

**Joint Work Programme**

**1.) Name of Activity: Creating enabling environments for sustainable urbanization**

**2.) Joint Implementation Partners:**

Organization: United Cities And Local Governments of Africa

Contact Person: Contact phone/ email: Jean Pierre Elong Mbassi, Secretary General

Organisation: Contact Person: Contact phone/ email: elongmbassi@yahoo.fr

Organisation: Cities Alliance

Contact Person: Kevin Milroy, Deputy Program Manager

Organisation: Contact Person: Contact phone/ email: kmilroy@citiesalliance.org

**3.) Grant Recipient:**

Organisation: United Cities And Local Governments of Africa

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Organisation: Cities Alliance

Contact Person: Kevin Milroy, Deputy Program Manager

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**4.) Expected Duration:** 12 months

**5.) Geographic Scope:** Multi-country

**6.) Budget Summary:**

* Amount of total budget requested from Cities Alliance funding: $244,000
* Amount of previously approved Cities Alliance funding: $206,000
* Co-financing amount of total budget, including local partners: $56,000
* Total project budget cost: $506,000

**7.) Target Audience(s):**

* City and local government associations in Africa
* National Ministries for Planning, Finance, Local Government, Housing and Urban Development
* Local government officials including Mayors, City Managers and Directors of technical units such as planning, housing and finance.
* Global, regional and local partners either supporting or working closely with government associations such as international development partners and training institutes.

**8.) Background**

The Cities Alliance has committed to increasing its impacts in Sub-Saharan Africa, focusing in particular on secondary cities that are bearing the brunt of rapid urbanization, and which will become cities with slums unless Governments in the region take action to promote and strengthen the role of cities for poverty reduction and sustainable development.

In response, the CA Secretariat is engaging with CA members to build an Action Plan to achieve this objective. The plan aims to improve the efficiency and efficacy of on-going and future CA-funded activities in the region, identify and address key strategic gaps in assistance where the Alliance has comparative advantages to deliver, and mobilize and support CA members to fill these gaps.

**9.) Activity Objective(s):**

The overall objective of this 2012 joint work program is twofold:

1. To catalyze a policy debate on creating effective environments that will enable cities to become productive, sustainable, inclusive and bankable. The debate will constitute a core component of the Cities Alliance’s advocacy campaign in Africa supported by a diagnostic description of the state of decentralization in Africa.
2. The analysis would provide an evidence base to define CA support for sustainable urban transformation using its partnership platform to package tailored advocacy, knowledge and technical advisory support over the course of the next 10 to 20 years.

**10.) Expected Outcomes:**

* Improved evidence based dialogue on decentralization and sustainable urbanization in Africa
* A strengthened UCLGA Secretariat with enhanced capability to assess and respond to their members needs for tailored services with a particular emphasis on knowledge dissemination and information sharing
* Improved knowledge, advocacy and information services tailored to the needs of the UCLGA member base
* A comprehensive database of UCLGA members and partners that can be used for a variety of advocacy and capacity building purposes
* Improved awareness among African policymakers on the benefits of creating city enabling environments for sustainable urbanization

**11.) Activity Plan Summary:**

Key activities and tasks will be carried out under this initiative and include:

**Component 1:** Measuring Progress toward Well-Functioning African Cities

> Implementing an analytical framework that categorizes key aspects of national enabling environments for well-functioning cities in 50 African countries.

**Component 2:** Knowledge Dissemination> Reviving communications and outreach with key stakeholders in cities and national agencies in 50 African countries; and

> Packaging and supplying knowledge generated by CA and other partners to these stakeholders and developing UCLGA’s knowledge management capacity and strategy with an initial focus on country programs and email dissemination regionally.

**Component 3:** Joint CA/UCLGA event on Financing African Cities

 > High-level ministers conference of UEMOA countries on Financing African Cities.

**Component 4:** Africities 2012

> Delivering a major joint presence at AfriCities in Dakar, December 2012

**Component 1: Measuring Progress toward Well-functioning African Cities**

Rapid and massive urbanization in Africa is an indisputable fact. Cities increasingly drive national economies across the continent and provide the best opportunities for poor people to prosper. But cities do not operate in vacuums; to maximize poverty reduction and sustainable growth, cities require supportive—or at least benign—national enabling environments.

