Cities Alliance
Cities Without Slums

THE CITIES ALLIANCE RESULTS FRAMEWORK AND RESULTS-BASED SYSTEM

Document Version	First Draft
Prepared by	Cities Alliance Secretariat
Reviewed by	
Approved by	Management Board [pending]
Date	03/12/2018

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Acronyms

CA	Cities Alliance
CP	Country Programme
IBSA	India-Brazil-South Africa
JWP	Joint Work Programme
KPI	Key Performance Indicator
RBM	Results Based System
RF	Results Framework
SDG	Sustainable Development Goals
SOCR	State of the Cities Report
TA	Technical Assistance
UR	Urbanization Review
WUF	World Urban Forum

I.   Background

1.   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 publicly reports its activities within an agreed-upon corporate performance and results framework and through a dedicated result-based management system.

2.   The Results Framework is approved by the Management Board 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 Cities Alliance Results Framework was initially developed while hosted at the World Bank and approved at the 2013 Annual Meeting in Ouagadougou. With the adoption of the new Strategic Plan 2018-21, the Results Framework has been revised to align it to the new objectives set by the Plan.

3.   The Cities Alliance corporate Results Framework follows international standards and practices in development cooperation on results-based management. In its original formulation, it has highly benefitted from the World Bank expertise and advice on corporate reporting which has influenced the overall approach and, notably, the structure of the scorecard.[1] It was further refined based on the experience with the hosting agency, UNOPS.

4.   The adoption of the 2030 Agenda for Sustainable Development provided the most comprehensive and visionary global agenda to date. For the first time, the role and importance of cities was acknowledged by member states, impacting a significant number of the 17 Goals and 169 targets. The Sustainable Development Goals (SDGs) have guided the overall frame and several metrics of the current version of the Results Framework.
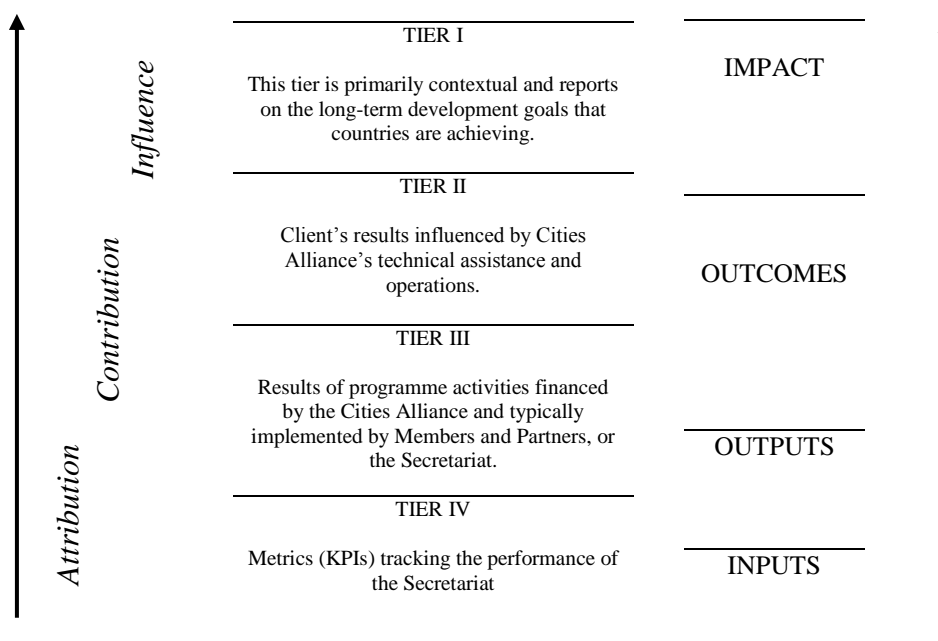
II.   The Results Framework

Principles

5.   The Charter and four-year Strategic Plans establish the developmental objectives of the Cities Alliance, its approach and the type of activities it supports. The Cities Alliance will track and report progress through a comprehensive Results Based Management (RBM) system. The Results Framework is a tool at the core of RBM approach as it defines an organisation's theory of change and the core metric.

6.   The Results Framework articulates the different tiers of results expected by Cities Alliance interventions. It lays out the products and services that will be delivered over a period of time (Tier IV), the changes these products and services will generate in the short/medium time (Tier III), the effect on the main clients (Tier II), and the overall influence on the national and global developmental goals (Tier I). The vertical progression across tiers approximates the chronological and causal/logical progression across a result chain: from inputs to outputs, to intermediate outcomes to outcomes and, lastly, to impact. Nevertheless, it should be noted that, for corporate-wide aggregating exercises, this vertical progression - differently from project logframes - should not be taken to be neither scientific nor always attributable. As per Figure 1 below and international practises, there is also no full correspondence between the Tier scale and the results chain as the definition of what constitutes an 'output', an 'outcome' or rather an 'impact' is arguable.

7.   The Results Framework is defined operationally by selected indicators to help measure and document progress and performance at the portfolio level across the various tiers of results at different intervals of time. The Results Framework indicators *aggregate* information from the various programmes. The indicators are *core*, meaning they have standard definitions and each programme is required to report on them. The Corporate Results Framework strategically informs and guides programming. However, it does not substitute the need for each programme to have their own individual logframe tailored to their specific objectives and the requirements of the programme's donors.

