



2017

SCORECARD

Results and Performance Management

**ANNEX TO THE
ANNUAL REPORT**

Cities Alliance

Cities Without Slums

ANNEX: CITIES ALLIANCE RESULTS AND PERFORMANCE MANAGEMENT

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 2017 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 four-year Strategic Plans 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 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 current version of the Cities Alliance Results Framework was approved at the 2013 Annual Meeting in Ouagadougou. With the new Strategic Plan for 2018-21 in place, revisions will be made to the current version and the revised Results Framework will be effective from the 2018 Scorecard edition.

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

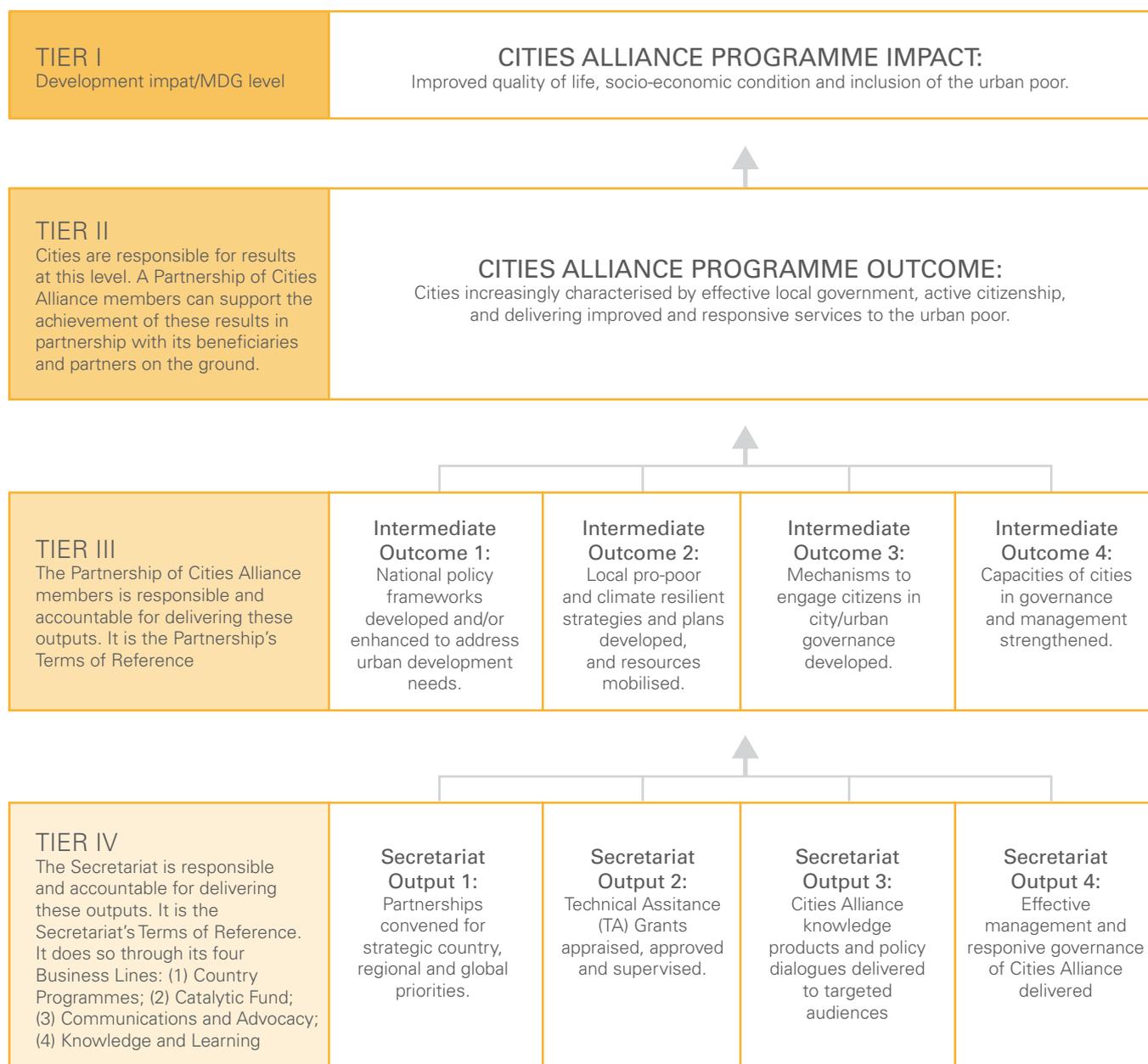
Tier I: Sustainable Development Goals. This tier is primarily contextual and reports on the long-term development goals that countries are achieving. The universe of measurement is the countries where Cities Alliance has a long-term engagement. Developmental impact is measured in terms of livelihood of the target population – the urban poor – across three aspects: slums, 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.

