

CALL FOR PROPOSALS

Urban Expansion Planning for Rapidly Growing Secondary Cities in the Horn of Africa

CFP Reference No. ETH&UGA /SDC/11934-022/004

CFP document issue date February 13, 2023

1. PARTICULARS

1.1. UNOPS project objective(s)

The mission of the Cities Alliance is to improve the lives of urban populations by delivering integrated, citywide and innovative solutions to urban poverty in cities where it matters the most. Cities Alliance's vision is to provide technical support and grants to local and national actors to deliver policies and programmes that directly address urban poverty and gender inequality in cities. Cities Alliance is an agent for urban change with a clear focus on secondary cities, which are increasingly instrumental to economic and social progress in rapidly urbanising economies.

Cities Alliance is the global partnership supporting cities to deliver sustainable development. For over 20 years, the Secretariat has convened partners from civil society, local and national authorities, and development actors with an urban focus to combine complementary strengths and expertise. With its programmatic approach and diverse membership, Cities Alliance has the capacity to coordinate the efforts and core competencies among partners to leverage this collective expertise to advance urban thinking and solutions.

The Cities Alliance initiated a Global Programme on Cities and Migration as part of its 2018–21 Strategic Plan, with support of the Swiss Agency for Development and Cooperation (SDC) and extends this strategic priority for the new 2022-2025 Strategic Plan. At its core, the Programme seeks to advance global thinking on the role and potential of cities in managing and seizing the opportunities and contributions arising from migration to and from secondary cities.

1.2. Background and objectives of the grant/funding

Rural-urban migration is leading to rapid increases in the populations of secondary cities in developing countries, causing massive urban expansion. Cities have been growing through a mix of natural increase and migration, and migration on average contributes more to population growth in smaller cities than in larger ones. Rapid population growth during this period has translated into an almost four-fold increase in the built-up area of cities in less-developed countries. Much of this urban expansion was disorderly, lacking adequate infrastructure, and with serious environmental concerns. In Sub-Saharan Africa, 80% of the residential areas developed over the past 25 years are informal and unplanned.

When cities grow in population, they both densify their existing urban extents and expand outwards. New evidence assembled by the Marron Institute of Urban Management at New York University shows that, on average, approximately one quarter (23%) of the population added to cities during the 1990-2014 period densified areas built before 1990, while three quarters (77%) were settled in expansion areas built during the 1990-2014 period. To integrate new rural migrants into the urban economy and society, governments must plan for urban expansion and physically connect the places new residents are likely to settle in (the urban periphery) with the existing city. One way to contribute to the integration of migrants is by providing them access to the city through proactive approaches, such as urban expansion planning, that connect the urban periphery to the existing city by preparing a basic grid of arterial roads on the urban periphery before it is developed. These physical connections will create economic connections by shortening travel times for goods and people, driving the integration of informal areas and new residents.

In Phase I (2018-2022) of its Cities and Migration Programme, Cities Alliance supported nine secondary cities across the Horn of Africa to prepare for rapid urban expansion. In Phase II (2022-2026), Cities Alliance will consolidate the cooperation with these partner cities to support

the implementation of plans, work on a supportive regulatory framework, and enable a scale up of the approach to other interested cities by building national knowledge hubs and practitioner networks. To achieve this, Cities Alliance will build new partnerships and dialogues among urban migration stakeholders at the local, national, regional and global levels.

This Call for Proposals seeks for new partnerships to enhance the skills of partner cities, local and central governments to plan for urban expansion and thereby improve economic and social inclusion of migrants, displaced persons, and their vulnerable host communities.

The CfP is a continuation of [Phase I \(2018-2022\) of the Cities Alliance Cities and Migration Programme](#). Phase II (2022-2026) will consolidate the cooperation with the partner cities of Phase I, namely Arua, Gulu, Mbale and Jinja (Uganda), Dire Dawa, Jigjigia and a third city (Wajale) (Ethiopia); Borama and Gabiley (Somaliland, Somalia).

In Phase I, partner cities received technical support to prepare their urban expansion plans. Participating cities have been trained to estimate their future growth over the next 30 years and have identified lands where this growth can take place. They subsequently prepared draft plans to manage these new lands by creating a grid of arterial roads and protecting a network of environmentally sensitive areas. All cities, in collaboration with their national ministries, prepared a road map for implementation. In Phase II, the cities must check their draft plans against conditions on the ground and get the plans approved by the municipal and, in some cases, regional government. The applicant to this CfP will support cities in these activities. Surveying and checking the routes will include consultations with landowners along the proposed routes – a delicate issue that requires continued engagement from politicians and local leaders. This process will include regularizing some existing informal settlements. These activities should be locally led, with the applicant to the CfP assisting the city officials in finding creative solutions to the challenges that arise. Finally, the cities will be supported to produce draft budgets and incorporate the projects into their capital development plans.

Applicants to this CfP shall also outline measures to support the scale-up of the approach. Phase I partner cities showcased the process and potential benefits of the approach for other cities in the country and region with the support of national city associations and national line ministries. The governments of Uganda and Ethiopia have expressed interest in scaling the approach to additional cities. To consolidate this interest, regulatory changes are needed to embed urban expansion planning in national policies, creating a steady demand from cities for the services of trained practitioners, and the applicant to the CfP must work with government partners to accomplish this goal. Concurrently, practitioners and officials in partner countries at the national and regional level need to be trained to support scaling up to additional cities.