8.   The Results Framework also defines organisation-wide standards for baselines, milestones and targets,

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[1] See Section V below.

data sources as well as the tools and frequency for data collection. The Results Framework 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 – and applying the experiences learned in the planning and design of new activities. The data collected will also provide a sound basis for future evaluations.

9.   The Cities Alliance Result Framework is based on different attribution vs. contribution approaches in relation to the various tiers of results. The Cities Alliance Secretariat is responsible, and should be held accountable, for effectively delivering Tier IV. These input/output levels form the basis of the Terms of Reference of the Cities Alliance Secretariat. At Tier III, the Secretariat has a *direct* (when implementing) and/or *shared responsibility* with its international and country institutions (when financing partner organisation) to deliver the desired change. Attribution of results can be established to a reasonable degree. Moving further up the chain, the level of control decreases, and the attribution gap and risk increases. Tier II is the core and *raison d'etre* of the organisation. However, results as this level are delivered primarily by client cities and communities with the support of the Cities Alliance and its partners. They are partly beyond the control of the Cities Alliance and as such only contribution factors – if any – can be established. Tier I Results and progresses are well beyond the control of the Cities Alliance, and the improvements observed in Tier I indicators are rather the outcome of collective efforts by countries and their development partners. However, since development effectiveness is more than a 'flag-planting' exercise, it is in the Cities Alliance's and common developmental interest to track progress against the macro context.

Figure 1. Results Framework Structure

Influence / Contribution / Attribution	TIER I — This tier is primarily contextual and reports on the long-term development goals that countries are achieving.	IMPACT
	TIER II — Client's results influenced by Cities Alliance's technical assistance and operations.	OUTCOMES
	TIER III — Results of programme activities financed by the Cities Alliance and typically implemented by Members and Partners, or the Secretariat.	OUTPUTS
	TIER IV — Metrics (KPIs) tracking the performance of the Secretariat	INPUTS

10.   **Tier I. Development Goals.** As per standard international practise, this tier is primarily contextual and reports on the long-term development goals that partner countries are achieving. The universe of measurement is the priority countries where Cities Alliance has long-term engagements. Developmental impact is measured in terms of a subset of Sustainable Development Goals (SDG)[2], i.e. those which relate most to the Cities Alliance mission and livelihood of the target population – the urban poor – across three aspects: poverty, tenure and gender representation. As mentioned, it is still important to include Tier I in the result framework to encapsulate Cities Alliance interventions within the broader developmental picture and define what the organisation is, ultimately, trying to influence.

11.   **Tier II. Client Results.** This level reports on the clients' results as promoted, supported and/or influenced

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[2] While for measurement purposes we focus on a small subset of SDGs indicators, more generally, and as per its Strategic Plan 2018-21, the Cities Alliance remains firmly committed to the progress of those 10 SDG Goals and 55 SDG Targets which relate to cities.

by the Cities Alliance. The city (broadly defined) is the client of the Cities Alliance. In fact, the Cities Alliance provides technical assistance services, exemplary projects and facilitates the leverage of the financing that helps cities to be more effective, participatory, and able to deliver improved, responsive services to the urban poor. Partner cities and national governments are the primary responsible for results at this level.

12.   **Tier III. Cities Alliance Programmatic Results.** This tier covers the result of the programme activities of the Cities Alliance. Through the Secretariat, its members and partners, the Cities Alliance provides technical assistance support for upstream diagnostics, planning, and policy advice and development. It also supports long-term institutional strengthening and capacity development by engaging and investing in national, regional, local and community institutional structures, including universities. Cities Alliance contributes to infrastructure development in slums, typically delivered through community engagement and dedicated funds. Specific attention is paid downstream to project preparation, aligning the Cities Alliance support to maximise the mobilisation of domestic and international financial resources. The Cities Alliance, through its Secretariat, implementing members and partners – is responsible and accountable for delivering these outcomes. It is the Partnership's Terms of Reference.

13.   **Tier IV. Cities Alliance Organisational and Operational Preference**. This tier covers the overall performance of the Cities Alliance Secretariat through its two operating window (global window and country window) and across four different areas: partnership, volume, efficiency, and sustainability. The Secretariat is responsible and accountable for delivering these outputs. It is the Secretariat's Terms of Reference.

Narrative

14.   In any Results Framework, it is important to be clear about the theory of change, i.e. the vertical integration of the various Tiers in causal and chronological relation. While in recent times there is more relaxation about the rules governing such vertical logic with regard to agency-wide exercises - especially if compared to traditional project logframes – in favour of a more flexible approach, a results framework should still be built around a pathway of change that articulates inputs into longer-term development impacts.

15.   As mentioned, the city (broadly defined) is the client of the Cities Alliance while the ultimate beneficiaries of Cities Alliance activities are the urban poor and women. The Cities Alliance's aim is to enable cities to run more effectively, deliver improved and responsive services to the urban poor, be inclusive and foster equal economic opportunities. These objectives are outlined in the description and indicators of Tier I and Tier II.