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



2. SUMMARY OF CORPORATE SCORECARD

TIER I: Development Context	<ul style="list-style-type: none"> • Slums • Health • Participation 	<p>Legend:</p> <ul style="list-style-type: none"> ● 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. <p>For Tiers I, colour-coded traffic lights and targets are not provided since they pertain to the macro developmental context.</p>
TIER II: Cities and Partner Result	<ul style="list-style-type: none"> • Local Governance • Active Citizenship • Access to Services 	
TIER III: Results in Programmes	<ul style="list-style-type: none"> • National Policies • Local Strategies and Plans • Citizen Engagement • Capacity Development 	
TIER IV: Organisational Efficiency and Performance	<ul style="list-style-type: none"> • Partnerships • Technical Assistance (TA) activities • Knowledge Products and Policy Dialogues • Cities Alliance Efficiency and Governance 	

3. THE SCORECARD

TIER I DEVELOPMENT CONTEXT			Aggregate for Burkina Faso, Ghana, Mozambique, Uganda, Vietnam (First Cluster of Country Programmes) COMPLETED		Liberia and Tunisia (Second Cluster of Country Programmes) ACTIVE			
IMPACT	INDICATORS*	CRITERIA*	BASELINE [2013]	LATEST ACTUALS [2016]	LIBERIA BASELINE [2017]	LIBERIA TARGET [2021]	TUNISIA BASELINE [2017]	TUNISIA TARGET [2021] [†]
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%	53%	65.7%	62.4%	0.19%	0.19%
	I.1.2 Percentage of households in urban areas that exist without secure tenure	%	N/A	N/A	64.6%	61.4%	N/A	N/A
	I.1.3 Under age 5 mortality rate in urban areas**	Per 1000	93.2	81.3	61	58	13.6	12.9
	I.1.4 Participation of urban poor in the voting population ^{††}	%	60.3%	64.4%	N/A	N/A	N/A	N/A

*[Only measured in cities and countries where Cities Alliance works]

[†] The regular target of 5% improvement does not apply for Tunisia. The target setting is more flexible, with the 5% improvements targeted for poorly performing indicators, but not for those that already have a high level of performance.

[§] 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.

TIER II OUTCOMES			Aggregate for Burkina Faso, Ghana, Mozambique, Uganda, Vietnam (First Cluster of Country Programmes) COMPLETED		Liberia and Tunisia (Second Cluster of Country Programmes) ACTIVE			
OUTCOME	INDICATORS	CRITERIA*	BASELINE [2013]	LATEST ACTUALS [2016]	LIBERIA BASELINE [2017]	LIBERIA TARGET [2021]	TUNISIA BASELINE [2017]	TUNISIA TARGET [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 Average municipal expenditures per person per year	US\$ [total expenditures / population]	42.58 USD	66.11 USD	3.15 USD	3.31 USD	39.36 USD	41.33 USD
	II.1.2 Average number of municipal employees per 1000 inhabitants per year	1000 [# Employees / total population]	3.14	3.33	0.40	0.42	3.28	3.44
	II.1.3 Average number of women among municipal employees	% [# women employees / total municipal employees]	35%	35%	31.6%	33.18%	14.56%	15.29%
	II.1.4 Proportion of municipal employees with post-secondary education.	% [# employees with edu / total municipal employees]	47%	52%	19.4%	20.37%	6.87%	7.21%
	II.1.5 Average percentage of voter participation ^{§§}	% of all eligible voters	58%	56%	75.2%	78.9%	19.94%	20.94%
	II.1.6 Average percentage of women voter participation	% of all eligible women	62%	63%	N/A	N/A	N/A	N/A
	II.1.7 Average ratings on existence of a municipal website for citizen questions and complaints ^{***}	Scale [0-2]	0.96	1.01	0	1 [#]	1.67	1.75
	II.1.8 Average ratings on functioning of local-level structures for consultations	Scale [0-2]	1.43	1.51	0	1	1.22	1.28

* [Only measured in cities and areas where Cities Alliance works]

[#]The regular target of 5% improvement does not apply for Tunisia. The target setting is more flexible, with the 5% improvements targeted for poorly performing indicators, but not for those that already have a high level of performance. Some targets for both Liberia and Tunisia are yet to be confirmed with the programme partners.

^{§§} Data from Burkina Faso are 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.

^{***} For indicators II.1.7 to II.1.9, the target is to attain the next level of the maturity scale, except where the highest level has already been attained, then the target is to maintain that highest level.

TIER II OUTCOMES			Aggregate for Burkina Faso, Ghana, Mozambique, Uganda, Vietnam (First Cluster of Country Programmes) COMPLETED		Liberia and Tunisia (Second Cluster of Country Programmes) ACTIVE			
OUTCOME	INDICATORS	CRITERIA*	BASELINE [20013]	LATEST ACTUALS [2016]	LIBERIA BASELINE [2017]	LIBERIA TARGET [2021]	TUNISIA BASELINE [2017]	TUNISIA TARGET [2021]#
II.1 Cities increasingly characterised by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.	II.1.9 Average ratings on participatory planning process in place (budgetary or other)	Scale [0-2]	1.41	1.23	0	1	2	2
	II.1.10 Average ratings on levels of civil society activity in municipality.	Scale [0-2]	1.30	1.40	2	2	1	1.05
	II.1.11 Average proportion of households in slum and/or low-income areas with regular access to potable water	%	59%	74%	84.4%	88.62%	98.83%	98.83%
	II.1.12 Average proportion of kilometres of maintained roads/ paths in slum and/ or low-income areas	%	35%	41%	N/A	N/A	49.19%	51.65%
	II.1.13 Average proportion of households in slum and/or low-income areas with sewerage connections	%	51%	51%	72.1%^{##}	75.71%	91.14%	91.14%
	II.1.14 Average proportion of households in slum and/or low-income areas with regular electricity connections	%	56%	71%	48.6%	51.03%	99.40%	99.40%

^{##}Access to improved sanitation, not sewerage.

