



## Submission of Proposals: Application Form

Please read carefully the "Guidelines for the Submission of Proposals" which outline the modalities for application and the criteria for the selection of proposals spelled out in the Cities Alliance Charter. Please ensure that all necessary supporting documentation is attached to this form. Additional information may also be enclosed, **but total submission should not exceed 12 pages.**

### 1. TITLE of PROPOSAL: Regional Institutional Strengthening and Knowledge Management Support to Pacific Island Countries to Strengthen Implementation of the Pacific Urban Agenda under the Pacific Plan

#### 2. PROPOSAL SUBMITTED BY<sup>1</sup>:

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Contact person for questions on the application:  
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#### 3. CITIES ALLIANCE MEMBER(S) SPONSORING THE APPLICATION:

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#### 4/5. RECIPIENT ORGANISATIONS and IMPLEMENTING PARTNERS: – organisations that will receive and execute the grant:

Name and Title: Mr. Jude Kohlhase, President

<sup>1</sup> Country-specific proposals typically originate from local authorities, but must be sponsored by at least one member of the Cities Alliance (see [Cities Alliance Charter](#), Section D.14).

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#### INFORMATION ON PROPOSED PROJECT:

6. Type of project (*check one*):  
City Development Strategy\_\_\_ Slum Upgrading\_\_\_ Both XXX
7. Geographic scope of project (*specify*):  
City: \_\_\_\_\_  
Country: \_\_\_\_\_  
Global/Regional/Multi-country: Pacific Region
8. Expected duration: 2 years

#### BUDGET SUMMARY:

9. Amount of total budget requested from Cities Alliance funding: US Dollars \$500,000
10. Co-financing amount of total budget, including local partners: see end document US Dollars **\$565,100**
11. Total project budget cost: US Dollars \$1,065,100

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#### DESCRIPTION OF PROPOSED PROJECT:

##### 12. Background

In 2006, the population of the Pacific region was 9.1 million persons, with some 2.18 million people or 24% of Pacific island population living in towns and cities.<sup>2</sup> Since 2000, the rate of population growth in Pacific Island Countries (PICs) has been averaging around 2% per annum and is generally considered high on a world scale. If the population of PNG is excluded (6.2 million persons) from the Pacific island total population of 9.1 million persons, then Pacific urbanisation increases to 46%. Thus, nearly 1 in every 2 Pacific islanders live in urban areas. Sub-regionally, 66% of Micronesians and 42% of Polynesians live in cities and towns, both of which are experiencing rapid growth rates of around 3 to 4%. Most Pacific island urban residents are found in Melanesia (1.55 million out of 2.18 million) while the largest proportion of urban populations is found in Micronesia. Melanesia contains large and more dispersed islands and while numerically their urban populations are high, rural populations make the urban share in the order of 10-15%. In this setting, urban populations are expected to double in 15 to 20 plus years. While the Melanesian country of PNG is "only" approximately 15% urban, this represents approximately 804,000 urban people, which is more than the entire population of the geographic and cultural sub regions of Polynesia (650,000) and Micronesia (540,000).

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<sup>2</sup> Gerald Haberkorn, SPC, 2006.

Urbanisation in the Pacific is characterized by:

- growing urban towns and cities where rural to urban migration is high
- urban growth rates being faster than rural and national growth rates, with high natural growth rates of existing informal settlements in urban areas
- a backlog of a demand for services and infrastructure,
- little or no formal serviced land to cater for urban and peri urban population growth,
- rising squatter and informal under serviced settlements,
- escalation of land disputes and conflicts, with minimal involvement of customary landowners in the urban land mobilisation process,
- increasing impacts of climate change focused in towns and cities on low lying atolls and narrow coastal hinterlands,
- constraints in governance, human resources and capacity building,
- poor understanding of what is urban management and how to make cities more efficient and effective engines of economic, social and environmentally sustainable growth,
- limited resource allocation in national budgets for and consideration of the urban sector in National Sustainable Development Plans (NSDP's), and
- a slowly growing recognition of the importance of urbanization as a major (and potentially positive) driver of socio-economic change in the Pacific.

As the PICs have urbanized, towns and cities have been growing faster than rural areas. As island economies have developed, an increasing share of national wealth (GDP) has been produced in urban areas. Urban economic activities have strengthened the viability of rural economic development by providing markets, agro-industrial production, processing centers and trans-shipment points for rural produce. Urbanisation in the Pacific therefore can be viewed as the spatial translation across varied geographical island settings of the production structure of their economies. This has been characterized by a relative declining share of primary (rural agricultural) production sectors and an increasing share of secondary, industrial and tertiary service sectors, all primarily located within urban areas.

Within this context, the need to improve the management of both the process and impacts of urbanisation to underpin the efficiency of urban areas and their effective contribution to national socio-economic development and overall poverty reduction, has been increasingly recognized in the Pacific region in the new millennium. The first Pacific Urban Workshop on Urban Management with participants from 10 PICs was held in Nadi from 1 to 4 December, 2003, facilitated by ESCAP, UN-Habitat and the Pacific Islands Forum Secretariat (PIFS) with support from other key stakeholders such as ADB, and UNDP . A plan of action known as the Pacific Urban Agenda (PUA) was adopted at this workshop and was endorsed at ESCAP's sixtieth session (Shanghai, April, 2004, resolution 60/7). The PUA was subsequently integrated by the PIFS into the overarching regional institutional framework under Initiative 13.5 of the Pacific Plan by the Forum Island leaders in 2005. This meeting called on PIFS and other key stakeholders to develop plans and policies to implement the PUA. The Secretariat of the Pacific Community (SPC) was designated by PIFS as the key regional agency to take the lead in implementing the PUA in cooperation with PICs and was asked to report back to the island leaders via the Pacific Plan Action Committee, a monitoring committee meeting twice a year to oversee Pacific Plan implementation.

Building on this work, the second Pacific Urban Workshop on Urban Management was held in Nadi from 23 to the 25 April, 2007, jointly facilitated by PIFS, the Commonwealth Local Government Forum (CLGF), ESCAP and UN-Habitat to review PUA implementation progress. At this meeting, PIC planners and urban decision makers exchanged information on urbanisation issues and challenges including current good practices. Importantly, participants reviewed the priorities of the PUA including key issues, themes and action. In the absence of a systematic approach to developing strategic interventions to support city growth in PICs, the workshop recognized the importance of preparing City Profiles through a City Development Strategy (CDS) approach so as to raise the importance of the urban sector in the national sustainable development planning approach. The workshop also recognized the importance of using proven processes to engage city stakeholders in the city development and visioning processes so as to improve the performance of urban areas. The workshop concluded with renewed enthusiasm and expanded support from regional organizations such as AusAID, the World Bank, ADB and NZAID who recommended better, coordinated development partner support to assist PICs implement the PUA in a systematic and structured approach via a regional support programme.

The updated PUA was reviewed and discussed with regional and bilateral agencies at a meeting in Suva on the 23 and 24th July, 2007, and by island planners at the inaugural Pacific Island Planners Association (PIPA) meeting and workshop, a joint UN-Habitat and AusAID supported initiative in October 2007, in Brisbane, Australia. A main outcome of the latter was the development of the PUA's Regional Action Plan (RAP) which identified ten priorities to be addressed over the next 5 years by PICs (see Table A). Also emerging from this meeting was a commitment by AusAID to fund the establishment and operation of the PIPA under the auspices of AusAID's Pacific Land Program, through secretariat and technical support from the Planning Institute of Australia (PIA). This support is important as it reflects (i) the engagement of other key stakeholders such as AusAID in providing regional support to address urban issues whilst at the same time, (ii) reinforcing the importance of the need for

the development of regional 'urban' support partnerships with PICs and other stakeholders in addressing and resolving urban management issues in a systematic and structured way. Thus, the workshop was significant in establishing a regional "coalition in support of urban change", challenging key development partners to support a structured and coherent regional support program to improve urban performance.

