



PORTFOLIO STATISTICAL SUMMARY

FISCAL YEARS 2000-2011

October 2011

Table of Contents

| | |
|---|-----------|
| REPORT HIGHLIGHTS | 5 |
| 1. INTRODUCTION | 6 |
| 2. PORTFOLIO OVERVIEW | 7 |
| 3. GEOGRAPHICAL DISTRIBUTION OF PROJECTS | 10 |
| 4. GEOGRAPHICAL SCOPE OF PROJECTS | 13 |
| 5. DISTRIBUTION OF COUNTRY-SPECIFIC PROJECTS BY COUNTRY INCOME GROUP | 14 |
| 6. ALLOCATIONS OF GRANT AMOUNT BY COUNTRY INCOME GROUP | 15 |
| 7. FUNDING SOURCES | 16 |
| 8. GRANT SIZE FOR COUNTRY-SPECIFIC PROJECTS | 17 |
| 9. PROJECT SPONSORSHIPS | 18 |
| 10. GRANT RECIPIENTS FOR COUNTRY-SPECIFIC PROJECTS | 21 |
| 11. PROJECT IMPLEMENTING PARTNERS FOR COUNTRY-SPECIFIC PROJECTS | 23 |

List of Tables and Figures

A. Tables

- Table 1 Approved Country-Specific and Regional/Global Projects and Grant Amount
- Table 2 Net Approved Country-Specific and Regional/Global Projects and Grant Amount
- Table 3 List of Countries
- Table 4 Number of Country-Specific Projects with One or More Than One Project Sponsorship
- Table 5 Project Sponsorship for Country-Specific Projects by Country Income Group

B. Figures

- Figure 1 Portfolio Growth (Fiscal Years 2000 – 2011)
- Figure 2 Grant Funding (Fiscal Years 2000 – 2011)
- Figure 3 Overall Geographical Distribution of Projects (Fiscal Years 2000 – 2011)
- Figure 4 Geographical Distribution of Approved Projects in Fiscal Years 2009, 2010 and 2011
- Figure 5 Geographical Scope of Projects (Fiscal Years 2000 – 2011)
- Figure 6 Geographical Scope of Projects in Fiscal Years 2009, 2010 and 2011
- Figure 7 Overall Distribution of Projects by Country Income Group (Fiscal Years 2000 – 2011)
- Figure 8 Distribution of Projects by Country Income Group in Fiscal Years 2009, 2010 and 2011
- Figure 9 Overall Allocation of Grant Amount by Income Country Group (Fiscal Years 2000 – 2011)
- Figure 10 Allocation of Grant Amount by Income Country Group in Fiscal Years 2009, 2010 and 2011
- Figure 11 Ratio of Core and Non-Core Net Funding Allocations for Country-Specific and Regional/Global Projects
- Figure 12 Projects by Grant Size (Fiscal Years 2000 – 2011)
- Figure 13 Projects by Grant Size in Fiscal Years 2009, 2010 and 2011
- Figure 14 Total Project Sponsorship for Country-Specific Projects (Fiscal Years 2000 – 2011)
- Figure 15 Total Number of Country-Specific Projects with One or More Than One Project Sponsorship
- Figure 16 Number of Grant Recipients for Country-Specific Projects (Fiscal Years 2000 – 2011)
- Figure 17 Number of Grant Recipients for Country-Specific Projects in Fiscal Years 2009, 2010 and 2011
- Figure 18 Grant Recipients for Country-Specific Projects (Grant Amount for Fiscal Years 2000 – 2011)
- Figure 19 Member and Non-Member Grant Recipients for Country-Specific Projects
- Figure 20 Project Implementing Partners for Country-Specific Projects (Fiscal Years 2000 – 2011)

Figure 21 Project Implementing Partners for Country-Specific Projects for Fiscal Years 2009, 2010 and 2011

REPORT HIGHLIGHTS

- The project portfolio of the Cities Alliance has grown continuously by an average of about 23 new projects per year; however, there have been significant variations from year to year.
- Within the accumulated portfolio of 288 approved projects, 221 were classified as country-specific projects, covering 74 countries in six regions. Of those six regions, Africa received the largest number of projects (30 per cent). Just over one-third of projects targeted a single city; the remaining nearly two-thirds targeted the country/national level, multi cities, state, global or regional scope.
- Almost half of country-specific projects targeted the Low Income Countries income group: Least Developed Countries (28 per cent) and Other Low Income Countries (22 per cent). Overall, however, total grant disbursements to Middle Income Countries were higher.
- Overall approved grant amounts exceeded US\$73 million for country-specific projects and US\$13 million for regional/global projects. The Cities Alliance Core Fund was by far the largest source of project funding. Large grants (over US\$250,000) were the most frequent with 35 per cent, followed by medium grants (US\$75,000 to US\$250,000) with 34 per cent and small grants (US\$75,000 or less) with 31 per cent.
- Over 70 per cent of country-specific projects were sponsored by more than one Cities Alliance member. Twelve members sponsored more than ten projects, with The World Bank and UN-HABITAT by far the most prominent, with 166 and 88 projects, respectively.
- More projects were sponsored in Lower Middle Income Countries and Territories income group than in any other income groups.
- More than half of all grant agreements were managed by development and international/regional organisations (development co-operations, multi- and bi-lateral organisations). The share of non-members as grant recipients decreased to 19 per cent in fiscal year 2011.
- Overall, there has been a great variety in the types of partners involved in implementing projects.

1. INTRODUCTION

The portfolio review provides a statistical summary overview of Cities Alliance funding activities from fiscal years 2000 – 2011, focusing specifically on country-specific¹ activities and selected data from regional/global² activities under the old grant facility rules, which closed on 31 March 2010. The summary should be viewed as a snapshot of portfolio trends over the last 12 years³ of Alliance funding activities.

The review will present statistical summary analysis in the following areas: (1) Portfolio growth; (2) Number of projects and grant amounts; (3) Geographical distribution and scope of projects; (4) Distribution of projects by country income group; (5) Funding allocations; (6) Project sponsorships; and (7) Project partners.

In this portfolio review, the number of projects has been adjusted to exclude projects with the following categories: (1) projects approved but cancelled during project preparation⁴; and (2) projects with funding activities related to programmatic allocations (see Nos. 4 and 5 below). The grant amount approved has also been adjusted to account for grant amount increases and decreases where applicable.

The following parameters were used in compiling the data analysis:

1. For projects currently **under implementation** (active projects), the total grant amount specified in the signed grant agreement was used.
2. For projects in which the grant agreements are underway or not yet initiated (under project **preparation**), information captured in the approved project proposals was used.
3. For projects that were either **cancelled during project implementation** or **closed**⁵ after being fully implemented, the actual grant amount disbursed was used.
4. Projects that were **cancelled during project preparation** were **not included** in the calculation as no grant agreement had been issued and no disbursements made.
5. Funding related to the following activities was **not included** as they are **programmatic allocations** that would distort the overall statistical analysis in this report:
 - a. Community-Led Infrastructure Finance Facility (CLIFF) activities
 - b. Slum Upgrading Facility (SUF)

¹ These activities are primarily focused on achieving results through country-specific activities. Project proposals typically originate from local authorities, but in all cases must be approved by the government of the recipient country, be sponsored by at least one member of the Cities Alliance, and have established channels to meet investment requirements.

² These activities are designed to raise awareness, increase learning and disseminate good practices. They include establishing knowledge-sharing networks and databases for city development strategies, scaling-up urban upgrading programmes, mainstreaming indicators as well as developing guidelines and other tools that advance collective know-how.

³ Fiscal years 2000 – 2011.