CA and UCLGA have identified 10 commonly agreed, key elements of enabling environments for well-functioning cities (see Annex A). Fifty countries in Africa will be assessed and rated according to these criteria. This will create a framework for thinking about cities which currently doesn’t exist. The first report will in essence be a political exercise aimed at starting the debate around decentralization and sustainable urban development. The results of this assessment will be publicized and updated regularly. The first regional report will be targeted for release at AfriCities in December 2012. These ratings will further serve as baseline data for the Africa Action Plan Results Framework. These country ratings will provide:

* + - * Roadmaps for Reform - The City Enabling Environment (CEE) ratings will assist UCLGA and other CA members in focusing on the key reforms required in each country to promote pro-poor, well-functioning cities. CA knowledge, advocacy and advisory services will be tailored to assist countries to undertake reforms to improve ratings.
			* Platform for Focused Advocacy - The CEEratings will sharply focus UCLGA, CA and development partners’ advocacy in each of the rated countries. These ratings could also be used in conjunction with an incentive system, such as the Mo Ibrahim Awards, to encourage countries to undertake the necessary reforms.
* Accessing Programmatic Support - The CEEratings can be used to identify minimum access criteria for country program and other types of support through CA, UCLGA, and development partners. All UCLGA member countries will receive tailored knowledge support. Member countries that are committed to achieving CEEratings that qualify for programmatic support (e.g. countries with serious actions plans) will receive tailored support required to do so. The ratings can serve to help set the agenda for CA members in each country and result in a pipeline of country programs over the next 20 years.

In addition to development of the initial CEE Ratings, communications material to promote the ratings and to accompany the release of the study will be produced, and an advocacy campaign designed to support the launch of the project at Africities. Activities to sensitize media to the significance of the CEE ratings and oother key UCLGA/CA messages will be undertaken prior to the Africities events.

The 2012 costs of this activity are being partially financed from previously approved budget for expert input for development of Africa regional plans.

**Component 2: Knowledge Dissemination**

2.1 Knowledge packaging

Servicing its members and clients with knowledge and information is a core objective for UCLGA and CA. In order to respond more strategically to the knowledge and information needs of its members, UCLGA would benefit from strengthening its capacity by including knowledge management as a core function in the Secretariat. For 2012 the priorities would be to strengthen its knowledge management capacity to drive the CA/UCLGA knowledge dissemination system for Africa. A Knowledge Management Specialist will be recruited to support the packaging of information products, advocacy and how-to tools structured around a thematic focus oriented around a set of priorities agreed with UCLGA. These priorities could include slum upgrading tools and approaches and municipal finance to name a few. CA/UCLGA will jointly develop communications products, such as newsletters and web content, to be branded appropriately as a distinct service provided by CA and UCLGA.

2.2 Defining the UCLGA target audience

UCLGA will expand its ability to reach a broad base of members and stakeholders with information and knowledge services. This will be achieved through expanding its database of members and stakeholders with contact details for national city and local government associations, key national government ministries and local government practitioners, such as the City Manager, Director of Finance and Directors of Technical Departments, for cities with populations of more than 20,000 residents. This database will be supplemented with the 2012 Africities attendance register where roughly 5,000 participants are expected to attend.

**Component 3: Joint CA/UCLGA Conference on Financing African Cities**

This high-level policy advisory forum will target African ministers of finance, of decentralization and of urban development French-speaking CFA countries (Benin, Burkina Faso, Cote d’Ivoire, Gambia, Guinea Bissau, Mali, Senegal and Togo). The conference would be hosted in conjunction with the first West African Economic and Monetary Union (UEMOA) meeting for 2012, scheduled for April 10, 2012. The conference will bring together key ministers involved in local government as well as representatives of associations of local authorities in order to foster collective awareness of the urgency to address the priorities of cities for responding to the challenges and opportunities of rapid urbanization, and define a roadmap that can assist countries in the definition and implementation of relevant actions in response. The conference will focus in particular on financing of urban investments, highlighting key messages from the book on *Financing African Cities* by Thierry Paulais.

This event would be financed from previously approved dissemination budget for Financing African Cities and 2012 budget for policy advocacy in the Africa region.

**Component 4: Africities, Senegal, December 2012**

Africities will be used as the platform to launch the City Enabling Environment Rating Report and to catalyze the debate on the state of decentralization in Africa. The debate will be supported by Cities Alliance and its Policy Advisory Forum during a special session at the event. CA will co-sponsor a Thematic Session on Financing African Cities, and will further support special sessions (to be confirmed) on the City Enabling Environment Ratings, and on Pro-poor Housing Policies in partnership with other members such as UN-Habitat and AFD. These thematic and special sessions will be used to convey key advocacy messages, stimulate debate and disseminate tools and information to enhance local governments and their partners ability to respond in a more informed manner to issues affecting sustainable urbanization.