To meet the demand that emerges from the inclusion of additional rapidly growing cities, the applicant to this CfP will foster the creation of a network of skilled practitioners – public sector, private sector, and academia – with the knowledge to provide urban expansion training to cities. Training should be accomplished through the creation of a national knowledge hub embedded in universities in Uganda and Ethiopia. These hubs will train and certify government officials, academia and planners from the public and private sector on the urban expansion planning methodology and established methodologies. Graduates of the training programs should be given certifications and organized into a network, either through a new or existing practitioner network. Beyond capacity building, these hubs will measure and document outcomes such as urban planning impacts on migration, informality, environment, and gender equality. This supports monitoring and evaluation on behalf of national governments and creates accountability for the approach.

At the end of Phase II, national ministries and cities shall be supported to host a technical conference for African secondary cities to demonstrate the relevance of the approach to manage rural-urban migration and urbanization.

Phase II will further develop additional modules on:

- **Climate change and environmentally-sensitive planning.** Climate change increases the physical vulnerability of rapidly growing cities. Phase II will introduce climate change and environmentally-sensitive planning at municipal level to understand the local risks posed by climate change, develop urban risk profiles, and prepare accordingly. For example, urban plans will highlight existing water supply areas and consider future water storage and extraction needs. Green spaces in urban expansion plans will be aligned with the contour of drainage on the land in order to encourage infiltration, and road rights of ways will be aligned to facilitate the placement of gravity-fed drainage lines. Arterial road rights of ways can eventually be developed as levees, embankments, or other water management infrastructure. Plans will facilitate safe management of landslide risk areas where rural to urban migrants, refugees, and displaced persons are likely to settle on due to their proximity to sites of economic activity. Further, local authorities will be encouraged to designate a portion of their urban expansion planning area as a disaster management site that can be rapidly developed in the event of a sudden and unexpected influx of displaced population. This will be based on materials previously produced from the Cities Alliance, with specific local inputs from the CfP applicant, who will transform earlier findings into a teachable curriculum for the knowledge hub.
- **Gender equality/women's empowerment.** Migration from rural to urban areas can be transformative for women and youth by allowing them to access education, employment, and services. Their success in doing so is highly dependent on infrastructure that municipalities provide – sanitation, piped drinking water, and safe transport routes giving good connectivity to markets and centers of employment. Urban expansion planning creates an enabling environment for municipalities to make these investments and increases the rate at which newly developed areas receive services. This module will highlight the ways in which urban expansion plans can be gender transformative and specifically empowering women and youth.

The operational context of many cities requires conflict sensitive project design and management. Proposals are reviewed following the **UNOPS Conflict Sensitivity Guidelines**, which each applicant is advised to consult to minimize the negative impacts and maximize the positive impacts of any proposed activity. This can be done by integrating conflict sensitivity considerations in project management activities, including gender mainstreaming, health and safety, social and environmental activities.

Objectives, Targets and Budget of the Call for Proposal

Cities Alliance is requesting individual proposals for each country. Please fill in one Project Proposal Submission Form per country (Lot 1 and Lot 2).

One applicant can apply for both Lots by submitting two separate Project Proposal Submission Forms. Further eligibility criteria are specified in Section “General Instructions for Proposal Submission”.

Lot 1: Uganda – Participating cities are Arua, Gulu, Mbale, Jinja with support of the Ministry of Lands, Housing and Urban Development

Lot 2: Ethiopia – Participating cities are Jigjiga and Dire Dawa and a third city (Wajale) with support of the Ministry of Urban Development and Construction and learning cities from Somaliland.

Proposals need to address the objectives and targets listed below and form appropriate partnerships to achieve the project goals.

Applicants are required to disaggregate targets by sex and age. At least 50 percent of all beneficiaries need to be women.

The project proposal must present an approach to delivering a monitoring, evaluation and learning (MEL) system which will collect and securely store data in adherence to the indicator definitions (including required disaggregation), review and collate performance information and data, and ensure timely reporting on the delivery of outputs, and the achievement of outcomes and targets. The MEL plan should outline steps towards the regular collection, analysis and reporting of feedback and change stories from stakeholders and beneficiaries and outline an approach to internal evaluation and performance management which fully engages relevant city stakeholders. Sufficient funds for MEL need to be allocated in the presented budget.

Cities Alliance may cover up to 70% of the total project cost. Both Lot 1 and Lot 2 can apply for a maximum Cities Alliance contribution of up to USD 250,000 each. As per requirement of the financing source, each applicant is required to co-finance, in-kind or cash - at least 30% or USD 107,143 - of the remaining project cost.

1.3. Targeted Impact of the Grant/funding

Lot 1: Uganda – Participating cities Arua, Gulu, Mbale, Jinja with support of the Ministry of Lands, Housing and Urban Development

Objective 1: Establish one knowledge hub at a leading urban planning institution in Uganda to conduct training of trainers in urban expansion planning, forecasting and adaptation for greater inclusion.

Each applicant shall submit an actor-based theory of change to achieve Objective 1. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- One business model/fee setting model to create sustainability in the training activities of the knowledge hub
- Number of Training of Trainers (TOTs) modules on urban expansion planning (provided by the Cities Alliance) adapted to the local context (including dedicated climate and gender modules)
- At least 60 trainees participate in at least 6 TOTs at the knowledge hub. Trainees can be from the public/private sector and academia.
- At least 20% of the trainees certified by a third party entity as trainers which is endorsed by the Cities Alliance
- One monitoring unit for measuring application of urban expansion planning in Uganda on behalf of national governments (documents urban expansion planning outputs, and outcomes for migration, informality, environment, and gender equality to create accountability for the approach).

Objective 2: Establish one practitioner network in Uganda which provides remunerated technical advisory services on urban expansion planning to cities and ministries.