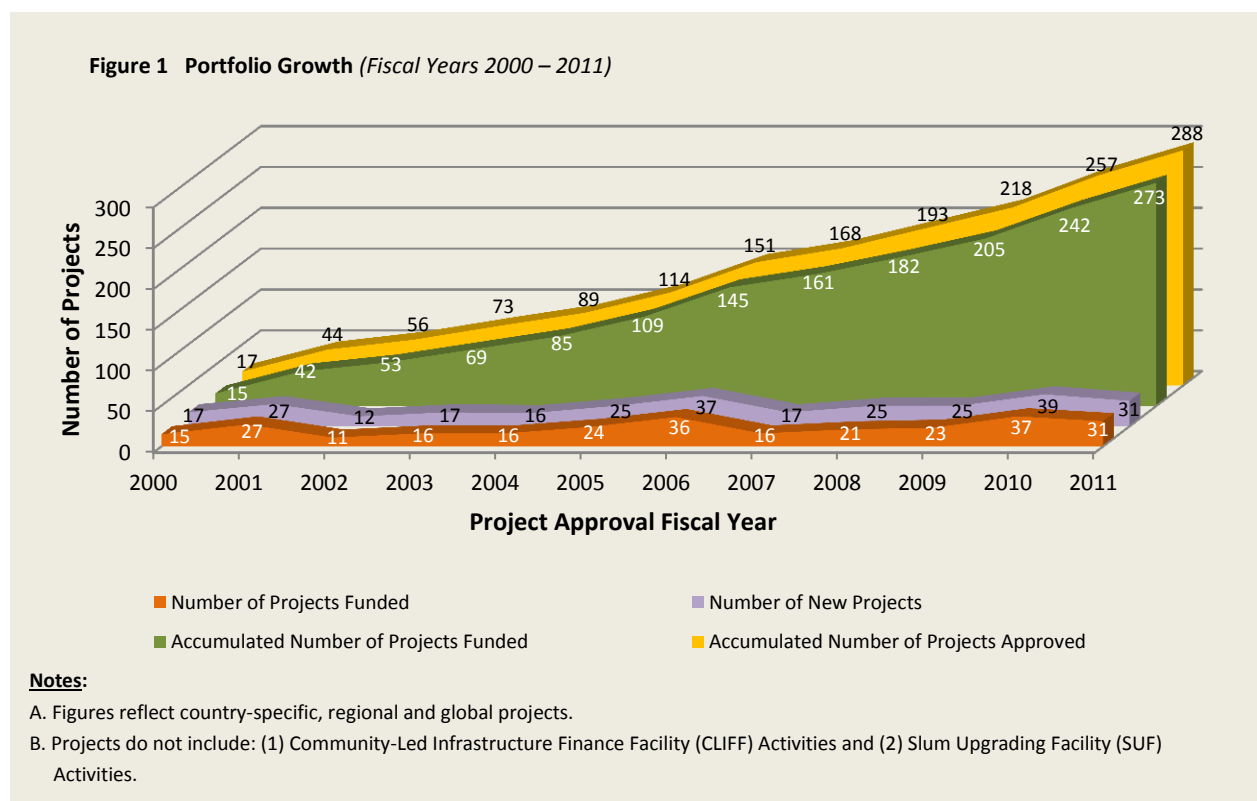
⁴ Projects that were cancelled during project preparation were not included in the calculation as the grant agreement had never been issued and no disbursements had been made.

⁵ Projects implemented and activities completed.

The data used⁶ for the analysis was sourced from the Cities Alliance Secretariat project and proposal databases. Please note that these databases are still under development. Some definitions and classifications of projects have changed over time, which may affect aggregated numbers. As the databases draw on several sources, further verification is currently being undertaken, particularly for projects that are considered to have a regional/global focus.

2. PORTFOLIO OVERVIEW

At the end of fiscal year 2011 (30 June 2011), a total of 288 projects—both the country-specific and regional/global project type—had been approved to receive grant funding. Out of the 288 projects, 15 projects were cancelled during project preparation, resulting in a total of 273 projects (Figure 1). Of the 273 projects, 221 were classified as country-specific projects and 52 as regional/global projects. These projects covered 74 countries in six regions⁷. Further detailed data on country-specific and regional/global projects as well as geographical distributions of the projects will be presented in subsequent sections of this report.

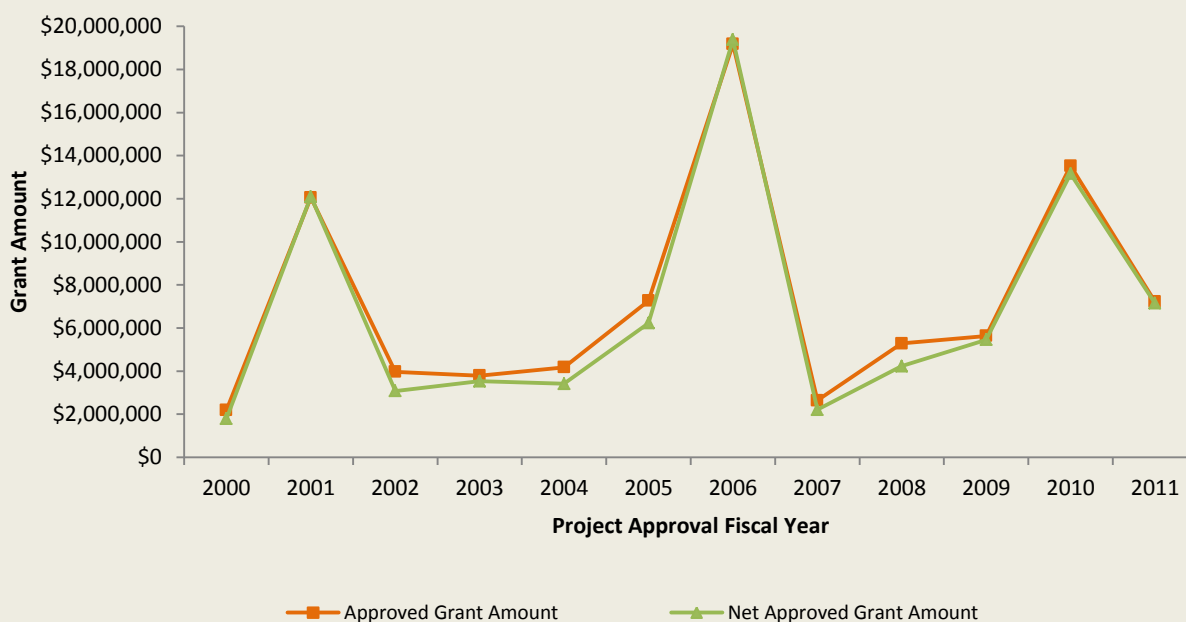


⁶ The data used for this report is available upon request to Cities Alliance Secretariat.

⁷ For country-specific projects, the following regional categories were used: (1) Africa; (2) East Asia Pacific; (3) Europe and Central Asia; (4) Latin America and the Caribbean; (5) Middle East and North Africa; and (6) South Asia.

Figure 2 illustrates the total amount of grant funding per fiscal year. A comparison of approved⁸ grant funding and net⁹ approved grant funding shows that both types of funding remained relatively equal for fiscal years 2000 – 2011. The significant peaks in fiscal years 2001 and 2006 are due to individual slum upgrading projects in Brazil that received more than US\$5 million in funding allocations in each of those years. In fiscal year 2010, more than US\$4 million in funding allocations were approved for the Land, Services and Citizenship (LSC) for the Urban Poor projects in Uganda.

Figure 2 Grant Funding (Fiscal Years 2000 – 2011)



Notes:

- A. Figures reflect country-specific, regional and global projects.
 B. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.

The number of projects and the grant amount for country-specific projects and regional/global projects varied from year to year, as presented in Table 1. Table 2 depicts data on the number of funded projects¹⁰ and the net grant amount approved per fiscal year. As of 30 June 2011, the data shows 15 projects were cancelled during project preparation. Moreover, the data shows the difference between approved and net approved grant amount of US\$ 5,200,328 (an average of US\$ 433,361 per fiscal year).

⁸ Approved grant funding figures are based on approved funds (project proposal approval and grant agreement) and do not reflect the actual disbursements.

⁹ Net approved grant funding figures are based on the actual disbursements.

¹⁰ Include projects under implementation, project canceled during project implementation and closed projects (as of 30 June 2011).

Table 1 Approved Country-Specific and Regional/Global Projects and Grant Amount (Fiscal Years 2000 – 2011)

| Fiscal Year | Country-Specific | | Regional/Global | | Total | |
|--------------|--------------------|------------------------|--------------------|------------------------|--------------------------|------------------------------|
| | Number of Projects | Amount Approved (US\$) | Number of Projects | Amount Approved (US\$) | Total Number of Projects | Total Amount Approved (US\$) |
| 2000 | 11 | \$1,623,000 | 6 | \$565,000 | 17 | \$2,188,000 |
| 2001 | 22 | \$10,204,800 | 5 | \$1,848,500 | 27 | \$12,053,300 |
| 2002 | 11 | \$3,471,850 | 1 | \$500,000 | 12 | \$3,971,850 |
| 2003 | 16 | \$3,779,753 | 1 | \$13,195 | 17 | \$3,792,948 |
| 2004 | 15 | \$3,977,365 | 1 | \$200,000 | 16 | \$4,177,365 |
| 2005 | 18 | \$5,236,017 | 7 | \$2,033,600 | 25 | \$7,269,617 |
| 2006 | 33 | \$17,975,562 | 4 | \$1,202,000 | 37 | \$19,177,562 |
| 2007 | 17 | \$2,643,625 | | | 17 | \$2,643,625 |
| 2008 | 23 | \$5,034,450 | 2 | \$250,000 | 25 | \$5,284,450 |
| 2009 | 16 | \$3,570,309 | 9 | \$2,063,050 | 25 | \$5,633,359 |
| 2010 | 29 | \$10,353,001 | 10 | \$3,169,000 | 39 | \$13,522,001 |
| 2011 | 24 | \$5,632,183 | 7 | \$1,589,639 | 31 | \$7,221,822 |
| Total | 235 | \$73,501,915 | 53 | \$13,433,984 | 288 | \$86,935,899 |

Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
 B. These calculations include projects that were cancelled during preparation or implementation.

