

Executive Committee Meeting, 11-13 JULY 2011, Accra, GHANA

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Cities Alliance

Cities Without Slums

Executive Committee Meeting
11 -13 July 2011

Meetings Overview

Venue: La Palm Royal Beach Hotel
No. 1 La Bypass, PO Box OS 3000, Accra, GHANA,
Tel: 233 233 217 71700

SUNDAY, 10 JULY 2011

Arrival Day

MONDAY, 11 JULY 2011

08h30 – 17h30 Executive Committee Meeting – EXCO Members Only
Venue: La Palm Royal Beach Hotel

1. Welcome
2. Agenda Review
3. Business Matters
4. Business Plan
5. Lunch
6. Business Plan continued
7. Coffee/Tea Break
8. Partnership Matters
9. Close of Meeting
10. Group Dinner

TUESDAY, 12 JULY 2011

09h00 – 17h00 Site Visits
Venue: La Palm Royal Beach Hotel

1. Ghana Country Programme Presentation and Discussion
2. Old Fadama Walking Tour
3. Visit and Discussion with AMA Mayor and City Officials for Cities Alliance EXCO Members
4. Bus Tour of Accra led by the Mayor (may include the Waterfront, Jamestown, Gamashie and Nima)

As of 1 July 2011

WEDNESDAY, 13 JULY 2011

9h30 – 15h30 – Special Session of the Ghana Urban Forum/1st Policy Advisory Forum

Theme: Planning for an Urban Future

Venue: La Palm Royal Beach Hotel

1. Welcome – Hon. Samuel Ofose-Ampofo, Minister of Local Government and Rural Development
2. Opening Remarks
3. Keynote Address - Paul-Victor Obeng, Chair, National Development Planning Commission
4. Coffee/Tea/Snack
5. Roundtable Debate, Clare Short, Facilitator
6. Meeting Wrap-up, William Cobbett
7. Lunch

THURSDAY, 14 JULY 2011

Departure Day

DRAFT



Agenda Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 1: Adoption of the Agenda

Support Document: Proposed Agenda

Background:

The Chair presents a proposed Agenda for the meeting, prepared in consultation with the Manager. This agenda reflects decisions made and actions taken at the last EXCO meeting, Washington, DC March 2011.

Recommended Action:

Approval of Agenda

Cities Alliance

Cities Without Slums

Executive Committee Meeting, 11-13 March 2011

AGENDA

Venue: La Palm Royal Beach Hotel,
No. 1 La Bypass, PO Box OS 3000, Accra, GHANA,
Tel: 233 233 217 71700

MONDAY, 11 JULY 2011		
08h30 - 09h00	Welcome Coffee/Tea	Venue: Kundum Room
09h00 – 09h30	Item 1: Opening and Welcome/Adoption of Agenda <ul style="list-style-type: none"> ➤ UCLG, EXCO Chairperson ➤ William Cobbett, Manager 	Handouts: 3, 4 & 5 Agenda, Participant List, March 2011 Meeting Report
09h30 – 11h00	Item 2: Cities Alliance Business Matters William Cobbett and Kevin Milroy, Secretariat <ul style="list-style-type: none"> ➤ Grant Facility Options ➤ Review of FY11 Financial Report and FY12 Secretariat Budget 	Handouts: 6 & 7 Grant Facility Options Paper, FY11 Financial Report and Draft FY12 Secretariat Budget
11h00 – 11h30	Coffee/Tea Break	
11h30 - 12h30	Item 3: Cities Alliance Business Plan William Cobbett and Kevin Milroy, Secretariat <ul style="list-style-type: none"> ➤ Status and Overview of the Planning Process 	Handouts: 8 Draft Business Plan 2012-2014
12h30 – 14h00	Lunch	Venue: Continental Restaurant
14h00 – 15h30	Item 3: Cities Alliance Business Plan continued William Cobbett and Kevin Milroy, Secretariat <ul style="list-style-type: none"> ➤ Strategic Choices Across Business Lines <ul style="list-style-type: none"> ○ Country Programmes <ul style="list-style-type: none"> ❖ Fifth Country Programme Selection ○ Catalytic Fund (CATF) ○ Knowledge Resources/Joint Work Programmes ➤ Resource Mobilisation and Fundraising 	Handouts: 9 – 13 CPP Progress Report, CPP Concept Note, CPP Fifth Country Selection Memo, CATF Update, JWP Summary
15h30 – 16h00	Coffee/Tea Break	

16h00 – 17h00	Item 4: Cities Alliance Partnership Matters <i>William Cobbett and Kevin Milroy, Secretariat</i> <ul style="list-style-type: none">➤ Charter Update➤ Membership Issues<ul style="list-style-type: none">○ Secretariat Staffing Update○ Member Representation at CA Meetings➤ Next EXCO Meeting and Consultative Group Meeting➤ MENA: Member Responses➤ UN-Habitat Corporate Update➤ Update on the Independent Evaluation 2011<ul style="list-style-type: none">○ Anders Richelsen, Sr. Project Manager, COWI A/S➤ Any other business	Handouts: 14 – 18 <i>Charter, Independent Evaluation 2011 TOR, Staffing Update, Site Visit Programme, Ghana Urban Forum Programme</i>
17h00 – 17h30	Closing Remarks <i>UCLG, EXCO Chairperson</i>	
19h00	Group Dinner	Venue: Ghanaian Village Restaurant

DRAFT



Participant List Information Sheet
Executive Committee Meeting
Accra, Ghana
11-Jul-2011

Support Document: Draft EXCO Participant List

Background:

N/A

Recommended Action:

Please provide any edits to your contact details to Sid Henderson

CITIES ALLIANCE EXECUTIVE COMMITTEE MEETING

11 July 2011, Accra, Ghana

EXCO Meeting Attendance - DRAFT

No	Country Organisation	Mr/ Ms	First Name	Last Name	Title	Affiliation	Address	City	Post Code	Country	Phone	Fax	e-mail
EXCO MEMBERS													
1	GERMANY	Ms.	Alexandra	Linden	Division 313, Water, Energy and Urban Development	Federal Ministry for Economic Cooperation and Development (BMZ)	Postfach 12 03 22	53045 Bonn	53045	GERMANY	T +49 (0)228 535 3571	F +49 (0)228 9910 535 3571	alexandra.linden@bmz.bund.de
2	GERMANY	Ms.	Harriet	Ludwig	Representative	German Embassy, Accra		Accra		GHANA			
3	NORWAY	Mr.	Erik	Berg	Senior Advisor, Section for Environment and Sustainable Development, Department for UN, Peace and Humanitarian Affairs	Royal Ministry of Foreign Affairs	Mailing Address: Postboks 8114 Dep., N-0032 Oslo, Norway	Oslo	N-0032	NORWAY	office: 47 22 24 39 72 cell: 47 92 08 99 53	47 2224 9580	erik.berg@mfa.no
4	SOUTH AFRICA	Mr.	Martin	Maphisa	Deputy-Director General	National Department of Housing	Private Bag X644	Pretoria	0001	REPUBLIC OF SOUTH AFRICA	work: 27 12 444 5088; cell: 27 (0) 79 519 2573	27 86 617 3476	Martin.Maphisa@dhs.gov.za
5	UCLG (Chair)	Ms.	Emilia	Saiz	Director, Institutional Relations	United Cities and Local Governments	Carrer Avinyo, 15	Barcelona	8002	SPAIN	34 93 34 28 761	34 93 34 28 760	e.saiz@cities-localgovernments.org
6	UCLGA	Mr.	Jean-Pierre	Elong Mbassi	Secretary General	United Cities and Local Governments Africa	22, rue Essaadyine, Quartier Hassan	Rabat		MOROCCO			elombassi@yahoo.fr , elombasse@uclgafrica.org , t.tovinoke@uclgamembers.info
7	UN-HABITAT	Mr.	Alioune	Badiane	Director, Regional Office for Africa and Arab States	UN-Habitat	P.O. Box 30030	GPO Nairobi	00100	KENYA	254 20 7623075	254 20 762390 4	Alioune.Badiane@unhabitat.org , Anastasia.Mbova@unhabitat.org
8	UN-HABITAT	Mr.	Doubou	Mbye	Sr. Human Settlements Advisor & Manager, Participatory Slum Upgrading Programme	UN-Habitat	P.O. Box 30030, New Office Facility, Block 4 North, Level 2	GPO Nairobi	00100	KENYA	office: 254 20 762 3220, Cell - +254 788 526 007		doudou.mbye@unhabitat.org
9	WORLD BANK	Ms.	Zoubida	Allaoua	Director, Finance, Economics and Urban	The World Bank	1818 H Street, NW, MC4-411	Washington, DC	20433	USA	1-202-473-3720	1-202-522-7122	zallaoua@worldbank.org , skennedy@worldbank.org
10	WORLD BANK	Mr.	Alexander	Bakalian	Lead Water Resource Specialist, Africa Water and Urban Unit	The World Bank	1818 H Street, NW, J7-707	Washington, DC	20433	USA	1-202-473-5319		Abakalian@worldbank.org
11	CITIES ALLIANCE SECRETARIAT	Mr.	William	Cobbett	Manager	Cities Alliance Secretariat	1818 H Street, NW, MC8-804	Washington, DC	20433	USA	(O)1-202-458-9695; (M) 1-202-492-2421	1-202-522-3224	wcobbett@citiesalliance.org
POLICY ADVISOR													
12	PAF	Ms.	Clare	Short	Chairperson, PAF		23 Larkhall Rise	London		UNITED KINGDOM	(H)44121551-4144; (M) 447717223 119		shortclare@gmail.com
SECRETARIAT													
13	CITIES ALLIANCE SECRETARIAT	Mr.	Kevin	Milroy	Sr. Operations Officer/Deputy Manager	Cities Alliance Secretariat	1818 H Street, NW, MC8-804	Washington, DC	20433	USA	1-202-473-5264	1-202-522-3224	kmilroy@citiesalliance.org
14	CITIES ALLIANCE SECRETARIAT	Ms.	Susanna	Henderson	Sr. Programme Assistant	Cities Alliance Secretariat	1818 H Street, NW, MC8-804	Washington, DC	20433	USA	(O) 1-202-458-7269; (M) 1-202-744-2769	1-202-522-3224	shenderson@citiesalliance.org
15	CITIES ALLIANCE SECRETARIAT	Mr.	Madhavan	Balachandran	Financial Management Specialist	Cities Alliance Secretariat	1818 H Street, NW, MC8-804	Washington, DC	20433	USA	202-473-8129	1-202-522-3224	mbalachandran@worldbank.org

16	CITIES ALLIANCE SECRETARIAT	Mr.	Mamadou	Diagne	West and Central Africa Regional Advisor	Cities Alliance Secretariat	Cocody - Angle des rues Booker Washington and Jacques Aka	Abidjan			COTE D'IVOIRE	225-22- 400 408		mdiagne@citiesalliance.org
17	CITIES ALLIANCE SECRETARIAT	Ms.	Andrea	Zeman	Urban Specialist	Cities Alliance Secretariat	1818 H Street, NW, MC8-804	Washington, DC	20433		USA	1-202-458-2503	1-202-522-3224	azeman@citiesalliance.org
OBSERVERS														
18	COWI A/S	Mr.	Anders	Richelsen	Senior Project Manager	COWI A/S, Dept. Evaluation, Communication and Organisation	Parallevej 2	Kongens Lyngby	2800		DENMARK	45 4597 1427; Mobile: +45 5058 2660		ARI@cowi.dk
19	UN-HABITAT	Ms.	Barbara	Hewson	Chief, Urban Finance Branch	UN-Habitat	P.O. Box 30030	GPO Nairobi	00100		KENYA	Tel: +254 207625214, Mob: +19144848090		barbara.hewson@unhabitat.org , hewson55@aol.com
20	GERMANY	Ms.	Tanja	Feldmann	Urban Development Policy Advice	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	P.O. Box 5180	Eschborn	65726		GERMANY	49 (0) 6196 - 79-6258; M: 49 (0) 175 - 26 79 370		Tanja.Feldmann@giz.de
21	HFHI	Ms.	Elizabeth	Blake	SVP Advocacy, Gov't Affairs & General Counsel	Habitat for Humanity International	270 Peachtree ST NW, Suite 1300	Atlanta, Georgia	30303		USA	404 962-3403		eblake@habitat.org
22	HFHI	Mr.	Steve	Weir	Vice President, Global Program Development & Support	Habitat for Humanity International	270 Peachtree ST NW, Suite 1300	Atlanta, Georgia	30303		USA	404 733 3102		SWeir@habitat.org , gle@habitat.org , melanie.walker@gatesfoundation.org
23	BILL AND MELINDA GATES FOUNDATION	Ms.	Melanie	Walker	Senior Program Officer, Global Development	Bill and Melinda Gates Foundation	PO Box 23350	Seattle, WA	98102		USA	206-709-3643	206-709-3155	ngoc.dai@gatesfoundation.org

March 10-11, 2011 EXCO Meeting Report
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 1: Opening and Welcome/Adoption of Agenda

Support Document: March 10-11, 2011 EXCO Meeting Report

Background:

The March 10-11, 2011 EXCO Meeting Report was cleared by the EXCO Chair and circulated to members. No additional edits/comments were received.

Recommended Action:

For information.

Cities Alliance

Cities Without Slums

Cities Alliance Executive Committee Meeting
10-11 March 2011
Washington, DC
Summary

Key Decisions and/or Follow-up Actions:

1.) The World Bank's Urban Strategy for Africa Presentation (Joint Work Programme (JWP))

- a. The initial funding for the AFTUW JWP (USD 500,000) was approved by the CG during its meeting in the Mexico City, and the full proposal has been circulated to the Cities Alliance Consultative Group for Donor Coordination with member comments due back to the Secretariat on 18 March. Final comments from members will be compiled and shared with AFTUW and the Alliance can expect a final version of the programme to be circulated by the end of March 2011.
- b. Cities Alliance Strategy for Africa will be incorporated into the draft Business Plan

2.) Update on Cities Alliance Grant Making

- a. The Secretariat was requested by the members of the EXCO to keep working with the World Bank to improve the time it takes to process Grant Agreements and disburse funds to recipients.
- b. It was further agreed that possibilities would be explored to enable a two-tier system by which Cities Alliance would be able to simplify processes for smaller grants, but also for atypical and experimental/innovation driven experiences that would not usually fit in the strategies of the individual partners.
- c. Grant Facility will be incorporated in the draft Business Plan

3.) Lessons and Recommendations from the GHK Evaluation of Project Implementation

Modalities

- a. The Secretariat will develop an annotated outline of the Business Plan for the next EXCO meeting (July 2011), along with the proposed FY12 work programme and budget in the outcome-oriented format proposed for the Plan.

4.) Implementation of New Business model

- a. **Knowledge** - The Secretariat was tasked with following up with individual members to find out what they would like to see generated from CA's knowledge and learning programme. The Secretariat will present initial proposals to EXCO in July, related to the (draft) business plan.
- b. **Country Programme Update** –
 - i. Based on the number of existing Cities Alliance grants, the next two potential country programmes are Malawi and Mozambique. The Secretariat is undertaking a portfolio review of each country and hopes to make a recommendation at the next EXCO meeting.

- ii. EXCO requested more advanced information on the Country Programmes, which are new to the members and the nuances of each programme are difficult to immediately grasp. The Secretariat was requested to produce advanced information on the programmes as well as a progress report including the framework – what was agreed, what has been achieved, and the budget for each programme

5.) Charter Update

- a. The EXCO asked the Legal Counsel team to draft the necessary legal language where required, and the Secretariat will circulate the final version of the Charter to the CG shortly.

6.) Independent Evaluation 2011 Update

- a. The EXCO decided to ask for three full proposals from Universalialia, COWI and DEGE.

7.) Membership Issues

- a. The Chair of the EXCO will write a letter to each member organisation in arrears, highlighting the importance of this matter.

8.) Next EXCO Meeting and Consultative Group Meeting

- a. The next EXCO meeting will either be held in Ghana or Germany, 11-12 July 2011
- b. The next CG is on track to be held in Maputo, most likely early December 2011

I. Attendance

Executive Committee: Messrs. Carrasco (Chile); Marré (BMZ), Baehring (GIZ) (Germany); Berg (Norway); Maphisa (South Africa); Anthony (Chair), Gateau (former Chair) and Saiz (UCLG); Smaoun (UNEP); Biau (UN-Habitat); Allaoua (World Bank); Short (PAF); Cobbett (Secretariat)

Policy Advisory Forum: Ms. Clare Short

Presenters: Messrs. Simpson (GHK International); Ahmad Kamal, Joshi-Ghani, Kruse-Tietz, Stumpf (World Bank);

Observers: Messrs. Hewson (UN-Habitat); Kirby-Zaki and Ortiz (World Bank)

Secretariat: Messrs. Baskin, Henderson, Kibui, Meinert and Milroy

Venue: World Bank Headquarters, 1818 H Street, NW, Washington, DC

See Annex I for Final Meeting Agenda

DAY 1: 10 March 2011

II. Morning Session: Book Launch, “Triumph of the City: How Our Greatest Invention Makes Us Richer, Smarter, Greener, Healthier, and Happier” by Edward Glaeser

Excerpt: [“Triumph of the City”](#) (Google Books)

“A pioneering urban economist, Mr. Glaeser offers fascinating, even inspiring proof that the city is humanity's greatest invention and our best hope for the future.”

The Executive Committee members were special guests at the launch of Edward Glaeser’s new book, which was hosted at the World Bank and sponsored by the InfoShop, the Global Urbanisation Knowledge Platform, the Metropolitan Policy Program at Brookings, and the Urban and Local Government Unit of the World Bank.

III. Afternoon Session

Meeting Chair: Clarence Anthony

1. Opening and Welcome

Clarence Anthony, Interim EXCO Chair and Interim Secretary -General of UCLG, opened the meeting, welcomed all members and in particular asked Elisabeth Gateau, former EXCO Chair and former Secretary-General of UCLG, to say a few words.

Elisabeth thanked the World Bank for hosting the meeting, welcomed Clarence and the other members, and gave a brief history of UCLG. She stated that the objective of UCLG – to achieve recognition of local governments at an international level – has made progress but there is more work to do. She stressed that the role of local governments should be recognised, and that they should be seen as partners. **She indicated that the best partnership for UCLG is Cities Alliance, as it is the only place where UCLG has the space for partnership recognition. UCLG expressed continued support for Cities Alliance and the policy of client execution. Elisabeth thanked the Cities Alliance members and encouraged the group to make the partnership bigger and stronger.**

The World Bank, as host of the meetings, welcomed the EXCO to Washington and indicated that the Cities Alliance can count on World Bank support. The World Bank noted that it has launched an urban strategy that is reshaping the dialogue within the Bank and is in the process of launching an Urbanisation Knowledge Platform that will raise the profile of Urban Development within the Bank. **The Bank supports a frank exchange of ideas to make grant disbursement more effective.** A number of different World Bank unit representatives attended the meeting.

2. Strategic Priorities for the Cities Alliance Partnership

a. Introduction, William Cobbett, Secretariat Manager

As a result of the wish expressed by members to focus on LDCs and the CG decision in Mexico City (November 2010) to focus on Africa, **the Secretariat proposed to take the period between now and the next CG meeting in Maputo in November/December 2011 to engage with CA members to forge a common, transformative work programme around Sub-Saharan Africa.**

The Secretariat aims to:

1. Build upon CA members' existing SSA portfolios
2. Identify geographical or thematic gaps in SSA
3. Build up agreement where the CA could add value

The Africa-focused Work Programme would not only be used to guide the Secretariat's – and thus the Cities Alliance's – work for the year, but also be used as a vehicle for partnership, to leverage and maximise the benefits of the Cities Alliance's location at the World Bank, and to increase the impact that Cities Alliance and its members can have in supporting the urban transition in Sub-Saharan Africa. The Africa-focused Work Programme explicitly includes and builds upon the lessons and experience of members and partners in MIC countries.

A. The World Bank's Urban Strategy for Africa Presentation (Joint Work Programme (JWP))

a. Presentation, Junaid Ahmad Kamal, Sector Manager, Africa Urban and Water Unit (AFTUW)

The World Bank has taken the first step to engage programmatically with the Cities Alliance in Africa through the creation of a Joint Work Programme. The Africa Region of the Bank has indicated its intention to move away from *ad hoc* projects and to embrace a national system of cities approach in order to empower cities and towns as centres of governance, in order for them to be able to manage the urbanization process. The Bank is looking to invest in the capacities in cities and towns and link the leadership of cities to their citizens.

This fiscal year, the World Bank has budgeted USD700million in urban investments, and USD 1.8 billion in Fiscal Year 12. The Bank's administrative budget for Urban in Africa is USD 7 million and will be increased to USD 10 million next fiscal year.

The Joint Work Programme is an invitation to the Cities Alliance to partner with the Bank programmatically and use its resources in a demand-driven way for policy advocacy, city-to-city

exchanges, and operational support. The Cities Alliance partnership will also enable AFTUW and the Urban and Local Government Anchor to continue to push the urban agenda within the Bank.

Member Discussion and Outcomes

EXCO members and the Chair of the PAF welcomed the Bank's Africa Urban programme. They indicated that it is a powerful programme, and appreciated the opportunity to provide face-to-face input with respect to the programme's efficacy. Individually, UN-Habitat, UNEP, and UCLG expressed a desire to contribute to the strategy and noted the importance of building on existing initiatives, in particular the city networks and local government national and regional associations active in Africa.

In regards to the Alliance, members were interested to know how this JWP would build upon the existing CA Country Programmes in Uganda, Ghana and Burkina Faso, which are strongly supported. The EXCO also expressed support for the country programmes of the Alliance.

UCLG further stressed the need to involve its African Section, UCLGA, in this programme.

The World Bank indicated that its Africa Urban development and local government strategy is a regional, demand-driven programme, not only from National Governments, but also from city governments, which – it was noted – are beginning to influence the urban debate. Investments in select countries such as South Africa (requested USD 300,000 of CA funding) will spread to the entire region. **The World Bank supported the idea expressed by the Chair of the PAF that the Cities Alliance's Country Programmes could be leveraged by the World Bank and other members.** The Bank indicated that it would not "swallow" CA Country Programmes and emphasised the need for ongoing coordination between the CA and the World Bank. It was stated that due to the ongoing streamlining of Global Programmes and Trust Funds within the Bank, it has been difficult to transfer funds to the clients of CA's Country Programmes because small grants and multi-million dollar World Bank loans must follow the same procedures. AFTUW noted that they too are frustrated with current Bank procedures and encouraged Cities Alliance members to raise the issue with their Ministers of Finance and through the G7 Development committee.

The initial funding for the AFTUW JWP (USD 500,000) was approved by the CG during its meeting in the Mexico City, and the full proposal has been circulated to the Cities Alliance Consultative Group for Donor Coordination with member comments due back to the Secretariat on 18 March. Final comments from members will be compiled and shared with AFTUW and the Alliance can expect a final version of the programme to be circulated by the end of March 2011.

B. The World Bank's Urbanisation Knowledge Platform

a. Presentation, Abha Joshi-Ghani, Manager, Urban and Local Government Unit

The World Bank wants to democratise its knowledge and has decided to fund three multi-year knowledge platforms. In January 2011, Urbanisation was selected as one of these platforms, to put Urbanisation on the World Bank's agenda and also raise the profile of Urban Development in developing countries.

The Bank envisions the platform – based around the pillars of economics, social, environment and governance – as a significant resource for people discussing and learning about urban. It would like policy makers and practitioners, researchers, the private sector and knowledge brokers to take the

lead and drive the platform, which will consist of online open forums, knowledge exchanges, thought leaders and a data platform.

The World Bank will provide the initial funding, the venue, some of the content and the facilitation, and **is seeking to involve key urban players such as the Cities Alliance**, the Brookings Institute, the Kennedy School of Business, as well as European, Asian and African partners to bring critical mass to the platform. The aim is to make the platform an independent, self-sustaining, regional tool, which will convene, connect, customise and create knowledge.

Member Discussion and Outcomes

EXCO members were interested in the presentation and wanted to know the relationship of the Knowledge Platform to the Cities Alliance. The Secretariat pointed out that members could determine their own relationship with the platform. Some EXCO members noted that there are many such platforms and wanted to know if there was an expressed need for this platform. It was also pointed out that two to three years is a very short time frame for the establishment of the platform. However, UNEP and Norway expressed support for the platform; UCLG reiterated its willingness to contribute, ensuring that the opinion of local leaders is also featured as a part of the platform; and the Secretariat noted that the World Urban Campaign, the World Urban Forum and many other member initiatives could and should be linked to the platform. **The Bank indicated that the platform is looking to engage with partners to bring the urban debate to the international stage and would greatly welcome Cities Alliance support and involvement.**

C. Presentation: Update on Cities Alliance Grant Making

- a. Phyllis Kibui, Secretariat with Lydia Kruse Tietz, Trust Fund Coordinator and Senior Resource Management Officer, Sustainable Development Network (SDN), World Bank**

At the EXCO meeting in Mexico City, November 2010, the Secretariat presented the “Project Approval and Grant Set-up Processing Time Statistical Summary FY2007-2010” and indicated that while it had built its capacity to improve efficiencies in the grant set-up process, Members should anticipate possible delays due to streamlining and tightening of grant set-up procedures within the World Bank.

The Secretariat presented to the EXCO the “Proposal Approval and Grant Set-Up Processing Time Statistical Summary Fiscal Years 2010 – 2011” and indeed, **the grant processing time has slowed considerably due to a range of factors including re-enforcement of World Bank policies and procedures such as the requirement for Country Director concurrence for each country-specific activity, having the Country Director as the Bank signatory for Grant Agreements (GAs) supporting country-specific activities, the introduction of new World Bank procedures for Safeguards screenings on all grants of all sizes, and the additional review of Grant Agreements by country legal team, etc.** The Secretariat continues to work with the Front Office of the Sustainable Development Network (SDN), the Vice Presidency in which the programme is located, to manage and mitigate the impact of these procedures. **The current delays apply mainly to the proposals processed under the Old Grant Facility and to the processing of new grants for active projects for which the funding had been phased out. The Secretariat anticipates that some of these delays will**

be mitigated in the future, as many of the new requirements have been built in to the procedures for the Catalytic Fund. In addition, it is expected that some of the efficiencies will be gained in regards to Country Programmes as the Secretariat works upstream with the Bank Country Teams to obtain the necessary clearances.

The Trust Fund Coordinator for SDN explained the growth and impact of Trust Funds on the Bank's business. Trust Funds now account for 50% of Technical Assistance and Knowledge work.

In 2007, the Bank introduced a policy framework to regularise its management of Trust Funds. Many of the policies have been in place, but not consistently applied, which is now occurring. However, effective communication and upstream management can prevent unnecessary issues arising.

The Independent Evaluation Group (IEG) of the World Bank has issued a report on Trust Funds and Global Partnership Programmes (GPPs) in which the CA was well received. In the report, Cities Alliance is highlighted as a "recognised leader" in its field, and one of the more successful programmes "in achieving their outputs and outcomes." A comprehensive review of GPPs within SDN is underway.

Member Discussion and Outcomes

EXCO Members were highly appreciative of the candour with which the information was presented by both the Secretariat and the World Bank. Members agreed that there is no way to resolve these issues today, but indicated that steps must be taken to remedy the situation. Members were very keen for the Secretariat to explore possible alternatives to speed up fund disbursement. **The Secretariat was requested by the members of the EXCO to keep working with the World Bank to improve the time it takes to process Grant Agreements and disburse funds to recipients. It was further agreed that possibilities would be explored to enable a two-tier system by which Cities Alliance would be able to simplify processes for smaller grants, but also for atypical and experimental/innovation driven experiences that would not usually fit in the strategies of the individual partners.**

DAY 2: 11 March 2011

IV. Morning Session

Meeting Chair: Clarence Anthony

1. Summary of 10 March Discussions

The Chair reflected on the major issues that had been addressed by EXCO on the first day of the meeting. He began by thanking the Cities Alliance members for the recognition that they had bestowed on Elisabeth Gateau, who had recently vacated her post as Secretary General of UCLG, and had played such a consistent and influential role in the success of the Cities Alliance.

The Chairperson noted that members had welcomed the new partnership with the World Bank in general, and the Africa Region in particular. The programme that had been presented was bold and innovative, and was consistent with the new business model of the Cities Alliance.

The Chair highlighted the importance of the discussion about the constraints being faced by the Cities Alliance (and others) in the new environment for the management of small grants at the World Bank. He emphasised the concern that had been expressed by all Cities Alliance members, and their willingness to consider a range of options and alternatives, should the problem not be adequately addressed. The Chair thanked the Secretariat and the various World Bank units for the useful facts, and constructive responses, that had helped facilitate this important discussion.

2. Cities Alliance as an Effective Partnership

a. Introduction, William Cobbett, Secretariat Manager

The Secretariat believes that there are very clear signs that Urbanisation and the role of cities are being positively recognised and moving up in importance on the development agenda as well as in the academic world.

The CA is primed to move forward as an effective partnership. Since the last independent evaluation of the Cities Alliance in 2006, the Alliance has drafted and adopted a Medium Term Strategy (MTS) (2008-2010) and updated the MTS to reflect the shift towards its programmatic, systemic approach. In parallel, the CG established a Working Group which raised longer term questions about the CA, and this culminated in the adoption of a new Charter which captures CA's unique aspect of being focused on cities and partnership (November 2010).

Cities Alliance now has three clear objectives, (i) To strengthen and promote the role of cities in poverty reduction, and in sustainable development; (ii) To capture and strengthen the synergies between and among members and partners; and (iii) To improve the quality of urban development cooperation and lending. We have a clear results framework and theory of change based on inclusive cities, a revised business model and a mix of products to offer. CA has a large active portfolio of activities, and the Secretariat is committed to mining and disseminating the knowledge and lessons from these activities.

The CA has closed the open-access grant facility (USD 8 million in funding applications processed in final batch of proposals); opened a competitive Catalytic Fund window; and introduced the initial

country programmes through the Bill and Melinda Gates Foundation funding of the “Land, Service and Citizenship (LSC) Programmes” in Uganda, Ghana and Vietnam. Work is beginning in Burkina Faso, the fourth LSC country, selected by the EXCO in Mexico City. The Secretariat has been restructured, and its Grant Administration capacity has been strengthened to deal with the current fluid situation within the World Bank.

As part of the movement to make the partnership more effective, GHK International was commissioned to evaluate CA’s project implementation modalities. GHK will present its final findings and recommendations, and the Secretariat will respond.

1. Presentation: Lessons and Recommendations from the GHK Evaluation of Project Implementation Modalities and Responses from the Secretariat

a. Jamie Simpson, GHK International, Director and Kevin Milroy, Sr. Operations Officer/Deputy Programme Manager, Secretariat

Objective: “The evaluation of client and of non-client grant implementation for city development and slum upgrading projects in cities or at national level should provide evidence to assess the applicability and effects of [client and member] implementation modalities.”

The evaluation also provided guidance to the Alliance on improving ownership, ease of administration and the quality of projects as well as provided a link to the feasibility of the emerging strategy and new business model.

General Findings

1) Client vs. Member Grant Execution

- i) No necessary link between mode of execution and strength of client ownership
- ii) Members play an important role in either mode especially in terms of project quality
- iii) Partnerships and flexibility are the key

2) Coherence of Effort

- i) Where there is coherence of effort – from Application to Execution - CA value added is likely to be enhanced – this needs to be strengthened as not systematic

3) Quality of Projects / Knowledge Leverage is a Key

- i) CA support, via client or member execution, contributes to better evidence on urban poverty and more participatory pro-poor planning approaches
- ii) CA provides valuable inputs in terms of approaches and techniques and knowledge sharing

4) National and Local Levels are both Necessary

- i) Alignment among national, regional & local levels a key success factor that requires greater attention

5) From Findings to Recommendations

- i) Designed to strengthen value added and enhancing CA reputational leverage
- ii) Build on case evidence to identify general improvement areas

Recommendations

1) Streamline grant making: Critical to reduce transaction costs and timeframes to complete

To facilitate this recommendation, the Secretariat has simplified the application form for the Catalytic Fund, Small Grant Facility and Country Programmes and has also put procedures in place to help speed up the grant processing time.

Member Discussion and Outcomes

The Chair of the PAF commented that it is good to have a realistic time frame in mind, and also recommended that the Secretariat move forward with working in the World Bank's systems while investigating alternative disbursement mechanisms – a recommendation which met with general agreement.

Norway also suggested that, where opportunities exist, CA should work with non-traditional partners such as civil society organisations.

2) CA business model focused on partnerships: Assess merit of a shift from simple “one off” grant provider towards partnership / longer term engagements of the Alliance (more than grants)

Member Discussion and Outcomes

EXCO members engaged in a lengthy debate about how to implement this recommendation. The World Bank wanted to know what *country specific framework* and *lead member* meant and suggested that this be clarified in the CA results framework. UN-Habitat was concerned about the perceived portfolio *veto* which is an outcome of improved alignment. Because of its location, CA activities cannot cut across those of its host. The collaboration between the World Bank and the CA Secretariat has been improving and has translated into a far more effective partnership.

While the World Bank holds the legal risk for CA activities and needs to have certain checks and balances, the Secretariat stressed that important upstream work has taken place to continue to minimise or remove the risk of a CA proposal or programme working against the policies of the World Bank. This was also the case with the other CA Members' policies.

Members stressed the importance of the clients' perspective. Germany also pointed to the importance of longer-term support, such as the “Back-up Initiative” and Country Programmes, in the work of the Cities Alliance. The Chair of the PAF, Germany and the World Bank all emphasised the importance of leveraging members' activities. **The Secretariat should review Members' country portfolios, and try to facilitate improved synergy.**

GHK noted that in Douala, where both the World Bank and AFD agreed to work jointly with the government, the project was very successful. GHK also noted that in countries like the

Philippines and Mozambique, where the CA has made significant financial investments, even more impact could have been achieved with the Partnership approach.

The Secretariat welcomed the comments from all the members and stressed that Members agreed that **Country Programmes are going to become a critical tool for the Cities Alliance and its members.** The Secretariat noted that there is no such thing as a CA activity that is not driven by its members. The activities that fail are the ones where members do not take an active role. The Cities Alliance members have expressed a desire to focus on Africa and by supporting new initiatives, such as the AFTUW JWP, the CA will be helping African local governments to respond to the urban transition, not supporting the Bank. The Secretariat agrees with Germany and the World Bank that it must review each member's existing portfolio in-country prior to putting together an exciting, longer-term work programme with national governments, cities and the urban poor. But, the Secretariat stressed that the work programme will not succeed without members driving the process with the Secretariat facilitating, members engaging with each other, adding their own value, and letting each other take the lead where appropriate.

The Secretariat also noted that while it has the Country Programmes and the Back-Up Initiative as tools, it must have access to the flexibility of the Small Grant Facility, which is currently almost paralysed. **The EXCO members reiterated their request to the Secretariat to look for alternative options to move CA funds.**

Members respect the World Bank's duty to mitigate risk, but also stressed the importance for the partnership to be creative, flexible and unique. Norway expressed a desire to see a Country Programme in action, and requested that the next EXCO meeting be held in either Kampala or Accra, so as to be able to sense the results of Cities Alliance Country Programmes.

The Sr. Programme Officer from the World Bank's Global Partnership and Trust Fund Policy Unit, the unit that manages the Development Grant Facility (DGF) and sets the Trust Fund framework, stated that Cities Alliance is recognised as one of their flagship programmes, and is well known for its "shared governance" arrangements and the wide range of members participating in the partnership. The Sr. Officer very much appreciated hearing the EXCO's deliberations and observed both days of the meeting.

- 3) **Strengthen Coherence of Effort: Strengthen Coherence of Effort: Key source of value-added BUT needs more systematic approach to secure alignment among members and joint working**

Member Discussion and Outcomes

Members did not object to this recommendation, but did not discuss it either.

- 4) **Risk Assessments: Assess merit of options for entry strategies and risk assessments for each project or for selected countries**

The Secretariat also supports this recommendation and indicated that in the Country Programmes, this is done easily and naturally. In the Catalytic Fund, the Secretariat envisions more robust Donor Coordination, which will ask Members to consider the institutional arrangements of the application; any duplication of effort, political risk, familiarity with the implementation partners. These questions would also be considered during the appraisal stage. The Secretariat would also like to enhance this process particularly in regards to the WB's Urban Sector Board.

Members Discussion and Outcomes

Germany cautioned that realistic Risk Assessments are complicated and suggested the Secretariat use a check list.