Each applicant shall submit an actor-based theory of change to achieve Objective 2. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- One business model for remunerated technical services to cities
- One practitioner network of certified trainers created or facilitated by the knowledge hubs
- Number of network members (includes public, private, and academia)

Objective 3: Provide technical advisory on enhanced urban planning and forecasting, including climate risk and gender sensitive planning, to Phase I partner cities to progress the implementation of their urban expansion plans.

Each applicant shall submit an actor-based theory of change to achieve Objective 3. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- 1 visit to participating cities to consult with city council and urban expansion plan team on progress to date (within two months of start of project)
- 1 detailed training and political engagement plan to achieve the implementation of the urban expansion plans for all participating cities, including surveying of the arterial grid, identification of stakeholders along the grid rights of ways, and consultation needs / strategy (within two months of the start of the project)
- Number of expert days for technical assistance and number of mentoring activities provided to partner cities (delivered by the practitioners' network which is facilitated by the knowledge hubs)
- 2 training sessions for each participating city and 1 joint sessions at national level per year
- Number of initiatives to support city councils in dialogues with land-owners, including an evidence based rationale of land value increase for each city
- Number of initiatives to engage political leadership at local and central government level to approve, budget for, and finance the plans
- 100% of the urban administration of the partner cities is covered by urban expansion plans by December 2026
- Number of cities awarded with best performance prizes for successful implementation of urban expansion plans
- All partner cities and their urban expansion planning departments are supported to ensure necessary budgets for the implementation of the plans from municipal, central government, international development partners or other funding sources. An appropriate monitoring instrument on all co-financing, in cash or in-kind, needs to be prepared in collaboration with the Cities Alliance.

Objective 4: Strengthening regulatory frameworks for cities to implement urban expansion planning.

Each applicant shall submit an actor-based theory of change to achieve Objective 4. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicator with proposed target has to be included:

- At least one strengthened regulatory and policy framework per country. For Uganda, ensure the relevant policies, laws, regulations, Standards and Guidelines pertaining to physical planning and urban development are reviewed to incorporate the urban expansion planning methodology.
- Fully constituted multi-disciplinary Urban Expansion Planning Team at regional/central government level actively engaged in implementing the plans.

Objective 5: Scaling urban expansion planning and forecasting approaches at national level and across rapidly urbanizing regions in Sub-Saharan Africa.

Each applicant shall submit an actor-based theory of change to achieve Objective 5. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- 3 national policy initiatives, such as dialogues and peer-learning events, building institutional capacities of policy makers and local authorities on enhanced urban planning and forecasting
- 2 regional policy initiatives, dialogues and peer-learning events building institutional capacities of policy makers and local authorities on enhanced urban planning and forecasting
- 80% of trainers, trainees and peer learning and conference participants were satisfied with course content and teaching approach.
- 70% of trainers, trainees and peer learning and conference participants reporting learning new skills or gaining knowledge
- 5 additional cities preparing urban expansion plans due to this project

Lot 2: Ethiopia – Participating cities Jigjigia and Dire Dawa and a third city (Wajale)¹ with support of the Ministry of Urban Development and Construction and learning cities from Somaliland (Borama and Gabiley).

Objective 1: Establish one knowledge hub at a leading urban planning institution in Ethiopia to conduct training of trainers in urban expansion planning, forecasting and adaptation for greater inclusion.

Each applicant shall submit an actor-based theory of change to achieve Objective 1. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- One business model/fee setting model to create sustainability in the training activities of the knowledge hub
- Number of Training of Trainers (TOTs) modules on urban expansion planning (provided by the Cities Alliance) adapted to the local context (including dedicated climate and gender modules)
- At least 60 trainees participate in at least 6 TOTs at the knowledge hub. Trainees can be from the public/private sector and academia.
- At least 20% of the trainees certified by a third-party entity as trainers
- One new or strengthened monitoring unit for measuring application of urban expansion planning in Ethiopia on behalf of national governments (documents urban expansion planning outputs, and outcomes for migration, informality, environment, and gender equality to create accountability for the approach).

Objective 2: Establish one practitioner network in Ethiopia which provides remunerated technical advisory services on urban expansion planning to cities and ministries.

¹ The selection of the third partner city should be based on the commitment of the city administration to be part of the project.

Each applicant shall submit an actor-based theory of change to achieve Objective 2. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- One business model for remunerated technical services to cities
- One practitioner network of certified trainers created or facilitated by the knowledge hubs
- Number of network members (includes public, private, and academia)

Objective 3: Provide technical advisory on enhanced urban planning and forecasting, including climate risk and gender sensitive planning, to Phase I partner cities to progress the implementation of their urban expansion plans.

Each applicant shall submit an actor-based theory of change to achieve Objective 3. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- 1 visit to participating cities to consult with city council and urban expansion plan team on progress to date (within two months of start of project)
- 1 detailed training and political engagement plan to achieve the implementation of the urban expansion plans for all participating cities, including surveying of the arterial grid, identification of stakeholders along the grid rights of ways, and consultation needs / strategy (within two months of the start of the project). The consultation process should include the regional bureaus of urban development and the Ministry of Urban Development and Infrastructure.
- Number of expert days for technical assistance and number of mentoring activities provided to partner cities (delivered by the practitioners' network which is facilitated by the knowledge hubs)
- 2 training sessions for each participating city and 1 joint sessions at national level per year
- Number of initiatives to support city councils in dialogues with land-owners, including an evidence based rationale of land value increase for each city (Established and replicable processes of stakeholder dialogue to free land for urban expansion that includes the city council, municipality, traditional leaders and other stakeholders)
- Number of initiatives to engage political leadership at local, regional and central government level to approve, budget for, and finance the plans
- 100% of the urban administration of the partner cities is covered by urban expansion plans
- Number of cities awarded with best performance prizes for successful implementation of urban expansion plans
- All partner cities and their urban expansion planning departments are supported to ensure necessary budgets for the implementation of the plans from municipal, central government, international development partners or other funding sources. An appropriate monitoring instrument on all co-financing, in cash or in-kind, needs to be prepared in collaboration with the Cities Alliance.