To assist PICs and SPC to operationalise the RAP, the PUA and the broader urban management initiatives under the Pacific Plan, a request was made to Cities Alliance (CA) in April, 2008, for funding support to prepare detailed CA grant proposals for City Development Strategies (CDS) and Settlement Upgrading Strategies (SUS) in Samoa, Fiji and Papua New Guinea (PNG). As part of the CA request, a proposal was included for a regional institutional strengthening, knowledge management creation, and broader policy development support also to be funded by CA. The country and regional requests were approved in principle by the CA Secretariat in July, 2008. The CA support stressed the importance in proposal development of incorporating local government ownership and leadership, a focus on poverty reduction in squatter upgrading, and financial linkages to development partners so as to implement proposals, upscale and replicate the lessons learned.

**Table A: PUA's Regional Action Plan (RAP) – the ten priority areas for future success:**

**INSTITUTIONAL FRAMEWORK - URBAN POLICY DEVELOPMENT**

1. Establish and strengthen institutions to develop and implement effective urban policy, regulatory and legislative frameworks linked to national planning and budgetary processes.
2. Adopt participatory approaches to develop strategic plans guiding urban policy development and implementation.
3. Establish effective co-ordination between all levels of government, across sectoral agencies, and with development partners, to guide implementation of urban policy and plans.

**BUILDING CAPACITY**

4. Build capacity in planning and related agencies and professional groups.
5. Improve information and data systems to support policy formulation and decision making.

**ADVOCACY AND POLITICAL COMMITMENT**

6. Communicate the rationale for the importance of urban issues to governments and communities.
7. Improve access to land with secure tenure.
8. Improve provision of affordable housing and urban settlements.

**INFRASTRUCTURE AND SERVICES**

9. Maintain and enhance urban infrastructure and services through improved partnerships with key stakeholders, including the private sector.

**QUALITY OF LIFE – ENVIRONMENT, HEALTH, SUSTAINABLE LIVELIHOODS**

10. Manage the urban environment to deliver quality of life outcomes through climate resilient communities.

In order to assist the Governments of Fiji, PNG and Samoa to fulfill their commitments to the RAP and the PUA, the 3 CA country proposals will respond directly to the urban needs of each of the selected cities in the 3 PICs by commencing the process of developing locally-based partnerships and building partner capabilities for participatory urban governance within the structured framework of CDS and SUS. These complementary country CA proposals will support the profiling of each city, focusing on key themes such as economic development and rural-urban linkages, environment (including potential climate change impacts) and basic urban services, customary land mobilization, gender/HIV-AIDS, urban safety and importantly, management and governance. Focus group discussions, SWOT analysis and city consultations will assist in agreeing City Visions and prioritizing areas for early intervention, with project briefs prepared for priority projects to justify and mobilize funding support for key urban service and infrastructure investment needs. The latter will be summarized into CDSs (including City Infrastructure Investment Programmes) for the selected partner cities in each of the 3 PICs.

Given the accepted importance of strengthening country achievements towards MDG targets,<sup>3</sup> the country CA proposals will then follow a process of settlement selection, and support of city governments and communities to prepare pro-poor upgrading strategies and action plans for the priority low-income urban settlements. These will include making more serviced land available in agreed priority areas and will support opportunities for city wide and national squatter and informal settlement upgrading. The lessons learned will be documented and

<sup>3</sup> MDG Goal 7, 'Ensure Environmental Sustainability', targets 10 (water and sanitation), 11 (cities without slums) and Goal 1 'Eradicate Extreme Poverty and Hunger'. MDG 7, environmental sustainability, for example, requires that cities and local authorities, in partnership with other actors, have the tools and capacities to promote resilience of cities and national governments to deal with climate changes impacts on ecosystems and livelihoods.

synthesized into three National Urban Sector Profiles for mainstreaming into country NSDP's, urbanization policies, operational plans, and as core resources for regional dissemination and policy dialogue stimulation under this Regional Support Component as outlined herein. The proposals will have been prepared in partnership with key stakeholders including local and central government, partners such as NGOs, CBOs, local leaders, national local government associations and the private sector. As well, ownership will be further reinforced by commitment and support from the lead anchor implementing institutions at the national level in each PIC, as well as FSPi and ESCAP at the regional level for institutional strengthening and knowledge management activities respectively.

In this setting, the CA Regional Support proposal is best viewed as a critical support mechanism to ensure synergy of regional development partner efforts to bring together diverse resources and technical assistance to:

- further **strengthen institutional capacities** through the training of trainers (ToT) on toolkits and good practice dissemination on key urban thematic areas such as city profiling, participatory planning and management, community-based settlement upgrading, savings and credit schemes, governance and leadership, economic development and municipal finance (all fundamental to the CDS and CA's Cities without Slums processes). This component will be lead by FSPi given its extensive regional network of national support NGOs in PICs currently strengthening governance structures and (especially) livelihoods through savings and credits schemes, which will enable the proposal to further strengthen this network and gradually build an urban-centric NGO support infrastructure. This component will also be supported by and build upon CLGF's Pacific (Capacity-building) Project, which has been using ToT's to introduce various toolkits (such as Locally Elected Leadership, Financial Management, Strategic Planning) to local governments, their customization and rollout through national anchor institutions.
- **develop a Pacific Regional Urban Knowledge hub** which coordinates the structured documentation of these CDS and SUS experiences at the city/country levels, and integrates these with good urban management and settlement upgrading practice as exists in other PICs. This process will include the collection, synthesizing, sharing and storing of knowledge as a regional activity - that is, reinforcing a regional learning alliance on urban issues and solutions whilst increasing visibility on solutions to urban problems. This component will be lead by UNESCAP so as to integrate an urban component into it's Pacific Knowledge Hub already under development. Once developed, and as PIPA is strengthened under the following component, so the website/urban knowledge hub materials etc will be shared, possibly transferred
- **strengthening policy dialogue and learning.** Lead by PIPA, this will include the coordination of regional sharing workshops to disseminate good (global, Asia and Pacific Regional) urban management and settlement upgrading practices to facilitate urban policy dialogues amongst PICs to ensure CDS, SUS and good urban management and settlement upgrading practices are integrated and mainstreamed into national urban policy frameworks including NSDPs. Further high-level policy dialogues on Pacific Urbanisation will be coordinated by SPC to help other Pacific cities and countries strengthen their urban policy, institutional and regulatory frameworks, whilst forming consensus amongst stakeholders, strengthening partnerships and mobilizing resources to implement urban programmes
- **strengthening implementation and monitoring** by the SPC as the specified responsible agency to monitor PIC urban commitments made under the Pacific Plan activities (the PUA), and thus in support of this function this proposal will assess options to establish a Pacific Regional Urban Observatory. Urban observatories are increasingly recognized as being beneficial for improving urban governance by providing transparent and reliable data and information so that local governments and civil society can monitor urban services and government policy. There currently exists a major regional vacuum in this area in the Pacific.

This CA Regional Support proposal is anchored on the premise that both institutional strengthening and knowledge of the urban sector including how it works, priority themes and issues and how best to address them such as via key tools such as CDS and SUS, is a key foundation for the development of an effective response and improved urban performance to the growing urbanisation challenges in the Pacific region. While the CDS and SUS tools are being customized at the national level in Fiji, PNG and Samoa through 3 separate country proposals to the CA, this CA Regional Support proposal has the key task of maximizing the potential economies of scale that can be achieved by providing direct support to those three countries through joint tool ToT sessions, documentation and workshop/policy dialogue events; whilst at the same time responding to the increasing number of country requests for such technical support as received from other countries over the last one to two years including , Kiribati, Marshall Islands, Palau, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu, to not only start the process of replicating the tools regionally through a ToT approach supported by the development of Pacific toolkits from good practice, but build broader political support to address common urbanization issues in the region.

Customization of global knowledge into Pacific regional toolkit development for national and city conditions whilst building on local knowledge to guide (i) regional responses and action, and (ii) strengthened national policy responses including monitoring of the CDS, SDS and the regional Pacific Plan (PUA) are key elements in this CA Regional Support proposal. Based on the needs from the participating 3 PICs and reflecting the priority areas as contained in the PUA and RAP, emphasis in the proposal is placed on ensuring that institutional strengthening such as via the ToT is needs and issue-based. It will also need to be country-driven so that the mobilization of resources reflect regional, national, city and community needs within the context of the CDS, SUS and the broader CA framework. Monitoring progress on the CDS and SUS whilst concurrently strengthening the individual and collective capacity of PICs is critical to sustaining improved local, city and national urban outcomes in urban management and urban development at the regional level.