5) Flexible Choice of Mode of Execution: The preference should be what works in any given context

This recommendation was part of the original Terms of Reference of the evaluation. The Secretariat has pushed for client execution with some members questioning the approach. The Secretariat is now proposing a slight modification – to encourage CA members to recommend who implements the proposal. The Secretariat wants to improve efficiency and in most cases, will discourage split execution.

Member Discussion and Outcomes

Members did not object to this recommendation, but did not discuss it either.

6) Prepare Three-Year Business Plan with Rolling Annual Plans

The Secretariat is embracing the business plan as a way to fix current problems. The plan will look at FY12-14 and substantially enhance the way Cities Alliance looks at its business. The plan will aim to focus on the outcomes and activities and their respective breakdowns.

Member Discussion and Outcomes

Norway expressed support for the business plan and requested that it contain targets, roles and indicators. GHK suggests that it could be a layered plan, with results triggering further investments to grow the organisation. Germany also indicated support for the plan and stated that CG members should have a proactive role in the three-year as well as the annual work plan and must follow the plan so as to be able to raise funds. Additional investment means that the money must be well monitored.

7) Strengthen Knowledge and Learning: Key source of CA value-added BUT *needs more systematic approach* to knowledge capture and sharing – cascade through the suite of CA activities

GHK strongly encouraged the EXCO and the Alliance to strengthen its approach to knowledge and learning, to reflect it in the business plan and underscore its role as a core function of the Cities Alliance.

Member Discussion and Outcomes

Members did not object to this recommendation, but did not discuss it either.

Conclusions

The World Bank did not feel that the EXCO should accept the recommendations without a deeper discussion of the implications of each and further direction for the Secretariat so that we can establish clarity and predictability for the Cities Alliance.

The Chair of the PAF and Germany stated that the Cities Alliance is moving to a new level of maturity, with more ambitious interventions. The Chair of the PAF once again reiterated her suggestion that members must see, first hand, the Country Programmes at work.

V. Afternoon Session

Meeting Chair: Emilia Saiz

2. Presentations: Secretariat Updates: Implementation of New Business model

a. Cities Alliance Knowledge Resources, Erika Puspa and Günter Meinert, Secretariat

Web-based CA Proposal and Project Information Database

Erika Puspa of the Secretariat presented the web-based CA Proposal and Project information database which is maintained by the Secretariat so that it can easily manage the CA portfolio. For example, the database was used to produce the “Proposal Approval and Grant Set-Up Processing Time Statistical Summary Fiscal Years 2010 – 2011”

- The database is a tool that can be used to support the knowledge and learning agenda of the Secretariat and the Alliance members
- The information will shortly be searchable by category
- The database will be available to members by June of this year
- The Secretariat follows the World Bank’s rules on Information Disclosure, which the World Bank requested be circulated to the members

Member Discussion and Outcomes

Members found the database very impressive and looked forward to utilising it.

Information vs. Knowledge

The Secretariat has categorised 700 outputs which have been produced from projects between 2006 and 2008. There are an estimated additional 1,000 project outputs generated by projects from 2008 to date, which still need to be categorised for easy access in the project database.

The Secretariat will work on the web site of the Cities Alliance to present the project outputs in a systematised way. The outputs will be clustered as follows:

- Cluster 1: Learning Resources/Toolkits/Training Material
- Cluster 2: Thematic Analysis and Case Studies
- Cluster 3: Research and Data Related Outputs

- Cluster 4: State of the Cities Report

However, this is only a way of facilitating an overview over the universe of the outputs. It would be very rewarding to further process the outputs to generate more aggregated knowledge, drawing on the information and experiences from several projects at a time. The database does not only make the outputs much more accessible individually, but is also opens a range of possibilities of compiling several outputs to generate additional knowledge products. For example, all the outputs dealing with environmental issues can easily be identified now, even if produced by projects which are not primarily aiming at the environment. This allows them to be collectively analysed. The analysis could compare experiences across projects, identify commonalities or differences, etc.

The challenge for members is to identify and prioritise the need for such aggregated knowledge beyond specific project outputs. As an input for the CA Business Plan, and based on the Results Framework aiming at inclusive cities, members need to decide what kind of Knowledge and Learning they expect from the Cities Alliance for the next 2-3 years. The Secretariat does not have sufficient human resources to undertake a major knowledge programme on its own. Members are strongly encouraged to analyse their possibilities to engage in a joint work programme, preferably with at least one more CA member, to generate knowledge products in high demand by our partners. This would require additional investments in form of staff time and CA grant funding, but is certainly justified to better leverage the multi-million dollar investment already made for the CA-supported projects.

Member Discussion and Outcomes

Norway was interested to know how the database is linked not only to the World Bank's Urbanisation Knowledge Platform, but also to the World Bank's Knowledge Database. Norway also expressed a desire to focus not only on outputs, but to take it a step further and focus on outcomes – where the learning occurs.

The Secretariat indicated that the relationship to the Urbanisation Knowledge Platform is yet to be determined, but it should obviously feed into this and other members' knowledge platforms such as the WUF, the WUC, etc. Whatever CA generates should feedback into the CA member system.

The Secretariat was tasked with following up with individual members to find out what they would like to see generated from CA's knowledge and learning programme. The Secretariat will present initial proposals to ExCo in July, related to the (draft) business plan.

b. Catalytic Fund Update, Federico Silva, Secretariat

Based on member feedback from the Mexico City presentation, the following adjustments were made to speed up the process:

- The Secretariat made the Concept Note a one step process ;
- The evaluation processes will run in parallel: donor coordination, World Bank Country Director concurrence, and evaluation by the Expert Evaluation Panel (CVs on file for member review); and
- Once a full proposal is received and passes the final screening, they will be processed immediately.

Member Discussion and Outcomes

It was clarified that civil society organisations can apply if there is support from a member and the national government. NGO organisations from the north are not precluded from applying, so there is opportunity to introduce new partners to the Cities Alliance.

The Catalytic Fund was advertised to all members, but not advertised externally due to budget restraints as well as Secretariat capacity.

Norway requested that the members consider wider advertisement in the future. UCLG informed that the World Organization had done selective dissemination and would be ready to do broader dissemination if capacity and budget availability so allowed.

c. Country Programme Update, Julian Baskin, Secretariat

The principles of the CA Country Programmes are:

- Coherence of effort
- Long-term, pro-poor urban programming
- Multi-sectoral and aligned approach
- Demand-oriented programme design process
- Building long-term institutional capacities
- Engaging for systemic change and impacts at scale

Uganda: *Municipalities of Arua, Jinja, Kabale, Mbale and Mbarara*

- CA Members: HFHI, SDI, UCLG, UN-HABITAT, World Bank
- Methodology: Full project document developed with member participation which was circulated through the Donor Coordination process
- National and Municipal Urban Forums launched, and first part of National Urban Policy Dialogue finalised
- Communities mobilising in all 5 municipalities - saving groups, settlement profiles and enumerations, participation in urban forums
- Local Governments being mobilised through the Urban Authorities Association of Uganda (UAAU) supported by ICMA

Early Results include:

- Local, National, and International exchanges between slum dweller committees has been conducted
- Settlement Profiles in all five municipalities have been finalised (61 slum settlements)
- 199 Saving Groups has been formed with 2,782 male savers and 8,096 female savers
- Community development committees are established in all settlements, networks and at the city level
- SDI is member of the National Executive committee of the National Urban Forum
- The Uganda federation and the SDI affiliate NGO have representation in the executive committees of the 5 Municipal Development Forums

- The draft Operational Manual for the Community Upgrading Fund is being finalised
- The UAAU/ICMA partnership is being launched with a workshop at end of March
- A CDS methodology drawing on stakeholder and national experience is under development

Ghana: *Greater Accra Metro Area and selected secondary cities (TBD)*

- CA Members: AFD, GTZ, HFHI, SDI, UN-HABITAT, World Bank
- Programme Methodology: Members identified gaps and will submit eight separate grants that will form the programme and all of them will be circulated for Donor Coordination
- Space provided for a national debate around alternatives to forced evictions
- Member collaboration initiated on (i) municipal capacity building; (ii) community empowerment
- Advocacy and awareness raising proposal being finalised

List of Programme Grants with Recipients:

1. Cities Advocacy and Awareness Framework - Info. For Change Initiative
2. Consultations on municipal services options for GAMA - World Bank
3. State of Ghanaian Cities Report - KNUST
4. Ministry of Local Government Inclusive National Urban Agenda - GIZ
5. Urban Local Government Capacity building -ILGS
6. Community empowerment and capacity building – SDI
7. Incremental housing - HFHI
8. Greater Accra Human Settlement Strategy - TBD

Vietnam: *Cities TBD*

- CA Members: WB, WBI, UN Habitat, UCLG through ACVN, SDI through ACHR
- Programme Methodology: working directly with community groups, the programme will bring to scale already tested methodologies through seven grants

List of Programme Grants with Recipients:

- Vietnam National Urbanization Review – World Bank’s Urban Anchor
- Strengthen the Vietnam Urban Forum – Ministry of Construction (WB)
- Operationalising the National Urban Upgrading Strategy – Ministry of Construction (WB)
- Training for local authorities on strategic urban management - Ministry of Construction (WB)
- Support for ACVN – ACHR(UCLG)
- Consolidating management and implementation of the CDF through ACVN – ACVN(UCLG)
- Support the existing CDF network to implement and scale up small projects – ACHR(SDI)

Burkina Faso: *Cities TBD*

- CA Members: TBD
- Programme Methodology: TBD

After selection by the EXCO in Mexico City, the World Bank offered and the Secretariat accepted, to send a letter to the Government of Burkina Faso expressing interest in engaging. Interested CA members have been invited to participate in a joint mission to Ouagadougou in the next few months.

Based on the number of existing Cities Alliance grants, the next two potential country programmes are Malawi and Mozambique. The Secretariat is undertaking a portfolio review of each country and hopes to make a recommendation at the next EXCO meeting.

The Country Programme team is also working on linking the Country Programmes to the CA Africa Work Programme.

Member Discussion and Outcomes

Germany, UCLG and UN-Habitat requested more advanced information on the Country Programmes, which are new to the members and the nuances of each programme are difficult to immediately grasp. The Secretariat was requested to produce advanced information on the programmes as well as a progress report including the framework – what was agreed, what has been achieved, and the budget for each programme. Norway finds the reporting on the Country Programmes to be very positive and is very encouraged. Norway expressed a desire to learn by doing and echoed the PAF Chairperson’s suggestion to hold the next EXCO in Ghana. The EXCO Chair agreed to consider the option of Ghana as the next venue for the EXCO.

The Secretariat explained that each programme approach is slightly different and with Burkina Faso, one member has taken the lead to engage with the Government from HQ as opposed to using Field Staff. The Secretariat is following up with AFTUW and will work with them and all interested CA members to move the programme forward on equal footing for all members.

3. Charter Update

a. Andrea Stumpf, World Bank Legal Counsel, Sustainable Development Network (SDN) and William Cobbett, Secretariat

In Mexico City, the Cities Alliance adopted its new Charter subject to final advice from the World Bank’s legal team. The Secretariat has been working with the Legal team and has resolved 99% of the issues –consistency of language and clarity of terms. The lawyers focused on the flow of movement from the Charter to the funding vehicle and have not meant to circumvent the work of the EXCO. The Legal team think this is very good practice and would like to support the Cities Alliance in this session.

The fully detailed tracked changes version is available for members to review. World Bank Legal Counsel Andrea Stumpf, an expert on Partnership Programmes, and Maria Lourdes Pardo, the Cities Alliance’s primary legal counsel, joined the meeting and went through the Charter (version 10 February 2011) page by page with the EXCO members.

The EXCO asked the Legal Counsel team to draft the necessary legal language where required, and the Secretariat will circulate the final version of the Charter to the CG shortly.

4. Update on the Independent Evaluation 2011, Günter Meinert

The Secretariat received member feedback from the Mexico City presentation of the Terms of Reference (TOR), incorporated member comments, circulated the new version and had no objection. The Secretariat received some editorial edits from IEG on the final TOR and received 25 Expressions of Interest (EOIs) which were reviewed by a small committee consisting of representatives from UN-Habitat, Norway, the World Bank Urban and Local Government Unit and the Secretariat. Fourteen EOIs made the shortlist, and World Bank guidelines require the preparation of between 1-6 full proposals. This same committee will act as the oversight sub-committee referenced in the TOR. The Secretariat requested a World Bank exception to allow external people to participate in the process. **The EXCO decided to ask for three full proposals from Universalialia, COWI and DEGE.**

5. Membership Issues

In the new Charter of the Cities Alliance, members who fail to make their agreed financial contribution for two consecutive financial years will no longer be members of the Consultative Group and will be notified accordingly by EXCO.

The Secretariat presented the following status report:

1. **DFID** – membership expires at the end of March 2011; the Secretariat has had no formal decision from them to leave the CA
2. **Netherlands** – 2008 – will not be a member
3. **Philippines** – 2008 – last contribution – required to pay \$50k/year
4. **UNEP** has not paid since 2009
5. **UN-Habitat** has not paid fees since 2007(cash) and has not provided an in-kind secondment since March 2010
6. **USAID** – is paid up

Germany found the arrears quite serious as these are legal obligations. Germany suggested the Chair of the EXCO write a letter to each organisation highlighting the importance of this matter.

The Chair of the PAF offered to follow-up to the EXCO letter and write to the DFID Minister.

It was agreed that letters would be issued by the Chair of the EXCO to the members listed above.

6. Secretariat Staff Update

The EXCO agreed that the staffing is an issue for the Secretariat to handle. The Secretariat gave a brief updated:

1. Sr. Urban Specialist - GIZ Secondee Günter Meinert is rotating back to Germany after four years and departs in July 2011
 - a. New GIZ secondee (Rene Hohmann) will arrive in June 2011
2. Two Research Analysts funded by Norway – Hilde Refstie and Ricardo Jimenez – are both leaving at the end of April/May 2011
 - a. Posts are not being filled
3. AFD Special assignment – Thierry Paulais – will leave in September 2011
 - a. Post is not being filled
4. Urban Specialist (Andrea Merrick) on Developmental Assignment (DAIS) inside the WB and will most likely not return
 - a. Post is unfilled at the moment
5. The French MFA is sending an Urban Specialist secondee to assist with the Francophone portfolio
 - a. Estimated arrival date – later this year
6. UN-Habitat Senior Secondee
 - a. Terms of Reference has finally been agreed but there is a hiring freeze in UN-Habitat for the next few months

7. Business Plan Development and FY12 budget

Based on recommendations from the GHK evaluation and the Working Group, the Secretariat proposes to develop a three-year business plan (FY12-FY14), which would serve as the main operating document of the partnership. It would incorporate the objectives, strategy, results framework, outcome targets, main activities and annual work programme in a single document. Reporting to CG and EXCO would be made against the Business Plan.

The Business Plan would be organised around the over-arching objectives in the new CA Charter, as captured in the CA Results Framework and supported by the theory of change, presented at EXCO and CG meetings during 2010. The Secretariat will circulate the Results Framework, proposed to focus on global/regional and country outcomes, around which the Business Plan will be organised. The Business Plan will include indicators and main activities over the planning period, supported by detailed annual work programmes, submitted annually for EXCO approval and CG ratification. It would be developed strategically with members over the course of the coming year, based on assumed funding levels over the period specified by the Plan. In addition, a proposed Africa work programme (action plan) will be developed, for which additional resources will be mobilised.

As next steps, the Secretariat will develop an annotated outline of the Business Plan for the next EXCO meeting (July 2011), along with the proposed FY12 work programme and budget in the outcome-oriented format proposed for the Plan. A working draft, including work programme options and strategic orientation, would be reviewed with the CG at its 2011 meeting (Nov./Dec. 2011).

The annual work programme included in the Plan would include the outcomes from all on-going as well as proposed new activities. The Secretariat proposes to use the Business Plan as a tool to help build improved coherence and synergies among CA members, bring an increased focus on results, and to provide outcome-oriented planning, monitoring and reporting system. The CA project database will be enhanced to support this type of results reporting.

8. Next EXCO Meeting and Consultative Group Meeting

The next EXCO meeting will either be held in Ghana or Germany, 11-12 July 2011. The Secretariat will follow-up and confirm to members shortly.

The next CG is on track to be held in Maputo. The EXCO members were asked to send the Secretariat blackout dates. The CG meeting may have to be moved to December 2011.

As this would be the last meeting for Hilde Refstie and Ricardo Jimenez, the EXCO thanked them both for their dedicated work to the CA and asked them to say a few words.

ANNEX 1

The Cities Alliance
Executive Committee Meeting, 10-11 March 2011

AGENDA

Venue: World Bank Headquarters,
1818 H Street, NW, Washington, DC 20433 Tel: 1-202-458-7269

DAY 1: THURSDAY, 10 MARCH 2011

09h30 - 10h00	Welcome Coffee/Tea	Venue: Room MC4-100
10h00 – 12h00	Book Launch: Triumph of the City: How Our Greatest Invention Makes Us Richer, Smarter, Greener, Healthier, and Happier by Edward Glaeser	Venue: Preston Auditorium
12h30 - 13h30	<p>***** Lunch *****</p>	Venue: Executive Dining Rooms – MC-C1
13h30 – 14h00	<p>Opening and Welcome</p> <ul style="list-style-type: none"> ➤ Zoubida Allaoua, Director, Finance, Economics and Urban Unit, World Bank ➤ Elisabeth Gateau, former EXCO Chairperson 	
14h00 - 15h00	<p>Strategic Priorities for the Cities Alliance Partnership</p> <ul style="list-style-type: none"> ➤ Secretariat Overview presentation William Cobbett, Secretariat Manager ➤ The World Bank’s Urban Strategy for Africa presentation Junaid Kamal Ahmad, Sector Manager, Urban and Water, Africa Region, World Bank <p>Member Discussion</p>	Handouts: AFTUW JWP; WB Urbanisation KP Summary; WB Urbanisation KP Full document
15h00 – 15h30	Coffee/Tea Break	
15h30 - 16h30	<ul style="list-style-type: none"> ➤ Urbanisation Knowledge Platform presentation Abha Joshi-Ghani, Manager, Urban Development and Local Government Unit, World Bank <p>Member Discussion</p>	

16h30 – 17h00	Coffee/Tea Break	
17h00 – 18h00	<p>Presentation: Update on Cities Alliance Grant Making Phyllis Kibui, Secretariat</p> <ul style="list-style-type: none"> ○ With Lydia Kruse Tietz, Trust Fund Coordinator and Senior Resource Management Officer, Sustainable Development Network (SDN) <p>Member Discussion</p>	
18h00-18h15	<p>Closing Remarks Clarence Anthony, interim EXCO Chairperson</p>	Venue: 2000 Pennsylvania Avenue, NW WDC (202-296-7700)
20h00	<p>Group Dinner - Kinkead's Restaurant</p>	

DAY 2: FRIDAY 11 MARCH 2011

09h00 - 09h30	Coffee/Tea	Venue: Room MC4-100
09h30 – 12h30	<p>Summary of 10 March Discussions Clarence Anthony, interim EXCO Chairperson</p> <p>Cities Alliance as an Effective Partnership</p> <ul style="list-style-type: none"> ➤ Secretariat Overview Presentation William Cobbett, Secretariat Manager ➤ Lessons and Recommendations from the GHK evaluation of Project Implementation Modalities Jamie Simpson, GHK International, Director ➤ Presentation: Secretariat Response to GHK Recommendations Kevin Milroy, Secretariat ➤ Discussion: Comparative Advantage and Value Added of the Cities Alliance ➤ Discussion: Role of CA Members, the Secretariat, the Policy Advisory Forum and CA Partners <p>Next Steps</p>	Handouts: GHK Draft Final Report
12h30 - 14h00	<p style="text-align: center;">***** Lunch *****</p>	Venue: Executive Dining Rooms – MC-C1

<p>14h00 - 15h00</p>	<p>Secretariat Updates: Implementation of New Business model</p> <ul style="list-style-type: none"> ➤ Catalytic Fund (CATF) ➤ Country Programmes <ul style="list-style-type: none"> ○ Uganda, Ghana, Vietnam and Burkina Faso ➤ Cities Alliance Knowledge Resources 	<p>Venue: Room MC4-100</p>
<p>15h00 – 15h30</p>	<p>Coffee/Tea</p>	
<p>15h30 - 17h30</p>	<p>Presentation: Cities Alliance Partnership Matters & Business Matters William Cobbett and Kevin Milroy, Secretariat</p> <ul style="list-style-type: none"> ➤ Charter Update <ul style="list-style-type: none"> ○ With Andrea Stumpf, World Bank Legal Counsel, Sustainable Development Network (SDN) ➤ Update on the Independent Evaluation 2011 ➤ Membership Issues ➤ Secretariat Staffing Update ➤ Business Plan Development and FY12 budget ➤ Next EXCO Meeting and Consultative Group Meeting ➤ Any other business 	<p>Handout: Charter version with WB Legal Tracked Changes; Background Documents: Financial Budget and Report, FY10-FY11(from Mexico City Meeting)</p>
<p>17h30 - 18h00</p>	<p>Closing Remarks Clarence Anthony, interim EXCO Chairperson</p>	

Grant Facility Options
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 2: Cities Alliance Business Matters

Support Document: Grant Facility Options Paper

Background:

In response to the Update on Cities Alliance Grant Making presented to the EXCO at the Washington, DC meeting, the Secretariat was requested to present possibilities that could be explored to enable a two-tier system by which Cities Alliance would be able to simplify processes for smaller grants, but also for atypical and experimental/innovation driven experiences that would not usually fit in the strategies of the individual partners.

A briefing note on options for EXCO has been provided.

Recommended Action:

For Discussion and Guidance to the Secretariat

Cities Alliance
Grant Agreement Set-up and Processing

-- Briefing note on Options for EXCO --

June 28, 2011

At its 10 March 2011 meeting, EXCO requested the Secretariat to keep working with the World Bank to improve the time it takes to process Grant Agreements and disburse funds to recipients. It was further agreed that possibilities should be explored to enable a two-tier system by which Cities Alliance would be able to simplify processes for smaller grants, but also for atypical and experimental/innovation driven experiences that would not usually fit in the strategies of the individual partners.

Below is elaboration and update on these matters since last EXCO.

1. Working with World Bank to improve grant processing and disbursement times.

Since the last EXCO, the Bank's central Operations Policy and Trust Fund/Global Programs offices, with strong encouragement and support from the Sustainable Development Network, has formed an institutional Small Grants Working Group to develop a work program for addressing these issues over the next 12-18 months.

The group is focusing on grants of up to US\$300,000 (and possibly up to US\$500,000), and includes consideration on streamlining fiduciary, legal and safeguards procedures, and improving mechanisms for alignment with Bank regional operations.

The questions raised by EXCO members at the March 2011 meeting in Washington, including the strong reactions of Clare Short at both the EXCO and Extractive Industries Transparency Initiative board meeting, as well as the extensive documentation provided by the Secretariat on grant set-up and processing times, helped motivate these institutional actions.

A far-reaching set of initial recommendations for improvements in the grants system is being considered by the Working Group, with final recommendations expected to be presented to Bank management in July 2011. If implemented as recommended, the time and transaction cost savings to the Cities Alliance and other grant-making programmes could be significant. Among the recommendations, for example, is to have the grant agreement generated from a system template by grant/program managers, without requiring further legal clearance or involvement. This could reduce grant set-up time by weeks, although at the possible expense of losing flexibility to customize and adapt. The Secretariat and FEU/SDN management will continue to work with the central Bank legal, policy and operational services offices in these reform efforts. **2. Additional options for streamlining grant set-up and processing**

In parallel with the Bank's review of its small grant processes, the Secretariat has begun investigation of other options for reducing transaction costs and improving service standards for grant processing for

one or more of its business lines. For example, are there feasible and efficient alternatives for administering the Catalytic Fund or parts of the knowledge/learning work program?

Three main options are being explored, summarized below.

A. Contractual services support to CA Secretariat.

➤ Contract out specified services in support of Bank/Secretariat grant administration processes for one or more CA product lines.

This would be for discrete services to support Bank/Secretariat staff, CA members and clients. Fees and reimbursable costs would be provided to support grant administration processes, which could include supporting grant applicants in budget formulation and documentation; procurement planning; safeguards documentation; reporting oversight; capacity building; etc. This would extend the capacity of the CA Secretariat and Bank TTLs in their supervision and monitoring functions, while following Bank policies, procedures and work flow.

For example, the Catalytic Fund (CF) could contract support for the 2012 and 2013 Catalytic Fund tranches. Once CF concepts notes approved, they are turned over to contractor to administer/facilitate the final application, grant set up and implementation processes, working with proposal proponents, CA sponsors, and secretariat staff. For example, the contractor could provide secretariat with the fiduciary documentation package needed to get a grant agreement through Bank clearance processes.

Idea to be tested: Could the TOR for this contract also include grant disbursements? In effect, could the WB contract with a banking services or trustee organization to administer the grant awards, on a reimburseable basis, using legal instruments and procedures that are cleared/prescribed by the WB? The services firm would bid on costs of its services, on assumptions of estimated number, value and geographical spread of grants, and the contract would include grant amounts as part of reimbursable expenses.

B. Program administration/partnership arrangement.

➤ Partner with another development organization to co-implement one or more CA product lines, in an arrangement that adds value to both organizations.

Funding for the product line would be provided to partner organization through a grant agreement, which would administer product/program in close coordination and active involvement of CA members and staff.

Partner organization should bring comparative advantages in grant administration, and a fiduciary and policy internal control environment fully satisfactory to the WB. Partner should also be able to add value in other ways.

Example: Partnership for implementation of Catalytic Fund (CF). The CA could issue a competitive call for proposals from potential organizations to partner in implementation of CF. In the arrangements, CA

members and secretariat would retain certain programmatic and monitoring roles (e.g., member coordination, sector/country director concurrences, participation in selection process, dissemination of outputs, etc.) but the partner organization would administer the CF selection and implementation following agreed rules, and in accordance with Bank policies, but with more efficient processes that shorten timelines while retaining sound oversight and control. Partner organization should have a strategic interest in the program, and ideally provide co-financing (e.g., to provide the learning and knowledge management component of CF, or to increase size of CF pool).

Partner organization should bring comparative advantages in grant administration (efficiency of processes, and service standards), and a fiduciary and policy internal control environment fully satisfactory to the WB.

C. Parallel program arrangement.

- A partner organization directly administers the Catalytic Fund or other CA program, in a manner consistent with CA and Bank policies.

Donors would contribute directly to the partner organization for the program, while the CA/Secretariat provides some programmatic roles (e.g., member coordination, sector/country director reviews, knowledge dissemination). The profile of the partner organization would be similar as described in section above.

3. Analysis

There can be some optimism that the Bank's Small Grants Working Group will propose viable improvements in the grant administration system. The potential impacts of these reforms will be better understood over the next few weeks and months. Meanwhile, the Secretariat continues to improve the grant business processes that are under its control. The new batch processing approach of the Catalytic Fund is undergoing its first test, and early indications are that some of the efficiencies that were built into the CatFund design are being realized.

The alternatives proposed in 2.A. and 2.A. have yet to be tested. They could turn out to be viable options, but we can reliably predict that either would take significant amount of work and time in navigating them through the Bank policy and procedure apparatus and getting them operationalized. A good analogy is the effort it took to get the Asian Development Bank into the Cities Alliance trust fund at the World Bank. The agreement took over two years to negotiate and get through all clearances in both development banks. And for reasons mostly outside of the Cities Alliance, the agreement ran for only one term, and then the ADB dropped out.

The last option (2.C.), to move one or more product lines out of the Bank, might have fewer transaction costs and be a practical alternative (if a suitable partner organization can be developed), but this would have wider implications for the program.

Cities Alliance

Cities Without Slums

FY 11 Financial Report and Draft FY 12 Secretariat Budget
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 2: Cities Alliance Business Matters

Support Document: FY11 Financial Report and Draft FY12 Secretariat Budget

Background:

At the Washington, DC March EXCO meeting, the Secretariat was asked to prepare the proposed FY12 work programme and budget in the outcome-oriented format proposed for the Plan.

The report provides estimate FY11 financial results for the Cities Alliance fiscal year ending 30 June 2011, and proposed budgets for FY12. A financial summary is also provided for FY06 – FY11.

In accordance with the Cities Alliance Charter, EXCO's responsibility includes approval of the annual work program and budget, subject to ratification by the Consultative Group.

Recommended Action:

- 1.) Review of FY11 Financial Report
- 2.) Review and approval of proposed FY12 Secretariat Budget, for recommendation to the Consultative Group for ratification.
- 3.) Review of FY12 proposed CA budget. Approval of budget will be deferred to Business Plan agenda item.

Cities Alliance Financial and Budget Report

FY11-FY12

As of June 27, 2011

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FINANCIAL SUMMARY
(In US\$ millions)

FY11 estimated as of June 24, 2011 ^

	FY06	FY07	FY08	FY09	FY10	FY11^	FY11- FY10 % Change
Contributions Paid In:							
Core	6.689	7.782	10.158	7.001	7.101	7.540	6%
Facilities*	4.371	4.565	1.355	16.844	2.000	0.000	0%
Other Non-Core	2.605	3.244	4.404	0.788	1.955	1.314	-33%
Total Paid In	13.665	15.591	15.917	24.633	11.056	8.854	-20%
Disbursements:							
Core	6.474	8.264	7.145	7.451	8.503	7.750	-9%
Facilities*	3.562	1.559	3.583	3.417	3.266	1.000	-69%
Other Non-Core	2.035	2.888	4.250	0.870	2.954	2.000	-17%
Total Disbursements	12.071	12.711	14.978	11.738	14.723	10.750	-27%
Approved Funding Allocations:							
Core	11.811	4.641	7.662	8.983	10.746	10.419	-3%
Facilities*	8.538	4.392	0.392	1.515	3.274	2.047	-37%
Other Non-Core	8.709	0.626	1.578	0.475	2.000	0.000	-100%
Total Allocations	29.058	9.659	9.633	10.973	16.020	12.466	-22%

* *Facilities include: Africa Facility; CLIFF; Slum Upgrading Facility; Land Services & Citizenship (Gates); and Community W&S Facility (closed).*

Excludes In-kind contributions for staff secondments to Secretariat.

FY11 FINANCIAL SUMMARY

The CA allocated more than \$10m of Core funding during FY11, the second consecutive year that more than \$10m was allocated as the old grant facility was closed down as part of the changes to the CA's business model. More than \$6m of allocations were approved for country-specific activities during the year, including \$3.6m for the last of the proposals from the old grant facility, \$1.7m for the new Catalytic Fund, and \$1.0m for country programs.

Funding allocations approved for the Land, Services & Citizenship program facility (funded by Gates Foundation) were less than expected during FY11, due to partnership issues around establishment of the Ghana and Burkina Faso programs. The Ghana issues have been resolved, however, and approvals are expected early in FY12. Approvals for the Burkina program are expected during the latter part of FY12.

Contributions of Core funds remained steady for the year, at the six-year average of \$7.7m. A contribution target of \$10m in Core funds was not realized, but ground work has been made to increase Core contributions over the near term.

Non-core contributions continued to drop off as the last of the large Non-core projects were wrapping up during FY11, the Slum Upgrading Facility and the large Italian-funded slum upgrading program in Bahia, Brazil. The Community-Led Infrastructure Facility (CLIFF) was concluded in previous years.

Disbursements for FY11 were less than had been anticipated as the program continued to grapple with administration changes inside the World Bank for setting up and disbursing small grants. The increased transaction costs have slowed through-put during the short-term, as the program adjusts to the new requirements, and researches alternatives.

Investment income was lower than budgeted due to very low risk investment approach by the World Bank on its dollar-denominated trust funds.

Actual expenditures for FY11 Secretariat costs are expected to be approximately \$818,000 less than was budgeted, largely because of delay in hiring staff into approved positions. See page 13 for a report on the Secretariat budget for FY11.

FY11 Sources & Uses of Funds -- Combined Sources

FY11 Totals, Estimated as of 24 June 2011

UNAUDITED

<u>COMBINED CORE & NON-CORE FUNDS</u>	<u>FY11 Actuals (Est.)</u>	<u>FY 11 Est. Actuals by Funding Source</u>		
		<u>Core</u>	<u>Gates (LSC)</u>	<u>Other*</u>
FUNDS AVAILABLE FOR ALLOCATION - Estimated				
Balance Forward from FY10 - Unallocated Funds	17,849,811	4,625,166	11,033,237	2,191,408
Contributions Received	7,539,478	7,539,478	0	0
Investment Income	265,000	160,000	105,000	0
Allocation Cancellations, Reflows & Adjustments	750,000	750,000	0	0
Less WB TF Admin Fees Paid	(74,842)	(74,842)	0	0
FUNDS AVAILABLE FOR ALLOCATION	<u>26,329,447</u>	<u>12,999,802</u>	<u>11,138,237</u>	<u>2,191,408</u>
ALLOCATION OF FUNDS				
Partnership Operations (incl Secretariat Costs)	3,200,000	3,200,000	0	0
Global Program Operations:				
Grant Facility (old) - Country/Regional Activities	3,594,427	3,594,427	0	0
Catalytic Fund (new)	1,749,300	1,749,300	0	0
Knowledge & Learning Work Programme	323,500	323,500	0	0
Communications & Advocacy Work Programme	250,000	250,000	0	0
Monitoring & Evaluation Work Programme	125,000	125,000	0	0
Country / Regional Partnership Programming:				
Land, Services & Citizenship Programme	1,272,855	145,855	1,127,000	0
Country Partnership Programmes (Brazil, Phil, & India)	824,500	824,500	0	0
Other Country/ Regional Programming & Support	1,126,207	206,207	0	920,000
BUDGETED ALLOCATION OF FUNDS	<u>12,465,789</u>	<u>10,418,789</u>	<u>1,127,000</u>	<u>920,000</u>
ENDING BALANCE - UNALLOCATED FUNDS	<u>13,863,658</u>	<u>2,581,013</u>	<u>10,011,237</u>	<u>1,271,408</u>

* Other funding sources include Africa Facility and non-core funding from Japan and Netherlands.

FY11 Sources & Uses of Funds -- Core Fund

FY11 Totals, Estimated as of 24 June 2011

UNAUDITED

Notes	<u>CORE FUNDS</u>	<u>CORE FUNDS</u>		Variance
		FY11 Budget	FY11 Actuals (Est.)	
FUNDS AVAILABLE FOR ALLOCATION				
	Balance Forward from FY10 - Unallocated Funds	4,625,166	4,625,166	0
1	Contributions Expected	10,000,000	7,539,478	(2,460,522)
2	Investment Income Received	330,000	160,000	(170,000)
3	Allocation Cancellations, Reflows & Adjustments	0	750,000	750,000
	Less WB TF Admin Fees Paid	(111,750)	(74,842)	36,908
	FUNDS AVAILABLE FOR ALLOCATION	14,843,416	12,999,802	(1,843,614)
ALLOCATION OF FUNDS				
	Partnership Operations (incl Secretariat Costs)	3,200,000	3,200,000	0
Global Program Operations:				
4	Grant Facility (old) - Country/Regional Activities	4,281,500	3,594,427	687,073
5	Catalytic Fund (new)	2,400,000	1,749,300	650,700
6	Knowledge & Learning Work Programme	500,000	323,500	176,500
7	Communications & Advocacy Work Programme	1,500,000	250,000	1,250,000
8	Monitoring & Evaluation Work Programme	250,000	125,000	125,000
Country / Regional Partnership Programming:				
9	Land, Services & Citizenship Programme	600,000	145,855	454,145
10	Country Partnership Programmes (Brazil, Phil, & India)	1,100,000	824,500	275,500
11	Other Country/ Regional Programming & Support	600,000	206,207	393,793
	BUDGETED ALLOCATION OF FUNDS	14,431,500	10,418,789	4,012,711
	ENDING BALANCE - UNALLOCATED FUNDS	411,916	2,581,013	2,169,097

FY11 Sources & Uses of Funds -- Non-Core Funds

FY11 Totals, Estimated as of 24 June 2011

UNAUDITED

Notes	<u>NON-CORE FUNDS</u>	<u>Gates (LSC) Funding</u>		<u>Other Non-core*</u>	
		FY11 Budget	FY11 LSC Actuals (Est.)	FY11 Budget	FY11 Actuals (Est.)
	FUNDS AVAILABLE FOR ALLOCATION				
	Balance Forward from FY10 - Unallocated Funds	11,033,237	11,033,237	2,191,498	2,191,408
	Contributions Expected	0	0	0	0
	Investment Income Received	150,000	105,000	0	0
	Allocation Cancellations, Reflows & Adjustments	0	0	0	0
	Less WB TF Admin Fees Paid	0	0	0	0
	FUNDS AVAILABLE FOR ALLOCATION	11,183,237	11,138,237	2,191,498	2,191,408
	ALLOCATION OF FUNDS				
	Partnership Operations (incl Secretariat Costs)	0	0	0	0
	Global Program Operations:				
	Grant Facility (old) - Country/Regional Activities	0	0	0	0
	Catalytic Fund (new)	0	0	0	0
	Knowledge & Learning Work Programme	0	0	0	0
	Communications & Advocacy Work Programme	0	0	0	0
	Monitoring & Evaluation Work Programme	0	0	0	0
	Country / Regional Partnership Programming:				
12	Land, Services & Citizenship Programme	8,000,000	1,127,000	0	0
	Country Partnership Programmes (Brazil, Phil, & India)	0	0	0	0
13	Other Country/ Regional Programming & Support	0	0	1,000,000	920,000
	BUDGETED ALLOCATION OF FUNDS	8,000,000	1,127,000	1,000,000	920,000
	ENDING BALANCE - UNALLOCATED FUNDS	3,183,237	10,011,237	1,191,498	1,271,408

* Other Non-core funding sources include Africa Facility and non-core funding from Japan and Netherlands.