16.   Tier III captures the typology of technical assistance and physical interventions of the Cities Alliance which aim at directly influencing local authorities and the living conditions of the urban poor. While, in the organisations' strategy, this is achieved through investments in low income settlements that address the symptoms of slums – most obviously the lack of services, poorly-located settlements, insecure tenure and poor housing – tackling the root causes of social exclusion and urban poverty is equally important and requires a more comprehensive, citywide approach that include financial, governance and policy interventions. In the long term, it is well run and resourced cities that will allow citizens to exercise their rights and responsibilities as part of a shared vision for their city. Typically, the technical assistance provided at Tier III does not result in single projects but rather in more complex programmes, which target vertically three levels of governance and spatial territory (national, city and community) as well as operate horizontally multi- development partners and sectors.

17.   In terms of the theory of change, the critical juncture is the relation between Tier II (changes at cities level) and III (Technical Assistance and exemplary infrastructure). It is within this space - the outcome level - that the seeds for sustainability, institutionalisation and structural change are planted. This is even more crucial for an organisation such as the Cities Alliance which primarily provides technical assistance with limited physical interventions. Thus, the ability to help client cities in a change-process relies on the ability to catalyse additional investments and trigger long term policy impact. To strengthen the relation between Tier II and Tier III and achieve tangible development results, the Cities Alliance pursue three main approaches:

- The first – which is the most direct approach - is through facilitating the financing of physical interventions, typically managed through community development/upgrading funds, which directly affect livelihood and access to services for low income households;
- The second approach is to promote larger-scale infrastructure investments directly linked and leveraged by the technical assistance activities - diagnostic, planning and project preparation - supported and provided through the Cities Alliance;

- The third approach - more indirect - focuses on the legal and policy frameworks and the associated strengthening of local and national institutions. This implies encouraging significant changes in the ways cities are managed, their capacity and financial resources, including increased fiscal transfers from higher tiers of government and/or the better management of local revenue sources. These legal and policy changes should have significant direct and indirect long-term impacts on the way cities are run and develop.

18. None of the products and services at Tier III can be delivered outside effective day-to-day operations in the Secretariat. Successfully delivering the mission and the 2018-21 Strategic Plan requires constant organisational changes aimed at optimising the efficiency and flexibility of the Secretariat. Changes in the international aid architecture, a more crowded city space, and evolution in funding patterns with more complex funding modalities require a more attractive, transparent, and cost-effective business model – one that leverages the best of its United Nations and UNOPS institutional operating environment, communicates effectively, and provides excellence in delivery and results. Tier IV description and indicators allow the organisation to continuously track its performance and provide amelioration to its systems and processes.

19. *Relation to the business model.* With the implementation of the new Strategic Plan, the Cities Alliance works through two main funding windows: a technical assistance and operational country/city window centred on the Country Programme model, and a normative global window, centred on the analytical and collaborative approaches of global thematic programmes, such as the Joint Work Programmes (JWPs). Because of the nature of the work they support, the Country Programmes will have more direct and attributable/contributable effects on Tier II. However, the same logic and narrative of change applies to the global window work, although in a more indirect fashion. The assumption is that all global programmes - through their diagnostic work, advocacy and coordination efforts - contribute to raise the profile of cities and operationalise global issues to local contexts. Their campaigns and new technical approaches help to draw attention and corrective actions to the way cities are managed, their capacity and financial resources. The tools and expertise these programmes produce are meant to find direct and practical application in local contexts, especially secondary cities.

Assumptions

20. Critical assumptions are generally referred to as conditions which can affect the achievement of results in the Results Framework, but over which Cities Alliance has no direct control. Critical assumptions may also be expressed as risks or vulnerabilities as they are opposite sides of the same coin. In fact, risks are negative statements about what might go wrong, whereas assumptions are positive statements about the conditions that need to be met if the results are to be achieved. Understanding and analysing these assumptions/risks is an important part of the planning process in order to improve wherever possible the robustness of developmental intervention.

21. The critical assumptions for Secretariat's operations (Tier IV) are fully captured and detailed in the Cities Alliance Risk Management Framework. Without an effective response to these assumptions/risks, the Secretariat would not be able in the first instance to operate and run any programmatic funded activity and deliver against its annual budget and work plan.

22. With regard to the programmatic results (Tier III) and their effects on cities (Tier II), the assumptions are captured in the relevant Cities Alliance documents which define multi-year global/country programmes (Programme Framework Documents). The analysis of risks is carried out against standard risk categories and dimensions (stakeholder, country, institutions, governance, capacity, fraud/corruption, and project design risks). The assumptions/risks for each programme are generally very context-specific. Nevertheless, a few are typical assumptions/risks on which programmes of the Cities Alliance, and ultimately the overall developmental logic of the organisation is strictly contingent upon. The most recurrent assumptions/risks are the following:

- Stability of national governments and the operating environment, including consistency in government approaches and policies;
- Consistency in local governments commitment and ownership with smooth transfer of power through electoral cycles;

- Existing social cohesion and social capital able to ensure that local communities can shape policy and act as a catalyst for change;
- Ability and capacity of partners and stakeholders to operate at standard level of effectiveness and deliver on commitments.
- Ability to leverage follow up investments so that the Cities Alliance's technical assistance can be effective on the ground translating into infrastructure and/or other types of interventions.