Objective 4: Strengthening regulatory frameworks for cities to improve urban planning.

Each applicant shall submit an actor-based theory of change to achieve Objective 4. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicator with proposed target has to be included:

- At least one strengthened regulatory and policy framework in Ethiopia such as the national spatial planning framework and/or regional spatial planning frameworks.

- Fully constituted multi-disciplinary Urban Expansion Planning Team at regional/central government level actively engaged in implementing the plans.

Objective 5: Scaling urban expansion planning and forecasting approaches at national level and across rapidly urbanizing regions in Sub-Saharan Africa.

Each applicant shall submit an actor-based theory of change to achieve Objective 5. The proposal shall clearly state the approach, stakeholder analysis and indicators with targets. At a minimum, the following indicators with proposed targets have to be included:

- 3 national policy initiatives, dialogues and peer-learning events building institutional capacities of policy makers and local authorities on enhanced urban planning and forecasting
- 2 regional policy initiatives, dialogues and peer-learning events building institutional capacities of policy makers and local authorities on enhanced urban planning and forecasting
- 80% of trainers, trainees and peer learning and conference participants were satisfied with course content and teaching approach.
- 70% of trainers, trainees and peer learning and conference participants reporting learning new skills or gaining knowledge
- 5 additional cities preparing urban expansion plans due to this project

1.4. Scope of the grant/funding

As outlined in sections 1.2 and 1.3, the Cities Alliance seeks to consolidate the cooperation with the partner cities of Phase I, namely Arua, Gulu, Mbale and Jinja (Uganda), Dire Dawa, Jiggia and a third city (Wajale) (Ethiopia); Borama and Gabiley (Somaliland, Somalia). The Cities Alliance encourages a partnership approach with strong leadership by local and national organizations.

1.5. Target Beneficiaries

Phase I partner cities, additional cities engaging in urban expansion planning, line ministries, and other urban planning and urban migration stakeholders at local, national and regional level.

1.6. Grant/funding available

Total amount of grant/funding available

The following table indicates the total amount of grant/funding available under this Call for Proposals **per Lot**.

Currency	Amount	Amount in words
USD	500,000 USD	Five hundred thousand United States Dollars

Grant/funding amount limit per applicant

The following table indicates the limit of grant/funding allowable per applicant under this Call for Proposals.

Currency	Amount	Amount in words
USD	250,000 USD	Two hundred fifty thousand United States Dollars

Grant/funding amount limit per applicant per package

The following table indicates the limit of grant/funding allowable per applicant for each package under this Call for Proposals.

Package	Currency	Amount	Amount in words
Package 1	USD	250,000 USD	Two hundred fifty thousand United States Dollars
Package 2	USD	250,000 USD	Two hundred fifty thousand United States Dollars

Cities Alliance may cover up to 70% of the total project cost. Both Lot 1 and Lot 2 can apply for a maximum Cities Alliance contribution of up to USD 250,000 each. As per requirement of the financing source, each applicant is required to co-finance, in-kind or cash - at least 30% or USD 107,143 - of the remaining project cost.

1.7. Grant/funding duration

The expected duration of the grant/funding is:

YEAR(S)	3	MONTH(S)	36
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1.8. Applicant Eligibility

- 1) The proposed project must meet all the objectives and targets. Project proposal must be in line with the geographical and thematic scope as outlined in this Call for Proposals.
- 2) The Cities Alliance encourages a partnership approach with strong leadership by local organizations.
- 3) Applicant organizations can be governments, international and national non-governmental organizations, research institutions and knowledge centres, United Nations agencies and/or international development organizations with a strong research track record and reputation on labour and/or involuntary migration to secondary cities in low-income countries. Commercial entities cannot be lead applicants for this call.
- 4) Lead applicants must be able to provide proof of registration in the project country for at least five years.
- 5) Lead applicants must have proven experience in working on urban planning with cities in Uganda, and/or Ethiopia.
- 6) Lead applicant organizations must provide a bank statement to receive funds in US dollars.
- 7) Project proposals must include at least 30 per cent co-financing of the total project budget (in-kind and/or cash). Verifiable commitment to be provided (e.g. letters from co-financiers).
- 8) Applicants must comply with all provisions in the Grant Agreement, including the General Conditions, and applicable UNOPS policies and procedures. This

- includes compliance to UNOPS financial rules and regulations and the submission of an external audit report at the end of the project.
- 9) Entities on the UN Sanctions List are ineligible to apply.

Applicant country of registration and nationality

Applicants that are included or excluded under this Call for Proposals with regard to country of registration and nationality (for individuals) are as follows:

Open to all countries ▾

Additional conditions of ineligibility

The applicant shall not fall under any of the conditions listed in the [Instructions to Applicants](#), Article 1, which makes the applicant ineligible for this grant/funding.

1.9. Content of proposal submissions

Applicants must submit the following documents:

1. Proposal Application Form- One per Country (Please read **Instructions to Applicants** before completing the Proposal Application Form)
2. Financial Proposal Form (Please read **Guidelines on Eligible expenditures for grants** for eligibility of the expenditure)
3. Gender Marker Self-Assessment Form
4. Protection from sexual exploitation and abuse (PSEA) capacity assessment Form
5. Proposal Submission Declaration Form (Please read **Terms and Conditions of Grant Support Agreements**)

Applicants must carefully read and understand the [Requirements](#) in this Call for Proposals and the [Instructions to Applicants](#) before completing the Proposal and Annexes.