In addition, the CA will sponsor an exhibition booth for active dissemination of knowledge products and promotion of key messages.

**12.) Main Components / Tasks and Deliverables– for each Implementation Partner:**

Each activity and task will be implemented based on partnership arrangements as follows:

|  |  |  |
| --- | --- | --- |
| **ACTIVITIES / TASKS** |  **DELIVERABLES** | **IMPLEMENTATION PARTNER** |
| Component 1: Measuring Progress toward Well-functioning African Cities | 1.1 City Enabling Environment (CEE) Rating System 1.2 Report which includes an assessment of 50 countries using the CEE Rating System 1.3 Results from the study produced as a map and displayed at Africities 1.4 Communications material to accompany the release of the study. 1.5 An advocacy campaign designed to support the launch of the ratings project  | UCLGA/ Cities Alliance |
| Component 2: Knowledge Dissemination |  |  |
| 2.1 Knowledge packaging(During 2012, support KM specialist to advise on KM strategy and plans, and building UCLGA KM capacity.) | 2.1.1 High level knowledge management strategy, 1 year action plan2.1.2 High level communications and branding strategy 2.1.3 Periodic newsletters and branded web content 2.1.4 Thematically packaged knowledge and information products 2.1.5 Knowledge Management Officer TOR and recruitment | Cities Alliance/UCLGA  |
| 2.2 Defining the UCLGA target audience | 2.2.1 Develop dissemination database2.2.2 Concept note to inform the design and use of the database 2.2.3 Compile email distribution lists 2.2.4 Communications material to introduce the project  | Cities Alliance/UCLGA |
| Component 3: CA/UCLGA high-level conference on Financing African Cities and urban investments | 3.1 High level Finance Ministers event in 20123.2 Develop a 2 year plan for promoting Financing African Cities book and municipal finance advocacy more broadly  | Cities Alliance/UCLGA/AFD |
| Component 4: Africities  | 4.1 Communications material 4.2 Special sessions designed and implemented4.3 Exhibit booth designed and implemented | Cities Alliance  |

**13.) Timeframe and Activity Plan Summary**

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| --- | --- | --- |
| **Activities** | **2012** | **2013** |
| **1 Q** | **2 Q** | **3 Q** | **4Q** | **1Q** |
| **Component 1: Measuring Progress toward Well-functioning African Cities** |  |  |  |  |  |
| City Enabling Environment (CEE) Rating System – CA & UCLGA members vet the indicators  | x |  |  |  |  |
| Secure TA  | x |  |  |  |  |
| Develop advocacy campaign (to introduce project and launch at Africities) | x |  | x |  |  |
| Carry out individual country assessments |  | x | x |  |  |
| Consolidated report – reviewed & finalized (Oct 2012) |  |  | X |  |  |
| Print report, maps, communications  |  |  | X |  |  |
| Africities Launch – special session  |  |  |  | X |  |
| Media Sensitization |  |  |  | **X** |  |
|  |  |  |  |  |  |
| **Component 2: Knowledge Dissemination** |  |  |  |  |  |
| Recruit Knowledge Management Specialist  | X |  |  |  |  |
| Mission to Rabat & DC  | X | X |  |  |  |
| Recruit Knowledge Management Officer  |  | x |  |  |  |
| High level knowledge management strategy, 1 year action plan |  | x |  |  |  |
| Periodic newsletters and branded web content |  | x | x | x |  |
| Thematically packaged knowledge and information products |  | x | x | x |  |
| Develop a concept note to inform the design and use of the database |  | X  |  |  |  |
| Develop communications material to introduce the database project |  | x |  |  |  |
| Develop dissemination database |  | x |  |  |  |
| Compile email distribution lists |  | x | **X** |  |  |
|  |  |  |  |  |  |
| **Component 3: CA/UCLGA Policy Advisory Forum on Financing African Cities** |  |  |  |  |  |
| Concept note | **X** |  |  |  |  |
| Deliver the Component 3: CA/UCLGA Policy Advisory Forum on Financing African Cities |  | **X**  |  |  |  |
| Communique on outcomes of the forum  |  |  | **x** |  |  |
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| **Component 4: Africities**  |  |  |  |  | **x** |
| Concept note for CA/UCLGA collaboration  |  | **X** |  |  |  |
| Develop communications materials, CA materials and booth preparation  |  |  | **X** |  |  |