TIER II OUTCOMES			Aggregate for Burkina Faso, Ghana, Mozambique, Uganda, Vietnam (First Cluster of Country Programmes) COMPLETED		Liberia and Tunisia (Second Cluster of Country Programmes) ACTIVE			
OUTCOME	INDICATORS	CRITERIA*	BASELINE [20013]	LATEST ACTUALS [2016]	LIBERIA BASELINE [2017]	LIBERIA TARGET [2021]	TUNISIA BASELINE [2017]	TUNISIA TARGET [2021] [#]
II.1 Cities increasingly characterised by effective local government, active citizenship, and delivering improved and responsive services to the urban poor.	II.1.15 Average proportion of households in slum and/or low-income areas with regular solid waste collection	%	46%	60%	35.9%	37.70%	89.21%	93.67%
	II.1.16 Effectiveness of advocacy and knowledge product dissemination – Average Official Development Assistance for urban development	US\$ (,000,000) [# ODA flows]	30.6	N/A	N/A	N/A	N/A	N/A
	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	N/A	N/A	N/A	N/A	N/A

* [Only measured in cities and areas where Cities Alliance works]

The first cluster of Cities Alliance Country Programmes was implemented between 2010 and 2016 in Burkina Faso, Ghana, Mozambique, Uganda and Vietnam. The second cluster of Country Programmes began in the first half of 2016 and is currently being implemented in Liberia and Tunisia. This edition of the Corporate Scorecard recaps the results of the first cluster of Country Programmes and the main findings of the baseline studies of the second cluster. It also uses the data from both clusters to understand the context of current and future interventions.

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 and based on primary data. 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.

Tier II data for the first cluster of Country Programmes was collected at three points of the programme lifecycle – baseline data at programme initiation, mid-line data during programme implementation, and end-line data at programme closure. The data and findings collected were used to make programme adjustments, evaluate their performance, and report on development impact. The second cluster of Country Programmes follows a similar M&E approach as the first cluster. Baseline studies have been carried out in 2017 for both Liberia and Tunisia Country Programmes, and mid-line and end-line studies are scheduled to take place as the programmes progress (mid-2018) and are completed (end of 2021).

The baseline study for Liberia was commissioned to the Agency for Economic Development and Empowerment (AEDE). For Tunisia, Best Consulting carried out the study. The data reported from these studies does not only serve M&E purposes, but is also used for context diagnostic and analysis, programme design, and partner and beneficiary learning. The baseline study for Liberia covered the geographic area of Greater Monrovia, where the programme activities are currently focused. Data from the baseline study for Tunisia was collected within the scope of the nine cities of intervention by the Country Programme (Béja, Gabès, Jendouba, Kairouan, Médenine, M'saken, Sidi Bouzid, La Soukra and Tataouine). It should be noted that both studies did not collect data only related to the Cities Alliance corporate indicators, but also other areas specific to the context and programme design.

The indicator targets have been adapted to reflect the areas in which programme interventions and investments are mostly focused. For the Tunisia Country Programme, the usual target of five per cent increase is not applied to the indicators that already

scored very high at the baseline so that the Country Programme can focus more on the areas in which a lack is identified, such as effective governance and participation.

TIER II: BASELINE HIGHLIGHTS OF THE SECOND CLUSTER OF COUNTRY PROGRAMMES

LIBERIA:

Effective local governance (Indicators II.1.1 to II.1.4):

Effective local governance in Greater Monrovia suffers extreme budgetary and human resource limitations. The local government spends approximately US\$ 3.15 per inhabitant per year, there is only one municipal worker for every 2,500 inhabitants, and only 19.4 per cent of municipal employees have post-secondary education. These low numbers indicate the enormous challenge faced by the local governments in providing services to their citizens. These governance challenges are a common recurrence in the Country Programmes, and similar situations were observed in the first cluster. For instance, according to the programme baseline (2013) in Burkina Faso, the average municipal expenditure per inhabitant per year was approximately US\$ 7.5, the ratio of municipal employees to municipal population was approximately 1 employee for every 1,786 inhabitants, and only 9 per cent of municipal employees had post-secondary education.