1.10. 1.12 Sub-granting² and contracting³

Sub-granting and contracting are only permitted under this Call for Proposals as follows:

Sub-granting	Permissible ▾
Contracting	Permissible ▾

Activities not permitted to be sub-granted or contracted

The lead applicant may not sub-grant or contract responsibilities related to grant funds administration, grant management and reporting.

² Sub-grant is when an entity is selected by the implementing partner to implement activities on behalf of the implementing partner and complies with the same principles as outlined in the UNOPS Operational Instruction on [Grant Support](#).

³ Contracting is done when an implementing partner procures services, goods or works using the procurement procedures of the IP.

1.11. 1.13 Proposal currency

The proposal budget shall be prepared in the following currency(ies):

United States Dollar (USD)

1.12. Language of proposals

All proposals, information, documents and correspondence exchanged between UNOPS and the applicant shall be in:

English ▾

1.13. Proposal submission

The deadline for the submission of proposals is **15:00 East African Time (14:00 Central European Time) on 28 March 2023**.

Proposals shall be submitted using the following method:

Submit via e-mail only to the Cities Alliance Secretariat at

ca-proposal@citiesalliance.org with the subject line including Urban Expansion in the Horn of Africa- Ethiopia or Uganda.

Refer to Article 10, "Proposal Submission", of the **[Instructions to Applicants](#)** for details on the specific requirements for proposal submission.

1.14. Type of legal instrument

The applicable legal instrument(s) are identified hereunder.

- Grant Support Agreement
- Project Cooperation Agreement
- UN2UN Agreement

1.15. Contact information

All correspondence, notifications and requests for clarifications in relation to this Call for Proposals shall be sent to:

Email	ca-proposal@citiesalliance.org
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1.16. Important dates and deadlines

The following tables provide the key dates and deadlines pertaining to this Call for Proposals.

	Date	Time	Timezone
Submission of proposals	Mar 28, 2023	[15:00]	East African time (EAT)
Online info session	Feb 17, 2023	[13:00]	East African time (EAT)
Expected agreement start date	May 1, 2023		

Questions can be submitted to [ca-proposal@citiesalliance.org] between 14 February to 20 March 2023 .

Answers will be replied in 3 batches as follows:

1. Questions received from 14 to 28 February, answers will be posted on 2 March 2023.
2. Questions received from 1 to 10 March, answers will be posted on 13 March 2023.
3. Questions received from 11 to 20 March, answers will be posted on 22 March 2023.

Cities Alliance will organize an information session on the Call for Proposals on Friday, February 17, 2023 at 13:00. (Eastern African Time (EAT) UTC +3 = 11 AM CET)

The names and contact information for the applicant's representative who will attend the information session shall be submitted in writing by the applicant to the [ca-proposal@citiesalliance.org]. This information should include the full name and position of each identified representative and should be sent at least one **(1) working day before 17 February 2023**.

Here is the link to access the session:

<https://zoom.us/j/96613569690?pwd=MktvalNmU1ZHQTYvQmh1Z01LM EZHdz09>

Meeting ID: 966 1356 9690

Passcode: 210448

2. REQUIREMENTS

2.1. Approach and methodology

The requirements for Protection from Sexual Exploitation, Abuse and Harassment (PSEAH) and Gender Mainstreaming in projects should be integrated and reflected in the Project Application Form .

Please read the UNOPS Guidelines.

1. Guidelines for Protection from Sexual Exploitation, Abuse and Harassment (PSEAH) can be found in this link.
<https://www.unops.org/about/governance/accountability/iaig/sexual-exploitation-abuse-and-harassment>
2. Guidelines for Gender Mainstreaming in Projects with Annexes uploaded in UNGM.

2.2. Implementation Plan requirements

Using the proposed outputs, deliverables and activities, in view of achieving the outcomes of the grant/funding, complete the Implementation Plan. The Implementation Plan should accurately show the sequence and timeframe for the delivery of each activity and output.

2.3. Implementing Partner Monitoring Plan requirements

Complete the Implementing Partner (IP) Monitoring Plan.

The project proposal must present an approach to delivering a monitoring, evaluation and learning (MEL) system which will collect and securely store data in adherence to the indicator definitions (including required disaggregation), review and collate performance information and data, and ensure timely reporting on the delivery of outputs, and the achievement of outcomes and targets. The MEL plan should outline steps towards the regular collection, analysis and reporting of feedback and change stories from stakeholders and beneficiaries and outline an approach to internal evaluation and performance management which fully engages relevant city stakeholders. Further information is provided in the “Project Proposal Submission Form”.

2.4. Budget requirements

- a. Budget Ceiling: 250,000 USD per Lot.
- b. For additional budget requirements , please refer to the Guidelines on Eligible Expenditure for Grants and please refer to instructions on Budget Proposal Template.