NOTES to FY11 Sources & Uses of Funds reporting

CORE FUNDS

1. The FY11 Contributions budget had included a \$3m increase from FY10 levels. Norway increased its contribution by approximately \$0.5m, but other funding remained similar to FY10 level.
2. Investment income was lower than budgeted due to a more conservative investment approach by the Bank on its trust fund portfolio assets.
3. Projects approved in prior years were cancelled or closed during FY11, freeing up funds for reallocation, including Abomey (Benin) CDS, city development planning for State of Madhya Pradesh (India), and Douala (Cameroon) CDS.
4. Closing of the old grant facility resulted in \$687,032 less allocations than budgeted, due to dropping of the Fiji CDS/SU project (\$350,500) and Medellin urban program (Colombia) (\$75,000), and various adjustments to other proposals (\$261,532).
5. Catalytic Fund was launched during FY11, with \$2,000,000 budget for regular Cat Fund and \$400,000 for small grants fund (Kitty Fund). Only seven projects totaling \$1,624,300 were approved for funding from the Cat Fund, and only two projects totaling \$125,000 were approved from Kitty Fund. (With issues and transaction costs related to very small grants, the Kitty Fund was not widely publicized during the year).
6. The focus of knowledge and learning work programme during FY11 was implementation/supervision of previously funded knowledge projects, as well as consolidation of lessons and outputs from the CA's grant-funded country portfolio. Only two-thirds of FY11 knowledge and learning budget was utilized during FY11.
7. Most of the communications and advocacy budget went unutilized because of lack of consensus around plans for advocacy in Europe, and pending contribution increases to fund the plans (see Note 1).
8. The terms of reference for the 2011 Independent Evaluation were scaled back to reduce cost to about half of the cost of 2006 evaluation, based on guidance from the CA Consultative Group, and considering the funding provided in the previous year for an Evaluation of Project Implementation Modalities.
9. Proposals for CDS and SU projects in Uganda secondary cities, to be programmed in conjunction with the LSC program in Uganda, were deferred to FY12 because of timing of local elections.
10. New allocations in support of country partnership programmes with Brazil, India and Philippines were less than budgeted because of the cancellation of a project in India (city development plans for satellite towns of mega-cities), resulting from a

process to realign the work programmes to be consistent with the new business model.

11. Joint work programmes with members were still in development at end of FY11, with only three small grants approved during FY11 from Core funds – with UCLG, UN-H, and SDI.

NON-CORE FUNDS

12. LSC country program approvals for Ghana will be made early in FY12 instead of during FY11 as was budgeted. Approval for the Burkina Faso country program was made in mid-FY11, with grant approvals expected in FY12.
13. A significant joint work programme with WB's Africa region was developed and approved during the year from Africa Facility funds.

Approved Funding Allocations – Detailed FY11

FY11 Totals, Estimated as of 24 June 2011

Country	Activity Title	Allocation Amount (USD)	Core	Gates Found.	Africa Facility	Japan Non-Core	FY11 Status
Partnership Operations		3,200,000	3,200,000	0	0	0	
Management, finance and administrative operations		1,700,000	1,700,000	0	0	0	
	Secretariat - Management, finance and administrative operations	1,700,000	1,700,000	0	0	0	Approved
Technical, knowledge, communications and M&E operations		1,330,000	1,330,000	0	0	0	
	Secretariat - Technical, knowledge, communications and M&E operations	1,330,000	1,330,000	0	0	0	Approved
Governance and Administration		170,000	170,000	0	0	0	
	Consultative Group/ EXCO Meetings	170,000	170,000	0	0	0	Approved
Global Programme Operations							
Country/Regional Project Allocations (old Grant Facility)		3,594,427	3,594,427	0	0	0	
Projects supporting the implementation of policies and strategic		249,000	249,000	0	0	0	
Malawi	Grant for Lilongwe City Development Strategy (Phase 3)	249,000	249,000	0	0	0	Approved
Projects supporting the elaboration of policies and strategies		1,334,577	1,334,577	0	0	0	
Central African Republic	Central African Republic Towards Sustainable Urban Management: Improving Bangui City Performance Through Capacity Building and Planning Tools Development	301,750	301,750	0	0	0	Approved
Colombia	Colombia National Low-income Megaprojects: Developing a Policy and Program Framework	215,000	215,000				Approved
Cote d'Ivoire	Cote d'Ivoire Restructuring of Slums in the 13 Municipalities of the District of Abidjan	284,927	284,927				Approved
Malawi	Malawi City Development Strategy and Slum Upgrading Programme (CDS/SUP) Framework Phase I	175,000	175,000	0	0	0	Approved
West Bank and Gaza Territories	Cities as Guarantors of Stability: Scaling-Up of Strategic Development and Investment Planning (SDIP) in the Palestinian Territories	357,900	357,900	0	0	0	Approved
Projects providing country specific data and knowledge		1,074,250	1,074,250	0	0	0	
Ethiopia	Strengthen the Institutionalization and Support the Operation of the Ethiopian Cities Network	74,000	74,000	0	0	0	Approved
India	India State of the Cities Report	350,250	350,250	0	0	0	Approved
Kenya	Kenya Baseline State of the City Surve	400,000	400,000	0	0	0	Approved
Tanzania	Tanzania State of the Cities Report	250,000	250,000	0	0	0	Approved

Approved Funding Allocations – Detailed FY11

FY11 Totals, Estimated as of 24 June 2011

Country	Activity Title	Allocation Amount (USD)	Core	Gates Found.	Africa Facility	Japan Non-Core	FY11 Status
Pacific Island Proposals		936,600	936,600	0	0	0	
Papua New Guinea	Papua New Guinea Settlement Upgrading Programme	350,000	350,000				Approved
Regional	Regional Institutional Strengthening and Knowledge Management Support to Pacific Island Countries to Strengthen Implementation of the Pacific Urban Agenda under the Pacific Plan	349,600	349,600				Approved
Samoa	Samoa City Development Strategy Programme	237,000	237,000				Approved
Catalytic Fund (New grant facility)		1,749,300	1,749,300	0	0	0	
Kitty Fund		125,000	125,000	0	0	0	
Bangladesh	Bangladesh's Urban Transformation: Exploring the Demographic and Economic Dimensions	75,000	75,000	0	0	0	Approved
Ukraine	Supporting Kiev for City Vision and Long-Term Development Strategy	50,000	50,000				Approved
Catalytic fund		1,624,300	1,624,300	0	0	0	
Cameroon	Urban Development Strategy of Yaounde and its metropolitan areas of Yaounde-CDS	240,000	240,000				
Chile	Strategic Plan of the Southern Association of Municipalities of Santiago of Chile: Processing, territorial approach and citizen participation	250,000	250,000				
Ethiopia	Housing Sector Development: Making Shelter Assets Work	250,000	250,000				
Sierra Leone	Promoting affordable and sustainable sanitation services in Freetown	196,300	196,300				
Sub-Saharan Africa region	Tenure Security Facility Southern Africa: the provision of technical assistance and advisory services on incrementally securing tenure in slum upgrading	250,000	250,000				
Sri Lanka	Promoting Climate Resilient City Development and Settlements Upgrading Strategies for Sri Lankan Cities	218,000	218,000				
Uzbekistan	Historic Cities Sustainable Development Strategy for Bukhara and Samarkand	220,000	220,000				
Global knowledge and advocacy activities		698,500	698,500	0	0	0	
Theme: Slum Upgrading		75,000	75,000	0	0	0	
Global	Making the Case for Incremental Housing (increase to FY09 allocation)	75,000	75,000	0	0	0	
Theme: Strategic City Development		100,000	100,000	0	0	0	

Approved Funding Allocations – Detailed FY11

FY11 Totals, Estimated as of 24 June 2011

Country	Activity Title	Allocation Amount (USD)	Core	Gates Found.	Africa Facility	Japan Non-Core	FY11 Status
Global	Global City Indicators Facility	100,000	100,000				
Theme: Environment/ Climate Change/ Disaster Risk Reductio		0	0	0	0	0	
Theme: Finance		48,500	48,500	0	0	0	
Global	Capital Investment Planning and Financing	48,500	48,500	0	0	0	Approved
Other Learning & Knowledge Sharing		100,000	100,000	0	0	0	
Global	General Learning & Knowledge Sharing (FY11 increase)	100,000	100,000	0	0	0	Approved
Theme: Communications & Advocacy		250,000	250,000	0	0	0	
Ghana	Ghana Cities Awareness and Advocacy Framework	200,000	200,000	0	0	0	Approved
Global	General Communications & Advocacy (FY11 increase)	50,000	50,000	0	0	0	Approved
Theme: Monitoring & Evaluation		125,000	125,000	0	0	0	
Global	Cities Alliance Independent Evaluation 2011	125,000	125,000	0	0	0	Approved
Country / Regional Programming Allocations		3,223,562	1,176,562	1,127,000	920,000	0	
Land, Services & Citizenship Programme		1,272,855	145,855	1,127,000	0	0	
Ghana	Improving and Expanding Sanitation in Greater Accra Workshop	52,000		52,000			Approved
Mozambique	Support for upgrading the Chamanculo C Neighbourhood in accordance with the Global Strategy for Urbanizing and Reordering Informal Settlements in the Maputo Municipality (pending country program approval)	575,000		575,000			Approval Pending
Uganda	Addressing the Land Information Requirements of the Urban Poor - Phase I: Piloting of the Social Tenure Domain Model (STDM)	75,000	75,000				Approved
Vietnam	Consolidating management and implementation of Community Development Fund (CDF) through the Association of Cities of Vietnam (ACVN)	70,855	70,855				Approved
Vietnam	Strengthening of the Vietnam Urban Forum (VUF) and Operationalizing the National Urban Upgrading Program (NUUP)	500,000		500,000			Approval Pending
Country Partnership Programmes		824,500	824,500	0	0	0	

Approved Funding Allocations – Detailed FY11

FY11 Totals, Estimated as of 24 June 2011

Country	Activity Title	Allocation Amount (USD)	Core	Gates Found.	Africa Facility	Japan Non-Core	FY11 Status
Brazil	Technical Assistance and Guidance in the Implementation of Brazil's Minha Casa Minha Vida Programme and its integration with the National Housing Plan (PlanHab)	74,500	74,500				Approved
Philippines	Developing a National Slum Upgrading Strategy for the Philippines	500,000	500,000				Approved
Philippines	Developing A Knowledge Management and Exchange System for City Managers	250,000	250,000				Approval Pending
Other Country / Regional Programming & Support		1,126,207	206,207	0	920,000	0	
Africa Regional	Supporting Africa's Urban Transition (JWP with WB)	920,000			920,000		Approved
Africa Regional	Know Your City - A City of 2030 Without Slums	74,825	74,825				Approved
Africa Regional	State of African Cities 2012: Urban Vulnerabilities, Adaptation and Resilience	75,000	75,000				Approved
Africa Regional	UCLG Supervision of Lilongwe and Namibia CDS projects	56,382	56,382				Approved
TOTAL ALLOCATIONS		12,465,789	10,418,789	1,127,000	920,000	0	
		350,500	350,500 PLUS: March 31 Batch proposals not approved by end FY11 - Fiji				
		<u>12,816,289</u>	<u>10,769,289</u>				

CITIES ALLIANCE SECRETARIAT
FY11 BUDGET REPORT - CORE FUNDS

Estimated as of June 24, 2011

(US\$)

See Notes	CORE FUNDS	FY11 Original Budget Plan	Estimated Actuals June 30th	Over (-) Under (+) Plan
	SOURCES OF FUNDS - Secretariat Budget			
#1	Core Funds - Approval Requested for FY11	3,300,000	3,200,000	-3%
#1	Core Funds, carry-forward (estimated)	102,000	203,387	99%
	Staff secondments and JPO programs	0		
	WB/misc. funding	15,000		
	Travel Rebate	0		
	Total Sources of Funds - Secretariat	3,417,000	3,403,387	0%
	USES OF FUNDS - Secretariat Budget			
	Staff costs (salary + benefits) - HQ	2,297,761	1,749,647	24%
	Staff costs (salary + benefits) - Field	104,500	138,751	-33%
#2	Total Staff Costs	2,402,261	1,888,398	21%
#3	Travel	315,000	170,235	46%
#4	Short-term consultants / other labor costs	110,000	125,629	-14%
#5	Contractual Services (e.g., printing, graphics)	62,000	45,000	27%
#6	Overhead Costs	327,500	319,500	2%
#7	<i>Meeting & Events:</i>			
	- CG/PPF/EXCO Meetings	170,000	155,000	9%
	- WUF/ Africities / Urban Forum / Others	30,000	0	100%
	Total Meetings & Events:	200,000	155,000	23%
	Total Uses of Funds - Secretariat	3,416,761	2,703,762	21%
	Budgeted Ending Balance - Secretariat (to FY12)	239	699,625	

Note 1. The Secretariat had finished FY10 with savings of \$203.4K vs. originally planned \$102K, or surplus of 99%, and reduced Secretariat funding allocation by similar amount.

Note 2. Actual staff costs were 24% lower due to slow filling of vacant staff slots

Note 3. Travel expenses are expected to be about half of originally planned allocation due to lower staffing set up and fewer number of trips. FY12 budget plan will include higher volume of operational travel.

Note 4. The new CA business model as well as the WB recently introduced requirements for the grant processing increased the demand in highly-qualified professionals (Clare Short, Martha Jarosewich-Holder). The interim consulting arrangements for the CA secretariat staff (mostly GPO and Communications teams) during their conversion to term staff added to the increase of STC original balance

Note 5. Contractual services (designing of the CA materials, printing, copying, shipping, freight, other communications and publishing costs) were 35% lower of originally planned budget

Note 6. Overhead expenses (office rent, IT and communications, representation and hospitality, supplies and miscellaneous) increased due to increased communications costs

Note 7. The Secretariat will finish FY11 with \$45K or 23% in savings under Meetings&Events category because there was no WUF, Africities or other major event during the year.

CITIES ALLIANCE SECRETARIAT
FY11 BUDGET REPORT - NON-CORE FUNDS

Estimated as of June 24, 2011
(US\$)

See Notes	<u>NON-CORE FUNDS</u>	FY11 Original Budget Plan	Estimated Actuals June 30th	Over (-)/Under (+) Plan
	SOURCES OF FUNDS - Secretariat Budget			
	Core Funds - Approval Requested for FY11	0	0	
	Core Funds, carry-forward (estimated)	0	0	
	Staff secondments and JPO programs	0		
#1	On-going Regional Staff allocations	358,300	269,141	25%
	On-going Norway MTS Support	149,500	145,305	3%
#2	Funding from other Non-Core sources	580,289	369,600	36%
	WB/misc. funding	0	0	
	Travel Rebate	0	0	
	Total Sources of Funds - Secretariat	1,088,089	784,046	28%
	USES OF FUNDS - by Secretariat Funding Source*			
	Staff costs (salary + benefits) - HQ	289,789	281,502	3%
#1, #2	Staff costs (salary + benefits) - Field	358,300	269,141	25%
	Total Staff Costs	648,089	550,643	15%
#3	Travel	245,000	75,345	69%
#4	Short-term consultants / other labor costs	15,000	45,000	-200%
#5	Contractual Services (e.g., printing, graphics)	61,500	8,368	86%
#6	Overhead Costs	118,500	104,690	12%
	Total Uses of Funds - Secretariat	1,088,089	784,046	28%
	Budgeted Ending Balance - Secretariat (to FY12)	0	304,042	

Note 1. On-going regional Allocations for the CA regional staff are funded by Italy, SIDA and the Africa Facility. Savings are due to (1) change in status of Regional Advisor in Ethiopia to short-term consultant, and (2) the assignment of the Sao Paulo's Program Assistant/CA Transaction Specialist costs to the Core Secretariat budget.

Note 2. This primarily includes Secretariat staff costs covered by the Land, Services & Citizenship program (LCS). Estimated actuals are 36% lesser of the original budget due to the departure of one staff and lower volume of LCS related operational trips.

Note 3. Travel expenses are expected to be at a half of originally planned allocation due to lower staffing, fewer number of trips and aggressive travel costs control measures. FY12 budget plan will include higher volume of operational travel though

Note 4. Short-term consulting appointment of the RA in Ethiopia increased originally planned budget by 200%, but contributed to reduction of staff costs.

Note 5. Demand in contractual services significantly decreased in FY11 what resulted in 86% saving

Note 7. 12% saving is expected under overhead expenses (office rent, IT and communications, representation and hospitality, supplies and miscellaneous) category due to reduced representation and occupancy costs in local offices.

CITIES ALLIANCE SECRETARIAT
FY11 BUDGET REPORT - IN-KIND CONTRIBUTIONS
Estimated as of June 24, 2011
(US\$)

<u>IN-KIND CONTRIBUTION</u>	FY11 Original Budget Plan	Estimated Actuals June 30th	Over (-)/Under (+) Plan
SOURCES OF FUNDS - Secretariat Budget			
Core Funds - Approval Requested for FY11	0		
Core Funds, carry-forward (estimated)	0		
#1 Staff secondments and JPO programs	654,000	516,406	21%
On-going Regional Staff allocations	0		
On-going Norway MTS Support	0		
Funding from other Non-Core sources	0		
WB/misc. funding	0		
Travel Rebate	0		
Total Sources of Funds - Secretariat	654,000	516,406	21%
USES OF FUNDS - by Secretariat Funding Source*			
Staff costs (salary + benefits) - HQ	654,000	516,406	21%
Staff costs (salary + benefits) - Field	0		
Travel	0		
Short-term consultants / other labor costs	0		
Contractual Services (e.g., printing, graphics)	0		
Overhead Costs	0		
Total Uses of Funds - Secretariat	654,000	516,406	21%
Budgeted Ending Balance - Secretariat (to FY12)	0	137,594	

Note 1. Original budget included UN-Habitat's secondment. Reduction of 21% because the position is still vacant

**CITIES ALLIANCE SECRETARIAT
FY12 PROPOSED BUDGET
(US\$)**

See Notes	Core	Non-Core	In-Kind	TOTAL
SOURCES OF FUNDS - Secretariat Budget				
	2,850,000	0	0	2,850,000
	699,625	0	0	699,625
#1	0	0	607,226	607,226
#2	0	271,061	0	271,061
#3	0	572,155	0	572,155
	0	0	0	0
	3,549,625	843,216	607,226	5,000,067
USES OF FUNDS - by Secretariat Funding Source*				
#4	2,299,556	129,110	607,226	3,035,892
#4	153,349	271,061	0	424,410
#5	266,220	200,000	0	466,220
#6	217,000	99,045	0	316,045
#7	62,000	41,500	0	103,500
#8	336,500	102,500	0	439,000
#9	Meeting & Events:			
	185,000	0	0	185,000
	30,000	0	0	30,000
	3,549,625	843,216	607,226	5,000,067
Budgeted Ending Balance - Secretariat				
	0	0	0	0

**CITIES ALLIANCE SECRETARIAT
NOTES ON FY12 BUDGET**

- Note 1.** In-kind contribution represents secondments from France (MFA), Germany (GTZ), a newcomer from UN-Habitat (to replace Jean-Christophe Adrian whose assignment with the CA terminated in May, 2010), and funding from the World Bank's Junior Professional Officer program with Italy, for a young professional who joined the CA in January of 2010.
- Note 2.** On-going non-core allocations for regional advisory staff are funded from from Sida, Italy and the Africa Facility.
- Note 3.** This primarily includes Secretariat costs covered by the Land, Services & Citizenship programme.
- Note 4.** The proposed budget includes no additional staff slots beyond those already approved. Regional advisors are now included in the budget; most are funded from Non-core sources. See notes above.
- Note 5.** The travel budget line excludes Secretariat travel to Events/Meetings, noted elsewhere in budget.
- Note 6.** Due to increased demand in consulting services estimated costs of a safeguard, strategy development and implementation support as well as local consultants for the LSC program in 6 countries are estimated as short-term/other labor costs
- Note 7.** Contractual services line item represents estimated cost of services to be provided by various vendors during the course of FY12. The services would include contractual designing of CA materials, printing, copying, shipping, freight, other communications & publishing costs.
- Note 8.** Estimated overhead costs are mostly based on FY11 actuals. They represent variable sustaining expenses such as office rent, IT equipment, communications, representation/hospitality, supplies and other
- Note 9.** Effective with the FY11 budget, recurring event/meeting costs are being budgeted and managed as part of the Secretariat budget. This would include direct costs of staging the events but also travel for staff and specially-invited guests.

CITIES ALLIANCE SECRETARIAT
 FY12 PROPOSED BUDGET - BY SECRETARIAT TEAM
 (US\$)

BUDGETED USES OF FUNDS - by Team	Core	Non-Core	In-Kind	TOTAL
<u>Partnership Operations</u>				
Staff costs (salary + benefits) - HQ	656,235	25,242	0	681,477
Staff costs (salary + benefits) - Field	0	0	0	0
Travel	100,000	0	0	100,000
Short-term consultants / other labour costs	50,000	0	0	50,000
Total	806,235	25,242	0	831,477
<u>Knowledge/Advocacy/Communications</u>				
Staff costs (salary + benefits) - HQ	341,950	0	485,000	826,950
Staff costs (salary + benefits) - Field	0	0	0	0
Travel	45,000	0	0	45,000
Short-term consultants / other labour costs	100,000	0	0	100,000
Total	486,950	0	485,000	971,950
<u>Country Partnership Program</u>				
Staff costs (salary + benefits) - HQ	623,342	67,054	0	690,396
Staff costs (salary + benefits) - Field	118,620	259,485	0	378,105
Travel	73,220	200,000	0	273,220
Short-term consultants / other labour costs	10,000	99,045	0	109,045
Total	825,182	625,583	0	1,450,765
<u>Program Administration</u>				
Staff costs (salary + benefits) - HQ	678,031	36,814	0	714,845
Staff costs (salary + benefits) - Field	34,729	11,576	0	46,305
Travel	33,000	0	0	33,000
Short-term consultants / other labour costs	57,000	0	0	57,000
Total	802,760	48,390	0	851,150
<u>Catalytic Fund</u>				
Staff costs (salary + benefits) - HQ		0	122,226	122,226
Staff costs (salary + benefits) - Field	0	0	0	0
Travel	15,000	0	0	15,000
Short-term consultants / other labour costs	0	0	0	0
Total	15,000	0	122,226	137,226
Total Uses of Funds - by Team				
	2,936,127	699,216	607,226	4,242,569
<u>Secretariat variable costs:</u>				
Contractual Services	62,000	41,500	0	103,500
Overhead Costs	336,500	102,500	0	439,000
Event/Meeting costs	215,000	0	0	215,000
Total Uses of Funds by Secretariat	3,549,627	843,216	607,226	5,000,069

Draft Business Plan, 2012 – 2014
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 2: Business Plan

Support Document: Draft Business Plan, 2012 - 2014

Background:

In response to the recommendations from the GHK Evaluation on the Implementation Modalities of the CA, the Secretariat was asked to develop an annotated outline of the Business Plan for the next EXCO meeting (July 2011).

The Secretariat has developed the annotated outline and has drafted much of the Business Plan, FY2012 – FY2014.

In accordance with the Cities Alliance Charter, EXCO responsibilities include providing guidance to Secretariat on matters of policy and strategy, and to approve the annual work program and budget, subject to ratification by the Consultative Group.

Recommended Action:

- 1.) Provide guidance to the Secretariat on the steps to take to further develop the business plan
- 2.) Provide guidance to the Secretariat on the strategic choices and options presented.
- 3.) Review and approve proposed FY12 CA budget, which has been developed as part of the business planning process.



BUSINESS PLAN

JULY 2011 – JUNE 2014

DRAFT FOR THE EXECUTIVE COMMITTEE
ACCRA, GHANA

11 JULY 2011

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1. Introduction

This three-year Business Plan marks the end of an intense period of internal debate about the nature and direction of the Cities Alliance. Commencing with the adoption of the Medium Term Strategy (2008-2010), the organisation has been substantially redesigned and repositioned, almost entirely by Cities Alliance members themselves, with the active involvement of the Secretariat.

In November, 2010, the Consultative Group adopted a wholly new Charter for the Cities Alliance, and approved a new business model for its implementation. Once approved, this Business Plan, based on a results-based framework, will guide the work of the organisation over the next three years.

While remaining focused on the related issues of urban poverty and city development, the Cities Alliance has been significantly strengthened in order to pursue its vision.

First and foremost, the new Charter provides welcome clarity on the Cities Alliance's over-arching objectives:

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

Secondly, the Consultative Group decided to reposition the Cities Alliance as a Partnership, and instructed the Secretariat to act as a facilitator. Combined, these two elements of the Charter will drive the Cities Alliance forward during the period of this Business Plan.

Financially, this has been a difficult time for Cities Alliance members. The impact of the global financial crisis, and many competing demands for declining international development budgets, both challenge the Cities Alliance to deliver more with its modest resources, and to be able to point very clearly to results achieved.

The new Cities Alliance Charter and business model are predicated on the belief that the role of development assistance is designed to be catalytic in nature, and that the key to sustainable urban development in the long-term lies in mobilising domestic resources, both public and private. To maximise its impacts, the Cities Alliance has decided to be far more strategic in leveraging additional resources to supplement its own modest resources. At the core of this approach, lies the philosophy of partnership.

The new business model has three main strategic thrusts. The first is to consistently improve the quality of Cities Alliance grants, which are now managed on a competitive basis. In addition to the quality improvements that will be generated by the competitive assessment of applications, the Cities Alliance will also reward those proposals that are genuinely innovative, and which promote partnerships.

The centrepiece of the new business model are the Country Partnership Programmes, maybe the most significant achievement of the Medium Term Strategy, which motivated for a longer-term and more comprehensive approach to development assistance. Even at this relatively early stage, we have sufficient evidence to be confident that the CPP is a vehicle that has the potential to make a significant contribution to overall aid effectiveness, and to greatly improve collaboration amongst CA members, and with domestic partners.

The third strategic thrust is to build upon the diverse strengths and capacities of Cities Alliance members, in the belief that each one has a positive contribution to make towards achieving the vision of the Cities Alliance. Again, the early evidence suggests that a combination of clear strategic thinking and modest resources can leverage significantly improved results.

The new business model is also clear about the many benefits that are to be gained from the presence of the Cities Alliance at the World Bank, and within the Finance, Economic and Urban Development Department, where the Secretariat constitutes part of the Urban Pillar. Using the same principles of partnership, the Cities Alliance will also seek to leverage other Global Programmes located at the Bank, such as GFDRR, ESMAP and PPIAF.

Finally, the Secretariat is also undertaking a process of retooling and re-skilling, based on the demands of the new business model. This Business Plan will provide the roadmap for the Secretariat, and the partnership as a whole, and ensure accountability in the drive for results.

DRAFT

2. Review of Operations: A Decade of Catalysing Change

This chapter provides a snapshot of Cities Alliance achievements since its inception and highlights some of the main reasons behind re-positioning for scale and impact.

2.1 Financial Summary – Sources and Uses of Funds

As indicated in Table 1, the Alliance mobilised \$162.7 million over the last 11 years of its existence. Of this amount, \$25.5 million was earmarked for CLIFF (\$16.3 million) and SUF (\$9.2 million) projects. The remaining amount supported Secretariat costs and the open grant facility that funded numerous projects at the country, regional and global level, implemented by the CA members and their partners. Section 2.2 provides a highlight of the results achieved.

Table 1: Sources and Uses of Funds*

	<u>Inception through FY10</u>	<u>FY11</u>	<u>Cumulative</u>
<u>SOURCES OF FUNDS</u>			
Contributions Received	150,052,208	8,700,000	158,752,208
Investment Income Received	6,316,071	265,000	6,581,071
Trust Fund Admin. Fees Paid	(2,493,031)	(107,762)	(2,600,793)
TOTAL SOURCES OF FUNDS	153,875,248	8,857,238	162,732,486
<u>USES OF FUNDS</u>			
Country / Regional Funding Allocations	73,859,269	8,767,289	82,626,558
Global / Multiregional Funding Allocations	43,226,787	668,500	43,895,287
Secretariat Costs	24,313,579	3,030,000	27,343,579
Allocation Reflows/ Cancellations/ Adjustments	(6,264,150)	(750,000)	(7,014,150)
TOTAL USES OF FUNDS	141,399,635	12,465,789	153,865,424
ENDING BALANCE - UNALLOCATED FUNDS	12,475,613	(3,608,551)	8,867,062

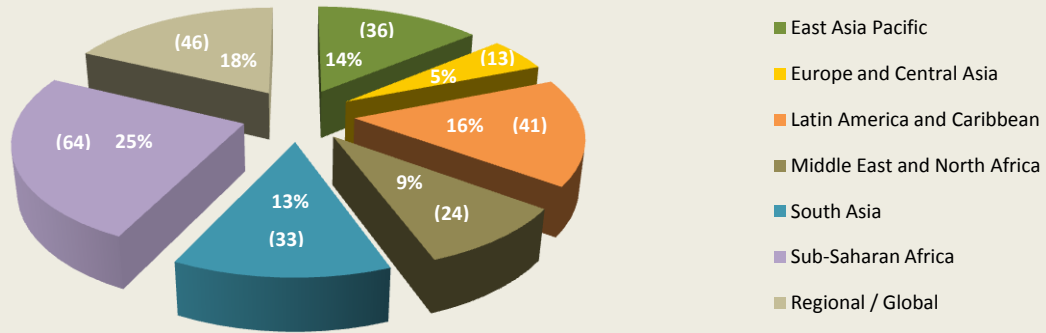
*NOTE: Unaudited. Includes Core, Non-Core and In-Kind funding sources. FY11 figures are estimated.

2.2 Grant-Funded Activities and Results

2.2.1 A Global Portfolio of Grant Funding Support

Over the period FY2000 – FY2010, the Cities Alliance has approved 257 projects in over 70 countries. Most of these projects related to the founding mandate of the Cities Alliance: to scale up slum upgrading, and support city development strategies. While the reach is global – actively operating in 6 regions – the Cities Alliance has retained a relatively strong focus on Sub-Saharan Africa, which accounts for 25 per cent of country-specific projects as indicated in Figure 1.

Figure 1 Geographical Distribution of Approved Projects - Total of 257 projects as of 30 June 2010

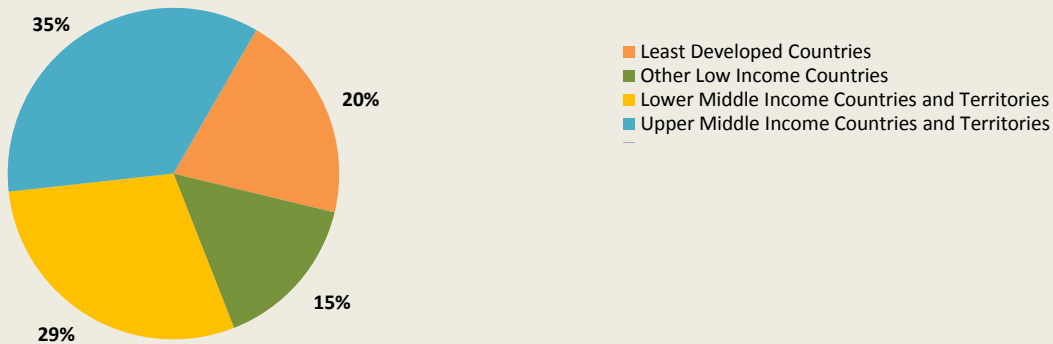


Notes:

- A. Figures reflect both country-specific projects and regional/global projects.
- B. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
- C. Projects cancelled during preparation or implementation were included in the calculation.

In addition to its global reach, a large proportion of the portfolio has had a strong focus on Low Income Countries (35 per cent) and Lower Middle Income Countries and Territories (33%) in which urbanisation challenges and urban poverty is prevalent. Figure 2 shows the allocation of approved grants by country income groups.

Figure 2 Overall Allocation of Approved Grant Amount by Country Income Groups (Fiscal Years 2000 – 2010)



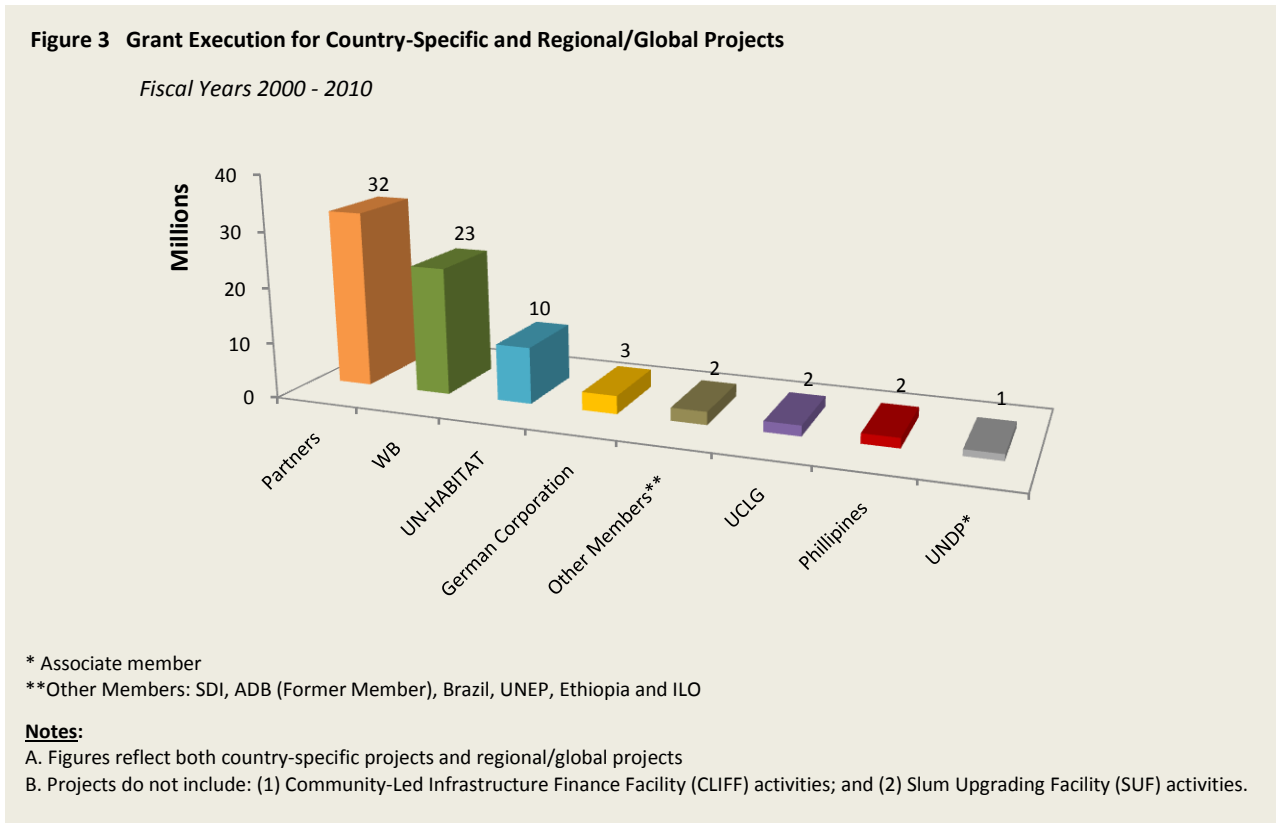
Notes:

- A. Classification of Cities Alliance projects has been based on the most current list available at the time of project approval.
- B. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional- Global Projects.