**14.) CA Funding By Activity**

|  |  |  |
| --- | --- | --- |
| **Project Activities and Tasks** | **Total** **(US$)** | **Type of Expenditure** |
| **Consulting Services****(US$)** | **Training/ Capacity Building** **(US$)** | **Dissemination Costs** **(US$)** | **Other****(US$)** |
|  |  |  |  |  |  |
| **PROPOSED BUDGET -CA** |  |  |  |  |  |
| Component 1: City Enabling Environment (CEE) Rating System: Publication, communications material and map for launch at Africities  | 11,000 | 3,000 |  | 8,000 |  |
|  |  |  |  |  |  |
| Component 2: Knowledge Management capacity development | 150,000 | 100,000 |  | 30,000 | 20,000 |
| Component 2: Building Contact database | 25,000 | 7,000 |  | 1,000 | 17,000 |
| Component 4: Africities | $58,000 |  |  | $8,000  | $50,000 |
|  |  |  |  |  |  |
| **PROPOSED BUDGET – CA**  | **$244,000** | **$110,000** |  | **$47,000** | **$87,000** |
|  |  |  |  |  |  |
| **OTHER JWP CA BUDGET** |  |  |  |  |  |
| Component 1: City Enabling Environment (CEE) Rating System: Decentralization Specialist (From on-going funding for development of CA regional plans) | 34,000 | 25,000 |  |  | 9,000 |
| Component 2: Knowledge Management Specialist (from on-going funding for development of CA regional plans) | 62,000 | 62,000 |  |  |  |
| Component 3: CA/UCLGA High-Level Conference on Financing African Cities(financed from other approved CA allocations) | 110,000 | 15,000 |  |  | 95,000 |
|  |  |  |  |  |  |
| **OTHER JWP CA BUDGET** | **$206,000** | **$102,000** |  |  | **$104,000** |
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| **TOTAL –CA Activity Budget for 2012 JWP** | **$450,000** | **$212,000** |  | **$47,000** | **$191,000** |

**15.) Co-Financing**

|  |  |
| --- | --- |
| **Co-financing Source** | **Amount (***US Dollars)* |
| UEMOA budget for Component 3 | $43,000 |
| French cooperation, for Component 3 | $13,000 |
| **TOTAL**  | **$56,000** |

**16.) Costing assumption:**

(For Consultancy budget, specify the number of consultants, fee rate and number of days, and travel and subsistence costs. For training/workshop, the number of events. For Dissemination and other costs, detail the proposed costs).

**Component 1 – CEE Ratings**

**Decentralization Specialist –** to produce initial CEE ratings and validate with UCLGA membership

50 days x $500 per day = $25,000

Plus travel: $9,000

Air fare of $ per trip x 2 trips = $3,200

Accommodation at 10 days per trip – 9 nights @$200 = $3,600

Per diem at 10 days per trip @$110 per day = $2,200

Funded from previously-approved budget.

Advocacy consultant - development of advocacy plans around CEE ratings

6 days x $500 per day = $3,000

Production and printing of CEE Ratings brochure (English and French) - $2,000

Production and printing of Africa CEE Ratings map - $1,000

Production of CEE Ratings advocacy video - $5,000

**Knowledge Management Capacity –**

ETC consultant based in Rabat:

 One-year consulting fees (estimated) - $100,000

Direct support costs (resource materials; printing; travel) - $20,000

Knowledge production costs

Knowledge adaptation and packaging costs related to 2012 piloting of knowledge dissemination system, focused around city managers; finance directors; and planning/technical services directors.

 Translations of existing products - $10,000

 Production of e-products - $10,000

 Production of branding/ packaging materials - $10,000

**Knowledge Management Advisor**

80 days x $533/day = $42,720

Plus travel = $20,000

(One trip to Washington DC, two trips to Rabat, and one additional trip)

(Paid from existing funding allocation.)