3. EVALUATION METHOD AND CRITERIA

Proposals submitted in response to this CFP document shall be evaluated following the cumulative analysis methodology, which consists of the following steps:

- a. **Preliminary screening:** This includes an assessment of whether proposals comply with the formal and eligibility criteria stated in [Table 1: Formal and eligibility criteria](#). All proposals which pass this stage will go through a subsequent evaluation as follows.
- b. **Technical evaluation:** This assesses the technical points achieved by each proposal, as per the maximum obtainable points assigned per criteria group in [Table 2.1: Parts of the technical proposal evaluation](#). Only proposals that meet the minimum threshold indicated in [Table 2: Technical criteria](#) shall be considered substantially compliant at this stage. Evaluation of the technical proposals shall be completed prior to opening the financial proposals.
- c. **Financial evaluation:** Financial proposals will only be opened for proposals that have achieved the minimum threshold in the technical evaluation. Financial proposals shall be checked for any mathematical errors in accordance with Article 15, “Minor Informalities, Errors or Omissions” in the [Instructions to Applicants](#). The total financial proposal points achieved for each proposal are determined in accordance with [Table 3: Financial criteria](#).
- d. **Combined analysis:** This evaluation will be conducted based on a combined analysis, analyzing all of the relevant costs, risks and benefits for each proposal. The combined analysis includes the scores from both the technical evaluation, including factors such as risks, sustainability, and others, and the financial evaluation, using a predefined weighting method.

The maximum number of points that an applicant may obtain for its proposal are as follows:

- Technical proposal: 70 points
- Financial proposal: 30 points

The maximum total number of points an applicant may obtain for both the technical and financial proposals is 100. The weighting of the technical and financial proposals will be [Type ratio here (80:20 or 70:30 or 60:40 – the ratio determined for the technical proposal and the financial proposal)].

UNOPS may request clarification or further information in writing from applicants at any point during the evaluation process. In this case, any response from an applicant shall not modify the substance of the proposal, including both the technical and financial aspects of the proposal. UNOPS may use such information to interpret and evaluate the relevant proposal.

The evaluation of a proposal by UNOPS shall be carried out against the evaluation criteria described in the following tables.

A complete technical, financial and organizational capacity assessment of each proposal will be undertaken. Cities Alliance reserves the right to fund any, a portion of, or none of the applications submitted. As part of its evaluation process, Cities Alliance may decide to discuss technical, cost or other issues with one or more applicants. After scoring the proposals, the evaluation team may determine that one or more proposals requires further clarification and

possible revision. Discussions with submitting organizations are only conducted regarding proposals determined to be acceptable. An Evaluation Committee will appraise applications in accordance with the selection criteria identified below. Applicants should note that these criteria serve to a) identify the significant issues that applicants should address in their applications; and b) set standards against which all applications will be evaluated. If there are ambiguities/unclear explanations, or further need for details, the Evaluation Committee will seek clarification from the submitting organization if the proposal otherwise meets the main criteria.

The Evaluation Committee will evaluate proposals against technical and financial assessment criteria.

3.1. Preliminary screening

Table 1 FORMAL AND ELIGIBILITY CRITERIA	
Criteria evaluated on a pass/fail basis during the preliminary screening	Documents to establish compliance with the criteria
1. The applicant is eligible as defined in Article 1, “Applicant Eligibility” in the Instructions to Applicants .	<ul style="list-style-type: none"> ● Proposal ● Declarations ● PSEA Self-assessment
2. The proposal is complete and includes all completed forms and other documentation requested in the Particulars, ‘Content of proposal submissions’ .	<ul style="list-style-type: none"> ● All documentation requested in the Particulars, ‘Content of proposal submissions’
3. The applicant accepts the conditions in the template for agreement, as specified in the Particulars, ‘Type of legal instrument’ .	<ul style="list-style-type: none"> ● Declarations
4. The proposal meets the objectives of the Call for Proposal.	<ul style="list-style-type: none"> ● Proposal
5. Project proposals are in line with the geographic scope as outlined in this Call for Proposals.	<ul style="list-style-type: none"> ● Proposal
6. The applicant proposes a partnership approach with strong leadership by local and national actors.	<ul style="list-style-type: none"> ● Proposal
7. Applicants are eligible as specified under point 1.8.	<ul style="list-style-type: none"> ● Proposal
8. Applicants must have proven experience in working on urban planning with cities in Uganda and Ethiopia.	<ul style="list-style-type: none"> ● Proof of registration

<p>9. Lead applicant organizations must provide a bank statement to receive funds in US dollars.</p>	<ul style="list-style-type: none"> ● Bank Statement
<p>10. Project proposals must demonstrate ability to co-finance the project budget (in-kind and/or cash).</p>	<ul style="list-style-type: none"> ● Financial Proposal (Budget Template)
<p>11. Applicants must comply with all provisions in the Grant Agreement, including the General Conditions, and applicable UNOPS policies and procedures. This includes compliance to UNOPS financial rules and regulations and the submission of an external audit report at the end of the project.</p>	<ul style="list-style-type: none"> ● Proposal ● Acceptance of Submission
<p>12. Entities on the UN Sanctions List are ineligible to apply.</p>	

3.2. Technical evaluation

Table 2 TECHNICAL CRITERIA	
Criteria evaluated based on scoring during the technical evaluation	Documents to establish compliance with the criteria
<p>The maximum number of technical points obtainable is detailed in Table 2.1: Parts of the technical proposal evaluation.</p> <p>To be technically compliant, applicants must obtain a minimum threshold of 70 %of the total obtainable points.</p>	<ul style="list-style-type: none"> ● Proposal

Table 2.1: Parts of the Technical Proposal Evaluation		Obtainable points
<p>1.</p>	<p>Innovative approach, relevance and effectiveness: Do the proposed implementing organization and its partners have the necessary technical expertise, experience and capacity to implement and adequately monitor the project? Is the project approach and methodology feasible and relevant? Does the project approach show familiarity and comfort with the urban expansion planning methodology? Are the proposed capacity building approaches responsive to local needs and based on previous experience and evidence-based knowledge? Is the curriculum development approach technically feasible and likely to achieve the stated results? Does the overall project embody good development practices, including empowering local actors and</p>	<p>15</p>