2.2.2 Working Together: Cities Alliance Members and Their Partners

In line with the Cities Alliance core objectives, the majority of activities were funded through the Open Access Grant Facility to support members and their partners promote urban poverty reduction, and inclusive cities. In the first decade, most proposals were initiated by CA members, or by partners with CA member support, while the Secretariat was responsible for managing the approval process, and trying to promote improved collaboration between members. The Cities Alliance provided over US\$ 75 million (excluding funding for CLIFF and SUF projects) to support its members and their partners in taking forward innovative and participatory approaches to inclusive city development and transformation.

Figure 3 below shows the grant funding provided to and executed by CA members and other development partners during the first ten year of operations.



In addition to the support provided through the Open Access Grant Facility, members and their partners have made significant resources available by co-financing project activities. For every \$1 of Cities Alliance grant funding provided, our members and their partners contributed \$1.14 in co-financing.

Cities Alliance funded projects have also contributed directly or indirectly to the preparation and/or implementation of important and significant member operations. For example, between FY 2009 and 2011, World Bank task teams utilised the funding from the Open Access Grant Facility to initiate participatory processes, gather critical data and information needed for the preparation of at least 13 projects. Grant funding of only \$5.7 million was leveraged for investments projects worth \$1.5 billion, demonstrating the importance of the Alliance in catalysing urban development and poverty reduction. The examples below show how seed funding can be leveraged for remarkable results.

Box 1: Tanzania – Dar es Salaam Investment Resource Mobilisation for Metropolitan Development (\$75,000)

The CA grant was instrumental in mobilising efforts of multiple and overlapping jurisdictions – as well as several Government of Tanzania Ministries, Departments and Agencies – to agree on a metropolitan area-wide effort. World Bank management has cleared preparation of a US\$ 75 million first phase of an Adaptable Program Loan under the *Dar es Salaam Metropolitan Development Project (DMDP)*. The grant also enabled the city to seek participation from the Agence Française de Développement (AFD) and the Government of Finland. Both agencies (and others) are actively considering co-financing the proposed DMDP.

Box 2: Alexandria City Development Strategy (CDS) for Sustainable Development – Phase II (\$350,000)

Despite initial drawback in the implementation of the project, it was very successful in mobilising various actors and resources towards achieving some of the key goals articulated in the CDS. The national government invested about \$1.28 million to improve wastewater treatment and reduce pollution in Lake Mariout. The World Bank, GIZ and Alexandria Governorate collaborated in conducting rapid appraisals in 20 informal settlements. The IFC provided resources to conduct a technical study aimed at improving the business-enabling environment and promoting local economic development in the city.

2.2.3 Knowledge and Tools: Promoting Learning between Cities and Countries

Cities Alliance members and their partners have identified a growing demand for access to lessons and good practices from cities and countries that have dealt with challenges of urbanisation. Countries such as Brazil and South Africa, both members of the Alliance and beneficiaries of grants, have been at the forefront of finding innovative ways to deal with slum backlogs and rethinking of models of city governance.

These lessons and good practices are now being shared with other cities and countries. For example, the city of Johannesburg has been mentoring the city of Lilongwe for some years, and Brazil is actively engaged in transferring knowledge and expertise to Mozambique in a tri-lateral collaboration with Italy and Cities Alliance.

2.2.4 Project Implementation and Impact on the Ground: The Evidence

As part of the Medium Term Strategy's corporate goal of continually seeking improvements in efficiency, the Cities Alliance commissioned an evaluation of the various project implementation modalities available to members. The results were published in March 2011. Key findings were:

- **Coherence of Effort:** Cities Alliance Open Access Grants were generally successful in getting members to work better together. Evidence through the Grant Facility showed that in those projects with strong partnerships and coherence of effort, results generally improved;
- **Project Quality:** Evidence from the detailed project reviews, and case studies, demonstrate that the CA has performed reasonably well in delivering value through knowledge inputs and reputational leverage; and
- **Additionality:** Through its Grant Support, the Cities Alliance has directly contributed to better development outcomes and impacts through:

- Leveraging new ways of participatory pro-poor planning; and
- Improving awareness and understanding of the drivers of urban poverty.

Knowledge and tools have also been key outputs in many grant funded projects over the years. Two such products that are worth mentioning are:

- The Guide to City Development Strategies: Improving Urban Performance; and
- The Urban Transition in Sub-Saharan Africa: Implications for Economic Growth and Poverty Reduction. These have undergone several reprints and guide has been translated into other languages (Hindi, Bahasa and Tagalog).

2.3 Re-positioning the Cities Alliance: Strengthening Partnerships and Joint Working

The rationale for re-positioning the Cities Alliance was based on a combination of the Secretariat's assessment, evidence from on-going evaluations and the deliberations of the Working Group on Governance. Specifically, the following factors informed the need to reposition the Cities Alliance:

- The need to better reflect the advantages of the Cities Alliance's location at the World Bank, while still retaining the distinct identity of the organisation;
- The importance of actively engaging more Members in the range of activities supported by the Cities Alliance and building strong partnerships for better results;
- Evidence that coherence of effort is far more effective through a more programmatic approach to member collaboration;
- The importance of making a major contribution to improving aid effectiveness; and
- The need to improve financial and programme accountability by adopting a results-based framework.

The endorsement of a new Charter by the Cities Alliance Consultative Group during the past year was the culmination of a three-year period of reflection, debate and change in the organisation. Assessments were made about the comparative advantages and value added of the Cities Alliance and what produced the best and most cost-effective results. The Secretariat developed a Theory of Change, to guide its interventions. Questions were asked about how to improve impacts, especially in low income countries and under-resourced secondary cities, and about how to better engage CA members. A medium-term strategy was formulated and implemented, which had the desired result of decisively moving the organisation in a more strategic and programmatic direction, and the consequential evolution of its products and instruments.

The new Charter, adopted unanimously by the Consultative Group in November 2010, has greatly clarified the organisation's objectives by promoting and strengthening the role of cities and local governments, which had previously been ignored by national governments and development agencies. To achieve this goal, and signal the importance of improving aid effectiveness, members decided to reposition the Cities Alliance as a Global Partnership, and ensure that they complement and leverage each others' unique strengths.

This decisive shift to a Partnership requires significant changes in the CA's business model, and a substantial redefinition of the role of the Secretariat. Overall, this transition seeks to build upon the excellent reputation achieved by the Cities Alliance in its first decade, and move to new levels of

operation. Even at this early stage, the Secretariat has been able to identify major advances associated with the new business model.

The purpose of this document, the Cities Alliance's first business plan, is to lay out the next steps for implementing the Charter, significantly increasing the CA's contribution to urban poverty reduction and for realising the vision of cities without slums that Nelson Mandela articulated at the launch of the Cities Alliance in Berlin in 1999.

2.4 Main Services of the Cities Alliance

In line with the Charter and the new business model, the Secretariat is now focused on leveraging the capabilities of CA members, and on actively facilitating the Cities Alliance as a partnership. Together, these should greatly enhance both the coherence of effort amongst CA members, and the effectiveness of CA assistance. The main service lines are listed below and are described in detail in chapter 4:

- Country Partnership Programmes;
- Catalytic Fund and Grants;
- Knowledge and Learning;
- Advocacy and Communication.

2.5 Strategic Challenges and Choices for the Alliance

The business plan addresses several key strategic challenges central to operationalising the Charter and increasing results, among them:

- Making the Cities Alliance the effective global partnership focused on cities, and urban poverty reduction
- Making a significant contribution to overall aid effectiveness;
- Supporting those African cities and national governments wishing to respond effectively to rapid urbanisation;
- Actively promoting the role of cities in sustainable development;
- Maximising outcomes from the on-going Cities Alliance grant portfolio (more than \$60m allocated over past five years);
- Continually improving the efficiency of grant-making instruments;
- Effectively implementing the CA results framework; and
- Mobilising the additional resources necessary to invest in the business plan.

The Cities Alliance now occupies a prominent niche in the international development aid architecture, supporting city and national and local governments to optimise the role of cities in inclusive economic development and poverty reduction, on a budget of US \$15 million per year. While much can be – and

has been – achieved with even small amounts of funding, it is vital that Cities Alliance members mobilise new levels of resources.

To address these vital challenges, strategic choices need to be made. The first and main strategic choice proposed in this Business Plan is for the Cities Alliance to focus on leveraging the partnership during the FY12–FY14 period. Every staff member and every product line will focus on maximising the impacts to be gained from CA inputs. The priorities will be to:

- Maximise CA member comparative advantages, capacities and inputs;
- Optimise core CA financial resources by leveraging additional financial resources for CA member programmes and projects;
- Optimise outcomes from the large portfolio of CA-funded technical assistance and knowledge projects; and
- Increase efficiencies in the delivery of the CA work programme.

This Business Plan seeks to use the enhanced relationship with the World Bank as a platform, and rapidly grow the Cities Alliance through improved outcomes from its existing capacities and funding stream, and through the mobilisation of significant new resources for the new CA service lines.

The Secretariat believes that these resources can be mobilised by demonstrating the significant advantages of the new business model:

- The demonstrable advantages of the Country Programmes approach;
- The flexibility, innovation and improved quality associated with the Catalytic Fund; and
- The enormous potential of leveraging CA members where their work programme complements the agreed priorities of the Cities Alliance.

3. Corporate Objectives and Results

3.1 The Role of the Cities Alliance in International Urban Development Cooperation

The new Charter adopted in 2010 defines the Cities Alliance as “a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development”. It clearly states that:

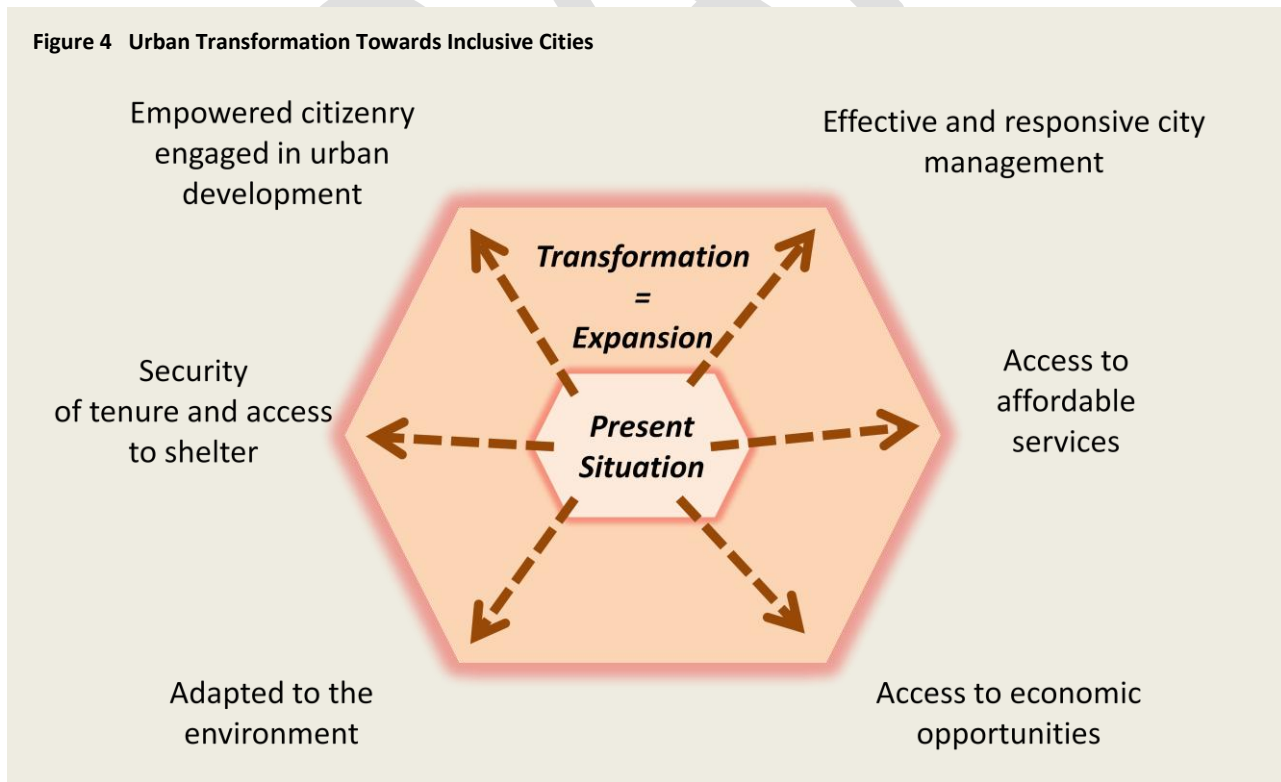
“The Cities Alliance is governed by three over-arching objectives:

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

3.2 The Cities Alliance Approach to Change

Cities Alliance’s Theory of Change is based on its mandate, comparative advantages and track record. It follows a policy advisory approach with cities local governments and key stakeholders at the core. The concept of Inclusive Cities covers the dimensions of sustainable development, and refers to the responsiveness of local governments, the engagement of citizens, accessibility of services, land, housing, and economic opportunities, and the adaptation to the environment through policies designed to promote Green Growth. All working from the present reality in a transformation process towards inclusive cities as shown in Figure 4.

Figure 4 Urban Transformation Towards Inclusive Cities



3.3 Results Framework

To operationalise the overarching objectives for the purpose of results-based management, the Cities Alliance will adopt a results framework with a corporate goal expressing the long-term (five-year-plus) outcome, and four corporate objectives related to the Business Plan FY 2010 – 2014.

The results based management will be developed over time. Initially, the monitoring will focus on the intermediate outcome level and the use partners and members make of the services provided by the Alliance. The initial set of indicators can be complemented and refined in parallel with the Alliance's capacity to both monitor progress towards their achievement and take corresponding managerial decisions. Similarly, monitoring at the longer-term outcome level, poverty reduction and sustainable development will be incrementally developed over time.

Cities Strengthen their Role in Poverty Reduction and in Sustainable Development

Indicators: A “strengthened role” is reflected in improvements observed in one or more of the six dimensions of inclusive cities (empowered citizenry, responsive governments, access to services, access to housing and security of tenure, adapted to the environment, access to economic opportunities). These improvements must be plausibly related to CA support. Such improvements will have to be assessed on a case by case basis, analysing regulatory frameworks, governance mechanisms, investment schemes, policies, CDS, SU-projects, etc.

Indicators 2012-2014

<p>National governments improve the urban policy frameworks</p>	<ol style="list-style-type: none"> 1) National governments in at least 5 countries established dialogue platforms with stakeholders to inform national policies; 2) National governments of at least 10 countries enhanced their knowledge base of inclusive urban development; 3) National governments of at least 5 countries mobilised additional finance for investment in inclusive urban development; 4) National governments, local governments, civil society organisations and private sector cooperated in at least three countries to implement urban development policies.
<p>Cities initiate and enhance urban transformation processes towards inclusive cities</p>	<ol style="list-style-type: none"> 1) At least 30 cities elaborated CDS or SU strategies with significant stakeholder participation; 2) At least 10 cities integrated environment and climate change dimensions into their CDS/SU planning processes and programme implementation; 3) At least 20 cities initiated monitoring and reporting on low-income neighbourhoods/slums to inform planning and investment decisions; 4) Local governments of at least 10 cities mobilised additional finance for investment in inclusive urban development; 5) Local governments, civil society organisations and private sector cooperated in at least 15 cities to implement urban development policies.
<p>CA members articulate their policies on urban poverty reduction and sustainable development</p>	<ol style="list-style-type: none"> 1) At least 8 CA members contributed to complementary results in country programmes; 2) At least 10 projects funded through the CATF are effectively supported by 2 or more members; 3) At least 6 members contributed in joint work programmes to common policies or methodologies; 4) At least 6 members contributed to regional urban policy dialogues among CA members and country partners; 5) The CA Consultative Group adopted at least three policy papers based on CA experiences.

CA partner cities and national governments engage in partnerships

- 1) At least 30 cities engaged in learning exchanges with peer cities to enhanced the elaboration or implementation of CDSs and SUs;
- 2) At least 5 countries engaged in learning exchanges on national SU approaches;
- 3) At least 5 countries engaged in learning exchanges on State of the Cities Reports;
- 4) At least three CA members and five partner countries engaged in collaboration with training institutes and universities on inclusive and sustainable city development.

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4. Services, Results 2012 – 2014, Budget and Strategic Choices

4.1 Country and Regional Programming

4.1.1 Programmatic Approach

The Medium-Term Strategy (2008-2010) led to the development of longer-term and more programmatic CA instruments. The first was the Country Work Programmes (CWP), where government counterparts and CA members developed a prioritized set of activities for SU and CDS activities in the country over a two or three year period. Funding from the Gates Foundation in 2009 spurred the development of an evolution of this instrument, Country Partnership Programmes, which brings more focus on building partnerships and coherence of effort around longer-term support. Regional work programmes are an adaptation of the CPP approach, to support activities that cut across individual countries in a region.

4.1.2 Country Work Programming (CWP)

Country work programmes are structured around clearly identified priorities relative to the support that Cities Alliance can provide. These priorities are jointly identified and inform the CA investments in these countries. The work programmes are reviewed periodically to ensure that priorities are maintained and remain relevant.

Country Work Programming: Base Line Work Programme

The baseline focus during FY12-FY14 will be to complete implementation of the previously-approved CWP portfolio (over \$X million on-going activities at end of FY11), supplemented by a small amount of additional programming focused on leveraging outcomes from the portfolio and to share lessons and experiences through South-South cooperation.

- **Brazil.** Generating cutting-edge and internationally relevant knowledge and experience vital for the next phase of the Cities Alliance. This includes the lessons of integrating Brazilian Cities through interventions such as the City Statute, the management of very large-scale upgrading programmes, the management of resettlement challenges associated with global events such as the Football World Cup and the Olympic Games - all viewed from the perspective of the sustainable city, and the needs of the urban poor. Agreement has already been reached for trilateral co-operation between the Cities Alliance, Brazil and Italy in sharing slum-upgrading lessons in Mozambique.
- **Philippines.** With the active support of the Government, the League of Cities of the Philippines turned the City Development Strategies (CDS) into the primary development vehicle for transforming Filipino cities, with the majority of cities having undertaken their own, individual CDS. The Cities Alliance and Government of Philippines have now developed a Country Work Programme that moves these lessons to scale. The launch of the Philippines Urban Consortium in 2010 created the platform for a new policy dialogue, and for national replication. More recently, CA support was provided for development of a national slum upgrading strategy, as part of the move towards a more programmatic approach, and the need to deliver at scale.
- **South Africa.** Substantial Cities Alliance support for citywide slum upgrading strategies, city development strategies and innovative knowledge products, including the very influential State of the Cities Reports (2004 and 2006), are being leveraged nationally, regionally and globally. The Cities Alliance-supported National Upgrading Support Programme (NUSP) has led to the setting of new targets and budget for in-situ upgrading in South Africa's urban areas. Working with the Cities Alliance, South Africa's cities are becoming increasingly sought-after sources of support and knowledge exchange with cities in neighbouring countries, and know-how for State of Cities reporting is being transferred to other countries in the region.

- **India.** Supporting an increasingly ambitious urban agenda of Government of India, including knowledge support to the Jawaharal Nehru National Urban Reform Mission (JNNURM) focused on city reform, and to the Rajiv Awas Yojana (RAY) focused on a national slum upgrading programme. Will focus on provision of more targeted and effective support on the key issues of city reform, a more wholesale approach through national networks of practitioners, and sharing and learning from national and international good practice.

Country Work Programming: Scaling Up Social Exclusion and Urban Poverty

There is still significant demand for CA support for these countries, particularly for the newest of the CWPs, the India programme, which is dealing with urbanisation and urban poverty on an unprecedented scale. There is also considerable demand for increased South-to-South cooperation, where these four countries increasingly become providers of knowledge and assistance.

4.1.3 Country Partnership Programmes (CPP)

The objective of CPPs is to help developing countries respond to urbanisation by supporting the emergence of a more effective urban agenda centred on sustainable, inclusive cities. Towards this end, Cities Alliance focuses on improving the partnerships among national and local governments, urban poor communities, CA members and other role players.

CPPs consist of two inter-related components:

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

The types of activities supported under CPPs typically include:

- National urban policies;
- City development strategies;
- Slum upgrading strategies;
- Dialogue platforms;
- Community mobilisation initiatives;
- Institutional capacity building activities;
- Advocacy and awareness strategies;
- Knowledge generation activities; and
- State of the Cities Reports or Urbanisation Reviews.

Designed to offer medium to longer-term support, a Country Programme will concentrate on helping all stakeholders to focus on the key areas that contribute to a successful urban transformation process, as defined by the Cities Alliance Theory of Change. These include:

- Engagement in **meaningful dialogue** and cooperation;
- Increased **awareness** of the situation of the urban poor;
- Enhanced **knowledge** of inclusive urban development;
- Elaboration of inclusive urban **strategies, policies and plans**;
- Identification of possible investment partners, and development of policies designed to **mobilise finance** in support of inclusive urban development;
- **Adjustment of their organisations** to support inclusive urban development; and
- **Implementation** of inclusive urban policies, strategies and plans.

Emphasis on, and achievement of, these results will vary throughout the implementation of a CPP. Initially, there will be a strong focus on increasing awareness and knowledge; mid-way through a CPP, it can be expected that dialogue and planning processes would be underway. Only during a second round of funding will policies, strategies and plans reach actual implementation. The Cities Alliance currently has five CPPs at various stages:

- **Uganda:** At the national level, the Uganda CPP is supporting the Government of Uganda to develop a national urban policy and strategic urban development plan and to establish a National Urban Forum. The CPP is supporting five secondary cities – Arua, Jinja, Kabale, Mbale and Mbarara – to develop leadership capacity, establish municipal development forums and prepare city development strategies and slum upgrading strategies.

In those five cities the CPP is supporting communities of the urban poor to mobilise through savings schemes and mapping and enumeration of slums and to actively participate in city planning and development processes. The programme is also establishing Community Upgrading Funds in the five cities to support small-scale community improvement projects.

To date, the Uganda CPP is helping to frame a World Bank investment programme of \$130 million in 13 secondary towns, including the five CPP towns. It has also been independently replicated in Kampala, with support from DFID and Water Aid.

- **Vietnam:** In support of the Government of Vietnam's agenda to scale up urban upgrading to a national scale, the CPP includes several activities: a national urbanisation review, strengthening the Vietnam Urban Forum, and developing a framework to operationalise the Government's National Urban Upgrading Plan.

The CPP also includes training for local authorities in strategic urban management and capacity support for the Association of Cities of Vietnam (ACVN) to play a critical role in national knowledge dissemination and replication related to urban upgrading and city development. At the community level, the CPP is supporting the expansion of the Community Development Fund Network to implement and scale up small-scale community upgrading projects.

- **Ghana:** The Ghana CPP, which focuses on the Greater Accra Metropolitan Area, aims to support the Government of Ghana as it develops a national urban agenda focused on inclusive urban development. The CPP will also support the Urban Development Unit in the Ministry of Local

Government and Rural Development, the consolidation of the Ghana Urban Platform, and advocacy and awareness raising.

At the local government level, the CPP will support a municipal training programme to build the institutional leadership of both the operational and political areas of local governments. The CPP will support urban poor communities to establish slum dweller federations and the creation of a Community Social Investment Fund to support small-scale community improvement projects.

- **Burkina Faso:** The CPP in Burkina Faso is at a very early design stage. Some preliminary issues are being identified that will define the emerging programme, including:
 - 1) Clearly identifying urban and supporting its needs in the decentralisation policy debate;
 - 2) Leveraging the Ouagadougou CDS that was previously supported by Cities Alliance and growing traction on slum upgrading within Ouagadougou; and
 - 3) Providing much needed support to secondary cities.
- **Mozambique:** Though not officially identified by the ExCo as a CPP country, the past and current portfolio of CA and member activities lends itself well to developing a strategic framework within which these initiatives fit and identifying gaps for additional assistance.

In doing so, the centrepiece of the proposed CPP would be the initiative of Brazil and Italy to bring the Bahia slum upgrading experience to upgrade a specific settlement of Maputo called Chamanculo C, which will also receive Cities Alliance support, and to ensure synergy with the World Bank's Pro-Maputo project. The emerging framework for a CPP could include:

- 1) Documenting the lessons learned in Chamanculo C;
- 2) Developing a national slum upgrading training programme;
- 3) Linking the city development and slum upgrading work currently being supported by the Cities Alliance in Nampula to a national policy framework; and
- 4) Mobilising investments for replication.

Country Partnership Programmes: Base Line Work Programme

The base line priority during FY12-FY14 will be implementation of the five CPPs noted above as part of the Land, Services & Citizenship Programme, utilizing project funding provided by the Gates Foundation, supplemented by small amount of Core funds from the Cities Alliance.

Country Partnership Programmes: Scaling Up

Significant demand has been expressed from CA members for more Country Partnership Programming. The CA secretariat will work with CA members to mobilize new resources to meet the demand for this powerful instrument of development cooperation.

Box 3: Country Partnership Programmes: Initial Results

- There are now national urban forums in Uganda, Ghana and Vietnam.
- In Ghana, the country programme has mobilised AFD, GIZ, Habitat for Humanity International (HFHI), Shack/Slum Dwellers International (SDI), UN-HABITAT, and the World Bank
- Slum dweller federations in Uganda, Kenya and Tanzania have been strengthened.

Country Partnership Programmes: Expected Outcomes

- Improved governance and accountability through institutional reforms and dialogue;
- Improved management of urbanisation through inclusive policy and plans;
- Improved service delivery through resource mobilisation and partnership; and
- Improved household livelihood security through local community planning and mobilisation.

Country Partnership Programmes: Deliverable

- National urban policies;
- City development strategies;
- Slum upgrading strategies;
- Dialogue platforms;
- Mobilised communities;
- Institutional capacity building;
- Advocacy and awareness raising;
- Knowledge generated;
- State of the Cities Reports; and
- Urbanisation Reviews

Results	Description	Indicators
Result 1	10 countries are engaged in meaningful dialogue and cooperation	Number of national and municipal forums institutionalised
Result 2	500 national and 1,250 local elected representatives have increased awareness of the situation of the urban poor	Number of community inputs to forums; number of positive media stories
Result 3	200 national and 900 local government officials have enhanced knowledge of inclusive urban development	Number of participants in trainings, cross visits
Result 4	30 municipal level and 5 national level processes to elaborate inclusive urban strategies, policies and plans underway	Evidence of strategies, policies and plans
Result 5	5 countries have mobilised new finance in support of inclusive urban development	Amount of increase in investment in inclusive development (programmed and/or executed)
Result 6	5 national level and 20 municipal level institutions have adjusted their organisations to support inclusive urban development	Number of institutional changes initiated
Result 7	0 national/municipal level implementation of inclusive urban policies, strategies and plans	Dependent on 2 nd cycle of funding

Country Partnership Programmes: Risks and Mitigation Measures

CPPs are designed to address some of the most difficult development challenges in urban policy, particularly the reluctance or inability of many governments to respond to rapid urbanisation. Typical risks associated with this approach include the threat of mass evictions, corruption and embezzlement, and the inconsistent application of policies. In addition, there is a wide range of developmental and social risks, including significant urban environmental degradation, the inefficient use of limited resources, and widespread social exclusion, including the marginalisation of youth.

Failure to comprehend and anticipate the scale and impacts of urbanisation, and to promote the role of cities in the social and economic management of this transformation, has the potential to significantly weaken the economic and social prospects of already-poor developing countries. Quite simply, the mismanagement of the urbanisation process has the potential to dramatically exacerbate the incidence of both urban and rural poverty, and expose the poor to increased risks, both natural and man-made.

The primary external risk mitigation strategy of the Country Programme is the identification of partner governments committed to addressing the challenges of urbanisation in a pro-active and inclusive manner, and through the honest assessment of the major difficulties and challenges.

In addition, a number of mitigation measures will be standard across CPPs. These include:

- Financial management and procurement assessments of grant recipients;
- Application of World Bank environmental and social safeguards policies.

- Multi-layered programme management/monitoring system consisting of In-Country Steering Committee, Lead CA Member, CA Secretariat
- The sharing of lessons and experiences, especially from amongst the CA's middle income members and partners.

A key internal risk is the ability to provide grants in a timely manner. One mitigation measure is to seek partnerships to provide upfront co-financing for selected activities.

4.1.4 Regional Work Programming (RWP)

While country programming provides systematic and longer-term strategic assistance to a limited number of countries, and the Catalytic Fund provides short-term funding for a limited number of projects, regional work programming will provide systematic and longer term strategic activities across a larger number of countries, focused on regional issues, opportunities and partnerships. Regional work programming will help fill the gaps between discrete country programming and city/country project funding.

Regional programming is approached through a similar process as Country Partnership Programmes, where CA members come together with local and national government representatives and partners to identify important strategic opportunities to promote and strengthen the role of cities in the region. This can include:

- South-to-South learning and knowledge sharing;
- Policy advocacy;
- Platforms for partnership and connecting networks; and
- Dissemination of CA/member knowledge, tools and other resources.

A RWP would also have the purpose of leveraging and mobilizing resources for Country Partnership Programmes and other regional actions.

The first RWP is being developed for Sub-Saharan Africa, as was prioritized at the November 2010 meeting of the CA Consultative Group, and ratified in its new Charter.

Regional Work Programming: Baseline Work Programme

The RWP for Sub-Saharan Africa will be developed and implemented, including on-going work programme agreements with the World Bank's Africa region for regional policy advocacy and other activities in support of the Bank's new strategy and decentralization lending programme in the region; and with the University of Cape Town's African Centre for Cities in support of country State of the Cities Reports and building a knowledge platform around them. Baseline funding during FY12-FY14 will be used to support development of a more systematic partnership platform in Sub-Saharan Africa, and begin development of a RWP in one or two other regions.

Regional Work Programming: Scaling Up

There is need and demand for a much expanded RWP in Sub-Saharan Africa (and in its sub-regions), to keep pace with the challenges of an extremely rapid urbanization process. A bold and strategic work programme will be developed and resources mobilized with CA members active in the region. Based on demand from CA members and their clients, work programmes could also be developed and funding

mobilized for other regions. In particular, the timing might be good to scale up support of cities in the Middle East and North Africa region, building upon the considerable CA portfolio.

4.2 The Catalytic Fund: Improving Quality and Promoting Innovation

After ten years of operation, the open grant facility of the Cities Alliance has been replaced by the Catalytic Fund (CATF). The basic concept of both instruments is the same: to provide financial and technical support to local or national initiatives for poverty oriented city development and slum upgrading. The catalytic fund refined the selection criteria and tools and introduced a competitive selection process.

The open grant facility supported more than 200 projects over ten years. The Catalytic Fund was launched only recently. It secures the global reach of the Cities Alliance, focuses on cities, and strengthens the partnership by connecting cities among themselves and with their development partners (sponsors).

The Catalytic Fund will support the transformation processes that promote inclusive cities by complementing the policies and programmes of the respective national or local governments, with the support from CA members. Partners will receive the internationally recognised knowledge that CA members provides, as well as quick and flexible responses.

The Catalytic Fund provides an excellent opportunity for the international urban development community to observe and learn from urban transformation processes around the world, and compare different approaches and policies to urban poverty reduction and the role of cities in sustainable development.

To maintain the global reach of the Cities Alliance, initiate and consolidate urban transformation processes and to capitalise the knowledge for the broader development community, the following services and deliverables will be needed in the next three years:

- Adopt flexible and responsive grant making procedures to maintain the comparative advantage of the CATF;
- Announce one or two calls per year for project proposals;
- Undertake transparent and sound selection of project proposals; and
- Organise and manage peer-to-peer events and learning platforms for urban practitioners from CATF cities and CP countries (See section 4.3 on knowledge and learning).

Catalytic Fund: Current Budget – The Baseline

In this baseline scenario the Catalytic Fund would be budgeted and staffed to support and monitor approximately 10 projects per year worldwide. This number can be considered as the absolute minimum threshold need for the CA to maintain global relevance. There would be one call for proposals per year, and if 10 projects per year were approved with aduration of three years, the portfolio would increase until FY 2015, when it would stabilise at approximately 30 projects. Starting in FY 2013, one peer learning event would be organised for practitioners from Catalytic Fund grant recipients. The FY 2013 start date would allow the projects time to make some progress (See also K+L section).

DELIVERABLES

FY 2012	FY 2013	FY 2014
<ul style="list-style-type: none"> • One call for proposals; • Selection and approval of approximately 10 projects; • Grant making of 10 projects; and • Monitoring progress of projects approved in previous years, total portfolio 7 projects. 	<ul style="list-style-type: none"> • One call for proposals; • Selection and approval of approximately 10 projects; • Grant making of 10 projects; • Monitoring progress of projects approved in previous years, total portfolio 17 projects; and • Organisation of one peer learning event (see also K+L section). 	<ul style="list-style-type: none"> • One call for proposals; • Selection and approval of approximately 10 projects; • Grant making of 10 projects; • Monitoring progress of projects approved in previous years, total portfolio 27 projects; and • Organisation of one peer learning event (see also K+L section).

Catalytic Fund: Strategic Choice – Increased Budget; Catalysing Change and Knowledge

This option duplicates CATF grant numbers and strengthens its K+L edge. If 20 projects per year were approved, running over a three-year period, the portfolio would stabilise in FY15 at 60 projects. Assuming that one staff member can effectively monitor and support a project portfolio of 12-15 projects, CA Secretariat staffing would need to be increased markedly as the portfolio grows over time. There would be two calls for proposals per year and the corresponding selection and approval processes.

Effect of this Choice on CA Objectives			
National Policies	Urban transformation	CA member policies	Partnerships
Higher impact	Much higher impact	Higher impact	Much higher impact

On the K+L side, starting in FY 2013 to give the projects time to make some progress, two peer learning events would be organised for practitioners from Catalytic Fund projects. Major effort will also be dedicated to the production and dissemination of the relevant outputs and case studies (see also K+L section).

With the increased number of grants, the call for proposals for the Catalytic Fund could focus on a specific subject, e.g. green economy, climate resilience of the urban poor, promoting the role of women in cities, securing land for growth, etc. The subjects would be defined by the Consultative Group. Consideration could also be given to undertaking a particular call for proposals in partnership with a non-CA member, who could make a financial contribution and benefit from CA's name and administrative machinery. The critical mass of project experiences generated through each call for proposal and their backing through the sponsoring CA member would be fed into policy dialogues (see K+L section), to impact on urban policies of both partner countries and CA member corporate polices. This critical mass would also effectively position the issues and experiences on a national (urban fora), regional (AMCHUD, AfriCities) or global agenda (Rio+20, WUF).

DELIVERABLES

FY 2012	FY 2013	FY 2014
<ul style="list-style-type: none"> • One call for proposals; • Selection, approval of around 10 projects; • Grant making of 10 projects; and • Monitoring progress of projects approved in previous years. Total portfolio: 7 active projects. 	<ul style="list-style-type: none"> • Two calls for proposals; • Selection, approval of around 20 projects; • Grant making of 20 projects; • Monitoring progress of projects approved in previous years. Total portfolio: 27 active projects; and • Organisation of one peer learning event (see also K+L section). 	<ul style="list-style-type: none"> • Two calls for proposals; • Selection and approval of around 20 projects; • Grant making for 20 projects; • Monitoring progress of projects approved in previous years. Total portfolio: 47 projects; and • Organisation of two peer learning events (see also K+L section).

4.3 Knowledge and Learning: An Asset to Be Fully Mobilised

Since its foundation over ten years ago, the Cities Alliance has supported more than 200 projects, mostly for City Development Strategies (CDSs) and Slum Upgrading (SU). In addition to classic strategic plans, the projects produced analytical work and training material on finance, environment, local economic development and other urban issues. The ongoing country programmes and projects from the Catalytic Fund continue generating how-to-knowledge, based on experiences on the ground. This wealth of experiences puts the Cities Alliance in a unique position to provide coherent, field-tested approaches, methodologies and experiences to urban practitioners and policy makers.

Over the years, the Cities Alliance has invested significant amounts in knowledge generation, which now needs to be matched with equally significant efforts for processing and effective dissemination. The Cities Alliance helps mobilise this knowledge and feed it into the daily work routines of urban practitioners and inform urban policy making.

