2	2	2		2	2	2	2	2	2	2	2	2	2	2	2	2	2		N/A	N/A	N/A	N/A	2.0	0	0%	0	0%	41	100%	41
	III.3.2 Regularly functioning governance mechanisms at the national level to engage citizens in urban governance [Rating scale (0-3)]	3						2														2											2															2					2.2	0	0%	0	0%	5	100%	5
III.4 Capacities of cities in governance and management strengthened	III.4.1 Capacity of local governments has been strengthened in areas such as strategic planning, financial management, and human resources management [Rating scale (0-2)]		2	2	2	2	2		2	2	2	2	2	2	2	2	2	2	2	2	2		2	2	2	2	2	2	2	2	2	2		2	2	2	2	2	2	2	2	2	2	2	2	2	2		N/A	2	2	2	2.0	0	0%	0	0%	45	100%	45
	III.4.2 Capacity of training and support organisations to train local government officials and current and future urban technical experts has been strenghtened [Rating scale (0-2)]	2						2														2											2															2					2.0	0	0%	0	0%	5	100%	5

Cities Alliance
Cities Without Slums