### 13. Objectives and Scope of the Proposal

The overall objectives of this proposal are to: (i) provide regional ToT and development of suitable toolkits so as to support the foundations for country up-scaling and regional replication of CDS, SUS and other proven good urbanization practices and processes, (ii) manage lessons learned and knowledge acquired so as to strengthen implementation of the Pacific Urban Agenda (as contained in the Pacific Plan) national obligations and commitments, (iii) facilitate and institutionalize urban policy dialogue into regional and national planning so as to establish consensus with stakeholders on urbanisation priorities, strengthen partnerships, and up scale resource mobilization to achieve better urban outcomes, and (iv) strengthen monitoring by the SPC of the urban commitments made under the Pacific Plan activities (namely, the PUA). The latter will include an assessment of options to establish a Pacific Regional Urban Observatory. The proposal will support the requests of the 3 PICs and others to concurrently develop and implement their CDSs and SUSs by providing regional (i) institutional strengthening, (ii) knowledge management and (iii) support to strengthen urban policy and project development. It is hoped such processes will lead to (iv) improved monitoring of urban performance by PICs including integration of city and national responses to addressing urban issues vis a vis the PUA and the Pacific Plan.

Key outcomes resulting from the above will be strengthened national capacity to undertake up scaling of under serviced settlements, an increased number of PICs wanting to undertake CDS and SUS, more national policy makers, planners and training partners interested in addressing urbanisation issues, and development of a formal mechanism to capture, share and disseminate knowledge learned. Commitments under the PUA should also be pursued and monitored. More effective human capacities and strengthened national and regional institutional structures should result in the better management of the impacts of urbanization in a sustainable manner and the improved performance of urban areas. By monitoring and sharing lessons and knowledge acquired, the CA Regional Support component will add further value to the effectiveness of the CDS and SUS processes being undertaken in the 3 selected PICs, including national, city and community levels.

Under this CA Regional Support proposal, the suite of institutional capacity building activities that will share global toolkits for national customization and the possible development of a "Pacific Regional CDS and SUS toolkit" along with the results emerging from national experiences such as good practice and lessons learned, will feed into the development of a **Pacific Urban Knowledge Management hub**. This will emphasize dialogue and dissemination of urban information and knowledge gained. An agreed and accepted regional institutional policy dialogue framework will add value to both regional and national urban monitoring arrangements as well as implementation of national initiatives such as the CDS and SUS. Regional and national realignment will demonstrate the importance of urbanisation and the need for timely urban management responses, including far stronger institutional arrangements such as the possible development, for example, of a Pacific "Regional Urban Observatory" as well as regional urban management tools. This would form part of a network of National and sub-Regional Urban Observatories planned by UCLG. The benefits of a Pacific Regional Urban Observatory would be the sharing of information, the provision of technical assistance (for example, urban data processing support, examples of data use by community organizations, and methods of data analysis), monitoring of regional agreed urban tools such as Pacific Urbanisation Development Goals, the institutionalization of knowledge exchange, the standardization of indicators and the development of Pacific regional dialogue on indicator use. The scope of this CA Regional Support proposal also places a strong emphasis on strengthening capacity to document and analyze knowledge acquired. This includes knowledge creation, sharing and dissemination to promote and support the preparation and implementation of local, town, city and national led CDS and SUS, building on lessons learned from Samoa, Fiji and PNG to other PICs. Given that UNESCAP has already commenced this for Regional economic and social issues, this regional support proposal will support development of an urban component to that Regional knowledge generation and dissemination hub, initially on behalf of PIPA as it receives strengthening support under Component 5, with intended sharing of the urban hub component to a PIPA website as this develops. PIPA has planning (and lands, surveying, environmentalist professional) membership representation from PIC local and central government, and has been receiving modest resource support from AusAID through the Planning Institute of Australia (PIA). PIPA provides a network of Pacific planning professionals, often geographically isolated, where they seek to share and obtain information on current urban development activities and experiences such as squatters, customary land mobilization and informal settlements. Members of PIPA are interested in addressing urban solutions which are seen to be working in pilot projects around the Pacific, expanding the number of stakeholders involved (especially development partners), building skills and filling capacity shortages (such as in mediation and negotiation), and strengthening the planning process to which solutions such as CDS and SUS must be developed and molded.

A key outcome of developing an urban knowledge management hub will be strengthening of country CA project implementation and monitoring and through such monitoring, collation of the documentation of the implementation of the 3 country CA proposals. Lessons learned would be synthesized and through such analysis, UNESCAP will coordinate development of the Pacific knowledge management hub located in its Pacific Operations Centre (EPOC), Suva, Fiji, which has been a major supporter of the PUA and its implementation within the region.

The knowledge hub would be focused initially on a website portal with access to documentation, as well as PIPA coordinated regional workshops for the sharing of lessons, knowledge acquired and implications. This would assist in the process of fulfillment of country responsibilities under the PUA and Pacific Plan whilst providing access to assistance on developing urban work plans, urban indicators, squatter upgrading, mainstreaming CDS and SUS into NSDPs, access to toolkits and the like. In this context, members of PIPA would become the core capacity building arm for practicing urban planners, managers and decision makers in the Pacific region. PIPA as the regional focal point would ensure that the CDS and SUS principles and practices as adapted to the Pacific are disseminated and up scaled nationally to members. Working with development partners, the knowledge management hub would assist to underpin sustainable urbanization policy dialogue in the region, such dialogue feeding back into regional policies and plans such as the Pacific Plan, as monitored by the SPC.

The proposal scope includes assisting SPC to undertake high level policy dialogue with PICs so as to institutionalize the PUA, CDS and SUS processes into national urban policy frameworks. A Pacific Ministerial Conference on the 'State of Urbanisation in the Pacific' would be one way to achieve this, to be held towards the end of this Regional Support proposal's implementation, when the good practices and lessons learned would be synthesized and visible. As SPC is already working with PICs in developing three yearly Joint Country Strategies (JCS), its has already started to mainstream the PUA, CDS and SUS concepts into these processes. This proposal will therefore also support SPC to strengthen the monitoring of PUA implementation and supporting initiatives. The objective is to enable SPC to become more effective in its regional reporting and monitoring role of ensuring commitments under the Pacific Plan (namely, the PUA) are progressed as well as mainstreaming other urban initiatives. To assist SPC in its monitoring role, the possible development of a Pacific Regional Urban Observatory including development of a set of Pacific urbanisation Development Goals will be explored. This will providing longer term 'backstopping' support to SPC as it takes on this new PUA monitoring and assistance role. The latter are vital to ensuring sustainability of efforts at the regional level, given the role of PIFS as the lead regional agency.

#### **14. Methodology**

The Regional Support project will be implemented through the following 5 components, namely;

- Component 1: Project Establishment and Regional Needs Assessment and Analysis
- Component 2: Institutional Strengthening Support Through ToT Delivery Addressing Key Themes
- Component 3: Supporting Urban Knowledge Creation and Management
- Component 4: Facilitating Policy Learning Dialogue on Pacific Urbanisation
- Component 5: Strengthening the Capacity of SPC to Implement and Monitor Urban Initiatives under the Pacific Plan

##### **Component 1: Project Establishment and Regional Needs Assessment and Analysis**

Establish the regional Project management framework to ensure all key stakeholders have a common understanding of the outcomes, process and expectations. Building on the project management framework and country focal points as identified by the 3 country proposals, undertake a national urban sector needs assessment of the current situation especially in regard to status of the CDS and SUS process in Samoa, Fiji and PNG and other countries, knowledge management, PUA and Pacific Plan compliance and the like. Understanding gaps and opportunities in the process and the range of issues, concerns and problems encountered is fundamental to better informing urban policy and decision makers on best ways to achieve national, city and local outcomes via the regional capacity building and knowledge management support.

Review and assess any changes that have taken place since the regional CA proposal was developed, update the work plan, identify key national and regional stakeholders and draft a monitoring and evaluation (M&E) framework at the national and regional levels.