III. The Corporate Core Indicators

Hierarchy

TIER I. Developmental Context (Macro level indicators)

- Selected SDGs

TIER II. Client Level Results (City and Neighbourhood level indicators)

- Result Area 1: Municipal Government
- Result Area 2: Services
- Result Area 3: Citizenship
- Result Area 4: Local Economy

TIER III. Programme Results (Programme level indicators)

- Result Area 1: Urban policies
- Result Area 2: Local strategies and plans
- Result Area 3: Infrastructure and investment
- Result Area 4: Capacity development
- Result Area 5: Civil society and communities

TIER IV. Secretariat Results (Key Performance Indicators)

- Performance Area 1: Partnership
- Performance Area 2: Volume
- Performance Area 3: Efficiency
- Performance Area 4: Sustainability

Indicators List

TIER I - DEVELOPMENT CONTEXT

RESULT DESCRIPTION	INDICATORS	CRITERIA
I.1 Improved quality of life, socio-economic condition and inclusion of the urban poor.	I.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing (SDG indicator 11.1.1)	%
	I.1.2 Urban poverty gap at national poverty lines (%) (SDG indicator 1.1.1)	%
	I.1.3 Proportion of total adult population with secure tenure rights to land (SDG indicator 1.4.2)	%
	1.1.4 Proportion of seats held by women in (a) national parliaments and (b) local governments (SDG indicator 5.5.1)	%

TIER II - CLIENT RESULTS

RESULT DESCRIPTION	INDICATORS	CRITERIA	TARGETS[3] [2021]
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 Government] Average municipal expenditures per person per year	*US$*	*% increase on baseline*
	II.1.2 [Municipal Government] Total municipal revenue per year	*US$*	*% increase on baseline*
	II.1.3 [Municipal Government] Average number of municipal employees as a percentage of the total population	*%*	*% increase on baseline*
	II.1.4 [Municipal Government] Average number of women among municipal employees	*%*	*% increase on baseline*
	II.1.5 [Municipal Government] Proportion of municipal employees with post-secondary education.	*%*	*% increase on baseline*
	II.1.6 [Services] Proportion of population in slum and/or low-income areas with regular access to safely managed drinking water services (SDG 6.1.1)	*%*	*% increase on baseline*
	II.1.7 [Services] Proportion of population in slum and/or low-income areas using safely managed sanitation services	*%*	*% increase on baseline*
	II.1.8 [Services] Proportion of population in slum and/or low-income areas with regular electricity connections	*%*	*% increase on baseline*
	II.1.9 [Services] Proportion of population in slum and/or low-income areas with regular access to solid waste collection	*%*	*% increase on baseline*
	II.1.10 [Citizenship] Average percentage of voter participation in most recent local elections	*% of all eligible voters*	*% increase on baseline*
	II.1.11 [Citizenship] Average ratings on participatory planning process in place (budgetary or other) (SDG 16.7.2)	*Scale [0-2]*	*1,5*
	II.1.12 [Local Economy] Average rating of the informal economy working environment	*Scale [0-2]*	*1,5*

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[3] Specific targets for TIER II are defined for each country programme as they are very contextual. Typically they imply a 5% positive change over bassline value.

TIER III - PROGRAMME RESULTS

RESULT DESCRIPTION	INDICATORS	CRITERIA	TARGETS[4] [2021]
III.1 National policy frameworks developed and/or enhanced to address urban development needs.	III.1.1 Number of urban policies at the national level developed and/or updated	*Unit (aggregate from scale: values = or > 2)*	*7*
	III.1.2 Number of urban dialogues which delivered strategic, policy and/or normative influence	*Unit*	*12*
III.2 Local strategies and plans developed towards effective urban development	III.2.1 Number of local strategies/plans developed	*Unit (aggregate from scale: values = or > 2)*	*60*
III.3 Infrastructure and leveraging of funds	III.3.1 Number of beneficiaries of infrastructure projects	*Unit*	*1.8mn*
	III.3.2 Amount of funds leveraged for investments in cities	*US$ total value (,000)*	*USD 420mn[5]*
III.4 Capacities strengthened in city governance and management areas such as strategic planning, financial management, and human resources management.	III.4.1 Number of urban institutions (Cities Alliance members, local governments, national public organisations, universities, training institutions, associations of cities, etc.) with strengthened capacities	*Unit (aggregate from scale: values = or > 2)*	*67[6]*
	III.4.2 Number of people (professionals in the national and local governments, community representatives, civil society, etc.) with strengthened capacities	*Unit*	*7,000*
	III.4.3 Number of toolkits and other TA products with evidence of uptake by the stakeholders and/or beneficiaries	*Unit*	*20*
III.5 Mechanisms developed to engage citizens in city/urban governance	III.5.1 Number of regularly functioning mechanisms developed to engage communities and civil society in urban governance	*Unit (aggregate from scale: values = or > 2)*	*60*

TIER IV - SECRETARIAT RESULTS

RESULT DESCRIPTION	INDICATORS	CRITERIA	YEARLY PERFORMANCE STANDARD
IV.1 Partnership	IV.1.1 Multi-member new programmes/initiatives per year	*Unit*	*2*
	IV.1.2 Total co-financing per programme per year	*US$ total value (,000)*	*700*
	IV.1.3 Members' impression of Secretariat effectiveness	*Scale AVG score*	*4 (out of 5)*
IV.2 Volume	IV.2.1 Number of TA activities approved	*Unit*	*30*
	IV.2.2 Total value of TA activities approved	*US$ (,000)*	*10,000*
	IV.2.3 Knowledge products produced with grant financing by members, partners and the Secretariat	*Unit*	*15*
	IV.2.4 Policy dialogues and formal learning events that are financed by grants and implemented by members, partners and the Secretariat	*Unit*	*10*

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[4] Targets for Tier III are calculated on a minimum of 7 fully active country programmes covering a universe of 60 cities over the four-year period of the Strategic Plan 2018-21. Targets are also calculated on rate of delivery averages and previous results obtained from earlier country programmes.