Table 2 Net Approved Country-Specific and Regional/Global Projects and Grant Amount (Fiscal Years 2000 – 2011)

| Fiscal Year | Country-Specific | | Regional/Global | | Total Number of Projects | |
|--------------|--------------------|----------------------------|--------------------|----------------------------|--------------------------|----------------------------------|
| | Number of Projects | Net Amount Approved (US\$) | Number of Projects | Net Amount Approved (US\$) | Total Number of Projects | Total Net Amount Approved (US\$) |
| 2000 | 9 | \$1,281,255 | 6 | \$506,320 | 15 | \$1,787,575 |
| 2001 | 22 | \$10,351,766 | 5 | \$1,748,730 | 27 | \$12,100,496 |
| 2002 | 10 | \$2,715,467 | 1 | \$364,197 | 11 | \$3,079,664 |
| 2003 | 15 | \$3,528,306 | 1 | \$6,063 | 16 | \$3,534,369 |
| 2004 | 15 | \$3,213,394 | 1 | \$200,000 | 16 | \$3,413,394 |
| 2005 | 17 | \$4,030,460 | 7 | \$2,197,927 | 24 | \$6,228,387 |
| 2006 | 32 | \$18,061,920 | 4 | \$1,320,624 | 36 | \$19,382,544 |
| 2007 | 16 | \$2,214,567 | | | 16 | \$2,214,567 |
| 2008 | 19 | \$4,036,517 | 2 | \$194,555 | 21 | \$4,231,072 |
| 2009 | 15 | \$3,470,881 | 8 | \$1,982,471 | 23 | \$5,453,352 |
| 2010 | 27 | \$10,039,714 | 10 | \$3,118,906 | 37 | \$13,158,620 |
| 2011 | 24 | \$5,561,892 | 7 | \$1,589,639 | 31 | \$7,151,531 |
| Total | 221 | \$68,506,139 | 52 | \$13,229,432 | 273 | \$81,735,571 |

Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
 B. For projects currently under implementation (active projects), the grant amount approved per project proposal approval or total amount specified in the grant agreement was used.
 C. Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.
 D. The data in Table 2 reflects the actual disbursements for projects that were cancelled during implementation and closed projects.

3. GEOGRAPHICAL DISTRIBUTION OF PROJECTS

The geographical distribution of projects is illustrated in Figure 3. As of 30 June 2011, the Africa region had the largest number of projects¹¹ (30 per cent), followed by Latin America and the Caribbean (17 per cent), East Asia and the Pacific (16 per cent), South Asia (11 per cent), Middle East and North Africa (9 per cent) and Europe and Central Asia (5 per cent). Projects with a global focus accounted for 12 per cent of the total projects.

In comparison with the overall geographical distribution, Figure 4 illustrates the geographical distribution for projects in fiscal years 2009, 2010 and 2011. This chart demonstrates similar trends over these three fiscal years. The Africa region had a higher ratio of regional distributions in comparison with other regions. The Africa region also led in the number of projects with 22 per cent, 35 per cent and 45 per cent for the respective fiscal years.

A complete list of all the countries (74 countries) for country-specific projects is featured in Table 3. The countries¹² in each region with the largest numbers of country-specific projects are outlined below:

1. **Africa region.** 73 projects were approved in 26 countries. The country with the largest number of projects is **South Africa**, with 11.
2. **Latin America and the Caribbean region.** 40 projects in 11 countries. The country with the largest number of projects is **Brazil**, with 23.
3. **East Asia and Pacific region.** 39 projects were approved in 11 countries. The country with the largest number of projects is the **Philippines**, with 10.
4. **South Asia region.** 31 projects in 6 countries. The country with the largest number of approved projects is **India**, with 22.
5. **Middle East and North Africa region.** 24 projects in 9 countries. The country with the largest number of approved projects is **Egypt** with 5.
6. **Europe and Central Asia region.** 13 projects were approved in 10 countries. The country with the largest number of approved projects is the **Russian Federation**, with 3.

¹¹ Projects include country-specific projects and projects with a regional focus.

¹² For country-specific projects with multiple countries, the countries were calculated separately in this review.

Figure 3 Overall Geographical Distribution of Projects (Fiscal Years 2000 – 2011)
 Total of 273 projects as of 30 June 2011

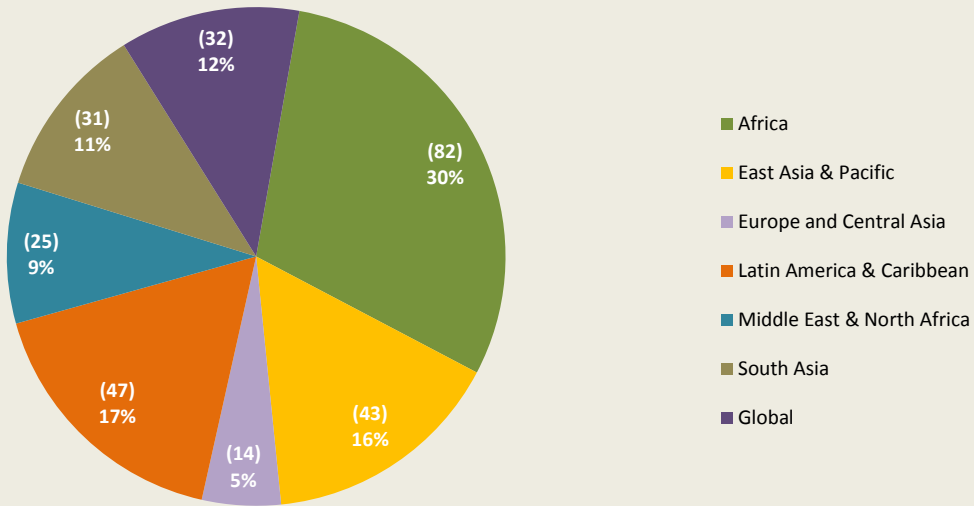
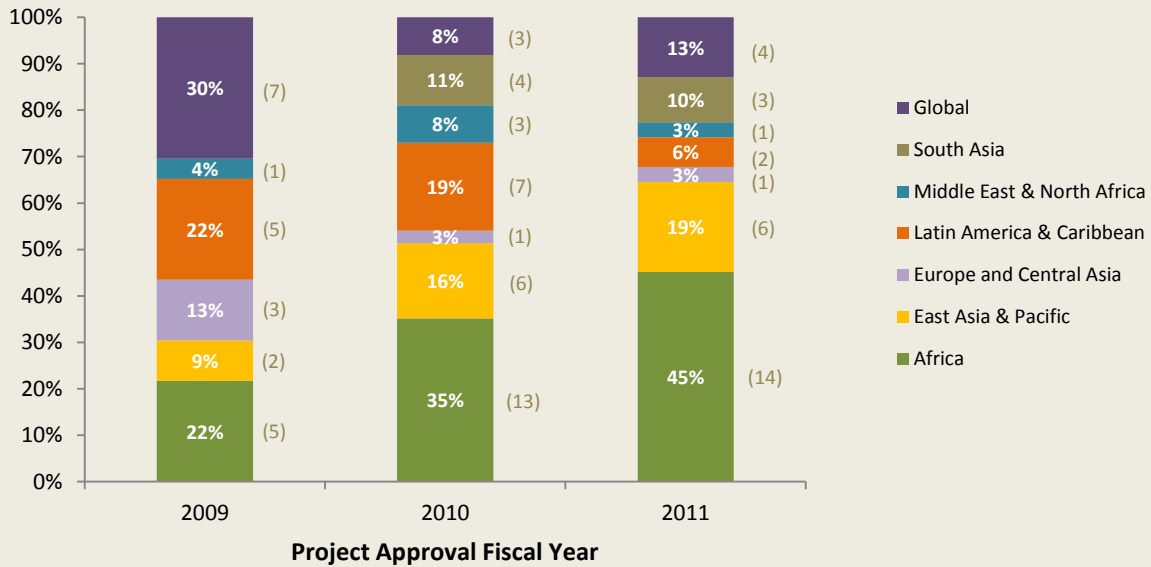


Figure 4 Geographical Distribution of Projects in Fiscal Years 2009, 2010 and 2011



Notes:

- A. Figures reflect country-specific projects, regional and 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 project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.