- 1.1 Brief key regional stakeholders on the project concept, objectives, outputs, process steps, participation and communication mechanisms, partner institutional roles, responsibilities and basic expectations on the Regional design for institutional strengthening knowledge management and policy dialogue
- 1.2 Establish the project management arrangements, reconfirm cost sharing commitments and other inputs, and recruit supporting consultants according to UN-Habitat (Cities Alliance compliant) rules and regulations.

- 1.3 Design a questionnaire addressing the current situation in Pacific SIDS with regard to country progress on PUA implementation, current PIC urban institutional strengthening and capacity building programs, knowledge management and institutional strengthening needs. Pre test questionnaire at the regional level and fine tune with PIPA members. PIPA to distribute the questionnaire regionally and support completion.
- 1.4 Analyse the findings and identify the priority issues to be addressed in a proposed regional institutional building plan by theme (e.g. shelter and land), subject matter such as urban sector profile, CDS, SUS, etc, relationship to the PUA and the RAP, and need - for example, knowledge creation.
- 1.5 Incorporate the above into a draft Regional Institutional Strengthening and Knowledge Management Framework Plan ensuring main capacity building themes and issues to be addressed, the timeframe, stakeholders involved, regional awareness and dissemination, etc, are adequately addressed. PIPA to disseminate the draft Regional Institutional Strengthening and Knowledge Management Framework Plan to stakeholders for comment including an M&E plan, proposed partnership arrangements for a regional knowledge management hub and amend draft with comments and input, and
- 1.6 Seek endorsement of the draft Regional Institutional Strengthening and Knowledge Management Framework Plan by the Steering Committee including endorsement of the agreed partnership arrangements for a regional knowledge management hub, its outline work plan, key tasks and activities, charter, funding arrangements, etc

**Outputs:** Regional Work Plan revised, implementation arrangements agreed including M&E framework developed and approved by Steering Committee. Regional needs assessment and analysis completed. Regional Institutional Strengthening and Knowledge Management Framework Plan to support CDS and SUS preparation and implementation, capacity building and knowledge management with supporting partnership arrangements in place.

### **Component 2: Institutional Strengthening Support Through ToT Delivery Addressing Key Themes**

Using the Regional Institutional Strengthening and Knowledge Management Framework Plan as a roadmap and building on the understanding gained from Component 1 including identified capacity gaps and opportunities in the regional needs analysis, PIPA supported by FSPi (UN-Habitat and CLGF) to coordinate regional workshops anchored on the ToT 'approach for national and local government policy makers, decision makers and key practitioners. The initial results from Fiji, Samoa and PNG on the CDS and SUS practices should be used as the springboard for initial toolkit development and regional comparison of good practice and lessons learned. Toolkits should be developed with key stakeholders to guide agreed PIC town and city interventions. Lessons learned from the above should be synthesized into the program for Knowledge Management (Component 3).

- 2.1 Regional partners introduction to the CDS process, including what is CDS (including objectives, process, tools and importance of capacity building), the importance and value of preparing city profiles, consolidating profile findings and recommendations, preparing City Visions, generation of supporting issue-specific strategies (especially Shelter Strategies and prioritising under-served settlements to be upgraded), etc
- 2.2 Building on the regional needs assessment and analysis (Component 1) as well as information gleaned from global toolkits, develop and roll out ToTs on agreed thematic areas including City Profiling, CDS and Participatory Planning and Management, Shelter and Community-based Settlement Upgrading, savings and credit schemes, Municipal Financial Management, Governance (strengthening democratically elected leadership), mobilising customary land, economic development, etc
- 2.3 Customise Pacific Regional toolkits to the agreed thematic areas for sharing, dissemination and further application in new PICs.
- 2.4 Collate and analyse regional lessons learned and good practices on training undertaken for inclusion in the knowledge management (Component 3),

**Outputs:** Detailed understanding by practitioners and key participatory stakeholders on the thematic areas and development and use of toolkits. Regional ToT workshops undertaken with policy makers and key practitioners on key themes for mainstreaming in national, city and local level plans and policies. Completed regional toolkits ready for use at national, city and local levels and incorporated into national ToT programs, including strong linkages with CLGF's Pacific Project. Implications of above integrated into work program for Knowledge Management (Component 3) Proceedings documented within the Pacific national and regional context

### **Component 3 – Supporting Urban Knowledge Creation and Management**

ESCAP will work with national and regional stakeholders to collate national experiences in preparing and implementing the CDS and SUS experiences via regional workshops and disseminate findings, lessons learned and key implications. Regional lessons learned will be documented and analyzed and included in the UNESCO hosted Regional Urban Knowledge hub. Knowledge management implications will be identified - for example, creation, sharing, awareness and institutional mainstreaming of lessons learned, conclusions, etc – and will be integrated with regional (especially PIPA and CLGF) and national partner websites as well as into the Pacific Plan process and into National Sustainable Development and squatter upgrading plans. Regional Knowledge Management on sharing of progress on CDS, SUS, lessons learned, global experience and the like is critical to improved implementation and monitoring of PUA, CDS and other urban initiatives. Key activities would include;



Appoint a local 'urban knowledge management coordinator' to develop a common framework for information collection, analysis and documentation of good practices; coordinate knowledge sharing workshops and maintain the knowledge management hub including the website portal.

Undertake a workshop with stakeholders to develop an Implementation Plan to identify the main areas of intervention for knowledge management and creation, the rationale (the why) and how this is best achieved with the available budget, priority needs and physical location. Share progress from Fiji, Samoa and PNG on the City profiles, SUS and CDS process, monitoring of progress on Pacific Plan, as key inputs to knowledge creation.

Document lessons learned on urbanisation, key themes (such as problems of human resource capacity building issues and financing urban development) and strategic implications for key stakeholders at the Pacific regional level so as to strengthen local - city - national and regional knowledge management.

Based on agreed indicators and criteria, document the development and implementation of the urban profiles, SUS and CDS process by Fiji, Samoa and PNG, issues arising in Pacific Plan monitoring and Pacific good practices generally. Analyze regional trends using baseline urban indicators, comparing to other indicators where possible. Identify regional lessons learned and implications from the urban profiles, SUS and wider CDS process.

Share the above at a regional workshop and feed into the development of regional toolkits and other Component 2 activities (Institutional Strengthening) including monitoring the effectiveness of any toolkits as completed, and feeding policy learning implications into policy learning dialogue (Component 4) strengthening of Pacific Plan implementation processes (Component 5). This includes up scaling of lessons learned, thus reinforcing the key CA principle of 'learning by doing'.

Document and share the knowledge management experiences globally with CA and other stakeholders especially lessons learned including sharing of Pacific regional and national CDS and CUS experiences at the 2012 World Urban Forum.

**Outputs:** Documented regional experiences with lessons learned and implications shared regionally and globally. Clear structures for a regional Urban Knowledge Management hub agreed and implemented in offices of UN ESCAP. Proceedings of regional consultations documented. Agreed knowledge management plan including financing and longer term institutional options.

#### **Component 4 - Facilitating Policy Learning Dialogue on Pacific Urbanisation**

This component focuses on strengthening PIPA's capacity to coordinate key policy dialogues and learning on urbanization, and link this to the highest levels through SPC (Component 5) so as to increase the visibility of urban issues and elevate them in the Pacific regional development debate. This will include facilitating and institutionalizing urban policy dialogue amongst PICs to ensure PUA, CDS, SUS and the like are integrated and mainstreamed into regional and national urban policy plans and frameworks including NSDPs. This exposure will help cities and countries strengthen their urban policy, institutional and regulatory frameworks whilst establishing consensus with stakeholders, strengthened partnerships and more effective uses of resources to implement urban programmes,

4.1 Undertake a workshop with stakeholders to develop an Implementation Plan so as to agree the main areas of intervention for policy dialogue and means by which this should occur.

4.2 Support integration of urban issues into SPCs Joint Country Strategy discussions

4.3 Prepare Regional Urbanisation and Urban Management Policy proposition papers on key regional urban themes such as the need for regional urbanisation development goals, infrastructure provision, squatter upgrading and mobilization of customary land for urban development, and share in formal dialogue sessions. Lesson learned and good practice exchange.