[5] Calculated on seven times the initial TA investment

[6] Calculated on all universe of cities (60) and at least one national institution per country

IV.3 Efficiency	IV.3.1 Grant Making: Average time from initial submission of proposal to approval of grant	*Days*	*70*
	IV.3.2 Grant Making: Average time from approval of grant to grant agreement	*Days*	*30*
	IV.3.3 Grant Making Efficiency: Average time from grant agreement to first disbursement	*Days*	*10*
	IV.3.4 Grant Making Efficiency: Average time from final disbursement to closing	*Days*	*120*
	IV.3.5 TA activities effectively supervised	*% of total reports received*	*90%*
	IV.3.6 Audience access to knowledge products	*Unique Visitor Access*	*70,000*
IV.4 Sustainability	IV.4.1 Secretariat staff capacity on Gender Mainstreaming	*% positive feedback ratings*	*75%*
	IV.4.2 Secretariat Greenhouse Gas Emissions performance (tonnes CO2 equivalent)	*Average emissions per staff*	*5*
	IV.4.3 Secretariat Delivery Performance	*% completed activities*	*100%*
	IV.4.4 Cities Alliance revenue growth rate	*%*	*15%*

Indicators Definitions

TIER I: DEVELOPMENT CONTEXT

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

I.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing (SDG indicator 11.1.1): The urban population living in slums, informal settlements or inadequate housing (numerator) divided by the total urban population (denominator), expressed as a percentage.
Sources: https://unstats.un.org/sdgs/metadata/

I.1.2 Urban poverty gap at national poverty lines (%) (equivalent to SDG indicator 1.1.1): Urban poverty gap at national poverty lines is the urban population's mean shortfall from the poverty lines (counting the nonpoor as having zero shortfall) as a percentage of the poverty lines. This measure reflects the depth of poverty as well as its incidence.
Sources: https://data.worldbank.org

I.1.3 Proportion of total adult population with secure tenure to land (SDG indicator 1.4.2): Indicator is composed of two parts: (A) measures the incidence of adults with legally recognized documentation over land among the total adult population; while (B) focuses on the incidence of adults who report having perceived secure rights to land among the adult population.
Sources: https://unstats.un.org/sdgs/metadata/

I.1.4 Proportion of seats held by women in local governments (SDG indicator 5.5.1): Indicator measures the proportion of positions held by women in local government. It is expressed as a percentage of elected positions held by women in legislative/ deliberative bodies of local government.
Sources: https://unstats.un.org/sdgs/metadata/

TIER II: CLIENT RESULTS

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 expenditure per person per year [Municipal Government]. Numerator: Total operating expenditures of municipality in a given year. Denominator: total population of municipality in same year. Average expressed in US$.
Sources: Finance department of municipality; national population census and population estimates.

II.1.2 Total municipal revenue per year [Municipal Government]. Total annual revenue generated by the local government from sources other than direct central government transfers. Figure expressed in USD.
Sources: Finance department of municipality.

II.1.3 Average number of municipal employees as a percentage of the total population [Municipal 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 as a percentage.
Sources: Human Resources department of municipality; national population census and population estimates.

II.1.4 Average number of women among municipal employees [Municipal Government]. Numerator: Total number of women directly or indirectly employed by the municipality in a given year. Denominator: Total number of municipal employees in same year. Figure expressed as a percentage.
Sources: Human Resources department of municipality; national population census and population estimates.

II.1.5 Proportion of municipal employees with post-secondary education [Municipal Government]. Numerator: Number of well-trained employees (engineers, technical experts, etc.) in a municipality in a given year. Denominator: Total number of municipal employees in the same year. Figure expressed as a percentage.
Sources: Human Resources department of municipality; national population census and population estimates.

II.1.6 Proportion of population living in slums, informal settlements or inadequate housing areas with access to safely managed drinking water services (equivalent to SDG indicator 6.1.1) [Services]. Proportion of population using safely managed drinking water services is currently being measured by the proportion of population using an improved basic drinking water source which is located on premises, available when needed and free of faecal (and priority chemical) contamination. 'Improved' drinking water sources include: piped water into dwelling, yard or plot; public taps or standpipes; boreholes or tubewells; protected dug wells; protected springs; packaged water; delivered water and rainwater. Numerator: Population living in slums, informal settlements or inadequate housing

areas with access to safely managed drinking water services. Denominator: Total population living in slums, informal settlements or inadequate housing areas. Figure expressed as a percentage.
Sources: Municipal water/sanitation departments; surveys.