Table 3 List of Countries Fiscal Years 2000 – 2011

| Rank | Country | Number of Projects | Rank | Country | Number of Projects | Rank | Country | Number of Projects |
|------|----------------------|--------------------|------|--------------------|--------------------|------|--------------------------|--------------------|
| 1 | Brazil | 23 | 26 | Bangladesh | 2 | 51 | Central African Republic | 1 |
| 2 | India | 22 | 27 | Bulgaria | 2 | 52 | Costa Rica | 1 |
| 3 | South Africa* | 11 | 28 | Burkina Faso | 2 | 53 | Cote d'Ivoire | 1 |
| 4 | Philippines | 10 | 29 | Cambodia | 2 | 54 | Fiji | 1 |
| 5 | Mozambique | 9 | 30 | Ecuador* | 2 | 55 | Georgia | 1 |
| 6 | Ethiopia* | 7 | 31 | El Salvador | 2 | 56 | Guatemala | 1 |
| 7 | Vietnam | 7 | 32 | Iran | 2 | 57 | Haiti* | 1 |
| 8 | China | 6 | 33 | Jamaica | 2 | 58 | Kiribati | 1 |
| 9 | Indonesia | 6 | 34 | Jordan | 2 | 59 | Latvia | 1 |
| 10 | Uganda* | 6 | 35 | Madagascar | 2 | 60 | Lebanon | 1 |
| 11 | Egypt | 5 | 36 | Mexico | 2 | 61 | Liberia | 1 |
| 12 | Ghana | 5 | 37 | Namibia | 2 | 62 | Mali | 1 |
| 13 | Swaziland | 4 | 38 | Nepal | 2 | 63 | Mauritania | 1 |
| 14 | Syrian Arab Republic | 4 | 39 | Papua New Guinea* | 2 | 64 | Moldova | 1 |
| 15 | Tanzania | 4 | 40 | Rwanda | 2 | 65 | Niger | 1 |
| 16 | Yemen | 4 | 41 | Samoa* | 2 | 66 | Peru | 1 |
| 17 | Chile | 3 | 42 | Senegal | 2 | 67 | Sierra Leone | 1 |
| 18 | Colombia | 3 | 43 | West Bank and Gaza | 2 | 68 | Sri Lanka | 1 |
| 19 | Kenya | 3 | 44 | Albania | 1 | 69 | Tajikistan | 1 |
| 20 | Malawi | 3 | 45 | Argentina | 1 | 70 | Timor-Leste (East Timor) | 1 |
| 21 | Mongolia | 3 | 46 | Azerbaijan | 1 | 71 | Togo | 1 |
| 22 | Morocco | 3 | 47 | Benin | 1 | 72 | Tunisia | 1 |
| 23 | Nigeria | 3 | 48 | Bhutan | 1 | 73 | Ukraine | 1 |
| 24 | Pakistan | 3 | 49 | Bosnia-Herzegovina | 1 | 74 | Zambia | 1 |
| 25 | Russian Federation | 3 | 50 | Cameroon | 1 | | | |

* In some cases, projects comprised multiple countries. For the purpose of this review, in those cases each country is considered separately.

Notes:

A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.

B. Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.

4. GEOGRAPHICAL SCOPE OF PROJECTS

The overall geographical scope¹³ of projects is shown in Figure 5. At the end of fiscal year 2011, 34 per cent of projects targeted a single city, 26 per cent the country/national level, 20 per cent multi cities and 1 per cent the state level. Additionally, 11 per cent of projects had a global scope and 8 per cent targeted the regional level. In comparison, Figure 6 illustrates the geographical scope for projects approved in fiscal years 2009, 2010 and 2011. The figure shows the country/national level increased gradually whereas a single city scope and multi cities remained relatively the same over the last three fiscal years.

Figure 5 Geographical Scope of Projects - Total of 273 projects as of 30 June 2011

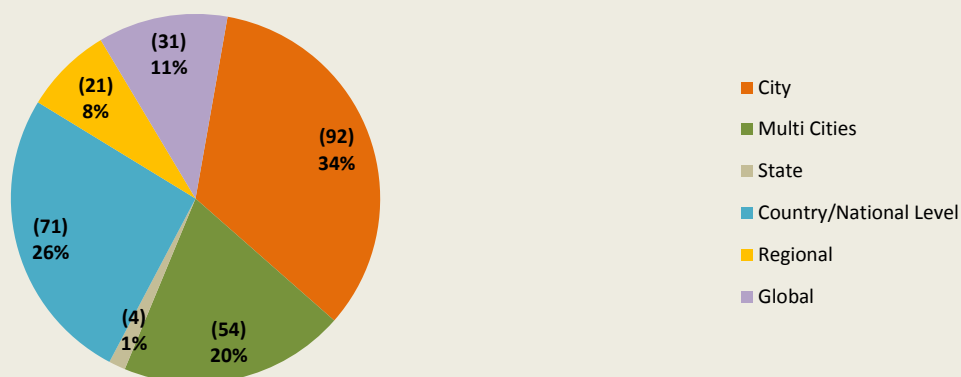
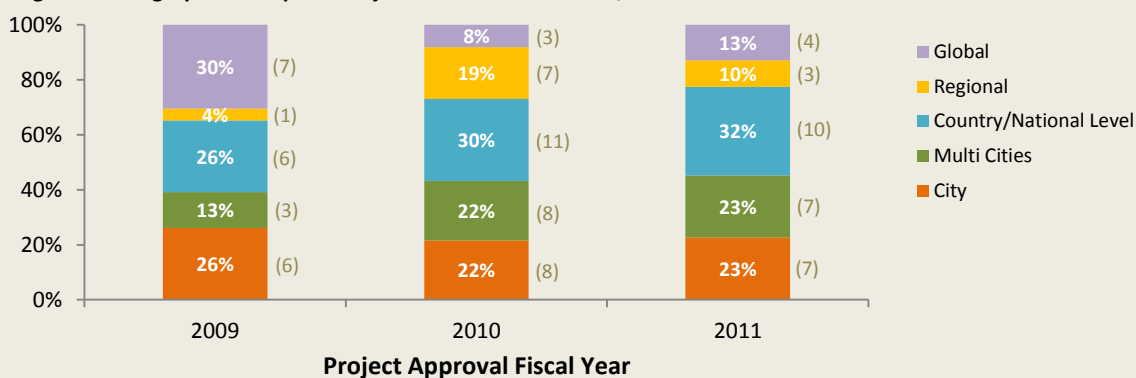


Figure 6 Geographical Scope of Projects in Fiscal Years 2009, 2010 and 2011



Notes:

- Figures reflect both country-specific projects and regional-global projects.
- Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
- Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.
- Projects in metropolitan areas were considered as 'Multi Cities'.

¹³ The geographical scope targeted by the project: (1) City; (2) Multi cities; (3) State; (4) Country/national level; (5) Regional; and (6) Global.

5. DISTRIBUTION OF COUNTRY-SPECIFIC PROJECTS BY COUNTRY INCOME GROUP

The overall distribution of country-specific projects by the Development Assistance Committee (DAC) list of Official Development Assistance (ODA)¹⁴ recipients for fiscal years 2000 – 2011 is illustrated in Figure 7. Lower Middle Income Countries and Territories had the highest percentage of group distributions (total of 34 per cent), whereas Least Developed Countries and Other Low Income Countries had group distributions of 28 per cent and 22 per cent respectively. The trend for combined distribution for the last three fiscal years remained the same as in the overall (Figure 8); the Lower Middle Income Countries and Territories showed the highest percentage of group distributions.

Figure 7 Overall Distribution of Projects by Country Income Group (Fiscal Years 2000 – 2011)

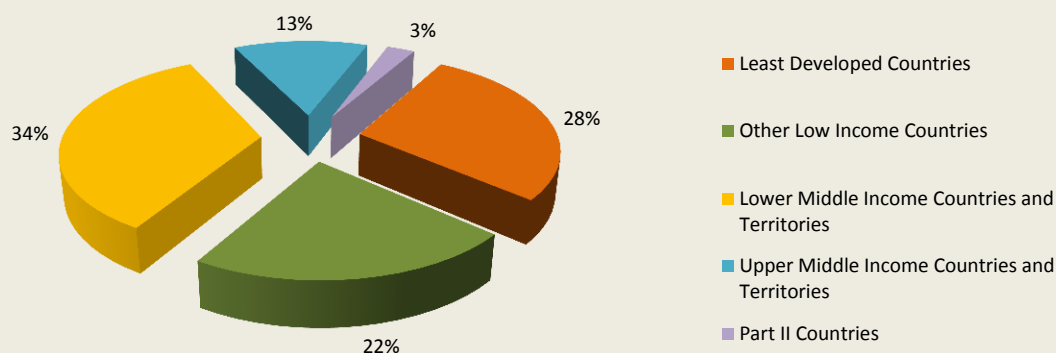
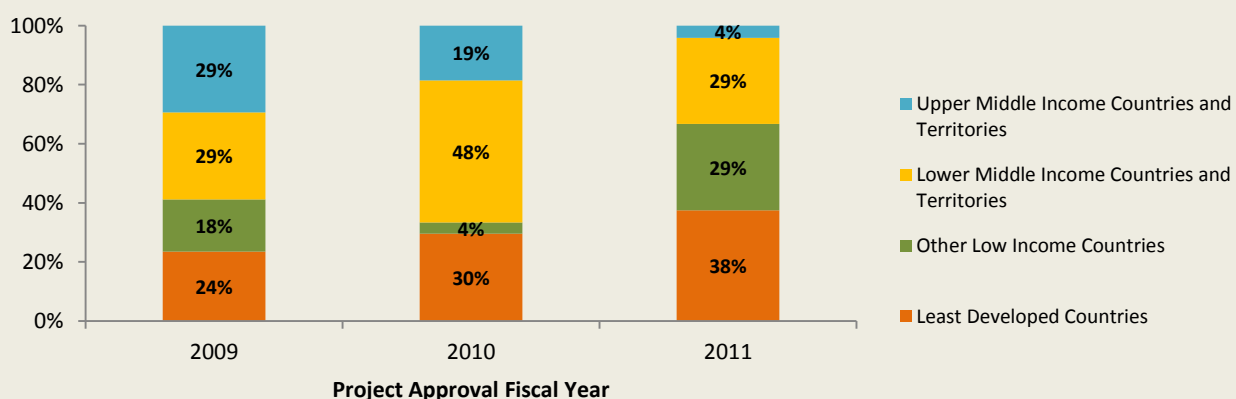


Figure 8 Distribution of Projects by Country Income Group in Fiscal Years 2009, 2010 and 2011



Notes:

- Classification of Cities Alliance projects has been based on the most current list available at the time of project approval.
- Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional/Global Projects.
- Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.
- For country-specific projects with multiple countries, the countries were calculated separately in this review.