The activities that led to significant impact in governance in the first cluster of Country Programmes are being replicated in Liberia. Technical assistance is provided to support capacity development of local governments, and an Association of Mayors and Local Government Authorities (AMLOGAL) has been established in collaboration with UCLGA. As part of the corporate effort to improve gender mainstreaming in country operations – a point of weakness in the first cluster – the programme is consistently applying a Gender Marker across all components.

Inclusiveness and participation (Indicators II.1.5 to II.1.10):

The perception of inclusion and participation is also significantly low in Liberia. Although a good number of Liberians participated in the last local elections (75.2%), there are few mechanisms in place for actual citizen engagement with local authorities or participatory planning. Civil society is very active, but there is a disconnect between its activities and city management. The Country Programme is tackling

the issue of inclusion and mobilisation from several angles, including mapping and organising of urban poor communities, strengthening the informal sector in advocating for their space in the city, supporting the local governments with participatory planning processes, and promoting national and municipal urban forums as platforms where all urban development stakeholders at the national, city and community levels can interact and seek inclusive solutions.

Ability to deliver improved, responsive services to the urban poor (indicators II.1.11 to II.1.15):

The baseline study points to a major deficit in basic service delivery to the urban poor in Greater Monrovia, with 84.4 per cent access to potable water, 72.1 per cent access to sanitation, 48.6 per cent access to electricity and 35.9 per cent access to regular waste collection. Similar deficits were witnessed within the first cluster of Country Programmes. At the start of the Burkina Faso Country Programme, for example, access to potable water was 59 per cent, access to sanitation was 73 per cent and access to regular electricity connection was 27 per cent in the informal settlement and low-income areas targeted by the programme.

To redress some of these deficits, the Country Programme in Liberia is supporting direct interventions to improve access to housing and basic services for the urban poor. An affordable housing programme is being developed in partnership with HFHI, waste management and energy projects with physical components are being designed with the European Union, and a Community Upgrading Fund (CUF) is being established to implement community infrastructure projects. A Slum Upgrading Unit has been set up on the Ministry of Internal Affairs to coordinate and lead activities around the upgrading of poor and informal settlements. It is worth noting that by completion, the first cluster of Country Programmes had witnessed a 20 per cent aggregate improvement across these indicators.

TUNISIA:

Effective local governance (Indicators II.1.1 to II.1.4):

Baseline data on effective local governance and participation highlights major focus areas for the Country Programme interventions. Average municipal expenditures per person per year (indicator II.1.1) are lower than with the first cluster of Country Programmes at their initiation (US\$ 39.36). Women account for only 14.56 per cent of the average municipal workforce (indicator II.1.3), and only 6.87 per cent of municipal employees are educated beyond the secondary school level (indicator II.1.4).

The Country Programme will make progress in these areas by improving the enabling environment through funded activities at the national level. The Programme is supporting the development of an integrated and comprehensive urban policy framework that will be able to create the institutional platform for effective management of urban development. Capacity development opportunities are also being provided to local governments: so far 40 municipal

staff have been trained on strategic planning. The Country Programme is supporting the Tunisian government's inter-municipal cooperation agenda as a way to encourage knowledge-sharing and the spread of good practices in urban governance. Through inter-municipal cooperation, municipalities are pooling together their financial and human resources to jointly provide services to their inhabitants and benefit from an economy of scale.

Major improvements in effective local governance are expected once the first post-revolution local elections are held, planned for May 2018.

Inclusiveness and participation (Indicators II.1.5 to II.1.10):

There is still considerable room for improvement in participation and inclusion, which was a main contentious motor behind the Arab spring. While indicator II.1.9 on participatory planning processes scores quite high (2 on a rating scale of 0 to 2) because of targeted efforts by the government and international partners, ratings are low in other citizenship aspects, such as voting and civil society activity. The Programme is already scaling up participatory planning to eight cities, and it will seek to consolidate this into a more comprehensive framework for citizen participation. Funds have been put aside to support the mobilisation of civil society and communities, and to foster their engagement with local governments. In other Country Programmes, this is typically done through community-driven priority infrastructure projects such as a Community Upgrading Fund. In Tunisia, since baseline data shows more of a need for inclusion and participation than infrastructure, the approach is different. Small projects (infrastructure or otherwise) will be financed insofar as the identification and implementation of the projects are guided by close collaboration between the communities, the civil society and the local government, and in alignment with the priorities identified in the CDS process. This conditional financing could include resources for local economic development projects, cultural projects, etc.

Ability to deliver improved, responsive services to the urban poor (indicators II.1.11 to II.1.15):

The levels of service delivery to the urban poor are quite high (above 90 per cent access to potable water, electricity and sewerage connections). The main lag in service delivery to the urban poor is the regular maintenance of roads in lower income neighbourhoods (indicator II.1.12) where only 49.19 per cent of roads are regularly maintained.

The CDS process involves diagnosing backlogs in service delivery and recommending priority actions to tackle them. The focus is on secondary cities in the lagging interior regions.

Work is also ongoing in partnership with the World Bank and the Tunisian government to assess the role of cities in regional development, including the analysis of previous investment strategies of cities and regions and how they can be improved to reduce disparities between the coastal and interior areas.