	<p>effective performance management? Has the proposal sufficiently considered major internal and external risks and indicated risk mitigation measures to be developed?</p>	
2.	<p>Context and stakeholder knowledge: Are the proposed implementing organization and its partners familiar with the urban development needs and challenges of local governments in the respective project site? Are they familiar with the national planning frameworks and relevant actors, and how this framework is enacted on the ground in secondary cities? Does the proposal demonstrate a good understanding of the context in the respective project site? Is there a stakeholder analysis and a clear definition of target groups? To what extent is participation of, and ownership by, key stakeholders in planning and design evident? Is it clear how the project will work with the government, non-state actors, and host communities?</p>	15
3.	<p>Sustainability and partnership: Does the project demonstrate a good case for sustainability of the knowledge hub beyond the funding period? Has an exit strategy been considered? What partnerships are foreseen in the proposal? Is the proposed consortium likely to be able to act on the local and national issues relating to urban expansion planning? Is the partnership built on long-term trust relationships? Is the governance and coordination system between stakeholders and partners appropriate? Is the role and involvement of the sub-partners clear and sound? Are project partners likely to increase institutional, organizational and technical capacities through project implementation? Is the proposed partner for certification of trainers conversant with the principles of urban expansion planning and fully capable of certifying trainers?</p>	20
4.	<p>Gender sensitivity: Does the proposal demonstrate awareness and understanding of concrete gender-related/gender-specific challenges in the project context? To what extent does the proposal strive to include women as equal participants and beneficiaries? To what extent does the proposal plan to contribute to greater gender equality and women’s empowerment? How likely is the proposed monitoring mechanism to successfully disaggregate program results by gender?</p>	10
5.	<p>Integration and Social Cohesion: How does the proposed support for the partner cities ensure the inclusion of migrants and forcibly displaced in a conflict-sensitive and sustainable way? How will this be mainstreamed in curriculum materials?</p>	10
Total technical proposal points		70

3.3. Financial evaluation

Table 3 FINANCIAL CRITERIA		
Criteria evaluated based on a cumulative analysis methodology during the financial evaluation	Documents to establish compliance with the criteria	Obtainable points
<p>1. How does the proposed budget compare to other applicants of this Call for Proposals in terms of value for money, specifically the four criteria of economy, efficiency, effectiveness, and equity? For the at least 30% co-financing of the total project cost, what is the share of in-kind and/or cash co-financing and how does this affect the sustainability of services launched by the project?</p>	<ul style="list-style-type: none"> • Financial Proposal (budget template) 	30
Total financial proposal points		30

Annex 1: Gender Sensitivity Guidelines

Cities Alliance is strongly committed to contributing to greater gender equality and women’s empowerment through all its projects and programmes. An important step to achieving these goals is to ensure gender sensitivity is considered in the formulation and planning of projects.

Gender sensitivity means that in each action and process, gender norms and roles, and the impact gender has on access to, and control over, resources are considered and addressed. Suggested guiding questions for assessing gender sensitivity of any proposal are listed below. Applicants to this call shall further consult the Cities Alliance Gender Strategy.

- How does the proposal attempt to address existing gender inequalities?
- How does the proposal strive to include women as both equal participants and as equal beneficiaries of the planned interventions?
- Does the proposal identify barriers between women, men and other vulnerable or marginalized groups?
- Are different needs and vulnerabilities of marginalized groups assessed?
- Will the project ensure that data is disaggregated and analysed by sex, age and other relevant variables in the given context?
- Is gender reflected in the objectives, outcomes, and outputs of the proposal?
- Does the proposal include any interventions to advance gender equality and/or women's empowerment?
- Does the proposal apply a gender sensitive participatory process when engaging with different stakeholders?
- Is the monitoring and evaluation framework gender sensitive?
- Does the proposed implementation team demonstrate gender expertise?
- Does the proposal acknowledge how different risks can impact men and women, boys and girls differently?

- Does the proposal ensure rigorous ethical standards are applied to work with women, children and/or other vulnerable groups?
- Does the proposal ensure project activities are gender-sensitively planned (e.g. does the project aim to reduce discrimination against women and will this be monitored?)
- Have adequate resources been provided and allocated for the proposed gender sensitive activities? How does the budget reflect on gender-specific activities?

Annex 2: Guidance on Value for Money

VfM in the proposal

Value for money (VfM) begins with programme design. Project proposals should include an overall value for money statement, i.e. why the chosen interventions are better value for money than alternative approaches to address the same problem. For example, the VfM statement could include a cost-effectiveness assessment of two or more alternatives, unit-cost benchmarks, or local or international evidence that supports the chosen intervention, and the reasoning for the proposed approach in this context.

How the project will manage VfM during implementation

This guidance provides a high-level overview of VfM in the project cycle (Figure 1); a description of how the programme components are assessed for VfM (Table 1); and how the assessment of programme components is linked to the four VfM factors: economy, efficiency, effectiveness, and equity (Table 2).

Projects begin with inputs that are translated into goods and services necessary to implement the project. The allocation of funds for staff, equipment, services, administration, and contracting with partners for project delivery are often analysed in planning and during implementation.

Figure 1: Value for Money project cycle

Input:	Process:	Output:	Outcome:	Impact:
HR, procurement of goods and services to accomplish project objectives, contracted deliverables. e.g. vaccines procured, contracting methods	How are inputs used for beneficiaries; strategy to accomplish project objectives; partner management e.g. plans to deliver and monitor use of vaccines	The planned results delivered for beneficiaries e.g. Number of children vaccinated	The sustained use, adoption, or benefit received by beneficiaries. e.g. children less susceptible to major childhood diseases	Long-term transformative change e.g. poverty reduced

Translating inputs into delivery for beneficiaries involves processes and activities that lead to outputs. VfM analysis generates evidence to manage and maintain efficient operations at this project stage. Beneficiary measurements assessing the equitable spread of outputs are also analysed. For such measures cost efficiency, unit costs, and regional variations are often analysed.