¹⁴ Classification of Cities Alliance projects has been based on the most current DAC List of Aid Recipients available at the time of project approval. The DAC List of Aid Recipients is available at: <http://www.oecd.org/dac/stats/daclist>.

6. ALLOCATIONS OF GRANT AMOUNT BY COUNTRY INCOME GROUP

The overall allocation of grants for country-specific projects by the DAC list classifications in fiscal years 2001 to 2011 is illustrated in Figure 9. Figure 10 illustrates allocation of grants for country-specific projects for fiscal years 2009 – 2011. Overall, the Upper Middle Income Countries and Territories received the highest grant allocation (total of 32 per cent), resulting from more than US\$17 million in total grant allocations for Brazil. The following income groups received these grant allocations: 28 per cent for Lower Middle Income Countries and Territories, 23 per cent for Least Developed Countries, 15 per cent for Other Low Income Countries and 2 per cent for Part II Countries.

Figure 9 Overall Allocation of Grant Amount by Country Income Groups (Fiscal Years 2000 – 2011)

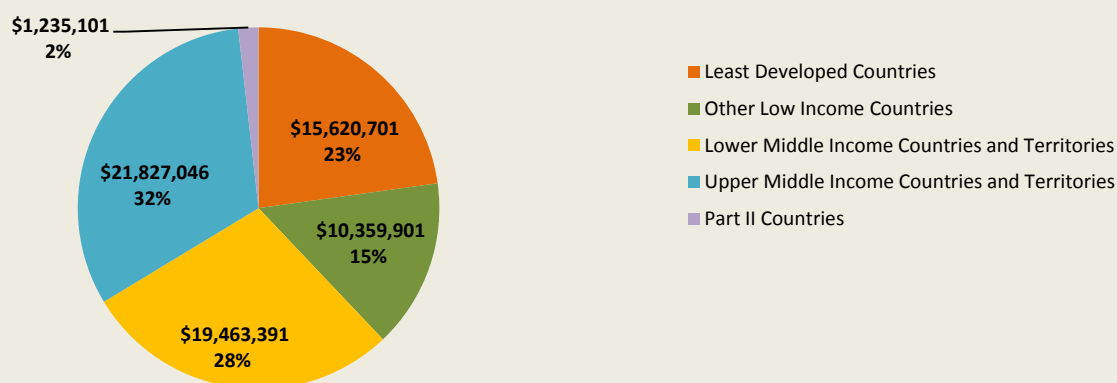
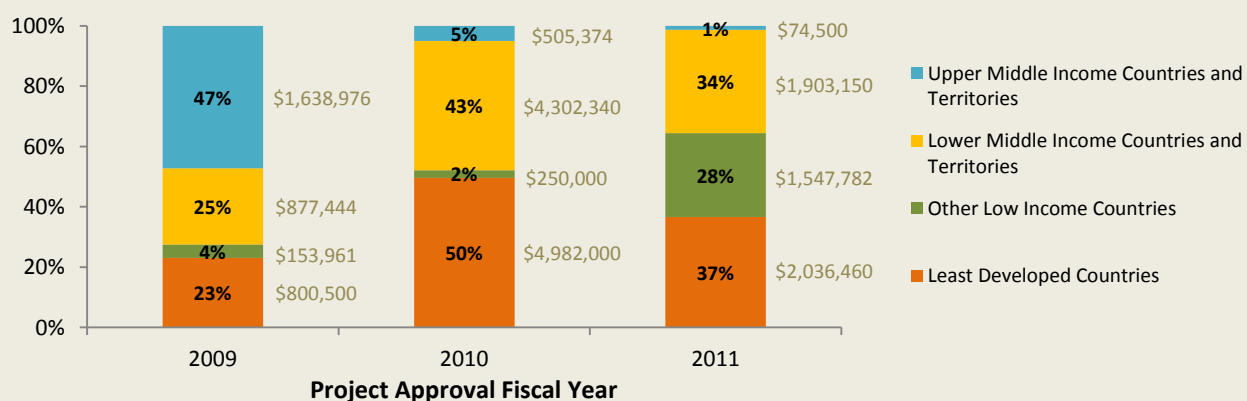


Figure 10 Allocation of Grant Amount by Country Income Groups in Fiscal Years 2009, 2010 and 2011



Notes:

- Classification of Cities Alliance projects has been based on the most current list available at the time of project approval.
- Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional- Global Projects.
- For projects currently under implementation, the grant amount approved per project proposal approval or total amount specified in the grant agreements was used.
- Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.
- Data presented for projects cancelled during project implementation and closed projects that were fully implemented reflect the actual disbursement.
- For country-specific projects with multiple countries, the countries were calculated separately in this review.

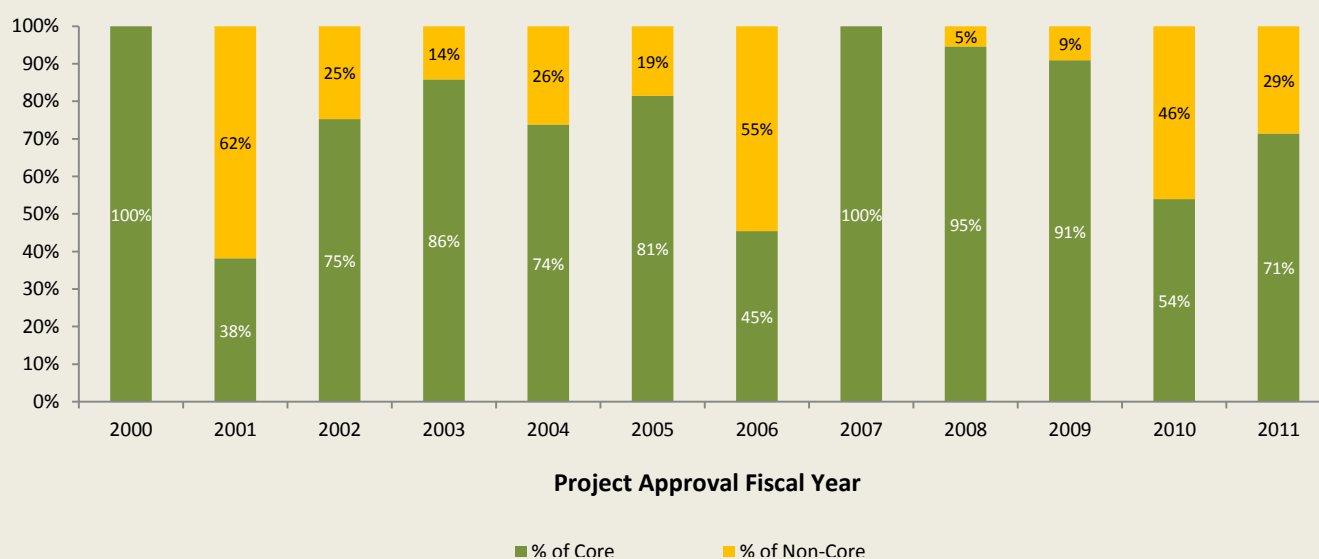
The grant allocations show different trend in the last three fiscal years (Fiscal year 2009 – 2011). The figures show grant allocations for two income groups—Least Developed Countries and Lower Middle Income Countries and Territories—received the highest allocations in fiscal years 2010 and 2011, while the Upper Middle Income Countries and Territories allocations decreased from 47 per cent in 2009 to 1 per cent in 2011 (Figure 10).

7. FUNDING SOURCES

The Cities Alliance has a two-tier financial structure: (1) Core Fund and (2) Non-Core Fund. The Core Fund is not subject to any donor restrictions whereas the Non-Core Fund is subject to donor restrictions relating to theme, activity or region. Figure 11 illustrates the Core Fund and Non-Core Fund allocations for projects funded in fiscal years 2000 – 2011.

With the exception of fiscal years 2001 and 2006, most of the funded projects were allocated from the Core Fund. The higher percentages of Non-Core Fund allocations in fiscal years 2001 and 2006 are due to individual slum upgrading projects in Brazil that received more than US\$5 million in Non-Core Fund allocations in each of those years. Additionally, non-core funding source in fiscal year 2010 increased dramatically as a result of more than US\$4 million in funding allocation approved for Land, Services and Citizenship for the Urban Poor projects in Uganda.