TIER III INTERMEDIATE OUTCOMES			Aggregate for Burkina Faso, Ghana, Mozambique, Uganda, Vietnam (First Cluster of Country Programmes) COMPLETED			Liberia and Tunisia (Second Cluster of Country Programmes) ACTIVE			
OUTCOME	INDICATORS	CRITERIA*	BASELINE [2011]	TARGET [2016]	LATEST ACTUAL [2016]	LIBERIA BASELINE [2017]	LIBERIA TARGET [2021]	TUNISIA BASELINE [2017]	TUNISIA TARGET [2021]
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	1	0	1
	III.1.1b Number of countries with national urban policy(ies) adopted	Unit (aggregate from scale: values = 3)	0	3	1	0	1	0	1
	III.1.2 Number of countries with national urban policy frameworks developed	Unit (aggregate from scale: values= 3)	0	3	3	0	1	0	1
III.2 Local pro-poor and climate-resilient strategies and plans developed, and resources mobilised	III.2.1 Number of local pro-poor climate resilient strategies/ plans developed	Unit	0	42	32 ^{****}	0	4	0	8
	III.2.2 Average total financial resources mobilised by partners for strategy implementation (yearly)	US\$	0	500K	99.3mn ^{****}	0	N/A	0	N/A
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	12	0	8
	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	1	0	1
	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	9	0	5

*[Only measured in cities and areas where Cities Alliance works]

^{§§§} 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 INTERMEDIATE OUTCOMES			Aggregate for Burkina Faso, Ghana, Mozambique, Uganda, Vietnam (First Cluster of Country Programmes) COMPLETED			Liberia and Tunisia (Second Cluster of Country Programmes) ACTIVE			
OUTCOME	INDICATORS	CRITERIA*	BASELINE [2011]	TARGET [2016]	LATEST ACTUAL [2016]	LIBERIA BASELINE [2017]	LIBERIA TARGET [2021]	TUNISIA BASELINE [2017]	TUNISIA TARGET [2021]
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	12	0	8
	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	1	0	1

* [Only measured in cities and areas where Cities Alliance works]

INTERMEDIATE OUTCOMES - 2017 STATUS BY CITY

Rating scales
See Annex 1: Indicator Definitions

■ Not implemented
 ■ In progress but not on track
 ■ In progress and on track
 ■ Completed

TIER III INTERMEDIATE OUTCOMES																																				
INDICATORS	DEFINITION/SUB-INDICATORS	LIBERIA	Greater Monrovia	Barnesville	Caldwell	Congo Town	Dixville	Gardnersville	Garwolon	Johnsonville	Monrovia City	New Georgia	New Kru Town	Paynesville	West Point	TUNISIA	Béja	Gabès	Jendouba	Kairouan	Médénine	M'Saken	Sidi Bouzid	Soukra	Tataouine	AVERAGE	# score 0	% score 0	# score 1	% score 1	# score 2	% score 2	# score 3	% score 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)]	0														0										0.0	0	0%	0	0%	2	100%	0	0%	2	
	III.1.2 Status of development of national urban policy frameworks [Rating scale (0-3)]	0														0										0.0	0	0%	0	0%	2	100%	0	0%	2	
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 [# of strategies/plans]	2	3														1	1	1	1	1	1	1	1	1	1	N/A	0	0%	0	0%	14	100%	0	0%	14
III.3 Mechanisms to engage citizens in city/urban governance developed	III.3.1 Cities with regularly functioning governance mechanisms at the city level to engage citizens in urban governance [Rating scale (0-3)]			1	1	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1	1	1	1.0	0	0%	0	0%	21	100%	0	0%	21	
	III.3.2 Countries with regularly functioning governance mechanisms at the national level to engage citizens in urban governance [Rating scale (0-3)]	1														1										1.0	0	0%	0	0%	2	100%	0	0%	2	
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)]		0	0	0	0	0	0	0	0	0	0	0	0	0		1	1	1	1	1	1	1	1	1	0.4	0	0%	12	57%	9	43%	0	0%	21	
	III.4.2 Capacity of training and support organisations to train local government officials and current and future urban technical experts has been strengthened [Rating scale (0-2)]	1																							1.0	0	0%	0	0%	1	100%	0	0%	1		

TIER III: BACKGROUND AND METHODOLOGY

Tier III indicators measure progress in the achievement of intermediate outcomes, mainly on maturity scales showing the level of maturity for each outcome indicator from programme initiation to programme completion. The indicators are based on a set of activities and outputs that are common to the universe of cities and countries of intervention, and that are consistent with the Cities Alliance areas of investments. Overall, indicators in this Tier are on track and in line to deliver on their targets.

TIER III: EVIDENCE

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

In the second cluster of Country Programmes (Liberia and Tunisia) the development of national urban policies is being maintained as a key component of the intervention design. Both Country Programmes recognise the need for a favourable policy environment as an enabling factor for effective management of urban development. In Liberia, a feasibility study has been carried out to grasp a clear understanding of the context and to identify the factors that would characterise a national urban policy. A next phase is now being designed to articulate the consultative process, which will forge the political constituency behind the policy. With regard to Tunisia, consultations have started with the Country Programme partners, including the local governments and key national government agencies, to kick-start the process.