From the viewpoint of cities and national governments, an overwhelming array of tools and instruments for urban management and planning have been developed over the past few years alone, with support from the CA or others. Examples include city indicators and indices, vulnerability and capability assessments, and planning data tools. As an increasingly effective partnership, the Cities Alliance provides platforms for development partners to work together on common approaches. Working jointly means thinking jointly; it therefore leads to a convergence of concepts and methodologies of the parties involved. Joint Work Programmes (JWPs) among CA members and with a number of renowned institutions have produced significant guidelines and reports, ultimately with a strong focus on cities and climate change.

To move towards a programmatic approach to knowledge management, these **services and deliverables** will be needed in the next three years:

- Production of learning and teaching materials based on CA's field-tested knowledge, targeting current and future urban practitioners, using web, print and multimedia;
- Organisation and management of peer-to-peer events and learning platforms for urban practitioners from CATF cities and CP countries;
- JWPs of CA members engaged in a specific subject, working jointly to develop common approaches and methodologies for that subject;

- Policy dialogues among CA members for the adoption of common policies; and
- Policy dialogues among CA members and partners to inform national and local urban policies.

Knowledge and Learning: Baseline Results

The CA Secretariat will continue processing information provided by CA funded projects, systematise them in the project database, and feature selected project outputs on the CA website. Under current budget conditions, financing would be available for one Joint Work Programme per year and one peer learning event for practitioners from Catalytic Fund grant recipients.

DELIVERABLES		
FY 2012	FY 2013	FY 2014
<ul style="list-style-type: none"> • CA Knowledge Resource Database launched; • 4 CA publications disseminated, CIVIS continued (4); • Peer-exchange among 8 CATF cities established, one learning event among them conducted; and • Outputs from JWPs (environment, climate change, National Slum Policies etc.) delivered and disseminated, one new JWP established (e.g. MENA). 	<ul style="list-style-type: none"> • CA Project Database fully updated, linked with CA member sites and promoted for public use; • CA Knowledge Resources Database fully updated, linked and promoted for public use; • 2 CA publications disseminated, CIVIS continued (4); • Peer-exchange among 18 CATF cities is effective, one learning event among them conducted; and • Phase II of JWP environment, climate change, SU policies or one new JWP, new JWP from FY 2012 continued. 	<ul style="list-style-type: none"> • Knowledge Resources Database is fully updated and used by the public; • 2 CA publications disseminated, CIVIS continued (4); • Peer exchange among 30 CATF cities is effective, two learning events among them conducted; and • JWP from previous years continued, outputs delivered and disseminated.

Knowledge and Learning: Strategic Choice: Scaling Up – Partnering for Policy Impacts

Under this strategic choice, the Secretariat would contribute seed funding and classic secretarial functions. However, the overall dynamic and the bulk of resources in terms of staff time and monies would be channelled from members to Joint Work Programmes and policy dialogues on priority themes and regions.

Effect of this Choice on CA objectives against Baseline Scenario			
National Policies	Urban transformation	CA member policies	Partnerships
Much higher impact	Much higher Impact	Much higher Impact	Much higher Impact

In Joint Work Programmes, the CA partners would agree on priority themes suitable for a common approach and work jointly on approaches, methodologies and tools to be promoted by the CA as recommended standards.

The same approach would also be used to mobilise the wealth of experiences generated by CA projects, synthesise it into learning material and make it available to professional associations of planners and engineers as well as universities for training of urban professionals.

In addition, members and Secretariat could match their existing networks and resources to provide learning opportunities not only for their partners individually, but for all eligible CA partners in the sense of a CA community of practitioners.

Building on the insights and agreements reached through joint work, well-prepared policy dialogues would leverage the knowledge to impact on urban policies of both partner countries and CA member corporate polices. The policy dialogues would be designed as a mix of analytical work, policy elaboration and political debate under the leadership of CA members. The dialogues would be especially effective when supported by a “critical mass” – several renowned CA members – to position prioritized issues or approaches on a national (urban fora), regional (AMCHUD, AfriCities) or global agenda. (Rio+20, WUF).

DELIVERABLES		
FY 2012	FY 2013	FY 2014
<ul style="list-style-type: none"> JWPs on environment and climate change (UNEP, WB, UNH): outputs delivered, agreement among some CA members on implementation of selected tools (e.g. Greenhouse Gas Standard, Urban Risk Assessment, Handbook on Adaptation for Mayors); 2nd phase of JWP conceptualised Policy recommendation derived from SU case studies discussed and endorsed by CA members at policy dialogue event Policy recommendations on inclusive cities, CDS, SU, climate endorsed by CG and presented at Rio+20 New JWP on SOCR - Approaches, methodologies and experiences of SOCR discussed, recommendations endorsed by CA members and partners, peer exchange among SOCR teams established New JWP on CDS and inclusive urban management/MENA / Youth established New JWP on improving urban management education with universities established discussion note series established (4) 	<ul style="list-style-type: none"> (New) policy recommendations for CA members and partners on CDS, SU, climate agreed on and endorsed by CG and presented at WUF Naples CA members present their experiences with the application of CA approaches and methodologies at WUF New JWP on CDS and inclusive urban management/MENA / Youth fully operational Training material for improving urban management education elaborated and endorsed by partner universities Bi-annual Africa Regional Urban Policy Dialogue has taken place All publications/ knowledge products of legacy portfolio published 	<ul style="list-style-type: none"> (New) policy recommendations for CA members and partners on CDS, SU, climate agreed upon and endorsed by CG during policy dialogue event Outputs on New JWP on CDS and inclusive urban management/MENA / Youth (delivered; policy recommendations elaborated and endorsed Universities engage in CA policy dialogues and CA activities

Learning from the Legacy Portfolio: Foundation of the Cities Alliance’s Success

The active legacy portfolio comprises all projects financed out of the Open Grant Facility, so it was the backbone of the Cities Alliance until the adoption of the new business model with its Country Programmes and the Catalytic Fund. As of end of FY 2011, the active legacy portfolio consisted of approximately 110 operationally active projects, with a total investment from CA funds of \$40million.

These projects continue to deliver practical results, as well as valuable knowledge and lessons. The portfolio needs to be monitored, administered and the wealth of knowledge capitalised, with correspondent implications for resources and staff capacity. Because of the size of the legacy portfolio and the correspondent budget implication, it is presented in this business plan as a specific section, even

though the concept and management approach is identical with the general knowledge management discussed in the previous section.

The Secretariat will continue to monitor and administer the portfolio to secure submission of agreed deliverables, fiduciary integrity and compliance with procedural regulations. As the Open Grant Facility was replaced by the Catalytic Fund, the Legacy portfolio will decrease over time, with most of its projects closed by FY 2014 or 2015 at the latest. Main **services** and **deliverables** in the next three years are:

- Monitoring of substantive project progress, revision of project outputs, processing for CA Project Database, and – in selected cases – for dissemination via web site or print media
- Grant management as described in section 5.4.

Strategic Choices

The grant management is a standardised work routine and follows procedural regulations and guidelines. The strategic choice to be made refers to the knowledge potential of the legacy portfolio.

Option A limits the knowledge management to processing the project outputs for the CA database, with the occasional publication of project products of interest for the broader Alliance.

Option B analyses and processes the knowledge across the portfolio, synthesising information clustered around a specific theme (e.g. environment), region or project type (e.g. upgrading strategies). This higher level of knowledge would be used to inform policies and development strategies or for the elaboration of training materials. Option B requires a dedicated engagement of CA members interested in a specific subject in a Joint Work Programme.

Information Management: Baseline Work Programme

In this baseline scenario the CA Secretariat would continue processing the information received from legacy projects, systematise it in the Project Database, and feature selected project outputs on the CA website.

DELIVERABLES		
FY 2012	FY 2013	FY 2014
<ul style="list-style-type: none"> • Project outputs uploaded to CA Project Database; • 2 publications produce and disseminated. 	<ul style="list-style-type: none"> • Project outputs uploaded to CA Project Database; • 2 publications produced and disseminated. 	<ul style="list-style-type: none"> • Project outputs uploaded to CA Project Database; • 2 publications produce and disseminated.

Information Management: Strategic Choice – Partnering for Impacts

In this option, the accumulated knowledge of the Legacy Portfolio would be processed mainly through the structures and resources of CA members, with a limited complementary facilitating role for the CA Secretariat. The CA members would agree on priority themes and work jointly on approaches, methodologies and tools to be promoted by the CA as recommended standards, to inform policy dialogues, or to produce learning materials and make them available to urban professional associations of planners and engineers as well as universities for training of urban professionals.

Effect of this Choice on CA Objectives			
National Policies	Urban transformation	CA member policies	Partnerships
Higher impact	Higher impact	Higher impact	Much higher impact

approaches, methodologies and tools to be promoted by the CA as recommended standards, to inform policy dialogues, or to produce learning materials and make them available to urban professional associations of planners and engineers as well as universities for training of urban professionals.

DELIVERABLES		
FY 2012	FY 2013	FY 2014
Legacy portfolio outputs screened and prioritized for knowledge products; 1st publications in process	<ul style="list-style-type: none"> • First batch of policy recommendations for CA members and partners on CDS, derived from knowledge of legacy portfolio agreed upon, endorsed by CG and presented at e.g.WUF Naples • Training material for improving urban management education elaborated • All publications/ knowledge products of legacy portfolio published 	<ul style="list-style-type: none"> • Last batch of policy recommendations for CA members and partners agreed upon, endorsed by CG and internationally presented • Universities engage in CA policy dialogues and CA activities

4.4 Communication and Advocacy: Communication for and among Partners

During the period of this Business Plan, the Cities Alliance will revise its communications strategy to support the Plan’s objectives. The main challenge that the Cities Alliance faces is that it is a relatively small organisation, with a very modest budget, yet is a significant player in an issue of increasing global significance, which profile needs to be enhanced in face of competing development funding priorities. Although the Cities Alliance does enjoy a positive name recognition, it is vital for the future growth of the organisation that it strengthens its position in promoting the role of cities in development, and that the results and impacts of all of its activities are effectively captured and acknowledged.

The Secretariat will also be preparing a new suite of basic information about the Cities Alliance, making clear the essential features of the new business model, and indicating to existing and future partners the best methods of engaging with the Cities Alliance. Additionally, the Partnership model of the Cities Alliance will also be reflected in our communications and advocacy activities, with the Cities Alliance both providing, and using, opportunities to leverage with members and external partners alike.

The new business model will also provide the Secretariat with an excellent opportunity to review the current communications vehicles utilised by the Secretariat, including leveraging the daily emerging benefits of social media tools and make the necessary adjustments to ensure that the Cities Alliance is sending out clear, consistent and effective communications and advocacy messages.

Main **services** and **deliverables** in the next three years are:

- CA website upgraded and maintained;
- Bimonthly newsletters produced and disseminated;
- Annual corporate report produced and disseminated;
- CA knowledge from project activities produced and disseminated;
- Support for the activities of the Policy Advocacy Forum;
- Support members' advocacy initiatives such as WBG's Urban Knowledge Platform and SDI's "Know Your City" campaign;
- Promotional material about the CA produced and disseminated;
- Continuous information flow between CA Sec and members;
- Preparatory and follow-up communication for ExCo and CG meetings; and
- Presentation of CA at conferences (WUF, others).

Corporate Communication: The baseline

In this baseline scenario the CA Secretariat would focus on the Communication of the Secretariat with CA members, and on positioning the CA in the international urban development community.*

*Note: Knowledge Dissemination is integrated into the K+L service line (section 4.3), and not considered in the deliverables and the budget presented below.

DELIVERABLES		
FY 2012	FY 2013	FY 2014
<ul style="list-style-type: none"> • CA website upgraded and maintained • 6 Newsletters produced and disseminated • Annual corporate report produced and disseminated • Promotional material about the CA produced and disseminated • Continuous information flow between CA Sec and members • Preparatory and follow-up communication for ExCo and CG meetings • Presentation of CA at conferences (WUF, others), intensity of the presentation has strong budget implications • Advocacy – support for PAF, members' campaigns 	<ul style="list-style-type: none"> • CA website maintained • 6 Newsletters produced and disseminated • Annual corporate report produced and disseminated • Promotional material about the CA produced and disseminated • Continuous information flow between CA Sec and members • Preparatory and follow-up communication for ExCo and CG meetings • Presentation of CA at conferences (WUF, others), intensity of the presentation has strong budget implications • Advocacy – support for PAF, members' campaigns 	<ul style="list-style-type: none"> • CA website maintained • 6 Newsletters produced and disseminated • Annual corporate report produced and disseminated • Promotional material about the CA produced and disseminated • Continuous information flow between CA Sec and members • Preparatory and follow-up communication for ExCo and CG meetings • Presentation of CA at conferences (WUF, others), intensity of the presentation has strong budget implications • Advocacy – support for PAF, members' campaigns

Corporate Communication: Strategic Choice – Advocacy for Cities

The advocacy messages from the Cities Alliance need to both lead and support the advocacy campaigns and messages of its members. The Cities Alliance is extremely well positioned to contribute to – and promote – advocacy campaigns such as the Urbanisation Knowledge Platform, which will also be running over the same period of the Business Plan, as well as the complementary World Urban Campaign.

Effect of this Choice on CA Objectives				
National Policies		Urban transformation	CA member policies	Partnerships
Much higher impact	higher impact	Higher impact	Much Higher impact	Higher impact

In general, the Cities Alliance will focus on global messages, such as the role that cities can, do and should play in sustainable urban development, and the many opportunities that can be captured through positive policy responses to urbanisation. Beyond the global messages, there is also a very clear role for the Cities Alliance to try and influence policy design, at both the city and national level, by focusing on policies that are known to have a major, positive impact, based on evidence from different parts of the world (and emanating from our K&L activities).

Further, there are specific policy issues where we believe a targeted advocacy intervention by the Cities Alliance can create a framework for our members to reinforce key approaches – a good example would be the urgent need for developing countries to formally include incremental approaches in the development of national housing / slum upgrading policies.

Finally, advocacy needs to become a vital tool in the promotion of the **Cities Alliance as a Partnership**. This will include a range of possibilities: (i) the presentation of the CA Partnership at a global level / global events; (ii) the presentation of the specific partnership that relates to a particular country where the CA is supporting activities, such as Country Partnership Programmes in Uganda, Ghana or Vietnam; and (iii) the active promotion of the Cities Alliance as a partnership in CA member countries, highlighting to the domestic audience (parliament / policy makers / practitioners) the positive role played by countries (eg Norway, Brazil, Italy or South Africa, or other members, such as UCLG, and international NGOs such as HFHI and SDI).

Above all else, CA communications products and advocacy tools will be bold, clear and simple.

5. Governance, Management and Staffing

5.1 Governance Structure

The Governance structure of the Cities Alliance is summarised in the table below:

	Membership	Role & Functions
Consultative Group	24 Members. Co-chaired by UN-HABITAT and WB	Final decision-making body
Executive Committee	Permanent, rotating and non-voting members. Chaired by UCLG	Provides executive oversight on behalf of CG.
Secretariat	W. Cobbett (Manager) and all staff	Manage day-to-day operations of the CA and facilitate partnership
Policy Advocacy Forum	Clare Short (Chair)	Advocacy vehicle for CA

With the adoption of the new Charter, the Governance of the Cities Alliance has been updated to allow for the better management of the organisation's strategic direction, and improved oversight of the Secretariat. The Executive Committee is now permanently chaired by the Secretary General of UCLG (or his/her authorised representative), ensuring that the global organisation representing the constituency focus of the Cities Alliance is at the epicentre of its governance. For its part, the Secretariat is now charged with facilitating the CA Partnership, which is the cornerstone of the new model.

The Policy Advocacy Forum will adopt a more prominent role, in two primary functions: (i) Working closely with the Secretariat to raise the profile of the organisation and the issues that it addresses; and (ii) In serving as a vehicle to reach out to new constituencies, and to create platforms for promoting positive messages about cities, and Cities Alliance, at global, national and local levels.

Issues that will need to be addressed in FY12 include (i) the development of a strategy for engaging those global private sector organisations / networks that have expressed an interest in the issues, and in the Cities Alliance itself and (ii) expansion and strengthening of the PAF, which has the potential to become an extremely valuable and strategic tool for the Cities Alliance.

5.2 Management Structure

- Secretariat Management Structure
- Accountability

The Structure of the Secretariat will be re-examined in the context of (i) EXCO's response to this Business Plan and (ii) the interim findings and recommendations of the independent evaluation of the Cities Alliance. However, the structure will build upon the positive experience that has been achieved through the last restructuring of the Secretariat, which created a more open team structure, with increased responsibility and accountability.

5.3 Staffing

The Cities Alliance has long relied on a significant complement of secondments (staff on loan) to the Secretariat. Staff have been provided, usually for two- to four-year periods, from UN-Habitat, German and French cooperation, and Swedish Sida. These staff typically serve as senior technical specialists. Staff have also been provided through World Bank staff exchange and junior professional programmes.

These staff supplement the Core-funded staff while additional staff support has been provided by Non-Core funds, mostly for field-based staff. In total, 29 staff positions are approved for the Secretariat, which is expected to hold constant through the FY12 – FY14 planning period. The Cities Alliance's human resources are administered by the World Bank through its normal policies and procedures.

5.4 Grant Management

Back Office Functions: Key for the CA

Grants are the key administrative tool of the Cities Alliance to provide financial support to members and partners. The Cities Alliance uses the logistics and services of the World Bank and follows its rules and regulations; in reality, all CA grants are World Bank grants. Grants were used for the Open Grant Facility and are being used for Country Programmes, the Catalytic Fund, and Joint Work Programmes. In the past five years, the Cities Alliance Secretariat administered an average of XXX ongoing grants per year, and established an average of XXX new grants per year.

Once an agreement about the substantive concept of a project is reached, the grant making process begins. Establishing a grant requires a series of specialised activities, such as assessment of risks (safeguarding), fiduciary assessment of the grant recipient, establishing the grant document and agreeing on it between parties involved, which includes legal aspects as well as alignment with the policies of the respective agency.

After the signing of the grants, the projects are implemented and need to be monitored. Apart from the substantive monitoring described in the sections above (e.g. on the Catalytic Fund), an administrative and fiduciary follow-up is mandatory for the CA Secretariat. Typical activities include the revision of progress, financial and completion reports; the extension of grant agreements; and the supervision of procurement processes.

The Secretariat will continue to monitor and administer the grant portfolio of the Legacy Portfolio, the Catalytic Fund, the Country Partnership Programmes and the Joint Work Programmes to secure submission of agreed deliverables, fiduciary integrity, and compliance with procedural regulations. Because the Open Grant Facility was replaced by the Catalytic Fund, the Legacy Portfolio will decrease over time, while the Catalytic Fund will increase. Overall, portfolio volume is expected to stay approximately at current levels.

6. Financial Plan

6.1 Strategic Approach

The Cities Alliance has enjoyed a stable revenue base since its establishment, averaging approximately \$15 million per year in new contributions – about half in Core (un-earmarked) and half in Non-Core funds. More than \$160 million has been contributed from 26 donor organisations. The largest donors of Core funds have been the World Bank's Development Grant Facility and the Governments of Norway, United Kingdom, Sweden and Italy. The Governments of United Kingdom, Italy and Sweden, as well as the Gates Foundation, have been the largest contributor of Non-Core funds. (See Annex 1 for listing of financial contributors over the past five years.)

While this funding was sufficient to meet the demand of the old Open Access grant facility, the updates to its business model and Charter have provided a framework to optimise the programme's position in the city/urban development landscape, which is resulting in significantly increased demand for CA products and services. CA members are requesting support for more country and regional programmes, more frequent call for Catalytic Fund proposals, and more support for knowledge and communication activities to address challenges and opportunities of the urbanisation agenda.

This business plan is structured around "baseline" activities, to be funded from a Core budget to be agreed with the CA membership for a defined strategic work programme during FY12-FY14, and includes options for scaling up each of the product/service lines. Additional investments for scaling up the CA development business of the CA partnership are being sought from the existing base of CA members and partners and from new investors.

6.2 The Baseline Budget

As part of its strategy to better leverage the assets and inputs of the Cities Alliance, this business plan is constructed around a strategic work programme for a Core-funded base line budget for FY12 – FY14 for the CA Secretariat and the core work programme activities for each of the product/service lines. The baseline work programme aims to better leverage the CA as a partnership, mobilise new resources to scale up impacts, optimise grants made in prior years, and increase efficiencies in programme operations.

The baseline budget is anchored around the CA's stable core membership base and financial contributions, which have averaged \$7.25 million per year in cash contributions during past six years and approximately \$0.6 million in in-kind contributions (secondments to Secretariat staff). These funds have been complemented by Non-Core (earmarked) contributions of about the same amount during that period.

Looking at existing and likely member/donor contributions over the next three years, a conservative baseline budget of \$22 million in new cash contributions is proposed for FY12 – FY14, and \$2 million in staff secondments. Based on the CA track record and strong member support, there is high degree of confidence that this minimum level of member support will be received during FY12 – FY14. It is proposed that this funding constitute the baseline budget, with funds to be utilised as detailed in this business plan. These funds will be used for the CA Secretariat, programme overheads, and for business development – to grow the programme and increase its leverage.

Table 2: Baseline Budget

Sources & Uses of Funds: FY12 – FY14 Budget (CORE FUNDS)				
CORE FUNDS	FY12 – FY14	FY12	FY13	FY14
<i>FUNDS AVAILABLE FOR ALLOCATION – Estimated</i>				
Balance Forward - Unallocated Funds	2,581,013	2,581,013	2,360,513	1,740,513
Contribution Target - Baseline	22,000,000	8,000,000	8,000,000	6,000,000
Investment Income	600,000	200,000	200,000	200,000
Allocation Cancellations, Reflows & Adjustments	0	0	0	0
Less WB TF Admin Fees	(360,000)	(120,000)	(120,000)	(120,000)
<i>FUNDS AVAILABLE FOR ALLOCATION</i>	24,821,013	10,661,013	10,440,513	7,820,513
ALLOCATION OF FUNDS				
Partnership Operations (incl Secretariat Costs)	9,950,000	2,850,000	3,500,000	3,600,000
Global Programme Operations:				
Grant Facility (old) -	350,500	350,500	0	0
Catalytic Fund (new)	6,600,000	2,200,000	2,200,000	2,200,000
Knowledge & Learning	1,500,000	500,000	500,000	500,000
Comm. & Advocacy	1,100,000	300,000	400,000	400,000
Monitoring & Evaluation	300,000	100,000	100,000	100,000
Country / Regional Partnership Programming:				
Land, Services & Citizenship Programme	1,500,000	500,000	500,000	500,000
Country Work Programmes (Brazil, Phil, & India)	1,500,000	500,000	500,000	500,000
Other Country/ Regional Programming				
> Sub-Saharan Africa Regional action plan	1,000,000	500,000	500,000	
> Other Regional action plans	1,000,000	500,000	500,000	
<i>BUDGETED ALLOCATION OF FUNDS</i>	24,800,500	8,300,500	8,700,000	7,800,000
ENDING BALANCE - UNALLOCATED FUNDS	20,513	2,360,513	1,740,513	20,513

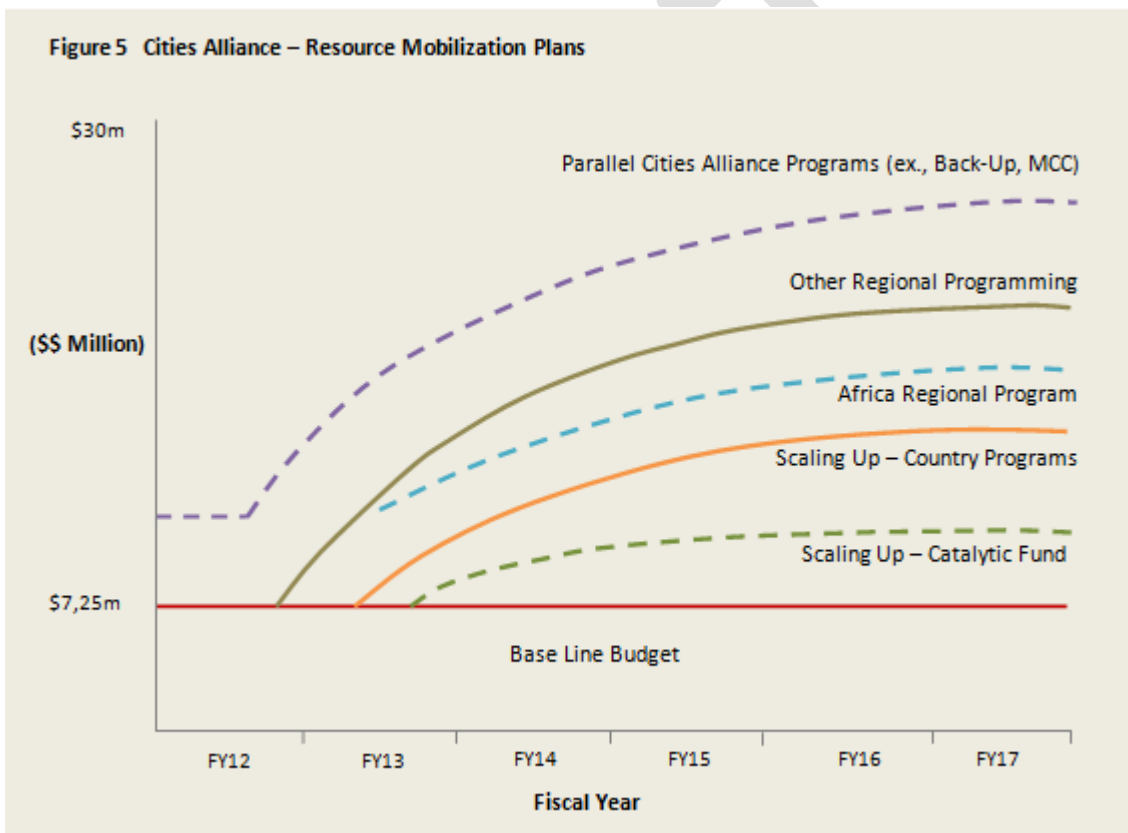
6.3 Scaling Up: Service Line Growth and Funding Opportunities

An objective of the FY12-FY14 baseline budget plan is to expand the Cities Alliance's impacts and scale up programming. Options for expanding CA products/services are provided throughout the business plan, and include:

- Expanding the Catalytic Fund tranches, and/or issuing thematic call for proposals
- Adding new country partnership programmes

- Developing regional work programmes, drawing on the CPP model
- Expanding the partnership framework for Joint Work Programmes
- Communication and advocacy initiatives

Investments are sought to scale up Cities Alliance activities, building on the strong foundation provided in the Baseline Budget plans. Additional resources will be mobilised over the FY12-FY14 period for the CA trust fund, with a target of growing the CA budget to \$25 million annually. Additional parallel resources will be mobilised from CA members and partners, to be programmed as part of the CA business plan but implemented outside of the CA trust fund. Examples of this include the Urban Back Up Initiative being funded and implemented by GIZ as part of the Ghana country partnership programme.



ANNEX 1

CONTRIBUTIONS RECEIVED (US\$), FY07-FY11

Combined Core and Non-Core financing (Excludes In-Kind / Staff Secondments)

Donor Name	TOTAL (USD)
Asian Development Bank (ADB)	750,000
Australian Agency for International Development (AusAID)	750,000
Bill and Melinda Gates Foundation	14,999,980
Canadian International Development Agency (CIDA)	71,474
Ethiopia – Ministry of Works and Urban Development	249,870
EU-Commission of the European Communities	1,035,413
Federal Republic of Germany	1,708,600
France	1,848,499
Habitat for Humanity International	50,000
Italy - Ministry of Foreign Affairs	11,085,694
Ministerio de Vivienda y Urbanismo Chile – Ministry of Housing and Planning	150,000
Ministry of Cities of Brazil	550,000
Netherlands - Minister for European Affairs & International Cooperation	749,910
Norway - Ministry of Foreign Affairs	7,370,431
Philippines-Housing & Urban Development Coordinating Council	50,000
South Africa - National Department of Housing	250,000
Spain - Ministry of Foreign Affairs	2,321,400
Swedish International Development Cooperation Agency (SIDA)	6,498,997
United Kingdom - Department for International Development (DFID)	7,976,914
United States Agency for International Development (USAID)	2,393,336
UN-UNITED NATIONS ENVIRONMENT PROGRAMME (UNEP)	314,987
UN-United Nations Human Settlements	200,000
World Bank DGF	14,088,353
TOTAL	75,463,858

Country Partnership Programme Progress Report
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 3: Cities Alliance Business Plan

Support Document: Country Partnership Programme Progress Report

Background:

In response to the request made at the Washington, DC EXCO meetings for background information on the Country Partnership Programmes, the Secretariat has produced a Country Partnership Programme Progress Report.

Recommended Action:

For Discussion and Comment

Country Partnership Programme Progress Report

One of the core instruments of the new Cities Alliance business model is the Country Partnership Programme, which emphasises long-term commitment, the mobilisation of different drivers of urban development in a country, improved dialogue and coherence of effort.

There are currently Country Partnership Programmes underway in Uganda, Ghana, Vietnam and Burkina Faso, in various stages of development. At the same time, the Secretariat is working to realign previous work programmes in India, Philippines and Brazil into Country Partnership Programmes. All of these programmes seek to work through CA members in partnership, align urban development efforts at the national government, local government and community level and ensure the inclusion of the urban poor into the planning and decision-making processes. Following is a summary of progress to date in each of these countries.

Uganda

All grants have been made in accordance with the strategic framework designed as part of the CPP process in Uganda, and the Transforming the Settlements of the Urban Poor in Uganda (TSUPU) programme is fully operational. A number of planned and unplanned outputs have already been achieved.

First, slum dweller federations supported by ActTogether and associated networks in Kenya and Tanzania have arguably become the strongest of the SDI-affiliated federations working in the five towns. The federations are also continuing to expand in Kampala.

Second, while the programme focuses specifically on secondary cities and not Kampala, it is notable that a similar programme based on the same conceptual pillars as the TSUPU has now started in the capital, with funding from DFID and the support of Water Aid. It is clear that exposure to direct community engagement and dialogue in the secondary towns participating in TSUPU was a major factor. During its initial phases, the programme worked closely over an extended period with the Director of the Urban Authorities Association of Uganda (UAAU), who was later appointed town clerk (similar to a city manager) of Kampala and carried the ideas of land, services and citizenship with him. In addition, a municipal forum – one of the components of the TSUPU programme – has also been held in Kampala.

Third, the framework of national dialogue, local-level good governance and community voice is also providing the underpinning for a World Bank investment programme of \$130 million in 13 secondary towns, including the five programme towns. This is a great shift in favour of the urban poor. In addition, as a result of the collaboration between the World Bank's Africa region and the CA Secretariat, the whole challenge of urbanisation has now been incorporated into the World Bank Country Assistance Strategy.

Vietnam

The Vietnam CPP framework is different from the others in that urbanisation is further advanced and – most importantly - is increasingly recognised as a positive process. One of the key challenges facing Vietnam is how to give the urban poor an effective voice within a centralised governance framework, and how to replicate programmes to achieve the necessary scale. In accordance with this framework, the first grant has been disbursed to the Association of Cities of Vietnam (ACVN) supported by the Asian Coalition of Housing Rights (ACHR). The grant will enable the development of the operational guidelines for a future grant to the already established, but limited, Community Upgrading Fund.

A second proposal from the National Ministry of Construction to strengthen the Vietnam Urban Forum (VUF) and to support the implementation of the National Urban Upgrading Strategy (NUUP) has recently been approved. This proposal, which builds on previous Cities Alliance investments over the past decade, has been actively supported by the World Bank, AFD, UN-Habitat, ACVN and GIZ, which all see such an initiative deepening their support to Vietnam's sustainable urban development. More specifically, the World Bank has proposed a \$292 million investment pipeline for six cities in the Mekong Delta region.

In turn, the CA investment targeting the Vietnam Urban Forum and the rollout of the National Urban Upgrading Strategy has leveraged an additional \$3 million in direct World Bank technical assistance to the Ministry of Construction's Urban Development Agency. In addition, a grant from the Cities Alliance is supporting a national Urbanisation Review, a tool developed by the World Bank in response to the landmark World Development Report 2009, and which is expected to play a significant role in the public dialogue on urban issues.

Ghana

The Ghana strategic framework has been finalised and detailed proposals are currently being assessed. Proposals have been received from the Urban Development Unit of the Ministry of Local Government and Rural Development in partnership with GIZ, Shack/Slum Dwellers International (SDI) and the Institute of Local Government Studies (ILGS). The programme has sought a balance between a national scope and the identified need to focus on the Greater Accra Metropolitan Area (GAMA). In achieving this, GIZ has contributed funding to expand the local government training programme, which will be led by ILGS, to include ten secondary cities. In turn, AFD – which has an urban investment programme in four secondary cities – is working with GIZ and ILGS to ensure coordination of capacity building programmes for secondary cities.

The CPP framework has brought greater alignment where possible to the substantial investments (EURO 40 million) being made by AFD in secondary cities and the \$130 million World Bank Ghana Local Government Capacity Support project. Importantly, the CPP has also included support to the World Bank for stakeholder consultations to develop the preliminary design of a \$250 million investment in water and sanitation for under-served communities in the GAMA region. That project will have strong linkages to the institutional arrangements being established through the CA programme.

Burkina Faso

The fourth country to be selected as a CPP candidate is Burkina Faso. Cities Alliance members decided that a Francophone country should be included, and Burkina Faso was selected by the Executive Committee based on information gathered the Secretariat. A key reason for the identification of Burkina Faso is the commitment by both the World Bank and French development assistance to invest in the urban sector. Moreover, Burkina Faso has a relatively low level of urbanisation – 20.4 per cent – which means there is significant opportunity for the country to get ahead of the curve in terms of planning for the future of its cities.

A joint mission is taking place from June 20 – July 1, 2011 including the GIZ, French Ministry of Foreign Affairs, UNEP, UN-HABITAT and the World Bank to begin preliminary design of the CPP.

India, Philippines and Brazil

As part of the process of implementing the new business model, the Secretariat is currently reviewing and structuring the existing work programmes in Brazil, India and the Philippines. In the case of **Brazil**, for example, this is the country where the Cities Alliance has traditionally had its biggest portfolio, had some of

its most significant impacts and outcomes, and has proved to be an extraordinary source of internationally-relevant learning.

The Philippines has a long track record as the leading country in the adoption and promotion of City development Strategies (CDS), and in sharing knowledge between cities, through the LCP. More recently, the CA has provided support for the development of a national slum upgrading programme, which had previously been identified in early versions of the joint work programme.

Finally, in the case of **India**, the secretariat has already taken a number of decisions to cancel or redesign activities in the pipeline, and has begun a process of extracting itself from individual project activities in favour of longer-term programmatic engagement. Central to this challenge will be the resources and knowledge requested from the Cities Alliance in providing support to RAY, which will need to become the world's largest (and most successful) national slum upgrading programme if it is to achieve a new vision for Indian cities.

By the time of the CG Annual Meeting in November, the Secretariat hopes that it will be better able to present a more detailed breakdown of these evolving Country Partnership Programmes.

Summary of CPP Grants Disbursed/Proposals Approved or In-Process

Country	Name of Grant	Recipient	Amount	Status
Uganda	Project Setup	World Bank	\$195 000	Disbursed
	Transforming Settlements of the Urban Poor of Uganda (TSUPU)	MoLHUD	\$1 847 000	Disbursed - pending withdrawal application
	Strengthening Urban Poor Communities in Uganda to Achieve the Goals of the TSUPU	SDI	\$595 000	Disbursed
	Strengthening Urban Local Governments in Uganda to Achieve the Goals of TSUPU	ICMA	\$229 000	Disbursed
Vietnam	Consolidating CDF through ACVN	ACVN	\$70 800	Disbursed
	National Urbanisation Review	World Bank	\$250 000	Disbursed
	Strengthening Urban Forum and Operationalising National Upgrading Strategy	Government of Vietnam	\$500 000	Approved, Grant set up in process
Ghana	GAMA Sanitation Workshop	World Bank	\$52 000	Disbursed
	Support to Government of Ghana to Development a National Urban Agenda	GIZ	\$745 000	Undergoing Approval Process
	Municipal Leadership Training Programme for Greater Accra	ILGS	\$500 000	Undergoing Approval Process
	Support to Empower Urban Poor Communities of Greater Accra	SDI	\$700 000	Undergoing Approval Process

Country Partnership Programme Concept Note
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 3: Cities Alliance Business Plan

Support Document: Country Partnership Programme Concept Note

Background:

In response to the request made at the Washington, DC EXCO meetings for further clarification in regards to the procedures of the Country Partnership Programmes, the Secretariat has produced a Country Partnership Programme Concept Note.