Figure 11 Ratio of Core and Non-Core Net Funding Allocations for Country-Specific and Regional/Global Projects
Percent of Total Allocations in US\$ per Fiscal Year



Notes:

- Figures reflect both country-specific projects and regional and global projects.
- Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
- For projects currently under implementation (active projects), the grant amount approved per project proposal approval or total amount specified in the grant agreements was used.
- Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.
- Data presented for projects cancelled during project implementation and closed projects that were fully implemented reflect the actual disbursement.

8. GRANT SIZE FOR COUNTRY-SPECIFIC PROJECTS

The overall distribution of country-specific projects by grant size for fiscal years 2000 – 2011 is illustrated in Figure 12. Figure 13 illustrates the distribution of country-specific projects by grant size for fiscal years 2009, 2010 and 2011. The data presented has been adjusted to account for grant amount increases and decreases and the grant sizes re-categorised where applicable.

Overall, the figure shows adequately balanced distributions among the grant sizes (Figure 12). The small grant (US\$75,000 or less) accounted for 31 per cent, medium grant (US\$75,000 to US\$250,000) for 34 per cent, and large grant (over US\$250,000) for 35 per cent. Similar trend is shown in the grant size distribution in the last three fiscal years (Figure 13), with small and large grant sizes having almost equal percentages but with some decrease in medium grant size in 2011.

Figure 12 Projects by Grant Size (Fiscal Years 2000 – 2011)

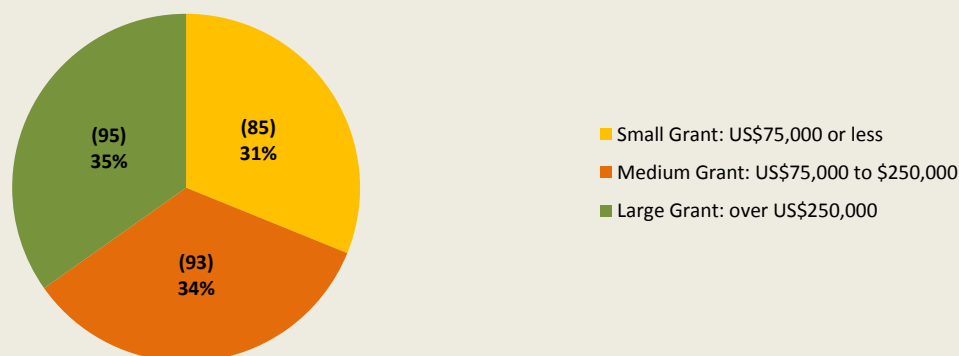
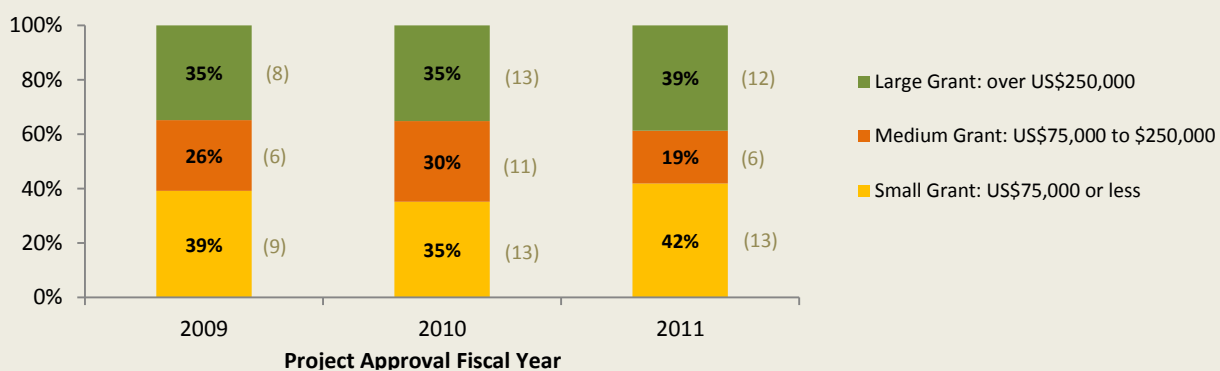


Figure 13 Projects by Grant Size in Fiscal Years 2009, 2010 and 2011



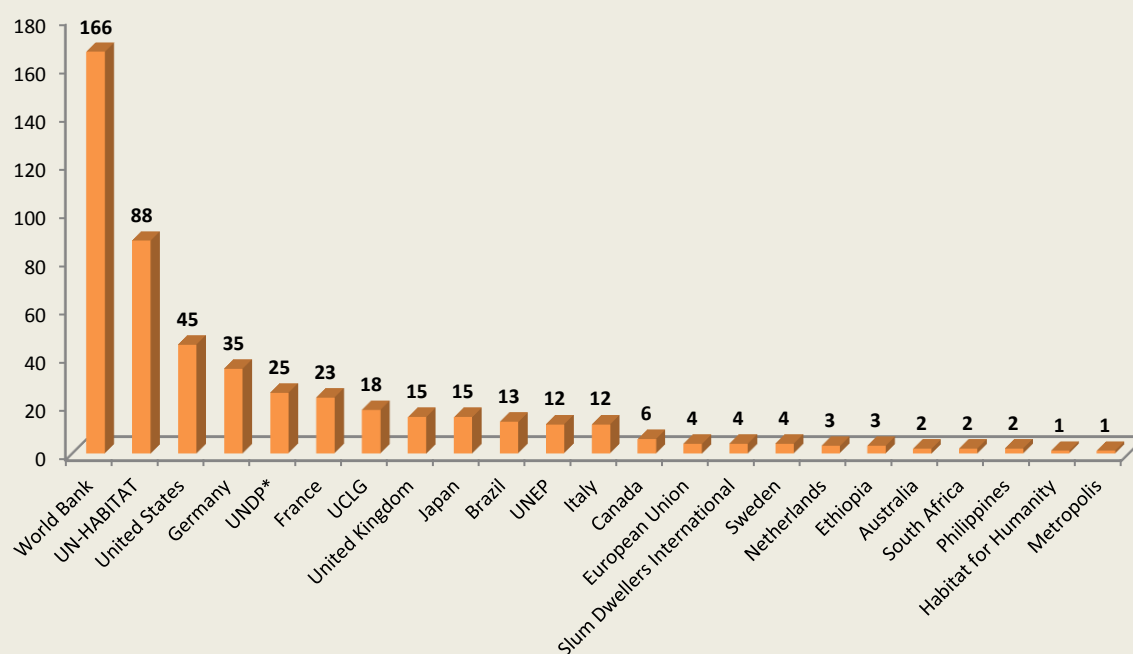
Notes:

- Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional- Global Projects.
- Projects cancelled during project preparation were not included in the calculation, as no grant agreement had been issued and no disbursements made.
- Data presented for projects cancelled during project implementation and closed projects that were fully implemented reflect the actual disbursement.

9. PROJECT SPONSORSHIPS

The total number of country-specific projects sponsored by Alliance members from fiscal years 2000 – 2011 is illustrated in Figure 14. As of 30 June 2011, the figures indicate that there are 23 members that sponsored country-specific projects. Of the 23 members, 12 sponsored ten or more projects, including UNDP as an associate member.

Figure 14 Total Project Sponsorship for Country-Specific Projects
Fiscal Years 2000 - 2011



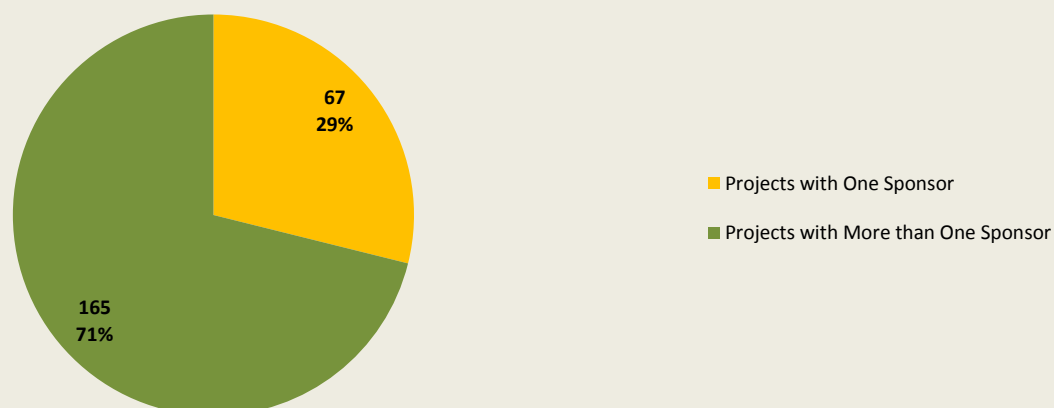
* Associate member

Notes:

- Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
- Projects cancelled during preparation or implementation were included in the calculation.

Figure 15 illustrated the total number of country-specific projects sponsored by more than one Cities Alliance member from fiscal years 2000 – 2011. Overall, 70 per cent of projects were sponsored by more than one member and 30 per cent of projects were sponsored by one member. Detailed data for each fiscal year is presented in Table 4.