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

The development of national urban policy frameworks is intended to promote the shift from single sectoral policies to integrated and comprehensive frameworks for city planning and governance. This concept of integrated urban systems was further elaborated in the Cities Alliance's normative framework for urban development, which looked at the effective functioning of cities from an integrated five-dimensional setup of governance, the economy, the environment, services (basic and social) and citizenship.

The Country Programme in Liberia has already adopted the system-wide integrated approach in the development of the national urban policy, and the same integrative and comprehensive approach will be applied to Tunisia.

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

City Development Strategies (CDS) are at different stages of development in Liberia and Tunisia. This strategic planning methodology is widely established in Tunisia, with years of successful usage supported by the Cities Alliance in Sfax and Sousse, among others. The challenge in Tunisia is to upscale the practice to other municipalities, especially those in lagging regions. Through a grant to UNDP, the CDS process is being replicated to nine cities within the framework of the

Country Programme. In Liberia, on the other hand, the CDS is being introduced as a novel instrument. The Country Programme plans to pilot a CDS in Monrovia using the Cities Alliance CDS 2.0 toolkit as a guiding tool to ensure a solid, inclusive process.

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

The mobilisation of follow-up funding for strategy implementation is a crucial element for upscaling Country Programme activities and sustainability of results. The cities of intervention are usually secondary cities which are struggling in their governance capacities and service delivery to residents. The deployment of further financial resources will go a long way to remedying these deficits, especially in Liberia, where the limitations are enormous. In Liberia, the Country Programme has already leveraged an additional US\$ 7.1 million in investment from the EU to work on waste management and energy. Business development options are also being explored in Tunisia, where the CDS project is already well anchored in the "Sustainable Cities" Programme of the Ministry of Local Affairs and Environment (MALE), which is considering providing follow-up funding to the CDSs through the programme. Funds are also being mobilised for the next phase of the programme in Tunisia, which will focus on implementing the CDS in the nine cities and upscaling to include further cities.

III.3.1 # of cities with regularly functioning governance mechanisms to engage citizens in urban governance (city level)

The low levels of inclusion and participation stand out very clearly in both the Liberia and Tunisia Country Programmes, though with different intricacies. In Liberia, the citizenry demonstrates eagerness to engage and the civil society is active, but the institutional environment is unfavourable as seen in the lack of participatory planning processes and other structures for consultation. In Tunisia, participatory planning processes are well established, but the overall perception of participation indicates that improvements must be made in building confidence in institutions and spurring civil society into action.

In Liberia, the Country Programme is supporting participation mainly through its work on community mobilisation and enumeration/mapping, in partnership with Slum Dwellers International (SDI) and YMCA. Communities are being empowered with knowledge and awareness about themselves to effectively interact with local authorities. In addition, street vendors and informal traders – an important part of urban Liberia – are catered for by strengthening their association and building their capacities to negotiate their rights and selling space in the city with the local governments.

In Tunisia, the level of participation of youth, women and the civil society is being monitored closely across the activities of the Country Programme, especially in the preparation of CDSs. Results so far in the nine cities of intervention include 32 per cent female participation, 32 per cent youth participation, and 50 per cent civil society participation in city consultation activities of the Country Programme, and 82 per cent satisfaction among women, youth and civil society with the

participatory planning process. Five multi-stakeholder meetings and ten more bilateral meetings have been organised with decision makers to support inclusion and participation.

III.3.2 # of countries with regularly functioning governance mechanisms to engage citizens in urban governance (national level)

Both the Liberia and Tunisia Country Programmes are working with decision makers and institutions at the national level to build mechanisms for stakeholder participation. A typical Country Programme activity is to organise and institutionalise national urban forums as platforms for dialogue and consultation among all national stakeholders in urban development. The first major activity of the Country Programme in Liberia was the organisation of the National Urban Forum (NUF) in June 2015, which resulted in the Resolution of the NUF and a roadmap for the development of national urban policy. Subsequently, a Slum Upgrading Unit has been created in the Ministry of Internal Affairs' Department of Urban Affairs. The creation of the Slum Upgrading Unit is a major milestone in the inclusion of the urban poor in policy-making and governance. The establishment of the Association of Mayors and Local Government Authorities of Liberia (AMLOGAL) is also fundamental to collective participation and inclusion of the local government constituency in decision making at the national level.

In Tunisia, the national urban policy process will incorporate inclusion and participation and seek to establish adequate support mechanisms. Notably, the Country Programme's Steering Committee is not only serving as a consultative and advisory body to the programme, but is increasingly functioning as a forum for dialogue among the national government, the association of local governments (FNVT), and development partners on pressing urban development issues. A national urban forum for Tunisia is planned for the last quarter of 2018.