4.4 Undertake a Ministerial Conference on the "State of Urbanisation in the Pacific" addressing trends, priority needs, and current plans of action and implications for the PUA and Pacific Plan.

4.5 Document the above and integrate into urban policy dialogue amongst PICs to ensure PUA as well as CDS, SUS and the like are integrated and mainstreamed into regional policy frameworks as well as national urban policy frameworks such as National Sustainable Development Plans (NSDPs) as prepared by PICs.

**Outputs:** High level policy dialogue on urbanization issues in the Pacific underway and implications and findings integrated into Pacific Plan commitments, regional and national strategies including NSDPs. Proceedings of regional consultations documented and shared.

#### **Component 5 - Strengthening the Capacity of SPC to Monitor Urban Initiatives under the Pacific Plan**

The SPC is the lead regional agency mandated by Forum Leaders to support country implementation of the PUA under the Pacific Plan (with other CROP and supporting UN agencies), and report to the Forum Leaders through PIFS. However, the capacity of SPC to provide this support and to oversee the PUA urban mandate via initiatives under the Pacific Plan is limited. This component therefore focuses on supporting SPC so as to strengthen their capacity to work with PICs to ensure PUA commitments are mainstreamed nationally and commitments as

agreed are met as far as possible. The component will also explore the options for establishing a permanent Pacific Regional Urban Observatory which would link to the UN-State of the World's Cities report indicator dataset. Key activities would include;

- 5.1 Revise the existing process for PUA reporting at national and regional levels, including reviewing and strengthening any monitoring process vis a vis agreed regional indicators,
- 5.2 Identify monitoring issues arising including the process for the reporting of urbanization issues from PICs to SPC to PIFS,
- 5.3 Establishing a key set of Pacific urban indicators such as an overarching Pacific Urbanisation Development Goals) for PUA monitoring especially with local government and key regional agencies including SPC and PIFS.
- 5.4 Agree their application at the national level vis a vis implementation of the Pacific Plan – PUA and other obligations such as adding value to MDG achievement and monitoring.
- 5.5 Scope options for establishing a permanent Pacific Regional Urban Observatory which, amongst other matters, would support better monitoring of Pacific Plan implementation as well as enabling development of more effective responses at the national level.

**Outputs:** A more effective SPC able to implement, monitor and where appropriate, update the PUA under the Pacific Plan, thus leading to more effective national responses and participation on the PUA, CDS and the like. This should result in a strengthened SPC addressing urbanisation and urban management including mainstreaming at the national level urban initiatives such as climate change in cities, mobilizing customary land, etc. Agreement of the preferred option for establishing a Pacific Regional Urban Observatory including funding and key tasks and functions.

### Sequencing of activities

After Component 1, component 2 and 3 will be undertaken consecutively. Component 1 will focus on Project establishment including the regional needs assessment and analysis so as to set the framework for the detail of Components 2, 3, 4 and 5 to be undertaken. Once component 1 is in place, Component 2 can follow, focusing on the ToT to address key regional themes such as urban sector profiles, settlement upgrading strategies, customary land, the CDS process, as well as development and customization of toolkits. Building on the feedback from activities undertaken by planners, policy makers and others participating in Component 2, as well as collating the emerging experiences resulting from the individual CDS, SUS and other good urban experiences (which will be ongoing in the 3 PICs), Component 3 focuses on developing the Pacific Urban Knowledge Management hub and the creation and dissemination of information. Component 4, policy dialogue on Pacific urbanisation, and Component 5, namely, support to strengthening the capacity of SPC to implement and monitor the PUA and other urban initiatives under the Pacific Plan, can be undertaken in parallel with Component 2 and importantly with Component 3 (the development and creation of knowledge management, regional policy implications and dissemination).

### 15. Deliverables

**Component 1:** Inception Report prepared comprising of the approved Work Plan and M&E framework; operational Project Steering Committee; existing situation and regional needs assessment questionnaire; report on regional needs assessment and analysis including Regional Institutional Strengthening and Knowledge Management Framework Plan. Monitoring and evaluation report.

**Component 2:** reports; program of ToT events completed in agreed PICs; toolkits completed and available for dissemination and sharing; report on implications of ToT and toolkit development complete for use in Component 3. Monitoring and evaluation report.

**Component 3:** reports; Implementation Plan; Regional CDS, SUS and other urban project-program experiences with lessons learned and implications documented; report on structures and processes for regional knowledge management sharing and creation; regional knowledge management reports; report on urban knowledge management plan including physical development of knowledge hub. Monitoring and evaluation report.

**Component 4:** reports; Implementation Plan; Regional Urbanisation and Urban Management Policy proposition papers; report on proceedings of regional policy dialogue on Pacific urbanization issues; regional Ministerial Conference on the State of Urbanisation in the Pacific; a report on NSDPs aligning with the PUA and resources mobilized for national implementation. Monitoring and evaluation report.

**Component 5:** reports; agreed institutional strengthening plan for PIFS to more effectively implement the PUA and other urban initiatives; indicators for use by PICs and PIFS in monitoring PUA implementation; report on options for establishing a Pacific Regional Urban Observatory including identification of priority tasks and financing. Monitoring and evaluation report.

### 16. Expected outcomes and related monitoring indicators and plans

- **in the short term**, the regional support component will result in greater exposure of policy makers, planners and the like to targeted training and policy dialogue on key urban themes such as CDS and SUS, the development of pragmatic toolkits and dissemination of knowledge management on urban issues and their solutions. Parallel to this will be a focus on strengthening the capacity of SPC and PICs to better respond to and integrate the PUA into national and regional plans and monitor implementation using quantifiable data. It is hoped there will be a greater coherency of effort from development partners to collectively address urbanisation issues including mainstreaming CA themes and objectives.
- **in the longer term**, the up scaling and replication of key processes such as CDS and SUS, the application of toolkits, regional policy dialogue on Pacific urbanization issues and dissemination of regional knowledge management should result in greater PIC and development partner attention to resolving urbanisation issues and improved urban performance. This should lead to more effective and efficient urban areas addressing the needs of the urban poor and implementing city development strategies whilst contributing to the broader economic, social and environmental development of the city.