Recommended Action:

For Information and Comment.

Country Partnership Programmes (CPPs)

Concept Note

Draft 4 May 2011

DRAFT

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1.0 Rationale

At its November 2010 meeting in Mexico City, the Consultive Group of the Cities Alliance adopted a new Charter that defines the Cities Alliance (CA) as a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development. The Charter clarifies the three over-arching objectives of this partnership:

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

In order to achieve these objectives, the Charter defines the new business lines of the CA – among them, Country Programmes, which are defined as “longer term programmatic support, at a multiple city/national scale.”

The need for the Cities Alliance to take a long-term programmatic approach was initially articulated in the Medium-Term Strategy, 2008-2010 (MTS). Appreciating that the complex challenges of urban growth faced by the cities of the developing world require a more strategic, long-term response from its development partners, the MTS states:

“The Cities Alliance Secretariat will develop criteria to identify those countries where Cities Alliance activities have the potential to achieve the greatest impact, to support activities that can achieve scale, and tailor a work programme accordingly.

This will enable the Cities Alliance to indicate its willingness to become a stable partner and enter into a longer-term partnership with a select number of countries, agreeing to support such countries for a longer, specific period and in so doing help to consolidate city or country-led reforms by offering consistent, reliable, professional and critical support.

This approach would allow both parties to move beyond the short-term, ad hoc, donor-driven projects, very few of which have any impact beyond the activities themselves.”

The recently completed “[Evaluation of Project Implementation Modalities of the Cities Alliance](#)” further highlighted the limitations of small-scale, isolated interventions. The evaluation clearly demonstrated the greater pro-poor developmental impact potential of longer-term Cities Alliance support, particularly when linked to wider initiatives and when city-level interventions are aligned to the national policy framework.

This approach signals a definitive shift in the way the Cities Alliance operates and presents an important opportunity to mobilize the CA global partnership to provide coherent and strategic support at the country and city level.

2.0 Overview

The developing world is experiencing significant transformational demographic shifts. Over the next two decades, hundreds of millions of poor people will find their way to cities of all sizes, seeking a better life for themselves and their descendants. This process is largely complete in Latin America, but less than halfway complete in south and southeast Asia, and in sub-saharan Africa, home to nearly all of the world's least developed countries. Between 2000 and 2030, the urban population of Asia will increase from 1.36 billion to 2.64 billion; and Africa's from 294 million to 742 million.

While there is often a focus on the megacities of the world, such as Lagos, São Paulo, Mumbai and Cairo, most of this urbanisation will actually take place in small and medium size cities. In Ethiopia, for example, Africa's second most populous country and one of the world's poorest, the bulk of urbanization will take place in some 800 small towns. The very real resource constraint of such small towns adds a further, significant dimension to the challenge.

However, it is important not to become overwhelmed by the statistics, but to focus on two essential challenges which, if left unchecked, will have multi-generational consequences:

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

One of the most important contributing factors to dysfunctional urbanisation is the negative response of local and national governments to urban growth. Indeed, many governments believe that urban growth can be curtailed, while some have even attempted to control rural-urban migration flows: most, if not all, of these have ended in utter failure. The results are nonetheless very evident. The social exclusion of the poor is increasingly visible in the growth of slums throughout Africa and Asia, with poor people relegated to the margins of society, denied access to land, services or legal recognition.

The Cities Alliance drawing on the vast experience of its members over 10 years is convinced that the sustained and systematic extension of land, services and citizenship to the world's urban poor is the most urgent and essential pre-condition for a sustainable process of urbanisation throughout the developing world.

A number of developing countries have recently begun to explore policy changes that are more appropriate to anticipating an urban future. It is vital that these countries are encouraged to implement bold new approaches to urban development that will allow their cities and countries to respond to the needs of existing slum dwellers, and simultaneously anticipate the needs of future urban dwellers.

At the same time, virtually no effective strategies have been developed for enabling sufficient quantities of land for the poor to settle and develop, nor for commercial development, health, education or other services. The most important enabling strategy for the creation of affordable housing in developing-country cities is one that makes land available on which people can settle and progressively build their homes, and where services can gradually be provided. Moreover, the rights of the urban poor to the

city and its services must be acknowledged through the extension of citizenship in order to achieve the vision of “Cities Without Slums.”

The Cities Alliance believes that with positive and forward-looking policy approaches, very significant steps can be taken at the national, local and community levels to capture the benefits of urbanisation, and provide a framework within which cities can be seen as vital players in the social, economic and political transformation of the country. The adoption of a longer-term and programmatic approach, through which a country’s national and local governments can engage with Cities Alliance members on a more significant and longer-term basis, is essential to the mission and objectives of the Cities Alliance and at the heart of the new business model and Charter of the organisation.

2.1 Objectives

In the broadest terms, Country Partnership Programmes (CPP) aim to achieve the three main objectives of the Cities Alliance partnership. More specifically, the objective of CPPs is to support the emergence of a more **effective urban agenda** centered on sustainable, **inclusive cities**.¹ Towards this end, Cities Alliance support focuses on **improving the quality of relationships** and **coherence of effort** among national and local governments, urban poor communities, CA members and other partners.

In accordance with the Paris Agenda, “coherence of effort” is defined by three key elements: (i) strong city and national government *ownership*; (ii) *alignment* with the overall national poverty framework and with urban strategies at the national, local government, and community levels; and (iii) *harmonization* among CA members’ activities on urban development in the country/city and with other national or international development partners.

To improve ownership, alignment and harmonisation of urban assistance in a given country, CPPs consist of two inter-related components:

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

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

2.2 Partners

As the name implies, partnership lies at the core of a Country Partnership Programme and is the key instrument for achieving coherence of effort. Partnerships are brokered around the shared objective and commitment to supporting the emergence of a more effective urban agenda centered on

¹ Inclusive cities promote growth with equity. All residents of an inclusive city, regardless of economic status, gender, race, ethnicity or religion, are enabled and empowered to fully participate in the social, economic and political opportunities that the city offers.

sustainable, inclusive cities. The shape and form of a country partnership will depend on the specific context of each country, but will always be in support of the national urban agenda. Partnerships are brokered at four different levels.

- 1) National primary partners: Every CPP will invest in promoting a partnership between three key primary partners – national government, city governments and urban poor communities. This partnership is brokered around the joint objectives of alignment and ownership, such that national policy creates the enabling environment for city governments to better serve their citizens and that urban poor communities are in turn empowered to maximise the opportunities provided by improved service delivery.
- 2) National support partners: CPPs will identify national/local organizations that play a supporting role to the primary partners, including local government associations, training institutes, academia, NGOs and the private sector and will invest in building partnerships that improve the quality or widen the scope of the support given to the primary partners.
- 3) Cities Alliance members: CPPs will invest in the mobilization of the membership of the Cities Alliance to seek common purpose between members and to ensure that the Cities Alliance as a partnership coherently engages with the national partners with a high quality support programme.
- 4) Other international support partners: CPPs will develop a set of institutional arrangements that enable an array of additional partners to effectively engage with the national urban agenda. Any international NGO, private sector company, foundation or academic institution can strengthen the national urban agenda and gain access to these partnerships by identifying a point of access and demonstrating common purpose.

2.3 Core Principles

While each CPP is developed according to the specific national context, it will also be guided by a set of core principles that builds upon key lessons learned through years of accumulated global experience of the Cities Alliance:

1. **Long-term, pro-poor programming**, where urban programmes are strategically developed to ensure city governments are better able to effectively address urban growth and poverty reduction.
2. **Collaborative programme design**, whereby the partners are engaged and mobilised in support of a jointly designed programme of support. The CPP seeks to coordinate and align efforts towards common objectives, link to past and current initiatives of members and partners, and foster client ownership.
3. **Multi-sectoral, aligned approach**, that seeks to bring national government policies, city development processes and community activities across sectors into alignment in support of integrated urban development; and
4. **Building long-term institutional capacity**, by engaging and investing in national, regional, local and community institutional structures, including universities, to ensure meaningful national capacity to implement programmes on a sustainable basis.

5. **Engaging for systemic change and impacts at scale**, by supporting the emergence of an appropriate policy framework, and the institutionalization of dialogue between citizens and government², building upon both local knowledge and global good practice, at local and national levels.

2.4 Indicative Activities

The activities supported by Cities Alliance funding in a CPP are determined by the partners in each country. Given the nature and scale of the urban transformation, a combination of national policy dialogue, as well as city development and slum upgrading strategies, remain the key support offered through the Cities Alliance. The further focus is on linking these strategies with processes at the national level and at the community level for greater alignment and synergies.

The types of activities supported under CPPs typically include:

- National urban policies³
- City development strategies⁴
- Slum upgrading strategies⁵
- Dialogue platforms
- Community mobilization initiatives
- Institutional capacity building activities
- Advocacy and awareness strategies
- Knowledge generation activities
- State of the Cities Reports or Urbanisation Reviews

2.5 Expected Outputs

The Cities Alliance “[Theory of Change](#)” is based on the premise that our support should foster a transformation towards more inclusive cities that is driven by national and local partners.

² For the urban poor to effectively engage with urban planning processes that affect their lives, it is important that such communities are actively mobilised and empowered to participate in a meaningful way. Such processes should recognise the complexity of urban communities and institutionalise a platform for dialogue that will ensure that each group that makes up the community is given influential voice.

³ National urban policies supported by the CA will typically focus on the system of cities in a country and on cities as drivers of economic development with a special focus on the urban poor.

⁴ A city development strategy (CDS) is an action-oriented strategic planning process, developed and sustained through participation, to promote equitable and inclusive growth in cities and their surrounding regions to improve the quality of life for all citizens. With a CDS, cities move beyond planning around the short-term political or donor-funding cycle to considering where they should be in 20 or 30 years, and the steps that need to be taken to achieve those goals.

⁵ Slum upgrading is a process through which informal areas are gradually improved, formalised and incorporated into the city itself, through extending land, services and citizenship to slum dwellers. It involves providing slum dwellers with the economic, social, institutional and community services available to other citizens. These services include legal (land tenure), physical (infrastructure), social (crime or education, for example) or economic.

The Theory of Change identifies seven outputs that contribute to a successful urban transformation process. Through CPPs, Cities Alliance will support national governments, local authorities, communities and their development partners to deliver on each of the outputs, which include:

- i. Engagement in **meaningful dialogue** and cooperation;
- ii. Increased knowledge and **awareness** of the situation of the urban poor;
- iii. Enhanced **knowledge** of inclusive urban development;
- iv. Elaboration of inclusive urban **strategies, policies and plans**;
- v. Identification of possible investment partners, and development of policies designed to **mobilize finance** in support of inclusive urban development;
- vi. **Adjustment of their organizations** to support inclusive urban development and;
- vii. **Implementation** of inclusive urban policies, strategies and plans.

Successful transformation processes should comprise all of these outputs, but the importance of each depends on the specific situation and varies over time. For example, awareness raising might be crucial to start a transformation process, and might become almost marginal in advanced processes.

2.6 Expected Outcomes

By moving away from shorter-term, ad hoc initiatives and adopting a longer-term, programmatic approach, CPPs are expected to support sustainable impacts at scale.

Specifically CPPs aim to **promote more inclusive cities** via:

- 1) Improved governance and accountability through institutional reforms and dialogue;
- 2) Improved management of urbanization through inclusive policy and plans;
- 3) Improved service delivery through resource mobilization and partnership; and
- 4) Improved household livelihood security through local community planning and mobilization.

3.0 Geographic Focus

The Cities Alliance will develop CPPs primarily in low-income countries (LICs), with a focus on Sub-Saharan Africa (SSA). At its Mexico City Meeting in November 2010, the Consultive Group agreed to focus CA support in SSA for the next period of activities. SSA is the fastest urbanising region in the world, and is set to double its urban population in the next 20 to 30 years, potentially creating a huge opportunity for governments that adopt enabling policies. While this urban growth is overwhelmingly the urbanisation of poverty, it is also a movement driven by rationality and hope, as people seek better opportunities for themselves, their families and their children. The spatial distribution and impacts of urbanisation will vary from country to country. Most growth will take place in small and secondary cities, where capacity constraints are most extreme, but the largest slums and pressures will be felt in the primary cities .

While the main focus of the CPP approach will be on lower income countries in SSA, support will also be extended to a limited number of middle-income countries (MICs) that have large populations of the

urban poor and whose experience might be relevant to other low-income countries. Programming in MICs will focus on developing an asset base for South-South exchange and/or regional policy influence. A key element of the CPP is the identification of examples that might be relevant in a different geographic context, including policy, planning practice and implementation modalities.

4.0 Country Identification

The Cities Alliance prioritises working to develop CPPs with those governments already committed to change and reform over time. Indeed, most of the countries where Cities Alliance support is required will have to consider fundamental reforms in order to overcome huge social, economic and infrastructural backlogs. A city that has 40, 50 or 60 percent of its population living in slums, un-serviced and socially excluded, does not have a 'slum problem' – it has a city problem. It is no real surprise that the Cities Alliance's most effective work has been undertaken in cities in countries where a set of reforms is underway, or where there are very clear signs of a move towards reform.

Natural partners of the Cities Alliance CPPs are, therefore, those governments that have already taken the decision (or are in the process of doing so) to decisively address the needs of their urban poor and have recognised that, in order to make this sustainable, it must be undertaken in the context of citywide or nationwide reforms.

The Cities Alliance has developed a set of criteria to identify those countries where CPPs have the potential to achieve the greatest impact and to support activities that can achieve scale. These criteria (described below) will guide the Executive Committee in identifying those countries with whom the Cities Alliance will work to develop CPPs.

Interested countries with support from Cities Alliance member(s) and/or the Secretariat can motivate their selection to the Executive Committee by demonstrating the degree to which they meet or exceed these criteria with supporting information and analysis. Those low-income countries in Sub-Saharan Africa where CA currently has active projects, with a primary focus on countries with multiple grants, as well as other countries at the direction of the Executive Committee, will be prioritised for analysis.

4.1 Country Identification Criteria

The identification of countries for CPP support will be guided by the following criteria:

1) Demonstrated political commitment to the urban poor

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

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

2) Empowered local government

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

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

3) Cities Alliance member engagement

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

4) History of past CA investment(s)

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

5) Local civil society

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

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

6) Investment leverage

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

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

7) National partnerships

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

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

5.0 Collaborative Programme Design

A collaborative programme design process is fundamental to the objectives of CPPs. The process actively brings the national government and CA members together in a series of facilitated engagements with local authorities and organisations of the urban poor to develop a common understanding of existing programmes and priorities.

The dialogue among partners serves to collectively define the demand, establish a framework and inform how resources can best be utilised to:

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

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

5.1 Concept Paper

Once a country has been identified, in the first instance, a general Concept Paper will be developed through a joint forum of partners. The Concept Paper broadly:

- **Defines objectives and activities.** Based on the situation analysis, appropriate activities are identified to maximise synergies and meet commonly agreed objectives. This process includes defining the geographic scope.

- **Clarifies roles and responsibilities.** Based on mandates, capacities and commitment of CA members and other country institutions, appropriate roles and partnerships are identified.

The Concept Paper will be finalized by the Secretariat, and shared with all CA members, and all necessary approvals and endorsement secured.

5.2 CPP Framework

The Concept Paper is then translated into a more detailed CPP Framework. Original objectives and activities are verified and refined through the joint forum of partners, facilitated by the Secretariat. The CPP Framework adds an important level of detail to the Concept Paper. It further defines roles and responsibilities and allocates resources across activities.

The latter is accomplished through a prioritisation and resource mapping exercise. At an early stage, the Secretariat will provide an indicative budget for the programme, and the amount of resources available from the CA. CA members and other partners will also indicate their contribution to the programme. At this stage, one CA member may be identified to play a leading role.

The CPP Framework also addresses, as necessary, the appropriate application of World Bank approvals, safeguards policies and procedures.

The CPP Framework is endorsed by the national Government, and all members and partners involved in the Programme.

6.0 Grant Making

For those activities detailed in the CPP Framework that are to be funded by Cities Alliance grants, the following steps apply.

Development of proposals. The identified implementing partners (CA members or other city/country partners) develop individual proposals as identified under the framework and submit them to the CA Secretariat in order to receive the funding. The proposals for discrete activities add yet another level of detail to what is outlined in the CPP Framework and are developed using the CPP Proposal Template (Annex 1), with the support, as necessary, of the Secretariat.

Screening and approval of proposals. The CA Secretariat verifies that the individual proposals capture the agreed upon objectives and activities outlined in the CPP Framework, evaluates the proposals against a set of threshold criteria (Annex 2) and prepares a financial management assessment. Proposals requesting more than \$75,000 from the CA are also evaluated by independent technical assessors and circulated to the members for a two-week “donor coordination” period. If proposals meet the threshold criteria and are assessed positively, they are approved by the CA Manager (if request <\$250,000), or by the Consultative Group (if request >\$250,000) on a no-objection basis.

Grant set up and disbursement of funds. The CA Secretariat drafts appropriate grant agreements and related legal documents and facilitates internal clearances and final signatures according to World Bank policies and procedures, after which, funds are disbursed by the World Bank central units.

7.0 Monitoring and Evaluation

Each CPP has a macro level Results Framework that articulates overall programme objectives, outcome and intermediate outcome indicators, how the indicators will be used and a results monitoring framework.

Each individual grant proposal also incorporates its own Results Framework that stipulates the project level objectives, outcome and intermediate outcome indicators. These project-level frameworks correlate to the overall programmatic framework. Individual grant recipients (CA members and/or partners) are responsible for reporting to CA Secretariat against the project-level results framework and on progress of individual grant-funded projects

The specific mechanisms for monitoring programme progress must be developed according to the specific country context, and may vary from country to country, but in each case the lead CA member will be expected to play a key role.

The CA Secretariat has the following monitoring and evaluation responsibilities:

- programme oversight via quarterly visits and desktop reviews of quarterly financial reports and bi-annual progress reports against agreed results framework per grant.
- aggregating information and indicators from partners on a bi-annual basis to measure programmatic results.
- monitoring progress of CPPs against the overall Cities Alliance Results Framework derived from the Theory of Change and reporting the Consultative Group.; and
- supporting the feedback of knowledge and learning from the above monitoring into the programme and making adjustments as necessary to the programme design and management.

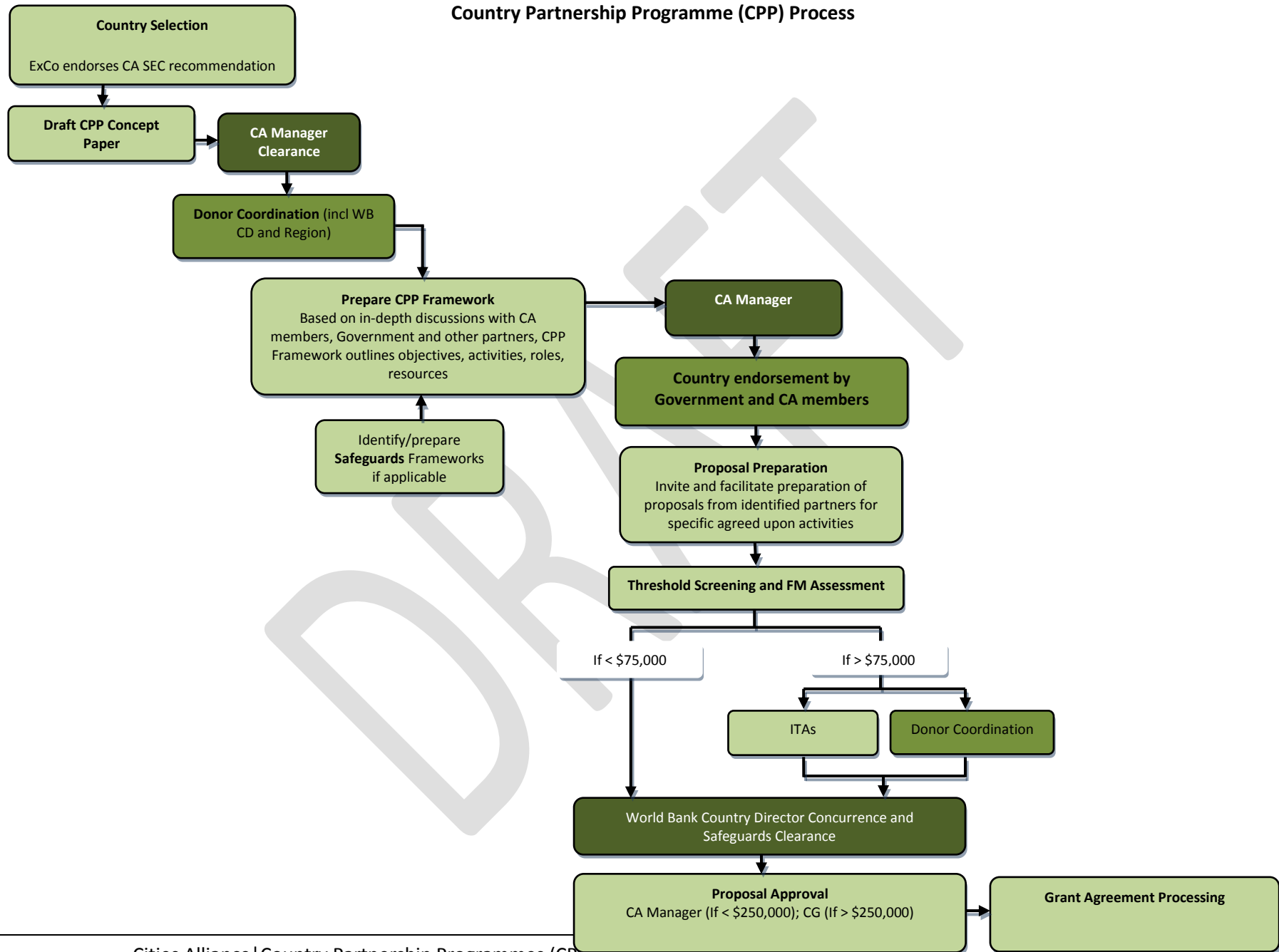
8.0 Knowledge and Learning

CPPs aim to foster new tools, practical approaches and knowledge sharing on the work towards inclusive cities. Knowledge and learning activities will therefore be an essential part of CPPs. The knowledge and learning sharing will take place at two levels:

- a) South-South exchange between regions, countries, cities, and communities; and
- b) Knowledge and learning useful for global CA members.

Relevant knowledge and learning activities will be budgeted within each CPP Framework. In addition, the Secretariat will work with partners and members in country to identify and explore cases, topics, etc... in a given CPP that might be useful in responding to knowledge demands from CA members and partners, following the guidance of the CA Knowledge Concept Note.

Country Partnership Programme (CPP) Process



DRAFT

ANNEX 1 CPP Proposal Template

[TBC]

DRAFT

ANNEX 2 – CPP Proposal Threshold Criteria

[TBC]

DRAFT



Fifth Country Partnership Programme Selection
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 3: Cities Alliance Business Plan

Support Document: Fifth Country Partnership Programme Selection
Note

Background:

The Secretariat has prepared a selection memo on the current Cities Alliance portfolio in Mozambique and recommends its selection as the fifth Country Partnership Programme.

In accordance with the Cities Alliance Charter, one of the EXCO's primary responsibilities is to select countries for partnership programmes.

Recommended Action:

For Discussion and Approval

Proposal for Mozambique to be selected as the 5th Land, Services and Citizenship Country

With the support of the Bill and Melinda Gates Foundation, the Cities Alliance has launched Country Partnership programmes in four countries thus far: Uganda, Ghana, Vietnam and Burkina Faso. The purpose of this document is to motivate for the selection of Mozambique as the 5th country.

While currently only 30.5% of the population live in urban areas the rate of urbanization is rapid. In 2005, Mozambique was the **fourth least urbanised** country in southern Africa, but by 2025, it is projected that Mozambique will be the **fourth most urbanised** country in the region, with only Botswana, South Africa and Angola having a higher urban concentration. This urbanization is against a backdrop of a dramatic economic recovery, with Mozambique's GDP growing at an average rate of close to 8% per year since the late 1990s.

Successful urbanization in Mozambique faces a wide range of challenges. These include:

- i) the capacity of municipal governments in is limited by the fragility and weak resource base of such institutions. For example, some 95% of the permanent staff in the 33 municipalities only had basic education ;
- ii) weak community structures and engagement with only 15% of urban households having any knowledge of how to obtain a land title under the current law;
- iii) growth of slums with some 75% of the urban population living in "bairros" with limited or no services and very basic concrete block houses.

Selecting Mozambique for a Country Partnership Programme provides the opportunity to leverage the significant CA member involvement in that country but also the involvement of CA members in slum upgrading in Brazil. The Cities Alliance has been active in Mozambique since 2002, during which time three full grants and five preparatory grants have been awarded with a total value of \$1,633,000.

These grants have covered a wide range of issues including urban vulnerability, slum upgrading, City Development Strategies and State of the Cities Reports and cover a wide geographic area including the capital city of Maputo and the secondary cities of Chimoio, Chokwe, Tete, Quilemane, Vilankulo and Nampula . Over time, these grants have been executed by UN-Habitat , World Bank , the National Association of Municipalities in Mozambique (ANAM) and the various cities themselves.

Over many years, the CA has been supporting the highly successful Integrated Urban Development Program in Bahia Brazil, a slum upgrading initiative with strong community participation from planning through to implementation. The Cities Alliance made a preparatory grant available to the Municipality of Maputo to develop a project that would bring this experience to Mozambique, which has resulted in the joint Chamanculo C proposal that brings together CA members (Brazil and Italy) with the Municipality of Maputo. As part of this initiative, the CA will fund the Municipality to be an active partner in this pioneering example of South-South exchange.

The Country Partnership Programme provides an opportunity to leverage this experience in Mozambique and to build a strategic framework that aligns national policy, local government capacity and urban poor communities. The UN-Habitat-supported Nampula initiative, the Chamanculo C initiative (supported by the Brazilian and Italian governments and CA) and the World Bank Pro Maputo initiative provides unprecedented CA member involvement around which to craft a Country Partnership Programme. In addition, it would ensure that there was an appropriate balance in the African Country Programme Portfolio, with the addition of an important Lusophone country.

Catalytic Fund Update
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 3: Cities Alliance Business Plan

Support Document: Catalytic Fund Update

Background:

The Cities Alliance launched its first call for proposals for the new competitive Catalytic Fund in January 2011. The call was closed on 31 March 2011. 74 project concept notes were received, 45 met the eligibility criteria and were passed to the Expert Evaluation Panel. 7 concept notes were selected in principle for funding for a total of over USD1.6 million. The concept notes were also circulated for Donor Coordination. The proponents were requested to present the full proposal within the next months.

The Secretariat has prepared an assessment of the application and selection process and presents recommendations to improve the process in the future.

Recommended Action:

Discussion of CATF first assessment (para. III) and guidance on the recommendations (para. IV)

I. Background

The Catalytic Fund was developed during 2010 as one of the core elements of the new Cities Alliance business model, replacing the old grant facility. First presented to ExCo in July 2010, the final design of the Catalytic Fund was adopted in January 2011 following CA member comments in the aftermath of the November 2010 CG meeting in Mexico City. The Catalytic Fund is organized around the following characteristics:

- ✓ Grants are awarded through a **competitive** process following a public **call** for proposals;
- ✓ Call for proposals are scheduled **twice** a year (compatibly to budget) and initial submissions are through a **Concept Note**;
- ✓ An **Expert Evaluation Panel** (EEP) is used in the selection to aid the Secretariat in assessing the relevance and quality of proposals together with a parallel process of **Donor Coordination**;
- ✓ The grant size is limited to between **US\$50,000 - US\$250,000**;
- ✓ **Sponsorship** of a project from CA Members is required; and
- ✓ The general scope of the CATF is defined by the new **CA Charter**.

II. The first call for applications

The first call for applications was issued at the end of January 2011 with communication to CG. The application period was two months, with the closing deadline on 31 March 2011. In total, the Cities Alliance Secretariat received 74 Concept Notes on a range of projects related to slum upgrading and city development strategy across diverse regions – Sub-Saharan Africa, South Asia, Latin America, and Central Asia.

After initial screening by the Secretariat, 45 Concept Notes were found to meet the basic eligibility criteria. Twenty-nine proposals were determined to be ineligible for two main reasons: they were out of scope or lacked CA member sponsorship. (Detailed statistics on the 45 eligible Concept Notes are included in Annex 1, and the full list is detailed in Annex 2.) The 45 eligible Concept Notes were then sent to the Catalytic Fund Expert Evaluation Panel (EEP) for technical evaluation.¹

While the EEP was conducting its assessment, a parallel process of donor coordination with CA members was carried out. Based on comments from both the EEP and members, and taking into consideration the additional portfolio criteria², the Secretariat selected in principle a final list of 7 concept notes for funding, totaling more than US \$1.6 million (Annex 3). The Secretariat invited the seven organizations whose notes were selected to develop them into full proposals within a two-month timeframe, incorporating the feedback provided by the donor coordination and the EEP processes. Grants will then be processed on a rolling basis as soon as the seven proponents provide satisfactory Full Proposals that meet the established standards.

III. Initial assessment of the first call

III.1 Demand was relatively high. The strong response to the initial Call for Proposals, 74 Concept Notes, indicates that there is a clear demand for a targeted funding instrument such as the Catalytic Fund. The number of applicants is particularly significant considering that the call was not widely disseminated due to its ‘testing’ nature and the limited budget available. Three major highlights emerge from the statistics derived from this initial batch: (i) the asymmetrical distribution of members sponsoring the Concept Notes (see Table 1 – Annex 1); (ii) the low representation of certain geographic areas (Table 2 – Annex 1); and (iii) the absence of secondary cities.

III.2 The overall quality of the Concept Notes varied greatly. In general the quality of the Concept Notes was not very good. Out of 74 Concept Notes received, 29 did not qualify formally; and out of the 45 assessed by the panel, only approximately 15

¹ Members of the external evaluation panel are Jamie Simpson (*GHK*); Goran Tannerfeldt (*consultant*); Serge Allou (*GRET*); Rajivan Krishnaswamy (*consultant*) and Marie-Alice Lallemand-Flucher (*consultant*). The process of appointment of the panel followed a series of consultations and nominations with CG and ExCo.

² Portfolio criteria are designed to maintain the strategic balance of the overall CA grant portfolio. They include factors such as theme, geography, member engagement and knowledge needs.

were good enough to be considered for financing (although not all were selected due to budget constraints and strategic portfolio criteria). The likely reasons behind the weak quality are the process of adaptation to the new CATF format and tools by applicants, and a lack of sufficient quality control by sponsors (see next point).

III.3 CA member sponsorship of the proposals was weaker than expected. The CATF³ encouraged sponsors' engagement to be stronger and more effective than it has been in some cases in the past. With this new perspective, the CATF guidelines advised that proponents and sponsors should discuss and agree upon modalities of engagement prior to submission. On average, proposals were sponsored by 1.6 members; however, this number often did not reflect genuine partnerships.

- ✓ While some proposals listed three sponsors, their co-financing was not reflected in the budget and their supposed contribution in other areas of the project was not described anywhere in the Concept Note.
- ✓ In some proposals, CA members listed other CA members as sponsors without having clarified the exact modality of their involvement beforehand. Similarly, their alignment with national priorities did not always emerge.
- ✓ CA members sponsored several applications from the same countries without considering the overall CATF budget or the necessity to maintain a general portfolio balance.
- ✓ The insufficient quality of many proposals points to a general lack of control by CA sponsors on the project development (see III.2).

IV. Recommendations

IV.1 Increasing process efficiency and quality of the portfolio through effective sponsorship. The efficiency and quality of both the process and portfolio can be improved by a stronger role of CA members in the control of submissions. This will generally avoid, among other things, additional work by the Secretariat and the EEP in assessing poor quality proposals; general redundancies, overlapping and imbalances in the batch; lengthy processes of donor coordination; and the need to double-check effective sponsorship behind a project.

IV.2 Increase portfolio focus by Thematic Calls. The scope of the Catalytic Fund proposals has been defined by the three major areas defined in the new CA Charter.⁴ However, given the exceedingly wide variety of urban issues encompassed by the batch, the scope of the future calls could be modified to prioritise particular areas of policy interest or focus. Calls for proposals can thus be thematic on issues that are more specific, of interest to members and with the potential to fill crucial knowledge gaps. Thematic focus could also benefit better and more targeted sharing and dissemination of knowledge and experiences.

IV.3 Making better use of limited budget – the next call. In its original design the CATF was to have two calls for Concept Notes per year, each for approximately US\$2,000,000. We recommend to EXCO that the Cities Alliance Secretariat only issue one call for the next financial year to avoid raising excessive expectations among applicants, given the limited budget available (ca. US\$2,000,000).

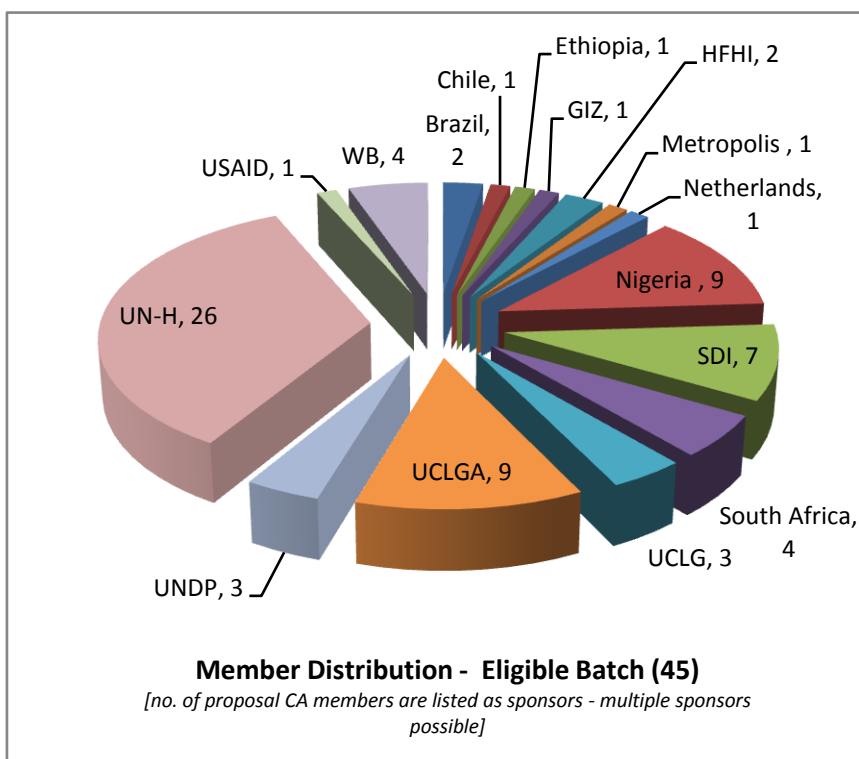
IV.4 Simplifying windows for funding: the Small Grant Facility (SGF). During its first year of operation the small grant facility – a complementary window of the CATF for grants under US\$50,000 – has had few applications. Given the high transaction costs linked to processing small grants combined with the low demand, there is no rationale for keeping the facility open in its current format. It is therefore recommended that the small grant facility be transformed into a small fund for strategic use at the CA Manager's discretion, within the scope defined by the CA Charter.