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

The Community Upgrading Fund is being set up in Liberia. Beyond the objectives of implementing small infrastructure projects in communities, the CUF is also engaging communities and local governments in prioritising infrastructure projects. Twelve communities in the 12 local government areas of Greater Monrovia have been mobilised and organised, and they are being strengthened and capitalised through their community management committees to identify, prioritise, and implement community infrastructure projects. As in Liberia, the Country Programme in Tunisia will strengthen the inclusion of communities through the capitalisation of community-led projects. Mechanisms to engage citizens have already been put in place in nine cities as part of the CDS process.

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.

The Country Programmes in Liberia and Tunisia have capacity development as key target, with project activities adopting a learning-by-doing approach to build the know-how of local counterparts during implementation. In Liberia, a grant has been issued to SDI (with YMCA as the affiliated implementing organisation) to carry out mobilisation and mapping of communities by the communities themselves. A local government capacity development project is also being designed, with the IHS as the lead organisation and in partnership with the Ghanaian Institute for Local Government Studies (ILGS), to apply the best practices and lessons learned from the Ghana Country Programme's capacity development activities. The activities related to the waste management project include training citizens in primary solid waste collection, such as awareness around recycling and composting. In partnership with the World Bank, the capacities of local and national government staff on solid waste management will also be strengthened. In Tunisia, the strengthening of local government capacities is progressing alongside the design of CDSs. Forty local government officials have been trained on strategic planning, of whom 37.5 per cent are women. Eighty-two per cent of those trained express total satisfaction with the training. The programme in Tunisia is supporting the participatory implementation of small projects in line with CDS priorities. These projects will be designed, implemented, and monitored in participation with the local authorities through a "learning by doing" approach that will strengthen their capacities for project management.

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 Country Programmes adopt institutional strengthening of training institutions to ensure the sustainability of capacity development. This approach is being further extended to a regional scale by involving ILGS Ghana in the Liberia Country Programme. The newly created Association of Mayors and Local Government Authorities of Liberia is also providing knowledge to the local authorities. The Fédération Nationale des Villes Tunisiennes (FNVT) is actively playing this role in the Tunisia Country Programme. In addition, the Centre for Training and Decentralisation in Tunisia (CFAD -Centre de Formation et d'Appui à la décentralisation) is being strengthened as a key partner in CDS development. They have undertaken the training of trainers for a pool of urban planners who are now supporting the cities in their CDS processes. CFAD has also included a training course on the CDS methodology in its regular training programme.

TIER IV SECRETARIAT OUTPUTS

OUTPUTS	INDICATORS	CRITERIA	2010	2012	2013	UNOPS (From 31 August - 31 December 2013)	2014	2015	2016	2017	YEARLY PERFORMANCE STANDARD	% COMPLETE	STATUS (end CY 2017)
					World Bank (Up to 30 August 2013)								
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	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	659,393	700	94%	
	IV.1.3 Diversity of partners per multi-member partnership agreement	Scale AVG score	2	2	2.5	1	3	2,5	4	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	7	30	23%	
	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	1,068,965	7,500	14%	
	IV.2.3 TA activities effectively supervised	% of total reports received	N/A	N/A	75%	75%	70%	90%	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	14	10	100%	
	IV.3.2 Number of knowledge products produced with grant financing by the Secretariat	Unit	5	7	16	0	17	28	20	10	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	73,821	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	0	5	0%	
	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	13	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	65	60	92%	
	IV.4.2 Grant Making Efficiency: From approval of grant to grant agreement	Days	107	80	44	16	59	39	63	34	30	88%	
	IV.4.3 Grant Making Efficiency: From grant agreement to first disbursement	Days	N/A	N/A	N/A	42	12	10	12	19	10	54%	
	IV.4.4 Grant Making Efficiency: From final disbursement to closing	Days	N/A	N/A	N/A	N/A	Tracking	Tracking	N/A	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	N/A	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	N/A	4	100%	
	IV.4.7 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 [2013]	8.3 [2016]	5 ^{§§§§}	N/A	
	IV.4.8 Secretariat staff capacity on Gender Mainstreaming	% positive feedback ratings	N/A	N/A	N/A	N/A	N/A	57%	N/A	N/A	75%	N/A	
	IV.4.9 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%	84%	100%	N/A	

^{###} 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.

TIER IV HIGHLIGHTS:

The Secretariat generally performed well in 2017, scoring improvements from previous years across most indicators. The main highlights on the Secretariat's efficiency are as follows:

- Performance on partnerships remained high, with the Secretariat establishing the new phase of the Habitat III Joint Work Programme (now known as Joint Work Programme on Cities and Global Agendas) as well as a joint venture with the World Economic Forum in support of the JWP on Equitable Economic Growth in cities.
- While the Secretariat's efficiency and effectiveness in supervising technical activities remained high (90 per cent) across an active portfolio, the number of technical activities approved in 2017 fell significantly short of the target. The reason for this is twofold. First, in 2016, the Cities Alliance closed three major programmes (FCA, LSC and the BMGF intermediation portfolio) and 2017 was a transitional year to build a new pipeline of programmes. Second, expecting a surge in volume, many TA activities were designed and appraised in the latter part of 2017, and they are not considered in the overall computing as their approval will take place in 2018.
- The Secretariat kept a high level of performance on the development and dissemination of knowledge products and policy dialogues within the context of its JWPs.
- Grant-making efficiency improved markedly in 2017, continuing the positive trend of 2016 and coming very close to the overall 100-day target. While this can certainly be accounted for by the smaller volume of new grants going through the system, it is also caused by the impact of the new policies and procedures introduced in 2016 (new manual and service standards) as well by the increasing rigour and culture in grant-making and portfolio management that the Secretariat is instilling.
- The Secretariat's Greenhouse Gas Emissions dropped by 32 per cent thanks to a conscious effort to rationalise staff travel and the sponsorship of event participants.

ANNEX 1. INDICATOR DEFINITION

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 in order 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	NO WEBSITE OR EQUIVALENT ICT SYSTEM
1	WEBSITE (OR EQUIVALENT ICT SYSTEM) EXISTS AND SOME INFORMATION AVAILABLE BUT IS NOT MAINTAINED/INTERACTIVE
2	WEBSITE EXISTS (OR EQUIVALENT ICT SYSTEM), INFORMATION AVAILABLE AND PLATFORM IS INTERACTIVE

Sources: City IT Departments.

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

Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. It is a deliberation, discussion, and dialogue. The objective of a consultation is to seek information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The 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	LITTLE OR NO GOVERNANCE STRUCTURES FOR CONSULTATIONS
1	AD HOC OR IRREGULAR GOVERNANCE STRUCTURES FOR CONSULTATIONS
2	GOVERNANCE STRUCTURES THAT ARE LEGALLY MANDATED AND FUNCTIONING ACTIVELY

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

II.1.9 Participatory planning 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	LITTLE OR NO PARTICIPATORY PLANNING
1	FORMAL PLANNING STRUCTURES IN PLACE FOR BUDGETS AND PLANNING PROJECTS
2	REGULAR USE OF LOCAL PARTICIPATORY PROCESSES FOR BUDGETARY AND PROJECT PURPOSES

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

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

The term civil society refers to the wide array of **non-governmental and not-for-profit 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	LITTLE OR NO CIVIL SOCIETY ACTIVITY
1	MODERATE CIVIL SOCIETY ACTIVITY
2	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 US\$.

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	LITTLE OR NO REFERENCE TO CITY AND URBAN THEMES
1	REPRESENTATION OF URBAN AND CITY THEMES
2	URBAN AND CITY AGENDA CONSIDERED AS A CORPORATE PRIORITY

TIER III: 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 of 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	Policy not developed
1	Policy under development
2	Policy developed
3	Policy adopted

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

III.1.2 Status of development of national urban policy frameworks. The rating scale measures the development of an urban policy framework in countries where the 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	Policies not developed
1	Single sectoral policy developed
2	Sectoral policies developed
3	Comprehensive and integrated policy framework developed

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

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

III.2.1 Number of local pro-poor and climate resilient strategies/plans. The indicator measures the number of local pro-poor and climate resilient strategies/plans developed in cities in which 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	Mechanisms to engage citizens do not exist at community and municipal level or mechanisms are <i>ad-hoc</i> and scarce.
1	Community/saving and other stakeholders groups are formed, processes for municipal fora (charter development, preparation of a workplan, etc.) are under development.
2	Community groups are federated at municipal level, stakeholders are organised and municipal fora are held.
3	Municipal forum charter is adopted with a budget and an action plan, community federations/groups and other stakeholders actively participate in the municipal fora.

Sources: Country Programme progress and completion reports; Catalytic Fund 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	Mechanisms to engage citizens do not exist at national levels or mechanisms are <i>ad-hoc</i> , unstructured and scarce.
1	Processes for national forum (charter development, preparation of a workplan, etc.) are under development and stakeholders are identified and engaged.
2	Stakeholders groups are organised and national forum is held.
3	National forum charter is adopted with a budget and an action plan, stakeholders actively participate in national 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	No/ <i>ad hoc</i> mechanism
1	Mechanism integrated into core grant activities
2	Mechanism integrated in implementing grant and likely to be used in the future outside the grant life cycle

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

III.4.1 Capacity of local governments in areas such as strategic planning, financial management, and human resources management. This indicator rates the degree of capacity strengthened in the cities in which 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	No capacity strengthening activities have been conducted by Cities Alliance partnership.
1	Capacity development activities have been conducted, but strengthening is not yet evident.
2	Capacity of local government authorities has been strengthened.

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

III.4.2 Capacity of training and support 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	No capacity development activities of training and support organisations have been conducted by the Cities Alliance partnership.
1	Capacity development activities for training and support organisations have been conducted, but strengthening is not yet evident.
2	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.¹⁶

RATING SCALE:

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

IV.2. Technical Assistance (TA) 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.

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

¹⁶ Sub-indicator to measure private sector engagement. Numerator: Number of instances private sector participates. Denominator: total number of partnering activities.

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.

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.