II.1.7 Proportion of population living in slums, informal settlements or inadequate housing areas using safely managed sanitation services (equivalent to SDG indicator 6.2.1) [Services]. 'Safe' sanitation facilities include: flush or pour flush toilets to sewer systems, septic tanks or pit latrines, ventilated improved pit latrines, pit latrines with a slab, and composting toilets. Numerator: Population living in slums, informal settlements or inadequate housing areas with access to safely managed sanitation services. Denominator: Total population living in slums, informal settlements or inadequate housing areas. Figure expressed as a percentage.
Sources: Municipal water/sanitation departments; surveys.

II.1.8 Proportion of population living in slums, informal settlements or inadequate housing areas with regular electricity connections (equivalent to SDG indicator 7.1.1) [Services]. Access to electricity refers mainly to connection to the grid, but it also includes other reliable off-grid electricity sources such as solar energy. Numerator: Population living in slums, informal settlements or inadequate housing areas with connection to electricity. Denominator: Total population living in slums, informal settlements or inadequate housing areas. Figure expressed as a percentage.
Sources: Municipal/local electricity supply agency; surveys

II.1.9 Proportion of population living in slums, informal settlements or inadequate housing areas with access to regular solid waste collection (either publicly or privately) (equivalent to SDG indicator 11.6.1) [Services]. Regularly Collected Municipal Solid Waste refers to municipal solid waste that is routinely collected from specific addresses or designated collection points. Waste collection is conducted directly by municipal authorities or private contractors licensed/commissioned by municipal authorities with a regular schedule of the day of the week and time of collection. In some cases, private waste collection companies have contracts with clients individually and provide collection services. Numerator: Population living in slums, informal settlements or inadequate housing areas that are served by regular solid waste collection (either publicly or privately). Denominator: Total population living in slums, informal settlements or

inadequate housing areas. Figure expressed as a percentage.
Sources: Municipal sanitation departments; surveys

II.1.10 Average percentage of voter participation in most recent local elections [Citizenship]. Numerator: Number of eligible voters who voted in most recent local elections. Denominator: Number of eligible (or registered) voters in municipality for the same election. Figure expressed as a percentage.
Sources: GCIF, election registers.

II.1.11 Average rating of participatory planning processes in place (budgetary or other) [Citizenship]. Participatory planning is a tool for identifying the collective needs of all individuals within a community, a way of building consensus, and a means of empowering disadvantaged or disenfranchised groups (World Bank). Rating scale:

0	Little or no participatory planning
1	Participatory planning processes are in place but are ad hoc and irregular
2	Participatory planning processes are in place, formalised and used regularly.

Sources: Surveys and interviews

II.1.12 Average rating of the informal economy working environment [Local Economy]. Informal economy as described by ILO. This indicator measures the extent to which the informal economy is recognised and supported the national and local government. Rating scale:

0	No support to the informal economy / hostility towards the informal economy
1	Ad hoc and unsystematic support to the informal economy
2	Systematic and regular support to the informal economy

Sources: Surveys and interviews

TIER III: PROGRAMME RESULTS

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

III.1.1 Number of urban policies at the national level developed and/or updated [Urban Policies]. The indicator counts the maturity stage and number of urban-related policies at the national level developed and/or updated through the Cities Alliance. Policies on urban development may include sectoral policies covering some or all of the following aspects: housing, slum upgrading, transport, land, fiscal decentralisation.

Unit: Number (#) and Rating scale

0	Policy not developed
1	Policy development/update in process
2	Policy development/update completed

Sources: Copies of the official policies; Secretariat records.

III.1.2 Number of urban dialogues which delivered strategic, policy and/or normative influence [Urban Policies]. The indicator counts the number of urban dialogues shaped by the Cities Alliances at global, national and local level which have had some form of influence on urban policies/thinking. Influence is captured in one or more of the following broad dimensions: increased interest/knowledge on urban issues, increased alignment and partnerships, increased visibility and prominence of urban issues, significant quantity and profiles of attendees, significant follow-up actions, shift in certain values/beliefs (e.g. on forced evictions), adoption of policy recommendations.
Sources: Secretariat records, feedback survey, interviews, fact-finding stories.

III.2 Local strategies and plans developed towards effective urban development

III.2.1 Number of local strategies/plans developed [Local Strategies/Plans]. The indicator measures the maturity stage and number of strategies/plans developed in cities in which Cities Alliance works such as city development strategies (CDSs), slum upgrading strategies, resilience plans, investment plans, etc.
Unit: Number (#) and Rating scale

0	Strategy/Plan not developed
1	Strategy/Plan development in process
2	Strategy/Plan development completed

Sources: Copies of the strategies/plans, and Secretariat records.

III.3 Infrastructure and leveraging of funds

III.3.1 Number of beneficiaries of infrastructure projects [Infrastructure and Investment].
This indicator counts the number of people who have directly benefitted from infrastructure projects implemented through Cities Alliance funding such as Community Upgrading Fund (CUF) projects.
Unit: Number (#)
Sources: Secretariat records

III.3.2 Amount of funds leveraged for investments in cities [Infrastructure and Investment].
This indicator measures the amount of co-, parallel and follow up funds committed by other partners

(local and international) towards urban projects as a result of investments by the Cities Alliance.
Unit: USD
Sources: Secretariat records

III.4 Capacities strengthened in city governance and management areas such as strategic planning, financial management, and human resources management.