³ Specific TORs were developed to outline the expected role of sponsors and recipients for a proposed project. TORs are available on the CA website at www.citiesalliance.org/ca/CATF_FAQ

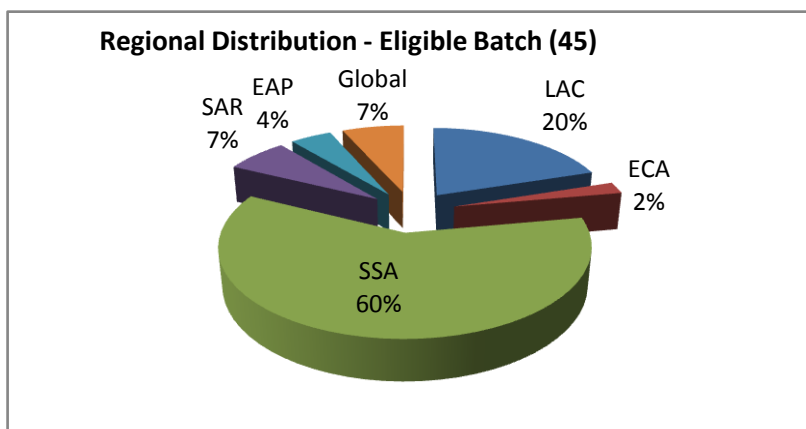
⁴ 'Support provided by the Cities Alliance falls within the following broad categories: (a) Citywide and nationwide slum upgrading programmes; (b) City development strategies; and (c) National policies on urban development and local government' (CA Charter, para. 10)

Appendix 1 – Catalytic Fund First Call – Statistics on the eligible batch of proposals (45)

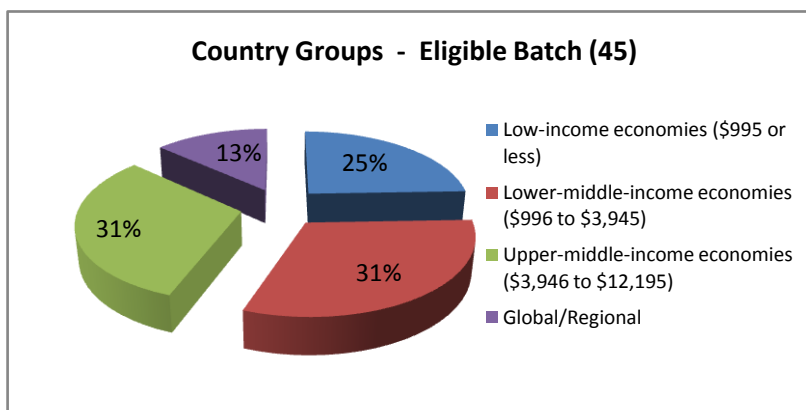
Country	N.	%	Total \$ Requested
Brazil	2	1.3	403,624
Chile	1	1.3	250,000
Ethiopia	1	1.3	250,000
GIZ	1	1.3	250,000
HFHI	2	2.7	490,000
Metropolis	1	1.3	245,000
Netherlands	1	1.3	250,000
Nigeria	9	12.0	1,875,000
SDI	7	9.3	1,480,018
South Africa	4	5.3	744,741
UCLG	3	4.0	734,200
UCLGA	9	12.0	1,875,000
UNDP	3	4.0	566,000
UN-H	26	34.7	5,272,402
USAID	1	1.3	250,000
WB	4	5.3	1,178,000
TOTAL	75	100	16,113,985



Region	N.	%
LAC	9	20
ECA	1	2.2
SSA	27	60
SAR	3	6.7
EAP	2	4.4
Global	3	6.7
TOTAL	45	100



Country Groups	N.	%
Low-income economies (\$995 or less)	11	28
Lower-middle-income economies (\$996 to \$3,945)	14	36
Upper-middle-income economies (\$3,946 to \$12,195)	14	36
Global/regional	6	13
TOTAL	45	100



Appendix 2 - Eligible batch of 45 proposals

#	Region	Country	City	Title	Recipient	CA Sponsor	Amount	Objectives
1	EAP	Multi-Country	N/A	Developing A Knowledge Management and Exchange System for City Managers	League of Cities of the Philippines (LCP)	World Bank	250,000	The main objective of the project is to strengthen the capacity of cities to effectively manage inclusive urban development through the implementation of a knowledge management and exchange system among city managers and stakeholders.
2	EAP	Philippines	Quezon City	Piloting collaborative pro-poor housing development in Quezon City, Philippines	Habitat for Humanity	Habitat for Humanity Slum Dwellers International (SDI)	250,000	To influence the future trajectory of urban human settlement development in Quezon City and other Philippine cities in a direction that is sustainable, scalable, and suited to the needs and desires of low-income urban residents as well as government.
3	ECA	Uzbekistan	Multi city	Historic Cities Sustainable Development Strategy for Bukhara and Samarkand	World Bank	World Bank	220,000	The objective of this proposal is to support the historic cities of Bukhara and Samarkand to identify and prioritize key areas for urban integrated development that will promote and attract local economic development opportunities. This will be achieved through the development of comprehensive Historic Cities Sustainable Development Strategies for Bukhara and Samarkand which will include an Inter-City Collaborative Strategy process aimed at encouraging the two cities to explore and possibly agree on areas of partnership that mutually benefit and boost economic and tourism development.
4	Global	Multi-Country	N/A	Practical Guides for Managing and Implementing Citywide Slum Upgrading Programmes	UN-HABITAT	UN-HABITAT	226,000	The main objective of the project is to produce practical guides for managing and implementing citywide slum upgrading programmes.
5	Global	Multi-Country	N/A	Addressing the Land Information Requirements of the Urban Poor - Piloting of the Social Tenure Domain Model (STDM) in Select Cities	UN-HABITAT	UN-HABITAT Slum Dwellers International (SDI)	250,000	To address the land information requirements of women and men in slum communities with a view to build their capacity in use of land information systems and to scale-up
6	Global	Multi-Country	N/A	Scaling up Access to Economic Opportunities for people affected by HIV and AIDS in urban areas	Alliance of Mayors and Municipal Leader on HIV/AIDS in Africa	UN-HABITAT	249,160	Increase in local economic activity and poverty alleviation for HIV positive and other vulnerable groups through economic empowerment and income generating activities
7	LAC	Colombia	Bogotá	Modelos de gestion integral para el fortalecimiento de los procesos de renovacion urbana en Bogota	Empresa de Renovación Urbana de Bogotá	UN-HABITAT	175,000	Diseñar un modelo de gestión que fortalezca los procesos de renovación urbana en Bogotá, promoviendo la inclusión social, la participación comunitaria y el desarrollo urbano sostenible.
8	LAC	El Salvador	N/A	Divulgación e Implementación de la Nueva Política Nacional de Ordenamiento y Desarrollo Territorial de la República de El Salvador	Viceministerio de Vivienda y Desarrollo Urbano (VMVDU)	UN-HABITAT	250,000	Apoyar la implementación de la primera Ley de Ordenamiento y Desarrollo Territorial aprobada en El Salvador, a través de procesos de participación y concertación de actores locales, microregionales, departamentales y nacionales en la construcción colectiva de los planes de ordenamiento y desarrollo territorial.
9	LAC	Nicaragua	Masaya	Plan de Desarrollo Municipal de Masaya	Alcaldía Municipal de Masaya	UCLG	239,200	Elaborar una herramienta de gestión municipal integral, de forma que los diferentes actores locales tomen como referencia los objetivos estratégicos definidos en el Plan, y en el que la Alcaldía Municipal ejerza el liderazgo en su

								ejecución.
10	LAC	Chile	Ciudad Sur (Santiago)	Elaboración, con enfoque territorial y participación ciudadana, del Plan Estratégico de la Asociación de Municipalidades Ciudad Sur de Santiago de Chile	Asociación de Municipalidades Ciudad Sur	UCLG Ministerio de Vivienda y Urbanismo de Chile	250,000	Elaborar con enfoque territorial y con participación ciudadana un plan estratégico para el desarrollo integral de Ciudad Sur.
11	LAC	Colombia	Medellín	Fortalecimiento de la gobernanza urbana a través de la implementación articulada de políticas de hábitat y seguridad en Medellín	UN-HABITAT	UN-HABITAT	100,000	Potenciar las sinergias que tienen lugar en la conjunción de políticas y programas de desarrollo urbanístico, gobernanza urbana y seguridad ciudadana.
12	LAC	Mexico	Victoria	Revitalización de Espacios Públicos en Colonias y Barrios Marginados de la Ciudad de Victoria, Estado de Tamaulipas	Gobierno del Estado de Tamaulipas	UN-HABITAT	250,000	Mejorar la calidad de vida de los habitantes en barrios y colonias pobres de las ciudades del Estado de Tamaulipas, mediante el rescate y mejoramiento de los espacios públicos, para el disfrute del tiempo libre, la cohesión social, la identidad con el espacio habitable y el combate a la delincuencia e inseguridad.
13	LAC	Brazil	Rio de Janeiro	Projeto Semente Resíduos, uma estratégia de gestão de resíduos para promoção de desenvolvimento sustentável em favelas no Rio de Janeiro.	Secretaria Municipal de Habitação, Prefeitura da Cidade do Rio de Janeiro	Brazil Ministério das Cidades UN-HABITAT CAIXA Economica Federal	153,624	Complementar um programa de urbanização e revitalização de áreas degradadas em grande escala -o Morar Carioca-, agregando um componente pioneiro de implantação de coleta seletiva e reciclagem de resíduos sólidos em favelas, através da participação direta da população local e de um conjunto de parceiros públicos, privados e não governamentais, gerando benefícios ambientais para o conjunto da cidade, e melhoria de qualidade de vida e geração de renda para população local.
14	LAC	Argentina	Buenos Aires	Empoderamiento social y participación ciudadana: hacia la urbanización de los barrios postergados de la Ciudad de Buenos Aires	Asociación Civil por la Igualdad y la Justicia	UNDP	246,000	El proyecto busca promover la democracia entre los segmentos más excluidos de la sociedad argentina mediante el desarrollo de un modelo de urbanización participativo que fortalezca la ciudadanía y la participación de la sociedad civil en la promoción y monitoreo de las políticas de vivienda en la Ciudad de Buenos Aires.
15	LAC	Costa Rica	N/A	Proyecto ENTRE VECINOS: Implementación de una metodología para integrar a la población migrante y refugiada a las organizaciones comunitarias	UN-HABITAT	UN-HABITAT	130,000	Promover la integración y la participación comunal de la población migrante y refugiada bajo el principio del desarrollo humano inclusivo, sostenible y equitativo, a través de la acción conjunta entre las organizaciones comunitarias, los gobiernos locales, los sectores público y privado.
16	SAR	Nepal	Lalitpur	Enhancing Sustainable Urban Planning and Management through Municipal Information System in Lalitpur Sub-metropolitan City	Centre for Integrated Urban Development (CIUD)	UN-HABITAT	249,000	The overarching objective of this project is to facilitate and support to implement good urban governance in Lalitpur Sub-metropolitan City (LSMC) through the establishment and enhancement of information system for sustainable urban planning and management. The specific objectives are: 1) Establish web-based GIS information system to: a) Enhance resource mobilization; b) prepare for disaster preparedness and mitigation; c) support infrastructure planning including slum upgrading; and 2) Enhancing municipal capacity through a) training and exposure; and b) engaging in demonstration projects.

17	SAR	Sri Lanka	Multi city	Promoting Climate Resilient City Development and Settlements Upgrading Strategies for Sri Lankan Cities	MaRGG (Management Resources for Good Governance)	UN-HABITAT World Bank	218,000	To mainstream a “climate-proofed” Sri Lankan participatory CDS/SU approach in the UDA/NPPO National Urban Development and Framework and to sustain it within the National Climate Change Adaptation Policy for Sri Lanka 2011-2016 through strengthened capacity-building support from SLILG/UoM and advocacy support from NCM.
18	SAR	India	Bhubaneswar (Orissa)	Building Capacity to Implement Citywide Slum Upgrading in the City of Bhubaneswar	FIRE-D Advisory Services	USAID	250,000	There are two primary objectives of this project: (1) to help the city of Bhubaneswar and State of Orissa build the institutional capacity necessary to carry out large-scale, slum upgrading on a sustainable basis; and (2) to promote a comprehensive development model where the city facilitates and coordinates multiple stakeholders, including financing institutions, utilities and service providers, resident communities, private builders, nongovernmental organizations (NGOs), and numerous government offices.
19	SSA	Cameroon	Yaoundé	Stratégie de Développement Urbain de Yaoundé et son aire métropolitaine - CDS de Yaoundé	Communauté Urbaine de Yaoundé Cellule de Coordination du PDUE	World Bank UNDP	240,000	Formuler et mettre en oeuvre la stratégie de développement urbain de Yaoundé durable assortie d'un programme communal d'amélioration des infrastructures de base et des services urbains dans les quartiers défavorisés à travers un partenariat (coopération technique et financière) entre Cities Alliance et tous les acteurs institutionnels du développement de la Ville de Yaoundé (Communauté Urbaine, Communes d'Arrondissement, ministères en charge du développement urbain, de la décentralisation, de l'économie et de la planification, PTFs, etc.) et son aire métropolitaine.
20	SSA	Kenya	Multi city	Enhancing public participation in economic opportunities and management programmes in the decentralized governance within Nairobi, Mombasa, Kisumu, and Nakuru cities of Kenya as per the newly promulgated constitution	Centre for Urban Governance and development (CURG)	UNDP	70,000	To Promote and facilitate public participation in commercial and economic opportunities within the decentralized development approach in the targeted cities by strengthening the cities/counties to enhance sustainable development and concentration for decentralized local planning, as well as comprehensive capacity building for the county governments to support access to political, social, economic development.
21	SSA	South Africa	Gauteng and Mpumalanga Provinces	Strengthening Community Participation in Informal Settlement Upgrading	Planact	Slum Dwellers International (SDI)	102,700	The main objective is to strengthen democratic community participation in informal settlement upgrading processes, and in so doing, to contribute towards improving approaches to urban development.
22	SSA	Multi-Country	N/A	Moving towards effective property markets in Sub-Saharan Africa – developing a framework for the rapid assessment of land markets in cities	Urban LandMark	South Africa Department of Human Settlements	231,623	Develop different methodologies for undertaking a cost effective assessment of the property markets of a city through undertaking an assessment of such markets in two cities in Sub-Saharan Africa over two years. The focus of the rapid property assessment will be to provide a general understanding of the urban land market within a city and identify market drivers and constraints with a particular emphasis on how they impact on the poor.
23	SSA	Multi-Country	N/A	Tenure Security Facility Southern Africa: the provision of technical assistance and advisory services on incrementally securing tenure in	Urban LandMark	Slum Dwellers International (SDI)	250,000	To provide specialist tenure technical assistance and advisory services to slum upgrading initiatives in the Southern African region

				slum upgrading					
24	SSA	Zambia	Solwezi	Solwezi City Slum upgrading project for Slums in Lumwana Town area – Phase 1	Solwezi Municipal Council	Habitat for Humanity	240,000	Ensure establishment of Low-cost urban housing using co-partnerships and mutual self-help with the community; Self help road construction and boreholes; Revolving fund for upgrading of existing squatter settlements.	
25	SSA	South Africa	N/A	Research and capacity building to enable the design and development of a National Urban Forum in South Africa	Development Action Group (DAG)	UN-HABITAT Slum Dwellers International (SDI) South Africa Department of Human Settlements	55,318	To determine an appropriate design for a National Urban Forum in the South Africa for broad based engagement and accountable urban governance, which strengthens poverty reduction strategies and sustainable urban development.	
26	SSA	Senegal	Dakar	Assistance à la maîtrise d'ouvrage pour la formulation du projet DKL et l'élaboration d'opérations prioritaires à l'horizon 2025	Ville de Dakar	UN-HABITAT Metropolis UCLG	245,000	L'objectif principal du projet est l'organisation du développement urbain de la ville de Dakar à travers la production d'une planification urbaine opérationnelle d'une zone stratégique du territoire, la ceinture DKL, la réalisation d'actions prioritaires ciblées afin d'y créer une nouvelle polarité tertiaire, tout en renforçant les capacités des services de planification et d'aménagement de la ville de Dakar	
27	SSA	Ethiopia	Multi city	Housing Sector Development: Making Shelter Assets Work	Housing Development and Government Buildings Construction Bureau, Ministry of Urban Development and Construction	Ethiopian Ministry of Urban Development and Construction GIZ	250,000	The maintenance and development practices for housing assets are improved by enhancing tenure security and asset management capacities as well as businesses. Condominium sites are sustainable neighborhoods.	
28	SSA	South Africa	Tshwane	Participatory Entrepreneurship Development	Ungana-Afrika	South Africa Department of Human Settlements	207,800	The main objective of this project is to develop social entrepreneurs in poor urban informal settlements, so that new and useful services can be generated in a sustainable manner and high unemployment rates tackled in the process. The methodology used for achieving this is entirely based on participatory processes, which will ensure empowerment of the participants and other community members.	
29	SSA	Uganda	Lake Victoria Region	Improving local governance in the Lake Victoria Region through municipal development platforms	Lake Victoria Region Local Authorities Cooperation (LVRLAC)	UN-HABITAT	250,000	To promote participatory development and coordination through an established network of strategic planning and implementation units in 12 LAs by 2013	
30	SSA	Nigeria	Ado-Ekiti and Ikole (Ekiti State)	City Development Strategy for Ado-Ekiti and Ikole (Ekiti State)	Ekiti State Ministry of Physical, Urban and Regional Planning	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	250,000	The goal of the project is to support the Government of Ekiti State to prepare, adopt and implement long-term city development strategies (Structure plans) for Ado-Ekiti and Ikole that enhance the achievement of the goals of poverty reduction of Ekiti State poverty reduction strategy paper, Habitat Agenda including adequate shelter for all, sustainable human settlements development, management, the Millennium Development Goals of promoting environmental sustainability and City Alliance Goals of promoting cities without slums.	

31	SSA	Nigeria	Greater Onitsha	Participatory Slum Upgrading in Okpoko, Atani, Anambra State	Obgaru Local Government, Onitsha	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	250,000	To contribute to the attainment of the Goals of the Structure Plan on poverty reduction for 50% of residents of Greater Onitsha by 2028 and to achieve environmental sustainability in Onitsha and Satellite towns by 2020 through slum upgrading, erosion control, promotion of general amenity.
32	SSA	Tanzania	Dar es Salam	Dar es Salaam Urban Agriculture Programme	Sustainable Cities International	World Bank	250,000	To facilitate the legitimization of UA as a secure land use in Dar es Salaam and ultimately contribute to increasing economic, social and environmental benefits from UA
33	SSA	Uganda	Jinja	Improvement of livelihood and poverty reduction in Jinja	Jinja Municipal Council	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	200,000	The specific objective is to enhance the income of the community by improving their businesses through provision of essential equipment for trade activities and other forms of support and to build their capacity in form of training for successful execution of business undertakings and accessibility to Micro financing.
34	SSA	Sierra Leone	Freetown	Promoting affordable and sustainable sanitation services in Freetown	Freetown City Council	UN-HABITAT	196,300	The main objective of the project is to strengthen Freetown City Council's institutional capacity to promote improved sanitation in the city. The funding from Cities Alliance and additional support from IWA and UN-Habitat will provide institutional support to Freetown City Council (FCC) to develop a clear strategic framework and implementation plan for improving public sanitation facilities and servicing of private on-site sanitation the city.
35	SSA	Nigeria	Multi city	International workshop on 50 years of urbanization in Nigeria	Foundation for development and environmental initiatives	UN-HABITAT	150,000	To review urbanization trends and development challenges in the last 50 years; To evaluate the adequacy of present planning models in the challenges of rapid urbanization; To examine the contributions of Professor Akinlawon Ladipo Mabogunje to urban studies in the last fifty years; To project sustainable responsive action on urbanization to the next fifty years.
36	SSA	Nigeria	Ibadan and Oyo in Oyo State	City development strategy for Ibadan and Oyo, Oyo State, Nigeria	Oyo state Ministry of Environment and Water Resources	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	250,000	The goal of the project is to support the Government of Oyo State to prepare, adopt and implement long-term city development strategies (Structure plans) for Ibadan and Oyo that enhance the achievement of the goals of poverty reduction of Oyo State poverty reduction strategy paper, Habitat Agenda including adequate shelter for all, sustainable human settlements development, management, the Millennium Development Goals of promoting environmental sustainability and City Alliance Goals of promoting cities without slums.
37	SSA	Nigeria	Ado-Ekiti and Ikole (Ekiti State)	City Development Strategy for Ado-Ekiti and Ikole, Ekiti State, Nigeria	Ministry of Physical Planning and Urban Development	UN-HABITAT	250,000	The goal of the project is to support the Government of Ondo State to prepare, adopt and implement long-term city development strategies (Structure plans) for Akure and Ondo that enhance the achievement of the goals of poverty reduction of Ondo State poverty reduction strategy paper, Habitat Agenda including adequate shelter for all, sustainable human settlements development, management, the Millennium Development Goals of promoting environmental

sustainability and City Alliance Goals of promoting cities without slums.

38	SSA	Nigeria	Port Harcourt	People's Plan: Port Harcourt Waterfronts Slum Upgrading Programme	Article 25	Royal Netherlands Ministry of Foreign Affairs	250,000	To move from demolition to development in Port Harcourt's programme for urban renewal of Waterfront settlements. To develop inclusive, participatory and discursive methods of city development which work with and for all residents. To create scalable slum upgrading processes that can be replicated in all Port Harcourt Waterfronts, Nigeria's cities and worldwide.
39	SSA	Tanzania	N/A	Citizens Engagement in Constitutional Review Process to Promote More Inclusive Cities of City of 2030	Association of Local Authorities of Tanzania (ALAT)	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	220,000	The main objective of the project is to empower the citizens to understand the importance of their participation in the decision and practical processes of the review of the Constitution
40	SSA	Gambia	N/A	Transforming Gambia cities to city of 2030	Gambia Association of Local Government Authorities (GALGA)	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	180,000	The purpose of this project is to build the institutional capacity of Local Government institutions at council level such as: Village Development Committees (VDCs) Ward Development Committees (WDCs) and Civil Society Organizations on their roles and responsibilities in the Decentralisation an reform programme through Local Government in the country and The Gambia Association of Local Government Authorities (GALGA) being the umbrella organization.
41	SSA	Algeria	?	N/A	Forum Algerien Pour la Citoyennete et la Modernite (FACM)	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	200,000	The main objective of this proposal is to raise \$250,000 from Cities Alliance and other partners to develop and Forge strategic alliances with private sector and relevant government departments to design and promote entrepreneurship programs and establish and promote a local policy framework that encourages growth in the informal sector. This will aim at reducing poverty and catalyse urban transformation processes that promotes more inclusive cities, and advance collective know-how through learning distilled from project experiences.
42	SSA	Mali	?	Programme d'Appui au Développement Economique Local (PADEL)	Association des Municipalités du Mali - AMM	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	250,000	The main objective of this proposal is to raise \$250,000 from Cities Alliance and \$263,000 from other partners to develop and Forge strategic alliances with private sector and relevant government departments to design and promote entrepreneurship programs and establish and promote a local policy framework that encourages growth in the informal sector. This will aim at reducing poverty and catalyse urban transformation processes that promotes more inclusive cities, and advance collective know-how through learning distilled from project experiences.

43	SSA	Seychelles	?	Eclairage de freedom square	La ville de Victoria	UN-HABITAT UCLGA Nigeria Federal Ministry of Lands, Housing and Urban Development	75,000	The main objective of this proposal is to raise \$250,000 from Cities Alliance and other partners to develop and Forge strategic alliances with private sector and relevant government departments to design and promote entrepreneurship programs and establish and promote a local policy framework that encourages growth in the informal sector. This will aim at reducing poverty and catalyse urban transformation processes that promotes more inclusive cities, and advance collective know-how through learning distilled from project experiences.
44	SSA	Namibia	Katima Mulilo	Community Led Formalization Project	Katima Mulilo Town Council	Slum Dwellers International (SDI)	250,000	The overall development objective of the community led formalization project for Katima Mulilo Town Council is to enable the Council to work with communities in improving their living conditions in line with Poverty Reduction Strategy, Land Reform Policy, Vision 2030 as well as Millennium Development Goal 7 (target 10 &11)
45	SSA	South Africa	Stellenbosch	Strengthening City Governance in Stellenbosch, South Africa, through people-driven Slum Upgrading	CORC (Community Organisation Resource Centre)	Slum Dwellers International (SDI) South Africa Department of Human Settlements Ministry of Cities, Brazil	250,000	To strengthen city governance in Stellenbosch and create an inclusive city through people-driven slum upgrading in line with national targets.

Appendix 3 - List of concept notes awarded in principle by the Catalytic Fund first call for applications

1. 'Tenure Security Facility Southern Africa: the provision of technical assistance and advisory services on incrementally securing tenure in slum upgrading'

Country: SSA Multi country

Request to CA: 250,000

Submitted by: Urban Land Mark

CA Member Sponsor: SDI and South Africa Department of Human Settlements

2. 'Promoting Climate Resilient City Development and Settlements Upgrading Strategies for Sri Lankan Cities'

Country: Sri Lanka

Request to CA: 218,000

Submitted by: National Chapter of Mayors, Sri Lanka (NCM)

CA Member Sponsor: UN-Habitat, World Bank

3. 'Housing Sector Development: Making Shelter Assets Work'

Country: Ethiopia

Request to CA: 250,000

Submitted by: Ethiopia Ministry of Urban Development and Construction

CA Member Sponsor: GIZ

4. 'Promoting affordable and sustainable sanitation services in Freetown'

Country: Sierra Leone

Request to CA: 196,300

Submitted by: Freetown City Council

CA Member Sponsor: UN-Habitat

5. 'Elaboración, con enfoque territorial y participación ciudadana, del Plan Estratégico de la Asociación de Municipalidades Ciudad Sur de Santiago de Chile'

Country: Chile

Request to CA: 250,000

Submitted by: Asociación de Municipalidades Ciudad Sur

CA Member Sponsor: Ministerio de Vivienda y Urbanismo de Chile, UCLG

6. 'Stratégie de Développement Urbain de Yaoundé et son aire métropolitaine - CDS de Yaoundé'

Country: Cameroon

Request to CA: 240,000

Submitted by: Communauté Urbaine de Yaoundé

CA Member Sponsor: World Bank

7. 'Historic Cities Sustainable Development Strategy for Bukhara and Samarkand'

Country: Uzbekistan

Request to CA: 220,000

Submitted by: Ministry of Economy

CA Member Sponsor: World Bank

Knowledge Resources/Joint Work Programmes
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 3: Cities Alliance Business Plan

Support Document: Knowledge and Learning Briefing Note

Background:

Since its foundation more than ten years ago, the Cities Alliance has supported more than 200 projects, mostly for Cities Development Strategies (CDSs) and Slum Upgrading (SU). The ongoing country programmes, joint work programmes and projects from the catalytic Fund continue generating how-to-knowledge, based on experiences on the ground. This wealth of experiences puts the Cities Alliance in a unique position to provide coherent and field tested approaches, methodologies and experiences to urban practitioners as well as to policy makers. Over the years, the Cities Alliance has invested significant resources in knowledge generation, which need to be matched with the necessary resources for processing and effective dissemination.

Given the current budget situation, priorities will need to be made balancing requests for capitalizing the knowledge potential from ongoing or recently completed projects, for the extension of existing joint work programmes and for new joint work programmes.

Recommended Action:

The Secretariat seeks ExCo's Guidance

- on capitalizing the knowledge potential from the legacy portfolio,
- on potential member's contribution to Joint Work Programmes, and
- on thematic and/or geographic priorities.

Knowledge Management and Learning

1. Legacy Portfolio of the Open Grant facility

As part of its knowledge and learning activities, the Secretariat has systematically reviewed and classified 77 projects from the period 2006-2008, resulting in the identification of some 700 outputs. The Secretariat is now continuing this work by examining project outputs from 2009 onwards.

Unsurprisingly, there is a significant variation in the quality of these outputs, and of their wider relevance beyond their specific project context. From the 2006-2008 project batch, we have identified some 70 outputs are knowledge resources worthy of wider dissemination. These outputs can be grouped into following clusters:

- Cluster 1: Learning Resources/Toolkits/Training Material (12)
Themes: CDS (3); Upgrading (1); Land Regularization (4); Financial Management (3); Urban Renewal (1)
- Cluster 2: Project outputs with Potential for thematic Case Studies (52)
Themes: Cities – CDS(14) , Cities’ Network (2), Intermediate Cities (1); Capital Investment and Finance (3), Municipal Management and Finance (3); Local Economic Development (3); Upgrading Strategy (12); Financing Upgrading Strategy (5); Urban Environment (2); National Policy (7)
- Cluster 3: Research and Data Related Outputs (5)

The Cities Alliance has invested significant resources in this knowledge generation, which now needs to be matched with equally significant resources for processing, and for effective dissemination. The challenge currently confronting the secretariat is how to mobilize the necessary resources to maximise the value of this knowledge, and ensure its availability and use in the daily work routines of urban practitioners, and to contribute to better-informed policy making.

Given the current budget situation, the Secretariat can contribute some seed funding and secretarial functions. However, to really achieve the potential of this body of work, and contribute to the Cities Alliance as a partnership, we believe that additional staff time and resources are needed from members, possibly as a knowledge-focused Joint Work Programme. This would allow interested CA members to agree on priority themes, and to jointly establish the approaches, methodologies and tools or to transform these outputs into learning material for professional associations of planners and engineers, as well as universities for training the next generation of urban professionals. Ideally, this Joint Work Programme would also lead to the establishment of a community of practitioners.

Building on the insights and agreements reached through joint work, well-prepared policy dialogues could leverage the knowledge to increase the impact on urban policies of both, partner countries and CA member corporate polices.

The Secretariat seeks guidance from ExCo,

- on further steps with respect to the proposed approach,
- on the identification of interested members; and,
- and on a preliminary selection of thematic or geographic priorities.

2. Joint work programmes

By the end of FY 2011, several joint work programmes were operationally active, namely

- Cities and Climate Change (Grant recipient: WB, UNEP, UN-Habitat)
- Climate Change, Disaster Risk and the Urban Poor (WB),
- Mainstreaming the Environment in CDS (UNEP),
- ECO2 Programme (WB),
- Municipal Finance (UCLG),
- National Slum Upgrading Approaches (WB),
- Supporting Africa's Urban Transition (WB)
- CDS framework (no grants, GIZ, UNH, UCLG, UNEP).

These joint work programmes were budgeted in previous years. The grant agreement will expire during FY 2012. Given the current budget situation, priorities will have to be defined for any follow up agreements, also balancing budget requests for new joint work programmes and for processing the knowledge from the legacy portfolio (see 1) above).

The Secretariat seeks guidance from ExCo,

- on the potential contribution from CA members to a jwp, as described under 1.) above,
- on thematic and/or geographic priorities,
- on the steps to take to prioritize joint work programmes for the FY 2012 budget.

1

2 Cities Alliance Charter 2011
3 Information Sheet
4 Executive Committee Meeting
5 Accra, Ghana
6 11 July 2011

7

8 Agenda Item No. 4: Cities Alliance Partnership Matters

9 Support Document: Cities Alliance Charter 2011

Background:

The Cities Alliance Charter was approved by the Consultative Group in November 2011 at the Mexico City CG Meeting. The World Bank Legal Department made some minor edits to the document and the EXCO reviewed and cleared the Charter at the March 2011 EXCO meeting in Washington, DC.

The World Bank Legal Department is finalizing the language in Section VI – General.

10

Recommended Action:

For information

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Cities Alliance

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CHARTER

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DRAFT

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11 March 2011

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37 I. Introduction

38 **The Cities Alliance is a global partnership for urban poverty reduction** 39 **and the promotion of the role of cities in sustainable development.** 40

41 1 In the last 20 years, the world urban population has grown from 2.25 billion to 3.5 billion. Most
42 of this growth has occurred in developing countries. It is expected that it will reach 4.9 billion in 2030.
43 At the same time, the annual urban growth rate is declining in many parts of the world.

44 2 Local governments have grown in importance in recent decades and their role is widely
45 recognised, but their political, institutional and financial resources and powers do not match their
46 mandate. Urban governance and decentralisation have progressed in all regions of the world to the
47 benefit of urban dwellers. However, local government capacities remain underdeveloped in many
48 countries, particularly in secondary cities, and there is enormous room for south-south and city-to-city
49 cooperation for urban development.

50 3 Economically and culturally, cities are effective engines of growth and innovation allowing
51 people to access a variety of job opportunities and personal development at large scale. However,
52 especially in low income countries, many of these jobs are provided by the informal sector and decent
53 work remains a challenge in many cities.

54 4 Cities, large and small, are also places of growing inequalities and sometimes of squalid poverty,
55 in terms of both income poverty and inadequate access to shelter and basic services. But their
56 neighbourhoods are often marked by human solidarities, community networks and citizen initiatives.

57 5 By their density, compact cities offer the potential for sustainable development and the efficient
58 use of natural resources. But most cities witness harmful environmental pollution hazards. They are a
59 major contributor to and victim of climate change and related disasters. Sustainable urban development
60 strategies should be matched by adequate investment and resources.

61 6 The Cities Alliance is a global partnership for urban poverty reduction and the promotion of the
62 role of cities in sustainable development. It aims at supporting cities, local and national governments
63 and their partners¹ in the developing world in addressing the above challenges to capture the gains of
64 urbanisation and taking advantage of the above opportunities, for the benefit of their citizens.

65

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

66 II. Cities Alliance Objectives

67

68 7 Cities Alliance is governed by three over-arching objectives:

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

73 8 The Cities Alliance is primarily a vehicle for partnership, seeking to improve the quality and
74 coherence of support being provided to city and national governments in the developing world, as well
75 as the quality of members' own urban programmes. To this end, the Cities Alliance will not develop
76 separate implementation capacity, but work through the existing capacity of its members, as well as
77 other partners, to promote the vision of '**Sustainable Cities without Slums**'. To achieve this vision, the
78 Cities Alliance will promote new partnerships between local and national government, slum dwellers,
79 private foundations, the private sector, NGOs and other partners.

80 9 The Cities Alliance prioritises support to cities, local authorities, associations of local authorities
81 and/or national governments that are committed to:

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

87 III. Cities Alliance Activities

88

89 10 Support provided by the Cities Alliance falls within the following broad categories:

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

93

94 11 Within these broad categories, Cities Alliance members and partners are able to respond to a
95 range of developmental challenges, which are identified as priorities by the city or national government,
96 slum dwellers, and other members or partners.

97

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

102 12 Cities Alliance country-specific activities are limited to those countries listed in the OECD
103 Development Assistance Committee's list of Aid Recipients², as amended (Developing Countries). Any
104 city, national association of cities, or national government with their partners can approach the Cities
105 Alliance for support, either through one or more members of the Cities Alliance, or through the
106 Secretariat, which will attempt to identify appropriate member(s) to provide such support. Cities
107 Alliance members may also apply for support. Cities Alliance will make specific efforts to increase the
108 focus on least developed countries and secondary cities and mobilise the expertise of middle income
109 countries. Programmes of assistance by the Cities Alliance strive to reflect the priorities of the city and
110 its residents, local government association and national government.

111 13 In general, the Cities Alliance offers support to meet its objectives, including the following types
112 of activities, subject to the availability of resources:

113 *a) Country Programmes*

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

115 *b) Catalytic Projects*

116 Shorter-term activities designed to catalyse change;

117 *c) Knowledge activities*

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

120 *d) Communication support, and advocacy*

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

124 **IV. Membership of Cities Alliance**

125

126 14 Membership of the Cities Alliance is open to representatives of (i) national governments; (ii)
127 multi-lateral organisations; (iii) the global organisations of local authorities, UCLG and Metropolis; (iv)
128 international networks of organisations engaged in urban development; and (v) other partners as
129 described below.

130

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

131 15 There are two categories of membership (a.) Full Members and (b.) Associate Members, both of
132 which are entitled to participate in the Consultative Group meeting of the Cities Alliance.

133
134 16 Consultative Group (CG) Full Members include representatives of (i) national governments; (ii)
135 multi-lateral organisations; (iii) the global organisations of local authorities; UCLG and Metropolis, and
136 (iv) international networks of organisations.

137 17 CG Associate Members may include representatives of (i) foundations, (ii) NGOs, (iii) private
138 companies, (iv) local authorities and (v) other partners as defined by the CG. They are entitled to
139 participate in the CG session without participation in the decision-making process.

140 18 Others interested in Cities Alliance activities may be invited by the CG Co-Chairs to attend
141 specific CG sessions as Observers and to participate in specific Policy Advisory Forum sessions. Observers
142 are non-decision making and do not need to pay annual membership fees.

143 19 The current membership of the Consultative Group (as of 30 June 2010) is listed as **Annex I**.

144 20 Prospective Full Members and Associate Members of the Cities Alliance can apply for
145 membership of the Consultative Group, provided they (i) are sponsored by 3 (three) existing Full
146 Members of the Consultative Group (ii) endorse the Cities Alliance Charter and (iii) undertake to meet
147 their financial contributions to the Cities Alliance Trust Fund.

148 21 Their applications are reviewed by the Executive Committee for recommendation to the
149 Consultative Group. With the exception of UCLG and Metropolis, all members are required to make a
150 financial contribution to the core funds of the Cities Alliance, according to the Schedule of Annual
151 Membership Fees listed as **Annex II**. The CG, upon recommendation by the EXCO, may decide upon
152 other exceptions to the rule.