Objectives	Deliverables	Outcomes	Indicators
<p><b><u>Component 1: Project Establishment and Regional Needs Assessment and Analysis</u></b></p> <p>Establish the Regional Project including steering committee and M&amp;E plan; undertake the Regional Needs Assessment and Analysis and preparation of the Regional Institutional Strengthening and Knowledge Management Framework Plan</p>	<ul style="list-style-type: none"> <li>- Inception Report prepared comprising of the approved Work Plan and M&amp;E framework</li> <li>- Steering Committee members agreed</li> <li>- needs assessment questionnaire designed and completed</li> <li>- report on regional needs assessment and analysis including Regional Institutional Strengthening and Knowledge Management Framework Plan</li> <li>- workshops reported</li> <li>- monitoring and evaluation report</li> </ul>	<ul style="list-style-type: none"> <li>- stakeholders have a common understanding of the process, roles, commitments and expectations of the Project</li> <li>- a Regional Institutional Strengthening and Knowledge Management Framework Plan has been prepared and agreed for implementation by key stakeholders</li> <li>- M&amp;E framework in place for short and long term assessment of regional institutional strengthening and knowledge management processes linked to CDS, etc</li> </ul>	<ul style="list-style-type: none"> <li>- partner roles and cost share commitments honored</li> <li>- operational Advisory Group with minutes of meetings</li> <li>- attendance at meetings and workshops to discuss needs assessment and analysis outcomes and implications</li> <li>- number of PICs inputting to needs assessment</li> <li>- Regional Institutional Strengthening and Knowledge Management Framework Plan is guiding project development and implementation</li> </ul>
<p><b><u>Component 2: Institutional Strengthening Support Through ToT Delivery Addressing Key Themes</u></b></p> <p>Provide institutional strengthening support through training of trainers delivery so as to analyze and address how to resolve key urban themes; develop and customize toolkits for PIC policy makers, planners and the like</p>	<ul style="list-style-type: none"> <li>- program of Regional ToT events completed for agreed PICs</li> <li>- workshops reported, key lessons learned etc</li> <li>- toolkits completed and available for dissemination and sharing</li> <li>- report on implications of ToT and toolkit development complete for use in Component 3</li> <li>- workshops reported</li> <li>- monitoring and evaluation report</li> </ul>	<ul style="list-style-type: none"> <li>- policy makers, planners, key decisions makers and institutions are better equipped with skills, knowledge and tools to improve urban performance and strengthen their policy, institutional and regulatory frameworks including opportunities for CDS and upgrading under serviced settlements</li> <li>- raising of awareness of resolving key urban issues including their integration into NSDPS</li> <li>- information on toolkits has been disseminated and toolkits are in use</li> </ul>	<ul style="list-style-type: none"> <li>- Pacific Toolkit Developer and Training Coordinator appointed</li> <li>- attendance at training workshops</li> <li>- number of ToT trained at national and regional level</li> <li>- number of toolkits customized and disseminated</li> <li>- number of toolkits being used nationally</li> <li>- awareness and community and city education undertaken on toolkits</li> </ul>
<p><b><u>Component 3: Supporting Urban Knowledge Creation and Management</u></b></p> <p>Facilitate improved urban sector performance via sharing of lessons learned, knowledge acquired, synthesized and shared; development and implementation of a Pacific Urban Knowledge Management hub</p>	<ul style="list-style-type: none"> <li>- Regional CDS, SUS and other urban project and program experiences with lessons learned and implications documented</li> <li>- report on the urban knowledge creation that is emerging and regional implications</li> <li>- report on urban knowledge management plan including physical development and sustainability of the knowledge hub</li> <li>- workshops reported</li> <li>- monitoring and evaluation report</li> </ul>	<ul style="list-style-type: none"> <li>- increased visibility of urban issues on national and regional development agendas</li> <li>- increased resources to address urban issues</li> <li>- sharing of regional lessons learned, good practice and knowledge acquired on CDS, upgrading of under serviced settlements and other major thematic areas</li> <li>- a Pacific Urban Knowledge Management hub is operational, accessible and is adding value to CDS, squatter and under serviced upgrading proposals and improving broader urban</li> </ul>	<ul style="list-style-type: none"> <li>- Pacific Urban Knowledge Management hub 'manager' appointed</li> <li>- attendance at training workshops</li> <li>- number of lesson learned, good practice and implication 'kits' documented, shared and disseminated</li> <li>- Pacific Urban Knowledge Management hub developed and operational</li> <li>- number of information requests to the Pacific Urban Knowledge Management hub</li> </ul>

<p><b><u>Component 4: Facilitating Policy Learning Dialogue on Pacific Urbanisation</u></b></p> <p>Facilitate high level policy dialogue on Pacific Urbanisation; ensure PUA, CDS, SUS and the like are integrated and mainstreamed into regional and national urban policy plans and frameworks including NSDPs</p>	<ul style="list-style-type: none"> <li>- Implementation Plan report</li> <li>- Regional Urbanisation and Urban Management Policy proposition papers</li> <li>- report on proceedings of regional policy dialogue on Pacific urbanization issues</li> <li>- regional Ministerial Conference on the State of Urbanisation in the Pacific</li> <li>- a report on extent of NSDPs aligning with the PUA and the resources mobilized for national implementation</li> <li>- workshop reported</li> <li>- monitoring and evaluation report.</li> </ul>	<p>performance</p> <ul style="list-style-type: none"> <li>- increased visibility of urban issues elevated them in the Pacific regional development debate</li> <li>- strengthening of national urban policy, institutional and regulatory frameworks</li> <li>- greater consensus with stakeholders on urban issues</li> <li>- strengthened partnerships and the more effective uses of resources to implement urban programmes</li> </ul>	<ul style="list-style-type: none"> <li>- number of policy dialogues held on CDS, SUS and the like</li> <li>- Ministerial Urbanisation conferences held and resolutions agreed</li> <li>- number of partners supporting Ministerial Urbanisation conferences</li> <li>- number of plans and polices of regional partners incorporating PUA and other urban initiatives</li> <li>- number of NSDPs and other national plans incorporating PUA and PUA monitoring indicators</li> </ul>
<p><b><u>Component 5: Strengthening the Capacity of SPC to Implement and Monitor Urban Initiatives under the Pacific Plan</u></b></p> <p>Strengthen the capacity of SPC to implement and monitor Urban Initiatives under the Pacific Plan including the PUA; explore the options for establishing a permanent Pacific Regional Urban Observatory</p>	<ul style="list-style-type: none"> <li>- Implementation Plan report</li> <li>- agreed roadmap for SPC to effectively implement the PUA and other urban initiatives</li> <li>- indicators for use by PICs and SPC in monitoring PUA implementation such as asset of Pacific Urbanisation Development Goals</li> <li>- report on options for establishing a Pacific Regional Urban Observatory including core functions and financing</li> <li>- workshops reported</li> <li>- monitoring and evaluation report.</li> </ul>	<ul style="list-style-type: none"> <li>- a more effective SPC taking responsibility for coordinating and monitoring PUA implementation and PUA mainstreamed into national PIC urban initiatives</li> <li>- evaluation of the feasibility of establishing a Pacific Regional Urban Observatory linking with key partners including local government</li> </ul>	<ul style="list-style-type: none"> <li>- completed roadmap to assist SPC to monitor and support PICs in implementation and understanding of PUA</li> <li>- number of SPC PUA monitoring reports to the Pacific Plan Coordinating Committee addressing systematic implementation</li> <li>- set of endorsed national and regional indicators to monitor PUA</li> <li>- number of SPC Joint Country Strategies with PICs which include PUA implementation and monitoring arrangements</li> <li>- Pacific Regional Urban Observatory arrangements agreed</li> </ul>

## 17. Sources of investment to implement the CDS or slum upgrading programme

No direct investment to implement CDS or undertake squatter upgrading is contained within the regional proposal. However, the results of components 2 to 4 will generate additional follow up funding for SUS projects and the like. PUA visibility will also be increased and the additional focus including funding is expected for the urban sector. Opportunities for funding will be documented and shared during the process and will gain greater exposure from regional bodies supported by the proposal such as CLGF, FSPI and PIPA. Collectively, the above will elevate the visibility and importance of addressing urban issues resulting amongst other matters, in increased political understanding and support for much needed capital infrastructure investment funding to improve service delivery and living conditions in urban areas, especially in settlements upgrading.

## 18. Partnerships

A number of partnerships have been developed to underpin the successful implementation of this regional CA proposal. The main ones are as follows:

\* **PIPA.** As the Pacific Island Planners Association supported by PIA, PIPA plays an important role in bringing together planning professionals across all PICs, sharing experiences of current problems, what experiences work and what doesn't. PIPA has an important role to play in networking with PIC planners and other urban professionals on their needs, and in identifying potential institutional strengthening and capacity building training to be delivered under the CA Project. PIPA members, amongst others, will be major recipients of the training as well as the learning knowledge creation and management. The role of PIPA in the Project is critical as PIPA will be major clearing house for the detailed project work plan and needs assessment (Component 1) while PIPA members will be the one of the main beneficiaries of the Projects outputs in Components 2 and 3 (institutional strengthening and knowledge management). As such, a robust partnership to strengthen PIPA and its members is core to raising awareness on the importance of urbanization in the Pacific.

\* **SPC.** The SPC is a regional support agency specializing in technical advice to PICs on economic development, agriculture, land resources, health and statistics. Under the Pacific Plan, the SPC is mandated by the PIFS to oversee implementation of the PUA in cooperation with PICs. It is required to report back to the island leaders on

this initiative 13.5 via the Pacific Plan Action Committee, a monitoring committee overseeing Pacific Plan implementation. With its headquarters in New Caledonia and a sub office in Suva, Fiji, the SPC has limited capacity in managing urbanisation, urban management and the PUA in the context of the varying needs of the PICs such as CDS and informal settlement upgrading. As coordinator of PUA implementation however, the SPC has key role to ensure PICs are aware of the PUA and the action required in making sure it moves into reality, and hence the support proposed under this Regional Support Proposal to build its capacity for a stronger role to up-scale the regional urban policy dialogue, as well as strengthening its capacity on PUA implementation monitoring and effective reporting back to PIFS and Forum Leaders on progress.