Figure 15 Total Number of Country-Specific Projects with One or More Than One Project Sponsorship
Fiscal Years 2000 - 2011



Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
B. Projects cancelled during preparation or implementation were included in the calculation.

Table 4 Number of Country-Specific Projects with One or More Than One Project Sponsorship
Fiscal Years 2000 - 2011

| Project Sponsorship | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | Total |
|-------------------------------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|------------|
| Projects with One Sponsor | 8 | 10 | 5 | 8 | 4 | 2 | 2 | 3 | 3 | 3 | 13 | 6 | 67 |
| Projects with More than One Sponsor | 3 | 13 | 6 | 8 | 11 | 16 | 31 | 14 | 20 | 13 | 13 | 17 | 165 |
| Total | 11 | 23 | 11 | 16 | 15 | 18 | 33 | 17 | 23 | 16 | 26 | 23 | 232 |

Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities and (2) Slum Upgrading Facility (SUF) Activities.
B. Projects cancelled during preparation were not included in the calculation.

The number of project sponsorships for country-specific projects by the Development Assistance Committee (DAC) list of recipients is presented in Table 5. On average, the Lower Middle Income Country and Territories received the highest portion of project sponsorships.

Table 5 Project Sponsorship for Country-Specific Projects by Country Income Group (Fiscal Years 2000 – 2011)

| Cities Alliance Member | DAC List of ODA Recipients | | | | Part II |
|-----------------------------|----------------------------|----------------------------|---|---|----------|
| | Least Developed Countries | Other Low Income Countries | Lower Middle Income Countries and Territories | Upper Middle Income Countries and Territories | |
| Australia | 1 | - | 1 | - | - |
| Brazil | 2 | - | 3 | 8 | - |
| Canada | 1 | - | 5 | - | - |
| Ethiopia | 3 | - | - | - | - |
| European Union | 3 | - | 1 | - | - |
| France | 9 | 5 | 5 | 4 | - |
| Germany | 12 | 1 | 20 | 4 | - |
| Habitat for Humanity | - | 1 | - | - | - |
| Italy | 2 | - | 7 | 3 | - |
| Japan | 4 | 8 | 3 | - | - |
| Metropolis | - | - | - | 1 | - |
| Netherlands | 1 | 2 | - | - | - |
| Philippines | - | - | 2 | - | - |
| Slum Dwellers International | 3 | - | 1 | - | - |
| South Africa | 1 | 1 | - | - | - |
| Sweden | - | 3 | 1 | - | - |
| UCLG | 7 | 3 | 4 | 4 | - |
| UNDP* | 11 | 6 | 6 | 1 | 1 |
| UNEP | 5 | 1 | 4 | 2 | - |
| UN-HABITAT | 27 | 25 | 29 | 9 | - |
| United Kingdom | 3 | 8 | 5 | 1 | - |
| United States | 7 | 14 | 16 | 5 | 3 |
| World Bank | 41 | 39 | 63 | 21 | 5 |
| Total | 143 | 117 | 176 | 63 | 9 |

* Associate member

Notes:

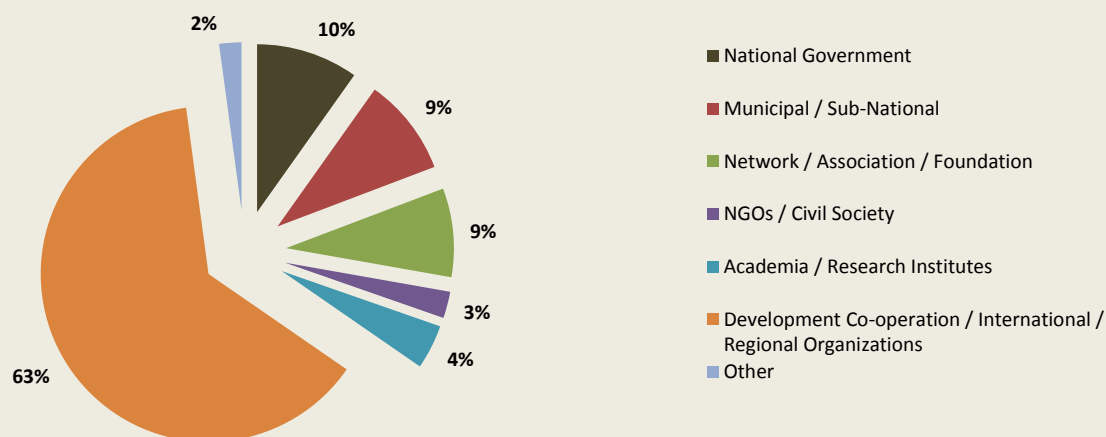
- A. Classification of Cities Alliance projects was based on the most current list available at the time of project approval.
- B. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- C. Projects cancelled during preparation were not included in the calculation.
- D. For country-specific projects with multiple countries, the countries were calculated separately in this review.

10. GRANT RECIPIENTS FOR COUNTRY-SPECIFIC PROJECTS

The grant recipient is the organisation that receives the funding tranches/advances and is responsible for the funds allocated for the project and for reporting. The grant recipient may or may not be an implementing partner, and a project may have more than one grant recipient. Data on grant recipients in this report is based on signed grant agreements.

Figure 16 shows the total number of grant recipients from fiscal years 2000 – 2011 by organisation category. Overall, 63 per cent of grant agreements were signed by development and international/regional organisations (development co-operations, multi- and bi-lateral organisations). Grant recipients by the national government, municipal/sub-national and network/association/foundation categories have fairly balanced percentages.

Figure 16 Number of Grant Recipients for Country-Specific Projects (Fiscal Years 2000 – 2011)

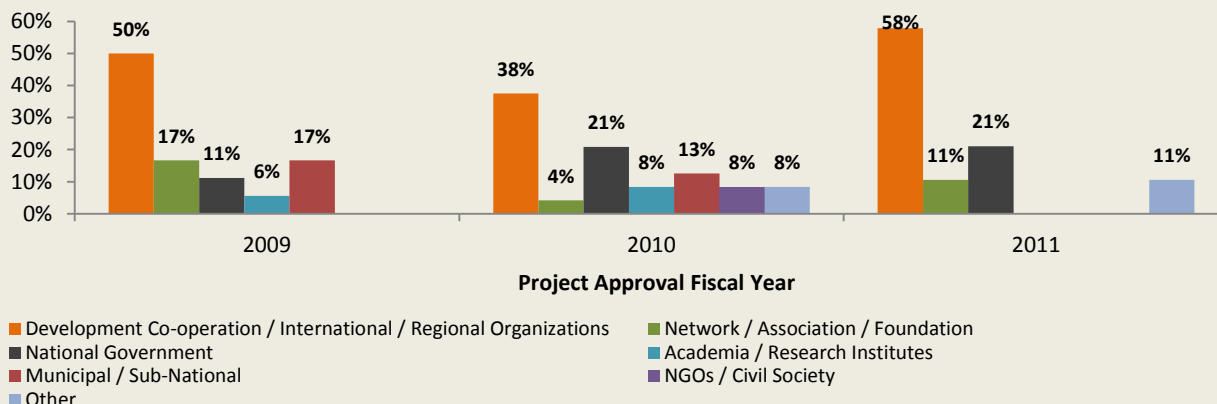


Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- B. Projects with the following conditions were not included in the calculation, as no grant agreements had been issued and no disbursements made: (1) Projects with grant agreements under preparation; and (2) Projects cancelled during preparation.

Figure 17 indicates the number of grant recipients by organisation category for fiscal years 2009, 2010 and 2011. The figures demonstrate similar patterns; in the last three fiscal years, the development and international/regional organisations (development co-operations, multi- and bi-lateral organisations) received the largest grant amounts (50 per cent, 38 per cent and 58 per cent, respectively), whereas the other categories show a fairly balanced distribution.

Figure 17 Number of Grant Recipients for Country-Specific Projects in Fiscal Years 2009, 2010 and 2011

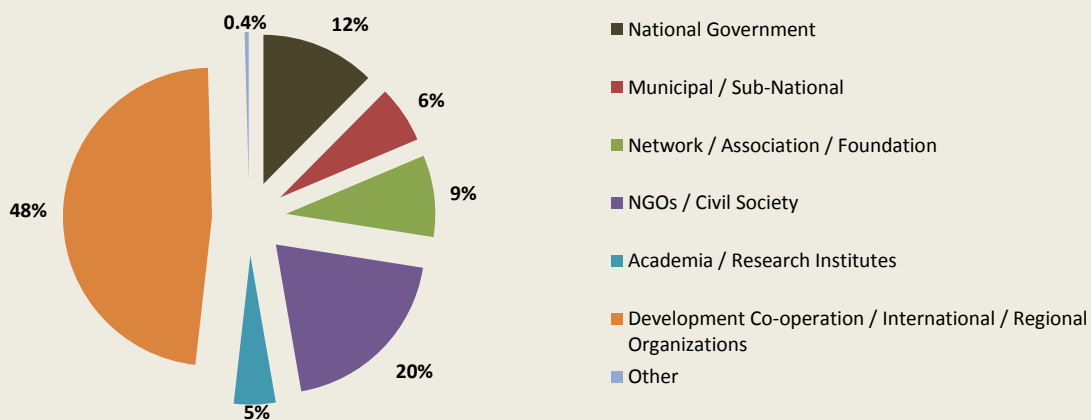


Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- B. Projects with the following conditions were not included in the calculation, as no grant agreements had been issued and no disbursements made: (1) Projects with grant agreements under preparation; and (2) Projects cancelled during preparation.