**Contact Database development**

Consultant support (4 days @$500/day) - $2,000

Interns/ short-term staff to build database -- $5,000

Hardware/software investments - $2,000

Cost reimbursements to LGAs for data collection of membership - $15,000

 (30 associations at $500 average each)

Promotional material for project - $1,000

**Africities 2012**

Exhibition booth and furnishings -- $20,000

Travel costs for speakers, networking and special sessions -- $20,000

Shipping costs of printed materials -- $1,000

Banners/ posters/ promotional materials -- $7,000

Event management support -- $10,000

ANNEX A

**Country Indicators/Criteria for City Operating Environments**

Constitutional Enabling Environment

* National constitution clearly delineates roles and responsibilities of local governments vis a vis other tiers/spheres- this is the “gold” standard, and is pretty uncommon. RSA’s 1994 constitution, for instance, clearly states the responsibilities of the 3 “spheres” of government: national, provincial and local.
* Constitution is neutral on local government- this is the most prevalent situation, no explicit reference as, for instance, in the US constitution. Neutrality is fine, provided that adequate subsidiary legislation is in place.
* Constitution contains implicit or explicit provisions that limit or hinder effective local governance- this situation is pretty typical in post-colonial African constitutions that often enshrine hierarchical administrative systems controlled centrally (centrally appointed district commissioners, provincial governors, etc) which impede local accountability and autonomy. Frequently, countries adopt subsidiary local government legislation without repealing the constitutional provisions for deconcentrated centralism, thereby creating a perpetual conflict situation.

Legislative Enabling Environment

* Legislation clearly defines roles and responsibilities of local governments, no conflict with constitutional provisions- gold standard, pretty rare, Ethiopia a good example.
* Clear legislation in conflict with constitutional provisions- pretty common (Zambia and other former British colonies), leads to perpetual conflict especially in run up to national elections.
* Muddled legislation- also pretty common (some Nigerian states, etc) leading to unpredictable swings in local governance.

Intergovernmental Fiscal Arrangements

* Clear, predictable, formula driven allocations to local governments occur in a timely fashion through a medium term framework. SA is the gold standard here, Ethiopia getting close, Mongolia’s new Budget Law is good (although I haven’t seen the final approved English version yet).
* Ad hoc but stable annual allocations- Zambia typified this till copper prices tanked in the ‘80s, Zimbabwe till the ‘90s, several others. Problem is that when national budget gets squeezed, ad hoc allocations to local governments are usually first to shrink.
* Totally ad hoc allocations- most common, highly political and unpredictable, very difficult to plan and manage effectively at local level.

Local Own Revenue Bases

* Clearly defined, aligned with local delivery responsibilities, and not subject to central intervention- very rare, SA.
* Clearly defined but subject to central intervention- more common, center reserves right to approve tariff/fee increases often forcing LGs to supply services below cost. Interesting approach in Ethiopia, center/regions approve bandwidths for key local tariffs, allowing flexibility within limits.
* Centrally defined and/or collected- pretty typical, severely constrains local autonomy.

Accountability Relationships

* LG officials directly elected by and accountable to LG voters- very rare, even SA does not allow direct election of Mayors.
* LG officials directly elected, but subject to central interventions- fairly common, center may frequently step in to replace mayors, councils, executives, still the case in Ethiopia, Swaziland and many other countries.
* LG officials elected, but LG administrators centrally appointed- still pretty common, effectively marginalizes elected officials and limits accountability to local populace.

Transparency

* LGs’ accounts routinely and independently audited and made public- still pretty rare, SA does this, Ethiopia also but with government auditors.
* LG audits required but significantly in arrears- multi-year LG annual audit backlogs are common, rarely dealt with unless donors demand.
* No independent auditing- pretty common, fundamentally distorts transparency.

LG Capacity

* Strong LG training programs- still rare, Ethiopian Civil Service College Masters Degree in Urban Management (adapted from IHS) probably best on continent.
* Intermittent training- pretty common, usually donor driven
* Little or no training available in country- very common, results in reliance on donors and under valuing of LG career paths.

Community Consultation

* Routine public consultation on investment and service priorities, reflected in actual budgets- very rare, SA goes thru the motions, Ethiopia does pretty well.
* Sporadic public consultation- typical, usually donor driven.
* Little or no consultation- typical.

Objective LG Performance Evaluation

* Regular independent assessments- very rare, only Ethiopia which is still driven by Bank requirements.
* Irregular assessments- also pretty rare, and usually donor driven.
* No real assessments- common.

Strategic Environment

* Clear national urbanization strategy and committed action plan- very rare, apparently Benin, and Ethiopia
* Muddled strategy with weak commitment- common.
* No real strategy/rural bias by politicians- common.