\* **FSPI.** The Foundation of the Peoples of the South Pacific International (FSPI) is the leading Pacific Regional network of Pacific Island non-governmental organizations who work in partnership with communities and development partners in the Pacific region. Their headquarters are in Suva, Fiji with affiliate NGOs in all other PICs. As a lead NGO in the Pacific, the main function of FSPI is to coordinate the planning, design and implementation of national and regional development projects, based on the needs identified by the members and their constituencies. FSPI have a strong and proven track record of working with local communities in urban areas in both Fiji and Pacific region in key thematic areas such as citizen participation, mediation, traditional versus modern urban governance systems, community action planning and assessment, including savings and credit based livelihood support projects. FSPI also has strong track record of working with development partners such as NZAid and AusAID, given this is where the bulk of their core funding is derived from FSPI would be involved as lead coordinator of the project ensuring that each component and their activities are undertaken in accordance with the work plan. FSPI has therefore been selected to coordinate the proposed institutional strengthening and capacity-building inputs from this proposal, this building on its NGO network and strengthening its urban support programmes.

\* **CLGF.** The Commonwealth Local Government Forum (CLGF) Pacific Project is a highly regarded regional project that works with stakeholders in 9 PICs. The CLGF has its headquarters in Suva, Fiji and a sub office in PNG and works with local government to strengthen local democracy, institutions and the service delivery of sub national governments. The CLGF is funded by AusAID, NZAid and the Commonwealth Secretariat, UN agencies and others. The CLGF has a focus on training of trainers and rollout of training in each PIC, focusing on the key thematic areas of locally elected leadership (LEL), finance and strategic planning as its three main training platforms. Like the UN ESCAP EPOC office in Fiji, CLGF has been a strong supporter of increased regional and national efforts to address urbanisation including more effective responses at the local government level. Objective 5 of the CLGF 2009 work plan is "to promote effective management of urbanisation". The CLGF would be a member of the steering committee and assist FSPI in the development and implementation of the design of the ToT rollout, providing regional and in-country financial support.

\* **UN ESCAP.** UN ESCAP is the regional arm of the UN and focuses on addressing sustainable economic and social development in the Asia Pacific region. The EPOC office is located in Suva, Fiji, and assists PICs to address issues associated with economic development, trade and investment, social development and statistics. UN ESCAP has been a major supporter of PUA since its endorsement in 2004 and has been assisting PICs where possible with technical assistance on urban issues. The UN Habitat PM is housed in the EPOC offices in Suva and will be involved in joint regional efforts which add value to the social and economic development of PICs. In this setting, this Regional Support proposal will support development of an urban component to EPOC's Knowledge Management hub for economic and social issues in the Pacific, to be shared with PIPA and CLGF websites as they develop.

\* **AusAID.** As the regions lead development agency, AusAID's development program is visible in all PICs. It is involved in a whole range of sector activity especially health, education, public service reform, capacity building and human resource training, and more recently, infrastructure and customary land development. AusAID provides support for a Pacific Regional Land Program which supports bi lateral land reform programs in both rural and urban areas in PICs. Although AusAID has not designated urbanisation or urban management as a thematic area for major organisational support, AusAID has been supportive of the PUA and its development. The PUA meeting in 2007 led to the establishment of PIPA whose secretarial support is provided by AusAID through PIA. AusAID is examining possible further support to PIPA in terms of professional capacity building training.

\* **ADB.** The Asian Development Bank has country programs in most PICs, focusing on sectors such as roads, water, sanitation, drainage, health, education and power. Country programs comprise a mix of grant and loans depending on the circumstances of each PIC. Urban development features strongly in many of the country programs such as in the ADB programs for Samoa and Fiji. In Fiji, for example, ADB's program in Fiji has focused on improved water and sanitation in the densely populated Suva-Nausori corridor via the Suva-Nausori Water Supply and Sewerage Project with an initial investment of US\$47 million. ADB also supported Fiji in the formulating of the Urban Policy Action Plan (UPAP) including an institutional framework and overall strategy for the management of the expanding urban sector. ADB is a lead partner in the regional and country Projects as the Project will assist in the preparatory process of identifying urban investment priorities for future ADB investment

loans and grants in the urban sector. It will also assist ADB in getting urban development issues more exposed onto the PIC development agenda.

**\*World Bank.** The World Bank Pacific Office, Sydney has expressed keen interest in supporting the proposal in order to build synergies of development partner efforts in the Region, especially to strengthen the international community's support to Pacific Island Countries efforts to implement their commitments under the Pacific Urban Agenda. Whilst the World Bank will not directly be involved, they are committed to share their good practice experiences, which will increase as they strengthen their support to PICs, and in particular their interest to strengthen support to the urban sector in PNG, Samoa, Solomons and Tonga

**\* UN-Habitat.** As the coordinator of the proposal, the mandate of UN-Habitat as mandated by the UN General Assembly is to promote socially and environmentally sustainable communities, towns and cities with the goal of providing adequate shelter for all. With increasing requests from PICs to UN Habitats recently appointed regional Program Manager in Suva, there is an opportunity to increase the synergy and co inherency of efforts to address growing urban issues. As the technical agency for managing urbanisation and city development, UN- Habitat has access to global and regional experience in the sustainable development of towns and cities such as toolkits, guidelines and processes that can be customized to the Pacific setting in the context of the 2 main aims of the CA (CDS and cities without slums). UN-Habitat would be involved in overall project supervision and guidance as well as contributing to activities in training, capacity building, policy and institutional strengthening.

## 19. Government commitment and approval

See letters from PIPA; the Governments of PNG, Fiji and Samoa; and leading Local Government Associations in PNG and Fiji in support of their country CA proposals, which will be supported with institutional strengthening, knowledge management and policy dialogue support under this proposal. In addition, during a Pacific Regional Conference to review PIC implementation of the PUA in April 2007, 7 countries made a request that this sort of support be provided by the international development partners.

## IMPLEMENTATION AND FINANCING PLANS:

### 20. Implementation arrangements

SPC will Chair a project Advisory Group comprising (initially) of members from CLGF, EPOC, PIPA (by video-conference) and UN-Habitat, with the HPM acting as Secretariat to keep AusAID, EC, ADB and the World Bank informed; with their inclusion upon request to strengthen the "critical mass" of development partners supporting the PUA. The 3 CA countries would be represented by Fiji. This reflects the lead and supporting arrangements summarized below for each component:

\* Component 1: Project Establishment, Start Up and Regional Needs Assessment and Analysis – Advisory Group, FSPI, EPOC and PIPA, PICs. Lead implementation partner – UN-Habitat in support of PIPA

\* Component 2: Institutional Strengthening Support Through ToT Delivery Addressing Key Themes - UN-Habitat, CLGF, PIPA (and PIA). Lead implementation partner - FSPI

\* Component 3: Supporting Urban Knowledge Creation and Management - FSPI, CLGF, PIPA, UN-Habitat. Lead implementation partner - UN-ESCAP (EPOC)

\* Component 4: Facilitating Policy Learning Dialogue on Pacific Urbanisation -EPOC, CLGF, FSPI, UN-Habitat. Lead implementation partner – PIPA and SPC

\* Component 5: Strengthening the Capacity of SPC to Implement and Monitor Urban Initiatives under the Pacific Plan -EPOC, CLGF, FSPI, UN-Habitat, . Lead implementation partner - SPC

The agreed Work Plan would stipulate the reporting arrangements, milestones and targets to be achieved for each component including component monitoring. Oversight for the Project would be under UN-Habitat (both Fiji and ROAP offices), which would receive the 15% "supervision" grant, along with a grant to recruit the proposed international expert in accordance with (Cities Alliance and World Bank approved) UN rules and regulations.