Figure 18 illustrates the grant amount ratio received by grant recipient for fiscal years 2000 – 2011. The development and international/regional organisations (development co-operations, multi- and bi-lateral organisations) received the largest grant amounts (48 per cent). The non-governmental organisation (NGOs)/civil society received 20 per cent, and national government received 12 per cent. Three of the recipient categories have fairly balanced percentages: municipal/sub-national (6 per cent), networks/associations/foundations (9 per cent), and academia/research institutes (5 per cent).

**Figure 18 Grant Recipients for Country-Specific Projects
Grant Amount for Fiscal Years 2000 - 2011**

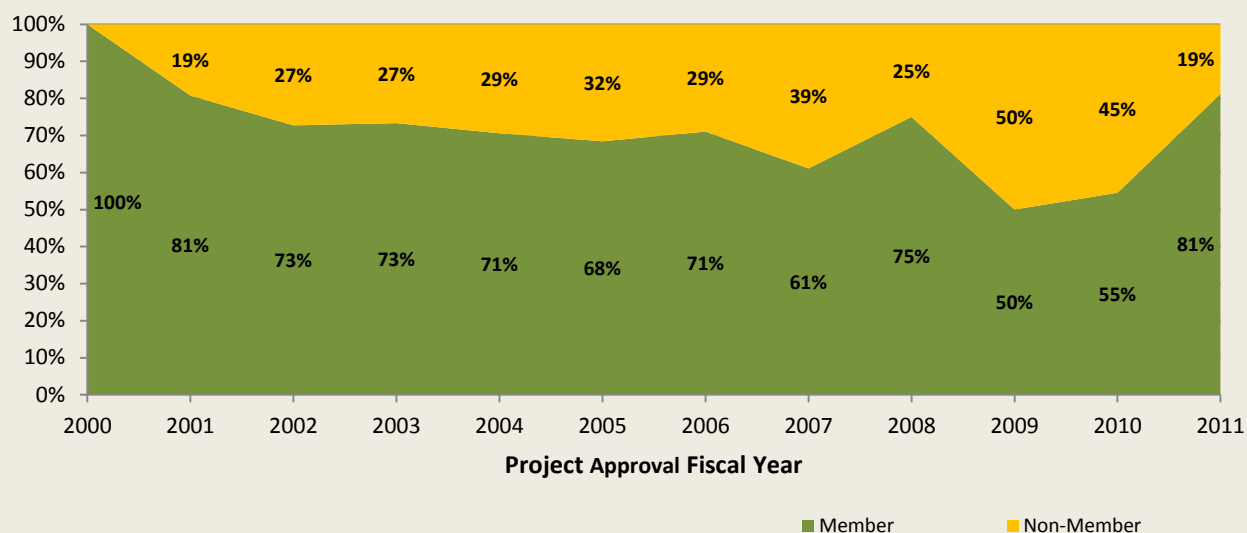


Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- B. Projects with the following conditions were not included in the calculation, as no grant agreements had been issued and no disbursements made: (1) Projects with grant agreements under preparation; and (2) Projects cancelled during preparation.

Figure 19 depicts the ratio of grant recipients by member and non-member status. The grant agreements signed by members received the highest ratio over fiscal years 2000 – 2011 in comparison with the grant agreements signed by non-members.

Figure 19 Members and Non-Member Grant Recipients for Country Specific Projects (Fiscal Years 2000 – 2011)



Notes:

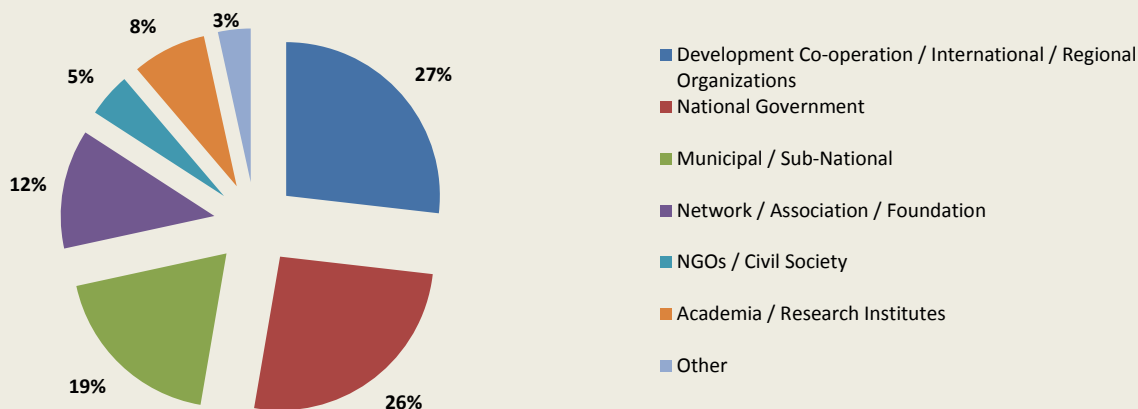
- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- B. Projects with the following conditions were not included in the calculation, as no grant agreements had been issued and no disbursements made: (1) grant agreements under preparation and (2) cancelled during preparation.

11. PROJECT IMPLEMENTING PARTNERS FOR COUNTRY-SPECIFIC PROJECTS

Grant recipients, co-financing partners and other partners involved in the implementation of a project are considered to be project implementing partners. Data on implementing partners presented in this report is based on information captured in the approved proposals.

Figure 20 shows the total number of project implementing partners by organisation category over the last 11 fiscal years. The data show that the highest percentage of involvement in project implementation is shared almost equally between two categories: the development and international/regional organisations (development co-operations, multi- and bi-lateral organisations) with 27 per cent and national governments with 26 per cent. They are followed by the municipal/sub-national category with 19 per cent and networks/associations/foundations with 12 per cent. The rest, with a somewhat balanced ratio, is shared among the NGOs/civil society, academia/research institutes and other categories (this includes the private sector).

Figure 20 Project Implementing Partners for Country-Specific Projects
Number of Implementing Partners for Fiscal Years 2000 - 2011

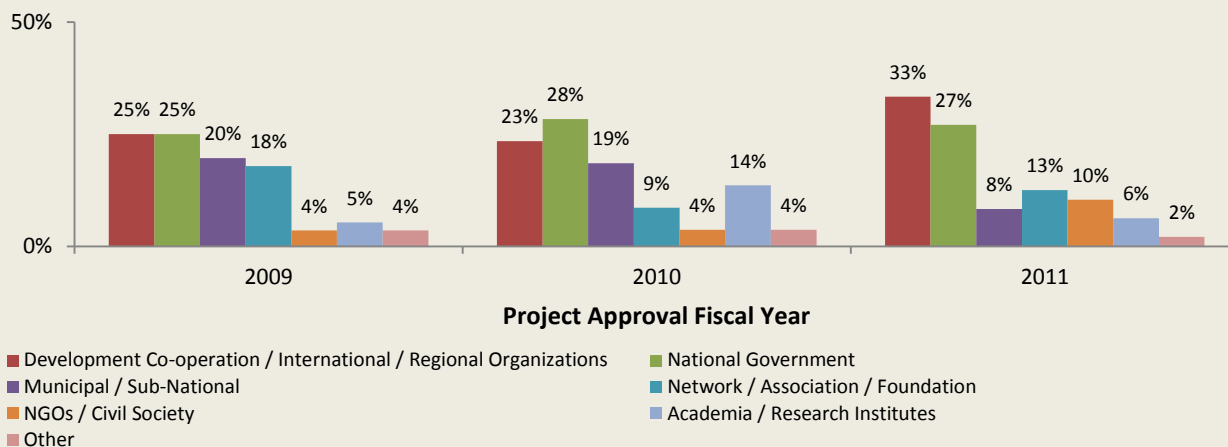


Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- B. Projects cancelled during preparation were not included in the calculation, as no grant agreements had been issued and no disbursements made.

In comparison, Figure 21 illustrates the total number of project implementing partners by organisation category for fiscal years 2009, 2010 and 2011. The figures for those three years show a trend similar to the overall figures. The development and international/regional organisations (development co-operations, multi- and bi-lateral organisations) and national governments accounted for almost equal totals.

Figure 21 Project Implementing Partners for Country-Specific Projects for Fiscal Years 2009, 2010 and 2011



Notes:

- A. Projects do not include: (1) Community-Led Infrastructure Finance Facility (CLIFF) Activities; (2) Slum Upgrading Facility (SUF) Activities; and (3) Regional-Global Projects.
- B. Projects cancelled during preparation were not included in the calculation, as no grant agreements had been issued and no disbursements made.