III.4.1 Number of urban institutions (Cities Alliance members, local governments, national government units/agencies, public organisations, universities, training institutions, associations of cities, etc.) whose capacities have been strengthened [Capacity Development].
This indicator counts the number of institutions (local governments, national public organisations, universities, training institutions, associations of cities, etc.) whose capacities have been strengthened in city governance and management areas such as strategic planning, financial management, and human resources management. It also monitors the extent to which the engagement of Cities Alliance members in country-based and/or global programmes have contributed to a change in members' corporate practices and policies.

Unit: Number (#) and Rating scale

0	Institutional capacity not strengthened
1	Institutional capacity strengthening in process
2	Institutional capacity strengthening completed

Sources: Secretariat records, programme-based member survey

III.4.2 Number of people (local and national government officials and technicians, community representatives, civil society, etc.) whose capacities have been strengthened [Capacity Development].
This indicator counts the number of people (local governments, national public organisations, universities, training institutions, associations of cities, etc.) whose capacities have been strengthened in city governance and management areas such as strategic planning, financial management, human resources management, community project management etc. Unit: Number (#)
Sources: Secretariat records

III.4.3 Number of toolkits and other TA products with evidence of uptake by the stakeholders and/or beneficiaries
The indicator counts the number of toolkits or similar knowledge products on urban issues that have been developed, syntheses and/or updated by

the Cities Alliance and show sign of uptake by the stakeholders/beneficiaries. Toolkits are understood as thematic guidelines and practitioners' materials to inform technical assistance programmes. These toolkits may derive for example from a global review of case studies, national and local diagnostic work and/or a review of existing practices and guidelines, etc. Unit: Number (#)
Sources: Copies of the toolkits and Secretariat records.

III.5 Mechanisms developed to engage citizens in city/urban governance

III.5.1 Number of participation mechanisms developed to engage citizens in city governance [Civil Society and Communities].
This indicator rates the degree of participation by citizens - with a specific focus on slum dwellers, informal workers and civil society - in city governance by counting governance mechanisms such as social accountability mechanisms, slum development committees, informal workers' associations, municipal fora, etc.
Unit: Number (#) and Rating scale

0	Mechanism not developed
1	Development of mechanism in process
2	Development of mechanism completed

Sources: Secretariat records.

TIER IV: SECRETARIAT RESULTS

IV.1.1 Multi-member new programmes and/or initiatives per year [Partnership]. Indicator measures the number of formalised cooperation frameworks involving two or more members in a given year as a measure degree of the success of the Secretariat convening process. Forms of formalised cooperation may be: framework documents for Country Programmes; MOUs; resolution of partners; statement of agreement. Multi-member is defined as two or more Cities Alliance members.
Source: Secretariat records

IV.1.2 Scaling: Total co-financing per programme per year [Partnership]. Indicator measures total co-funding contributed in a given year to a specific programme by partners directly and/or jointly fundraised. It also calculates the value ratio of the total funds per Secretariat funding.
Source: Secretariat records.

IV.1.3 Members' impression of Secretariat effectiveness [Partnership]. Average rating by members in a given year. Scale of five (1 – very unsatisfactory; 5 – very satisfactory) on selected statements.

Sources: Cities Alliance Secretariat yearly survey of members

IV.2.1 TA activities (CP, JWP and Innovation Fund) approved [Volume]. Indicator measures the total number of TA activities [both grants and contracts] approved in a given year following the appraisal process.
Source: Secretariat records.

IV.2.2 Total value of TA activities (CP, JWP and Innovation Fund) approved [Volume]. 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 Knowledge products that are financed by the Cities Alliance and produced by members, partners and/or the Secretariat [Volume]. Indicator measures the total number and cost of knowledge products developed with Cities Alliance 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 the CEE ratings, 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.

IV.2.4 Policy dialogues and formal learning events that are financed by Cities Alliance and implemented by members, partners and/or the Secretariat [Volume]. 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., IBSA; Policy Advisory Forum, 100RC); (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.3.1 Grant Making - Average time from initial submission of proposal to approval of grant [Efficiency]. 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.3.2 Grant Making - Average time from approval of grant to grant agreement [Efficiency]. 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.3.3 Grant Making - Average time from grant agreement to first disbursement [Efficiency]. 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.3.4 Grant Making - Average time from final disbursement to closing [Efficiency]. Average time, in days, from final disbursement to closing for projects closed in a given year.
Source: Cities Alliance Secretariat records

IV.3.5 TA activities effectively supervised [Efficiency]. 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.3.6 Audience access to knowledge products [Efficiency]. 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.

IV.4.1 Secretariat staff capacity on Gender Mainstreaming [Sustainability]. 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.4.2 Secretariat Greenhouse Gas Emissions performance [Sustainability]. Average emissions per Cities Alliance staff (tonnes CO_2 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.4.3 Secretariat Delivery Performance [Sustainability]. 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.

IV.4.4 Cities Alliance revenues growth rate [Sustainability]. Revenue Growth Rate measures the year-over-year percentage increase in revenue. Revenue Nominator: Revenue current year. Denominator: revenue previous year.
Source: Cities Alliance Secretariat accounting records.