When outputs are sustained, and when there is evidence of adoption of planned results by beneficiaries, effectiveness is assessed. Effectiveness may be assessed by cost-benefit

analysis of sustained results, unit-costs of outcomes, value lost or gained vs. plan, sustainability, and ultimate impact to improve the lives of beneficiaries. It should be noted that effectiveness measures are often less possible in the early stage of programming when there is less evidence of adoption and sustained results.

Equity is measured across the stages of planning and implementation. Clear plans for quantifying beneficiaries should be defined including gender disaggregation, displaced persons, disabled persons, and persons in conflict affected areas.

The project cycle consists of various programme components illustrated below in Table 1. The evaluation committee will review the project’s VfM approach for a clear plan indicating how the VfM factors (Table 2) will be measured and managed across programme components during project implementation.

Table 1: Programme components

Table 2: Value for money factors

Economy:	Efficiency:	Effectiveness:	Equity:
<p>What is the evidence that the purchase and contracting for goods and services is the best quality at the best price?</p> <p>What are the processes to ensure economy for the project duration?</p>	<p>What is the relationship between planned and actual results and expenditures?</p> <p>Are output targets achieved at or below budget? How will the project manage efficiency during implementation?</p>	<p>How will the project measure if the interventions are effective?</p> <p>How will the project assess the likelihood of sustainability or the needed for additional support? How will beneficiary adoption of results, and potential impact be estimated or measured? What is the exit plan when the project ends?</p>	<p>How will the project measure the equitable spread of benefits across gender, disabled persons, displaced persons, and persons in conflict areas?</p> <p>Justify whether beneficiary disaggregation will be assumed, estimated, or counted? Has the project considered the possible costs to ensure equity?</p>

To demonstrate an understanding of VfM, it may be useful to propose a limited number of measures that will be reported on regularly, the data that will be used for VfM reporting and calculations and link each measure to one (or more) VfM factor(s).

The evaluation will review how the proposed project will include VfM analysis in its strategy and planning and how the project will manage VfM during implementation. It is not necessary to propose all possible VfM metrics, though it is helpful for the project to suggest one or more metrics that will provide evidence of economy, efficiency, effectiveness and equity.

Indicative approaches to VfM management for proposals

Table 3 describes some indicative appraisal criteria that Cities Alliance uses for assessing VfM in proposals. If a proposal is advanced for further consideration, the VfM metrics may be further defined or revised in consultation between Cities Alliance and the implementing partner.

Table 3: Indicative approaches to VfM in proposals

Describing the VFM plan	<p>The project proposal should describe how it aims to achieve or represents VFM, or what the expected returns on investment are (overall or for specific project components).</p> <p><i>What are the proposed VFM metrics to address each VFM factor (economy, efficiency, effectiveness, equity)? Will the project conduct, cost performance ratio, cost-benefit analysis? Will there be transparent procurement procedures in place? How will project unit costs compare to unit costs for the same outputs in similar projects (here or globally)? Has cost benchmarking or cost-effectiveness data been presented to make the case for the project?</i></p>
Alternative project approaches	<p>The project approach should offer better VFM compared to other approaches and consider benchmarks where possible.</p> <p><i>Are alternative approaches offered or clear justification outlined why specific approaches are selected? Have the expected results and financial costs of alternative approaches been considered?</i></p>
Robust design	<p>The proposal should outline a well-thought-out design to achieve the project objectives.</p> <p><i>For example, this may include a thorough analysis of the project context and strategies for effective delivery, innovative approaches for promoting uptake or dissemination, promising technologies or delivery models, etc. What are the key aspects of the design that warranted the project's selection? How will the project address displaced persons, persons in conflict areas, disabled persons, gender, etc.?</i></p>
Budget alignment	<p>The project budgets and results indicators are aligned to allow easy VFM activity/output/outcome assessment.</p> <p><i>Budget templates should be designed in a manner that enables proper alignment to the programme components based on which standard VFM calculations will be performed (e.g. by 'programme outcome'). Is the budget presented to a level of detail that will allow expenditure monitoring by component, if desired?</i></p>

Data collection (M&E)	<p>The project M&E system (indicators and data collection plans) is set up to allow for assessment project results vs. expenditures. The M&E system should also allow VfM analysis at the project and regional (township, state) levels and for multi-region projects.</p> <p><i>Is it possible to determine the budgeted costs of the outputs and the activities that contribute to outputs? Does the project define data collection plans and have measurable indicators that allow for VfM assessments of outcomes? Is it possible to determine the budgeted costs of the outputs and the activities that contribute to outputs?</i></p>
Long-term benefits and sustainability	<p>What are the opportunities and challenges for long-term sustainability of the project or key project outputs/outcomes. Is the project likely to be sustainable, replicable, and/or scalable (or have significant impact on policy)?</p> <p><i>How will the project address long-term sustainability? Is private sector involvement possible? Will the project seek to influence increased government funding, and if so, how will this be measured by the project? Is other funding likely to follow the current project? What is the exit plan at project end? For example, are cost-recovery mechanisms in place? Are adequate documentation processes outlined for possible replication? Is there a plan for influencing policy? Projects that are sustainable (e.g. activities continue once funding ceases) will continue to generate benefits even though they may not be captured in a VfM assessment. Similarly, projects that are replicable or scalable will also have the potential to generate greater benefits if they inform the design of other projects or are able to have a wider reach.</i></p>