153 22 Members that fail to make their agreed financial contribution for two consecutive financial
154 years will no longer be members of the Consultative Group, and they will be notified by the EXCO.

155 **V. Governance of the Cities Alliance**

156

157 21 The Cities Alliance is composed of four structures:

158 a) The Consultative Group (CG);

159 b) The Executive Committee (EXCO);

160 c) The Policy Advisory Forum (PAF); and

161 d) The Secretariat.

162

163 a) The Consultative Group

164

165 22 The Consultative Group comprises Full Members and Associate Members of the Cities Alliance,
166 and is the primary decision-making body of the organisation.

167 23 The Consultative Group meets at least once a year. Two thirds of the membership constitutes a
168 quorum of the Consultative Group. Decisions in the Consultative Group are taken by Full Members by
169 consensus. Consensus means no objection to agreement, but does not preclude the ability to dissent on
170 the record without objecting. It has the authority to form Working Groups.

171 24 The Consultative Group is co-Chaired by the founding members of the Cities Alliance: the World
172 Bank³ and UN-Habitat.⁴

173 25 Primary Roles and Responsibilities of the Consultative Group:

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

187

188 b) The Executive Committee

189

190 26 The CG appoints the Executive Committee. The Executive Committee is accountable to the
191 Consultative Group in all matters.

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

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

192

193 27 The Executive Committee comprises representatives from a combination of Permanent
194 Members, Rotating Members and an Ex-Officio Member and a potential Observer, *viz.*,

195 **a) Permanent Members:**

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

197 **b) Rotating Members:**

198 a. One national government from Developing Countries

199 b. Two national governments from non-Developing Countries

200 c. Two other Full Members or Associate Members

201 **c) Ex-Officio Member**

202 a. Manager of the Secretariat

203 28 The Chairperson of the EXCO may invite the Chairperson of the PAF to participate in the
204 discussion of the EXCO as an Observer.

205 29 Permanent Members and Rotating Members are decision making and the Ex-Officio Member
206 and Observer are non-decision making.

207 30 Rotating Members are selected by the CG, for three-year terms, appointed on a staggered basis.
208 The UCLG representative acts as the Chairperson of the Executive Committee. If, for any reason, the
209 UCLG representative is not available, the EXCO members will elect a Chairperson for that meeting.

210 31 The EXCO's primary roles and responsibilities are to:

211 a) Provide guidance to the Secretariat on matters of policy and strategy;

212 b) Approve the Business Plan, annual work plan and budget of the Cities Alliance, including
213 that of the Secretariat and the Policy Advisory Forum, subject to ratification by the CG;

214 c) Monitor progress and make recommendations to the CG;

215 d) Participate in the selection of the Manager of the Secretariat⁵;

216 e) Approve any operating manuals produced by the Secretariat;

217 f) Select countries for country programmes;

218 g) Nominate the Chairperson of the Policy Advisory Forum for CG appointment;

219 h) Respond to requests from the CG; and

220 i) Consider applications for membership and makes recommendation to the CG.

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

221 32 The Executive Committee meets as often as necessary, but no less than twice per year. It has the
222 authority to form Working Groups. One of the EXCO meetings precedes the CG meeting.

223 **c. The Policy Advisory Forum**

224
225 33 The Policy Advisory Forum is the Cities Alliance platform for public discussion, debate and
226 knowledge sharing of activities that improve awareness of relevant policies or activities, changing
227 policies and behaviour.

228 34 The Forum promotes dialogue between CG members and invited partners on key policy and
229 strategic issues of city and urban development, and advises the Cities Alliance on appropriate policies
230 and strategies.

231 35 The PAF has a Chairperson for a period of three years. In formulating the work programme and
232 activities of the PAF, the Chairperson will work in close consultation with the Chairperson of the EXCO,
233 the Co-Chairs of the Consultative Group and the Manager of the Secretariat.

234 36 The PAF provides a platform for Full Members and Associate Members of the Consultative
235 Group to engage in policy dialogue with other parties, including but not limited to representatives of:

236 a) Country partners of the Cities Alliance, particularly cities and local authorities;

237 b) Universities and training institutions;

238 c) Non-governmental organisations;

239 d) Community-based organisations;

240 e) Foundations; and

241 f) Private sector organisations.

242 37 The main PAF meeting is held in conjunction with the annual meeting of the Consultative Group.
243 In between meetings, the PAF can also be convened, in coordination with the Secretariat and the
244 Chairperson of the PAF, at a country or city level.

245 38 The PAF Chairperson provides reports to the Chairperson of the EXCO, the Co-Chairs of the
246 Consultative Group and the Manager of the Secretariat.

247 d) The Secretariat

248

249 39 The Secretariat carries out the Cities Alliance Work Programme and manages its day-to-day
250 operations. A primary function of the Secretariat is to actively facilitate the participation of members in
251 the activities of the organisation. It also provides appropriate services to its Members, and generally
252 facilitates the work of the partnership.

253 40 The Secretariat is administered by and within the World Bank, and the World Bank serves as
254 trustee of Cities Alliance financial resources. The Cities Alliance Secretariat Manager and staff are part of
255 the Finance, Economics & Urban Development Department of the Sustainable Development Network,
256 Vice Presidency of the World Bank.

257 41 Cities Alliance Secretariat staff are World Bank staff members recruited and managed according
258 to World Bank policies and procedures. The Secretariat may accept staff members on secondment from
259 other organisations and through junior professional and similar programmes.

260

261

262 42 Under the overall direction of the Manager, the Secretariat has the following roles and
263 responsibilities:

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

276

277

278 **VI. General**

279

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

283

284 2. [describe adoption and amendment procedure] WB Legal Counsel to provide
285 language....such as: The EXCO will draft and provide the recommendation to the CG. The
286 CG adoption shall be by consensus. The same process shall be applied to amendments.

287

288 3. WB Legal Counsel to provide language to capture No-objection decisions making process

289

290

291 **Annex I:**

292 **Full Members of the Consultative Group (30 June 2010)**

293

294 In Alphabetical Order, by type of member:

295

296 National governments – Developing Countries

297 Brazil

298 Chile

299 Ethiopia

300 Nigeria

301 Philippines

302 South Africa

303 National governments – non-Developing Countries

304 Australia

305 France

306 Germany

307 Italy

308 Netherlands

309 Norway

310 Spain

311 Sweden

312 United Kingdom

313 United States of America

314 Multi-lateral organisations

315 European Commission

316 United Nations Environment Programme (UNEP)

317 UN-Habitat⁶

318 World Bank⁷

319 Global organisations of local authorities

320 Metropolis

321 United Cities and Local Governments (UCLG)

322 International networks of organisations

323 Habitat for Humanity International

324 Slum/Shack Dwellers International

⁶ Founding member

⁷ Founding member

325 **Associate Members of the Consultative Group (30 June 2010)**
326 None
327

328 **Annex II: Schedule of Minimum Annual Membership Fees**

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

331	Multilateral Organisations:	\$250,000 ⁸
332	National Governments (non-Developing Countries):	\$250,000
333		
334	National Governments (Developing Countries):	\$ 50,000
335		
336	Global Organisations of Local Authorities, UCLG and Metropolis	N/A
337		
338	International Non-Governmental Organizations and Networks:	\$ 50,000
339		
340	Foundations, Private Sector and Universities:	\$ 250,000
341	Other Partners (as defined by the CG)	\$ TBA

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

Independent Evaluation 2011 Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 4: Cities Alliance Partnership Matters

Background:

The World Bank's Development Grant Facility (DGF) division requires an independent evaluation be undertaken for each of its recipients every 3 to 5 years.

COWI A/S was selected through a competitive process to undertake the 2011 Independent Evaluation of the Cities Alliance.

A representative from COWI A/S, Mr. Anders Richelsen will provide a verbal update on the Methodology and Timeline of the evaluation.

Recommended Action:

For information

Secretariat Staffing Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 4: Cities Alliance Partnership Matters

Support Document: Secretariat Staffing Update

Background:

The Secretariat is currently going through a process of gradual re-staffing, due to a number of factors. These include:

1. **Completed Secondments.** At the end of June, 2011, Gunter Meinert returned to Germany, after over four very eventful and influential years with the Secretariat;
2. **Young Professionals:** The two staff supported by Norway (Hilde Refstie and Ricardo Jimenez) have returned to their home countries, after two successful years;
3. **Developmental Assignment.** Andrea Merrick is on development assignment elsewhere in the Bank;
4. **Unfilled secondments:** We still have a vacant post due to be filled by UN-Habitat, since March 2010;
5. **Forthcoming secondments:** We look forward to the secondment from French Ministry of Foreign Affairs, expected around September 2011;
6. **New Secondments:** We welcome the recent arrival of Rene Hohmann, seconded by GIZ.
7. **VOICE Secondee:** The Secretariat has hosted Issene Mouhoro of the Government of Chad for six months, to August 2011.

Recommended Action:

For information and discussion.

Consultative Group Meeting, Maputo 2011
Information Sheet
Executive Committee Meeting
Accra, Ghana
11 July 2011

Agenda Item No. 4: Cities Alliance Partnership Matters

Background:

The next Consultative Group meeting will be held in Maputo, Mozambique in strong partnership with the Maputo City Council.

The suggested dates are 31 October – 4 November 2011.

Meetings will include an EXCO, a Site Visit, a Policy Advisory Forum, and the Consultative Group meeting.

Recommended Action:

Confirm availability for dates.

Site Visit
Information Sheet
Executive Committee Meeting
Accra, Ghana
12 July 2011

Agenda Item No. 4: Cities Alliance Partnership Matters

Support Document: Site Visit Programme – 12 July 2011

Background:

The Ghana LSC programme (Bill and Melinda Gates Foundation Grant) will be presented to the EXCO and invited guests on Tuesday morning, 12 July 2011.

The purpose of the morning session is for the EXCO to gain a deeper understanding of the Cities Alliance Ghana programme – the partners involved, planned activities, complementary initiatives, and how the programme will support the national government, local governments and urban poor communities to develop sustainable, inclusive cities.

The presentation will be followed by a walking tour of Old Fadama, a large, informal settlement of 80,000 inhabitants, in the central part of Accra.

In the afternoon, EXCO members will meet with the Mayor of Accra, the Hon. Alfred Okoe Vanderpuije, who will also take the members on a bus tour of “his” Accra. The Mayor is very interested in attracting investment to his city.

Recommended Action:

For questions and information.

DRAFT

Executive Committee Meeting, 11-13 July 2011

**GREATER ACCRA METROPOLITAN AREA (GAMA)
 SITE VISITS**

TUESDAY 12 JULY 2011		
8h15	Depart for GDC House	Venue: Hotel Lobby
09h00 – 11h30	*Ghana Country Program Presentation and Discussion <ul style="list-style-type: none"> ➤ Secretariat Overview ➤ Core Programme Activities: UDU, ILGS, People's Dialogue/Federation, KNUST ➤ Aligned Investments/Initiatives: GIZ, World Bank, AFD, UN-Habitat, MCI, HFHI 	Venue: German Development Cooperation House
12h00 – 13h00	Site Visits <ul style="list-style-type: none"> ➤ Old Fadama Walking Tour (led by People's Dialogue/Federation) 	
13h00 – 14h00	Lunch – venue TBC	
14h30 – 17h00	Site Visits continued for Cities Alliance EXCO Members <ul style="list-style-type: none"> ➤ Visit/Discussion with AMA Mayor & City Officials ➤ Bus tour of Accra (led by Mayor of AMA) 	
17h00	Day Wrap up and return to La Palm Royal Beach Hotel	

***Presentation of the Ghana Country Partnership Programme
“Land, Services and Citizenship for the Urban Poor”
to the Executive Committee of the Cities Alliance**

Date: Tuesday, 12 July 2011

Time: 9:00 am – 11:30 am

Venue: German Development Cooperation House or La Palm Royal Hotel

Purpose: The purpose of this session is for the Executive Committee of the Cities Alliance to gain a deeper understanding of the Cities Alliance Ghana programme – the partners involved, planned activities, complementary initiatives, and how the programme will support the national government, local governments and urban poor communities to develop sustainable, inclusive cities.

Presentations of Core Programme Activities:

1. What are the planned activities to be financed by Cities Alliance?
2. How do these activities respond to Ghana’s urban challenges?
3. What have you learned during the programme design process?

Presentations of Aligned Investments & Initiatives:

1. Briefly describe planned investment/initiative and describe how it aligns with and stands to benefit from the framework created by CA programme.

Agenda

09h00 – 09h05	Welcome Billy Cobbett
09h05 – 09h15	Overview of Programme Andrea Zeman
Core Programme Activities	
9:15 – 9:25	Developing a National Urban Agenda UDU (Levina Owusu) and GIZ (Sebastian Sunderhaus)
9:25 – 9:35	Municipal Training & Capacity Building ILGS (Esther Ofei-Aboagye/Ohene Sarfoh)
9:35 – 9:45	Community Empowerment Peoples Dialogue (Farouk Braimah)
9:45 – 9:55	State of the Cities Report KNUST (Imoro Braimah)
9:55 – 10:00	Advocacy and Awareness Raising Cemil Alyanak
10:00 – 10:15	Q&A
Aligned Investments & Initiatives	

10:15 – 10:25	Back-Up Initiative GIZ (Tanja Feldmann) and ILGS (Esther Ofei-Aboagye)
10:25 – 10:35	GAMA Water & Sanitation Project World Bank (Ventura Bengoachea)
10:35 – 10:40	Ghana Urban Management Pilot Project AFD (Augustine Atiah)
10:40 – 10:55	Neighborhood Upgrading Facility UN-HABITAT, MCI & HFHI
10:55 – 11:15	Q&A

DRAFT



Special Session of the Ghana Urban Forum, 13 July 2011
Information Sheet
Executive Committee Meeting
Accra, Ghana
13 July 2011

Agenda Item No. 4: Cities Alliance Partnership Matters

Support Document: Ghana Urban Forum Programme, 13 July 2011

Background:

The Special Session of the Ghana Urban Forum, 13 July 2011, is the first Cities Alliance Policy Advisory Forum.

Co-hosted by the Ministry of Local Government and Rural Development (MLGRD), the Special Session marks the transfer of responsibility for the Forum from the Institute of Local Government Studies (ILGS), a training arm within the Ministry to the Urban Development Unit (UDU), which is being supported by GIZ as well as the Cities Alliance and is the formal unit responsible for Urban within the Ministry.

The meetings will be opened by Professor Naa Nabila, Member of Council of State and Chairman, with the Hon. Samuel Ofose-Ampofo, Ministry of Local Government and Rural Development providing a welcome address.

The Keynote address on planning for an urban future shall be given by Mr. Paul-Victor Obeng, Chair, National Development Planning Commission.

Clare Short will facilitate the roundtable debate on local government and community responses to urbanization in Ghana and in Africa.

As of 1 July 2011

Over two hundred urban practitioners and participants have been invited by the Ministry and the meeting promises to be very interesting and lively.

Probing questions by CA members are encouraged and welcomed!

Recommended Action:

For questions and information

DRAFT

As of 5 July 2011

MINISTRY OF LOCAL
GOVERNMENT AND RURAL
DEVELOPMENT



Cities Alliance
Cities Without Slums

REPUBLIC OF GHANA

Special Session of the Ghana Urban Forum “Planning for Ghana’s Urban Future”

*Venue: La Palm Royal Beach Hotel

WEDNESDAY 13 JULY 2011		
08h30 -09h00	Registration	Venue: La Palm Royal Beach Hotel, Adaye Kesie Room
09h00 – 09h05	Introduction of Chairman and other Dignitaries <i>Dr. Esther Offei – Aboagye, Director, Institute of Local Government Studies</i>	
09h05 – 09h15	Chairman’s Opening Remarks <i>Professor Naa Nabila, Member of Council of State and Chairman</i>	
09h15 – 09h35	Welcome Address <i>Honourable Samuel Ofose-Ampofo, Minister of Local Government and Rural Development</i>	
09h35 - 10h25	Statements <i>Mr. Jean-Pierre Elong Mbassi, United Cities and Local Government-Africa</i> <i>Mr. William Cobbett, Manager, Cities Alliance</i> <i>UN Habitat Representative</i> <i>Honourable Minister Environment, Science and Technology</i> <i>Honourable Minister for Water Resource, Works and Housing</i>	
10h25 – 10h50	Keynote Address “Planning for Ghana’s Urban Future” <i>Mr. Paul-Victor Obeng, Chair, National Development Planning Commission</i>	

10h50 – 11h10	Brief Remarks <i>Ms Clare Short, Policy Advisor for Cities Alliance and Professor Naa Nabila, Member of Council of State and Chairman</i>	
11h10 – 11h30	Coffee/Tea/Light Snack	
11h15-13h30	Roundtable Session: <i>Presentations and Debate: Local government and community responses to urbanization in Ghana and in Africa</i> <i>Session Facilitators: Ms. Clare Short</i> Roundtable Participants <i>Hon. Alfred Okoe Vanderpuije, Mayor of Accra</i> <i>Hon. Nubyl Kakra Van-Lare, Mayor of Adenta</i> <i>Mr. Farouk Braimah, People's Dialogue/SDI</i> <i>Ms. Juliana Brown-Afari, Director of StreetNet (tbc)</i> <i>Hon. Simone Compaore, Mayor, Ouagadougou, BF</i> <i>Ms. Sarah Ibanda, ACTogether, Uganda</i> Questions and Answers	
13h30 – 13h40	The Way Forward <i>Nana Oduro Kwateng, Chief Director, Ministry of Local Government and Rural Development</i>	
13h40 – 14h00	Closing Remarks <i>Chairman</i>	
14h00-15h30	LUNCH	Venue: TBC

***La Palm Royal Beach Hotel Address:**

No. 1 La Bypass, PO Box OS 3000, Accra, GHANA, Tel: 233 233 217 71700

Cities Alliance

Cities Without Slums

Ghana Urban Forum Invitation List Information Sheet
 Executive Committee Meeting
 Accra, Ghana
 13-Jul-2011

Support Document: Invitation List

Background:

Invitation list for the Special Session of the Ghana Urban Forum

Recommended Action:

For your information

CITIES ALLIANCE MEETINGS
 11-13 July 2011, Accra, Ghana
 Invitation List Ghana Urban Forum

No	Country	Organisation	Mr/ Ms	First Name	Last Name	Title	Affiliation	e-mail
1	CHILE		Mr.	Pablo	Carrasco	Regional Secretary for Housing and Urban Development, Atacama	Ministry of Housing and Urban Development	pcarrascom@minvu.cl , ltorres@minvu.cl
2	GERMANY		Ms.	Alexandra	Linden	Division 313, Water, Energy and Urban Development	Federal Ministry for Economic Cooperation and Development (BMZ)	alexandra.linden@bmz.bund.de
3	GERMANY						German Embassy, Accra	
4	NORWAY		Mr.	Erik	Berg	Senior Advisor, Section for Environment and Sustainable Development, Department for UN, Peace and Humanitarian Affairs	Royal Ministry of Foreign Affairs	erik.berg@mfa.no
5	SOUTH AFRICA		Mr.	Martin	Maphisa	Deputy-Director General	National Department of Housing	Martin.Maphisa@dhs.gov.za
6	UCLG (interim Chair)		Mr.	Clarence	Anthony	Interim Secretary General	United Cities and Local Governments	c.anthony@cities-localgovernments.org , e.silva@cities-localgovernments.org
7	UCLG		Ms.	Emilia	Saiz	Director, Institutional Relations	United Cities and Local Governments	e.saiz@cities-localgovernments.org

8	UCLG-A	Mr.	Jean-Pierre	Elong Mbassi	Secretary General	United Cities and Local Governments Africa	pdm@pdm-net.org , elongmbassi@yahoo.fr , elongbasse@uclgfrica.org , t.toyinoke@uclgamembers.info
9	UN-HABITAT	Mr.	Alioune	Badiane	Director, Regional Office for Africa and Arab States	UN-Habitat	Alioune.Badiane@unhabitat.org , Anastasia.Mbova@unhabitat.org
10	UN-HABITAT	Mr.	Doubou	Mbye	Sr. Human Settlements Advisor & Manager, Participatory Slum Upgrading Programme	UN-Habitat	doudou.mbye@unhabitat.org
11	WORLD BANK	Ms.	Zoubida	Allaoua	Director, Finance, Economics and Urban	The World Bank	zallaoua@worldbank.org , skennedy@worldbank.org
12	WORLD BANK	Mr.	Junaid	Ahmad	Sector Manager, Urban and Water, Africa Region	The World Bank	Jahmad@worldbank.org , Liacono@worldbank.org
13	CITIES ALLIANCE SECRETARIAT	Mr.	William	Cobbett	Manager	Cities Alliance Secretariat	wcobbett@citiesalliance.org
14	PAF	Ms.	Clare	Short	Chairperson, PAF		shortclare@gmail.com
15	CITIES ALLIANCE SECRETARIAT	Ms.	Susanna	Henderson	Sr. Programme Assistant	Cities Alliance Secretariat	shenderson@citiesalliance.org
16	CITIES ALLIANCE SECRETARIAT	Mr.	Mamadou	Diagne	West and Central Africa Regional Advisor	Cities Alliance Secretariat	
17	CITIES ALLIANCE SECRETARIAT	Mr.	Madhavan	Balachandran	Financial Management Specialist	Cities Alliance Secretariat	mbalachandran@worldbank.org
18	CITIES ALLIANCE SECRETARIAT	Mr.	Kevin	Milroy	Sr. Operations Officer/Deputy Manager	Cities Alliance Secretariat	kmlroy@citiesalliance.org
19	CITIES ALLIANCE SECRETARIAT	Ms.	Andrea	Zeman	Urban Specialist	Cities Alliance Secretariat	azeman@citiesalliance.org
20	SPOUSE	Ms.	Mary	Milroy			
21	COWI	Mr.	Anders	Richelsen	Senior Project Manager	COWI A/S, Dept. Evaluation, Communication and Organisation	ARI@cowi.dk
22	UN-HABITAT	Ms.	Barbara	Hewson	Chief, Urban Finance Branch	UN-Habitat	barbara.hewson@unhabitat.org , hewson55@aol.com
23	GERMANY	Ms.	Tanja	Feldmann	Urban Development Policy Advice	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	Tanja.Feldmann@giz.de
24	HFHI	Ms.	Elizabeth	Blake	SVP Advocacy, Gov't Affairs & General Counsel	Habitat for Humanity International	eblake@habitat.org
25	HFHI	Mr.	Steve	Weir	Vice President, Global Program Development & Support	Habitat for Humanity International	SWeir@habitat.org , qle@habitat.org
26	UN-HABITAT	Ms.	Elizabeth	Case	Consultant	UN-Habitat	case_liz@yahoo.com
27	EARTH INSTITUTE	Ms.	Susan	Blaustein	Co-Director, Millennium Cities Initiative	The Earth Institute at Columbia University	sblaustein@ei.columbia.edu
28	BILL AND MELINDA GATES FOUNDATION	Ms.	Melanie	Walker	Senior Program Officer, Global Development	Bill and Melinda Gates Foundation	melanie_walker@gatesfoundation.org , ngoc.dai@gatesfoundation.org
29	BILL AND MELINDA GATES FOUNDATION	Mr.	Sean	Green	Global Development	Bill and Melinda Gates Foundation	Sean.Green@gatesfoundation.org
30	CITIES ALLIANCE	Mr.	Sam	Anyang-Kusi	Consultant	Cities Alliance Secretariat	sam44kusi@yahoo.com
31	CITIES ALLIANCE	Mr.	Cemil	Giray Alyanak	Consultant	Cities Alliance Secretariat	cemil.alyanak@gmail.com
32	HFHI	Mr.	Addison	Lanier III	Student	Dartmouth College	Addison.Lanier@tuck.dartmouth.edu
33	HFHI	Mr.	Philip	Lacombe	Student	Dartmouth College	Philip.W.Lacombe@tuck.dartmouth.edu
34	MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT	Hon.	Samuel	Ofosu-Ampofo	Minister	Ministry of Local Government and Rural Development	
35	NATIONAL DEVELOPMENT PLANNING COMMISSION	Mr.	Paul-Victor	Obeng	Chair	National Development Planning Commission	
36	MAYOR OF ACCRA	Mr.	Alfred	Okoe Vanderpujje	Mayor	Accra Metropolitan Area	
37	MAYOR OF ADENTA	Ms.	Nubyl	Kakra Van-Lare	Mayor	Adenta	
38	PEOPLE'S DIALOGUE	Mr.	Farouk	Braimah	Director	Streetnet	
39	STREETNET	Ms.	Juliana	Brown-Afari			

40	OUAGADOUGOU	Mr.	Simone	Compaore	Mayor	Ouagadougou	simonecompaore@yahoo.fr, lezerbo@yahoo.fr,
41	ACTogether	Ms.	Sarah	Ibanda	Executive Director	ACTogether	sarahsaban@gmail.com,
42	INSTITUTE OF LOCAL GOVERNMENT STUDIES	Dr.	Esther	Offei - Aboagyie	Director	Institute of Local Government Studies	
43	INSTITUTE OF LOCAL GOVERNMENT STUDIES	Dr.	Ohene	Sarfoh			
44	MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT	Ms.	Levina	Owusu		Urban Development Unit	
45	MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT	Mr.	Kwadwo	Yeboah		Urban Development Unit	
46	MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT	Dr.	Kwame	Owusu Bonsu	Coordinator	Decentralization Secretariat	
47	GIZ GHANA	Mr.	Sebastian	Sunderhaus			
48	GIZ GHANA	Ms.					
49	HFHI GHANA	Mr.	George				
50	HFHI GHANA	Ms.	Susanna				
50	WB GHANA	Mr.	Ventura	Bengoechea			
52	UN-HABITAT GHANA	Ms.	Abena	Ntori			
51	UN-HABITAT GHANA	Ms.	Victoria	Abankwah			
52	AFD GHANA	Mr.	Augustine	Atiah		Agence Française de Développement (AFD)	ATIAH Augustine <atiaha@afd.fr>
53	AFD GHANA	Mr.	Bruno	Deprince		Agence Française de Développement (AFD)	DEPRINCE Bruno <deprinceb@afd.fr>,
54	AFD GHANA	Ms.	Julia	Boulenouar		Agence Française de Développement (AFD)	BOULENOUAR Julia <boulenouarj@afd.fr>,
55	AFD GHANA	Mr.	Bruno	Leclerc		Agence Française de Développement (AFD)	LECLERC Bruno <leclercb@afd.fr>
56	CHF INTERNATIONAL	Mr.	Ishmael			CHF INTERNATIONAL	jadams@ghana.chfinternational.org
57	CHF INTERNATIONAL	Ms.	Helina			CHF INTERNATIONAL	hmeri@chfinternational.org
58	KNUST	Dr.	Imoro	Braimah		UNIVERSITY OF CAPE TOWN	<ibraimah2002@yahoo.com>, "Ntombini Marrengane" <CN.Marrengane@uct.ac.za>
59					Chief Director	Ministry of Environment, Science and Technology	
60					Chief Director	Ministry of Water Resources, Works and Housing	
61					Chief Director	Ministry of Women and Children's Affairs	
62					Chief Director	Ministry of Information	
63					Chief Director	Ministry of Communications	
64					Chief Director	Ministry of Roads and Highways	
65					Chief Director	Ministry of Tourism	
66					Chief Director	Ministry of Health	
67					Chief Director	Ministry of Education	
68					Chief Director	Ministry of Employment and Social Welfare	
69					Coordinating Director	Local Government Service	
70					Chief Director	Ministry of Trade and Industry	
71					Chief Director	Ministry of Finance and Economic Planning	
72					Chief Director	National Development Planning Commission (2)	
73					Chief Director	Ministry of Energy	
74					Chief Director	Ministry of Youth and Sports	
75					Chief Director	Ministry of Interior	
76					Chief Director	Ministry of Defence	
77					Chief Director	Ministry of Foreign Affairs	
78					Chief Director	Ministry of Transport	
79					Chief Director	Ministry of Food and Agriculture	
80					Chief Director	Ministry of Lands and Natural Resources	
81					Chief Director	National Communications Authority	
82					Secretary General	NALAG	
83					President	NALAG	
84					Chief Director	Greater Accra Regional Coordinating Council	

85					Team Leader	GIZ/SfDR	
86					Team Advisor	GIZ/SfDR	
67					Head of Delegation	European Union, Accra	
88		Prof.	Paul	Yankson		University of Ghana, Legon	
89		Dr.	George	Owusu		ISSER, Legon	
90					National Coordinator	NADMO (2)	
91					Ag. Director	Department of Urban Roads	
92					Ag. Director	Town and Country Planning Department	
93					Executive Director	Environmental Protection Agency	
94					Director	Centre for Remote Sensing and Geographic Information System, Legon	
95					President	Ghana Real Estate Developers Association	
96					President	Regional House of Chiefs (2)	
97					The Regional Town Planning Officer		
98					Regional Director	Health Services	
99					The Regional Economic Planning Officer		
100					The Regional Engineer, PWD		
101					The Regional Director of Education		
102					The Regional Manager, GWCL		
103					Manager	CWSA	
104					Regional Engineer	Volta River Authority	
105					Regional Engineer	Electricity Company of Ghana	
106					Regional Manager	AESL	
107					Regional Director	Department of Feeder Roads	
108					Regional Director	Social Welfare Department	
109					Regional Director	PVLMD, Lands Commission	
110					Director	Land Registration Division, Lands Commission	
111					Executive Director	Lands Commission	
112					Administrator	Stool Lands Administration	
113					Regional Director	DUR	
114					The Regional Police Commander		
115					The Regional Prisons Officer		
116					Regional Police Commander	MTTU	
117					Regional Director	Ghana Highway Authority	
118					President	Ghana Bar Association	
119					President	Association of Ghana Industries	
120					Regional Programme Officer	EPA	
121					Chairman	PROTOA	
122					Chairman	GPRTU	
123					Manager	Metro Mass Transit	
124					Representative	GARAGES Association	
125					Regional Manager	Ghana Tourist Board	
126					Representative	Building and Road Contractors Association	
127					Manager	State Housing Company Ltd.	
128					Representative	Office of the Chief Imam	
129					Residing Manager	French Development Agency (AFD)	
130					Country Director	USAID	
131					Representative	Moslem Woman Association	
132					Regional Manager	Ghana Post	
133					Representative	Ghana Hoteliers Association	
134					Regional Manager	VODAFON – National Communication Authority	
135					Regional Manager	MTN	
136					Country Director	World Bank	
137					Representative	Christian Mothers Association	
138					Representative	Ghana Association of Physically Challenged	
139					Programme Manager	UN-HABITAT	
140					President	Christian Council of Ghana (2)	
141					President	Ghana Institute of Planners (2)	
142					President	Ghana Institution of Surveyors (2)	

143					President	Ghana Institute of Architects (2)	
144					President	Ghana Institution of Engineers (2)	
145					Representative	Federation of Slum Dwellers Association (2)	
146					Executive Director	People's Dialogue	
147					Managing Director	GWCL, Head Office	
148					Ag. Executive Director	SIF/UPRP	
149					Executive Director	ISODEC	
150					Executive Director	IDEC	
151					Executive Director	IEA	
152					Executive Director	CEPA	
153					Executive Director	CDD	
154					Executive Director	IMANI FOUNDATION	
155					Metropolitan Development Planning Officer	AMA, Accra	
156					Metropolitan Town Planning Officer,	AMA, Accra	
157					Metropolitan Director	Dept. of Urban Roads, AMA, Accra	
158					Metropolitan Engineer	Waste Management Department, AMA, Accra	
159					Metropolitan Development Planning Officer	Tema Metropolitan Assembly, Tema	
160					Metropolitan Town Planning Officer	Tema Metropolitan Assembly, Tema	
161					Municipal Chief Executive	Ga West Municipal Assembly, Amasama	
162					Municipal Town Planning Officer	Ga West Municipal Assembly, Amasama	
163					Municipal Chief Executive	Ga East Municipal Assembly, Abokobi	
164					Municipal Town Planning Officer	Ga East Municipal Assembly, Abokobi	
165					Hon. Municipal Chief Executive	Ga South Municipal Assembly, Weija	
166					Municipal Town Planning Officer	Ga South Municipal Assembly, Weija	
167					District Chief Executive	Dangbe West District Assembly, Dodowa	
168					District Chief Executive	Dangbe East District Assembly, Ada-Foah	
169					Municipal Chief Executives	New Juaben Municipal Assembly, Koforidua	
170					Regional Economic Planning Officer	RCC, Koforidua	
171					Metro Chief Executive	Cape Coast Metro Assembly, Cape Coast	
172					Metro Chief Executive	Sekondi/Takoradi Metropolitan Assembly, Sekondi	
173					Metro Chief Executive	Kumasi Metropolitan Assembly, Kumasi	
174					Metro Chief Executive	Tamale Metropolitan Assembly, Tamale	
175					Municipal Chief Executive	Ho Municipal Assembly	
176					Municipal Town Planning Officer	Sunyani Municipal Assembly, Sunyani	
177	Mr.	Charles	Boakye		Infrastructure Systems, Accra		
178	Dr.	Oteng	Ababio			University of Ghana, Legon	
179	Dr.	Joseph	Adjei			HFC Bofo Micro Finance, Accra	
180					Director	PRONET, Accra	
181					Director	Centre for National Culture, Accra	
182	Mr.	Alfred	Armah			Comm. & Family Aid	
183	Mr.	Alhassan	Adi Zaari			Nima 441Welfare	
184		Yahya	Adamu			Nima 441Welfare	
185		Babtunde	Tijani			Grassroot Africa	
186		Barbara	Britwum			Y-SEF	
187		Braimah	Abdulai Bukari			Rural-Urban Women Dev't Agency	
188					Regional Manager	Ghana Railways Authority	
189		Enoch K.	Bio			Ga East Traders (Streetnet)	
190	Ms.	Esther	Parden			COLANDEF	
191	Mr.	Franklyn	Glover			Centre for National Culture	
192					Executive Director	Housing the Masses	

193		Mr.	Harold	Esseku		RAPHA Consult	
194		Ms.	Juliana	Afari		Weigo/Streetnet	
195			Kwesi	Attah		Humanitarian Care and Relief Organization	
196			Naa	Adoley Ablade		Queenmothers Association	
197			Naa	Beewa II		Queenmothers Association	
198			Nana	Akosua Gyasiwa II		Queens Association	
199			Nii	Adjei Ansah		Tema Division Council	
200			Nii	Adjetey Kraku III,		Tema Division Council	
201		Rev.	Akushika	Quarshie		Voice of Refugee International Ministry	
202		Prof.	Sam	Afrane		KNUST Kumasi	
203		Prof.	S.E	Owusu		KNUST Kumasi	
204		Ac.	Steve	Akuffo	Member	NDPC	
205			Togbe	Adom Daryi II		Ghana TUC	
206			Vincent	Emefa Sepanu		SEDA	
207					Municipal Chief Executive - Ashiaman		
208					Town Planning Officer - Ashiaman		
209					Municipal Chief Executive - Adenta		
210					Town Planning Officer - Adenta		
211					Municipal Chief Executive - Ledzekuku-Krowor		
212					Town Planning Officer - Ledzekuku-Krowor		
213		Mr.	S.K.	Kufogbe		University of Ghana	
215		Dr.	Olivia	Kwapong		University of Ghana	
216		Ms.	Lydia	Sackey	Chief Budget Officer	AMA (and Millenium Cities Initiative Liaison)	
217		Dr.	Timothy	Oman	Metro Development Planning Officer, AMA		
218		Mr.	Nii	Teiko Tagoe		Ga Mashie Development Agency	
219		Dr.	Alexander	Tweneboaa	Managing Director	TRACOAF Estates (and TAM-SUF Board Member)	tracoaf@aol.com
220		Ms.	Theresa	Tufour		TAM-SUF Board Member	tessytufour@yahoo.com
221			Emmanuel	Asamoah	Secretary	TAMSUF	kwaku2040@yahoo.com
222		Mrs.	Doris Nana	Efua Tettey	Director	Town and Country Planning	
223		Mr.	Mohammed	Abass Awolu	Director	Urban Roads	
224		Mr.	Joe	Malera	Project Manager	MCI Ghana	
225		Ms.	Mansi	Sahu	Architect/Urban designer	MCI Ghana	
226		Ms.	Bethlehem	Ayele	Urban Planner	MCI Ghana	
227		Mr.	Iain	Heggie			Iain.Heggie@NewLineCapital.com
228			Eugene	Ofori-Atta	Chairman of the LFF in Takoradi, STMA CSUF		nfredua@yahoo.com