IV. Period 2018-21. Universe, Frequency, Methods and Targets/Performance Standards

23.   This phase of the RF/RBM implementation is for the period of the current Strategic Plan from 2018 to 2021. Currently it covers 2 countries, 21 cities of operations, and 8 multi-year TA programmes. As new operations are rolled out, the universe of measurement will be enlarged.

RF Tier	Universe	Type of indicators	Data Collection Methods	Frequency of data update	Targets (Y/N) (when)
I	Country of operations	Quantitative	Mainly desk review of SDG's indicators from UN Stats and National Institute of Statistics in partner countries	Every year [provided availability of SDG data]. Yearly results are included in the annual report and scorecard	Not applicable since this is the macro developmental context
II	Cities and neighbourhood of sustained operations	Quantitative and maturity scales	Primary data studies/surveys with private/public entities contracted through public procurement	In cities with large scale programmes once every year. Yearly results are included in the annual report and scorecard	Yes (end-line year in 2021/2022 in accordance with the current Strategic Plan) – typically is a 5% positive change
III	All portfolio programmes and projects	Quantitative and maturity scales	Mainly through desk reviews of project reports and documentation	Every year. Yearly results are included in the annual report and scorecard	Yes (end-line year in 2021/2022 in accordance with the current Strategic Plan)
IV	All Secretariat transactions	Quantitative KPIs	Internal through Cities Alliance databases	Every year. Yearly results are included in the annual report and scorecard	Yearly performance standards

V. Corporate Reporting

24. As said above, the Results Framework is a central part of a results-based management system, which operationalises the performance indicators into baselines, milestones and targets, data sources as well as tools and frequency for data collection, and operates across all programmes. The data gathered in the RBM will be reported through two tools: a result-based annual report and a corporate scorecard.

Results-Based Annual Report

25. As part of its accountability requirements to its Governing Bodies and related commitments to development partners, clients and other relevant stakeholders, the Cities Alliance Secretariat shall prepare a yearly report that outlines progress made towards programmatic objectives and stated results at Tiers II (client results), III (programme results) and IV (secretariat results). Grounded in the data collected through the projects and programmes' baseline studies and progress and completion reports, the annual report should provide an aggregate account of progress along with evidence-based explanations of variances in reported achievements, whether positive or negative7. The annual report is issued at the end of Q1 of a given year and retrospectively covers the calendar year before.

26. While reported achievements should be tied in with the actual work for which the Cities Alliance and its Members/Partners are accountable (Tiers III & IV), results reports should also speak to the Alliance's overall aim of enabling cities to be more effective, participatory and able to deliver improved, responsive services to the urban poor (Tiers I & II). In other words, annual results reports should provide an overview of sectoral and city-wide progress towards stated development results (Tiers I and II), while accounting for how the Cities Alliance and its partners contributed to those results (Tiers III and IV). The narrative of the annual report will allow tying the various tiers together when a coherent causal story of impact can be traced. As such, the annual results report is the primary instrument through which the Cities Alliance communicates its story to the Assembly and Management Board, beneficiaries, partners, and to the wider public. It should offer a snapshot of the Alliance's overall performance, facilitate decision-making, and any significant changes in the internal and external context that either affected or will ultimately affect the portfolio effectiveness. While data should provide the backbone of the Annual Report, they should also be complemented by the most significant results (MSC) that have been achieved in the calendar year. According to the MSC theory, these are results which are not captured by indicators but may still be highly noteworthy.

Corporate Scorecard

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

28. Quantifiable indicator measures are used along with a corresponding colour coding system to facilitate analysis and draw the reader's attention to emerging concerns. Green or blue are used to indicate areas where progress is on track; yellow points to issues that need to be watched more closely and where performance is

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7 Most multilateral organizations issue at least two yearly reports, an *annual report* that is presented at annual executive meetings and includes detailed financial information in addition to a description of activities undertaken during the year under review, and more recently an *annual results report*, that concentrates on the results obtained from their operations and normally includes or is based on an organizational results framework. Given the size of its operations, the Cities Alliance opted for a combined yearly report, which should serve as the main prospectus of the Cities Alliance's work and effectiveness contributions, to which traditional information pertaining to financials, human resources, and other relevant issues are appended.

improving, relative to baseline data; and red is used to highlight areas where performance is either off track or not improving. The table (below) provides a description of the 'traffic-light' system and the correspondent coding for quantitative values. The *Aggregate Results* column indicates the mean distribution of results and corresponding colour scheme for qualitative/maturity scale in instances where the performance of two or more country programmes are collated and averaged out for indicators based on ratings. Numerical ratings should be used to aggregate results only. Final scorecard balance sheets should show the colour only. The definitions used in the table borrow heavily from the World Bank's approach. The Corporate Scorecard is published on an annual basis in conjunction with the Annual Report.

Scorecard Rating System

Quantitative coding	Aggregate Results for Maturity scales	Definition
<50%	0 – 0.7	**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.
50-75%	0.7 – 1.5	**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.
> 75%	1.5 – 2	**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.
Sustained >100%	2 (sustained)	**SUSTAINABLE.** Targets/Performance standards are consistently achieved and mechanisms/processes underlying change are institutionalised and/or maintained without external assistance.
N/A	White	**NOT APPLICABLE.** There is insufficient data to establish a trend, or there is no target or performance standard.