### 21. Project Schedule and Delivery Targets

Activities	Month	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
<b>1 Project Establishment - Regional Needs Assessment and Analysis</b>																									
1.1 Appoint Project Coordinator and establish Steering Committee -																									
1.2 Work Plan and M&E development																									
1.3 Regional needs assessment and analysis, training implications																									



Component 1: Project Establishment - Regional Needs Assessment and Analysis	\$56,500	½ wm local each for PIPA, FSPI and EPOC (total 1.5wm \$4,500) 1 wm international \$20,000 (UN-H)	1 workshop needs analysis \$30,000 (FSPI)	questionnaire \$1,000 (PIPA)	communications and awareness \$1,000 (PIPA)
Component 2: Institutional Strengthening	\$171,000	1.5 wm (PIPA), 1wm (EPOC), 9wm (FSPI) (total 11.5 wm local \$34,500) 1 wm international \$20,000 (UN-H)	TwoToolkit dissemination workshops (FSPI) \$60,000  One Settlement Upgrading and savings and credit workshop \$40,000 (ACHR, includes \$10,000 consultancy support)	Toolkit printing etc \$15,000 (FSPI)	Communications and awareness \$1,500 (split equally PIPA, FSPI & EPOC)
Component 3. Urban Knowledge Creation and Management	\$99,000	1.5 wm (PIPA), 5wm (EPOC), 1wm (FSPI), (total 7.5 wm local \$22,500) 1.5 wm international \$30,000 (UN-H)	1 workshop knowledge sharing and policy learning \$30,000 (EPOC)	knowledge management hub \$15,000 (EPOC)	communications and awareness \$1,500 (split equally PIPA, FSPI & EPOC)
Component 4: Policy Learning Dialogue	\$42,500	1wm (PIPA), 5wm (EPOC), 1wm (FSPI), (total 7 wm local \$21,000) 1 wm international \$20,000 (UNH)	(included in above EPOC workshop)		communications and awareness \$1,500 (split equally PIPA, FSPI & EPOC)
Component 5: Support to SPC on PUA Implementation and Monitoring	\$56,000	½ wm each for PIPA, FSPI and EPOC \$4,500local international \$20,000 (UN-H)	Ministerial Conference \$30,000 (EPOC)		communications and awareness \$1,500 (split equally PIPA, PSPI & EPOC)
<i>Sub-Total – Project Activities</i>	\$425,000	\$197,000	\$190,000	\$31,000	\$7,000
<b>PROJECT ADMINISTRATION &amp; SUPERVISION:</b>					
Independent Audit (1):					
Supervision Costs (2): a) fees/labour/wages b) travel costs c) office running cost	\$75,000	75,000			
<i>Sub-Total – Project Administration &amp; Supervision</i>					
<b>TOTAL A (Cities Alliance Grant Request)</b>	\$500,000				

**A. CO-FINANCING**



FSPI	\$52,000	In-kind staff hours \$22,000	\$20,000 workshop support (back to back with programmed livelihoods activities)		Meeting venue \$5,000 Operational exp \$5,000
PIPA	\$40,00	In-kind staff inputs \$20,000		Information dissemination \$10,000	Office support costs \$10,000
Co-financing Partner UN Habitat	\$224,000	In-kind staff inputs \$80,000	\$124,000	\$20,000	
Co-financing Partner CLGF	\$115,000	In-kind staff inputs \$115,000			
Co-financing Partner UNESCAP	\$84,100	In-kind staff hours \$40,000		\$34,100	Office space/provision \$10,000
Co-financing Partner SPC	50,000	In-kind staff hours \$40,000			Office space/provision \$10,000
<b>TOTAL B (Co-Financing)</b>	<b>\$565,100</b>	<b>\$317,000</b>	<b>\$144,000</b>	<b>\$64,100</b>	<b>\$40,000</b>

**B. TOTAL**

<b>TOTAL PROJECT BUDGET COST (A + B)</b>	<b>1,065,100</b>	<b>589,000</b>	<b>334,000</b>	<b>95,100</b>	<b>47,000</b>
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See Guidelines for more information.

- (1) An external audit is required upon completion or termination of project activities. Categorise this type of expenditure as "other."
- (2) Incremental costs associated with the management of the project, up to a maximum of 15 percent of the Cities Alliance grant request. Categorise this type of expenditure as "other."

**23. Costing Assumptions**

\* Regional workshops for 2 people for 6-7 PICs approximately \$30,000 for 5 days in Nadi

- International adviser \$20,000 inclusive of travel, per Diem and fee rate
- national consultants at \$3,000 a month

**24. Expected Currency of Expenditures**

Fijian dollar

**25. Co-financing arrangements**

<b>Co-financing Source</b>	<b>Description of Co-Financing</b>
1. UN Habitat	<b>Cash:</b> \$100,000 RUSPS training. \$24,000 other toolkit training support <b>In-kind:</b> \$20,000 various UN-Habitat Guidebooks for localization (roll-out with CLGF financial support), \$80,000 for 2w/m SHSO and 20% time from UN-HABITAT Programme Manager Pacific
2. UNESCAP	<b>Cash:</b> \$34,100 budgeted by EPOC for regional knowledge sharing on lessons and good practice on economic and social development issues, 2010. <b>In Kind:</b> \$40,000 staff costs for hub development and expansion to include urban link, accessibility. Office space (\$10,000) for hard copy documentation, etc
4. SPC	<b>In Kind:</b> \$40,000 staff time and \$10,000 office space for meetings etc
5. CLGF	<b>Cash:</b> Direct expenditures for country activities in PNG, Fiji and Samoa <b>In Kind:</b> \$115,000 for salaries and office support services
FSPi	<b>In-kind:</b> \$22,000 in technical staff inputs; \$20,000 training programme Venue and operational expenses \$10,000

PIPA	<b>In Kind:</b> Staff hours: US\$20,000; \$10,000 for Operational expenses and \$10,000 for information dissemination
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## 26. Additional Financial Management Information from Recipient

### PIPA:

- A. Is the Recipient a registered organization under the countries/cities legal requirement? - (Yes/No)
- B. Can the recipient provide proof of registration and years of operation? -(Yes/No)
- C. Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes/No)
- D. Does the recipient have or can open a bank account?- (Yes/No)
- E. Is the recipient audited annually? - (Yes/No)
- F. Do you produce periodic financial reports for monitoring and evaluation? (Yes/No)

### The Foundation of the Peoples of the South Pacific International

- A. Is the Recipient a registered organization under the countries/cities legal requirement? -  
**Yes**
- B. Can the recipient provide proof of registration and years of operation? -**Yes**
- C. Does the recipient have prior experience managing other Donor funds and provide documentation to support this? **Yes**
- D. Does the recipient have or can open a bank account?- **Yes**
- E. Is the recipient audited annually? - **Yes**
- F. Do you produce periodic financial reports for monitoring and evaluation? **Yes**

### UNESCAP/Pacific Operations Centre:

- G. Is the Recipient a registered organization under the countries/cities legal requirement? - (**Yes** – *there is a Host Agreement with the GofF*)
- H. Can the recipient provide proof of registration and years of operation? -(**Yes**)
- I. Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (**Yes**) – *with Headquarters, Bangkok*
- J. Does the recipient have or can open a bank account?- (**Yes**)
- K. Is the recipient audited annually? - (**Yes**) – *The bank does an annual audit and Headquarters does bi-annually*
- L. Do you produce periodic financial reports for monitoring and evaluation? (**Yes**) - *monthly*

### ACHR:

- A. Is the Recipient a registered organization under the countries/cities legal requirement? -  
(Yes)
- B. Can the recipient provide proof of registration and years of operation? -(Yes/No)  
ACHR has registered as a Foundation in Thailand registration No. BKK-287 dated 8 June, 1994
- C. Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes)  
ACHR used to received financial support from UN Agencies (Habitat, UNDP, UN-ESCAP as well as other international donors such as Gates Foundation, Rockefeller Foundation, MISEREOR, etc.,.
- D. Does the recipient have or can open a bank account?- (Yes)  
There are both Thai Baht and US dollar accounts
- E. Is the recipient audited annually? - (Yes)
- F. Do you produce periodic financial reports for monitoring and evaluation? (Yes)

### UN-Habitat:

- M. Is the Recipient a registered organization under the countries/cities legal requirement? - (No)
- N. Can the recipient provide proof of GLOBAL registration and years of operation? -(No)

- O.** Does the recipient have prior experience managing other Donor funds and provide documentation to support this? (Yes)
- P.** Does the recipient have or can open a bank account?- (Yes)
- Q.** Is the recipient audited annually? - (Yes)
- R.** Do you produce periodic financial reports for monitoring and evaluation? (Yes)